



**DRAFT 2019/2020 IDP REVIEW, MTREF- BUDGET AND PMS PROCESSS PLAN**

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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 2018. 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 2018 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 ROLE PLAYERS**

ROLE PLAYER	RESPONSIBILITY
<b>COUNCIL</b>	<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> </ul>
<b>COUNCIL</b>	<ul style="list-style-type: none"> <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</li> </ul>

	<p>and other subject matter specialists.</p> <ul style="list-style-type: none"> <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>
	<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>
	<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><b>BUDGET</b></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. <ul style="list-style-type: none"> <li>✓ Submit to Council an annual report within 7 months after the end of the financial year.</li> </ul> </li> </ul>
<b>MUNICIPAL OFFICIALS</b>	<p><b>IDP</b></p> <ul style="list-style-type: none"> <li>✓ Provide technical/sector expertise through the IDP Technical Committee (Senior officials)</li> <li>✓ Prepare selected Sector Plans.</li> <li>✓ Provide comments on the IDP Review document as members of staff</li> </ul> <p><b>PMS</b></p> <ul style="list-style-type: none"> <li>✓ Setting KPI's for administrative components and service providers.</li> <li>✓ Prepare progress reports- Top management: Monthly</li> <li>✓ Reporting on the performance measures.</li> <li>✓ Verification of interim PMS measurement results.</li> </ul>
<b>MUNICIPAL MANAGER / IDP MANAGER</b>	<p><b>IDP</b></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><b>PMS</b></p> <ul style="list-style-type: none"> <li>✓ Submission of annual performance report to Council for approval.</li> <li>✓ Submission of audit to Council</li> </ul>
	<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</li> </ul>

	<p>of the internal auditing process.</p> <ul style="list-style-type: none"> <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:</li> <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>
	<p><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>
<b>IDP MANAGER</b>	<b>IDP</b>

	<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>
	<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><b>PMS</b></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><b>BUDGET</b></p> <ul style="list-style-type: none"> <li>✓ Interact with Budget Officer for alignment of processes</li> </ul> <p>Ensuring IDP process conducted timeously for budgeting purposes</p>
<p><b>MANAGER: BUDGET /CHIEF FINANCIAL OFFICER</b></p>	<p><b>IDP</b></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><b>BUDGET</b></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> </ul>



	✓ Ensure draft budget is in place for submission to Council.
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**Table 2: EXTERNAL ROLES AND RESPONSIBILITIES**

<b>ROLE PLAYERS</b>	<b>RESPONSIBILITIES</b>
<b>PLANNING PROFESSIONALS</b>	<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>
<b>REPRESENTATIVE FORUM/CIVIL SOCIETY</b>	<ul style="list-style-type: none"> <li>✓ Representing interest and contributing knowledge and ideas.</li> </ul>
<b>GOVERNMENT DEPARTMENTS</b>	<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>
<b>AMAKHOSI</b>	<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>LOCAL MUNICIPALITIES</b>	<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 Local Municipality 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.
  
- ✓ 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 2019/2020 (in 2018/2019)**

<b>ALIGNED PROCESS</b>	<b>ACTIVITY</b>	<b>TIME FRAME</b>	<b>RESPONSIBILITY</b>	<b>OUTPUTS</b>
<b>Critical Milestone (below is working forward to achieve it)</b>	<b>Milestone 1 (IDP preparation phase)- Submission of 2019/2020 IDP Framework and Process Plan to COGTA and Treasury</b>	<b>27 July 2018</b>	<b>All Municipalities to COGTA and Treasury</b>	<b>Submitted Framework and Process Plan</b>
<b>IDP</b>	Meeting with Local Municipalities/Planning sub cluster on IDP	13 July 2018	All municipality	Attendance register and minutes-
<b>IDP-Budget-OPMS</b>	Prepare 2019/2020 IDP/Budget/OPMS Process Plan	13-27 July 2018	Municipal Managers Office	Drafts FP-PPs completed

<b>IDP</b>	Submit Draft Framework/Process Plan to COGTA	31 July 2018		
<b>IDP</b>	Provincial Planners Forum	CoGTA TBC	All municipalities	Attendance & minutes
<b>IDP</b>	Collect data to review Status Quo of the Municipality	01 August 2018	All municipalities	Verified data
<b>IDP-INCORPORATING BUDGET AND OPMS</b>	Assess the status of sector plans and policies	13 – 28 July 2018	All municipalities	Updated table indicating status of reviewed strategies, sector plans and policies
<b>IDP</b>	Circulate the draft Process plan internally for preliminary comments and inputs, including EXCO	09 -22 July 2018	MM office,	Circulated draft
<b>IDP</b>	Submit Draft Process Plans to COGTA	31 July 2018	MM	Letter of acknowledge
<b>IDP</b>	Table Framework/Process Plan at Council	Before End September 2018	All Municipalities	Council Resolution

<b>IDP</b>	Final Process Plans	28 September 2018	MM	Letter of Acknowledgement
<b>OPMS</b>	Signed S54 and 56 Manager's Performance Agreements – S53 MFMA and S56 MSA	28 July 2018	MM	Signed performance agreements and place on website within 14 days
<b>OPMS</b>	Draft 2015 / 2016 Annual Performance Report – S46 MSA	25 August 2018	MM / PMS Officer	Draft 2015 / 2016 Annual Performance Report – S46 MSA
<b>IDP</b>	<ul style="list-style-type: none"> <li>➤ MEC Panel assesses submitted 2019/2020</li> <li>➤ Draft Process Plan</li> </ul>	1-30 September 2018	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 2018	MM	Letter of acknowledgement
IDP	Consult Private Sector, Sector Departments, Parastatals, NGOs etc. on status quo of the district-one-on-one and Ward-based engagements	September – October 2018	MM	Schedule of consultations
<b>Critical milestone (below is working backwards to achieve it)</b>	<b>Milestone 2 : IDP Phase 1 Analysis /Status Quo analysis</b>	<b>26 September – end October 2018</b>	<b>MM</b>	<b>Status quo analysis reports</b>
IDP	Meeting District and LMs /Planning sub cluster on IDP	15 September 2018	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	22 September 2018	COGTA, Sector Departments, Municipal representatives	Final IDP assessment results



<b>BUDGET</b>	2018 / 2019 First Quarter Budget Review	12 October 2018– Internal  19 October 2018– Treasury	Finance	Budget review report
<b>OPMS</b>	Internal Audit Reports on performance information must be submitted to the MM and Performance Audit Committee – S45 MSA and Regulation 14 PPMR	Quarterly	MM / Internal Audit	Quarterly performance reports
<b>IDP</b>	Status Quo Report to Exco – to Full Council next month	26 September 2018	MM	Status Quo Report to Exco /Council
<b>IDP</b>	IDP indaba (OoP on PGDP, MEC Panel Feedback, adoption of IDP management Plan review of assessment process and template)			

<b>Critical milestone (below is working backwards to achieve it)</b>	<b>Milestone 3 Phase 2 &amp;3 of the IDP: Review Strategies &amp; projects</b>	<b>23 November 2018</b>	<b>All municipalities</b>	<b>Reviewed strategies report</b>
<b>IDP</b>	Review municipal strategies	2– 17 November 2018	All municipalities	Report on reviewed
World Planning Day Event	Attend Event	08 November 2018	CoGTA Stakeholders and Municipalities	Attendance
IDP- OPMS- BUDGET	Develop the measurable objectives for the next financial year and include the required budget for achieving those objectives	20 November 2018	Internal Departments	Reports /inputs in required format
OPMS	Internal Audit Reports on performance information must be submitted to the MM and Performance Audit Committee – Section 45 MSA and Regulation 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 Forum</b>	23 November 2018	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	12 October 2018 (as per calender)	District Municipality	Phase Update reports
IDP	Strategies Report to Exco/Full Council	By 1 December 2018	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 2018	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– 13 December 2018	Technical Services	Projects prioritization lists integrated into the IDP
OPMS	Mid-year budget and performance assessment – S72 MFMA	24 January 2019	MM / CFO / S56 Managers / PMS	Mid-year performance report

BUDGET-IDP	2019/2020 Interdepartmental Budget Inputs	January– 2019 February 2019	Council, HODs	Completed templates aligned to IDP format
OPMS	Schedule Performance Audit Committee meetings twice a year – Regulation 14 PPMR	30 January and 31 July 2019	MM / Internal Audit	Minutes of Committee
OPMS/BUDGET	Mid-year Budget review/adjustment and performance assessment	25 February 2019	MM/CFO/S57 Manager/PMS Officer	Budget Mid-Term review report
BUDGET	Review National and Provincial allocation for incorporation in draft budget	8 February 2019	MM/CFO	
IDP, BUDGET AND	Draft IDP/ Budget Report to EXCO	February 2019	Corporate Services	Item :submission of draft IDP to EXCO
IDP-BUDGET-SDBIP	Alignment of IDP and Budget towards SDBIP	18- 22 February 2019	HODs, Internal Audit.	Completed templates aligned to IDP format
IDP	Meeting of COGTA and Municipalities of IDP Assessments process 2019/2020	13 February 2019	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 Budget to Treasury</b>	<b>22 March 2019</b>	<b>Corporate Services DCOGTA AND TREASURY</b>	
<b>BUDGET</b>	2019/2020 First Draft Budget	15 March 2019 22 March 2019 30 March 2019	Finance Committee EXCO Full Council	First Draft Budget report
<b>SDBIP</b>	Submit draft Reviewed 2019/2020 SDBIP to Treasury	22-31 March 2019	Treasury, Corporate Services	Proof of submission of draft reviewed SDBIP
<b>IDP</b>	Municipalities submit draft Reviewed 2019/2020 SBDIPs to COGTA	March 2019	MM	Proof of submission of draft reviewed IDP
<b>IDP</b>	Update Report on alignment for this Phase to Mayor	March 2019(per Calendar)	MM	Phase Update reports
<b>BUDGET</b>	Grants Notification to Local Municipalities	12 March 2019	District Municipality	Grants Notification report circulated

IDP	Adoption of Draft IDP by Council	Before end March 2019	MM	Council Resolution
IDP	Submission of Draft IDPs to COGTA	Before end March 2019	PMS/IDP officer	Proof of submitting the draft IDP on time to CoGTA
<b>IDP &amp; BUDGET</b>	Advertise Draft IDPs and draft Budget for Public Comments	22 March – 24 April 2019	PMS/IDP officer	Copies of adverts and directions
<b>OPMS</b>	Review OPMS Policy and prepare draft OPMS scorecard for inclusion into draft IDP (Ensure draft scorecard indicators are aligned to IDP objectives)	Before end of June 2019	S56 Managers / PMS officer	Aligned process
<b>Critical milestone (below is working backwards to achieve it)</b>	<b>Milestone 5: Assessment of Draft 2019/2020 IDPs and self-assessment</b>	<b>26 April 2019</b>	<b>DCOGTA Sector Depts.</b>	

<b>IDP</b>	Meeting with District and LMs –planning sub-cluster on IDP for self-assessment and planning for joint izimbizo. Also prepare for assessments	03 April 2019	All Municipalities	Circulated self- assessment tool and draft izimbizo contents. Finalize allocated roles for assessments presentations.
<b>IDP &amp; BUDGET</b>	Present Draft IDP and Budget to the community (Izimbizo) and all stakeholders	April 2019  (actual dates to be published)	Municipal Managers Office	Approved and published schedule of dates for Izimbizo
<b>IDP</b>	Convening of decentralised IDP Assessment Forums	11 April 2019	COGTA, Municipal Representatives, Sector Departments and State-Owned Enterprises (SOEs)	Attendance and reports
<b>IDP</b>	IDP Assessment Feedback Session based on IDP Assessment Frameworks	10 May 2019	COGTA: IDP Coordination Business Unit, COGTA  Sector Departments  Municipal representatives and SOEs.	Attendance and reports

<b>IDP &amp; BUDGET</b>	Incorporate public comments on Draft IDP and Budget	03 – 10 May 2019	PMS officer	Incorporated comments
<b>IDP</b>	Incorporate comments from the Assessment panel from COGTA	15 May 2019	PMS Officer	Response-table
<b>BUDGET</b>	Table Final Draft Budget  Approve Final Budget 2018 /2018	10 May 2019 17 May 2019  31 May 2019	Finance Committee  Executive Committee MM	Minutes  Council Resolution
<b>IDP-BUDGET-OPMS</b>	Address comments from the Auditor General on the Annual Report of the previous Financial Year	29 March 2019	All Municipalities	Response-table
<b>IDP</b>	Update Report on alignment for this Phase to MMs Forum	March 2019 (per Calendar)	District Municipality	Phase Update reports
<b>IDP</b>	Update Report on alignment for this Phase to Mayors Forum	March 2019 (per Calendar)	District Municipality	Phase Update reports
<b>IDP</b>	Present Final Draft IDP to Exco	May 2019	MM	Item: final draft IDP
<b>IDP-OPMS</b>	Adoption of 2018/18 IDP and performance targets by Council	June 2019	MM	Council Resolution



<b>OPMS</b>	Approved Departmental SDBIPs / Scorecards – S53 MFMA	25 June 2019	Mayor /MM (PMS Officer)	Report
<b>OPMS-IDP</b>	Approved Municipal / Organisational Scorecard – S44 MSA	26 June 2019	PMS Officer &MM	Report
<b>OPMS</b>	Performance Reports twice a year – Regulation 13 PPMR	24 January and 11 August 2019	Mayor / MM / PMS Officer / S56	Reports
<b>IDP-BUDGET</b>	Submit and publish adopted IDP/Budget to COGTA and Public	10 Days after adoption date or latest 10 July 2019	PMS COGTA	Copies of adverts and directions
<b>IDP-BUDGET-OPMS</b>	Prepare Final Service Delivery and Budget Implementation Plans (SDBIPs)	29 June 2019	MM	Finalized SDBIPs
<b>OPMS</b>	Complete Datasheet and submit to CoGTA – S47 MSA	25 August 2019	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 2018 / 2019 Annual Performance Report – S46 MSA	24 August 2019	MM	Report
OPMS	Prepare 2018 / 2019 Performance Working Paper File and submit to AG after necessary approvals	21 August 2019	MM / PMS / Internal Audit	Report
IDP	MEC Panel assesses Reviewed IDPs	10 July 2019	COGTA-led panel	MEC Letter

## **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 coordinating committee chaired by the District Municipal Manager as well as the Economic Development and Planning Committee will meet on a quarterly 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.

## 9. COST ESTIMATES

ITEM	COST ESTIMATE	
<b>Phase 1</b>		Budget Spent to date
IDP Rep. Forum	R25 000	0
<b>Phase 2</b>		
IDP Wards Committee Meetings	R35 000	R0
Adverts	R15 000	R0
<b>Phase 3 and 4</b>		
Alignment meetings/workshops	R30 000	R0
<b>MANCO</b>		
IDP/Budget Izimbizo	R500 000	R0
<b>TOTAL</b>	<b>R 580 000</b>	<b>R0</b>

## **9 CONCLUSION**

This process plan for the IDP/Budget Review 2019/2020 has:

- 9.2** Detailed the organizational arrangements for the review process;
  - 9.2.1** Outlined the roles and responsibilities;
  - 9.2.2** Outlined the mechanisms and procedures for public participation;
  - 9.2.3** Described the mechanisms and procedures for alignment;
  - 9.2.4** Provided an action plan and;
  - 9.2.5** Provided a cost estimate for facilitating the review process

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

2019/2020 Final Process Plan will be forwarded to the Department of Co-operative Governance and Traditional Affairs before end of September 2018 and thereafter it will be advertised on the Municipal Website and also in the Council Notice Board.