

## PHASE 4: INTEGRATION

### Introduction

- 4/1 Screening of Draft Project Proposals
- 4/2 Integrating Projects and Programmes
- 4/3 Integrated Sector Programmes
- 4/3a Water Services Development Plans (WSPD)
- 4/3b Integrated Transport Plans (ITP)
- 4/3c Integrated Waste Management Plans (IWPM)
- 4/4 5 year Financial Plan for Municipalities
- 4/5 5 year Capital Investment Programme
- 4/6 5 year Action Programme
- 4/7 Integrated Monitoring and Performance Management System
- 4/8 Spatial Development Framework
- 4/9 Integrated Poverty Reduction and Gender Equity Programme
- 4/10 Integrated Environmental Programme
- 4/11 Integrated LED Programme
- 4/12 Integrated Institutional Programme
- 4/13 Integrated HIV/AIDS Programme
- 4/14 Disaster Management Plan

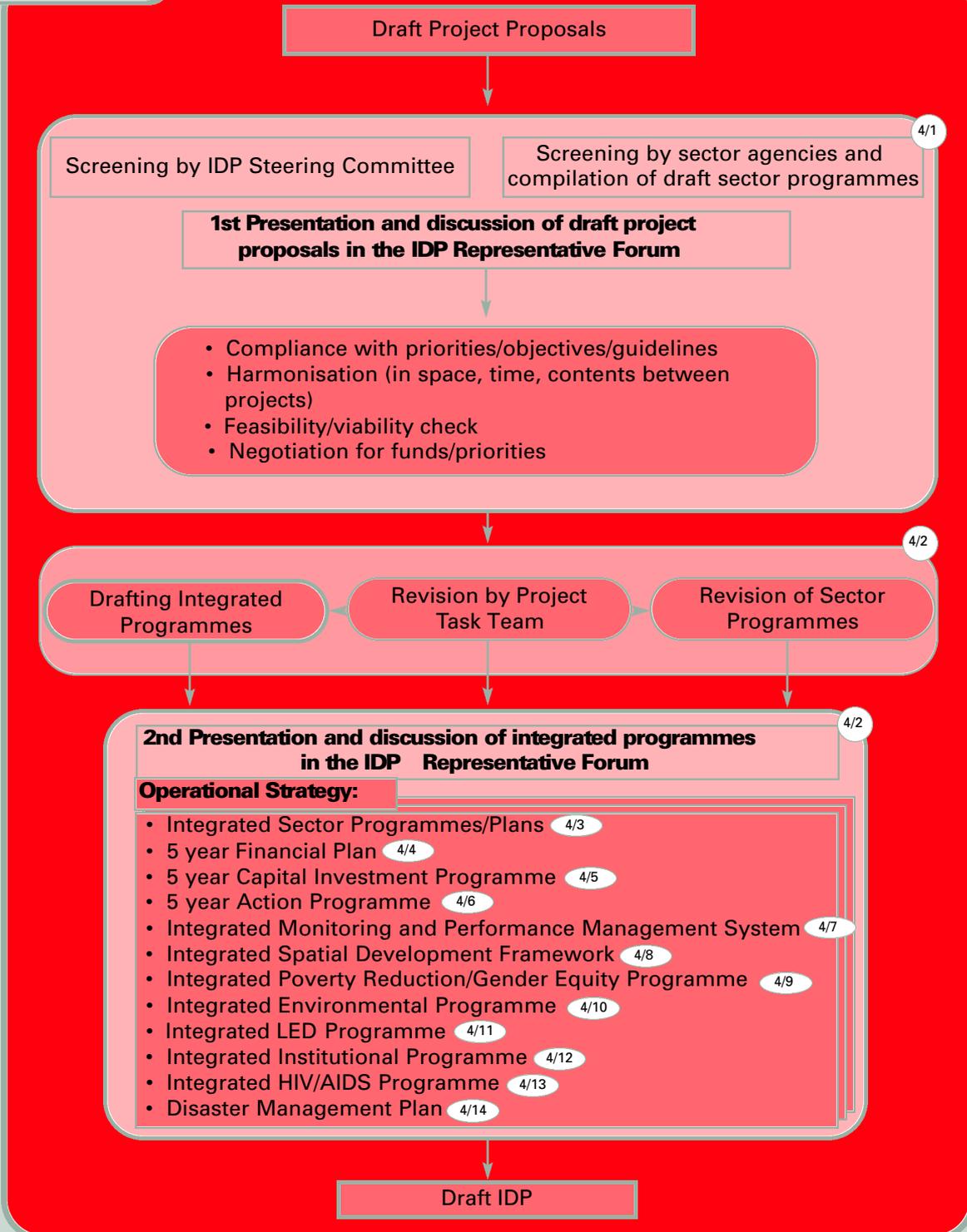
**OUTPUTS**

**Operational Strategy** including:

- Revised Project Proposals
- Sectoral Programmes
- Financial/Capital Investment Plan
- Integrated Spatial Development Framework

- Integrated programmes related to cross-cutting dimensions
- Integrated Institutional Programme
- Monitoring and Performance Management System (with Indicators)
- Disaster Management Plan

**PROCESS**



## INTRODUCTION

*Many projects –*

*One integrated plan*

*One sector programme per sector agency*

*Ensuring a close planning – budgeting link ...*

*... a close planning – implementation link ...*

*Setting the ground for regular management information*

*... and a close IDP – land use management link*

*Checking consistency with policy guidelines*

In Phase 4, the municipality has to make sure that the project proposals are in line with the objectives and the agreed strategies, with the resource frames (financial and institutional) and with legal requirements. Moreover, the individual project proposals may have to be harmonised in terms of contents, location and timing in order to arrive at **consolidated and integrated programmes** for the municipalities and for the sector agencies or corporate service providers involved in provision of services within a municipality. This phase is crucial for arriving at an *Integrated Development Plan*.

The **major result** of Phase 4 is (according to the Municipal Systems Act) an **operational strategy** which should include:

- (a) **Revised project proposals** which serve as planning documents for project implementation or for further feasibility studies.
- (b) Consolidated **sectoral programmes** or sector plans for each sector agency which are to be compiled from IDP sector-specific projects, from sector components of multi-sectoral IDP projects and from other non-IDP related sectoral activities. They form the basis for sectoral business plans and budgets (**Planning Activity 4/3**).
- (c) One **5-year financial plan** for the municipality which serves as a mid-term financial framework for managing municipal revenue collection and for expenditure planning. It includes capital and recurrent expenditure and serves as a crucial document for ensuring a close planning – budgeting link (**Planning Activity 4/4**).
- (d) A **5-year capital investment programme** which includes public investments from all funding sources. It helps to coordinate public investments from different sources in terms of location and time and provides some orientation for (potential) funding agencies (**Planning Activity 4/5**).
- (e) A consolidated **5-year action programme** which provides a phased overview of projects and annual output targets as a basis for monitoring of progress and for formulation of annual business plans (**Planning Activity 4/6**).
- (f) An **Integrated Monitoring and Performance Management System** which includes development as well as performance indicators. The system is based on the project-related indicators, output targets and activity-related milestones. It consolidates the information flow in a way to provide necessary information to the municipal management (**Planning Activity 4/7**).
- (g) An **Integrated Spatial Development Framework** which demonstrates compliance of the IDP with spatial principles and strategies and which serves as a basis for spatial coordination of activities and for land use management decisions (**Planning Activity 4/8**).
- (h) An **Integrated Poverty Reduction/Gender Equity Programme** which demonstrates compliance of the IDP with policy guidelines related to poverty and gender issues. It helps to achieve a conclusive set of measures directed towards alleviating poverty and gender inequalities and serves as a basis for poverty and gender specific monitoring (**Planning Activity 4/9**).
- (i) An **Integrated Environmental Programme** which demonstrates compliance of the IDP with environmental policies, which helps to ensure a set of measures which is conclusive with regard to their environmental impact, and which serves as a basis for environmental impact monitoring (**Planning Activity 4/10**).
- (j) An **Integrated Local Economic Development (LED) Programme** which provides an overview on all measures which are meant to promote economic development and employment generation in the municipality, thereby contributing to a consistent and coordinated promotion programme which can help to achieve a significant impact (**Planning Activity 4/10**).

Ensuring institutional preparedness

Being well prepared for disasters

A performance related struggle for funds and priorities

... resulting in a conclusive, consolidated and integrated 5-year programme

- (k) An **Integrated Institutional Programme** which indicates by which management reforms and organisational arrangements the municipality wants to establish the institutional preparedness for an efficient implementation of the IDP (**Planning Activity 4/12**).
- (l) An **Integrated HIV/AIDS Programme** which shows all efforts to deal with the epidemic in context (**4/13**).
- (m) A **Disaster Management Plan** which, in contrast to the various cross-cutting issues related "integrated plans", is not a compilation of aspects and components from various project plans, but a distinct plan on its own which indicates the preparedness of the municipality to cope with possible disaster scenarios (**Planning Activity 4/11**).

Most of these outputs are summaries. They do not need additional planning and decision-making steps. They need cross-checking, revision and compiling. The **process proposed** here includes **4 steps**:

**Step 1: Screening of** all draft **project proposals** for compliance with policies, legislation, priorities, objectives, budget frameworks, strategies and feasibility/viability criteria by:

- the IDP Steering Committee for general compliance with criteria;
- sector agencies for compliance with sector requirements. During their screening process, sector agencies can compile their own draft sector programmes.

**Step 2:** The project proposals and the results of the screening process are presented to the **IDP Representative Forum** which arrives at **recommendations** on the draft project proposals **through a discussion process**. The recommendations refer to the project design, the project budget and to priorities in terms of timing (high priority for year 1, low priority for year 5). They are discussed under consideration of aspects like:

- compliance with policies, priorities, strategies and feasibility/viability criteria; and
- coordination between projects in terms of space, time and contents.

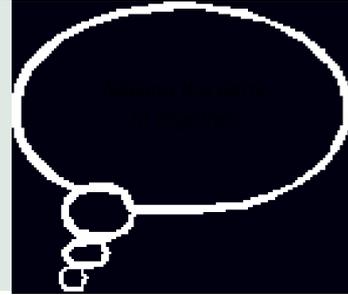
The allocation of funds and the priority in terms of timing is strongly related to the relevance and quality of project proposals. This creates an incentive for Project Task Teams to design projects in line with the various principles, guidelines and requirements (Steps 1 and 2 are combined in **Planning Activity 4/1**).

**Step 3: Project proposals** are **amended** by Project Task Teams in line with the recommendations, while at the same time the integrated programmes and plans (which are part of the operational strategy) are compiled by officers/professionals in charge of the cross-cutting dimensions. As the integrated programmes should reflect the *revised* project proposals, both processes have to be done in an interactive manner.

**Step 4:** The **integrated programmes and plans** are presented and discussed in a workshop of the **IDP Representative Forum** (steps 3 and 4 are combined in **Planning Activity 4/2**).

With the revised project proposals and the agreed integrated plans and programmes the IDP drafting process is finalised, and can be compiled from the various outputs of the four phases to a **Draft IDP**.

## PHASE 4: INTEGRATION



### PLANNING ACTIVITY: 4/1 SCREENING OF DRAFT PROJECT PROPOSALS

#### Purpose:

To ensure that IDP projects:

- are in line with strategic guidelines, objectives and resource frames
- reflect people's priority needs
- are planned in a cost-effective manner
- can be implemented in a well coordinated manner.

#### WHY?

#### Minimum Requirements: w/r to Output

- ☆ Comments and proposed revisions of submitted project proposals.
- ☆ Draft sector programmes compiled on basis of the project proposals.

#### WHAT?

#### w/r to Process

- ☆ Presentation and discussion of draft project proposals in the IDP Representative Forum to ensure inter-sectoral and multi-dimensional

#### Hints for Structuring the Process

#### HOW?

- (1) Submission of draft project proposals to IDP Steering Committee for screening and to sector agencies for screening (w/r to sector requirements) and for compilation of draft sector programmes.
- (2) Presentation and discussion of draft project proposals in the IDP Representative Forum (including comments from screening committees).
- (3) Recommendations for revision of draft project proposals to Project Task Teams.

#### Hints for Designing the Output

- The comments on project proposals should be related to:
  - Methodology (consistency, completeness, operationalisation)
  - Compliance with guidelines, priorities, objectives, legal requirements
  - Feasibility of the proposed project
  - Alignment and integration with other projects.

#### Suggested Institutional Arrangements/ Responsibilities

#### WHO?

- Sectoral departments/agencies are in charge of checking sector alignment requirements and compiling consolidated sector programmes.
- The IDP Steering Committee should do the necessary desk work to check all project proposals before they are discussed in the IDP Representative Forum.
- The IDP Representative Forum is the arena in which the integration process under consideration of compliance and harmonisation requirements takes place. Thereby, the inter-sectoral negotiation process for scarce funds will be closely related to the compliance and the relevance of project proposals in the context of overall principles, priorities and strategies.
- It is important to ensure professional facilitation of the workshop of the IDP Representative Forum in which project proposals are commented on.



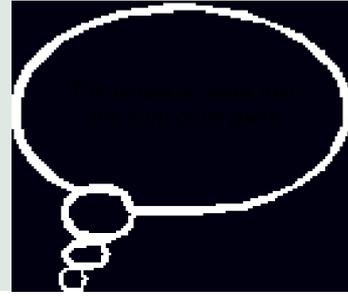
#### Time Requirement (tentative)

- Screening: 1 week
- Workshop: 2 – 3 days

#### Note:

- ☞ Screening of and commenting on project proposals should be done through a systematic, criteria-based and transparent process which can be considered as fair by all parties involved, as a prerequisite for the acceptance of the outcomes of the process.

# PHASE 4: INTEGRATION



## PLANNING ACTIVITY: 4/2 INTEGRATING PROJECTS AND PROGRAMMES

### Purpose:

To enable the municipal management, financing organisations, politicians, various stakeholders and an interested public to do a consistency check with regard to cross-cutting aspects, such as financial feasibility, spatial effect, economic, social and environmental impact.

### WHY?

### Minimum Requirements: w/r to Output

### WHAT?

- ☆ Revised project proposals
- ☆ Integrated sectoral programmes
- ☆ 5-year Financial Plan
- ☆ 5-year Capital Investment Programme
- ☆ 5-year Municipal Action Plan
- ☆ Monitoring and Performance Management System
- ☆ Integrated Spatial Development Framework
- ☆ Integrated LED-Programme
- ☆ Integrated Poverty Alleviation/Gender Equity Programme
- ☆ Integrated Environmental Programme
- ☆ Integrated Institutional Programme
- ☆ Integrated HIV/AIDS Programme
- ☆ Disaster Management Plan.

### w/r to Process

- ☆ Presentation of integrated programmes/plans in the IDP Representative Forum.

### Hints for Structuring the Process

### HOW?

- (1) While Project Task Teams are revising their project proposals, integrated plans for the different dimensions are compiled in close interaction with the project revision process.
- (2) At the same time sector agencies should revise their sector programmes.
- (3) At the end of this process, the integrated plans (but not the revised project proposals) are presented and discussed in the IDP Representative Forum.
- (4) Revisions resulting from this discussion will be incorporated in the draft IDP.

### Hints for Designing the Output

See hints made for each planning activity (4/3 to 4/12).

### Suggested Institutional Arrangements/ Responsibilities

### WHO?

- Members of the IDP Steering Committee, the IDP Representative Forum or other specialists have to be nominated to compile the integrated plans on basis of the project proposals and the localised strategy guidelines. These persons should be domain specialists (e.g. the Financial Plan should be compiled by the treasurer, the spatial development framework by the town and regional planner, etc.)



### Time Requirement (tentative)

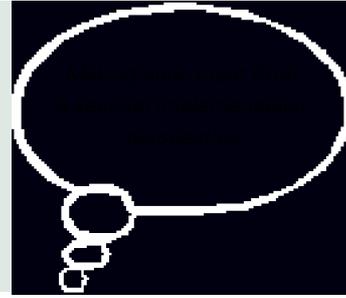
Revision/compilation: 2 weeks  
Representative Forum Workshop:  
2 – 3 days

### Note:

☞ Establishing the integrated programmes and plans is not meant to add contents to the planning work done so far. It means, rather, to compile summaries from various cross-cutting perspectives. As these summaries are the basis of consistency and compliance cross-checks, they may result in a revision of project proposals and corresponding amendments of the integrated plans or programmes.

## PHASE 4: INTEGRATION

### PLANNING ACTIVITY: 4/3 INTEGRATED SECTOR PROGRAMMES



#### Purpose:

To ensure fulfilment of sectoral planning requirements and compliance with sectoral principles, strategies and programmes, thereby providing a basis for departmental operational planning and budgeting.

#### WHY?

#### Minimum Requirements: w/r to Output

- ☆ A summary statement of 2 – 3 pages, for each sector for which projects have been designed in the IDP process. This includes:
  - a short reference to the sector related results of the Analysis Phase;
  - reference to sector guidelines and strategies, and the way they have been considered in the Strategy Phase;
  - a compilation of consolidated outputs/targets/locations/time schedules of sector-specific projects or sectoral components of projects.
- ☆ Sector Plans in the fields of water, transport and waste management (see 4/3a, 4/3b, 4/3c).

#### WHAT?

#### w/r to Process

- ☆ See Planning Activity 4/2.
- ☆ Where national and/or provincial sector legislative requirements exist they should be incorporated for those sectors that are to be undertaken as a component of the IDP.

#### Hints for Structuring the Process

- (1) Check all project proposals, for each sector, in relation to the outputs of the Analysis and Strategy Phases:
  - Are the sector issues of the analysis addressed?
  - Is there compliance with the sectoral guidelines?
  - Are there approaches that do not address, or adequately address, sector contributions that would be appropriate?
- (2) Summarise, for each sector, all related measures, aspects and activities as part of a conclusive programme for managing implementation.
- (3) Check whether all the sectoral activities are in line with available personnel and financial resources and consider the time and location aspects.
- (4) Give feed-back to Project Task Teams in case of non-compliance or insufficient consideration.
- (5) Present each Sector Programme, together with comments and recommendations, to the IDP Representative Forum.
- (6) Ensure that the recommendations of the IDP Representative Forum are incorporated in the final project proposals and in each of the Integrated Sector Programmes.

#### HOW?

#### Suggested Institutional Arrangements/ Responsibilities

- The compilation of each Integrated Sector Programme should be done by a senior municipal official who is responsible for managing the implementation of the programme.
- Should sector plans be required, see 4/3a, 4/3b, 4/3c.

#### WHO?



#### Time Requirement (average)

See Planning Activity 4/2

#### Note:

- ☛ Each Integrated Sector Programme is *not* an additional programme besides the projects dealing with the priority issues. It is intended to capture, from all the IDP projects, per sector, the sector programme's contribution in context, and relate them to other departmental projects in terms of required resources and timing.
- ☛ The Integrated Sector Programmes should clearly distinguish between IDP-related and other projects/activities/costs.

## PHASE 4: INTEGRATION

### PLANNING ACTIVITY: 4/3 A WATER SERVICES DEVELOPMENT PLANS (WSDP)



For those sectors which require a special sector plan, the outputs which have to become part of these sector plans are more specific than those listed in the generic sheet on "Integrated Sector Programmes". Though these sector plans are not part of the IDP (but only a summary thereof), their content requirements are briefly summarised here in order to place these planning requirements in the IDP context.

#### Minimum Requirements: w/r to Output

#### WHAT?

- ☆ A draft WSDP for the area of jurisdiction including:
  - a set of data sheets containing targets
  - existing and future consumer profile and service levels
  - water balance, water sources and quality
  - water service infrastructure
  - demand management
  - institutional management
  - finances and affordability.
- ☆ A narrative, of less than 30 pages, of the WSDP.
- ☆ A short summary.

#### Suggested Institutional Arrangements/ Responsibilities

#### WHO?

- The WSDP has to be prepared by the Water Services Authority.
- In the event of it covering more than one local municipality, each local municipality should be represented in the planning team of the WSA by one sector officer in order to ensure the mutual alignment of the WSDP and the water-related projects of the IDP.

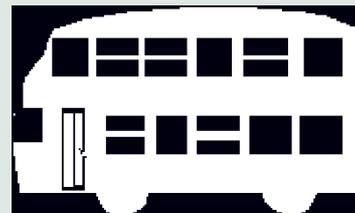
#### Specific Guideline Documents

- DWAF's guide, framework and checklist for the development of water services development plans, Edition 2 (August 1998).
- Starter requirements: supplementary guidelines for local municipalities (July 1999).
- Starter requirements: supplementary guidelines for district municipalities (July 1999).

#### Note:

- ☛ Some components of the WSDP will have already been produced in earlier phases of the integrated development planning process. The task at this point is to consolidate that information into a sector plan for submission.

## PHASE 4: INTEGRATION



### PLANNING ACTIVITY: 4/3 B INTEGRATED TRANSPORT PLANS (ITP)

#### Minimum Requirements: w/r to Output

- ☆ The Integrated Transport Plan (ITP) must formulate the planning authority's official vision, policy and objectives consistent with national and provincial policies. The ITP must at least:
  - (a) specify the changes to the planning authority's land transport **policies** and **strategies** since the previous five year plan;
  - (b) include a list that must:
    - (i) show, in order of precedence, the **projects and project segments** to be carried out in that five-year period, and the **cost** of each project; and
    - (ii) be prepared with due regard to relevant integrated development plans and land development objectives set in terms of the DFA, or where applicable, in terms of a law of the province;
  - (c) include **all modes of transport and infrastructure**, including new or amended roads and commercial developments having an impact on the land transport system, and land transport aspects of airports and harbours;
  - (d) include the planning authority's detailed **budget**, including **funding** sources, with regard to land transport for the relevant financial year in the format prescribed by the MEC;
  - (e) include the planning authority's **public transport plan** consisting of:
    - public transport record
    - operating licenses strategy
    - rationalisation plan (in case of subsidised services);
  - (f) set out a general strategy for travel demand management;
  - (g) set out a road and transport infrastructure provision, improvement and maintenance strategy; and
  - (h) set out a general strategy or plan for the movement of hazardous substances.

#### WHAT?

#### Suggested Institutional Arrangements/ Responsibilities

- The ITP is the responsibility of the Transport Authority which corresponds with the district council. Accordingly, the sector officers should be district officials.
- One officer of the local municipality should be seconded to the planning team of the Transport Authority or liaise closely with it on a temporary basis in order to assure mutual alignment of the ITP with the local IDP.

#### WHO?

#### Specific Guideline Documents

N/A

## PHASE 4: INTEGRATION



### PLANNING ACTIVITY: 4/3 c INTEGRATED WASTE MANAGEMENT PLANS (IWMP)

#### Minimum Requirements: w/r to Output

#### WHAT?

- ☆ Components of the plan should include:
- **background information** on relevant policy and laws, demographics, waste quantities and characteristics, existing waste management practices, financing, stakeholders and need analysis;
  - **strategic objectives** for integrated waste management within the municipal area;
  - **instruments** for implementing the waste management plan (economic instruments, partnerships, etc.);
  - **implementation programme;** and
  - **communication** and **public participation programme.**

#### Suggested Institutional Arrangements/ Responsibilities

#### WHO?

- The IWMP is the immediate responsibility of each local municipality.
- The municipality should identify one sector officer in charge of IWMP by the end of Phase 1. This officer should ensure that:
  - waste management issues arising from the IDP process are properly dealt with in line with the requirements of the IWMP; and
  - those IWMP requirements which are not related to IDP issues are dealt with in a parallel planning process.

#### Specific Guideline Documents

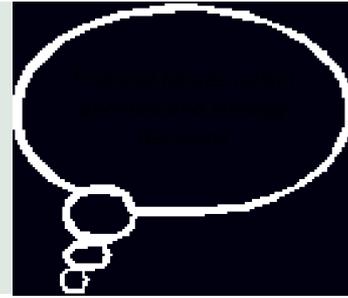
Refer to Guidelines for the Compilation of Integrated Waste Management Plans; and Waste management in high density unserved areas for more detailed sector specific guidelines.

The requirements are stipulated in the White Paper on Integrated Pollution and Waste Management for SA, to which reference should be made for more detail. The requirements should be enacted in the law reform process underway in DEAT.

#### Note:

- ↩ Some components of the IWMP will already have been produced in earlier phases of the integrated development planning process. For example, background information, demographics and waste quantities and characteristics will have been produced in the analysis phase – either as part of the IDP process or in parallel, depending on the sector's relationship with IDP priorities and the decision made on how to align requirements in activity 1/9c. The task at this point is to consolidate this information into a sector plan for submission.

## PHASE 4: INTEGRATION



### PLANNING ACTIVITY: 4/4 5 YEAR FINANCIAL PLAN FOR MUNICIPALITIES

#### Purpose:

#### WHY?

To create the medium term strategic financial framework for allocating municipal resources through the municipal budgeting process in order to ensure the financial viability and sustainability of the municipality's investments and operations.

To ensure a close planning – budgeting link.

#### Minimum Requirements: w/r to Output

#### WHAT?

- ☆ A summary statement (1 page) of the **financial management arrangements** including:
  - an inventory and short description of financial management resources including Financial Supervisory Authority, Implementation Authority and other resources such as the treasurer and internal auditor; and
  - base financial management guidelines and procedures including inter alia rates and tariff policies, credit control and debt collection policy.

#### w/r to Process

- ☆ A summary statement (1 – 2 pages) of the **financial strategy** (based on 2/4) including:
  - basic financial guidelines and procedures
  - capital and operational financing strategies
  - revenue raising strategies
  - asset management strategies
  - cost-effectiveness strategies.
- ☆ A tabular **revenue and expenditure forecast** for 5 years including:
  - a statement of the financial position of the council; and
  - rates and tariffs forecast
- ☆ A tabular summary of the 3-year Medium Term Expenditure Framework (MTEF).

#### Hints for Designing the Outputs

#### HOW?

- The summary of **financial management guidelines and procedures** should not be comprehensive, but should rather include only a summary of those policies and procedures that will achieve/effect substantial financial reform and overtly reflect major development priorities and objectives such as local economic development and poverty alleviation.
- The **strategies for raising revenue** should include the cost of implementation, the net annual benefit and the annual growth in revenue with a five year revenue projection.
- Only strategies relevant to assets of considerable value or strategic importance should be included in the **asset management strategy**. Appropriate asset management strategies should be informed by an assessment of all assets i.t.o. its effectiveness of current use, cost and returns and should include statements on appropriate governance and management structures for all assets ( e.g. corporatisation).
- The forecast of **operational expenditure** should include an estimate of recurrent operation expenditure items such as staffing, property administration and bulk service purchases through to department specific expenditures such as road and park maintenance.
- A **summary of the financial position of the council for 5 years** will consist of the total projected revenue less operational expenditure, less capital expenditure with an appropriate adjustment strategy to deal with the projected surplus or deficit.
- The **3 year MTEF** should meet the requirements of the Public Finance Management Act and the Municipal Finance Management Act.

#### Suggested Institutional Arrangements/ Responsibilities

#### WHO?

The treasury department should be charged with the responsibility of compiling the financial plan in close consultation with the municipal manager, heads of departments, executive committee or executive mayor.



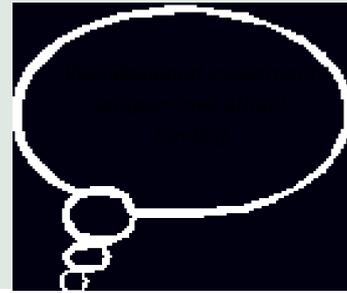
#### Time Requirement (tentative)

- From submission to 1st workshop: 1 week
- 1st workshop: 2 – 3 days
- Revision/programme compilation: 2 weeks
- 2nd workshop: 1 – 2 days
- Compiling document: 2 weeks

#### Note:

- ☛ The financial strategy should be clearly reflected by the figures of the revenue and expenditure forecast.

## PHASE 4: INTEGRATION



### PLANNING ACTIVITY: 4/5 5 YEAR CAPITAL INVESTMENT PROGRAMME

#### Purpose:

Linking prioritised capital projects with potential sources of financing, thereby:

- **informing the municipal budgeting** and implementation management processes;
- facilitating **inter-governmental alignment** with regard to development and investment spending;
- facilitating the integration and sequencing of capital projects;
- creating a framework to **evoke investment confidence** and facilitate external investment of both a public and private nature; and
- providing a concise overview of the envisaged sequencing of projects as a basis for **accountability**.

#### WHY?

#### Minimum Requirements: w/r to Output

- ☆ A tabular overview of capital investment projects including:
  - total investment costs
  - potential sources of funding
  - responsible agency for implementation
  - phased annual capital expenditure (if applicable: cost-based milestones)
  - annual municipal operation/maintenance costs resulting from the investment.

#### WHAT?

#### Hints for Designing the Outputs

- The entire 5 year capital investment programme should not take the form of a comprehensive report, but rather take the shape of a table or Gantt Chart summarising project information over a time period of five years.

#### HOW?

#### Suggested Institutional Arrangements/ Responsibilities

- The treasury department should be charged with the responsibility of compiling the financial plan in close consultation with the municipal manager, heads of departments in charge of investment projects and with relevant funders and implementers.

#### WHO?



#### Time Requirement (tentative)

No separate process, but the multi-sectoral team should make at least five weeks available for the drafting and final documentation of the capital investment programme.

Total timeframe:

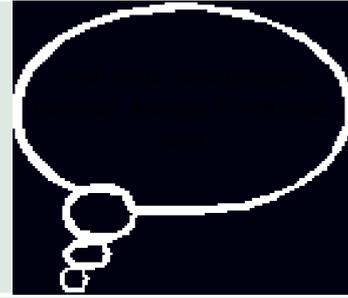
- From submission to 1st workshop: 1 week
- 1st workshop: 2 – 3 days
- Revision/programme compilation: 2 weeks
- 2nd workshop: 1 – 2 days
- Compiling document: 2 weeks

#### Note:

- ☛ Compilation of a consolidated Capital Investment Programme is an important tool of checking proposed project budgets (and cost estimates) from a financial management point of view. It requires close consultation with the Project Task Teams to arrive at realistic project designs and cost calculations.
- ☛ Establishing phased Capital Investment Programmes involves prioritisation through sequencing. This should be based on decisions of the IDP Representative Forum.
- ☛ Before excluding projects by means of prioritisation, all possibilities of cutting costs of projects should be applied.

## PHASE 4: INTEGRATION

### PLANNING ACTIVITY: 4/6 5 YEAR ACTION PROGRAMME



#### Purpose:

#### WHY?

- (1) To ensure a close link between integrated development planning and municipal management by providing an overview of the major activities in the municipality which result from the IDP.
- (2) To establish a basis for monitoring of progress.

#### Minimum Requirements: w/r to Output

#### WHAT?

- ☆ A tabular phased overview of all projects with major milestones and annual output targets.

#### w/r to Process

- ☆ See Planning Activity 4/2.

#### Hints for Designing the Outputs

#### HOW?

- The 5 year Action Programme should not take the form of a verbal report, but rather take the shape of a table and/or bar chart summarising project information over a time period of five years.

#### Suggested Institutional Arrangements/ Responsibilities

#### WHO?

The Municipal Manager as the officer in charge of managing the implementation process should take over direct responsibility for this planning activity. This will help him or her to get a feeling for whether the IDP is a realistic plan considering the management capacities of the municipality.



#### Time Requirement (tentative)

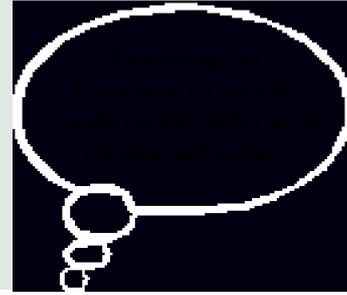
Compilation (before 2nd workshop):  
2 weeks  
2nd Workshop (discussion): 1 – 2 days  
Amendments (after 2nd workshop):  
1 – 2 days

#### Note:

- ☞ The compilation of a consolidated 5-year Action Programme is an important tool of checking the IDP and the individual project proposal from a management point of view. This process requires close consultation between the Municipal Manager and the Project Task Teams to arrive at a feasible set of project proposals.

## PHASE 4: INTEGRATION

### PLANNING ACTIVITY: 4/7 INTEGRATED MONITORING AND PERFORMANCE MANAGEMENT SYSTEM



#### Purpose:

To ensure accountability on basis of a simple, effective and affordable monitoring and performance management system as a management tool for the Municipal Manager and as a control tool for the council.

#### WHY?

#### Minimum Requirements: w/r to Output

- ☆ A consolidated list of development indicators for the IDP objectives.
- ☆ A tabular compilation of output targets for all IDP projects.
- ☆ A time schedule with dates of major milestones of all projects.
- ☆ A list of performance indicators which are not project specific.
- ☆ An action plan including resource requirements for managing the monitoring and performance management system, including information flow, timing and responsible actors.

#### WHAT?

#### w/r to Process

- ☆ See Planning Activity 4/2.

#### Hints for Designing the Output

The Integrated Monitoring and Performance Management System consists of formats and a design of the information collection, communication and analysis activities.

#### Hints for Structuring the Process

- (1) Compile and check all indicators for project objectives and harmonise them in terms of type of indicators and target figures.
- (2) Compile and check targets and milestones for all projects and harmonise them.
- (3) Provide feedback to Project Task Teams and ensure necessary amendments.
- (4) Establish cross-cutting performance indicators (see Guide VI).
- (5) Compile monitoring sheets and the action plan for implementation of the system.

#### HOW?

#### Suggested Institutional Arrangements/ Responsibilities

- Each municipality should nominate an officer in charge of monitoring and performance management who is directly answerable to the Municipal Manager. This officer should be charged with the task to elaborate the Integrated Monitoring and Performance Management System.
- The task requires close consultation with the Project Task Teams to make sure that project designs are sufficiently specific to monitor progress and impact.

#### WHO?



#### Time Requirement (tentative)

Compilation (before 2nd workshop):  
2 weeks

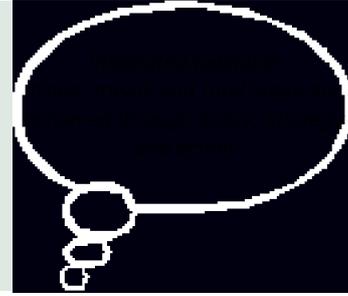
2nd Workshop (discussion): 1 – 2 days

Amendments (after 2nd workshop):  
1 – 2 days

#### Note:

- ☛ When checking indicators ensure that they are:
  - sufficiently clear and precise to be measured.
  - easy to be assessed without high investigation costs.
  - realistic w/r to what is achievable with given efforts within the given period.
- ☛ For methodological guidance on establishment of feasible monitoring and performance management systems see Guide VI of the IDP series.

## PHASE 4: INTEGRATION



### PLANNING ACTIVITY: 4/8 SPATIAL DEVELOPMENT FRAMEWORK

#### Purpose:

Providing general direction to guide decision-making and action over a multi-year period aiming at the creation of integrated and habitable cities, towns and residential areas.

Creating a strategic framework for the formulation of an appropriate land-use management system, thereby:

- informing the decisions of development tribunals, housing departments and relevant development committees; and
- creating a framework of investment confidence that facilitates both public and private sector investment.

#### WHY?

#### Minimum Requirements: w/r to Output

- ☆ A summary chapter which includes:
  - spatial development trends and issues emerging from the spatial analysis (1/5);
  - localised spatial development principles (2/3a) including specific strategic guidelines for spatial restructuring and spatial integration, and a spatial representation of all development objectives and strategies with a spatial dimension;
  - the location of all projects; and
  - a summary of land reform issues and related projects or project components.
- ☆ Maps which indicate the spatial objectives and strategies and which are sufficiently specific to inform land management and investment decisions.

#### WHAT?

#### w/r to Process

- ☆ See Planning Activity 4/2.

#### Hints for Designing the Output

The Spatial Development Framework, in order to inform land management and investment decisions, has to include **maps** which indicate precisely, the:

- preferential and focal areas for certain types of land use;
- areas for which certain types of land use are excluded; and
- locations of IDP projects, to provide evidence of compliance of the IDP with the spatial objectives and strategies reflected in these maps.

#### Hints for Structuring the Process

- (1) Check all project proposals for consistency with the outcomes of the spatial analysis, spatial development principles and strategic guidelines for spatial restructuring.
- (2) Assess the cumulative spatial impact of programmes and give feed-back to the Project Task Team or sector programme for adjustment where necessary.
- (3) Provide feed-back to the Project Task Team in case of non-compliance or insufficient consideration.

#### HOW?

#### Suggested Institutional Arrangements/ Responsibilities

- The planning department or division should be charged with the responsibility of compiling the Spatial Development Framework on basis of the project proposals and the localised strategy guidelines.
- The process of preparing the maps and drafting the summary document (chapter) is essentially technical in nature, and will require the services of a domain specialist such as a cartographer and/or a town and regional planner that have/has a thorough understanding of the outcomes of the local planning process as a whole.
- In cases where municipalities may not have professional capacity in the field of town and regional planning, a specialist may be consulted (e.g. from the PIMS-centre) to assist.

#### WHO?



#### Time Requirement (tentative)

**No separate process, but the planning department/division should make at least five weeks available.**

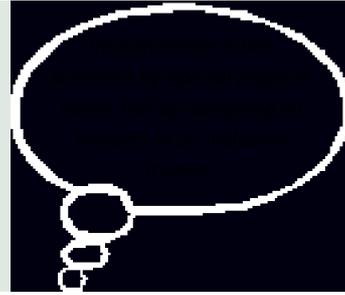
- Compilation, including assessment of projects: 2 weeks.
- Feedback to project formulation team and receipt of adjustments: 2 weeks.
- Representative Forum Workshop: 2 – 3 days.
- Revision of document: 1 week.

#### Note:

- ☛ The Spatial Development Framework is supposed to form a legally binding component of the IDP. That means it needs to be quite specific and precise in cases where it wants to enforce or to prevent certain types of land use. This, however, does not imply that it has to be prescriptive with regard to the way each and every piece of land shall be used. There is no need for an area-covering determination of land use zones.

## PHASE 4: INTEGRATION

### PLANNING ACTIVITY: 4/9 INTEGRATED POVERTY REDUCTION AND GENDER EQUITY PROGRAMME



4/9

#### Purpose:

To ensure a consistent set of measures to reduce poverty and to contribute to gender equity in the municipality.

#### WHY?

#### Minimum Requirements: w/r to Output

- ☆ A summary statement of 2 – 3 pages which includes:
  - a short reference to the results of the socio-economic analysis (1/6);
  - a reference to the strategy guidelines on poverty and gender (2/3); and
  - a consolidated summary of poverty and gender-related activities which are part of the designed projects.

#### WHAT?

#### w/r to Process

- ☆ See Planning Activity 4/2.

#### Hints for Structuring the Process

- (1) Check all project proposals in relation to the outcomes of the analysis and the strategy guidelines:
  - Are the major poverty and gender-related problems addressed?
  - Is there compliance with the strategic guidelines?
  - Are there approaches which tend to increase poverty and gender inequality?
- (2) Summarise all poverty/gender related measures and aspects as part of a conclusive programme.
- (3) Give feed-back to Project Task Teams in case of non-compliance or insufficient consideration.
- (4) Present that programme, together with comments and recommendations, to the IDP Representative Forum.
- (5) Ensure that the recommendations of the Representative Forum are incorporated in the final project proposals and in the Integrated Poverty Reduction and Gender Equity Programme.

#### HOW?

#### Suggested Institutional Arrangements/ Responsibilities

- The compilation of the Integrated Poverty Reduction and Gender Equity Programme should be done by a competent resource person.
- It should be ensured that the legitimate representatives (or advocates) of the social strata concerned will attend the workshops of the IDP Representative Forum in Phase 4.

#### WHO?



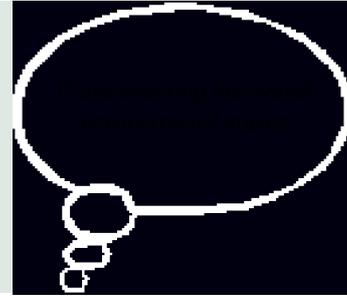
#### Time Requirement (tentative)

See Planning Activity 4/2.

#### Note:

- ☛ The “Integrated Poverty Reduction and Gender Equity Programme” is not an additional programme besides the projects dealing with the priority issues. It is, instead, meant to show the poverty and gender related efforts of all IDP projects in context. Thus, it is a tool of main-streaming, rather than side-lining poverty and gender issues.

## PHASE 4: INTEGRATION



### PLANNING ACTIVITY: 4/10 INTEGRATED ENVIRONMENTAL PROGRAMME

#### Purpose:

#### WHY?

To contribute to a healthy environment by ensuring that:

- urgent environmental issues are adequately addressed; and
- envisaged projects have no negative impact on the natural environment.

#### Minimum Requirements: w/r to Output

#### WHAT?

- ☆ A summary statement of 2 – 3 pages and a diagram/plan, that includes:
  - a short reference to the results of the environmental issues identified in the Analysis Phase;
  - Consideration of the Strategic Guidelines on the Environment (2/3);
  - a statement of the projects and their activities that significantly affect the environment;
  - description of the manner in which the municipality will ensure that its projects comply with the NEMA principles and the national environmental norms and standards; and
  - identification of those projects that require an EIA.

#### w/r to Process

- See Planning Activity 4/2.
- Consider the relevant information of the national and provincial departments' Environmental Management Plans and Environmental Implementation Plans.
- Refer to the Environmental Conservation Act of 1989 and the EIA Regulations of 1997 and guideline document, for the categories of activities that require an EIA and related application procedures.

#### Hints for Structuring the Process

#### HOW?

- (1) Check all project proposals, in relation to the outputs of the analysis and strategy guidelines:
  - Are the environmental issues of the analysis addressed?
  - Is there compliance with the strategic guidelines?
  - Are there approaches that identify, predict and evaluate the actual and potential impact on the environment, with a view to minimising negative impacts and maximising benefits?
  - Does the Integrated Environmental Programme adequately consider the provincial Environmental Implementation Plans?
- (2) Give feed-back to Project Task Teams in case of non-compliance or insufficient consideration.
- (3) Summarise all environmentally related measures, aspects and activities as part of one conclusive environmental programme.
- (4) Present the programme, together with comments and recommendations, to the IDP Representative Forum.

Ensure that the recommendations of the IDP Representative Forum are incorporated in the final project proposals and in each of the Integrated Sector Programmes.

#### Suggested Institutional Arrangements/ Responsibilities

#### WHO?

- A senior municipal official in charge of environmental affairs should be given the responsibility for compilation of the Integrated Environmental Programme.
- Where a municipality does not have capacities in the field of environmental planning, a specialist resource person may be consulted to assist in drafting the Integrated Environmental Programme.
- It should be ensured that the legitimate community and residents' representatives (or advocates) of the environment attend the workshops of the IDP Representative Forum in Phase 4.



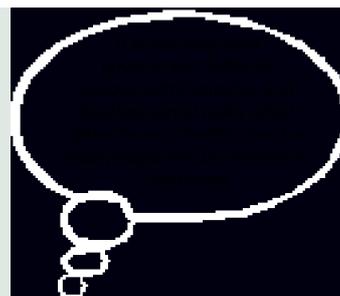
#### Time Requirement (tentative)

See Planning Activity 4/2

#### Note:

- ☛ The Integrated Environmental Programme is not an additional programme besides the projects dealing with the priority issues. It is intended to capture the environmental contributions from all the IDP projects in context. Thus it is a tool for main-streaming, rather than being an add-on, for environmental issues.

## PHASE 4: INTEGRATION



### PLANNING ACTIVITY: 4/11 INTEGRATED LED PROGRAMME

#### Purpose:

To ensure a consistent and conducive set of measures to promote viable local economic activities and employment generation.

#### WHY?

#### Minimum Requirements: w/r to Output

- ☆ A summary statement of 2 – 3 pages which includes:
  - a short reference to the results of the socio-economic analysis (1/6);
  - a reference to the strategy guidelines on local economic development (2/3); and
  - a consolidated summary of independent LED projects and LED activities which are part of the designed projects.

#### WHAT?

#### w/r to Process

- ☆ See Planning Activity 4/2.

#### Hints for Structuring the Process

- (1) Identify all projects that have economic development implications and that have economic development objectives as their sole outcome (independent LED projects).
- (2) Check these project proposals in relation to the outcomes of the analysis and the strategy guidelines:
  - Are the major constraints for economic development and employment generation addressed?
  - Are the major economic development potentials adequately considered?
  - Is there compliance with the economic strategy guidelines?
  - Are the measures/projects in line with economic viability considerations?
  - Are there measures or approaches which tend to discourage or delay economic investment and employment generation?
- (3) Summarise all measures which are expected to have an impact on economic development as part of a conclusive economic promotion programme.
- (4) Give feed-back to Project Task Teams in case of non-compliance or insufficient consideration.

#### HOW?

See hints made for each planning activity (4/4 to 4/12).

#### Suggested Institutional Arrangements/ Responsibilities

- A senior municipal official in charge of LED should be given the responsibility for compilation of the Integrated LED Programme.
- An economic development specialist may be consulted to assist in drafting the programme in case a municipality does not have capacities in the field of economic planning.
- It should be ensured that legitimate representatives of the business sector and of labour, including advocates for the unemployed attend the workshops of the IDP Representative Forum in Phase 4.

#### WHO?



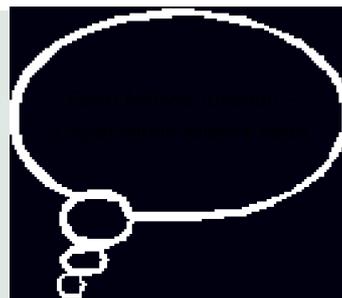
#### Time Requirement (tentative)

See Planning Activity 4/2

#### Note:

- ☞ Administrative procedures and communication strategies may have a stronger impact on economic investment and job creation than any targeted investment promotion or job creation project. Ensuring the compliance of such procedures with LED objectives, therefore, is a crucial dimension of establishing a consolidated and effective LED programme.

## PHASE 4: INTEGRATION



### PLANNING ACTIVITY: 4/12 INTEGRATED INSTITUTIONAL PROGRAMME

#### Purpose:

To ensure that a consistent and integrated set of measures for institutional transformation and integrated implementation occurs in the municipality, thereby contributing to a close planning-implementation link.

#### WHY?

#### Minimum Requirements: w/r to Output

- ☆ A summary statement of 2 – 5 pages, that includes:
  - a short reference to the results of Municipality-level Analysis (1/4);
  - a reference to Institutional Strategic Guidelines (2/3e) and the Resources Framework (2/4); and
  - a consolidated summary of the institutional activities which are part of the designed projects.

#### WHAT?

Any further proposed institutional transformations which become necessary to ensure a well coordinated implementation of the IDP.

#### w/r to Process

- ☆ See Planning Activity 4/2.

#### Hints for Designing the Output

- The Integrated Institutional Programme, which is to be undertaken as part of the IDP process, should be informed by the requirements of the Employment Equity Act and human resource strategy of the municipality.
- The Integrated Institutional Programme should be designed as a summary of the institutional requirements.

#### Hints for Structuring the Process

- (1) Check all project proposals, in relation to the outputs of the analysis and strategy guidelines:
  - Are the institutional issues of the analysis addressed?
  - Is there compliance with the strategic guidelines?
  - Are institutional and human resource limitations taken sufficiently into consideration?
- (2) Summarise all institutional development related measures, aspects and activities as part of a conclusive programme for managing the implementation process.
- (3) Identify overarching institutional transformation requirements and human resource development requirements (arising from the results of project planning) which become necessary in order to get the municipal government prepared for smooth, competent and well coordinated implementation.
- (4) Give feed-back to Project Formulation Task Teams in case of non-compliance or insufficient consideration of institutional requirements for implementation.
- (5) Present the programme, together with comments and recommendations, to the IDP Representative Forum.
- (6) Ensure that the recommendations of the IDP Representative Forum are incorporated in the final project proposals and the Integrated Institutional Programme.

#### HOW?

#### Suggested Institutional Arrangements/ Responsibilities

- The compilation of the Integrated Institutional Programme should be done by a senior municipal official who is directly answerable to the Municipal Manager who should be closely involved in the process.
- It should be ensured that the appropriate institutional and economic sector and trade union representatives (or advocates) attend the workshops of the IDP Representative Forum in Phase 4.
- In case of a more fundamental institutional transformation process, an organisational development specialist may be consulted to facilitate the discussion and decision-making process.

#### WHO?

#### Times Requirement (tentative)

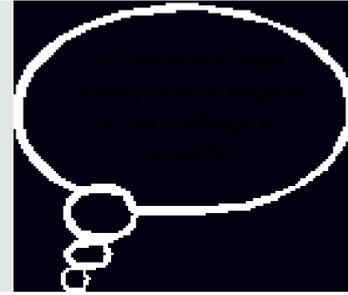
See Planning Activity 4/2



#### Note:

- ☛ The Integrated Institutional Programme is not an additional programme to the projects dealing with the priority issues. It is intended to capture the requirements of the institutional programme from all the IDP projects in context and not any additional projects emanating from outside of the IDP process. Thus it is a tool for thinking about institutional arrangements for integrated implementation during planning and clarifying the process for a co-ordinated institutional approach for implementation.

## PHASE 4: INTEGRATION



### PLANNING ACTIVITY: 4/13 INTEGRATED HIV/AIDS PROGRAMME

#### Purpose:

To ensure a systematic and conclusive set of measures by a broad range of role-players to prevent the spread of HIV/AIDS and to deal with its consequences.

#### WHY?

#### Minimum Requirements: w/r to Output

- ☆ A summary statement of 2 – 3 pages which includes:
  - a short reference to HIV/AIDS related problems identified in the analysis phase (see 1/4);
  - a reference to HIV/AIDS related strategy guidelines (2/3); and
  - a consolidated summary of HIV/AIDS-related activities and approaches which are part of the designed projects.

#### WHAT?

#### w/r to Process

- ☆ See Planning Activity 4/2.

#### Hints for Structuring the Process

- (1) Check all project proposals in relation to their way of addressing HIV/AIDS related problems and strategies:
  - Are all possible efforts undertaken to prevent the spread of the epidemic?
  - Are the demographic, social, economic and institutional impacts of the epidemic adequately addressed by the various projects?
- (2) Summarise all HIV/AIDS related measures as part of a conclusive programme.
- (3) Give feedback to Project Task Teams in case of non-compliance and insufficient consideration.

#### HOW?

See further hints suggested for each planning activity 4/3 to 4/12.

#### Suggested Institutional Arrangements/ Responsibilities

- Each municipality should nominate an officer in charge of initiating and coordinating HIV/AIDS related activities. That officer should be charged with the responsibility for drafting the Integrated HIV/AIDS Programme.
- Should that officer not be a specialist for HIV/AIDS related measures, a competent domain specialist should be involved.
- It should be ensured that all role-players dealing with HIV/AIDS related problems in the area will attend the workshops of the IDP Representative Forum.
- In case some local municipalities within a district feel that it will go beyond their capacities to design and implement appropriate strategies of dealing with HIV/AIDS, they should agree on catering for joint district-level efforts.

#### WHO?



#### Time Requirement (tentative)

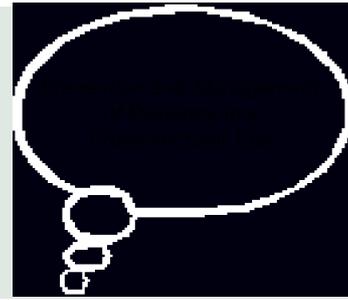
see Planning Activity 4/2

#### Note:

- ☛ HIV/AIDS is not just a health problem. The epidemic, its prevention and its consequences require coordinated responses of all institutions and sections involved in municipal development.
- ☛ While municipalities may need further guidance through national programmes to know *how* to respond, the municipal management has to *ensure that* appropriate measures are being implemented on the ground.

## PHASE 4: INTEGRATION

### PLANNING ACTIVITY: 4/14 DISASTER MANAGEMENT PLAN



#### Purpose:

To enhance the capacity of the municipality to prevent and to deal with disasters and to avoid developments which are subject to high risk of disasters.

#### WHY?

#### Minimum Requirements: w/r to Output

#### WHAT?

- ☆ A summary statement of 2 – 3 pages of the municipality's Disaster Management Plan, including a specification of:
  - likely types of disaster and specific locations/communities at risk;
  - prevention and mitigation strategies for each of the likely types of disaster;
  - contingency plans and emergency procedures which ensure maximum emergency preparedness, under consideration of available capacities; and
  - roles and responsibilities.

#### w/r to Process

- ☆ See Planning Activity 4/2.

#### Hints for Structuring the Process

#### HOW?

- (1) Involve people who are aware of likely disaster risks in the Analysis Phase (in Planning Activity 1/4 ). Make sure that any likely risks are identified.
- (2) Get guidance from the National Centre for Disaster Management on appropriate ways of preventing or reducing risks, and of mitigating disasters.
- (3) Prepare a localised disaster management strategy according to the circumstances (this can be done during Phase 2).
- (4) Elaborate or adapt contingency plans and emergency procedures (during Phase 3).
- (5) Check relevant project proposals for compliance with the localised disaster management strategy (in Phase 4) and give feedback to the Project Task Teams.
- (6) Present the Disaster Management Strategy to the workshop of the IDP Representative Forum and include necessary amendments thereafter.

#### Suggested Institutional Arrangements/ Responsibilities

#### WHO?

- Each municipality has to identify one officer in charge of disaster management.
- This officer must liaise with the National Centre for Disaster Management and with relevant provincial role-players in preparing the municipal Disaster Management Plan.



#### Time Requirement (tentative)

No additional time requirements. The Disaster Management Plan should be prepared parallel to the IDP process. The draft should be ready for presentation in Phase 4 workshops to allow for checking compliance of IDP projects with disaster management guidelines.

#### Note:

- ☛ Disaster management is a cross-sectoral task which (in a similar way to environmental issues) relates to a wide range of sectors and aspects like avoiding settlement or investments in high risk locations, construction technologies, water management, health services, etc. It is therefore not an issue that can be dealt with by a special project, but it requires compliance of any development measures with basic principles of disaster prevention and mitigation.
- ☛ Rather than taking any possible disaster into consideration, one has to focus on risks which are very likely and which justify the efforts of preparedness.