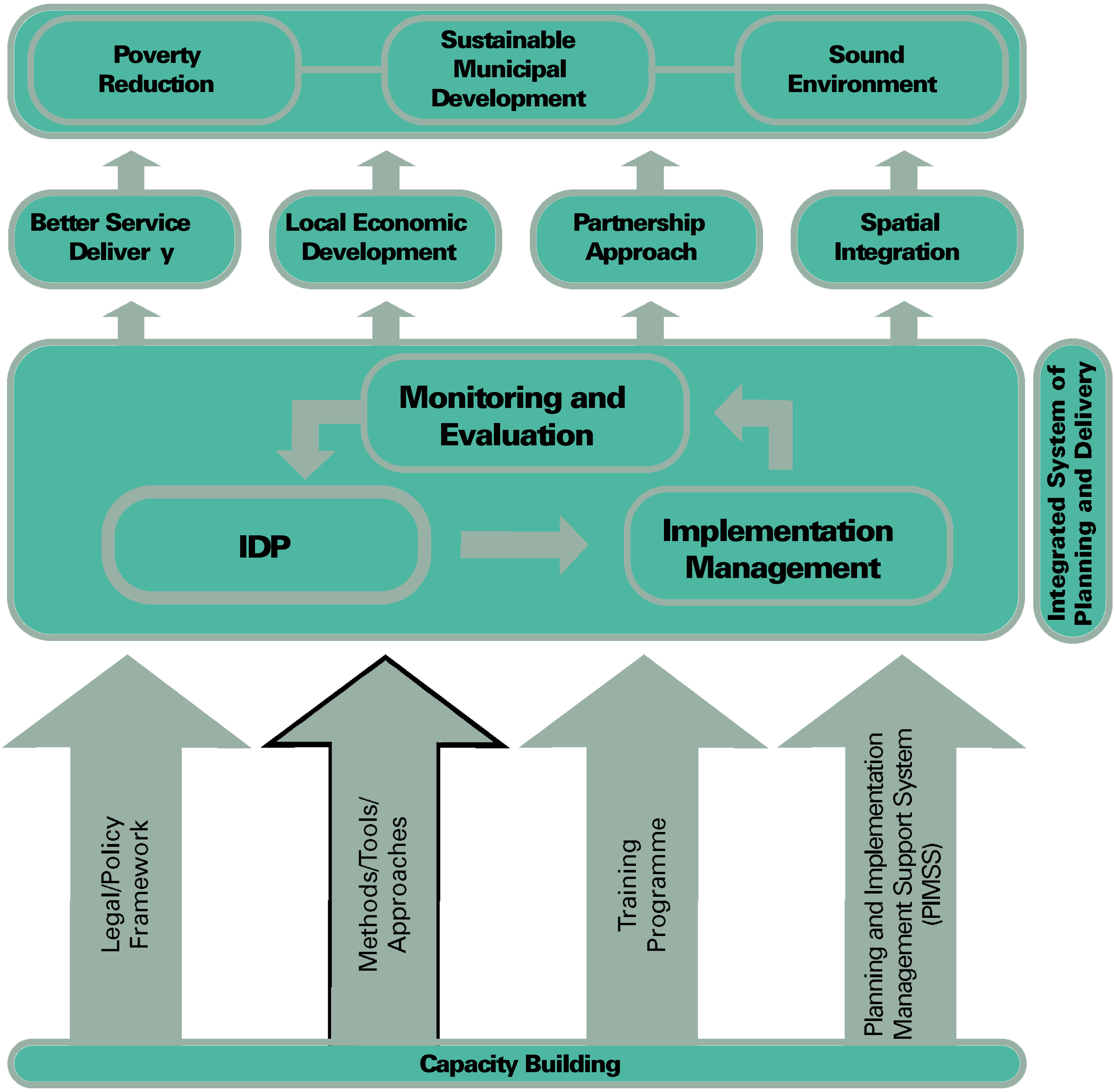
INTEGRATED DEVELOPMENT PLANNING SYSTEM



TOOLBOX

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 tackle 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

Minister for Provincial and Local Government

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: Sectors and Dimensions

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

INTRODUCTION

Guide III of the IDP Guide Pack presents a planning approach which describes planning events (like workshops, studies, data compilation activities) rather than specific planning techniques. The idea behind it is that there should be one common IDP approach which applies to all categories and types of municipalities, while the planning techniques or tools used in the course of following the IDP approach may differ greatly by type of municipality. So all municipalities have to do an analysis, but some may use computerised means of information compilation and processing (like GIS) while others may rely on simple semi-structured overview charts and qualitative rapid appraisal techniques.

The choice of planning tools depends on the nature of planning requirements (which relates to the complexity of the issue), and on available capacities in terms of skills and equipment.

Guide IV, therefore, provides a selection of planning tools and techniques which are considered to be of some relevance to *municipal* planning in general and for the proposed IDP approach (as outlined in Guide III) in particular. The Toolbox does not include tools for other areas of planning, such as community-based planning, sectoral planning or technical planning.

The **purpose** of the Toolbox is to ensure that all municipalities have easy access to appropriate, context-specific planning tools for all phases and planning activities of the IDP process. This will enable them to fulfil their task of managing a consultative, strategic and implementation oriented IDP drafting process in a professional, competent manner. The Toolbox concept is demand-oriented. We do not intend to prescribe tools. We offer them as an option for those who are not sure on how to accomplish a certain planning activity. Those professionals who have their own well-equipped toolbox should not be discouraged to use their own tools in a flexible and appropriate manner. Those who develop ideas on how to modify or adapt the tools presented in Guide IV should be encouraged to do so.

The major **target group** of Guide IV is planning professionals and facilitators. The Toolbox is not meant to capacitate non-planning professionals to become competent planners. It cannot fulfil the function of a textbook (which would, to some extent, contain more basic information and less technical language). Municipal Managers and IDP Managers may find one or more tools which they can capably apply without the assistance of a planning professional (especially with regard to tools in sections A and B). They should be in a position to *understand* all tools, but are not expected to necessarily be able to *apply* them.

The **principle of using a Toolbox** is selective utilisation according to requirement. It is different from a step-by-step approach, which proposes a predefined sequence of using tools. That means that the tools offered in this Toolbox are not strictly related to the Planning Activities of Guide III. Some tools can be used for different Planning Activities in different phases. Certain participation tools, information tools or decision-making tools will be required during the analysis phase, during strategising as well as during project planning. Some tools can be used at community level workshops as well as at municipal level, whilst others may prove to be irrelevant or useless in a specific context. On the other hand, there are Planning Activities for which a choice of more than one tool can be offered. For other Planning Activities, there is no tool at all, because we believe that the particular Planning Activity is self-explanatory and does not need a tool in order to be accomplished. We have tried to provide a choice which is expected to cover most of the requirements of the municipal IDP process (without being necessarily comprehensive). We leave it to the users of this Guide Book to make selective and creative use of it according to their needs, context, and capacities.

Despite there being more than 60 tools in this Toolbox, we are aware that this is only a small **selection** of available tools. Though the selection procedure was not a systematic one in a strict sense, we applied two major **selection criteria** (besides the authors' know-how):

(a) IDP applicability;

(b) Preference for supporting less capacitated councils, which implies a preference for simple tools (assuming that planning departments in big cities and metros who need more sophisticated tools have access to such tools in any case).

If you therefore have knowledge of tools more advanced than those we are offering in the Guide Book, please apply them, and also communicate them to your colleagues (and to us! for further dissemination).

There are **other tool providers** in the country with valuable tools (e.g. DBSA, Agenda 21). We have not duplicated tools already offered by them in any kind of detail, but we do refer to some of those tools, as they are relevant for IDP.

The Toolbox is **structured** according to major functions in a development planning process:

- Participation tools (Section A)
- Information tools (Section B)
- Decision-making tools (Section C)
- Planning tools (Section D)
- Financial Planning tools (Section E).

There unavoidably are some overlaps between these categories. An overview chart will help you find possible tools for each Planning Activity, should you be searching for appropriate tools for a specific Planning Activity.

Each tool includes a statement on the purpose, a reference to the fields of application in the IDP methodology, a description of the nature of the tool (supplemented by a visual presentation of the tool, in the way of a format if applicable) and an example. This description may be supplemented by further guidance on the application in the form of process-related hints (if the application of the tool implies a specific process), or in the form of rules or aspects to be considered.

Like Guide III, Guide IV has the **character of a manual.** This means that it is not a booklet to be read from page 1 to the end. It is a document to be used during the planning process according to need i.e. to look for tools when you need to know more about how a particular planning event can be handled. The Guide Book is structured in a user-friendly way, which enables you to get a quick overview and to find the appropriate tool quickly and easily.

Note: Tools are classified by **B** = basic, **M** = medium, **S** = sophisticated.

Planning activities and related tools

	Phases and planning activities	Related tools Tools specific to the Planning Activity	Other/generic tools
1.	**ANALYSIS**		
1/1	Compilation of Existing Information	B1, B2.1, E1	
1/2	Community and Stakeholder Level Analysis	A1.1, A1.2, A1.3, A1.4, B3.1, C1.1	A2, A3, B10
1/3	Reconciling Existing Information Compilation and Community and Stakeholder Level Analysis		
1/4	Municipality-wide Analysis	A1.3, B3	A2, A3
1/4a	Economic Analysis	B2.4	A5
1/4b	Environmental Analysis	B2.5	A5
1/4c	Institutional Analysis	B2.2, B2.3	
1/5	Spatial Analysis	B10, B11	A5
1/6	Socio-economic/Gender Differentiation	A1.3, B2.6	A5
1/7	Identification of Municipal Priority Issues/ Aggregating Priorities	B6, B7, B8, C1.2	A1.1, A1.5, A2, A3, B10
1/8	In-depth Analysis of Priority Issues: General Guidelines	A1.3, A1.6, B1, B3, B4, B5	A4, A5
1/9	In-depth Analysis of Priority Issues: Generic Sector Guidelines	See guidebooks from sector agencies	
1/9a	Sector Specific Requirements		
1/10	Consolidation of Analysis Results	B6	A2, A3
2.	**STRATEGIES**		
2/1	Vision	D1	A1.1, A1.5, A2, A3
2/2	Working Objectives	D2	A1.1, A2, A3
2/3	Localised Strategic Guidelines	C3	A2, A3
2/3a	Localised Spatial Strategic Guidelines	B10, B11, C3	
2/3b	Localised Strategic Guidelines for Poverty Alleviation and Gender Equity	C3	
2/3c	Localised Strategic Environmental Guidelines	C3	
2/3d	Localised Strategic Guidelines for Local Economic Development (LED)	C3	
2/3e	Localised Institutional Strategic Guidelines	C3	
2/4	Defining Resource Frames/Financial Strategy	C2, C3, C4, C5, E1, E2, E3	
2/5	Creating Strategic Alternatives	C2	A1.1, A2, A3
2/6	Creating Conditions for Public Debate on Alternatives	A1.5	A1.2. A1.4
2/7	Undertaking District-level Strategy Workshops		A2, A3, A5
2/8	Analysing Alternatives	C4, C5, C8	A1.1, A5, B1, B5
2/9	Deciding on an Alternatives/Designing the Strategy	C5, C6, C7, C8, D3	A1.1, A2, A3
2/10	Translating District Strategy Workshop Results into Local Decisions	C5, D3	A1.1

Planning activities and related tools

Phases and planning activities	Related tools Tools specific to the Planning Activity	Other/generic tools
3. PROJECTS		
3/1 Forming "Project Task Teams"	A4	A2, A3, A5
3/2 Establishing Preliminary Budget Allocations	E1	
3/3 Designing Project Proposals	D4, C4, C5	B1, B5, C2
3/4 Target Group Participation in Project Planning	A1.1, A1.2, A1.5	A2, A3
3/5 Involvement of Project Partners		
3/6 Setting Indicators for Objectives	D4.2	
3/7 Project Outputs/Targets/Locations	D4	B10
3/8 Major Activities/Timing/Responsible Agencies	D4	
3/9 Cost/Budget Estimates/Source of Finance	D4	
4. INTEGRATION		
4/1 Screening of Draft Project Proposals	D4.1	B10
4/2 Integrating Projects and Programmes	D5.1, D5.2	A1.1, A2, A3
4/3 Integrated Sector Programmes	D5.1	
4/4 5-year Financial Plan for the Municipality	E2, E3	
4/5 5-year Capital Investment Programme (all sources of investment)		
4/6 5-year Action Programme	D6	
4/7 Integrated Monitoring and Performance Management System	D7	
4/8 Integrated Spatial Development Framework	D7	
4/9 Integrated Poverty Reduction/Gender Equity Programme	D7	
4/10 Integrated Environmental Programme	D7	
4/11 Integrated LED Programme	D7	
4/12 Integrated Institutional Programme	D7	
4/13 Integrated HIV/AIDS Programme		
4/14 Disaster Management Plan		
5. APPROVAL		
5/1 Opportunity for Comments from Provincial/National Government		
5/2 District-level Horizontal (Inter-municipal) Coordination		
5/3 Opportunity for Public Comments	A1.5	A1.2
5/4 Incorporating and Responding to Comments		
5/5 Final Adoption by the Municipal Council		
5/6 Compiling District-level Summaries of Local IDPs		

SECTION A

INVOLEMENT OF OTHERS/PARTICIPATION REQUIREMENTS BY PLANNING ACTIVITY

INTRODUCTION

Involving others is the key to an integrated development planning process. But involving others is a costly process and it takes time. In order to avoid wasting scarce resources and "participation fatigue", it has to be handled in a professional manner.

The tools offered in this section provide some guidance to do this.

Involving others means involving the public (communities, stakeholders). But it also means involving other spheres of government, involving specialists and consultants. Involving others means:

(a) giving everybody a fair chance to have his or her needs, interests and concerns considered in the IDP process, within a given limited period of time; and

(b) making best use of available knowledge and experience within given time and resource allocations.

It means involving relevant people in an effective manner (see A1). It means to organise and conduct meetings and workshops in an effective manner by getting the right participants, involving them and arriving at clear conclusions or decisions (see A2 and A3). But involving others also means effectively selecting the right people for specific tasks, giving them clear direction, and making sure that they fulfil that task (see A4 and A5).

Participation is a much wider field than the aspects covered in this section. This section focuses on tools of public participation in *municipal* planning for municipalities with 100 000 residents on average. It does not cover the wide field of tools for community-level planning (e.g. PRA tools) or tools related to participatory knowledge generation for which there is a wide range of literature.

We attempted to select those tools which are most relevant for the IDP process, but we believe that these tools are quite generic instruments which can be useful for a broad range of public (and private) management processes at all levels.

INVOLVEMENT OF OTHERS/PARTICIPATION REQUIREMENTS BY PLANNING ACTIVITY

PLANNING ACTIVITY	FORMS OF PARTICIPATION	TOOLS*
1/2 Community/Stakeholder level Analysis	• community workshops/meetings • meetings of stakeholder organisations • invitation of representatives/advocates • opinion polls/problem census/surveys	A1.2 Public meetings/workshops A1.3 Resource person interviews A1.1 Using representatives A1.4 Opinion polls
1/4 Municipality-wide Analysis	• Involvement of representatives • Invitation of resource persons/advocates • Studies	A1.1 Using representatives A1.3 Resource person interviews
1/7 Identification of Municipal Priority Issues	• Involvement of representatives	A1.1 Using representatives
1/8 In-depth Analysis	• Resource person interviews • Surveys/Rapid Appraisal/Participatory Appraisal	A1.3 Resource person interviews A1.6 Household surveys
2/1 Visioning	• Involvement of representatives	A1.1 Using representatives
2/2 Working objectives	• Collecting public opinion	A1.5 Informing and collecting public opinion
2/5 Creating Strategic Alternatives	• Involvement of representatives • Involvement of resource persons	A1.1 Using representatives A1.3 Resource person interviews
2/6 Creating Conditions for Public Debate	• Opening channels for unilateral articulation of interest, concerns, opinions	A1.5 Informing and collecting public opinion
2/8 – 2/10 Analysing/Deciding on/ Localising Strategies	• Involvement of representatives and resource persons	A1.1 Using representatives A1.3 Resource person interviews
3/1 Forming "Project Task Teams"	n/a	A1.4 Establishing task teams
3/4 Target Group Participation in Project Planning	• Participatory dialogue • Presenting project proposals for comments	A1.1 Using representatives A1.3 Public meetings and workshops A1.5 Informing and collecting public opinion
4/1 Screening of Draft Project Proposals 4/2 Integrating Projects and Programmes	• Involvement of representatives	A1.1 Using representatives
5/3 Opportunity for public comments	• Opening channels for articulation of and response to comments	A1.5 Informing and collecting public opinion

*Only Section A1 ("Involving Others") Tools. Does not include generic tools like A2,3,4,5, which apply to any meeting, workshop or Planning Activity.

A1 TOOLS TO ENSURE COMMUNITIES/STAKEHOLDERS PARTICIPATION

PURPOSE:

Managers of the planning process have to make strategic choices regarding the involvement of communities/stakeholders during the planning process. Various options are presented to inform these choices.

APPLICATION:

Throughout the planning process (Guide III) involvement of communities and stakeholders are required. This include:

- The identification and analysis of community priorities (1/2)
- Municipal wide analysis (1/4)
- In-depth analysis of priorities (1/8)
- Popularising the vision (2/1)
- Identification and analysis of strategies (2/5, 2/8)
- Project planning (3/3)
- Approval of the IDP (5/3).

Different forms of participation is necessary because (1) the planning phases require different types of involvement and (2) different communities/stakeholder groups have varying levels of preparedness for involvement. This implies that the forms described below should be used in combination with one another and should take into consideration:

- the purpose of the involvement (topic)
- the required results
- resource availability (manpower and money)
- time constraints
- availability and content of existing information.

DESCRIPTION:

The forms of participation described below include:

A 1.1 Utilising stakeholder representatives: Members of the IDP forum can be requested to engage with their own constituencies and report back to the forum.

A 1.2 Conducting public meetings/workshops: Broader community participation is organised via meetings or workshops. This can be for a particular geographical area, institution or interest grouping.

A 1.3 Interviewing resource persons: Individuals are selected in a strategic manner and face-to-face discussions are conducted.

A1.4 Opinion Polls: Accessing a quick overview of opinions from a large number of People.

A1.5 Informing and collecting public opinion and comments.

A1.6 Surveys: Household level information collection via basic questionnaires.

A1.1 USING REPRESENTATIVES OF COMMUNITIES AND INTEREST GROUPS **B**

Application:

Planning Activities 1/2, 1/7, 2/1, 2/2, 2/5, 2/8, 2/9, 3/4, 4/2

Description:

This is a valuable approach where communities and stakeholders:

- are well organised;
- have capable representatives with sufficient time and interest to be involved; and
- good feedback systems exist between representatives and their constituencies.

If this scenario does not exist, this option should be used with care. See hints at the end of the table.

Process:

Step One:	Conduct a briefing meeting before each planning activity that requires the involvement of representatives and clarify: (a) What is the purpose of the information/comment collection? (b) What information or what kind of proposals/comments should be collected? (c) Who should be involved? (d) How should the information/proposals be reported? (format) This should consider the differentiation of information in terms of geographical areas and socio-economic groupings including gender. (e) What data about participants should be reported? (f) What is the time frame? The process plan will provide valuable clues regarding time frames. The representatives will have different approaches how the information will be collected. Some will be able to call a meeting with their constituency while others might have individual discussions. These approaches should be shared during the briefing as it could provide hints to representatives who feel unsure how to go about the collection.
Step Two:	Representatives engage with their constituencies.
Step Three:	Conduct meetings with representatives for reporting back on the findings of their engagement with their constituencies. Representatives provide an account of the information/proposals collected. Written reports should be available for record purposes.
Step Four:	Representatives report back to their constituencies on the results of the representative forum meetings.

Hint:

When this option is used, ensure that all groupings not represented by someone are considered. For example, rural women might be poorly organised and have limited access (due to distances) to participate in the IDP forum. Strategies have to be developed to access the opinions/comments or proposals of groups NOT represented. This could include interviews with resource persons or identifying advocates who have intimate knowledge of and interest in the particular group.

A1.2 PUBLIC MEETINGS/WORKSHOPS

B – M

APPLICATION:

Planning Activities 1/2, 2/6, 3/4, 5/3

DESCRIPTION:

This option involves direct contact with a particular group of people through meetings or workshops in order to obtain information, opinions and proposals. This will require careful selection of a facilitator who will be able to manage the possibly large groups.

This option allows for first hand knowledge/experiences, but it can be time consuming and costly. Public meetings can also be held by representatives (as part of A1.1 Step 3). They should, however, have some facilitation skills, or they should acquire guidance.

ISSUES		CONSIDERATIONS
1	**Selecting a facilitator**	Options include: • External social consultant – private or in the NGO sector • Capable person in the municipality, for example a community development liaison officer or trained councillors • PIMS center staff where available
2	**Typology of meeting:** A particular challenge would be how to organise or structure public meetings/ workshops. The choice effects the amount of time and funds required for the task. Although the facilitator could contribute to the selection of possible structuring of participation, it remains a management responsibility to make a decision.	Deciding on participation level: • Ward committees • Village level committees • Organising according to interest groups i.e. women, youth, unemployed, business sector in community including small businesses and farmers, people living with HIV/AIDS • Municipal level public meeting
3	**Ensuring expected outcomes are achieved**	• Using Terms of Reference (A5) • Workshop preparation checklists (A2) • Approving workshop procedures (A3)
4	**Use of collected information/perceptions and proposals**	• In what forum will the results be discussed? • How will feedback be provided to the various participants?
5	**Documentation**	• Indicate responsibility • Discuss the format, length and user-friendliness of report/minutes • Be clear about what needs to be documented • Consider the distribution and storage of documentation with specific reference to future use

Refer to Tool A2 (Preparation for workshops) and A3 (Workshop Procedures) for more details.

A1.3 INTERVIEWS WITH RESOURCE PERSONS

M

APPLICATION:

Planning Activities 1/2, 1/4, 1/6, 1/8

DESCRIPTION:

This option allows for the collection of the opinions of specific selected persons. These persons can be resource people i.e. people with specific expertise and knowledge regarding an issue, or it can be affected persons regarding a particular issue or it might be a small group of persons (group interviews).

For example during a discussion on health – professional health care workers at clinics will be resource persons who can provide facts (statistics) and opinions about a particular health situation. Interviewing community members that live with HIV/AIDS would mean interviewing affected persons and their contributions relate directly to their personal experiences. Or a group of youth can be interviewed to discuss the matter of reproductive health.

Discussions with resource persons can even be conducted by phone, but it does require skilled interviewers who have clear guidance regarding what information should be collected.

PROCESS:

Step One: **Identify possible resource persons** (interviewees). This could possibly include:

- Community leaders
- Traditional leaders
- Government officials from relevant departments
- Committee members of community based organisations such as women's groups
- Officials from non-governmental organisations
- Representatives from political organisations
- Advocates for disadvantaged groups without legitimate representatives

The interviews might also include community members. It is important to avoid bias when selecting interviewees. Particular attention should be paid to prevent concentration on organised groupings and thereby neglecting more marginalised groups. The selection should also be gender-sensitive.

Step T wo: Compile a **framework of information requirements.** This could be in the format of an interview schedule, or less structured – merely a listing of information requirements. This will have two sections:

(1) **Data about the respondents.** This will vary depending on *who* is being interviewed.

- If a representative is being interviewed, information about the constituency that he/she represents is important.
- In case of a resource person the area of expertise should be clear.
- Where community members are interviewed – demographical information will be useful.

(2) **Content related data** for example problem description and analysis:

- Description of 3 – 5 most prevalent difficulties
- Provide specifications where possible (quantification)
- Causes of the problem
- Effects of the problem
- Resources/potentials that could help to solve the problem

(As described in Tool B3.1: problem census)

It is very important that critical questions are formulated to guide the interviewer. If more than one interviewer is using the questions the reporting format should be standardised to simplify the aggregation of information. The questions will be determined by the topic.

Step Thr ee: **Identify and select interviewers.** This approach requires capable interviewers that are:

- Skilled in human relationships and questioning (getting people to share aspects of their lives).
- Able in recording contributions.
- Understand ethical responsibilities.

As bias should be avoided when selecting the interviewees, it would be useful to ensure that interviewers are sensitive to the various interest groups in terms of understanding conditions, language and how to access them.

Step Four: **Processing and analysis of information.** An aggregation and summary would be required. Standardised reporting formats from all the interviewers would make the processing easier, but this will greatly depend on the topic of the interview.

A1.4 OPINION POLLS

S

APPLICATION:

Planning Activities 1/2, 2/6

DESCRIPTION:

Opinion polls are useful in situations where opinions of a large and representative number of people are needed and opportunities to access these through mass meetings or representatives are not viable. *For example a metropolitan would like the opinion of their citizens on a particular cost recovery strategies. Another example is a problem census, where residents are asked for e.g. their three top priority problems.* The information collected should be kept to a minimum. The approach requires adequate sampling techniques to arrive at statistically valid results as well as suitable processing options i.e. computer programmes that can process the raw data in a meaningful manner.

PROCESS:

Step One: Identify the information that would be useful to collect and compile a format. This should be kept simple.

Step Two: Identify where support would be required. There are specialised institutions for example Idasa, local universities or research institutions that can be contracted for this task. Ensure that such contracts include clear Terms of Reference.

Alternatives include the use of local teachers or interested professionals. There could be persons in the municipality with the necessary research experience.

Step Three: Agree on the selection of a sample. This could refer to the selection of specific:

- Geographical locations
- Stratification (specific socio-economic groupings)
- Size of sample (Rule of thumb: at least 2 – 5% of total population would be considered representative)

Step Four: Consider and select options for the distribution and collection of formats. Options include:

- Postal services
- Using church meetings
- Taxi ranks or shopping areas
- Via school pupils
- At libraries

Step Five: Process and analyse information. Polling requires adequate processing facilities for all the data collected. Once the data is processed and formatted in a meaningful manner, analysis can be done. Tables that provide an overview of the collected data can be most useful.

A1.5 INFORMING AND COLLECTING PUBLIC OPINION AND COMMENTS

M

APPLICATION:

Planning Activities 2/6, 3/4, 5/3. This tool is crucial. In addition, it may be applicable for Planning Activities 1/7 and 2/1.

DESCRIPTION:

Once decisions are being made in the IDP process, for example:

- agreeing on priority issues
- the vision
- proposed strategies/solutions
- project proposals
- the approval of the IDP

Municipalities have a responsibility to keep the public informed and also to create opportunities for the public to contribute/comment or challenge the decisions. This could involve stimulating debate in the broader public or within a particular community/stakeholder group.

OPTIONS

Sharing of information as well as collecting of opinions can occur by a range of different options. The options include:

1. Written/visual efforts:

- Using billboards at strategic locations, for example the vision of a municipality can be popularised by placing a billboard where you enter the town or at a venue that many people frequent like taxi ranks and pension pay-out points.
- Use of information brochures placed at strategic venues like libraries or mobile clinics or included with the monthly municipal account.
- Press statements – use of local media.

2. Meetings/events

- Public hearings or panel discussions with stakeholder representatives.
- Press conferences.
- Community gatherings e.g. at sport or recreational events.
- Public meetings conducted by ward councillors.

The selection of an option will be informed by:

- The particular context and environment. For example, a municipality with high levels of illiteracy will find the written media of limited use. This does not exclude the use of other non-verbal visual options.
- The purpose of the sharing and collection process.
- The required outcomes.

ISSUES TO CONSIDER DURING THE COLLECTION OF COMMENTS:

Sharing information is only one component of public involvement – collecting and dealing with the opinions is another important aspect. This involves:

- Discussing options to document issues raised in public meetings.
- Clear guidance should be provided to the public on how, when and in what format collection will occur.
- Ensuring that responsible persons, for example a project task team, deal with and consider comments. In some cases feedback would be required.
- Establishing/institutionalising channels to collect ideas e.g. complaint books.

A1.6 HOUSEHOLD SURVEYS

S

APPLICATION:

Planning Activity 1/8

DESCRIPTION:

Surveys (house-to-house interviews) result in information collection at household level. It is time consuming, costly and requires sophisticated processing facilities for raw data. This approach should NOT be considered during the initial information collection phase, but it might become necessary during the in-depth analysis of priority issues if an information gap on a particular issue or regarding a particular target group or geographical area limits the decision-making ability of a municipality.

For example during the initial data collection resource persons in an area indicated very high incidences of TB. Clinic statistics are not always readily available to verify these claims. A household survey in such an area focusing only on the number of TB incidences in households could be meaningful. All other possible sources of information for example data bases, reviews and research documents should be explored prior to opting for a survey option.

Surveys might not be useful when sensitive/personal information are needed, *for example respondents will not be forthcoming in sharing with a stranger HIV/AIDS related information in the family. Household income is another sensitive area.*

REQUIREMENTS:

1. A sample has to be selected – similar to opinion polls (5% – 6% of households in the area).

2. Design a questionnaire for the interviews. This requires professional research capacity to ensure that raw data (results from questionnaires) can be processed meaningfully. There are also ethical considerations that should be discussed.

3. Questionnaires are tested (sample) and adjustments based on the results are made prior to the survey.

4. Interviewers have to be selected and trained. Language requirements should be considered. Confidentiality is a major issue to be contracted.

5. Once interviews are conducted, results have to be processed. This is normally done by professional data capturing and processing facilities like universities.

6. The processed information can now be analysed and conclusions drawn. The users of the information should always consider the limitations that occurred during the survey, for example if only 10% of the respondents were female.

A2 PREPARING/ORGANISING A WORKSHOP

B

PURPOSE:

To provide systematic guidance in the preparation of meetings and workshops and thereby preventing poorly organised events and waste of time.

APPLICATION:

Meetings and workshops will be required at regular intervals. Careful preparation and planning are the critical success factors to all gatherings whether it involves an existing institutional structure, for example the IDP representative forum (repetitive contacts), or new groups of people being brought together for an ad hoc purpose like District level workshops.

DESCRIPTION:

Although aspects of the preparation will be delegated (for example the delegation of catering or logistical arrangements to administrative personnel) the person responsible for the meeting need to stay in charge of every aspect of the preparation. Municipalities have to consider the legal obligation (Systems Act Ch.4) to ensure that vulnerable groups, for example the disabled are considered and accommodated in all efforts. The tool provides a step by step approach of the critical issues that should be attended to.

Meetings and workshops are used inter-changeably in the process, as both types of gathering require similar preparation. Less effort might be required in cases of well institutionalised meetings.

PROCESS:

Step One: **Clarify the purpose of the meeting/workshop**

Every gathering should have a clearly stated outcome at the outset of the preparation, as it will influence many of the other steps. *For example: members of the IDP Forum identify, evaluate and agree on strategies to achieve the objective: Revenue collection to increase by 15%.*

Step Two: **Decision on the type and number of participants**

A meeting or workshop can easily be a waste of time when the relevant people are not present or when the "wrong" people are present. Therefor careful consideration should be given to who should attend as well as how and when these relevant people should be invited. The purpose of the meeting will determine who should be there. Timely invitations are important and in some cases a follow-up will be required. It will be useful in the preparation to know who will be able to attend. The following questions should be answered:

- Who should be invited? This could refer to particular persons or organisations. Depending on the nature of the meeting, it is useful to clarify who in an organisation (referring to expertise as well as decision-making powers) should attend.
- What would be the best method of informing/inviting the relevant persons? This could refer to public notice, using e-mail, telephonic or written invitations. If you would like a response from delegates you need to indicate this on the invitation. This is normally necessary if catering arrangements have to be made.
- Who would be responsible to make the invitations and do the necessary follow-up?
- By when should invitations be made? This will only be possible once the time and venue has been decided (steps 3 and 4).
- How would you ensure delegates come prepared to the meeting? This could include ensuring that the agenda or programme is made available or including reading material with invitations.

Step Three: **Agree on the timing of the meeting.** Organisers should consider:

- When would be the most convenient time for people to attend in terms of date and day as well as time of day?
- What would be the most viable duration for the meeting/workshop?

For example, arranging meetings during the week in working hours excludes employed people from becoming involved. Other factors like pension days and church responsibilities should be considered. The timing needs to be gender sensitive for example in rural areas women are occupied with household responsibilities until 10:00. Meetings that start earlier will exclude this group.

Step Four: **Agree on a suitable venue.** Consider the following:

- How many people should be accommodated?
- Is the location accessible to all participants?
- Will there be any special requirements for example access for disabled persons?
- Will break-away rooms be available, if needed?
- Will the necessary infrastructure be available, for example electricity, water, sanitation facilities?
- Do you need to include directions/maps to the venue?
- Can the furniture be arranged in a manner that you require?
- What costs will be involved?

Step Five: **Preparing the programme**

In a meeting situation this will refer to the agenda. The programme is directly linked to the time available and the topic of the meeting. Most people have busy schedules and meetings should therefor not be too long, but sufficient time need to be allocated to ensure the outcomes will be achieved. A time schedule will be useful:

Time allocation	***Topic***	***Activity or method***
8:00 – 8:30	*Opening*	*Welcome* *Introductions*
8:30 – 8:45	*Purpose and procedure*	*Use visualisation to state the purpose* *Go through agenda* *Check for comments or suggestions*
8:45 – 10:45	*Present existing data on revenue collection*	*Pie chart indicating the amount of revenue collected versus not collected* *Map to locate areas/clients more prone to non-payment*
10:45 – 11:15	*Tea/coffee break*	
11:15 – 12:00	*Present analysis information*	*Use problem tree to illustrate causes and effects of the issues* *Collect comments/additions or differences*
12:00 – 13:00	*Collect strategy ideas*	*Use creative brainstorming techniques plus roots related option identification*
13:00 – 14:00	*Lunch*	
14:00 – 16:00	*Select best options*	*Use alternative analysis tool*

Step Six: **Preparing visualisation.** Visualisation is used to complement oral communication by visual means. Communication theories show us that the reception of information occurs mainly (83%) by eye, compared to 11% by ear. Gatherings can therefor be much more successful if messages are also conveyed visually. This preparation requires you to consider your programme and decide:

- What information will be useful to visualise prior to the meeting? This could include the agenda, a presentation that you intend to do or formats that will be useful during the collection and discussion of ideas.
- What will be the most appropriate format? For example on flipcharts, via transparencies or handouts.
- By when should it be ready?
- Who will be responsible?

Visualisation Preparation Chart			
What information?	**What format?**	**By whom?**	**By when?**
Financial data regarding revenue collection	*Pie charts*	*Mr Kleyns*	*20 July*
Analysis information	*Problem tree*	*Mr Jacobs*	*20 July*

Step Seven: **Preparing the logistical arrangements**

Any gathering requires basic logistical arrangements which should be viewed in context with the venue available. This could be managed by using a checklist. The table below illustrates some considerations.

Checklist for Logistical Arrangements		
Area	**Considerations**	**Comments/check/ responsible person**
Equipment/material	*What equipment will be required during the meeting/workshop?*	
	Overhead projector	
	Flipchart	
	Stationery (pens, nametags, prestik)	
	Whiteboard	
	Video equipment	
	Recording equipment	
	Extenuation chords	
	How should the attendance register be structured to ensure you have record of all relevant information of participants?	
Administrative support	*Would any registration be required?*	
	How will the proceedings be recorded and documented?	
Refreshments/ catering	*Tea/coffee (including times)*	
	Any other catering	

Step Eight: **Clarify roles and responsibilities.** It should be clear beforehand who will be responsible for what during the meeting or workshop.

In some workshops the chairperson of the structure is present as well as a facilitator. Tasks should be allocated to them with for example, the chairperson to be responsible for the opening and closure of the meeting while the facilitator deals with the content/topic.

In other cases the facilitator is also the chairperson i.e. chair as a facilitator. The most critical dilemma is that facilitators are required to remain objective and this can be difficult (but not impossible) if the facilitator is also part of the group.

Resource persons might also be involved in terms of providing specific inputs. Such inputs should be specified in terms of approach and time.

Other roles might include timekeeping, recording and visualisation during discussions.

The documentation of the workshop proceedings and results should be agreed upon in a clear manner. This includes: Who will be responsible? What will be documented? How will it be disseminated?

Step Nine: Anticipate possible conflicts or difficulties that might occur during the meeting. If you are able to anticipate them you will also be able to consider possible strategies or approaches to deal with difficulties. This might include preparing additional information. Although you would not be able to pre-empt everything, preparing for the unforeseen is always advisable.

A3 CONDUCTING WORKSHOPS AND MEETINGS **B**

A3.1 GENERAL WORKSHOP PROCEDURES **B**

PURPOSE:

Provide general guidelines for facilitators in order to plan workshops.

APPLICATION:

During the IDP process workshops are required to share information, create opportunities for stakeholder contributions and reach meaningful decisions. This will be relevant with:

- The analysis of community and stakeholder needs (1/2)
- Discussion of Municipal needs and priorities (1/4, 1/7, 1/8)
- Formulating visions and objectives (2/1, 2/2)
- Creating and analysing alternatives (2/5, 2/8)
- District level discussions (2/3, 2/7)
- Designing project proposals (3/3)

The process described below will typically be useful for planning activities that involve problem identification and exploration as well as generating and assessing strategic options. Facilitators should not use procedural suggestions in a rigid and stereotypical manner, but need to carefully consider the context. The **purpose (topic and intended outcome)** will inform or shape the most appropriate procedure.

DESCRIPTION:

In order for a workshop to achieve an intended outcome the facilitator has to design an appropriate procedure that will create:

- The development of common understanding – examination of specialised issues.
- Deal with differing opinions.
- Generate opinions/contributions/proposals.
- Reach meaningful conclusions.

The tables below use different phases in a workshop to describe the various elements and considerations that will assist the facilitator in the design of procedures. The process and sequencing within the phases (especially phase 2) will have to be adjusted according to the purpose of the workshop.

PHASES AND ELEMENTS OF WORKSHOPS

Phase One: Opening

Elements	Considerations
1. Welcome and introductions	Deciding how participants will introduce themselves Circulating attendance register Clarify any logistical issues for example where the toilet facilities are located State purpose of meeting
2. Setting the climate	Use of "Icebreakers" to create a more relaxed atmosphere Setting group norms to regulate behaviour for example agreeing on how to deal with: – cellphones – conflicts/differences – participation
3. Procedural suggestions	The agenda or programme should be discussed to ensure that all participants know what to expect from the meeting. This should include: – Expected outcomes – Time frames and time management i.e. punctuality – Topics to be covered – Activities/group participation The group should be allowed to comment and concerns and suggestions should be noted and dealt with. This could either mean making alterations to the programme or referring unrelated issues to the appropriate forum.

Phase Two: Getting down to business

Elements*	Considerations
1. Presenting the topic	The facilitator introduces the topic that will be discussed. This could involve: • Making a short presentation regarding the topic (background or any information that the participants would require in order to contribute) • Defining the task – what is expected from the participants with regard to the topic: Should they share their opinion regarding an issue, should they indicate whether they agree or not, should they add to the information, should they think of possible solutions. Visualisation of the topic should be clear.
2. Collecting Ideas	1. Statements are elicited from participants. The facilitator has options as to how statements will be collected. It could be: • Random, oral contributions. • Systematic process of moving from one person to the next e.g. as people are seated. • Written on cards or flipcharts by participants. • Small groups can discuss the matter and provide representative views. These can be random groups or specific interest groups. 2. By limiting the number of inputs per person or group, the amount of contributions can be regulated if so required. 3. All statements should be visualised. Even if you as facilitator do not agree with it. 4. The facilitator provides an overview of the contributions by reading them aloud. Unclear statements should be clarified and revised where necessary. **HINTS!** Allow people sufficient time to think before starting to collect ideas. Avoid evaluating ideas during the collection phase as this will side-track the discussions and hinder further contributions. Remind participants that evaluation would occur later in a systematic manner. Ensure all participants are contributing. Do not allow dominance by a few.
3. Structuring ideas	Statements are categorised and structured jointly by the participants and the facilitator. It is useful if the facilitator has some meaningful categories in mind to discuss and agree with the participants. These could include: • Clustering of similar ideas • Creating themes • Grouping statements that agree with a particular issue versus statements that disagree This is the most challenging part of a workshop and the facilitator can easily become lost in a large number of contributions. If the facilitator is able to pre-structure the collection of ideas this would be useful. This can normally be done if a particular tool is being used, for example the problem census format (see b3.1). Contributions regarding the problem can be structured in terms of causes, effects, potentials and specifications. During the preparation of the task the facilitator have to pre-empt the possible responses and thereby consider structuring possibilities.

Elements*	Considerations
4. Evaluation ideas	The structured contributions can now be discussed and evaluated to determine their usefulness and relevance. It is useful to: • Deal with erroneous data and opinions (misconceptions) • Ensure that reality is reflected adequately • Check for any missing pieces of information • Establish consensus and deal with differences in opinion • Reach a basic agreement regarding the body of knowledge The facilitator should consider and prepare for this evaluation. This will greatly depend on the purpose of the contributions: • In the case of alternative strategy formulation, objective criteria will be used to assess the various contributions (see C4.2). • In some cases it would be sufficient to consider the advantages and disadvantages of the various contributions. • For some discussions it would be sufficient for participants to decide for themselves the relevance of the contributions.
Alternative sequencing for Phase Two:	The presented sequence for Phase Two is appropriate if a workshop is primarily intended to make use of the contributions (ideas, perceptions, interests) of the participants, e.g. for participatory analysis, participatory visioning, or creating strategic alternatives. A different approach and sequence is however required in workshops intended to discuss contributions from specialists, results of studies, results from community meetings or project proposals. Such presentations/inputs would not require an additional process of brainstorming/or collection of ideas, but it will be more appropriate to: 1. Presentation of inputs (see examples) 2. Collection of comments 3. Decision-making: Dealing with additions, agreements and differences 4. Application: making the necessary amendments
Phase Three: Closure	
1. Summarise	All insights and decisions should be summarised and visualised to ensure common understanding and agreement. Clarify any differences by referring to discussions and agreements. Do not open new topics for debate.
2. Way Forward	Agree on what happens after the meeting/workshop. This could include: • How the results of the workshop/ meeting will be used. • Tasks that need to be allocated to people including time frames. • Agreeing on the documentation and dissemination of the results. • Any future follow-up meeting.

***NOTE:** The proposed sequence of elements is one example which fits for certain types of workshops only (see further below on alternative options). It should by no means be applied in a mechanistic manner.

A3.2 CONDUCTING EFFECTIVE MEETINGS

B

PURPOSE:

Meetings that are chaired successfully will make participants feel a sense of accomplishment and their motivation to remain involved will increase.

APPLICATION:

See Tool A3.1

GUIDELINES:

1. Always **start on time.** By waiting for late comers you penalise people that are punctual.

2. The **opening of the meeting** will determine the atmosphere. Be business-like and to the point. This might involve:
   - Doing introductions
   - Clarifying the purpose
   - Ensuring roles and responsibilities are clear
   - Ensure consensus regarding ground rules for example the use of cellphones

3. **Clarify the Agenda**

   Participants should be allowed to comment and make suggestions regarding the agenda. Once all participants agree, move on.

4. **Maintain the focus of the meeting**

   Continuously check whether discussions are still in line with the purpose. Remind people of the objective.

   Introduce each new topic on the agenda – creating the context for the discussion. Allow people to give inputs.

   Avoid dominance. If one or two people hog the floor institute a "one minute" rule which allow each participant only one minute to state their position. Or list the names of all possible contributors prior to opening the floor and follow the order of the names.

   At the end of each issue summarise and move on.

5. Ensure the **decision-making procedure** is clear. Each decision and related comments should be carefully documented.

6. In case of **deadlocks** get support and ideas from the participants on how the issue can be resolved without jeopardising the whole meeting. This might involve setting up a specific task team to investigate and report back at a following date.

7. End the meeting on a positive note. Summarise the major points including achievements in terms of decisions. **END ON TIME.**

8. Make sure **documentation** is done promptly and as agreed. This should be distributed to ensure any tasks allocated during the meeting are known to all participants.

(Just about everything a manager needs to know in SA, Flanagan & Finger: 1998).

A4 ESTABLISHING TASK TEAMS

B

PURPOSE:

The checklist of questions will assist in the formation and management of task teams.

APPLICATION:

At various points during the planning process it will be useful to allocate tasks/responsibilities to a carefully selected working group. The group can imply a more long term institutional structure, for example the IDP Representative Forum, or more specific to this tool, temporary task teams responsible for:

- Formulation of project task teams (3/1).
- Tasks such as the collection and analysis of information (Phase one).
- More detailed assessment of strategies (Phase two).

DESCRIPTION:

The checklist consists of critical questions that should be answered prior to the team formation as well as once the team has been established. The "comment" column can be used to make notes or references or it can merely be used to tick issues that have been clarified.

CHECKLIST FOR ESTABLISHING TASK TEAMS		
	Issues to consider	**Comments**
1	Is the task clearly stipulated with expected outcomes, time frames and cost considerations prior to team selection? This can be done by a Terms of Reference (ToR).	
2	What is the relationship of the task team with the commissioning body? (This should also be captured in the ToR relating to powers and authority).	
3	Are the requirements regarding knowledge/skills and experience defined?	
4	Is there a list of possible candidates for the team based on the requirements listed in 2?	
5	Is there sufficient diversity e.g. gender sensitivity?	
6	What is the lifespan of the required task team?	
7	Do the proposed members have the necessary time and interest to be committed?	
8	Do all team members know what is expected of them in terms of: • Work related outputs (ToR). • Team roles and responsibilities including team leadership. • Powers and authority (ToR).	
9	Does the team have group norms/rules to regulate behaviour?	
10	Are there mechanisms to deal with conflicts that affect the functioning of the team?	

A5 DRAFTING TERMS OF REFERENCE

B

Purpose:

To give guidance regarding the minimum content required for effectively managing a task using Terms of Reference. It serves as a tool to ensure that the right person/s or organisation is selected for the task as well as a monitoring tool to check the progress and final result of the task. The Terms of Reference clarifies expectations and is an attachment to the legal contract process.

Application:

During the IDP process Terms of Reference will be useful for:

- Defining the roles of stakeholders in the process.
- Contracting facilitators/consultants to manage workshops (1/2, 1/4, 1/7, 2/1, 2/3, 2/7).
- Commissioning studies (1/4, 1/8, 2/8).
- Allocating tasks to work groups (3/1).

Drafting the ToR does not only apply when contracting external capacities – the tool remains useful even when internal staff members are allocated responsibilities. It improves the ability of management to ensure accountability. It will therefore be critical that management is involved and approve all ToR as it is mainly a management tool.

Description:

The Terms of Reference is a management tool that ensures that parties involved in a particular relationship is clear about what is expected from one another. The tool describes various categories of information that should be dealt with in a ToR namely:

- Background
- Purpose
- Required qualification
- Outputs
- Time frames
- Authority/reporting
- Code of conduct (when relevant)

The structure can be used as a template and the content of each category can be adjusted for different situations. It should be a tightly worded document outlining what is to be done and the boundaries of the task. Unless the task can be precisely defined it could imply that management is not clear exactly as to what they want to achieve.

Terms of Reference for an institutional structure e.g. the IDP Forum, will have greater focus on specific aspects compared to contracting a consultant. Differences are indicated in the guidelines.

Guidelines:

The table on the next page indicates information items that should be included in a Terms of Reference. Not all the items will be relevant to all situations.

Terms of Reference	
ITEM	**CONTENT GUIDELINES**
Background	• The task should be placed into context. If an external person is made responsible for a task he/she should know what proceeded the task and what created the need for the task.
Purpose	• The phrasing of the purpose shall ensure an orientation of the consultants towards the overall objectives of the programme or the organisation (municipality). This will ensure they fulfil their tasks in a flexible, context specific, but always objective-oriented manner. • Specify the objective(s) of the task, position or organisational structure. • Ensure that objectives are formulated in a way that is specific enough to be translated into tasks/outcomes in the next part of the terms of reference.
Outputs	• Specify what has to be done to achieve the objectives/provide a list of main activities. • Specify deliverables/products. • If applicable, specify the format of outcomes/products/deliverables. • Ensure that the above fulfil the objective(s). • Provide definitions where concepts may not be clear. • Clarify the type of documentation that the consultant should deliver.
Activities and Time frames	• Specify one or all of the following: – Time to be spent on each activity/component of work. – Time frame for deliverables (e.g. date report has to be submitted/frequency of participation meetings). – Maximum time limit where applicable (e.g. in case of hourly contract).
Authority/reporting	• Provide clear guidelines on decision making power/authority. • Provide guidelines in terms of channels of reporting. • Specify: – who has authority to assign work. – who has authority to approve work. • Specify reporting requirements, e.g. monthly progress reports. • Provide clarity on procedure for changes of terms of reference.
Required qualifications	Include information regarding requirements of the contracted person in terms of: (1) Minimum requirements (must have): • Expected level of formal education/type of education • Professional working experience • Specific skill requirements • Language requirements (2) Preferred requirements: • Gender orientation • Locally based
Code of conduct	• Include this if applicable, e.g. in the case of the IDP Representative Forum/Project Teams. • Specify the following for organisational structures: – Frequency/schedule of meetings. – Requirements for having a quorum/attendance requirements. – Administration and management of meetings, e.g. agenda, facilitation and secretariat. – Approval/agreement requirements (e.g. consensus/majority).
Conflict resolution	• Provide a clear procedure for the resolution of conflicts and disputes; this is especially important in the case of organisational structures.

EXAMPLE: FACILITATORS

Terms of Reference

1. Background:

During the time period February 2001 – July 2001 municipalities in the Batophele District have completed problem-analysis, priorities have been defined and suggestions regarding strategies have been developed (documentation available from IDP managers). The IDP methodology now suggests District level workshops (Planning activity 2/7) to discuss, analyse and decide on the most appropriate options considering local conditions.

2. Purpose:

Facilitator should contribute to a lively, consultative and inclusive strategic planning process which results in realistic and broadly accepted proposals under due consideration of different options.

3. Outputs:

The facilitators are responsible for providing the following outputs:

1. *Contribution to the organisation of three one-day district-level strategy workshops by identifying participants and selecting venue and equipment.*
2. *Development of workshop procedure (including planning techniques).*
3. *Conducting three workshops with 25 – 40 participants each, in a way which ensures that strategic options are identified and analysed with consideration of relevant criteria.*
4. *Compiling reports which document the process and the results.*

4. Activities and Timeframes:

	Activities	Deliverables	Amount of time allocated	Due date
1	*Assist in the organising of workshop with specific reference to:* • *identifying relevant participants* • *selecting an appropriate venue and equipment/material*	*List of participants* *Checklist for logistical arrangements* *Refer to A3: Preparing for workshops/meetings*	*3 days*	*15/07/2001*
2	*Develop a Workshop Procedure/ programme including the use of an alternative analysis*	*Workshop procedure approved by management*	*2 days*	*20/07/2001*
3	*Review and summarise existing information that will be relevant for workshop*	*Visualised workshop material*	*4 days*	*8/08/2001*
4	*Facilitate 3 x one-day workshops*	*Workshop attendance registers*	*3 days*	*10/08/2001* *17/08/2001* *24/08/2001*
5	*Compile workshop results*	*Workshop reports in English including:* *Three hard copies plus one electronic version*	*4 days*	*28/08/2001*

5. Authority/reporting

Workshop procedures should be made available to the IDP manager not later than 20 July for approval. The facilitator will receive feedback and comments within the following 2 days.

The IDP manager should approve any additional budgetary requirements prior to any expenses. These might include additional workshop material or research work that the facilitator needs.

The final workshop reports should be submitted no later than 28 August and in formats stipulated above.

Any changes to the Terms of Reference require the approval of the IDP steering committee.

SECTION B
DEALING WITH INFORMATION

INTRODUCTION

Planning means dealing with information in such a way that conclusions can be drawn. Although information and data requirements for proper planning are often overestimated by those planning professionals who have only learnt to deal with data rather than with people, there is nevertheless a definite need for proper facts and figures before informed decisions can be made.

Dealing with information implies different types of challenges:

- **Deciding on the type of information needed.** As information collection is an expensive exercise, decisions on information requirements must be done in a systematic manner (see Tools B1 and B5).
- **Getting reliable and accurate information.** This is a specific challenge for researchers and survey staff. As there is a broad range of specialist know-how on appropriate research and survey methods. The only thing municipal management can do is to make sure that they entrust such surveys to professionals who are familiar with such methods. Therefore, we do not present tools for coping with this challenge in this IDP Guidebook.
- Knowing **sources of available information** in order to avoid duplication of information collection (see tools to access information under B.13).
- **Processing data and information** by clustering, compiling, adding up, structuring and interrelating. That is one of the major challenges of the IDP process where a broad variety of information from different places and different sectors has to be brought together and be consolidated. Tools B6 on clustering, B7 on aggregating information, and B8 on interlinking information can assist in coping with that challenge.
- For transforming data into information, and **information into knowledge,** there are a range of topic or task specific **analysis tools:**
  – Sector and dimension specific analysis tools (e.g. on economic, social, environmental, organisational analysis) provide the relevant variables to get a quick overview on the situation in these specific fields (See Tools under B.2).
  – Tools for looking at information on the situation from a particular perspective, like for example, identifying problems (B3) or potentials (B4).
- Presenting information to others in such a way that it is well received. This can be done my means of tables, graphical presentations or maps (B9, B10, B11).

The section concludes with a short overview on tools offered by other organisations.

INFORMATION REQUIREMENTS AND TOOLS BY PLANNING ACTIVITY

PLANNING ACTIVITY	INFORMATION REQUIREMENTS	TOOLS
1/1 Compilation of existing information	• Demographic data • Existing service levels/service gaps • Financial resources/institutional capacities	B1 Information collection chart B2.1 Service provision summary chart
1/2 Community/Stakeholder level analysis	• Prioritised needs/problems • Affected persons, groups, places • Causes, effects, related potentials	B3.1 Problem Census format B10 Spatial illustration (other Tools: see under Section A)
1/4 Municipality-wide analysis including: – economic analysis – environmental analysis – institutional analysis	• Economic data, trends, potentials, problems • Environmental problems/risks • Institutional strengths and weaknesses	B3 Problem analysis B2.1 Service provision summary chart B2.2 Institutional capacity table B2.3 SWOT (Organisational analysis)
1/5 Spatial analysis	• Mapping of spatial trends, patterns, issues and spatial dimension of other issues	B10 Spatial illustration B11 Geographical Information Systems (GIS)
1/6 Socio-economic/gender differentiation of analysis	• Data and priorities differentiated by socio-economic category and gender • Situation of specific disadvantaged/poor groups and gender-related problems	B2.6 Poverty/gender data sheet B1, B3, B4, B7: Gender-differentiated presentation of information
1/7 Identification of municipal priority issues/ aggregating priorities	• Summary of 1/1, 1/2, 1/4, 1/5, 1/6 • Reconciliation of different sources of information	B7 Priority overview charts B8 Issues interlinkages matrix B6 Clustering
1/8 In-depth analysis of priority issues 1/9	• Precise nature of problematic issues • Analysis of causes and effects • Analysis of trends, dynamics • Analysis of problem-solving potentials	B1 Information collection chart B3 Problem analysis B4 Potential assessment chart B5 Information gap analysis matrix
2/3 Localised strategic guidelines	• Policy/strategy guidelines from national/provincial level	B12 Tools to access information
2/8 Analysing alternatives	• Information impact of alternatives	B5 Information gap analysis matrix
3/3 Designing project proposals	Wide range of possible information gaps	B5 Information gap analysis matrix

B1 INFORMATION COLLECTION CHART

B

PURPOSE:

To structure the preparation or planning of information collection.

APPLICATION:

Although information collection is most emphasised during Phase I (Analysis) with specific reference to:

- Existing information (1/1)
- Community/stakeholder analysis (1/2)
- Municipal priorities (1/4)
- In-depth analysis (1/8)
- Analysis of strategy options (2/8)
- Designing projects (3/3)

the information collection chart can be used during any phase of the planning process to think through the information requirements as well as possibilities to collect the information.

DESCRIPTION:

The chart below identifies a sequence of issues/headings that management or the responsible persons can use to ensure that the information collection is focused and completed in the most cost-effective manner. The most critical element during this preparation is a clarification of WHY the information (purpose/use) have to be collected. The example of "compiling existing information" (1/1) is used for illustration purposes.

EXAMPLE: INFORMATION COLLECTION CHART FOR COMPILING EXISTING INFORMATION

Required Information	Sources	Method of collection	Responsible person	Due date
Demographical information *of communities in municipal boundaries:* *Size of population* *Gender distribution* *Age distribution* ***General trends:*** *Unemployment rates/ patterns* *In-or-out migration* *HIV/AIDS statistics* *Population growth*	*Census data* *Service providers in the municipal area for example:* *– Taxi associations* *– ESKOM* *– NGO* *Universities* *Special agencies:* *– IEC* *Municipal departments* *Provincial departments* *Poverty reports* *National Health Survey* *Existing planning documents*	*Document Reviews:* *– Internet search* *– Request reports* *– PIMS centers at districts* *Interviews with resource persons*		

PROCESS:

Step One: Responsible persons agree on **what information** would be useful to collect. This decision should consider **who will use the information and for what purpose.**

The data collection could relate to information that:

- already exists;
- should be collected from community or resource persons; and
- requires studies/research.

Step Two: **Complete** the **information collection chart** stipulating:

2.1 **Specifications** of the required information – Being specific about the exact scope or size of the information is useful to prevent unnecessary/comprehensive data collection.

2.2 Identify possible sources – **from where or whom**? See example for possible sources as well as Tool B12.

2.3 Agree on method of collection – **how?**

2.4 Agree on responsible person – **who?**

2.5 Agree on time frame – **by when?**

2.6 Provide guidance regarding reporting format. The reporting format should consider the methodological requirements of problem related information in terms of **differentiation by socio-economic groupings including gender as well as by geographical area.**

Step Three: Responsible persons conduct **data collection**.

Step Four: **Collected data is checked** by the appropriate structure or person to determine whether:

4.1 Information is sufficient.

4.2 Information gaps exist and what to do about the gaps.

4.3 Any information should be verified/tested/used during other planning activities for example the community and stakeholder level analysis.

HINT:

Different sources of information often use a variety of "units" with specific reference to quantitative information. For example, income can be described by household or individual. Or the unemployment rate described in report A can be defined as excluding individuals with seasonal work more that 3 months a year. Report B might define unemployment as any individual who is not formally employed. The reporting of information need to be standardised to ensure that information is comparative or clear indications i.e. definitions of units should be provided.

B2 THEMATIC INFORMATION FORMATS

B

B2.1 SERVICE PROVISION SUMMARY SHEET

PURPOSE:

To provide a brief overview of current levels of services available in the various areas. In case of data gaps, technical experts should provide estimates. The sheet does not intend any in-depth data collection for example surveys. It should be based on existing information in the municipality as available from technical experts. Gaps in knowledge should be noted and dealt with at a later stage in the planning if it becomes relevant.

APPLICATION:

Planning activity 1/1 requires this summary. The information will be very useful during community and stakeholder discussions as well as during the aggregation of information prior to the prioritisation process (Tool B7 and B8).

DESCRIPTION:

The sheet provides opportunities to describe various levels of service available in a particular sector with reference to a particular geographical area. The information can also be illustrated by means of a spatial illustration (map) per sector. The second part of the sheet gives *brief* consideration to bulk capacities available. This is by *no* means an in-depth analysis of potential bulk capacities as this becomes relevant later in the planning process (See tool B4). In case of municipalities that opt for spatial illustration, bulk capacities can be illustrated by overlays that indicate different bulk capacity scenarios in different areas.

PROCESS:

1. **Identify** which **sectors** will be targeted for information gathering. This will include:
   - All departments/sectors in the municipality.
   - District level service provision.
   - Possible provincial departments: Education/health/welfare.
   - Utility companies/service providers (ESKOM/TELKOM).
   - Other services including for example libraries.

   Identify partners in the relevant department that will be able to provide the necessary information, for example department heads.

   Assist responsible persons in identifying potential information sources where possible, for example Information Sources identified in Tool B12.

2. With the department head **agree what information** by sector would be useful and possible to obtain.

The sheet below suggests:

- The different types (levels) of services by geographical area. This should be descriptive in nature, for example the different levels of sanitation could include:
  - Full flush system
  - Pit latrines
  - Bucket system
  - No system

  Or health could include:
  - Mobile service
  - 24 hour medical support
  - Satellite clinic service (3 mornings per week)
  - Weekday clinic services
- User size e.g. number of households or population figures (state clearly what unit is being used)
  – this is only relevant where information is available.
- Description of bulk (for example reservoir B or electricity grid Y).
- Brief indication of the capacity of bulk, only where information or estimates are available.

NOTE:

The type of information will differ from one sector to the next. *For example health service provision would focus on number of clinics in the area including mobile, size of users and capacities in terms of staff.*

SERVICE PROVISION SUMMARY CHART										
Sector: Water affairs			**Type of service:** Sanitation							
Geographical Area/entity	Description of area	Size of population/no. of households	Current Service Provision						% of population below defined minimum standard	Available bulk capacity
			No. of consumers with:							
			None	Buckets	Level D VIP Latrine	Level C Septic Tank	Level B Inter-mediate discharge	Level A Full water borne		
Yala	Township	20 000	–	–	5 000	–	10 000	5 000	0%	....
Puru	Informal	10 000	6 000	4 000	–	–	–	–	100%	....
Liku	High income area	5 000	–	–	–	–	–	5 000	0%	....
Soho	Business	4 000	–	–	–	1 000	2 000	1 000	0%	....
Total		39 000	6 000	4 000	5 000	1 000	12 000	11 000	27%	

B2.2 INSTITUTIONAL CAPACITY SHEET

B

PURPOSE:

To get a quick overview on the service provision capacities of the municipality and of other service providers who have got service providing units or facilities within the municipal area.

APPLICATION:

Planning Activities 1/1 and 1/4c

DESCRIPTION:

List relevant institutions and provide facets and figures which are suitable to indicate their service providing capacity (such as number of staff, budget and indicators for delivery capacity).

Institutions:	**Number of Staff**		**Major Tasks**		**Annual Budget**		**Contains and limitations**
	Total	Professional	Type	Related Capacity	Operational	Capital	
A Local municipality service units							
B District service units within local municipality area[1]							
C Corporate service providers within municipality area[1]							
D Provincial/national departments service units within municipality[1]							
E Non-governmental service units within municipality[1]							

[1]*Indicate if it is a service unit which covers more than one municipality*

NOTE:

The format of this overview sheet has to be flexibly adjusted to the type of institution and to the available information. In each case the personal and financial capacity, the tasks and the related service providing capacity should be indicated.

B2.3 ORGANISATIONAL ANALYSIS: SWOT

B

PURPOSE:

SWOT is an organisational analysis tool which is useful for self analysis by the members of an organisation, and which provides action-related qualitative information on the **S**trengths, **W**eaknesses, **O**pportunities and **T**hreats of an organisation. It is a useful tool for analysing the municipal government and can be used as a qualitative supplementary tool to quantitative assessments of the capacity of a municipality. The results should be considered when pros and cons of strategies are debated.

APPLICATION IN IDP:

Planning Activity 1/4c

DESCRIPTION:

The members of an organisation unit (maybe together with some well-informed external resource persons) jointly undertake a guided process of self-assessment, which includes the following **steps**:

1. Identification of the **strengths** of the organisation.
2. Identification of the **weaknesses** of the organisation.
3. Identification of **opportunities** to overcome the weaknesses.
4. Identification of **threats** (or risks) which may prevent the organisation from making successful use of the opportunities.

The results of the four steps of analysis can be listed in a *diagram:*

	Positive	Negative
Present Situation	**Strenghts:** • *Dedicated leadership* • *Strong technical capacity* • *Good relationship between council and administration* • *Good relations to Province* • *Effective use of limited funds*	**Weaknesses:** • *Decreasing revenue* • *No capacities for rural areas* • *Lack of coordination* • *Inexperienced staff in social and economic development*
Future	**Opportunities:** • *Incentive-based Masakhane campaign* • *Partnerships with rural NGOs* • *Using IDP coordination forums for effective coordination mechanisms* • *Making use of PIMS-Centre*	**Threats:** • *People in X area are too poor to pay* • *Not enough funds for NGOs* • *Staff may get tired of too many coordination meetings* • *DC may "hijack" PIMSS-staff*

MODIFIED VERSION OF SWOT:

- Opportunities and Threats are considered as *external factors* rather than as future options.

B2.4 ECONOMIC DATA SHEET

B

PURPOSE:

The guidelines will assist in the collection and documentation of *available* economic information and the listing of information gaps that might have to be dealt with later in the planning process.

APPLICATION:

Information regarding basic economic conditions should be available during the Municipal wide analysis (1/4). Guide III provides valuable hints on possible areas of information that would be useful.

DESCRIPTION:

The sheet below captures the areas suggested in Guide III. The process would require a responsible person to be tasked with the completion of the sheet by:

- Reviewing documentation.
- Checking for useful data on the PIMSS IT-based information system (B12.3).
- Enlisting inputs from resource persons for example at local universities
- Discussions with representatives of stakeholders including unions and business chambers.

ECONOMIC DATA SHEET

A. Basic Economic Data:

- **Employment/Unemployment figures** (differentiated by gender and geographical area/specify definition of measurement unit).
- **Employment Trends:**

B. Information by Sector (with example)

Sector	Types of Enterprises	Major Locations	Contribution to Employment				Trends	Potentials/ comparative locational advantages (e.g. natural resources, access to markets, skills)
			Male	Female	Permanent	Seasonal		
Mining:								
– large-scale	• 1 big copper mine	Bhiara	2 300	560	2 860	–	retrenched 300 workers since 1998 increasing	Resources exhausted
– small-scale	• cooperative	Thumu, Litho	1 000	–	200	800		Can expand if organisation of market access and provision of licences is improved
Farming:								
– commercial	• 20 farms/ 10 000 ha crops	Soleo	300	600	400	500	retrenchment due to mechanisation	irrigation potential for intensive horticulture land is the constraint factor
– small-scale	• 50 commercial 2 000 subsistence surplus	Lutara					increasing	
Manufac-turing: • food processing • metalworks • building materials	• 3 mills, 7 canneries	Industrial area	220	140	300	60	increasing	raw materials, good infrastructure

B2.5 ENVIRONMENTAL DATA SHEET

B

PURPOSE:

The guidelines will assist in the collection and documentation of *available* environmental information and the listing of information gaps that might be necessary to deal with later in the planning process.

APPLICATION:

Information regarding basic environmental conditions should be available during the Municipal wide analysis (1/4). Guide III provides valuable hints on possible areas of information that would be useful (1/4b).

DESCRIPTION:

The sheet below captures the areas suggested in Guide III. The process would require a responsible person to be tasked with the completion of the sheet by:

- Reviewing documentation.
- Enlisting inputs from resource persons,for example at local universities.
- Discussions with representatives of stakeholders, including Environmental groups/NGOs.

ENVIRONMENTAL DATA SHEET

1 **List of problems (Existing difficulties)**	**Location**	**People affected**	**Specification (magnitude)**	**Causes**
Pollution of River X	*Bhiara*	*Village A,B,C that uses water for household use*	*Level of Factor D in water:* *23 reported incidences of Cholera*	*Industrial development 8 km from Bhiara*
2 **Threats/risks (Possible difficulties)**				
Reduction in ground water	*Litho*	*Village A,B,C uses* *Boreholes*	*Reduced from X to Y* *in the past year*	*Increase in allocation of irrigation water*

B2.6 POVERTY/GENDER DATA SHEET

B

PURPOSE:

To ensure that problems related to gender and the specific needs of disadvantaged/ marginalised population groups are taken into consideration when priority issues are decided upon, and when strategies are designed.

APPLICATION IN IDP:

Planning Activity 2/4

DESCRIPTION:

Assuming that most municipalities do not have the capacities to undertake systematic poverty and gender surveys, this tool is meant to help compile available information in as far as there are poverty and gender related problems. The completion of this sheet would require the involvement of competent resource persons for:

– reviewing available documentation; and

– enlisting inputs from resource persons and stakeholders.

Affected Problem Group	Number of people affected	Locations	Type of problems (including quantities as far as applicable)	Background/wider context/related issues
A. Poverty				
Seasonal farmworkers	3 000 households	Moripane	no income in off-season, insufficient food, malnourished children	related to lack of access to own land for farming
Unemployed with HIV/AIDS infected family members	1 200 households	everywhere	families cannot even afford to provide sick members with enough food	rapidly increasing
New informal settlers	1 000 households	Kuruba	no access to basic health, sanitation, water, education and resources for income-generation	
B. Gender				
Young teenage mothers	800 – 1 200	all townships	mothers discontinue education, but cannot find jobs; babies malnourished	
No transport to shops during daytime	all women	all outside the town	much time spent in getting to shops	

B3 APPROACHES TO PROBLEM ANALYSIS

B

B3.1 PROBLEM CENSUS FORMAT

PURPOSE:

The problem census format provides a systematic manner in which to approach issues or problems that will provide an adequate level of information and understanding. It provides a complete and detailed description of the problem/issue including exact information regarding quantity, location, time, extent of and causes of the problem.

APPLICATION:

Such a systematic approach to problem solving could be useful during:

- Community and stakeholder analysis (1/2).
- Municipal analysis (1/4).
- In-depth analysis of priority issues (1/8).

It could be useful to complete such a format with the existing data (compiled in 1/1) prior to conducting community or municipal level discussions. This information can then be discussed, challenged or added to during the discussions.

DESCRIPTION:

The tool uses a format with headings that specifies what information regarding the issue/problem will be useful. The format collects existing knowledge, perceptions and opinions.

PROCESS:

Step One: **Formulating/identifying problematic issues**

In an effort to avoid shopping lists during the need identification, the problem analysis should describe the living conditions/difficulties that communities experience. It should NOT reflect the lack of a particular product/service or infrastructure as this implies a solution and does not describe the problem. For example:

Perceived lack/need	How does this influence the lives of people? Living conditions
We need a clinic	*Many young children die of stomach problems OR* *People are unable to access medical services over weekends OR* *Sick people in the community do not receive the necessary medication*
We need a school	*Our children fail at school because the classrooms are over crowded and they do not get the necessary attention OR* *Our children leave school early because they have to walk far distance to school*
We need a water tap in each house	*People in our community are often ill due to unsafe water from the river OR* *Women have to walk up to 5 km twice per day to collect water from the river OR* *We are unable to maintain our vegetable gardens as water is far away from us and during the winter all the streams are dry*
We need jobs	*Households have very little income and this brings hunger to families OR* *Our families rely on grants and pensions to provide the basic needs*

Step Two: **Ensure that you have a detailed description of the problems.**

The following questions can be useful during the description:

2.1 Who is affected? (consider gender, age, specific location, socio-economic grouping)

– *Are women and men affected differently by this problem?*

– *Are there particular groups (by location or socio-economic conditions) that are more vulnerable to this specific issue?*

– *Does the problem have particular/ age-related distinctions?*

2.2 Quantify the problem (where relevant)

- **How many people affected**
  – *Is it the whole community that does not have access to household water? If not, what is the estimated percentage of households without water?*
  – *What is the number of school going children that is affected by the transport difficulties?*
- **What is the extent of the problem?**
  – *How far do the children have to walk to school?*
  – *Is the problem that water is not available within 500 metres from homesteads or is it thatwater is not available in the households?*

In cases where the community is unable to quantify check with specific resource persons for example the clinic sister or chairperson of the water committee. Information collected during 1/1 can also be useful to add detail/ specification to the problem. In some cases more detailed studies/research would be required.

For example:

During the past 12 months, 15 young children under the age of five died of curable diseases such as diarrhoea and chest problems. Ten of these children lived in the NU 14 informal settlement where mainly female headed households reside.

Step Three: **Understand the causing factors that contribute to the problem**

When asking WHY a particular problem exists you would identify factors that are referred to as constraints. The value of identifying constraints is that we do not treat the "symptoms" of problems, but attempt to address root causes. It also provides a basis to consider potentials/resources that exist.

Why are children dying?

- *They drink dirty water.*
- *Children are not strong because they do not eat well.*
- *Mothers are not at home to take care of their children.*
- *Care givers do not know how to treat the children when they become ill.*
- *The clinic is far away.*
- *There is not always medicine at the clinic.*
- *Parents do not have money for doctors fees.*

Step Four: **Understand the effects or consequences of the problem**

We can gain a better understanding of the problem and the severity thereof when we consider how this problem contributes to other problems in the community. These are referred to as the effects.

What are the consequences of children dying so young in the community?

- *There is a high infant mortality rate.*
- *Families have to face tremendous grief that sometimes leads to alcohol abuse and despair.*
- *Many funerals that cost money.*
- *Women are pregnant more often and not able to work then.*
- *Blaming and fighting in households.*

Step Five: Identify any potentials/resources that could be useful

This is a process of examining in detail the availability and usefulness of something, someone or a natural environment within a chosen area or community.

Potential refers to the under- or unutilised resources including:

- **Natural:** land, forests, water
- **Human:** indigenous knowledge, survival strategies, labour force: skilled and unskilled
- **Market** opportunities
- **Infrastructure**
- **Financial** contributions
- **Institutional:** service agencies and other organisations: programmes/projects

An important aspect of a potential is that it EXISTS and is accessible to a group or community. It is NOT a perceived solution nor does it include things that are already used to full capacity. It only refers to things that have spare capacity left that can be utilised. The type of potentials will depend on the nature of the problem and therefore the potential should be linked to specific problems or constraints. A community could be surrounded by a forest with fire wood (natural potential), but if their problems do not relate to access to fuel this potential is irrelevant in the particular situation.

Should the problem relate to limited income generating opportunities, the forest might become a relevant potential. For *example*:

Constraint	Potential
Care givers do not know how to treat water.	*Education officials at clinics (Human Resource)*
Community do not have access to safe water	*Under-utilised rain water*
No electrical supply at clinics	*ESKOM social responsibility programme (Institutional)*
Poor nutrition among children	*Land available (natural)*

The analysis of these potentials are dealt with in the potentiality matrix (B9).

PROBLEM CENSUS FORMAT (EXAMPLE):

Description of problem	*Problem 1* *Young children die of curable diseases*	*Problem 2* *Small scale farmers do not have sufficient water for production purposes*	*Problem 3*	*Problem 4*
Specifications	*Children under the age of five* *15 children in the past 12 months* *Mainly stomach and chest related illnesses* *NU 14 (informal settlement) – 10 children*	*35 small scale farmers in Chebe area* *Average of one hectare per farmer* *Land is 7 km from river* *Maize crops*		
Causing factors	*Unclean water* *Limited health care knowledge among parents* *Clinics do not always have medication* *Parents do not have money to pay for health services*	*Home-made irrigation pipes from the river do not give enough water – no pressure* *Rainwater is not stored* *Maize type that farmers plant requires 800 mm per hectare in dry season* *No land is available closer to the river*		
Resulting problems/ consequences	*Blaming and fighting in families* *Women are pregnant more often*	*During dry season crops are reduced to one quarter of usual production* *No food in homes* *Farmers have to leave the land and find alternative income in towns*		
Problem solving potentials	*Health educators at clinics*	*Rain water*		
Indication of priority	*1*	*3*		

B3.2 PROBLEM TREE

M

PURPOSE:

The problem tree provides an alternative approach to identify and analyze problems in a systematic manner.

APPLICATION:

Such a systematic approach to problem solving could be useful during:

- Community and stakeholder analysis (1/2).
- Municipal analysis (1/4).
- In-depth analysis of priority issues (1/8).

Information from the existing data (compiled in 1/1) should be available prior to conducting community or municipal level discussions. This information can then be discussed, challenged or added to during the discussions.

The approach is particularly useful to clarify cause-effect relationships among issues. The relationships among problems can be seen clearly.

DESCRIPTION:

The tool uses a tree structure consisting of a core problem (trunk of tree), causes of the problem (roots of tree) and effects (branches of tree).

Once an issue has been defined, the question WHY? plays a crucial role in developing a system of interrelated issues.

PROCESS:

Step One: **Identify the core or starter problem.** This should be at a living condition level to allow for a meaningful analysis (see problem census format: step one). If the core problem relates for example to an infrastructure level there would be very little opportunity to explore root causes. A lack of clinics as a starter problem will not be a useful starting point to consider the health issues in a community.

Any details regarding specification of location, affected group or quantities should be included where possible.

Step Two: **Identify the immediate causes.** What is the immediate cause of the starter problem? Ensure that the cause is directly related to the starter problem. For example mothers not knowing how to treat diarrhea does not directly lead to many young children dying. Mothers' ignorance leads to children dehydrating because of diarrhea and this causes high death rates. Women not having skills do not lead to unemployment, but not having skills makes it difficult to access job opportunities and this results in unemployment.

The facilitator or group leader has to ensure that the group first clarifies the immediate causes by asking questions.

Step Three: **Identify underlying causes.** This is an attempt to determine root causes. Consider each of the immediate causes (one at a time) and ask why does this constraint occur. Why are children dehydrating from diarrhea? Because (1) they are drinking unsafe water and (2) mothers do not know how to treat diarrhea. Each of these causes can be explored further by repeating the question WHY? Repeat this process until all constraints are identified. Once the WHY question result in frame conditions (contextual issues that cannot be changed or adjusted very easily) for example the legacy of apartheid, the root causes are sufficiently explored.

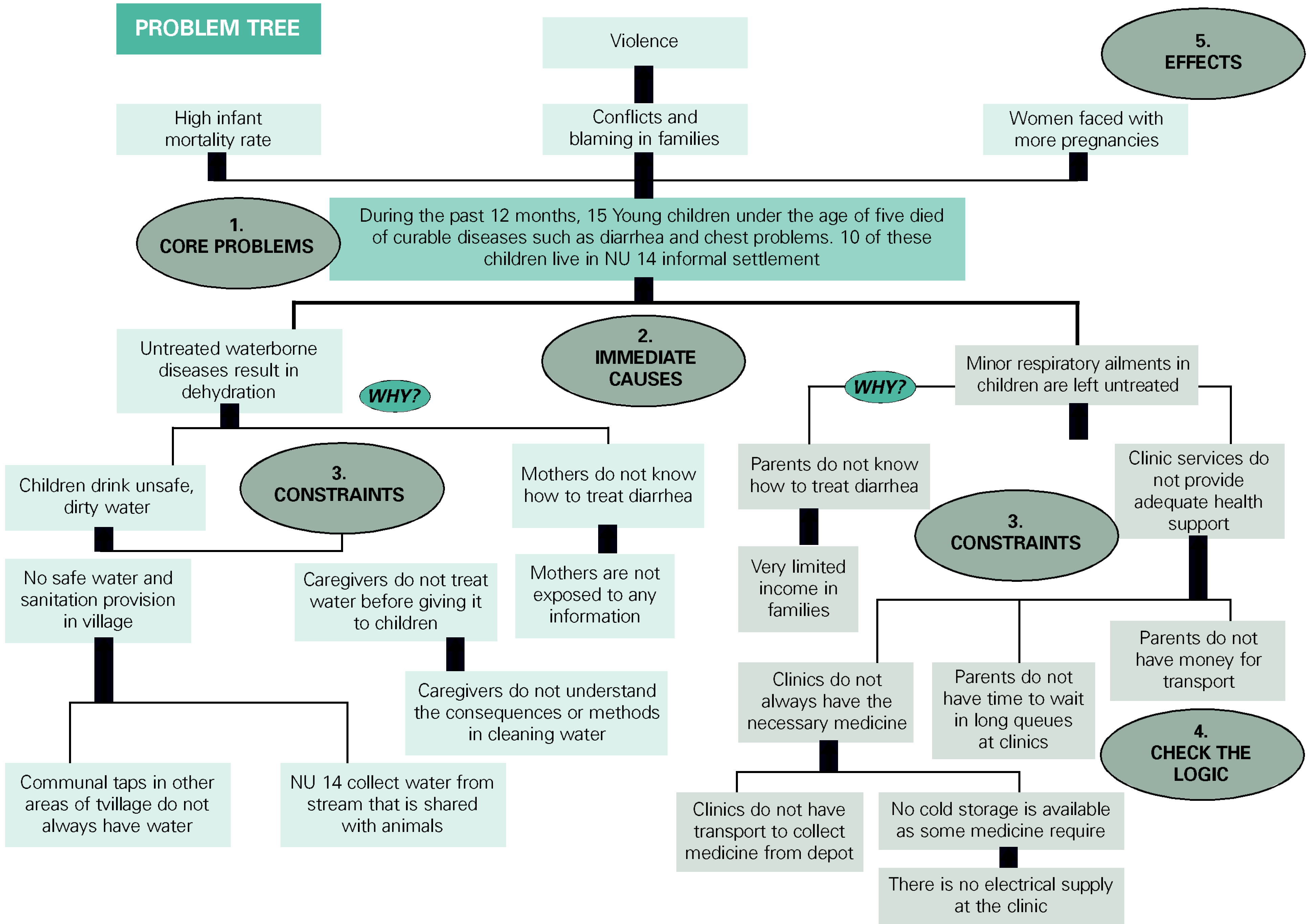
Step Four: **Assess the cause-effect relationships in terms of logic and sufficiency**

Start at the bottom (root causes) of the tree and check whether the particular cause directly relates to the one at the next level and whether all factors have been considered. For example:

- Does not having electricity in clinics lead directly to not having cold storage for medicine. Are there any other factors that contribute to not having cold storage at clinics?
- Are there any other factors apart from a lack of cold storage or transport to medicine depots that result in clinics not having medicine?

Step Five: **Identify the effects.** Revisit the starter problem and ask what is the consequences or results of the problem.

PROBLEM TREE



B3.3 FISHBONE

B

PURPOSE:

The fishbone is a third alternative method to identify and analyze problems in a systematic manner (Also see B6 and B7).

APPLICATION:

Such a systematic approach to problem solving could be useful during:

- Community and stakeholder analysis (1/2).
- Municipal analysis (1/4).
- In-depth analysis of priority issues (1/8).

It could be useful to complete such a format with the existing data (compiled in 1/1) prior to conducting community level discussions or municipal level discussions. This information can then be discussed, challenged or added to during the discussions.

DESCRIPTION:

The tool uses the structure of a fishbone to assist in the visualization of the causes and effects of problems. The tool uses different:

- categories of constraints namely: infrastructure, goods & services, behaviour of people and frame conditions to identify a comprehensive list problem causing factors; and
- interest groups to consider the effects of the problem.

PROCESS:

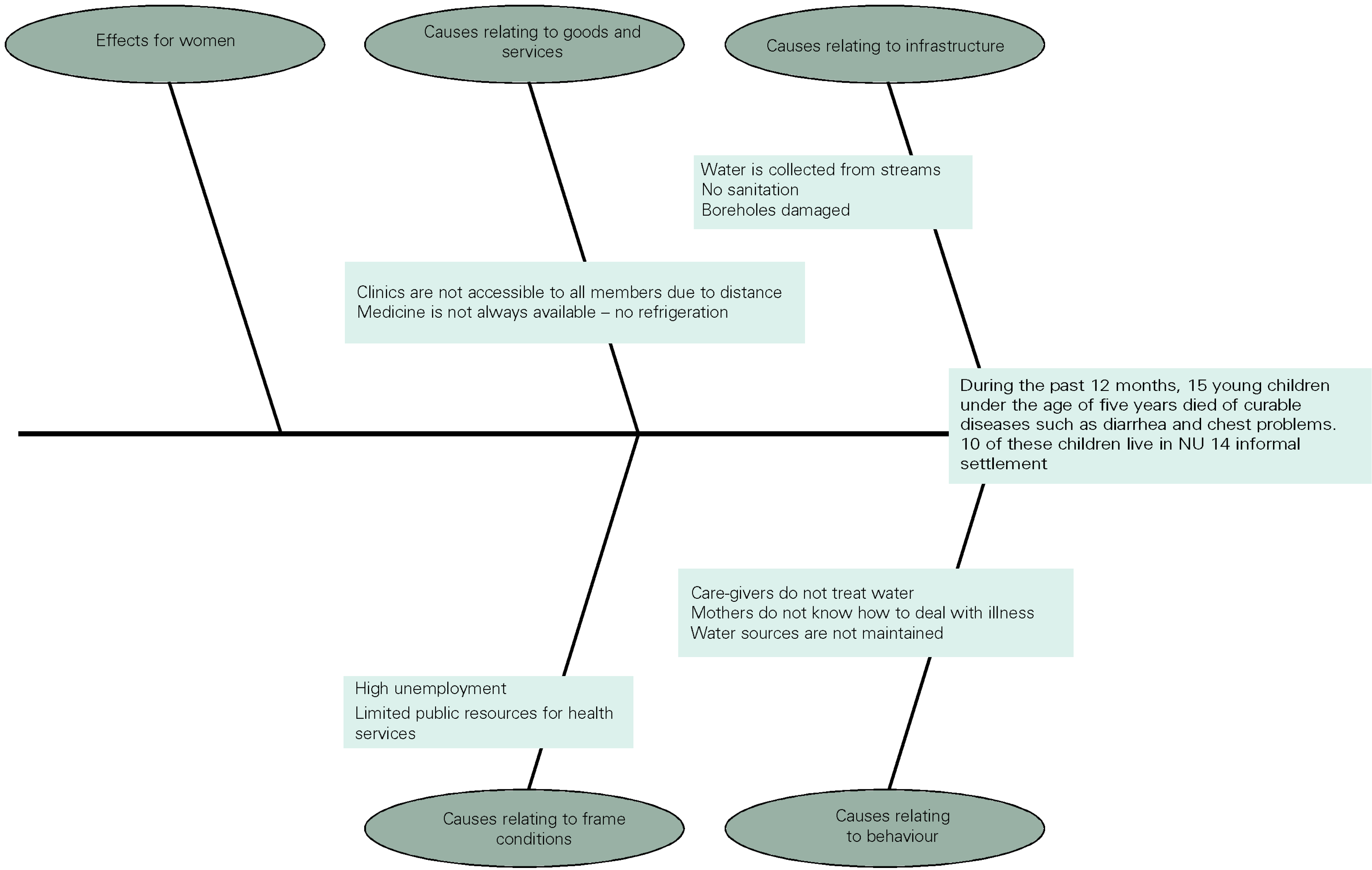
Step One: **Describe the problem situation in detail** – add specifications where possible. See Problem Census Format (B6): Step One

Step Two: **Consider possible causes** in terms of:

- Infrastructure constraints (for example water supply, roads, clinics).
- Goods/services constraints (for example education, markets, health services, production inputs like seeds, extension services).
- Behaviour of people/community including things people do or do not do (for example vandalism of school buildings or drinking of unsafe water).
- Framework conditions factors in the environment with very little (or no) control or options to change (for example the rainfall per year, a specific policy, an environmental condition or history).

Step Three: **Consider the effects of the problem.** Agree on specific interest groups that require specific consideration. For example:

- The water problem effects women differently from men (gender differentiation).
- Groups living in different locations will be affected differently regarding their access to shops (geographical considerations).
- Parents who can afford to send their children to schools in town will not be affected in the same manner as poorer parents by the problem of no transport to the nearest school (socio-economic considerations).
- People living with HIV/AIDS will be affected differently from other community members by poor health services.



Effects for women
Causes relating to goods and services
Causes relating to infrastructure
Water is collected from streams
No sanitation
Boreholes damaged
Clinics are not accessible to all members due to distance
Medicine is not always available – no refrigeration
During the past 12 months, 15 young children under the age of five years died of curable diseases such as diarrhea and chest problems. 10 of these children live in NU 14 informal settlement
Care-givers do not treat water
Mothers do not know how to deal with illness
Water sources are not maintained
High unemployment
Limited public resources for health services
Causes relating to frame conditions
Causes relating to behaviour

B4 POTENTIAL ASSESSMENT CHART

PURPOSE:

A tool for considering the usefulness and extent of problem solving potentials identified during the information collection.

APPLICATION:

During in-depth analysis of issues and prior to strategy formulation it becomes imperative that the identified potentials are described in greater detail. The utilization of potentials ensures that strategies are:

- Localized – appropriate to *local* conditions.
- More sustainable, for example careful description of natural resources will ensure sustainable use as the capacities of the resource will be clear.
- Based on a realistic assessment of available resources.For example where human potential i.e. labour is identified, socio-economic livelihood systems need to be considered to determine the *real* availability of this potential. Unemployed people could use some of their capacities for survival or household related efforts that would limit this potential.

DESCRIPTION:

As already described in B3, a potential refers to the under- or unutilized resources including:

- **Natural:** land, forests, water
- **Human:** indigenous knowledge, survival strategies, labour force (skilled and unskilled)
- **Market** opportunities
- **Infrastructure**
- **Financial** contributions
- **Institutional:** service agencies and other organizations: programmes/projects

An important aspect of a potential is that it *exists* and is accessible to a group or community. It is *not* a perceived solution nor does it include things that are already used to full capacity. It only refers to things that have spare capacity left that can be utilised.

Potentials can relate to:

- *Problems, and therefore the potential should be linked to specific problems* or constraints. A community could be surrounded by a forest with firewood (natural potential), but if their problem does not relate to access to fuel this potential is irrelevant in the particular situation. Should the problem relate to limited income generating opportunities, the forest might become a relevant potential.
- *Opportunities.* These would typically be identified during the Municipal level analysis (1/4) with particular reference to the institutional, economic and environmental analysis.

The chart lists the relevant potential in the first column. Information that will be useful to consider includes:

- A description of the potential including location where possible.
- Quantification of the total potential capacity.
- Current utilization of potential (How much/by whom/for what purpose).
- Reserve capacity that remains as problem-solving options.

EXAMPLE: PROBLEM RELATED POTENTIALS

Problem/Constraint	Description of Potential	Total capacity	Current utilisation	Spare capacity
Access to irrigation water is limited	*Sabi-river that runs 8 km away from the ploughing fields* *(Natural potential)*	*High* – *Runs throughout the year* – *Receive rain water 3 months of the year*	*Only for domestic use – 1 300 households*	*Should be able to irrigate 2 000 ha*
No income opportunities	*Firewood on river beds* *(Natural potential)*	*100 ha of Port Jackson*	*Household use*	
No bridge to link ward 4 with shopping area	*Labour to build the bridge (mostly unskilled)* *(Human potential)*	*48% of people aged 18 – 55 years are unemployed in Ward 4*	*None*	*ALL*
Poor sanitation	*Sanitation upgrade programme* *(Institutional potential)*	*Subsidies of R1 500 available for 300 households*	*120 applications already approved*	*180 household subsidies*
Insufficient water supply to households	*Reservoir* *(Infrastructure potential)*	*8 000 households can be supplied*	*6 500 households currently received water*	*1 500 households*

INFORMATION REQUIREMENTS:

It is necessary to have some basic information regarding the potentials. E.g.: *If there is a potential of groundwater, but it only has sufficient water during the rainy season it limits the extent to which we can use this potential.*

Information regarding potentials is not always readily available. In the absence of time and resources to conduct proper surveys, the "guesstimates" of professional/resource persons or affected parties would be sufficient. Such estimates do not necessarily have to be very precise, but it is necessary to have a rough idea of magnitudes.

Example: If 10 000 people are unemployed, it is not necessary to argue whether job creation by an expansion of food processing industries will be 500 or 600 jobs, but it should be known whether one envisages a few dozen, a few hundred, or a few thousand jobs.

NOTE:

- Estimates on natural resource potentials must be based on consideration of sustainable resource utilisation systems. Not all available resources may be calculated as potential, but only the amount which can be used without reducing possibility of future utilisation (e.g. sustainable cutting rates in forestry).
- Estimates on human resource/labour potential have to be made under due consideration of the socio-cultural system, i.e. considering time requirements for household work, children, funerals, etc.

B5 INFORMATION GAP ANALYSIS MATRIX: PROBLEMS/ISSUES

PURPOSE:

To assist responsible person/s in defining the information requirements prior to embarking on an information search or an in-depth analysis. This will be useful once priority issues have been identified and a more comprehensive and accurate body of knowledge is required for further decision-making. It will also be useful once a number of strategies have been identified and discussed and alternatives have to be selected.

APPLICATION:

In preparation for the in-depth analysis of priority issues (1/8).

During the analysis of alternatives (2/8) information gaps might become apparent prior to the assessment. See Impact Analysis Matrix (C4) for example of information categories.

During the design of project proposals additional information might be required (3/3).

DESCRIPTION:

The matrix identifies:

- The issue that requires information. This can be done by identifying elements of the issue that will be useful to know, for example when considering a problem it is useful to know (1) who does it affect? (2) what causes the problem (3), what are the effects and (4) are there any problem solving potentials that will be useful.
- The existing level of information.
- Possible professional "guesstimates"/deductions or the formulation of hypotheses based on existing information.
- Additional information (specific) that is required.
- Reasons why this information is needed.
- Possible methods of collecting the information.

PROCESS:

Step One: Identify aspects **(categories of information)** of the issue that you would like to explore. An issue can have many dimensions to explore and the question should be "what areas of information would add value to your understanding in a particular situation?" This will provide some structure to your analysis.

In the case of an *in-depth analysis on priority issues* these categories could be information relating to:

- Specification of the problem for example a more precise indication of who is affected, where and in which manner
- Causes of the problem
- Effects or consequences of the problem
- Problem solving potentials that exist

Step Two: **Identify what you already know.** This will include information that you have already collected, but it could also include professional deductions or assumptions that you have made based on your information. It will be required from professionals to rely on their experience and guesswork particularly for municipalities where severe data gaps exists. It will not always be possible to verify every piece of information and such an hypothesis would be sufficient.

Include any sector specific requirements.

Step Three: **Clarify what you still need to know (gaps).** It is at this point that analysis runs in danger of becoming comprehensive. It is therefore important to clarify **why** you need the information. If water is contributing to a health problem it might be sufficient to know what is causing the polution for example animals using the same water source. A scientific analysis of the bacteria in the water in such a case would not add value if securing the water source would be sufficient to address the problem. For each category of information agree what is still unclear.

Managers of the process have to understand their own role in determining what information is outstanding. It is important to clarify why the information is necessary.

Step Four: Agree on the best **method of collecting** the required information. For some issues investigations will be necessary while others would require discussions with resource persons, literature reviews or a combination of all the before mentioned. This can either remain with the responsibility of municipal officials or it can be outsourced to the relevant experts for studies or comments. In both instances clear guidance have to be given regarding the scope of the investigation using a terms of reference.

INFORMATION GAP ANALYSIS MATRIX: PRIORITY ISSUES

Areas of Information or major questions	What is known? Existing information (data and preceptions)	What professional deductions are possible? (hypothesis)	What do we need to know? (This might include testing a hypothesis)	Why is the information necessary?	What is the best method to obtain the information?	Who could be responsible?
Whom does it affect in terms of gender, location, socio-economic grouping?						
Specification of the isuue						
What are the causes?						
What are the consequences?						
What problem solving potentials exist? – Description – Quantity – Quality						
Cost implication of project						
Institutional capacities required						
Economic feasibility						
Contribution to strategy						
Social impact with specific reference to gender						

B6 CLUSTERING

M

Purpose:

To reduce complexity and to make information manageable by putting similar issues together under a generalising term.

Relevant for Planning Activities:

1/7, 1/10

Description:

There is no tool in the strict sense for clustering. But there are some useful **rules**:

1. Put together only those **aspects that belong together** without changing the issues at hand. *e.g.: Clustering the lack of regular plane connections to Johannesburg with the long distance of village women to the water well under "transport" may be problematic.*
2. Think about possible clustering **criteria** before clustering. Such criteria may be:
   - dimensions (economic, social, institutional, environmental);
   - components of living conditions (water, transport, housing, health, education, food income); and
   - levels (household-level issues, community level, municipality level, district/provincial/ national/global level).
3. Clustering is a **trial and error** process. Depending on the type of issues at hand you may arrive at more relevant clustering criteria than the preconceived ones and to have to re-cluster the issues accordingly.
4. The clusters should **cover most** (say 90%) of the specific **issues**.
5. Any **"fall out" issues** should not be excluded from further consideration.
6. Give the clusters appropriate **headings** which represent all issues summarised in the cluster.
7. The approximate number of clusters in the context of municipal integrated development planning may be in the range between 10 and 25.

WHO should do the clustering?

- Community/Stakeholder level: Clustering by facilitators between two sessions of a meeting or workshop.
- Municipal level: Clustering of issues from various sources is homework to be done by members of technical committees (IDP Steering Committee).

Hint:

There is a strong tendency in Government to cluster according to sectors (in the sense of responsibilities of sector departments). This tends to "dislink" interrelated aspects in a multi-sectoral context.

Therefore, clustering should be done in a way which considers the relevant linkages.

B7/8 AGGREGATING INFORMATION

Introduction and Overview on Tools

To arrive at informed decisions, relevant information from different sources has to be consolidated and summarised in a way which gives the decision-making forum a good overview on all aspects to be considered.

In the context of the IDP process, the **challenge** is a **twofold** one:

1) To **consolidate and aggregate the information for each of the four types of analysis**, i.e. compiling and aggregating information and priorities from:

- different communities/wards/geographical areas (Planning Activity 1/2).
- different stakeholder/interest groups (Planning Activity 1/2).
- the municipality-wide analysis (Planning Activity 1/4).
- compilation of existing information based on documents and statistical data (Planning Activity 1/1).

The decision-making forum needs an at-a-glance overview on the results of each of these planning events.

2) To **interrelate** the **results from the four different types of analysis** in a way which helps to **put different perspectives into context**.

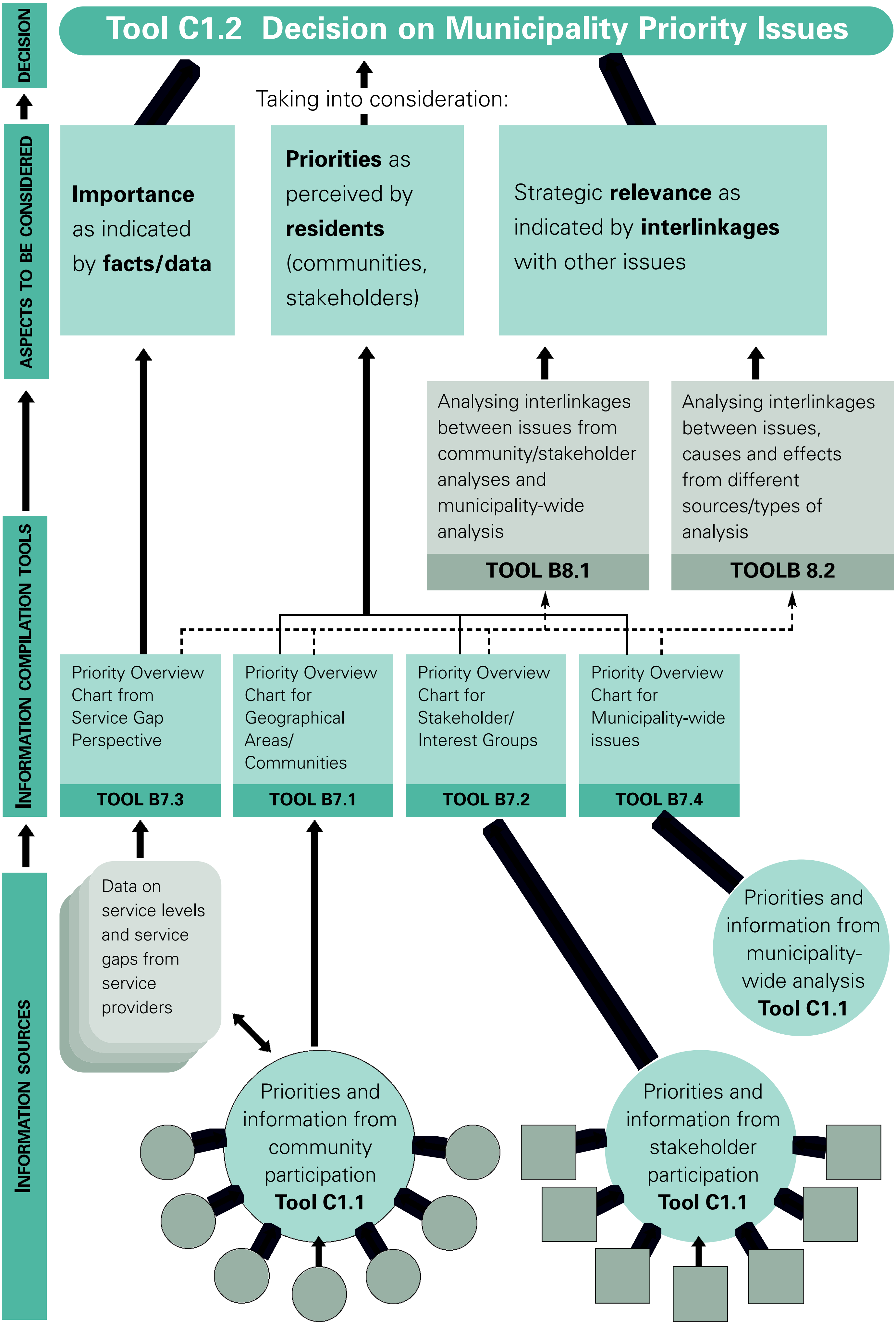
Example: The problem of "poor revenue collection" from municipality-wide analysis may be closely related to the household water problems of some communities and to the problem of unemployment. Only if these issues which were identified from different perspectives are seen in context, can one arrive on well-informed decisions on priority issues.

That means first compiling information and priorities from the different communities, interest groups, workshops on municipality-wide issues and from documents by type of source (or type of analysis). This can be done with **Tool B7, the Priority Overview Charts**. Thereafter, it is necessary to check for overlaps and interlinkages between the different types of sources. This can be done using the tool of **"Issues Interlinking Matrices" (Tool B8)**.

The consolidated results of these compilation processes provide the decision-making forum with condensed information on all relevant aspects to be considered for a decision on municipal priority issues (compare Tool C1.2):

- The importance/magnitude/severity of issues as indicated by the facts and data.
- The priorities as perceived by different groups of residents, communities and stakeholders.
- The strategic relevance of issues as indicated by the frequency and intensity of interlinkages with other issues.

(See Box with overview chart on the proposed procedure).


Tool C1.2 Decision on Municipality Priority Issues
DECISION
ASPECTS TO BE CONSIDERED
INFORMATION COMPILATION TOOLS
INFORMATION SOURCES
Taking into consideration:
Importance as indicated by facts/data
Priorities as perceived by residents (communities, stakeholders)
Strategic relevance as indicated by interlinkages with other issues
Analysing interlinkages between issues from community/stakeholder analyses and municipality-wide analysis
TOOL B8.1
Analysing interlinkages between issues, causes and effects from different sources/types of analysis
TOOLB 8.2
Priority Overview Chart from Service Gap Perspective
TOOL B7.3
Priority Overview Chart for Geographical Areas/ Communities
TOOL B7.1
Priority Overview Chart for Stakeholder/ Interest Groups
TOOL B7.2
Priority Overview Chart for Municipality-wide issues
TOOL B7.4
Data on service levels and service gaps from service providers
Priorities and information from municipality-wide analysis
Tool C1.1
Priorities and information from community participation
Tool C1.1
Priorities and information from stakeholder participation
Tool C1.1

B7 PRIORITY OVERVIEW CHARTS

B

PURPOSE:

To provide an "at a glance" overview on the priority issues raised by various communities and stakeholder groups or arising from other sources of information in order to facilitate an informed decision-making process on municipal priorities.

APPLICATION IN IDP:

Planning Activity 1/7 (Aggregating Priorities/Identification of Municipal Priority Issues).

DESCRIPTION:

Establish **matrices** for compiling all community-level priorities **(Tool B7.1)** and all stakeholder/ interest group priorities **(Tool B7.2.)**. The clustered priority issues form the headings of the columns. The geographical locations (communities) and the stakeholder groups for which a prioritisation of issues or problems was done form the headings of the rows of the matrix. The boxes of the matrix can be filled with priority ranking numbers or with scores which express the priority or relative importance of an issue. In addition, the matrix can be used for indicating which issue was identified as a causing factor (=C) or as an effect (=E) of a problem.

The matrices, while providing a quick overview, do not provide space for many specifications. They should, therefore, be supplemented by simple **overview charts** which list the three top priorities for each community/ geographical area and for each stakeholder/interest group and add columns with important specifications. One can also extend such overview charts by additional columns for causes, effects and potentials.

A similar overview chart / matrix can be established to compile the **information from documents** (from Planning Activity 1/1) in order to allow a comparison with the picture gained through the participatory analysis **(Tool B7.3).**

The presentation of the results of the **municipality-wide analysis** does not require a matrix (as it is not differentiated by sub-units), but only the simple **overview chart (Tool B7.4).**

RESPONSIBLE (WHO?):

Homework to be done by members of technical committees (IDP Steering Committee) as a preparation for workshops of the wider forum (IDP Representative Forum) in which representatives from all communities and stakeholder groups should be present, to report on their priorities and to check whether those are adequately considered in the overview charts.

B7.1 OVERVIEW CHART FOR GEOGRAPHICAL AREAS

B

DESCRIPTION:

Using the list of priorities that was generated by the clustering process, you can now create an overview of priority issues for geographical areas or interest groups. This will be useful to have an overview of the number of communities or socio-economic strata affected by a particular issue.

- Agree on the units that will be useful. For example wards or communities by name or communities by type of settlement (rural villages, informal settlements, formal townships, former white neighbourhood) or type of interest group or stakeholder organisation.
- List the names or units in column one of the chart.
- Use column 2 to describe the particular area or group giving key characteristics such as rural/urban, formal/informal, male/female or basic data such as no of population.
- Row one should include all priorities listed at community/stakeholder level.
- Include a column for "other" as some issues might only be mentioned in a specific area or by a specific interest group and therefore not justify a column.
- Indicate for each area/group the relevance (if any) of a particular issue as identified by the communities. This can be done by indicating the number of the issue in terms of priority ranking for example 1 to 3.
- While you may limit the list of priorities to those issues which are No 1 – 3 priorities for at least one community/geographical area/interest group, you may add priority numbers to those issues which were ranked No 4 – 10 by other communities.
- If certain issues were mentioned by a community/interest group as a causing factor to one of their top three priority issue or as an effect, indicate this by marking the particular issue with a (C) for cause or an (E) for effect.

Geographical unit – Name	Geographical unit – Description	Access to household water	Poor road conditions in community	No or poor access roads to ecconomic centres	Poor health services	No job opportunities	Limited access to land for production	High illness due to HIV/AIDS	High crime rate and violence	Other
A	*Former white residential area in town population*		*3*			(C)			*1*	*Unreliable electricity supply (2)*
B	*Rural village 130 km from nearest town population*	*1*	*8*	*2*	*5*		*3*			*Public transport for school children and migrating labour*
C	*Informal settlement area close to industrial park – 30 km from town population*	*4*				1		*2*	*3* *(E)*	
D	*Commercial farming area population*			*2*		(C) (E)	*6*	*3*	*1*	
E	*Formal township in Mabikeng population*				*7*	1		*2*	*3* *(E)*	*Public transport to work places*
F	*Rural village 80 km from town*	*1*			*2*	3			*5*	
G	*Rural town population*		*9*	*3*		1 (C)	*6*		*2* *(E)*	

B7.1 SUPPLEMENTARY CHART: PRIORITY CONSIDERATIONS BY COMMUNITY/GEOGRAPHICAL AREA – SPECIFICATIONS

Community/Ward/ Geographical Area – Name	Community/Ward/ Geographical Area – Description	Top priorities – Rank	Top priorities – Issue	Specification (quantify using information from 1/1 and 1/2) including affected groups (if applicable)
A	*Former white residential area. Population: 3 000*	*1*	*Crime/violence*	*<for examples, compare B7.2 supplementary chart>*
		2	*Electricity supply*	
		3	*Road conditions*	
B	*Rural villages 130 km's from town 35 000 people*	*1*	*Household water*	
		2	*Access road to town*	
		3	*Access to agricultural land*	
C	*Informal settlement area, 30 km's from town Population: 12 000*	*1*	*Unemployment*	
		2	*HIV/AIDS*	
		3	*Crime/violence*	
D	*Commercial farming area. Population: 5 000*	*1*	*Crime/violence*	
		2	*Access roads*	
		3	*HIV/AIDS*	
E	*Fomal township Population: 25 000*	*1*	*Unemployment*	
		2	*HIV/AIDS*	
		3	*Crime/violence*	
F	*Rural villages 80 km's from town Population: 25 000*	*1*	*Household water*	
		2	*Health services*	
		3	*Unemployment*	
G	*Rural town*	*1*	*Unemployment*	
	Population: 10 000	*2*	*Crime/violence*	
		3	*Access roads*	

Note:
You may add columns for causes, effects and potentials in order to get a tabular overview on all information from/on communities/ geographical areas (compare B7.2).

B7.2 PRIORITY OVERVIEW CHART FOR INTEREST GROUPS/STAKEHOLDER GROUPS

Interest group	**Priority Issues / Characteristics**	***Drinking Water***	***Health Services***	***Crime Rate***	***Lack of Jobs***	***HIV/AIDS***	***Recreation/ Sports Facilities***	***Access to Land***	***Transport to Urban Centres/Roads***	***Vocational Training***	***Payment of Services***
Rural women	*12 000 adult women 30% household heads 45% major income earners*	*1*	*2*	*3*	*(C)*	*6*			*5*		*(C)*
Youth	*15 000 under 15 years 4 000 between 15 – 20 65% school leavers*			*8 (E)*	*1*	*3*	*2*		*7*	*10 (C)*	
Female headed households	*30% of adult women 70% of them rural 55% with dependant children*	*3*	*9*		*2*			*1*	*8*	*(C)*	
Unemployed	*45% of male population 25% of female population 65% of school leavers*			*(E)*	*1*		*6*	*8*	*2 (C)*	*3*	*(E)*
Business Community	*500 formal 2 000 informal 80% male 10 000 work places*			*1*	*(C) (E)*	*3*		*5*	*4*	*2*	*10*
Ratepayers Association	*3 000 member households 95% urban*			*1*	*(C)*				*3*		*2*

NOTE:

- While you may limit the list of priorities in the column headings to those issues which are No 1 – 3 priorities for at least one interest group, you may add priority ranking numbers for up to priority No 10 in the boxes of the matrix in case a listed issue was ranked No 4 – 10 by other interest groups.
- If certain issues were mentioned by an interest group as a causing factor of one of their 3 top priority issues, or as an effect of them, you may indicate this with a C (for Cause) and an E (for Effect).

B7.2 SUPPLEMENTARY CHART: Priority Considerations per Stakeholder/Interest Group: Specifications, Causes, Potentials

Interest group	Rank	Priorities Issue	Specification (quantify using the information from 1/1 and 1/2)	Causes	Problem solving potentials
Rural Women A	1	Access to water	70% of rural women have to walk more than 5 km to fetch water for household use	Water collected from rivers Boreholes do not work Dry season even rivers do not have enough water	Capturing of rain water
	2	We have to take care of ill family members and health services in rural areas are poor	67% of rural women are unable to access health care (advice and medicine) for themselves, children, aged family or family members with HIV/AIDS.	Clinics are poorly equipped HIV/AIDS related diseases are increasing	Home based care programmes
	3	High crime rate	Domestic violence and rape statistics in area	No income or job opportunities for young people. Police are ineffective	
Youth B	1	No jobs available for school leavers	35% unemployment in towns 48% unemployment in rural areas 15 businesses closed down in past year		
	2	Poor recreation and sport facilities	45% of communities in the area do not have proper sports fields or community halls for recreational use	Community halls are vandalized and not maintained	
	3	Many young people dying from HIV/AIDS related diseases		Ignorance. Prostitution No condoms available	
Female headed households C	1	No access to land	Only 30 Ha of land in rural areas are owned by women	Traditional land ownership systems	
	2	The fathers of our children cannot find jobs or they are ill so we do not have child care support			
	3	Access to household water			
Unemployed D	1	No local job opportunities			
	2	No transport to nearest centres for job opportunities			
	3	No opportunities to develop skills and work experience	90% of school leavers do not attend any after school programmes/education		
Rate Payers Association E	1	High crime rate	Statistics of housebreaking and robberies		
	2	Poor payment for services by certain sectors	R560 000 debt in municipality due to non-payment		
	3	Poor road conditions			
Business Community F	1	High crime rate in business areas			
	2	Poor skills base for labour recruitment			
	3	High rate of HIV/AIDS among workforce			

B7.3 PRIORITY OVERVIEW CHART FROM A SERVICE GAP PERSPECTIVE

Ranking of geographical areas according to magnitude of service backlog

Geographical Area / Type of Service			Water		Sanitation		Electricity		Housing		Basic Health		Primary Education		Roads		Transport	
Name	**Description**	**Population**	**Deficit**[1] (quantity)	**Priority rank**	**Deficit** (quantity)	**Priority rank**	**Deficit** (quantity)	**Priority rank**	**Deficit** (quantity)	**Priority rank**	**Deficit** (quantity)	**Priority rank**	**Deficit** (quantity)	**Priority rank**	**Deficit** (quantity)	**Priority rank**	**Deficit** (quantity)	**Priority rank**
A	*<see B7.1 for an example>*	*3 000*	*0%*	*7*	*0%*	–												
B		*35 000*	*100% (river water)*	*1*	*WC: 0% VIP: 80% Sub-St: 20%*	*3*												
C		*12 000*	*100% (2 km's from tap)*	*2*	*WC: 0% VIP: 10% Sub-St: 90%*	*2*												
D		*5 000*	*30% (of farm workers)*	*5*	*0%*	–												
E		*25 000*	*0% (but high leakages)*	*6*	*0%*	–												
F		*21 000*	*60% (more than 100 m from borehole)*	*3*	*WC: 0% VIP: 0% Sub-St 100%*	*1*												
G		*10 000*	*15% (internal settlers)*	*4*	*15%*	*4*												

NOTE:

- Deficits[1] to be quantified in accordance with agreed minimum standards of services. Quantification can be made in % of total population or in absolute population figures. Qualitative statements which indicate the urgency of the problem/deficit may be added (e.g. depending on river water is worse than on a distant borehole).
- Priority geographical areas for each sector may be defined taking into consideration: % of population suffering from deficit, absolute number of people suffering and urgency of the deficit in qualitative terms.

[1]In case there are no minimum standards for a certain service, indicate "service level" in this column. If there is no service at all in a certain area, describe how people satisfy their needs related to that service function.