

PHASE 1: ANALYSIS

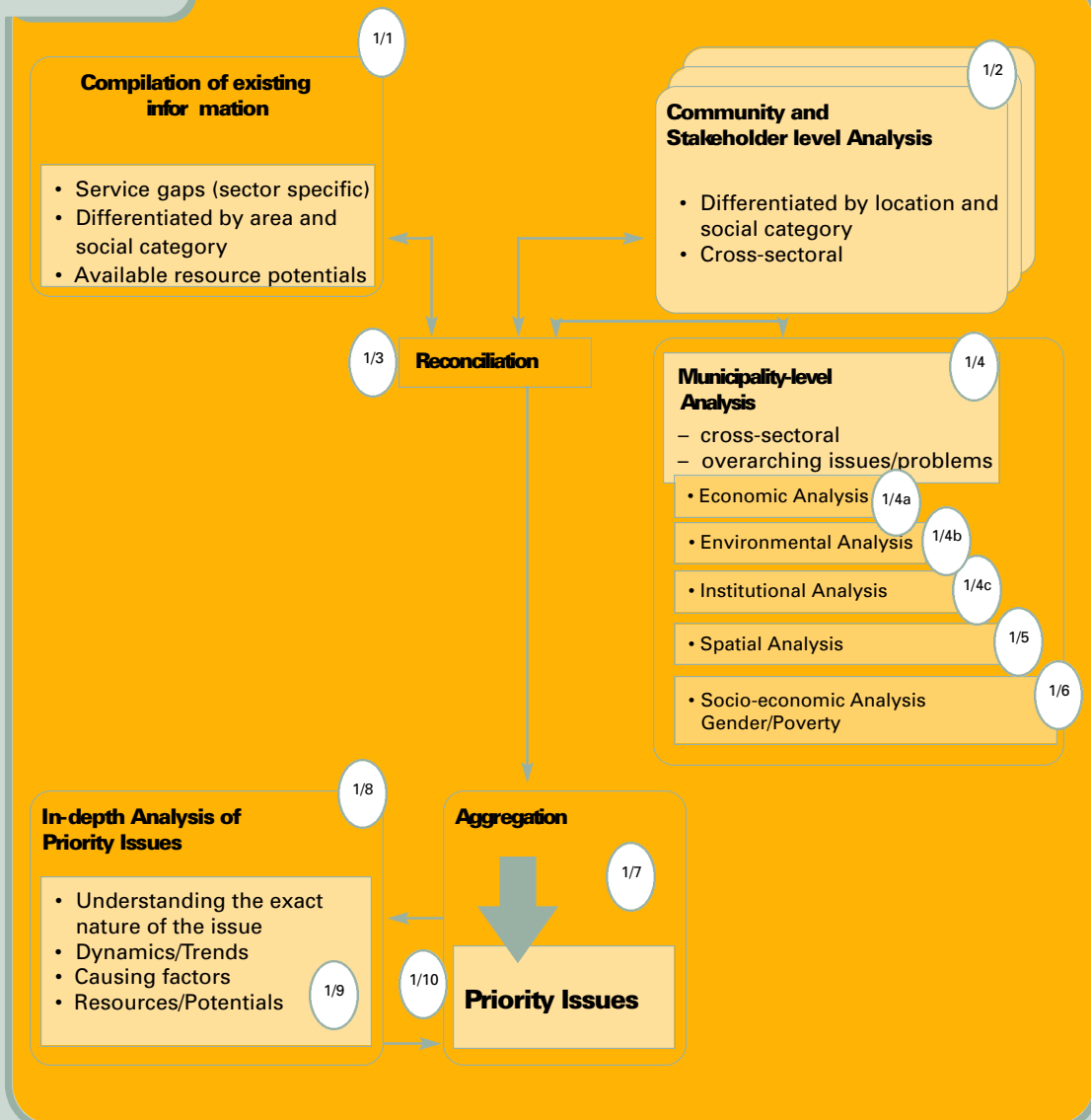
- Introduction
- 1/1 Compilation of Existing Information
- 1/2 Community and Stakeholder Level Analysis
- 1/3 Reconciling Existing Information Compilation and Community and Stakeholder Level Analysis
- 1/4 Municipality-level Analysis
 - 1/4a Economic Analysis
 - 1/4b Environmental Analysis
 - 1/4c Institutional Analysis
- 1/5 Spatial Analysis
- 1/6 Socio-economic/Gender Differentiation
- 1/7 Identification of Municipal Priority Issues
- 1/8 In-depth analysis of Priority Issues: General Guidelines
- 1/9 In-depth analysis of Priority Issues: Generic Guidelines for Sector Alignment
 - 1/9a Sector Specific Requirements
- 1/10 Consolidation of Analysis Results

PHASE 1: ANALYSIS

OUTPUTS

- **Assessment of the existing level of development**
- **Priority issues of problems**
- **Information on context, causes, dynamics of priority issues or problems**
- **Information on available resources and potentials**

PROCESS



- = **planning event**
- = **output**
- = **other planning activities**

INTRODUCTION

Focusing

In Phase 1, municipalities deal with the **existing situation**. The big challenge for the municipal management in the Analysis Phase is to *focus* on the *relevant* aspects of the situation. In the past, planners tended to compile all kinds of information in a comprehensive manner. This is an expensive and largely irrelevant effort destined for the book shelves, which contributed to a widespread perception that planning is a useless exercise in a situation of pressing needs and scarce resources.

Avoiding data cemeteries

Providing useful management information

Considering IDP as part of an integrated management system means asking what kind of information on the existing situation is really necessary to arrive at appropriate management decisions. This means that it is up to the *municipal management* and not the planning professionals or provincial regulations *to decide on information requirements*.

Assessing the existing level of development

What are the **required outputs** of the Analysis Phase? In other words, what do municipalities need to know to arrive at strategic and implementation-oriented decisions on how to make best use of their scarce resources? The *Municipal Systems Act* is not very prescriptive on this issue. It just requires an assessment of the *existing level of development*, including an identification of communities which do not have access to the basic municipal services.

Looking at the decision-making and management requirements of municipalities, the need for information and analysis of the existing situation is determined by the following **considerations**:

Arriving at a well-informed decision on priority issues

☆ The information should enable the municipality to decide on priority issues or problems, with due consideration of the residents'/communities' perceptions and of available facts and figures.

Focused analysis of a few prioritised issues

☆ The municipal decision-makers should be knowledgeable about the concrete nature of these priority issues or problems, such as trends, context, causes and impacts related to these issues, in order to make informed decisions on appropriate solutions (rather than just curing symptoms).

Being aware of resources and assets

☆ The municipal decision-makers should be aware of existing and accessible assets and resources and of resource limitations before making decisions on strategies.

In short, **expected outputs** of the Analysis Phase are:

- Assessment of the existing level of development (with special reference to service gaps).
- Priority issues or problems.
- Information on context, dynamics and causes of priority issues.
- Information on available resources, potentials and assets.

There are different possible processes to arrive at these outputs. The **process** proposed here is guided by the following considerations:

People's perceptions and statistical information

☆ There is a necessity to *combine "data-based" and participatory methods of analysis*: It is important to know the residents' perceptions of their needs (see **Planning Activity 1/2**). But, it is as important to be informed by facts and figures, e.g. on service gaps or on unemployment (see **Planning Activity 1/1**). Good decisions can rely neither on perceptions, nor on statistical data alone. They have to consider both, to compare both, and to interrelate both sources of information to one another to arrive at a full and realistic picture (see **Planning Activity 1/3**).



Adding the wider perspective

☆ There is a necessity to look at the situation, not only from the community and stakeholder perspective, but also from a *municipality-wide perspective*. The crucial issues in a municipality are more than the sum of the needs of the communities and stakeholder groups living in it. There may be all kinds of overarching issues, like massive population influx, economic decline, HIV/AIDS related problems, cumbersome administrative procedures and environmental problems, which may not arise from a localised analysis. Therefore, we recommend a special municipality level planning event to identify and analyse such issues **(Planning Activity 1/4)** .

☆ The analysis should *not be sectoralised*. Otherwise sectoral thinking would result in a wide and comprehensive list of issues, rather than in focusing on the burning issues felt by people. But there are some *cross-sectoral dimensions* which need to be considered in any analysis of the existing situation in order to ensure that related development policy guidelines can be applied in a situation-specific manner:

A *spatial analysis* is required as a basis for designing a spatial development framework which is in line with the DFA principles of spatial development **(Planning Activity 1/5)** .

A *socio-economic analysis* with special focus on the poverty situation, on gender differentiation and on issues like HIV/AIDS is required as a basis for arriving at an inclusive development strategy in line with national policy guidelines on poverty alleviation and gender equity **(Planning Activity 1/6)** .

Analysing the situation from a cross-cutting perspective....

... with limited data and resources

Some municipalities (especially Category A and C) may decide to do a systematic cross-sectoral analysis as well for the *economic, environmental and institutional dimensions (Planning Activities 1/4a – c)* . As this would be too ambitious, and hardly affordable for smaller Category B municipalities, we do not recommend this for the time being. We would rather recommend an *issue focused approach* within the “Municipality-wide Analysis” (1/4) which makes best use of available knowledge (including existing studies) and which may have to rely on informed professional guesses rather than exact analysis.

Well-known basic facts and figures on the institutional system, on economic conditions and environmental issues should already be included in the “compilation of existing information” (1/1).

Getting the pieces together

☆ A major challenge in the Analysis Phase is to take the step from all the bits and pieces of analysis done at different levels and places and by different methods to a consolidated list of priority issues which does justice to all actors involved and to all information sources. It is a *compilation, aggregation and reconciliation of information* which needs to be done, before the IDP Representative Forum can arrive at a well-informed and fair list of *priority issues* in a transparent manner **(Planning Activity 1/7)** .

Deciding what you really need to know better

☆ After priority issues have been agreed upon, it may turn out that the nature of the issues or their dimensions are far from being clear. We may know that the majority of the residents suffer from lack of access to clean drinking water but we may not know whether the deficient supply situation is mainly a result of water resources availability, technical deficiencies, an inappropriate water management system, a tariff structure which encourages excessive

Adding the wider perspective



And summarising useful information for the further planning process.

consumption, or a lack of investment funds. Such information, however, is crucial for finding appropriate solutions. In such cases of high priority issues with crucial information deficits, a *focused in-depth analysis* addressing these specific information deficits is justified (**Planning Activity 1/8 and 1/9 for sector-specific requirements**) .

- ☆ The information gathered during the Analysis Phase is primarily relevant for those role-players involved in the further planning and decision-making process. That means, it needs to be summarised and made available for use during Phase 2 (**Planning Activity 1/10**) . To turn the argument around: *Only* information which is being used during the further stages of the IDP process is worth collecting. Therefore, management’s question “for what purpose do we need to know this?” should guide all activities in Phase 1.

Sector alignment in the Analysis Phase

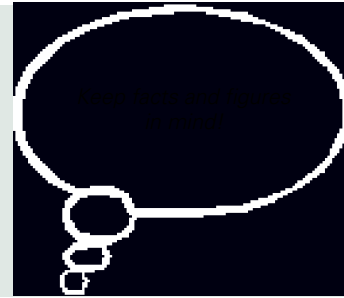
Instead of compiling existing information (activity 1/1) and undertaking community and stakeholder level analysis (activity 1/2) in entirely separate and uncoordinated sector compartments, municipalities should attempt to collapse these into one.

The analysis is not the comprehensive, wasteful status quo of the past. It is defined, directed or focused by the priorities established in the IDP process. The IDP analysis phase can accommodate a range of sector status quo and analysis requirements that are general in nature (such as demographics, consumer profile, financial and human resource constraints analysis). These general, potentially duplicative aspects of sector planning should be incorporated into “Compilation of Existing Information” (1/1) as well as the identification of service gaps related to the sector (in case of basic services). The decision about whether or not to incorporate the technical sector elements of analysis within the In-depth Analysis (1/8) or undertake them in parallel will depend on the relevance of the sector with regard to the Priority Issues of a municipality.

Sector alignment also indicates the need to expand consideration of resource constraints analysis beyond the financial and human capacity aspects to include natural resources such as water, land and the environment. This sector perspective and related expertise should be incorporated in the Municipality level Analysis (1/4) and the In-depth Analysis (1/8 and 1/9).

Each municipality should agree, through the IDP institutional arrangements made for sector communication, on the exact definition of what goes into the IDP process and into the parallel processes in the analysis (and subsequent phases). Planning activity 1/9 (appended) provides a guide in this respect.

PHASE 1: ANALYSIS



PLANNING ACTIVITY: 1/1 COMPILATION OF EXISTING INFORMATION

Purpose:

WHY?

To ensure that all actors involved in the planning process are aware of and have access to basic *facts and figures* related to the present situation, trends and dynamics. This will contribute to the identification of realistic solutions, with proper consideration of the real needs and of available resources.

Minimum Requirements: w/r to Output

WHAT?

- ☆ Basic demographic figures.
- ☆ Service levels and service gaps for all basic public services (localised, target-group specific and basic-needs related).
- ☆ Financial resources differentiated by source of income and type of expenditure.
- ☆ Available institutional capacities.
- ☆ Compilation of crucial policy requirements.

w/r to Process

None

Hints for Designing the Output

HOW?

- (1) Current reality assessment is meant to be limited to a compilation or updating of *existing* data. It should not include research related to unknown information.
- (2) It should provide a *quick overview of relevant data*, i.e. one should not attempt to maximise information, but to select that which is crucial for planning and decision-making.
- (3) The data should provide evidence on *problems* (e.g. service gaps) and on *resources* which can possibly help solve problems.
- (4) The information should be *spatialised and differentiated by population groups* as far as possible.
- (5) *Sector-specific* data requirements should at this stage be considered only to the extent which is necessary to identify service gaps and sector agencies' information should be used as far as possible.
- (6) HIV/AIDS prevalence rates or "best estimates" should be included.
- (7) Crucial *information gaps* should be identified.

Suggested Institutional Arrangements/ Responsibilities

WHO?

- The compilation of data should be managed by the IDP Steering Committee.
- All technical officers of the municipalities should compile data within their field of responsibility.
- Provincial and national sector agencies should be approached to provide the data on their facilities and services.
- Consultants are *not* needed to compile such basic data.



Times Requirement (tentative)

2 weeks

thereafter, amendments and additions may be made

Note:

- ☞ Data requirements for making appropriate decisions are usually over-estimated. On aspects for which proper data are missing, sound professional guesses may help establish a realistic understanding of the situation.
"Better be vaguely right than precisely wrong!"
- ☞ Population dynamics may be difficult to quantify. If there are no updated figures, identify major trends.
- ☞ Make use of maps for information on spatial settlement patterns and location of public services.

PHASE 1: ANALYSIS



PLANNING ACTIVITY: 1/2 COMMUNITY- AND STAKEHOLDER-LEVEL ANALYSIS

Purpose:

To contribute towards a situation in which municipal activities will address people's priority needs and incorporate people's own initiatives.

WHY?

In addition, the participation process should help make residents aware of the importance of IDPs for the quality of their lives.

Minimum Requirements: w/r to Output

WHAT?

- ☆ Summary/ies of residents'/communities'/stakeholders' prioritised needs differentiated by location, social categories and gender.
- ☆ Summary/ies of residents'/communities'/stakeholders' own resources and initiatives to address those needs differentiated by location, social categories and gender.

w/r to Process

HOW?

- ☆ *Create conditions* for public participation by:
 - informing the public and specific stakeholders on the IDP process and encouraging their contribution.
 - establishing an IDP Representative Forum.
 - giving community and stakeholder representatives the opportunity to conduct meetings or workshops within an agreed time frame and in a language which is in line with the preferences of the majority of the people (taking into account the involvement of illiterate people).
 - Considering the results of community and stakeholder level events in the further analysis.

Hints for Structuring the Process

- (1) Establishment of an IDP Representative Forum consisting of representatives of geographical areas (Wards), stakeholder organisations and disadvantaged groups.
- (2) Inform members on intended participation process and procedures.
- (3) Give them at least one month to organise meetings in their areas or with their membership.
- (4) If necessary, provide them with guidance on how to organise such meetings.
- (5) Compile and consolidate results in a workshop of the IDP Representative Forum.

Suggested Institutional Arrangements/ Responsibilities

WHO?

- The IDP Representative Forum is the central body of a structured participation process.
- Ward Councillors and Ward Committees are the crucial actors to organise community participation.
- Stakeholder representatives to organise stakeholder participation.
- Traditional authorities should be considered as important stakeholders in rural areas.
- Special resource persons or advocates should be nominated for consideration of needs of unorganised marginalised/underrepresented groups.
- There should be competent facilitation of workshops. This might be done in partnership with NGOs or other service providers (like PIMSS).



Time Requirement (tentative)

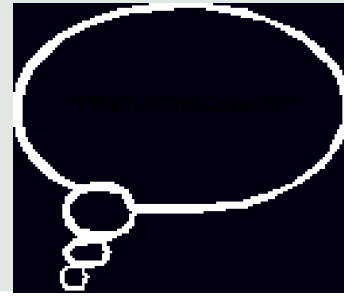
- Initial meeting of IDP Representative Forum: 1 day
- Time-span for community/ stakeholder meetings: 1 month
- Consolidation Workshop of IDP Representative Forum: 1 – 2 days

Note:

- ☞ The proposed procedure complies with all sectoral planning requirements.
- ☞ Prioritisation of problems/needs is crucial.
- ☞ The top priority problems/needs should be specified by providing facts and figures (quantity, quality, affected groups, locations, time dimensions).
- ☞ Name residents'/communities'/stakeholders' own resources and initiatives related to each priority problem or need.
- ☞ For aggregation of priority needs, see Planning Activity 1/7.
- ☞ For utilisation of existing (data-based) information during community- and stakeholder-level analysis see Planning Activity 1/3.

PHASE 1: ANALYSIS

PLANNING ACTIVITY: 1/3 RECONCILING “COMPILATION OF EXISTING INFORMATION” AND “COMMUNITY/STAKEHOLDER ANALYSIS



1/3

Purpose:

To contribute to a realistic identification of priority issues.

WHY?

Minimum Requirements: w/r to Output

☆ Reconciled results from “existing information” and “participatory analysis”.

WHAT?

w/r to Process

None

Hints for Structuring the Process

To arrive at a realistic picture, double *cross-checking* of the results of data-based analysis and of people’s perceptions is required. Practically, this can be arranged in the following manner:

- The intermediate results of the data-based “Compilation of Existing Information” are communicated to the IDP Representative Forum and to those involved in community-/stakeholder level participatory workshops as facilitators or resource persons.
- During community-/stakeholder workshops, participants are challenged with information from data-based analysis in case the data indicate something which seems to contradict people’s perceptions of their problems.
- The results of community-/stakeholder analysis are communicated to those in charge of “Compilation of Existing Information” to give them the opportunity to check, in case of contradicting information.

HOW?

Suggested Institutional Arrangements/ Responsibilities

- Those in charge of “Compilation of Existing Information” (including technical officers) should attend meetings of the IDP Representative Forum.
- Officials in charge of a certain geographical area or a specific socio-economic group (e.g. teachers, health officers) should attend community or stakeholder meetings.

WHO?

Time Requirement (tentative)

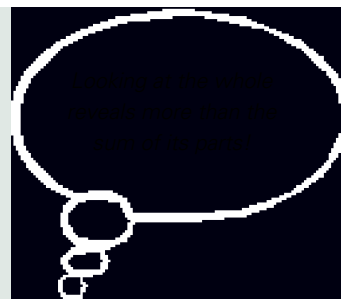


No additional time requirements.

Note:

- ☛ Challenging people with facts is crucial in achieving realistic and precise results of a participatory process. Those who conduct participatory workshops should know the current reality in the area.
- ☛ Data do not always provide sufficient evidence of problems. People’s perceptions may indicate problems which are not reflected by data. Both sources of information have to be combined.

PHASE 1: ANALYSIS



PLANNING ACTIVITY: 1/4 MUNICIPALITY-LEVEL ANALYSIS

Purpose:

To ensure that the IDP projects and programmes will address not only community- and stakeholder specific issues, but also over-arching issues which relate to the municipality and its sustainability as a whole.

WHY?

Minimum Requirements: w/r to Output

- ☆ Identification of crucial trends, dynamics, and related problems which affect the area of the municipality and the municipal government as a whole.
- ☆ Identification of available resources, competitive advantages and initiatives in the municipal area and of the municipal government to address these problems.

WHAT?

w/r to Process

- ☆ Involvement of the IDP Representative Forum and of other competent resource persons for economic, environmental, institutional and social trends.

Hints for Designing the Output

While the discussion process should focus on concrete issues, instead of being structured according to general "dimensions" (like economic, social, institutional, environmental), the documentation of the results of the analysis should be grouped under headlines such as economic, environmental, etc, aspects.

Hints for Structuring the Process

While participatory problem analysis/needs assessment is proceeding on community and stakeholder level there should be municipality-level workshops. At such workshops major municipal wide issues should be identified (such as employment generation, service payment, HIV/AIDS, draught, immigration, administrative reform) and be dealt with by working groups. The issues may be summarised eventually under headlines like economic, environmental, social and institutional aspects (compare Planning Activities 1/4a – c).

HOW?

Suggested Institutional Arrangements/ Responsibilities

- The IDP Steering Committee should identify the topics for workshops and the participants.
- Resource persons on issues of general concern, especially on HIV/AIDS, should be consulted to ensure that problematic, but sensitive issues are not neglected.
- The members of the IDP Representative Forum should always be invited, in order to ensure that interlinkages between community stakeholder-specific issues, and over-arching issues are taken into account.
- Experienced facilitators should be invited to prepare, facilitate and document the workshops.

WHO?

Time Requirement (tentative)



4 days (during the same time while planning activity 1/2 is done).

Note:

- ☛ To ensure a focused discussion on the *real* issues, do **not** subdivide the process of analysis a priori according to the four dimensions: "environmental", "economic", "social" and "institutional".
- ☛ Category A and C municipalities as well as bigger and better resourced Category C municipalities may do professional studies for environmental, economic, social and institutional analysis as part of the Analysis Phase of the IDP process, or they may be in a position to make use of existing studies. Districts should do economic and environmental analysis on a district-wide scale for the benefit of all local municipalities in their area (see 1/4a – c). For smaller and resource poor municipalities, such systematic approaches of analysis are usually too ambitious and not affordable (unless sponsored by external funding agencies). They have to make best use of available knowledge and experience and on informed professional guesses and, if available, of district-level analyses.

PHASE 1: ANALYSIS



PLANNING ACTIVITY: 1/4 A ECONOMIC ANALYSIS

1/4A

Purpose:

To ensure that municipal development strategies and projects take existing economic potentials and limitations of the area into account.

WHY?

Minimum Requirements: w/r to Output

- ☆ Basic economic data (employment, major economic sectors).
- ☆ Major economic trends (growth, decline by sector).
- ☆ Major economic potentials (under-utilised resources).
- ☆ Major constraints for economic development.

WHAT?

w/r to Process

None

Hints for Structuring the Process

- Preparing an economic analysis is desk-work, rather than a workshop event. All *available* economic data related to the municipal area should be compiled as background information for the municipal-level workshop dealing with "Municipality-Level Analysis" (1/4).
- Most municipalities will not be in a position to do or initiate economic surveys to obtain additional information as part of their IDP process. If there is an urgent need for more data and a more in-depth analysis, local municipalities may join their efforts with the district municipality and initiate a district-wide analysis on crucial economic issues of general interest (to be done as part of Planning Activity 1/9).

HOW?

Suggested institutional Arrangements/ Responsibilities

- Compilation of existing economic data can be done by one of the technical officers of the municipality, based on available reports and in consultation with economic stakeholders and promotion agencies.
- Provision of new information should be done on a district-wide scale and be initiated by the district councils, unless category B municipalities feel the need, and have the capacities to do a specific study for their own area.
- Involve economic stakeholders and specialists in the IDP Representative Forum.

WHO?



Time Requirement (tentative)

- (a) Compilation of existing economic data 1 – 2 days
- (b) Study 2 – 3 weeks (during Phase 1, parallel to other Planning Activities)

Note:

- ☛ Do **not** make economic analysis a topic of a workshop or a work group session. Work groups should focus on issues (such as unemployment) rather than providing information.

PHASE 1: ANALYSIS

PLANNING ACTIVITY: 1/4 B ENVIRONMENTAL ANALYSIS



Purpose:

To ensure that municipal development strategies and projects take existing environmental problems and threats into consideration as well as environmental assets which require protection or controlled management.

WHY?

Minimum Requirements: w/r to Output

- ✧ A list of major existing environmental problems with a short description of each of the problems (location, people affected, magnitude of problem, causes).
- ✧ A list of major environmental threats and risks (including disaster risks) with a short description.

WHAT?

w/r to Process

None

Hints for Structuring the Process

- Preparing an environmental analysis is a task which involves investigation and desk-work, rather than a topic for a workshop event. All *available* information on crucial environmental problems and threats within the municipal area should be considered as background information for the municipal-level workshop dealing with "Municipality-Level Analysis" (1/4).
- It is up to the IDP Representative Forum to decide (taking the information of the environmental analysis into account) whether or not a certain environmental issue will become a municipal Priority Issue.
- Most category B municipalities will not be in a position to do or initiate a comprehensive environmental study to obtain additional information as part of their IDP process. Should there be an urgent need for more information, local municipalities may join their efforts with the district municipality and initiate a district-wide analysis on crucial environmental issues (as part of Planning Activity 1/9).

HOW?

Suggested Institutional Arrangements/ Responsibilities

- One of the technical officers of the municipality can compile existing information on environmental problems and risks, based on available reports and consultation with environmental stakeholders and promotion agencies.
- Provision of new information should be done on a district-wide scale and be initiated by the district councils, unless a category B Municipality feels the need and has the capacities to carry out a specific study on a specific environmental issue in their own area.
- Involve environmental stakeholders and specialists in the IDP Representative Forum.

WHO?

Time Requirement (tentative)



- (a) Compilation of existing information on environmental problems
1 – 2 days
- (b) Study 2 – 3 weeks (during Phase 1, parallel to other Planning Activities)

Note:

- ☛ Do **not** make environmental analysis a topic for a workshop or a work group session. There may, however, be workshops or work groups on certain specific burning environmental issues (such as air pollution or risk of floods or forest fires) if they are identified as municipal priorities. Work groups should focus on discussing such **crucial issues** rather than being used for providing information.

PHASE 1: ANALYSIS



PLANNING ACTIVITY: 1/4 c INSTITUTIONAL ANALYSIS

Purpose:

To ensure that municipal development strategies and projects take existing institutional capacities and constraints into consideration, and that they address institutional problems in the municipality.

WHY?

Minimum Requirements: w/r to Output

- ☆ An organogram of the municipal administration.
- ☆ An overview of institutional strengths and weaknesses of the municipal government in relation to the new requirements of a developmental local government.
- ☆ A compilation of all institutional constraints which have been identified as causal factors of other identified priority problems/issues.

WHAT?

w/r to Process

None

Hints for Structuring the Process

- The institutional analysis should be part of the Municipality-Level Analysis. Strengths and weaknesses of the municipal government can be identified through a joint and facilitated meeting of councillors and officials (self-analysis).
- The compilation of institutional constraints related to the priority issues raised by the residents (communities, stakeholders) is an on-going process during Phase 1 and which is not limited to Planning Activity 1/4 . Somebody from the municipality has to make sure that all institutional aspects are noted and summarised at the end of Phase 1.
- Most category B municipalities will not be in a position to initiate an organisational analysis by professional consultants as part of their IDP process. Such external support is not required at this stage, but may have to come into it, in the event of a major organisational restructuring process.

HOW?

Suggested institutional Arrangements/ Responsibilities

- The Municipal Manager, as head of municipal administration, should take direct responsibility to ensure that institutional aspects are adequately addressed during the analysis process. As institutional aspects and possible consequences to be drawn from it are usually controversial within the governing bodies of a municipality, this task cannot be done by a junior or a sectoral officer.
- Self-assessment of the strengths and weaknesses of a municipal government requires a qualified and independent facilitator.

WHO?

Time Requirement (tentative)



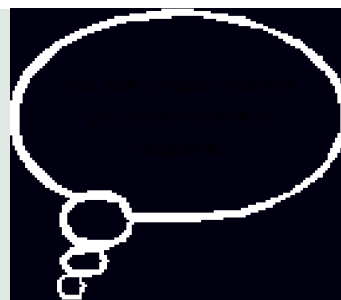
1 day throughout Phase 1

- (a) Self assessment
- (b) Compilation of institutional constraints (parallel to other Planning Activities).

Note:

- ☛ As institutional analysis always affects the interests of the members/employees of an organisation, it is important to rely not only on the internal perspective (which may be biased), but also on an external (clients', residents') perspective. That external perspective can come in, when the people's Priority Issues and their causes are analysed in depth **(Planning Activity 1/9)**.

PHASE 1: ANALYSIS



PLANNING ACTIVITY: 1/5 SPATIAL ANALYSIS AND THE SPATIAL REPRESENTATION OF DEVELOPMENT ISSUES

Purpose:

To ensure that the municipality's spatial strategies and land use management decisions are based on a general awareness of:

- spatial constraints, problems, opportunities, trends and patterns;
- the necessity for spatial restructuring;
- the need for land reform; and
- the spatial dimension of development issues.

WHY?

Minimum Requirements: w/r to Output

WHAT?

- ☆ Mapping the spatial dimensions of development issues identified in 1/1, 1/2 and 1/4.
- ☆ Mapping major spatial patterns, trends (such as migration patterns), problems and opportunities.
- ☆ Mapping of spatial restructuring issues in compliance with DFA and NEMA principles.
- ☆ Identification and mapping of land reform issues with respect to redistribution, restitution and tenure reform.

w/r to Process

- ☆ Maps should be used as a tool during all steps of analysis.

Hints for Structuring the Process

HOW?

- **Representing the spatial dimension of development issues** should not be a separate process, but an extension of:
 - the compilation of existing information;
 - community and stakeholder level analysis;
 - municipal level analysis; and
 - socio-economic analysis.
- All problems which can be **located or represented in space** should be mapped.
- **Analysis of spatial patterns and trends** should be one issue to be dealt with in the "Municipal-level Analysis".
- Avoid expensive and time-consuming data capturing exercises and where possible make use of other sources of **existing information** such as ENPAT (ENvironmental Potential ATlas) etc.

Suggested Institutional Arrangements/ Responsibilities

WHO?

- In municipalities with a (spatial) planning department/section or official, this office should be charged with preparing the spatial analysis.
- Municipalities without spatial planning capacity should engage a spatial planner for this purpose.



Time Requirement (tentative)

No separate process, but involvement of a spatial planner in the analysis process for a minimum of one week.

Time requirements depend on the size of the municipality.

Note:

- ☞ Within a mid-term perspective each municipality should establish a basic system of spatial information (if necessary supported by PIMSS-Centres).
- ☞ Within a short-term perspective it is sufficient to spatialise the available information.

PHASE 1: ANALYSIS



PLANNING ACTIVITY: 1/6 SOCIO-ECONOMIC/GENDER DIFFERENTIATION OF ANALYSIS

Purpose:

WHY?

To ensure that the municipality's strategies and programmes sufficiently consider the needs of disadvantaged/marginalised population groups, in order to deal effectively with poverty-reduction and gender equity.

Minimum Requirements: w/r to Output

WHAT?

- ☆ Data of "Compilation of Existing Information" are differentiated by socio-economic category and by gender/age group as much as data availability allows.
- ☆ Residents'/communities'/stakeholders' priority needs are differentiated by social categories and gender.

w/r to Process

- ☆ Public participation process has to be inclusive and representative with regard to social categories (especially poverty groups), gender and age groups.

Hints for Structuring the Process

HOW?

- *No separate process required.* Socio-economic and gender differentiation is one dimension of "Compilation of Existing Information" and of "Community and Stakeholder Analysis".
- "Municipality-level Analysis" should include an identification of poverty groups (with their specific problems) and of poverty trends.

Suggested Institutional Arrangements/ Responsibilities

WHO?

- Representatives of disadvantaged social groups, poverty groups, women, youth, aged, households affected by HIV/AIDS etc. should be members of the IDP Representative Forum. In the event of a disadvantaged group not having legitimate representatives, competent resource persons should be nominated as "advocates" for such groups.
- In municipalities with a social development officer, this officer should be a member of the IDP Steering Committee to ensure a representative poverty and gender sensitive process. Municipalities without such capacities should engage a specialist as a resource person on a temporary basis.



Time Requirement (tentative)

No separate process, but involvement of a specialist for poverty/gender issues for a minimum of one week during the Analysis Phase.

Note:

- ☛ The interlinkages between poverty and HIV/AIDS as well as between gender and HIV/AIDS need special attention.
- ☛ Well-capacitated municipalities should go far beyond these minimum requirements and initiate focused studies on the situation of specific disadvantaged/poor groups and on specific gender-related problems.
- ☛ In areas with under-capacitated Category B municipalities it is suggested that Districts-, agencies from other spheres of government or research institutions should initiate regional-scale studies on typical socio-economic/gender related issues for the benefit of Category B municipalities.

PHASE 1: ANALYSIS

PLANNING ACTIVITY: 1/7 IDENTIFICATION OF MUNICIPAL PRIORITY ISSUES/AGGREGATING PRIORITIES



Purpose:

To ensure a clear focus of municipal action on strategic municipality-wide priority issues, while at the same time ensuring that essential location and target group specific needs or problems will not be neglected.

WHY?

Minimum Requirements: w/r to Outcome

- ☆ Municipality-wide priority issues.
- ☆ Summary of community and stakeholder-specific priorities.

WHAT?

w/r to Process

- ☆ Involvement of community and stakeholder representatives in the consolidation process.

Hints for Structuring the Process

- (1) IDP Representative Forum Workshop: Presentation of community, stakeholder and municipal-level priorities.
- (2) Summarising of all results on overview charts for comparison and aggregation.
- (3) Presentation of outcomes of data-based service gap analysis and reconciling process (see Processes 1/3 and 1/2).
- (4) Identification of consolidated municipal Priority Issues taking into consideration community-, stakeholder- and municipal-level priorities as well as the results of "Compilation of Existing Information".
- (5) In addition to the consolidated priority issues, those community- /stakeholder-specific top priorities not covered by the overall priorities have to be listed.

HOW?

Suggested Institutional Arrangements/ Responsibilities

- The consolidation process is a key event within the overall IDP-process and should be done through a workshop of the IDP Representative Forum.
- Preparatory work like compilation of all information has to be done by the IDP Steering Committee or by a person nominated by the Committee.
- The consolidation workshops require high level facilitation skills and should be done by experienced facilitators.

WHO?



Time Requirement (tentative)

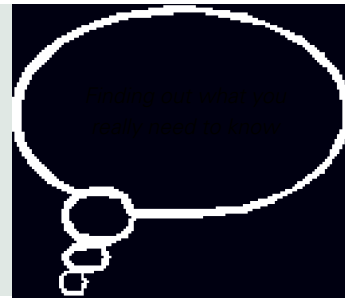
1 – 2 days preparation
1 – 2 days workshop
1 – 2 days – documentation of workshop results

Note:

- ☛ The consolidation process includes aggregation of results from various communities and stakeholder groups and the reconciliation of results of participatory and data-base analysis. Both tasks should be done within one workshop.
- ☛ Information on community/stakeholder-specific problems and related details are still important for the further planning process and must not get lost in the consolidation process.
- ☛ While, in principle, the identification of Priority Issues should result from the local context rather than from a national perspective, there are two issues of nation-wide concern which are assumed to be relevant in most municipalities: This is unemployment and HIV/AIDS. Where these issues are not identified as Priority Issues, reasons should be given.

PHASE 1: ANALYSIS

PLANNING ACTIVITY: 1/8 IN-DEPTH ANALYSIS OF PRIORITY ISSUES: GENERAL GUIDELINES



Purpose:

To ensure that the strategies and projects are based on a thorough knowledge of all the relevant aspects of the priority issues identified to ensure that strategies:

- respond to causes rather than symptoms
- deal with the problem in context
- consider potentials, opportunities and initiatives for resolving priority issues.

WHY?

Minimum Requirements: w/r to Output

- ☆ Analysis of the precise nature of a problematic issue (quantity, quality, affected groups, location, time).
- ☆ Analysis of causes and their impact
- ☆ Analysis of priority issues in context.
- ☆ Analysis of dynamics related to the priority issues.
- ☆ Analysis of problem-solving potentials and initiatives.

WHAT?

w/r to Process

- ☆ Different process requirements for different issues.

Hints for Structuring the Process

- (1) Identification of additional information requirements for each priority issue (under consideration of sectoral planning requirements).
- (2) Identification of officers in charge of managing the in-depth analysis.
- (3) Drafting Terms of Reference for each in-depth study.
- (4) Select responsible persons for doing the analysis (in consultation with District-level PIMS-Centre).
- (5) Provide organisational support, guidance and feedback to study team.
- (6) Organise workshop to draw conclusions from study results.

HOW?

Suggested Institutional Arrangements/ Responsibilities

- Whether an in-depth analysis can be done by a municipality on its own or whether it has to be outsourced depends on the information requirements and on the in-house capacities of the municipality.
- Local resource persons (including government field staff like teachers, health officers, technical officers and NGOs) should be involved in the analysis.
- For issues which are common to several municipalities in a region, Districts may be charged with the task to organise in-depth studies in order to make effective use of limited resources.

WHO?



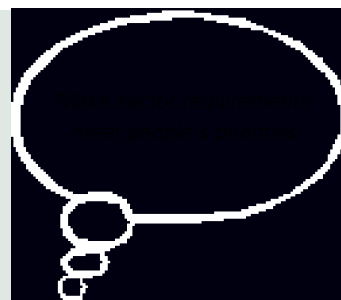
Time Requirement (tentative)

Timeframe: 1 month.
The time requirements in terms of person-days will differ considerably depending on the nature of the study, but should not exceed 20 person-days per study.

Note:

- ☛ The information requirements of in-depth studies have to be determined by those in charge of making the decisions, rather than by consultants commissioned with doing the analysis. Do not waste funds on creating data-cemeteries for the shelf, but determine what municipal government needs to know better in order to arrive at realistic strategies.
- ☛ In-depth analysis has to include and build upon information from previous steps of analysis (1/1, 1/2, 1/4, 1/5, 1/6).

PHASE 1: ANALYSIS



PLANNING ACTIVITY: 1/9 IN-DEPTH ANALYSIS OF PRIORITY ISSUES: GENERIC GUIDELINES FOR SECTOR ALIGNMENT

Purpose:

To ensure that sector planning is aligned with the in-depth analysis in a manner which promotes local priorities; resolves sector planning requirements where these exist; and ensures that a thorough and expert knowledge of the sector is included in relevant in-depth studies.

WHY?

Minimum Requirements: w/r to Output

✧ Requirements differ by sector.

See table for further guidance on output requirements.

WHAT?

w/r to Process

✧ Not applicable in general terms. Sector official (see below) to bring any specific process requirements to the in-depth analysis, where relevant. *Specific recommendations and principles are addressed in the table below.*

Hints for Structuring the Process

- (1) Identification of sector officers who will take responsibility for aligning sector planning and IDP priorities in the in-depth analysis – either via incorporation or in parallel, depending on the relevance of the sector in relation to the Priority Issues.
- (2) Identification of what aspects of the sectors have relevance in relation to the Priority Issues.
- (3) Agreement on which sector information and analysis requirements are incorporated into the Terms of Reference of the in-depth studies.
- (4) Inclusion of sector expertise on the relevant study teams.

HOW?

Suggested Institutional Arrangements/ Responsibilities

- The sector officers could be district and local officials, depending on the IDP priorities (*see table below for further guidance*).
- Whether the sector elements of the in-depth analysis/analyses can be done by a municipality on its own, or whether this has to be out-sourced, depends on the information requirements and on the in-house capacities of a municipality.

WHO?



Time Requirement (tentative)

Timeframe: 1 month.

These activities are components of the in-depth analysis step.

Note:

- ☛ This activity helps to ensure that sector planning is grounded in local priorities and that the IDP has the necessary technical expertise.
- ☛ If there are aspects of the sector planning requirements that are not directly related to IDP priorities, then this activity will assist municipalities to allocate responsibility for these in parallel to the integrated development planning process in order to ensure that requirements are nevertheless met.
- ☛ Basic sector information (such as service gaps) of descriptive nature as well as duplicative sectoral information requirements (population issues) should already be included under Compilation of Existing Information (1/1), as it may help to identify Priority Issues.

PHASE 1: ANALYSIS

PLANNING ACTIVITY: 1/9 A SECTOR-SPECIFIC GUIDELINES

Minimum Requirements: w/r to Output		WHAT?
Transport	<p>The minimum output requirement of the ITP that corresponds with this phase of the IDP is the current public transport record, which constitutes the basis for the integrated transport plan. It must be prepared in accordance with the document titled "requirements and format for preparation of current public transport records by core cities", as published in the Gazette on 22 May 1998 or any subsequent amendment thereof published in the Government Gazette and agreed to by the MECs. The record must:</p> <ul style="list-style-type: none"> – take into account the changes necessary in the context (except where that document is in conflict with the National Transport Act); – show all of the scheduled and unscheduled services that are operated in the area of the planning authority, and take into account those to and from the areas of neighbouring planning authorities; and – show all the facilities and infrastructure in place and utilised in the area concerned for the purpose of, or in connection with the public transport services, as well as the facilities and infrastructure being developed for those purposes or in that connection within the area concerned. 	
Water	<p>It is the responsibility of water services authorities (WSAs) to produce WSDPs. As all district municipalities are also water services development authorities, the following minimum information and analysis requirements will apply to districts. In those cases where local municipalities are also water services development authorities, then the requirements will also apply to them. While some requirements such as consumer profile and service levels should be covered already in Planning Activity 1/1 the following other requirements need an in-depth analysis:</p> <ul style="list-style-type: none"> • water balance; • water source and quality; • water service infrastructure; • demand management; • institutional aspects and management; and • finances and affordability. 	
Waste management	<p>It is the responsibility of district municipalities to produce IWMPs, with the assistance of provincial government if necessary. While demographics will be covered within 1/1 and stakeholder and needs analysing under 1/2 the following minimum information and analysis requirements will apply in the in-depth analysis phase:</p> <ul style="list-style-type: none"> • background information on relevant policy and laws; • waste quantities and characteristics; • existing waste management practices; and • financing. 	
Infrastructure	<p>Although the revised Municipal Infrastructure Investment Framework was not final at the time writing, the following list indicates the output requirements that are being proposed (remember that the infrastructure planning process requirement is that it must be done as part of the IDP process):</p> <ul style="list-style-type: none"> • the existing service levels available to households (part of 1/1); • costs to households of service payments; and • availability of grant funding. 	
Minimum Requirements: w/r to Process		HOW?
Transport	<p>There are no specific process requirements for the public transport record. However, the National Transport Bill (2000) stipulates that participation of all interested and affected parties in transport planning including vulnerable and disadvantaged persons must be promoted.</p>	
Water	<p>There are no WSDP process requirements applicable in this phase. However, district and local municipalities should engage with one another on aspects of local and district priorities which affect water.</p>	
Waste management	<p>There are no IWMP process requirements applicable in this phase.</p>	

PHASE 1: ANALYSIS

PLANNING ACTIVITY: 1/10 CONSOLIDATION OF ANALYSIS RESULTS



Purpose:

WHY?

To ensure that the knowledge gained during the Analysis Phase is easily available for the further planning phases and for implementation and monitoring purposes.

Minimum Requirements: w/r to Output

WHAT?

☆ Information from the various analysis activities is summarised per Priority Issue in a refined and well-structured manner and made accessible to all actors involved in the planning process.

w/r to Process

None

Hints for Structuring the Process

HOW?

The in-depth analyses will result in additional, more detailed and perhaps different information compared to the information from previous planning activities. These different pieces of information can be combined in the following way:

- (1) Reports of in-depth studies shall be presented to the IDP Representative Forum for comments.
- (2) The person in charge of a Priority Issue should outline in a summary paper all information related to the issue on the basis of the report, the comments, from compilation of the existing information, and from community/stakeholder-level analysis.

Hints for Designing the Output

The summary paper on each Priority Issue should not exceed 3 – 5 pages. It should include:

- Facts and figures related to the issue, differentiated by geographical area and social category (incl. gender).
- Trends and dynamics related to the issue.
- Causal factors and wider context of the issue.
- Potentials available to resolve the issue.

Suggested Institutional Arrangements/ Responsibilities

WHO?

- Discussion of in-depth study results in IDP Representative Forum.
- Compilation of summary report: desk work.
- **Alignment requirement:** The summary documents need to be submitted to the district as a basis for their efforts to prepare district-level strategy workshops on issues which affect more than one municipality.



Time Requirement (tentative)

1 week

Note:

- ☛ The compiled summary reports for each Priority Issue may become part of the IDP document.
- ☛ The summary documents should be made available to all members of the IDP Steering Committee, of the IDP Representative Forum, and to Project Task Teams.