



# **UMNGENI MUNICIPALITY**

## **Process Plan**

### **For 2016-2017 IDP Review**



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## 1. BACKGROUND

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 (IDP). The IDP is a strategic plan that guides and informs all planning processes, activities, decision making, budgeting and management in the municipality.

The first uMngeni IDP was adopted in 2002. The IDP has a five year lifespan which is in accordance with the term of office of the Council. At the end of the five year period, the new council has the option of either adopting the IDP of its predecessor, to bring forward aspects that are still relevant or to develop a new plan altogether.

In terms of Section 26 of the Municipal Systems Act, 2000 *"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 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 3 years; and*
- (i) the key performance indicators and performance targets determined."*

In terms of Section 34 of the Municipal Systems Act, 2000:

*"A municipal council-*

*(a) must review its integrated development plan-*

- (i) Annually in accordance with an assessment of its performance measurements*
- (ii) To the extent that changing circumstances so demand; and*

*(b) may amend its IDP in accordance with a prescribed process."*

In order to ensure certain minimum standards in the IDP process, and coordination between and within the various spheres of government, the preparation of a Process Plan has been regulated in the Municipal Systems Act (MSA), 2000. Section 28(1) of the Act requires each municipal council to “adopt a process set out in writing to guide the planning, drafting, adoption and review of its integrated development plan”. The Process 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 roleplayers in the IDP process; and cost estimates for the review process.

This process plan forms part of the last review of the 3<sup>rd</sup> generation of IDPs for uMngeni Municipality.

## **2. ORGANISATIONAL ARRANGEMENTS**

In order to manage the IDP Process, and to provide for effective public participation therein, it is proposed that the following organisational arrangements be in place:

### **uMngeni Local Council**

- Adopting the Process Plan, managing and coordinating the IDP process by:
- Ensuring that business plans and budget decisions are based on the IDP.
- Ensuring that Key Performance Indicators and Targets as outlined in the PMS are realistic and achievable.
- Ensuring that the IDP is tied to the budget.
- Ensuring that there is a linkage between the IDP, the Performance Management System (PMS), and the Budget Process.
- Monitoring the implementation of the IDP.
- Ensuring that the IDP process complies with the prescribed legislation.
- Approving and adopting the IDP.

### **Council's Executive Committee**

- Decision making body throughout the IDP process.
- Monitoring of the IDP Process.
- Overall management and co-ordination of the IDP process.
- To finalise the Terms of Reference of the IDP Representative Forum for the IDP process.
- To provide the Terms of Reference for various planning activities.

### **Ward Councilors / Ward Committees**

- Linking the IDP process to their constituencies.
- Facilitating public consultation and participation.
- Ensuring transparency in the IDP process.

## **IDP Manager**

Amongst others, the following responsibilities are allocated to the IDP Manager for the IDP Process:

- Ensuring that the Process Plan is finalised and adopted by Council;
- Adjusting the IDP in accordance with the MEC's proposals;
- Identifying additional role-players to sit on the IDP Representative Forum;
- Encouraging the continuous participation of role-players;
- Monitoring the participation of role-players;
- Ensuring that appropriate procedures are followed;
- Ensuring that documentation is properly prepared;
- Carrying out the day-to-day management of the IDP process;
- Responding to comments and enquiries;
- Ensuring alignment of the IDP with the District Municipality;;
- Providing input into the review of the Sector Plans and ensuring their inclusion into the IDP documentation; and
- Submitting the IDP to the relevant authorities.

## **The IDP Technical Committee**

This Committee is chaired by the Municipal Manager and comprises of the Heads of Department and other key officials. Its Terms of Reference is as follows:

- To commission research studies or any other information collection activity;
- To assess proposals from project teams and make recommendations in regard to improvements / amendments.
- To process, summarise and document outputs;
- To make content recommendations to the IDP Manager, IDP Representative Forum and Council
- To prepare, facilitate and document meetings;
- To assess, and comment on, inputs from project teams, provincial sector departments and support providers.

## **Project Teams**

The municipality will establish project teams to deal with project planning and implementation if and when required. Such teams will comprise municipal officials, public/private sector agencies and relevant portfolio councilors.

## **IDP Representatives Forum**

The main function of the IDP Representative Forum is to ensure the participation of various interested and affected organizations, groups and individuals. The general Terms of Reference of the Forum, in accordance with the IDP Guidelines, are as follows:

- Represent the interests of constituents in the IDP process;
- Provide an organizational mechanism for discussion, negotiation and decision making between the stakeholders, including municipal government;
- Ensure communication between all the stakeholder representatives, including municipal government; and
- Monitor the performance of the planning and implementation process.

In order to encourage the continued participation of Forum members in the IDP process (as well as to encourage additional organizations to become members of the Forum), it is proposed that notices informing community members of the IDP process be placed in the local press, and on Municipal notice boards.

### 3. ROLES AND RESPONSIBILITIES

The internal and external role players in the uMngeni IDP process are the following:

#### Internal role players

- Council / Executive Committee;
- Ward Councillors/Ward Committees;
- Mayor;
- Municipal officials;
- Municipal Manager (IDP Manager).

#### External role players

- Planning professionals/facilitators;
- uMgungundlovu District Municipality;
- IDP Representative Forum/Civil Society;
- Service Providers; and
- Government Departments.

The main roles and responsibilities allocated to each of the role-players in the IDP Process are set out in the table below:

INTERNAL ROLEPLAYERS	ROLES AND RESPONSIBILITIES
Council / Executive Committee	Final decision-making. Decide on the process plan. Approval of the IDP documentation.
Ward Councilors/Ward Committees	Linking the IDP process with their constituencies. Gathering input. Facilitating public participation.
Mayor	Be responsible for the overall management, coordination and monitoring of the process.



<b>Municipal Officials</b> (Through Technical Committee)	Provide technical/sector expertise. Provide input into selected Sector Plans. Prepare draft project proposals.
Municipal Manager IDP Manager	Decide on IDP process. Monitor IDP process. Overall Management and co-ordination. Day-to-day management of the process. Drafting of the IDP documentation.
IDP Technical Committee	Assist and support the Municipal Manager and the IDP Representative Forum. Information "gap" identification. Oversee the alignment of the planning process internally.

<b>EXTERNAL ROLEPLAYERS</b>	<b>ROLES AND RESPONSIBILITIES</b>
Planning Professionals/Facilitators	Methodological guidance. Facilitation of planning workshops. Support and input into Sector Plans. Documentation of the outcomes of planning activities.
Umgungundlovu District Council	Co-ordination role for local municipalities. Ensuring horizontal alignment of the IDPs of the municipalities in the district council area. Ensuring vertical alignment between the district and local planning.
	Facilitation of vertical alignment of IDP's with other spheres of government and sector departments. Provide events for joint strategy workshops with local municipalities, provincial and national role-players and other subject matter specialists
IDP Representative Forum/ Civil Society	Representing stakeholder interests and contributing knowledge and ideas.
Service Providers	Technical input Provide data and information on capital projects Ensuring alignment
<b>Government Departments</b>	Provide data and information. Provide budget guidelines. Facilitate alignment of budgets with the IDP. Provide professional and technical support.

## **4. MECHANISMS AND PROCEDURES FOR PUBLIC PARTICIPATION**

### **Functions and context public participation**

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

- appropriateness of solutions;
- needs orientation;
- community ownership; and
- empowerment

The public participation process in the IDP Process has to be institutionalized - in order to ensure that all residents have an equal right to participate.

### **Mechanisms for participation**

The following participation mechanisms are proposed:

IDP Representative Forum - The Forum will represent all stakeholders and will be as inclusive as possible. Additional organisations will be encouraged to participate in the Forum throughout the IDP process.

Media - Amongst other means, the local press and the municipal website will be used to inform the community of the progress with respect to the IDP process.

Ward Committees - Ward Committees are to be briefed on the IDP progress. They will be tasked with liaising with residents in each Ward, providing feedback and facilitating public participation.

Loud hailing is also used as a form of mechanism for the mobilization of communities for participation in municipal plans especially to those who cannot read and write.

## **5. ACTION PROGRAMME**

### **Core of the IDP preparation**

The key elements to be addressed during the review process will be the following:-

- Draft IDP Assessments
- MEC Panel Assessments
- Self-Assessment gaps identified
- New council priorities
- Outcomes based approach
- The review of the Spatial Development Framework incorporating a capital investment framework
- Spatial Planning and Land Use Management Act implementation requirements

The action programme detailed below shows the link of the IDP process with the related activities of the Budget and Organisational Performance Management System (OPMS).

Aligned process	Activities	Target dates	Responsibility	Outputs
IDP	UMDM IDP Sub-cluster meeting	07/07/2015	IDP Manager	Process Plan Framework
IDP-BUDGET-OPMS	Prepare Draft 2016-2017 Process Plan	10-24/07/2015	IDP Manager	Draft Process Plan
IDP	MEC Panel assesses submitted 2015-2016 IDP Review	27/07/2015 to 30/09/2015	MEC Panel	MEC comments of submitted IDP Review
IDP	Submit Draft 2016-2017 Process Plan to COGTA for comments	31/07/2015	IDP Manager	Letter of acknowledgement
OPMS	Signed S56 & S57 Managers Performance Agreements	31/07/2015	Municipal Manager, PMS Manager	Signed Performance agreements
IDP	Collect data to review Status Quo of municipality	14/08/2015	IDP Manager	Verified data and status quo report
IDP-BUDGET-OPMS	Assess status of sector plans and policies	23/08/2015	IDP Manager	Updated table indicating status of reviewed sector plans and policies
OPMS	Draft 2014-2015 Annual Performance Report	28/08/2015	Municipal Manager PMS Manager	Draft 2014-2015 Annual Performance Report
IDP-BUDGET-OPMS	Submission and adoption of Process Plan to all relevant council committees	31/08/2015	IDP Manager, GM: Economic Development & Planning, Honourable Mayor	Adopted Process Plan with council resolution
IDP-BUDGET-OPMS	Public notice on the adoption of Process Plan	02-23/09/2015	Communications Manager	Public notice of adopted Process Plan
IDP	UMDM IDP Sub-cluster meeting	18/09/2015	IDP Manager	Draft Status Quo report and data alignment
IDP-BUDGET-OPMS	Submission of adopted Process Plan to COGTA	25/09/2015	IDP Manager	Letter of acknowledgement
IDP	Planning Indaba / MEC Panel feedback	30/09/2015	IDP Manager	Assessment feedback
BUDGET	2015-2016 First Quarter Budget Review	29/10/2015	CFO, Budget Manager	Budget review report
IDP	Submission of Status Quo report to all relevant council committees	30/09/2015	IDP Manager, GM: Economic Development & Planning	Status Quo report to all relevant council committees
OPMS	Internal Auditor reports on performance information to be submitted to the MM and the Audit Committee	30/09/2015	Municipal Manager, Internal Audit Manager	Quarterly performance report

Aligned process	Activities	Target dates	Responsibility	Outputs
IDP	IDP Representative Forum	09/10/2015	Honourable Mayor, GM: Economic Development & Planning, IDP Manager	Present Status Quo report and feedback on current IDP Review
IDP	Community Based Plans (CBP)	01-30/11/2015	Communications Manager IDP Manager Ward Committees	Community Based Plans for all wards
IDP	Review municipal strategic objectives	02-18/11/2015	MANCO, EXMANCO	Report on reviewed strategies
IDP-BUDGET-OPMS	Develop measurable objectives for the next financial year including budget provision	19-30/11/2015	Internal departments	Departmental inputs
IDP	UMDM IDP Sub-cluster meeting	20/11/2015	IDP Manager	Alignment of strategies reports
IDP	UMDM IDP Representative Forum	27/11/2015	IDP Manager	Alignment of programmes
IDP	Strategies report to relevant council committees	30/11/2015	IDP Manager, GM: Economic Development & Planning	Strategies report presented to council committees
IDP	IDP Best Practice Conference	To be confirmed	IDP Manager	Presentations on best practice
IDP	Prioritisation of projects	11/12/2015	Ward committees	Prioritisation list integrated into IDP
IDP-BUDGET	Interdepartmental Budget inputs for 2016-2017 financial year	20/12/2015	Internal departments Budget Manager	Departmental inputs
OPMS	Internal Auditor reports on performance information to be submitted to the MM and the Audit Committee	31/12/2015	Municipal Manager, Manger: Internal Audit	Quarterly performance report
BUDGET-OPMS	2015-2016 mid-year budget and performance assessment	27/01/2016	CFO, Budget Manager	Mid-year performance report
IDP-BUDGET-OPMS	Alignment of Draft IDP and Budget towards Draft SDBIP	01-29/02/2016	Internal departments IDP Manager	Draft IDP, Budget and SDBIP
IDP	COGTA departmental sector alignment sessions	12/02/2016	IDP Manager	Department programmes report

<b>Aligned process</b>	<b>Activities</b>	<b>Target dates</b>	<b>Responsibility</b>	<b>Outputs</b>
BUDGET	Budget mid-term review	24/02/2016	CFO, Budget Manager	Mid-term budget review report
IDP-BUDGET-OPMS	Submission and tabling of Draft 2016-2017 IDP Review, Multi-year Budget and SDBIP to all relevant council committees	01-30/03/2016	Honourable Mayor, Full Council	Draft 2016-2017 IDP Review, Multi-year Budget and SDBIP with council resolutions
IDP-BUDGET-OPMS	Submission of Draft 2016-2017 IDP Review, Draft Multi-year Budget and Draft SDBIP to relevant sector departments	31/03/2016	IDP Manager, Budget Manager, PMS Manager	Letters of acknowledgement
IDP	UMDM IDP Sub- cluster meeting	01/04/2016	IDP Manager	Self-Assessment tool
IDP	IDP Representative Forum	04/04/2016	Honourable Mayor and all relevant internal departmental personnel	Presentation of Draft IDP Review
IDP-BUDGET-OPMS	Presentation of Draft 2016-2017 IDP Review and Draft Multi-year Budget to communities in all wards	05-29/04/2016	Honourable Mayor and all relevant internal departmental personnel	Register and minutes of public inputs
IDP-BUDGET-OPMS	Public notice on tabled items including a schedule of public meetings	06/04/2016	Communications Manager	Public notice
IDP	IDP Assessment feedback Session	21/04/2016	COGTA	Report of assessment feedback
IDP-BUDGET	Incorporate stakeholder comments on Draft IDP Review and Multi-year Budget	22/04/2016	IDP Manager, Budget Manager	Incorporate comments into final IDP Review and Multi-year Budget
IDP	Convening of decentralised IDP Assessment Forums	To be confirmed	IDP Manager	IDP assessment report
IDP-BUDGET-OPMS	Tabling and adoption of 2016-2017 IDP Review and Multi-year Budget	25/05/2016	Honourable Mayor	Adopted 2016-2017 IDP Review and Multi-year Budget with council resolution
IDP-BUDGET-OPMS	Address AG comments on the Annual Report of the previous financial year	31/05/2016	MANCO	Response table

<b>Aligned process</b>	<b>Activities</b>	<b>Target dates</b>	<b>Responsibility</b>	<b>Outputs</b>
IDP	Public Notice on adopted 2016-2017 IDP Review and Multi-year Budget	01/06/2016	Communications Manager	Public Notice
IDP-BUDGET	Submission of 2016-2017 IDP Review and Multi-year Budget to relevant sector departments	08/06/2016	IDP Manager, Budget Manager	Letter of acknowledgement
OPMS	Approved departmental SDBIP /Scorecards – S53 MFMA & S44 MSA	24/06/2016	Full Council, Honourable Mayor, PMS Manger	Council resolution of municipal Scorecard and signed SDBIP

## 6. MECHANISMS AND PROCEDURES FOR ALIGNMENT

While the IDP process is a local 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 process are anticipated as follows:

**National Linkages:** 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 co-ordinate and prioritises programmes and budgets between sectors and the national sphere in line with the framework.

**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.

**District Level:** The uMgungundlovu District Municipality in consultation with local municipalities of the district will prepare 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. Through the IDP Manager, the District Municipality will also organise district level alignment meetings between all municipalities, as well as between municipalities and service providers.

The uMngeni Municipality will participate in district alignment events and will also attempt to draw individual service providers into the local planning process. The Municipality will also contribute strategies in addressing district level issues during alignment events.

## 7. COST ESTIMATE

### Cost allocation for the IDP preparation

The costs associated with the IDP Preparation are outlined below:

Task	Description	Estimated cost
IDP Input	SDF Review	R100,000
Public Participation	Izimbizo	R60,000
Total	In accordance with Audit and funding available	R160,000

The uMngeni 2016-2017 IDP Review will be prepared in-house.