

The role of project and performance
management within the integrated
development planning process. A case study
of Tshwane Metropolitan Municipality

H LOMBAARD

Dissertation submitted in fulfilment of the requirements for
the degree Master of Town and Regional Planning at the
North-West University

2010

Supervisor: Prof C.B. Schoeman



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ACKNOWLEDGEMENTS

I would like to thank the following people for their role in making the compilation of this dissertation possible

- Our heavenly father for his guidance, providing me with all that I needed to complete this dissertation.
- Gerda van der Walt for all her support, love and time without which I would not have completed this dissertation.
- My father and mother for their continued support and believing in me.
- Mr. Amund Beneke for his valuable assistance.

DECLARATION

It is hereby confirmed that this research is work of the researcher and has not been written by anyone else and that his work was not submitted to any other institution for degree purposes

Henning Lombaard
Researcher

Date: 2010

ABSTRACT

Since the general elections in 1994, the context of Local Government planning has changed in South Africa. With the current city-to-city or wall-to-wall jurisdiction areas, municipal planning is experiencing new challenges in providing basic services effectively.

Municipalities are mandated by various legislative acts to become more developmental. In assisting them with the increased pressure to effectively deliver basic services and clear the current service backlogs, the Municipal Structures Act mandates the implementation of Integrated Development Plans (IDP) as the main planning instrument for a municipal area.

According to the Municipal Systems Act 1998 (Act No. 117 of 1998), every newly elected council that comes into office after the election of the Local Government must prepare its own IDP. The created IDP will guide the development of the municipality for a five-year period.

The IDP assesses an entire municipal area, determining all the needs of the community. With these needs determined and assessed, the process incorporates the projects and funds needed to alleviate the backlog that has occurred in the municipal area. It is a process of understanding and defining the problems and needs of the people, and ensuring that the situation improves.

Along with the implementation of IDPs, the Municipal Structures Act also mandates the implementation of performance management systems within the structures of the municipality.

Currently, not a week passes without a news headline announcing that in one of the municipal areas of South Africa social unrest is high because of the lack of service delivery from the relevant municipality. As the IDP has been implemented to address these problems the question can be asked:

“Why, if the IDP process is implemented within most municipalities today, are there still issues being raised in relation to the non-compliance and lack of services delivery by municipalities?”

This question in itself is difficult to answer, and there are hundreds of possible answers. The aim of this study will not be to find solutions to the lack of service delivery, but to evaluate the IDP process as well as the performance management systems in theory. There are various legislative acts and policy documents that state and mandate the use of these processes. Along with this are various guidelines that have been formulated to assist municipalities to successfully implement the IDP and a performance management system.

The implementation of these two related processes will then be evaluated as formulated in the Fourth Revised IDP document of the City of Tshwane Metropolitan Municipality (CoT). This will provide a basic indication as to how the processes have been taken from theory and guidelines to actual implementation.

The central aim of the study will be to establish if the municipality actually used and implemented the guidelines as prescribed for the IDP process and performance management system.

Even if the study does not aim to provide answers to the reasons related to poor service delivery and the IDP process, the assessment will provide insight into the formulation of these two processes. Recommendations will also be made in the conclusion chapter of the study.

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LIST OF KEYWORDS

- Integrated
- Development
- Planning
- Integrated Development Planning
- Local Government
- Government
- Reconstruction
- White Paper
- Constitution
- Act
- Policy
- Project management
- Performance management
- Municipality
- Local Municipality
- City Council
- Area of Jurisdiction
- Strategic
- Area
- Structure
- Theoretical
- Empirical
- Legislative
- Regulatory
- Amendment
- Components
- Community
- Stakeholders
- Effective
- Revised
- Overview
- Individual

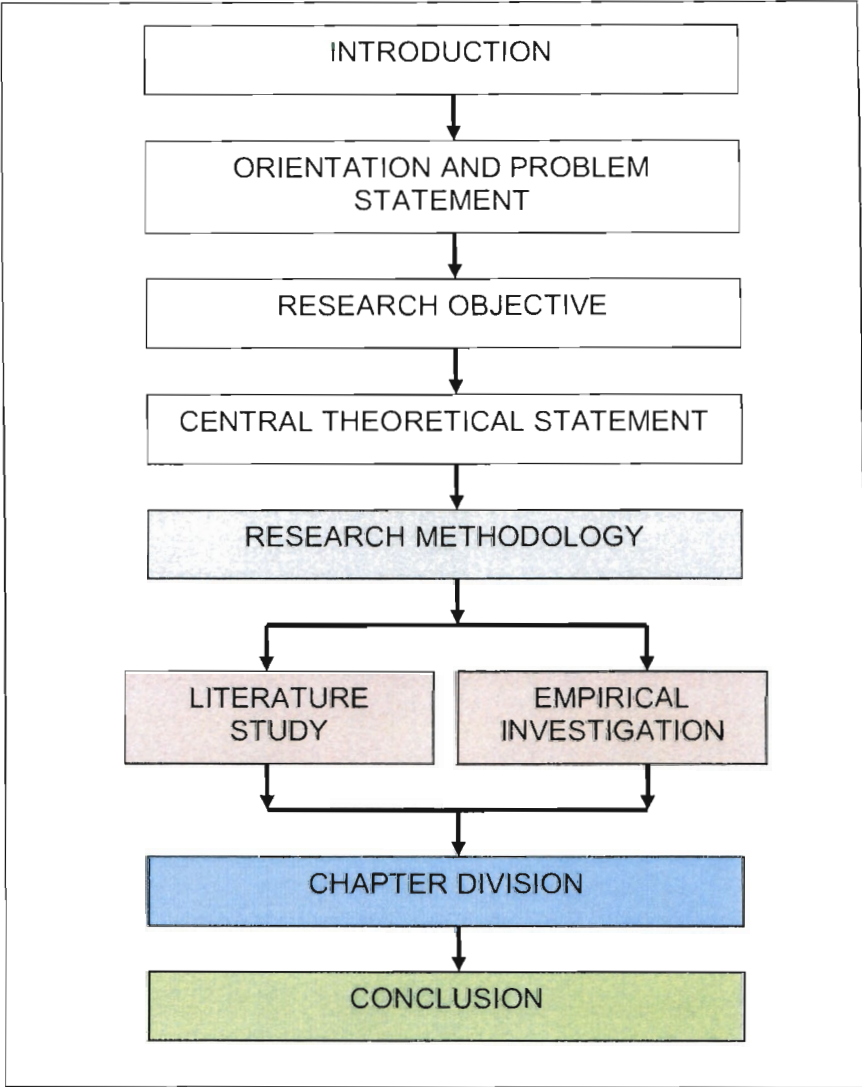
LIST OF ABBREVIATIONS

- IDP: Integrated Development Planning
- RDP: Reconstruction and Development Programme.
- WPLG: White Paper on Local Government
- GPLG: Green Paper on Local Government
- CoT: City of Tshwane
- (FEPD): Forum for Effective Planning and Development

CHAPTER 1

INTRODUCTION TO STUDY

GRAPHIC ILLUSTRATION OF CHAPTER 1: GENERAL INTRODUCTION.



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1.1 INTRODUCTION

Local municipalities have been reduced in numbers as a result of the demarcation process, implemented by the South African government. This has led to the creation of wall-to-wall and city-to-city municipalities. In the process, areas previously excluded from municipal boundaries are now included. The majority of these newly included areas are known as rural areas. They have limited services and limited service delivery. The new municipalities have to include these areas in their system and provide services to them, leading to major service delivery backlogs in municipalities. (Abramse, 2002: 25.)

The integrated planning process was established in part to assist the municipalities in addressing their service delivery backlogs, as well as integrated development of the entire municipal area. The role of management processes in this entire process will be immense, and effective management will form a key part in the successful preparation, completion and implementation of the integrated development planning process. (Abramse, 2002: 25.)

The management process that supports the preparation and implementation of the integrated development planning process has a direct effect on the quality of these plans. The fact that the IDP follows a process-orientated path in preparation in no way guarantees that the created product will be of the needed quality and addresses the objectives and goals it was designed to. When assessing an IDP, the management processes that are followed are of the utmost importance. The fact that there is a restricted management resource base of stakeholders and role players in the preparation of the IDP is considered the single factor with the biggest impact on the non-delivery aspects of the IDP. (Schoeman, 2006: 1)

The study will mainly focus on Integrated Development Planning, hereafter referred to as the IDP, and the management systems that are recommended for the process. The study will focus on the application of Project Management in the IDP process and specifically on the implementation of Performance Management.

The Introduction Chapter will provide a background and rationale for the study. The chapter will aim at motivating the study, as well as providing the problem statement,

the research objectives and the research methods that were applied in the study. It will also provide a breakdown of the chapters contained in this dissertation.

1.2 ORIENTATION AND PROBLEM STATEMENT

Municipalities form the base of direct service provision for the South African public, and they determine the levels and quality of service delivery. Integrated development planning is a concept that has been incorporated into local government to assist the new structures of South African municipalities.

According to the Municipal Systems Act 1998 (Act No. 117 of 1998), every newly elected council that comes into office after the election of the Local Government must prepare its own Integrated Development Plan (IDP). The created IDP will guide the development of the municipality for a five-year period. The IDP is in effect linked to the term of office of the Municipal Councillors.

The IDP assesses an entire municipal area, determining all the needs of the community. With the needs of the community determined and assessed, the process incorporates the projects and funds needed to alleviate the backlog that has occurred in the municipal area. It is a process of understanding and defining the problems and needs of the people and ensuring that the situation improves.

The definition provided by FEPA (1995) of the IDP provides the basic concept behind the process:

"A participatory approach to integrate economic, sectoral, spatial, social, institutional, environmental and fiscal strategies in order to support the optimal allocation of scarce resources between sectors and geographical areas and across the population in a manner that provides sustainable growth, equity and the empowerment of the poor and the marginalised".

In general, the IDP appears to be an effective means to establish proper service delivery within municipalities across South Africa. But as Renald (2007:14) also indicates, whilst the majority of municipalities in South Africa have adopted an IDP, the document remains a set of papers classified as a wish list, rather than a solution.

It appears that most municipalities lack the capacity to implement their approved IDP, or even to draft an IDP document.

The use of management processes within the IDP is indicated as a measure that must be used to ensure the success of the entire process. They must be used from the conception of the IDP through to the implementation of the indicated projects. Throughout the IDP, management processes will ensure that municipalities provide the services and projects identified by the process. The use of strategic management, project management and performance management is necessary in the process.

The IDP process and performance management framework is supported by various policy and legislative documents. Guidelines have been created for municipalities to create and structure this process. From this point of departure the problem statements that will be addressed in this study will be:

1. *“are the provided principles and guidelines for the structuring of an IDP process and performance management framework implemented within the IDP process of a municipality?”*
2. *“are the provided principles and guidelines for the implementation of Performance management implemented within the structures of the City of Tshwane Metropolitan Municipality?”*

1.3 RESEARCH OBJECTIVES

With the use of theoretical research and an empirical study, this dissertation will aim at achieving the following research objectives:

- 1 To provide a clear understanding of the IDP framework and the role of project and performance management in the process.
- 2 To assess the use of performance management as a strategic management tool within the Tshwane Metropolitan Municipality's IDP.
- 3 To establish whether the principles and guidelines, as provided for the IDP and performance management frameworks, are implemented within the IDP process of the Tshwane Metropolitan Municipality.

1.4 CENTRAL THEORETICAL STATEMENT

The central theoretical statements of this dissertation are as follows:

- 1 Management processes play an important and invaluable role in ensuring that the IDP process is implemented effectively and with the best possible results for the community it is intended to serve.
- 2 The implementation of the IDP and performance management guidelines is essential to the successful creation and implementation of an IDP process.

1.5 RESEARCH METHODOLOGY

The following served as the forms of information used in this dissertation.

1.5.1 LITERATURE STUDY

The literature study of this dissertation was developed by the use of various forms of literature. Integrated development planning, along with the role of project and performance management processes, was researched, defined and analysed.

The availability of sources specifically addressing the central topic of this dissertation was scarce to come by, indicating the importance and necessity of this study. The following sources provided invaluable data for the literature study of this dissertation.

- Department of Provincial and Local Government. 2001. IDP Guide Pack Series.
- Constitution of the Republic of South Africa.
- Local Government Transitions Act, Act 209 of 1996.
- Local Government Transitions Second Amendment Act, Act 97 of 1996.
- White Paper on Local Government, 1998.

- Green Paper on Local Government. Pretoria, 1997.
- The Reconstruction and Development Programme (RDP), 1994.
- Municipal Structures Act, Act 117 of 1998.
- Local Governments Municipal Systems Act, Act 32 of 2000.

Literature and studies conducted by various authors were also included and used extensively throughout this dissertation.

1.5.2 EMPIRICAL STUDY

The empirical part of this study aimed at establishing the actual use of management systems within the IDP process. The empirical study specifically focused on performance management and the implementation thereof in an actual IDP document and process.

The structure of the City of Tshwane's (CoT) revised fourth IDP was assessed, providing insight into the implementation of the IDP within the Municipality. The structure of the IDP was assessed, providing an indication of how the CoT structured the IDP and incorporated the IDP guidelines.

The empirical investigation also assessed the performance management system as implemented by the CoT. This provided insight into how the CoT implemented a performance management framework into the structure of the IDP and the municipality. This part of the empirical investigation also provided insight of how the municipality structured its performance management framework in relation to the guidelines provided to the municipality. The empirical investigation also assisted in addressing the above-stated problem statement.

1.6 CHAPTER DIVISION

To provide an initial understanding of this study, the dissertation is divided into the following chapters.

CHAPTER 1: INTRODUCTION TO STUDY

Serves as the introduction for the study and structured as follows:

- 1.1 Introduction.
- 1.2 Orientation and problem statement
- 1.3 Research objectives
- 1.4 Central theoretical statement
- 1.5 Research methodology
- 1.6 Structure of dissertation
- 1.7 Conclusion

CHAPTER 2: OVERVIEW OF INTEGRATED DEVELOPMENT PLANNING

Chapter 2 will start by addressing the IDP process and provide a better understanding of local government, along with the policy, legislative and regulatory framework for the IDP process. The chapter will form the base of understanding for the IDP process. Chapter 2 will be structured as follows:

- 2.1) Introduction.
- 2.2) South Africa's local government.
- 2.3) The policy, legislative and regulatory framework for the integrated development planning process.
 - 2.3.1) Relevant policies for the IDP process.
 - 2.3.1.1) The White Paper on Local Government (WPLG) 1998.
 - 2.3.1.2) The Green Paper on Local Government 1997.
 - 2.3.1.3) The Reconstruction and Development Programme (RDP) 1994.
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 - 2.3.2.1) Local Government Transitions Act 209 of 1993, Second Amendment Act 97 of 1996.
 - 2.3.2.2) The Municipal Structures Act 117 of 1998.
 - 2.3.2.3) The Local Government Municipal Systems Act 32 of 2000.
- 2.4) Conclusion.

CHAPTER 3: THE INTEGRATED DEVELOPMENT PLANNING PROCESS FRAMEWORK

Chapter 3 will build on the base that Chapter 2 provided and further define the IDP process. It will formulate the definition of the IDP process and assess the structure of

the IDP. The chapter will also assess the core components of the IDP and provide a complete understanding of the process. Chapter 3 will be structured as follows:

3.1 Introduction

3.2 The integrated development planning process framework

3.2.1 The core components of the IDP planning process

3.2.1.1 Phase 1: the analysis phase

3.2.1.2 Phase 2: the strategies phase

3.2.1.3 Phase 3: the projects phase

3.2.1.4 Phase 4: the integration phase

3.2.1.5 Phase 5: the approval phase

3.3 The participants in the IDP process

3.4 The role and responsibility of the different spheres of government

3.5 The structure of an IDP

3.6 The necessity to create IDP's

3.7 conclusion

CHAPTER 4: THE ROLE OF PROJECT AND PERFORMANCE MANAGEMENT IN THE IDP PROCESS

Chapter 4 will assess the management systems that are key to the success of the IDP process. The project and performance management processes will be assessed to indicate their role and function in the IDP process. This chapter will provide a base for the empirical investigation, and the theoretical applications of the two processes will be provided. Chapter 4 will be structured as follows:

4.1 Introduction.

4.2 The role of project management in the IDP planning process.

- 4.2.1 Project management and the IDP process.
- 4.2.2 The IDP provides a base for effective project management.
- 4.2.3 Project and programme management facilitating development.
- 4.3 Performance Management.
 - 4.3.1 Defining Performance Management.
 - 4.3.2 Core components of a performance management system.
 - 4.3.2.1 Phase 1: Starting the performance management process.
 - 4.3.2.2 Phase 2: Developing a performance management system.
 - 4.3.2.3 Phase 3: Implementing performance management.
- 4.4 Conclusion.

CHAPTER 5: THE EMPIRICAL INVESTIGATION: THE IDP STRUCTURE AND PERFORMANCE MANAGEMENT SYSTEM OF TSHWANE METROPOLITAN MUNICIPALITY.

Chapter 5 is the empirical investigation of the study. The chapter will assess the IDP structure and performance management framework as implemented in the CoT's revised IDP document. The empirical investigation will aim at addressing the problem statement as identified. The investigation will assess how the revised IDP of the CoT is structured and how the municipality implements its performance management framework. This will provide an indication as to the extent of how the principles and guidelines, as defined in Chapter 2 and 3, are actually implemented.

- 5.1 Introduction.
- 5.2 Overview of CoT's fourth revised IDP.
 - 5.2.1 Overview of the process to develop CoT's Fourth Revised IDP.
 - 5.2.2 Community participation in the revised IDP of CoT.
 - 5.2.3 The policy and legislative context of the revised IDP.
 - 5.2.4 Overall achievements of the CoT's departments as per identified strategic objective.
 - 5.2.5 City of Tshwane's development strategies.
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- 5.3 The performance management system of the City of Tshwane's reviewed IDP.
 - 5.3.1 Overview of performance management in the CoT.
 - 5.3.2 CoT's approach to performance management.
 - 5.3.3 The Balanced Scorecard Model as implemented by CoT.

- 5.3.4 The Logic Model of Performance Measurement as implemented by CoT.
 - 5.3.5 CoT's individual performance management and measurement framework.
- 5.4 Conclusion.

CHAPTER 6: STUDY CONCLUSION AND RECOMMENDATIONS

Chapter 6 will be the conclusion and recommendation chapter of the study. The chapter will provide an oversight into all the aspects as assessed in the various chapters. Each chapter will be assessed, providing an indication as to what was learnt from each chapter. This will serve as a summary and conclusion of the study.

As the problem statement will be addressed by the empirical study in Chapter 5, a central part of this last chapter will be the recommendations of measures in relation to the study. A basic survey will be conducted in the IDP sector of the CoT to determine the key problems that are experienced in the IDP. This part of the chapter will highlight these problems and other aspects, as provided by the responders. The chapter will then aim at providing recommendations for these aspects.

- 6.1 Introduction.
- 6.2 Review of study's chapters.
- 6.3 Study recommendations.
- 6.4 Final conclusion to study.

1.7) CONCLUSION

As seen from numerous newspaper reports and public discussions, services within local government is, at best, lacking in delivery and quality. This study will aim at providing a first step in understanding the process and how it is structured and functions within a municipality.

Now that the introduction to the study is complete, and a basic indication has been provided as to how the study will be structured, it can start by providing a basic overview of the IDP process. As indicated, the following chapter will assess the

legislative and policy base of the IDP as well as defining South Africa's Local Government as the implementation field of the IDP.

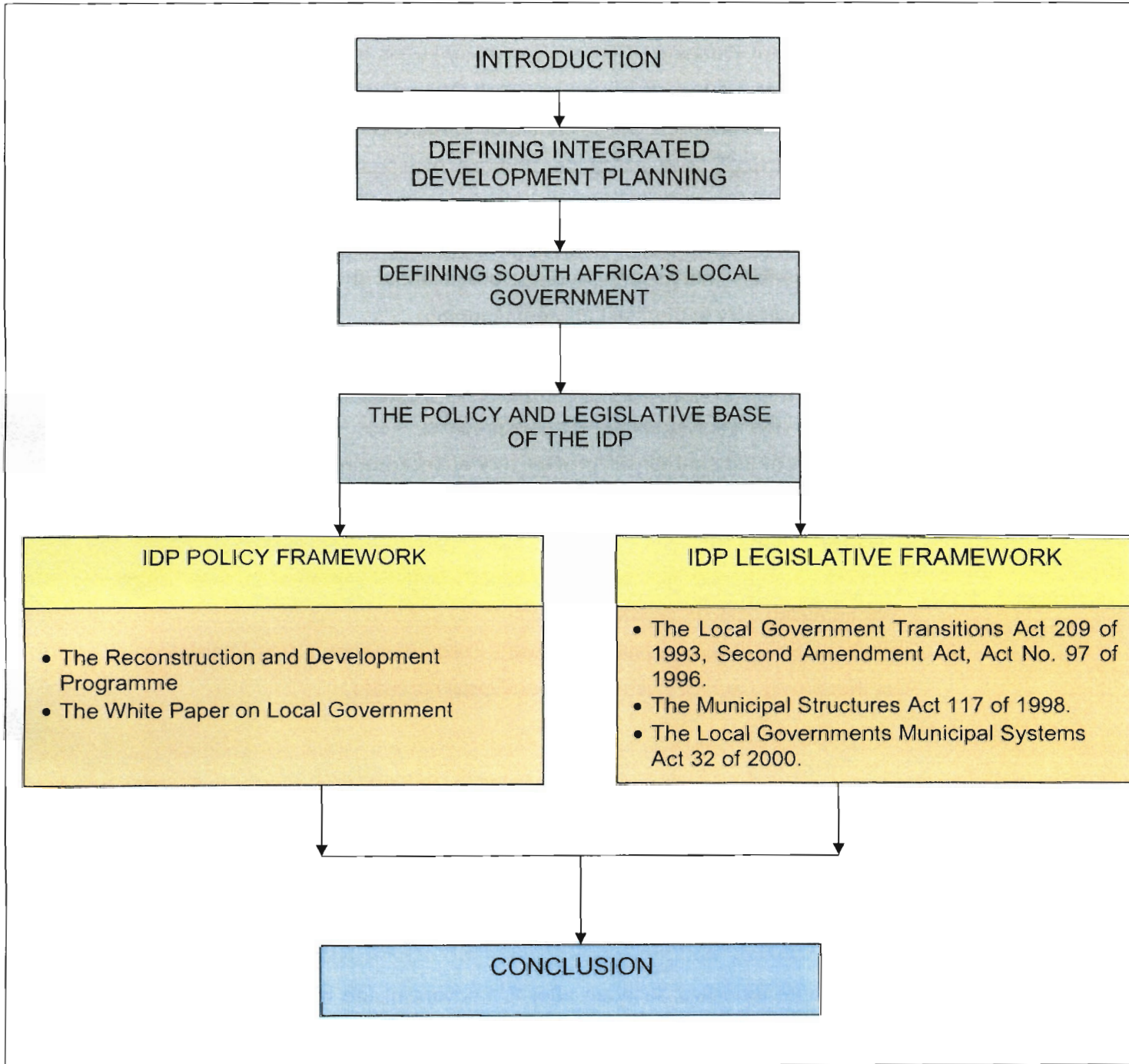
CHAPTER 2:

OVERVIEW OF
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GRAPHIC ILLUSTRATION OF CHAPTER 2



2.1 INTRODUCTION.

Integrated Development Planning (IDP) is a concept that has been incorporated into local government to assist the structures of South African municipalities with their new developmental mandate. The IDP system was created as the principal planning instrument of a municipality and will guide all forms of planning and development within a municipal area. The IDP process also has a strong public participatory base and is intended to identify and alleviate service delivery backlogs experienced in a municipal area. The IDP makes provision for utilisation of the scarce resources available to the municipality in the most efficient manner.

In defining the IDP, the process can be divided into various parts. The following chapter will focus on the following aspects of the process:

1. The first part of the chapter will provide a brief background to the emergence of the IDP process. This part of the chapter will continue and provide a definition of the IDP.
2. The chapter assesses the South African Local Government sphere as the implementation area of the IDP.
3. The chapter will then assess the relevant Policy documents and Legislative Acts that provide the IDP with its form and legal mandate.

2.2 DEFINING INTEGRATED DEVELOPMENT PLANNING

In defining the IDP, a brief background to the emergence of the process within the government structures of South Africa is needed.

For a period of more than five decades after the advent of the municipal planning system in South Africa in the 1930s, (IDP guide pack 1, 2001: 11), planning at local levels of government entailed the following:

- Planning was technical in nature and with almost no participation from communities and other relevant role players.
- Planning had a strong focus of the controlling aspects of land, enforced by a range of complicated statutory mechanisms.

- Planning was controlled by the Apartheid era's aims of dispensation in promoting racially segregated spatial, economic and social development.
- There was a strong focus on the perceived needs of the privileged groups within the society.
- Planning was predominantly sector-based, and municipal departments prepared in isolation from each other the plans for transport, land use and infrastructure.
- Planning had a blueprint nature and was inflexible.
- Planning was indifferent to issues relating to environmental sustainability and economic viability.
- Planning was concerned with physical development and sectorally structured infrastructure delivery programmes by the public sector.
- Planning had no concern for important social and economic factors in development, i.e. dimensions such as poverty alleviation, social health and welfare.
- Planning also did not facilitate investment from the private sector.

In the early 1990s, negotiating forums established the notion of Integrated Development Planning. This new form of planning was established in reaction to the ineffective, inappropriate and outdated planning processes of the past. Integrated Development Planning also gained momentum on the international stage, in response to the ad hoc, fragmented planning approaches of the 1980s. This move aimed at forming an integrated perspective between technology and the environmentalists' concerns for establishing a holistic perspective in regards to development. (IDP guide pack 1, 2001: 12.)

In 1992, the ANC's policy guidelines for a democratic South Africa proposed a new municipal planning system which must:

- Ensure the maximum possible involvement of all communities and stakeholders.
- Be aimed at the people with the biggest need.
- Strive to demolish the Apartheid privilege, geographical and institutional structures.
- Be directed at ensuring integrated and sustainable development.
- Have a strong focus on municipal service delivery. (IDP guide pack 1, 2001: 12.)

By 1995, Integrated Development Planning was a distinct prospect for a planning approach. Both the intergovernmental Forum for Effective Planning and Development (FEPD) and the RDP offices promoted the concept of IDPs. FEPD defined the integrated development planning process as: *“a participatory planning process aimed at integrated sectoral strategies, in order to support the optimal allocation of scarce resources between sectors and geographic areas and across the population in a manner that promotes sustainable growth, equity and the empowerment of the poor and the marginalised”*. (FEPD, 1992.)

The idea of Integrated Development Planning was further implemented in the Reconstruction and Development Programme (RDP). The concept was then structured in the Constitution of South Africa and in a range of policy documents, as will be discussed in the chapter. (IDP guide pack 1, 2001: 12.)

The Department of Provincial and Local Government defines the IDP in its Format Guide as:

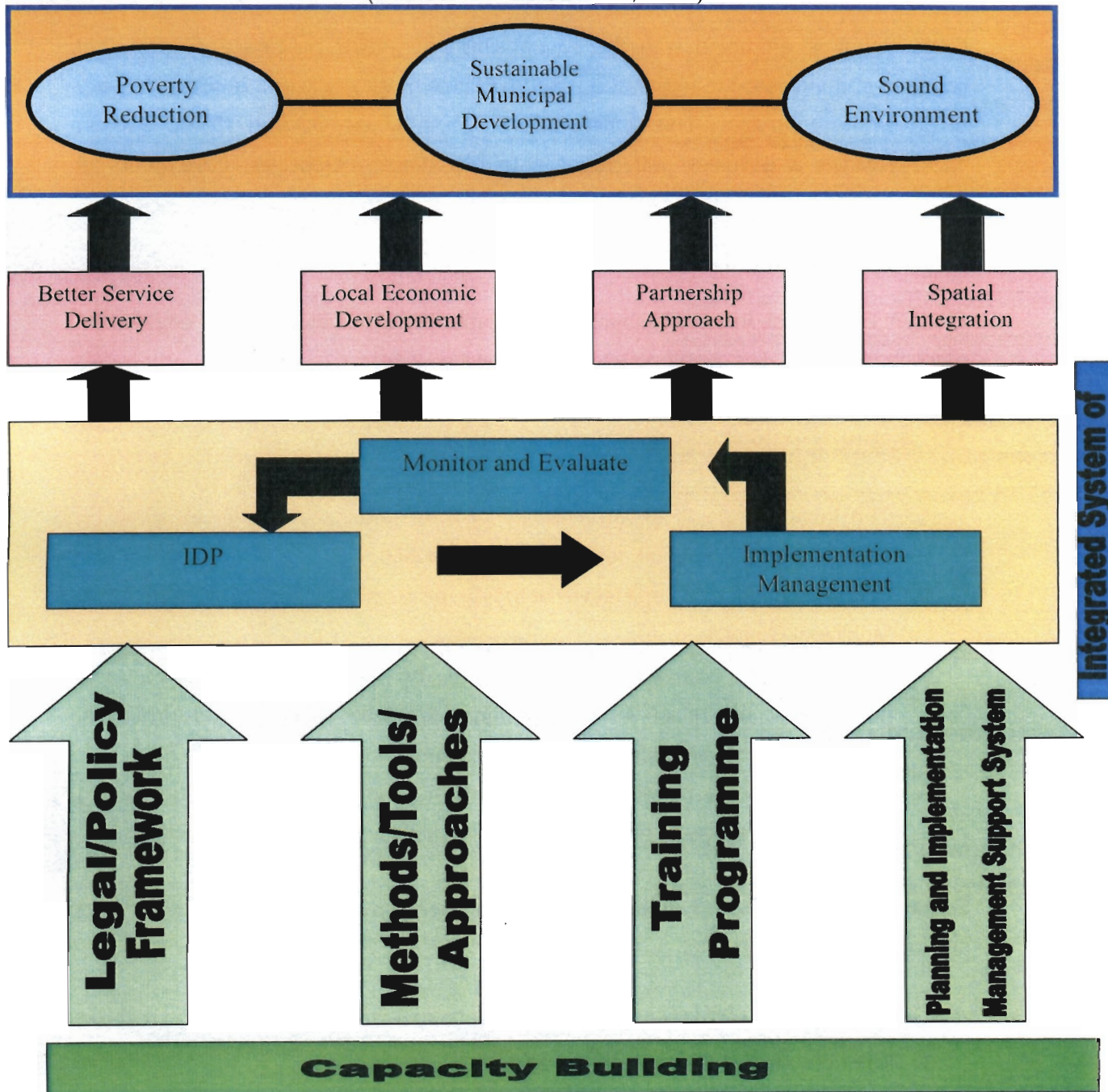
- *“The Principal planning instrument which guides and informs all planning and development, and all decisions with regard to planning, management and development in the Municipality;*
- *Binding the Municipality in the exercise of its executive authority, except to the extent of any inconsistency between a Municipality’s integrated development plan and National or Provincial legislation, in which case such legislation prevails;*
- *Binding all other persons to the extent that those parts of the integrated development plan that impose duties or affect the rights of those persons have been passed as a by-law;*
- *Should be a product of intergovernmental and inter-sphere planning”*.

Integrated Development Planning is broadly seen as the process by which a municipality prepares its strategic development plan. This plan is developed for a five-year period and delivers the Integrated Development Plan as its product. The Integrated Development Plan forms a principal strategic planning instrument in the municipality and informs and guides all the aspects of planning, budgeting, management and decision-making processes. (IDP guide pack 0, 2001: 9.) Figure 1 illustrates the Integrated Development Planning System.

With the implementation areas of the IDP process identified, and a brief background to the process provided, the chapter can continue and assess South African Local Government and the new developmental role it has been given. Local Government is also the sphere of government where the IDP is implemented, and the process is intended to play an important role assisting a municipality with its developmental mandate.

Figure 1: The Integrated Development Planning System

(Source: IDP Guide Pack, 2001)



2.3. SOUTH AFRICA'S LOCAL GOVERNMENT

Local government in South Africa is the sphere of government where the IDP process is formulated and implemented. This sphere of South Africa's government has the closest connection with the people of the country. Local government delivers most of the basic services and the local ward councillors are the political bodies that find themselves closest to the South African communities.

Government is entrusted with the responsibility to make policies and laws that regulate and indicate the rights and responsibilities of local citizens and the delivery of government services. The Constitution of South Africa (Section 151 to Section 155) provides a definition with regards to the status, objectives, developmental duties, co-operative government and the establishment of municipalities, and provides the basic definition of the functions of South Africa's Local Government.

Section 151 defines the local sphere of government and indicates what the rights of municipalities are. The Section states the following:

151. Status of municipalities:

1. The local sphere of government consists of municipalities, which must be established for the whole territory of the Republic.
2. The executive and legislative authority of a municipality is vested in its Municipal Council.
3. A municipality has the right to govern, on its own initiative, the local government affairs of its community, subject to national and provincial legislation, as provided for in the Constitution.
4. The national or a provincial government may not compromise or impede a municipality's ability or right to exercise its powers or perform its functions.

Section 152 provides the objectives to which local government must strive. This section states the following:

152. Objects of local government.

1. The objects of local government are -

- a. to provide democratic and accountable government for local communities;
 - b. to ensure the provision of the services to communities in a sustainable manner;
 - c. to promote social and economic development;
 - d. to encourage the involvement of communities and community organisations in the matters of local government.
2. A municipality must strive, within its financial and administrative capacity, to achieve the objects set out in subsection (1).

Section 153 indicates the duties that each municipality must adhere to. The section states the following:

153. Developmental duties of municipalities.

A municipality must:

- a. structure and manage its administration, and budgeting and planning process to give priority to the basic needs of the community, and promote the social and economic development of the community; and
- b. participate in national and provincial development programmes.

Section 154 puts into context the position that municipalities take up in the co-operative government structure and indicates to what extent Provincial and National Government must support local municipalities.

154. Municipalities in co-operative government.

1. The national government and provincial government, by legislative and other measures, must support and strengthen the capacity of municipalities to manage their own affairs, to exercise their powers and perform their functions.
2. Draft national or provincial legislation that affects the status, institutions, powers or functions of local government must be published for public comment before it is introduced in Parliament or provincial legislature, in a manner that allows organised local government, municipalities and other interested persons an opportunity to make representations with regard to the draft legislation.

Section 155 indicates the different categories of municipalities and defines how each one must be classified.

155. Establishment of municipalities.

1. These are the following categories of municipality:
 - a. Category A: A municipality that has exclusive municipal executive and legislative authority in its area.
 - b. Category B: A municipality that shares municipal executive and legislative authority in its area with a Category C municipality within whose area it falls.
 - c. Category C: A municipality that has municipal executive and legislative authority in an area that includes more than one municipality.
2. National legislation must define the different types of municipality that may be established within each category.
3. National legislation must:
 - a. establish the criteria for determining when an area should have a single Category A municipality or when it should have municipalities of both Category B and Category C;
 - b. establish criteria and procedures for the determination of municipal boundaries by an independent authority; and
 - c. subject to Section 229, make provision for an appropriate division of powers and functions between municipalities when an area has municipalities of both Category B and Category C. A division of powers and functions between a Category B municipality and a Category C municipality may differ from the division of powers and functions between another Category B municipality and that Category C municipality.
4. The legislation referred to in Subsection (3) must take into account the need to provide municipal services in an equitable and sustainable manner.
5. Provincial legislation must determine the different types of municipality to be established in the province.

6. Each provincial government must establish municipalities in its province in a manner consistent with the legislation enacted in terms of Subsection (2) and (3) and, by legislative or other measures, must:
 - a. provide for the monitoring and support of local government in the province; and
 - b. promote the development of local government capacity to enable municipalities to perform their functions and manage their own affairs.
7. The national government, subject to Section 44, and the provincial government have the legislative and executive authority to see to the effective performance by municipalities of their functions in respect to matters listed in executive authority referred to in Section 156 (1). (South Africa, 1996.)

The Constitution provides a legal framework to the structuring of municipalities and indicates the roles that they must play in South African governance. The Constitution defines the developmental role and responsibility of each local municipality in Section 152 (1) and indicates the objectives that local municipalities must strive towards. Subsection (2) of Section 152 provides the legal mandate that each municipality must strive for within its available capacity to achieve the stated objectives. The question must then be asked - with the current situation regarding the lack of service delivery and mismanagement in local municipalities - are they really complying with these regulations?

One of the main focus points of municipalities is service delivery. Municipalities must ensure that the people living in their area have access to basic services. The services that are provided by the municipalities have a direct effect on the quality of life of the community. (LOGOV toolkit, 2001:13) These basic services include the provision of:

- Electricity delivery.
- Water for household use.
- Sewage and sanitation.
- Storm water systems.
- Refuse removal.
- Firefighting services.
- Municipal health services.
- Decisions around land use.
- Municipal roads.

- Municipal public transport.
- Street trading.
- Abattoirs and fresh food markets.
- Parks and recreational areas.
- Libraries and other facilities.
- Local tourism.

Local government elections held on 5 December 2000 were the first and fully democratic local elections in the South Africa. They resulted in new municipal boundaries being established and created. These new municipal boundaries included every part of the country and established a break from the apartheid divisions. With this transformation in local government the visions and policies of local government needed to change.

The White Paper on local government (1998) indicated: "It is in the interest of the nation that local government is capacitated and transformed to play a developmental role". (White Paper, 1998: 23.) The White Paper provided the following definition of developmental local government: "*Developmental local government is local government committed to working with citizens and groups within the community to find sustainable ways to meet their social, economic and material needs and improve the quality of their lives*". Developmental local governments aim at making a major difference in the daily lives of all South Africans. (White Paper, 1998: 23.)

The White Paper on local government further indicates that developmental local government must possess four interrelated characteristics. They are:

1. Maximising social development and economic growth.
2. Integrating and coordinating.
3. Democratising development.
4. Leading and learning.

Developmental local government also aims at achieving certain set outcomes. These outcomes may differ over time in each municipal area. These set outcomes include:

1. Provision of housing infrastructure and services.
2. Creation of liveable integrated cities, towns and rural areas.
3. Local economic development.
4. Community empowerment and redistribution.

The White Paper is quite clear in its indication to how local government needs to perform.

“Developmental local government requires that municipalities become more strategic, visionary and ultimately influential in the way they operate. Municipalities have a crucial role as policymakers, as thinkers and innovators, and as institutions of local democracy. A developmental municipality should play a strategic policy-making and visionary role, and aim to mobilise a range of resources to meet the basic needs and achieve developmental goals”.

The Constitution and the White Paper on local government provide us with a clear indication and definition of what local government is and what their indicated roles are. Renald (2007) indicated this in his study by stating that: *“The Constitution and the White Paper clearly prescribe the overarching mandate for municipalities. Municipalities must become more than just municipal service delivery organisations. They must be developmental in nature, to ensure that all communities can enjoy an equal quality of life”.*

Local government forms the base from where the Integrated Development Plan is conducted and implemented. The White Paper also states that to achieve its developmental outcomes local government will need to significantly change the manner in which they work. The White Paper puts forward three interrelated approaches that can assist municipalities to become more developmental in their roles. These approaches are:

1. Integrated development planning and budgeting.
2. Performance management.
3. Working together with local citizens and partners.

Although local government is required to be more developmental and incorporate the IDP to assist them with this role, municipalities all around the world are faced with the challenge of *“managing viable and environmentally sustainable urban and rural systems”*. In addition to these problems, South African municipalities also face the following problems:

- Skewed settlement patterns.
- Extreme concentrations of taxable economic resources.

- Huge backlogs in service infrastructure.
- Creating viable municipal institutions for dense rural settlements.
- Great spatial separation and disparities between towns and townships and urban sprawl.
- Creating municipal institutions, which recognise the linkages between urban and rural settlements.
- Entrenched modes of decision-making, administration and delivery.
- Inability to leverage private sector resources for development.
- Substantial variations in capacity.

In defining local government it is important to understand the role and responsibility of this sphere of government, but also to understand the basic challenges and problems experienced by this sector of government.

With a brief definition of South Africa's local government provided, the chapter can continue and assess the important Policy documents and Legislative Acts that provide the IDP process with form and a legal mandate.

2.4) THE POLICY, LEGISLATIVE AND REGULATORY FRAMEWORK FOR THE INTEGRATED DEVELOPMENT PLANNING PROCESS.

During the transition to South Africa's new democracy, new legislation and policy frameworks aimed at developing growth and repairing the imbalances of the apartheid era were created. These new frameworks introduced a new period in government, with principle-led planning and development assisting local government to become more developmental. The IDP process is addressed in various policies, legislative documents and regulatory frameworks. It is necessary for the IDP to have a sound base in these three sectors as this will help in implementing the process correctly and facilitating effective results. (Corneluis, 2006: 40.)

In the first part, the relevant policy documents of the IDP process will be identified. After the policy framework has been identified, some of the key policy documents will be assessed. This part of the chapter will then continue and define the key Legislative Acts that have given the IDP its form and structure. As with the assessment of the policy documents, some of the important Legislative Acts will also be identified and assessed.

2.4.1) RELEVANT POLICY DOCUMENTS PROVIDING FORM FOR THE IDP PROCESS.

The IDP has two main categories relevant to policy frameworks. These two categories can be defined as the National policy framework and the Provincial policy framework. Figure 2 illustrates the National policy framework, whilst figure 3 illustrates the Provincial policy framework. (Corneluis, 2006: 40-42.)

Figure 2: The summary of National policies relevant to the IDP process.

(Source: Delivery Mechanisms of the IDP: 2006)

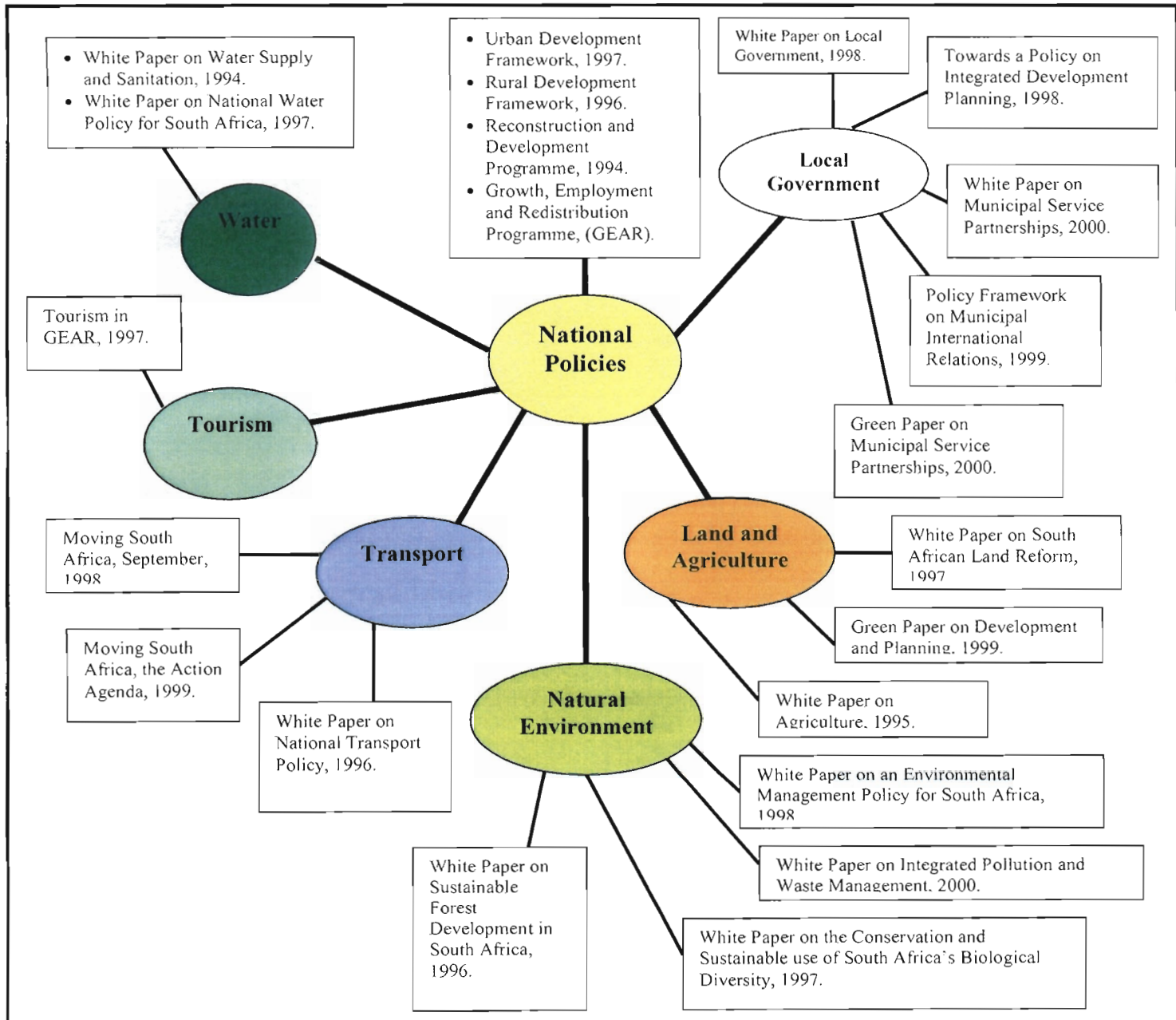
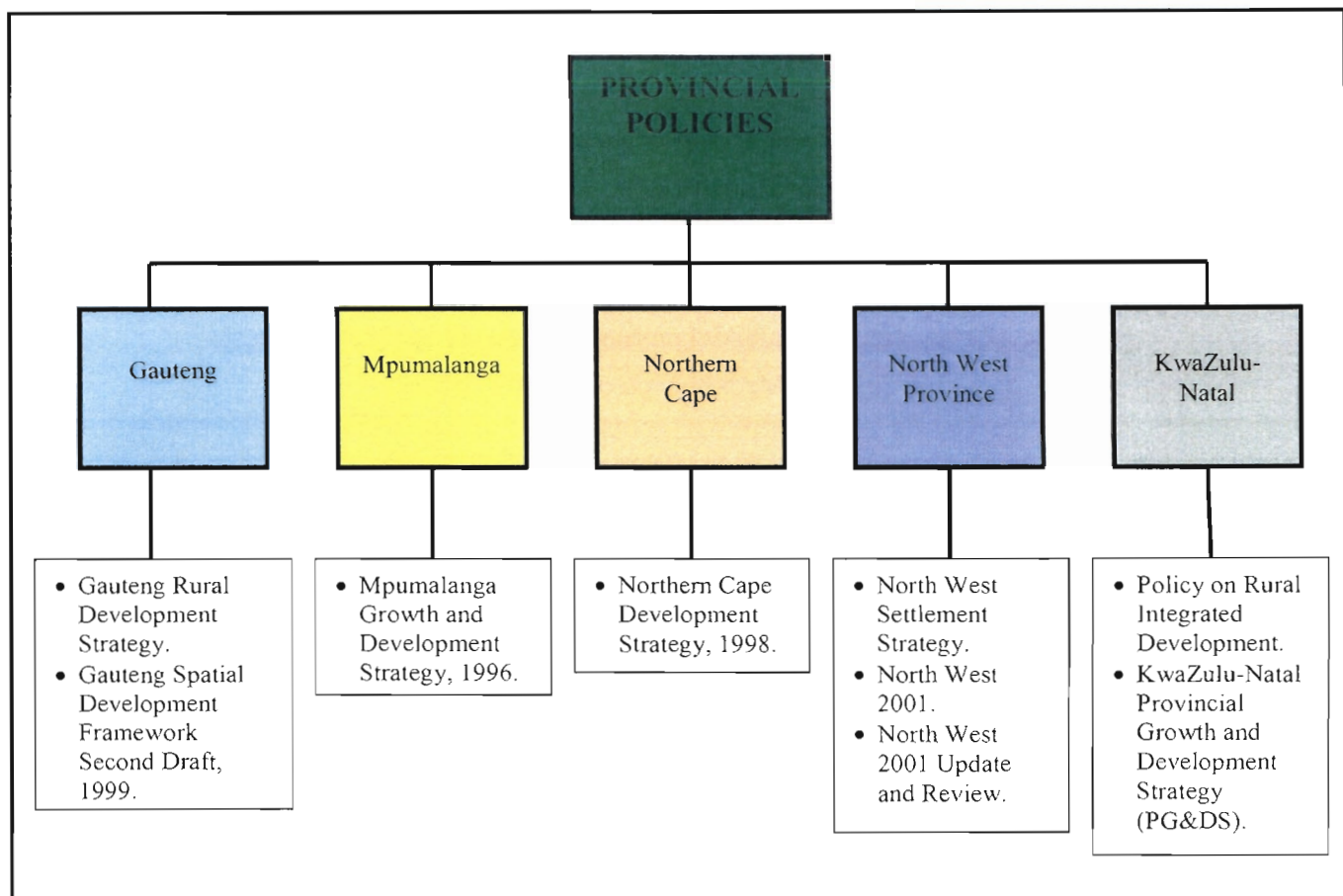


Figure 3: The summary of Provincial policies relevant to the IDP process.



(Source: Delivery Mechanisms of the IDP: 2006)

To further understand the relevance and importance of policy frameworks in formulating the legal base of IDPs, the following important policies will now be assessed:

- The Reconstruction and Development Programme (RDP), 1994.
- The White Paper on Local Government (WPLG), 1998.

2.4.1.1) THE RECONSTRUCTION AND DEVELOPMENT PROGRAMME (RDP) 1994.

The Reconstruction and Development Programme (RDP) is the policy framework that was set up for integration and coherent socio-economic progress in South Africa. This policy is aimed at mobilising all the people and resources in the country in eradicating all the negative results of the apartheid era. (RDP, 1994: 8.)

The RDP is made up out of six basic principles. The first principle indicates the relevance of integrated development planning. (RDP, 1994: 8.) The six principles are as follows:

1. Integration and Sustainability: The RDP indicates that firstly there is a need for an integrated and sustainable programme to help overcome the legacy of the apartheid era. The RDP harnesses the country's resources in a coherent set of strategies that will be implemented at the national, provincial and local levels of government, along with the parastatals and local authorities. Businesses and organisations operating within civil society will be encouraged to operate within the framework of the RDP.
2. People-driven Development.
3. Peace and Security.
4. Nation Building.
5. Meeting Basic Needs and Building the Infrastructure.
6. Democratisation.
7. Assessment and Accountability.

The RDP only provides a short indication of the importance of the IDP process, but was one of the first policy documents to make reference to the importance of the process.

2.4.1.2) THE WHITE PAPER ON LOCAL GOVERNMENT (WPLG) 1998.

As indicated in the first part of the study, the White Paper on Local Government (WPLG) - previously the Green Paper on Local Government - considers the IDP process to be a tool for assisting in the establishment of a developmental local

government. This would be instrumental in achieving the following necessary purposes within municipalities: (IDP Guide Pack 1, 2001:15):

- Helping to align scarce resources behind agreed policy objectives and programmes.
- Making sure that the actions are prioritised around the most urgent needs.
- Ensuring the integration with other spheres of government, being a tool for communication and integration with them.
- To serve as a basis for engagement between local government and its communities/residents.

A strong focus is placed on the community and their most urgent needs. From this first part of the White Paper it becomes clear that the IDP must focus on the identified needs of the community and not only on the identified needs of the municipality.

The White Paper further indicates that municipalities in South Africa face large and immense challenges in developing settlements that are sustainable and meet the needs of the local community, along with improving their basic quality of life. To be able to meet the needs and challenges in their demarcated municipal areas, municipalities will need to assess and understand the various dynamics that are associated with their allocated area. They must also develop a solid vision for the area, along with relevant strategies, to realise and finance the identified vision. It is also one of the most important aspects to include other stakeholders in the IDP process. (WPLG, 1998: 29.)

The IDP is identified by the White Paper as a process through which the municipality can create and establish a developmental plan for the short, medium and long term of their community. (WPLG, 1998: 29.) The White Paper indicates the following steps that need to be considered when creating the IDP:

- An assessment of the current social, ecumenical and environmental reality in the municipal area - the current reality.
- A determination of community needs through close consultation.
- Developing a vision for development in the area.
- An audit of available resources, skills and capacities.
- A prioritisation of these needs in order of urgency and long-term importance.

- The development of integration frameworks and goals to meet these needs.
- The formulation of strategies to achieve the goals within specific time frames.
- The implementation of projects and programmes to achieve key goals.
- The use of monitoring tools to measure impact and performance.

The White Paper further indicates that IDPs are planning and strategic frameworks that help municipalities in fulfilling and achieving their developmental mandate in the following manner: (WPLG, 1998: 30)

- They enable municipalities to align their financial and institutional resources behind the agreed programmes and policy objectives.
- The IDPs are a vital tool to help ensure the integration of local government activities with the other spheres of development planning at national, provincial and international levels, by serving as a basis for communication and interaction.
- The IDPs serve as a basis for engagement between local government and the citizenry at the local level, and with various stakeholders and interest groups. Participatory and accountable government only has meaning if it is related to concrete issues, plans and resource allocations.
- They enable municipalities to weigh up their obligations and systematically prioritise programmes and resource allocations. In a context of great inequalities, integrated development plans serve as a framework for municipalities to prioritise their actions around meeting urgent needs, while maintaining the overall economic, municipal and social infrastructure already in place.
- The IDPs assist the municipalities in focusing on the environmental sustainability of their development strategies and deliveries. Sustainable development is the basic delivery of social and economic services to all. This is without threatening the viability of the ecological and community systems upon which these services depend.
- The IDPs help municipalities to develop their holistic strategy for poverty alleviation. Poverty is not just a measure of low household income but also includes other aspects of deprivation. These aspects include lack of assets to help households cope with shocks and stresses; the lack of resources or contracts to help secure political advantage; the lack of access to education,

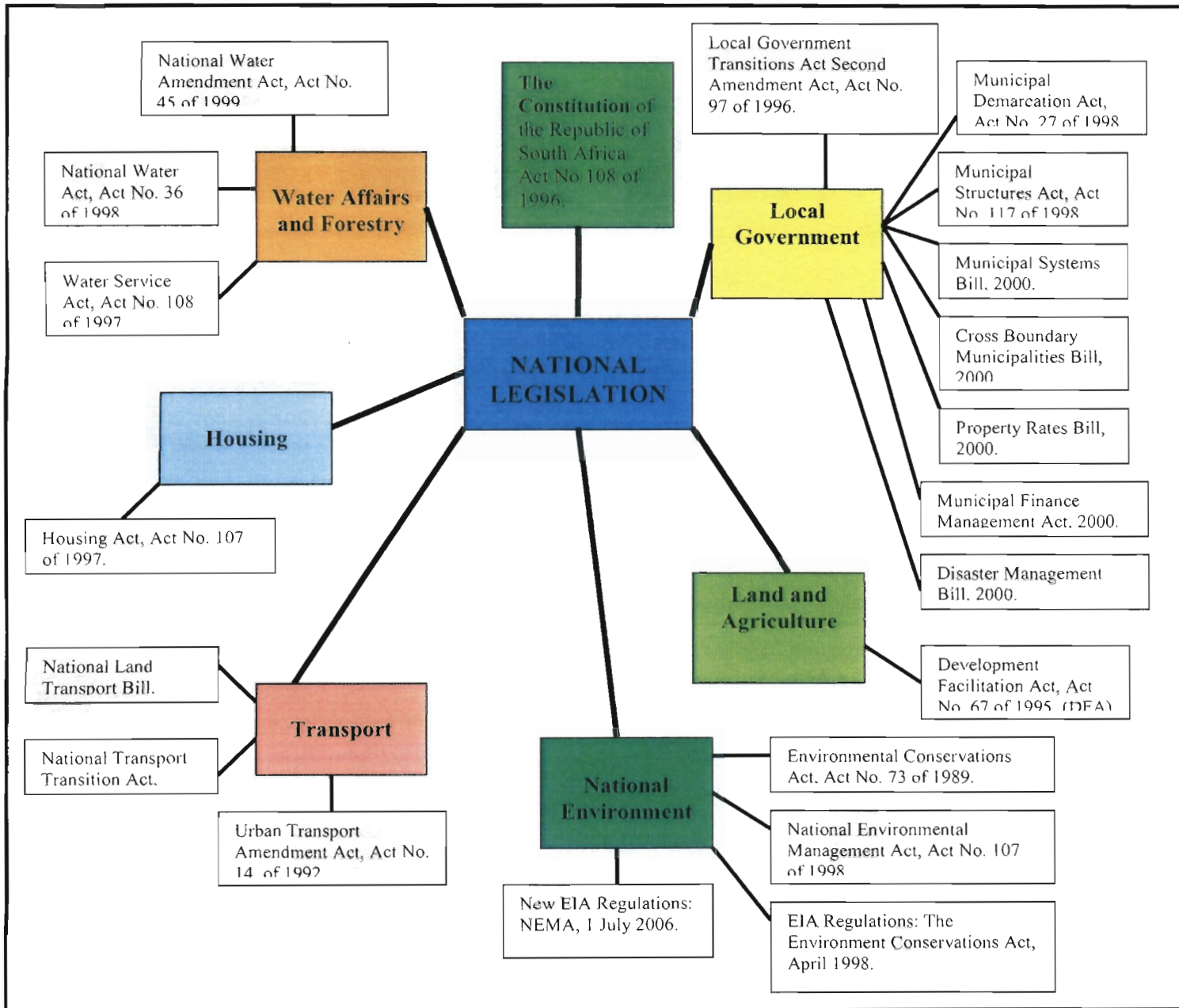
healthcare and emergency services; and the lack of safe, secure, and adequately sized houses that have basic services.

The White Paper basically indicates that the IDP process is a plan that will assess a municipal area in its entirety and develop the needed project to address the most urgent problems, as identified by the community, with the available resources. The IDP also provides other mechanisms that will assist with some of the administrative functions of the municipality. The White Paper also states that the IDP process is a key development strategy to be used by the municipality, and if municipalities are to function properly, IDPs should be a required part of the municipal function. (WPLG, 1998: 30.)

2.4.2) RELEVANT LEGISLATION ACTS PROVIDING FORM FOR THE IDP PROCESS

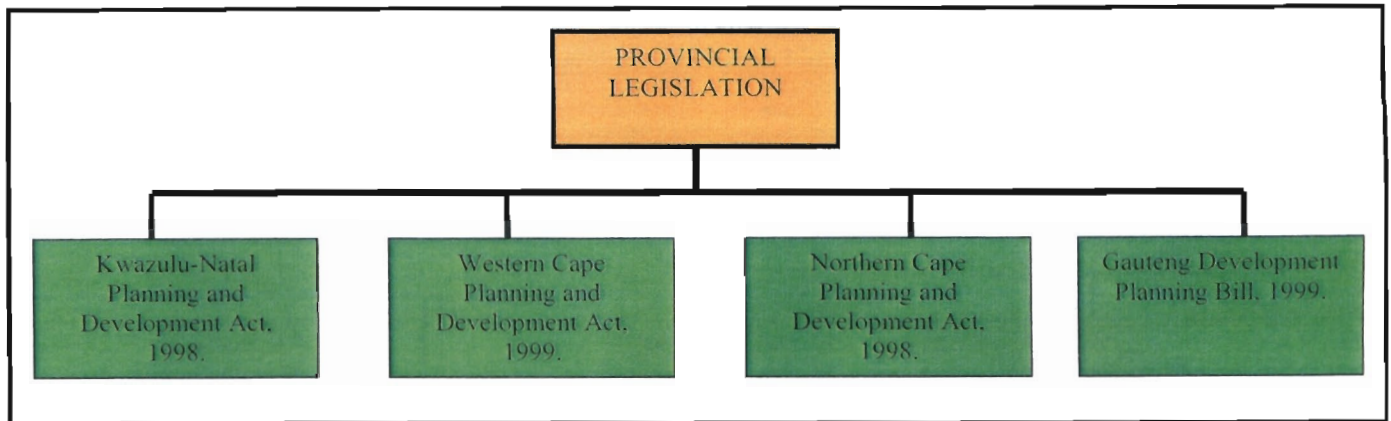
During the transition phase of local government in South Africa, the stage was set for developmental reform in South Africa. The IDP thus needed specific legislative prescriptions to help endorse this ideological reform. (Renald, 2007: 24.) As with the policies framework, legislation can be divided into two main categories, namely National Legislation and Provincial Legislation. Figure 4 illustrates the relevant National Legislation to the IDP, and figure 5 illustrates the relevant Provincial Legislation relating to the process. (Corneluis, 2006: 46.)

Figure 4: National Legislation Relevant to the IDP.



(Source: Delivery Mechanisms of the IDP: 2006)

Figure 5: Provincial Legislation Relevant to the Integrated Development Planning Process



(Source: Delivery Mechanisms of the IDP: 2006)

The following important legislation document relevant to the IDP will be assessed in the following part of this chapter:

1. The Local Government Transitions Act 209 of 1993, Second Amendment Act, Act No. 97 of 1996.
2. The Municipal Structures Act 117 of 1998.
3. The Local Governments Municipal Systems Act 32 of 2000.

Each one of these Acts will be assessed and evaluated, indicating the relevance of the IDP process within the identified legislation framework and providing a basic indication of how the process was incorporated into the policy frameworks of the country.

2.4.2.1) LOCAL GOVERNMENT TRANSITION ACT 209 OF 1993, SECOND AMENDMENT ACT 97 OF 1996.

The first piece of legislation that gave local government specific instructions to formulate and implement the IDP was the Local Government Transition Act, Second Amendment Act 97 of 1996. The legislative framework gave local government guidance during their early transitional phase. (Renald, 2007: 24.)

The act defined the IDP process in the following manner:

“Integrated Development Plan’ means a plan aimed at the integrated development and management of the area of jurisdiction of the municipality concerned in terms of its powers and duties, and which has been compiled having regard to the general principles contained in Chapter 1 of the Development Facilitations Act, 1995 (Act No. 67 of 1995), and, where applicable, having regard to the subject matter of land development objectives contemplated in Chapter 4 of that Act”. (LGTA, 1993.)

The LGTA had a problem in defining the exact purpose of the IDP during the government's transitional phase, but the LGTA made a clear identification of the overarching role that the IDP would fulfil in municipalities. (Renald, 2007: 16.) Section 4(b) of the LGTA Act 97 of 1996 indicated the following aspects relevant to the district councils and the IDP process:

(4) A district council

(b) Shall -

- (i) with the approval of the local councils, rural councils and representative councils concerned, formulate and implement an integrated development plan for its area of jurisdiction; and
- (ii) with the approval of the local council, rural council or representative council concerned -

(aa) Formulate and, if so requested, implement an integrated development plan in respect of each local council, rural council and representative council within its area.

Section 10G of the LGTA Second Amendment Act 97 of 1996 is self-explanatory in defining the link between effective financial planning and strategic planning in municipalities. (Renald, 2007: 25.) This section indicated the following:

10G. (1) Every municipality shall -

- (a) conduct its affairs in an effective, economical and efficient manner with a view to optimising the use of its resources in addressing the needs of the community;

- (b) conduct its financial affairs in an accountable and transparent manner;
 - (c) prepare a financial plan in accordance with the integrated development plan in respect of all its powers, duties and objectives;
 - (d) structure and manage its administration and budgeting and planning processes to give priority to the basic needs of its community, and promote social and economic development within its area of jurisdiction and support the implementation of national and provincial development programmes;
 - (e) manage its financial resources to meet and sustain its objectives;
 - (f) regularly report to and receive comments from its community regarding the objectives set in its integrated development plan.
- (LGTA, 1996: 8-9.)

The LGTA does not provide a complete structure of the IDP process, and only provides a mandate by instructing that a local council shall formulate an IDP as indicated in section 4 (ii)(aa).

During the transition period in South Africa, local government practitioners may have had some degree of difficulty in understanding how the IDP process was to be used and implemented. The LGTA was repealed during the final transitions phase for local government in the period 2000-2005. The responsibility of this Act was taken over by the Municipal Structures Act 117 of 1998, the Local Government Municipal Systems Act 32 of 2000, and the Local Government Municipal Finance Management Act 56 of 2003. (Renald, 2007: 27.) These Acts will now be discussed in more detail.

2.4.2.2) THE MUNICIPAL STRUCTURES ACT 117 OF 1998

The Municipal Structures Act aimed at establishing the following:

- To provide for the establishment of municipalities in accordance with the requirements relating to categories and types of municipalities.
- To establish criteria for the determining the category of municipality to be established in an area.
- To define the types of municipality that may be established within each category.

- To provide for an appropriate division of functions and powers between categories of municipality.
- To regulate the internal systems, structures and office-bearers of municipalities.
- To provide for appropriate electoral systems; and to provide for matters in connection therewith. (South Africa, 1998: 2.)

The Municipal Structures Act was assented to on 11 December 1998. This Act does not give specific instructions on how and when an IDP must be developed and implemented. It does, however, give guidance to the developmental form of local government entailed in the constitution of the country. (Renald, 2007:27.) The Structures Act defines the IDP as “*a plan aimed at the integrated development and management of a municipal area*”. The Preamble to this Act reads as follows:

“Whereas the Constitution establishes local government as a distinctive sphere of government, interdependent and interrelated with national and provincial spheres of government;

Whereas there is agreement on the fundamental importance of local government to democracy, development and nation-building in our country;

Whereas past policies have bequeathed a legacy of massive poverty, gross inequalities in municipal services, and disrupted spatial, social and economic environments in which our people continue to live and work;

Whereas there is fundamental agreement in our country on a vision of democratic and developmental local government in which municipalities fulfil their constitutional obligations to ensure sustainable, effective and efficient municipal services, promote social and economic development, encourage a safe and healthy environment by working with communities in creating environments and human settlements in which all our people can lead uplifted and dignified lives;

Whereas municipalities across our country have been involved in a protracted, difficult and challenging transition process in which great strides have been made in democratising local government; and

Whereas municipalities now need to embark on the final phase in the local government transitions process to be transformed in line with the vision of democratic and developmental local government.” (South Africa, 1998: 2.)

The Structures Act indicates that a district municipality is responsible for integrated development planning for the district municipality as a whole. This includes the frameworks for IDPs of all municipalities situated in the area of the district municipality. (South Africa, 1998.)

In Section 44 (2) of the Structures Act the following related indications to the IDP are made with reference to the duties of the executive committee of the municipality:

(2) The executive committee must -

- (a) identify the needs of the municipality;
- (b) review and evaluate those needs in order of priority;
- (c) recommend to the municipal council strategies, programmes and services to address priority needs through the integrated development plan and estimates of revenue and expenditure, taking into account any applicable national and provincial development plans; and
- (d) recommend or determine the best methods, including partnership and other approaches, to deliver those strategies, programmes and services to the maximum benefit of the community. (South Africa, 1998: 20-21.)

In Section 44 (2) the Structures Act is clear in its reference to the IDP. The Act indicates that the IDP is the conduit through which municipal strategies and programmes are developed and implemented. In conclusion, the Structures Act indicates that the municipalities IDP is the overarching strategic management tool that must be used to fulfil the municipalities’ public service delivery and development obligations in a more effective manner. (Renald, 2007: 29.)

2.4.2.3) THE LOCAL GOVERNMENT MUNICIPAL SYSTEMS ACT 32 OF 2000

The Local Government Municipal Systems Act 32 of 2000 reads as follows:

“To provide for the core principles, mechanisms and processes that are necessary to enable municipalities to move progressively towards the social and economic upliftment of local communities, and ensure universal access to essential services that are affordable to all; to define the legal nature of a municipality as including the local community within the municipal area, working in partnership with the municipalities’ political and administrative structures; to provide for the manner in which municipal powers and functions are exercised and performed; to provide for community participation; to establish a simple and enabling framework for the core processes of planning, performance management, resource mobilisation and organisational change which underpin the notion of developmental local government; to provide a framework for local public administration and human resource development; to empower the poor and ensure that municipalities put in place service tariffs and credit control policies that take their needs into account by providing a framework for the provision of services, service delivery agreements and municipal service districts; to provide for credit control and debt collection; to establish a framework for support, monitoring and standard setting by other spheres of government in order to progressively build local government into an efficient, frontline development agency capable of integrating the activities of all spheres of government for the overall social and economic enlistment of communities in harmony with their local natural environment; to provide for legal matters pertaining to local government; and to provide for matters incidental thereto”. (South Africa, 2000: 2.)

The Municipal Systems Act has a clear indication and aim for creating developmental local government in South Africa. In the preamble of this act some important points are mentioned in regards to creating developmental local governments. They are as follows:

“Whereas there is a need to set out the core principles, mechanisms and processes that give meaning to the developmental local government and to empower municipalities to move progressively towards the social and economic upliftment of communities and the provision of basic services to all our people, and specifically the poor and the disadvantaged”. (South Africa, 2000: 2.)

Chapter 5 of the Municipal Systems Act gives a clear indication and assessment of the IDP process and is dedicated to the structure and process of the IDP. This chapter will now be assessed and analysed to understand the IDP in the context of the Municipal Systems Act.

Chapter 5 of the Municipal Systems Act focuses on establishing the concept of integrated development planning in the local and district municipalities. Various sections from this chapter, noted below, have specific reference to the IDP. Each one of these sections will now be assessed to help understand the IDP process. This Chapter contains the following sections of Chapter 5 that will be studied:

- Section 23: Municipal planning to be developmentally orientated.
- Section 24: Municipal planning in co-operative government.
- Section 25: Adoption of integrated development plans.
- Section 26: Core components of integrated development plans.
- Section 27: Framework for integrated development planning.
- Section 28: Adoption of process.
- Section 29: Process to be followed.
- Section 30: Management of drafting process.
- Section 31: Provincial monitoring and support.
- Section 32: Copy of integrated development plan to be submitted to MEC for local government.
- Section 33: Ad hoc committees required when a municipality makes a formal objection to MEC's proposal.
- Section 34: Annual review and amendment of integrated development plan.
- Section 35: Status of integrated development plan.
- Section 36: Municipality to give effect to integrated development plan.
- Section 37: Regulations and guidelines.

Each one of the sections will be listed to provide insight into the requirements of the Act

SECTION 23.

Section 23 of the Municipal Systems Act indicates that municipal planning needs to be developmentally orientated:

“23. (1) a municipality must undertake developmentally-orientated planning so as to ensure that it -

- (a) strives to achieve the objects of local government set out in Section 152 of the Constitution;
- (b) gives effect to its developmental duties as required by Section 153 of the Constitution; and
- (c) together with other organs of the state contribute to the progressive realisation of the fundamental rights contained in Section 24, 25, 26, 27 and 29 of the Constitution”. (South Africa, 2000: 19.)

Local Municipalities in terms of this section are mandated to undertake and plan in such a manner that they are developmentally-orientated. This is to ensure that Municipalities are always aiming to improve and develop their municipal areas. Projects that are identified must aim to provide communities with a better standard of living.

In terms of the constitution and specifically Sections 152 local government must strive to provide the following within its financial and administrative capacity (Constitution of the Republic of SA, 1996):

- a) to provide democratic and accountable government for local communities;
- b) to ensure the provision of services to communities in a sustainable manner;
- c) to promote social and economic development;
- d) to promote a safe and healthy environment; and
- e) to encourage the involvement of communities and community organisations

Taking this into consideration it becomes apparent that the focus of local government is on the development and improvement of communities. This is further indicated in Section 153 of the Constitution that states:

“A Municipality must

- a) structure and manage its administration, budgeting and planning processes to give priority to the basic needs of the community, and to promote the social and economic development of the community; and
- b) participate in national and provincial development programmes”

With the objectives of Local Government clearly indicated in the constitution one can ask the following question, “if the current state of local government and specifically service provision is taken into consideration are local governments fulfilling their objectives as provided in the Constitution of South Africa?” Only a handful if so many of South Africa’s municipalities will be able to provide a positive answer to this question. Through protest the communities of South Africa has already provided an answer and it is apparent that Municipalities are not providing the best possible service that they can within their available financial and administrative capacity.

SECTION 24.

Section 24 of the Municipal Systems Act assesses municipal planning in co-operative government. Section 24 states the following related to the IDP process:

“24. (1) The planning undertaken by a municipality must be aligned with, and complement, the development plans and strategies of other affected municipalities and other of state so as to give effect to the principles of co-operative government contained in Section 41 of the constitution”. (South Africa, 2000: 19.)

SECTION 25.

Section 25 of the Municipal Systems Act establishes the adoption of the IDP process. This part of the Act provides a mandate as to the adoption of the IDP process in municipalities. Section 25 states the following in regards to the IDP process:

“25. (1) Each municipal council must, within a prescribed period after the start of its elected term, adopt a single, inclusive and strategic plan for the development of the municipality which -

- (a) links, integrates and co-ordinates plans and takes into account proposals for the development of the municipality;
- (b) aligns the resources and capacity of the municipality with the implementation of the plan;
- (c) form the policy framework and general basis on which annual budgets must be based;
- (d) complies with the provisions of this chapter; and

- (e) is compatible with the national and provincial development plans and planning requirements binding on the municipality in terms of legislation.
- (2) An integrated development plan adopted by a municipal council in terms of Subsection (1) may be amended in terms of Section 34 and remain in force until an integrated development plan is adopted by the next elected council.
- (3) (a) A newly elected municipal council may, within the prescribed period referred to in Subsection (1), adopt the integrated development plan of its predecessor, but before taking a decision it must comply with Section 29(1)(b)(i), (c) and (d).
 - (b) A newly elected municipal council that adopts the integrated development plan of its predecessor with amendments, must effect the amendments in accordance with the 5 processes referred to in Section 34(b).
- (4) A municipality must, within 14 days of the adoption of its integrated development plan in terms of Subsection (1) or (3) -
 - (a) give notice to the public -
 - (i) of the adoption of the plan; and
 - (ii) that the copies of or extras from the plan are available for public inspection at specified places; and
 - (b) publicise a summary of the plan". (South Africa, 2000: 19-20.)

Section 25 provides the form of adoption for the IDP process and provides the legal mandate for municipalities. This section provides the legal voice that says local government must adopt an IDP. This is certainly one of the most important sections of the Act and one of the cornerstone sections for the adoption of an IDP process.

SECTION 26.

Section 26 of the Municipal Systems Act describes the core components of the integrated development plans.

"26. An integrated development plan must reflect -

- (a) the municipal council's vision for the long-term development of the municipality with special emphasis on the municipality's most critical development and internal transformation needs;
- (b) as assessment of the existing level of development in the municipality, which must include an identification of communities which do not have access to basic municipal services;

- (c) the council's development priorities and objectives for its elected term, including its local economic development aims and its internal transformation needs;
- (d) the council's development strategies which must be aligned with any national or provincial sectoral plans and planning requirements binding on the municipality in terms of legislation;
- (e) a spatial development framework which must include the provision of basic guidelines for land use management systems for the municipality;
- (f) the council's operational strategies;
- (g) applicable disaster management plans;
- (h) a financial plan, which must include a budget projection for at least the next three years; and
- (i) the key performance indicators and performance targets determined in terms of Section 41". (South Africa, 2000: 20.)

This section provides structure to the mandate as provided in Section 25. In reality the structure of an IDP has changed over time and incorporates more than what is mentioned in this section of the Act. Still these components of an IDP form the core of the process and plan in most Municipalities in South Africa.

SECTION 27.

Section 27 indicates the framework that is needed by each municipality to incorporate and structure their integrated development planning process:

"27. (1) Each district municipality, within a prescribed period after the start of its elected term and after following a consultative process with the local municipalities within its area, must adopt a framework for integrated development planning in the area as a whole.

(2) A framework referred to in subsection (1) binds both the district municipality and the local municipalities in the area of the district municipality, and must at least -

- (a) identify the plans and planning requirements binding in terms of national and provincial legislation on the district municipality and the local municipalities or on any specific municipality;
- (b) identify the matters to be included in the integrated development plans of the district municipality and the local municipalities that require alignment;
- (c) specify the principles to be applied and co-ordinate the approach to be adopted in respect of those matters; and

- (d) determine the procedures -
- (i) for consultation between district municipalities and the local municipalities during the process of drafting their respective integrated development plans; and
- (ii) to effect essential amendments to the framework”. (South Africa, 2000: 20-21.)

This section of the Act provides timeframes and a process framework for the adoption of an IDP. This provides a point of departure as to structuring the IDP.

SECTION 28.

Section 28 of the Act identifies the process that needs to be adopted by the relevant municipalities in relation to their IDP process:

“28. (1) Each municipal council, within a prescribed period after the start of its elected term, must adopt a process set out in writing to guide the planning, drafting, adoption and review of its integrated development plan.

(2) The municipality must, through appropriate mechanisms, processes and procedures, establish in terms of Chapter 4, consult the local community before adopting the process.

(3) A municipality must give notice to the local community of particulars of the process it intends to follow”. (South Africa, 2000: 21.)

SECTION 29.

Section 29 of the Act reflects the process that needs to be followed by the municipality to draft its integrated development plan:

“29. (1) The process followed by a municipality to draft its integrated development plan, including its consideration and adoption of the draft plan, must -

(a) be in accordance with a predetermined programme, specifying time frames for the different steps;

(b) through appropriate mechanisms, processes and procedures established in term of Chapter 4, allow for -

(i) the local community to be consulted on its development needs and priorities;

- (ii) the local community to participate in the drafting of the integrated development plan; and
 - (iii) organs of state, including traditional authorities, and other role players to be identified and consulted on the drafting of the integrated development plan;
 - (c) provide for the identification of all plans and planning requirement binding on the municipality in terms of national and provincial legislation; and
 - (d) be consistent with any other matters that may be prescribed by regulations.
- (2) A district municipality must -
- (a) plan integrated development for the area of the district municipality as a whole, but in close consultation with the local municipalities in that area;
 - (b) align its integrated development plan with the framework adopted in terms of Section 27; and
 - (c) draft its integrated development plan, taking into account the integrated development process of, and proposals submitted to it by the local municipalities in that area.
- (3) A Local municipality must -
- (a) align its integrated development plan with the framework adopted in terms of Section 27; and
 - (b) draft its integrated development plan, taking into account the integrated development process of, and proposals submitted to it by the district municipality". (South Africa, 2000: 21.)

SECTION 30.

Section 30 of the Act deals with the management of the drafting process needed for the IDP process:

- “(30). The executive committee or executive mayor of a municipality or, if the municipality does not have an executive committee or executive mayor, a committee of councillors appointed by the municipal council must, in accordance with section 29 -
- (a) manage the drafting of the municipality's integrated development plan;
 - (b) assign responsibilities in this regard to the municipal manager; and
 - (c) submit the draft plan to the municipal council for adoption by the council”. (South Africa, 2000: 21.)

SECTION 31.

Section 31 of the Act establishes the provincial support and monitoring that is needed in the IDP process:

“31. The MEC for local government in the province may, subject to any other law regulating provincial supervision of local government -

- (a) monitor the process followed by a municipality in terms of Section 29;
- (b) assist a municipality with the planning, drafting, adoption and review of its integrated development plan;
- (c) facilitate the co-ordination and alignment of -
 - (i) integrated development plans of different municipalities, including those of a district municipality and the local municipalities within its area; and
 - (iii) the integrated development plan of a municipality with the plans, strategies and programmes of national and provincial organs of state;

(d) take any appropriate steps to resolve disputes of differences in connection with the planning, drafting, adoption or review of an integrated development plan between -

- (i) a municipality and the local community; and
- (ii) different municipalities”. (South Africa, 2000: 22.)

SECTION 32.

Section 32 of the Act indicates the procedures in regards to the copy of the integrated development plan that needs to be submitted to the MEC for local government:

“32. (1) (a) The municipal manager of a municipality must submit a copy of the integrated development plan as adopted by the council of the municipality, and any subsequent amendment to the plan, to the MEC for local government in the province within 10 days of the adoption or amendment of the plan.

- (c) The copy of the integrated development plan to be submitted in terms of paragraph (a) must be accompanied by -
 - (i) a summary of the process referred to in Section 29(1);
 - (ii) a statement that the process has been complied with, together with any explanations that may be necessary to amplify the statement; and

- (iii) in the case of a district and a local municipality, a copy of the framework adopted in terms of Section 27.
- (2) The MEC for local government in the province may, within 30 days of receiving a copy of an integrated development plan or an amendment to the plan, or within such reasonable longer period as may be adopted by the Minister, request the relevant municipal council -
- (a) to adjust the plan or the amendment in accordance with the MEC's proposals if the amendment or plan -
 - (i) does not comply with the requirements of this Act; or
 - (ii) is in conflict with or is not aligned with or negates any of the development plans and strategies of other affected municipalities or organs of state; or
 - (b) to comply with the process referred to in Section 29, or with specific provision of this Act relating to the process of drafting or amending integrated development plans if the municipality has failed to comply with that process or provision, and to adjust the plan or the amendment if that becomes necessary after such compliance.
- (3) A municipal council must consider the MEC's proposals, and within 30 days of receiving the MEC's request must -
- (a) if it agrees with those proposals, adjust its integrated development plan or amendment in accordance with the MEC's request; or
 - (b) if it disagrees with the proposals, object to the MEC's request and furnish the MEC with reasons in writing why it disagrees.
- (4) On receipt of an objection in terms of Subsection (3)(b) the MEC may refer the municipality's objection to an ad hoc committee referred to in Section 34 for the decision by the committee. If the MEC decides to refer an objection to an ad hoc committee, the objection must be referred within 21 days of receipt of the objection". (South Africa, 2000: 22.)

SECTION 33.

Section 33 of the Act indicates the ad hoc committees that are required when a municipality makes a formal objection to the MEC's proposals in relation to their IDP process:

"33. (1) Whenever necessary, the MEC for local government in a province must appoint an ad hoc committee consisting of members representing local government,

the provincial government and the national government to decide on an objection by the municipality in terms of Section 32(3)(b).

- (2) The MEC appoints the members of an ad hoc committee representing -
- (a) local government, with the concurrence of the municipality which lodged the objection and any other municipality involved in the dispute;
 - (b) the provincial government, with the concurrence of the provincial organ or organs of state involved in the dispute or in whose functional area the dispute is located; and
 - (c) the national government, with concurrence of the national organ or organs of state involved in the dispute or in whose functional area the dispute is located.
- (3) An objection referred to an ad hoc committee must be dealt with in accordance with procedures prescribed by regulation.
- (4) A matter before an ad hoc committee is decided if at least two spheres of government agree on the matter.
- (5) If the ad hoc committee rejects the municipality's objection, the municipality must within 30 days of the date on which the committee has taken the decision and informed the municipality, comply with the MEC's request". (South Africa, 2000: 23.)

SECTION 34.

Section 34 of the Act indicates the process that needs to be followed in regards to the annual review and amendment of the integrated development plan. This section states the following:

"34. A municipal council -

- (a) must review its integrated development plan -
 - (i) annually in accordance with an assessment of its performance measurements in terms of Section 4(i); and
 - (ii) to the extent that changing circumstances so demand; and
- (b) may amend its integrated development plan in accordance with a prescribed process". (South Africa, 2000: 23.)

SECTION 35.

Section 35 of the Act indicates the status of the IDP and the measures that need to be taken in this regard:

- “35. (1) An integrated development plan adopted by the council of a municipality -
- (a) is the principal strategic planning instrument which guides and informs all planning and development, and all decisions with regard to planning management and development, in the municipality;
 - (b) binds the municipality in the exercise of its executive authority, except to the extent of any inconsistency between the municipality's integrated development plan and the national or provincial legislation, in which case such legislation prevails; and
 - (c) binds all other persons to the extent that those parts of the integrated development plan that impose duties or affect the rights of those persons have been passed as a by-law.
- (2) A spatial development framework contained in an integrated development plan prevails over a plan as defined in section 1 of the Physical Planning Act, 1991 (Act No. 125 of 1991)”. (South Africa, 2000: 23.)

SECTION 36.

Section 36 of the Act indicates that the municipalities must provide and give effect to their IDP. This section also indicates that municipalities must conduct themselves in such a manner that they align themselves with their IDP process:

“36. A municipality must give effect to its integrated development plan and conduct its affairs in a manner which is consistent with its integrated development plan”. (South Africa, 2000: 23.)

SECTION 37.

Section 37 of the Act indicates the regulations and guidelines needed by municipalities in the integrated development planning process:

- “37. (1) The Minister may for the purpose of this chapter make regulations or issue guidelines in terms of Section 20 to provide for or regulate the following matters:
- (a) Incentives to ensure that municipalities adopt their integrated development plans within the applicable prescribed period, and comply with the provisions of this Act concerning the planning, drafting, adoption and review of those plans.
 - (b) The detail of the integrated development plans, taking into account the requirements of the other applicable national legislation.

- (c) Criteria municipalities must take into account when planning, drafting, adopting and reviewing their integrated development plans.
 - (d) The detail of the process for the planning, drafting, adoption and review of integrated development plans.
 - (e) A process for the amendment of the integrated development plans.
 - (f) The manner in which an objection must be referred to an ad hoc committee envisaged in Section 33.
 - (g) The manner in which written evidence or documents must be submitted to an ad hoc committee.
 - (h) The proceedings of an ad hoc committee; and
 - (i) any other matter that may facilitate -
 - (i) integrated development planning and the drafting of the integrated development plans; or
 - (ii) the application of this chapter.
- (2) When making regulations or issuing guidelines in terms of Section 120 to provide for or to regulate the matters mentioned in Subsection (1)(b), (c), (d) and (e) of this section, the Minister must -
- (a) take into account the capacity of municipalities to comply with those matters; and
 - (b) differentiate between different kinds of municipalities according to their respective capacities.
- (3) The Minister, by notice in the Gazette, may phase in the application of the provisions of this chapter, which place a financial or administrative burden on municipalities.
- (4) A notice in terms of Subsection (3) may -
- (a) determine different dates on which different provisions of this chapter become applicable to municipalities;
 - (b) apply to all generally;
 - (c) differentiate between different kinds of municipalities which may, for the purpose of the phasing in of the relevant provisions, be defined in the notice in relation to categories or types of municipalities or in any other way; or
 - (d) apply to a specific kind of municipality only, as defined in the notice". (South Africa, 2000: 23-24.)

The Municipal Systems Act gives a clear indication of how the government needs to adopt, plan and review its IDP process. Some of the sections assessed in the Act

above may seem unnecessary in the context of the study, but a solid and complete understanding of the IDP process is needed. The Municipal Systems Act supersedes all other plans that guide development at local level in South Africa. The Municipal Systems Act also deals directly with the statutory requirements for developing an IDP and states that the IDP process is a core function of a municipality in the context of its development orientation. (IDP Guide pack, 2000.)

It appears that local government is guided by effective legislation and policy frameworks in regards to the IDP process. The policies and legislations form the legal base for effective implementation of the IDP process and a strong understanding of this legal base is necessary if the IDP is to be understood and implemented in the correct context.

2.5 CONCLUSION.

With the disparities in service provision within municipalities, the law mandates the use of the IDP process by municipalities to help them plan and co-ordinate development in their allocated areas. The IDP is meant to assist the municipalities by involving all the relevant stakeholders in the planning and service delivery process. The IDP enhances the chances of effective sustainable development in a municipality. (DBSA, 2000: 1.)

From this chapter it has become clear that the IDP process must play an important part in a municipal planning structure. The process has been prescribed by policy documents and enshrined in Legislative acts to ensure its incorporation and importance in assisting local government structures in becoming more developmental and erasing the disparities created by the Apartheid planning regime.

In conclusion, the chapter has provided clarity on the following as being matters of importance to the understanding of the IDP process:

1. As an introduction the chapter provided a definition of the IDP process and provided a brief look at the background of the process. A brief look at the emergence of the process was provided, and how the past Apartheid planning structures functioned. A comprehensive definition of the IDP process was also

provided. The following important points relevant to the IDP process can be drawn from this part of the chapter:

- Integrated Development Planning was defined by the Intergovernmental Forum for Effective Planning and Development (FEPD) in 1995 as: *“a participatory planning process aimed at integrated sectoral strategies, in order to support the optimal allocation of scarce resources between sectors and geographic areas and across the population in a manner that promotes sustainable growth, equity and the empowerment of the poor and the marginalised”*. (FEPD, 1992.)

- A further definition of the IDP process was provided by the Department of Provincial and Local Government in its Format Guide as:
 - “1. The principal planning instrument which guides and informs all planning and development, and all decisions with regard to planning, management and development in the municipality;*
 - 2. Binds the municipality in the exercise of its executive authority, except to the extent of any inconsistency between a municipality’s integrated development plan and National or Provincial legislation, in which case such legislation prevails; and*
 - 3. Binds all other persons to the extent that those parts of the integrated development plan that impose duties or affect the rights of those persons have been passed as a by-law; and it*
 - 4. Should be a product of intergovernmental and inter-sphere planning”*.

From the definition of the process it becomes clear that the IDP process was designed as the principal planning document that must guide and inform all aspects of planning and development in a municipal area. The IDP must also incorporate as one of its key building blocks the participation of the community in the process. It becomes clear that the IDP process is not just another process, and a large amount of responsibility is placed on the process and its intended results.

2. The chapter continued and the Local Government Sphere of South Africa was assessed as the implementation area of the IDP process. The role and structure of this sphere of government was discussed in terms of the Constitution and White Paper on Local Government. It was also indicated that local government has been given a new role to become more developmental, and the IDP process

is a key instrument to help with this new developmental role. The following points can be drawn out of this part of the study as points of importance to the IDP process:

- The Constitution of South Africa indicates in section 152 (1) that the objectives of Local Government must be:
 - a. to provide democratic and accountable government for local communities;
 - b. to ensure the provision of the services to communities in a sustainable manner;
 - c. to promote social and economic development;
 - d. to encourage the involvement of communities and community organisations in matters of local government.

In Section 152 (2) the Constitution further states that a municipality must strive, within its financial and administrative capacity, to achieve these set out objectives. The IDP process has a direct influence in assisting local government to achieve these objectives.

- The White Paper on Local Government 1998 further provided us with a complete definition of local government and its new developmental role. The White Paper also put forward three interrelated approaches that will be able to assist municipalities to become more developmental in their allocated roles:
 1. Integrated Development Planning and budgeting.
 2. Performance management.
 3. Working together with local citizens and partners.

It is important to focus on the importance of the word "*Interrelated*" in the context of these three processes. These processes are designed and earmarked to assist municipalities with the difficult task of becoming more developmental, but all three must be incorporated together. It is not a case of picking one to fix the problem. These approaches must be used and function in an interrelated manner to assist municipalities in the best possible manner.

3. The chapter continued and assessed the important Policy documents and Legislative Documents Acts that provide the IDP process with form and a legal mandate. The following important points relevant to the IDP process can be drawn from this part of the chapter:

- The relevant policy documents that are of importance to the IDP process can be divided into two parts. There is a National policy framework and a Provincial policy framework, as illustrated by Figures 2 and 3 in this chapter. From the National framework the Reconstruction and Development Programme, along with the White Paper on Local Government 1998, was assessed to illustrate the structuring of the IDP process in these two Policy documents.
- As with the policy frameworks, the Legislative Acts that provide the IDP with its legal Mandate can be divided into a National and Provincial Framework, as illustrated by Figures 4 and 5 in this chapter. From the National Legislative framework the following Acts were assessed to illustrate the structuring of the IDP process in the various Legislative Acts.
 1. The Local Government Transitions Act 209 of 1993, Second Amendment Act, Act No. 97 of 1996.
 2. The Municipal Structures Act 117 of 1998.
 3. The Local Governments Municipal Systems Act 32 of 2000.

From this chapter one thing has become clear: the IDP is a valuable, essential and key process for the creation of sustainable integrated development. The IDP process is complex and there are many advantages for the municipalities that implement them, but this process must be implemented effectively within the desired frameworks and with the utmost precision if all the objectives and strategies are to be achieved. Integrated Development Planning is one process that a municipality cannot be without.

In the next chapter of this study the IDP process and structure will be assessed. The chapter will define the IDP process and its key elements. It will put the IDP process into perspective and define its structure. The chapter will provide form to the IDP base as established in this chapter.

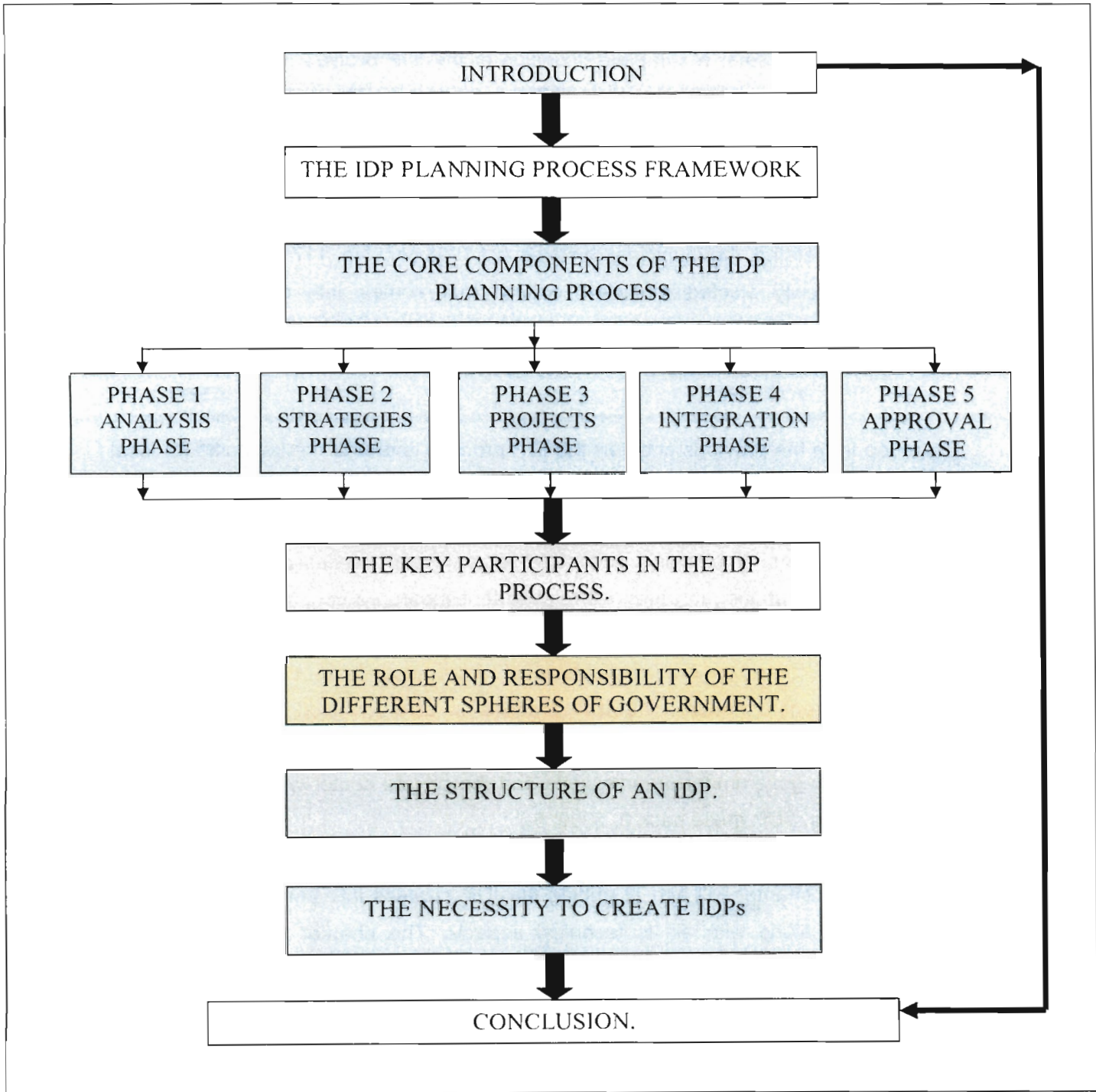
CHAPTER 3

THE INTEGRATED DEVELOPMENT PLANNING PROCESS FRAMEWORK

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GRAPHIC ILLUSTRATION OF CHAPTER 3



3.1 INTRODUCTION.

In the previous chapter a complete definition of the IDP process was provided and the policy and legislative base of the IDP was explained. The following chapter will continue and assess the IDP process itself, providing form to the legal mandates as defined by the various policy documents and Legislative Acts.

As previously stated, the Municipal Systems Act 1998 (Act No. 117 of 1998) indicates that every newly elected municipal council that comes into office after Local Government elections must prepare its own IDP. The created IDP will guide the development of the municipality for a five-year period.

To recap from the previous chapter, the IDP process is one of the key tools for local government to cope with its developmental role. The IDP process is seen as a function of effective municipal management. This process also plays a key role in the integration system of planning and effective municipal service delivery. The IDP process aims at arriving at decisions relating to issues on a consultative, systematic and strategic manner. These issues may include decisions regarding the municipal budget, land management, promotion of local economic development, and institutional transformation. The IDP process is also involved with guiding the activities of other agencies in related government spheres, corporate service providers, non-government organisations and the private sector within the allocated municipal area. (IDP guide pack 0, 2000: 5.)

The following chapter will aim at putting the IDP process into perspective, defining the structure along with all its technical aspects. The chapter will focus on the following structure points of the IDP process:

- The framework of the IDP process will be assessed and the core components that structure the process will be defined. The IDP is made up out of different core phases that provide structure to the process. The following core phases of the IDP process will be assessed:

1. The analysis phase.
 2. Development of strategies phase.
 3. Projects phase.
 4. Integration phase.
 5. Approval phase.
- The chapter will continue and identify the key participants in the IDP process. The key participants in the IDP process are:
 1. The officials.
 2. The councillors.
 3. The municipal stakeholders.
 4. The provincial and national sector departments.

 - After the key participants have been assessed and identified, the chapter will continue and assess the roles and responsibilities of the different spheres of government in relation to the IDP process. The South African Government is made up out of three spheres and they will be assessed as follows:
 1. Local Government.
 2. Provincial Government.
 3. National Government.

 - The next part of the chapter will assess the basic structure of the IDP and provide insight to its index and structuring.

 - The IDP process is guided and assisted by various support measures and the support system of the IDP will be briefly assessed in the final part of the chapter.

3.2 THE INTEGRATED DEVELOPMENT PLANNING PROCESS FRAMEWORK.

The IDP is a legal requirement in the framework of a municipality. The legal status of the IDP ensures that it supersedes all other plans that may guide development at a local level. (IDP guide pack 0, 2001: 9.)

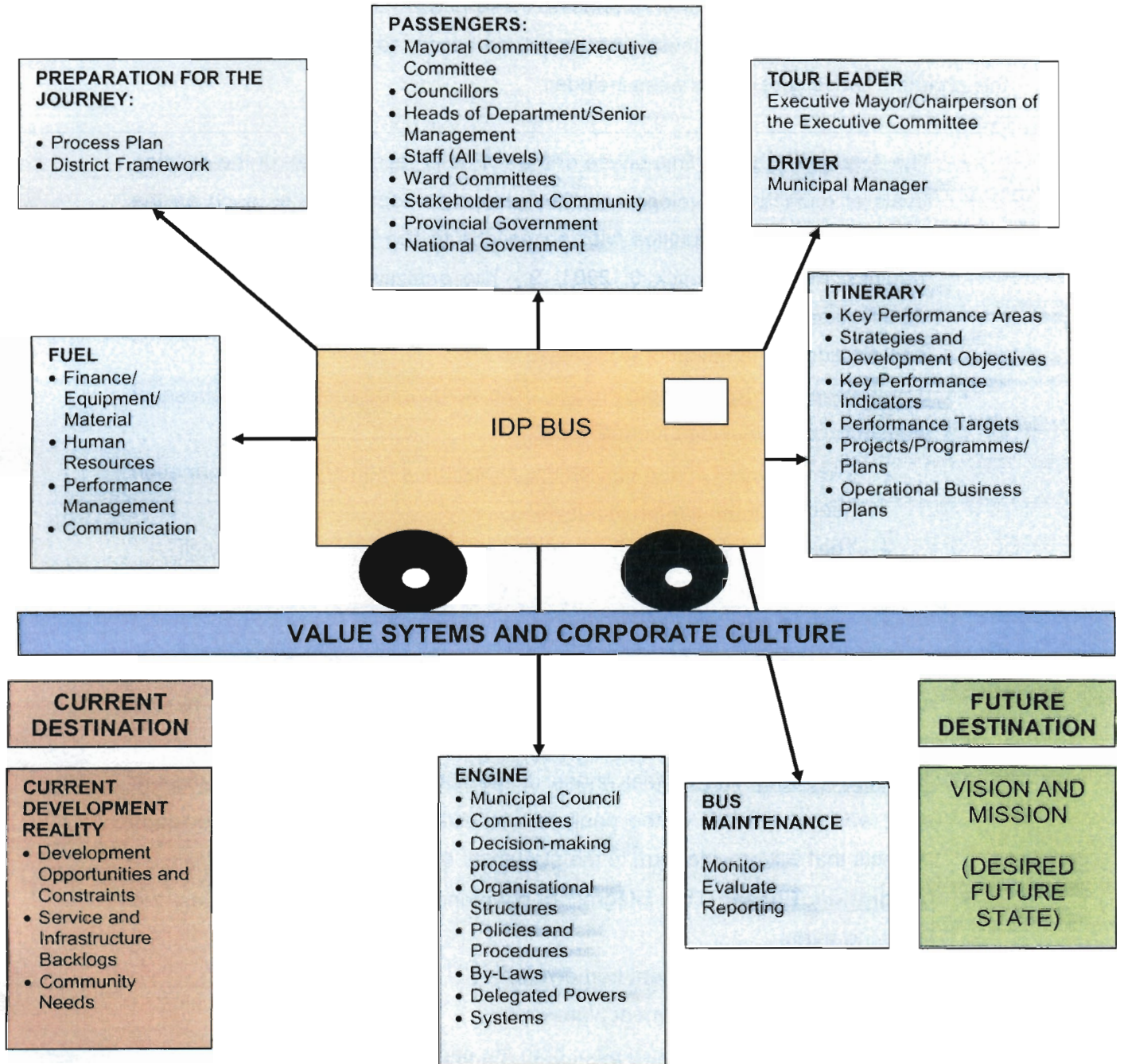
The IDP is linked to the office term of the municipal councillors. The IDP process will guide municipal planning for a period of five years after its acceptance. With the election of a new municipal council, and when the newly elected council is in place, it has the option to either adopt the previous IDP of its predecessors, if it is appropriate, or develop a completely new IDP. (IDP guide pack 0, 2001: 9.)

As indicated in the previous chapter, the IDP process entails, in essence, an assessment of the existing level of development in a municipal area. The IDP also identifies the key priorities as identified by the municipality. The vision and mission statements for long-term development flow from the above mentioned assessments, with a specific focus on critical developmental and internal transformation needs. The development objectives and strategies will be aimed at bridging the gap between the existing level of development and the vision and mission. (SALGA, 2001: 4-5.)

The IDP takes approximately 6-9 months to complete because of its participatory nature. The completion and timing of the IDP is also very closely related to the municipal budgeting cycle. It is important to remember that during this period of IDP completion, municipal development and delivery continues and does not grind to a standstill. It is mandatory that the IDP is reviewed annually and during this period of review amendments to the plan can be implemented, if necessary. (IDP guide pack 0, 2001: 9.) Figure 6 illustrates the IDP process with a simple graphic that will make the IDP structure more understandable.

Figure 6: The Integrated Development Plan

(Source: SALGA, 2001)



3.2.1 THE CORE COMPONENTS OF THE IDP PLANNING PROCESS

The IDP process is made up of core phases; these phases form the structure of the IDP framework. Each one of these phases will be assessed in the following part of this chapter. These core IDP phases include:

- **The Analysis Phase:** This phase of the IDP is an assessment of the existing levels of municipal development. This phase includes activities such as the identification of communities with no access to the basic services that are required. (IDP guide pack 0, 2001: 9.) The analysis phase serves as the identification of the current status quo in a municipal area, as well as the identification of the key priority issues.
- **Development of Strategies Phase:** The development strategies phase of the IDP process includes the following:
 - The vision of the municipality, including the internal transformation needs that have been identified.
 - The development priorities and objectives of the municipal council.
 - The development strategies of the municipal council. (IDP guide pack 0, 2001: 9.)

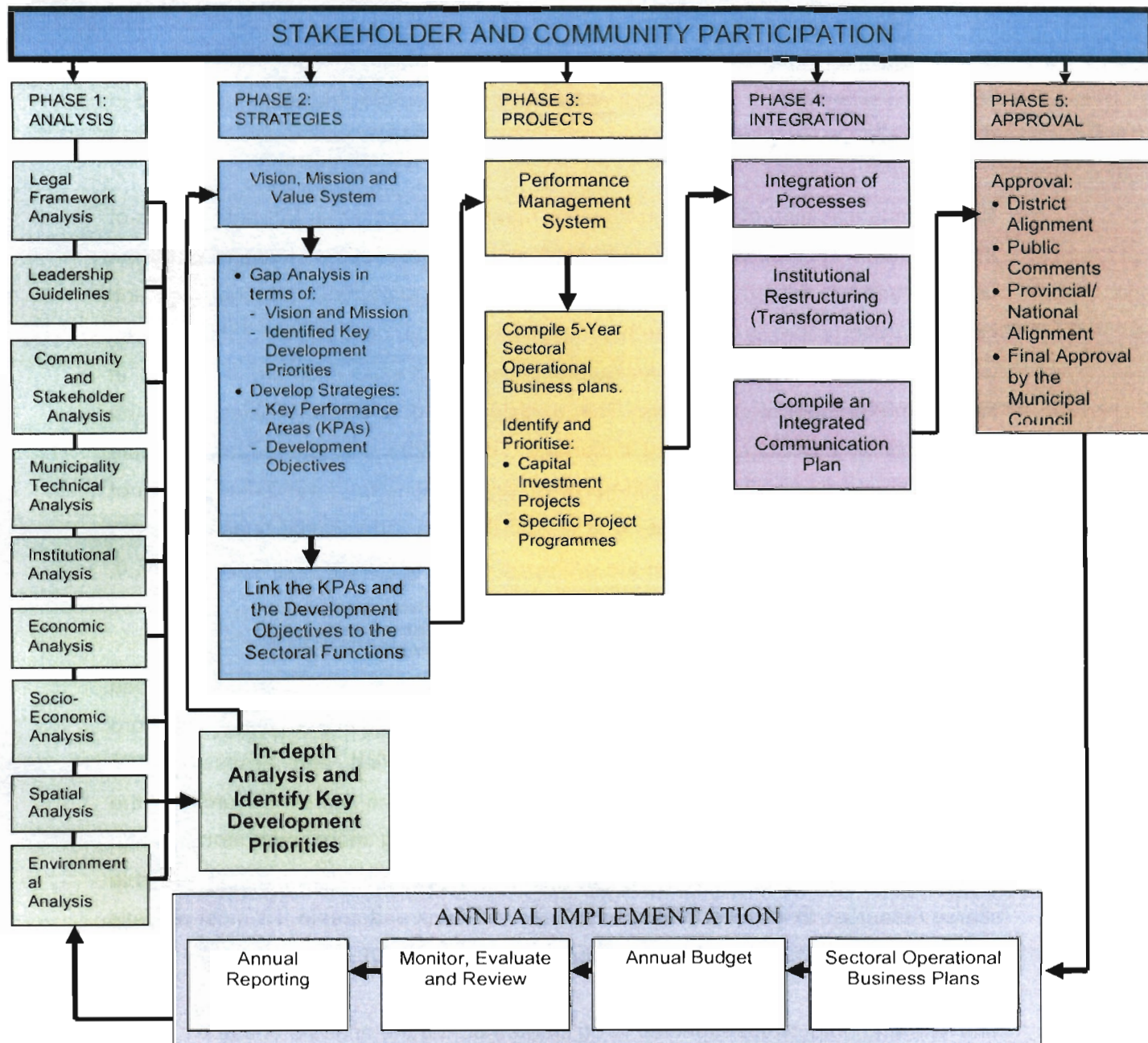
The development phase takes into account that which was put forward in the analysis phase and identifies the measures that have to be taken by the municipality to address these priority issues.

- **Projects Phase:** The project phase of the IDP process takes into account what was put forward in the analysis and strategies phases and develops projects that will provide form to the strategies that have been adopted.
- **Integration Phase:** The integration component of the IDP includes the following parts:
 - A spatial development framework.
 - A disaster management plan.
 - An integrated financial plan, both the capital and operational budget.
 - Other integrated programmes.
 - Key Performance Indicators and Indicated Performance Targets. (IDP guide pack 0, 2001: 9.)
- **Approval Phase:** The IDP is, in short, aimed at identifying the municipality's priority issues and problems. This in turn helps to determine the municipality's

vision, objectives and strategies, and helps with the creation of projects to help address the issues that have been identified. One of the key phases of the IDP is to establish a link between planning and the municipal budget. (IDP guide pack 0, 2001: 9.)

These phases all form part of the IDP Process. Figure 7 graphically illustrates the structure of these phases in relation to the IDP process.

Figure 7: The Integrated Development Planning Phases



(Source: SALGA, Integrated Development Planning: 2001)

3.2.1.1) PHASE 1: THE ANALYSIS PHASE

This phase is made up of a focused analysis of the types of problems that people in the municipal area have to deal with. This phase looks at the existing problems that are found in a specific municipal area. Problems occurring normally range from crime to unemployment, and a lack of basic service delivery. Problems that are identified are weighed according to their urgency levels and importance, to be addressed first. The problems are then ranked according to their status as priority issues. (IDP Guide Pack 0, 2001: 20.)

The analysis phase ensures that the IDP process identifies and targets the current status quo relevant to the municipal areas. This ensures that the issues identified in this phase are the priority issues experienced by the community.

With the identification of priority issues the municipality factors in the perceptions of the community on their problems and needs, but also assesses the facts and figures. In this phase it is important for the municipality to understand both the symptoms and causes for the problems that have been identified. This understanding of the problem will enable the municipality to make the correct and most informed decisions in finding the appropriate solutions. The participation of the stakeholders and the community at this stage is very important. The people that are affected should participate in the identification of the priority issues and also in the determination of the full extent of these problems. It is critical that the municipality does not make uninformed assumptions on what the problems are in the area. (IDP Guide Pack 0, 2001: 20.)

The municipality will not be able to address each and every problem that is identified due to limited available resources. With this fact in mind, it becomes even more important that the priority issues are correctly identified and assessed. The prioritisation process enables the municipality to allocate the scarce resources to the problems and issues that have been assessed as being more important or most urgent. The municipality must be aware of the available, existing and accessible scarce resources in its area to establish their limitations and create the most realistic solutions for the different issues. (IDP Guide Pack 0, 2001: 20.)

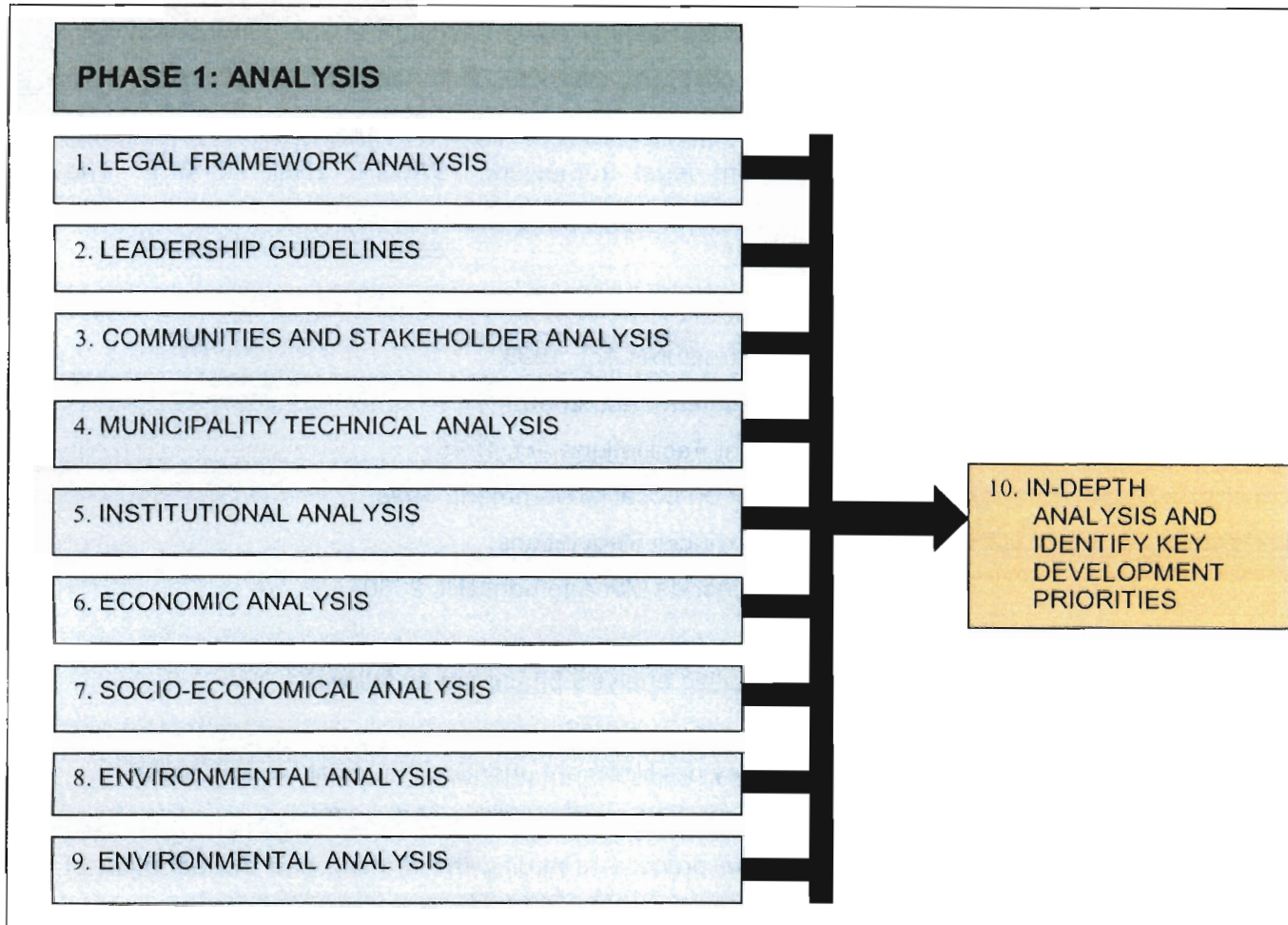
The following outputs are expected to be created during the analysis phase:

- Assessment of existing levels of development.

- The identification of the priority issues or problems.
- The information on the causes of these priority issues or problems.
- Information on the resources that is available to the municipality.

Figure 8 illustrates the analysis phase and the analysis processes that make up this phase.

Figure 8: The Analysis Phase Processes



(Source: SALGA, Integrated Development Planning: 2001)

- **Legal Framework Analysis:**

The constitution of South Africa indicates that each municipality is in control of its own planning and development processes. The mandate laid down by the Constitution that relates management, planning functions and budgeting to the intended objectives indicates the intended purpose of the Municipal IDP to:

- ❖ Ensure sustainable provisions of services.
- ❖ Promote social and economic development.
- ❖ Promote a safe and healthy environment.
- ❖ Give priority to the basic needs of communities.
- ❖ Encourage community involvement.

It is important to ensure that all the relevant legislation and policies that help to regulate the IDP process are analysed. This needs to be done to ensure that the process and the outputs address the principles that have been outlined in the relevant legal framework. (SALGA: 2001, 48-49.) The legislation that needs to be analysed is as follows:

- ❖ The Constitution.
- ❖ The Municipal Structures Act, 1998.
- ❖ The Municipal Systems Act, 2000.
- ❖ The Development Facilitations Act, 1995.
- ❖ The White Paper on Local Government, 1996.
- ❖ National and Provincial Regulations.
- ❖ The Municipal Finance Management Bill, 2000.

The required outputs for this analysis phase are as follows:

- ❖ To identify the key development priorities that must be addressed.
- ❖ To identify the roles and responsibilities of the different role players.
- ❖ To determine the process regarding the drafting and the adoption of the integrated development plan by the municipal council.
- ❖ To help identify the minimum prescribed plans, programmes and projects.
- ❖ To identify the prescribed time frame.

As indicated, this phase concentrates on the legal framework that is required by the IDP process and the analysis of the framework. The municipal manager, along with the IDP manager and various legal practitioners, will be responsible for this process. (SALGA: 2001, 48-49.)

- **Leadership Guidelines Analysis:**

This part of the analysis phase focuses on identifying the needed leadership guidelines to be taken and implemented in the IDP process. The IDP framework indicates that all the stakeholders in the municipal area must participate in the IDP process. It is, however, the responsibility of the council, along with the councillors, officials and identified staff, to ensure that the process is undertaken successfully. The municipality is the owner of the IDP and must thus take control and responsibility for the process. (SALGA: 2001, 50-1.)

In terms of the Structures Act, the executive mayor or the chairperson of the executive committee, or even the chairperson of the committee of appointed councillors, must take a strong leadership role in the IDP process.

- **Community and Stakeholder Analysis:**

The aim of this analysis is to ensure that the IDP process is people-driven. It is important for the IDP process to address the needs of the community and identify the key development priorities. (SALGA: 2001, 50-51.)

The analysis addresses the priority needs of the community and the methods of incorporating the community's own initiatives. The process will also make the community aware of the importance of the IDP process and the importance of the quality of their own lives. (IDP GUIDE PACK: 2001, 30.)

The analysis will summarise the stakeholders' and communities' identified development priorities. These key priorities will be differentiated by location, social categories and gender. (SALGA: 2001, 50-51.) The process will also summarise the stakeholders' own resources and initiatives. (IDP GUIDE PACK: 2001, 30.) The process must at least address the following aspects:

- Water
- Electricity
- Roads
- Storm water
- Sanitation
- HIV/AIDS
- Health

- Safety and security
- Solid waste
- Job creation
- Sport and social facilities

The process will focus on all the various needs and key development priorities that the community may experience. The community itself will provide the input and the analysis ensures that the needs of the people are correctly and effectively addressed.

- **Municipal Technical Development Analysis:**

This analysis is aimed at determining the status of development in the municipality. The analysis assesses the basic facts and figures that relate to the current situation that is experienced in the municipality. (SALGA: 2001, 52-53.)

This analysis helps to ensure that the IDP programmes and projects address the overarching issues that are relevant to the municipality and the sustainability of the municipality as a whole. This ensures that the IDP has a wider range and does not only focus on the community- and stakeholder-specific issues. (IDP GUIDE PACK: 2001, 32.)

The minimum requirement for this analysis is to identify the crucial trends, dynamics and related problems that have an effect on the entire municipal area and the municipal government as a whole. The analysis will also have to identify the available resources, competitive advantages and the initiatives that are available in the municipal area, as well as in the municipal government, to assist in addressing the identified problems. (IDP GUIDE PACK: 2001, 32.)

The following minimum requirements will also make up the Municipal Technical Development Analysis. (SALGA: 2001, 52-53.)

- ❖ A technical assessment of the backlogs in services and infrastructure that include:
 - Sanitation

- Water
 - Roads and storm water
 - Electricity
 - Solid waste
 - Health services
 - Safety and security
 - Housing
 - Job creation
 - Payment for services
 - Sports and social facilities
- ❖ Determining the Basic Demographic Figures of the area.
 - ❖ Analysing the available financial resources.
 - ❖ Determining the Institutional capacity.

The analysis is aimed at determining the current development status of the municipality and measuring the current standing thereof. This is important as it will assess where the municipality is currently situated and what needs to be done in terms of alleviating backlogs in the area. The analysis also assesses the capacity of the municipality to address these problems in analysing the resources that are available to the municipality.

- **Institutional Analysis**

The analysis helps to identify the strengths and weaknesses that are currently experienced in the institution's structure. This is important, as this needs to be taken into consideration when the relevant strategies, programmes and projects are developed and considered. The analysis also determines the current institutional problems that are experienced by the municipality. (SALGA: 2001, 52-53.)

The internal analysis of the institution is done by means of an investigation and assessment of the capabilities of the institution. The internal system and functions of the institution are investigated, as well as the resources that are available to the municipality. (SALGA: 2001, 52-53.) There are some minimum issues that need to be considered in this analysis and they are as follows:

- ❖ The current organisational structure.
- ❖ The communication structure in the institution.
- ❖ The finance structure of the institution.
- ❖ Marketing and public relations.
- ❖ The decision-making processes that are used in the institution.
- ❖ The general management structure.
- ❖ The institution's human resource structures.
- ❖ The equipment and materials.
- ❖ The policies, procedures and by-laws.
- ❖ The administration structure.
- ❖ The available investment capital.
- ❖ The complaint management system.
- ❖ IT and other systems.
- ❖ The performance management system.
- ❖ The available specialist skills.
- ❖ The industrial relations.
- ❖ The morale of the current staff.
- ❖ How powers are delegated and function.

The analysis thus assesses the institution's current capacity and how strong or weak it is. The analysis identifies the strengths and weaknesses of the institution and determines where improvements can be made.

- **Economic Analysis**

This analysis helps to ensure that the municipalities' development strategies and projects take the existing economic potentials and limitations of the area into account. (IDP GUIDE PACK: 2001, 32.)

The analysis ensures that the municipality takes into account all the economic opportunities and threats that are experienced in the municipal area. (SALGA: 2001, 52-53.)

The analysis must assess the following minimum requirements.

- ❖ The basic economic data of the area must be assessed.
- ❖ The major economic trends of the area must be assessed.
- ❖ All the major economic potentials of the area must be identified.

- ❖ All of the major constraints that are experienced in the area that affect economic development.

- **Socio-Economic Analysis**

This analysis will assess and ensure that the municipality programmes and strategies take into account the disadvantages and needs of the disadvantaged and marginalised population groups. This is needed to effectively deal with poverty and gender equity. (SALGA: 2001, 54-55.)

This analysis must produce the following minimum requirements (IDP GUIDE PACK: 2001, 32):

- ❖ Provide data that is a compilation of the existing information. The data must be differentiated by socio-economic categories and by the gender age groups. This must be done as far as the available data allows.
- ❖ The needs of the residents, community and relevant stakeholders must be differentiated by social categories and by gender.

The analysis must also take into account the following factors (SALGA: 2001, 54-55):

- ❖ The available gender statistics of the area.
- ❖ The available age statistics of the area.
- ❖ The percentage of population in the area that is economically active.
- ❖ The available statistics that indicate the income distribution in the area.
- ❖ The percentage of the population that is indigent.
- ❖ The per capita income of the area.
- ❖ The relevant HIV/AIDS statistics for the area.
- ❖ Determine the linkages between HIV/AIDS and poverty.
- ❖ Determine the correlation that exists between gender and HIV/AIDS.

- **Spatial Analysis**

The analysis will ensure that the municipality's spatial strategies and land use management decisions are based on the following factors (SALGA: 2001, 54-55):

- ❖ An awareness of the spatial constraints, problems, opportunities, trends and patterns in the Municipal area.
- ❖ The needs and necessity for spatial restructuring.
- ❖ The need for land reform.
- ❖ The spatial dimensions of development issues.

It is important to gather all the mapped information that is available for the municipal area. The information must then be used to create a base map with accompanying overlays to ensure that all the information for the area can be compared and assessed. The following information maps must be created (SALGA: 2001, 54-55):

- ❖ The base map.
- ❖ A demographic trends map.
- ❖ An infrastructure opportunities and constraints map.
- ❖ A map indicating the physical environment.
- ❖ A map indicating the economic activities of the area.
- ❖ A map showing the social recreational and administrative facilities in the area.
- ❖ A map that shows the growth and development trends in the area.
- ❖ And the spatial development framework must be created.

This analysis will help visually, by means of maps, to indicate the spatial characteristics of the Municipal area. This will ensure that the spatial factors of the area will be taken into consideration and assessed in relation to the IDP process.

- **Environmental Analysis**

The analysis will ensure that the strategies of the municipality take into consideration the environmental opportunities and threats that are currently experienced in the municipal area. The analysis will also identify the environmental assets that are present in the area and then determine how to protect these valuable assets or if they require controlled management. (SALGA: 2001, 58-59)

The analysis must produce a map that indicates the top environmental problems in the area, along with a short description of these problems. The analysis must also create a map that indicates the environmental risks and threats that are currently experienced in the municipal area. (IDP GUIDE PACK: 2001, 34.)

The following factors must be taken into consideration when the environmental analysis is done (SALGA: 2001, 58-59):

- ❖ There needs to be a description of the climate of the area.
- ❖ The topography needs to be determined.
- ❖ The geology of the area needs to be determined.
- ❖ A discussion in relation to surface water needs to be held.
- ❖ Ground water needs to be assessed.
- ❖ The quality of the water in the area must be determined.
- ❖ The exact extent of the noise pollution in the area must be determined.
- ❖ The quality of the air in the area must be determined.
- ❖ The prevailing soils and land structures of the area must be taken into account.
- ❖ The flora and fauna of the area must be taken into account.
- ❖ The cultural and historical sites in the area must be taken into account.
- ❖ The possible natural disasters and risks must be taken into account.
- ❖ The levels of water pollution must be taken into account.

The analysis thus takes into account and assesses the current environmental aspects of the area and helps to ensure that the strategies and programmes that the municipality creates take these very important environmental aspects into consideration.

- **An in-depth analysis and identification of the key development priorities.**

The in-depth analysis and identification of the key development priorities will ensure that the strategies, projects and programmes of the municipality are based on a thorough knowledge of all the relevant and key development priorities that have been identified through the use of different studies, the legal requirements and the relevant leadership guidelines.

These processes make up the analysis phase of the IDP and it is clear that each one is aimed at analysing an important part of the process and creating a clear understanding of the current situation that the municipality faces. The analysis phase determines where the municipality currently finds itself and assesses the true circumstances that are experienced in the area. This ensures that all the important aspects of the municipal area are taken into consideration and indicates where the municipality is lacking and where attention is required.

3.2.1.2) PHASE 2: THE STRATEGIES PHASE

When the municipality has identified the problems or issues affecting the community in their area, along with the causes of these problems, the municipality must then formulate the solutions to help address the problems. (IDP Guide Pack 0, 2001: 20.)

After the analysis phase is completed and the municipality has been analysed to determine all the key development priorities, the strategy formulation phase commences. The strategy phase poses an important managerial issue of precisely how the identified priorities will be achieved in relation to the situation, needs and prospects of the municipality. The formulation of strategies can be seen as the game plan or map that is created to assist the municipality to move from its current situation to where it intends and wants to be. (SALGA: 2001, 61.)

The strategy phase includes the formulation of the following:

- **THE MUNICIPALITY'S VISION**

The vision should, in essence, express the essential purpose that the municipality has identified in one precise and concise sentence. It is important that when the municipality has made its statement it does not change, even if the external and internal environmental factors that impact on the municipality change. The only time a statement may change is when there is a major development that changes the Municipality's existence. (SALGA: 2001, 61.)

The creation of a vision provides the needed direction for the strategies, objectives and implementation plans that the municipality has formulated. It is therefore important that the staff working in the municipality are able to identify with the vision.

The vision, in essence, is an indication to the community of what they can expect from the municipality. This in turn provides the community with a tool to measure the performance of the municipality. (SALGA: 2001, 61.)

As an example, Midvaal Local Municipality formulated the following vision for the municipality in its 2008-2009 IDP:

“The Midvaal Municipal area, as the southern growth point of Gauteng, will be a renowned centre for residential settlement, tourism, agriculture, business, industry and commerce. We strive to enhance and sustain the quality of life in our urban and rural areas.”

- **THE MUNICIPALITY’S MISSION**

The mission statement of the municipality will indicate what the municipality does as opposed to where it wants to be, as indicated in the stated vision, and what it views as important, as indicated in its value system. The creation of a mission statement that indicates what precisely the municipality must undertake will assist the it in creating a focal point on which it can focus, and ensure that it concentrates on its core business objectives. One of the major causes of organisational incompetence is when the organisation strays from the core fundamental purpose for which it has been established. (SALGA: 2001, 62.)

The vision of the municipality sets the direction that is guided by values. These values indicate the rightness of the direction the organisation has taken. The mission then comes in and clarifies that what the municipality does as an organisation is in line with this identified direction that has been taken, and the values that have been set in place. (SALGA: 2001, 61.)

- **THE VALUE SYSTEM**

The values that are set out in an organisation indicate the kind of relationship between people in that organisation, as well as the type of relationship it has with its customers. In creating the value system of an organisation it is important to describe the business practices that are implemented in that organisation, as well as the values that are placed on certain principles within the organisation. (SALGA: 2001, 63.)

Values in reality are beliefs, commitments and principles that help to guide the everyday decision-making process, whether this is done on a conscious or

subconscious manner. Values are what organisations and individuals believe are truly important. (SALGA: 2001, 63.)

The creation of a value framework forms the heart of the decision-making process. In defining what principles are important for the organisation, in every aspect of the business it conducts, enables the organisation to immediately identify important decisions and obvious choices it can make. If the organisation has a sound and firm set of values that have been clearly communicated, it will enable its employees to make decisions that are sound and in line with the beliefs of the organisation. (SALGA: 2001, 63.)

The next part of the strategies phase is made up out of two processes. The first process looks at the use of GAP analysis and strategic identification in the municipal environment, and the second process aims to link the Key Performance Areas (KPA's) and the development objectives to the sectoral departments.

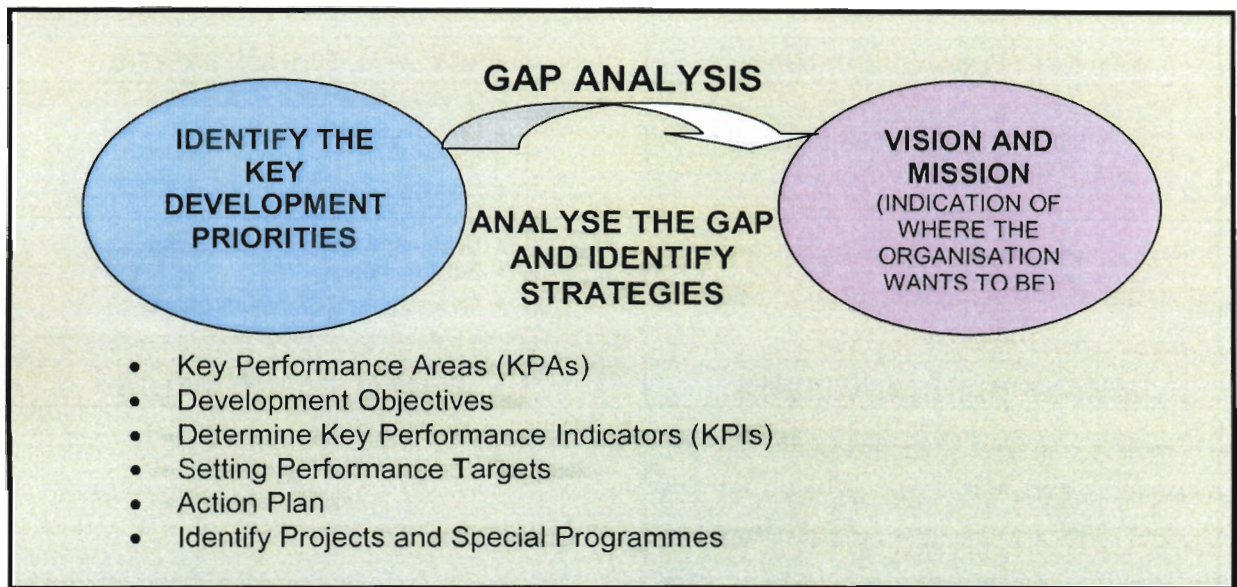
- **GAP ANALYSIS AND IDENTIFIED STRATEGIES**

The use of GAP analysis is aimed at identifying the "gap" that exists between the current development and provision of services reality and where the municipality would like to be in terms of their vision and mission. After the gap has been identified the next part would be to identify relevant strategies to bridge the gap. (SALGA: 2001, 65.) This process entails the following steps:

- ❖ Firstly, the Key Performance Areas (KPA's) are identified. The KPA's are those areas where the municipality has to excel in order for it to accomplish its identified vision and mission. The KPA's are the broad areas of focus for the municipality.
- ❖ The second step will be to formulate the development objectives in terms of the key development priorities. The development objective will also be linked to the identified KPA's.

Figure 9 illustrates the GAP analysis and strategies formulation process.

FIGURE 9: The GAP Analysis and Strategies Formulation Process.

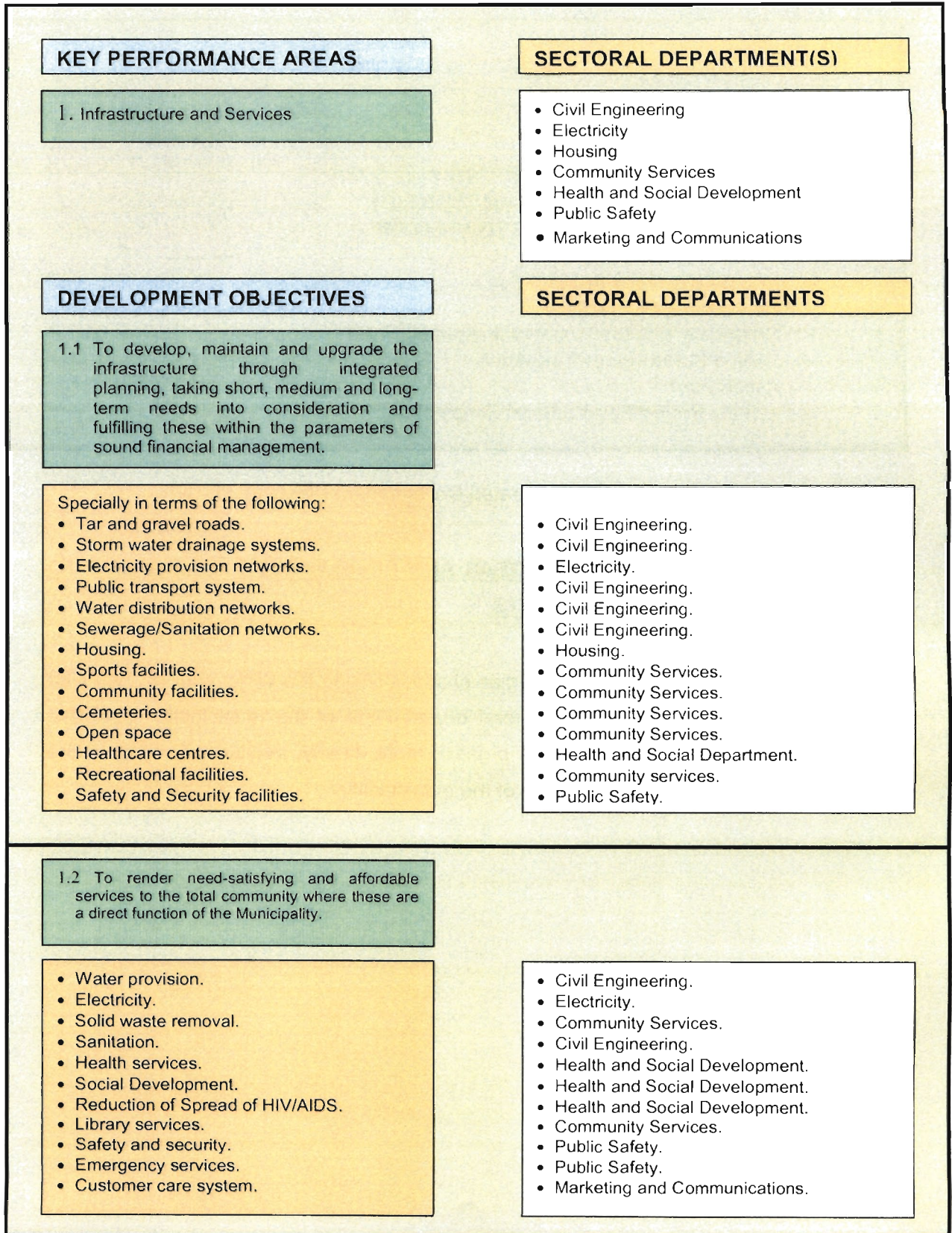


(Source: SALGA, Integrated Development Planning: 2001)

- **LINK KEY PERFORMANCE AREAS AND DEVELOPMENT OBJECTIVES TO THE SECTORAL DEPARTMENTS.**

The next important part of the strategies phase is linking the KPAs and the identified development objectives to the sectoral departments of the municipality. (SALGA: 2001, 67.) Figure 10 illustrates this process more clearly, making reference to the infrastructure and services provision of the municipality.

FIGURE 10: The Linkage Process (the case of infrastructure and services)



(Source: SALGA, Integrated Development Planning: 2001)

The strategies phase aims at establishing the vision, mission and value system for the municipality. The phase looks at where the municipality currently finds itself and what its current situation is and then determining where the municipality wants to be and what it must do to reach its goals. Next, Phase 3, the projects phase, will be discussed.

3.2.1.3) PHASE 3, THE PROJECTS PHASE

This phase aims at the design and specifications that are needed for the project implementation process. The municipality must ensure that the identified projects have a direct link to the priority issues and the identified developmental objectives identified in the previous phase. The municipality must also have clarity on the following key aspects:

- Intended target groups.
- Project location.
- The commencement of the project.
- Who will have the management responsibilities.
- The cost involved.
- The source of the needed funding.
- Formulation targets and Indications to measure the performance and impact of the project.

The design of a project requires the input from a specialist to work with project formulation teams. The stakeholders and communities that are affected by a project participate in this phase and provide inputs that are related to the design of the project.

The core part of the project and programme approach is the creation of high performance integrated teams. These teams operate in a co-ordinated manner across functional boundaries that exist in the organisation. The municipality's capacity can be enhanced with the use of specialist-outsourced teams. (SALGA: 2001, 68.)

The performance and action of these project teams are co-ordinated by a project manager. The project manager keeps a continuous focus on the needs of the

organisation. The project manager also ensures that the project targets and deliverables are aligned and stay aligned to the strategic objectives of the municipality. The project manager also has the task of aligning the project outcomes to the strategic intent of the municipality. (SALGA: 2001, 68.)

One form of management that plays an important part in the project phase is performance management. Performance management is basically an approach through which the performance objectives of a municipality are identified, defined and translated into concise plans. Performance management enables regular planning, monitoring, evaluating, and reviewing of the municipality's performance at an organisational and individual level to take place.

- **PERFORMANCE MANAGEMENT**

The use of performance management can be seen as a strategic approach to management. This approach equips leaders and managers at different levels of the process with tools and techniques. This enables them to regularly plan, continuously monitor, periodically measure and review the performance of the organisation. The performance of the organisation is measured in terms of indicators and targets that are set according to efficiency, effectiveness and their impact within the organisation. (SALGA: 2001, 69.)

The question can be asked: Why use performance management in the process or organisation? In this regard, the white paper on local government (1998) outlines the vision for a new developmental local government system. The white paper sets out that there are certain tools needed to establish developmental local government. These tools include Integrated Development Planning, Performance Management and the participation of local citizens and partners. Performance management is thus indicated to be a necessity to realise developmental local governments. (SALGA: 2001, 69.)

The use of performance management will enable the managers of the IDP to monitor the process and ensure that the process is running at its most optimal level. Performance management will be defined in greater detail later on in the study and will form the core part of this dissertation's empirical study.

3.2.1.4) PHASE 4: THE INTEGRATION PHASE

The municipality must ensure that when the projects are identified they must be in line with the objectives and strategies of the municipality. The project must also be in line with the resource framework, and comply with the relevant legal requirements. The integration phase creates an opportunity for the municipality to harmonise the project in terms of content, timing and location, in order to arrive at the consolidated and integrated programme. (IDP Guide Pack 0: 2001, 21.)

It is the duty of the IDP steering committee and IDP representative forum to ensure that total integration has been achieved in the IDP process. (SALGA: 2001, 95.)

Integration should be determined according to the following elements:

- ❖ All the identified projects and sectoral operational business plans comply with the municipality's identified strategies, the resource framework and relevant legislation.
- ❖ That the identified projects and the sectoral operational business plans align with the National and Provincial sector department's plans and programmes. This will secure the funded mandates that are needed from the Provincial and National departments.
- ❖ To ensure that all the relevant stakeholders involved in the multi-disciplinary projects, such as poverty alleviation, gender equity, local economic development and other projects, are fully involved.
- ❖ Integration should also ensure that The IDP is reflected in the 5-year financial plan, the 5-year capital investment plan, institutional restructuring and the integrated communication plan.

The integration phase aims at creating the following outputs:

- A five-year financial plan.
- A five-year capital investment programme.
- An integrated spatial development framework.
- Integrated sectoral programmes such as local economic development, poverty alleviation and gender equity.
- Consolidated monitoring/performance management systems.
- A disaster management plan.

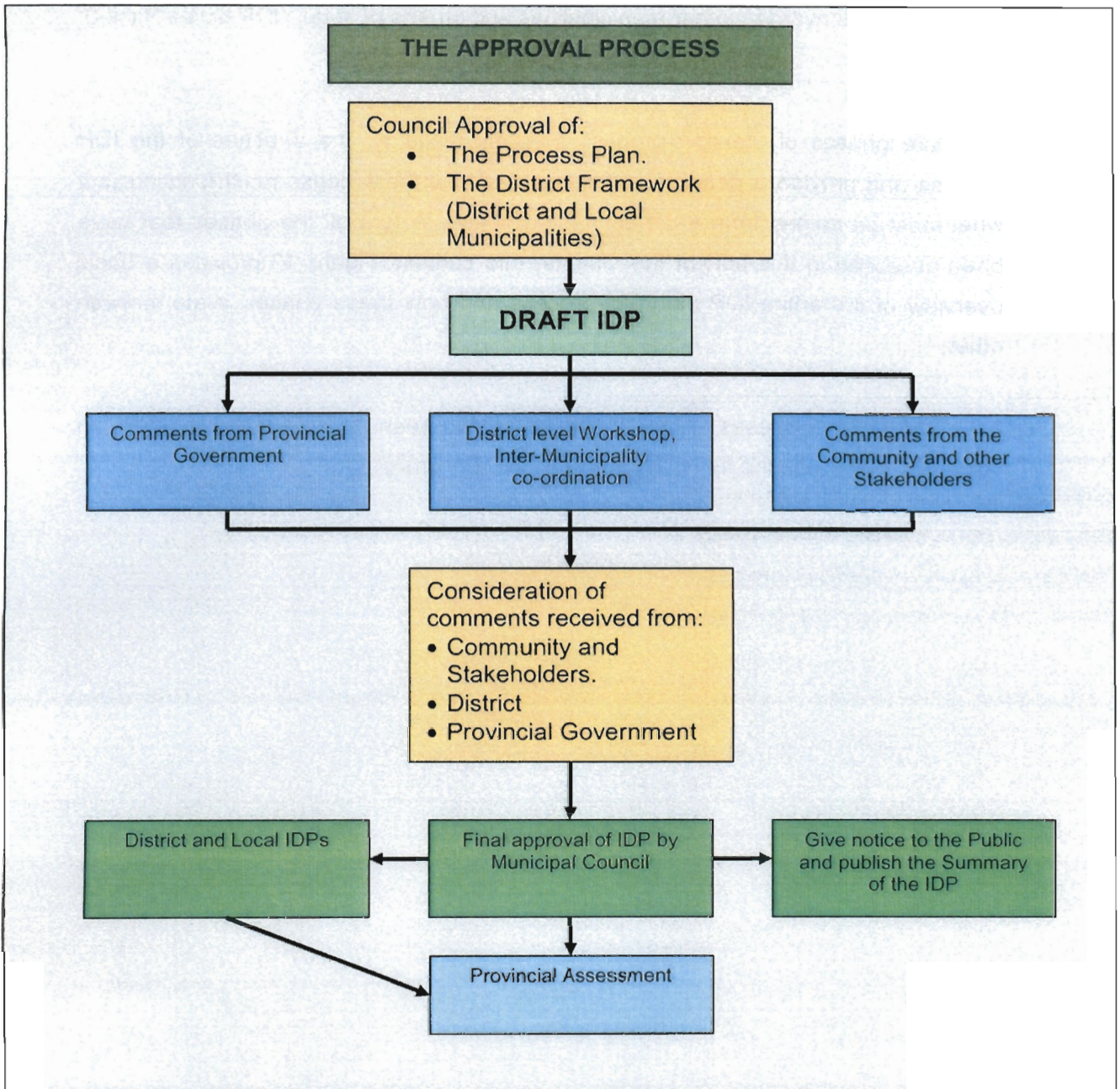
- An institutional plan.
- Reference to sector plans.

3.2.1.5) PHASE 5, THE APPROVAL PHASE

On completion of the IDP it has to be submitted to the municipal council for its consideration and approval. The council will assess the IDP and establish if the IDP identifies the issues/problems that affect the municipal area and establish the extent to which the formulated strategies and projects will contribute to addressing the issues/problems. The council must ensure that the IDP is in line with the set out legal requirements before it is approved. The public must have an opportunity to comment on the IDP draft before it is approved. When the IDP is amended according to the feedback from the public, the council will consider the IDP for approval. (IDP Guide Pack 0: 2001, 22.)

The municipality should do everything in its power to ensure that there is support for the implementation of the IDP. The support needs to be provided by all the stakeholders that are involved in the process, or will be affected by the IDP. (SALGA: 2001, 95.) Figure 11 illustrates the approval process of the IDP.

Figure 11: The IDP Approval Process



(Source: SALGA, Integrated Development Planning: 2001)

The approval phase aims at creating the following key output:

- An approved IDP for the municipality.

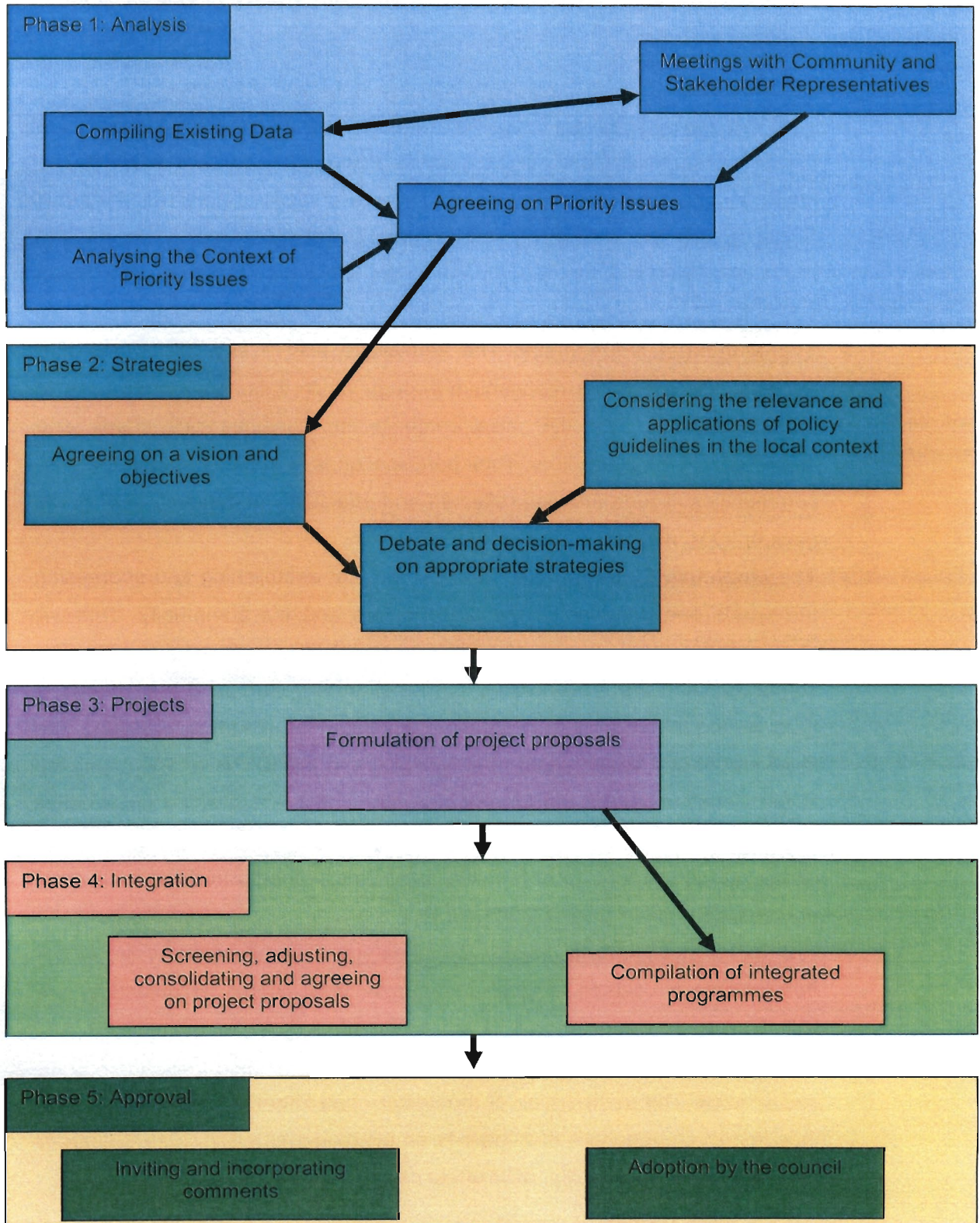
When the municipality adopts the IDP it must, within a period of 10 days, submit a copy of the IDP along with the Process plan and Framework for the IDP to the MEC of the province for his assessment. The MEC is not required to approve the IDP, according to the Municipal Systems Act, but to merely assess whether the IDP

complies with the requirements of the Act and does not conflict with IDPs and strategies put forward by other municipalities and organs of state. (IDP Guide Pack 0: 2001, 22.)

The core phases of the IDP process certainly make up the structure of the IDP process and provide a detailed assessment of how the process must function and what must be gained from each completed phase. To put all the phases that have been assessed in this part of the Chapter into context, Figure 12 provides a basic overview of the entire IDP planning process and how these phases relate to each other.

Now that the core phases of the IDP process have been assessed, the chapter can continue and assess the key participants in the IDP process.

Figure 12: Overview of the IDP Planning Process.



(Source: IDP Guide Pack 0, 2000)

3.3) THE KEY PARTICIPANTS IN THE IDP PROCESS

The IDP process is participatory in nature and thus requires input from various role players. The following key role players are included in the IDP process:

- **The Municipal Officials:** Integrated development planning does not form a function only of the Planning Department of the municipality. The IDP is the management tool of the municipality and guides all the departments' functions; this also includes the treasury and human resources. This leads to the involvement of all the departments in the IDP process. (IDP guide pack 0: 2001, 12.))
- **The Municipal Councillors:** The councillors play a key role in the IDP process. The IDP is the mechanism through which these councillors have to make decisions. The IDP also contains the constituency's needs and aspirations of the councillors. Their participation is needed to ensure that their communities' issues are well reflected and effectively addressed. (IDP guide pack 0: 2001, 12.))
- **The Municipal Stakeholders:** The IDP aims at establishing and addressing the needs and priorities of the stakeholders and the community. This will contribute to an improvement in the quality of life for the community. The community and the stakeholders' participation in determining their needs is thus at the heart of the integration development planning process. The involvement and commitment of stakeholders in the IDP is clearly stipulated in the Constitution and the Municipal Systems Act, establishing an effective participatory process for the municipality. The participation of previously disadvantaged groups is one of the important elements in the participatory process. (IDP guide pack 0: 2001, 12.))
- **Provincial and National Sector Departments:** The allocation of the sector departments' resources at local government level should be guided by the IDP. The municipality should at the same time consider the policies and programmes of the sector departments when developing their own strategies and policies. The participation of the sector department in the IDP process is thus important to ensure that there is an alignment between its programmes and that of the municipality. (IDP guide pack 0: 2001, 12.))

3.4) THE ROLES AND RESPONSIBILITIES OF THE DIFFERENT SPHERES OF GOVERNMENT IN THE IDP PROCESS.

The municipalities carry the responsibility to create, adopt and prepare the IDP, but the IDP is an inter-governmental system of planning and requires the involvement of all three spheres of government. In the preparation and implementation of the IDP, the Provincial and National government must make contributions to assist the IDP in municipalities. (IDP guide pack 0, 2001: 13.) Table 1 lists the different roles and responsibilities of the three spheres of government in the IDP process.

Table 1: Roles and Responsibilities of the Spheres of Government

(Source: IDP Guide Pack 0: 2001)

| SPHERE OF GOVERNMENT | ROLES AND RESPONSIBILITIES |
|---|---|
| LOCAL: (a) Local Municipality | <ul style="list-style-type: none"> • Prepare an IDP • Adopt an IDP |
| (b) District Municipality | <ul style="list-style-type: none"> • Prepare an IDP • Adopt an IDP • Provide support to poorly capacitated local municipalities • Facilitate the compilation of a framework which will ensure coordination and alignment between local municipalities and the district |
| (c) Metros | <ul style="list-style-type: none"> • Prepare an IDP • Adopt an IDP |
| PROVINCIAL (a) Department of Local Government | <p>To:</p> <ul style="list-style-type: none"> • Coordinate training • Provide financial support • Provide general IDP guidance • Monitor the process in the province • Facilitate coordination and the alignment between district municipalities • Facilitate resolution of disputes between municipalities • Facilitate alignment of IDPs with sector department's policies and programmes • Assess IDPs |
| (b) Sector Departments | <ul style="list-style-type: none"> • Provide relevant information on sector department's policies, programmes and budgets • Contribute sector expertise and technical knowledge to the formulation of municipal policies and strategies • Be guided by municipal IDPs in the allocation of resources at the local level |

| | |
|--|--|
| <p>NATIONAL (a) Department of Provincial and Local Government</p> | <p>To:</p> <ul style="list-style-type: none"> • Issue legislation and policy in support of IDPs • Issue Integrated Development Planning Guidelines • Provide Financial assistance • Provide a national training framework • Establish a Planning and implementation management support system |
| <p>(b) Sector Departments</p> | <ul style="list-style-type: none"> • Provide relevant information on sector department's policies, programmes and budgets • Contribute sector expertise and technical knowledge to the formulation of municipal policies and strategies • Be guided by municipal IDPs in the allocation of resources at the local level |

From the table it becomes clear what the different roles of the different spheres of government are in relation to the management of the IDP process. Local government is responsible for the creation and adoption of the IDP, while Provincial Government and National Government must provide the necessary support for the process.

3.5) THE BASIC STRUCTURE OF AN IDP.

The format and content of each municipality's IDP, with the exception of the content prescribed in the Municipal Systems Act, is largely left to the discretion of the municipality. There is no prescribed list of content for an IDP. (IDP Guide Pack 0, 2001: 22.) The following examples will illustrate the basic structure of an IDP.

PROPOSED LIST OF CONTENTS

1. The Planning Process

- 1.1 Institutional arrangements/roles and responsibilities
- 1.2 Process overview: Steps and events
- 1.3 Self-Assessment of the Planning Process

2. The Situation

- 2.1 Current Reality: Basic facts and figures
- 2.2 Summary of community and stakeholder Priority Issues
- 2.3 Priority Issues from the Municipal Perspective
- 2.4 Spatial Analysis: Patterns and trends
- 2.5 Social Analysis: Poverty situation and gender-specific issues
- 2.6 Economic Analysis: Major patterns and trends
- 2.7 Environmental Analysis: Major risk and trends
- 2.8 Institutional Analysis: Strengths and weaknesses of the municipal administration
- 2.9 Priority Issues in Context: Summary reports on in-depth analysis

3. Development Strategies

- 3.1 The municipal vision
- 3.2 Localised Strategy Guidelines
- 3.3 Objectives and Strategies for each Priority Issue: Objectives, available resources, and alternatives taken into consideration, assessment and proposed strategy.
- 3.4 Financial Strategy
- 3.5 Summary list of identified project

4. Projects 1 page project format per project

5. Operational Strategies

- 5.1 Operational 5-year Action Plan
- 5.2 5-year Financial Plan
- 5.3 Capital Investment Programme
- 5.4 Integrates Spatial Development Framework
- 5.5 Integrated social development
- 5.6 Integrated economic development
- 5.7 Integrated environmental programmes
- 5.8 Integrated institutional programmes
- 5.9 Disaster Management Plan
- 5.10 Monitoring and information flow system

(Source: IDP Guide Pack 0: 2001)

PROPOSED IDP TABLE OF CONTENTS: SECOND EXAMPLE

1. Introduction
2. Preparation Process
 - Process Plan
 - District Framework
3. Vision, Mission and Values
4. Existing Development Analysis
 - Legal Framework Analysis
 - Leadership Guidelines
 - Technical Analysis (Basic Facts, Figures and Key Development Priorities)
 - Summary of Community and Stakeholder Analysis (Key Development Priorities)
 - Institutional Analysis (Strengths and Weaknesses)
 - Economic Analysis (Patterns, Trends, Opportunities and Threats)
 - Socio Economic Analysis (Poverty Situations, Gender Issues, Opportunities and Threats)
 - Spatial Analysis (Patterns, Trends, Opportunities and Threats)
 - Environmental Analysis (Trends, Potential Disasters, Opportunities and Threats)
 - In-depth Analysis and Identify Key Development Priorities
5. Development Strategies
 - Key Performance Areas
 - Development Objectives
 - Summarised List of Specific Identified Development Priorities
6. Capital Projects, Project proposals (one page each) linked to performance management details
7. Institutional Organogram
 - 7.1 Committee Systems, Community Participation, Decision-making process. (All on diagrams.)
 - 7.2 List of By-Laws
8. Performance Management Systems including a list of Performance-Based Contracts
9. Sectoral (departments) Five-Year Operational Business Plans
10. Specific Programmes:
 - Communication Plan
 - Financial Plan (Including Capital)
 - Spatial Development Framework
 - Disaster Management Plan
 - Maintenance Plan
11. Annual Implementation Plan
 - Monitoring and Evaluation
 - Reporting
12. Annexure
 - 12.1 Maps
 - 12.2 Statistics
 - 12.3 Other relevant documents

(Source: SALGA, Integrated Development planning: 2001)

3.6) THE NECESSITY TO CREATE IDPs

As stated in previous parts of this chapter, the Municipal Systems Act has made the IDP a legal requirement in municipal structures. The fact that the IDP is a legal requirement is not the only reason why the municipalities must prepare them. The new Constitution of South Africa has assigned municipalities major developmental responsibilities; these responsibilities include the assurance that the quality of life for its citizens is improved. (IDP guide pack 0, 2001: 10.) The new role and responsibilities for local government include the following:

- The provision of basic services.
- The creation of job opportunities.
- Promoting democracy and accountability.
- The eradication of poverty.

The IDP therefore helps the municipality in effectively and successfully fulfilling its developmental responsibilities. The IDP ensures that the municipality is informed at all times about the problems affecting its municipal area. The IDP also provides information in regards to available resources, helping to establish the required development, and implementing the appropriate strategies and projects to address the problems identified. (IDP guide pack 0, 2001: 10.) Municipalities need to use IDPs for the following reasons:

- The IDP helps in using scarce resources in a more effective manner by:
 - Focusing on the prioritised and identified local needs with the consideration of the local resources.
 - Searching for the most cost-effective solutions available.
 - Addressing the causes, rather than just the allocation of the capital expenditure for dealing with the known symptoms.
- The IDP helps with speeding up the delivery of local government by:
 - Acting as an effective tool to guide the allocation of investment and where it should occur.
 - Helping to get the buy-in of the important role-players in implementation.
 - Providing deadlock-breaking decision mechanisms.
 - Arriving at realistic project proposals by considering the limited allocated resources.

- The IDP helps to attract the additional funds that are required:
 - Where a clear municipal development plan exists.
 - Where private investors and the sector department are willing and have confidence in investing their money, because the IDP acts as an indication that the municipality has a development direction.
- The IDP helps to strengthen the democracy and institutional transformation. This is possible because decisions are made in a democratic and transparent manner, rather than by a few influential individuals.
- The IDP helps to overcome the previous apartheid legacy at local levels by:
 - Promoting the integration of rural and urban areas, along with different socio-economic groups, the places where people live and work and other aspects that need to be integrated.
 - Helping to facilitate the redistribution of resources in a consultative process.
- The IDP helps to promote intergovernmental coordination by:
 - Creating a system of coordination and good communication between the national, provincial and national spheres of government in the country.

The Integrated Development Planning process also enables Municipalities to:

- Assess the current situation in the municipal area. The available resources, skills and relevant capacities of the municipal area are assessed.
- The municipality is able to assess the needs of the community.
- These needs are then prioritised in order of importance and urgency.
- Goals are then set to meet these identified needs.
- Strategies are then devised to help achieve these goals within a certain timeframe.
- Projects and programmes are then developed and implemented to achieve the key identified objectives.
- Targets are set so that performance throughout the process can be monitored.
- The budget must be compiled effectively with the availability of limited resources.