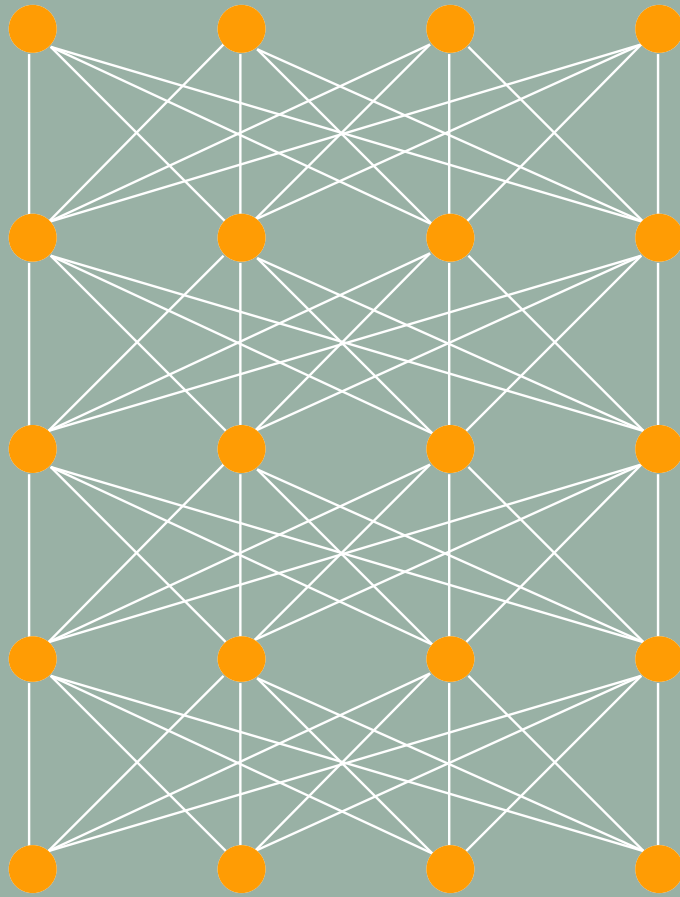


IDP

# IDP Guide - Pack Guide 1



g u i d e l i n e s

# IDP

Integrated Development Planning

# idp guide pack

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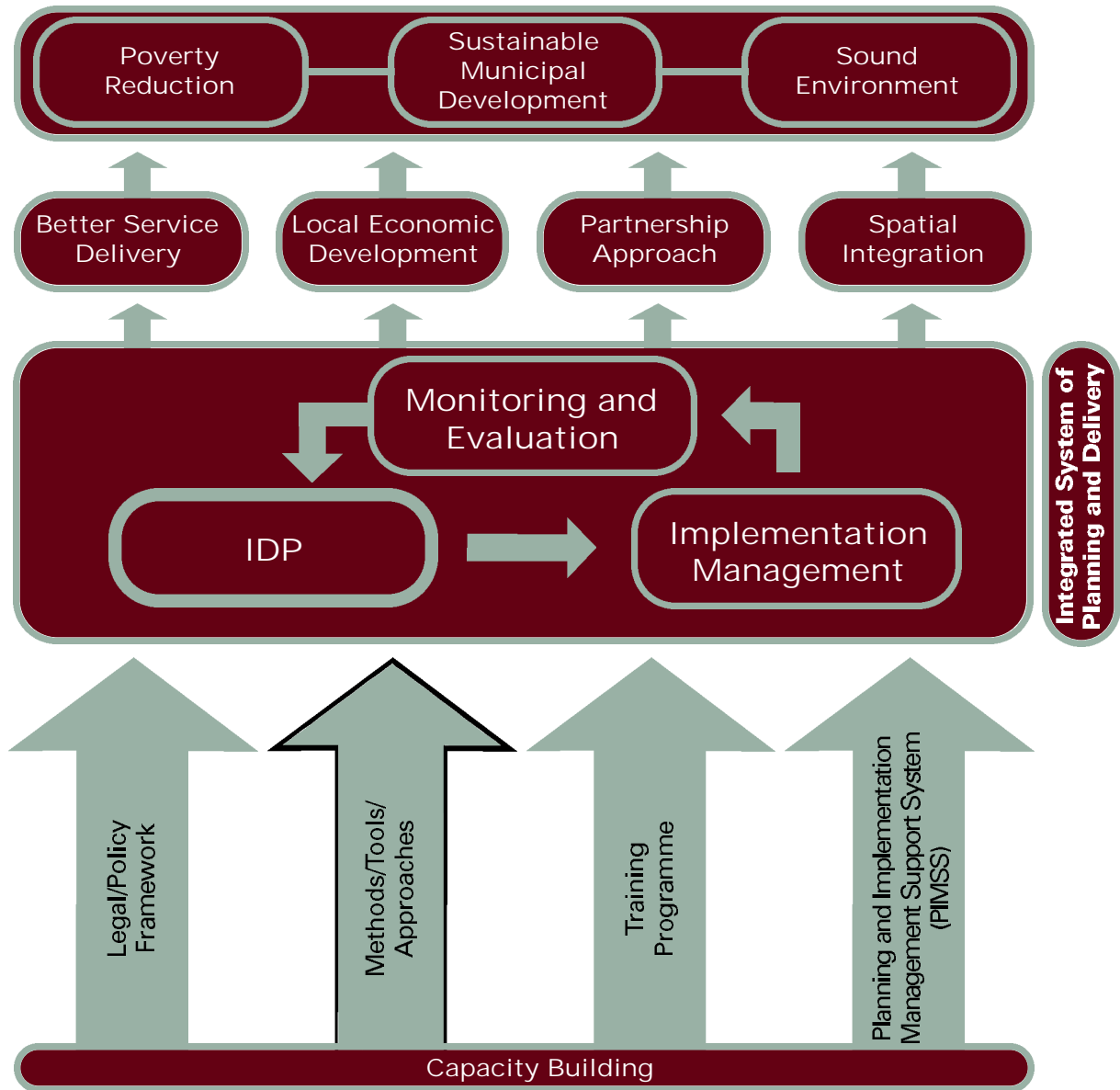
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# INTEGRATED DEVELOPMENT PLANNING SYSTEM



GUIDELINES

# 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**

Guides 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.

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# 1. WHY INTEGRATED DEVELOPMENT PLANNING GUIDELINES?

## 1.1 POLICY CONTEXT

When Integrated Development Plans (IDPs) were made a legal requirement for municipalities in the Local Government Transition Act (LGTA)/Second Amendment (1996), their conceptualisation at a policy level was very limited. Furthermore, the requirements of integrated development planning overlap to some extent with the planning requirements of Land Development Objectives (LDOs) as established by the Development Facilitation Act (DFA) of 1995. The DFA Principles have provided a useful policy framework with regard to the spatial dimension of development planning, but not beyond.

Crucial **elements of a policy, legal and methodological framework for IDPs** were **established** after the IDP process (inter-linked with the preparation of LDOs) had already started. These are contained in the White Paper on Local Government (WPLG, March 1998) as a general policy frame, the Municipal Systems Bill (MSB), which is supposed to become an Act in 2000, and the Integrated Development Planning Manual (September 1998).

The **White Paper** presented:

- i. A sound *contextual justification* of integrated development planning as a tool for “developmental local government”, in particular for:
  - objective-oriented resource allocation;
  - institutional transformation within municipalities (integrated development planning as a means of inter-sectoral strategic management);
  - interaction with other spheres of government; and
  - transparent interaction between municipalities and residents, in line with the principle of accountability.
- ii. A list of *policy principles* that integrated development planning is expected to follow, such as basic needs orientation, poverty alleviation and environmental sustainability.
- iii. A list of *methodological guidelines* including prioritising, strategic focus, incremental approach, medium-term planning and a multi-sectoral approach.
- iv. A sequence of *planning steps*.

The **Municipal Systems Bill**, which defines integrated development planning as one of the core functions of a municipality in the context of its developmental orientation, focuses on defining *minimum requirements*:

- with regard to the *contents* of an IDP; and
- with regard to the integrated development planning *process*.

It refers to the role of municipal planning within the overall context of co-operative government. In the chapter on “Public Participation” the MSB defines principles, mechanisms, processes and procedures for public participation which apply, among others, to the integrated development planning process.

Two other legal documents which resulted from the WPLG have some indirect relevance for integrated development planning. The **Municipal Demarcation Act** initiated a new demarcation process that has resulted in a dramatically reduced number of municipalities which are larger and in a better position to become viable local government units. The **Municipal Structures Act** gives district municipalities more of a role in supporting local municipalities in drafting IDPs.

The **Integrated Development Planning Manual** attempts to provide methodological guidance to all actors involved in the integrated development planning process to enable them to cope with the new task. It offers a step-by-step approach with a sequence of planning tools. In contrast to policy and legal framework documents, it has a non-prescriptive, enabling character. It serves as a basis for training courses and for information and advice services. It is also subject to continuous modification based on experience and new know-how.

As most of the LDO/ integrated development planning processes were started before this newly emerging framework was put in place, the quality of the integrated development planning process and outcomes was only to a very limited degree influenced by this framework.



## 1.2 INTEGRATED DEVELOPMENT PLANNING EXPERIENCE

In most municipalities the integrated development planning processes and their outcomes, the planning documents, fell short of the basic requirements of integrated, strategic development planning. The process caused considerable confusion and sometimes frustration among those involved.

Rather than being used as a tool to deal with the real issues of residents and communities in a strategic, developmental and delivery-oriented manner, many municipalities did no more than fulfil the legal requirement through their consultants in a mechanistic manner. As a result the outcomes were often no more than unrealistic shopping lists of investment proposals and some sort of structure plans.

These deficiencies can be attributed in part to capacity limitations in local government, an over-complicated methodology which might encourage a mechanistic planning approach and the non-availability of appropriate support systems which forced many municipalities to rely on planning consultants. Moreover, both the process and the institutional arrangement of transitional local government were new to all the actors involved. A number of deficiencies, however, are related to the absence of a clear policy framework. The transitional legislation and the related confusion about LDOs and IDPs were certainly part of the problem. But some of the **policy-related deficiencies**, as described below, still need to be addressed.

- The *purpose* of integrated development planning was not sufficiently clear: in some local authorities it was, due to its close link to LDOs, perceived as a special spatial planning requirement; in others it was regarded as a more participatory way of arriving at lists of investment projects for external financing. Hardly anywhere was it seen as a municipal mainstream process to allocate available and accessible resources around certain development priorities and strategies.
- As a consequence the *outcome* of IDPs was usually not much more than a list of project titles without further specification and without implementation strategies. There was no evidence from most of the planning documents that overall *development policy guidelines* such as poverty alleviation, economic growth or environmental sustainability were considered.
- There was no clear and agreed procedure how integrated development planning should be *inter-linked with planning of other spheres of government* and with sectoral planning. In other words, municipal planning is supposed to be part of an inter-governmental planning system which does not yet exist. Neither is there sufficient clarity to assist municipalities to overcome the confusion of multiple legal planning requirements.
- There was no clear statement on the way the IDPs of *local and district municipalities* should be interrelated (except that they should be done at the same time and inform one another). As a consequence local municipalities and district municipalities either did their planning in parallel without informing one another, or local municipalities waited for the districts.
- There was no clear and realistic *institutional concept* related to the distribution of roles and responsibilities for the integrated development planning process. Ambitious and vague statements saying that the municipal governments themselves should be the owners and "drivers" of the process were not appropriate for local authorities without professional capacity. Due to a lack of guidance on a more specific and realistic distribution of roles and responsibilities, municipal managers tended to outsource the whole responsibility for the integrated development planning process.
- Accordingly the question of an appropriate *support system* for municipal integrated development planning had not been answered. Aside from some organisational guidance from the provinces, planning consultants were the only accessible support system.
- Fundamental *methodological questions* with regard to the planning approach such as:
  - prescriptive, linear and rationalistic methodologies versus interactive, negotiated, issues-focused discussion and decision-making processes;
  - the design of the planning-budgeting-implementation link; and
  - the IDP – land management link etc,
 were left to the technical level of consultants. They had not been not settled at a policy level.

- Most municipalities and their consultants were unable to organise the *public participation* process in a meaningful way, as basic guidelines were missing.
- While the *approval* of LDOs was settled by the DFA, it was not clear on what basis and by whom IDPs should be approved and/or assessed.
- The *legal status* of integrated development planning needs further clarification.

Unless such crucial policy issues are clarified, all efforts in the fields of capacity building, establishment of support systems and refinement of planning methodology will have only a limited impact on the quality of integrated development planning processes and their developmental outcomes.

There is a wide conceptual gap between the broad policy framework of the WPLG and the minimum requirements defined in the MSB on the one hand, and the design of specific planning methodologies as outlined in the Integrated Development Planning Manual, on the other. This gap must be bridged to enable local government to make good use of integrated development planning as a tool.

### 1.3 THE PURPOSE OF THESE GUIDELINES

The purpose of these guidelines is to ensure that all actors involved in the integrated development planning process (including trainers and professionals involved in the development of tools and in drawing up regulations) understand the purpose of integrated development planning, the distribution of roles and responsibilities, and the planning procedures. This will allow them to arrive at strategic and realistic decisions related to people's priority issues in a consultative and integrated manner, and implement problem-solving measures faster and more appropriately.

These guidelines are one of the four crucial prerequisites for making integrated development planning an effective tool for more developmental local government. The others are: methodology development; preparation of training programmes; and the establishment of a support system.

The **areas for which further policy guidance is required** are related to the deficiencies outlined above. They form the basis for the structure of these guidelines:

- Chapter 2: Purpose of municipal integrated development planning.
- Chapter 3: Consideration of national guidelines and principles in integrated development planning.
- Chapter 4: Implications of municipal integrated development planning for an inter-governmental system of development planning.
- Chapter 5: Aligning sector planning requirements and integrated development planning.
- Chapter 6: Inter-linking integrated development planning processes between district and local municipalities.
- Chapter 7: Organisational arrangements for integrated development planning within a municipality.
- Chapter 8: Support systems for municipal integrated development planning.
- Chapter 9: Planning approach and methodology.
- Chapter 10: Public participation in integrated development planning.
- Chapter 11: Assessment and approval of IDPs.
- Chapter 12: The legal status of IDPs.

These areas have been subject to analysis during the integrated development planning pilot assessment process. Some of them were explored in more detail through specific policy research studies.

## 1.4 THE NATURE OF THE GUIDELINES

The guidelines are meant to provide guidance and direction where required. It goes well beyond legal minimum requirements. Its intention is to enable the responsible actors to make effective use of integrated development planning as a tool for developmental local government. The guidelines are therefore drafted in accordance with the following criteria:

- **Flexibility:** The guidelines will allow for learning processes and for the incorporation of innovations in planning and management approaches. The framework will encourage diversity of planning styles, given the diversity of the local realities of South African municipalities.
- **A minimum degree of uniformity:** The guidelines have to find the balance between providing space for flexibility within its frame and limiting that space to ensure a certain common ground, common rules, common language. The degree of commonality in municipal planning is determined by people's equal democratic rights in their society, and by the necessity for integrated development planning to form part of a nation-wide planning system, which requires smooth interaction between and within the three spheres of government.
- **Achievable planning requirements:** The guidelines have to keep planning costs low and encourage local ownership by keeping planning requirements as simple as possible, taking the limited resources and staff capacities of most municipalities into account. Nevertheless, it will take into consideration that a certain quality of planning is necessary to avoid wasting money on inappropriate investments. Accordingly, planning methods may have to differ between Category A (metropolitan) and C (district) local authorities on the one hand, and Category B (local municipalities) on the other.
- **Developmental orientation:** Developmental local government is, in accordance with the WPLG, local government committed to working with citizens and groups within the community to find ways to meet their social, economic and material needs and improve the quality of their lives. This has implications for the integrated development planning process (which has to involve the public) and the outcome (which has to be related to overall developmental objectives). These guidelines are intended to help translate the required developmental orientation of integrated development planning into practical guidelines and directions.
- **Delivery orientation:** Any planning guidelines have to keep in mind that planning is not an end in itself but a tool to arrive at more appropriate, effective and faster delivery of services to the people. Keeping a close and transparent link between planning, improved public management and delivery is, therefore, the most important guiding principle for the guidelines.

These guidelines will enable actors involved in the integrated development planning process to look at it as not just a capacity-consuming legal requirement, but as a tool for better management and co-ordination of decision-making and implementation, related to public services and general development objectives within their area of responsibility.

## 2. PURPOSE OF MUNICIPAL INTEGRATED DEVELOPMENT PLANNING

### 2.1 HISTORICAL CONTEXT

For more than five decades after the advent of municipal planning in South Africa in the 1930s, in most cases planning at the local level:

- was very technical in nature with little or no participation from other role-players such as communities;
- focused on the controlled use of land through a range of complicated statutory mechanisms;
- furthered the aims of the Apartheid dispensation in promoting racially segregated spatial, social and economic development;
- was based on the perceived needs of the privileged groups in society;

- predominantly sector based, with transport, land use and infrastructure plans being prepared by municipal departments in isolation from one another;
- inflexible and of a blue-print nature;
- indifferent on issues of environmental sustainability and economic viability;
- concerned with physical development and sectorally-structured infrastructural delivery programmes by the public sector;
- unconcerned with the social and economic dimensions of development such as poverty alleviation, social health and welfare; and
- weak on the facilitation of private sector investment.

During the early 1990s, various negotiating forums (such as the Local Negotiating Forum and the National Housing Forum) conceived the notion of integrated development planning in reaction to this outdated and inappropriate way of planning. At the same time, the idea of integrated planning was gaining international ground as a response to the fragmented, ad hoc project based approaches to planning in the 1980s, a move towards integration in technology, and the environmentalists' concern for a holistic perspective on development.

**The ANC Policy Guidelines for a Democratic South Africa, 1992** proposed that a new system of municipal planning should:

- ensure maximum involvement of all communities and stakeholders;
- be directed at those in greatest need;
- strive to break down Apartheid privilege, geography and institutional structures;
- be aimed at ensuring integrated and sustainable development; and
- be focused on delivery.

By 1995 "Integrated Development Planning" had emerged as a distinct approach to planning and was being promoted by the RDP Office and the intergovernmental Forum for Effective Planning and Development (FEPD). The FEPD defined integrated development planning as: *"...a participatory planning process aimed at integrating sectoral strategies, in order to support the optimal allocation of scarce resources between sectors and geographic areas and across the population in a manner that promotes sustainable growth, equity and the empowerment of the poor and the marginalised"*.

These ideas were further elaborated in the **Reconstruction and Development Programme**, concretised in **The Constitution** and articulated further in a range of policy documents including the **White Paper on Local Government** and the **Green Paper on Development Planning**. They were also given legal substance in legislation such as the **Development Facilitation Act, 1995**, the **Local Government Transition Act Second Amendment Act, 1996**, the **Municipal Structures Act, 1999**, and the **Municipal Systems Bill, 2000**.

## 2.2 INTERNATIONAL TRENDS IN MUNICIPAL PLANNING

### i. Decentralisation of planning

International experience suggests that truly democratic and developmental local government should play an expanding role in planning, managing and implementing development at a local level.

The international trend of *"thinking globally and acting locally"* has translated into a growing tendency to decentralise government in general, and planning in particular.

- In **India** a constitutional amendment in 1992 provided for the substantial devolution of functions, including that of urban planning to urban local bodies.

- All local authorities in **Germany** are required to prepare their own plans although they need to be consistent with the plans of other spheres.
- In **Malaysia** local authorities prepare plans and projects that address local needs and complement national proposals.
- **Indonesia** has an annual bottom-up regional development planning process, which starts at the village level.

The **South African Constitution** (1996) responded to this trend by creating local government as a distinctive, yet interrelated sphere of government with its own executive and legislative authority and an important developmental mandate. One of the key tools for this new form of developmental local government is the integrated development planning process.

## ii. Democratisation of planning

The global democratisation trend emphasises the need for the fair and equitable distribution of resources and services to the population as a whole. This trend also translates into the practice of participatory planning for ordinary citizens to have a say in the real issues affecting their lives.

Participatory planning implies that individuals, groups and organisations should have access to information relevant to development and be able to participate in decision-making processes for the areas in which they live and work. The purpose of participatory planning is essentially to deepen democracy and represents a shift from the concept of "government" to the concept of "governance". The proponents of participatory planning believe that greater local government/community interaction will result in improved planning and development implementation especially at a local level.

In 1992, the leaders of 179 countries signed a global action plan for sustainable development called Agenda 21 based on the assumption that development issues can only truly be addressed by the participation and co-operation of local authorities through participatory local planning processes. Local Agenda 21 suggests that municipalities undertake a consultative planning process with their populations and achieve consensus on the development agendas of their local communities. It regards broad public participation in decision-making as one of the fundamental pre-requisites for sustainable development.

In South Africa, all development related legislation passed since 1994 requires participative processes in plan formulation. **The Municipal Systems Act** (2000) redefines the concept of a municipality to include the community, which emphasises the need for the collaborative setting of local development priorities.

## iii. Changing conceptions of government

Currently government tends to be seen as an "enabler" of service delivery to its citizens. Municipalities are regarded as vehicles for local economic development, implying that they should create the climate and conditions that are favourable to investment and economic growth. Municipalities should increasingly seek to establish partnerships with other stakeholders in the provision of services through ensuring interaction and communication and the building of alliances around local development.

In the South African situation, local economic development is regarded as an important outcome of the integrated development planning process. The municipal planning process should create the platform for putting development issues on the development agenda of the municipality and creates opportunities for establishing co-operation and partnerships in support of local development.

#### iv. The pursuit of sustainability

Another international trend, the pursuit of sustainable development, promotes the importance of integrating environmental concerns into social and economic development decision-making processes.

According to Local Agenda 21 and the international Habitat Agenda, *“development should support community life and power and distribute the benefits of development equitably, in order to sustain them over the long term”*. Continued economic growth is commonly held to be unsustainable unless it compliments and augments the processes of ecological and community development.

Sustainable development best practices are not isolated to first-world countries like Canada, Australia and New Zealand. The UNDP is just one of a host of major international role-players that promotes people centred development in support of sustainable development in developing countries.

- The city of Curitiba in Southern Brazil has been widely lauded as a model of sustainable planning and as a “third world City that really works”.
- Calcutta in India has attracted worldwide attention with sustainable solutions to the treatment and use of sewage.
- The City of Greater Montego Bay in the West Indies developed a community driven integrated development plan and is regarded as a model for the sustainable development of both urban and rural towns in Jamaica.

The sustainability debate has been taken up in various legal and policy documents in South Africa such as:

- the national development principles contained in the Development Facilitation Act;
- the definition of developmental local government in the White Paper on Local Government;
- Habitat and Local Agenda 21 initiatives driven by the National Department of Housing and the Department of Environmental Affairs and Tourism;
- the Green Paper on Development and Planning; and
- the National Environmental Management Act.

#### v. The search for integration

The international search for integration is based on the premise that improved integration will contribute to the more effective and efficient use of scarce resources. Some international examples of integrated planning initiatives include:

- The formulation of an Integrated Development Plan for the Tibetan Refugee Community;
- The Regional Cities Integrated Development Programme in Thailand;
- Decentralised Integrated Development Planning Processes in Ghana;
- The Integrated Development of Small and Medium Towns in India; and
- The Integrated Development Programme for Belvedere on the Eastern Caribbean.

The search for integration in South Africa with its heritage of inequitable growth and development, and its reality of countless demands and limited resources, is probably more complex and pronounced than anywhere else in the world. South Africa can hardly afford expensive development mistakes. Instead, it needs to achieve integration through integrated development planning with the view to harness the countries scarce resources in a coherent and purposeful manner.

### 2.3 EXISTING LEGAL AND POLICY FRAMEWORK

According to the **Constitution** (sections 152 and 153), local government is in charge of the development process in municipalities, and it is in charge of municipal planning. The constitutional mandate to relate its management, budgeting and planning functions to its objectives gives a clear indication of the intended purposes of municipal integrated development planning:

- to ensure sustainable provision of services;
- to promote social and economic development;
- to promote a safe and healthy environment;
- to give priority to the basic needs of communities; and
- to encourage involvement of communities.

The **WPLG** is in line with the spirit of the constitution as it considers integrated development planning explicitly as a *tool for developmental local government*. Besides relating integrated development planning to the *developmental outcomes* which are largely in line with the objectives stated in the constitution, the WPLG outlines *why* integrated development planning is considered a necessary tool to achieve these purposes. Integrated development planning will:

- help to align scarce resources behind agreed policy objectives and programmes;
- make sure that actions are prioritised around urgent needs;
- ensure the necessary integration with other spheres of government, it will serve as a tool for communication and interaction with them; and
- serve as a basis for engagement between local government and communities/residents<sup>1</sup>.

The **MSB** confirms the nature of integrated development planning as a legal requirement. With regard to the purpose it refers to the Constitution.

According to the existing legal and policy framework, despite its legal status, it is clear that municipal integrated development planning is not an end in itself, but a necessary tool to assist local government to achieve its developmental outcomes or objectives.

The reasons for allocating the developmental role and the responsibility for integrated development planning to the local government sphere, in spite of its capacity limitations, are:

- its relative closeness to the communities and residents, local places and conditions; and
- that it is the appropriate place from which to co-ordinate investment and the activities of different sectors and actors in terms of location and time.

### 2.4 DOUBTS AND MISUNDERSTANDINGS

In spite of the fact that the Constitution, together with the WPLG, provide clear information about the purpose of municipal integrated development planning, there are various doubts and misunderstandings among both local government representatives and planning professionals:

- Some people doubt whether it is appropriate to spend more resources and time on planning when people on the ground are anxiously waiting for delivery.
- Some people doubt whether it is worthwhile to do all this planning when there are hardly any financial resources for development available, especially in most local municipalities.
- Others doubt whether planning is really a useful tool to achieve developmental outcomes.

<sup>1</sup>Other tools are performance management and co-operation with local citizens and partners (public participation and municipal service partnerships).

- Many officials at provincial and national level still tend to assume that integrated development planning is exclusively related to local governments' own budgets and activities.
- Due to its close interrelation with LDOs, many people (especially local government officials) associate integrated development planning with spatial planning which has little to do with their field of responsibility. Thus, integrated development planning is sectoralised.
- For many municipalities, the main purpose for drawing up IDPs (besides the fact that it is a legal requirement) is to compile a list of investment projects for external funding, in particular for infrastructure projects funded by DPLG.

Such misinterpretations and concerns demonstrate that more clarification on the purpose and rationale of integrated development planning is necessary to convince some of the crucial role-players of the relevance and usefulness of integrated development planning as a tool for social and economic development.

## 2.5 PURPOSE

The purpose of integrated development planning is faster and more appropriate delivery of services and providing a framework for economic and social development in a municipality. A range of links exist between integrated development planning and its developmental outcomes, which have great relevance, in particular in a context of financial crisis of municipalities, urgency of service delivery, and employment generation. Integrated development planning can contribute towards eradicating the development legacy of the past, making the notion of developmental local government work and fostering co-operative governance.

### i. Eradicating the development legacy of the past

- Integrated development planning is a mechanism to restructure our cities, towns and rural areas.

Apartheid planning entrenched the ideology of separate development in spatial development patterns. Integrated development planning will redress these spatial imbalances and promote integrated human settlement through:

- ensuring a shared understanding of spatial development opportunities, patterns and trends;
- the localisation of spatial development principles that promote integrated and sustainable development;
- the formulation of specific strategies aimed at the spatial restructuring of cities and towns; and
- the formulation of a spatial development framework that provides a spatial overview of planned public and private sector investment.

- Integrated development planning is a mechanism to promote social equality.

The planning process is participatory in nature and allows for local processes of democratisation, empowerment and social transformation. The integrated development planning process is designed in such a way that all role-players and stakeholders have a voice in the issues affecting their lives.

- Integrated development planning is a weapon in the fight against poverty.

Integrated development planning should address severe social and economic imbalances such as the urban/rural divide as well as adverse conditions affecting marginalised groups on the grounds of race, gender, age or disability.

The Constitution requires that *"a municipality must structure and manage its administration and budgeting and planning processes to give priority to the basic needs of the community and to promote the social and economic development of the community"*. The strategies, projects and programmes that are generated through the integrated development planning process must be assessed in terms of the extent to which they assist in empowering and improving the living conditions of the disadvantaged.



The holistic, integrated and participatory nature of integrated development planning allows poverty alleviation to be addressed in a multi-faceted way. The IDP can do this through:

- focusing on areas of greatest need;
  - prioritising projects that focus on the plight of the poor and the marginalised;
  - addressing landlessness through implementing appropriate land reform initiatives;
  - promoting local economic development; and
  - preparing spatial frameworks that mainstream the poor into the economy.
- Integrated development planning is a catalyst in the creation of wealth.

Integrated development planning can assist in the promotion of socio-economic development through:

- leveraging funds from the other spheres of government, donor organisations and investors by defining and packaging attractive projects and programmes;
- facilitating the creation of an environment that is conducive to private sector investment and the general promotion of local economic development; and
- proposing direct interventions in the economy through, for example, providing incentives, developing economic infrastructure, and buying, developing and leasing or selling land.

#### ii. Making the notion of development local government work

- Integrated development planning is a device to improve the quality of people's lives through the formulation of integrated and sustainable projects and programmes.

Integrated development planning is a cross-cutting process that integrates and co-ordinates all development dimensions and sectors. The planning process:

- facilitates the formulation of integrated development strategies;
  - considers the social, economic and environmental sustainability of development strategies;
  - facilitates the process of making trade-offs between sectors through improved inter-sectoral prioritisation processes; and
  - ensures that all dimensions of development are adequately considered in the process of formulating integrated and sustainable project and programmes.
- Integrated development planning lays the foundation for community building.

Integrated development planning is the platform for building a sense of community ownership within a municipal area through:

- creating a shared vision for the future development of the municipal area;
- providing a public arena for discussion and making of trade-offs;
- nurturing common agreement around the most strategic and pressing development priorities in the municipal area;
- transcending party political debates in order to harness support behind commonly agreed development issues;
- providing a sound base for building partnerships around development; and
- fostering a shared understanding of cross-cutting development priorities such as poverty alleviation, local economic development and environmental sustainability.

- Integrated development planning is a strategic framework that facilitates improved municipal governance.

Integrated development planning provides a strategic framework that facilitates improved municipal governance through:

- linking, integrating and co-ordinating plans and development proposals and other strategies, plans and frameworks for the municipality;
- acting as the policy framework and basis on which the annual budget for the municipality must be based;
- acting as a strategic framework for the decision-making processes of the council;
- providing the strategic framework for the development of operational systems such as financial management, procurement and land-use management;
- aligning the financial resources and human capacity of the municipality with the implementation of strategies, projects and programmes that will address the prioritised needs of the most deprived, and maintain the existing infrastructure and economic activities in the municipality;
- assisting municipalities to focus on the environmental sustainability of their delivery and developmental strategies;
- providing a clear, common orientation for the administration by allowing the municipal manager and council to provide guidance and exercise control in relation to agreed and transparent objectives and targets; and
- creating is a useful frame for implementation management, especially in municipalities with limited management capacities.

- Integrated development planning is an agent of local government transformation.

The integrated development planning process and the transformation of local government are to some extent in a “chicken and egg situation”. Some institutional transformation is required to ensure the successful preparation and implementation of the integrated development planning process. The planning process, however concerns itself with determining the strategies and functions that will require amendments to municipal structure and form.

The integrated development planning process should result in a set of operational strategies that will ensure that municipalities are able to deliver effectively and efficiently on the development priorities, objectives, strategies, projects and programmes identified in the municipal planning process. The planning process will promote institutional transformation in line with agreed priorities and objectives in order to give full effect to local government’s new developmental mandate.

- Integrated development planning is a conduit/channel for attracting investment.

The integrated development planning process will create a climate of investment confidence by elaborating clear and agreed upon medium term financial and capital investment plans.

- Integrated development planning is meant to inform municipal, provincial, national budgets and programmes as well as funding agencies, residents of a municipality and anybody from outside who may consider living or investing in the municipal area. It has neither an exclusively local government, nor an exclusively external focus.
- The planning process should produce appropriate and feasible project proposals that will enable the speedy allocation and utilisation of funds by various bodies. This will enable the integrated development planning process to create frameworks for investment by putting in place clear targets and timeframes for the implementation of projects and programmes.

- South Africa has more funds available for financing projects at the local level than can be made use of. This is due to a lack of good project proposals or business plans. Many local and international funding agencies are desperately looking out for feasible project proposals. Such proposals (which should be more than wish lists with project headings) require planning. Thus, the crucial bottleneck for delivery is not finance but proper planning.
- Integrated development planning is an instrument to ensure more effective and efficient resource allocation and utilisation.

IDPs enable municipalities to weigh up their obligations and systematically prioritise programmes and resource allocation. In a context of great inequalities, IDPs serve as a framework for municipalities to prioritise their actions around meeting urgent needs, while maintaining the overall economic, municipal and social infrastructure already in place.

Where (financial) resources are available in abundance, there is little need for proper planning. The scarcer the resources, the more relevant is planning, as planning means thinking systematically about alternative ways to make use of scarce resources in the most beneficial manner. Preconceived standard solutions are usually too expensive for municipalities, which are short of funds. Planning facilitates appropriate solutions, by evaluating problem-solving alternatives in a participatory process. Poor communities cannot afford to do without planning. IDP assists a municipality in allocating its scarce resources in a focused and sustainable way.

- Integrated development planning is a vehicle to fast-track delivery.
 

The integrated development planning process puts in place a systematic and consultative process that:

  - ensures a well informed, speedy, but sustainable decision-making process;
  - minimises delays due to conflicts and non-acceptance during the implementation process;
  - ensures the effective and efficient management and utilisation of financial and human resources in support of implementation; and
  - lessens situations where funds allocated for service provisions cannot be used in time due to a shortage of professionally sound and approved project proposals.
- Integrated development planning is a barometer for political accountability and a yardstick for municipal performance.

The IDP is tied to a political term of office, therefore:

- a municipal council and councillors can be held accountable for its implementation;
- communities may use the IDP as a yardstick to measure the performance of politicians; and
- councillors may use it as a way of measuring the effectiveness and efficiency of the administration and to give effect to their political mandates.

Local government will constantly be challenged to motivate development decisions in the context of limited resources. The integrated development planning process should provide the local authority with a clear, objective and rational framework to guide development decisions and to create a basis from which to measure the performance of the municipality.

### iii. Fostering co-operative governance

- Integrated development planning is a mechanism for alignment and co-ordination between spheres of government.

IDPs are vital tools to ensure the integration of local government activities with other spheres of development planning at provincial, national and international levels, by serving as a basis for communication and interaction.

- Integrated development planning is a mechanism for alignment and co-ordination within spheres of government.

Within the municipality the IDP plays the role of providing a basis for engagement between officials, councillors, citizens and other stakeholders. Since this engagement is focused around practical concerns such as budget allocation, it should do far more than provide a talk-shop. In the longer term this engagement should promote more strongly networked localities, and also the building of alliances that would make the new definition of “municipality” in the Municipal Systems Bill a reality.

IDPs serve as a basis for engagement between local government and citizens at local level, and with various stakeholders and interest groups. Participatory and accountable government only has meaning if it is related to concrete issues, plans and resource allocations.

### 3. CONSIDERATION OF EXISTING NATIONAL POLICY GUIDELINES AND PRINCIPLES IN INTEGRATED DEVELOPMENT PLANNING

#### 3.1 WHAT THE WHITE PAPER SAYS

The **WPLG**, in section B on “developmental local government”, states all national development policy guidelines that are of particular relevance for local government. They are largely based on the constitution and on fundamental national policy frameworks such as the Reconstruction and Development Programme (RDP) and Growth, Employment and Redistribution strategy (GEAR). They form the **normative framework** for the **contents** of IDPs. These development policy guidelines and principles can be summarised as follows:

- Orientation towards people’s needs.
- Poverty alleviation with special consideration of marginalised and disadvantaged groups and gender equity.
- Environmentally sustainable development and a safe and healthy environment.
- Economic growth with creation of income and employment opportunities.
- Involvement of residents, communities and stakeholders.
- Sustainability of services, municipalities and settlements.

#### 3.2 WHAT THE DEVELOPMENT FACILITATION ACT SAYS

The DFA, which is explicitly referred to in the WPLG, adds some specific spatial development principles such as:

- integrated and liveable settlements;
- compact towns and cities (instead of urban sprawl);
- maximum use of existing infrastructure and services (rather than duplication); and
- equal consideration of formal and informal settlements.

As integrated development planning contributes to social and economic development, it must take these principles into consideration.

#### 3.3 INTEGRATED DEVELOPMENT PLANNING EXPERIENCE TO DATE

Most **IDPs developed in 1998/99 did not reflect these guidelines and principles**, nor any other explicit normative points of reference. Aspects like social differentiation (e.g. disadvantaged groups or gender differentiation), affordability and sustainability were frequently not addressed at all. There seemed to be a lack of knowledge on how to consider such policy guidelines and principles, in the planning process.

### 3.4 INCORPORATING NATIONAL POLICY GUIDELINES AND PRINCIPLES

Without going into procedural and methodological detail, these policy guidelines can provide some general guidance and direction on **ways and means of considering national development policy guidelines and principles** in municipal integrated planning.

- The principle of *basic needs orientation* has to be considered in the integrated development planning approach by:
  - identification of service gaps for basic services as part of the analysis;
  - differentiation of priority needs assessed during the public participation phase by social strata, gender and location, and classification of needs as basic or non-basic;
  - making sure that a basic needs orientation is reflected in the objectives; and
  - making sure that strategies are explicit with regard to the proposed ways of catering for basic needs-related services.

In other words: IDPs have to give explicit answers about the degree to which, and how, they intend to improve basic needs satisfaction.

- The policy guidelines of *poverty alleviation* and *gender equity* have to be considered by:
  - including socio-economic and gender-specific differentiation of problems, needs and potential as part of the analysis;
  - identifying poverty groups and other specific problem groups in the analysis;
  - encouraging the participation of poverty groups, special problem groups, women, youth etc., in the public participation process through legitimate representatives, advocates or competent resource persons;
  - setting target group specific objectives, and by making sure that these objectives do address major poverty issues, issues of crucial problem groups and crucial gender imbalances;
  - assessing alternative strategies by considering their impact on poverty alleviation and gender equity;
  - considering poverty and gender issues when designing project proposals (costs, location, accessibility etc.); and
  - designing the system of rates and tariffs in a gender and poverty sensitive manner.

IDPs, consequently, have to give an explicit answers on the expected contribution to poverty alleviation, gender equity and crucial concerns of specific problem groups, and on how the municipality intends to address those issues.

- The principles of *environmental soundness and sustainability* have to be incorporated by:
  - identification of environmental degradation and risks during the analysis;
  - involvement of competent stakeholders and/or resource persons in charge of environmental concerns in the public participation process;
  - making sure that major environmental problems and threats are reflected in the objectives;
  - assessing alternative strategies by considering their environmental impact; and
  - considering environmental aspects when designing project proposals.

In short, IDPs have to give an explicit answer on how the municipality will deal with environmental problems and avoid negative environmental impact.

- The policy guidelines related to *promotion of economic growth, income and employment generation* have to be considered by:
  - an analysis of economic structures, trends and potentials during the analysis, at least in category A and C municipalities (for smaller category B municipalities this task may be too ambitious);
  - involving the business community (including informal sector representatives) in the public participation process;
  - making sure that each municipality establishes an employment generation/LED strategy as part of its IDP (category B municipalities may be given guidance through joint district-level strategy workshops to comply with this task);
  - deciding on measures for improving the institutional framework for private investment and for informal sector activities; and
  - deciding on areas for municipal service partnerships and on measures to promote such partnerships.

In other words: IDPs have to include an LED promotion strategy.

- The principle of *involvement of residents, communities and stakeholders* in all municipal processes will be dealt with in detail in chapter 9 of this policy framework.
- The principle of *sustainability of services, settlements and municipalities* has to be addressed by:
  - analysing cost-coverage rates for various services and problems and potential related to administrative efficiency and effectiveness of service delivery during the analysis;
  - addressing issues related to financial sustainability and cost-effectiveness and payment for services during the public participation process;
  - drafting objectives that take sustainability into consideration;
  - deciding on alternative strategies on the basis of sustainability-related criteria; and
  - considering financial sustainability when designing project proposals (service standards, etc.).

In short: IDPs must avoid the compilation of mere wish lists, and must be explicit on how the municipality will make services as cost-effective as possible, and thereby affordable and sustainable.

- *The DFA principles of integrated, liveable and compact towns and cities and of equal consideration of formal and informal settlements* have to be addressed in IDPs by:
  - identifying problems and dynamics in the spatial system and the settlement patterns during the analysis;
  - defining spatial development objectives and related spatial development strategies for the municipality;
  - deciding on alternative locational options based on consideration of the DFA principles; and
  - defining the land-use management tools to be applied to influence the spatial pattern in line with the DFA principles.

In other words: IDPs have to include spatial considerations and have to be explicit on how to promote development in line with basic spatial development principles as outlined in the DFA.

Only by considering these national development policy principles and guidelines, can IDPs become a useful tool for sustainable municipal development that addresses the most urgent needs (through explicit consideration of the basic needs of the poor) on the basis of utilising economic potential and of increasing cost-effectiveness.

## 4. IMPLICATIONS OF MUNICIPAL INTEGRATED DEVELOPMENT PLANNING FOR AN INTER-GOVERNMENTAL SYSTEM OF DEVELOPMENT PLANNING

### 4.1 EXISTING LEGAL AND POLICY FRAMEWORK

The **constitution** wants “*distinct, but interdependent spheres*” of government. This implies that each sphere is in charge of planning for the activities that are its responsibility, but that at the same time these activities, and the corresponding plans by which they are guided, have to be aligned to one another.

The **WPLG** becomes more explicit on the distribution of roles and responsibilities, as well as on the way they should be interrelated. It requires a *mutual alignment*, rather than a one-directional top-down or bottom-up alignment. In this alignment process, local level planning has to be informed by national and/or provincial policies, principles, strategies and standards, but the programmes of the other spheres of government must be integrated and co-ordinated at the local level with due consideration for local needs, priorities and resources. This applies to sectoral programmes as well as to multi-sectoral strategies. While the WPLG thus provides a clear framework for inter-governmental interrelations, it is not very specific in saying what this means for the system of development planning.

The **MSB** (draft 13-4-2000) does not go much further, saying that “the planning undertaken by a municipality must be aligned with, and complement, the development plans and strategies of other affected municipalities, organs of state of the province within which the municipality is located, and national organs of state ...” It does not specify how this alignment (which can only be seen as a mutual process, given the participatory process of planning required by the MSB) is to be achieved. It tends to put the responsibility for alignment on the municipality, by asking it to adjust its plan if it is not aligned with development plans and strategies of other organs of state.

### 4.2 EXPERIENCE TO DATE

Taking the distribution of government revenue between the spheres of government into account, IDPs can only become powerful tools for developmental local government and for the required integration and co-ordination of all government programmes within their jurisdiction, if there is:

- a significantly increased degree of fiscal decentralisation which would give IDPs more power to influence delivery, and/or
- a well-designed and enforced inter-governmental planning system which would give IDPs more influence on the way other spheres of government (including sector departments) spend their funds within municipalities.

*If both prerequisites are missing, IDPs will be a toothless tool and a useless exercise with little relevance for delivery and little appreciation at local level.*

There is another problem, closely related to the absence of fiscal decentralisation and/or an inter-governmental planning system. As long as the implementation of IDPs depends on undefined ways of providing funds for implementation of proposed projects, the incentive system for local councils will contradict the rules of strategic planning. Rather than looking for the most cost-effective solutions and making strategic choices for the best use of limited resources, councils tend to submit lengthy wish-lists because the system requires you to ask for double what you really need in order to get anything at all. This incentive system discourages any attempts at making best use of scarce resources.

### 4.3 PRINCIPLES OF AN INTER-GOVERNMENTAL PLANNING SYSTEM

1. National development guidelines and principles have to inform development planning in all spheres.
2. Each sphere has its own distinct developmental tasks and related planning tasks corresponding to the scale of operations and the area of jurisdiction.
3. The needs, priorities and resources of municipal residents and the local conditions must inform developmental activities at local level. Consequently, they will have to inform the planning processes of all spheres of government and all sectors as far as these are in charge of implementing or financing projects at local level.
4. Municipal integrated development planning as a tool to integrate and co-ordinate implementation in terms of geographical space and time has to inform, and be informed by, the planning of other spheres of government, including sectoral/departmental planning of line agencies.
5. The necessary mutual alignment between national principles/guidelines, sectoral planning requirements (standards, provincial strategies) and local needs, conditions and resources, must be accomplished by the “*counter currency principle*”. According to this principle, decisions at different levels/of different spheres of government have to inform one another mutually, and be mutually binding. For example, local government has to participate in the decision-making processes of the national or provincial spheres whenever their decisions are likely to affect the local sphere. The decisions are binding on the local level and the national or provincial sphere will have to advise the local sphere on how these decisions are to be incorporated into local decisions. Such local decisions will then be checked for compliance with national/provincial decisions, by organs of the provincial/national sphere in which the local sphere has to be represented.

These principles reflect a synthesis between top-down and bottom-up planning philosophies.

### 4.4 GUIDELINES FOR THE DISTRIBUTION OF ROLES AND RESPONSIBILITIES

- i. The national sphere should provide:
  - A *framework* for sectoral, provincial and municipal planning to ensure orientation towards:
    - a normative framework consisting of common policy guidelines and principles;
    - general strategic guidelines with regard to sectoral strategies (focal sectors); and
    - spatial macro-strategies (focal locations).
  - *Co-ordination and prioritisation* of programmes and budgets between sectors and spheres in line with the framework.

From the perspective of municipal integrated development planning, there is no need for an overall multi-sectoral national development plan. But there may be national sector investment strategies, with objectives and targets for public investment and services of national and provincial departments.

- ii. The **provincial sphere** should provide:
  - a *more specific framework*, i.e. a joint point of reference for all sector departments and all municipalities consisting of:
    - a *provincial development strategy* with mid-term *objectives and targets for public investment and services* within a province (including a mid-term financial framework for investment and regionally adjusted minimum standards and norms) and with provincial-scale projects and programmes; and
    - a spatial macro-framework for all sectors and municipalities.

The provincial framework may include specifications of the national legislative framework related to certain well-defined minimum requirements that reflect regional conditions.



- *Co-ordination* of sectoral programmes and of district programmes as well as *alignment* between municipal planning and sectoral planning.
- iii. The **local government sphere** has to elaborate a 5-year *IDP* as part of an integrated system of planning and delivery, which serves as a frame for all development activities within the municipal area and which accordingly informs:
- the annual budget of the municipality;
  - the budgets and investment programmes of all sector departments (national and provincial) which implement projects or provide services within the municipality;
  - the business plans of the municipality;
  - land-use management decisions;
  - economic promotion measures;
  - the local authority's organisational set-up and management systems; and
  - the monitoring and performance management system.

Consequently, the *sphere of local government is the major arena of development planning*. In the local arena people's needs and priorities and local conditions have to be linked, with national guidelines and sectoral considerations, to specific projects and programmes.

#### 4.5 GUIDELINES FOR LINKAGES BETWEEN THE SPHERES OF GOVERNMENT AND BETWEEN MUNICIPAL AND SECTORAL PLANNING

The linkages should follow the principle of *mutual information flow* and *checks and balances* (counter-currency principle) between the spheres, rather than a one-way information line. The system of linkages must consist of the following components:

- i. National and provincial (sectoral) frameworks with involvement of representatives from the other two spheres of government. These frameworks (including legal planning requirements of the various sectors) inform municipal planning.
- ii. Relevant subject matter specialists from sector departments (provincial and national) to provide technical guidance and/or initiate relevant studies for the integrated development planning process. The necessary consultation link between local municipalities and representatives from provincial and national levels will be arranged at the district/regional level.
- iii. IDPs (with attached sector specific plans according to requirements) will be submitted to the provincial MEC for local government for assessment. The assessment process is to fulfil three different functions:
  - checking compliance with legal requirements and crucial policy guidelines;
  - providing professional feedback related to methodological quality standards of the planning process and the IDP document (as part of a learning process); and
  - assessment of the feasibility and viability of the proposed projects and programmes by an alignment committee composed of representatives of provincial and national departments (based on written comments).

The provincial MEC may delegate these assessment and alignment functions to sub-committees at district/regional level.

iv. The provincial MEC for Local Government (with the support of the alignment committee) should give feedback to the municipalities on IDPs with regard to:

- compliance with legal and policy requirements;
- methodological aspects of the planning document;
- feasibility and viability of the proposed projects or programmes; and
- decisions made with regard to incorporation of proposals in provincial/national sectoral budgets.

The results of this alignment process should inform the plans/budgets of the provincial and national sector departments involved.

v. Sector departments (provincial/national) will finance and/or implement projects/programmes in or with the municipalities, in line with their commitments and according to the agreed distribution of roles and responsibilities.

It is up to provincial regulations to determine which of these interactions is carried out through written communications and which require joint meetings. This should be done in the spirit of keeping co-ordination efforts on a manageable level.

This planning system will ensure that municipal planning and sectoral planning are:

- informed by the same legal and policy frameworks and macro-strategies;
- mutually inform each other; and
- inform budgets and business plans of municipalities and of provincial and national departments.

## 5. ALIGNING MUNICIPAL SECTOR PLANNING AND INTEGRATED DEVELOPMENT PLANNING

### 5.1 EXISTING LEGAL AND POLICY FRAMEWORK

The *MSB* states that development strategies must be aligned with national or provincial sectoral plans and planning requirements. It also establishes that a single, inclusive and strategic plan must be adopted which links, integrates and coordinates plans.

*National sector legislation* contains various kinds of requirements for municipalities to undertake planning. Sector requirements vary in nature in the following way:

- (a) Legal requirements for the formulation of a discrete sector plan (such as water services development plans).
- (b) A legal compliance requirement (such as the NEMA and DFA principles).
- (c) A requirement that planning be undertaken as a component of, or part of, the IDP (like housing strategies and targets).
- (d) More a recommendation, than a requirement, which is deemed to add value to the municipal planning process and product (like Local Agenda 21).

The following table summarises the requirements using this categorisation:

Category of requirement	Sector requirement
Requirement for a distinct plan	Water services development plan (WSDP), integrated transport plan (ITP), integrated waste management plan (IWMP), Land Development Objectives (LDOs) --to be replaced by spatial planning requirements as part of IDP.
Requirement for sector planning to be incorporated into IDP	Housing strategies and targets, coastal management issues, LED strategies, integrated infrastructure planning, spatial framework, integrated energy plans (IEPs).
Requirement that IDP complies	NEMA principles, DFA principles, EIPs and EMPs.
Value adding contribution	Local Agenda 21.

### 5.2 EXPERIENCE TO DATE

Municipalities were confused about how to accommodate the multiple legal requirements in procedural and substantive terms. Very few municipalities attempted alignment between water services development planning and integrated development planning, for example. Those that did, found it extremely difficult. Secondly and more generally, in addition to difficulties arising from legal requirements for sector planning, sectoral integration was not achieved. In some places it was attempted but old practice and lack of appropriate inter-sectoral procedures complicated the task. In addition, insufficient project definition prior to the completion of the IDPs meant that most municipalities never got to the point of dealing with projects in a multi-sectoral way.

### 5.3 THE APPROACH TO FORMULATING ALIGNMENT GUIDELINES

#### i. The intention of sector alignment

The approach to sector alignment is intended to be a practical guide for municipalities to fulfil the range of planning requirements imposed by national government sector departments. The approach does not address the multiple legal requirements themselves – being a methodological guide, as opposed to recommendations for legal rationalisation, it cannot. It works within the existing legal parameters and proposes ways and means that municipalities can simplify their planning processes, while still conforming to the legal requirements. The approach to alignment is intended to create links and dialogue between the IDP and sector planning processes.

#### ii. Responding to the diverse status of requirements

Sector requirements in national legislation vary in status. For example at the time of writing:

- The Department of Land Affairs had not yet finalised a White Paper on Development and Planning or a national spatial planning law. Another example is that while the Department is clear that land reform planning needs to be incorporated into the IDP process, there was not yet policy clarity on planning for land reform.
- The Department of Water Affairs and Forestry has final legislation, policy guidelines, local government support instruments such as manuals and implementation experience. Accordingly, the approach to aligning water services development plans and IDPs is relatively well developed.
- The Department of Environmental Affairs and Tourism's requirements for conformity with EIPs and EMPs had not yet had the benefit of implementation experience. The local government impact was therefore unclear. Another example is that some of the sub-sector planning requirements are still the subject of an unfolding legislative process, such as oil spill contingency plans.

#### iii. The scope and application of requirements

The sector requirements incorporated within the approach are national in scope. Provincial requirements have not been addressed. The requirements of six national departments were assessed for alignment namely:

- The Department of Water Affairs and Forestry.
- The Department of Transport.
- The Department of Environmental Affairs and Tourism.
- The Department of Housing.
- The Department of Land Affairs.
- The Department of Provincial and Local Government.

However, the guidelines are sufficiently broad and inclusive of departments with significant requirements as to be adequate. Municipalities could apply the approach proposed to whatever sectors emerge as significant in the local priorities, as well as for sectors with requirements for the production of a plan. To aid in this application, municipalities may want to consider a broad, two-fold differentiation of sectors:

- (a) Firstly, those sectors that are delivery, output or target focused (such as water, housing or infrastructure).
- (b) Secondly, those that are more process and principle orientated (such as environment and spatial planning).

#### iv. The focus of alignment

The guidelines for alignment adopt as their focus aligning the planning processes within the municipal sphere of government i.e. alignment between sectors at local government level (although the requirements themselves have originated in national policy and law). This means that the approach does not directly address alignment within sectors between spheres of government, although reference is made to when such co-ordination is required for the aligned sector/IDP planning processes. In other words, aligning water, transport or housing planning with the IDP process falls within the focus, while housing sector alignment between local and provincial government does not. Although provision of information on the availability of housing subsidies is required in the IDP process, indicating a need for aligning provincial multi-year housing plans with the housing targets incorporated in the IDP. Intra-sectoral communication is assumed to be the responsibility of sectors themselves, rather than of the IDP process, although an aligned IDP process will greatly assist in this regard.

#### v. The need for strategic and implementable IDPs

An IDP has to include a *considerable degree of technical and organisation detail* in order to ensure:

- a truly *participatory* approach which means involving residents/potential users in decisions about location, standards, responsibilities and costs, rather than leaving such crucial decisions to technicians of line agencies;
- *strategic* planning, part of which is making technological and institutional choices which relate to aspects such as cost-effectiveness, satisfaction of basic needs, poverty alleviation, gender impact, environmental impact and other developmental principles;
- that the plan can actually *inform the budget* and help speed up and *improve implementation*, which means specifying quantity, quality, timing, costs and responsibilities;
- *multi-sectoral integration and co-ordination* which requires that project and programme proposals elaborated by technical teams have to be presented to the overall IDP committee for discussion and amendment to ensure co-ordination and compliance with overall objectives and strategies; and
- that the plan can form a suitable basis for *performance management* – an IDP has to be more than a macro-strategy framework for detailed sectoral and technical plans.

On the other hand, there are some *pragmatic considerations* that need to be taken into account:

##### – *Time frames*

Not each project can be designed with the same degree of detail within a given period.

##### – *Volume of planning documents*

Integrated development planning documents should not be too long. The plans should be user-friendly documents for multi-sectoral management and monitoring. They should serve as a political reference documents to be used by municipal managers, councillors, and an informed and interested public, rather than by sector specialists.

An IDP, therefore, should include a short overview of all projects and programmes with:

- targets and indicators;
- major activities;
- timing; and
- costs and budget.

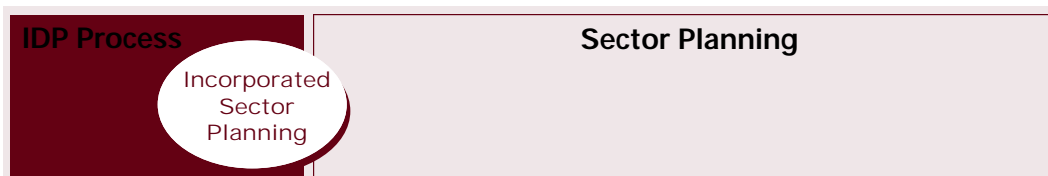
## 5.4 GUIDELINES FOR ALIGNING MUNICIPAL SECTOR PLANNING AND INTEGRATED DEVELOPMENT PLANNING

### i. Relevance and municipal priorities

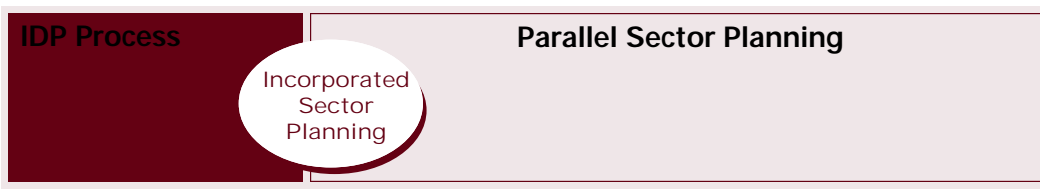
Attempts to align sector requirements and the integrated development planning process are bound to come up against the tension between fulfilling legal requirements and promoting local priorities. However, this tension can be overcome and a compromise reached by applying the concepts of “relevance”, “aligned and incorporated” and “aligned and parallel”.

The manner in which alignment is addressed in a municipality depends on the relevance of the sector in that municipal context. Relevance is about the extent to which a particular sector features as an element, or as elements, of multi-sectoral IDP priorities and IDP projects. If a sector, or aspects of a sector, are related to priorities or projects, then the sector will be incorporated into the integrated development planning process. In this case, if there are legal requirements for municipal planning in relation to the sector, then these requirements could be undertaken as part of the IDP process. However, if a sector, or aspects of a sector, for which there are municipal planning requirements does not emerge in relation to the priorities and projects, then a parallel sector planning process will need to be organised and managed for those aspects of the sector which fall outside of the IDP process. These cases are summarised in the following diagram.

#### CASE A



#### CASE B



### ii. Alignment phase by phase

The following table provides an indication of how sector alignment could occur in each phase of the IDP process. (This is addressed in greater detail in Guide 3).

	For sectors in general	For water, transport and waste management
Phase I: Analysis	In-depth analysis of priority issues – sectoral analysis where relevant to IDP priorities	In-depth analysis of priority issues – incorporation of aspects of sector information and analysis requirements where appropriate to IDP priorities; agreement to parallel process where all requirements are not relevant to in-depth analysis of IDP priorities
Phase II: Strategies		
Phase III: Projects	Involvement of relevant sector expertise in design of project proposals	Drafting of WSDP, ITP and IWMP based on IDP projects, parallel process for additional plan requirements not covered by IDP priorities and projects
Phase IV: Integration	Integrated sector programmes	Integrated sector programmes

### iii. Keeping abreast with change

Municipalities need to be aware of the different status of requirements, conform to those that are final and incorporate those that arise as significant in the local planning process. It will be necessary to keep abreast of unfolding legal and policy processes that finalise some requirements which were being developed at the time of drafting this manual.

## 6. ROLES AND RESPONSIBILITIES OF DISTRICT AND LOCAL MUNICIPALITIES

### 6.1 EXISTING LEGAL AND POLICY FRAMEWORK

The present *legislation* requires District Councils and Local Municipal Councils to do integrated development planning. According to the Municipal Structures Act Amendment Act, a district municipality is responsible for integrated development planning for the district municipality as a whole, including a framework for integrated development plans of all municipalities in the area of the district municipality. The Municipal Structures Act further states that this framework binds both the district municipality and the local municipalities in the area of the district municipality.

This district IDP Framework must at least:

- identify the plans and planning requirements binding in terms of national and provincial legislation on the district municipality and the local municipalities;
- identify all matters that must be included in the district IDP and local IDPs and that require alignment;
- specify the principles to be applied and the approach to be adopted in respect of those matters; and
- determine procedures for consultation between the district and local municipalities in the process of drafting their respective IDPs as well as procedures to effect changes to the framework.

These legal requirements have to be seen in the context of the results of *demarcation* which imply a fundamental change in the relationship between district councils and local councils. While in the past each of them was, by and large, in charge of different geographical areas (local municipalities for the towns, district councils for the rural areas), in future they will share responsibilities for the same areas, due to the establishment of wall-to-wall municipalities. Local planning and district planning will differ by geographical scale rather than by location. As a consequence, relations between District Councils and Local Municipal Councils will have to change fundamentally. The interrelations will have to intensify.

### 6.2 EXPERIENCE TO DATE

While it is clear that district planning and planning of local municipalities have to inform each other, the legislation is far from clear on how they should be aligned with one another. Consequently, there is a need for clarification if confusion is to be avoided when the newly elected councils get involved in integrated development planning.

As the relationship between the capacities of local and district municipalities differs widely from place to place, the guidelines have to be somewhat flexible, but at the same time they have to ensure that a new type of relationship between district and local councils is established which is in line with the new distribution of roles after demarcation.

### 6.3 PRINCIPLES FOR DISTRIBUTION OF ROLES AND RESPONSIBILITIES

There are four crucial **criteria** to be taken into account for an appropriate distribution of roles between the two tiers of local government. The tension between planning at the scale that is closest to the people and achieving optimal use of capacity and resources in an environment with severely limited capacity and resources is summarised in the four criteria listed below:

#### i. Closeness to people and places

Appropriate planning has to take the realities and needs of the people and the conditions of different locations into account. The scale at which district-level planning in South Africa will have to take place (areas with close to a million people and more than 10 000 km<sup>2</sup> on average) is too large for that type of local level planning.

#### ii. Capacities and costs

Many local municipalities face serious capacity constraints. Therefore, it may be useful to allocate certain challenging tasks, which require scarce resources, to a higher level rather than trying to provide such scarce and expensive resources in each small place.

#### iii. Link to management of delivery and institutional transformation

Planning decisions have to be transformed into budgets and business plans by those charged with implementation. The planning process is also meant to influence the management of implementation. Since this link is crucial for improved delivery, local municipalities have to be involved in planning their projects and programmes.

#### iv. Co-ordination

The district level will be the forum where inter-local co-ordination and co-ordination between local municipalities and provincial/national sector departments will have to take place.

### 6.4 GUIDELINES FOR THE DISTRIBUTION OF ROLES AND RESPONSIBILITIES ACCORDING TO PLANNING PHASES

The synchronisation of planning activities between district and local municipalities is essential to ensure that the planning activities occur and outputs are available more or less simultaneously so that the joint and complimentary responsibilities of the municipalities can be undertaken for all and by all responsible, at the same time. This approach will avoid duplication of the required joint processes and maximise the use of limited human resource capacities. It will also ensure consultation between the local and district municipalities and over decision that effect and are binding on both.

The distribution of key roles and responsibilities for the district and local municipalities in the planning phases are outlined in the table below.



Planning Phase	At Local Level	At District Level
<b>Analysis</b>	<p>To:</p> <ul style="list-style-type: none"> <li>Determine local issues, problems, potentials and priorities.</li> </ul>	<p>To:</p> <ul style="list-style-type: none"> <li>Determine district scale issues, problems, potentials and priorities.</li> <li>Consolidated the analysis results of the district and local municipalities and define common priority issues.</li> </ul>
<b>Strategies</b>	<p>To:</p> <ul style="list-style-type: none"> <li>Define a local vision and set of objectives.</li> <li>Participate in district level strategy workshop.</li> <li>Determine local strategies per priority issue on the basis of the district level analysis.</li> </ul>	<p>To:</p> <ul style="list-style-type: none"> <li>Define a district vision and set of objectives.</li> <li>Provide an event for a joint strategy workshop with local municipalities and provincial and national role-players thereby providing an organisational framework for aligning strategies.</li> <li>Determine cross-boundary and district strategies per priority issue.</li> </ul>
<b>Projects</b>	<p>To:</p> <ul style="list-style-type: none"> <li>Design local council projects per strategy.</li> </ul>	<p>To:</p> <ul style="list-style-type: none"> <li>Design district council projects per strategy.</li> </ul>
<b>Integration</b>	<p>To:</p> <ul style="list-style-type: none"> <li>Compile a set of local Integrated Programmes for managing implementation.</li> </ul>	<p>To:</p> <ul style="list-style-type: none"> <li>Compile a set of district Integrated Programmes for managing implementation.</li> <li>Align and assess the Capital Investment and Implementation programmes of local and district municipalities.</li> </ul>
<b>Approval</b>	<p>To:</p> <ul style="list-style-type: none"> <li>Ensure that the IDP is adopted by the Local Council.</li> </ul>	<p>To:</p> <ul style="list-style-type: none"> <li>Ensure that the IDP is adopted by the District Council.</li> <li>Align the IDPs of the municipalities in the district council area and with the other spheres of government.</li> </ul>

<sup>1</sup>Distribution of roles and responsibilities between local and district municipalities.

## 7. ORGANISATIONAL ARRANGEMENTS FOR INTEGRATED DEVELOPMENT PLANNING

### 7.1 EXISTING LEGAL AND POLICY FRAMEWORK

The **WPLG** emphasises the need for transformation of the municipal administrative system without proposing any specific organisational arrangements. Considering the diversity of conditions, it is left to the municipalities to develop an institutional plan that proposes appropriate arrangements. Specifically, with regard to the development of an IDP, the WPLG stresses that this process should not be “farmed out” to consultants, but should “be managed within municipalities to provide a way of enhancing the strategic planning capacity of the administration, building organisational partnerships between management and labour, and enhancing synergy between line functions” (WPLG, p.28).

While the WPLG requires integrated development planning to be managed within a municipality without saying by whom, the **MSB** is slightly more specific. It states that the Executive Committee of the municipal council (or the Executive Mayor, or – in absence of both – an appointed committee or councillors) must manage the drafting of an IDP and assign responsibilities in this regard to the municipal manager.

The spirit of the political and legal framework is quite clear: IDPs should be an intense part of municipal management and of an integrated system of planning and delivery. The full responsibility is within the municipality and its organs.

## 7.2 EXPERIENCE TO DATE

Most municipalities outsourced their IDPs and handled them as tasks quite separate from their usual municipal management process. The municipal administration, or the councillors, or both, were not involved in the process.

This way of handling the planning task was partly a result of confusion regarding the exact nature of the roles and responsibility of municipalities. Furthermore, many municipalities were concerned about the challenge of drafting IDPs on their own, which would have exceeded their capacities in terms of time and professional qualifications. The confusion was related to the lack of a clear definition and separation of the tasks of:

- managing a planning process, and
- providing professional planning and facilitation services.

While rejecting the unrealistic expectation that they become development planners, most municipal managers also avoided coping with the realistic challenge of managing planners, and organising the planning process.

## 7.3 PRINCIPLES FOR ROLE DISTRIBUTION

The distribution of roles and responsibilities within a municipal planning process has to be guided by democratic principles on the one hand, and by the guideline of aiming at an integrated system of planning and delivery on the other.

The new democracy in South Africa represents a synthesis between the system of a representative democracy, where elected bodies like councils have to decide or to finally approve decisions, and a corporatist, negotiating type of democracy, where decisions are arrived at through public discussion and processes of negotiation. For the integrated development planning process, this understanding of democracy means that:

- the process is not just a planning process within municipal government, but a forum for discussions and negotiations of various municipal stakeholders, and
- the final decision and the accountability is with the municipal council as the elected body answerable to the public on the utilisation of public resources.

The establishment of an integrated system of planning and delivery (or planning and implementation management) requires the full involvement of those in charge of municipal management in the planning process.

For the integrated development planning process, this implies that:

- the process has to be managed by somebody from within the municipal government, acting on behalf of the Municipal Manager (CEO), who has been assigned the powers to get all relevant actors from within municipal government on board, and
- there has to be a special multi-sectoral IDP committee or task team which has to include all municipal heads of department and at least those councillors sitting in the Executive Committee as a basis for institutional transformation within the municipal administration.

Unless these prerequisites are fulfilled, integrated development planning has little chance of becoming a useful tool for democratic and developmental local government.

## 7.4 GUIDELINES FOR THE DISTRIBUTION OF ROLES AND RESPONSIBILITIES

The actual distribution of roles and responsibilities may vary between different categories and types of municipalities, according to the available human and institutional resources. As long as they are in line with the principles, allocations of roles and responsibilities to various role-players may differ slightly. Nevertheless, the proposed role distribution will serve as a guide for the majority of category B municipalities.

Role-players	Roles and Responsibilities
<b>Municipal Council</b>	Final <b>decision-making/approval</b> of IDPs Monitoring
<b>Councillors</b>	<b>Linking</b> integrated development planning process to their constituencies/wards Organising public participation
<b>Executive Committee or Executive Mayor/Municipal Manager/CEO</b>	<b>Decide on planning process:</b> nominate persons in charge; monitor planning process <b>Overall management and co-ordination</b> responsibility (to make sure that all relevant actors are involved)
<b>IDP Manager</b> <i>(nominated chairperson of IDP committee)</i> – from within municipality – adequate time allocation	<b>Day-to-day management</b> of the drafting process on behalf of the Municipal Manager  (to ensure a properly managed and organised planning process)
<b>IDP Committee/Task Team</b> (with special sub-committees) <i>composed of:</i> – <i>councillors</i> – <i>officials</i> – <i>selected public representatives</i>	<b>Elaboration/discussion of contents of the IDP</b> – providing inputs related to the various planning steps – summarising/digesting/processing inputs from the participation process – discussion/commenting on inputs from consultants or other specialists – deciding on drafts
<b>Planning professionals/facilitators</b> <i>They may be from the municipal administration or contracted according to availability</i>	<b>Methodological guidance/facilitation of planning workshops/documentation/special studies</b>  Planning professionals may take over the role of a "secretary" of the IDP Committee/Task Team
<b>Municipal officials</b> (technical officers, heads of departments)	Providing technical/sector expertise and information Preparing draft project proposals
<b>"Civil Society"</b> – stakeholders – communities	<b>Representing interests and contributing knowledge and ideas</b>  (see Section 8 on "Public Participation")

## 8. PLANNING APPROACH AND METHODOLOGY

### 8.1 LEGAL AND POLICY REQUIREMENTS

According to the **WPLG**, the integrated development planning approach is to help municipalities fulfil their developmental mandate by:

- helping them to *understand* the various *dynamics* operating within their area;
- requesting them to agree on a joint, concrete *vision* for the area;
- enabling them to develop *strategies* for realising that vision in partnership with other stakeholders;
- enabling them to align their *financial and institutional resources behind* agreed policy *objectives* and programmes;
- ensuring the *integration* of local government activities *with other* spheres of development planning, by serving as a basis for integration and interaction;
- serving as a basis for engagement between local government and *citizens; and*
- enabling municipalities to systematically *prioritise* programmes and resource allocations.

In short: integrated development planning needs to be a consultative, analytical, strategic and objectives-oriented approach of decision-making on issues related to municipal development. The WPLG proposes concrete planning steps for the process:

- An assessment of the current social, economic and environmental reality in the municipal area – the *current reality*.
- A determination of *community needs* through close consultation.
- Developing a *vision* for development in the area.
- An *audit* of available *resources*, skills and capacities.
- A *prioritisation* of these needs in order of urgency and long-term importance.
- The development of *integrated frameworks and goals* to meet these needs.
- The formulation of *strategies* to achieve the goals within specific time frames.
- The implementation of *projects and programmes* to achieve key goals.
- The use of *monitoring tools* to measure impact and performance.

The WPLG is less clear on the “product” of the process, and on the nature of the integrated development planning document(s):

*“While the idea behind IDPs is to build up a comprehensive integrated plan, municipalities cannot plan everything in detail in the first year. Rather, IDPs should empower municipalities to prioritise and strategically focus their activities and resources. An attempt to plan too comprehensively may result in unrealistic plans that lack the human and financial resources for implementation.”*

The question of how comprehensive and how detailed the outcome of the integrated development planning process should be, is still to be answered.

The *MSB* defines the legal minimum requirements with regard to the contents or “core components” of an IDP which include (by and large in line with the steps suggested by the WPLG):

- a vision (internal and external);
- an assessment of the existing levels of development;
- development priorities;
- development objectives;

- development strategies;
- a spatial development framework;
- operational strategies;
- disaster management plans;
- a financial plan (including a 3-year budget projection); and
- KPIs and performance targets.

This list of contents provides clear indications on the design of the integrated development planning process.

## 8.2 EXPERIENCES TO DATE

Most municipalities and their planning consultants found it difficult to cope with the various methodological challenges related to the requirements of the WPLG and the MSB:

- Most found it difficult to organise public participation processes in an appropriate manner.
- Many municipalities spent most of their planning funds on comprehensive, unfocused approaches of situation analysis (usually misguided by provincial regulations which prescribed the contents of such analysis in detail) which were not helpful for understanding the dynamics in the area.
- Most planners found it difficult to relate the results of data-based analysis and of participatory needs analysis to each other.
- Hardly any municipalities managed to cope with drafting development strategies, making strategic choices, prioritising systematically and answering the HOW-questions.
- Most IDPs are not concrete enough to guide implementation and are far from being a useful management tool.

Most of the challenges were new. Appropriate training and support systems were not yet in place. The IDP Manual, which tried to assist municipalities to cope with the new challenges with a very detailed step-by-step, and tool-by-tool approach, turned out to be too complicated. It tended to encourage a mechanistic approach that discouraged a broad and open strategic discussion process on the “real issues” and the most appropriate ways and means of dealing with them.

In short: Most municipalities and their planning consultants have not yet found appropriate ways to cope with the new challenge of combining the approaches of participatory, strategic and implementation-oriented project planning. The available guidelines did not give an adequate answer to this crucial question.

## 8.3 PRINCIPLES FOR THE PLANNING APPROACH

In line with the WPLG and the MSB, the IDP approach has to conform to the following methodological principles:

- An IDP has to reflect the priority **needs**/problems of the municipality and its residents.
- Available resources must be used in an **objective**-oriented manner.
- The plan has to be **strategic**, i.e. it has to be based on a process of informed choices and searches for cost-effective solutions with high synergy and leverage effects.
- An IDP has to be **implementation-oriented**, i.e. it has to be specific enough to inform budgets, business plans, land use management decisions, etc.

In short: The integrated development planning process has to provide a forum for identifying, discussing and resolving the “real issues” in a municipality (which may be over-arching issues for the whole municipality, as well as issues of specific communities or stakeholder groups) to a level of detail which is required for realistic costing and which helps manage the implementation process without much delay.

## 8.4 GUIDELINES FOR ANSWERING THE HOW-QUESTION

It is not the function of integrated development planning guidelines to provide methodological guidelines that can help answer all the HOW-questions in detail. This will be done in Guide 3. However, there are some basic questions related to the methodology which have to be considered as policy issues, and need to be dealt with in this section.

### i. Participatory approach

Municipal planning within the enlarged municipalities (with nearly 100 000 residents on average) cannot be based on direct participation through public meetings, but requires structured participation with institutionalised participation channels (see section 8).

### ii. Analysis

This should not mean a comprehensive compilation of all kinds of data. It should, instead, be focused on identified priority issues and help clarify the causes and dynamics of these issues. This requires an amendment of most provincial regulations.

### iii. Data-based analysis and participatory identification of problems/needs/issues

These processes must inform each other. Participatory dialogues with communities or stakeholders should be related to facts and figures, while the priority issues resulting from participation processes should be the topics for in-depth analysis.

### iv. Objectives and strategies

The process of arriving at objectives and strategies for each of the priority issues should allow for a strategic multi-sectoral discussion process on ways of dealing with the issues. It is meant to be a process of discussing strategic options, taking into account policy guidelines and framework conditions.

### v. Implementation orientation

If integrated development planning processes and products are to help speed up and improve delivery, if they are to inform budgets, business plans, land use management and programmes of sector line agencies, they must become sufficiently specific to allow for cost calculations, quantified targets and decisions on locations. This requires decisions on, for example, technology standards and designs. Consequently, technical project planning has to be, up to a point, part of integrated development planning, for it to become part and parcel of the municipal management system. This implies that an IDP has to:

- include a binding spatial development framework which is sufficiently specific to form an operational basis for speedy land management decisions and for guiding investment decisions of private and public investors;
- include project proposals which are sufficiently detailed to allow for a feasibility and viability analysis and can, thus, attract funds from financing institutions;
- include an action programme for economic promotion and income generation aimed at the establishment of an attractive institutional/infrastructural environment for economic ventures;
- include clearly specified targets and indicators as a basis for transparency and accountability of local councils and as a performance management system; and
- prepare the ground for municipal service partnerships, including community partnerships, by involving community and stakeholder organisations in the designing and decision-making process of concrete localised projects.

## 9. PUBLIC PARTICIPATION IN THE INTEGRATED DEVELOPMENT PLANNING PROCESS

### 9.1 EXISTING LEGAL AND POLICY FRAMEWORK

The *Constitution* stipulates that one of the objectives of municipalities is “to encourage the involvement of communities and community organisations in the matters of local government”.

The *WPLG* emphasises the issue of public participation (not only in municipal planning). It goes into some detail on how to achieve public participation and of the role local government has to play to ensure the involvement of citizens in policy formulation and designing of municipal programmes, as well as implementation and monitoring and evaluation of such programmes. Public participation is meant to promote local democracy. While the *WPLG* emphasises that the municipalities themselves should develop appropriate strategies and mechanisms to ensure participation, some hints on how are given, such as:

- forums of organised formations (especially in the fields of visioning and on issue-specific policies, rather than on multiple policies);
- *structured stakeholder participation* in council committees (in particular in temporary issue-oriented committees);
- *participatory action research*, with specific focus groups (for in-depth information on specific issues); and
- formation of *associations* (especially among people in marginalised areas).

There are guidelines reflected in these hints. Firstly, participation should be a structured process rather than a process of public mass meetings. Secondly, public participation should focus on certain specific processes, and is not equally useful in all fields of municipal management.

Local government is not only expected to find its own ways of structuring participation, but is expected to become active in encouraging and promoting participation, especially when it comes to the participation of marginalised groups and women.

While the *MSB* defines a municipality as a “corporate entity” which consists not only of its “structures, functionaries and administration”, but also of its “communities, residents and ratepayers”, it differentiates clearly between the roles and responsibilities of the “governing structures” (which form a separate legal personality), and the communities, residents and ratepayers.

The public participation chapter of the *MSB* is guided by the principle that formal representative government must be complemented by a system of participatory governance. Participation in the decision-making processes of the municipality is determined to be *a right* of communities, residents and ratepayers. Integrated development planning is emphasised as a special field of public participation.

The decision on appropriate mechanisms, processes and procedures for public participation is largely left to the municipality. The only prescribed participation procedures are the receipt, processing and consideration of petitions and complaints and the public notice of council meetings. No procedures are prescribed for participation in the integrated development planning process.

Municipalities are requested to create conditions for public participation and, moreover, to encourage it. The only prescribed tool for promotion of public participation, however, is the dissemination of information on mechanisms and matters of public participation, on rights and duties of residents and on municipal governance issues in general.

## 9.2 EXPERIENCE TO DATE

Leaving the decision on ways and means of public participation to each municipality results in:

- completely different styles of democracy with highly diverging combinations of formal representative and participatory governance within the country;
- helplessness and confusion on the side of most municipalities, which find it difficult to determine appropriate procedures of their own; and
- denying residents their right to participate, by avoiding setting minimum requirements which specify that right.

Many participation processes in the recent integrated development planning phase were organised in a way which did not comply with any of the general principles stated in the WPLG and the MSB.

## 9.3 PRINCIPLES OF PUBLIC PARTICIPATION

- i. The elected *councils* are 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.
- ii. 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.
- iii. *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.
- iv. *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.
- v. *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 MSB), 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.



#### 9.4 THE FUNCTIONS AND CONTEXT OF PUBLIC PARTICIPATION IN THE INTEGRATED DEVELOPMENT PLANNING PROCESS

Participation in the integrated **development planning** process is **only one of several arenas of participatory interaction** between local government and citizens. **Other means** of ensuring participatory local government are:

- *offering people choices* between services;
- *citizen and client-oriented ways of service delivery* and public administration;
- *partnership* between communities/stakeholder organisations and local authorities in implementation of projects; and
- giving residents the right of petition and complaint and obliging municipal government to respond.

Participation in the development of municipal IDPs has to be seen within this wider context. It serves to fulfil **four major functions**:

- i. *Needs orientation*: ensuring that people's needs and problems are taken into account.
- ii. *Appropriateness of solutions*: using the knowledge and experience of local residents and communities in order to arrive at appropriate and sustainable problem solutions and measures.
- iii. *Community ownership*: mobilising local residents' and communities' initiatives and resources, and encouraging co-operation and partnerships between municipal government and residents for implementation and maintenance.
- iv. *Empowerment*: Making integrated development planning a public event and a forum for negotiating conflicting interests, finding compromises and common ground and, thereby, creating the basis for increased *transparency and accountability* of local government towards local residents.

These functions must always influence the choice of appropriate procedures and mechanisms for public participation.

#### 9.5 TOOLS, PROCEDURES AND MECHANISMS FOR AN INSTITUTIONALISED AND STRUCTURED PROCESS OF PUBLIC PARTICIPATION

Structured participation is largely based on the existence of a set of organisations with certain rights in the planning process. While the organisational arrangements may differ widely in detail from area to area, the following minimum requirements have to be regulated.

- i. *Ward Committees* are the organisational framework through which communities in geographical areas can participate in the planning process.
- ii. Stakeholder organisations which represent certain social, economic, gender or environmental interests have to be registered as "*Stakeholder Associations*" (at municipality level) through which they can participate in the planning process.
- iii. The council and the chairperson of the IDP Committee have to make sure that all relevant groups and all social strata are given the opportunity to be adequately represented. Unorganised groups should be represented by "*advocates*" (e.g. social workers, NGOs, resource persons who did studies on such groups, etc.).
- iv. All Ward Committees and Stakeholder Associations should be represented on the "*Representative IDP Forum*" which will form a formal link between the municipal government and the public. The Representative IDP Forum should be a permanent organisation which is also in charge of monitoring the performance during IDP implementation. Meetings of the IDP Forum have to be attended by the IDP Committee members and by the councillors.

- v. *IDP committees* and their technical, project/programme-related *sub-committees* or task teams may include representatives from ward committees and stakeholder associations or resource persons from civil society if the municipality considers it appropriate. Such representatives may be permanent (sub-) committee members or be invited on a temporary issue-related basis.

For category A and C municipalities, different institutional arrangements will apply. While districts can build on the participation processes of the local councils within the area of jurisdiction, metropolitan municipalities may need one additional stage of participation on a sub-metropolitan level.

## 9.6 GUIDELINES FOR CREATING CONDITIONS FOR PUBLIC PARTICIPATION

The MSB requires municipalities to disseminate information on processes and procedures and on matters of concern. Transforming this general requirement to the integrated development planning process means that each municipality has to follow at least the following procedures.

- i. The residents have to be informed on the integrated development planning process as a whole, and on crucial public events related to that process through:
  - public announcements (appropriate media to be determined in the “work plan”); and
  - ward committees and stakeholder associations.
- ii. Councillors have to inform the communities within the area of the ward, through a public ward-level meeting.
- iii. The Representative IDP Forum has to be involved at least once in each major stage of the drafting process.
- iv. The community and stakeholder representatives have to be given adequate time (2-4 weeks) *to conduct meetings or workshops* with the groups, communities or organisations they represent, before the issue is dealt with by the Representative IDP Forum. This is to give a fair opportunity for legitimate representative participation, but it does not necessarily involve the municipal governments in community- or stakeholder-level workshops.
- v. *Draft planning documents* have to be accessible for every resident, and everybody has the right to submit written comments. There must be a time period of at least four weeks for ward committees, stakeholder associations and interested groups and residents to discuss the draft document publicly, and to comment on it before the Representative IDP Forum deals with the draft.
- vi. The IDP committee has to inform the ward committees and stakeholder associations on the way the comments were considered, or on reasons why they were not considered by the Representative IDP Forum, before the draft is submitted to the council for approval.
- vii. Council meetings on the approval of integrated development planning must be public meetings.

## 9.7 GUIDELINES ON THE ENCOURAGEMENT OF PUBLIC PARTICIPATION

The municipal government, through its IDP committee and its councillors, should use all appropriate means, above and beyond creating the necessary conditions, to encourage public participation. As it will be a struggle for most municipalities to provide the minimum conditions, and ensure the involvement of the major role-players from within municipal government, and as participation is a right but not a duty of residents, the ability to actively encourage public participation at community level will be limited in most places.

Active encouragement should therefore focus on those social groups which are not well organised and which do not have the power to articulate their interests publicly. This could mean poverty groups, or women, or specific age groups (youth, orphans, aged people). The municipality has to identify the groups and determine appropriate ways of ensuring their representation in the Representative IDP Forum.

### 9.8 GUIDELINES ON PHASING PUBLIC PARTICIPATION

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. To limit participation costs, to avoid participation fatigue, and to optimise the impact of participation, the mechanisms of participation will have to differ from stage to stage. The following guidelines can help municipalities to decide on appropriate tools for the right step:

Planning phase	Required intensity of public participation	Mechanisms
<b>Analysis</b>	☆☆☆	<ul style="list-style-type: none"> <li>• Community and stakeholder meeting</li> <li>• Sample surveys (problem census, etc.)</li> <li>• Opinion polls</li> </ul>
<b>Strategies</b>	☆	<ul style="list-style-type: none"> <li>• District level workshops of IDP committees, with representatives of sector departments and selected representatives of stakeholder organisations and resource people</li> <li>• Partly on district-level</li> </ul>
<b>Project planning</b> (a) Projects/programmes with municipality-wide scale (b) Localised community-level projects	☆ ☆☆☆	<ul style="list-style-type: none"> <li>• Technical sub-committees with few selected representatives of stakeholder organisations/civil society</li> <li>• Intensive dialogue between technical sub-committees and affected communities/stakeholders</li> </ul>
<b>Integration</b>	☆	<ul style="list-style-type: none"> <li>• By Representative IDP Forum</li> </ul>
<b>Approval</b>	☆☆☆	<ul style="list-style-type: none"> <li>• Broad public discussion/consultation process within all community/stakeholder organisations</li> <li>• Opportunity for comments from residents</li> </ul>
<b>Monitoring of implementation</b>	☆☆	<ul style="list-style-type: none"> <li>• By Representative IDP Forum</li> </ul>

☆☆☆ – High intensity: Involvement of communities, stakeholders, residents, users and partners.

☆☆ – Medium intensity: Involvement of representative municipal IDP Forum.

☆ – Low intensity: Small technical committees with selected representatives of the public.

## 10. SUPPORT SYSTEMS FOR MUNICIPAL PLANNING

### 10.1 EXISTING LEGAL AND POLICY FRAMEWORK

There is a clear separation between roles and responsibilities which each sphere of government has, in its own right, as part of a co-operative system of government with shared responsibilities, and the specific support roles of national and provincial government towards local government, which are to help local government to fulfil its own functions adequately. While shared responsibilities within the system of co-operative governance are of a long-term nature, support responsibilities may be temporary.

According to the *Constitution*, national and provincial government must support and strengthen the capacities of municipalities to manage their own affairs, to exercise their powers and to perform their functions.

The *WPLG* refers to this constitutional mandate and specifies the roles of national and provincial government. While national government is supposed to establish an overall framework for municipal capacity building and support, provincial government has to provide a framework for capacity building in the province, which takes account of the different needs of the municipalities, and ensures that capacity building takes place. Provincial training structures have to be established. Providing assistance with municipal IDPs is one of the capacity-building functions mentioned in the *WPLG*. District governments are expected to fulfil the role of providing on-demand assistance as well as systematic capacity building for local municipalities. This refers, among other areas, to technical support in the area of planning.

The *MSB* refers only to the support role of the province for integrated development planning, without providing further details.

All spheres of government are expected to take responsibility for capacity-building support for local municipalities. While national government's role is that of providing a framework for support, provinces and districts are expected to become directly involved in capacity building. The distribution of support roles between provinces and districts is not specified any further.

### 10.2 EXPERIENCE TO DATE

The existing support systems for integrated development planning did not correspond to the support requirements of all smaller category B municipalities which could not afford their own built-in professional planning capacities. Neither national support (such as the provision of guidelines and manuals), nor provincial support (such as providing regulations, organising training and exchange workshops, and providing organisational guidance) filled the gap in planning and facilitation skills at the local level. It was mistakenly presumed that municipal managers could be capacitated to take over the role of planners and facilitators by being provided with a manual and a short introductory course. Municipal managers, however, had neither the time nor the professional background to take on the job of a planner for a number of months. The support gap was, therefore, filled by consultants. This solution turned out to be inadequate in most cases, for two reasons:

- Planning consultants tended to use a product-related approach rather than a supportive and capacity-building one. In addition, most municipalities that outsourced integrated development planning to consultants wanted a document at the end that would qualify for approval by the MEC, thus fulfilling a legal requirement.
- Most planning consultants were specialised in a conventional type of town planning. They were not familiar with concepts of participatory, or of strategic and project planning. The support was usually not adequate for the new requirements of *integrated development* planning.

None of the existing types of support agents can take over the role of providing professional methodological guidance to municipal managers during the planning and drafting process.

### 10.3 PRINCIPLES OF AN INTEGRATED DEVELOPMENT PLANNING SUPPORT SYSTEM

- i. *Two components* of a planning and management support system for local government have to be distinguished:
  - *Constitutional public support obligations* like finance, policy guidance, policy-related information, monitoring and control. This type of support must be provided in a proactive, supply-oriented manner by the agencies in charge.
  - *Professional services* like methodological guidance, facilitation, documentation, surveys, analytical studies, etc. These services may be provided by private or public service providers, depending on the capacity to provide the appropriate services. They should only be provided on a demand basis.
- ii. In relation to *time horizons* it is important to distinguish between temporary and permanent support requirements:
  - *Temporary support* is usually enabling support. It has to be provided to capacitate actors in fulfilling their roles and responsibilities in line with the new requirements.
  - *Permanent support* is usually provision of services for which a governing body is politically responsible without being able to do it on its own, due to a lack of economies of scale and specialisation advantages.
- iii. *Professional support has to be managed by the municipalities*. It should not take over the municipal management responsibility. Just as municipal managers cannot be expected to do the job of a planner (but can be expected to control planners), planners should not be allowed to do the job of the IDP manager.
- iv. *Principle of subsidiarity*: Support systems should be as close to the local sphere as possible. Whatever can be done as well or better at a lower level should not be done at a higher level. Whatever is done adequately by existing service providers should not be done by newly established service providers. The responsibility for municipal support systems should, as far as possible, be within the local sphere of government. New support systems should only fill support gaps, not replace functioning existing support.

### 10.4 GUIDELINES ON ROLES AND RESPONSIBILITIES WITHIN AN INTEGRATED DEVELOPMENT PLANNING SUPPORT SYSTEM

- i. The role of **national government** in supporting municipal planning is (aside from its own role of setting a legal framework and policy guidelines and principles):
  - to provide a set of planning tools or methods;
  - to cater for the elaboration of a general framework for training programmes and curricula development;
  - to contribute to the planning costs;
  - to help get a nation-wide support system established;
  - to monitor the planning and implementation process; and
  - to provide opportunities for exchange of ideas and experiences.
- ii. The supporting role (aside from its own roles in the planning system) of **provincial government** is:
  - to provide broad procedural guidance for the planning process;
  - to provide professional feedback on methodological as well as on substantive aspects of an IDP;
  - to contribute to the planning costs;
  - to organise learning networks between municipalities;
  - to ensure access to appropriate training programmes; and
  - to monitor the planning and implementation process.

- iii. **District Councils** must support local municipalities with insufficient planning capacities by:
- providing access to planning and management related information;
  - providing methodological guidance to single local municipalities during the course of the planning process (e.g. by joint workshops with local municipalities for some critical integrated development planning components);
  - training local municipality officials and councillors in managing the process through “learning by doing” approaches;
  - linking local municipalities to appropriate services, information and training; and
  - providing opportunities for sharing ideas and experiences and for doing certain planning steps through joint workshops.
- iv. The **private sector** (consultants, NGOs) can be used for all planning-related services that do not affect the management responsibility of local authorities and which require specific skills and can easily be outsourced:
- NGOs may be used in particular for assisting communities and disadvantaged, unorganised groups to get involved in the process through establishing appropriate representative systems and mechanisms.
  - Private consultants may be used, in particular, for specific product-related contributions (e.g. technical studies, surveys, environmental impact assessments, mapping and GIS).
  - Facilitation of planning workshops and meetings requires very special, high-level skills. Competent facilitators are rare and may be hired from NGOs, the private sector or from within the government sector.

The Department of Provincial and Local Government is in the process of establishing a nation-wide “Planning and Implementation Management Support System” (PIMSS), which is in line with these guidelines.

The allocation of tasks within the support system can help all actors involved to identify their own mandates and responsibilities. It should not be taken as a rigid and prescriptive formula. There are some overlaps, there must be some flexibility related to local circumstances, and there may be competition among different types of service providers.

## 11. ASSESSMENT AND APPROVAL OF IDPs

### 11.1 EXISTING LEGAL AND POLICY FRAMEWORK

The *WPLG* emphasises the importance of not undermining the municipalities’ executive authority over development procedures and approvals, thereby questioning the approval procedure required by the DFA.

The MSB requires only the submission of a copy of the IDP, which has to be adopted by the municipal council, to the MEC for local government. If the IDP does not comply with legal requirements or development plans or strategies of other municipalities or other spheres of government, the MEC may request the municipality to amend the plan. If the municipality disagrees, the MEC may appoint an ad hoc committee to deal with the case. If this ad hoc committee insists on the amendment, the municipality must adjust the IDP.

### 11.2 EXPERIENCE TO DATE

The system of inter-governmental relations and the important role of provincial and national government agencies in the implementation of IDPs requires provincial government and relevant representatives of national government to be involved in the assessment and/or approval of IDPs for alignment purposes. However, it is far from clear who should be involved in that process and against which criteria an IDP should be assessed. Clear guidelines for the assessment approval procedure are required to make it a meaningful exercise.

### 11.3 GUIDELINES FOR THE ASSESSMENT/APPROVAL PROCESS

- i. IDPs have to be *approved* by municipal councils only.
- ii. District councils need to ensure the co-ordination of local plans and should therefore mediate a process of achieving co-ordination and alignment between local plans.
- iii. To ensure functioning inter-governmental relations (as outlined in Chapter 4), and to contribute to a smooth horizontal and vertical co-ordination mechanism, IDPs have to be submitted to the provincial MECs for local government for assessment and feedback in line with the MSB.
- iv. The provincial level assessment and feedback process should be done in line with four major criteria:
  - compliance with legal requirements;
  - professional quality of the planning process and usefulness of the integrated development planning documents as a tool;
  - feedback on feasibility and viability of proposed projects; and
  - harmonisation of plans across district boundaries and alignment with sectoral/departmental planning in the context of provincial strategies and national priorities.
- v. The MEC for local government should establish an IDP alignment committee consisting of representatives of provincial, national and local government to comment on and discuss issues related to the criteria of feasibility and viability of projects and harmonisation and alignment.

## 12. LEGAL STATUS OF IDPs

### 12.1 EXISTING LEGAL AND POLICY FRAMEWORK

The legal status of IDPs is defined in the *MSB* which says that the IDP:

- informs all planning and development, and all decisions with regard to planning and development, in the municipality;
- binds all persons (except in case of inconsistencies with national or provincial legislation); and
- requires that the municipal council give effect to it by conducting its affairs in a manner which is consistent with the IDP.

Moreover, the spatial development framework contained in an IDP prevails over plans made in line with the Physical Planning Act, 1991.

It is obvious that the MSB wants to make IDPs a powerful tool to guide all actions of a municipal council.

### 12.2 EXPERIENCE TO DATE

The intention of the MSB to provide IDPs with strong teeth is difficult to operationalise. Many components of plans are not sufficiently precise to be binding; others are too subject to continuous adjustment to changing conditions (e.g. budget frames, new opportunities) to be binding in a legal sense. Some specification and interpretation is required to allow IDPs to have more impact.

### 12.3 GUIDELINES FOR ENSURING THE IMPACT OF IDPS

- i. IDPs are a principle-led, indicative framework for all decision-making processes within the municipality, including specific elements such as:
  - municipal budgets and business plans;
  - sectoral/departmental investment budgets;
  - land management decisions; and
  - economic promotion measures.

The municipal council is *politically accountable* for deciding on, and conducting its affairs in line with, the IDP. Its performance will be measured against the objectives and indicators outlined in the IDP.

- ii. The spatial development framework, with the IDP, will be a legally binding document for all land-use management decisions in accordance with the new spatial planning legislation under preparation.