

**Credible IDP Evaluation Framework 2008**



**the dplg**

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Department:  
Provincial and Local Government  
**REPUBLIC OF SOUTH AFRICA**

**Municipality Name:**

**Date:**

## A Credible IDP Evaluation Framework

### Introduction

This Evaluation Framework is intended to serve as a tool to guide the crafting, design, improvement and assessment of a credible IDP. Core criteria to demonstrate municipal strategy, vision and compliance with both legislative and policy intent have been crafted to assist the assessors during the analysis process. This Framework is not intended to serve the purpose of a performance measurement tool, but rather a reference tool, or guideline, towards establishing the quality of a credible IDP.

### Key Focal Areas

Spatial Development Framework  
Service Delivery  
Sustainable Economic Growth and Development and LED  
Financial Viability  
Institutional Arrangements  
Governance and Organisational Development

### Spatial Development Analysis and Rationale (This is highlighted as a Key Focal Area, in addition to the Five that comprises that Five Year Strategic Agenda for Local Government)

The understanding of the economic, physical and social space that the municipality inhabits is the most critical starting point for a credible IDP. For additional reference, some core evaluative criteria for Spatial Development Frameworks may include the following:

1. MSA Regulations – assess contents of SDF in terms of the MSA Regulations.
2. SDFs should reflect principles of the NSDP and PGDS at district and local levels.
3. Does the SDF reflect adequate research into regional natural, demographic realities, the potential for economic activity, and advancing Sustainable Human Settlements?
4. Does the SDF provide a basis for the Land Use Management System and an implementation plan?
5. Are Infrastructure Projects, including those for Service Delivery, planned on the basis of the SDF?

## **A credible IDP**

The Integrated Development Plan must therefore both comply with relevant legislation (see Appendix B) and convey the following:

1. Consciousness by municipality of its constitutional and policy mandate for developmental local government
2. Awareness by municipality of its role and place in the regional provincial and national context and economy. The Municipality must also show how it would contribute to the fight against poverty, the creation of jobs and improving the lives of its citizens.
3. Awareness by municipality of its own intrinsic characteristics and criteria for success
4. Comprehensive description of the area – the environment and its spatial characteristics
5. A clear strategy, based on local developmental needs. The IDP must not be a 'wish-list' but subjected to the realities of what can be delivered by the budget over the three to five year horizon.
6. Insights into the trade-offs and commitments that are being made re: economic choices, establishment of SHS, integrated service delivery etc
7. The key deliverables for the next 5 years
8. Clear measurable budget and implementation plans aligned to the SDBIP
9. A monitoring system (OPMS)
10. Determines capacity of municipality
11. Communication, participatory and decision-making mechanisms
12. The degree of intergovernmental action and alignment to government wide priorities.

## A Credible IDP Assessment Framework

Evidential Criteria / KPIs	Y / N	Comments and Improvement Measure	Who will assist the Municipality?	By when?	Comments expected from <small>Names of officials needs to be added</small>
<b>1. Spatial Development Analysis and Rationale</b>					OTP, DLG, DLA
1.1. Is there an SDF?					OTP, DLG, DLA
1.2. When was the SDF adopted?					OTP, DLG, DLA
1.3. When was the SDF reviewed? (Is there a reviewed SDF for 08/09?)					OTP, DLG, DLA
1.4. Does the SDF align to the PGDS, especially the spatial rationale of the PGDS ?					OTP, DLG, DLA
1.5. Does the SDF align to the principles of the NSDP?					OTP, DLG, DLA

Evidential Criteria / KPIs	Y / N	Comments and Improvement Measure	Who will assist the Municipality?	By when?	Comments expected from Names of officials needs to be added
1.6. If no SDF, does the municipality exhibit a good understanding of its municipal area in the analysis? – spatial Rationale'					OTP, DLG, DLA
1.7. Regional economic comparative advantage Strategies for spatial reconstruction of region – land release, social and economic infrastructure, commercial developments (District Municipalities only)					Economic Affairs, DTI
1.8. Are there strategies for integration of areas with economic potential with that of high household poverty?					OTP
1.9. Are there strategies for Sustainable Development – taking the natural heritage and potential into account – evidence should be in local Environmental frameworks or EMP?					OTP, Environmental Affairs
1.10. Can the SDF or spatial analysis be used to develop LUMS?					OTP, DLG

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1.11. Are there strategies for cultural and social integration?					DLG/DSD
1.12. Does the SDF/Spatial Rationale' provide a basis for a Land Use Management system/Scheme?					
1.13. Is there a LUMS?					
1.14. Is there a plan to develop a LUMS by 2008?					
1.15. Is there a detailed analysis of the natural environment and its elements including priorities and risk aspects?					
1.16. Are there any environmental projects to address the environmental issues identified during the analysis?					
1.17. Are there any Environment Sector Plans, tools and strategies to manage the environment (e.g. EMP, EMF, SEA etc)?					

Evidential Criteria / KPIs	Y / N	Comments and Improvement Measure	Who will assist the Municipality?	By when?	Comments expected from Names of officials needs to be added
<b>2. Service Delivery and Infrastructure Planning</b>					
<b>Sanitation</b> 2.1. Is there a budget and plan to ensure that all households have access to basic sanitation by 2010?					DWAF/dplg-DLG MIG/DBSA
2.2. Does the above plan contain bulk infrastructure development?					DWAF/ dplg-DLG MIG/DBSA
2.3. Does the infrastructure plan consider waste water treatment?					DWAF/dplg-DLG MIG/DBSA
<b>Water</b> 2.4. Is there a budget and plan to ensure that all households have access to basic water by December 2008?					DWAF/dplg-DLG MIG/DBSA

<b>Evidential Criteria / KPIs</b>	<b>Y / N</b>	<b>Comments and Improvement Measure</b>	<b>Who will assist the Municipality?</b>	<b>By when?</b>	<b>Comments expected from Names of officials needs to be added</b>
2.5. Does the Municipality have clear water quality monitoring programme (If WSA)?					DWAF
2.6. Is there resource capacity, both human and financial?					DWAF/MIG/DBS A
2.7. Is the WSDP approved?					DWAF
<b>Housing Service Delivery</b> 2.8. Has the Municipality done its housing needs assessment and priorities?					
2.9. Are there linkages between housing and urban renewal?					
2.10. Is there integration of housing, planning and transportation framework?					
2.11. Are there linkages between housing and bulk services, social amenities and economic opportunities?					

<b>Evidential Criteria / KPIs</b>	<b>Y / N</b>	<b>Comments and Improvement Measure</b>	<b>Who will assist the Municipality?</b>	<b>By when?</b>	<b>Comments expected from</b> <small>Names of officials needs to be added</small>
<b>Energy and Electricity</b> 2.12. Is there a budget and plan to ensure that all households have access to electricity by 2012?					DME, DLG, DPLG (FBS)
2.13. Are alternative and renewable energy options considered?					DME, DLG, DPLG (FBS)
2.14. If applicable, plans to manage status as a RED?					DME, DLG, DPLG (FBS)
2.15. Is there resource capacity, both human and financial?					DLG
<b>Roads and Transport</b> 2.16. Is there a budget and plan for integrated roads and transport system (included non-mechanized, etc.)?					National/Provincial Dept of Transport
2.17. Is there a budget and plan for new roads and O&M of old roads?					National/Provincial Dept of Transport
2.18. Is there a resource capacity: both human and financial?					National/Provincial Dept of Transport
2.19. Does this relate to ITP?					Natgiona/Provincial Dept of Transport

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<b>Storm Water Drainage</b> 2.20. Is there a budget and plan to manage and maintain storm water drainage?					DLG (MIG), DWAF
2.21. Is there resource capacity, both human and financial?					DLG/dplg (MIG), DWAF
<b>Waste management</b> 2.22. Is there an Integrated Waste Management Plan?					DEAT
2.23. Is environmental Impact Assessment of waste management options included in Waste Management Strategy/Plan?					DEAT
2.24. Is there an evaluation and implementation of environmentally friendly practices for re-cycling, landfill sites and economic opportunities?					DEAT, DTI

Evidential Criteria / KPIs	Y / N	Comments and Improvement Measure	Who will assist the Municipality?	By when?	Comments expected from Names of officials needs to be added
<b>General Infrastructure Planning</b> 2.25. Is there integrated infrastructure investment plan?					dplg/DLG (MIG), Provincial Treasury/DBSA
2.26. Does investment planning utilizes the MIG grant over the next MTEF?					dplg/DLG(MIG), Provincial Treasury/DBSA
2.27. Is there indication of own revenue usage for infrastructure?					dplg/DLG(MIG), Provincial Treasury/DBSA
2.28. Are other vehicles being used to aid investment in infrastructure?					dplg/DGL(MIG), Provincial Treasury/DBSA

Evidential Criteria / KPIs	Y / N	Comments and Improvement Measure	Who will assist the Municipality?	By when?	Comments expected from Names of officials needs to be added
2.29. Other revenue sources.					dplg/DGL(MIG), Provincial Treasury/DBSA
2.30. Is there evidence of holistic infrastructure development?					dplg/DGL(MIG), Provincial Treasury/DBSA
2.31. Identification of challenging areas needing special attention (e.g. Former cross –boundary Municipalities)					dplg/DGL(MIG), Provincial Treasury/DBSA
2.32. Is there evidence of well researched backlog data on households and residents without access to services both in urban and rural areas?					dplg/DGL(MIG), Provincial Treasury/DBSA/ Sectors

Evidential Criteria / KPIs	Y / N	Comments and Improvement Measure	Who will assist the Municipality?	By when?	Comments expected from Names of officials needs to be added
2.33. Is there evidence of statistical information and usage of the demographic data?					dplg/DGL(MIG), Provincial Treasury/DBSA/ Sectors
2.34. Does the infrastructure plan incorporate operations, maintenance and capital budgets for service delivery and O&M for all services?					dplg/DGL(MIG), Provincial Treasury/DBSA/ Sectors
2.35. Is there a minimum of 3 year plan and budget to support the plan?					dplg/DGL(MIG), Provincial Treasury/DBSA/ Sectors

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2.36. Is EPWP identified as a means to provide job opportunities and training, along with identification of sectors / areas where the EPWP can be implemented?					Dept. of Public Works/DLG
<b>FBS</b> 2.37. Is there an evidence of indigent policy?					DLG/dplg FBS
2.38. Is there a budget to manage the indigent policy?					DLG/dplg FBS
2.39. Is there a budget to manage implementation of FBS?					DLG/dplg FBS
<b>3. Local Economic Development</b>					DLG-dplg (LED), DTI, Provincial Economic Affairs
3.1. Is there some evidence of how intergovernmental dialogue informs spatial and regional economic investment choices?					DLG-dplg (LED), DTI, Provincial Economic Affairs

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3.2. Is there a LED strategy for DM?					DLG-dplg (LED), DTI, Provincial Economic Affairs
3.3. Is the LED strategy informed by the District Development strategy ?					DLG-dplg (LED), DTI, Provincial Economic Affairs
3.4. Is the LED strategy adopted for DM? Status of DGDS.					DLG-dplg (LED), DTI, Provincial Economic Affairs
3.5. Is there LED Plan for LM?					DLG-dplg (LED), DTI, Provincial Economic Affairs
3.6. Is the LED plan adopted for LM?					DLG-dplg (LED), DTI, Provincial Economic Affairs
3.7. Is the strategy/plan aligned with the national, provincial and district objectives, particularly in respect of infrastructure and skills development?					DLG-dplg (LED), DTI, Provincial Economic Affairs
3.8. Has there been adequate consideration of spatial issues relevant to the economic development?					DLG-dplg (LED), DTI, Provincial Economic Affairs

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3.9. Is there empirical and statistical evidence to support the main development thrust of the strategy/plan?					DLG-dplg (LED), DTI, Provincial Economic Affairs
3.10. Have the financial implications been considered, at least as far as an indicative budget?					DLG-dplg (LED), DTI, Provincial Economic Affairs
3.11. Has a review taken place of institutional factors that need to be in place to deliver the strategy/plan?					DLG-dplg (LED), DTI, Provincial Economic Affairs
3.12. Is there evidence of adequate stakeholder and community involvement?					DLG-dplg (LED), DTI, Provincial Economic Affairs
3.13. Are there clearly identified objectives and can the attainment of these be measured?					DLG-dplg (LED), DTI, Provincial Economic Affairs
3.14. Is there an indicative timeframe for the strategy/plan?					DLG-dplg (LED), DTI, Provincial Economic Affairs
3.15. Are management arrangements in place, such as coordinating committee, a structure for reporting and an indicative format for work programmes?					DLG-dplg (LED), DTI, Provincial Economic Affairs

<b>Evidential Criteria / KPIs</b>	<b>Y / N</b>	<b>Comments and Improvement Measure</b>	<b>Who will assist the Municipality?</b>	<b>By when?</b>	<b>Comments expected from Names of officials needs to be added</b>
3.16. Have issues of improved governance relating to investment and job creation been considered?					DLG-dplg (LED), DTI, Provincial Economic Affairs
3.17. Is the area competitive and comparative advantage understood?					DLG-dplg (LED), DTI, Provincial Economic Affairs
3.18. Are plans to provide support to small enterprises adequate?					DLG-dplg (LED), DTI, Provincial Economic Affairs
3.19. Is there a strategy to stimulate the second economy in a plan/strategy?					DLG-dplg (LED), DTI, Provincial Economic Affairs
<b>4. Good Governance</b>					
4.1. Is there an IDP Process Plan – Adopted by DMs and LMs?					SALGA/DLG/dplg – Comm Participation
4.2. Is there a community participation strategy and plan?					SALGA/DLG/dplg – Comm Participation
4.3. Does the strategy/ plan adequately cover issues of communication with community and other stakeholders?					SALGA/DLG/dplg – Comm Participation

<b>Evidential Criteria / KPIs</b>	<b>Y / N</b>	<b>Comments and Improvement Measure</b>	<b>Who will assist the Municipality?</b>	<b>By when?</b>	<b>Comments expected from Names of officials needs to be added</b>
4.4. Does the Municipality show a commitment to community participation in the IDP/ Budget design and Development?					SALGA/DLG/ dplg – Comm Participation
4.5. Is there adequate stakeholder and community involvement?					SALGA/DLG/ dplg – Comm Participation
4.6. Is there contribution of Ward committees to development priorities in the IDP?					SALGA/DLG/ dplg – Comm Participation
4.7. Does the Municipality have strategies to involve traditional leaders and their communities in the IDP process if applicable? (DM's only)					SALGA/DLG/ dplg – TRADS
4.8. Is there an audit committee?					SALGA/DLG/ dplg – Comm Participation
4.9. Is there indication of a plan to inform communities of the priorities for current year and what's the plan for the coming years, regarding their inputs?					SALGA/DLG/ dplg – Comm Participation

Evidential Criteria / KPIs	Y / N	Comments and Improvement Measure	Who will assist the Municipality?	By when?	Comments expected from Names of officials needs to be added
<b>Special Groups</b> 4.10. Is there evidence showing that there is mainstreaming of HIV/AIDS?					SALGA/DLG/ dplg
4.11 Is there special focus to promote people with disabilities, women and youth?					SALGA/DLG/ dplg
4.12. Is gender equity promoted for access to economic opportunity?					SALGA/DLG/ dplg/ Economic Affairs
4.13. Do IDP details support initiatives to other special groups (disabled, youth)?					SALGA/DLG/ dplg
<b>5. Financial Viability</b>					
5.1. Is there a financial strategy?					Provincial Treasury, DLG

Evidential Criteria / KPIs	Y / N	Comments and Improvement Measure	Who will assist the Municipality?	By when?	Comments expected from Names of officials needs to be added
5.2. Is there a clear budget for 08/09 FY and does the Budget cover a minimum Three Year period?					Provincial Treasury, DLG
5.3. Is there a clear indication of National and Provincial allocations and resources?					Provincial Treasury, DLG
5.4. Is there a clear indication of own funds?					Provincial Treasury, DLG
5.5. Is there an evidence of billing system?					Provincial Treasury, DLG
5.6. Is there an evidence of debt Control / debt collection?					Provincial Treasury, DLG

<b>Evidential Criteria / KPIs</b>	<b>Y / N</b>	<b>Comments and Improvement Measure</b>	<b>Who will assist the Municipality?</b>	<b>By when?</b>	<b>Comments expected from Names of officials needs to be added</b>
5.7. Are all the Key Focal Areas, including spatial development budgeted for?					Provincial Treasury, DLG
5.8. Is there an indication of a budget for community participation and empowerment?					Provincial Treasury, DLG
5.9. Does the District Municipality budget cover support to Local Municipalities?					Provincial Treasury, DLG
5.10. Are there indications of corrective steps for Qualified reports or reports with matters of emphasis?					Provincial Treasury, DLG

Evidential Criteria / KPIs	Y / N	Comments and Improvement Measure	Who will assist the Municipality?	By when?	Comments expected from Names of officials needs to be added
<b>6. Institutional Arrangements</b>					
6.1. Is there a HR Strategy that responds to the long-term development plans of the municipality as reflected in the IDP?					DLG/DOL
6.2. Is there an approved organisational structure / organogram to support the IDP					DLG/DOL
6.3. Does the workplace skills plan address scarce skills?					DLG/DOL
6.4. Is there evidence that the municipality has an employment equity plan?					DLG/DOL
6.5. Does the workplace skill plan respond to the capacity challenges of the municipality?					DLG/DOL
6.6. Does the municipality show evidence that it has recruitment and retention strategy for scarce skills?					DLG/DOL

<b>Evidential Criteria / KPIs</b>	<b>Y / N</b>	<b>Comments and Improvement Measure</b>	<b>Who will assist the Municipality?</b>	<b>By when?</b>	<b>Comments expected from Names of officials needs to be added</b>
6.7. Does the municipality focus on scarce skills through training?					DLG/DOL
6.8. Is there an evidence of a strategy for recruitment and retention of staff?					DLG/DOL
6.9. Is there an evidence of a succession plan especially for key positions?					DLG/DOL
6.10. Is there an Organisational Performance Management Systems (OPMS)?					DLG/OTP/dplg M&E
6.11. Is the OPMS aligned with IDP – Annual Plan Indicators?					DLG/OTP/ dplg M&E
6.12. Is there evidence of PMS?					DLG/OTP/dplg M&E

<b>Evidential Criteria / KPIs</b>	<b>Y / N</b>	<b>Comments and Improvement Measure</b>	<b>Who will assist the Municipality?</b>	<b>By when?</b>	<b>Comments expected from Names of officials needs to be added</b>
6.13. Is there usage of IGR structures to facilitate intergovernmental dialogue with relevant national and provincial sector department?					DLG/OTP
6.14. Does the IDP cater for timeous submission of financial statements to Office of the Auditor-General?					Provincial Treasury/DLG
6.15. Is there evidence that comments from AG reports are being seriously addressed?					Provincial Treasury/DLG
6.16. Is there an internal audit committee?					Provincial Treasury/ SALGA, DLG
<b>Sector Plans and Appendages</b>					
<b>7.1. Spatial Development Framework</b>					<b>DLA</b>
<b>7.2. Land Use Management Framework/System</b>					<b>DLA</b>
7.3. Coastal Zone Management Plan (If applicable)					DEAT

<b>Evidential Criteria / KPIs</b>	<b>Y / N</b>	<b>Comments and Improvement Measure</b>	<b>Who will assist the Municipality?</b>	<b>By when?</b>	<b>Comments expected from Names of officials needs to be added</b>
7.4. Waste management Plan					DEAT
7.5. Environmental Management Plan					
7.6.1 Waters Service Development Plan (All WSAs)					DWAF
7.6.2. Water Resources Plan					
7.6.3. Forestry Plan					
7.7. Integrated Transport Plan					DoT
7.8. Housing Plan					Dept of Housing
7.9. Energy Master Plan (Electricity Master Plan)					DME
7.10. Local Economic Development Strateg/Plan					DLG-dplg, Provincial Economic Affairs/dti
7.11. Infrastructure Investment Plan (EPWP compliant)					dplg/ DLG/DBSA
7.12. Area Based Plans (Land Reform)					DLA
7.13. Workplace Skills Plan					DLG/DOL
7.14. List of Sector Needs – Table					DLG

Evidential Criteria / KPIs	Y / N	Comments and Improvement Measure	Who will assist the Municipality?	By when?	Comments expected from <small>Names of officials needs to be added</small>
7.15.					
7.16.					
7.18.					
7.19.					
7.20.					

## Appendix A: Processes supporting the crafting of a credible IDP:

### 1. The conduct of intergovernmental relations

The IGRF Act requires that there are provincial and district intergovernmental forum to promote and facilitate IGR between provinces and local government and district and local municipalities.

The Forums must provide the enabling platform for liaison and decision-making for effective intergovernmental planning.

### 2. Cooperative governance

The MSA (s3) defines how local government must develop cooperative approaches to governing, resource sharing and solving of disputes within the context of IGR. It is important there is a commitment to these principles in implementing the the IDP.

### 3. The role of sector departments

The role of sector departments in local delivery must be clearly articulated. This input should come from both national and provincial sector departments. It must reflect awareness by sectors of the strategic focus of the IDP, and the steps taken to support the meeting of targets, or the plan to do so in future.

### 4. Institutional

Project Consolidate intervention areas and Municipal Action Plans (MAPs) should be incorporated into the IDP project plans. Izimbizo issues should have been addressed, as well as issues identified in the 2005 IDP Hearings Reports.

### 4. Processes, tools and mechanisms

Successful implementation of the IDP relies upon effective IGR, procurement and production processes to deliver projects within timeframes that are sustainable and regionally integrated.

## Appendix B: Supporting documentation for Assessment Teams

### **Legislation**

The RSA Constitution  
Municipal Systems Act  
Municipal Structures Act  
Municipal Public Finance Management Act  
Intergovernmental Relations Framework Act  
Property Rates Act

### **Policy Documents**

MIG Policy  
NSDP  
PGDS guidelines  
PGDS's

### **Other**

Izimbizo Reports  
IDPH Panel Reports  
National Skills Development Strategy  
National LED Framework  
Sample of sector strategies  
EPWP Guidelines  
Asgi-SA presentation  
MEDS Strategy W Cape  
Provincial organograms  
Media articles

## **Glossary of Terms**

*ABP*: Area Based Plan  
*BBBEE*: Broad Based Black Economic Empowerment  
*DPW*: Department of Public Works  
*DM*: District Municipality  
*DEAT*: Department of Environmental Affairs and Tourism  
*DLG*: Provincial Department of Local Government  
*DME*: Department of Minerals and Energy  
*DoT*: Department of Transport  
*dplg or the dplg*: Department of Provincial and Local Government  
*dti or the dti*: Department of Trade and Industry  
*DWAF*: Department of Water Affairs and Forestry  
*EPWP*: Expanded Public Works Programme  
*ES*: Equitable Share  
*FBS*: Free Basic Services  
*GIS*: Geographic Information System  
*IDP*: Integrated Development Plan  
*IGR*: Intergovernmental Relations  
*ITP*: Integrated Transport Plans  
*KPA*: Key Performance Area  
*KPI*: Key Performance Indicator  
*MFMA*: Municipal Finance Management Act, Act 56 of 2003  
*MIG*: Municipal Infrastructure Grant  
*MSA*: Municipal Systems Act, Act 32 of 2000  
*NSDP*: National Spatial Development Perspective  
*OPMS*: Organisational Performance Management System  
*OTP*: Office of the Premier  
*PGDS*: Provincial Growth and Development Strategy  
*RF*: Representative Forum

*SDBIP*: Service Delivery Budget Implementation Plan  
*SDF*: Spatial Development Framework  
*SMP*: Sector Master Plans  
*WSDP*: Water Services Development Plan