

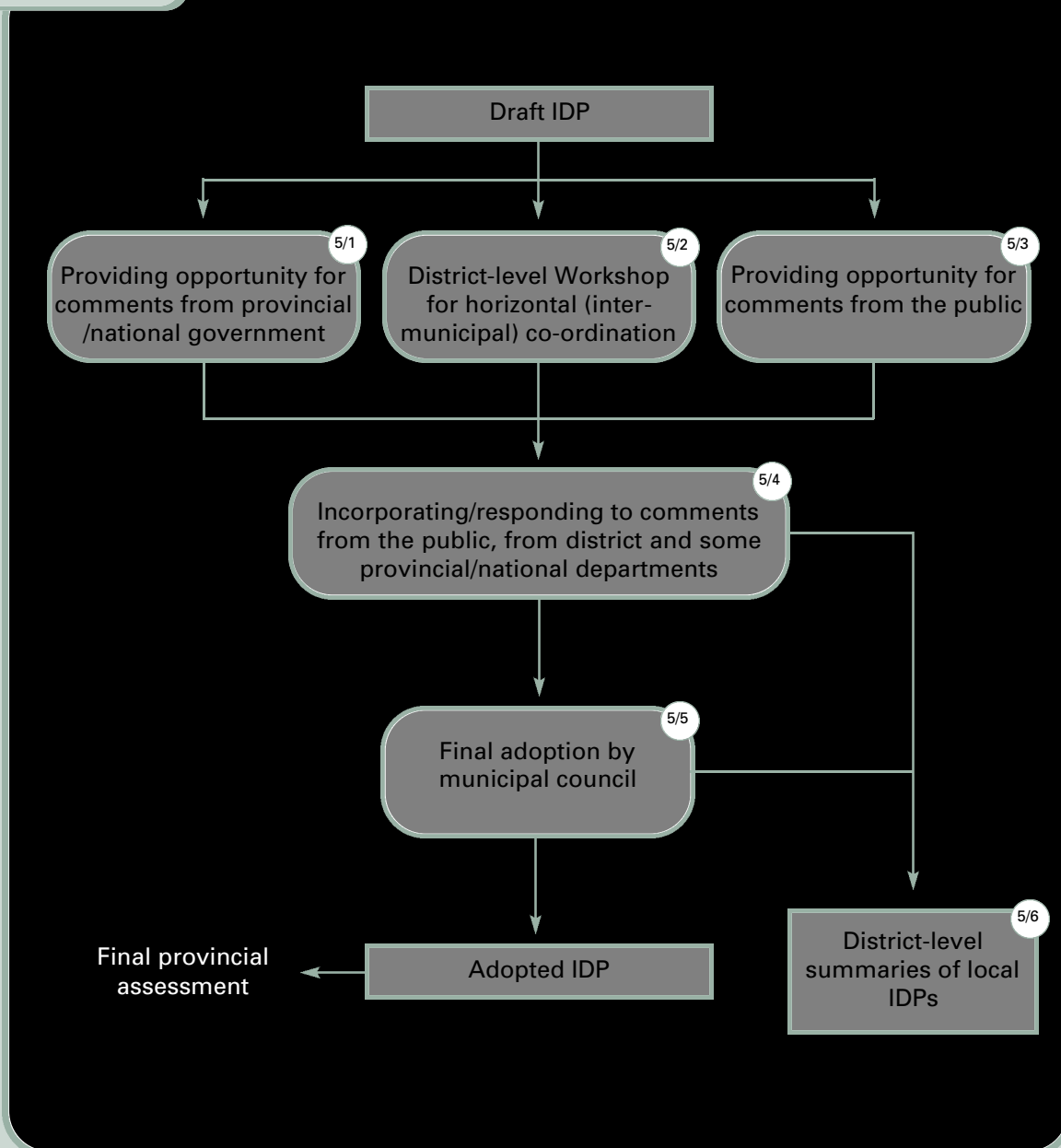
PHASE 5: APPROVAL

- Introduction
- 5/1 Opportunity for Comments from Provincial/National Government
- 5/2 District-level Horizontal (Inter-municipal) Coordination
- 5/3 Opportunity for Public Comments
- 5/4 Incorporating and Responding to Comments
- 5/5 Final Adoption by the Municipal Council
- 5/6 Compiling District Level Summaries of Local IDPs

OUTPUTS

- An **IDP adopted** by the municipal council which adequately reflects:
 - public comments
 - inter-municipal co-ordination requirements
 - inter-governmental co-ordination requirements
 - legal and policy requirements
 - feasibility and viability considerations.
- A **district-level summary** of all local IDPs for the convenience of provincial and national government agencies and other funding agencies.

PROCESS



INTRODUCTION

Ensuring buy-in by providing an opportunity to comment

Vertical coordination to ensure policy compliance and plan implementation

Horizontal coordination to avoid contradicting measures, duplication and destructive competition

Inviting public comments to ensure orientation towards people's needs, community involvement, and to protect citizen's rights

Each comment needs to be considered – either by incorporating or by responding

The final decision is with the council

For the convenience of other spheres of government and the outside world: Compile one district-level summary of all IDPs

Phase 5 is about the feed-back process on the Draft IDP which is supposed to result in a final approval/adoption of the plan by the municipal council. During this phase, the municipality should do everything in its power to get the buy-in for the co-ordinated implementation of the IDP by all parties involved or affected. This means giving everybody a chance to get access to the draft document and to articulate concerns. To avoid this process becoming an endless exercise, strict time limits must be set.

Who needs to be given the opportunity to raise concerns about the contents of an IDP?

Firstly, it is the other spheres of government. They usually play a crucial role in supporting the implementation by providing finance and/or professional and management capacities. They have the technical know-how to assess the viability and feasibility of project proposals. And the provincial departments of local government are in charge of checking the legal compliance of the IDP. To give all of them a chance to comment is, therefore, a prerequisite for:

- vertical coordination and sector alignment;
- a smooth planning-implementation link;
- legal and policy compliance;
- feasibility and viability of projects; and
- a high quality planning document.

By being given the opportunity to comment before the IDP is adopted by the municipal council, the chance is increased that the adopted IDP will pass the legally prescribed assessment process without encountering many hurdles (**Planning Activity 5/1**).

Secondly, the adjacent municipalities and the district municipality need to be consulted. District Councils have to ensure that IDPs do not propose contradicting types of development in neighbouring areas by organising a mutual consultation process between the local municipalities (horizontal coordination). Moreover, they have to ensure that district IDPs and local IDPs are aligned to one another (**Planning Activity 5/2**).

Thirdly, residents, communities and stakeholders who are directly affected by the IDP have to be given the opportunity to comment. They are either users of services or facilities or they are expected to contribute. Others may be affected by negative side-effects of envisaged developments. Consequently, there should be a certain period during which everybody can have access to the draft IDP and is given the right to comment through defined institutional channels. This applies to representatives of stakeholder organisations in particular (**Planning Activity 5/3**).

In order to save time, the comments from other spheres of government, from districts and neighbouring municipalities and from the public should be done simultaneously. The municipality will then have to deal with the comments which can either mean incorporating them by adapting the draft IDP, or responding to them, should it not be possible or reasonable to take them up in the IDP (**Planning Activity 5/4**).

After the comments have been incorporated or, alternatively, reasons for not incorporating them have been given, the time will have come for the municipal council to discuss the final adapted draft, to decide on necessary amendments and to adopt (or reject) it. In order to reduce the risk of delay caused by getting the IDP rejected by the council, it is advisable to have one or two council meetings on the draft IDP before the document is submitted for comments (**Planning Activity 5/5**).

IDPs have a better chance to be recognised by other spheres of government, by sector agencies, and by financing organisations, if the relevant parts of them are succinctly summarised and compiled. Therefore, it is strongly recommended that district-level summaries of local IDPs which may form a part B of the district IDP be compiled. These summaries should be submitted to any relevant role-players outside the district for consideration and assessment for support (**Planning Activity 5/6**). In order to avoid delays, the revised version of the draft IDPs should be submitted to the district for compilation of the summary even before the final adoption by the local council.

What is left to be done after the adoption by the council is the formal submission of the IDP to the MEC for local government as prescribed in the Municipal Systems Act, Chapter 5, Section 32.

PHASE 5: APPROVAL

PLANNING ACTIVITY: 5/1 OPPORTUNITY FOR COMMENTS FROM PROVINCIAL/NATIONAL GOVERNMENT



Purpose:

WHY?

- ☆ To ensure the preparedness of provincial and national departments to accept the IDP as the guiding document for their activities in the municipal area, thereby contributing to a close planning – implementation link.
- ☆ To ensure that the IDP complies with:
 - legal and policy guidelines;
 - feasibility and viability criteria; and
 - with the requirements of a good planning document.

Minimum Requirements: w/r to Output

WHAT?

- ☆ All provincial and national departments envisaged to contribute to the implementation of the IDP are given a fair chance to read and comment the draft IDP document.
- ☆ Submission of comments on compliance with sectoral policies, strategies and programmes, and on feasibility and viability of proposed projects by relevant sector departments.
- ☆ Submission of comments on legal and policy compliance and on the quality of the planning document by the provincial department of local government.

w/r to Process

- ☆ None.

Hints for Structuring the Process

HOW?

- (1) Each municipality should submit copies of the draft IDP to the provincial department of local government and to all provincial or national departments expected to be involved in the implementation of the IDP.
- (2) The provincial department of local government should check the IDP against a set of defined criteria and follow-up the commenting process of other departments in order to make sure that comments are submitted in time.
- (3) The provincial department of local government should compile the comments for each municipal IDP and submit a consolidated list of comments to the municipality.
- (4) To avoid unnecessary delays and to encourage feed-back, municipalities as well as sector departments should feel free to make use of any direct and informal means of communication to ask for or to provide comments (telephone, fax, e-mail).

Suggested Institutional Arrangements/ Responsibilities

HOW?

- The provincial department of local government should play an encouraging and facilitating role in getting the communication process between municipalities and relevant sector agencies going. The arrangement should not result in bottlenecks caused by the department's capacity limitations.
- The districts, through their PIMS-Centres may assist in the facilitation of the feedback process in coordination with the department of local government.
- PIMS-Centres may take over the function of providing professional comments on behalf of the provincial department of local government.



Time Requirement (tentative)

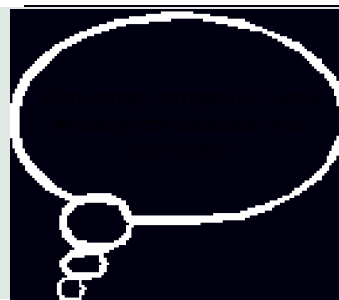
3 weeks

Note:

- ☛ This commenting process is meant to be an informal professional feedback process and should not be confused with the official submission of the *adopted* IDP to the provincial MEC. This should help to avoid the council adopting an insufficiently aligned IDP (which might result in a complicated formalised alignment process after the adoption of the IDP by the council).

PHASE 5: APPROVAL

PLANNING ACTIVITY: 5/2 DISTRICT-LEVEL HORIZONTAL (INTER-MUNICIPAL) COORDINATION



5/2

Purpose:

WHY?

To avoid contradicting types of development in adjacent municipalities as well as duplication of efforts and destructive competition between the local municipalities in a district and between local and district municipalities.

Minimum Requirements: w/r to Output

WHAT?

- ☆ All local municipalities in a district, the district municipality and adjacent local municipalities outside the district boundaries have been given a fair chance to read and provide comments on the aspects of the draft IDP documents relevant to them.
- ☆ Submission of comments on issues of mutual concern.

w/r to Process

- ☆ None.

Hints for Structuring the Process

HOW?

- (1) Each municipality should submit the draft IDP to the district council and to all adjacent municipalities within and outside the district.
- (2) The district council (through its PIMS-Centre) should invite all local municipalities in its area to a joint workshop for discussion of:
 - all cross-border issues; and
 - all issues related to the distribution of responsibilities between local and district municipalities.This workshop is intended to settle issues on a mutual basis.

Suggested Institutional Arrangements/ Responsibilities

HOW?

- The district municipality (if possible through its PIMS-Centre) should assume the lead role in this process and ensure proper coordination.



Time Requirement (tentative)

3 weeks

Note:

- ➔ To avoid excessive coordination efforts, it is important to focus comments and debates on *crucial* cross-border issues. The district council should provide guidelines which assist local municipalities to check for the relevant aspects of the IDP documents.

PHASE 5: APPROVAL



PLANNING ACTIVITY: 5/3 OPPORTUNITY FOR PUBLIC COMMENTS

Purpose:

WHY?

- ☆ To ensure that the final plan is still in line with the needs and priorities of the residents.
- ☆ To promote broad-based acceptance of the plan, thereby creating a basis for smooth implementation and for accountability.
- ☆ To ensure that residents' legitimate rights are not violated by the IDP.

Minimum Requirements: w/r to Output

WHAT?

- ☆ All stakeholder organisations and community representatives within the municipality (including all councillors and all members of the IDP Representative Forum) are given a fair chance to read and comment on the draft IDP document.
- ☆ All comments are documented and filed in a systematic manner.

w/r to Process

- ☆ None.

Hints for Designing the Output

- ☆ The format for submitting comments should be designed in a way to encourage very focused and specific comments related to specific sections and phrases of the planning document. It should discourage any general, vague and unspecific comments.

Hints for Structuring the Process

HOW?

- (1) Shortly after the draft IDP has been finalised, there should be a broadly announced **public assembly** in which:
 - the major contents of the IDP are summarised; and
 - procedures, formats and channels for comments are announced.
- (2) **Copies of the draft IDP** (or a summary thereof) should be disseminated to all councillors, all members of the IDP Representative Forum, other relevant stakeholders and local media. Some copies should be made available at places accessible to the public.
- (3) One officer of the council should be in charge of collecting, sorting, filing and **documenting the comments** in a transparent manner.

Suggested Institutional Arrangements/ Responsibilities

HOW?

- The municipality should nominate one officer who is given the overall responsibility for organising the process of informing the public on the IDP and providing appropriate opportunities for comments.



Time Requirement (tentative)

3 weeks

Note:

- ☞ The period between finalisation of the draft IDP and its adoption by the council should be used to popularise the plan. IDP will only become an effective tool if its contents are known by the public.
- ☞ Providing a fair chance for comments does not mean to try to encourage a maximum number of people to submit numerous comments. It should not be regarded as an opportunity to re-discuss everything which was already agreed after long debates, but rather as an opportunity to check whether everything is lined out in accordance with what has been agreed upon.

PHASE 5: APPROVAL

PLANNING ACTIVITY: 5/4 INCORPORATING AND RESPONDING TO COMMENTS



Purpose:

WHY?

- ☆ The revised IDP reflects the ideas and concerns of all parties involved in or affected by implementation of the plan to the largest possible extent.
- ☆ All stakeholders feel their concerns are adequately dealt with. As a result the support of the IDP is maximised and resistance against it is minimised.

Minimum Requirements: w/r to Output

WHAT?

- ☆ A document in which all comments are listed together with a note saying how they have been incorporated, or why they have not been incorporated.
- ☆ Modifications of the draft IDP.
- ☆ Feed-back letters to those who submitted comments.

w/r to Process

- ☆ Major controversial issues arising from the comments have to be dealt with by the IDP Representative Forum.

Hints for Structuring the Process

HOW?

- (1) After all comments are summarised, the IDP Steering Committee shall meet and decide how each comment should be dealt with.
- (2) Persons should be nominated to put these decisions into practice by modifying the draft IDP accordingly and/or drafting a response to the person/organisation who submitted the comment.
- (3) Controversial issues which affect previous decisions of the IDP Representative Forum should be submitted to that Forum for decision making.

Suggested Institutional Arrangements/ Responsibilities

HOW?

- The IDP Steering Committee should decide on how to deal with the comments and ensure that it is adequately handled.
- The IDP Representative Forum should only be involved in dealing with comments which require decisions that:
 - are controversial; and
 - question previous decisions of the IDP Representative Forum on strategies and priorities.



Time Requirement (tentative)

2 weeks

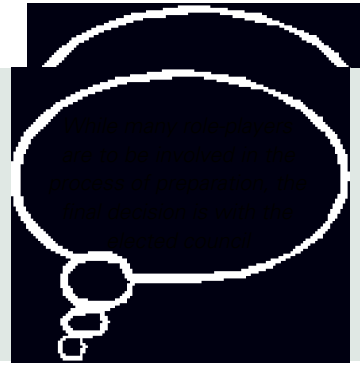
(1 week for routine cases, 1 additional week for controversial cases which go to the IDP Representative Forum).

Note:

- ☛ In case there are many comments, they should be handled by a special committee. The decision *how* to handle a comment, however, can only be done at a senior level, i.e. by the IDP Steering Committee.

PHASE 5: APPROVAL

PLANNING ACTIVITY: 5/5 FINAL ADOPTION BY THE MUNICIPAL COUNCIL



Purpose:

Providing the IDP with an official and legal status as required by the Municipal Systems Act.

WHY?

Minimum Requirements: w/r to Output

☆ An adopted Integrated Development Plan.

WHAT?

w/r to Process

☆ Majority decision in a full council meeting.

Hints for Structuring the Process

HOW?

- All councillors should get a copy of the draft IDP at least 1 month before the council meets for deciding on it.
- During the period when the relevant role-players are given the opportunity to comment, the councillors and the Executive Committee should as well use the opportunity to discuss the document and to comment on it, in order to ensure that the revised draft presented to the council meeting takes care of the concerns of the councillors.

Suggested institutional Arrangements/ Responsibilities

HOW?

- According to the legally prescribed procedures of council meetings.



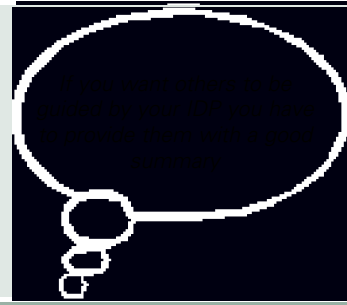
Time Requirement (tentative)

1 day

Note:

- ☛ In case, the decision of the council is postponed, it should be ensured that the draft IDP can still be used as a basis for the budgeting process as far as this is not related to the controversial issues which have caused the postponement.

PHASE 5: APPROVAL



PLANNING ACTIVITY: 5/6 COMPILING DISTRICT LEVEL SUMMARIES OF LOCAL IDPS

Purpose:

WHY?

To provide easy access for external role-players to those parts of the IDPs which are crucial for their interaction with local municipalities, thereby increasing the likelihood that partners from other spheres of government, the private sector and corporate service providers will make use of the IDPs.

Minimum Requirements:
w/r to Output

WHAT?

- ☆ The district level summary should include:
 - a 1 – 2 page summary of the Priority Issues and the strategies of each municipality;
 - a list of projects with budget figures and responsible agencies for each municipality;
 - a tabular compilation of all 5-year capital investment programmes; and
 - tabular overviews on key activities of all other integrated programmes (4/8 – 4/14).

w/r to Process

☆ None

Hints for Designing the Output

- The summary document of local IDPs may be submitted as “Part B” of the district IDP to provincial and national authorities.
- The tabular overviews on the various integrated programmes should summarise information from all municipalities in one table, rather than providing the information on a municipality-by-municipality basis.

Hints for Structuring the Process

HOW?

- (1) Districts should provide templates to the local municipalities to assist them to compile the required information in a standardised manner.
- (2) Local municipalities fill the templates based on information from their draft IDPs and submit it to the district.
- (3) Districts consolidate the information and compile it in overview tables.

Suggested Institutional Arrangements/ Responsibilities

HOW?

- Where PIMS-Centres exist, they should take over responsibility for this Planning Activity.



Time Requirement (tentative)

2 weeks (parallel to 5/4 and 5/5)

Note:

- ☛ As provincial government agencies will be the major addressees and users of the summaries, the provincial department of local government has to be involved in decisions on the contents and the formats of such summaries.
- ☛ The summaries are mainly meant to serve the needs of cooperation partners outside the district which have to deal with many local municipalities. Local cooperation partners including corporate service providers and private sector organisations based within the district will need the full IDP document.