

IDP GUIDE PACK

GUIDE II

“PREPARING FOR INTEGRATED DEVELOPMENT PLANNING”

IDP INTEGRATED DEVELOPMENT PLANNING

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1. INTRODUCTION: PREPARING FOR THE IDP PROCESS

Guide II intends to help municipal management to accomplish its preparation work for the IDP process. Thus, it is about planning for planning.

This introduction section provides you with: -

- a short rationale for the preparation process, explaining what needs to be prepared and why (1.1);
- a presentation and interpretation of legal preparation requirements (1.2);
- a summary of the documents (and their contents) to be compiled as a result of the preparation process (1.3);
- some general guidance on how to organise the preparation process (1.4), and finally
- an overview of the contents of this guide (Guide II) which indicates how it will lead you through the various preparation steps and tasks (1.5).

1.1 What needs to be prepared?

Drafting an Integrated Development Plan requires a 9 months planning process with the involvement of a wide range of role players from inside and outside the municipality. Such a process needs to be properly organised and prepared. It needs some kind of a business plan:

- **Roles and responsibilities** have to be clarified in advance and internal human resources have to be allocated accordingly.
- **Organisational arrangements** have to be established and decisions on the membership of teams, committees or forums have to be made.
- **A programme** needs to be worked out which sets out the envisaged planning activities, a time frame and the resource requirements for the planning process. Such a detailed programme of the planning process is crucial to keep track and to interact with other role players (especially between local and district municipalities).
- Special attention has to be paid to deciding on **mechanisms and procedures for community and stakeholder participation** during the planning process: Who has to be involved, consulted and informed in which stage of the process by which means? This has to be decided in advance in order to inform people in time and to allocate required resources in time.
- The same is true with regard to **mechanisms and procedures for alignment with external stakeholders** such as other municipalities, districts, and other spheres of government. Such alignment activities have to be decided on a mutually binding basis, through a joint **framework** for

the interactive planning process which requires preparation well in advance.

- One has to make sure that all **relevant documents**, which have to be considered in the course of the planning process, are known and **available**. This applies especially to legal documents and to guidelines, plans and strategies from the provincial and national sphere and corporate service providers.
- Based on all these preparation steps a **cost estimate** has to be made for the whole planning process.

This preparation task for IDP is the duty of municipal management. The preparation process should contribute to the institutional preparedness of the municipality for the IDP process. Nobody else, therefore, can make the management decisions involved in it. Guide II is supposed to assist the municipal manager to do this preparation work in a simple and straightforward manner.

1.2 Legal Requirements with regards to Preparation of the IDP Process

In order to ensure certain minimum quality standards of the IDP process and a proper co-ordination between and within the spheres of government, the preparation of the planning process has been regulated in the Municipal Systems Act, 2000. The Act does not say anything different from the 'common sense' preparation requirements outlined above. It requires:

- (a) Adoption of a "process set out in writing "by each municipality (local / district) which is supposed to guide the planning, drafting, adoption and review of the IDP. This written document on the IDP process will be called in short the "Process Plan" in this Guide. This **Process Plan** has to include:
 - a **programme** specifying the time frames for the different planning steps
 - appropriate mechanisms, processes and **procedures for consultation and participation** of local communities, organs of state, traditional authorities, and other role players in the IDP drafting process
 - the identification of all **plans and planning requirements binding** on the municipality in terms of national and provincial legislation.
- (b) Adoption of a **framework** for integrated development planning by each **district** municipality which binds both the district municipality and the local municipalities in the area and which is supposed to ensure proper consultation co-ordination and alignment of the planning process of the district municipality and the various local municipalities.

While the Process Plan has to be based on appropriate consultation with local communities and to be communicated to them, the Framework has

to be based on a consultative process with the local municipalities within the district area.

Process Plans and the district – level Framework need to be established in an inter–active, mutually aligned manner during the preparation phase in order to ensure the Process Plans of local municipalities are in line with the Framework and the Framework reflects the proposals of all local municipalities. A co-ordinated planning process requires co-ordinated preparation of that process.

Both Process Plan and Framework have to be submitted to the MEC for Local Government together with the adopted IDP document at the end of the planning process.

1.3 The Required Documents: Process Plan and Framework

Process Plan and Framework are two distinct documents which are talking to each other. The Process Plan is a management tool for each municipality (local and district) which helps with the management of the IDP process on a day-to-day basis. The Framework is a coordination tool for the district which helps ensure interrelated parallel planning processes at district and local level. Some sections of Process Plans and Framework are identical, others are only required in one of the two documents (compare diagram 1).

The **Process Plan** should fulfil the function of a business plan or an operational plan for the IDP process. It should say in a simple and transparent manner what has to happen when, by whom, with whom, and where, and it should include a cost estimate.

Accordingly, it should be a highly standardised document, which provides an easy overview through formats.

While each municipality is free to design the document in its own way, a proposed list of contents may help to give a clear picture on how the legal and practical requirements lined out above can be incorporated.

PROCESS PLAN – PROPOSED LIST OF CONTENTS	
(Approx. no. Of pages)	
1. Introduction	(1)
2. Distribution of Roles and Responsibilities in the IDP Process	(1-2)
3. Organisational Structures / Institutional Arrangements for the IDP Process	(1-2)
4. Action Programme with Time Frame and Resource Requirements	(4-5)
5. Mechanisms and Procedures for Community and Stakeholder Participation	(2-3)
6. Mechanisms and Procedures for Alignment	(1-2)
7. Binding Plans and Planning Requirements at Provincial and	

National level	(1)
8. Cost Estimate for the Planning Process	(1-2)

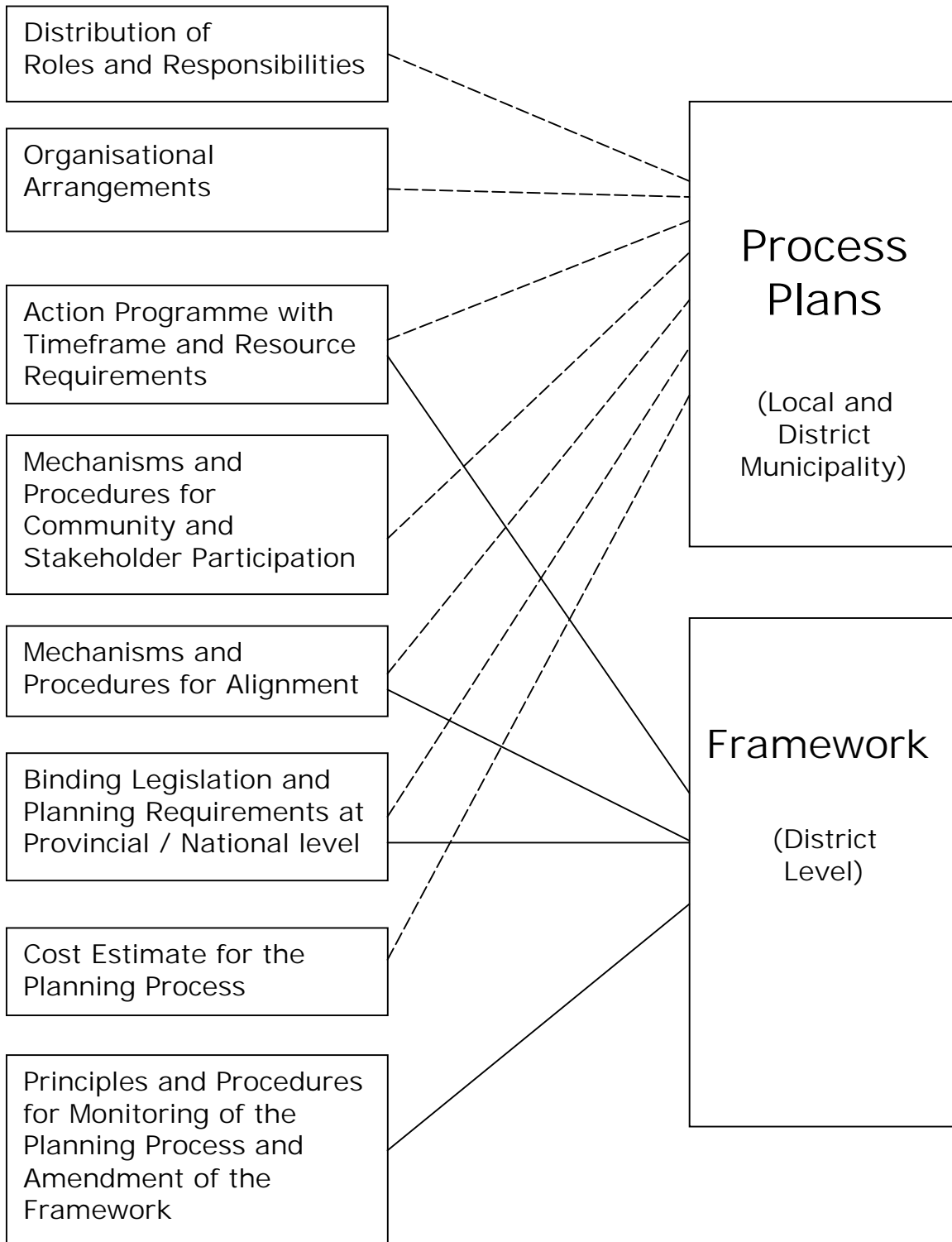
The function of the **Framework** is to ensure that the process of district IDPs and local IDPs are mutually linked and can inform one another. If parallel processes are supposed to be smoothly inter-linked, one has to agree on a joint time schedule and some crucial joint milestones. This will be done through the Framework. The district municipalities are in charge of drafting the Framework. As it has to be agreed by local municipalities and as it has to be used by all municipalities as a basis for drafting their Process Plans, the Framework has to be agreed upon at an early stage of the preparation process.

FRAMEWORK: PROPOSED LIST OF CONTENTS

1. Introduction	
2. Framework Programme with Time Frame	(1-2)
3. Issues, Mechanisms and Procedures for Alignment and Consultation	(1-2)
4. Binding Plans and Planning Requirements at Provincial and National Level	(1)
5. Procedures and Principles for Monitoring of the Planning Process and Amendment of the Framework	(1)
	(6-8)

The compliance of the actual IDP process of all municipalities with the Framework has to be carefully monitored by the districts in order to be able to undertake corrective action in time if some municipalities fail to adhere to the timeframes.

Diagram 1: Process Plan and Framework Contents in Comparison



There are three chapters which must be part of the Framework and of each Process Plan: The Action Programme, the alignment chapter, and the chapter on binding legislation and planning requirements. The Action Programmes of municipalities will differ significantly from the Action

Programme in the Framework. They need to be far more detailed, and therefore need to be drafted by each municipality individually, taking the timeframes of the Framework Action Plan into consideration. The Alignment Procedures and the binding legislation and planning requirements will be the same for the district Framework and the Process Plans. Consequently, they can be taken over from the Framework.

1.4 The Preparation Process

It has already been said that preparing a Process Plan is a management task like the preparation of any business plan. It does not require specific professional planning skills. Neither does it need the involvement of consultants. The result of the preparation process should not only be a document (the Process Plan), but also a well-prepared management, confident about the planning task ahead. The preparation process requires some consultation with those role players who are expected to participate or to be consulted in the planning process:

- (a) between local municipalities and district municipalities (as required for establishing the Framework)
- (b) with community and stakeholders groupings who are to be given the opportunity to become part of the organisational arrangements.
- (c) with financing bodies for aligning resource requirements for the planning process with available resources.

Managing these consultation processes and getting all role players on board of the IDP process is definitely the major preparation task. With some concentrated efforts, a time-span of one month should, nevertheless, be sufficient.

1.5 Guidance Offered by this Document

Guide II aims at putting the municipal management into a position to formulate the Process Plan and the Framework without external support and in line with the requirements of the Municipal Systems Act, 2000, as well as with the practical requirements of a well managed planning process.

Guidance will be provided with regard to **each of the preparation tasks**:

- deciding on the distribution of roles and responsibilities (section 2);
- designing organisational structures and institutional arrangements for the IDP drafting process (section 3);
- drafting the Action Programme with phases, time schedules, and resource requirements (section 4);
- deciding on appropriate participation mechanisms and procedures (section 5);

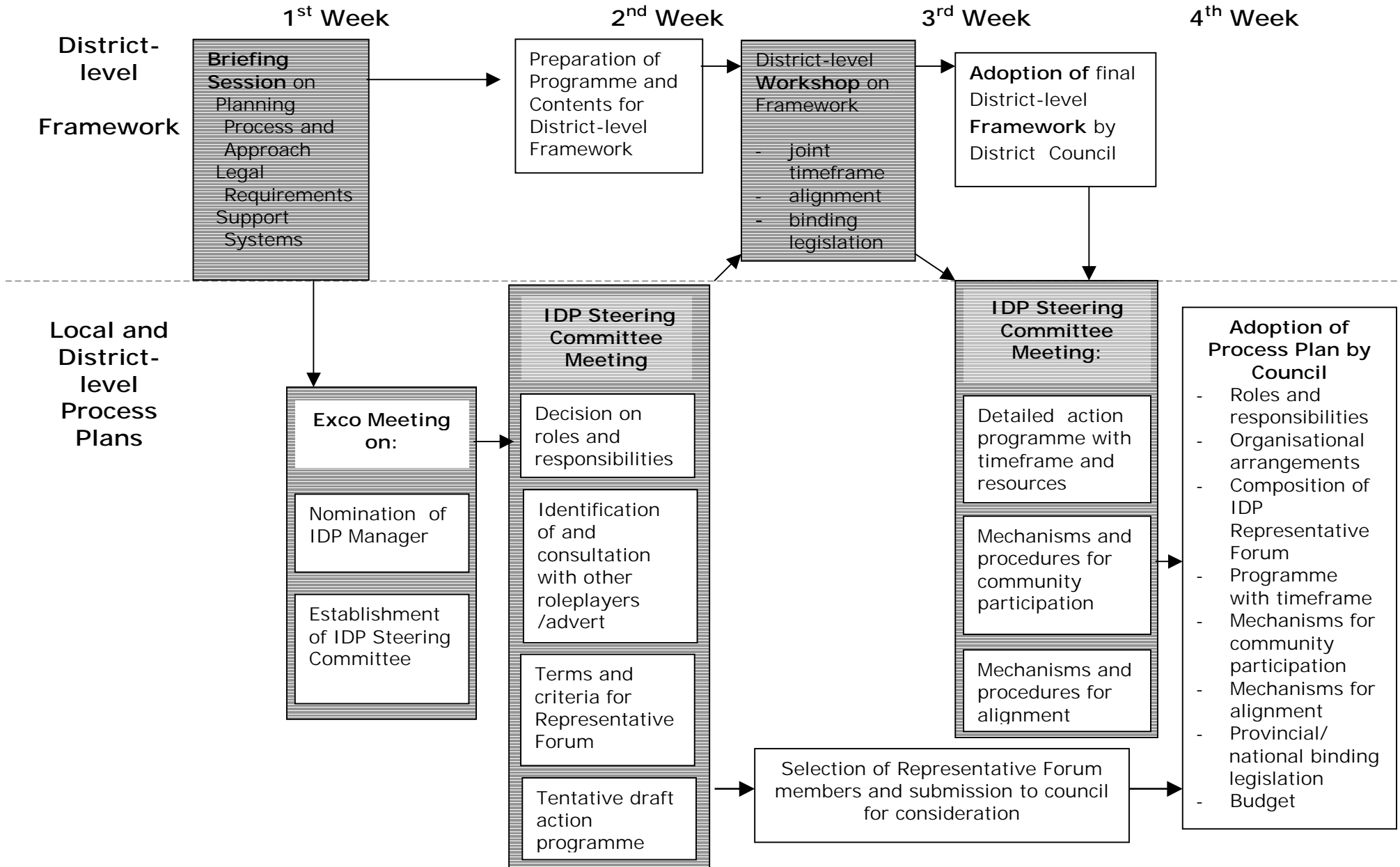
- deciding on contents and mechanisms for co-ordination and alignment (section 6);
- identifying binding legislation and planning requirements (section 7);
- preparing the budget for the planning process (section 8)
- compiling the Framework (section 9).

For each of these preparation tasks, guidance will be provided on

- a) the required **preparation activities and outputs** (*procedural* guidance for the preparation process) which partly includes recommended formats for documentation of the outputs;
- b) **contents** of the Process Plan and Framework, i.e. **proposals** on the decisions to be taken with respect to the nature of the IDP process, or on criteria to be considered when making such decisions.

The content recommendations given in Guide II, on how to design the IDP process, cannot replace a proper reading of the content of Guides I and III, which is the basis for a sound understanding of the IDP process. Such sound understanding is crucial for preparing the IDP process of a specific municipality in a flexible and appropriate manner taking into consideration the local circumstances. The intent of summarising the content recommendations in Guide II is just to put these guidelines into the context of the preparation process and the Process Plan.

Diagram 2: Timeframe for preparing for the IDP Process



2. DISTRIBUTION OF ROLES AND RESPONSIBILITIES

It is one of the pre-requisites of a smooth and well organised planning process that all role players are fully aware of their own and of other role players' responsibilities. Therefore, it is one of the first preparation requirements for the IDP planning process to ensure that there is a clear understanding of all required roles, and of the persons or organisations which can assume those roles.

a) Preparation Activities and Outputs

➤ Required Outputs

- List of **required roles and responsibilities** for the planning process (by municipal management).
- List of **persons or agencies** who are expected to assume these roles and responsibilities.
- Clear and mutually agreed **terms of reference**, which describe their roles and responsibilities in detail.

➤ Proposed Process

- 1) The IDP Steering Committee clarifies the roles which the municipality has to play in the IDP process in relation to the roles which external role players are expected to play (in line with Section 84 of the Municipal Structures Act).
- 2) The roles to be played by municipal roleplayers are further specified by drafting terms of reference for each role which determine the responsibilities related to that role.
- 3) The Municipal Manager, after having drafted the role descriptions approaches persons to take over the various roles and submits a proposed list of role players for discussion in the IDP Steering Committee and for approval by the Executive Committee of the Council or the Executive Mayor or Committee of Appointed Councillors.

b) Content Guidelines

(1) Proposed distribution of roles and responsibilities between the municipality and external role players

Actors	Roles and Responsibilities
<p style="text-align: center;">Local Municipality</p> <ul style="list-style-type: none"> • Municipal Government 	<p>To:</p> <ul style="list-style-type: none"> • Prepare, decide on and adopt a Process Plan. • Undertake the overall management and co-ordination of the planning process which includes ensuring that : <ul style="list-style-type: none"> - all relevant actors are appropriately involved; - appropriate mechanisms and procedures for public consultation and participation are applied; - the planning events are undertaken in accordance with the time schedule; - planning process is related to the real burning issues in the municipality, that it is a strategic and implementation – oriented process; - the sector planning requirements are satisfied. • Adopt and approve the IDP. • Adjust the IDP in accordance with the MEC for Local Government’s proposal. • Ensure that the annual business plans, budget and land use management decisions are linked to and based on the IDP.

<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Residents, communities and stakeholders (civil society) including traditional leaders</p>	<p>To represent interests and contribute knowledge and ideas in the planning process by:</p> <p>participating in the IDP Representative Forum to:</p> <ul style="list-style-type: none"> - inform interest groups, communities and organisations, on relevant planning activities and their outcomes; - analyse issues, determine priorities, negotiate and reach consensus; - participate in the designing of project proposals and/or assess them; - discuss and comment on the draft IDP; - ensure that annual business plans and budgets are based on and linked to the IDP; and - monitor performance in implementation of the IDP. <ul style="list-style-type: none"> • conducting meetings or workshops with groups, communities or organisations to prepare for and follow – up on relevant planning activities. <p>NOTE: The <i>specific</i> role of traditional leaders still needs further clarification. The roles of the ‘civil society’ are to be seen as an opportunity rather than a responsibility or duty.</p>
<p style="writing-mode: vertical-rl; transform: rotate(180deg);">District Municipality</p>	<p>A. Same roles and responsibilities as governments of local municipalities but related to the preparation of a District IDP.</p> <p>B. Co-ordination roles for local municipalities:</p> <ul style="list-style-type: none"> • Ensuring horizontal alignment of the IDPs of the municipalities in the district council area; • Ensuring vertical alignment between district and local planning; • Facilitation of vertical alignment of IDPs with other spheres of government and sector departments; • Preparation of joint strategy workshops with local municipalities, provincial and national role players and other subject matter specialists.

<p>Provincial Government</p> <ul style="list-style-type: none"> • Local Government Department • Sector Departments and Corporate Service Providers 	<ul style="list-style-type: none"> • Ensuring horizontal alignment of the IDPs of the district municipalities within the province. • Ensuring vertical/sector alignment between provincial sector departments/provincial strategic plans and the IDP process at local/district level by: <ul style="list-style-type: none"> - guiding the provincial sector departments' participation in and their required contribution to the municipal planning process; and - guiding them in assessing draft IDPs and aligning their sectoral programmes and budgets with the IDPs. • Efficient financial management of provincial IDP grants. • Monitoring the progress of the IDP processes. <ul style="list-style-type: none"> • Facilitation of resolution of disputes related to IDP. • Assist municipalities in the IDP drafting process where required. • Organise IDP – related training where required. • Co-ordinate and manage the MEC's assessment of IDPs.
	<p>To:</p> <ul style="list-style-type: none"> • Contribute relevant information on the provincial sector departments' plans, programmes, budgets, objectives, strategies and projects in a concise and accessible manner; • Contribute sector expertise and technical knowledge to the formulation of municipal strategies and projects; • Engage in a process of alignment with district municipalities; • Participate in the provincial management system of co-ordination.

<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Support Providers / Planning Professionals¹</p> <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Consultants, NGOs, PIMS – Centres Municipal Planning Officials</p>	<p>Any external providers of planning related services should only be consulted for such tasks for which internal professional capacities are not available.</p> <p>Though different types of service providers may be specialised on specific types of services, there are usually many overlaps. Therefore we do not differentiate the roles by service providers. External service providers may be engaged for:</p> <ul style="list-style-type: none"> • providing methodological /technical guidance to the IDP process; • facilitation of planning workshops; • documentation of outcomes of planning activities; • special studies or other product related contributions; • support to organised and unorganised groups and communities to more effectively engage in and contribute to the planning process; • Ensure the IDP is aligned with provincial and national department's budget.
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(2) Proposed Distribution Of Roles And Responsibilities Within The Municipality

<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Municipal Council</p>	<p>As the ultimate political decision-making body of the municipality, the Municipal Council has to:</p> <ul style="list-style-type: none"> • Consider and adopt a Process Plan; • Consider, adopt and approve the IDP.
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¹ Planning professionals may be town and regional planners, development planners or any other professionals involved in development and spatial planning.

Executive Committee or Executive Mayor or Committee of Appointed Councillors	<p>As the senior governing body of the municipality, they have to:</p> <ul style="list-style-type: none"> • Decide on the Process Plan; • Be responsible for the overall management, co-ordination and monitoring of the process and drafting of the IDP, or delegate this function to the Municipal Manager; • Approve nominated persons to be in charge of the different roles, activities and responsibilities of the process and drafting.
Ward Councillors	<p>Councillors are the major link between the municipal government and the residents. As such, their role is to:</p> <ul style="list-style-type: none"> • Link the planning process to their constituencies and/or wards; • Be responsible for organising public consultation and participation; • Ensure the annual business plans, and municipal budget are linked to and based on the IDP.
Municipal Manager and / or IDP Manager	<p>The Municipal Manager or a senior official being charged with the function of an IDP Manager on his/her behalf has to manage and co-ordinate to IDP process. This includes to:</p> <ul style="list-style-type: none"> • Prepare the Process Plan; • Undertake the overall management and co-ordination of the planning process; • Ensure that all relevant actors are appropriately involved, • Nominate persons in charge of different roles; • Be responsible for the day- to-day management of the drafting process; • Ensure that the planning process is participatory, strategic and implementation orientated and is aligned with and satisfies sector planning requirements; • Respond to comments on the draft IDP from the public, horizontal alignment and other spheres of government to the satisfaction of the municipal council; • Ensure proper documentation of the results of the planning of the IDP document; and • Adjust the IDP in accordance with the MEC for Local Government's proposals. <p>Even if the Municipal Manager delegates some of these functions to an IDP Manager on his/her behalf, he/she is still responsible and accountable.</p>

<p style="text-align: center;">Heads of Departments and Officials</p>	<p>As the persons in charge for implementing IDPs, the technical / sectional officers have to be fully involved in the planning process to:</p> <ul style="list-style-type: none">• Provide relevant technical, sector and financial information for analysis for determining priority issues;• Contribute technical expertise in the consideration and finalisation of strategies and identification of projects;• Provide departmental operational and capital budgetary information;• Be responsible for the preparation of project proposals, the integration of projects and sector programmes;• Be responsible for preparing amendments to the draft IDP for submission to the municipal council for approval and the MEC for Local Government for alignment.
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3. ORGANISATIONAL ARRANGEMENTS

The municipalities will need to establish a set of organisational arrangements to:

- Institutionalise the participation process;
- Effectively manage the drafting of outputs; and
- Give affected parties access to contribute to the decision-making process.

The number of structures and composition or positions may vary between different categories and types of municipalities to suit the available human and institutional resources, but the proposed generic arrangements are recommended as a minimum and are based on the following **principles**:

- Public participation has to be institutionalised to ensure all residents have an equal right to participate; and
- Structured participation must specify who is to participate, on behalf of whom, on which issues, through which organisational mechanisms and to what effect.

Municipalities should consider existing arrangements, use them and adapt them if necessary, and avoid duplication of mechanisms. For example if they have adopted a ward committee approach they may want to use this structure and would only need to ensure that in addition stakeholders and social groups are also represented.

The following **structures / persons** are **recommended**:

- Municipal Manager or IDP Manager
- IDP Steering Committee
- IDP Representative Forum
- Project Task Teams

The recommended arrangements will serve as a guide for the majority of district and local municipalities. The **IDP Manager, IDP Steering Committee and IDP Representative Forum** are structures required through the whole IDP process to be established at the beginning and therefore will be introduced in this Guide.

The **Project Task Teams** will be small operational teams composed of a number of relevant municipal sector departments and technical people, actors involved in the management of implementation and where appropriate community stakeholders directly affected by the project. The Project Task Teams will be required at the outset of phase 3 and will be introduced there in more detail (Planning Activity 3.1).

All organisational arrangements suggested above should be maintained during **IDP implementation** stage as teams in charge of co-ordinating and steering the implementation process.

a) Preparation Activities and Outputs

➤ Required Outputs

- Type of arrangements / structures to be established
- Clear Terms of Reference for each of the arrangements / structures
- Criteria for Selection
- List of agreed persons and / or organisations to be represented
- Code of Conduct
- Selected members are familiar with roles

➤ Proposed Process

- 1) The Executive Committee, or Executive Mayor, or a Committee of Councillors should in consultation and with support of the Municipal Manager:
 - Define Terms of Reference for IDP Manager and Steering Committee;
 - Identify an appropriate IDP Manager, taking into consideration the importance of IDP, time constraints of the municipal manager and alternative persons;
 - Assign responsibilities with regard to drafting of the IDP to the Municipal Manager
 - Identify and nominate suitable candidates for the Steering Committee ensuring that all relevant issues (e.g. LED, spatial, housing municipal finance) have at least one responsible person.
- 2) The newly established IDP Steering Committee should be responsible for the establishment of the IDP Representative Forum by:
 - Defining Terms of Reference and criteria for members of the IDP Representative Forum;
 - Informing the public (e.g. issue advert) about the establishment of the IDP Representative Forum and request submission of applications from stakeholders / community groups indicating goals, objectives, activities, number of members, and constitution;
 - Identifying
 - additional stakeholders and unorganised marginalised / underrepresented groups that may need an "advocate" to represent their interests,
 - potential advocates,
 - resource persons,
 - senior officials;
 - Selecting potential groups / members based on criteria;
 - Submitting proposed groups / members to council for consideration;
 - Nominating members and informing the local community.
- 3) If the Municipal Manager is not the IDP Manager the Municipal Manager must decide on:
 - powers and functions to be delegated;
 - responsibility remaining with Municipal Manager / accountability; and
 - reporting mechanisms.
- 4) IDP Steering Committee to:
 - establish sub committees (if necessary) and decide on relationship/ reporting mechanisms; and
 - appoint the secretariat.

b) Content Guidelines

Executive Committee / Executive Mayor / Committee of Councillors

The executive committee or executive mayor of a municipality or, if the municipality does not have an executive committee or executive mayor, a committee of councillors appointed by the municipal council must

- manage the drafting,
- assign responsibilities in this regard to the municipal manager, and
- submit the draft plan to the municipal council for adoption

These are structures already established and required by the Municipal Structures Act and not specific structures of the municipality for the IDP.

It is recommended that the responsibility for managing the drafting of the IDP is assigned to the Municipal Manager or IDP Manager on his behalf.

IDP Manager

The Municipal Manager, or IDP Manager on his behalf, is the responsible person for championing the Integrated Development Planning process. The selection of the appropriate person is crucial for the success of IDP and needs to be done as the first step towards preparing the Process Plan since the IDP Manager is also the responsible person for designing the Process Plan.

The IDP Manager should be a dedicated person that has the required authority to involve all relevant role-players.

Proposed Terms of Reference for IDP Manager

- Responsible for the preparation of the Process Plan;
- Responsible for the day to day management of the planning process under consideration of time, resources, people, ensuring:
 - involvement of all different role players, especially officials,
 - that the timeframes are being adhered to,
 - that the planning process is horizontally and vertically aligned and complies with national and provincial requirements,
 - that conditions for participation are provided,
 - that outcomes are being documented.
- Chairing of the Steering Committee; and
- Management of consultants.

IDP Steering Committee

The Steering Committee should be a technical working team of dedicated Heads of Departments and senior officials who support the IDP Manager and ensure a smooth planning process. The IDP Manager is responsible for the process but will often delegate functions to members of the Steering Committee. In municipalities where there are relevant portfolio councillors who want to be part of the IDP Steering Committee they should be included. In this cases the appropriate protocol must be considered.

➤ **Proposed Terms of Reference for the IDP Steering Committee**

- Provides terms of reference for the various planning activities
- Commissions research studies
- Considers and comments on:
 - inputs from sub-committee/s, study teams and consultants
 - inputs from provincial sector departments and support providers
- Processes, summarises and documents outputs
- Makes content recommendations
- Prepares, facilitates and documents meetings

➤ **Proposed composition of the IDP Steering Committee**

Chaired by:

- The Municipal Manager and/or IDP Manager

Secretariat:

- Official of the Municipality

Composition:

- Heads of Departments or Senior Officials
- Treasurer

Note

- The IDP Steering Committee may establish **sub-committees** for specific activities and outputs which should include additional persons outside the Steering Committee.
- An Official of the municipality should be appointed to prepare, facilitate and document meetings. The function should be the responsibility of the **Municipal Planner** or similar official.
- For the logistics of workshops, dissemination of information and invitations the Official should be supported by an **administrator**.

IDP Representative Forum

The IDP Representative Forum is the structure which institutionalises and guarantees representative participation in the IDP Process. The selection of members to the IDP Representative Forum needs to be based on criteria which ensures geographical and social representation.

➤ **Proposed Terms of Reference for the IDP Representative Forum**

- Represent the interests of their constituents in the IDP process
- Provide an organisational mechanism for discussion, negotiation and decision making between the stakeholders including municipal government
- Ensure communication between all the stakeholder representatives including the municipal government
- Monitor the performance of the planning and implementation process
- Participate in the process of setting up and monitoring "key performance indicators" in line with the "Performance Management Manual".

➤ **Proposed composition of the IDP Representative Forum**

Chaired by:

- A member of the Executive Committee or the Executive Mayor or a member of the Committee of Appointed Councillors

Secretariat:

- IDP Steering Committee

Composition:

- Members of the Executive Committee
- Councillors (including Councillors who are members of the District Council and relevant portfolio Councillors)
- Traditional Leaders
- Ward Committee Chairperson
- Heads of Departments / Senior officials
- Stakeholder representatives of organised groups
- Advocates for unorganised groups
- Resource persons
- Community Representatives (e.g. RDP Forum)

Note:

The preparation, facilitation and documentation of meetings and workshops of the IDP Representative Forum may need to be supported by professional planners, e.g. PIMS-Centres.

➤ **Proposed issues to be considered in the Code of Conduct for the IDP Representative Forum**

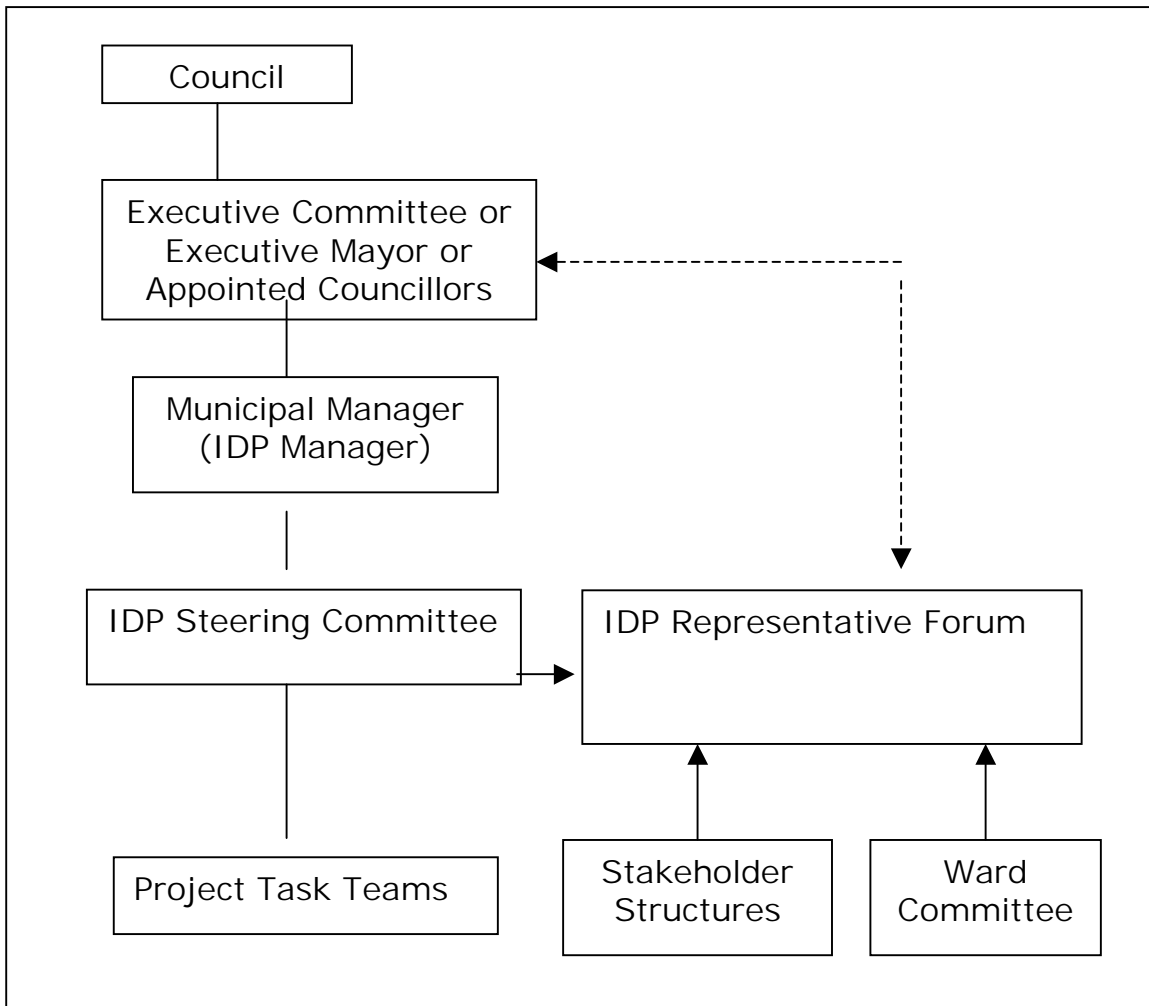
The code of conduct should regulate issues such as:

- meeting schedule (frequency and attendance)
- agenda, facilitation and documentation of meetings
- understanding by members of their role as representatives of their constituencies
- feed back to constituents
- required majority for approval
- resolution of disputes

District Municipalities: Organisational Arrangements

- Similar structures will be required at District level for the District IDP;
- The composition of the District Municipality Representative Forum should include all DM Councillors and ensure geographical representatives, include district wide stakeholders and representatives of district wide issues.

Diagram 3: Proposed Organisational Arrangements



4. MECHANISMS AND PROCEDURES FOR PUBLIC PARTICIPATION

One of the main features about the integrated development planning process is the involvement of community and stakeholder organisations in the process. Participation of affected and interested parties ensure that the IDP addresses the real issues that are experienced by the citizens of a municipality. Section 3 above dealt with the minimum organisational structures that need to be established to ensure proper participation. This section will go even further in providing guidance on what each municipality needs to consider when developing a public participation strategy for its integrated development planning process. For more information on the legal and policy framework on community and stakeholder participation in the affairs of local government, municipalities should refer to Guide I "General IDP Guidelines". Guide IV ("Toolbox") provides various tools and techniques for participation.

a) Preparation activities and outputs

➤ Required outputs

A **public participation strategy** to be approved by council

➤ Proposed Process

- 1) The IDP Steering Committee formulates a proposal for the strategy taking into consideration the need to comply with any relevant legislation e.g. chapter 4 of the Municipal Systems Act and IDP Regulations.
- 2) The proposal is submitted to the council for consideration and approval.
- 3) Once the strategy is approved by council, the IDP Steering Committee has the responsibility to implement it.
- 4) The IDP Steering Committee presents the strategy to the first meeting of the IDP Representative Forum.

b) Content Guidelines**➤ Proposed Content**

The participation strategy must contain a decision on issues like:

- Roles of different role-players during the participation process (e.g. councillors, the IDP Steering Committee, the IDP Representative Forum, other officials, consultants etc.)
- Means of encouraging representation of unorganised groups
- Participation mechanisms for different phases of the methodology
- Available resources for participation
- Frequency of meetings/ workshops
- Appropriate venue for the meetings/workshops
- Time frames to allow responses, comments, inputs
- Appropriate participation tools
- Means of information dissemination
- Means of eliciting and collecting community needs (including documentation of participation inputs)

c) Issues to consider when developing a strategy for public participation

In designing a strategy for participation, a municipality must take into consideration the following issues:

? Principles of public participation

- The elected council is the **ultimate decision-making forum** on IDPs. The role of participatory democracy is to inform stakeholders and negotiate with them on issues. It is also to give stakeholders an opportunity to provide input on the decisions taken by the council.
- In order to ensure public participation, the legislation requires municipalities to **create appropriate conditions** that will enable participation. This is a minimum requirement, however, it is not enough. Municipalities also have a responsibility to encourage its community and stakeholder groups to get involved. This should be done in particular with regard to disadvantaged or marginalised groups in accordance with the conditions and capacities in a municipality.
- **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 a complex planning process. Participation in the integrated development planning, therefore needs clear rules and procedures specifying:
 - Who is to participate
 - Who will not directly participate, but must be consulted on certain issues (e.g. adjoining municipalities)
 - On which issues should direct participation or consultation take place.
- **Diversity:** The way public participation is structured has to provide sufficient room for diversity within the municipal area in terms of:
 - Different cultures
 - Gender
 - Language
 - Education levels
- **Participation costs** can be kept at an acceptable level if potential participants are made aware of the fact that it is in their own interest to be involved in the planning process and it is not a task they have to be paid for.

? Creating conditions for public participation

In developing its participation strategy, the municipality has to ensure that conducive conditions are created for proper and successful public participation. Here are some of the issues to consider:

- **Informing Communities and stakeholders:**

The residents and stakeholders have to be informed on the municipality's Intention to embark on the integrated development planning process. In doing so the municipality must ensure that the appropriate forms of media (e.g. community radio stations, information flyers inside the municipal bills etc.) are utilised in order to reach as many people as possible. No stakeholders should feel ignored or unimportant. In choosing the appropriate form of media, municipalities must consider the cost of using such mechanisms. For instance, it can be very costly to place an advert in a newspaper, therefore this might not be a feasible option.

Another mechanism of informing communities is through councillors. Councillors have to inform the people within their wards, by means of public ward-level meetings.

- **All affected and interested parties to be invited to participate:**

All relevant community and stakeholder organisations must be invited to register as members of the IDP Representative Forum. The municipality must also keep a database of those groupings that will not necessarily participate as members of the Representative Forum, but that will need to be consulted at various stages of the process.

- **Use of appropriate language:**

The use of appropriate language is essential to allow all stakeholders to freely participate. The IDP Steering Committee have to consider the need to identify an interpreter to cater for situations where some participants are uncomfortable with a particular language.

- **Choosing the right venue:**

The venue where public participation events are held can determine the level of attendance. It is crucial that the venue that is selected can be accessed easily by all stakeholders e.g. it should be accessible by public transport to enable those participants without private transport to get to it.

- **Choosing the suitable time for meetings:**
 The times when the IDP Representative Forum Meetings are held should accommodate the majority of the members. The IDP Steering Committee needs to establish the best suitable time for the majority of the members to hold meetings. Weekends should also be considered.
- **Appropriate refreshments:**
 If the IDP Representative Forum has long meetings which would require the provision of refreshments, consideration must be given to the participants' different preferences e.g. halaal, vegetarian etc.
- **Representatives to be encouraged to report back to their organisations:**
 To allow for a fair opportunity for legitimate representative participation, 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 IDP Representative Forum. This must be taken into consideration when the programme and timeframe are developed. The requirement for the representatives to report back to those they represent on the outcome of the IDP Representative Forum meetings/workshops, must be included in the code of conduct for the Forum.
- **Opportunity for stakeholders to comment on draft documents:**
 Draft planning documents have to be accessible for all communities and Stakeholders. There must be a time period of at least three weeks for ward committees, stakeholder associations and interested groups and residents to discuss the draft document publicly, and to comment on it before the IDP Representative Forum finalises the draft. This timing must be catered for in the programme.
- **Council meetings for approval:**
 Council meetings on the approval of the IDP should be open to the public.
- **The IDP document to be available to all stakeholders:**
 Copies of the finalised IDP must be available to all communities and stakeholders. It might even be useful to summarise the main outputs of the plan e.g. municipality's vision, objectives etc. in the various languages that are relevant for that particular municipal area.

➤ **Encouraging 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.
- Active encouragement should particularly focus on those social groups which are **not well organised** and **which do not have the power to articulate their interests publicly** e.g. poverty groups, women, disabled, specific age groups (youth, orphans, and aged people) etc. The municipality has to identify the groups and determine appropriate ways of ensuring their representation in the IDP Representative Forum.
- One of the mechanisms of ensuring participation of these groups is to mobilise NGOs or competent resource persons that advocate for their interests.

➤ 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 IDP Steering Committee need to have a good understanding of Guide III (methodology) to be able to decide on the intensity of participation and also the appropriate participation tools for different phases. The following guidelines can help municipalities to decide on appropriate tools for different planning phases:

Planning phase	Participation Mechanisms
Analysis	Community meetings organised by councillors Stakeholder meetings Sample surveys Opinion polls
Strategies	District level strategy workshops, with representatives of all municipalities, sector provincial and national departments and selected representatives of stakeholder organisations and resource people. IDP Representative Forum at local level <ul style="list-style-type: none"> • Stimulation of public debates through public events like hearings, press conferences etc.
Project planning a) Projects/ programmes with municipality-wide scale b) Localised community-level projects	Technical sub-committees with few selected representatives of stakeholder organisations/ civil society Intensive dialogue between technical sub-committees and affected communities /stakeholders
Integration	IDP Representative Forum
Approval	Broad public discussion/ consultation process within all community/stakeholder organisations Opportunity for comments from residents and stakeholder organisations
Monitoring of implementation	IDP Representative Forum

5. DESIGNING AN ACTION PROGRAMME

The Action Programme is a component of the Process Plan and nothing other than a business plan which answers the questions: what needs to be done, when, how long will it take, who is responsible, who contributes and which resources will be required. The Action Programme should be known by all role players involved in the IDP process to ensure participation and alignment. To design the Action Programme it is crucial to be familiar with and understand Guide III and to consider the District Framework. Not all the information needed for the design of the Action Programme will be available already during the preparation phase. Some activities may have to be included and defined at a later stage (e.g. only once the priority issues are known, will the need for more in depth analysis become clear).

a) Preparation Activities and Outputs

Required Outputs

Action Programme based on the IDP Phases and Planning Activities including:

- activities / tasks / events for preparing, undertaking and finalising each Planning Activity;
- the name of the responsible person to manage, facilitate and/or document the Planning Activity;
- the starting date and expected duration;
- the names of people / structures that need to be involved and how (e.g. attend meeting / comment); and
- the required resources (consultants / venues / catering / finances / translation) and costs.

A **Format / Template** is being provided in Annex 2.

Proposed Process

IDP Manager together with the IDP Steering Committee to:

- 1) Consider activities per phase and proposed time frames from Guide III as well as District Briefing Session;
- 2) Submit draft Action Programme for District Framework Workshop;
- 3) Discuss and agree on District Framework Programme as basis for Municipal Programme;
- 4) Adapt Action Programme to local circumstances (taking the DM Framework into consideration); and
- 5) Finalise Action Programme by:
 - considering organisational structures and defined roles and responsibilities within those structures,
 - including alignment activities,
 - including community participation,
 - indicating required resources (consultants, venue, catering).

b) Content Guidelines

Issues to be considered for the Time Frame of the Action Programme

- The Time Frame Table of Annex 1 should be considered when designing the Framework and Action Programme.
- The Action Programme should consider local circumstances (e.g. frequency of Council meetings) and be aligned in time with the municipal budgeting process, bearing in mind that a considerable amount of budgeting activities will be undertaken as part of the IDP process.
- To ensure that the outputs of the IDP process are satisfactory to the municipality, the municipal Council will need to consider and request amendments to the outputs during the process. For this to occur we recommend a **phased-consideration process** where the outputs of each phase are
 1. submitted to the IDP Representative Forum, to signal that the process can continue and once approved
 2. tabled and discussed by the municipal Council.It is very important that while the municipal Council considers specific outputs of the IDP process, the process continues and is not put on hold, even if the outputs are not satisfactory. The comments from the municipal Council will be incorporated subsequently to them being noted.

6. MECHANISM AND PROCEDURES FOR ALIGNMENT

The IDP planning process is a local process, which requires the input and support from other spheres of government at different stages. Before starting with the planning process municipalities need to understand where alignment should take place and how best, through which mechanism, this can be achieved. Alignment is the instrument to synthesise and integrate the top-down and bottom-up planning process between different spheres of government.

The alignment procedures and mechanisms are a component of the Process Plan as well as the Framework. It should be arrived at between Local and District municipalities, and all parties involved in the alignment need to be informed.

There are **two main types of alignment** required :

- **Between municipalities and relevant district** to ensure that their planning processes and issues are co-ordinated and addressed jointly. The District has the responsibility to ensure that alignment between the local municipalities takes place.
- **Between local government** (municipalities / districts) **and other spheres**, especially provincial / national sector Departments as well as corporate service providers (e.g. Eskom, Telkom) to ensure that the IDP is in line with national and provincial policies and strategies so that it is considered for the allocation of departmental budgets and conditional grants. The Provincial Department for Local Government should play a co-ordinating role ensuring that all other spheres and especially sector departments understand the need for alignment and their role within the local IDP process.

a) Preparation Activities and Outputs

➤ Required Outputs

The required outputs should be defined separately for both types of alignment (between municipalities and relevant district / between local government and other spheres / corporate service providers):

- List of role players to be involved in the alignment process;
- Alignment events (like information flows and joint planning activities) per phase with indication of time and role players to be involved;
- Conflict solving mechanisms for aligning different role-players;

➤ Proposed Process

The process of arriving at agreed alignment procedures corresponds to the general process of arriving at the Framework.

- 1) IDP Steering Committee to present alignment need at District level Framework workshop based on methodology Guide III.
- 2) At workshop:
 - compile joint list of alignment needs and discuss mechanisms to ensure alignment;
 - agree on alignment mechanism with time and role-players to be involved;
 - propose for debate and final decision mechanism to dissolve dispute or differences between local municipalities and local with district.
- 3) DM to engage (meeting, written communication) with provincial and national departments and corporate service providers to outline municipal and district alignment needs and expectations and agree on mechanisms.
- 4) Each municipality to consider alignment when designing the Action Programme with time frame.

b) Content Guidelines

➤ Alignment Principles

- Alignment requirements should be **minimised** to keep the co-ordination requirements on a manageable level.
- Different alignment mechanisms will be suitable for the different alignment needs and at different stages.
- This implies with regard to alignment mechanisms:
 - Keeping the number of alignment **events** (such as workshops / meetings) to a minimum due to the financial and time resources required;
 - Using **bilateral communication** - telephonic / electronic / written communication as far as possible;
- Events with numerous participants from different sectors and spheres will usually require a **competent facilitator**. The facilitator should also be responsible for the documentation of the outcome.
- Alignment with provincial Departments can also be achieved through **provincial visits** to the districts.
- The establishment of a **structure** which includes provinces, districts, municipalities etc. can in some cases be the most appropriate form.
- **Municipalities**, both local and district, may have to align on a bilateral basis with **neighbour** municipalities for issues that affect both.

➤ Proposed persons that need to be involved in the alignment process

Between municipalities and relevant district

- District council's IDP Manager and IDP Steering Committee,
- Local council's IDP Manager and IDP Steering Committee,
- PIMS-Centre professional planning staff

Between local government and other spheres / corporate service providers

- Local IDP Manager
- District IDP Manager
- Provincial IDP Co-ordinator
- Provincial / national senior sector department officials
- Senior officials of relevant service providers (Eskom, Water Boards, Telkom, etc).

➤ Proposed management structure to ensure alignment

- For both alignment types (between municipalities and relevant district / between local government and other spheres / corporate service providers) the **main responsibility** to ensure alignment lies with the District Municipality.
- The **IDP Manager** should ensure alignment of local issues
- The **Provincial Department of Local Government** plays a crucial role as co-ordinator to ensure alignment above District level and between districts within a province.
- Where they have adequate capacity, the **PIMS-Centres** (Planning and Implementation Management Support Centres), established at the district level, could support the management of the alignment process.
- Districts **without a PIMS-Centre** should nominate a responsible person to manage the alignment process.
- In the case of **under capacitated District municipalities** (e.g. newly created district) the municipalities should appoint a responsible municipality and person within that municipality to manage the process on behalf of all municipalities within that DM.

➤ Proposed alignment per phase

Due to the different nature of each phase alignment may be of more or less importance and the suitable alignment mechanism will differ. The table proposes **minimum alignment requirements** for both types of alignment per phase. The indicated timing refers to the proposed Indicative Time Programme attached in Annex 1.

Phase	Timing (weeks)	Alignment Activity	Local Municipality/ District	Local Govt/ other spheres
1.	7 th	1. Information on Priority Issues to DC	X	
2.	14 th	2. Joint decision on Localised Guidelines	X	X
	15 th -18 th	3. District-level Strategy Workshop	X	X
3.	23 rd – 27 th	4. Technical inputs to project planning		X
4.	28 th – 30 th	5. Sector Programmes under responsibility of provincial / national sector departments		X
5.	end 33 rd	6. Submission of draft IDP	X	X
	34 th - 36 th	7. Comment on draft IDP	X	X
	36 th - 37 th	8. Compiling District-level Summary of local IDPs.	X	X

7. NATIONAL AND PROVINCIAL BINDING LEGISLATION AND PLANNING REQUIREMENTS

To ensure that all relevant binding national and provincial legislation as well as other policies, programmes, strategies and available funds are considered in the IDP process municipalities should be aware of all these relevant information. In order to increase efficiency and minimise costs, Districts should provide municipalities with the required information.

a) Preparation Activities and Outputs

➤ Required Outputs

- Joint District list of national and provincial binding legislation including the category of requirement (legal requirement for a municipal level plan, legal requirement as part of IDP, compliance with normative framework, for value adding contribution). (*Proposed list on national legislation, see Annex 3*)
- List of other relevant policies, programmes and documents

➤ Proposed Process

1. DM with support of provincial IDP Co-ordinator to prepare list of Provincial legislation and other important national and provincial information for Framework Workshop
2. DM to present list at Framework Workshop and familiarise municipalities with provincial sector departments' requirements as well as policies / programmes / funds / contact persons.

b) Content Guidelines

Use opportunity of engaging with national and provincial sector departments to establish contacts for alignment and outline the need for information on policies, programmes and funds, to ensure that IDP is in line with sector requirements and can attract sector budgets.

8. BUDGET FOR THE PLANNING PROCESS

The costs for the IDP process have to be budgeted by the municipality. This budget serves as a basis for applying for financial contributions from the provincial and national level. It can also help the municipal management to check whether the planning costs are reasonable in relation to other budget items. In case the planning costs seem to be unacceptably high, one will have to reconsider the Process Plan in order to arrive at a less costly IDP process or one will have to look for contributions from other sources.

a) Preparation of Activities and Outputs

➤ Required Outputs:

- A list of expenditure items with per unit cost, numbers of units and total cost per expenditure item.
- Addition of all costs.
- Crucial budget / expenditure items to be distinguished are:
 - Consultant fees
 - Facilitator fees
 - PIMSS fees for contract services
 - Costs for disseminating information
 - Costs for workshops and meetings
 - Printing costs

➤ Proposed Process

- 1) The required resources have to be indicated in the "Programme with Time Frame and Resource Requirements" for each major planning activity.
- 2) Based on that table, the costs can be calculated and summarised by type of expenditure.
- 3) In case the total costs are unacceptably high, the Steering Committee will have to discuss ways and means to reduce costs either by looking for less costly ways and means to get a planning activity accomplished or by slimming down on the way planning activities are designed.

b) Content Guidelines

- As it is not possible to predict all planning costs precisely before the beginning of a planning process the budget for the IDP process will be necessarily a preliminary estimate.
- The budget for the IDP process of an average size Category B Municipality (approx 100 000 people) should not exceed an amount of R200 000.00.
- Information requirements are usually rather costly. This is true in particular for rural areas where only limited information is available. In such cases one should keep in mind that not all relevant information need to be collected in the course of the first IDP process of a new municipality. Reasonable planning can usually be done well on the basis of sound professional estimates.
- Participation costs can be kept at an acceptable level if potential participants are made aware of the fact that it is in their own interest to be involved in the planning process and it is not a task they have to be paid for.
- There are a number of departments and agencies, which get part of their planning requirements covered by the IDP. Some of these agencies (such as DLA, DWAF, CMIP, LED, ISR, etc.) are expected to cover part of the planning costs, and it is recommended that planning costs be specified according to their requirements.

9. THE FRAMEWORK

The Framework is the main guiding document for aligning the planning process between municipalities and between municipalities and the relevant district. The framework should be developed in a joint workshop and it is binding on both district and local municipalities.

a) Preparation Activities and Outputs

➤ Required Outputs

- Introduction
- Framework Programme (see next page)
- Mechanisms and Procedures for alignment and consultation (see chapter 6)
- Legally binding Plans and Planning Requirements (see chapter 7)
- Principles and Procedures for monitoring of the Process Plan and amendment of the Framework (see next page)

➤ Proposed Process

1. District Briefing session of IDP Managers on:
 - Planning Process and Approach
 - Legislation (Municipal Structures and Systems Act)
 - Support Systems.
2. Municipalities draft tentative programmes with alignment needs.
3. District to prepare workshop including list of binding legislation and planning requirements.
4. District Framework workshop to:
 - Synthesis the individual programmes and agree on the Framework Programme;
 - Discuss and agree alignment needs and mechanisms; and
 - Develop and agree on legally binding legislation and relevant documents.
5. Adoption of Framework by District Council.
6. Framework to be considered by all municipalities within the District boundaries while preparing the Process Plan.

b) Content Guidelines

- The Framework **Programme** is a summary of the District Action Programme and the Municipal Action Programmes which focuses on the district-wide activities that need to be undertaken together in a co-ordinated way (e.g. District-wide strategy workshop). In other words it is a tool for the alignment between municipalities and a relevant district.
- Principles and Procedures for **monitoring** of the Process Plan and **amendment** of the Framework.
 - Each municipality will be responsible for monitoring its own Process Plan and ensure that the Framework Programme is being followed as agreed.
 - Proposed Procedures for Deviations:
 - Establish a committee of IDP Managers that meets after each phase to jointly assess progress and decide on amendments;
 - Each municipality to inform the District Municipality on deviations of the Action Programme that affect district-wide activities (e.g. the identification of municipal priority issues is delayed and the District wide strategy workshop needs to be postponed);
 - DM has the mandate to decide when and how an amendment takes place and therefore postpone an activity or continue with the agreed programme; or
 - All municipalities have to agree before the Framework is amended.