**CHAPTER 9**

**STRATEGIC PLANNING: INTEGRATED DEVELOPMENT PLANNING**

**9.1 KWAZULU-NATAL INTEGRATED DEVELOPMENT PLAN FRAMEWORK GUIDE AND INTEGRATED DEVELOPMENT PLAN ASSESSMENT CRITERIA**

**9.1.1 PURPOSE OF THE IDP FRAMEWORK GUIDE AND IDP ASSESSMENT CRITERIA**

The purpose of IDP Framework Guide and IDP Assessment Criteria is to guide and advise on the formulation and annual review of the Integrated Development Plan.

**9.1.2 LEGISLATIVE MANDATE**

Section 31 of the Municipal Systems Act, Act 32 of 2000,[[1]](#footnote-1) allows for the Member of the Executive Committee for Local Government, in this instance the Member of the Executive Committee for KwaZulu-Natal Cooperative Governance and Traditional Affairs, to assist and monitor Municipalities with the planning, drafting, adoption and review of their Integrated Development Plans.

Section 32(1)(*a*) of the Municipal Systems Act,[[2]](#footnote-2) requires that Municipalities annually submit their adopted Integrated Development Plans for assessment to the Member of the Executive Committee for Local Government in order to determine whether the Plans are legally compliant and aligned to development plans and strategies of other Municipalities and organs of state, as set on Section 32(2) of the aforesaid Act.

**9.1.3 APPLICATION**

The Integrated Development Plan Framework Guide and IDP Assessment Criteria inform the formulation of the Integrated Development Plan and subsequent reviews by the Municipality. The Framework Guide is the overall framework that clarifies the concepts in the IDP Assessment Criteria, which are used to inform the contents of the IDP. By adopting the IDP Framework Guide and IDP Assessment Criteria at the beginning of each IDP cycle, certainty will be created amongst all IDP stakeholders on what is expected to be included in the IDP. Sector Departments and State Owned Enterprises will be sure on how to align their programs, projects and budgets in their Annual Performance Plans with Integrated Development Plans. By adopting and the application of the IDP Assessment Criteria, Municipalities will satisfy the legal criteria for the contents of the IDP, as well as alignment and credibility as envisaged in Section 32(1)(*a*) of the Municipal Systems Act above.[[3]](#footnote-3)

**KWAZULU-NATAL INTEGRATED DEVELOPMENT PLAN**

**FRAMEWORK GUIDE**

| **IDP COMPONENTS****“** *A plan for all Government***”** | **Comments** |
| --- | --- |

|  |  |  |
| --- | --- | --- |
| **A** | **Executive Summary**A concise overview of the municipality, its current situation, key challenges and opportunities, as well as the priority strategies of the municipality to improve its situation over the five year term of the IDP, indicating the most critical targets to be achieved. This summary should answer the following questions: 1. Who are we?
2. How was this plan (IDP) developed?
3. What are the Key Challenges (those strengths that we could build 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) we face?
4. What is our long term Vision?
5. What are we going to do to unlock and address our Key Challenges, i.e. what are we doing to improve ourselves?
6. What could you expect from us, in terms outputs, outcomes and deliverables, over the next five years?
7. How will our progress be measured?

The summary should be overview and not more than 15 pages in length(to be reviewed annually) | 1. Who are we?
* Spatial Location within KZN
* Demographic Profile
* Number of Wards and Traditional Authority Areas depicted on a map
* Economic Profile
1. How was this plan (IDP) developed?
* Summary of Process Plan (table with meeting dates) and its implementation
1. What are the Key Challenges (those strengths that we could build 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) we face?
* Derived from the Status Quo and SWOT, and grouped in the 5 KPAs, as well as Spatial & Environmental (**the 6 KPAs in KZN**)
1. What is our long term Vision?
2. What are we going to do to unlock and address our Key Challenges, i.e. what are we doing to improve ourselves?
* Reflection of Development Goals per 6 KZN KPAs
* SDF Map/s (spatial vision) to be indicated, as well as a very brief explanation thereof
1. What could you expect from us, in terms of outputs, outcomes and deliverables, over the next five years?
* Summary of Development Objectives & Targets
1. How will our progress be measured?
* Organisational Key Performance Indicators linked to departmental indicators
 |
| **B** | * **Planning and Development Principles**
* **Government Policies and Imperatives**
 |  |
| **B.1** | **Planning and Development Principles**This set of clear Planning and Development Principles is derived from applicable legislation, policies and strategies. It must guide the IDP Preparation Process. Further, a table must be included that demonstrates how the Municipality is applying the Planning and Development Principles in its area of jurisdiction.**(**The Planning and Development Principles will be the same for all municipalities within the Province. It needs to be reviewed as and when necessary) | An example of Planning and Development Principles is attached at **Appendix A** to the document. |
| **B.2** | **Government Priorities**This Section of the IDP to reflect applicable and relevant Government Priorities, such as the Sustainable Development Goals, National Development Plan priorities, the State of the Nation Address, the State of the Province Address, the KZN Provincial Growth and Development Strategy (8 Goals), Provincial Growth and Development Plan, District Growth and Development Plan and Back-to-Basics Programme. The IDP (and Reviews) must indicate how these are addressed and applied in the Municipal area.Municipalities have to include the District Development Model in their IDPs.(To be revised annually) |  |
| **C** | **Situational Analysis**A detailed (deep rigorous) Situational Analysis of the municipal area, according to (1) Spatial & Environmental (the 6th KZN KPA) (2) Demographic Analysis and (3) the remaining 5 KZN Key Performance Areas. The current LED KPA to be changed to LED & Social Development KPA.Each Sectoral Analysis, to conclude with a SWOT AnalysisCombined SWOT AnalysisThis section to be concluded by Identification of Key Challenges, as well as an explanation thereto, as derived from the Combined SWOT Analysis*(To be reviewed on 5 yearly basis & updated annually)* | A typical Table of Contents for the Situational Analysis is attached at **Appendix B**.The IDP should show the trends determined from the municipality’s SPLUMA applications register. The requirement of municipalities to keep a SPLUMA applications register provides a good tool for municipalities to monitor the trends in their area re. the different types of activities. With the SPLUMA applications register, municipalities can map all the applications and determine where residential developments are occurring, where commercial and industrials activities are growing due to “market forces” or “organically”. Therefore the SPLUMA applications register and the mapping of it should form a critical component of the municipalities Situational Analysis, especially as it is a tool that the municipality maintains itself that monitors development trends in their area of jurisdiction.Some examples are attached at **Appendix C**. |
| **D** | **Vision, Goals, Objectives & Strategies**Provides a long term Vision for infrastructure investment, social development (human settlements), economic development opportunities and environmental sustainability.The Vision must also be descriptive.Long Term Development Goals, associated Objectives & Strategies, structured into 6 KZN KPAs, and linked to the KZN PGDS and identified Key Challenges. Appropriate mapping to be included to reflect the Spatial Interventions.It is further also important to reflect the linkage between the KZN PGDS and the IDP’s Goals, Objectives & Strategies.(To be reviewed annually) | An example is attached at **Appendix D**.It is considered critical that at least all Local Municipalities within the Province adopt the same terminology for strategic planning purposes.An explanation of Development Goals, Objectives and Strategies, as well as examples, is provided at **Appendix E**. |
| **E** | * **Strategic Mapping**
* **Implementation Plan**
 |  |
| **E.1** | **Strategic Mapping**This section must indicate the desired growth and development (addressing issues and trends highlighted in the analysis) of the municipal area, and must specifically reflect following :* Environmentally Sensitive Areas;
* Desired spatial outcomes;
* Desired spatial form and land use;
* Spatial reconstruction of the Municipality;
* Strategic guidance in respect of the location and nature of development within the municipality;
* Spatial alignment with neighbouring municipalities;
* Indicate where public and private land development and infrastructure investment should take place;
* Areas where strategic intervention is required; and
* Areas where priority spending is required.
* Areas of environmental sensitivity

 (To be reviewed every 5-year cycle) | Desired growth and development (addressing issues and trends highlighted in the analysis). |
| **E.2** | **Implementation Plan**Implementation Plan, in tabular format, which reflects the following:* Key Challenge
* Objective
* Spatial Intervention
* Performance Indicator
* Baseline
* 5 Year Targets
* Target if outside 5 year period
* Confirmed Budget
* Funding Source
* Responsibility

This section to include specific combined maps – to reflect committed funding.5-Year Capital Investment Plan to be included as part of Implementation Plan (O&M)(*To be reviewed annually)* | An example is attached at **Appendix F**. |
| **F** | **Financial Plan**Municipal Budget Overview and 3 year Municipal Budget (to include debt collection, revenue generation, asset management, Summary of AG Report and Responses & Actions, Maintenance, etc). Projects to be reflected – for 3 years, as well as longer term projects.The Financial Plan also to indicate all projects, with budgets and time frames, within the Municipal Area which are not included in the Municipal Budget, i.e. those by government departments, SOEs, NGO’s, the Private Sector, etc.(*To be reviewed annually)* |  |
| **G** | **Annual Operational Plan (Draft SDBIP)**One Year Detailed Operational Plan*(To be Updated annually)* |  |
| **H** | **Organisational & Individual Performance Management System**Key Performance Indicators for each objective and Annual Performance Report of previous year.* Annual Performance Report of the previous Year
* 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

(*To be reviewed Review annually)*  |  |
| **I** | **ANNEXURES**This section to be prefaced by an outline on the status of all applicable Sector Plans. This can be done in a single table. | See an example of such a table attached at **Appendix G** |
| **I.1** | Government and Public Sector Participation, Private Sector and Community Involvement Report |  |
| **I.2** | Spatial Development Framework (SDF) (include Land Use Management Guidelines)  |  |
| **I.3** | Disaster Management Plan/s |  |
| **I.4** | AG Comments on latest Audited Financial Statements and Responses & Actions thereto |  |
| **1.5** | Integrated Environmental Plans |  |

**APPENDIX A**

**EXAMPLES OF PLANNING AND DEVELOPMENT INFORMANTS AND PRINCIPLES**

**National Development Plan**

Growth and development, reducing poverty and inequality.

**Provincial Growth and Development Strategy**

* The principle of self-sufficiency must be promoted. Development must be located in a way that reduces the need to travel, especially by car and enables people as far as possible to meet their need locally. Furthermore, the principle is underpinned by an assessment of each areas unique competencies towards its own self-reliance and need to consider the environment, human skills, infrastructure and capital available to a specific area and how it could contribute to increase its self-sufficiency.
* Planning and subsequent development must strive to provide the highest level of accessibility to resources, services and opportunities.

**Spatial Planning and Land Use Management Act, Act No. 16 of 2013, Section 7 (synopsis):**

* Spatial justice;
* Spatial sustainability;
* Efficiency;
* Spatial resiliency; and
* Good administration.

**APPENDIX B**

**AN ABBREVIATED TABLE OF CONTENTS FOR THE SITUATIONAL ANALYSIS**

|  |  |
| --- | --- |
| 1. | SPATIAL ANALYSIS |
| 1.1 | Regional Context |
| 1.2 | Administrative Entities[[4]](#footnote-4) |
| 1.3 | Structuring Elements |
| 1.4 | Existing Nodes and Corridors (including Urban Edges) |
| 1.5 | Land Cover and Broad Land Uses[[5]](#footnote-5) |
| 1.6 | Land Ownership |
| 1.7 | Land Reform[[6]](#footnote-6) |
| 1.8 | Land Capability |
| 1.9 | Private Sector Developments[[7]](#footnote-7) |
| 1.10 | Environmental Analysis[[8]](#footnote-8) |
| 1.10.1 | Biodiversity (including Protected Areas) |
| 1.10.2 | Hydrology |
| 1.10.3 | Air Quality |
| 1.10.4 | Coastal Management (where applicable) |
| 1.10.5 | Climate Change[[9]](#footnote-9) |
|  | 1.10.6 | Strategic Environmental Assessment |
| 1.11 | Spatial & Environmental Trends & Analysis |
| 1.12 | Spatial & Environmental: SWOT Analysis |
| 1.13 | Disaster Management |
| 1.13.1 | Municipal Institutional Capacity |
| 1.13.2 | Risk Assessment |
| 1.13.3 | Risk Reduction & Prevention |
| 1.13.4 | Response & Recovery |
| 1.13.5 | Training & Awareness |
| 1.13.6 | Funding Arrangements |
| 1.13.7 | Disaster Management: SWOT Analysis |
| 2. | DEMOGRAPHIC CHARACTERISTICS[[10]](#footnote-10) |
| 2.1 | Demographic Indicators |
| 2.2 | Key Findings (including Trends) |
| 3. | MUNICIPAL TRANSFORMATION & ORGANISATIONAL DEVELOPMENT ANALYSIS |
|  | 3.1 | Municipal Transformation |
| 3.2 | Organisational Development |
| 3.2.1 | Institutional Arrangements[[11]](#footnote-11) |
| 3.2.2 | Powers & Functions |
| 3.2.3 | Organisational Structure / Organogram |
| 3.2.4 | Municipal Institutional Capacity & Status of Critical Posts[[12]](#footnote-12) |
| 3.2.5 | Human Resource Development[[13]](#footnote-13) |
| 3.3 | Municipal Transformation & Organisational Development: SWOT Analysis |
| 4. | SERVICE DELIVERY & INFRASTRUCTURE ANALYSIS[[14]](#footnote-14) [[15]](#footnote-15) |
| 4.1 | Water & Sanitation[[16]](#footnote-16)  |
| 4.2 | Solid Waste Management[[17]](#footnote-17)  |
| 4.3 | Transportation Infrastructure[[18]](#footnote-18) [[19]](#footnote-19) |
| 4.4 | Energy[[20]](#footnote-20) |
| 4.5 | Access to Community Facilities[[21]](#footnote-21) |
| 4.6 | Human Settlements[[22]](#footnote-22) |
| 4.7 | Telecommunications[[23]](#footnote-23) |
|  | 4.8 | Service Delivery & Infrastructure: SWOT Analysis |
| 5. | LOCAL ECONOMIC & SOCIAL DEVELOPMENT ANALYSIS |
| 5.1 | Local Economic Development Analysis[[24]](#footnote-24) [[25]](#footnote-25) |
| 5.1.1 | Municipal Comparative & Competitive Advantages |
| 5.1.2 | Main Economic Contributors |
| 5.1.3 | Employment and Income Levels |
| 5.1.4 | SMMEs |
| 5.1.5 | Agriculture |
| 5.1.6 | Tourism |
| 5.1.7 | Manufacturing (Industrial) |
| 5.1.8 | Services |
| 5.1.9 | Mining |
| 5.1.10 | Local Economic Development: SWOT Analysis |
| 5.2 | Social Development Analysis[[26]](#footnote-26) |
| 5.2.1 | Broad Based Community Needs (limited to 3 priority projects per ward) |
| 5.2.2 | Education[[27]](#footnote-27) |
| 5.2.3 | Health[[28]](#footnote-28) |
| 5.2.4 | Safety & Security[[29]](#footnote-29) |
| 5.2.5 | Nation Building & Social Cohesion[[30]](#footnote-30) |
| 5.2.6 | Community Development with particular Focus on Vulnerable Groups  |
|  | 5.2.6.1 | Youth Development |
|  | 5.2.6.2 | Development of the People with Disabilities |
|  | 5.2.6.3 | Development of the Elderly |
|  | 5.2.6.4 | Development of Women |
|  | 5.2.6.5 | People affected by Crime, HIV/Aids, Drugs, etc. |
|  | 5.2.6.6 | Early Childhood Development |
| 5.2.7 | Social Development: SWOT Analysis |
| 6. | MUNICIPAL FINANCIAL VIABILITY & MANAGEMENT ANALYSIS |
| 6.1 | Financial Viability & Management Analysis |
| 6.1.1 | Capability of the Municipality to execute Capital Projects |
| 6.1.2 | Indigent Support (including Free Basic Services) |
| 6.1.3 | Revenue Enhancement and Protection Strategies |
| 6.1.4 | Municipal Consumer Debt Position |
| 6.1.5 | Grants & Subsidies |
| 6.1.6 | Municipal Infrastructure Assets & Maintenance (Q&M) |
| 6.1.7 | Current & Planned Borrowings |
| 6.1.8 | Municipality’s Credit Rating[[31]](#footnote-31) |
| 6.1.9 | Employee Related Costs (including councilor allowances)[[32]](#footnote-32) |
| 6.1.10 | Supply Chain Management (SCM) |
| 6.2 | Financial Viability & Management: SWOT Analysis |
| 7. | GOOD GOVERNANCE & PUBLIC PARTICIPATION ANALYSIS |
| 7.1 | Good Governance Analysis |
|  | 7.1.1 | National and Provincial Programmes rolled-out at Municipal Level[[33]](#footnote-33) |
|  | 7.1.2 | IGR |
|  | 7.1.3 | Municipal Structures[[34]](#footnote-34) |
|  | 7.1.4 | Audit Committee |
|  | 7.1.5 | Status of Municipal Policies[[35]](#footnote-35) |
|  | 7.1.5 | Municipal Risk Management |
|  | 7.1.6 | Municipal Bylaws |
| 7.2 | Public Participation Analysis |
| 7.3 | Good Governance & Public Participation: SWOT Analysis |
| 8. | COMBINED SWOT ANALYSIS |
| 9. | KEY CHALLENGES |

**APPENDIX C**

**EXAMPLES OF KEY CHALLENGES, AS WELL AS AN EXPLANATION THERETO**

**Municipal Transformation & Organisational Development**

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| **Key challenge** | **The Municipality lack critical human resources to assist in ensuring local economic development** |
| **Description** | The X LM has not appointed an LED Officer nor an Environmental Officer.One of the Powers and Functions of the Municipality is to facilitate and assist local economic development. Further, many opportunities for economic development is available within the Municipality, particularly in the tourism and agricultural sectors.The Municipal area is also blessed with rich environmental biodiversity, ranging from unique ecosystems along its coastline, its rivers and its northern savannah areas. These areas also offer unique opportunities for further tourism development.  |

**Service Delivery**

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| **Key challenge** | **Not all people within the Municipal area has access to clean drinking water** |
| **Description** | Government policies require that all people are entitled to clean drinking water on a continuous basis, at least to an RDP level of service. This means that a person must be able to every day obtain clean drinking water within a distance of 200m from their homestead.At the moment this is not being achieved within X LM. Even where this is achieved, people are not always aware how the water gets to them and do not always use water in a responsible manner and wastages do occur.Some areas, such as significant nodes in which commercial activities can thrive, requires a full level of water service, i.e. water through house connections. This will further boost economic and residential development within these areas.  |

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| **Key challenge** | 1. **Poor waste management**
2. **Widespread littering with limited reuse and recycling of solid waste**
 |
| **Description** | Waste Management in essence comprises of 3 components, namely (1) solid waste collection, (2) solid waste disposal, and (3) education relating to waste generation, reduction, recycling and reuse.The lack of waste management is clearly evident in the extensive visible litter along the majority of all roads and denser settlements. There are no registered landfill sites or transfer stations towards which waste can be disposed of. Waste collection is only in place in isolated areas and such waste is then disposed of at illegal locations. This could lead to increased health and environmental risks. Further, visible waste in towns and nodes could lead to investment opportunities being lost. It also affects the tourism marker adversely. |

**APPENDIX D**

**EXAMPLE OF A LONG TERM VISION**

The following Vision has been adopted in the KZN Provincial Growth and Development Strategy:

***“BY 2030 KWAZULU-NATAL WILL BE A PROSPEROUS PROVINCE WITH A HEALTHY, SECURE, AND SKILLED POPULATION, LIVING***

***IN DIGNITY AND HARMONY, ACTING AS A GATEWAY TO AFRICA AND THE WORLD.’’***

**APPENDIX E**

**AN EXPLANATION OF GOALS, OBJECTIVES & STRATEGIES, AS WELL AS AN EXAMPLE**

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| **DEFINITIONS AND EXPLANATION** |
| **GOAL**  | **OBJECTIVE (s) (What?)** | **STRATEGY/IES (How?)** |
| A desired end result.Goals are an intermediary step between mission statements and objectives. They are usually not measurable and need to be further developed as separate distinguishable outcomes. They are primarily used for general planning and are used as the starting point to the development and refinement of outcomes. | Specific and measurable targets for accomplishing goals.When formulating objectives, it may be helpful to think in terms of the end result or outcome. That is, once the objective is met, what change would you expect to see? | A plan of action or policy designed to achieve a major or overall aimpractical, action-oriented |
| **AN EXAMPLE:** |
| Job Creation | 1. Unleashing the Agricultural Sector 2. Enhance Industrial Development through Trade, Investment & Exports3. Expansion of Government-led job creation programmes 4. Promoting SMME, Entrepreneurial and Youth Development5. Enhance the Knowledge Economy | * Develop the agricultural development plan
* Support emerging farmers
* Recapitalisation of farms redistributed through land claims
* Support the formulation and registration of cooperatives
* Support existing farmers to formalise employment (permanent)
 |

**APPENDIX F**

**AN EXAMPLE OF AN IDP IMPLEMENTATION PLAN FOR SERVICE DELIVERY AND INFRASTRUCTURE**

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| **SERVICE DELIVERY AND INFRASTRUCTURE DEVELOPMENT** |
| **Key Challenge** | **Obj Ref.:** | **Objective** | **Strategies** | **Performance Indicator** | **Baseline** | **5 Yr Targets** | **Target & Yr (if outside 5 yr period)** | **Budget (R)****(‘000)** | **Source** | **Responsibility (in Mun)** |
| **Yr 1****2013/13** | **Yr 2****2013/14** | **Yr 3****2014/15** | **Yr 4****2015/16** | **Yr 5****2016/17** |
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Note: Example of “Implementation Plan” = Score Card.

**APPENDIX G**

**AN EXAMPLE OF TABLE REFLECTING THE STATUS OF SECTOR PLANS IN THE MUNICIPALITY**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **No.** | **Sector Plan** | **Completed?****(Y/N)** | **Adopted****(Y/N)** | **Adoption Date (if adopted)** | **Date of Next Review** |
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**APPENDIX H**

**DEMOGRAPHIC AND SOCIO-ECONOMIC INDICATORS THAT NEED TO BE REFLECTED IN THE SITUATIONAL ANALYSIS, AS WELL AS SUGGESTIONS REGARDING TREND ANALYSIS**

**1. Input into Table of Contents for the Status Quo Section of an IDP:**

The first section should contain a key set of demographic and socio-economic indicators as follows: (it is recommended that 3 data points are used 96, 01 and 11)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  **DEMOGRAPHIC INDICATORS** | **1996** | **2001** | **2011** | Source |
| **Population size** |
| Total population |  |  |  | StatsSA |
| Growth rates |  |  |  | StatsSA |
| Change (%) |  |  |  | StatsSA |
| **Population distribution** |
| Population density |  |  |  | StatsSA |
| Urban formal |  |  |  | StatsSA |
| Urban informal |  |  |  | StatsSA |
| Rural formal |  |  |  | StatsSA |
| Traditional |  |  |  | StatsSA |
| **Population composition**  |
| Young (0-14) |  |  |  | StatsSA |
| Working age (15-64) |  |  |  | StatsSA |
| Elderly (65+) |  |  |  | StatsSA |
| Sex ratio (women/100 men) |  |  |  | StatsSA |
| Dependency ratio |  |  |  | StatsSA |
| Disabled (%) |  |  |  |  |
| **Fertility rates\*** |
| Total fertility rate\* |  |  |  | StatsSA |
| Adolescent fertility rate\* |  |  |  | StatsSA |
| Crude birth rate\* |  |  |  | StatsSA |
| **Mortality rates\*** |
| Total mortality rate\* |  |  |  | StatsSA |
| Under 5 mortality rate\* |  |  |  | StatsSA |
| Infant mortality rate\* |  |  |  | StatsSA |
| Leading cause of death\* |  |  |  | StatsSA |
| HIV prevalence rate |  |  |  | Health |
| **Life expectancy\*** |
| Males\* |  |  |  | StatsSA |
| Females\* |  |  |  | StatsSA |
| Human Development Index |  |  |  | Derived |
| **Population groups** |
| Black African |  |  |  | StatsSA |
| Coloured |  |  |  | StatsSA |
| White |  |  |  | StatsSA |
| Indian/Asian |  |  |  | StatsSA |

\* need to follow-up if these variables will be available at municipal level for Census 2011. If not provincial figures to be used as a proxy

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  **SOCIO-ECONOMIC INDICATORS** | **1996** | **2001** | **2011** | Source |
| **Households and services** |
| Average number of rooms |  |  |  | StatsSA |
| Average household size |  |  |  | StatsSA |
| Female headed households |  |  |  |  |
| Child headed household |  |  |  |  |
| Access to piped water |  |  |  | StatsSA |
| Access to electricity |  |  |  | StatsSA |
| Access to sanitation |  |  |  | StatsSA |
| Tenure status (% owned) |  |  |  | StatsSA |
| **Educational status** |
| Literacy rate |  |  |  | StatsSA |
| Attending educational institution |  |  |  | StatsSA |
| No schooling |  |  |  | StatsSA |
| Primary enrolment rate |  |  |  | Education |
| Teacher: learner ratio |  |  |  | Education |
| Secondary enrolment rate |  |  |  | StatsSA |
| % Completed matric |  |  |  | StatsSA |
| Matric pass rates |  |  |  | Education |
| % Completed higher education |  |  |  | StatsSA |
| **Employment status** |
| Labour absorption rate |  |  |  | StatsSA |
| Unemployment rate (official) |  |  |  | StatsSA |
| Unemployment rate (by sex) |  |  |  | StatsSA |
| Unemployment rate (youth) |  |  |  | StatsSA |
| Labour participation rate |  |  |  | StatsSA |
| Main occupation sector |  |  |  | StatsSA |
| **Income status** |
| Average household income |  |  |  | StatsSA |
| Indigent households (below R800) |  |  |  | StatsSA |
| Social grant recipents |  |  |  |  |
| Deprivation index |  |  |  | StatsSA |
| Gini coefficent |  |  |  | Derived |
| **Safety and security** |
| ?? |  |  |  | SAPS |
| **Travel and transport** |
| ?? |  |  |  |  |

**Trend analysis**

The following additions are suggested in order to unpack the demographic characteristics section. Key indicators should be followed by narrative supported with charts, maps and tables. This should include:

- a population pyramid (disaggregated by race if other population groups are statistically significant)

- use of maps to support analysis of differences over space and time



**Framework for situational analysis**

The analysis should be informed through a discussion structured as follows:

* **demographic processes** of fertility, mortality and migration which determine;
* **demographic outcomes** in terms of size, age-sex structure and spatial distributions of the population which affect the functioning of;
* **socio-economic processes** of land use, labour absorption, consumption and expenditure which determine;
* **socio-economic outcomes** in terms of income, employment, education, health, housing etc.



**REVISED KWAZULU-NATAL IDP ASSESSMENT CRITERIA**

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| **PRINCIPLES OF A CREDIBLE IDP:*** 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.
 |
| **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 its expected Key Performance Areas and how these will be measured?  |  |  |  |
| **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?  |  |  |  |
| B.2 | If yes, does the IDP contain an indication of how these are addressed/cascaded and applied in the municipal area? |  |  |  |
| **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? |  |  |  |
| C.1.2 | Are the Municipality’s demographic characteristics, including spatial distribution of population, graphically presented through graphs and maps? |  |  |  |
| 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)? |  |  |  |
| 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)? |  |  |  |
| 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? |  |  |  |
| C.2.3 | Are existing human settlements, nodes and towns indicated via maps in the IDP? |  |  |  |
| C.2.4 | Are settlement corridors indicated via maps in the IDP? |  |  |  |
| C.2.5 | Is there a Spatial & Environmental SWOT Analysis? |  |  |  |
| 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? |  |  |  |
| **C.3** | **KPA: Municipal Transformation & Institutional Development** |
| C.3.1 | Is there a Human Resources Strategy that is adopted and implemented, that aligns to the long-term development plans of the municipality as reflected in the IDP?  |  |  |  |
| Is there a Human Resources Plan, which is aligned to the Human Resources Strategy? Is it adopted and being implemented?  |  |  |  |
| 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?  |  |  |  |
| If yes to C.3.2, is the vacancy rate indicated? |  |  |  |
| C.3.3 | Are all critical posts filled (MM & Section 56 posts[[36]](#footnote-36)) and what is the progress with appointments where critical posts are vacant? |  |  |  |
| C.3.4 | Does the municipality have the following:* A council adopted Employment Equity Plan?
* A council adopted Workplace Skill Plan that responds to the capacity challenges of the municipality?
* Recruitment and Selection Policy?
* Retention Policy?
 |  |  |  |
| C.3.5 | If yes to C.3.4, is the Municipality implementing these plans to assist in training, recruitment and staff retention?[[37]](#footnote-37) |  |  |  |
| C.3.6 | Is an ICT Policy Framework in place and what is the status of the progress of its implementation? |  |  |  |
| C.3.7 | Does this section conclude with a Municipal Transformation & Organisational Development SWOT Analysis? |  |  |  |
| **C.4** | **KPA: Basic Service Delivery**  |
| C.4.1 | Water & Sanitation | C.4.1.1 | Is the municipality the Water Service Authority (WSA)? |  |  |  |
| C.4.1.2 | If Yes to C.4.1.1, when was the WSDP last reviewed? |  |  |  |
| C.4.1.3 | Is the link to the WSDP provided? |  |  |  |
| C.4.1.4 | If no, has the WSDP been attached as annexure? |  |  |  |
| C.4.1.5 | If no to C.4.1.1., does the IDP indicate who the WSA is? |  |  |  |
| C.4.1.6 | If no to C.4.1.1., does the IDP indicate when the WSDP was last review? |  |  |  |
| 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) |  |  |  |
| Is there an indication that the O&M Plan is being implemented? |  |  |  |
| C.4.1.8 | If no to C.4.1.1., does the IDP indicate the status of the 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[[38]](#footnote-38) for water and sanitation services? |  |  |  |
| C.4.1.10 | Does the IDP have a map showing the access to water within the municipality? |  |  |  |
| C.4.1.11 | Does the IDP have a map showing the access to sanitation within the municipality? |  |  |  |
| C.4.1.12 | Does the IDP have a map showing the proposed water projects? |  |  |  |
| C.4.1.13 | Does the IDP have a map showing sanitation projects? |  |  |  |
| C.4.1.14 | Did the municipality co-ordinate its development activities with the relevant sector departments and service providers? |  |  |  |
| C.4.2 | Solid Waste Management | C.4.2.1. | Does the IDP indicate whether the municipality is responsible for waste collection? |  |  |  |
| 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? |  |  |  |
| C.4.2.3. | Does the IDP indicate if the municipality owns waste disposal site? |  |  |  |
| C.4.2.4. | If yes, does the IDP indicate the state of waste disposal site? (Engineering, auditing, lifespan, licensed) |  |  |  |
| C.4.2.5 | Is there an updated council approved IWMP in place? |  |  |  |
| C.4.2.6 | Is there progress with implementation of the IWMP? |  |  |  |
| 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 ) |  |  |  |
| 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?) |  |  |  |
| 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? |  |  |  |
| C.4.3.3 | Is the municipality responsible for the provision of new roads and related facilities? |  |  |  |
| 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? |  |  |  |
| C.4.3.5 | Is the municipality responsible for the Integrated Transport Plan (ITP)? |  |  |  |
| C.4.3.6 | If yes, when was the ITP last reviewed? |  |  |  |
| C.4.3.7 | Does the IDP provide a link to the ITP? |  |  |  |
| 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?) |  |  |  |
| C.4.4 | Energy | C.4.4.1 | Is the municipality the Electricity / Energy provider? |  |  |  |
| C.4.4.2 | If yes to C.4.4.1, has an Electricity Plan been adopted and is it being implemented? |  |  |  |
| C.4.4.3 | If yes to C.4.4.1, is an Operations and Maintenance Plan for electricity / energy in place? |  |  |  |
| C.4.4.4 | If no, how does the municipality plan for schedule 5.B projects? (DOE funding). |  |  |  |
| C.4.4.5 | Does the IDP include a summary (with supporting maps) of the status, backlogs, needs and priorities for electricity / energy services? |  |  |  |
| C.4.4.6 | Did the municipality co-ordinate its development activities with the relevant sector departments and service providers? |  |  |  |
| C.4.5 | Access to Community Facilities | C.4.5.1 | Does the IDP indicate if the municipality has sufficient authorized cemetery sites?  |  |  |  |
| C.4.5.2 | Does the IDP include a summary (with supporting maps) of the status, backlogs, needs and priorities for community facilities (including pounds, ECD centres)? |  |  |  |
| C.4.5.3 | Did the municipality co-ordinate its development activities with the relevant sector departments and service providers? |  |  |  |
| C.4.6 | Human Settlements | C.4.6.1 | Is the municipality classified as the housing developer for human settlements? |  |  |  |
| C.4.6.2 | If yes in C.4.6.1, is there a Council approved Housing Sector Plan? |  |  |  |
| C.4.6.3 | Is the Housing Sector Plan aligned to KZN Human Settlements Spatial Master Plan? |  |  |  |
| 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? |  |  |  |
| C.4.6.5 | If yes for C.4.6.1, does the IDP indicate the existing and planned housing projects[[39]](#footnote-39) indicated in the IDP? |  |  |  |
| 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 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? |  |  |  |
| C.4.6.8 | Have the service providers / authorities committed the funding for the services in support of housing projects? |  |  |  |
| C.4.7 | Telecommunications6 | 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).*(“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 implementation plans”*. (www.undp.org)) |
| C.5.1.1 | **When was the LED Strategy or Plan developed and adopted?** |  |  |  |
| Was the LED Strategy/Plan prepared in-house or outsourced? |  |  |  |
| Does the Strategy development process identify all key stakeholders for participation? |  |  |  |
| Does the Strategy factor in the input received from stakeholders’ participation (Including MEC advises)? |  |  |  |
| C.5.1.2 | **Policy/regulatory enviroment** |  |  |  |
| Is there an adopted Informal Economy Policy? |  |  |  |
| Is there policy regulating (permits, zoning) for street vendors? |  |  |  |
| Is there an Investment/Retention Policy? |  |  |  |
| Has the municipality adopted the EPWP 3 aligned policy? |  |  |  |
| Is there an up to date database for all active/registered SMMEs and Cooperatives? |  |  |  |
| C.5.1.3 | Does the KPA respond comprehensively to the PGDP and DGDP priorities? |  |  |  |
| Are the goals, objectives, strategies and projects of the Strategy responsive to the issues identified in the situational analysis? |  |  |  |
| Are the economic drivers in the region or locality clearly indicated with their current performances? (i.e. sugar cane/industry drives the local economy but there has been a decline recently which had adverse effects on local labour force) |  |  |  |
| C.5.1.4 | **Are the Interventions and Programmes/Projects spatially referenced?** |  |  |  |
| C.5.1.5 | **Are the beneficiaries well identified?** |  |  |  |
| 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) |  |  |  |
| Are the key natural assets/resources identified and analyzed? |  |  |  |
| Is it clear how the locality addresses threats or constraints facing the local economic sectors and businesses? |  |  |  |
| Are key economic players identified? Strong/weak networks identified and analyzed? |  |  |  |
| 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? |  |  |  |
| Does the IDP reflect mechanisms aimed at expanding employment opportunities in agriculture? |  |  |  |
| Are there any initiatives to promote smallholder producers? |  |  |  |
| Is there a specific programme targeting emerging farmers? (Unleashing agricultural potential/productive use of land/Agri hubs and Agri parks and markets)? |  |  |  |
| Is there a reflection on the investment in agro-processing? |  |  |  |
| Is there a specific programme targeting to improve competitiveness of SMMEs/Cooperatives in the key sector in the locality? (Radical Economic Transformation) |  |  |  |
| Is there a specific initiative aimed at reducing red tape? |  |  |  |
| Is there a specific programme targeting the informal economy? (AWG 4 Indicator 7.1.2.7) |  |  |  |
| Is there a specific programme targeting Vulnerable groups (women, youth and disabled)? |  |  |  |
| 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? |  |  |  |
| Are there any skills development programmes earmarked for rural development? |  |  |  |
| C.5.1.9 | **EPWP INDICATORS** |
| Does the IDP reflect consistent reporting with regards to work opportunities created across all sectors on the EPWPs? |  |  |  |
| Does the IDP reflect the integrated grant spending in line with the provisions stipulated in the incentive grant agreement? |  |  |  |
| Does the IDP reflect implemetation of projects/programmes as per the project list (business plan) submitted to NDPW? |  |  |  |
| C.5.1.10 | **Has the municipality reflected green economy initiatives?** |  |  |  |
| C.5.1.11 | **Capacity of the municipality** |  |  |  |
| Is there a designated LED unit? |  |  |  |
| Are there any capacity constraints or challenges identified?  |  |  |  |
| Are there appropriate functional institutional arrangements in place (sector specific forums)?  |  |  |  |
| Is there alignment of different economic fora? |  |  |  |
| Are the LED programmes/initiatives budgeted for? |  |  |  |
| Is there a M&E plan in place to track progress and effectiveness? |  |  |  |
| What action plan has been put in place to address the AG and PT concerns with regards to LED? (Audit response must be attached)? |  |  |  |
| Is there a budget for Research and Development? |  |  |  |
| C.5.1.12 | Is there a plan in place to mobilise private sector resources? |  |  |  |
| **C.5.2** | **SOCIAL DEVELOPMENT** |
| C.5.2.1 | Are the 3 priorities per ward reflected in the Situational Analysis? |  |  |  |
| C.5.2.2 | Is there an analysis of the Health and Education sectors in the Situational Analysis? |  |  |  |
| C.5.2.3 | Are safety & security, as well as nation building & social cohesion, analysed in the Situational Analysis? |  |  |  |
| C.5.2.4 | Is there a Municipal Safety Plan in place? |  |  |  |
| C.5.2.5 | Does the municipality have a bylaw for the implementation of Municipal Health Services? |  |  |  |
| C.5.2.6 | Does the Situational Analysis reflect an analysis of community development, with a particular focus on vulnerable groups? |  |  |  |
| C.5.2.7 | Does the municipality have a plan to respond to the needs of the vulnerable groups? |  |  |  |
| C.5.2.8 | Are households supported with food production initiatives (community and institutional gardens established)? |  |  |  |
| C.5.2.9 | Are schools supported with the National School Nutrition Programme (NSNP)? |  |  |  |
| C.5.2.10 | Is there a Social Development SWOT Analysis? |  |  |  |
| **C.6** | **KPA: Financial Viability & Management** |
| C.6.1 | **CAPITAL FUNDING AND EXPENDITURE TO ADDRESS SERVICE DELIVERY**  |
| **Is there a 3-year synopsis of funds received, spent, unspent, source of funding, variance tables and contingency plans to address challenges such as delays?** (A 3-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.) |  |  |  |
| **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. |  |  |  |
| **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.) |  |  |  |
| **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.)  |  |  |  |
| C.6.2 | **SOCIAL AND ECONOMIC REDRESS VIA INDIGENT MANAGEMENT**(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.) |
| Is the Indigent Policy attached? |  |  |  |
| Is there an indication of the number of registered indigents on the indigent register? |  |  |  |
| Is there an indication of how much has been allocated for indigent support from the equitable share?  |  |  |  |
| Is the category of indigent support with projected amounts indicated (FBS)?  |  |  |  |
| Is there an indication of the increase/decrease of indigent support over the last three years?  |  |  |  |
| Is there a monitoring mechanism to ensure that the budget allocated for people with disabilities is fully utilised? |  |  |  |
| C.6.3 | **REVENUE RAISING STRATEGIES** |
| Is the revenue raising strategy provided? |  |  |  |
| **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.) |  |  |  |
| C.6.4 | **REVENUE PROTECTION (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? |  |  |  |
| Is the debtors’ age analysis provided?  |  |  |  |
| 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)  |  |  |  |
| 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? |  |  |  |
| Are there any challenges experienced with the SCM unit? Is it supported by a measure to address these challenges with timeframes? |  |  |  |
| 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? |  |  |  |
| Does the SCM Policy make provision for the disabled to qualify for tenders? |  |  |  |
| C.6.5.2 | **\*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? |  |  |  |
| Is the asset renewal plan feasible? |  |  |  |
| C.6.5.3 | **\*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.) |
| 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 3-years is it incremental? (show calculation)  |  |  |  |
| 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? |  |  |  |
| C.6.5.4 | **\*FINANCIAL VIABILITY/SUSTAINABILITY** |
| (Financial Ratio’-a 2 year (historical) indication of key financial ratios (cost/current/acid/going concern and sustainability – reasons, including measures to improve.)The municipality to provide financial viability information in a tabular format for the previous 2 financial years based on audited AFS and projected for the next financial year indicating * Cost coverage ratio
* Current Ratio (Current assets to current liabilities)
* Capital expenditure to total expenditure
* Debt to Revenue
* Collection Rate
* Remuneration (Employee and Councilors) to total expenditure
* Distribution losses: Electricity/ Water
 |  |  |  |
| 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 ties back to the frontloading/borrowing/expenditure management capability) |
| Is there an indication of borrowings/loans (even if not applicable to municipality)? |  |  |  |
| Is the purpose of the borrowings/loans indicated? |  |  |  |
| Is the level of grant dependency indicated (calculation)? |  |  |  |
| Is there an indication of the capability of the municipality to repay loans/borrowings?  |  |  |  |
| C.6.7 | **AUDITOR-GENERAL'S OPINION** |
| Is there an indication of what has been the AG’s opinion in the last financial year?  |  |  |  |
| Are the plans to improve poor audit outcome/sustain audit outcome provided? (Audit Improvement Plan (AIP) (Plan must be attached as annexure to IDP) |  |  |  |
| C.6.8 | Is there a Municipal Financial Viability & Management SWOT analysis?  |  |  |  |
| 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) |  |  |  |
| **C.7** | **KPA: Good Governance and Public Participation**  |
| C.7.1 | Does the municipality have a:• Batho Pele Policy and Procedure Manual?• Service Delivery Charter and Standards?• Service Delivery Improvement Plan (SDIP)? |  |  |  |
|  |
|  |
| Has the Municipality identified service(s) to be improved (maximum 3)? |  |  |  |
| 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, achievements)? |  |  |  |
| C.7.3.1 | Has IGR been established in the District? |  |  |  |
| Is it functional (meet regularly, strategic agenda, discussion matrix to monitor discussions and implementation)? |  |  |  |
| Is there participation in IGR Forums (appropriate levels of attendance)? |  |  |  |
| C.7.3.2 | Does the Municipality participate in Provincial Forums (PCF, Munimec)? |  |  |  |
| C.7.3.3 | Is there a dedicated IGR official in the Municipality? |  |  |  |
| 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)? |  |  |  |
| 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? |  |  |  |
| C.7.9.1 | Is there a functional Internal Audit Unit in the Municipality(Does it report to the Audit Committee)? |  |  |  |
| C.7.9.2 | Is the Audit Committee/Performance Audit Committee/combined committee established and functional (composition, how often report to Council)?  |  |  |  |
| C.7.10.1 | Is there a functional Enterprise Risk Management within the Municipality (risk register in place, monitoring of the register, quarterly reporting to RMC)? |  |  |  |
| C.7.10.2 | Does the risk register include fraud risk? |  |  |  |
| Is there an Anti-Fraud and Anti-Corruption Strategy in place? |  |  |  |
| C.7.10.3 | Is the Risk Management Committee/combined committee established, functional and members indicated? |  |  |  |
| 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). |  |  |  |
| 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) |  |  |  |
| C.7.13 | Are the various municipal Bid Committees established, functional and are members indicated per Committee? |  |  |  |
| C.7.14 | Is the Municipal Public Accounts Committee (MPAC) established and functional? |  |  |  |
| C.7.15 | Are all portfolio committees properly constituted, representative and functional?(Finance, Corporate Services, Community Services, Development and town planning, Technical) |  |  |  |
| C.7.16 | Is there a detailed Good Governance & Public Participation SWOT Analysis? |  |  |  |
| C.7.18 | **WARD BASED PLANS** |
| Has the Municipality undertaken ward based planning? |  |  |  |
| Has all Wards developed Ward Based Plans? |  |  |  |
| Have the priorities outlined in the Ward Based Plans been catered for in the IDP projects? |  |  |  |
| Is there alignment between the Ward Based Plans and the IDP? |  |  |  |
| C.7.19 | **LAND USE MANAGEMENT** |
| Has the municipality established a Municipal Planning Tribunal (MPT/JMPT)?  |  |  |  |
| Is the MPT/JMPT functional (frequency of meetings)? |  |  |  |
| Has the municipality complied with SPLUMA Regulation 14?  |  |  |  |
| Has the municipality appointed a Municipal Planning Authorised Officer?  |  |  |  |
| Has the municipality resolved on the Appeal Authority?  |  |  |  |
| Is the Appeals Authority functional by having frequent meetings? |  |  |  |
| **C.8** | **Key Challenges** |
| C.8.1 | Does the Situational Analysis conclude with the identification of Key Challenges[[40]](#footnote-40)? |  |  |  |
| C.8.2 | Is there a clear explanation of each Key Challenge? |  |  |  |
| C.8.3 | Have the Key Challenges been derived from the status quo and the various KPA SWOT Analyses? |  |  |  |
| 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)? |  |  |  |
| Have corrective performance measures been included? |  |  |  |
| Is this evidence attached/incorporated into the IDP?  |  |  |  |
| **D.** | **Municipal Vision, Goals and Objectives**  |
| D.1 | Is a long term vision for Municipal growth and development set out in the IDP?  |  |  |  |
| Is it informed by the SWOT Analysis, the Key Challenges? Is it descriptive? |  |  |  |
| D.2 | Are Goals, Objectives and Strategies set out in the IDP?  |  |  |  |
| D.3 | Does the municipality clearly articulate the difference between Goals, Objectives and Strategies? |  |  |  |
| D.4 | Do the Goals and Objectives address the Key Challenges? |  |  |  |
| D.5 | Are the Goals and Objectives aligned with KZN PGDS? |  |  |  |
| D.6 | Are the Goals and Objectives unpacked as per the 6 KZN KPAs (as contained in the IDP Format Guidelines (COGTA. Feb 2013)? |  |  |  |
| **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? |  |  |  |
| E.1.2 | Does the IDP contain mapping that reflects the Municipality’s desired spatial outcomes? |  |  |  |
| 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? |  |  |  |
| E.1.4 | Does the mapping reflect the desired spatial form and land use? |  |  |  |
| E.1.5 | Does the mapping reflect the spatial reconstruction of the Municipality? |  |  |  |
| 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? |  |  |  |
| E.1.7 | Does the mapping reflect spatial alignment with neighbouring municipalities? |  |  |  |
| E.1.8 | Does the mapping indicate where public and private land development and infrastructure investment should take place? |  |  |  |
| E.1.9 | Does the mapping reflect areas where strategic intervention is required? |  |  |  |
| 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:* Key Challenge
* Objective
* Strategy
* Performance Indicator
* Baseline
* 5 Year Targets
* Target if outside 5 year period
* Confirmed Budget
* Funding Source
* Responsibility
 |  |  |  |
| **F.** | **Financial Plan**  |
| F.1 | Does the municipality have a Financial Plan in place? |  |  |  |
| F.2 | Does the Financial Plan provide an overview of the 3-year Municipal Budget, as well as an Analysis and Explanation thereof? |  |  |  |
| F.3 | Does the Financial Plan reflect sound financial strategies with regard to expenditure and more specifically cost containment measures to be implemented? |  |  |  |
| F.4 | Is there an indication of the prior 3-year OPEX?  |  |  |  |
| F.5 | Is the ability of the municipality to meet its operational expenses over the next year indicated? |  |  |  |
| F.6 | Does the Financial Plan contain projects with committed funding, which are not on the Municipal Budget, from other Sector Departments/Funding agents aligned to DORA?Include a table on to reflect:* Funding agent/Sector Department
* Project
* Funding amount
* IDP Goal
* Alignment to PGDP, GDP and NDP
 |  |  |  |
| **G.** | **Annual Operational Plan (SDBIP)** |
| G.1 | Does the IDP reflect the draft SDBIP or a summary thereof? |  |  |  |
| G.2 | Is the draft SDBIP fully aligned with the Goals and associated Objectives and Strategies as per Chapter D of the IDP? |  |  |  |
| G.3 | Are there performance indicators that explain how the SDBIP is measured? |  |  |  |
| **H.** | **Organisational & Individual Performance Management System** |
| H.1 | Is there an explanation of how the OPMS is applied in the Municipality? |  |  |  |
| H.2 | Does the IDP contain the following:* 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?
 |  |  |  |
| H.3 | Is the OPMS (Departmental and Individual Indicators) aligned with the Goals, the associated Objectives and Strategies contained in Chapter D of the IDP? |  |  |  |
| H.4 | **BACK TO BASICS** |
| Is the OPMS (Organisational Scorecard/SDBIP) aligned to the B2B pillars? |  |  |  |
|  | Is it clear how the B2B program is prioritised and implemented in the IDP? |  |  |  |
| **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.) |  |  |  |
| I.2 | Are the comprehensive SDF and Disaster Management Plan attached as Annexures to the IDP? |  |  |  |
| **J.** | **Format of the IDP:*** Content page with page numbers
* Page numbers on individual pages
* Font size
* Legible maps in colour
* Readable tables and graphs
* Cross referenced information if not included in the relevant KPA.
 |  |  |  |

1. Municipal Systems Act, Act 32 of 2000 [↑](#footnote-ref-1)
2. Municipal Systems Act, Act 32 of 2000 [↑](#footnote-ref-2)
3. Municipal Systems Act, Act 32 of 2000 [↑](#footnote-ref-3)
4. This discusses and indicate on maps the Municipal Wards and Traditional Authority Areas (if any) [↑](#footnote-ref-4)
5. The identification of land uses should include areas of agricultural potential. It must be noted information on Land Cover is available via the KZN Land Cover dataset (EKZN-W 2008, EKZN-W updates this dataset every 3 years) [↑](#footnote-ref-5)
6. Status of Land Reform within the Municipality – settled & non-settled, but gazette, land claims & land redistribution [↑](#footnote-ref-6)
7. The KZN Planning and Development Act (Act No. 6 of 2008) (PDA) Applications Register should be used as one of the tools to determine spatial trends (see Section 1.11 in this Table of Contents) in the municipality and analysis of the PDA applications register will highlight key informants for the IDP. Private Developments should also be mapped. [↑](#footnote-ref-7)
8. Environmentally sensitive areas (and the scale thereof) to be indicated on Maps [↑](#footnote-ref-8)
9. Climate change trends should also include flood prone areas [↑](#footnote-ref-9)
10. A COMPLETE BREAKDOWN, AS RECEIVED FROM STATSSA, OF EXPECTED SUB-HEADINGS AND OTHER IMPORTANT ASPECTS AREA ATTACHED AT **APPENDIX H**. [↑](#footnote-ref-10)
11. Must explain the workflow processes and procedures, and the manner in which decisions / resolutions are taken in the Municipal organisation [↑](#footnote-ref-11)
12. Critical posts are: mm & all Section 56 posts [↑](#footnote-ref-12)
13. Link to strategic requirements – i.e. skills shortages, training, capacity building, policies, shared services. Must at least contain Recruitment and Selection policy, Retention policy and Exit Policy [↑](#footnote-ref-13)
14. Backlogs to be indicated on Maps and O&M to be including in each section [↑](#footnote-ref-14)
15. Cross-referencing between Human Settlements and other infrastructure and services in IDP is essential. [↑](#footnote-ref-15)
16. Infrastructure upgrades, augmentation and rehabilitation to be indicated on maps. [↑](#footnote-ref-16)
17. Means the Collection, Removal and Disposal of solid waste (such as domestic refuse) [↑](#footnote-ref-17)
18. This includes roads, rail, harbours, airfields and airports, as well as public transport facilities and systems [↑](#footnote-ref-18)
19. Transport Routes to be indicated on Maps, as well as critical linkages [↑](#footnote-ref-19)
20. Grid and non-grid electricity and alternative energy sources [↑](#footnote-ref-20)
21. Areas of over- or under supply of community facilities to be indicated on Maps [↑](#footnote-ref-21)
22. This includes housing developments [↑](#footnote-ref-22)
23. This includes Telkom landline telephones, cell phones and internet [↑](#footnote-ref-23)
24. Areas of economic potential or investment areas are to be indicated on Maps. Note that mapping of the PDA applications register highlight those areas that “market forces” are identifying as areas of economic potential or investment areas [↑](#footnote-ref-24)
25. A COMPLETE BREAKDOWN, AS RECEIVED FROM STATSSA, OF EXPECTED SOCIO-ECONOMIC INDICATORS AND OTHER IMPORTANT ASPECTS AREA ATTACHED AT **APPENDIX H**. Also note that GVA data for municipalities is available from the KZN Treasury [↑](#footnote-ref-25)
26. Areas where there are inadequate provisioning of social services to be indicated on Maps [↑](#footnote-ref-26)
27. Accessibility to schools, matric pass rate, school leaving statistics, problems and concerns from the wards regarding education issues, problem areas – and the implications of all these factors [↑](#footnote-ref-27)
28. HIV/Aids, child mortality rates, accessibility to health facilities – and the implications of all these factors [↑](#footnote-ref-28)
29. Includes fire protection, community policing forum, traffic management [↑](#footnote-ref-29)
30. Includes Sports, Arts & Culture [↑](#footnote-ref-30)
31. Note: not all Municipalities have a Credit Rating. Municipalities should include the Auditor General’s Opinion about the state of the municipality [↑](#footnote-ref-31)
32. Needs to include an analysis of Human Resources versus Service Delivery Budget [↑](#footnote-ref-32)
33. Eg. Sukuma Sakhe, Batho Pele [↑](#footnote-ref-33)
34. Eg. Ward Committees, IDP Rep Forum, EXCO, Council, IDP Steering Committee, MPAC [↑](#footnote-ref-34)
35. The same table format as attached to Appendix H can be used to indicate the status of Municipal Policies [↑](#footnote-ref-35)
36. Critical posts are identified in Outcome 9 [↑](#footnote-ref-36)
37. This need to be reflected in detail in the Situational Analysis [↑](#footnote-ref-37)
38. Needs and priorities should include those areas that require rehabilitation, upgrades and augmentation [↑](#footnote-ref-38)
39. 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  [↑](#footnote-ref-39)
40. 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 [↑](#footnote-ref-40)