

REVISED KZN IDP ASSESSMENT CRITERIA

KZN DEPARTMENT OF CO-OPERATIVE GOVERNANCE AND TRADITIONAL AFFAIRS

DATE: 23 DECEMBER 2016

| PRINCIPLES OF A CREDIBLE IDP: <ul style="list-style-type: none"> • Compliance with legislative requirements (MSA). • Strategic logical. Systematic approach. Professional quality. • Technical and institutional feasibility of proposed interventions. Implementable plan. • Harmonisation of plans across all spheres of government. Sectoral alignment in the context of provincial and national priorities. | | | | |
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| No | Assessment Criteria | Y/N | Comments | How to improve (Sector Dept./Business Unit and contact details) |
| A. | EXECUTIVE SUMMARY | | | |
| A.1 | Does the Executive Summary provide an adequate summary of who the Municipality is; what the Key Challenges are that it is facing; it's long term Vision; its Goals and Objectives; and it is expected Key Performance Areas and how these will be measured? | Yes | Covered in section A of the IDP (Pg: 3-20) | |
| B. | PLANNING AND DEVELOPMENT PRINCIPLES & GOVERNMENT POLICIES AND IMPERATIVES | | | |
| B.1 | Does the IDP reflect applicable and relevant Government Policies and Imperatives, such as the Sustainable Development Goals (SDGs), the 14 National Outcomes, MTSF, NDP, PGDS, PGDP, DGDP, the State of the Nation Address, the State of the Province Address and Back to Basics policy? | Yes | Covered in Section B of the IDP Pg 22-36 | |
| B.2 | If yes, does the IDP contain an indication of how these are addressed/cascaded and applied in the municipal area? | Yes | Pg 22-36 | |
| C. | SITUATIONAL ANALYSIS | | | |
| C.1 | Demographic characteristics (Data collected and implications must be integrated and translated into responsive programmes. Latest stats must be used and properly referenced) | | | |
| C.1.1 | Are all demographic characteristics, per the IDP Format Guidelines (COGTA, Feb 2013) covered in the Situational Analysis? | Yes | Statistics SA Census 2011 and Community Survey 2016 | |

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| C.1.2 | Are the Municipality's demographic characteristics, including spatial distribution of population, graphically presented through graphs and maps? | Yes | Covered under section C of the IDP (4.1.1 page 59) | |
| C.1.3 | Are official data sources used in the situational analysis? Are they the most up-to-date (Census 2011 and 2016 Community Survey)? | Yes | Challenges with Municipalities that amalgamated, some statistics are outdated | |
| C.1.4 | Are key findings presented at the end of this section? | | | |
| C.2 | Cross cutting issues (including Spatial, Environmental and Disaster Management) | | | |
| C.2.1 | Does the Situational Analysis cover all required Spatial, Environmental, Agricultural and Disaster Management aspects as per the recommended Table of Contents for the Situational Analysis, as presented as an example in the IDP Format Guidelines (COGTA, Feb 2013)? | Yes | Section 3 (3.1 Pg 38- 58) | |
| C.2.2 | Is there a summarized analysis of the natural environment (suitable land for agriculture, biodiversity, hydrology, air quality, coastal issues and climate change) in the IDP? | Yes | Section 3 (3.1 Pg 38- 58) | |
| C.2.3 | Are existing human settlements, nodes and towns indicated via maps in the IDP? | Yes | Table 07: SANBI Biodiversity Summary: Page 53 | |
| C.2.4 | Are settlement corridors indicated via maps in the IDP? | | Covered under section 3.1.3 Page 40-45 | |
| C.2.5 | Is there a Spatial & Environmental SWOT Analysis? | Yes | | |
| C.2.6 | Has Ecosystem-based Disaster Risk Reduction (EcoDRR) been promoted as a means to minimize climate-related disasters? | | | |
| C.2.7 | Is there a Disaster Management SWOT Analysis? | Yes | | |
| C.3 | KPA: Municipal Transformation & Institutional Development | | | |
| C.3.1 | Is there a Human Resources Strategy or Plan, that is adopted and implemented, that aligns to the long-term development plans of the municipality as reflected in the IDP? | Yes | Human Resource strategy is now in place | |
| | Are implementation results reflected in the IDP? | | | |
| C.3.2 | Does the IDP contain a Council approved organisational structure/organogram that aligns to the long-term development plans of the municipality as reflected in the IDP, as well as the Powers & Functions of the Municipality? | Yes | | |
| | If yes to C.3.2, is the vacancy rate indicated? | | | |
| C.3.3 | Are all critical posts filled (MM & Section 56 posts ¹) and | No | Chief financial officer post was | |

¹ Critical posts are identified in Outcome 9

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| | what is the progress with appointments where critical posts are vacant? | | | advertised | |
| C.3.4 | Does the municipality have the following: • A council adopted employment equity plan; and • A council adopted workplace skill plan that responds to the capacity challenges of the municipality? | | Yes | | |
| C.3.5 | If yes to C.3.4, is the Municipality implementing these plans to assist in training and recruitment?? ² | | Yes | | |
| C.3.6 | Is an ICT Policy Framework in place and what is the status of the progress of its implementation? | | Yes | | |
| C.3.7 | Does this section conclude with a Municipal Transformation & Organisational Development SWOT Analysis? | | Yes | | |
| C.4 | KPA: Basic Service Delivery | | | | |
| C.4.1 | Water & Sanitation | C.4.1.1 | Is the municipality the Water Service Authority (WSA)? | No | UMkhanyakude District |
| | | C.4.1.2 | If Yes to C.4.1.1, when was the WSDP last reviewed? | No | UMkhanyakude District |
| | | C.4.1.3 | Is the link to the WSDP provided? | No | UMkhanyakude District |
| | | C.4.1.4 | If no, has the WSDP been attached as annexure? | No | Section 6.1 Page 86 |
| | | C.4.1.5 | If no to C.4.1.1., does the IDP indicate who the WSA is? | No | DC 27 |
| | | C.4.1.6 | If no to C.4.1.1., does the IDP indicate when the WSDP was last review? | No | DC27 |
| | | C.4.1.7 | If Yes to C.4.1.1, is an Operations and Maintenance Plan for water & sanitation in place? (adoption date of the plan) | No | UMkhanyakude District |
| | | | Is there an indication that the O&M Plan is being implemented? | No | UMkhanyakude District |
| | | C.4.1.8 | If no to C.4.1.1., does the IDP indicate the status of the | No | UMkhanyakude District |

² This need to be reflected in detail in the Situational Analysis

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| | | | WSA's O&M plan? (adoption date of the plan) | | | |
| | | C.4.1.9 | Does the IDP include a summary (with supporting maps) of the status, backlogs, needs and priorities ³ for water and sanitation services? | No | UMkhanyakude District | |
| | | C.4.1.10 | Does the IDP have a map showing the access to water within the municipality? | No | UMkhanyakude District | |
| | | C.4.1.11 | Does the IDP have a map showing the access to sanitation within the municipality? | No | UMkhanyakude District | |
| | | C.4.1.12 | Does the IDP have a map showing the proposed water projects? | No | UMkhanyakude District | |
| | | C.4.1.13 | Does the IDP have a map showing sanitation projects? | No | UMkhanyakude District | |
| | | C.4.1.14 | Did the municipality co-ordinate its development activities with the relevant sector departments and service providers? | No | UMkhanyakude District | |
| C.4.2 | Solid Waste Management | C.4.2.1. | Does the IDP indicate whether the municipality is responsible for waste collection? | yes | | |
| | | C.4.2.2. | Does the IDP include a summary (with supporting maps) of the status, backlogs, needs and priorities for solid waste collection, removal and disposal? | Yes | | |
| | | C.4.2.3. | Does the IDP indicate if the municipality owns waste disposal site? | yes | Hluhluwe and Hlabisa | |
| | | C.4.2.4. | If yes, does the IDP indicate | yes | Both sites are licensed for closure. | |

³ Needs and priorities should include those areas that require rehabilitation, upgrades and augmentation

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| | | | the state of waste disposal site? (Engineering, auditing, lifespan, licensed) | | | |
| | | C.4.2.5 | Is there an updated council approved IWMP in place? | No | Both IWMP will be consolidated. | |
| | | C.4.2.6 | Is there progress with implementation of the IWMP? | Yes | Waste collected: Hluhluwe and Hlabisa. | |
| | | C.4.2.7. | Does the IDP indicate if the municipality has a system to divert waste from landfill site for recycling? (i.e. separation at source, buy back centre, Material Recovery Facilities) | Yes | Waste separed at Hluhluwe dump site. | |
| C.4.3 | Transportation Infrastructure | C.4.3.1 | Are existing and future transport infrastructure, including status of repairs, such as roads, railways, airfields/airports indicated on legible maps? (Including municipal, provincial and national road maps?) | no | | |
| | | C.4.3.2 | Is the institutional responsibility for transport infrastructure as mentioned in C.4.3.1 categorised as national, provincial and municipal on maps? | no | | |
| | | C.4.3.3 | Is the municipality responsible for the provision of new roads and related facilities? | yes | MIG Funding | |
| | | C.4.3.4 | If yes, does the IDP indicate if there is a plan in place for the provision of new roads and facilities, as well as an Operational and Maintenance Plan for existing and new roads and public transport facilities? | yes | Council priority list. | |

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| | | C.4.3.5 | Is the municipality responsible for the Integrated Transport Plan (ITP)? | no | uMkhanyakude District | |
| | | C.4.3.6 | If yes, when was the ITP last reviewed? | No | uMkhanyakude District | |
| | | C.4.3.7 | Does the IDP provide a link to the ITP? | No | uMkhanyakude District | |
| | | C.4.3.8 | Does the IDP Situational Analysis reflect via maps critical road, rail and public transport needs and linkages, as well as the status of these (i.e. are they existing but need upgrading, are they non-existent and need to be developed?) | yes | Department of Transport. | |
| C.4.4 | Energy | C.4.4.1 | Is the municipality the Electricity / Energy provider? | yes | INEP Funding. | |
| | | C.4.4.2 | If yes to C.4.4.1, has an Electricity Plan been adopted and is it being implemented? | yes | Council priority list. | |
| | | C.4.4.3 | If yes to C.4.4.1, is an Operations and Maintenance Plan for electricity / energy in place? | No | Eskom function. | |
| | | C.4.4.4 | If no, how does the municipality plan for schedule 5.B projects? (DOE funding). | | Council prioritise the projects and handed over to ESKOM for maintenance. | |
| | | C.4.4.5 | Does the IDP include a summary (with supporting maps) of the status, backlogs, needs and priorities for electricity / energy services? | Yes | NXELE ESKOM | |
| | | C.4.4.6 | Did the municipality co-ordinate its development activities with the relevant sector departments and service providers? | Yes | IDP Forums | |

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| C.4.5 | Access to Community Facilities | C.4.5.1 | Does the IDP indicate if the municipality has sufficient authorized cemetery sites? | yes | Hluhluwe | |
| | | C.4.5.2 | Does the IDP include a summary (with supporting maps) of the status, backlogs, needs and priorities for community facilities? | yes | | |
| | | C.4.5.3 | Did the municipality co-ordinate its development activities with the relevant sector departments and service providers? | yes | Community | |
| C.4.6 | Human Settlements | C.4.6.1 | Is the municipality classified as the housing developer for human settlements? | yes | | |
| | | C.4.6.2 | If yes in C.4.6.1, is there a Council approved Housing Sector Plan? | yes | Consolidation | |
| | | C.4.6.3 | Is the Housing Sector Plan aligned to KZN Human Settlements Spatial Master Plan? | yes | | |
| | | C.4.6.4 | If no in C.4.6.1, does the IDP include the housing chapter highlighting housing needs, existing and planned projects? | Yes | | |
| | | C.4.6.5 | If yes for C.4.6.1, does the IDP indicate the existing and planned housing projects ⁴ indicated in the IDP? | Yes | | |
| | | C.4.6.6 | Is there an indication of the level of services and backlogs (housing, water, sanitation, energy, solid waste management, roads and storm | yes | | |

⁴ The existing and planned housing projects should show both public and private sector as both need to be planned and have an impact on planning

⁵ Information is obtainable directly from the TELKOM website

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| | | | water, community facilities) that are available, as well as what are needed at the existing settlements, nodes, towns and corridors? | | | |
| | | C.4.6.7 | Does the IDP/Housing Sector Plan (HSP) have a mechanism and institutional capacity for co-ordination, monitoring and implementation of the housing projects with the service providers / authorities that supply the services? | yes | | |
| | | C.4.6.8 | Have the service providers / authorities committed the funding for the services in support of housing projects? | yes | GVT Gazett | |
| C.4.7 | Telecommunications ⁶ | C.4.7.1 | Does the IDP include a summary (with supporting maps) of the status, backlogs, needs, priorities and challenges for telecommunications, including broadband? | | | |
| C.4.8 | Does the Municipality make provision for infrastructure projects relating to National (2018) and Local Government (2021) elections (water, electricity, buildings, access roads)? | | | | | |
| C.4.9 | Does this section conclude with a Service Delivery & Infrastructure SWOT Analysis? | | | | | |
| C.5 | KPA: Local Economic Development (LED) and Social Development Analysis | | | | | |
| C.5.1 | LOCAL ECONOMIC DEVELOPMENT | | | | | |
| | (LED is defined as an on-going process by which stakeholders and institutions from all spheres of society, the public and private sector as well as the civil society, work jointly to create a UNIQUE advantage for the locality and its firms, tackle market failures, remove bureaucratic obstacles for local businesses and strengthen the competitiveness of local firms (Trah, et al 2007). | | | | | |
| | <i>("Good practice indicates that local economic development should always be guided by a strategy. Ideally, an LED strategy will form a component of a broader strategic development plan that includes social and environmental components. The LED strategy provides a focus on strengthening the local economy and building local capacity. The timeframe for an LED strategy is typically three to eight years and includes annual</i> | | | | | |

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| | <i>implementation plans". (www.undp.org))</i> | | | |
| C.5.1.1 | When was the LED Strategy or Plan developed and adopted? | No | Portfolio committee didn't approve LED strategy due to absence of funds. | There must be adequate budget for LED programmes. |
| | Was the LED Strategy/Plan prepared in-house or outsourced? | No | We don't have a consolidated LED strategy. We will outsource once we have available funds. | There must be adequate funds to consolidate LED Strategy. |
| | Does the Strategy development process identify all key stakeholders for participation? | No | We don't have it currently | We must prepare one |
| | Does the Strategy factor in the input received from stakeholders' participation (Including MEC advises)? | No | We don't have it currently | We must prepare one & submit it for approval & comments. |
| C.5.1.2 | Policy/regulatory environment | | | |
| | Is there an adopted Informal Economy Policy? | Yes | We have it but it need to be reviewed. | We need to review it. |
| | Is there policy regulating (permits, zoning) for street vendors? | Yes | We have permits for street vendors. | We need to ensure that all street vendors operate under current Bylaws. |
| | Is there an Investment/Retention Policy? | Yes | We have the outdated investment strategy which needs to be consolidated & reviewed. | We need to consolidate and review it. |
| | Has the municipality adopted the EPWP Policy as aligned with EPWP phase 3? | Yes | We request a 6 - 12 Months EPWP contract not 3 Months as stipulated in current Policy. | We recommend proper cooperation with Local Municipality. |
| | Is there a database for land ownership? | Yes | We do have a database | We need a Lease agreement from Land owners. |
| | Is there a database for all active/registered SMMEs and Cooperatives? | Yes | We have a database of all SMMEs with our jurisdictions. | We update it annually |
| I | Does the KPA respond comprehensively to the PGDP and DGDG priorities? | Yes | Its aligning with PGDP & DGDG | There must be proper monitoring by Senior Manager of our Department in order to ensure it align with 2030 vision. |
| | Are the goals, objectives, strategies and projects of the Strategy responsive to the issues identified in the situational analysis? | Yes | It also needs to be Monitored & evaluated Quarterly to reach our Goals, objectives & targets. | This need to be revisited Quarterly. |
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| C.5.1.4 | Are the Interventions and Programmes/Projects spatially referenced? | | | |

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| C.5.1.5 | Are the beneficiaries well identified? | Yes | We use ward Councilors to identify all Projects we are having within Municipality Wards. | Councilors must submit all outstanding Wards Projects. |
| C.5.1.6 | Is a SWOT analysis used as the analysis tool to assess the local economy? (if not, indicate another analytical tool used) | Yes | Currently we are using SWOT analysis to access all Local Economic Zones. | We need to formalize LED Forum & Business Forum. |
| | Are the key natural assets/resources identified and analyzed? | Yes | We have Game reserves & Lakes | It must be properly conserved for future purposes. There must be cooperation between Isimangaliso, Amakhosi & Local Municipality. |
| | Is it clear how the locality addresses threats or constraints facing the local firms/industries and businesses? | Yes | We assist them in terms of Business Plan, Access of Market & Funding. | We recommend other Levels of Government to timeously communicate type of Assistant they might have to minimize Local Business Challenges. |
| | Are key economic players identified? Strong/weak networks identified and analyzed? | Yes | Our Municipality Location is rich in Tourism, Mining, qand Business & Agriculture. | We need a support from other Levels of Government in terms of sustaining current existing Businesses. |
| | Is there a stakeholder analysis depicting potential networks, partnerships, resources that could be developed? | Yes | We have a good relationship with Isimangaliso Wetland Park in terms of supporting Local Business both Emerging and existing. | We recommend a strengthened Partnership. |
| C.5.1.7 | STRATEGIC PROGRAMMES RESPONSIVE TO THE COMPARATIVE AND COMPETITIVE ADVANTAGE OF THE LOCALITY | | | |
| | Is there a specific programme seeking to transform the local tourism players? | Yes | We assist them by issuing a Business License & Conducting Workshops. | There must be adequate budget for Tourism to ensure development & Promotion. |
| | Is there a specific programme targeting emerging farmers? (Unleashing agric potential/productive use of land/Agri hubs and Agri parks and markets)? | Yes | We have Tractors which assist locals with Ploughing. We also support them with seeds. | There must be a good partnership with Market Companies. |
| | Is there a specific programme targeting to improve competitiveness of SMMEs/Cooperatives in the key sector in the locality? | Yes | We have a number of Trainings for Local Businesses. | We need support from other stakeholders. |
| | Is there a specific initiative aimed at reducing red tape? | Yes | Powers must be cascaded to HODs & middle Managers to avoid delays. | Accounting Officer must appoint a Committee to deal with red tapes matters. |
| | Is there a specific programme targeting the informal | Yes | We train them incorporation with | Partnership must be strengthened with |

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| | economy? | | SEDA & ILO. | other stakeholders. Province & National must respond to assistant request. |
| C.5.1.8 | JOB CREATION | | | |
| | Does the Plan quantify the total number of jobs to be created in response to the NDP/PGDP targets and trajectories? | Yes | We have Tourism buddies programme & EPWP programme. | We need more programmes that seek to minimize unemployed youth. |
| | Are the number of permanent and temporary jobs per sector indicated? | Yes | It all recorded in HR Section | None |
| | Is there a plan/mechanism in place to ensure that these jobs (decent jobs) are sustainable? | Yes | We have a Monitoring system in place. | We must be updated / advised either the programme employs beneficiaries in temporal or permanent basis. |
| C.5.1.9 | EPWP INDICATORS | | | |
| | Does the IDP reflect consistent reporting with regards to work opportunities created across all sectors on the EPWP? | Yes | We report each Month. | We must have a good communication with Finance Department in terms of cash flows. |
| | Does the IDP reflect the integrated grant spending in line with the provisions stipulated in the incentive grant agreement? | Yes | We are assisted by Finance Department. | None |
| | Does the IDP reflect implementation of projects/programmes as per the project list (business plan) submitted to NDPW? | Yes | We depend in Policy & regulation of EPWP | We need to revise Policies |
| | Does the IDP reflect systems for compliance in terms of DORA requirements (submission of financial and non-financial reports)? | Yes | Finance Department assist | We need a support from various Departments. |
| C.5.1.10 | Has the municipality reflected green economy initiatives? | Yes | We have insufficient funding to support green Projects. | We need support from other Levels of Government. |
| N | Capacity of the municipality | | | |
| | Is there a designated LED unit? | Yes | There is a shortage of staff | There must be available budget to create LED related posts. |
| | Are there any capacity constraints or challenges identified (including EPWP)? | Yes | Intervention of Political wing in EPWP operations. Poor EPWP funds Management | There must be workshops of how to use EPWP funds. |
| | Are there appropriate functional institutional arrangements in place (sector specific forums)? | Yes | We have a number of Forums which includes; LED Forum & Business Forum. | We must ensure that all structures are functional. |
| | Is there alignment of different economic fora? | Yes | It aligns with other levels of Government. E.g. Business Forum | We must always ensure proper alignment with District as well as other |

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| | | | | levels. |
| | Is there capacity for formulating collaborative agreements (MOUs, co-funding agreements, partnership with research institutions)? | Yes | We have ILO & other service providers who source funds for our Local Municipality. | We need to request more assistance. |
| | Are the LED programmes/initiatives budgeted for? | Yes | We don't have enough budget for all LED programmes we have in our action plan. | We need adequate funding for LED Projects. |
| | Is there a M&E plan in place to track progress and effectiveness? | Yes | It need to be reviewed. | We need a special committee to work hand in hand with. |
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| C.5.1.12 | Is there a plan in place to mobilise private sector resources? | Yes | We have the Investment Attraction Strategy to mobilize a Private sector & International. | We need to review our Investment Attraction Strategy |
| | In the past financial year has your municipality been able to leverage private sector funding/resources to implement LED projects or catalytic projects (Donor funding included)? | No | | |
| 5.2 | SOCIAL DEVELOPMENT | | | |
| C.5.2.1 | What is the status and progress with the rollout of the Poverty Eradication Master Plan (PEMP)? | No | The municipality is in the process of developing Poverty Eradication master Plan | |
| C.5.2.2 | Is there an analysis of the Health sector in the Situational Analysis? <ul style="list-style-type: none"> • Disease profile • Demographic data • Access to PHC facilities • Municipal health priorities and strategies | No | | |
| C.5.2.3 | Is there an analysis of the Education sector in the Situational Analysis? <ul style="list-style-type: none"> • Public school infrastructure • Existing backlogs • Challenges in provision of schools infrastructure | Yes | | |
| C.5.2.4 | Does the Situational Analysis reflect an analysis of community development, with a particular focus on vulnerable and disabled groups? | Yes | | |
| C.5.2.5 | Does the municipality have programs and plans to respond to the needs of the vulnerable groups, including programs and plans for people living with disabilities? (Including the development of a skills training policy) | Yes | | |
| C.5.2.6 | Does the municipality hold disability summits annually? | Yes | | |

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| C.5.2.7 | Are safety & security, as well as Nation Building & Social Cohesion, analysed in the Situational Analysis? | Yes | | |
| C.5.2.8 | Is there a Municipal Safety Plan in place? | No | | |
| C.5.2.9 | Is there Social Development SWOT Analysis? | Yes | | |
| C.6 | KPA: Financial Viability & Management | | | |
| C.6.1 | CAPITAL FUNDING AND EXPENDITURE TO ADDRESS SERVICE DELIVERY | | | |
| | Is there a three year synopsis of funds received, spent, unspent, source of funding, variance tables and contingency plans to address challenges such as delays? (A three year synopsis of funds received, funds spent, funds unspent, variance tables and contingency plans to address challenges (such as delays) must be clearly indicated to determine if the municipality is in a position to honor their service delivery imperatives.) | Yes | MTRF | |
| | Are projects indicated in order of prioritization and duration of each project? (A Capital Budget – The IDP should have a schedule of projects identified for the priority year, funding attached, source of funding, project name linked to the grant/donor source, progress on project (whether new or ongoing) and duration of each project.) | Yes | | |
| | Are projects identified as either “new” or “ongoing”? (This table brings together the core financial elements of asset management and summarizes the capital programme in terms of new assets and the renewal of existing assets. The objective is to provide a complete picture of the municipality’s asset management strategy, indicating the resources being deployed for maintaining and renewing existing assets, as well as the extent of asset expansion.) (Grant frameworks with a refurbishment clause will be accommodated in this section of the budget table. In terms of MFMA Circulars 55 and 66 at least 40% of the Capital Budget must be allocated towards renewal of existing assets.) | Yes | | |

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| | <p>Is the investment register provided? (A synopsis of the funding source linked to the investment register will provide certainty that the project is capable of being executed. The investment register will also present a snapshot of whether the municipality is pooling funds for interest purposes or is using the funds as intended in the grant frameworks.)</p> | | | |
| C.6.2 | <p align="center">SOCIAL AND ECONOMIC REDRESS VIA INDIGENT MANAGEMENT</p> <p>(The municipality must detail their social package delivery in terms of the adopted indigent policy, review and renewal of the register, funding of the social package through the equitable share, funding via alternate sources, the contents of the social basket and cost, growth in terms of indigence and affordability to service the social package in a three year forecast.) (Measures to address priorities in terms of NDP (social redress and employment) linked to municipal long term goals of POVERTY ERADICATION, WEALTH CREATION AND SOCIAL UPLIFMENT.)</p> | | | |
| | Is the Indigent Policy attached? | No | | |
| | Is there an indication of the number of registered indigents on the indigent register? | No | The Municipality depend on Eskom indigent register | |
| | Is there an indication of how much has been allocated for indigent support from the equitable share? | Yes | | |
| | Is the category of indigent support with projected amounts indicated (FBS)? | Yes | | |
| | Is there an indication of the increase/decrease of indigent support over the last three years? | No | The Municipality is in the process of collecting data | |
| | Is there a monitoring mechanism to ensure that the budget allocated for people with disabilities is fully utilised? | Yes | | |
| C.6.3 | <p align="center">REVENUE RAISING STRATEGIES</p> | | | |
| | Is the revenue raising strategy provided? | Yes | | |
| | <p>Is there an analysis of how the strategy is benefitting the municipality, and if not, what plans are in place to review the strategy? (Sufficient detail to indicate what the revenue raising strategy of the municipality is an analysis of how the strategy is working either benefitting the municipality or not realizing monetary gain, a shift to improve or revise the strategy, the mechanism employed to improve the strategy, consultation processes to employ a best practice strategy from another municipality with similarities.)</p> | Yes | | |

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| C.6.4 | DEBT MANAGEMENT | | | |
| | (Details in a spreadsheet to indicate the total debt outstanding in a three year cycle, per category per age analysis, including policy decisions to write-off) | | | |
| | Is the 3 year outstanding debt indicated per category? | No | | |
| | Is the debtor's age analysis provided? | Yes | Check Financial Plan | |
| | Is there an indication of policy decisions of dealing with debt e.g. Write-off or plans to recover. This should be followed by a narration of the reasons for the collection rate, implementation of the policy, tariff structure realism and reasons for poor or insufficient debt management including a plan to address this (if applicable) | Yes | | |
| C.6.5 | FINANCIAL MANAGEMENT | | | |
| C.6.5.1 | *SCM | | | |
| | (SCM – functionality of the SCM unit including addressing delays of tender award and execution (details on tender policy implementation and measures to improve with a definite timeline) | | | |
| | Is there alignment of the procurement plan timeframes with the SDBIP to ensure that the projects are being executed in accordance to the expectation created? | Yes | There has Been a lack of capable and experience staff | SCM Manager was recently appointed to address this issue |
| | Are there any challenges experienced with the SCM unit? Is it supported by a measure to address these challenges with timeframes? | Yes | Staff Shortage but is being address | |
| | Does SCM management display cohesiveness to assess whether the primary objectives of service delivery are met? Does it include statements on functionality of bid committees, as well as timeframes from advert to award? | Yes | | |
| | Are there deviations (whether norm must be alluded to), with statements supporting the reason for deviations? | Yes | | |
| | Are there irregular expenditure (amount, root cause and treatment)? | Yes | | |
| | Does the SCM Policy make provision for the disabled to qualify for tenders? | Yes | SCM Policy is in place | |
| C.6.5.2 | *BTO | | | |
| | (Budget and Treasury – details of staffing numbers, competencies, use of financial consultants, cost of financial consultants, measures to address skills transfer, turnover rate of key personnel, challenges to retain staff and measures to fill vacancies as per approved/endorsed BTO organogram.) | | | |
| | Is the organogram of the BTO indicating vacancies provided? | Yes | | |
| | Is there an indication of the impact vacancies are making on the achievement of municipal objectives (challenges)? | Yes | Not achieved clean Audit | |
| | Is there an indication of skills shortages in the BTO? | Yes | Training to be conducted | |

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| | Are the costs of financial consultants indicated? | Yes | | |
| | Are the reasons for the use of financial consultants indicated (if applicable)? | Yes | Skill Transfer | |
| C.6.5.3 | *TECHNICAL SERVICES (Technical Services – shortcomings, strengths of the technical services manager/unit to drive service delivery) | | | |
| | Is the organogram of the Technical Services Unit indicating vacancies? | Yes | | |
| | Is there an indication of the impact vacancies are making on the achievement of projects (challenges)? | Yes | | |
| | Is there an indication of skills shortage in the Technical Services Unit? | Yes | Capacity | |
| | Is there an indication of the strengths/ weaknesses in the Technical Services Unit? | Yes | | |
| | Is there an indication of the lines of communication between Technical Services and the BTO? | Yes | | |
| C.6.5.4 | *ASSETS AND INFRASTRUCTURE (Asset and Infrastructure – Clear record keeping of assets including policy implementation of repairs and maintenance, acquisitions, disposals and depreciation and further details recorded in terms of addressing and prevention audit matters related thereto.) | | | |
| | Is an asset renewal plan supported with an operations and maintenance plan? | Yes | | Presently we don't have an asset renewal plan, but according to information received from Technical Department there is maintenance plan but not approved by council yet. |
| | Is the asset renewal plan feasible? | Yes | | |
| | Does the plan accommodate a realistic budget towards repairs and maintenance, if not near the norm of 8% of PPE value, then what is the budget forecast for three years and is it incremental? | Yes | | |
| | If not, what are the reasons for under-budgeting in this area? | | | |
| | Is there an indication of the percentage of R&M? | Yes | | |
| C.6.5.5 | *REPAIRS AND MAINTENANCE (A forecast of improvement on the R/M allocation year on year – linked to value of PPE or reasons and challenges in ensuring that sufficient attention is given to the asset protection.) | | | |
| | What percentage of repairs and maintenance has been budgeted for against the total non-current assets (ppe & investment property where the norm is 8%)? (Show calculation) | 6% | 6% | |

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| | Should the budgeted R&M be below the norm of 8%, is there an indication of what plans are in place to address the shortfall /challenges? | Yes | To Increase the revenue so to increase budget for maintenance. | |
| C.6.5.6.1 | *FINANCIAL RATIO'S | | | |
| | (Financial Ratio'- a three year (historical) indication of key financial ratios (cost/current/acid/going concern and sustainability – reasons, including measures to improve.) | | There is no history so far since the Municipality came into effect 10 August 2016 | |
| | Is the 3 year cost coverage ratio indicated? | No | | |
| | Is the 3 year current ratio indicated? | No | New Municipality | |
| | Are the plans to improve cash flow position indicated? | Yes | | |
| C.6.5.6.2 | Does the financial ratios table include an audited outcome from the prior year and a projection for three years? (The ratios in tabular form should include the following: <ul style="list-style-type: none"> • Current Ratio (Current assets to current liabilities) • Capital expenditure to total expenditure • Debt to Revenue • Collection Rate • Remuneration (employee and Councillors) to total expenditure • Distribution losses: Electricity • Distribution losses: Water) | Yes | | |
| C.6.6 | LOANS / BORROWINGS AND GRANT DEPENDENCY | | | |
| | (Indicate the level of borrowing, affordability to consider new loans, purpose for borrowing, affordability to cover the STPLTL and relate the grant dependency of the municipality. IDP to mention affordability of frontloading in order that all other financial information presented actually tie back to the frontloading/borrowing/expenditure management capability) | | | |
| | Is there an indication of borrowings/loans (even if not applicable to municipality)? | No | | |
| | Is the purpose of the borrowings/loans indicated? | No | No Borrowing | |
| | Is the level of grant dependency indicated (calculation)? | Yes | The Municipality's main source of revenue except grants is rates and there are no other major sources to date. | |
| | Is there an indication of the capability of the municipality to repay loans/borrowings? | No | Borrowing | |
| C.6.7 | EXPENDITURE MANAGEMENT | | | |
| | (Municipality to indicate the operational budget relative to the operational cost and % of employees and councilors, and the three year history of expenditure on OPEX) | | | |
| | Has the municipality indicated its operational budget in relation to operational costs, including employee related | Yes | 49% | The merger had resulted this |

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| | costs (employees & Councilors)? | | | |
| | Is there an indication of the prior three year OPEX? | Yes | The Municipality has existed only less than a year to date since started 10 August 2016 | |
| | Is the ability of the municipality to meet its operational expenses over the next year indicated? | Yes | Indicated in a budget | |
| C.6.8 | AUDITOR-GENERAL'S OPINION | | | |
| | What has been the Auditor-General's opinion in the most recent annual financial statements and what has been his opinion in the last three years? (Narrative to indicate what measures are in place to address negative outcomes.) | | The Municipality has existed only less than a year to date since started 10 August 201, there has never been any audit but the merged municipalities received unqualified audit opinions before merger. | |
| | Is there an indication of what has been the AG's opinion in the last financial year? | | Indicated on the Budget | |
| | Are the plans to improve poor audit outcome/sustain audit outcome provided? (Audit Improvement Plan (AIP))(Plan must be attached as annexure to IDP) | Yes | | |
| | Is the AIP monitored by the Audit Committee? | | | |
| C.6.9 | Is there a Municipal Financial Viability & Management SWOT analysis? | Yes | | |
| | How does the presentation of the SWOT compare regarding areas of financial management, as reviewed in the IDP or has not enough consideration been given to this area. (List shortcomings) | Yes | | |
| C.7 | KPA: Good Governance | | | |
| C.7.1 | Does the municipality have a: | Yes | | |
| | • Batho Pele Policy and Procedure Manual? | Yes | | |
| | • Service Delivery Charter and Standards? | Yes | | |
| | • Service Delivery Improvement Plan (SDIP)? | Yes | | |
| | Has the Municipality identified service(s) to be improved (maximum 3)? | Yes | | |
| C.7.2 | Is there an indication of the status and progress with the roll-out of Operation Sukuma Sakhe (functionality of War Rooms, functionality of other OSS structures, OSS stakeholders, programmes, challenges with implementation, | Yes | | |

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| | achievements)? | | | |
| C.7.3.1 | Has IGR been established in the District? | Yes | | |
| | Is it functional (meet regularly, strategic agenda, discussion matrix to monitor discussions and implementation)? | | | |
| | Is there participation in IGR Forums (appropriate levels of attendance)? | Yes | | |
| C.7.3.2 | Does the Municipality participate in Provincial Forums (PCF, Munimec)? | Yes | | |
| C.7.3.3 | Is there a dedicated IGR official in the Municipality? | No | Umkhanyakude District | |
| C.7.4 | Is there an indication of the status of the functionality of ward committees? | | | |
| C.7.5 | Is the participation of Amakhosi in Council meetings in line with Section 81 of Municipal Structures Act? | | | |
| C.7.6 | Is the IDP Steering Committee/similar committee established and functional (participation by HODs)? | Yes | | |
| C.7.7 | Are the management structures functional? | | | |
| C.7.8 | Is there a Council adopted Communication Plan or Strategy in place for public participation? | Yes | | |
| C.7.9.1 | Is there a functional Internal Audit Unit in the Municipality (Does it report to the Audit Committee)? | Yes | | |
| C.7.9.2 | Is the Audit Committee/Performance Audit Committee/combined committee established and functional (composition, how often report to Council)? | Yes | Quarterly | |
| C.7.10.1 | Is there a functional Enterprise Risk Management within the Municipality (risk register in place, monitoring of the register, and quarterly reporting to RMC)? | Yes | | |
| C.7.10.2 | Does the risk register include fraud risk? | Yes | | |
| | Is there an Anti-Fraud and Anti-Corruption Strategy in place? | Yes | | |
| C.7.10.3 | Is the Risk Management Committee/combined committee established, functional and members indicated? | Yes | | |
| C.7.11 | Is a comprehensive list of Council adopted Municipal Policies provided (e.g. finance, HR)? (Provide list to include adoption/review status and adoption date). | Yes | List attached and resolution | |
| C.7.12 | Has the Council adopted and promulgated all bylaws in terms of Schedule 4B and 5B of the Constitution? If not, briefly list challenges. (Provide list to include status and adoption date) | No | The municipality is in the process to register all municipality bylaws by 30 September 2017 | |

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| C.7.13 | Are the various municipal Bid Committees established, functional and are members indicated per Committee? | Yes | | |
| C.7.14 | Is the Municipal Public Accounts Committee (MPAC) established and functional? | Yes | | |
| C.7.15 | Are all portfolio committees properly constituted, representative and functional? (Finance, Corporate Services, Community Services, Development and town planning, Technical) | Yes | | |
| C.7.16 | Is there a detailed Good Governance & Public Participation SWOT Analysis? | Yes | | |
| C.7.18 | WARD BASED PLANS | | | |
| | Has the Municipality undertaken ward based planning? | Yes | | |
| | Has all Wards developed Ward Based Plans? | Yes | | |
| | Have the priorities outlined in the Ward Based Plans been catered for in the IDP projects? | Yes | | |
| | Is there alignment between the Ward Based Plans and the IDP? | Yes | | |
| C.7.19 | LAND USE MANAGEMENT | | | |
| | Has the municipality established a Municipal Planning Tribunal (MPT/JMPT)? | Yes | Shared Services with the District Umkhanyakude | |
| | Is the MPT/JMPT is functional (frequency of meetings)? | Yes | | |
| | Has the municipality complied with SPLUMA Regulation 14? | Yes | | |
| | Has the municipality appointed a Municipal Planning Authorised Officer? | Yes | | |
| | Has the municipality resolved on the Appeal Authority? | Yes | | |
| | Has the municipality amended the delegations from KZNPDA to SPLUMA bylaws? | Yes | | |
| | Has the municipality categorized applications? | Yes | | |
| | Has the municipality adopted SPLUMA bylaws? | Yes | | |
| | Has the municipality gazetted SPLUMA bylaws? | Yes | | |
| C.8 | Key Challenges | | | |
| C.8.1 | Does the Situational Analysis conclude with the identification of Key Challenges ⁵ ? | Yes | | |
| C.8.2 | Is there a clear explanation of each Key Challenge? | Yes | | |
| C.8.3 | Have the Key Challenges been derived from the status quo | Yes | | |

⁵ Those strengths that we could built on; those weaknesses we need to address, the opportunities we should unlock and the threats that we need to take cognizance of in our planning and development

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| | and the various KPA SWOT Analysis? | | | |
| C.8.4 | Have you reviewed your IDP taking into account the performance from the previous year (Information reflected in Annual Performance Report utilized to formulate the new IDP)? | Yes | Utilized MEC Comments | |
| | Have corrective performance measures been included? | Yes | | |
| | Is this evidence attached/incorporated into the IDP? | Yes | Audit Action Plan | |
| D. | Municipal Vision, Goals and Objectives | | | |
| D.1 | Is a long term vision for Municipal growth and development set out in the IDP? | Yes | | |
| | Is it informed by the SWOT Analysis, the Key Challenges? Is it descriptive? | Yes | | |
| D.2 | Are Goals, Objectives and Strategies set out in the IDP? | Yes | | |
| D.3 | Does the municipality clearly articulate the difference between Goals, Objectives and Strategies? | Yes | | |
| D.4 | Do the Goals and Objectives address the Key Challenges? | Yes | | |
| D.5 | Are the Goals and Objectives aligned with KZN PGDS? | Yes | | |
| D.6 | Are the Goals and Objectives unpacked as per the 6 KZN KPAs (as contained in the IDP Format Guidelines (COGTA. Feb 2013)? | Yes | | |
| E.1 | Strategic Mapping | | | |
| | Note: Consideration should be given to the MSA and SPLUMA SDF requirements during the drafting of the SDF | | | |
| E.1.1 | Does the IDP contain mapping that reflects environmental sensitive areas, agricultural potential areas and disaster risk profile maps? | Yes | | |
| E.1.2 | Does the IDP contain mapping that reflects the Municipality's desired spatial outcomes? | Yes | | |
| E.1.3 | If yes to E.1.2, are the mapping aligned with the Key Challenges, the long term Vision and the Goals and Objectives? | Yes | | |
| E.1.4 | Does the mapping reflect the desired spatial form and land use? | Yes | | |
| E.1.5 | Does the mapping reflect the spatial reconstruction of the Municipality? | Yes | | |
| E.1.6 | Does the mapping provide strategic guidance in respect of the location and nature of both public and private development within the municipality? | Yes | | |
| E.1.7 | Does the mapping reflect spatial alignment with neighbouring municipalities? | Yes | | |

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| E.1.8 | Does the mapping indicate where public and private land development and infrastructure investment should take place? | No | | |
| E.1.9 | Does the mapping reflect areas where strategic intervention is required? | Yes | | |
| E.1.10 | Does the mapping indicate areas where priority spending is required? | | | |
| E.2 | Implementation Plan | | | |
| E.2.1 | Is the Implementation Plan in the format as set out in the IDP Format Guidelines (COGTA Feb 2013)? i.e. in tabular form containing the following: <ul style="list-style-type: none"> • Key Challenge • Objective • Intervention • Performance Indicator • Baseline • 5 Year Targets • Target if outside 5 year period • Confirmed Budget • Funding Source • Responsibility | Yes | | |
| F. | Financial Plan | | | |
| F.1 | Does the municipality have a Financial Plan in place? | Yes | | |
| F.2 | Does the Financial Plan provide an overview of the 3-year Municipal Budget, as well as an Analysis and Explanation thereof? | Yes | | |
| F.3 | How much has been allocated for Operations and Maintenance Costs of municipal fixed assets? | | | |
| F.4 | Does the Financial Plan reflect sound financial strategies? (Revenue enhancement strategies and Expenditure Management Plan) | Yes | | |
| F.5 | Does the Financial Plan contain projects with committed funding, which are not on the Municipal Budget, from other service providers? (MTEF allocations inclusive of Sector Departments allocations/projects (A table on Budget assumptions: Assumptions % <ul style="list-style-type: none"> • Consumer Price Index | Yes | | |

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| | <ul style="list-style-type: none"> Debt Collection Rate Debt Impairment Expected Operating Expenditure Salary and Wage increase Expected Capital Expenditure Tariff increases: <ul style="list-style-type: none"> *Sanitation *Refuse removal *Property Rates *Water *Electricity *Water Boards *Eskom Surplus Funding capital: Bonds Funding capital: Council funding (including public contributions)) | | | |
| G. | Annual Operational Plan (SDBIP) | | | |
| G.1 | Does the IDP reflect the draft SDBIP or a summary thereof? | Yes | | |
| G.2 | Is the draft SDBIP fully aligned with the Goals and associated Objectives, and the Municipal Budget? | Yes | | |
| G.3 | Are there performance indicators that explain how the SDBIP is measured? | Yes | Quarterly Reports submitted | |
| H. | Organisational & Individual Performance Management System | | | |
| H.1 | Is there an explanation of how the OPMS is applied in the Municipality? | Yes | | |
| H.2 | Does the IDP contain the following: <ul style="list-style-type: none"> Organisational Key Performance Indicators linked to departmental indicators? Departmental Indicators linked to outputs in the Performance Agreements? Outputs in the Performance Agreements linked to activities in the Operational Plans and Indicators? | Yes Yes Yes | Will be aligned after final adoption of IDP &SDBIP | |

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| H.3 | Is the OPMS (Departmental and Individual Indicators) seamlessly aligned with the Goals, the associated Objectives and the Municipal Budget? | Yes | | |
| H.4 | BACK TO BASICS | | | |
| | Is the OPMS (Departmental and Individual Indicators) aligned to the B2B pillars? | Yes | | |
| | Are the SDIP and B2B support plan aligned? | Yes | | |
| | Has the support plan been adopted? | Yes | | |
| | Is the support plan implemented? | Yes | | |
| I. | Annexures | | | |
| I.1 | Is there a table setting out the status of Municipal Sector Plans and policies (including adoption date, review date, progress made, not yet developed, mandate for formulating sector plan.) | Yes | | |
| I.3 | Are the comprehensive SDF and Disaster Management Plan attached as Annexures to the IDP? | Yes | | |
| J. | Format of the IDP: <ul style="list-style-type: none"> • Content page with page numbers • Page numbers on individual pages • Font size • Legible maps in colour • Readable tables • Cross referenced information if not included in the relevant KPA. | | | |