

UGU DISTRICT MUNICIPALITY

IDP, PMS AND BUDGET PROCESS & FRAMEWORK PLAN

2021/2022



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GLOSSARY

AG	Auditor General
CDWs	Community Development Workers
DAEA	Department of Agriculture and Environmental Affairs
DEAT	Department of Environmental Affairs and Tourism
DFA	Development Facilitation Act
CoGTA	Department of Cooperative Government and Traditional Affairs
DM	District Municipality
DoHS	Department of Human Settlement
DWAF	Department of Water Affairs & Forestry
EIA	Environmental Impact Assessment
EKZNW	Ezemvelo Wildlife
EMF	Environmental Management Framework
EMP	Environmental Management Plan
EPWP	Expanded Public Works Programme
FBS	Free Basic Services
HH	Households
HR	Human Resources
ICT	Information Communications Technologies
IDP	Integrated Development Plan
IDPRF	Integrated Development Plan Representative Forum
IGR	Inter Governmental Relations
ISRDP	Integrated Sustainable Rural Development Programme
IWMP	Integrated Waste Management Plan
LED	Local Economic Development
LGSETA	Local Government SETA
LM	Local Municipality
LUMS	Land Use Management System
GDS	Growth and Development Strategy
MIG	Municipal Improvement Grant



MTEF	Medium Term Expenditure Framework
NEMA	National Environmental Management Act
PGDS	Provincial Growth and Development Strategy
PMS	Performance Management System
PSEDS	Provincial Spatial Economic Development Strategy
SDBIP	Service Delivery and Budget Implementation Plan
SDF	Spatial Development Framework
SEA	Strategic Environmental Assessment
STATSSA	Statistics South Africa

GLOSSARY OF LEGISLATIVE ENACTMENTS

The Constitution	Republic of South Africa's Constitution, Act 108 of 1996
The Systems Act	Municipal Systems Act, No 32 of 2000
The Structures Act	Municipal Structures Act, No 117 of 1998
SPLUMA	Spatial Planning and Land Use Management Act, No 16 of 2013
MFMA	Municipal Finance Management Act, No 56 of 2003



SECTION A: FRAMEWORK PLAN

1. Introduction and Background

An IDP is one of the key tools for Local Government to achieve its developmental role and seeks to arrive at decisions on issues such as municipal budgets, land management, promotion of local economic development, and institutional transformation in a consultative, systematic and strategic manner. The Ugu District Municipality is in a process of developing a comprehensive 5-year Integrated Development Plan (IDP) in terms of Chapter 5 of the Municipal Systems Act, 2000.

1.1. Legislative Requirement

In terms of Chapter 5, Section 34 of the Municipal Systems Act, 2000 it is required that all municipalities annually review and amend their IDPs in accordance with an assessment of its performance measurements, Section 41 of the Act requires the inclusion in to the extent that changing circumstances demand. Section 26 of the Act also describes the core components of Integrated Development Plans. Section 28 stipulates that the Municipal Council must adopt a process to guide the planning, drafting, adoption and review of its IDP. The Municipal Finance Management Act, No.56 of 2003 (MFMA), Section 21 (1) (b) prescribes that the Mayor must table in the Municipal Council a time schedule outlining the key deadlines for the preparation, tabling and approval of the annual budget, annual review of the IDP as well as the budget related policies and related consultative processes, approval of the annual budget, annual review of the IDP as well as the budget related policies and related consultative processes.

The Process Plan of the District and its Local Municipalities needs to be prepared in line with this IDP development Framework Plan as agreed to by all the Municipalities in the District. The IDP Process Plan provides guidance with respect to the programme of action that has to be followed during the IDP development process. The purpose of this process plan is to identify and detail the elements identified in the Framework Plan and set out the specific time frames in which all activities should be achieved.

Ugu District Municipality (DC 21) has four category B municipalities under its jurisdiction. The four local municipalities are:

- KZ 212 Umdoni
- KZ 213 Umzumbe
- KZ 214 Umuziwabantu
- KZ 216 Ray Nkonyeni

The Framework Plan and Process Plan are two distinct documents which talk to each other.



1.2. What is a District Framework Plan?

The objective of a Framework Plan is to ensure that the processes of both the District and Local Municipalities IDP development and reviews are mutually linked and do inform each other. The Framework Plan is to be used by all municipalities in the district as a basis for drafting their process plans; the framework plan has to be agreed to by all local municipalities. The Framework Plan binds the District and Local Municipalities.

The Framework Plan specifies the roles of different role players in the IDP process and determines procedures for coordination, consultation and alignment between the district and the local municipalities. The Framework Plan guides each municipality in preparing its Process Plan.

1.3. Underlying Approach to the Framework Plan

The Framework Plan as stipulated in Section 27 (2) of the Municipal Systems Act of 2000 identifies the following:

- Identifies plans and planning requirements that bind the District and Local Municipalities in terms of national and provincial legislation.
- Identifies matters that require alignment between the District and Local Municipalities.
- Specifies the principles to be applied and coordinate the approach to be adopted in respect of the matters identified.
- Determines procedures for consultation between the municipalities during the process of drafting their respective IDPs and to effect essential amendments to the framework.

1.4. What is the Process Plan?

The Process Plan fulfils the function of a “business plan”, it therefore details and sets out timeframes to the processes that will be followed during the IDP development stages ensuring that all aspects are covered on time for adoption. The Process Plan must also consider and include amongst others what has been set out in the Framework Plan, the MEC comments, Council priorities, Draft IDP assessments and self-assessments, community input etc.

In terms of Section 34 of the MSA:

A municipal Council-

- (a) must review its integrated development plan-
 - (i) annually in accordance with an assessment of its performance measurements in terms of section 4i; and
 - (ii) to the extent that changing circumstances so demand; and
- (b) may amend its IDP in accordance with a prescribed process



In order to ensure effective IDP development during this new 5-year plan, the municipality must prepare and adopt an IDP Process Plan which must be reviewed annually. The preparation of a Process Plan for the annual review is referred to in chapter 5, Section 28 of the MSA as follows:

Adoption of a process-

- (1) Each municipal Council, within a prescribed period after the start of its elected term, must adopt a process set out in writing to guide the planning, drafting and *adoption and review of its Integrated Development Plan*.

The Process Plan must indicate what must happen, when, by whom, with whom and where, and it should include cost estimates.

1.5. Alignment of Government Policies and Plans

Alignment of government policies and plans is crucial in strategic planning. Therefore, the relevant binding and non-binding national and provincial policies including programmes and strategies need to be considered in the municipal development planning process and interventions. The key mandates relevant to the municipal context in co-operative governance will be considered and addressed. These includes amongst others, Provincial Growth and Development Strategy, the New Growth Path, the MTSF as stipulated below.

This institutional arrangement is set out and ensures the following:

- Institutionalization of the participation process
- Effective management in the drafting of objectives and
- Give affected parties opportunities to contribute to the decision-making process.

Organizational structure of the Ugu District Municipality IDP development process is illustrated in Figure 1.

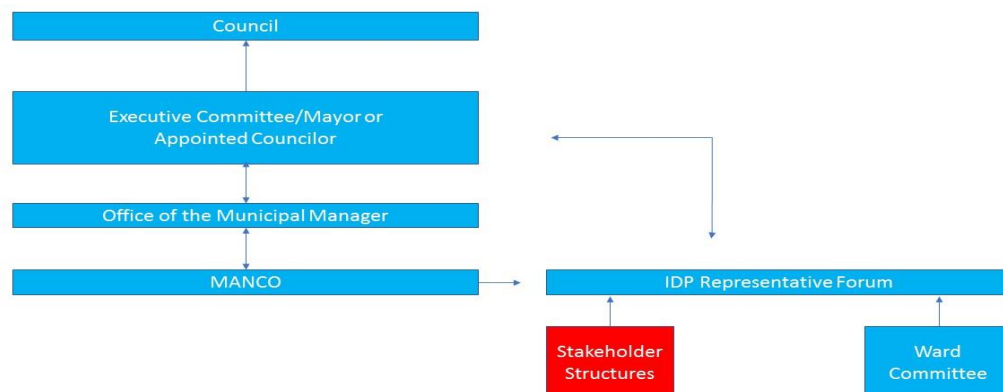


Fig 1: Organisational Arrangements



2.1. Council

The Council is the political decision-making body of the municipality and with regard to the 2021/2022 IDP Review will:

- Consider comments made in the 2020/2021 IDP Process and adopt a new Framework / Process Plan (FP / PP);
- Ensure the consideration of the national and provincial budgeting processes as well as inform the municipal budgeting process;
- Adopt the final IDP or IDP Review by the end of June annually; and
- Approve Sector Plans upon their completion

The Council follows the following critical generic dates annually:

- Finalisation & adoption of FPs and or PPs between **July and Sept**;
- Ensure submission of draft IDP & budget to COGTA & Provincial Treasury in March;
- Finalisation and adoption IDP / IDP Review in June.

2.2. EXCO

- Responsible for overseeing the IDP Development/ Review process;
- Political responsibility and accountability regarding the IDP Development/ Review process.

2.3. Mayor

- Responsible for overseeing the IDP Development/ Review process, tabling and approval of the IDP process;
- Political responsibility and accountability regarding the IDP Development/ Review process.

2.4. Office of the Municipal Manager

The Municipal Manager or IDP Manager on his behalf is the responsible person for championing the Integrated Development Planning process.

IDP Manager falls under the office of the Municipal Manager and:

- Chairs IDP Steering Committee meetings;
- Prepares Framework Plan and/or Process Plan;
- Is responsible for management and co-ordination of IDP process;
- Responds to comments on the IDP;
- Avails documents to inform the IDP process;
- Promotes involvement of all stakeholders; and
- Adjusts the IDP according to the MEC's proposals.



2.5. IDP STEERING COMMITTEE

The Ugu District Municipality took a decision that the Management Committee and extended Management Committee will fulfill the role of IDP Steering Committee / IDP Technical Committee.

The composition of the IDP Technical Committee will have to take the manageability of a working committee into consideration and should preferably be chaired by the accountable or responsible official for IDP (Municipal Manager or IDP Manager).

2.5.1. Terms of Reference for the IDP Steering Committee

The technical committee will be an internal committee made up of the management component of the municipality. It also serves to improve the participation of internal staff members in the IDP process and should result in better understanding and buy-in to the process. The committee will be responsible for, amongst other things, to;

- Consider all work and documentation that needs to be submitted to the IDP Technical Committee;
- Ensure the validity and technical correctness of the information presented to the other important IDP stakeholders; and
- Ensure the integration of the IDP policies, objectives, strategies and projects into the daily functioning and planning of the municipality.

2.5.2. Schedule of Steering Committee Meetings

The meetings of the IDP Steering Committee will sit as per the schedule of MANCO and extended MANCO as and when IDP issues need to be addressed.

2.6. IDP Representative Forum

The IDP Representative Forum (IDP Rep Forum) is constituted as part of the preparation phase of the IDP and continues its functions throughout the annual IDP Review process. The proposed composition of the IDP Rep Forum is as follows:

- Councillors
- Traditional leaders
- Ward Committee Chairperson
- Senior municipal officials
- Stakeholder representatives of organised groups
- NGOs
- Advocates of unorganised groups
- Resource persons



- Other community representatives
- National and Provincial Departments regional representatives
- Parastatal organisations

2.6.1.Responsibilities of the IDP Representative Forum

The summarised terms of reference for the IDP Representative Forum could be based on the composition of the constituency's interests in the IDP process, and is proposed to be as follows:

- Represent the interest of the municipality's constituency in the IDP process
- Provide an organisational mechanism for discussion, negotiation and decision making between the stakeholders inclusive of municipal government
- Ensure communication between all the stakeholder representatives inclusive of municipal government
- Monitor the performance of the planning and implementation process

2.6.2.Schedule of IDP RF Meetings

The IDP RF meetings are scheduled to sit at least six times per annum as follows

2020				2021		
AUGUST	SEPTEMBER	OCTOBER	NOVEMBER	MARCH	MAY	AUGUST
15	-	-	25	TBC	TBC	TBC

2.7. Project Task Team

- Acts as support to the IDPRF
- Effective management in the drafting of objectives and
- To give affected parties access to contribute to the decision-making process.
- Ensure vertical and horizontal alignment of programs and projects
- Monitoring and evaluation of programs and projects

2.8. UGU District Development Planning FORUM (UDDPF)

- Provide relevant technical, sector and financial information regarding their municipality;
- Facilitate vertical alignment between DM and LMs;
- Facilitate horizontal alignment with sector department and public utilities.

2.8.1.Schedule of UDDPF Meetings

The UDDPF meetings are scheduled to sit bi-monthly as follows



2020				2021			
JULY	SEPTEMBER	OCTOBER	DECEMBER	FEBRUARY	APRIL	MAY	JUNE
-	-	-	-	-	-	-	-

2.9. Development Planning Unit

- Responsible for the compilation of the IDP document
- Responsible for monitoring and evaluation

3.1. Role Players

Table 1 & 2 capture the internal and external role players that have been identified to ensure a successful and useful IDP Process within the municipality. Each of these role players will contribute immensely to the success of the 5-year IDP.

3.2. Internal Role-players

- Council and the Executive Committee;
- Mayor;
- IDP Representative Forum;
- IDP Steering Committee;
- Extended Management Committee;
- Management Committee;
- IDP Manager.

3.3. External Role-players

- National, Provincial Government Departments and Local Municipalities;
- State Owned Enterprises;
- Planning professionals/facilitators;
- Civil Society Organisations;
- Traditional Leadership;
- IDP Clusters.
- Neighbouring District Municipalities

3.4. ROLES AND RESPONSIBILITIES

As with the preparation of the IDP the main roles and responsibilities allocated to each of the internal and external role players are set out in table1 and table 2 respectively. The tables provide an indication of the various roles and responsibilities of the different groupings relating to specifically the IDP, PMS and Budgeting processes.

Role Player	Roles and Responsibilities	Function
Council	<ul style="list-style-type: none"> ✓ Final decision making. ✓ Approval of the IDP documentation. ✓ Coordination role for local municipalities. ✓ Ensuring horizontal alignment of the IDP's of the municipalities in the district council area. ✓ Ensuring vertical alignment between the district and local planning. ✓ Facilitation of vertical alignment of IDP's with other spheres of government and sector departments. ✓ Provide events for joint strategy workshops with local municipalities, provincial and national role players and other subject matter specialists. ✓ Linking the IDP process with their constituencies ✓ Organising public participation. 	IDP
	<ul style="list-style-type: none"> ✓ Consider and adopt final report. ✓ Consider and approve the performance agreement of the MM. ✓ Popularising PMS within their constituencies. 	PMS
	<ul style="list-style-type: none"> ✓ Approve the budget before the start of the financial year. ✓ Council to approve unforeseen and unavoidable expenses. ✓ Approve Service Delivery and Budget Implementation Plan. 	BUDGET
Mayor	<ul style="list-style-type: none"> ✓ Responsible for overseeing the process. ✓ Political responsibility and accountability regarding the process. 	IDP
	<ul style="list-style-type: none"> ✓ Establishing the performance agreement for the Municipal Manager in terms of the PMS. ✓ Determine KPAs for MM based on institutional KPIs. ✓ Determine the performance objectives and targets that the MM must meet in relation to the KPA's. ✓ Negotiate the performance objectives and targets that the MM must meet. ✓ Submit draft performance agreement for the MM via EXCO to the Council for consideration and approval. ✓ Conclude and sign performance agreement with the MM on behalf of Council. 	PMS
	<ul style="list-style-type: none"> ✓ Table budget to Council at least 90 days before the start of the financial year. ✓ Table budget timetable to Council. ✓ Report authorization of unforeseeable and unavoidable expenses at Council meeting after having authorized such expenses. ✓ Submit SDBIP to Council, 14 days after approval of budget. ✓ Ensure conclusion of management's performance agreements. ✓ Ensure that the management's performance agreements are made public. ✓ Submit to Council an annual report within 7 months after the end of the financial year. 	BUDGET
Ugu Municipal Officials	<ul style="list-style-type: none"> ✓ Provide technical/sector expertise through the IDP Steering Committee (Senior officials). ✓ Prepare selected Sector Plans. ✓ Provide comments on the IDP document as members of staff. 	IDP
	<ul style="list-style-type: none"> ✓ Setting KPIs for administrative components and service providers. ✓ Prepare progress reports- management committee: Monthly ✓ Reporting on the performance measures. ✓ Verification of interim PMS measurement results. 	PMS
Municipal Manager	<ul style="list-style-type: none"> ✓ Decide on planning process. ✓ Monitor process. ✓ Overall Management and co-ordination. 	IDP
	<ul style="list-style-type: none"> ✓ Submission of annual performance report to Council for approval. ✓ Submission of audit to Council. 	PMS



Role Player	Roles and Responsibilities	Function
	<ul style="list-style-type: none"> ✓ Submit report to the Council about mechanisms, systems and processes for auditing the results of performance measurements as part of the internal auditing process. ✓ Establishment of a performance audit committee. ✓ Entering into performance agreements with departmental heads. ✓ Performance monitoring. ✓ Submission of approved annual performance report, together with financial statements, to the Auditor General. ✓ Receive external Auditors report. ✓ Submission of audit report via EXCO to Council within 1 month of receipt. ✓ Within 14 days of adopting the annual report: ✓ Make copies available to the public and the media; ✓ Submit a copy of the report to the MEC for local government in the province; ✓ Submit a copy of the report to the Auditor General and any other institutions prescribed by regulation. 	
	<ul style="list-style-type: none"> ✓ Give notice of bank account to National Treasury (NT) and Auditor General (AG). ✓ Supply NT and AG with list of bank accounts. ✓ Table consolidated report of all withdrawals from bank account to Council within 30 days after the end of each quarter. ✓ Submission of draft budget implementation plan to Mayor within 14 days after approval of the budget. ✓ Perform mid-year performance assessment of the municipality and the submission of the report to the Mayor. ✓ The submission of the annual financial statements to the AG within two months after the end of the Financial Year. ✓ Submission of annual oversight reports to the Provincial Legislature within 7 days after adoption by Council. 	BUDGET
IDP Manager	<ul style="list-style-type: none"> ✓ Ensure that the Process Plan is finalised and adopted by Council; ✓ Day-to-day management of the IDP process. ✓ Ensure continuous and improved participation of role players through IDPRF and other means; ✓ Prepare documentation and submissions; ✓ Co-ordinate the preparation of the Sector Plans and their inclusion into the IDP documentation; ✓ Co-ordinate the inclusion of the Performance Management System (PMS) into the revised IDP; ✓ Submit the developed IDP to the relevant authorities. 	IDP
	<ul style="list-style-type: none"> ✓ Day-to-day management of the process ✓ Performance management review planning and preparation. ✓ Prepare documentation and submissions; ✓ Ensure that the Process Plan is adopted by Council; ✓ Day-to-day management of the IDP process 	PMS
	<ul style="list-style-type: none"> ✓ Interact with Budget Officer for alignment of processes. ✓ Ensuring IDP process conducted timeously for budgeting purposes. 	BUDGET
Manager: Budget Office	<ul style="list-style-type: none"> ✓ Interact with IDP manager to ensure processes are aligned. ✓ Ensuring budget proposals are in line with IDP. 	IDP
	<ul style="list-style-type: none"> ✓ Ensure that the Process Plan is adopted by Council; ✓ Day-to-day management of the budgeting process. ✓ Make information available to staff members for budgeting purposes. ✓ Prepare documentation and submissions; ✓ Ensure draft budget is in place for submission to Council. 	BUDGET

**Table 2:** External Roles and Responsibilities

Role Player	Roles and Responsibilities
Planning Professionals	<ul style="list-style-type: none"> ✓ Specialist & targeted input. ✓ Facilitation of planning workshops. ✓ Sector Plans. ✓ Documentation.
Representative Forum/Civil Society	<ul style="list-style-type: none"> ✓ Representing interest and contributing knowledge and ideas. ✓ Identify and priorities community needs. ✓ Provide comments on the IDP document.
Government Departments	<ul style="list-style-type: none"> ✓ Provide data and information. ✓ Budget guidelines. ✓ Alignment of budgets with the IDP. ✓ Provide professional and technical support (sector specialization)
Amakhosi	<ul style="list-style-type: none"> ✓ Provide traditional leadership. ✓ Joint planning. ✓ Makes land available. ✓ Provide data and information.
Communities	<ul style="list-style-type: none"> ✓ Joint planning. ✓ Provide data and information. ✓ Identifies community issues and needs. ✓ Priorities needs. ✓ Monitors the implementation of projects.
Local Municipalities	<ul style="list-style-type: none"> ✓ Joint planning. ✓ Alignment of budgets with the IDP. ✓ Documentation. ✓ Preparation of the Sector Plans. ✓ Communication with civil society.

4.1. Functions and Context of Public Participation

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

- Needs orientation;
- Appropriateness of solutions;
- Community ownership; and
- Empowerment.

Like with the preparation of the IDP, the public participation process in the IDP phases has to be institutionalized in order to ensure all residents have an equal right to participate. The public participation process during the IDP development phase is closely linked to the activities of developing the municipal IDP, such as contributing to the municipal issues, objectives, ensuring the appropriateness of municipal strategies and forming part of project development task teams.



The completed performance management system (PMS) for the municipality will contribute to the public participation process, through regular information and consultation workshops and the preparation and audit of performance reports.

The importance of alignment is crucial as part of the 2021/2022 IDP Review Process. Alignment in terms of Spatial Development Frameworks, Land Use Management Systems (LUMS), cross boarder and institutional alignment between the municipality and the various processes ongoing at national and provincial government levels.

4.2. Mechanisms for Participation

Municipalities will confirm the following mechanisms for participation:

4.2.1.IDP Representative Forum (IDP Rep Forum)

This forum will represent all stakeholders and will be as inclusive as possible. Efforts will be made to bring additional organisations into the Rep Forum and ensure their continued participation throughout the process.

4.2.2.Media

Local newspapers will be used to inform the community of the progress of the 2021/2022 IDP review.

4.2.3.Ward Committees

These forums will provide open dialogue between the municipality and the community. The municipality will provide regular support to the committee and will attend meetings per invite.

4.3. Procedures / Process for Participation

4.3.1.Council

The Council will consider, for comments, a draft 2021/2022 IDP review document by March 2021. This will ensure inclusion into the national and provincial budgeting processes as well as inform the municipal budgeting process. The final IDP document will be adopted by 30 June 2019 together with the municipal budget. Sector Plans will be approved by Council on their completion.

4.3.2. EXCO

- Responsible for overseeing the IDP process;
- Political responsibility and accountability regarding the IDP process.

4.3.3. MAYOR

- Responsible for overseeing the IDP Development/ Review process, tabling and approval of the IDP process;
- Political responsibility and accountability regarding the IDP Development/ Review process



4.3.4.IDP Representative Forum

In order to ensure maximum participation in the Rep Forum meetings from members of the public, representatives and relevant government officials, it is recommended that Rep Forum meetings are scheduled as and when required during the key stages of the IDP development process:

- The first Rep Forum meeting will involve a presentation of this Process Plan focusing on identifying areas to be addressed in the IDP Phase.
- Following the Rep Forum, workshops will be held to provide feedback on the IDP Process, acquire input from the Rep Forum members and to ensure participation in all activities such as PMS, LUMS and Budget development of the 2021/2022 IDP review process.

4.3.5.IDP Steering Committee

- Provide technical/sector expertise in IDP process;
- Ensure preparation of Sector Plans relating to their functional areas;
- Provide comments on the IDP document;
- Ensure preparation of cross dimensional issues, strategies and plans;
- Identify key needs to meet strategies, objectives for budgeting.

4.3.6.District Planners Forum

- Provide relevant technical, sector and financial information regarding their municipality;
- Facilitate vertical alignment between DM and LMs;
- Facilitate horizontal alignment with sector department and public utilities;
- Provide developmental planning input.
- Self-assessment of district IDP documents.

4.3.7.Newspapers, Website and Social Media

Two newspaper adverts will be posted, the first one at the beginning of the process inviting the public to participate and the second advert will be posted once draft budget and IDP are in place inviting the public to comment and to comply with legislative requirement to advertise for 21 days for the public. Once the 21-day period has lapsed, the final draft will be sent to Council for approval. With the increase of globalization and the 4th industrial revolution upon us, notices are moving to keep up with the current era as well in terms notices also being sent through the municipal website and use various social media platforms such as facebook where more people are relying to get information.

4.3.8.Roadshows / Izimbizo



They will be held in 5 venues (on average) per municipality for all four local municipalities. They will be held between March and April 2021 to consider draft IDP and budget including the announcement of municipal programme of action. The municipality is to look at a friendlier approach so that elements raised are fully included in the strategic document. The language is also believed to be a barrier so these should be conducted in languages that best suit the majority so as to increase meaningful participation.

The meetings in 2020/2021 financial year will focus on the needs that the community have rather than the projects that the community proposes.

How many meetings

One meeting per ward cluster in the venues that are accommodative to most of the community members. In other words, these meetings will make a clear distinction between what is needed by the community and what can be done. Thereafter the municipal officials together with the community will identify the support required in addressing the community needs.

Types of meetings

The focus of the meetings will ensure that many community members participate in the process; however, the quality of the input will not be compromised. This is because one of the challenges within the participation process is that in some of the instances people do not contribute meaningfully to the participation process. The quality of the contribution will be ensured by having the group breakaways within the meetings. In addition to that within the invitations there will be specific invitations that will be sent to the civil society organisations.

There will be two types of meetings with the first meetings being aimed at confirming the communities' current priority issues. From these, the community issues will then be budgeted for. Thereafter the second set of meetings will be the IDP Budget road shows aimed at involving the communities within the budgeting process. However, a dialogue will be formed between the municipality and the community through ward meetings/community forums.

With who

These meetings will target all the community members within the Ugu district municipality. This in one way or the other will allow the community to be involved rather than informed about the development planning process.

Objectives

Move towards a community needs driven development with the community being involved both in the planning and budgeting process.

By When

These will be completed by May 2021. Ongoing dialogue is also being encouraged.

4.3.9.RADIO SLOTS

These are mainly used by the political leadership and are recommended where possible if they suit the municipality's programme financially and otherwise.

SECTION B: PROCESS PLAN

5.1. Municipal and Provincial Budget and IDP Development Alignment

Legislation requires of district municipalities to prepare and adopt a Framework Plan which indicates how the district and local municipalities will align their IDPs. The Framework Plan provides the linkages and binding relationships to be established between the district and local municipalities in the region and in doing so, proper consultation, coordination and alignment of the IDP development process within the district and the various local municipalities can be maintained.

Every attempt has been made in this Process Plan to align the IDP and Budget preparation process, and the Performance Management System (PMS) development. The linkages of the three processes are summarised in figure 2.

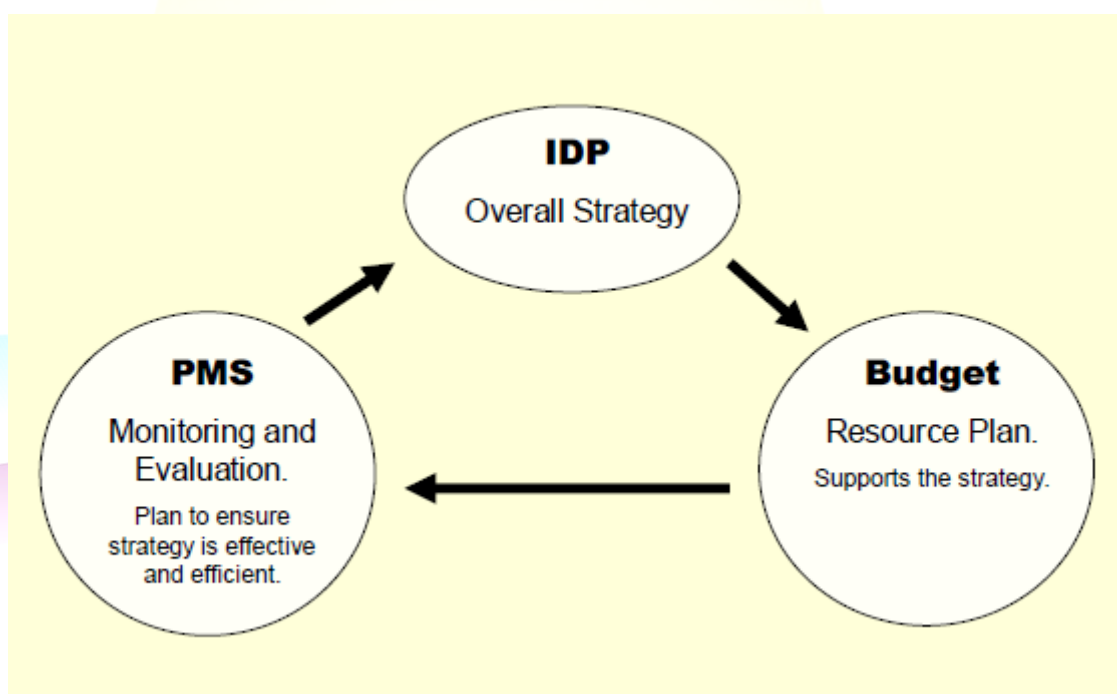


Fig 2: IDP, Budget & PMS Alignment

The 2021/2022 IDP Review Action Programme is based on the alignment of the internal municipal processes (IDP, PMS and Budget) with the external processes (planning and budgeting) of national and provincial government. This alignment has a substantial impact on the 2021/2022 IDP Review Process, specifically in terms of key milestones and deadline dates. The Municipal Finance Management Act (MFMA) No 176 of 2004 also has a direct and large impact on the 2021/2022 annual IDP review process in terms of alignment. Section 1.4 in the Process Plan indicates to the municipal and provincial budget



and IDP alignment process, which also points to the critical dates for IDP and budget approval and development.

5.2. Horizontal, Vertical and Cross Border Alignment

The IDP forum, District Development Planning Forum (DDPF), MTSF Cluster meetings etc. will provide a platform/Mechanism for discussion on vertical, horizontal and cross border alignment issues since the three spheres of government are represented at the forum. Special strategic planning sessions and workshops will also be held.

5.2.1.Horizontal Alignment

Alignment of the district IDP with the local municipalities is very important to ensure that there is a sharing of information – particularly with regards to strategies, objectives, programmes and projects, and it will be undertaken through the DDPF meeting which sits on bi-monthly basis. The frequent DDPF meetings will assist the district family to monitor alignment issues constantly.

Furthermore, the District will ensure alignment with its entities, the UGU South Coast Tourism to ensure the tourism goals and objectives are met.

5.2.2.Vertical Alignment

Alignment with Service Providers is essential to ensure that the DM and LMs' priorities can be reflected in their project prioritisation process, as well as that Service Provider projects can be reflected in the IDP documentation. Alignment with Sector departments and Service providers will also take place as it is essential for the District family to have consistent planning and also priorities can be indicated in their project prioritization. This will be undertaken through meetings or one-on-one basis. The district holds its IDP RF meetings on a bi-monthly basis.

Department of Cooperative Governance and Traditional Affairs will also be having a district wide alignment session with all the Sector Departments for the Ugu District area of jurisdiction on the **month of November 2020.**

5.2.3.Cross Border Alignment

Cross-border alignment is necessary for ensuring the spatial coordination of development efforts. This can be done through existing organisational structures such as the District Development Planning Forum and IDP RF. A concerted effort will be made to facilitate such alignment and coordination.

Ugu District Municipality will further arrange one on one meetings with cross border district municipalities to align and integrate issues of functional areas on the IDP and Spatial Development Framework. It will also assist the municipalities to align development issues in an efficient, effective and sustainable manner especially where there are shared and interdependent functional areas



across the district. The one on one cross border meetings will be arranged with Alfred Nzo, Harry Gwala, Umgungundlovu Districts and eThekweni Metro municipalities.

5.3. Integrated Development Planning & Budget:

The budget planning cycle considers a review of the IDP, service delivery targets and objectives for the next 3 years. It also considers local, provincial and national issues, previous year's performance and current economic and demographic trends. It is essential that such alignment is indicated so that the municipality can be able to ensure that all budgeted projects are implemented within the budget year whilst continuing to outsource funding for those projects which are non-funded.

5.3.1.Key Budget Dates for 2021/2022

The key budget dates for the 2020/2021 financial year are captured in Table 3. The Budgetary Process will address the various budget requirements and focus areas identified through self-assessment, i.e. compliance issues. The spotlight is on the alignment of the Budget to the IDP, Organisational PMS and SDBIP.

Table 3: Key Budget Dates

KEY BUDGET DATES		
DATE	ACTIVITY	RESPONSIBILITY
September 2020	Budget Framework Preparation of budget framework to provide parameters and request budget inputs for the 2021/2022 budget	CFO
Oct 2020	Submission of three-year capital plan to National Treasury	CFO
Oct 2020	Preliminary community engagement process	CFO
February 2021	Budget Review Review of current budget and preparation of adjustment budget	MANCO
January 2021	Submission of Budget Inputs HODs to submit departmental budget inputs Capital projects submitted through IDP process	HODs
5 March 2021	Budget Discussion Document Compile discussion document from inputs and submit to EXCO and MANCO	CFO
5 March 2021	Budget Workshop Discuss budget inputs, link capital and operational plans to IDP and determine preliminary tariffs	EXCO MANCO
28 March 2021	Draft Budget Submit draft multi-year operational and capital budget to Council, Provincial Treasury, DLGTA and National Treasury	CFO
April -May 2021	Public Consultation Process Public consultation on draft budget throughout the district	MAYOR EXCO MM
May 2021	Respond to Public Comments	MAYOR CFO



	Responding to public comments and sector comments and incorporate recommendation into draft budget where possible	
30 May 2021	Approval of Final Draft Budget Approve draft multi-year operational and capital budget	COUNCIL
6 June 2021	Advertising Publications of approved budget and promulgation of water tariffs	MM CFO
14 June 2021	Submission of Budget Submit approved budget to Provincial Treasury, DLGTA and National Treasury	CFO
June 2021	Compile SDBIP Compilation of service delivery and budget implementation plans (SDBIP) and submit to Council for approval	MAYOR MM

5.3.2. Key elements to be addressed during the review process

The following is a summary of the main activities to be undertaken during this 2021/2022 IDP Review process:

- Comments received from CoGTA in the assessment of the IDP 2020/2021 held in July / August 2021;
- Areas requiring additional attention in terms of legislative requirements that were not addressed during the previous years of the IDP process;
- Consideration, review and inclusion of any relevant and new information such as New Council priorities;
- Shortcomings and weaknesses identified through self-assessment;
- Review and updating of the strategies and objectives as circumstances dictate;
- Review and updating of Water and Sanitation Backlogs;
- On-going alignment of the Ugu IDP to the PGDS and PDP, Outcome 9, MTAS, COP17 and other relevant National and Provincial development guidelines and policies;
- Review and updating the Sukuma Sakhe/ War on Poverty and War Rooms on a monthly basis;
- Preparation, review and alignment of relevant sector plans with the IDP.
- On-going alignment of the Municipality's Performance Management System in terms of Chapter 6 of the MSA, with the IDP.
- Update of the Financial Plan as well as the list of projects, inclusive of a 3-year Capital Investment Framework (CIF).

5.4. Performance Management

The process plan and its activities will be monitored in the Municipality. The PMS will be developed and will be reported by internal role players through the following structures: Management Committee, Extended Management Committee and IDP Forum.

5.4.1. Performance Management Systems Dates 2021/2022

The key Performance Management System dates are summarized in Table 4 below.

**Table 4:** Performance Management System Dates

PERFORMANCE MANAGEMENT SYSTEMS DATES	
ACTIVITIES	TIMELINE / TARGET DATES
Approval of the draft PMS Review 2019/2020	Before end of June 2020
Adopt PMS Review 2019/2020	30 June 2020
Advertise 2020/2021 SDBIP	30 June 2020
2018/2019 and 2019/2020 Annual Municipal Performance Report	August 2020
Sect 57 Managers signing of 2020/2021 performance agreements	Due by 31 July 2020
SDBIP performance assessment and organisational performance reporting (Jul – Sept)	October 2020
Sect 57 Managers formal mid-year appraisals (Oct - Dec)	January 2021
Mayor tables 2019/2020 annual report to Council	Due by 31 January 2021
SDBIP performance assessment and organisational performance reporting (Oct – Dec)	25 January 2021
IA reporting and Special AC meeting (audit of mid-year performance assessment)	March 2021
SDBIP performance assessment and organisational performance reporting (Jan – Mar)	April 2021
Make public annual report and invite community inputs into report	21 days in Feb 2021
Council to adopt Oversight Report	Due by 31 March 2021
Publicise Annual Report and Submit copy to Provincial Legislature	Mid-April 2021
Draft and submit draft performance agreements to Mayor	June 2021

5.5. Action Programme

Table 5 provides the detailed action plan for the 2021/2022 IDP Review. The action plan is broken up into the 4 quarters of the municipal financial year with activities reflecting being either IDP, PMS or Budget related with budget estimates. The development of the 2021/2022 IDP Review will be done in five phases as outlined in **5.5.1.** to **5.5.6.**

5.5.1. Preparatory Phase

This is a phase in which the municipality positions itself to comply with the policy and legislature requirements that guide the IDP process. The local municipalities are guided by the common district IDP Review Framework Plan and each local adopts a process plan set out in writing. The Drafting and approval of the IDP Framework and Process Plan is the deliverable of this phase and will take place between **July and August 2020.**



5.5.2. Analysis Phase

This is the phase which deals with the existing situation in a municipality and focused on understanding the types of problems / challenges facing the communities in each municipality. Once these are identified the municipality then considers community's opinion of their problems and needs, but also facts and figures. The cause of the problem rather than the symptom should be well understood. It is also critical for the municipality to prioritise the key issues, due to capacity constraints.

The deliverable of this phase is **Chapter 3: Situational Analysis**, of the IDP and will take place between **September and November 2020** and will inform the strategic phase.

5.5.3. Strategic Phase

This is the phase whereby the municipality formulates the solutions to address the problem or challenges that have been identified in the analysis phase, once it understands the problem. It includes the formulation of the vision that would reflect ambitious, credible, inspiring and achievable statements about the future of the municipality. Then statements are developed (developmental objectives) of what it would like to achieve in the medium term in order to address the problem issues and also contribute to the realisation of the vision. Once all of that is in place, the strategies that provide answers to the question how they will reach their objectives needs to be then developed. Once strategies are formulated they result in the identification of projects.

The deliverable of this phase is **Chapter 4: Development Strategies**, of the IDP and will take place between **December 2020 and January 2021**.

5.5.4. Project Phase

This is the phase that is about the design and specification of projects for implementation. The projects identified need to have a direct linkage to the priority issues and the objectives that were identified in the preceding phases. The location, commencement & completion dates, project managers, project costs, sources of funding for each project as well as the intended beneficiaries of these projects are captured.

The deliverable of this phase is **Chapter 5: Implementation Plan**, of the IDP and will take place during **February and March 2021**.

5.5.5. Integration Phase

This phase deals with the sub programme proposals, which were presented in the preceding phase must be harmonised in terms of contents, location and timing in order to achieve consolidated programmes for municipalities.

The deliverable of this phase is an operational strategy (SDBIP) and OPMS, Chapters 7 & 8 of the IDP and will take place between **May and June 2020**. Furthermore, this is the phase that



will ensure the adoption of the Draft 2021/2022 IDP Review which will take place in March 2021.

5.5.6. Adoption Phase

Once the IDP is completed it is submitted to the municipal council for consideration and approval. The council must make sure that the IDP complies with legal requirements before the approval. The final deliverable of this phase is the adoption of the 2021/2022 Ugu District Municipality IDP Review and will take place by **June 2021**.

The following steps will be taken to facilitate the final approval of this 2021/2022 Ugu IDP Review:

i. Public Involvement

- The Mayor must make presentations to all Wards by means of a Public Participation.
- Various IDP Steering Committee and EXCO meetings need to be held to facilitate reporting on progress with regard to the IDP process.
- IDP Representative Forum meetings need to be held and proper attendance ensured.

ii. Critical Procedural Steps

- Simultaneously, the public need to be informed that the IDP is open for comment and representation.
- After the comment/representation period has closed, the draft IDP with relevant amendments must be submitted to the UGU Council for adoption.
- To achieve District and Family alignment, the Ugu Development Planning Forum needs to ensure co-ordination and consultation between the district council and local municipalities.
- Draft IDP containing Finance Plan as well as draft SDBIP to be approved by EXCO and Council.

**Table 5:** Ugu District Municipality Action Programme

FIRST QUARTER															
PHASE	ACTIVITY	RESPONSIBILITY	KEY DEADLINES	JULY				AUGUST				SEPTEMBER			
				1	2	3	4	1	2	3	4	1	2	3	4
PREPATORY	1. Drafting of Framework and Process Plan	Manager IDP	July 2020												
	1.1. Submission draft Framework & Process Plan to Cogta for comment		31 July 2020												
	1.2. Submit draft Framework & Process Plan to IDP Steering Committee, IDPRF and EXCO for consideration and recommendation		15 August 2020												
	1.3. Adoption by Council		31 August 2020												
	1.4. Advertise on local newspaper for commencement of the IDP development process.	Ugu family	31 August 2020												
ANALYSIS	2. Submit Annual Performance Report to AG	Senior Manager CSSS	31 August 2020												
	3. Evaluate the changed circumstances and conduct socio analysis research	Manager IDP	Monthly												
	3.1. Develop IDP Implementation Plan (by developing alignment of objectives strategies and projects against the METF budget)		30 September 2020												
	3.2. Determine funding availability and requirements and all the necessary preparations														
	3.3. Determine which sector plans need to be reviewed and commence with the process of reviewing thereof														
	4. Consider MEC Comments														
	4.1. Action Plan to Address MEC Comments														



SECOND QUARTER

PHASE	ACTIVITY	RESPONSIBILITY	KEY DEADLINES	OCTOBER				NOVEMBER				DECEMBER			
				1	2	3	4	1	2	3	4	1	2	3	4
	5. Submission of the 1st Draft Annual Report to Auditor General.	Snr. Manager CS & SS	31 August 2020												
Strategic & Projects	6. Conduct financial sustainability strategy with revenue enhancement focus	GM: Treasury	31 October 2020												
	7. Conduct Community Needs Consultation	Manager IDP, Snr Manager Communications	October - November 2020												
	7.1. Mayoral Izimbizo														
	8. Hold strategic sessions (to include sector departments and feed local analysis into sector strategic plans thereof)	Manager IDP	December 2020												
	8.1. Align the strategic framework with internal and external policies		31 January 2021												
	8.2. Submit the draft reviewed strategic framework to the Steering Committee and IDPRF														
	9. Estimate available sources & provide guidance for way forward for budgeting	GM: Treasury	28 November 2020												
	9.1. Submit 2020/2021 budget framework to all relevant persons (Budget framework to include salary, operational and capital budget related information).		05 December 2020												
	9.2. District IDP mini assessments	GM: Treasury/COGTA	11 December 2020												
	9.3. Preparation of a summary of available funds from: Internal Funds, e.g. CRR and External Funding, e.g. MIG		19 December 2020												
	9.4. Council finalises draft tariff policies in principle for 2018/2019 budget year.		26 November 2020												
	10. Sector - Municipal Alignment sessions under the auspices of COGTA	COGTA	30 November 2020												
	11. Integrate Reviewed Sector Plans into the IDP.	Manager IDP	31 January 2021												
	12. Alignment meetings with neighboring District Municipalities.														



Third Quarter

PHASE	ACTIVITY	RES	KEY DEADLINES	JANUARY				FEBRUARY				MARCH			
				1	2	3	4	1	2	3	4	1	2	3	4
Integration	13. Assess financial Feasibility of proposed new projects based on existing and potential funds. (Budget Examination)	GM: Treasury	18 January 2021												
	14. Mid-Year Review and submission of report to COGTA Provincial	PMS Officer	25 January 2021												
	15. Tabling of Draft Annual Report to Council	PMS Officer	31 January 2021												
	16. 1 st draft 2021/2022 IDP	Manager IDP	28 February 2021												
	16.1. Submit 1st draft IDP to Steering Committee, IDRF and EXCO for recommendations.	Manager IDP	March 2021												
	16.2. Submit 1st draft IDP to Council for adoption	Manager IDP	March 2021												
	16.3. Submit 1st draft IDP to province (CoGTA) for assessment.	Manager IDP	March 2021												
	16.4. Advertise IDP for public comments	Ugu Family	April 2021												
	17. Tabling of Annual Report to Oversight Committee and adoption	Snr. Manager CS & SS	31 March 2021												
	18. Consideration of 2021/2022 Draft Budget by a joint meeting of the Budget Steering Committee and EXCO	GM: Treasury	20 March 2021												
	19. Tabling of 2021/2022 draft budget to Council		29 March 2021												



FOURTH QUARTER																
PHASE	ACTIVITY	RES	KEY DEADLINES	APRIL				MAY				JUNE				
				1	2	3	4	1	2	3	4	1	2	3	4	
	19.1. Publicise tabled budget within 5 days after tabling, on website and the media	GM: Treasury	03 April 2021													
	19.2. Send copy of tabled budget to National and Provincial Treasury for comments		10 April 2021													
Approval	19.3. Incorporate comments received from IDP Provincial Assessment and all other outstanding comments	Manager IDP	30 April 2021													
	20. Conduct Community Consultation	Manager IDP, Senior Manager Communications	April /May 2021													
	20.1. Attend IDP/Budget Roadshows		April/May 2021													
	21. Submission of Budget for 2021/2022 to Council for approval	GM: Treasury	30 May 2021													
	21.1. Prepare Budget in the required format and submit Provincial and National Treasury.		31 May 2021													
	21.2. Set up expenditure, revenue and asset management system, incorporating budget															
	21.3. Publication of the approved 2021/2022 tariffs of charges in Gazette, website and local media.		05 June 2021													
	22. Final draft 2021/2022 IDP	Manager IDP	April – June 2021													
	22.1. Submit final draft IDP to Steering Committee, IDRF and EXCO for recommendations.	Manager IDP	26 May 2021													
	22.2. Submit final IDP to Council for adoption	Manager IDP	30 June 2021													
	22.3. Submit final IDP to province (CoGTA) for assessment.	Manager IDP	10 July 2021													



5.6. Cost Estimate for the Planning Process

Council has received grant funding from the Department of Local Government and Traditional Affairs for the IDP review process. The planning process is outlined below:

ITEM	COST ESTIMATE
IDP Advertising	R 0.00
Workshops and Meetings	R 0.00
Printing and Translation Costs	R 57 000.00
IDP / Budget Roadshows	R 800 000.00
Total	R 857 000.00

The IDP review is mainly done in-house; the planning process will therefore be to a large extent and be accommodated within the available funding. However, additional funds may be obtained from other sources and such funds will be utilized to complete certain aspects of the review process such as the sector plans that might need specialist assistance.

5.7. Conclusion

The Ugu IDP 2021/2022 Review will focus on the achievements of the Ugu DM in accomplishing what it has set out to do within the new five-year planning cycle. It is necessary to measure achievement in terms of backlog eradication and the effective spending of allocated funds. Ugu DM must assess its performance and the achievement of its targets and strategic objectives for the District IDP to remain relevant. The IDP therefore must be reviewed annually in order to:

- Ensure its relevance as the Municipality's Strategic Plan.
- Inform other components of the Municipal business process including performance management and institutional and financial planning and budgeting.
- Inform the cyclical inter-governmental planning and budgeting cycle.

In light of this review process, the IDP will reflect the impact of successes as well as corrective measures to address challenges. The IDP process will address internal and external circumstances that impact on the priority issues, objectives, strategies, projects and programmes of integrated planning.

The IDP, as the Ugu District Municipality's Strategic Plan, informs Municipal decision-making as well as all the business processes of the Municipality. The IDP must inform the Municipality's financial and institutional planning and most importantly, the drafting of the annual budget.

Although the IDP, Budget and Organisational PMS Process are three distinct processes, they are integrally linked processes which must be coordinated to ensure that the IDP, the Budget and the Organisational PMS with their related policies are tabled as mutually consistent and credible.