



**IDP Process Plan Aligned with Budget and Organizational Performance  
Management System For 2017/2018**

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## 1. INTRODUCTION

In order to ensure certain minimum quality standards of the Integrated Development Plan (IDP), and a proper coordination between and within spheres of government, the preparation of the IDP Process Plan has been regulated in the Municipal Systems Act (2000). The preparation of a Process Plan, which is in essence the IDP Process set out in writing, requires adoption by Council. This plan has to include the following:

- A programme specifying the time frames for the different planning steps;
- Appropriate mechanisms, processes and procedures for consultation and participation of local communities, organs of state, traditional authorities, and other role players in the IDP drafting process;
- An indication of the organizational arrangements for the IDP process;
- Binding plans and planning requirements, i.e. policy and legislation; and
- Mechanisms and procedures for vertical and horizontal alignment.

For the case of Mkhambathini Municipality, this process plan will be a combined process plan for the Integrated Development Planning (IDP), Budget and Performance Management System (PMS).

The Municipal Systems Act 32, 2000 mandates Municipalities to review its Integrated Development Plan (IDP) annually. Municipalities must develop a process plan in order to ensure its IDP quality standard and a proper coordination between and within spheres of government and State Owned enterprises. Integrated Development Plan is defined as a 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

### 1.1 WHAT IS A PROCESS PLAN AND THE FUNCTION THEREOF?

According to the IDP guide pack on the general overview, there is some preparatory work that needs to be done prior to the commencement of the planning process.

Preparation involves the production of an “IDP process plan”.

The programme is necessary to ensure proper management of the planning process. It must contain the following:

- Institutional structures to be established for management of the process
- Approach to public participation
- Structures to be established for public participation
- Time schedule for the planning process
- Roles and responsibilities (who will do what)
- How the process will be monitored.

We can therefore say that the Process Plan fulfils the function of a “business plan” detailing and setting out timeframes to the process of the local IDP review

ensuring that all aspects of the review are covered on time for adoption. The Process Plan must also consider and include amongst others what has been set out in the district Framework Plan, the MEC comments, Council priorities, Draft IDP Assessments and Self Assessments, community input etc.

In terms of Section 28 of the MSA:

- (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 established 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.

In terms of Section 29 (1.a) of the MSA:

- (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 timeframes for the different steps;

The process plan is therefore a municipality's schedule of events detailing all events and activities involved leading to the drafting and completion of the 5 Year Plan IDP. It is a document that outlines in detail all the processes that the municipality will embark on in completing its IDP cycle. In a nutshell the process plan must indicate what has to happen, when, by whom, with whom and where, and it should include cost estimates.

## **2. LEGISLATIVE REQUIREMENT FOR THE IDP REVIEW**

According to the Municipal Systems Act of 2000 all municipalities have to undertake an integrated development planning process to produce integrated development plans (IDPs). As the IDP is a legislative requirement it has a legal status and it supersedes all other plans that guide development at local government level. This five year plan that we are developing now can be reviewed and will be reviewed by the municipality annually until the term of office of the council ends.

### **2.1 The Integrated Development Plan**

Chapter 5 and Section 25 (1) of the Municipal Systems Act (2000) indicates that:

*Each municipal council must, within a prescribed period after the start of its elected term, adopt a single, all inclusive and strategic plan for the development of the municipality which-*

- a) *Links integrates and coordinates 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) *Complies with the provisions of this Chapter; and*
- d) *Is compatible with national and provincial development plans and planning requirements binding on the municipality in terms of legislation.*

In terms of the core components of integrated development plans, Chapter 5 and Section 26) of the Municipal Systems Act (2000) indicates that:

*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) *An 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 and 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 a land use management system 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.*

1.2.1 Section 25(1) of Municipal Systems Act, (Act 32) of 2000 directs that each municipal Council must, upon election adopt a single, inclusive and strategic plan which:

- a. links, integrates and co-ordinates plans;
- b. aligns the resources and capacity with the implementation of the plan;

1.2.2 26. Core components of integrated development plans.—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 an internal transformation needs;
- (b) an assessment of the existing level of development in the municipality, which must include an identification of communities that 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 a land, use management system 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 predetermined in terms of section 41.

1.2.3 Section 27 directs the District Municipality, in consultation with the local communities – to adopt a framework for integrated development planning, which shall bind both the district municipality and its local municipalities.

1.2.4 On the basis of the agreed framework plan, Section 28 directs that each Municipal Council must adopt a process plan to guide the planning, drafting, adoption and reviewing of its integrated development plan.

1.2.5 Section 34 of the MSA states that : A Municipal Council -

- (a) must review its integrated development plan annually,
  - (i) 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 may amend its integrated development plan in accordance with a prescribed process.

## **2.2 The Annual Budget**

This has been formalised by the promulgation of the Municipal Finance Management Act. Section 21(1) states that:

*'The Mayor of a Municipality must:*

*(b) At least ten months before the start of the budget year, table in the municipal council a time schedule outlining key deadlines for the*

*(i) The preparation, tabling and approval of the annual budget;*

*(ii) The annual review of*

- (aa) *The integrated Development Plan in terms of section 34 of the Municipal Systems Act, And*
- (bb) *Budget related policies.*
- (iii) *The tabling and adoption of any amendment to the integrated development plan and the budget related policies ; and*
- (iv) *Any consultative processes forming part of the processes referred to in subparagraphs (i), (ii), and (iii).*

### **3. KEY ELEMENTS TO BE ADDRESSED DURING THE DEVELOPMENT PROCESS**

In developing the IDP a number of elements have to be considered and addressed namely:

#### **3.3.1 Draft IDP Assessments;**

In the draft assessments certain issues were raised in which the municipality could not undertake by the time the adoption of the IDP review took place due to a number of constraints. Some have been accommodated to be corrected / actioned in this document.

#### **3.3.2 MEC Panel Comments;**

At the time of preparing this document, the municipality had not received comments from the MEC for the final review document submitted to her ten days after adoption of the final IDP. However will incorporate the comments of the MEC upon receipt and the municipality will undertake what it can do.

#### **3.3.3 Self-Assessment;**

The district family has also conducted self-assessments and the issues raised will also be considered and corrected to the best of our ability.

#### **3.3.4 New Council priorities;**

The Council has stated and emphasized on a number of priorities that need to be auctioned in order to fast track and ensure service delivery takes place. A strategic planning session will also be held during the financial year where council will re-affirm their priorities and planning.

#### **3.3.5 New policies and legislation**

The Spatial Planning and Land Use Management Act (SPLUMA) is also one of the new legislations that the municipality is still planning on coming to grips with under the auspice of shared services.

### **3.3.6 Inclusion of new information.**

Any other new information required to be included into the new document will be included in consultation with the relevant structures.

## **4 ORGANIZATIONAL / INSTITUTIONAL ARRANGEMENTS**

### **4.1 INTERNAL IDP STRUCTURES AND THEIR ROLES AND RESPONSIBILITIES.**

#### **4.1.1 Institutional Arrangements**

The municipality was using MANCO as its steering committee whereby a standing item was submitted on IDP, however this has partially worked to further enhance this, a separate steering committee needs to be established over and above this measure.

The IDP SC will act as a support to the IDP Representative Forum, making technical decisions and inputs, to the Municipal Manager and the IDP Manager. This IDP SC, as well as the Representative Forum will be reconstituted for the IDP preparation process.

Institutional Arrangements:

- The IDP SC will be chaired by the Municipal Manager and in his absence, by the IDP Manager.
- Secretariat will be provided by the IDP Manager.
- Members of the IDP SC will comprise of the Top Management, the staff responsible for the preparation of the IDP, PMS and Budget and any other members as the Municipal Manager may deem fit.
- The IDP will remain a standing item at MANCO.

#### **4.1.2 Terms of Reference for the IDP Steering Committee**

The terms of reference for the IDP SC are as follows:

- Provide terms of reference for various planning activities associated with the IDP;
- Commission research studies as may be required;
- Consider and comment on inputs from sub-committee/s, study teams and consultants;
- Input from provincial sector departments and support providers; and IDP RF members;
- Process, summarise and document outputs;
- Make content and technical recommendations; and
- Prepare, facilitate and document meetings.

#### **4.1.1.3 The IDP Manager and Responsibilities**

Amongst other, the following responsibilities have been allocated to the IDP Manager for the IDP Process:

- To ensure that the Process Plan is finalised and adopted by Council;
- To adjust the IDP according to the proposals of the MEC;

- To identify additional role-players to sit on the IDP Representative Forum;
- To ensure the continuous participation of role players;
- To monitor the participation of role players;
- To ensure appropriate procedures are followed;
- To ensure documentation is prepared properly;
- To carry out the day-to-day management of the IDP process;
- To respond to comments and enquiries;
- To ensure alignment of the IDP with other IDP's within the District Municipality;
- To co-ordinate the inclusion of Sector Plans into the IDP documentation;
- To co-ordinate the inclusion of the Performance Management System (PMS) into the IDP;
- To submit the reviewed IDP to the relevant authorities.

#### **4.1.2 IDP Representative Forum**

##### **4.1.2.1 Composition of IDP Representative Forum**

The IDP Representative Forum (IDP RF) will be constituted as part of the preparation phase of the IDP and will continue its functions throughout the annual IDP Review processes. The proposed composition of the IDP RF could be as follows:

- EXCO members;
- Councillors;
- Traditional leaders;
- Ward Committee Chairpersons;
- Ward Committee Members;
- Senior Municipal Officials;
- Stakeholder representatives of organised groups;
- Advocates of un-organised groups;
- Resource persons;
- Other community representatives;
- National and Provincial Departments regional representatives;
- NGO's; and
- Parastatal organisations.

##### **4.1.2.2 Terms of Reference for the IDP Representative Forum**

The terms of reference for the IDP RF are as follows:

- Represent the interest of the municipality's constituency in the IDP process;
- Provide an organisational mechanism for discussion, negotiation and decision making between the stakeholders inclusive of municipal government;
- Ensure communication between all the stakeholder representatives inclusive of municipal government; and
- Monitor the performance of the planning and implementation process.

### **4.1.3 District IDP Rep Forum**

As per the district framework plan the municipality is a member of this forum and attends regularly to ensure alignment.

### **4.1.4 District Planners Forum**

As per the district framework plan the municipality is a member of this forum and attends regularly.

### **4.1.5 Council and EXCO**

The Council will consider, for comments, a draft document by March 2017. This will ensure inclusion into the national and provincial budgeting processes as well as inform the municipal budgeting process.

Adoption of the final IDP document is envisaged by the end June 2017 together with the municipal budget. Sector Plans will be approved by Council on their completion.

### **4.1.6 Planning and Development Portfolio Committee (Infrastructure)**

The portfolio committee will undertake the overall development and co-ordination of the IDP planning process and ensuring that all the relevant actors are appropriately involved;

## **5 ROLE PLAYERS**

Identify external role players, including communities, and their roles and responsibilities.

The Municipality will confirm the identification of the following role players in the IDP formulation Process by removing/adding to their list of stakeholders in the IDP Process, an advert will be placed on the local newspaper advising of the intention to commence with the IDP process and will further call on all interested and affected parties to submit their names.:

### **5.1.1 Internal Role-players**

- Council and the Executive Committee;
- Planning Development and Infrastructure Portfolio Committee;
- Mayor;
- Municipal officials;
- Municipal Manager;
- IDP Manager;
- IDP Steering Committee; and
- Representative Forum/Civil Society.

### **5.1.2 External Role-players**

- Relevant Government Departments;

- Planning professionals/facilitators;
- Municipal officials; and
- Representative Forum/Civil Society.

## 6. ROLES AND RESPONSIBILITIES

The table below provides an indication of the various roles and responsibilities of the different groupings relating to specifically the IDP development, PMS and Budgeting processes.

**Table 1:** Internal Roles and Responsibilities

Role Player	Roles and Responsibilities
Council	<p><b>IDP</b></p> <ul style="list-style-type: none"> <li>✓ Final decision making</li> <li>✓ Approval of the reviewed IDP documentation.</li> <li>✓ Coordination roles for local municipalities.</li> <li>✓ Ensuring horizontal alignment of the IDP's of the municipalities in the district council area.</li> <li>✓ Ensuring vertical alignment between the district and local planning.</li> <li>✓ Facilitation of vertical alignment of IDP's with other spheres of government and sector departments.</li> <li>✓ Provide events for joint strategy workshops with local municipalities, provincial and national role players and other subject matter specialists.</li> <li>✓ Linking the IDP process with their constituencies</li> <li>✓ Organizing public participation.</li> </ul> <p><b>PMS</b></p> <ul style="list-style-type: none"> <li>✓ Final decision making</li> <li>✓ Consider and adopt final report.</li> <li>✓ Consider and approve the performance agreement of the MM</li> <li>✓ Popularizing PMS within their constituencies</li> </ul> <p><b>BUDGET</b></p> <ul style="list-style-type: none"> <li>✓ Final decision making</li> <li>✓ Approve the budget before the start of the financial year.</li> <li>✓ Council to approve unforeseen and unavoidable expenses</li> <li>✓ Approve Service Delivery and Budget Implementation Plan</li> </ul>
Mayor	<p><b>IDP</b></p> <ul style="list-style-type: none"> <li>✓ Responsible for overseeing the process</li> <li>✓ Political responsibility an accountability regarding the process</li> </ul> <p><b>PMS</b></p> <ul style="list-style-type: none"> <li>✓ Establishing the performance agreement for the Municipal Manager in terms of the PMS.</li> <li>✓ Determine KPA's for MM based on institutional KPI's.</li> </ul>

Role Player	Roles and Responsibilities
	<ul style="list-style-type: none"> <li>✓ Determine the performance objectives and targets that the MM must meet in relation to the KPA's.</li> <li>✓ Negotiate the performance objectives and targets that the MM must meet.</li> <li>✓ Submit draft performance agreement for the MM via EXCO to the Council for consideration and approval.</li> <li>✓ Conclude and sign performance agreement with the MM on behalf of Council.</li> </ul> <p style="text-align: center;">BUDGET</p> <ul style="list-style-type: none"> <li>✓ Table budget to Council at least 90 days before the start of the financial year.</li> <li>✓ Table budget timetable to Council.</li> <li>✓ Report authorization of unforeseeable and unavoidable expenses at Council meeting after having authorized such expenses.</li> <li>✓ Submit SDBIP to Council, 14 days after approval of budget</li> <li>✓ Ensure conclusion of management's performance agreements.</li> <li>✓ Ensure that the management's performance agreements are made public.</li> <li>✓ Submit to Council an annual report within 7 months after the end of the financial year.</li> </ul>
Municipal Officials	<p>IDP</p> <ul style="list-style-type: none"> <li>✓ Provide technical/sector expertise through the IDP Technical Committee (Senior officials) □ Prepare selected Sector Plans.</li> <li>✓ Provide comments on the IDP Review document as members of staff</li> </ul> <p>PMS</p> <ul style="list-style-type: none"> <li>✓ Setting KPI's for administrative components and service providers. □ Prepare progress reports- Top management: Monthly □ Reporting on the performance measures.</li> <li>✓ Verification of interim PMS measurement results.</li> </ul>
Municipal Manager / IDP Manager	<p>IDP</p> <ul style="list-style-type: none"> <li>✓ Decide on planning process.</li> <li>✓ Monitor process.</li> <li>✓ Overall Management and co-ordination.</li> </ul> <p>PMS</p> <ul style="list-style-type: none"> <li>✓ Submission of annual performance report to Council for approval.</li> </ul>

	✓ Submission of audit to Council
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Role Player	Roles and Responsibilities
	<ul style="list-style-type: none"> <li>✓ Submit report to the Council about mechanisms, systems and processes for auditing the results of performance measurements as part of the internal auditing process.</li> <li>✓ Establishment of a performance audit committee.</li> <li>✓ Entering into performance agreements with departmental heads.</li> <li>✓ Performance monitoring</li> <li>✓ Submission of approved annual performance report, together with financial statements, to the Auditor General.</li> <li>✓ Receive external Auditors report.</li> <li>✓ Submission of audit report via EXCO to Council within 1 month of receipt.</li> <li>✓ Within 14 days of adopting the annual report: <ul style="list-style-type: none"> <li>✓ make copies available to the public and the media;</li> <li>✓ submit a copy of the report to the MEC for local government in the province;</li> <li>✓ submit a copy of the report to the Auditor General and any other institutions prescribed by regulation.</li> </ul> </li> </ul> <p style="text-align: center;"><b>BUDGET</b></p> <ul style="list-style-type: none"> <li>✓ Give notice of bank account to National Treasury (NT) and Auditor General (AG).</li> <li>✓ Supply NT and AG with list of bank accounts.</li> <li>✓ Table consolidated report of all withdrawals from bank account to Council within 30 days after the end of each quarter.</li> <li>✓ Submission of draft budget implementation plan to Mayor within 14 days after approval of the budget.</li> <li>✓ Perform mid-year performance assessment of the municipality and the submission of the report to the Mayor.</li> <li>✓ The submission of the annual financial statements to the AG within two months after the end of the Financial Year.</li> <li>✓ Submission of annual oversight reports to the Provincial Legislature within 7 days after adoption by Council.</li> </ul>

IDP Manager	<p>IDP</p> <ul style="list-style-type: none"> <li>✓ ensure that the Process Plan is adopted by Council;</li> <li>✓ Day-to-day management of the IDP process</li> <li>✓ Ensure continuous and improved participation of role players through IDPRF and other means;</li> <li>✓ Prepare documentation and submissions;</li> <li>✓ co-ordinate the preparation of the Sector Plans and their inclusion into the IDP documentation;</li> <li>✓ co-ordinate the inclusion of the Performance Management System.</li> </ul>
Role Player	Roles and Responsibilities
	<p>(PMS) into the revised IDP;</p> <ul style="list-style-type: none"> <li>✓ Submit the reviewed IDP to the relevant authorities.</li> </ul> <p>PMS</p> <ul style="list-style-type: none"> <li>✓ Day-to-day management of the process</li> <li>✓ Performance management review planning and preparation.</li> <li>✓ Prepare documentation and submissions;</li> <li>✓ ensure that the Process Plan is adopted by Council;</li> <li>✓ Day-to-day management of the IDP process</li> </ul> <p>BUDGET</p> <ul style="list-style-type: none"> <li>✓ Interact with Budget Officer for alignment of processes</li> <li>✓ Ensuring IDP process conducted timeously for budgeting purposes</li> </ul>
Manager: Budget	<p>IDP</p> <ul style="list-style-type: none"> <li>✓ Interact with IDP manager to ensure processes are aligned</li> <li>✓ Ensuring budget proposals in line with IDP</li> </ul> <p>BUDGET</p> <ul style="list-style-type: none"> <li>✓ ensure that the Process Plan is adopted by Council;</li> <li>✓ Day-to-day management of the budgeting process</li> <li>✓ Make information available to staff members for budgeting purposes</li> <li>✓ Prepare documentation and submissions;</li> <li>✓ Ensure draft budget is in place for submission to Council.</li> </ul>

**Table 2: External Roles and Responsibilities**

Role Player	Roles and Responsibilities
Planning Professionals	<ul style="list-style-type: none"> <li>✓ Specialist &amp; targeted input.</li> <li>✓ Facilitation of planning workshops.</li> <li>✓ Sector Plans.</li> <li>✓ Documentation.</li> </ul>

Representative Forum/Civil Society	<input type="checkbox"/> Representing interest and contributing knowledge and ideas.
Government Departments	<ul style="list-style-type: none"> <li>✓ Provide data and information.</li> <li>✓ Budget guidelines.</li> <li>✓ Alignment of budgets with the IDP.</li> <li>✓ Provide professional and technical support (sector specialization)</li> </ul>
Amakhosi	<ul style="list-style-type: none"> <li>✓ Provide traditional leadership</li> <li>✓ Joint planning</li> <li>✓ Makes land available</li> <li>✓ Provide data and information</li> </ul>
<b>Role Player</b>	<b>Roles and Responsibilities</b>
Local Municipalities	<ul style="list-style-type: none"> <li>✓ Joint planning</li> <li>✓ Alignment of budgets with the IDP</li> <li>✓ Documentation</li> <li>✓ preparation of the Sector Plans</li> <li>✓ communication with civil society</li> </ul>

## 7 MECHANISMS FOR PUBLIC PARTICIPATION

### 7.1 FUNCTIONS AND CONTEXT OF PUBLIC PARTICIPATION

Four major functions can be aligned with the public participation process namely:

- Needs identification;
- Identification of appropriateness of proposed solutions;
- Community ownership and buy-in; and
- Empowerment.

### 7.2 MECHANISMS FOR PUBLIC PARTICIPATION

The following mechanisms for participation will be utilized:

#### 7.2.1 IDP Representative Forum (IDP RF)

This forum will represent all stakeholders and will be as inclusive as possible. Efforts will be made to bring additional organizations into the IDP RF and ensure their continued participation throughout the process. From last year 2 representatives of the ward committee members will be invited into the meetings.

#### 7.2.2 Media

Local newspapers and the Municipality's newsletter will be used to inform the community of the progress of the IDP, when the need arises through our communications department.

### **7.2.3 Radio Slots**

The community radio station will be utilized to make public announcements where necessary.

### **7.2.4 Information sheets**

This will be prepared in English and isiZulu and be distributed via the Representative Forum where a need for this has been identified.

### **7.2.5 The Website**

The website will also be utilized to communicate and inform the community. Copies of the IDP and Budget will be placed on the website for people and service providers to download.

### **f) IDP/BUDGET Road Shows and Mayoral Izimbizo's**

The uMkhambathini LM will be hosting its community road shows to publicize the draft IDP and Budget. The venues for these meetings will be publicized at the IDP RF as well as through the media. Mayoral Izimbizo will also be used as a platform especially for the rural communities.

## **7.3 PROCEDURES/PROCESS FOR PARTICIPATION**

### **7.3.1 Representative Forum**

The representative forum will meet 4 times per annum and deal with the following issues:

- The provision of feedback on the *status quo* and strategic framework components of the IDP;
- Presentation of the draft IDP and Budget ahead of the public participation process.
- Feedback on comments received during the 21 day advert period on the Budget and IDP as well as the public participation process and suggested ways of addressing these issues.
- Recommendation by the IDP RF for adoption of the IDP by Council.

The dates of the IDP Rep Forum will be advertised together with the Council's Annual schedule of dates and invites will be sent to all members when it is closer to the date of the forum. Invites will be sent via these methods:

- Email
- Sms
- Fax and
- Post

### **7.3.2 Council Approval**

The IDP Review report will be presented to the IDP RF and the PD&I portfolio committee which will further recommend to Council for adoption.

The IDP will be tabled at EXCO for consideration and recommendation to Council for adoption. Council will then adopt the IDP and Budget as indicated in the schedule of activities.

## 8.Alignment of the IDP, Budget and Municipal Performance Management Process; and District Framework Plan

The Mkhambathini IDP Process is aligned with the process of the compilation of the 2015/2016 Budget and the Organizational Performance Management System's annual processes. It is also aligned with the uMgungundlovu District's Framework Plan after an alignment meeting held on 08 July 2018 with the District.

### **IDP- BUDGET-OPMS PROCESS MANAGEMENT PLAN FOR 2017/2018 (in 2016/2017)**

ALIGNED PROCESS	ACTIVITY	TIME FRAME	RESPONSIBILITY	OUTPUTS
<b>Critical Milestone (below is working forward to achieve it)</b>	<b>Milestone 1 (IDP preparation phase)- Submission of 2016/2017 IDP Framework and Process Plan to COGTA and Treasury</b>	<b>29 July 2016</b>	<b>All Municipalities to COGTA and Treasury</b>	<b>Submitted Framework and Process Plan</b>
IDP	Meeting with Local Municipalities/ Planning sub	08 July 2016	All municipality	Attendance register and minutes-
IDP	Provincial Planners Forum	CoGTA TBC	All municipalities	Attendance & minutes
IDP	Collect data to review Status Quo of the	01 August 2016	All municipalities	Verified data
IDP- INCORPORATING BUDGET AND OPMS	Assess the status of sector plans and policies	1 – 16 August 2016	All municipalities	Updated table indicating status of reviewed strategies, sector plans and policies
IDP	Circulate the draft Process plan internally for preliminary comments and	09 -22 July 2016	MM office,	Circulated draft
IDP	Submit Draft Process Plans to COGTA	29 July 2016	MM	Letter of acknowledge
IDP	Final Process Plans	September 2016 (Final to COGTA 28 October 2016)	MM	Copies of adverts

OPMS	Signed S54 and 56 Manager's Performance Agreements – S53 MFMA and	29 July 2016	MM	Signed performance agreements and place on website within
OPMS	Draft 2015 / 2016 Annual Performance Report – S46 MSA	29 August 2016	MM / PMS Officer	Draft 2015 / 2016 Annual Performance Report – S46 MSA
IDP	➤ MEC Panel assesses submitted 2014/2015	01-31 August 2014	MEC Panel	Results of the assessment and

ALIGNED PROCESS	ACTIVITY	TIME FRAME	RESPONSIBILITY	OUTPUTS
	IDPs ➤ Draft Process Plan			response
IDP	Adoption Final Process Plans	28 September 2016	MM	Letter of acknowledgement
IDP	Consult Private Sector, Departments, Parastatals, NGOs etc. on status quo of the district-one-	September – October 2016	MM	Schedule of consultations
<b>Critical milestone (below is work)</b>	<b>Milestone 2 : IDP Phase 1 Analysis /Status Quo analysis</b>	<b>September –end October 2016</b>	<b>MM</b>	<b>Status quo analysis reports</b>
IDP	Meeting District and LMs /Planning sub cluster on IDP	19 September 2014	All municipalities and Department of Social Development-Population Unit, KZN Treasury and StatsSA.	Draft status quo reports and data alignment
IDP	Planning Indaba/MEC Panel feedback	26 September 2014	COGTA, Sector Departments, Municipal representatives	Final IDP assessment results
BUDGET	2014 / 2015 First Quarter Budget Review	20 October 2014– Internal	Finance	Budget review report
OPMS	Internal Audit Reports on performance information must be submitted to the MM and Performance Audit	10 Quarterly	MM / Internal Audit	Quarterly performance reports
IDP	Status Quo Report to Exco – to Full Council next	October 2014	MM	Status Quo Report to Exco
IDP	IDP indaba (OoP on PGDP, MEC Panel Feedback,			

<b>Critical milestone (below is working backwards to achieve)</b>	<b>Milestone 3 Phase 2 &amp;3 of the IDP: Review Strategies &amp; projects</b>	<b>25 November 2016</b>	<b>All municipalities</b>	<b>Reviewed strategies report</b>
IDP	Review municipal strategies	3– 18 November	All municipalities	Report reviewed on

ALIGNED PROCESS	ACTIVITIES AND MILESTONE	TARGET DATES	RESPONSIBILITY	OUTPUTS
		2016		strategies
IDP-OPMS-BUDGET	Develop the measurable objectives for the next financial year and include the required budget for achieving those	25 November 2016	Internal Departments	Reports /inputs in required format
OPMS	Internal Audit Reports on performance information must be submitted to the MM and Performance Audit Committee – S45 MSA and Reg 14 PPMR	Quarterly	MM / Internal Audit	Quarterly performance reports
IDP	Consult Private Sector, Sector Departments, Parastatals, NGOs etc. on strategies and priorities of the district- <b>IDP Representative</b>	25 November 2016	District municipality (joint engagement of all municipalities, registered stakeholders and service providers)	Aligned Programmes reports
IDP	Update Report on alignment for this Phase to Mayors Forum	26 October 2016 (as per	District Municipality	Phase Update reports
IDP	Strategies Report to Exco/Full Council	By 15 December 2016	MM per Council calendars	Item: reviewed strategies report for approval
IDP	Sector –Municipal Alignment sessions under the auspices of COGTA- uMgungundlovu District	Between 1-22 November 2016	COGTA, Municipal Representatives-all managers, Sector Departments and State- Owned Enterprises (SOEs)	Alignment of MTSFs, MTEFs, programmes and budgets
IDP	Prioritization of IDP projects	01– 12 December 2017	Technical Services	Projects prioritization lists integrated into the IDP
OPMS	Mid-year budget and performance assessment – S72 MFMA	25 January 2017	MM / CFO / S56 Managers / PMS	Mid-year performance report
BUDGET-IDP	/2016 Interdepartmental Budget Inputs	26 January– 06 February 2015	Council, HODs	Completed templates aligned to IDP format
OPMS	Schedule Performance Audit Committee	30 January and 31	MM / Internal Audit	Minutes of Committee

ALIGNED PROCESS	ACTIVITIES AND MILESTONE	TARGET DATES	RESPONSIBILITY	OUTPUTS
	year – Reg 14 PPMR	July 2017		meetings
OPMS/BUDGET	Mid-year Budget review/adjustment and performance assessment	24 February 2017	MM/CFO/S57 Manager/PMS Officer	Budget Mid-Term review report
BUDGET	Review National and Provincial allocation for incorporation in draft budget	2 February 2017	MM/CFO	
IDP, BUDGET AND	Draft IDP/ Budget Report to EXCO	February 2015	Corporate Services	Item :submission of draft IDP to EXCO
IDP- BUDGET- SDBIP	Alignment of IDP and Budget towards SDBIP	17- February 2015	HODs, Internal Audit.	Completed templates aligned to IDP format
IDP	Meeting of COGTA and Municipalities of IDP Assessments process 2015/	13 February 2015	COGTA, Municipal Representatives, Sector Departments and State- Owned Enterprises (SOEs)	Adopted assessment criteria
<b>Critical milestone (below is working backwards to achieve it)</b>	<b>Milestone 4 Phase 4 &amp;5 of the IDP: Integration and approval/ Adoption and submission of Draft 2015/ 2016 IDPs to COGTA and</b>	<b>31 March 2017</b>	<b>Corporate Services DCOGTA AND TREASURY</b>	
BUDGET	2017/2018 First Draft Budget	10 March 2015 18 March 2015	EXCO Full Council	First Draft Budget report
SDBIP	Submit draft Reviewed 2015/16 SDBIP to Treasury	27 March 2015	Treasury, Corporate Services	Proof of submission of draft reviewed
IDP	Municipalities submit draft Reviewed 2017/2018 SBDIPs to COGTA	March 2017	MM	Proof of submission of draft reviewed IDP
IDP	Update Report on alignment for this Phase to Mayor	March 2017 (per Calendar)	MM	Phase reports Update
BUDGET	Grants Notification to Local Municipalities	11 March 2017	District Municipality	Grants Notification report
IDP	Adoption of Draft IDP by Council	Before end March 2017	MM	Council Resolution

IDP	Submission of Draft IDPs to COGTA	31 March 2017	PMS/IDP officer	Proof of submitting the draft IDP on time to CoGTA
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ALIGNED PROCESS	ACTIVITIES AND MILESTONE	TARGET DATES	RESPONSIBILITY	OUTPUTS
IDP & BUDGET	Advertise Draft IDPs and draft Budget for Public Comments	22 March – 17 April 2017	PMS/IDP officer	Copies of adverts and directions
OPMS	Review OPMS Policy and prepare draft OPMS scorecard for inclusion into draft IDP (Ensure draft scorecard indicators are aligned to IDP objectives)	28 April 2017	S56 Managers / PMS officer	Aligned process
<b>Critical milestone (below is working backwards to achieve it)</b>	<b>Milestone 5: Assessment of Draft 2017/2018 IDPs and self-assessment</b>	<b>29 April 2017</b>	<b>DCOGTA Sector Depts.</b>	
IDP	Meeting with District and LMs –planning sub-cluster on IDP for self-assessment and planning for joint izimbizo. Also prepare for	03 April 2015	All Municipalities	circulated self-assessment tool and draft izimbizo contents. Finalize allocated roles for assessments presentations.
IDP & BUDGET	Present Draft IDP and Budget to the community (Izimbizo) and all stakeholders	04 April 2017 05 April 2014	Corporate Services	Approved and published schedule of dates for Izimbizo
IDP	Convening of decentralised IDP Assessment Forums	29 April 2017	COGTA, Municipal Representatives, Sector Departments and State- Owned Enterprises (SOEs)	Attendance and reports

IDP	IDP Assessment Feedback Session based on IDP Assessment Frameworks	May 2017	COGTA: IDP Coordination Business Unit, COGTA  Sector Departments  Municipal representatives and	Attendance reports and
IDP & BUDGET	Incorporate public comments on Draft IDP and Budget	03 – 12 May 2017	PMS officer	Incorporated comments

ALIGNED PROCESS	ACTIVITIES AND MILESTONES	TARGET DATES	RESPONSIBILITY	OUTPUTS
IDP	Incorporate comments from the Assessment panel from	15 May 2017	PMS Officer	Responsible
BUDGET	Table Final Draft Budget  Approve Final Budget 2017/2018	13 May 2017  27 May 2017	Finance Committee Executive	Minutes  Council Resolution
IDP-BUDGET-OPMS	Address comments from the Auditor General on the Annual Report of the previous	30 March 2017	All Municipalities	Responsible
IDP	Update Report on alignment for this Phase to MMs	March 2017 (per Calendar)	District Municipality	Phase Update reports
IDP	Update Report on alignment for this Phase to Mayors Forum	March 2017 (per Calendar)	District Municipality	Phase Update reports
IDP	Present Final Draft IDP to Exco	May 2017	MM	Item: final draft IDP
IDP-OPMS	Adoption of 2017/18 IDP and performance targets by Council	June 2017	MM	Council Resolution
OPMS	Approved Departmental SDBIPs / Scorecards – S53	26 June 2017	Mayor /MM (PMS Officer)	Report
OPMS-IDP	Approved Municipal / Organisational Scorecard – S44	26 June 2017	PMS Officer &MM	Report
OPMS	Performance Reports twice a year – Reg 13	25 January and 11 August	Mayor / MM / PMS Officer / S56	Reports
IDP-BUDGET	Submit and publish adopted IDP/Budget to COGTA and	08 July 2017	PMS  COGTA	Copies of adverts and directions
IDP-BUDGET-OPMS	Prepare Final Service Delivery and Budget Implementation	29 June 2017	MM	Finalized SDBIPs
OPMS	Complete Datasheet and submit to CoGTA – S47 MSA	25 August 2017	MM / CFO / S57 Managers / PMS Officer	Portfolio of evidence on submission

<b>ALIGNED PROCESS</b>	<b>ACTIVITIES AND MILESTONES</b>	<b>TARGET DATES</b>	<b>RESPONSIBILITY</b>	<b>OUTPUTS</b>
OPMS	Draft 2015 / 2016 Annual Performance Report – S46 MSA	25 August 2017	MM	Final Report submitted to COGTA and Auditor General
OPMS	Prepare 2016 / 2017 Performance Working Paper File and submit to AG after necessary approvals	31 August 2017	MM / PMS / Internal Audit	Report
IDP	MEC Panel assesses Reviewed IDPs	25 July – 30 September 2017 (As per COGTA)	COGTA-led panel	Results

## **9 MECHANISMS AND PROCEDURES FOR ALIGNMENT**

### **9.1. VERTICAL ALIGNMENT**

While the IDP process is a local process, as become evident during the IDP preparation process, it requires substantial input and support from other spheres of government i. e. national and provincial departments (as well as service providers). There accordingly needs to be alignment with these role-players. In essence, the roles of the various spheres of government in the IDP Review Process are anticipated as follows:

- a. **NATIONAL LEVEL:** The national sphere of government should at least provide a framework for the preparation of the Sectoral plans, and where possible funding for such plans. This will contribute to the creation of a normative framework and consistency between municipalities. The national sphere should also coordinate and prioritise programmes and budgets between sectors and the national sphere in line with the framework.
- b. **PROVINCIAL LEVEL:** As with the National Government, the Provincial Government should prepare Sectoral Guidelines and funding for the preparation of Sectoral Plans. The preparation of the Sector Plans and programmes and district programmes also needs to be co-ordinated and aligned.
- c. **LOCAL LEVEL:** Local Government has to review IDP's and prepare Sectoral Plans. In order to ensure that the 2015/2016 IDP Review process is undertaken in a holistic manner, it is essential that there is interaction and alignment between the uMgungundlovu District Municipality and the local municipalities located within the uMgungundlovu District:
- d. The uMgungundlovu District Municipality through Economic Development and Planning Cluster, which comprises of all local municipalities of the district, has prepared a framework plan (as required in terms of Section 27 of the Municipal Systems Act, 2000) to co-ordinate all planning activities during the review process.
- e. The District Municipality will also organize district level IDP alignment workshops and meetings between all municipalities, as well as between municipalities and service providers.

### **9.2 HORIZONTAL ALIGNMENT**

The uMgungundlovu District Technical co-ordinating committee chaired by the District Municipal Manager as well as the Economic Development and Planning Committee will meet on a monthly basis to monitor the progress with regard to the IDP of all the local municipalities.

Each Manager of the Local municipality will submit written report to the committee indicating progress and deviation from the local adopted Process Plan and proposals as to how recommendations are to be given content to, should it necessitate amendment of the Framework Plan.

## **9.2 .1 TYPES OF ALIGNMENT MECHANISMS**

### **9.2.1.1 IDP REPRESENTATIVE FORUM**

- The forum will represent all stakeholders and will be as inclusive as possible. Additional organizations will be encouraged to participate in the forum throughout the process.
- Represents the interests of their constituents in the IDP Process;
- Provide an organisational mechanism for discussion, negotiation and decision making between the stakeholders including the municipality;
- Participate in the process of setting up and monitoring “key performance indicators” in line with the “Performance Management Framework”.

### **9.2.2 PLANNING & DEVELOPMENT FORUM**

- This forum aligns all Local Municipalities IDP,
- Ensures that all Municipalities are on the same component according to periods of their timeframes indicated in their process plans.

## 10 COST ESTIMATES

ITEM	COST ESTIMATE
<b>Phase 1</b>	
IDP Rep. Forum	R25 000
<b>Phase 2</b>	
IDP Wards Committee Meetings	R35 000
Adverts	R15 000
<b>Phase 3 and 4</b>	
Alignment meetings/workshops	R30 000
MANCO	
IDP/Budget Izimbizo	R500 000
<b>TOTAL</b>	<b>R 580 000</b>

## **11 CONCLUSION**

This process plan for the IDP/Budget Review 2015/2016 has:

- 11.2** Detailed the organizational arrangements for the review process;
  - 11.2.1** Outlined the roles and responsibilities;
  - 11.2.2** Outlined the mechanisms and procedures for public participation;
  - 11.2.3** Described the mechanisms and procedures for alignment ;
  - 11.2.4** Provided an action plan and;
  - 11.2.5** Provided a cost estimate for facilitating the review process

### **Once adopted by Council, it:**

2015/2016 Final Process Plan will be forwarded to the Department of Co-operative Governance and Traditional Affairs before end of September 2016 and thereafter it will be advertised on the Municipal Website and also in the Council Notice Board.