

The essential shift is from planning for people to planning with people, which engages their understanding, ideas, commitment and energy in planning and implementation.

4

The Planning Process

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- The planning framework
- The sustainable and integrated planning process
- The Programming Phase
- The Planning Phase
- The Implementation Phase
- Project Structures
- Institutional Linkages
- Integrated Development Matrix

Planning for sustainable communities requires a holistic approach that involves all stakeholders in an integrated process. This intermediate level is the first larger scale level at which real and meaningful community participation in planning is possible. Co-operation between municipal departments, government departments and with community and other stakeholders should be comprehensive and sustained during planning, implementing and review processes.

The planning process develops a shared vision among stakeholders, based on appropriate development and urban design principles and an agreed process and method. It is integrated with other institutional processes and involves community stakeholders to understand their needs, views and aspirations and to mobilise participation and support.

Participation enables communities to play an active part in developing their areas, to address their own needs and problems, and to build local capacity. Community involvement in the planning process requires:

- awareness of the opportunity to influence development and decision-making
- enhanced communication to inform people
- capacity building and community education processes
- involving political leaders and other representatives
- engaging or forming community structures for sustained participation

The essential shift is from planning for people to planning with people, which engages their understanding, ideas, commitment and energy in both planning and implementation.

The planning framework

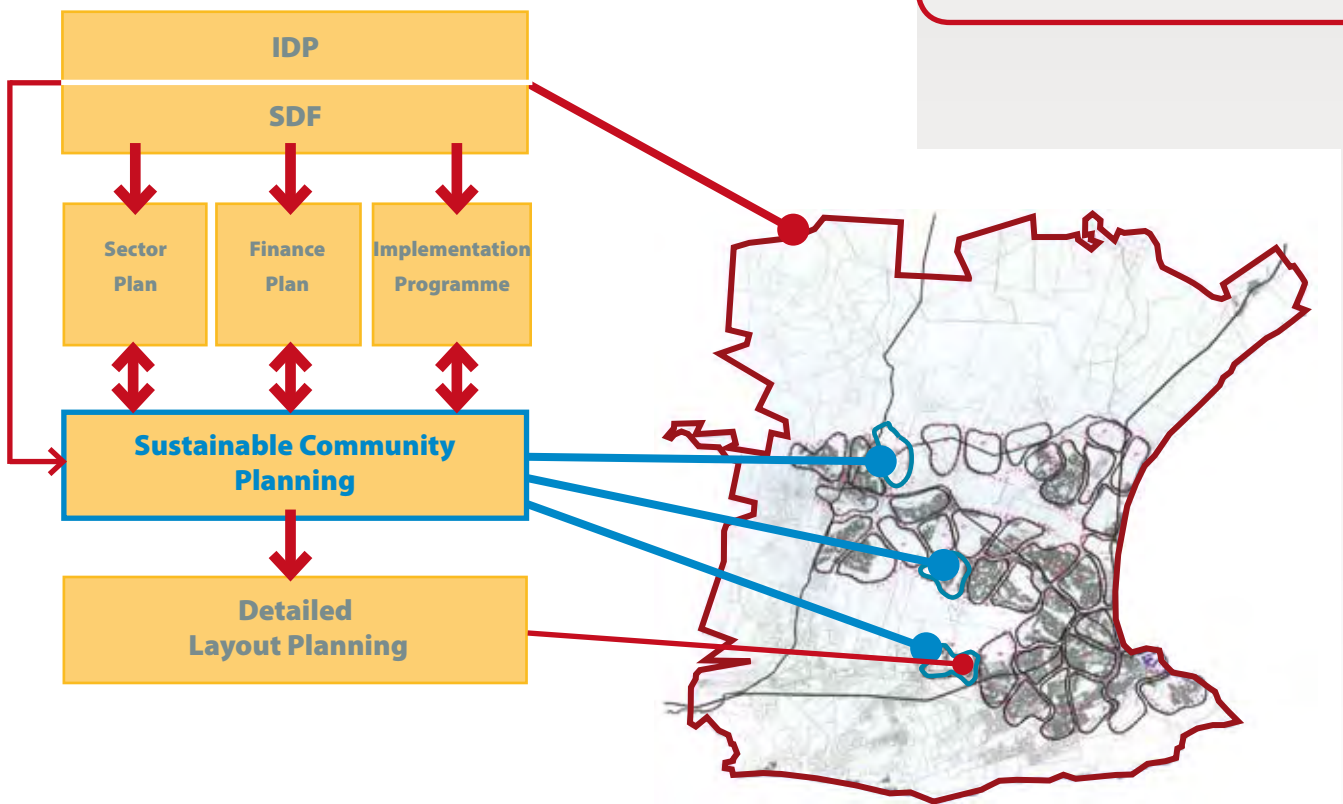
Spatial planning at the intermediate level is a component within the planning framework of the municipality. It is closely related to the principles of the Integrated Development Planning (IDP) approach and the linkage to the Spatial Development Framework (SDF) is emphasised. Furthermore, the role of the sustainable community unit planning is to provide a basis for the detailed planning and sector planning initiatives. In this way the different levels of spatial planning will be appropriately inter-linked and also connected to the financial and budgetary planning as well as to the implementation programmes.

Planning framework levels

Spatial planning at Sustainable Community Unit level links and fills the gap between municipal level IDP and SDF planning and more detailed layout planning.

- Integrated Development Plan, IDP
- Spatial Development Framework, SDF
 - Sector plans
 - Financial plans
 - Implementation Programme
- Sustainable Community Unit plans
- Detailed development plans

Application of the planning framework

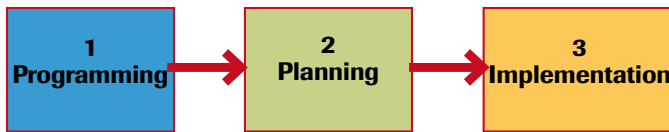


The sustainable and integrated planning process

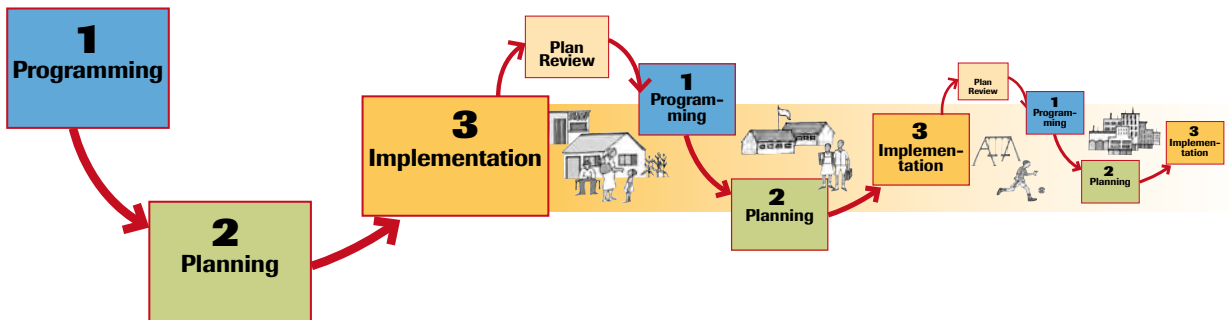
Planning and implementation are sequential and interconnected. Both involve parallel activities by a network of actors, and it is essential to establish project structures and clarify roles, participation, and communication processes. Intermediate level planning includes spatial and non-spatial aspects, and requires co-ordination of planning, implementation and co-operation among all stakeholders.

The Planning Process

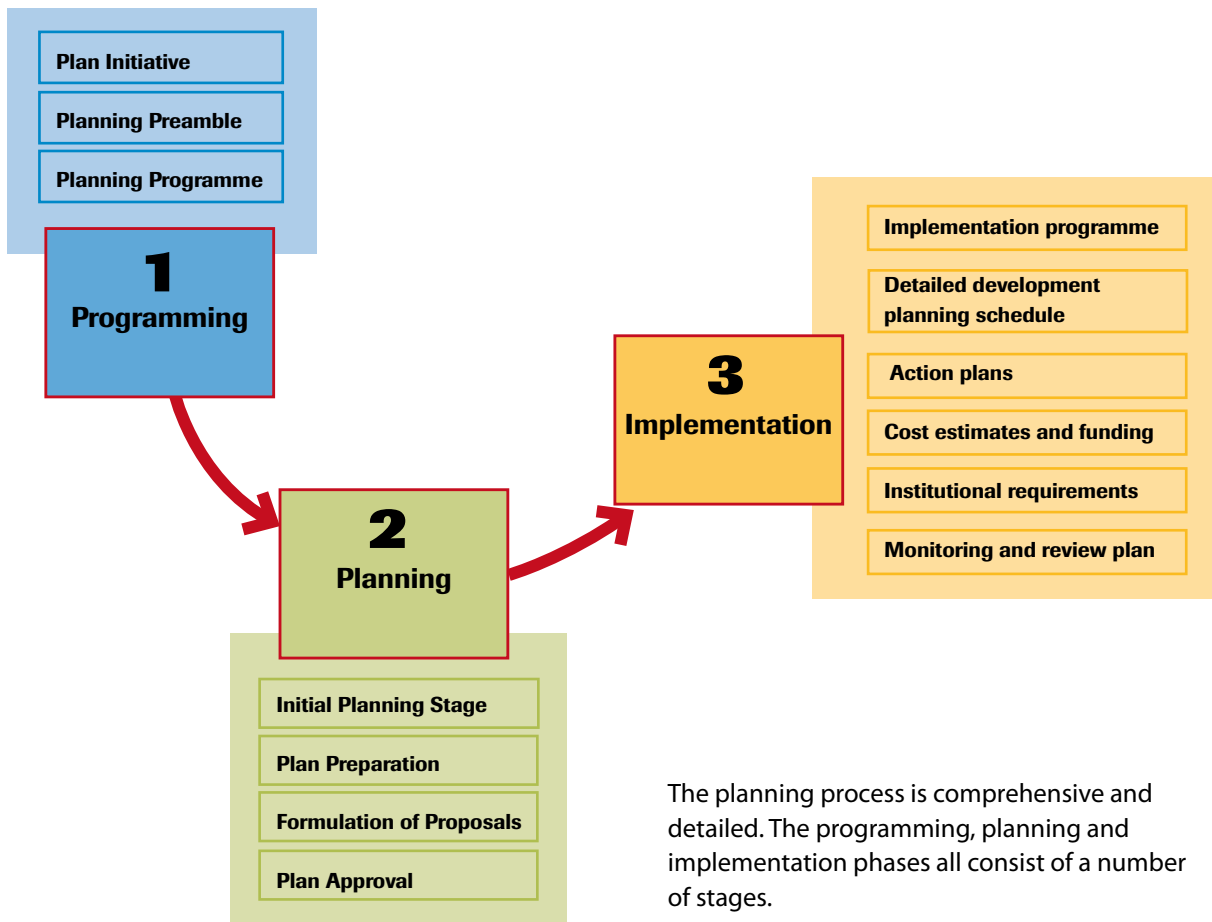
The planning process has three main phases linked to each other.



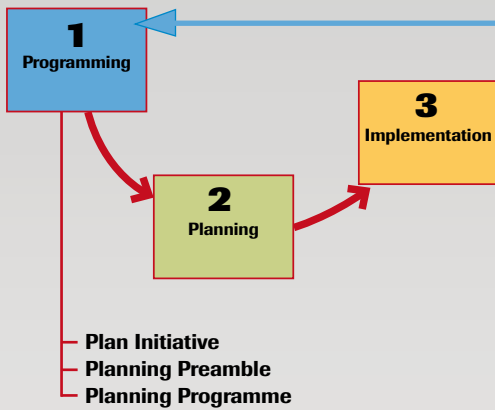
Although different phases in the planning and implementation process are sequential, they may overlap. The Plan Review may also result in renewed planning activity and a new planning process will start. This process may continue over a long period of time.



Stages of the Planning Process



The planning process is comprehensive and detailed. The programming, planning and implementation phases all consist of a number of stages.



Preamble Content

Planning background

- SDF
- Policies
- Sector plans
- Land use zoning

Proposed and approved projects

- infrastructure projects
- private sector projects
- provincial and national initiatives

Planning area delineation

- boundaries, review of SDF
- surrounding units and linkages

Existing conditions

- Physical conditions
- Service levels / standards
- Existing infrastructure services
- Existing social and community services
- Socio-economic
- Environmental

4.1 The Programming Phase ◀

The Programming Phase involves the groundwork for the Planning Phase and consists of the:

- Plan Initiative
- Planning Preamble
- Planning Programme

In this phase the overall programme for the planning process is developed and approved, including the project background, needs, scope, goals, schedule of work and resources. This requires political commitment to planning the project and commitment of the necessary financial resources.

The Plan Initiative

When a municipality decides to prepare a community area spatial plan (in the context of IDP and SDF plans for long-term spatial development), the plan initiative:

- describes the project purpose
- re-states SDF recommendations
- outlines the vision for development of the area
- states the general principles to be applied

The municipal department leading the planning process presents the plan initiative as an initial proposal and motivation to politicians for discussion and approval, after which a cross-functional task team and steering committee should be established for the project. Already at this stage the involvement of the community representatives should be prepared and information should be provided to the community.

The Planning Preamble

Approval of the Plan Initiative leads to a preamble which outlines the existing situation, background, restrictions, uncertainties, proposed projects and expected results in greater detail.

Planning background

The background includes a review of existing plans and policies that affect the area and that may influence the plan. Sources can include:

- the IDP and SDF
- structure and sector plans for transport, infrastructure, open space, etc
- the IDP Implementation Programme
- the IDP Financial Plan
- policy documents concerning the area
- the Environmental Management Policy and Framework

Previously proposed projects

Actual and proposed development projects in the area that impact on spatial development are identified and assessed. These include housing, infrastructure, transport, service, environmental, local economic development, community assistance, and social development and private sector projects. Information on projects is facilitated by early stakeholder participation.

GLOSSARY

topography

the form of the landscape

demography

population profile/data

plan initiative

initial outline proposal

planning preamble

a comprehensive background description

Planning area delineation

The Sustainable Community Unit is delineated according to agreed criteria. Delineation depends on size, population, topography and existing urban features, road networks, public transport systems and planned development of existing, adjacent or new areas and is further more based on 2 km walking distance radius. Ideally this would be determined as part of the SDF, which would provide for the tentative delineation.

Current land use and regulations

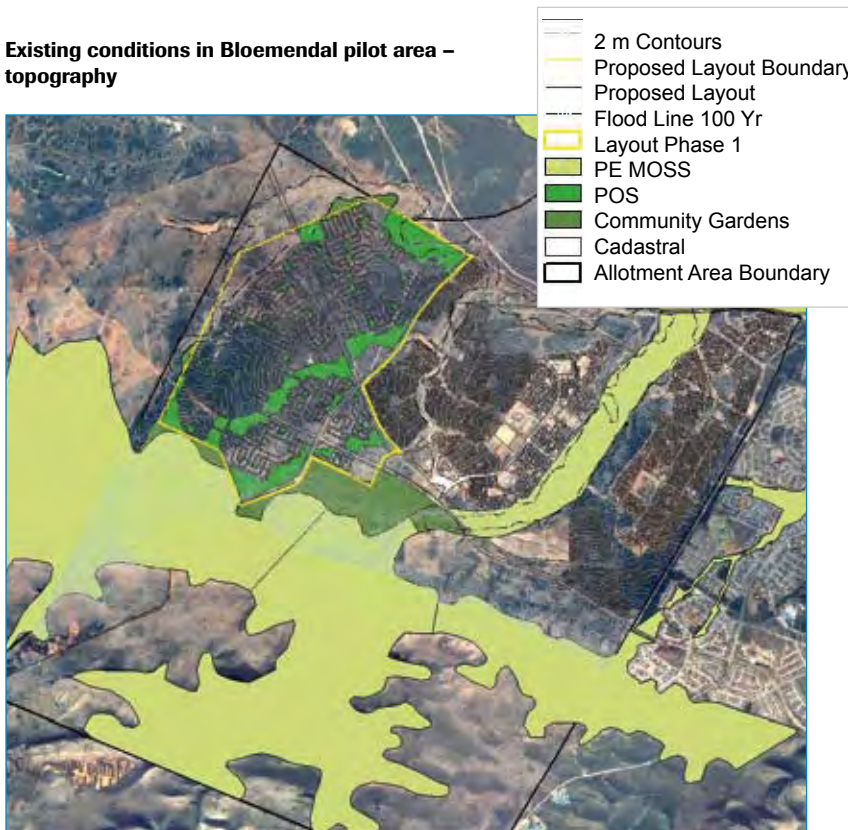
Current land use in the area is mapped using aerial photographs and field studies. The land use is compared to the land use regulations, using layout and zoning plans, records of re-zoning, subdivisions and changes of use. It may also be relevant to consider adjacent areas.

Existing conditions

The natural and built environment and features, opportunities and limitations for development must be described. The natural environment is mapped in terms of land, soil, vegetation, fauna, protected or sensitive areas, and current and potential negative environmental impacts must be specified.

Existing infrastructure, community facilities, and their capacity and condition are assessed, as development creates additional demands, and opportunities for upgrading. Information collected at this stage focuses on available data, but a baseline survey may be necessary, if information is limited. More detailed assessments and analysis are carried out in the Planning Phase.

Existing conditions in Bloemendal pilot area – topography



Issues to be included in the baseline study

Physical

- Topography
- Geology and Soils
- Vegetation
- Built-up areas
- Land-uses
- Housing
- Existing Infrastructure
- Services and facilities
- Servitudes

Environmental

- Natural resources
- Protected areas
- Sensitive environments
- Pollution
- Floodline

Socio-economic

- Community vision and perceptions
- Demography
- Economy
- Employment and income
- Unemployment
- Skills audit
- HIV/AIDS
- Participation and democracy

The baseline study will analyse the existing situation, assess the backlogs and constraints and identify the implications.

A baseline study can be carried out during the programming phase or as part of the planning investigations.

GLOSSARY

delineation

definition of boundaries

zoning

defines the purposes for which land may be legally used

fauna

types of animals

baseline survey

survey providing initial data against which future development is measured

servitude

right of access on property e.g. for a pipe line or an access road

Baseline Quality of Life Surveys

OBJECTIVE quality of life indicators

Demographic: mortality rate; fertility rate/ births; divorce/separation rate; female-headed households; orphans; household structure

Socio-economic: monthly household income; unemployment; registered new business; businesses getting assistance at business support centres.

Housing: Housing type categories, size; dwellings in private ownership; tenure, distribution of alternatives; occupancy rate

Services: Water for domestic use/service levels; electricity; sanitary services; roads, type of surface and drainage; public transport; availability of land-line telephones; playgrounds and green areas in housing clusters; municipal and community services.

Health: Infant mortality rate; child mortality rate; adult mortality rate; availability of street addresses; type of health service accessible

Education: Highest school qualification; tertiary level qualifications.

Democracy & participation: Registered voters; participation rate in elections; involvement in Community Based Organisations/NGOs.

SUBJECTIVE quality of life indicators

Level of satisfaction with accessibility in or near the neighbourhood of: health care services; primary health care services; playground and green areas; communal meeting place/ community centre; schools within convenient walking distance; shops for the purchase of daily groceries; public transport (bus stop); a taxi rank or taxi pick-up point; postal services; banking services (e.g. ATM); a pension pay-out points; a public library; public phones.

Quality of: health care at primary health care services; quality of roads; illumination at night; safety of persons and their possessions; police protection; pollution of the neighbourhood by domestic and other forms of solid or liquid waste; levels of air pollution; the draining of storm water after rain; recreational facilities.

Evaluation of the neighbourhood as a whole: Past–present comparison regarding the improvement of living conditions in the neighbourhood.

Information can be obtained through a baseline study at this stage or as part of the later planning investigations. The study can be carried out using a participatory approach. This will enhance the possibility to achieve closer co-operation with the community and to gain knowledge not only about existing conditions but also issues, expectations and priorities of communities.

The Planning Programme

The completion of the Programming Phase will include the Planning Programme, which describes the plan preparation process and recommends that council authorise it. The Planning Programme includes the proposed:

- timing and planning schedule
- resources required to undertake the planning
- institutional arrangements for planning
- arrangements for public participation and consultation
- communication strategy

The work plan for plan preparation

The work plan outlines activities, timing and distribution of responsibilities based on agreement and consultation with stakeholders, including provincial and national departments and contracted consultants and NGOs. The timing specifies benchmarks in the plan preparation process for decisions or presentation of results. Meetings of the steering committee and major stakeholders, reporting to political committees and progress reports are scheduled, together with proposed plan completion and approval dates.

The decision on planning programme

Council or a mandated sub-committee is responsible for the planning go-ahead decision. Documents required for this decision are the Plan Initiative and the Planning Preamble.

It is appropriate to involve community and stakeholder representatives at this stage, so they can contribute to goal setting and verification. Principles and mechanisms for participation should already be established.

Working with consultants

Much planning work is done for municipalities by consultants and it is important to employ only reputable and appropriately qualified professionals with proven experience. For SCU projects, it is essential that consultants understand the sustainable communities vision, principles and approach, and that they work closely with municipal officials who are responsible for projects.

In working with consultants, it is essential to formulate clear Terms of Reference which specify in precise terms:

- the purpose, nature and scope of the project and their contribution
- project phasing, project deliverables and time frames
- the budget and phasing of expenditure
- arrangements and conditions for payments
- clear roles, guidelines and processes for co-operation
- communication, reporting and monitoring procedures
- stakeholders to be involved, including community participation
- collaboration required with officials, stakeholders and organisations

In this approach, consultants are partners in the planning process, or some aspect of it, and it is essential that they understand the whole project and the SCUs approach.

4.2 The Planning Phase

This is the heart of the planning process, where creative design work determines the nature and quality of the development. It includes:

- The Initial Planning Stage
- Plan Preparation
- Formulation of Proposals
- Plan Approval

In the past, Plan Preparation focused on technical and environmental aspects, but a sustainable communities approach also emphasise:

- qualitative, non-spatial, economic and social aspects
- thorough preparation
- links between planning and implementation
- stakeholder consultation and participation
- co-ordination and co-operation between sectors, departments and spheres of government

Initial Planning Stage

The Initial Planning Stage establishes the framework and basis for Plan Preparation in terms of data and information, logistical and institutional arrangements, and a common understanding of goals, objectives and issues. Further and complementary investigations, field checks, analysis and discussion with stakeholders via meeting and workshops are now needed.

Start-up meeting

The start-up meeting or workshop which launches the plan preparation process includes:

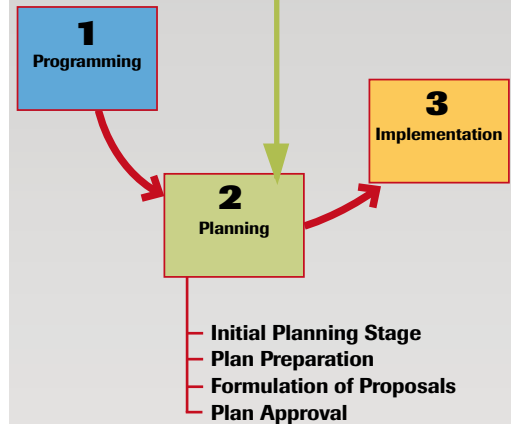
- a structured analysis of needs, problems and issues
- presentation of goals and objectives
- outline of the planning process activities and resources
- community involvement and stakeholder participation
- proposed mechanisms for communication, co-operation and management
- acknowledgement of risks and assumptions
- space for questions, discussion, feedback and input from participants

It is essential that all stakeholders attend the start-up meeting. Planners on the planning team, task team and steering committee (see section 5) lead the workshop, which should take place in the community unit.

Planning investigations

The need for planning investigations depends on the scope of the plan and gaps in available information. Methods include:

- baseline or complementary studies
- desktop studies
- mapping and updating of maps
- sample surveys and interviews
- field checks
- workshops and group discussions



Co-operation between planners, engineers and other professions

It is imperative that planners, engineers, land surveyors, architects, urban designers and quantity surveyors co-operate with each other to develop integrated and sustainable human settlements. The various disciplines should be engaged as early as possible in the plan initiative phase to facilitate joint understanding of the SCU approach and the nature, scope and deliverables of the project.

Designing service infrastructure for sustainable communities requires close co-operation between engineers, planners and professionals representing specific sectors, based on a shared SCU vision and design criteria. Layouts and service infrastructure need to be designed with social, human and aesthetic considerations in mind. Engineers need to understand the social intentions of planners and sector professionals, who in turn need to understand the practical engineering technologies, possibilities and constraints, and their related costs. This multi-disciplinary cooperation should result in a creative balance of practical realism and social idealism.

GLOSSARY

benchmarks

points in the process when specific things must be achieved

stakeholders

all groups involved, or with a direct interest in a project or organisation

verification

approval as valid



Politicians and planners can only learn all there is to know about a city from its residents – only they know their city well enough.

interpretation of
Jane Jacobs' statement

SCU planning – budget sources

- Political budget – preliminary SCU planning
- SDF funding – SCU is an outcome of SDF process
- Ward budget – Ward Committees consultation
- Transport funding – integrated transport planning
- Economic Business Unit – LED aspects
- IDP funding

Budgeting for Sustainable Communities Planning

Many aspects of SCU planning such as staff and normal operating costs will be funded via normal departmental budgets. However, provision must be made for additional extra-ordinary planning costs, including the following:

- The participatory process – meetings, workshops, transport
- Publicity materials – posters, pamphlets, booklets, exhibitions
- Up-to-date aerial photographs and maps
- Consultants
- Baseline Study
- Budgeting for implementation

It is also important to estimate staff capacity and time required from specific departments, as this is generally funded via their budgets. Budgeting for implementation is essential.

An up-to-date base map in digital format is essential, and can save on field surveys.

Aspects covered include physical, socio-economic, environmental, economic and community characteristics. Community meetings contribute information, verify issues and concerns and prioritize goals and objectives. Planning investigations provide a basis for identifying quantitative and qualitative indicators that can be used to evaluate results.

During the investigations a participatory approach should be used. Through this involvement the planners will have the opportunity to ensure that the objectives and issues are given the right priority and that the focus of the planning project is in accordance with aspirations and preferences.

Planning analysis and assessment

Analysis and assessment are based on information obtained in the Programming and Planning Investigation. Analysis includes aspects which determine spatial structure such as:

- land use distribution
- densities
- walking distances and pedestrian movements
- mixed development
- access to services and job opportunities
- traffic and public transport, infrastructure and service facilities
- topographical and physical conditions, to identify areas suitable for development
- sensitive areas, ecological conditions and flooding risks that restrict development

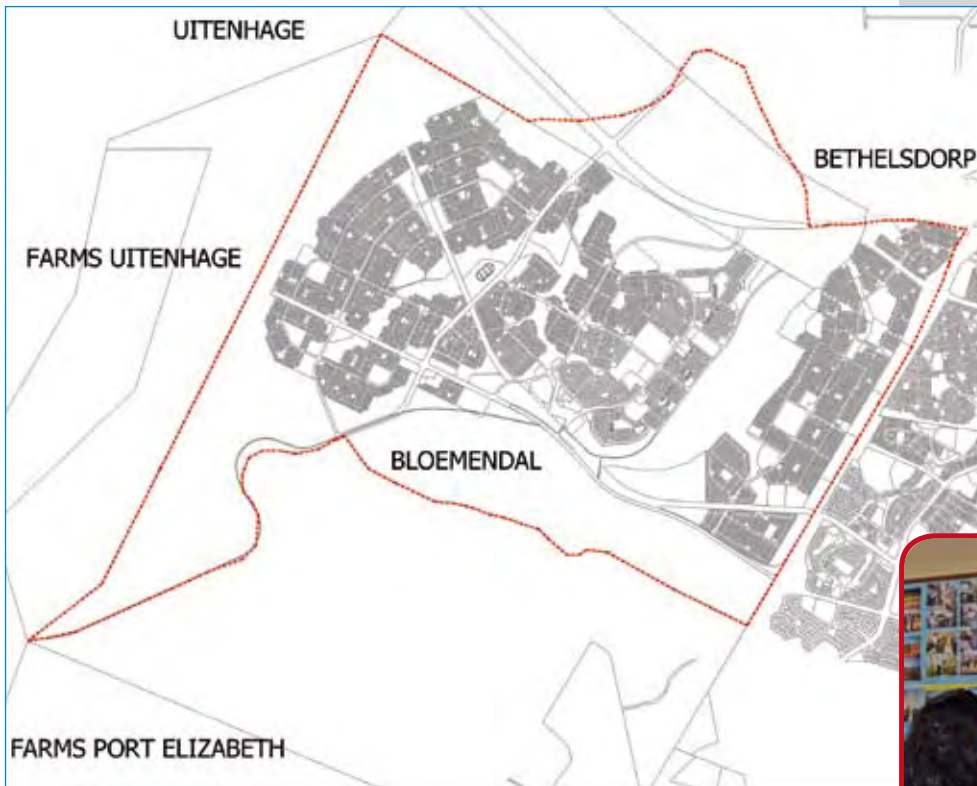
Non-spatial analysis deals with socio-economic aspects:

- demographic characteristics
- household structures
- employment and income levels
- safety and security problems to identify “hot spots” or “danger zones”
- the consequences of HIV/AIDS and other health and social conditions
- community characteristics such as self image and organisation

These factors are relevant to planning for economic development, affordability, standards and service provision, and community participation in the development process.

This stage concludes with estimated requirements regarding municipal and other resources needed to implement the project. Key factors that will impact on area growth and development and the resulting land requirements and spatial structure are:

- the population forecast
- assumptions regarding household structure
- economic development potential
- planning standards
- design principles



Surrounding areas, Bloemendal pilot project

----- PLANNING BOUNDARY



Co-ordination with other development projects

Synergy is needed between the various urban development programmes. Current programmes in Nelson Mandela Bay Municipality include the Motherwell and Helenvale Urban Renewal Programmes; the Zanemvula Project (an Informal Settlement Upgrading and Human Settlement Development Project at the scale and level of the Cape Town N2 Gateway Project); Red Location precinct development, as well as the renewal programmes associated with the restructuring.

Assessments should verify issues and priorities agreed upon earlier. The participatory process may result in alterations and additions, which the steering committee should approve. The results are then presented to all stakeholders via a report, presentations, exhibitions and workshops.

Plan Preparation

This involves preparing alternative proposals and scenarios for spatial and non-spatial aspects of development, and assessing their environmental, social, economic and institutional impacts, together with community representatives and stakeholders.

Planning scenarios

The planning investigation, analysis and assessment and forecasts enable planners to prepare planning scenarios, which include alternative development strategies to solve problems, address issues and achieve goals. These can be rough sketches or more elaborate proposals, but should be easy to understand to enable evaluation by stakeholders.

Multi-disciplinary co-operation between municipal departments is necessary to formulating realistic alternative proposals and scenarios as a basis for the next stage – formulation of plan proposals.

GLOSSARY

scenarios

different possible future situations or options

Environmental Impact Assessments

An environmental impact assessment is an assessment of the potential ecological, social and economic impacts of a proposed activity on the environment. The assessment is a management tool to facilitate sound environmental practices, by considering the impacts that will result during the implementation and decommissioning stages of a planned activity. The relevant authority, e.g. the Department of Environment, Economic Affairs and Tourism in the Eastern Cape, will decide whether an activity should proceed or not, and if so, how negative impacts should be prevented or mitigated. The new EIA Regulations, promulgated in terms of the National Environmental Management Act (NEMA) came into effect on 1 July 2006. The regulations provide for two types of environmental investigation – a Basic Assessment, and a Scoping and Environmental Impact Assessment, depending on the characteristics of the proposed activity. For further information on EIAs, contact the Department of Environmental Affairs and Tourism www.environment.gov.za



Central nodes scenario, Bloemendal pilot project



Impact assessment

The evaluation of scenarios involves assessing the impacts in terms of:

- the natural environment and resources
- qualitative aspects of the urban environment
- social and community aspects
- economic development
- financial implications
- institutional requirements

Impact assessments can be carried out in-house or by a consultant, but various municipal departments should be involved, and results presented to stakeholders in written information, workshops, meetings and exhibitions, giving participants the opportunity to comment and contribute.

Presentation of Results

Although there would have been continuous involvement of community representatives, politicians and other stakeholders, it is important to set aside time for formal presentation of the alternative solutions, scenarios, preliminary proposals and the results of the impact assessment to the various groups at this stage of the planning process.

Formulation of Plan Proposals

The proposals must take into account the results of the evaluation of scenarios and the impact assessments. They will include development strategies and land use proposals, implementation aspects and funding, and will cover the following spatial and non-spatial aspects:

- evaluation of preliminary planning proposals
 - spatial aspects
 - non-spatial aspects
- economic development
- environmental concerns
- socio-economic development
- social development and services
- infrastructure services
- the implementation programme
- financial aspects
- administrative and institutional development

The community unit plan identifies areas for layout plans and specific projects, and recommends their phasing and timing.

Plan Approval

Procedures for plan approval are prescribed by planning legislation, and municipal councils have the power to adopt intermediate level community unit plans that conform to their spatial development frameworks. Following the decision, the approval can be announced and presented to the community through exhibitions or other means of communication.

Issues on which public/community acceptance is necessary

The Planning Programme

- community representation
- formulation of objectives
- identification of issues

Plan preparation

- assessment of issues and priorities
- verification of objectives
- evaluation of scenarios
- plan proposals

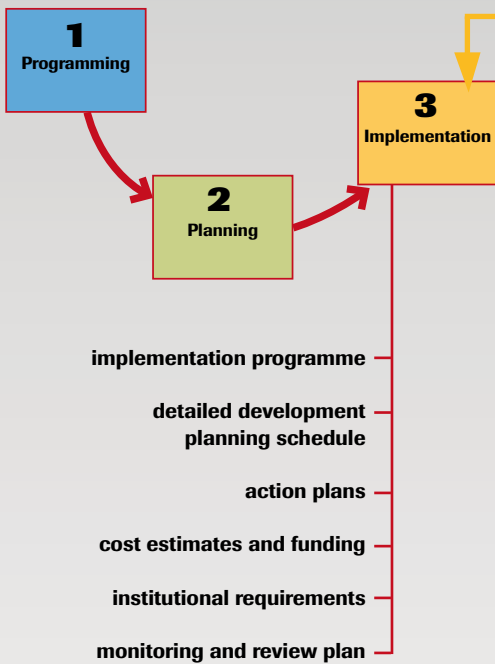
Implementation

- implementation programme
- detailed planning process
- cost sharing
- community involvement



Plans proposals, Bloemendal pilot project

NOTATION	ZONING
	20-30 UNITS / HA
	30-40 UNITS / HA
	35-65 UNITS / HA
	40-70 UNITS / HA
	EXISTING RESIDENTIAL
	PROPOSED RESIDENTIAL
	ACTIVITY CORRIDOR
	REGIONAL BUSINESS CENTRE
	LIGHT INDUSTRIAL
	NMBM MOSS AREA
	PUBLIC OPEN SPACE
OTHER:	
	PLANNING AREA BOUNDARY
	MAJOR ARTERIALS
	MINOR ARTERIALS
	PROPOSED EXTENSION OF STANFORD ROAD



4.3 The Implementation Phase ◀

The Implementation Phase will vary depending on the scope and nature of the development project. It includes a strategy, detailed planning, identification of development projects and actual construction, monitoring and maintenance. The link between planning and implementation is an important aspect of the IDP process. At the Sustainable Community Unit level the implementation programme will be detailed and concrete.

Implementation programme

The Implementation Programme provides the strategy and timing for the realisation of the plan proposals. It will facilitate efficient co-operation between municipal departments and involve other stakeholders.

An implementation programme includes:

- a schedule for implementation and construction
- a detailed development planning schedule
- action plans and responsibilities
- cost estimates and funding arrangements
- institutional requirements
- stakeholder roles and responsibilities
- a community participation process
- co-ordination of inputs by municipal departments, other government agencies, consultants, developers, landowners, contractors, NGOs and community
- a monitoring and review plan
- a maintenance and land use management plan

In the Implementation Phase, the planning team becomes or is replaced by the project management team, with an appropriate shift in membership to include key managers from departments central to implementing projects, e.g. engineering, housing and transport, also provincial departments such as health, welfare and education.

The steering committee could be expanded to include new actors, as the focus shifts from planning to implementation. The municipal unit managing implementation is responsible for:

- co-ordination of the project management team
- detailed planning of sub projects
- ensuring financing of infrastructure
- overseeing construction work
- overall monitoring and quality control
- chairing the steering committee
- organising stakeholder participation

A workshop involving all stakeholders should approve the Implementation Programme.

Detailed development planning schedule

The SCU plan will indicate the phasing of the proposed development, which will be approved by the municipal council but would still be tentative. Moving into the implementation phase, the detailed planning schedule is prepared to specify the delineation of project areas and the

Urban Development Funding Sources

- Municipal Infrastructure Grants (MIG)
- Acquisition of Land for Housing and Related Development
- Local Economic Development (LED)
- Integrated Development Planning (IDP)
- Project Consolidate (PC)
- Municipal Service Partnerships (MSP)
- Urban Renewal Programme (URP)
- Intergovernmental Relations Framework (IGRF)
- Housing funds
- Provincial funding

GLOSSARY

land use management plan
shows the location of various land uses

timing for detailed plan preparation and construction. This schedule will be important for the preparation of programmes for infrastructure and service provision.

Action plans, cost estimates and funding

The detailed planning schedule is followed by more precise action plans, outlining activities and distribution of responsibilities. At this stage engineering designs are prepared, that will be used for final cost estimates and for securing funds.

Institutional requirements may include the setting up of a project management team, reference groups, monitoring and evaluation teams and municipal co-ordinating departments.

Stakeholder and community responsibilities

The stakeholders and communities will be involved in the implementation in different degrees depending upon agreements regarding sharing of responsibilities. In particular, if it is assumed that stakeholders will play a role in construction, operations and maintenance, they need to be consulted early in the process. Public-private partnerships and public-community partnerships for service provision and other aspects should be prepared at this stage.



Phasing of detailed development planning and implementation, Bloemendal pilot project

LAND USE	
NOTATION	ZONING
[Color swatch]	PHASING SYSTEM 1A
[Color swatch]	PHASING SYSTEM 1B
[Color swatch]	PHASING SYSTEM 2A
[Color swatch]	PHASING SYSTEM 2B
[Color swatch]	PHASING SYSTEM 3A
[Color swatch]	PHASING SYSTEM 3B
[Color swatch]	PHASING SYSTEM 3C
[Color swatch]	PHASING SYSTEM 4A
[Color swatch]	PHASING SYSTEM 4B
[Color swatch]	PHASING SYSTEM 4C
[Color swatch]	PHASING SYSTEM 5
[Color swatch]	OTHER
[Color swatch]	PLANNING AREA BOUNDARY
[Color swatch]	ACTIVITY STREETS

LEGEND & KEY NOTES	
PHASING	
PHASE 1A	(1) WILLIAM SLAMBERT CONNECTION
	(2) ACTIVITY STREET / MIXED USE
	(3) INFILL DEVELOPMENT IN BOOYSENS PARK COMMUNITY CENTRE
	(4) INFILL DEVELOPMENT ON VACANT LAND
PHASE 1B	(5) SUBSIDY HOUSING AT LOW DENSITY
PHASE 2A	(6) INFILL RESIDENTIAL AT HIGH DENSITY
	(7) LIGHT / SEMI INDUSTRIAL
	(8) OPEN SPACE ON RAILWAY RESERVE
PHASE 2B	(9) SUBSIDY HOUSING AT LOW DENSITY
PHASE 3A	(10) HIGHER INCOME LOW DENSITY HOUSING
PHASE 3B	(11) HIGHER INCOME HIGH DENSITY HOUSING
PHASE 3C	(12) NATURE RESERVE
	(13) PUBLIC OPEN SPACE
PHASE 3D	(14) LIGHT / SEMI INDUSTRIAL
PHASE 4A,B,C	(15) MIXED DENSITY HOUSING SUBSIDY HOUSING
PHASE 5	(16) BUSINESS PARK

Housing Programmes

- Project Linked Subsidies
- Housing Subsidy Scheme (HSS)
- Rental Housing Subsidy
- Institutional Subsidy Housing
- Human Settlement Redevelopment Programme
- Establishment Grant
- Hostel Redevelopment
- Incremental Housing
- Social (Rental) Housing
- Informal Settlement Upgrading
- Inner City Housing
- Infill Housing
- Special Needs Housing: AIDS, disabled, aged, etc.
- Co-operative Housing
- People's Housing Process
- Bank Financed Housing
- Employer Assisted Housing

Monitoring and Plan Review

Monitoring methods are identified in the programming phase, and monitoring starts during the planning phase, as an aspect of project management. Monitoring is based on outcomes of different stages of the planning and implementation process, specified in work programmes, schedules and budgets. A feedback and reporting system keeps all actors and stakeholders informed on progress and any problems that arise.

Planning process monitoring

The municipal team managing the project is responsible for monitoring planning activities. Monitoring tools include checklists, benchmarking, critical path schedules, and planning process indicators.

The achievement of qualitative goals and objectives must be assessed using the criteria of integration, mixed development, higher densities, accessibility and availability of services, provision for employment opportunities and quality of environment. Community and stakeholder participation in the planning process is also monitored, and records kept of all events and activities in the process, to facilitate evaluation and review.

Implementation monitoring

At the intermediate planning level, implementation is a direct continuation of the planning process, and the two may overlap, with detailed planning continuing after implementation has begun. The implementation process is complex, involving many actors over a long period of time, and requires ongoing municipal management, co-ordination and monitoring. The project steering committee monitors the project and requires regular and appropriate reports from the project management team.

Information is usually stored in each municipal department, but new digital technology, networks and a general GIS greatly facilitate information sharing, co-ordination and reporting. Monitoring as an integral aspect of project management:

- provides regular and timely feedback
- enables assessment of progress
- identifies problems to be solved
- tracks adherence to schedules and deadlines
- tracks expenditure against budget
- tracks stakeholder participation
- checks performance of contractors, the quality of work and other qualitative dimensions

Internal monitoring, reporting and evaluation should happen at regular meetings, and community feedback and participation should inform these processes.

Plan Review

IDP, SDF and sector plans are reviewed and adjusted every five years, but community level plans may need to be reviewed more often. A Plan

GLOSSARY

GIS

Geographic Information System – computer-based mapping and data information system

Review may require council approval, and can be limited to certain aspects, components, areas or issues – the complexity and scope depend on the needs.

Maintenance and land use management

Maintenance and land use management occur after implementation, but sustainable community principles should guide ongoing regulation of development, zoning and land use. Maintenance and its cost need to be taken into account at the planning stage, and included in cost recovery estimates. If implementation and maintenance involve community participation and cost-sharing, this needs to be agreed and included in the implementation programme and financial plan.

Example of report format

1. Introduction
2. The Study Area in Context
3. Baseline Study
4. Goals and Development Principles
5. Main Proposals
6. Components
7. Consequences of Proposed Plan
8. Phasing of Development



The plan reveals its value only with implementation

Project Steering Committee Terms of Reference

- Review the planning need and plan initiative
- Develop the vision and goals of the Sustainable Community Unit plan
- Decision on key issues to be considered in the planning process
- Review the need for a baseline study
- Confirm and verify the planning area boundaries
- Agree on the work programme and time schedule for plan preparation
- Develop a communication programme and participation approach
- Undertake site visits and meet with community representatives
- Review results of investigations, surveys, analysis and assessments
- Verify the objectives, issues and priorities for the planning project
- Comment on alternative scenarios, preliminary planning proposals and the implementation programme
- Consider and make recommendations on final proposals prior to approval by standing committees and council
- Promote the Sustainable Community Unit plan and concept
- Guide the implementation of the plan

4.4 Project structures

The structures responsible for planning and implementation have a determining influence on the planning approach and implementation. Co-ordination and co-operation between municipal departments, government departments and other stakeholders is essential. The initial stage of the planning process establishes the project administration structure, involving relevant municipal actors. Project management responsibility needs to be clearly located, and a steering committee, planning team (project management) and inter-departmental task team are formed early in the process.

The steering committee

The project steering committee includes appropriate political and senior departmental representatives who meet regularly during the planning and implementation process and at particular milestones when:

- reports and results are considered
- key workshops mark the beginning and completion of process stages
- specific plans and proposals are finalised

The steering committee reports to official municipal committees and decision makers.

The planning team

The planning team manages the overall project including the planning process, communication strategy and co-ordination of inputs from other departments and stakeholders. They carry out, delegate or contract out aspects of actual planning. The role of the planning team changes on completion of the Planning Phase, and its composition is reviewed in the Implementation Phase, as responsibility shifts from planners to those who manage implementation.

The task team

The task team includes representatives from relevant departments and coordinates the planning process and plan preparation. Its composition may change during the process phases, depending on who is most needed. The lead department and planning team are responsible for project management, including overseeing the task team representing:

- Spatial Planning
- Housing
- Transport
- Infrastructure Engineering
- Environmental Services
- Economic Development
- Any other relevant stakeholder

Inter-departmental co-operation

The integrated approach to planning and development requires close co-operation and links between departments with technical, social and financial responsibilities such as:

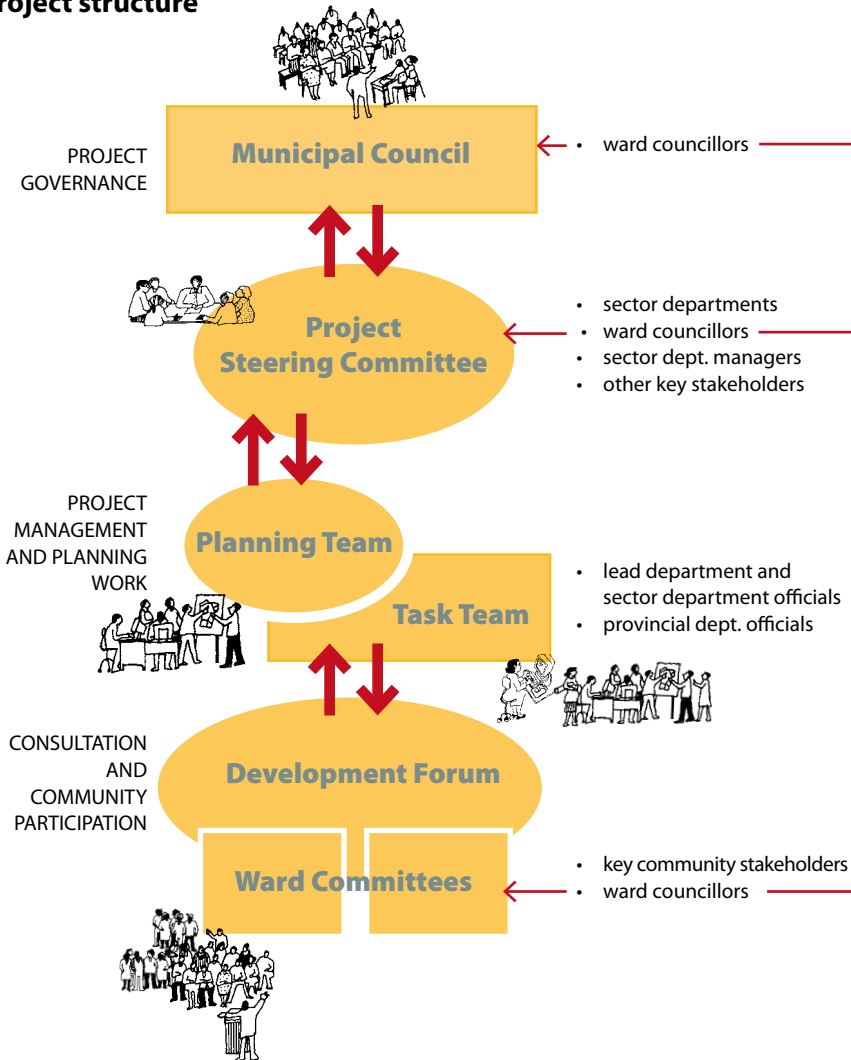
- *Technical* – Infrastructure Engineering, Housing, Land Acquisition, Transport, Roads, Parks, Water and Sanitation,

- *Social* – Health, Environmental Services, Economic and Enterprise Development, Tourism and Agriculture, Safety and Security, Sport, Culture and Recreation, Community Development, Urban Agriculture, Social Services
- *Financial* – Budget and Treasury

Planning Team responsibilities

- dissemination of information (the planning preamble, survey, workshop, participatory event and meeting reports, planning scenarios, planning proposals and communication and implementation programmes)
- arrange consultation with municipal departments, community representatives and other stakeholders
- collect data and information
- mobilise other units to compile, analyse, review and assess issues and proposals
- co-ordinate implementation

Project structure



Task team responsibilities

- Review progress and monitor the programme
- Provide input and advice on time schedules and deadlines
- Channel requests for contributions from other units
- Assist in collecting and presenting information
- Advise and assist in appointment of consultants
- Review reports and findings
- Assist in the community participation program and public presentations or hearings
- Recommend adjustments or additions to alternative solutions and preliminary proposals and implementation programmes
- Provide guidance and support on issues contained in the Sustainable Community Plan
- Distribute information to all stakeholders within the municipality

4.5 Institutional linkages

The IDP process emphasises that not only should there be integration at the municipal administrative level, but close co-operation and co-ordination should also be effective between different spheres of government. In the initial stages, linkages with relevant provincial and national authorities should be reaffirmed, contact persons identified and methods of communication agreed upon.

It is essential to involve national or provincial departments with local responsibilities such as education, health, welfare policing and environmental protection, as they need to contribute to area planning, and incorporate it in their own plans and budgets.

Links to other agencies

The Breaking New Ground Strategy

of the National Government, also known as the Comprehensive Plan for the Development of Sustainable Human Settlements, is very clear on the principle that services infrastructure is more than the provision of water, roads, electricity, sanitation, etc.

There is a need to move towards the more holistic development of human settlements, including the provision of social and economic infrastructure. It is therefore essential that the need for such social/community and economic facilities should be identified in the audit and planning stages. A multi-purpose cluster involving various stakeholders should plan the provision of facilities such as parks, playgrounds, sport fields, crèches, community halls, taxi ranks, satellite police stations, municipal clinics and informal trading facilities.

Cluster agencies could include, but are not limited to:

Government Departments, National and Provincial:

Agriculture and Land Affairs, responsible for rural development and land management

Arts & Culture – the development of the economic potential of cultural activities

Education – responsible for the provision of educational facilities and programmes

Environmental Affairs and Tourism – the use and protection of natural resources, EIA's, etc

Health – health service provision

Housing – housing delivery policies and programmes

Provincial and Local Government – integrated governance

Minerals and Energy – energy efficiency, renewable energy and energy planning

Public Works – management of state property and implementation of public works programme

Safety and Security – prevention of crime, maintenance of public order

Social Development – poverty reduction, social welfare, etc.

Sport and Recreation – promotes participation in sport and recreation

Trade and Industry – facilitates access to sustainable economic activity and employment for all through higher level of investment

Transport – facilitates provision of an affordable, safe and sustainable transport system

Water Affairs and Forestry – ensures availability and supply of water

Parastatals

Eskom, Telkom, Post Office, Transnet

Private Sector

The Coega Development Co-operation and the local Chambers of Commerce and Industry (PERCCI, Comsec, NAF-COC), and the Mandela Bay Development Agency, are all local agencies that could play a role in sustainable community planning

NGO's and CBO's

NGO's such as the Urban Services Group, Development Action Group and Built Environment Support Group

CBO's

e.g. Bethelsdorp Development Trust, Helenvale Development Trust, Church Groups

4.6 The Integrated Development Matrix

An Integrated Development Matrix has been prepared that aims at facilitating the co-operation and co-ordination of the municipal departments and external actors in the planning and implementation process. While the matrix is generally applicable, it will also provide a basis for the more detailed communication programme.

The Matrix identifies the responsibilities of different municipal departments. It also deals with the role of provincial and national authorities and the involvement of private sector and community stakeholders. For the efficient use of the Matrix it is important that there are established procedures for meetings and for exchange of information.

Matrix

Planning Framework

Stakeholders

	Housing & Land	Infrastructure Engineering & Electricity	Health	Environmental services	Economic Development, Tourism & Agriculture	Sport, Culture & Recreation	Safety and Security	Budget and Treasury	Communication Office	IDP Office	Constituency Co-ordinator	Office of the Mayor	National	Provincial	Private sector
IDP/Spatial Development Framework															
Intermediate Level Planning															
Sustainable Community Plan/Structure Plan															
Town Planning Layout/Design															
Decision to phase development															
Survey Peg															
Implementation of engineering services															
House design and construction															
Develop public areas and facilities															
Maintenance															

In the matrix the responsibilities of each stakeholder are specified at each level of the planning framework

↑ Planning ↓

↑ Implementation ↓

Stakeholders ▶

Planning Framework ▼	Housing & Land	Infrastructure Engineering & Electricity	Health	Environmental services	Economic Dev., Tourism & Agriculture	Sport, Culture & Recreation	Safety and Security
Spatial Development Framework	Population forecasts Land requirements Growth directions Land availability SCU delineation Spatial development phasing 5/10 year housing plan needs Incorporate sector programs and needs Co-ordinate public consultation Implementation program	Availability of infrastructure Bulk extension costs Public/private transportation efficiency and availability Water services development plan/Water Master Plan Intergrated transport plan and public transport plan Storm water master plan Sewerage master plan	Population needs and vulnerability	Strategic Environmental Impact Assessment of the SDF Environmental considerations; as per greening policy Proximity of residential areas to major health threats SEA/NMBMOSS (biodiversity and implementation policy) Costal management policy Cemetery provision, min 100 ha each Waste management plan Abakwetha provision	Type, size, location of land needed for commercial/ retail, industrial, agriculture, residential, informal, etc. Includes the identification of land for crops and livestock on the periphery of the urban area Provide information on socio-economic profile of metro population	Land for major sporting needs Provide information on existing facilities and expected needs Identification of heritage sites/areas	Disaster management plan Traffic security Overall security needs
Sustainable Community Planning /Intermediate Level Planning	Prepare preamble and plan program Establish steering committee and task team Present program to Council Co-ordinate participation and present to community Assess accessibility to local support centres Data collection Identify needs and co-ordinate sector needs Formulate plan principles and objectives Arrange workshops Prepare spatial plan with development proposals Incorporate sector needs Present results and exhibit plan Review goals and objectives Suggest phasing of development, detailed planning program Prepare implementation program	Provide info. about infrastructure programmes Identify service needs Incorporate plan proposals Review implications Stormwater master plans and management plans for areas Sidewalks and cycle tracks	Provide info. about services and needs in clinics, HIV/ AIDS, primary health care	SEA of the SCP Environmental conditions information Sensitivity mapping Water/air pollution risks Waste management provisions Environmental management requirements Greening policy	Provide info. on socio-economic profile of the area (this may include assessment of LED needs, skills audits etc). Facilitate the multi-functional use of space/facilities/buildings Assess issues of employment	Provide information about needs Assess location of proposed facilities	Identify security needs Assess location of police facilities Assess proposals from security and safety point of view Identify problem spots Assess emergency implications

The Integrated Development Matrix

Budget and Treasury	Communication Office	IDP Office	Constituency Coordinator	Office of the Mayor	National Departments	Provincial Departments	Private sector NGOs & CBOs
<p>Capital expenditure budget and forecast</p> <p>Assess and make known the long-term financial implications</p>		Co-ordinate public consultation	Co-ordinate public consultation and input from Councilors and Ward Committees		<p>Policy directives and info. on programmes in housing, education, welfare, health, transport</p> <p>Departments of Transport, Housing, Health and Welfare, MCM</p>	<p>Policy directives and info. about programmes in housing, education, welfare, health/clinics provisions</p> <p>Department of Transport, DPLG and Housing, Health and Welfare and Agriculture</p> <p>Consultation process; Implication assessment and co-ordination with provincial planning</p> <p>Approvals</p>	<p>Participation in process by providing information and expressing views</p> <p>Identifying needs</p>
<p>Co-ordination with capital expenditure budget and finance plan</p> <p>Secure budget</p> <p>Ensure inclusion in implementation program</p>			Co-ordinate participation and present to community		<p>Information about programmes and policies in housing, education, welfare, health/clinics, transport</p>	<p>Co-ordination with provincial development program in terms of housing, education, health/clinics, welfare</p> <p>Incorporate proposals in provincial development and operational plans, Department of Education, Health and Welfare, DPLG and Housing, Finance</p>	<p>Participation in process</p> <p>Providing information about plans and development programmes</p> <p>Submitting comments</p> <p>Incorporate proposals in business operational plans</p>

- SDF**
Spatial Development Framework
- MOSS**
Metropolitan Open Space System
- EIA**
Environmental Impact Assessment
- SEA**
Strategic Environmental Assessment
- SCP**
Sustainable Community Plan
- EMS**
Environmental Management Strategy
- NGO**
Non-Governmental Organisation
- CBO**
Community Based Organisation

Stakeholders ▶

Planning Framework	Housing & Land	Infrastructure Engineering & Electricity	Health	Environmental services	Economic Dev, Tourism & Agriculture	Sport, Culture & Recreation	Safety and Security
Town Planning Layout/Design	<p>Planning and co-ordination of design process</p> <p>Satisfy need for integration mixed unit types, erf sizes and socio-economic groups – some residential erven for sale?</p> <p>Community involvement</p> <p>Review/apply standards for the provision of services</p>	<p>Technical design and cost</p> <p>Test layout options vs cost – engineering efficiency formula</p> <p>Transportation – public/private efficiency and availability</p>	<p>Access to facilities eg. police, parks, clinics, community facilities, schools</p> <p>Cluster community facilities rather than spread</p> <p>Nutrition – vegetable gardens, ploughing fields</p> <p>Design for disabled, children, aged, HIV/AIDS – special needs groups</p>	<p>EIA</p> <p>Provision of parks and open spaces</p> <p>Evaluate environmental competence of engineering solutions e.g. canalisation of water courses</p> <p>Proximity to waste management sites, recycling depots</p> <p>Wheely bin sites</p> <p>Proximity to land for Abakwetha</p> <p>Avoid health threats</p>	<p>Accessibility to ploughing fields</p> <p>Informal business opportunities</p> <p>Formal business opportunities</p> <p>Work close to home</p> <p>Cultural/ agri-tourism potential and opportunities</p>	<p>Proximity to land for sports functions</p>	<p>Safety aspects of the layouts</p> <p>Availability of police, fire, ambulance</p> <p>Lighting</p> <p>General safety</p>
Decision to phase development	Co-ordination need	Cost implications from servicing point of view	Access to facilities	Acquire funding on maintenance budgets	Access to facilities (to inform phasing)	Access to facilities	Access to facilities
Survey Peg	Co- ordination			Bush clearing Soil erosion			
Implementation of engineering services	PHP (People's Housing Process)	Co-ordination to avoid waste eg, digging up trenches for each service separately		EMS	Advice, support & development of local labour (training)		
House design and construction	Placing house on site design – streetscape PHP		House quality House design	Develop parks simultaneously with houses i.e. use top soil from new roadways etc.	Advise on design to facilitate economic activity, and on positioning of unit/s on stands (for eg. to accommodate food gardening) Support & development of local labour		
Develop public areas and facilities	Timeous liaison with non metro providers: police, province, post office, bus etc.		Prioritise certain needs for development	Prioritise areas for development Develop parks Tree planting in road reserves	Market business/ commercial and industrial land Formalise informal businesses Develop tourism destination	Develop sports facilities	Police, fire and emergency
Maintenance	Facilitate repairs, maintenance in conjunction with developers, contractors	Develop maintenance plans	Develop maintenance plans	Develop maintenance plans	Continuous support Develop community maintenance programmes	Develop maintenance plans	

The Integrated Development Matrix

Budget and Treasury	Communication Office	IDP Office	Constituency Coordinator	Office of the Mayor	National Departments	Provincial Departments	Private sector NGOs & CBOs
Identify funding sources Be aware of financial implications					Policy and planning directives		
Finance implications							
Finance implications Other funding sources							
Finance implications							Employment of local community Skills transfer

