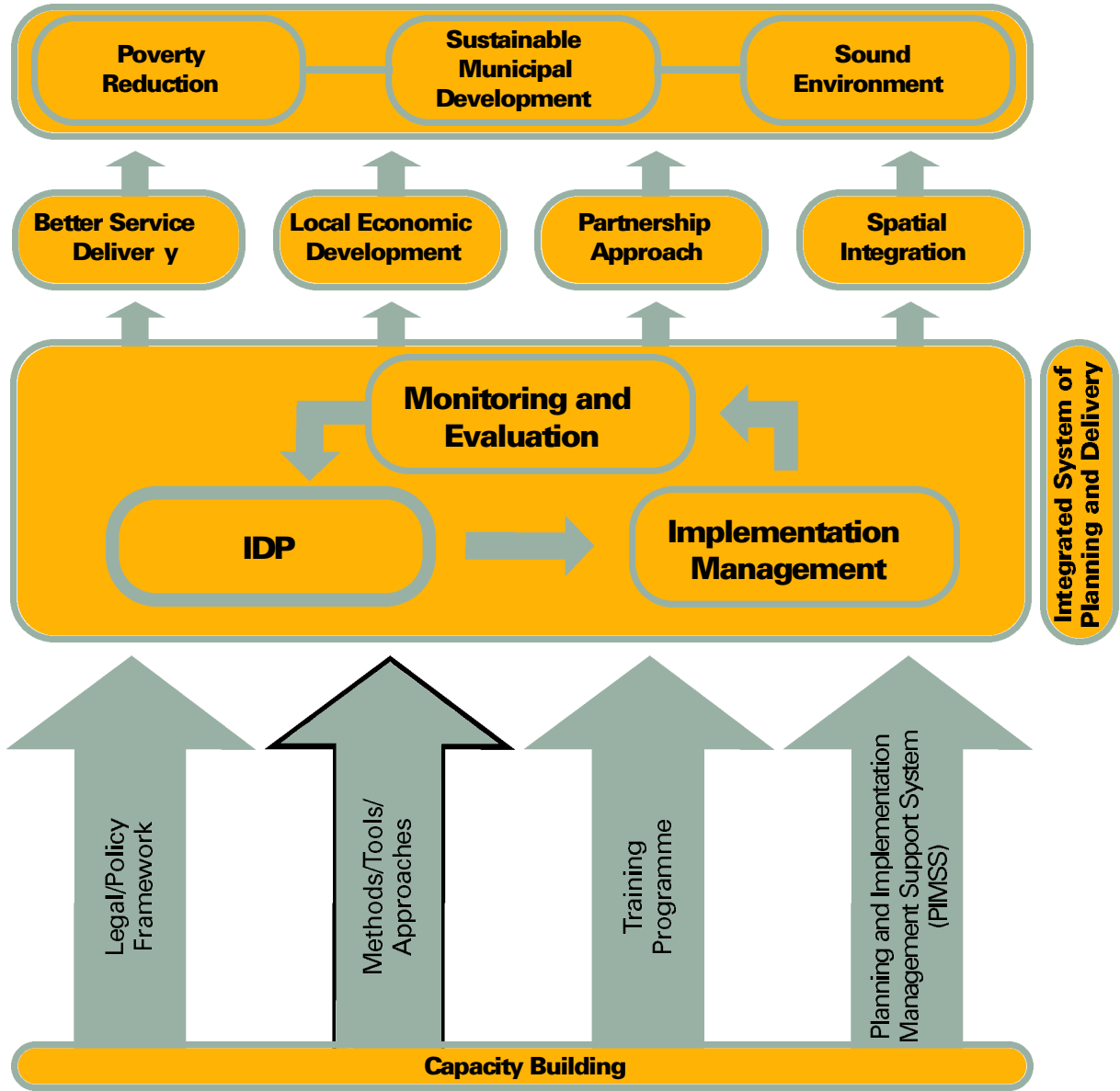


INTEGRATED DEVELOPMENT PLANNING SYSTEM



M E T H O D O L O G Y

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: TOOLBOX

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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INTRODUCTION

1. THE CHALLENGE OF A SIMPLIFIED AND USER-FRIENDLY INTEGRATED DEVELOPMENT PLANNING (IDP) MANUAL

The authors of this new IDP methodology were challenged by **three major requests**:

- ◆ to simplify the approach
- ◆ to encourage a debate on the “real issues” in a municipality, rather than a comprehensive data collection exercise and a mechanistic application of planning tools
- ◆ to present the manual in a more user-friendly format.

There is general agreement about the need for clear, concise and user-friendly guidelines, and on the desirability of a planning style which provides a platform for debate on real issues, rather than motivating for professional planners’ lonesome deskwork struggle with the right terminology. The challenge of a simplified methodology is more difficult to deal with. Integrated development planning, in order to be meaningful, is not that simple and includes:

1. A **consultative process** which requires meaningful involvement of a wide range of different stakeholders in various stages of the analysis and the decision-making process. Getting everybody on board when and where they need to be on board (rather than all the time) is a complex task.
2. A **strategic process** which requires a focused approach, and a systematic search for the most appropriate and effective solution, keeping in mind given resources, and overall policy guidelines and principles. This goes well beyond simply compiling priority lists and transforming them into budget proposals.
3. An **integrated approach** which requires thinking and acting holistically across the conventional sectoral boundaries.
4. **Implementation-oriented planning**, which requires becoming quite specific in terms of quantities, quality, responsibilities, location, time and costs to make sure delivery will take place. This goes well beyond a list of project titles.

The challenge of an IDP planning approach is to combine these three requirements in order to arrive at a *decision-making process which is consultative, strategic and implementation oriented at the same time*.

This manual uses four means of making the complexity of IDP manageable:

1. It involves an **event-centred approach** to organising the IDP process, instead of a tool- or method-centred approach. Thinking of planning as a sequence of organisational events is easier than thinking of a sequence of planning tools. And it tends to encourage a consultative and strategic discussion process on real issues which is not disturbed by requirements to stick to a certain terminology or certain formats.
2. It clearly differentiates between a **generic IDP Approach** (Guide III) which applies to all types of municipalities, and specific planning techniques and tools (Guide IV) which may differ greatly from municipality to municipality.
3. It aims at a more user-friendly language by **avoiding planners’ jargon**.
4. It **unpacks** the overall process into five sequenced “**phases**”, and into “**planning activities**” for each phase (which are not necessarily to be followed in a certain sequence).

2. INTENDED USERS OF THE MANUAL

The planning methodology, as it is outlined in this Guide III is supposed to provide guidance on how to structure and organise the IDP process. Accordingly, the major users will be the IDP Coordinators (Municipal Managers) and any professional planners or facilitators assisting in the IDP process. Other role players who are involved in the IDP Steering Committee and in the IDP Representative Forum should at least be able to understand it.

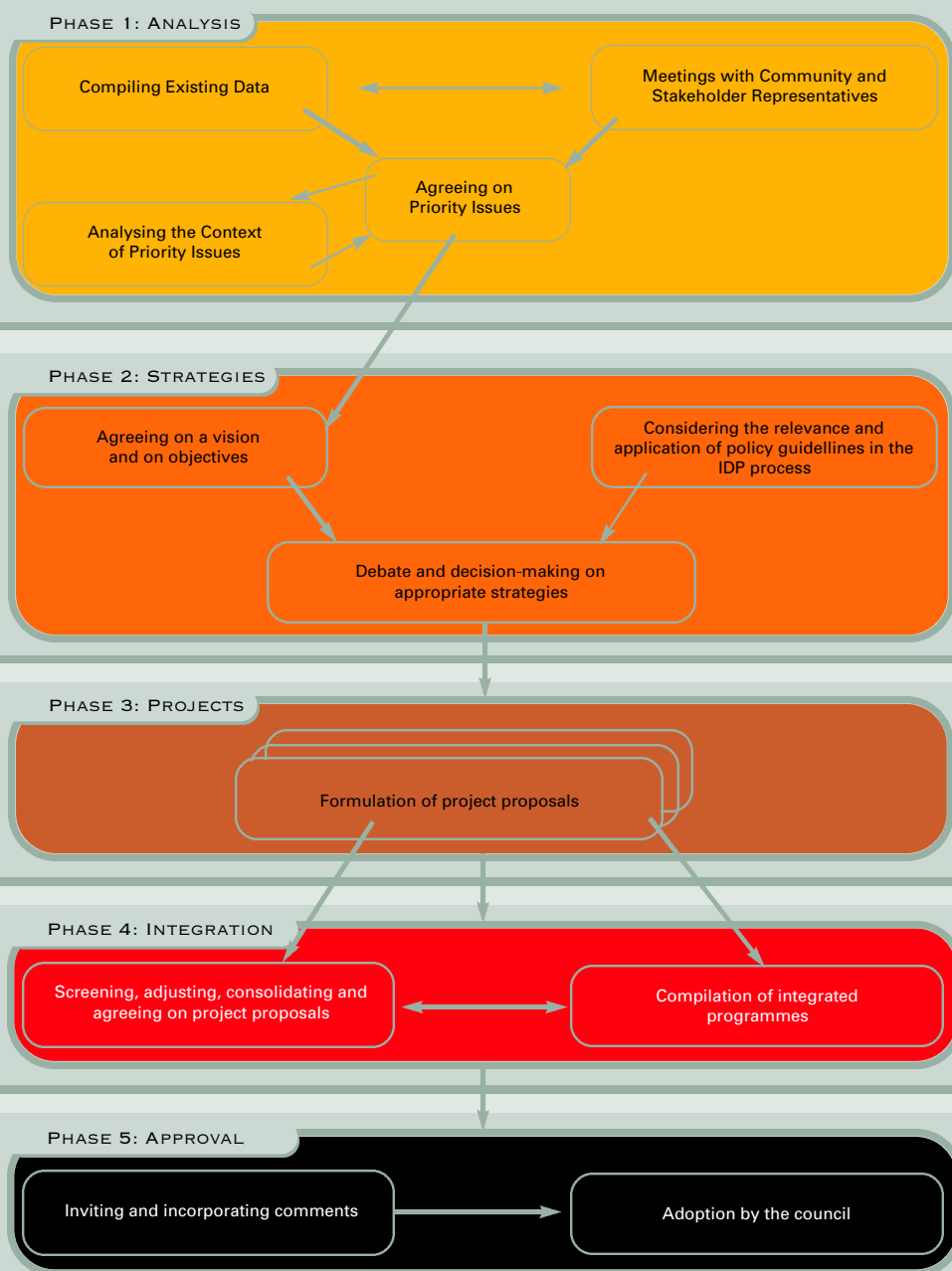
3. THE IDP APPROACH

Event-Centred Approach

The **event-centred** IDP Approach is supposed to be a systematic (but not rigid) sequence of planning events:

- starting from a focused and consultative **analysis** of the existing situation (*Phase 1 – Analysis*);
- getting through a **strategic discussion and decision-making** phase on the objectives and on the most appropriate ways and means of resolving priority issues (*Phase 2 – Strategies*);
- to a process of concrete and technical **project** planning (*Phase 3 – Projects*);
- before all project proposals are checked for compliance and consistency and **integrated into a consolidated IDP** (*Phase 4 – Integration*);
- which eventually has to go through an **assessment, alignment and approval** process (*Phase 5 – Approval*).

DIAGRAM 1: THE EVENT-CENTRED APPROACH



Planning events are usually meetings or workshops of the organisational structures in charge of the IDP process (IDP Representative Forum, IDP Steering Committee, Project Task Teams) or, in exceptional cases, activities done by individuals (data compilation, surveys, etc.). Each planning event is supposed to result in certain “outputs”. Such outputs can be in the form of information or decisions. Some of the outputs are related to legal requirements, others are just logical requirements which help to follow a conclusive process. For each planning event, suggestions are made on the type of organisations and “actors” to be involved, in order to ensure an inclusive and representative consultative and participatory process.

IDP Approach excluding Planning Techniques

The planning approach, however, does not say much about the specific planning tools to be used for each planning event. These tools may differ greatly by type of municipality.

While metropolitan councils may use sophisticated computer-based planning techniques, small category B municipalities may deal with the same planning event by means of a simple dialogue. While advanced municipalities may make use of refined information processing techniques (e.g. geographical information systems), others may have to rely on guesswork and rapid appraisal approaches. As a consequence, the *event-centred IDP approach* as presented in this manual *applies to all categories and types of municipalities*¹. All have to answer the same type of questions by going through the same kind of consultative/participatory planning and decision-making events. The principles of a:

- ◆ consultative
- ◆ strategic
- ◆ implementation oriented process

apply to each municipality and all of them will have to go through the phases of:

1. Analysing the existing situation
2. Making strategic choices
3. Designing concrete project proposals
4. Screening and integrating these proposals
5. Getting their IDPs assessed, aligned and approved.

Only the planning techniques will differ. To avoid confusing the overall IDP Approach and the context-specific techniques and tools, possible techniques and tools for different types of municipalities are compiled in a different manual (Guide IV: “Tool Box”). Designing the IDP Approach in a way which avoids proposing specific planning techniques and tools is a way:

- to simplify the approach (each municipality can opt for its own degree of simplification or sophistication); and
- to allow for a certain degree of pluralism with regard to planning styles and techniques as well as for flexible adjustment to the context of each municipality.

Consultative/Participatory Approach

The IDP Approach is based on the principle of **inclusive and representative consultation and/or participation** of all residents, communities and stakeholders within a municipality, as well as representatives from other spheres of government, sector specialists, and other resource persons.

Due to the large size of the amalgamated municipalities, the consultation/participation process as suggested here follows the principles of:

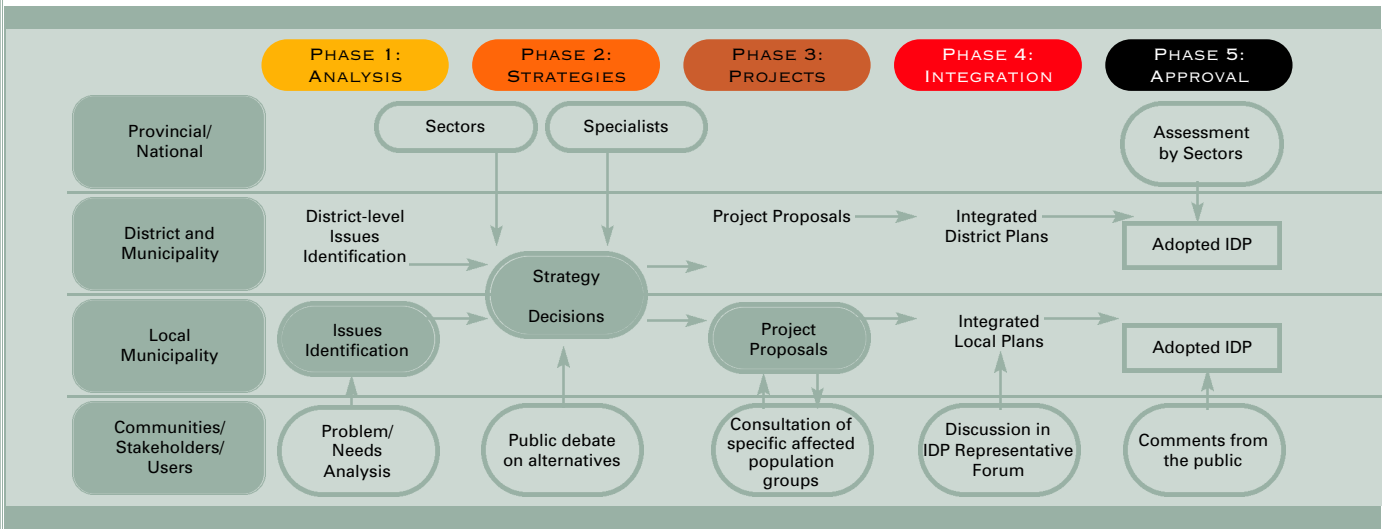
- (a) *structured participation* through organisations and legitimate representatives (or advocates in the case of non-organised disadvantaged or marginalised population groups), rather than direct participation,
- (b) *providing prerequisites and opportunities* for participation, rather than proactively encouraging and organising participation by municipal government.

¹For the distribution of roles between District Municipalities and Local Municipalities see Guide II.

In other words: Direct participation of residents and community members through public meetings will be the exception rather than the rule in municipalities with 100 000 inhabitants on average. The approach is based on **institutionalised participation** with an IDP *Representative Forum* as the major organisational body, and with provision of adequate time for the representatives to consult with their communities or their membership before discussing the issue in the IDP Representative Forum.

Participation and consultation will have to happen **during all phases**, rather than being exclusively applied for assessment and prioritisation of needs or problems during the Analysis Phase.

DIAGRAM 2: CONSULTATIVE/PARTICIPATORY APPROACH BY PLANNING PHASE



- In **phase 1** communities and stakeholders are given the chance to analyse their problems and determine their priorities.
- In **phase 2** there will be opportunity for a broad public debate on the appropriate ways and means of solving problems.
- In **phase 3**, the communities and/or stakeholders affected by a concrete localised project will be consulted on specific questions related to the project design (how should facilities/services be designed? where should they be located? who should provide it? who should get access under which conditions?).
- In **phase 4**, the IDP Representative Forum will have to check whether the project proposals are in line with the priorities and strategic guidelines.
- In **phase 5**, communities and stakeholders will be given the opportunity to comment on the draft IDP.

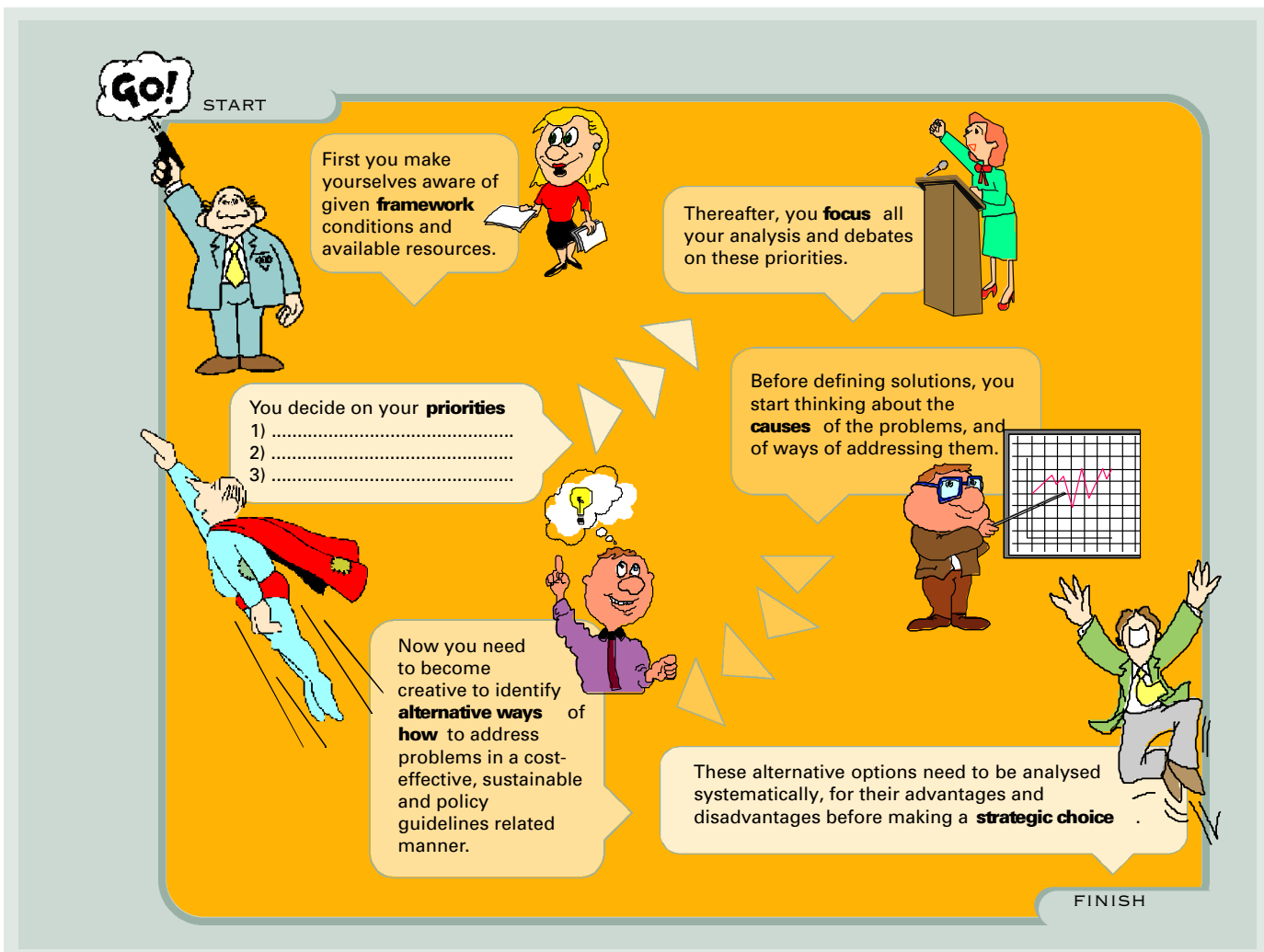
This approach of institutionalised and structured participation and consultation is expected to provide better opportunities for relevant participation with less effort and cost for the municipal government which does not necessarily have to cover costs for initiating and organising public meetings.

Strategic Approach

The strategic planning approach does not only become relevant during the “Strategy Phase”. Strategic planning means to make the best use of limited resources considering the given conditions and policy guidelines. It includes:

- ♦ **prioritising** on a few crucial issues rather than dealing in a comprehensive manner with all issues (Phase 1).
- ♦ **focusing** analysis rather than wasting resources for collection of useless information (Phase 1).
- ♦ **addressing root causes** of problems, rather than only symptoms (in Phase 1, causes are to be identified, in Phase 2 they have to be considered when designing strategies).
- ♦ taking given **resources and relevant context** into account (in Phase 1 these have to be identified, in Phase 2 they have to be considered).
- ♦ **identifying** and **analysing alternative strategic options** (asking the “How-question”) rather than going for preconceived solutions (Phase 2).

DIAGRAM 3: STRATEGIC APPROACH



Strategic planning is not difficult as such. In private life, everybody is used to prioritising, focusing, addressing the roots of problems, taking own resources (and limitations) carefully into account, and searching for the best option. It tends to be the institutional routine which takes us along the non-strategic path of spending scarce public resources in an ineffective manner by trying to deal with symptoms in a comprehensive manner and by applying costly standard solutions.

The challenge of strategic planning is not a methodological one. It is an institutional and sometimes a political one. Prioritising, focusing and making choices require a debate on distribution and allocation of scarce resources, between departments, population groups and locations.

Such debates tend to be conflictual ones. The challenge of developmental local government is to handle and resolve such conflicts by following policy guidelines, by looking for more effective ways and means which can satisfy more needs with given funds, by finding common ground or by managing negotiation processes for compromises.

IDP does not establish that challenge, **but IDP tries to provide an appropriate forum and systematic manner of dealing with that given challenge. The IDP approach**, by being a strategic planning approach, can be seen as a **conflict-resolving process**. By providing a systematic and transparent decision-making process, it will help find acceptable solutions within given time-periods, thereby overcoming many of the decision-making deadlocks which delay the delivery of services.

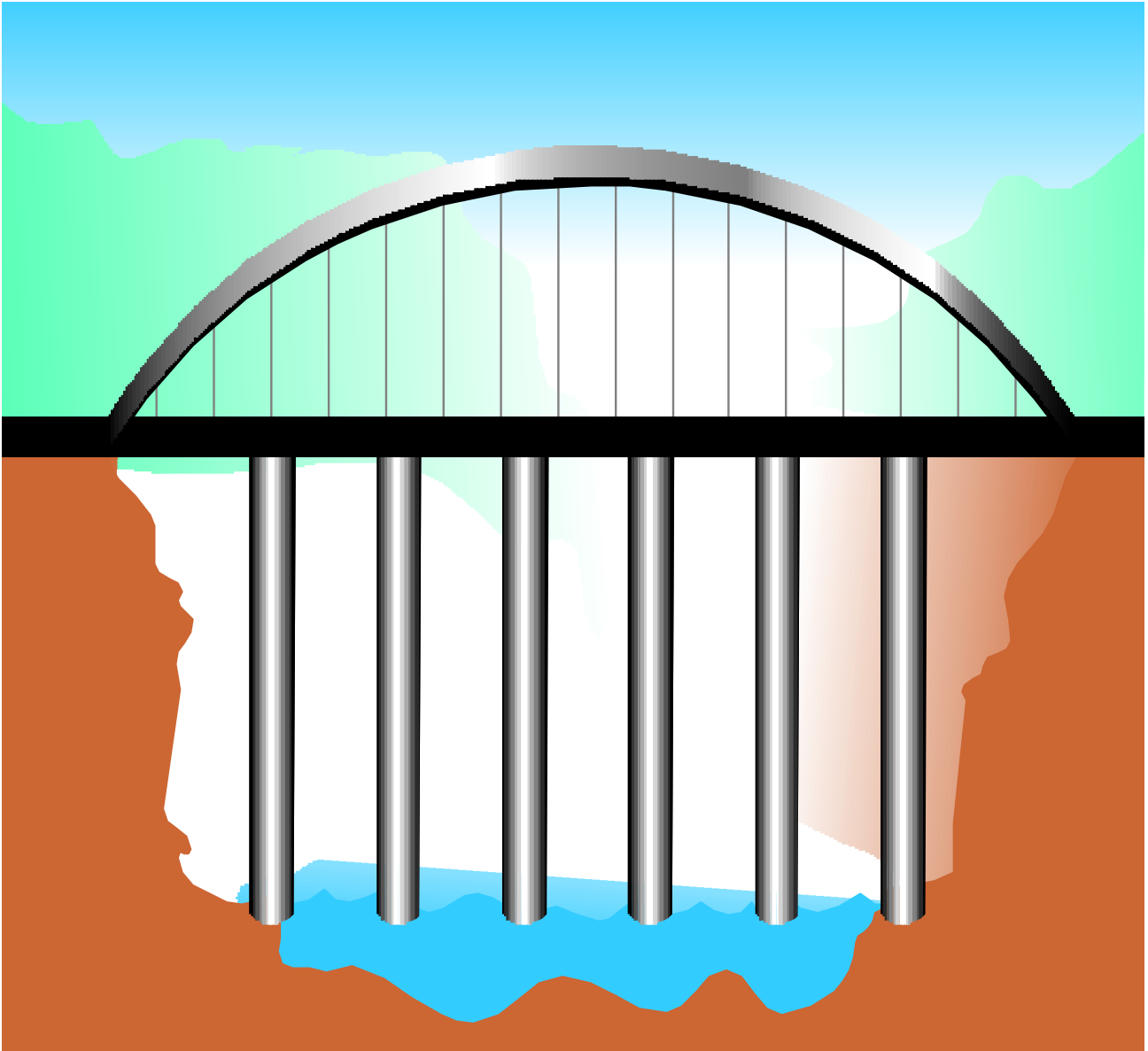
In addition to the systematic approach proposed in this manual, good facilitators will be crucial for such consultative decision-making processes. Moreover, appropriate solutions may need a broader discussion process, involving external resource persons and other spheres of government, besides local stakeholders. For this reason, the **District-level** is proposed to be a crucial **forum for strategic decision-making processes**. It is the appropriate forum, where "people & places" meet "sectors & subjects", i.e. where local knowledge can be combined with the knowledge of technical experts.

Implementation oriented Approach

Integrated Development Plans are only as good in so far as they **help municipal management to improve and fast-track delivery and development**. Planning is supposed to become part of municipal management by preparing decisions in a manner which is conducive to turning them into actions. This understanding of IDP implies some **requirements with regard to the nature and quality of the planning process**:

- (a) The *project proposals* have to be rather *concrete and specific* in respect of quantitative targets, quality, timing, location, costs, and responsible implementing agencies. This is required in order to provide the necessary information for the business planning of envisaged implementing agencies and for fulfilling approval requirements of potential financing agencies.
- (b) The IDP has to be carefully checked for its *compliance with the financial resource framework* and with the available institutional capacities.
- (c) There has to be a close link between the planning and the budgeting process.
- (d) Those in charge of managing the implementation process have to play a key role in the *planning process* in order to ensure realism of the plans and to promote their buy-in.
- (e) There has to be sufficient *consensus* among potential users, affected population groups and other interested stakeholders on the planned projects to avoid delay of implementation resulting from conflicts. This means, that concerned population groups have to be involved in the project designing process.

DIAGRAM 4: IMPLEMENTATION-ORIENTED APPROACH



Consequently, IDPs have to go beyond providing a general and vague strategic framework for subsequent project planning, in order to be useful as a management and budget planning tool. The “real” technical planning work is not supposed to be done after the completion of an IDP, it needs to become an integral part of the IDP process (though not all technical details may have to become part of the IDP document).

Not all technical planning, however, can be done within the IDP’s planning period. Some projects may require detailed feasibility studies which take more time or which may only be due at a later stage. In such cases, targets, costs and budgets have to be calculated on the basis of sound professional estimates (“pre-feasibility study” level of planning).

IDP and Sectoral Planning

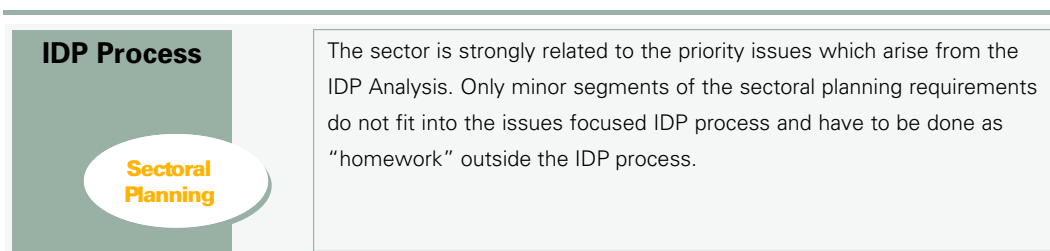
IDP is an inter-sectoral, but priority focused planning process which may or may not include each and every sector. It may also only overlap with sectoral planning responsibilities to a certain degree, depending on local priorities as the primary guiding factor.

Sector agencies within a municipality, as well as those belonging to other spheres of government, have their own planning requirements, some of which are defined by legislation. The IDP approach, as presented in this manual, is aligned to these sectoral planning requirements in a way that they are incorporated in the IDP process.

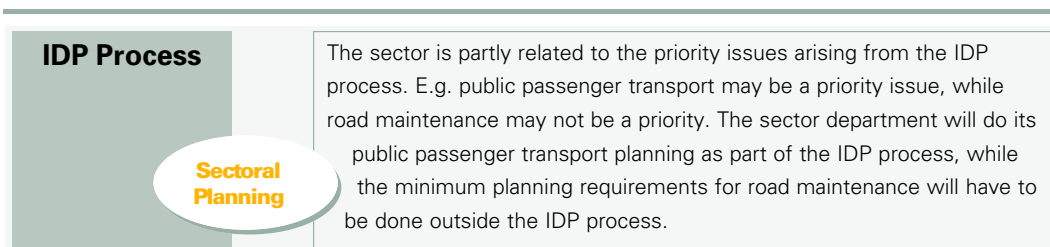
As a result, sectoral planning requirements will be met by the IDP process as proposed in this manual, wherever such planning requirements relate to cross-cutting issues (like spatial planning and environmental issues) and where a sector (or part of it) is related to priority issues resulting from the IDP process. Only such aspects of sectoral planning requirements which have nothing to do with the priorities of a municipality will have to be dealt with separately from the IDP process. That means that there will be varying degrees of overlap, depending on the coincidence between sectoral planning requirements and a municipality's priorities. But there will be no more duplication of planning requirements. And there will be a basis for the full involvement of sector agencies in the IDP planning, funding and implementation process.

DIAGRAM 5: IDP AND SECTOR PLANNING

CASE A



CASE B



CASE C



Conclusion

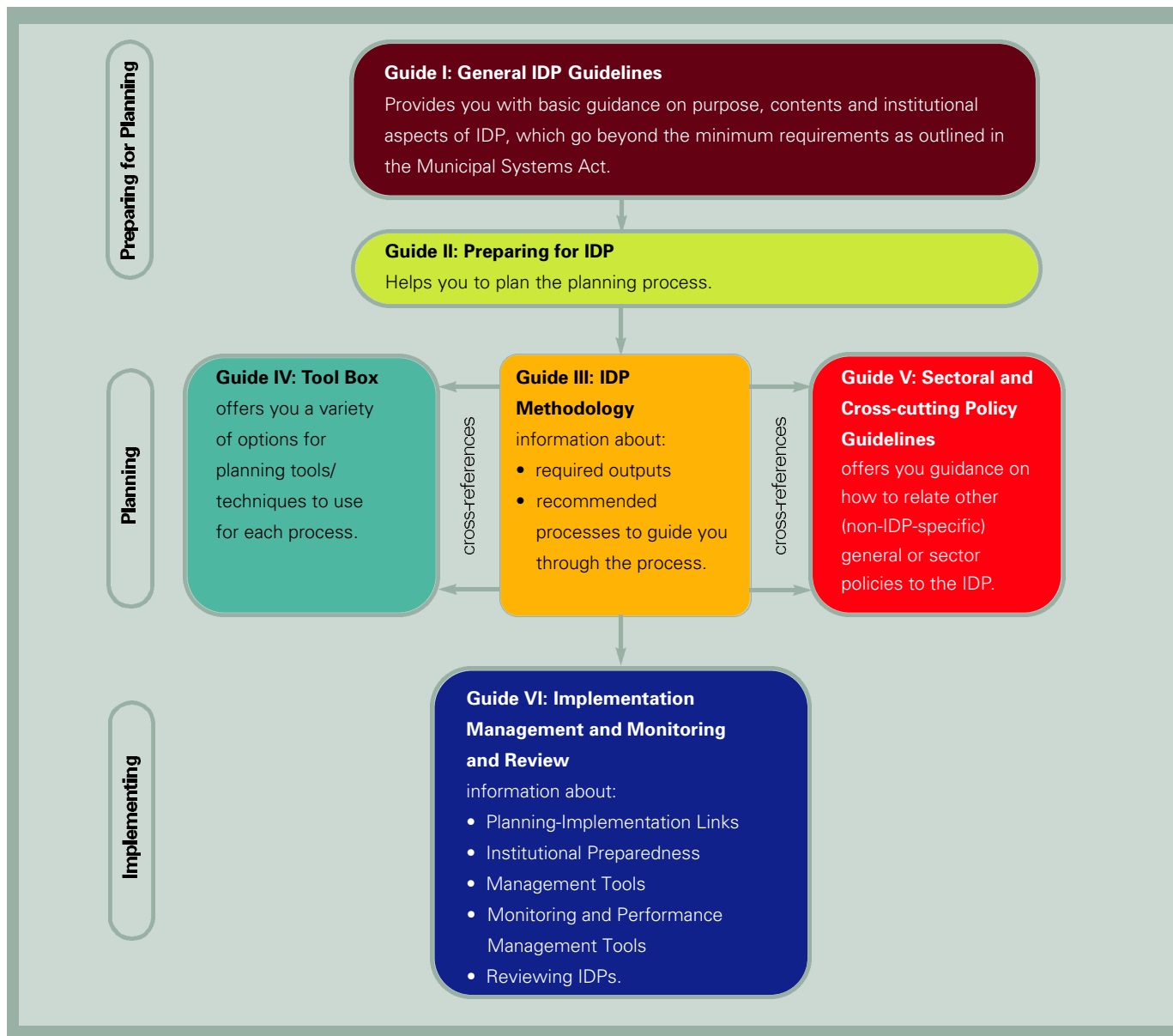
The event-centred IDP Approach which does not include planning techniques, is supposed to make the inherent complexity of a consultative, strategic and implementation oriented inter-sectoral planning process manageable and transparent. One does not have to be a professional planner to understand the approach and to organise the IDP process accordingly. But one may have to engage professional planners or facilitators at certain stages of the approach to help identify and handle appropriate planning techniques and tools.

4. THE USER-FRIENDLY DESIGN OF THE IDP GUIDE PACK

The new manual attempts to be a user-friendly document by:

- (a) Splitting **information** into context- and target group-specific *packages*, i.e. in six guides² which can be used independently of each other; and
- (b) **Standardising** the **presentation** of the planning methodology (Guide III) to a high degree by sub-dividing the approach into “Planning Activities” which are described and explained in the same way, thus allowing quick and focused access to the required information.

DIAGRAM 6: GUIDE III IN CONTEXT



²The six Guides are:
 Guide I: IDP Guidelines
 Guide II: Preparing for IDP
 Guide III: IDP Methodology
 Guide IV: IDP Toolbox
 Guide V: Sectoral and Cross-cutting Policy Guidelines
 Guide VI: Implementing and Monitoring IDPs

- (c) **Avoiding planning jargon** as far as possible by not suggesting specific planning techniques in Guide III.
- (d) **Highlighting minimum requirements** for each phase and planning activity, thereby differentiating clearly between the “must” (resulting from legal and policy requirements) and the non-prescriptive recommendations for those who want some hints on how to deal with a certain planning activity.
- (e) Providing **short answers** to the following set of questions for each planning activity:
 - **WHY** do it? (i.e. explaining the purpose of a planning activity)
 - **WHAT** needs to be there as a result of the planning activity? (i.e. specifying the output)
 - **HOW** should the process or procedure look in order to arrive at the output?
 - **WHO** shall be in charge and be involved?
 - **HOW LONG** should it take?

Guide III, however, has got the character of a manual. That means it is not a booklet to be read from page 1 to the end to get a quick overview (this purpose is aimed at by the General Overview “IDP at a Glance”). It is a document to be used during the planning process accordingly to need, i.e. to look for answers when questions arise. It is meant to offer fast access to specific information for those involved in the planning process, rather than to provide a short holistic summary on what IDP is all about.

5. PLANNING ACTIVITIES

The IDP Approach is structured by “Planning Activities” which apply for both Local and District Municipalities. These “Planning Activities” should not be confused with planning *steps*. While some of the “Planning Activities” are planning events which will have to be done in a certain sequence, other “Planning Activities” are related to ways and means of considering certain aspects and planning requirements during or inbetween certain planning events (e.g. how to deal with the environmental, spatial, or economic dimension when designing strategies). In other words: Planning Activities may be steps or events to be organised (such as workshops, studies, data compilation) or they may refer to the way certain aspects have to be considered during a specific step or event.

For each phase of the IDP process, there is an overview chart which indicates:

- (a) the proposed planning events and their sequence;
- (b) the outputs of the phase; and
- (c) “Planning Activities” which cover aspects to be considered in the process.

This will help give the user of the Guide an overview of the process and nature of the “Planning Activities”.

6. THE 5 PLANNING PHASES: PURPOSES, PROCESS AND OUTPUTS

PHASE 1: ANALYSIS

Purpose:	To ensure that decisions will be based on: <ul style="list-style-type: none"> – people’s priority needs and problems – knowledge on available and accessible resources – proper information and on a profound understanding of the dynamics influencing the development in a municipality.
Processes:	<ol style="list-style-type: none"> (1) Data-based analysis of service standards/gaps <i>(including sector-specific data)</i> (2) Participatory problem analysis/issues prioritisation <i>(cross-sectoral)</i> (3) In-depth analysis related to identified priority issues (dynamics, causal factors, resources, etc).
Outputs:	<ul style="list-style-type: none"> • Assessment of the existing level of development • Priority issues/problem statements • Understanding of nature/dynamics/causes of these issues • Knowledge on available resources and potentials (including a tentative overall financial frame).

PHASE 2: STRATEGIES

Purpose:	To ensure that there will be a broad inter-sectoral debate on the most appropriate ways and means of tackling priority issues, under consideration of policy guidelines and principles, available resources, interlinkages, competing requirements and an agreed vision. The strategy debate shall help avoid the usual short cut from identified needs to sectoral projects. It shall help find more appropriate, innovative and cost-effective solutions under due consideration of various options. It is the phase of making choices.
Processes:	<ul style="list-style-type: none"> • Inter-sectoral workshop process as a forum for open discussions on ways and means of dealing with the priority issues/problems • Workshops (as a rule) at district-level with all affected local municipalities and representatives from relevant provincial and national agencies and corporate service providers in order to ensure: <ul style="list-style-type: none"> – well informed and well facilitated strategic debates – that cross-boundary issues and inter-government/sector alignment issues are taken care of.
Outputs:	<ul style="list-style-type: none"> • Vision (for the municipality) • Objectives (for each priority issue) • Strategic options and choice of strategy (for each issue) • Tentative financial framework for projects • Identification of projects.

PHASE 3: PROJECTS

Purpose:

To ensure a smooth planning/delivery link by providing an opportunity for a detailed and concrete project planning process done by project task teams of professionals and relevant stakeholders who provide proposals with tentative target figures, technical standards, locations, time horizons and cost estimates. This phase will give the sector specialists their appropriate role in the planning process, thereby contributing to a smooth planning – implementation link.

Process:

Project Task Teams which include the officers from the agencies in charge of implementation (departments, corporate sector agencies) and other domain specialists will be charged with the task of working out project proposals in consultation with specialists from provincial/national agencies and from the communities or stakeholders affected by the project.

Outputs:

- Indicators (quantities, qualities) for objectives
- Project outputs with targets and location
- Major activities, timing
- Responsible agencies/actors
- Costs and budget estimates and sources of finance
 - *Consideration of sectoral planning requirements*
 - *Sector plans may be elaborated during this phase; IDP will only include a summarising project overview resulting from such sector plans.*

The degree of specification and exactness of the outcomes will vary, as some projects may need in-depth feasibility studies which may not be manageable within the IDP planning period. At least tentative estimates based on preliminary decisions on the project design (pre-feasibility level) shall be provided.

Remark:

While the focus of the IDP planning process is on priority issues, there are also a number of departmental routine projects (e.g. maintenance) which are found to be necessary though not regarded as a priority. These have to be planned during phase 3 and be reviewed in relation to the financial requirements for priority issues and related projects/programmes.

PHASE 4: INTEGRATION

Purpose:

To ensure that the results of project planning will be checked for their compliance with vision, objectives, strategies and resources and that they will be harmonised. The harmonisation process will result in a consolidated spatial, financial and institutional framework as a sound basis for smooth implementation.

Processes:

- Presentation of project proposals to the IDP Representative Forum and discussion
- Matching, alignment (within municipality)
- Revision by Project Task Teams
- Compilation of revised proposals.

Outputs:

- Revised project proposals (may be revised strategies)
 - for priority projects
 - for other projects
- 5-year financial plan (all sources of finance)
- 5-year capital investment programme (all sources of finance)
- 5-year municipal action plan (for municipal management)
- Integrated spatial development framework
- Integrated programmes for LED, environmental issues, poverty alleviation, gender equity and HIV/AIDS
- Institutional plan for implementation management
- Consolidated monitoring/performance management system
- References to sector plans
- *(Outcomes of sector plans to be fed back into the IDP process)*
- Disaster Management Plan.

PHASE 5: APPROVAL

Purpose:

To ensure that, before being adopted by the Municipal Council, all relevant stakeholders and interested parties, including other spheres of government have been given a chance to comment on the draft plan, thus giving the approved plan a sound basis of legitimacy, support and relevance.

Processes:

- Discussion of Draft IDP in the Municipal Council
- Providing opportunity for public comments
- Amendments in line with comments
- Approval by Municipal Council
- District-level alignment: Horizontal coordination
- Provincial/national level alignment
 - legal compliance check
 - sector alignment
 - feasibility check/professional feedback
- Amendments and/or response by local councils
- Final adoption by council.

Output:

- An amended and adopted Integrated Development Plan.

Final Outcome:

- An IDP document which has the support of the municipal administration, the municipal residents, the district council and all relevant agencies in charge of implementation of programmes and projects within the municipal area of jurisdiction and which is approved by the Municipal Council.

7. THE DISTRIBUTION OF ROLES BETWEEN DISTRICT AND LOCAL MUNICIPALITIES

There has always been some confusion about the distribution of roles between Districts and Local Municipalities (TLCs, TRCs) in the LDO/IDP process. Should the Districts go ahead with planning and establish a framework plan as a basis for local level planning? Or should the local level go ahead first, leaving it to the Districts to produce an amalgamated and consolidated plan on the basis of local plans?

The demarcation process has resulted in a fundamental change in the distribution of roles and relationships between Districts and Local Municipalities. Previously, the roles of both levels were not strongly interrelated: The Districts were mainly expected to cater for those areas not covered by Local Municipalities. Besides, they did regional-scale planning and programme implementation. Now, there will be wall-to-wall municipalities. With the exception of a few direct "District Management Areas", Districts will be responsible for the same areas as Local Municipalities. Sharing responsibilities for the same areas of jurisdiction requires cooperation, rather than operating in isolation in different fields.

This has implications for the IDP process. According to the Municipal Structures Act and the Municipal Systems Act, both tiers of local government have to elaborate IDPs as a crucial part and tool of their management and delivery system. In order to avoid duplication of work, the two planning processes should be closely interrelated. The design of this interrelation and distribution of responsibilities has to take **four imperatives** into consideration:

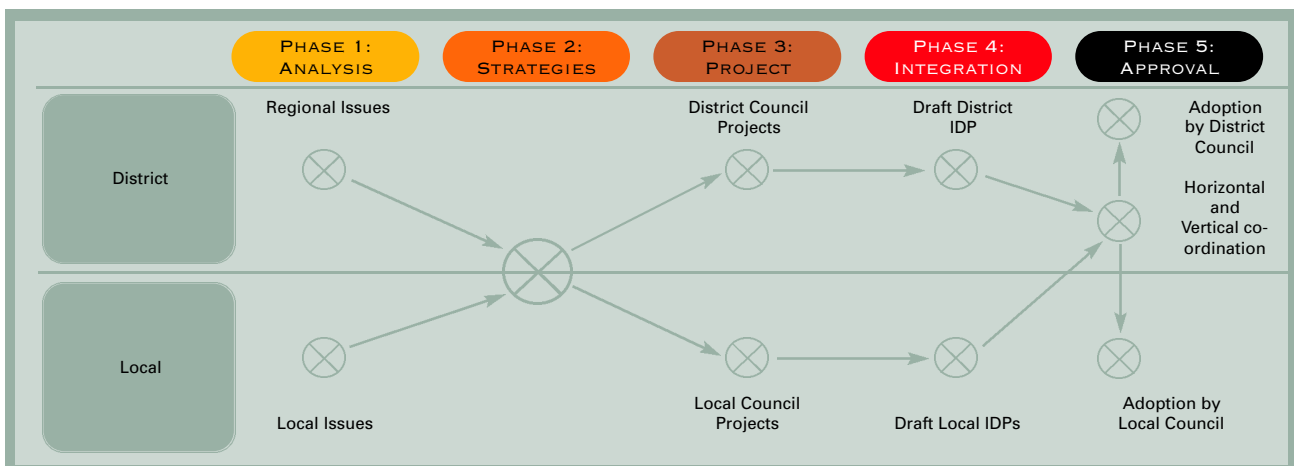
- **The analysis and prioritisation of needs and problems** needs to be done through a participatory process, involving local communities and stakeholders. The information on service gaps and on potentials needs to be location-specific. Therefore, this has to be done **by Local Municipalities**, which are close to the residents.
- Local Municipalities and District Municipalities need their own planning processes and their own planning documents if IDP is to contribute to **institutional transformation** and if it is meant to **inform municipal budgets and business plans**. Therefore, one district-level plan for all local government entities within the district will not be sufficient to make IDP an effective tool for development local government.
- There are **strategic planning and decision-making processes** which are of similar nature for all local municipalities, and which need high level facilitation and professional skills, as well as the involvement of sector specialists from provincial level. Therefore, the elaboration of strategies may be better done jointly by all Local Municipalities, together with Districts and provincial officers **on District-level**.
- Smooth **coordination** between adjacent (???) local municipalities and between local and district level.

Translating these three imperatives into the phasing of IDP processes may result in the following **procedure**:

- During **Phase 1**, the phase of analysis, assessment and participatory issues identification, the focus of the planning process will be on the local level, while District Councils may do some analysis related to region-wide issues (but without getting involved in an extensive participation process on its own).
- During **Phase 2**, the phase of strategising, the focus will, as a rule, be on District-level, while there may still be some locally specific issues which need locally specific strategies. Local Municipalities should be invited to strategy workshops on each of the priority issues, to jointly discuss the most appropriate problem-solving strategies. Provincial and national specialists and competent resource-persons from civil society could be invited to join this process, which will be facilitated by the staff of District-level PIMS-centres. This is the arena where “people and places meet with sectors and subjects”.
- During **Phase 3**, the phase of project planning, each type of municipality will have to do its “homework”, i.e. transforming strategies into concrete localised projects which will inform the budgets and business plans.
- The same applies to **Phase 4** (“Integration”) during which local and district municipalities will check and consolidate the project proposals in order to arrive at integrated plans and programmes as a basis for their management systems.
- During **Phase 5** (Approval), the Districts will have to play an important role in horizontal (cross-border issues) and vertical coordination.

Local and District-level planning will therefore be done parallel, but inform each other mutually, rather than in a one-sided bottom-up or top-down manner.

DIAGRAM 7: MODEL FOR INTEGRATION OF DISTRICT- AND LOCAL-LEVEL IDP

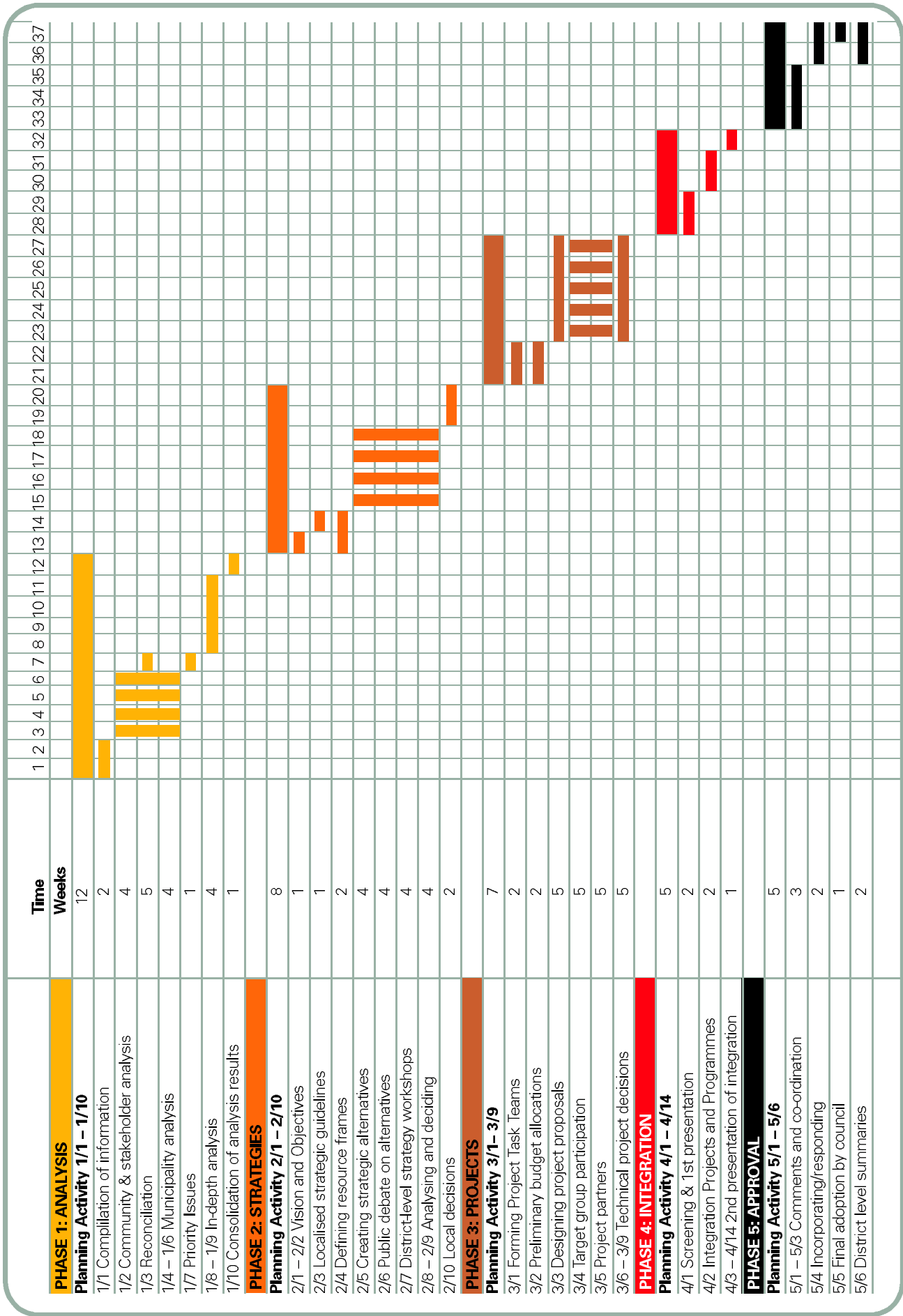


8. AN INDICATIVE TIME AND RESOURCE FRAME FOR THE IDP PROCESS

	Planning Activity	Time Requirement (weeks)	Type of Event	Special Resource Requirements
1/1	Compilation of existing information	2	Desk work	–
1/2	Community/stakeholder workshops	4	(a) Rep Forum Meeting (b) Local Meetings	
1/3	Reconciling 1/1 and 1/2	(2)*	Various interactive processes	
1/4 – 1/6	Municipality-wide analysis Spatial/Socio economic analysis	(1)*	Rep Forum	Facilitation Specialists
1/7	Identification of Priority Issues	1	Desk work Rep Forum Workshop	Facilitation
1/8	In-depth Analysis	4	Studies Rep. Forum workshop	Specialists
1/9				
1/10	Consolidation of analysis/drafting	1	Desk work	
	Phase 1	12	4 Rep Forum workshops	
2/1 – 2/2	Vision, Objectives	1	Rep Forum workshop	Facilitator
2/3	Localised Strategic Guidelines	1	District workshops	Specialists Facilitator (Districts)
2/4	Defining resource frames/financial strategy	(2)*	Rep Forum workshop	Facilitator
2/5 – 2/6	Creating alternatives/conditions for public debate	(1)*		
2/7 – 2/9	District Strategy workshops (time frame for all strategy workshops)	4	District workshops	Facilitator (Districts)
2/10	Translating into Local decision	2	Rep Forum workshop Desk work	Facilitator
	Phase 2	8	3 Rep Forum workshops 2 District workshops	
3/1 – 3/2	Forming Project Task Teams/ setting budget frame	2	Desk work Rep Forum	Facilitator
3/3 – 3/9	Designing project proposals	5	Task Teams	
	Phase 3	7	1 Rep Forum workshop	
4/1	Screening of project proposals/integration	2	Desk work Rep Forum workshop	Facilitator
4/2 – 4/13	Revising and integrating projects and programmes	3	Desk work Rep Forum workshop	Facilitator
	Phase 4	5	2 Rep Forum workshops	Facilitator
	Phase 5	5	1 Rep Forum workshop	Facilitator Specialists
	TOTAL:	37	11 Rep Forum Workshops	

**To be done during other planning activities; no separate time requirements.*

- (1) Depending on the in-built staff capacities of a municipality, these resources may be provided by the municipality or they have to be hired from PIMS-Centres or from consulting firms. The requirements relate to a range of very different skills and can, therefore, by no means be covered by one single consultant. The quantity depends on the size of a municipality and on the type of issues.



9. AN INDICATIVE LIST OF CONTENTS OF AN INTEGRATED DEVELOPMENT PLAN

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

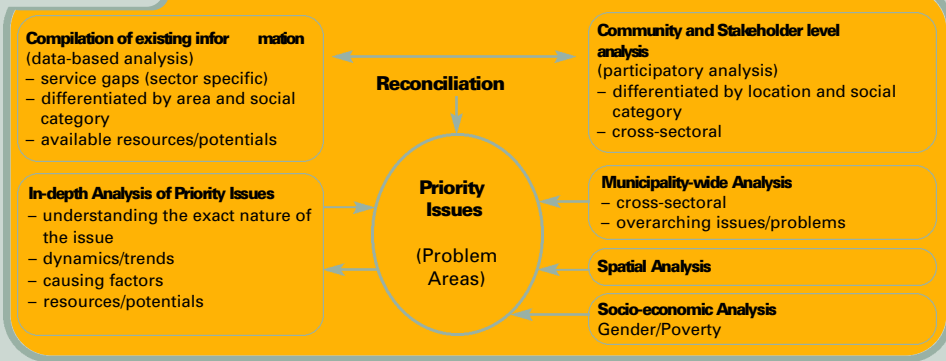
A list of contents is, however, quite a useful tool to provide an idea on how an IDP might look. The following example may help to get an impression, but it should not prevent anyone from developing his/her own creative ideas.

LIST OF CONTENTS

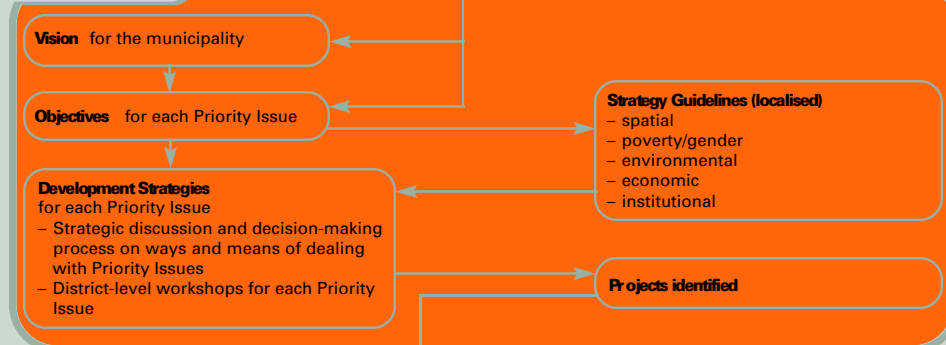
1. The Planning Process	(3 – 6)
1.1 Institutional arrangements/roles and responsibilities	(1 – 2)
1.2 Process overview: Steps and events	(1 – 2)
1.3 Self-Assessment of the Planning Process	(1 – 2)
2. The Situation	(30 – 40)
2.1 Current Reality: Basic facts and figures	(3 – 5)
2.2 Summary of community and stakeholder Priority Issues	(1 – 2)
2.3 Priority Issues from a Municipal Perspective	(1 – 2)
2.4 Spatial Analysis: Patterns and trends	(2 – 4)
2.5 Social Analysis: Poverty situation and gender-specific issues	(2 – 3)
2.6 Economic Analysis: Major patterns and trends	(1 – 2)
2.7 Environmental Analysis: Major risks and trends	(1 – 2)
2.8 Institutional Analysis: Strengths and weaknesses of the municipal administration	(1 – 2)
2.9 Priority Issues in Context: Summary reports on in-depth analysis	(15 – 20)
3. Development Strategies	(25 – 40)
3.1 The Municipal Vision	(1)
3.2 Localised Strategy Guidelines	(15 – 20)
3.3 Objectives and strategies for each Priority Issue (including objectives, available resources, alternatives taken into consideration, assessment and proposed strategy)	(10 – 15)
3.4 Financial Strategy	(1 – 2)
3.5 Summary list of identified projects	(1 – 2)
4. Projects 1 page project format per project (see 3/3)	(15 – 30)
5. Operational Strategies	(16 – 25)
5.1 Operational 5-year Action Plan	(1 – 2)
5.2 5-year Financial Plan	(1 – 2)
5.3 Capital Investment Programme	(1 – 2)
5.4 Integrated Spatial Development Framework	(3 – 5)
5.5 – 5.8 Integrated Social, economic, environmental and institutional programmes	(6 – 10)
5.9 Disaster Management Plan	(2 – 3)
5.10 Monitoring and information flow system	(2 – 3)
	<hr/> (90 – 140) <hr/>

PHASES OF THE IDP PROCESS – OVERVIEW

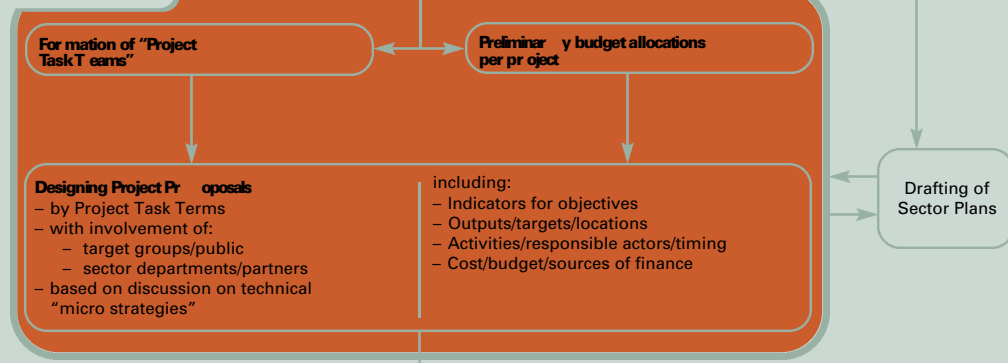
ANALYSIS



STRATEGIES



PROJECTS



INTEGRATION



APPROVAL

