

REVISED KZN IDP ASSESSMENT CRITERIA

KZN DEPARTMENT OF CO-OPERATIVE GOVERNANCE AND TRADITIONAL AFFAIRS

DATE: 24 FEBRUARY 2015

PRINCIPLES OF A CREDIBLE IDP:				
<ul style="list-style-type: none"> • Compliance with legislative requirements (MSA). • Strategic logical. Systematic approach. Professional quality. • Technical and institutional feasibility of proposed interventions. Implementable plan. • Harmonisation of plans across all spheres of government. Sectoral alignment in the context of provincial and national priorities. 				
No	Assessment Criteria	Y/N	Comments	How to Improve
A. EXECUTIVE SUMMARY				
A.1	Does the Executive Summary provide an adequate summary of who the Municipality is; what the Key Challenges are that it is facing; it's long term Vision; its Goals and Objectives; and it is expected Key Performance Areas and how these will be measured?	Y		
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 Millennium Development Goals (MDGs are just referred to here, but targets need to be reflected as part of implementation section, continue with reporting on MDG implementation until all targets have been reached), the 14 National Outcomes, 2014-2019 MTSF, NDP, PGDS, PGDP, DGDPs the 7 KZN Priorities, the State of the Nation Address, the State of the Province Address and Back to Basics policy?	Y		
B.2	If yes, does the IDP contain an indication of how these are addressed and applied in the Municipal Area?	Y		
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 Revised IDP Format Guidelines (COGTA, Feb 2013) covered in the	Y		

	Situational Analysis?			
C.1.2	Are the Municipality's Demographic characteristics, including spatial distribution of population, graphically presented through graphs and maps?	Y		
C.1.3	Are official data sources used in the situational analysis? Are they the most up-to-date (Census 2011)?	Y		
C.1.4	Are Key Findings presented at the end of this section?	Y		
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 Revised IDP Format Guidelines (COGTA, Feb 2013)?	Y		
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?	Y		
C.2.3	Are existing human settlements, nodes and towns indicated via maps in the IDP?	Y		
C.2.4	Are settlement corridors indicated via maps in the IDP?	Y		
C.2.5	Is there a Spatial & Environmental SWOT Analysis?	Y		
C.2.6	Is there a Disaster Management SWOT Analysis?	Y		
C.3	KPA: Municipal Transformation & Institutional Development			
C.3.1	Is there a Human Resources Strategy or Plan, that is adopted and implemented, that aligns to the long-term development plans of the municipality as reflected in the IDP?	Y		
C.3.2	Does the municipality have dedicated human resources for environmental management?	N		Municipality is investigating using DPSS to employ environmental management personnel
C.3.3	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, is the vacancy rate indicated?	Y		
C.3.4	Are all critical posts filled (MM & Section 56 posts ¹) and what is the progress with appointments where critical posts are vacant?	Y	All posts are filled	
C.3.5	Does the municipality have the following: • A council adopted employment equity plan; and	Y		

¹ Critical posts are identified in Outcome 9

		• A council adopted workplace skill plan that responds to the capacity challenges of the municipality			
C.3.6		If yes to C.3.5, is the Municipality implementing these plans? ²	Y		
C.3.7		Is an ICT Policy Framework in place and what is the status of the progress of its implementation?	Y	Being implemented and reviewed annually	
C.3.8		What action plan has been put in place to address the AG concerns? (Audit response must be attached)			
C.3.9		Does this section conclude with a Municipal Transformation & Organisational Development SWOT Analysis?	Y		
C.4	KPA: Basic Service Delivery				
C.4.1	Water & Sanitation	C.4.1.1	Is the municipality the Water Service Authority (WSA)?	Y	
		C.4.1.2	If Yes to C.4.1.1, when was the WSDP last reviewed?	2014	
		C.4.1.3	If Yes to C.4.1.1, is an Operations and Maintenance Plan for water & sanitation in place?	Y	
		C.4.1.4	Does the IDP include a summary (with supporting maps) of the status, backlogs, needs and priorities ³ for water and sanitation services?	Y	
		C.4.1.5	Did the municipality co-ordinate its development activities with the relevant sector departments and service providers?	Y	
C.4.2	Solid Waste Management	C.4.2.1	Does the IDP include a summary (with supporting maps) of the status, backlogs, needs and priorities for solid waste collection, removal and disposal?	Y	
		C.4.2.2	Is there an IWMP in place and is it being implemented?	N	
		C.4.2.3	Is the status of land fill sites	N	

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

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

			indicated?			
		C.4.2.4	Does the municipality have a system to divert waste from landfills for recycling?	N		
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?)	Y		
		C.4.3.2	Is the institutional responsibility for transport infrastructure as mentioned in C.4.3.1 categorised as national, provincial and local on maps?	Y		
		C.4.3.3	Is there 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.4.3.4	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?)	Y		
C.4.4	Energy	C.4.4.1	Is the municipality the Electricity / Energy provider?	N		
		C.4.4.2	If yes to C.4.4.1, has an Energy Sector Plan be adopted and is it being implemented?	N		
		C.4.4.3	If yes to C.4.4.1, is an Operations and Maintenance Plan for electricity / energy in	N		

			place?			
		C.4.4.4	Does the IDP include a summary (with supporting maps) of the status, backlogs, needs and priorities for electricity / energy services?	Y		
		C.4.4.5	Did the municipality coordinate its development activities with the relevant sector departments and service providers?	Y		
C.4.5	Access to Community Facilities	C.4.5.1	Does the IDP include a summary (with supporting maps) of the status, backlogs, needs and priorities for community facilities?	Y		
		C.4.5.2	Did the municipality coordinate its development activities with the relevant sector departments and service providers?	Y		
C.4.6	Human Settlements	C.4.6.1	Exist and planned housing developments ⁴ indicated in the IDP?	Y		
		C.4.6.2	Is there an indication of the level of services and backlogs (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?	Y		
		C.4.6.3	Is there a mechanism for coordination of the housing developments with the service providers / authorities that	Y		

⁴ The existing and planned housing developments 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

			supply the services?			
		C.4.6.4	Have the service providers / authorities committed the funding for the services for the housing developments?			
C.4.7	Telecommunications ⁶	C.4.7.1	Does the IDP include a summary (with supporting maps) of the status, backlogs, needs, priorities and challenges for telecommunications, including broadband?	Y		
C.4.8	What action plan has been put in place to address the AG concerns? (Audit response must be attached)					
C.4.9	Does this section conclude with a Service Delivery & Infrastructure SWOT Analysis?			Y		
C.5	KPA: Local Economic Development (LED) and Social Development Analysis					
5.1 LED	<p>Note: The Local Economic and Social Development Analysis DGDP catalytic projects need to be reflected in IDP in chart format, tables etc. See the accompanying template that aims to reflect the alignment linkages.</p> <p>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).</p> <p><i>“Good practice indicates that local economic development should always be guided by a strategy. Ideally, an LED strategy will form a component of a broader strategic development plan that includes social and environmental components. The LED strategy provides a focus on strengthening the local economy and building local capacity. The timeframe for an LED strategy is typically three to eight years and includes annual implementation plans”. (www.undp.org)</i></p>					
C.5.1.1	When was this LED Strategy or Plan developed and adopted					
	Was LED Strategy/ Plan Prepared in-house or outsourced				Outsourced	
	Does the Strategy display the evidence for stakeholder's participation			Y		
	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 analysis?			
	Is the Municipal LED capacity sufficient to deliver on the DGD objectives and intervention areas	Y		
	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)	Y		
C.5.1.2	Are the proposed LED interventions feasible?			
C.5.1.3	Are the Interventions and Programmes/ Projects Georeferenced, Are the beneficiaries well identified?			
C.5.1.4	Is SWOT analysis used as the Analysis tool to assess the local economy? (<i>if not, indicate another analytical tool used</i>)	Y		
	Are the key natural assets/resources identified and analyzed?	Y		
	Is there a social cohesion/stability in this locality?			
	Are the opportunities clearly specified that respond to key economic drivers identified?			
	Is it clear how the locality addresses threats or constraints facing the local firms/industries and businesses?			
	Are key economic partners identified? Strong/weak network identified and analyzed?			
	Is there a stakeholder analysis depicting potential networks, partnerships, resources that could be developed?	Y		
C.5.1.5	Are the strategic programmes responsive to the unique conditions of the locality?	Y		
	Is there a specific programme seeking to transform local tourism players?	Y		
	Is there a specific programme targeting emerging farmers? (unleashing agric potential/productive use of land?)	Y		
	Is there a specific programme targeting to improve competitiveness of SMMEs/Cooperatives in the key sector in the locality?	Y		
	Is there a specific programme targeting informal economy?			
	Is there a specific economic programme targeting Vulnerable groups (women, youth and the disabled)?	Y		
C.5.1.6	Are the sectors that will generate jobs specified?			
	Are there any catalytic projects identified?	Y		
	Are the number of permanent and temporary jobs per sector indicated?	Y		

		Are there any temporary jobs indicated?			
		Is there a plan/mechanism in place to ensure that these jobs (decent) are sustainable?			
C.5.1.7		Has the municipality reflected green job creation initiatives?			
C.5.1.8	Role of the municipality:Policy/regulatory enviroment				
		Is there an adopted Informal Economy Policy?	N		
		Is there an investment/retention policy? (incentive)	N		
		Is there a public database for municipal land?			
		Is there a database for all active/registered SMMEs and Cooperatives?	Y		
		Is there policy regulating (permits, zoning) for street vendors?	N		
		Is there a plan in place to mobilise private sector resources?	Y		
		Is there a budget for Research and Development?			
C.5.1.9	Capacity of the municipality				
		Is there an LED unit?	Y		
		Are there any capacity constraints or challenges identified?	Y	LACK OF FUNDING TO IMPLEMENT PROJECTS	
		Are there appropriate institutional arrangements in place? (MOUs, co-funding agreements, partnership with research institutions)	Y		
		Are there any capacity needs identified?			
		Is the LED plan budgeted for	Y		
		Is the M&E plan in place to track progress and effectiveness?			
		What action plan has been put in place to address the AG concerns? (Audit response must be attached)			
C.5.1.10		In the past financial year has your municipality been able to leverage private sector funding / resources to implement LED projects or catalytic projects? (Donor funding included)	N		
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?	Y	
		C.5.2.3	Are safety & security, as well as nation building & Social	Y	

		Cohesion, analysed in the Situational Analysis?			
	C.5.2.4	Is there a Municipal Safety Plan in place?	N		
	C.5.2.5	Does the Situational Analysis reflect an analysis of community development, with a particular focus on vulnerable groups?	Y		
	C.5.2.6	Is there Social Development SWOT Analysis?	Y		
C.6	KPA: Financial Viability & Management				
C.6.1	Is the capability of the municipality to execute capital projects indicated? i.e. what percentage of the capital budget has been spent in the last three years?		Y		
C.6.2	Does the municipality have an adopted and implemented Indigent Policy?		Y		
	Is there an annual review of the Indigent Register?		Y	Currently the municipality uses the indigent registers of the Local Municipalities	
	Does the Financial Plan and Budget make provision for the cost of providing Free Basic Services to registered Indigents?				
	Is the cost of free basic services (indigents) to the municipality in the last three years indicated?				
	Are the indigent levels growing year on year?				
C.6.3	Are revenue enhancement and protection strategies ⁵ indicated?		N		
	Indicate how the enhancement and protection strategies have benefitted the municipality?		Y		
C.6.4	What has been the municipal's consumer debt position for the last three years? This should be shown by customer group and age analysis.		Y		
	If debtors are increasing, what is the contributing factor for this?			The nature and extent of poverty in the district is negatively affecting the ability of the majority of our residents to pay for the services rendered. As a result, the value of outstanding debtors is increasing.	To reduce this outstanding balance, council has resorted to the strict implementation of the credit control and debt collection policy by installing controlled flow meters for the indigent consumers and the restriction of water supply for the non-indigent consumers

⁵ Note that the reduction in unaccounted water and power are examples of a revenue enhancement and protection strategy

	What strategies are in place to reduce consumer debt?			credit control and debt collection policy by installing controlled flow meters for the indigent consumers and the restriction of water supply for the non-indigent
C.6.5	Is there an indication of the percentage of the municipal revenue that is funded through grants and subsidies? (Grant dependency)			
	Has the grant dependency percentage been indicated?			
C.6.6	Is there evidence of a coherent plan to preserve the useful life of municipal infrastructure assets, including the acquisition of new service delivery assets?			
	What percentage of repairs and maintenance has been budgeted for against the total non-current assets (PPE & Investment Property where the norm is 8%)?			
C.6.7	Is there an indication of the status of current borrowings and planned borrowings (bear in mind that the budgets and IDP are multi-year). What is the purpose of borrowings?	y		
	What is the ratio for borrowing for two consecutive financial years? If the ratio is below the acceptable norm of 1:5 to 2:5, is corrective measures provided to improve the financial position of the municipality and prevent financial instability?		0	
C.6.8	Is there an indication of the percentage of Employee Related Costs (including councillor allowances) to total expenditure and is this compared to acceptable benchmarks?			
	Does ERC exceed the benchmark of between 25 to 40%			
	Is the impact on the filling of the critical vacant posts indicated?	N		
	How much was spent on contracted services, namely professional services, accounting services, etc. against total operating expenditure? Is this indicated in the IDP?			
	Is the level of skills transfers from service providers to staff comprehensively described?			
C.6.9	What has been the Auditor-General's opinion in the most recent annual financial statements and what has been his opinion in the last three years?		2013/14 – Clean Audit 2012/13 – Unqualified 2011/12 – Unqualified	
	What action plan has been put in place to address the AG concerns? (Audit response must be attached)			
C.6.10	Is there a Municipal Financial Viability & Management SWOT Analysis?	N		

C.6.11	Does the KPA respond comprehensively to government policies and priorities (e.g. NDP, PGDS goals, etc.)			
	Are the goals, objectives, strategies and projects responsive to the issues identified in the analysis?			
	Are the proposed interventions feasible?			
C.7	KPA: Good Governance			
C.7.1	Is there an indication of the status and progress with the roll-out of national and provincial programmes (incl. Operation Sukuma Sakhe, Batho Pele, EPWP, etc.) within the Situational Analysis?	Y		
C.7.2	Is the status (functionality) of IGR and its structures analysed in the Situational Analysis?	Y		
C.7.3	Is there an indication of the status of the functionality of ward committees?	N/A		
C.7.4	Is the participation of Amakhosi in Council meetings in line with Section 81 of Municipal Structures Act?	Y		
C.7.5	Is there an indication of the status of the structures that have been established and their functionality as presented in the IDP Process Plan?	Y		
C.7.6	Is there a council adopted Communication plan or strategy in place for public participation?	N		
C.7.7	Is the Internal Audit Committee in place and functional?	Y		
C.7.8	Is the Audit/Performance Committee in place that is separate from the Internal Audit Committee?	Y		
C.7.9	Is a comprehensive list of Council adopted Municipal Policies provided (e.g. finance, HR)?	Y		
C.7.10	Are the municipal Bid Committees in place and functional, and is membership indicated, and are members indicated?	Y		
C.7.11	Is the Municipal Public Accounts Committee (MPAC) established and functional?	Y		
C.7.12	Are all portfolio committees properly constituted (including proportionally) representative and functional?	Y		
C.7.13	Is the Risk management Committee established, functional and members indicated?	Y		
C.7.14	Has the Council adopted and promulgated all bylaws in terms of Schedule 4B and 5B of the Constitution?	Y		
C.7.15	What action plan has been put in place to address the AG concerns? (Audit response must be attached)			
C.7.16	Is there a Good Governance & Public Participation SWOT Analysis?	Y		
C.8	Combined SWOT Analysis			

C.8.1	Does the Situational Analysis reflect a combined SWOT Analyses or related type of strategic analysis?	Y		
C.9	Key Challenges			
C.9.1	Does the Situational Analysis conclude with the identification of Key Challenges ⁶ ?	Y		
C.9.2	Is there a clear explanation of each Key Challenge?	Y		
C.9.3	Have the Key Challenges been derived from the status quo and the combined SWOT Analysis?	Y		
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?	Y		
D.2	Are Goals, Objectives and Strategies set out in the IDP?	Y		
D.3	Does the municipality clearly articulate the difference between Goals, Objectives and Strategies?	Y		
D.4	Do the Goals and Objectives address the Key Challenges?	Y		
D.5	Are the Goals and Objectives aligned with KZN PGDS?	Y		
D.6	Are the Goals and Objectives unpacked as per the 6 KZN KPAs (as contained in the revised 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?	Y		
E.1.2	Does the IDP contain mapping that reflects the Municipality's desired spatial outcomes?	Y		
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?	Y		
E.1.4	Does the mapping reflect the desired spatial form and land use?	Y		
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	y		

⁶ 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

	development within the municipality?			
E.1.7	Does the mapping reflect spatial alignment with neighbouring municipalities?	y		
E.1.8	Does the mapping indicate where public and private land development and infrastructure investment should take place?	y		
E.1.9	Does the mapping reflect areas where strategic intervention is required?	y		
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 revised IDP Format Guidelines (COGTA. Feb 2013)? i.e. in tabular form containing the following: <ul style="list-style-type: none"> • Key Challenge • Objective • Intervention • Performance Indicator • Baseline • 5 Year Targets • Target if outside 5 year period • Confirmed Budget • Funding Source • Responsibility 	y		
F.	Financial Plan			
F.1	Does the municipality have a Financial Plan in place?	Y		
F.2	Does the Financial Plan provide an overview of the 3-year Municipal Budget, as well as an Analysis and Explanation thereof?	Y		
F.3	How much has been allocated for Operations and Maintenance Costs of municipal fixed assets?			
F.4	Does the Financial Plan reflect sound financial strategies? (Revenue enhancement strategies and Expenditure management plan)	Y		
F.5	Does the Financial Plan contain projects with committed funding, which are not on the Municipal Budget, from other service providers? (MTEF allocations inclusive of Sector Departments allocations/projects)			
G.	Annual Operational Plan (SDBIP)			
G.1	Does the IDP reflect the draft SDBIP or a summary thereof?	Y		
G.2	Is the draft SDBIP fully aligned with the Goals and	Y		

	associated Objectives, and the Municipal Budget?			
H.	Organisational & Individual Performance Management System			
H.1	Is there an explanation of how the OPMS is applied in the Municipality?	Y		
H.2	Does the IDP contain the following: <ul style="list-style-type: none"> • Organisational Key Performance Indicators linked to departmental indicators • Departmental Indicators linked to outputs in the Performance Agreements • Outputs in the Performance Agreements linked to activities in the Operational Plans and Indicators 	Y		
H.3	Is the OPMS (Departmental and Individual Indicators) seamlessly aligned with the Goals, the associated Objectives and the Municipal Budget?	Y		
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.)	Y		
I.3	Are the comprehensive SDF and Disaster Management Plan attached as Annexures to the IDP?	Y		
J.	Format of the IDP:			
	<ul style="list-style-type: none"> • Content page with page numbers • Page numbers on individual pages • Font size • Legible maps in colour • Readable tables • Cross reference information if not included in the relevant KPA. 	Y		