

MKHAMBATHINI LOCAL MUNICIPALITY IDP, BUDGET & PMS DRAFT PROCESS PLAN

**PROCESS PLAN FOR THE 2020/2021 IDP/BUDGET AND PMS REVIEW**

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**ACRONYMS**

AG : Auditor General

AR : Annual Report

B2B : Local Government Back to Basics Strategy

BSC : Budget Steering Committee

C/WBP : Community/Ward Based Plans

CBO : Community Based Organization

CDW : Community Development Worker

CoGTA : KZN Department of Cooperative Governance & Traditional Affairs

COP 17 : Conference of Parties 17

CPF : Community Policing Forum

DEPT. : Department

DGDP : District Growth Development Plan

DPSS : Development Planning Shared Services

EXCO : Executive Council

GIS : Geographic Information System

HSP : Housing Sector Plan

IDP : Integrated Development Planning

IDP RF : Integrated Development Planning Representative Forum

IDP TSC : Integrated Development Planning Technical Steering Committee

UMDM : uMgungundlovu District Municipality

LED : Local Economic Development

LM : Local Municipality

MANCO : Management Committee

MEC : Member of the Executive Committee

MFMA : Municipal Finance Management Act

MM : Municipal Manager

MSA : Municipal Systems Act, 2000

mSCOA : Municipal Standard Chart of Accounts

MTREF : Medium Term Revenue and Expenditure Framework

NDP : National Development Plan

NDPs : Nodal Development Plans

NGO : Non-Governmental Organization

(O)PMS : (Organizational) Performance Management System

OSS : Operation Sukuma Sakhe (War on Poverty)

PC : Portfolio Committee

PED : Planning and Economic Development

PGDS : Provincial Growth Development Strategy

PMS : Performance Management Systems

PSC : Project Steering Committee

PT : Provincial Treasury (KZN)

RET : Radical Economic Transformation

S54 / 56 : Senior Management Employed in terms of this section on the act

SCM : Supply Chain Management

SDBIP : Service Delivery and Budget Implementation Plan

SDF : Spatial Development Framework

SODA : State of the District Address

SONA : State of the Nation Address

SOPA : State of the Province Address #

SPLUMA : Spatial Planning and Land Use Management Act

TSC : Technical Steering Committee

WC(M) : Ward Committee (Member)

WR : War Room

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# Section 1: Introduction and Background

## Introduction

The Integrated Development Plan (IDP) process is a process through which the municipalities prepare strategic development plans for a five-year period, or for the review period. The IDP is the key instrument for the municipality to cope with its developmental role and seeks to arrive at decisions on issues such as municipal budgets, land management, promotion of local economic development and institutional transformation in a consultative, systematic and strategic manner. In order to ensure certain minimum quality standards of the IDP Review process and proper coordination between and within spheres of government, municipalities need to prepare an IDP Review Process Plan and formulate budget to implement the IDP. The IDP and Budget Process Plan must include the following:

* The identification of key role players and stakeholders who will facilitate and manage the reviewing process, adoption and implementation of the IDP.
* A programme specifying the timeframes 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 review and budget formulation processes;
* Procedures for monitoring and implementation of the Process Plan; and
* Cost estimates for the review process.

## Legal Context

### Local Government Municipal Systems Act 32 of 2000.

In terms of Chapter 5 [Section 28(1)] of the Local Government Municipal Systems Act 32 of 2000; 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. The act further states that as part of this, the municipality must through appropriate mechanisms, processes and procedures, consult the local community before adopting the process. The municipality must also give notice to the local community of particulars of the process it intends to follow.

In terms of Chapter 5 [Section 25 (1)]; Each municipal council must, within a prescribed period after the start of its elected term, adopt a single, inclusive and strategic plan for the development of the municipality (IDP), which links, integrates and co-ordinates development plans and aligns the resources and capacity of the municipality with the implementation of the IDP. The IDP then forms the policy framework and general basis on which annual budgets must be based. As the IDP is a legislative requirement it has a legal status and it supersedes all other plans that guide development at local level.

The IDP should consist of the following components;

1. 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;
2. 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;
3. The council’s development priorities and objectives for its elected term, including its local economic development aims and its internal transformation needs;
4. The council’s development strategies which must be aligned with any national and provincial sectorial plans and planning requirements binding on the municipality in terms of legislation;
5. A spatial development framework which must include the provision of basic guidelines for land use management system for the municipality;
6. The council’s operational strategies;
7. Applicable disaster management plans;
8. A financial plan, which must include a budget projection for at least the next three years; and
9. The key performance indicators and performance targets determined in terms of section 41.
10. Local Government Back to Basics Strategy.
11. Reflect on the Outputs from National Outcome 14.

Section 34 of the Municipal System Act requires the municipality to review its IDP annually in accordance with an assessment performance measurement in terms of Section 41 and to the extent that changing circumstances so demand and may amend its IDP in accordance with prescribe processes.

### Spatial Planning and Land Use Management Act of 2013.

Chapter 4 of the SPLUMA provides for strategic guidelines and criteria for the development of SDF across all spheres of government. Within Chapter 4 (Part E) Section 20 of the SPLUMA provides for the preparation of municipal spatial development frameworks and the contents thereof.

The Spatial Development Framework is currently under full review in compliance with the Spatial Planning and Land Use Management Act (2013) and Municipal Planning and Performance Management Regulations (2001). The review process will be completed in the 2020 financial year.

The SDF consists of following mandatory provisions:

1. Development of a Long-Term Spatial vision and objectives of the IDP for the Mkhambathini Municipality;
2. Development of a conceptual scenario for envisaged spatial form;
3. Development of a Micro-spatial Plan for the core areas which identifies the extent for future expansion of existing and proposed land uses and zones;
4. Setting out of objectives which reflect the desired spatial form of the municipality;
5. Contains strategies, policies and plans which shall:
* Analyse the opportunities and constraints within the municipality concerning the heritage, economy, agriculture; environment, infrastructure, tourism and social development;
* Delineate the agriculture land which has high potential;
* Indicate desired patterns of land use within the municipality;
* Identify existing and future land reform projects;
* Address the spatial reconstruction of the location and nature of development;
* Provide strategic guidance in respect of the location and nature of development within the municipality;
* Set out a basic framework for the development of a land use management system in the municipality;
1. Sets out a capital basic framework for the development of a land use management system in the municipality;
2. Sets out a capital investment framework for the municipality’s development programmes;
3. Analyse and clarify how sector plans will implement the SDF;
4. Take due cognisance of environmental issues;
5. Identify programmes, interventions and projects for the development of land within the municipality;
6. Alignment with SDF of neighbouring municipalities; and
7. Provides a visual representation of the desired spatial form of the municipality, which shall:
* Indicate where public and private land development and infrastructure investment should take place;
* Indicate all cross-border issues, challenges and alignment of programmes shares;
* Indicate desired or undesired utilisation of space in a particular area;
* Delineate the urban edge / services boundary;
* Identify areas where priority spending is required;
* Identify existing and proposed nodal areas where infrastructure and/ or social services should be developed.

### Municipal Finance Management Act 56 of 2003.

The process of developing the IDP has to align also with the Municipal Finance Management Act 56 of 2003, (MFMA), to ensure certain minimum quality standards of the integrated development planning and budget process. Section 21 (1.A) of this act provides that the Mayor of the municipality must co-ordinate a process for the preparation of the annual budget and the IDP review and budget related policies to ensure consistence and credibility.

The MFMA further states [In terms of Section 21B) that; at least ten months before the start of the budget year, table in the municipal council a time schedule outlining key deadlines for the preparation, tabling and approval of the annual budget, the review of the IDP and the consultative processes pertaining thereto.

The Municipal Finance Management Act (MFMA) of 2003 requires that municipalities prepare a Service Delivery and Budget Implementation Plan (SDBIP) as a strategic financial management tool to ensure that budgetary decisions that are adopted by municipalities for the financial year are aligned with their Integrated Development Plan. The SDBIP is essentially a measurement tool for municipal performance.

## Purpose of the Process Plan

Mkhambathini Local Municipality needs to plan, direct and manage its capacity and resources to support the successful implementation of its integrated development planning process and the budget. Most importantly, the Municipality needs to take into account pertinent issues such as introducing change management strategies and organizational development interventions. The Mkhambathini Municipality process plan describes how the municipality will develop and implement the integrated development plan through its budget within the area of jurisdiction. Therefore, it will have a meaningful bearing on the IDP review document once completed and/or most importantly, it may lead to the process of the develop of a new and all-inclusive integrated development planning methodology to plan and actualize future development in Mkhambathini area through budgetary allocations. Since the IDP and the successful implementation thereof is reliant on the sector plans or strategic documents, the process plan must also outline the key activities relating to the reviewing and development of organisational sector plans.

## Alignment between IDP, Budget and PMS

The PMS process must address the following issues:

• Alignment of the PMS, Budget and IDP processes;

• Implementation of individual performance management system at senior managerial level.

The IDP, performance management systems (PMS) and budget are all components of one overall development planning and management system. The IDP sets out what the municipality aims to accomplish, how it will do this. The PMS enables the municipality to check to what extent it is achieving its aims. The budget provides the resources that the municipality will use to achieve its aims. As indicated earlier, every attempt has been made in this process plan to align the IDP and PMS formulation and/or review, and the budget preparation process. The linkages of the three processes are summarised in the following diagram:

**Figure 1: Linkage between IDP, Budget and PMS**

# Section 2: IDP Development Process

## Key Components of the IDP, Budget and PMS Process Plan

The following is a summary of possible key elements to be addressed during the IDP Review Process:

### Assessment Issues

* Comments received from the various role-players in the assessment of the IDP Review, particularly during the “IDP Decentralized Assessments” conducted by COGTA as well as the MEC Panel comments; and
* Areas identified through self-assessment and CBP
* IDP Managers and Planners forum ensures that all issues of alignment between the activities of the District are synchronised with those of LMs

### Review of the Strategic Elements of the IDP in terms of Council’s New Priorities

* Vision, Mission and Objectives;
* Strategic thrusts of the Municipality (Developed in the Strategic Planning Session);
* Spatial Development Framework and other critical sector plans
* Implementation of Radical Economic Transformation Policies
* Integration with the local Government Back to Basics Strategy

### Inclusion of new information where necessary

* Addressing any areas requiring additional attention in terms of legislative requirements not addressed during the previous years of the IDP Review Process;
* On-going alignment with the newly adopted DGDP
* On-going alignment with the OPMS, in terms of Chapter 6 of the Municipal Systems Act (MSA), with the IDP;
* Any changes based on the annual performance assessment as contained in the Annual Report; and
* The update of the Financial Plan, the list of projects (both internally and externally funded).

# Section 3: Vertical and Horizontal Alignment

## Alignment Process

The review of the IDP will also be in line with the following to ensure vertical and horizontal alignment:

* UN Sustainable Development Goals
* African Union Agenda
* National Development Plan
* State of the Nation Address
* Outcomes 14
* Provincial Growth and Development Strategy
* State of the Province Address
* District Growth Development Strategy /District IDP Framework Plan
* State of the District Address
* Municipal Strategic Planning Sessions
* Local Government Back to Basics Strategy
* Operation Sukuma Sakhe
* Mayoral Budget Speech and State of the Municipality Address

## Mechanisms for Alignment

### Alignment between National and Local Government

Mkhambathini Municipality will align the IDP review process with relevant national legislation, policies, programmes (NSDF, NDP, NSSD, SPLUMA etc.) and financial plans (e.g. MTEF, MTEP). Alignment Sessions are coordinated at provincial level by various Provincial Governments such as the Decentralised IDP Sessions, at regional level through the Planners Forums and at Local level through IDP RFs.

### Alignment between Provincial and Local Government

Alignment between the province and the municipality will occur at the UMDM IDP Representative Forum. The process will have to be able to integrate the plans, programmes and budgets of the Provincial Sector Departments into the Municipal IDP. Although it is expected that the District will invite a wide range of Service Providers and Provincial Departments; the IDP Manager/MM will assess whether this is sufficient and based on the Municipal context he may choose to hold additional meetings with other Service Providers or Departments during localised representative forums.

### Alignment between District and Local Municipality

Alignment at this level will be co-ordinated at the UMDM IDP/Planners forum. The main function of the Committee is to monitor progress in the various review processes and to ensure agreement between the district and the local municipality in terms of the framework plan.

### Alignment at Local Municipal Level

The Municipal Manager / IDP Manager with the support of the IDP Steering Committee will ensure that all the role-players are performing their duties. Performance in terms of expected roles and responsibilities will be monitored at the Steering Committee meetings and corrective measures be taken should there be unsatisfactory performance.

The cross-border alignment with bordering municipalities’ i.e. Richmond, Mshwathi, Msunduzi, uMngeni, Mpofana and Impendle Municipality should be strengthened as and when necessary.

**Figure 2: Structure of Alignment**

## Alignment with stakeholders

Alignment with stakeholders is essential in order for the uMgungundlovu District Municipality and Mkhambathini Municipality’s development priorities follow a strategically aligned process of implementation. The priorities can be reflected in the project prioritization process, as well as reflecting in specific projects and programs in the IDP. It is anticipated that the IDP and Mayor’s Budget Roadshows and IDP Roadshows which will be led by EXCO and MANCO will create such a platform as well as a series of individual meetings with key organs of the state.

### Stakeholders in the IDP process

1. **Municipality -** The IDP guides the development plans of the municipality.
2. **Ward Councillors -** The IDP gives ward councillors an opportunity to make decisions based on the needs and aspirations of their constituencies.
3. **AmaKhosi** – The IDP provides for a wall-to-wall development for the municipality. AmaKhosi need to be consulted for all development proposed on rural/ITB land. AmaKhosi and traditional council members support with indigenous knowledge which help the municipality implement projects that meet specific needs of the specific community.
4. **Ward Committees/CDWs and other Stakeholders** - The IDP is based on community needs and priorities. Communities can participate actively and democratically in identifying their most important prioritized needs through ward committee and CDW structures. The IDP process encourages all stakeholders who reside and conduct business within a municipal area to participate in the preparation and implementation of the IDP.
5. **National and Provincial Sector Departments** - Many government services that affect communities at local level are delivered by provincial and national government departments for example: police stations, clinics and schools. Municipalities must consider the programs and policies of these departments. The departments should participate in the IDP process so that they can be guided how to use their resources to address local needs. Horizontal alignment of plans will also avoid duplication of activities.

### Public Participation in the IDP Process

#### Community Based Planning

A fundamental and statutory component of the IDP process is community engagement and the public participation. Participation in the integrated development planning process is only one of the several arenas of participatory interaction between local government and citizens. The municipality’s approach in participatory interaction is based on its innovative ward-based planning process or community-based planning (CBP) process where all 27 wards engage in the confirmation of their development priorities for the financial year. CBP as a form of participation in the development of Mkhambathini IDP is seen within the context that it must be people focused and empowering, led and owned by Ward Councillors and ward committee members, based on vision and strengths of the ward, and should be holistic and promote mutual accountability between elected public representatives, community and municipal administration. The CBP process will form part of the first round of consultations at ward level (Needs Assessment Phase).

#### IDP Representative Forum

The IDP Representative Forum is the structure which institutionalizes and guarantees representative participation in the IDP process. The selection of members to the IDP representative forum has to be based on criteria which ensure geographical and social representation. Essentially, all organisations, stakeholders or interest groups are represented form part of the Rep Forum.

#### IDP & Budget Roadshows

The municipality conducts IDP Roadshows during various milestones of the review process (needs analysis and draft phase). The municipality conducts roadshows in all wards to ensure effective and equal participation. After the Roadshows, an Imbizo is held where all wards come together and the Mayor tables the final IDP & Budget for that particular financial year.

# Section 4: Organisational Arrangements

**The IDP Officer** should be a dedicated person that has the required experience and authority to involve all relevant role players; and will have the following responsibilities:

* Responsible for the completion of the IDP Process Plan
* Responsible for the day to day management of the IDP review process and the allocation of resources, time, people, thereby ensuring involvement of all different role-players, especially councillors and officials.
* To monitor the continuous participation of all role players,
* That the timeframes are adhered to,
* That the participatory, strategic, implementation oriented, and sector planning requirements are compiled with,
* That information is gathered, collated and evaluated and properly documented,
* That the information obtained receives attention during the IDP process,
* To ensure that the IDP process is horizontally and vertically aligned and complies with national and provincial requirements,
* Responsible for the chairing of the IDP Steering Committee in absentia of the Municipal Manager,
* Ensuring that the MEC’s comments are attended to and form part of the IDP review process,
* Compilation of the Draft and Final IDP document.

##  IDP/Budget/PMS Institutional and Management Arrangements.

The IDP Review and Budget formulation process will be guided and undertaken within the following organizational management mechanisms:

* Municipal Council is the final decision-making body/approval of IDP and will continuously monitor progress of the development and implementation of its IDP;
* Councillors will be responsible for linking integrated development planning process to their constituencies/wards;
* IDP TSC/Management Committee (MANCO) chaired by the Municipal Manager to drive the administrative part of the process. Special MANCO will also be needed to devote to the IDP, with a standing item on the agenda;
* IDP Task Team chaired by the Manager IDP to undertake logistical arrangements in relation to the IDP
* Programme task teams including external stakeholders to revise the programmes;
* IDP Representative Forum/Mayor’s Budget Roadshows to consult with stakeholders. The IDP RF is also required in terms of legislation to bring in external stakeholders at key decision points in the process, and who have a statutory right to be involved in the decision-making process around the IDP.

### IDP/Budget/PMS Technical Steering Committee (MANCO)

The IDP Steering Committee is a strategic and technical working team making technical decisions and inputs that must ensure a smooth planning, compilation and implementation of the IDP. The IDP Steering Committee and the Stakeholders Forum will be reconstituted for the preparation of the IDP process. As part of the IDP review and budget formulation process, the Steering Committee which supports the Municipal Manager’s offices, IDP and the Budget Office.

The Composition of the IDP/Budget Steering Committee will be as follows;

Chairperson : Hon. Mayor - Cllr E Ngcongo

Secretariat : IDP Officer - Vacant (Budgeted)

Members : Municipal Manager - Vacant (budgeted)

: Chief Financial Officer - Mr. S Mngwengwe

 : Dir. Corporate Services - Ms ZM Mdlazi

 : Dir. Technical Services - Mr GS Mkhize

 : Dir. Community Services - Ms N S Mkhize

 : Finance Manager - Mr S Magcaba

: Human Resources Manager - Ms P Ndlovu

 : SCM Manager - Mr M Dlamini

 : Manager Planning & Development - Mrs E Donaldson

 : Manager PMU - Mr. TSG Zulu

 : Communications Officer - Mrs BK Mthiyane

 : PMS Officer - Mrs. TP Moses

 : Manager LED - Mrs PL Ngcobo

### Terms of Reference for the IDP/Budget/PMS Technical Steering Committee

The terms of reference for the IDP and Budget Steering Committee are as follows:

The IDP/ Budget Steering Committee will perform the following functions:

* Commission activities necessary as may be required for the successful compilation of the IDP;
* Information sharing and strategic assimilation of departmental plans:
* Inputs from subcommittees;
* Inputs from provincial sector departments and support providers;
* Processes summarise and document outputs.
* Makes content and technical recommendations;
* Prepare, facilitate and documents meetings;
* Facilitate control mechanisms regarding the effective and efficient implementation, monitoring and amendment of the IDP;
* Ensure coordination and integration of sectorial plans and projects; and
* Ensure that the municipal budget is in line with the IDP.
* Ensure IDP milestones are carried to completion by a responsible management structure.

The IDP/ Budget Steering Committee has no decision-making powers, but act as an advisory body to the IDP Representative Forum and Council.

### IDP Representative Forum

The IDP Representative Forum is the structure which institutionalizes and guarantees representative participation in the IDP process. The selection of members to the IDP representative forum has to be based on criteria which ensure geographical and social representation. Essentially, all organisations, stakeholders or interest groups are represented form part of the Rep Forum.

### Composition of the IDP Representative Forum

The IDP Representative Forum will meet according to the action programme and as and when there is a need. The composition of the IDP Representative Forum is as follows:

**The Chairperson -** The Speaker of Council

**Secretariat -** IDP Officer

**Members: -** All Municipal Councillors

* All Members of IDP/ Budget Steering Committee
* Traditional Councils;
* Ward committee chairpersons and Secretaries;
* War Room Chairpersons and Secretariat;
* Community Development Workers;
* Stakeholder representatives of organised groups;
* Resources persons; and
* Community representatives (e.g. CPF)
* Parastatals and Service Providers;
* Neighbouring Municipalities and District Municipality Officials;
* Chamber of Businesses;
* Rate Payers Organisations;
* Farmers Associations;
* Sector Departments and
* Other Interest Groups.

### Terms of Reference for the IDP Representative Forum:

* To monitor performance and implementation of the IDP,
* To ensure alignment takes place at the various levels,
* To represent the interest of the constituents in the IDP process,
* To provide input on new strategies and discuss changes to circumstances,
* To provide a forum and a mechanism for discussion, debate and agreement on development planning and progress on the IDP implementation,
* To ensure communication between all the stakeholders in the IDP process.

### uMgungundlovu District Municipality IDP Steering Committee

UMDM has established a District IDP Steering Committee that will ensure co-ordination of the IDP Review processes of the district and the local municipalities. Membership of this committee includes all the Local Municipalities and the District’s Municipal Managers, IDP Managers and Planners, representatives from the Department of Local Government and Traditional Affairs and targeted service providers within UMDM. The UMDM IDP Manager has been designated the chair the Committee / Forum.

### Terms of Reference of the uMgungundlovu District Municipality IDP Steering Committee:

* To ensure horizontal and vertical alignment between Local Municipalities and the District Municipality,
* To co-ordinate the overall IDP process in terms of the agreed framework,
* To monitor the IDP reviews programmes and decide on amendments (if necessary).
* To act as “clearing house” for issues that arises during IDP review process, and a forum for sharing information and experience.

### Ward Based Planning Forum/Ward Committee Members

### Composition and Functions of the Ward Based Planning Forum

The forum consists of Ward Committee Members who participate also in the IDP representative forum to do the following;

* Inform interest groups, communities and organisations about relevant planning activities and their outcomes;
* Analyse issues, determine priorities, negotiate and reach consensus;
* Participate in the designing of project proposals and/ or the evaluation thereof;
* Discuss and comment on the draft IDP;
* Ensure that annual operational business plans and budgets are based on and linked to the IDP; and
* monitor the implementation performance of the ward-based plans
* Conducting meetings or workshops with groups, communities or organisations to prepare and follow up on relevant planning
* Provide inputs related to various planning steps
* Summarising /processing inputs from the participating process

## Allocations of Roles and Responsibilities

The involvement and participation of the following role-players will be crucial to the accomplishment of a participatory review process:

**Table 1: Roles and Responsibilities.**

|  |  |
| --- | --- |
| **ROLE PLAYER** | **ROLES AND RESPONSIBILITIES** |
| **Mkhambathini Municipal Council** | Mkhambathini Municipal Council is responsible for the following:-Adoption of the IDP Process Plan-Adoption and approval of the reviewed IDP,-Amendment of the IDP in accordance with the comments by sector departments and MEC,-Approval of the various review phases,-Ensuring that the IDP is linked to the PMS and Municipal Budget |
| **The Municipal Manager / Manager IDP/DP** | The MM / Manager IDP are assigned the following responsibilities:-Management and Co-ordination of the IDP process-Ensure that there’s vertical and horizontal alignment,-Ensuring all stakeholders are informed of the process and their involvement,-Create a conducive environment for public participation,-The compilation of the Draft IDP as well as the Final IDP document  |
| **IDP Steering Committee** | The IDP Steering Committee is assigned the following responsibilities:-Ensuring the gathering and collating of information while the IDP implementation is proceeding,-Support the MM/ Manager IDP in the management and co-ordination of the IDP,-Discussion of input and information for the IDP review,-Ensuring the monitoring and evaluation of the gathered information,attending to MEC’s comments |
| **IDP Representative Forum** | The IDP Representative Forum is assigned the following responsibilities:-Recommend reports for approval / adoption,-Representing interests of the constituents,-Present a forum for communication and participation for all stakeholders,-Monitoring the IDP review process |
| **uMgungundlovu District Municipality IDP Steering Committee** | The UMDM forms a district wide IDP Steering Committee for the purpose of alignment with all the local municipalities within the district: |
| **Budget Steering Committee** | The Mayor of the municipality shall establish a Budget Steering Committee as required by Regulation 4. The function of the Budget steering Committee is to provide technical assistance to the Mayor in discharging the responsibilities set out in Section 53 and elsewhere in the Municipal Finance Management Act 2003 (Act 56 of 2003).  |
| **Municipal Officials** | The municipal officials are responsible for the implementation of the IDP and in the process gather information on any changes in the circumstances. They have to provide budgetary information and any information on the performance evaluation. They provide technical expertise during the planning process. Municipal Officials also interact with the Ward Councillors and Ward Committees and provide guidance and advice that is crucial during the IDP process. |
| **Ward Committees** | The Ward Committees have a crucial role of identifying the needs and service delivery gaps in the community and report to the Ward Councillor. |
| **Sector Departments*** **Department of Transport**
* **Department of Publics Works**
* **Department of Agriculture and Rural Development**
* **Departments of Education**
* **Department of Human Settlements**
* **Department of Health**
* **Department of COGTA**
* **SAPS/IEC/SASSA**
* **Dept Social Dev**
* **ESKOM**
* **DWA**
 | The Sector Departments have the following responsibilities:-Assist in the IDP formulation and review process,-Provide budget information and sector plans,-Provide data and information,-Ensure programme and project alignment between the municipality and province-Ensure budgetary alignment between provincial programmes and projects and the municipality’s IDP. |
| **Ward Councillors** | Ward Councillors are an important link between the municipality and the constituents. They are the first to know of any community needs or service delivery gaps. The Councillors will be responsible for forwarding this information to the municipal officials. They are also responsible for organizing community meetings and ensuring maximum participation of residents in the IDP review process |
| **Traditional Councils** | The Traditional Councils will work as a link between the community and Ward Councillors and matters of service delivery and needs of the people. Assist in giving information with regard to land rights and possible available areas for future development |

# Section 5: Mechanisms for Public Participation

## Context of Public Participation

In terms of Chapter 4 of the Municipal Systems Act, Act 32 of 2000, a municipality must encourage and create conditions for the local community to participate in the affairs of the municipality, including in the preparation, implementation and review of its Integrated Development Plan. In this context, the municipality has committed to a participatory process of IDP review whereby the community will play a meaningful role.

## Mechanisms for Public Participation

1. **IDP Representative Forum -** This forum should represent all stakeholders and be as inclusive as possible and it must meet as the action programme.
2. **Media -** Local newspapers circulating within the municipal area of jurisdiction will be used to inform on progress and issuing public notices on the IDP processes. The community Radio Stations should also be utilised for publicity purposes. The municipality also issues quarterly newsletters which keep communities abreast as to the progress made in terms of service delivery.
3. **Tribal Authorities -** The Mkhambathini Municipality has created strong bonds with the traditional leadership who play an important role in promoting development in the municipal area, more especially in rural areas. The 2 TA proclaimed by the KZN COGTA Notice form part of the Municipal Council and hence form part of all the critical decision making taken at Council level. One on one consultations with the TA are however still critical to ensure optimal participation within the IDP preparation process. Such Meetings must also be attended by the Municipal Mayor, nominated Councillors and relevant Municipal officials.
4. **Ward Committees and Community Development Workers -** As formal structures established in terms of the Municipal Structures Act, the Ward Committees and Ward Councillors will be used as a link between the municipality and communities, to obtain information on any other information on progress on the IDP implementation. Ward Committees will be requested to nominate two representatives each. These will be expected to relay the needs of the communities of the wards they represent. CDWs on the other hand are custodians of community development at ward level and they participate and champion OSS War Rooms. CDWs will also form an integral part of the CBP process and the development of ward-based plans.
5. **Municipal Notice Boards/Website -** The municipal notice boards and website will be used to inform stakeholders of crucial meetings.
6. **Road Shows -** The Mkhambathini Municipal IDP process for 2020/2021 will align with the UMDM IDP process as far as the roadshows are concerned in order to eliminate duplication. The first round of roadshows that are carried out by the municipality are a needs analysis exercise. The second round of roadshows are undertaken during the public comment period where the draft IDP & Budget is presented, and comments thereon discussed.

# Section 6: Key Activities

## Key Activities

Below is a summary of the key activities to take place in terms of the IDP, Budget and PMS for the 2020/21 IDP Process. The IDP, Budget and Performance Management processes must be seamlessly integrated. IDP fulfils the planning stage of Performance Management. Performance Management in turn, fulfils the implementation management, monitoring and evaluation of the Integrated Development Plan. The performance of an organization is integrally linked to that of staff. If employees do not perform the organization will not achieve its intended objectives. It is therefore important to manage both at the same time.

|  | **2020/21 IDP/BUDGET AND PMS PROCESS PLAN** |
| --- | --- |
|  | **PHASE 1 - PREPARATORY PHASE: (INFORMATION GATHERING AND SITUATIONAL ANALYSIS)** |
| **MONTH** | **ACTIVITIES** |
| **IDP** | **PMS** | **BUDGET** |
| **JULY 2019** | * Preparation of the Draft IDP / Budget and PMS Process Plan.
* Engagement with Budget Office and PMS for alignment purposes.
* Prepare Departmental Business/Sectorial Plans for the 2019/2020 financial year.
* MEC Panel assess adopted IDPs, populate Templates, score IDPs and draft paragraphs
* IDP Coordination finalise letters, assemble Templates and formulate Report
 | * Signing of new performance contracts for Section 54/56 Managers
* Roll out of the SDBIP for 2019/20
* 2018/2019 Final S57 Managers’ Performance Assessments.
* Preparation of s46 Reports by various HOD’s.
 | **Mayor and Council**  | **Administration - Municipality and Entity** | **Budget Review Activities** |
| * Mayor begins planning for next three-year budget in accordance with co-ordination role of budget process

**MFMA s 53*** Planning includes review of the previous year’s budget process and completion of the Budget Evaluation Checklist
 | * Accounting officers and senior officials of municipality and entities begin planning for next three-year budget

**MFMA s 68, 77*** Accounting officers and senior officials of Municipality and entities review options and contracts for service delivery

**MSA s 76-81** | * Approve and announce new budget schedule and set up committees and forums.
* Consultation on performance and changing needs.
 |
| **AUG 2019**  | * COGTA finalise comments on Draft Framework and Process Plans
* Review Comments of the Draft Process Plan from MEC
* Self-assessment to identify gaps in the IDP process with internal departments.
* Facilitate the review and development of new sector plans into the IDP; (SDF Review, NDP, INVESTRAT, AGRIC PLAN, TOURISM PLAN)
* IDP Steering Committee Meeting.
* Table the Process Plan to EXCO to recommend for Council adoption
* Incorporation of Gov Policies into IDP
* Council to adopt Process Plan and advertise on Local Newspapers **(MFMA Ch4 S21)**
 | * Submission of Q4 SDBIP Reports (for last quarter of MPPR Reg. 14
* Submission of the Annual Performance Reports prepared in terms of s46 of MSA 2000 to Council
* Submission of s46 Report to AG
* Quarterly Audit Committee meeting (for the last quarter of 18/19 and 18/19 APR) MFMA Sect 166 & MPPR Reg. 14(3)(a)
* Submission to Council on August 2019 (Section 69 of the MFMA and Section 57 of the MSA).
 | * Mayor tables in Council a time schedule outlining key deadlines for: preparing, tabling and approving the budget; reviewing the IDP (as per s 34 of MSA) and budget related policies and consultation processes at least 10 months before the start of the budget year.

**MFMA s 21,22, 23;****MSA s 34, Chapter 4 as amended*** Mayor establishes committees and consultation forums for the budget process
 | * Accounting Officer to submit AFS to Auditor-General [Due by 31 August, **MFMA Sec 126(1)(a)**]
 | * Consultation on performance and changing needs.
* Review performance and financial position.
* Review external mechanisms.
* Start Planning for next three years.
 |
| **PHASE 2 – STRATEGY FORMULATION** |
| **SEPT 2019** | * Submit Process Plan to MEC for COGTA
* IDP and Budget Steering Committee
* Integration of information from adopted Sector Plans into the IDP Review document.
* Review of KPAs
* Sector Plans Review
* Full Council
 | * Auditor General audit of performance measures
* Reminders to HOD’s to submit their Q1 SDBIP Reports in terms of s41 MSA
 | * Council through the IDP review process determines strategic objectives for service delivery and development for next three-year budgets including review of provincial and national government sector and strategic plans
 | * Budget offices of municipality and entities determine revenue projections and proposed rate and service charges and drafts initial allocations to functions and departments for the next financial year after taking into account strategic objectives
* Engages with Provincial and National sector departments on sector specific programmes for alignment with municipalities plans (schools, libraries, clinics, water, electricity, roads, etc.)
 | * Update policies, priorities and objectives.
* Determine revenue projections and policies.
 |
| **OCT 2019** | * MEC Panels Assessment of IDP
* Review of KPAs
* Identification of IDP Priority Projects
* IDP Steering Committee Meeting.
* 1st Round of IDP Roadshows in all 7 Wards
* IDP Representative Forum
 | * Submission of Q1 Reports by HOD’s
* Sect 54/56 Managers’ quarterly **informal** assessments.
 |  | * Accounting officer does initial review of national policies and budget plans and potential price increases of bulk resources with function and department officials

**MFMA s 35, 36, 42; MTBPS**Budget office issues blank Operating and capital budget to Mayor and Senior Managers to be used as working documents. | * Determine revenue projections and policies.
* Engagement with sector departments, share and evaluate plans, national policies, MTBPS.
* Draft initial allocations to functions.
* Draft initial changes to IDP.
 |
| **PHASE 3 – FEEDBACK AND ANALYSIS** |
| **NOV 2019** | * Municipal Strategies, Objectives, KPA’s, KPI’s and targets.
* Project alignment between the DM and LM’s and Sector Departments.
* IDP Alignment and adopted IDP assessment feedback sessions:
* 1st IDP Representatives Forum meeting
 | * Quarterly Audit Committee meeting (for the first quarter of 19/20) MFMA Sect 166 & MPPR Reg. 14(3)(a)
* Compile annual report for 18/19 (MFMA Sect 121
* Q1 Reports tabled to Council (for first quarter of 19/20) **MPPR Reg. 14**
 |  | * Accounting officer reviews and drafts initial changes to IDP

**MSA s 34*** Auditor-General to return audit report [Due by 30 November, **MFMA 126(4)**]
* Submission of the draft 5-year capital programme according to the Council’s strategic objectives, as set out in the Integrated Develop Plan.
* Submission of the draft operating estimates for the 2020/2021 multi- year budget, analysed according to activities aligned to the Council’s strategic objectives, as set in the Integrated Development Plan.
* Directors to submit business plans for their department’s Equitable Share grant allocations spending for the 2020/2021 budget year.
 | * Draft initial changes to IDP.
* Consolidation of budgets and plans.
* Exco determines strategic choices for next three years.
 |
| **DEC 2019** | * COGTA to comment on the reviewed Municipal Strategies, Objectives, KPA’s, KPI’s and targets.
* IDP Alignment Meetings: Project alignment between the DM and LM’s.
* Identification of priority IDP projects and alignment with Sector Departments.
* Strategic Planning Session for 2020/2021
 | * Compile annual report for 18/19 (MFMA Sect 121)
* Reminder to HOD’s to submit their Q2 SDBIP Reports in terms of s41 MSA.
* Evaluation Panel Audit Committee meeting (for evaluation of Sect 57 Managers final assessments) MPPR Reg. 14(3)(b)
 | * Council finalises tariff (rates and service charges) policies for next financial year

**MSA s 74, 75** | * Accounting officer and senior officials consolidate and prepare proposed budget and plans for next financial year considering previous year’s performance as per audited financial statements
 | * Executive determines strategic choices for next three years.
* Finalise tariff policies.
 |
| **PHASE 4 – DRAFT IDP** |
| **JAN 2020** | * Municipal Strategies, Objectives, KPA’s, KPI’s and targets.
* Identification of priority IDP projects.
* IDP Steering Committee Meeting
* Review of KPAs
 | * Submission of Q2 Reports by HOD’s
* Mayor tables Draft Annual Report for 18/19 [MFMA Sect 127(2)
* Municipal Manager submits Midyear Report to the Mayor (in terms s72 MFMA)
* Midterm/Midyear Report is published in the Local Newspapers
* Submit Annual Report to AG, Provincial Treasury &COGTA (MFMA Sect 127)
 | * Entity board of directors must approve and submit proposed budget and plans for next three-year budgets to parent municipality at least 150 days before the start of the budget year

**MFMA s 87(1)** | * Accounting officer reviews proposed national and provincial allocations to municipality for incorporation into the draft budget for tabling. (Proposed national and provincial allocations for three years must be available by 20 January)

**MFMA s 36** | Prepare detailed budgets and plans for the next three years. Submit the Mid-year budget and performance assessment to council before 25 January 2020.**MFMA s72** |
| **FEB 2020** | * Continuous Review of Municipal Strategies, Objectives, KPA’s, KPI’s and targets.
* Identification of priority IDP projects.
* IDP Steering Committee Meeting:
* Prep for March Draft IDP Roadshows
* Alignment meetings
* Finalize draft document for public comments.
 | * Adjustment of Project Implementation Report (MPPR Reg. 15)
* Sect 54/56 Managers’ **formal** mid-year assessments.
* MPAC Roadshow / Meeting for annual report (MFMA Sect 127 & MSA Sect 21a)]
 |  | * Accounting officer finalises and submits to Mayor proposed budgets and plans for next three-year budgets considering the recent mid-year review and any corrective measures proposed as part of the oversight report for the previous years audited financial statements and annual report
 | * Prepare detailed budgets and plans for the next three years.
* EXCO adopts budget and plans and changes to IDP.
 |
| **PHASE 5: ASSESSMENT FEEDBACK ON THE DRAFT IDP AND BUDGET** |
| **MARCH 2020**  | * Finalization of Municipal Strategies, Objectives, KPA’s, KPI’s and targets.
* IDP Steering Committee Meeting

 * Publicise Draft IDP and Budget (Invite Local Community to make written comments in respect of the IDP and Budget) (21 days for advertising)
* Conclusion of Sector Plans (if any) initiated for the 2020/21 financial year and integration into the IDP Review report.
* Full Council Adoption of Draft 2020/21 IDP and Budget Review
 | * Quarterly Audit Committee meeting (for the 2nd quarter of 19/20) MFMA Sect 166 & MPPR Reg. 14(3)(a)
* Council to consider and adopt an oversight report [Due by 30 March **MFMA Sec 129(1)**]
* Publicise Oversight Report and MPAC Report
* Draft SDBIP’s for 2020/21 developed and for incorporation into draft IDP 2020/21
* Reminder to be sent to HOD’s to submit their Q3 SDBIP Reports in terms of s41 MSA
* Set performance objectives for revenue for each budget vote **(MFMA Sect 17)**
* Q2 Reports tabled to Council. **MPPR Reg. 14**
 | * Mayor tables municipality budget, budgets of entities, resolutions, plans, and proposed revisions to IDP at least 90 days before start of budget year

**MFMA s 16, 22, 23, 87; MSA s 34** | * Accounting officer publishes tabled budget, plans, and proposed revisions to IDP, invites local community comment and submits to NT, PT and others as prescribed

**MFMA s 22 & 37; MSA Ch 4 as amended*** Submit the adjustments budget to council before 28 February 2020.

**MFMA s 28** | * Mayor tables budget, resolutions, plans and changes to IDP at least 90 days before the start of the financial year.
 |
| **APR 2020** | * Review MEC comments in respect of the Budget and IDP
* Conclusion of Sector Plans initiated for the 2020/21 financial year and integration into the IDP Review report.
* IDP Steering Committee Meeting
* 2nd Round of Draft IDP & Draft Budget Roadshows
* 2nd IDP Representatives Forum
 | * Refinement of Municipal Strategies, Objectives, KPA’s, KPI’s and targets and inclusion into 2020/21 IDP report.
* Sect 54/56 Managers’ **informal** assessments
* Submit Oversight Report to Provincial Legislature/MEC Local Government [Due by April end **MFMA Sec 132(2)**]
* Review annual organisational performance targets (MPPR Reg 11)
 | * **MFMA s 21**
 | * Accounting officer assists the Mayor in revising budget documentation in accordance with consultative processes and considering the results from the third quarterly review of the current year
 | * Budget Roadshows on the Budget, Council Debate on Budget and Plans.
 |
| **MAY 2020** | * Finalise KPAs
* Mayoral IDP & Budget Imbizo
* Council to consider approval of budget and plans at least 30 days before start of budget year.

**MFMA s 23, 24; MSA Chapter 4 as amended** | * Community input into organisational KPIs and targets
 | * Council to consider approval of budget and plans at least 30 days before start of budget year.

**MFMA s 23, 24; MSA Chapter 4 as amended** | * Accounting officer assists the Mayor in preparing the final budget documentation for consideration for approval at least 30 days before the start of the budget year considering consultative processes and any other new information of a material nature
 |  |
| **JUNE 2020** | * Submission of the Final 2019/20 IDP and SDF Review to MEC of KZN COGTA
 | * Quarterly Audit Committee meeting (for the 2nd quarter of 19/20) MFMA Sect 166 & MPPR Reg. 14(3)(a)
* Q3 Reports tabled to Council MPPR Reg. 14
* Reminder to be sent to HOD’s to submit their Q4 SDBIP Reports in terms of s41 MSA
 | * Council must approve annual budget by resolution, setting taxes and tariffs, approving changes to IDP and budget related policies, approving measurable performance objectives for revenue by source and expenditure by vote before start of budget year

**MFMA s 16, 24, 26, 53**Mayor must approve SDBIP within 28 days after approval of the budget and ensure that annual performance contracts are concluded in accordance with sect 57(2) of the MSA. Mayor to ensure that the annual performance agreements are linked to the measurable performance objectives approved with the budget and SDBIP. The mayor submits the approved SDBIP and performance agreements to council, MEC for local government and makes public within 14 days after approval. * **MFMA s 53; MSA s 38-45, 57(2)**
* Council must finalise a system of delegations.
* **MFMA s 59, 79, 82; MSA s 59-65**
 | * Accounting officer submits to the mayor no later than 14 days after approval of the budget a draft of the SDBIP and annual performance agreements required by s 57(1)(b) of the MSA.

**MFMA s 69; MSA s 57*** Accounting officers of municipality and entities publishes adopted budget and plans

**MFMA s 75, 87** | * Publish budget and plans.
* Finalise performance contracts and delegation.
* Council adopts budget, resolutions, capital implementation plans, objectives and changes in IDP.
 |

**Table 2: IDP, PMS and Budget Process Plan**

## Cost Implications

The 2020/21 Integrated Development Plan will be undertaken in-house. The following funds will be sourced internally for the implementation of the process plan for the IDP/Budget and PMS. -

|  |  |
| --- | --- |
| **ITEM**  | **BUDGET**  |
| IDP ROADSHOWS (Transport)  |  R 220 000.00  |
| IDP ROADSHOWS (Contracted Services: Stage and Sound)  |  R 160 000.00  |
| IDP ROADSHOWS (Contracted Services: Catering Services)  |  R 150 000.00  |
| IDP ROADSHOWS (Hire Charges) e.g. tent, t/shirts, etc |  R 40 000.00  |
| Strategic Planning Session |  R 200 000.00  |
| Mayoral Imbizo  |  R 230 000.00  |

**TOTAL BUDGET R R 1 000 000.00**

**Table 4: Cost Implications Breakdown**