
Policy Framework for Integrated Planning

2022



planning, monitoring
& evaluation

Department:
Planning, Monitoring and Evaluation
REPUBLIC OF SOUTH AFRICA



Policy Framework for Integrated Planning

2022

Department of Planning, Monitoring and Evaluation

Union Building East-wing | Governement Avenue
Private Bag X944, Pretoria 0001
Enquiries (012) 312 0011 | Switchboard (012) 312 1200

www.dpme.gov.za

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FOREWORD

Following the advent of democracy in South Africa in 1994, the concept of integrated planning was introduced to prioritise development needs and focus government's efforts on improving the lives of the country's people. The integrated planning system, relevant legislation, and the instruments and mechanisms associated with it have become increasingly sophisticated since then. This includes the development and implementation of plans cascading from the National Development Plan (NDP) to the Medium-Term Strategic Framework and institutional plans as well as the provincial development plans and the Integrated Development Plans (IDPs) at local level. These plans aim to align priorities across government, inform resource allocation, and hold officials and public institutions to account.

However, there is a need to improve the alignment of plans at different levels as well as to better coordinate implementation towards the achievement of development results. What is needed is a whole-of-society approach, one that harnesses the strengths of non-government stakeholders working with government through collaboration and partnerships to achieve national priorities. This Policy Framework for Integrated Planning has been produced by DPME to address this and to harmonise the planning system by strengthening integrated planning.

The Department of Planning, Monitoring and Evaluation (DPME) is responsible for

coordinating planning in the country. This means that DPME is tasked with engaging with all national institutions, provinces and municipalities to ensure coordination on key development priorities; analysing and disaggregating trends and data to inform these planning processes; ensuring coherence in the spatial planning system and alignment of spatial priorities across sectors; ensuring that all policies and legislation are consistent with the NDP; ensuring that there is alignment in planning throughout government; and ensuring that the NDP is implemented by all of government.

To do this DPME must strengthen and develop the institutional, technical and administrative aspects of planning to achieve a more coordinated and responsive government through a planning system that serves to promote the country's development objectives. This may involve the Minister outlining norms and standards to foster the institutionalisation of planning for national and provincial government. The Director General of DPME can propose new reforms in planning based on the recommendations from the Policy Framework for Integrated Planning.

Building on the achievements of the current planning system, this Policy Framework for Integrated Planning aims to reduce fragmentation and poor coordination, and promote coherent planning and delivery. It will strengthen collaboration amongst state institutions and non-governmental institutions in the delivery of sustainable service delivery at all levels.

EXECUTIVE SUMMARY

Since the dawn of democracy in 1994, waves of change in planning have been witnessed, informed by the need to plan better with limited resources particularly for the marginalised sectors of society, including women, youth and people with disabilities. The country's historical and political context has contributed significantly to an unequal society, high poverty levels, high unemployment and skewed spatial planning. The trajectory of planning processes in government over the years has also experienced several challenges across the three spheres of government.

The purpose of the Policy Framework for Integrated Planning is to strengthen integrated planning towards the achievement of the country's development results. It aims to provide an overall framework for planning across the state machinery and to improve synergies and alignment of existing planning legislation, policies, instruments, and processes. The Framework does not involve changing the existing constitutional powers and functions, but rather aims to improve, enhance and strengthen integration of the current policies across all spheres, clusters and sectors of government.

The Policy Framework has seven sections:

- Section 1 outlines the purpose of the Framework, its applicability and the use of the Framework to promote integrated planning.
- Section 2 provides a detailed overview of the background to integrated planning in South Africa. This section reflects on the progress made by government on integrated planning over the years; challenges experienced

in relation to integrated planning; the rationale behind the introduction of the policy framework; the policy and legal context; and international benchmarks.

- Section 3 outlines the approach followed in developing the Framework.
- Section 4 elaborates on the problem statement which the framework seeks to address.
- Section 5 explains the policy, vision and objectives of the framework as well as the underlying theory of change.
- Section 6 proposes the policy recommendations and envisaged integrated planning model to institutionalise an integrated planning system in South Africa and sets out the associated roles and responsibilities of different stakeholders.
- Section 7 covers governance, monitoring, evaluation and review providing guidance on management of the framework with regard to its implementation, reporting, risks, and accountability.

In summary, the Policy Framework has three main types of recommendations, which are underpinned by a key set of interventions that have been, or need to be, introduced. The recommendations are based on the Theory of Change (ToC):

- (a) Legislative reforms that lead to the promulgation of integrated planning legislation.
- (b) Integrated planning system responsive to development priorities across government.
- (c) An enabling environment for undertaking development and institutional planning.

LIST OF ACRONYMS

4IR	Fourth Industrial Revolution
AGSA	Auditor-General of South Africa
AOP	Annual Operational Plan
APP	Annual Performance Plan
AR	Annual Report
AU	African Union
BPF	Budget Prioritisation Framework
CEDAW	Convention on the Elimination of All Forms of Discrimination against Women
CIDP	County Integrated Development Plan
CNDPF	Comprehensive National Development Planning Framework
CPA	Central Planning Agency
DALRRD	Department of Agriculture, Land Reform and Rural Development
DBE	Department of Basic Education
DCoG	Department of Cooperative Governance
DDM	District Development Model
DG	Director-General
DPCG	Development Partners Coordination Group
DPE	Department of Public Enterprises
DPME	Department of Planning, Monitoring and Evaluation
DPSA	Department of Public Service and Administration
DSD	Department of Social Development
DWYPD	Department of Women, Youth and Persons with Disabilities
EAC	East African Community
EPU	Economic Planning Unit
ENE	Estimates of National Expenditure
eQPRS	Electronic Quarterly Performance Reporting System
ETP	Economic Transformation Programme
FOSAD	Forum of South African Directors-General
GRPBMEAF	Gender Responsive Planning, Budgeting, Monitoring, Evaluation and Auditing Framework
GTP	Government Transformation Programme
GWMES	Government-wide Monitoring and Evaluation System
ICT	Information Communication Technology
IDP	Integrated Development Plan
IGR	Intergovernmental Relations
IGRFA	Intergovernmental Relations Framework Act
LGDP	Local Government Development Plan
MAF	Management Accountability Framework
MDA	Ministries, Departments and Agencies
MEC	Member of the Executive Council
M&E	Monitoring and Evaluation
MFMA	Municipal Finance Management Act
MINALOC	Ministry of Local Government
MINECOFIN	Ministry of Finance and Economic Planning

MoU	Memorandum of Understanding
MRRS	Management, Resources and Results Structures
MSA	Municipal Systems Act
MTEC	Medium Term Expenditure Committee
MTEF	Medium Term Expenditure Framework
MTREF	Medium Term Revenue and Expenditure Framework
MTSF	Medium Term Strategic Framework
MyNDS	Malaysian National Development Strategy
NDRC	National Development and Land Reform Commission
NDP	National Development Plan
NECDP	National Early Childhood Development Programme
NEPF	National Evaluation Policy Framework
NPC	National Planning Commission
NPDF	National Planning Development Framework
NPF	National Planning Framework
NSDF	National Spatial Development Framework
NSDP	National Spatial Development Perspective
NST	National Strategy for Transformation
NT	National Treasury
PAA	Programme Alignment Architecture
PCSA	Policy Coordination and Advisory Services
PGDS	Provincial Growth and Development Strategy
PSA	Public Service Act
PSEC	Presidential State-Owned Enterprises Council
PFMA	Public Finance Management Act
RB	Results Based
RBM	Results Based Management
SADC	Southern African Development Community
SASQAF	South African Statistical Quality Assessment Framework
SDBIP	Service Delivery and Budget Implementation Plan
SDF	Spatial Development Framework
SDG	Sustainable Development Goal
SDIP	Service Delivery Improvement Plan
SEIAS	Social Economic Impact Assessment System
SOE	State Owned Enterprise
SPLUMA	Spatial Planning and Land Use Management Act
SP	Strategic Plan
ToC	Theory of Change
UN	United Nations

GLOSSARY

Term	Definition
Alignment	Alignment is the arrangement within a system based on a position of agreement in a manner which directs effort within and across spheres and sectors.
Anticipatory Governance	Anticipatory governance is a system of an institution's rules and norms that outlines the path to use foresight for the purpose of reducing risk and increasing capacity to respond to events at earlier rather than later stages of development (Fuerth, 2011).
Cluster coordination and planning	Government clusters are groupings of government departments from various sectors with cross-cutting priorities and programmes. Clusters foster an integrated approach to governance that is aimed at improving government planning, decision making and service delivery.
Coordination	Coordination implies the coherent organisation of the different government institutions to enable them to work together effectively in delivery services.
Development Planning	A development-focused approach to planning is a holistic approach to transforming South African society which seeks to positively impact the lives of South Africans and create a society that is productive, with citizens who feel safe, are well-educated and includes all the societal goals of the long-term plan for the country. In this context, a key development plan is the National Development Plan (NDP) and other subsequent long-term plans for the country.
Global Planning	Global planning involves determining development priorities for addressing global development challenges and forming global partnerships for guiding international development efforts. Global planning finds expression in global partnership agreements such as the Sustainable Development Goals (SDGs), the AU Agenda 2063, and other global partnership agreements such as at a Southern African Development Community (SADC) regional level and the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW). These international development commitments are incorporated into medium- and short-term plans of government and government institutions.

Term	Definition
Government-wide Planning	Government-wide planning should be a continuous process which involves decisions or choices made by South African government institutions and officials about the various ways of using available resources with the aim of achieving particular development results.
Institutionalisation of planning	Institutionalisation of planning refers to government institutions implementing long-, medium- and short-term planning frameworks and adopting legislated planning processes within their institutions. Alignment to the overall national planning priorities is one of the indications that institutionalisation is in place.
Integrated Implementation	Integrated implementation is the implementation of a plan, programme, project or service in a coordinated manner within or across spheres or sectors, and institutions that contribute towards the same national development priority.
Integrated Planning	Integrated planning involves collaborative determination of priorities within and across spheres of government, and with non-government stakeholders to achieve long-, medium- and short-term development results. Integrated planning supports strategic decision-making by providing a comprehensive view of resources and commitments that ensure the alignment of resources with national priorities.
Integration	Integration is the action of bringing together distinct but interrelated components into a system that functions as a whole towards the realisation of agreed priorities.
Planning System	The planning system comprises of the planning legislation, policies, frameworks, guidelines, structures and practices in the country.
Regional Planning	Regional Planning focuses on the use of land and investment in infrastructure within a particular geographic space for socio-economic activities to meet national development results in partnership with the local community. Local communities may include residents, businesses and traditional authorities. A region is a circumscribed geographical area characterised by distinctive economic, social or natural features which may or may not correspond to the administrative boundary of a province or a municipality or municipalities.

Term	Definition
Results-based Planning	A results-based approach to planning ensures that all the elements of the plan are oriented towards achieving the intended results. It is constructed around the hierarchy of results to be achieved and demonstrates strategic coherence across the components of the plan. It is based upon a robust logic chain linking all levels of results together across the full period of the strategic plan. Levels of the results or results chain are impact, outcome, output, activity and input.
Sector planning	A sector is a functional grouping of government institutions across the three spheres of government that have a distinct but shared mandate. Sectors collaboratively plan to improve sector policy coherence and coordination of implementation across and within spheres of government towards the realisation of national development results. Sector planning may also include the contribution of non-government stakeholders that operate within a sector.



1. INTRODUCTION

This Policy Framework for Integrated Planning represents an important building block in our efforts to build a capable, developmental and ethical state in line with the National Development Plan Vision 2030 and the Medium-Term Strategic Framework 2019-2024. The Framework seeks to build on existing progress and address gaps in the planning system to better contribute towards the achievement of the country's development results. It focusses on strengthening coherence and outcomes across spheres of government and with other stakeholders, and improving alignment between long-, medium- and short-term planning systems and instruments.

Integrated planning is extremely important as it assists government in ensuring that planning legislation, policies and frameworks are coherent and coordinated in order to deliver on government priorities; it enables government to improve synergies and eliminate duplication of efforts in providing services and harnesses multiple efforts and resources towards optimising development results. An integrated planning system further provides for customisation and prioritisation at sector, provincial, local and programme level; and supports strategic decision-making. It does this by providing a comprehensive view of resources and commitments that facilitates the alignment of financial resources with government priorities; ensuring that all functions are coordinated and can work efficiently and effectively; being collaborative and not isolated; enabling processes which are harmonized, coordinated and consistent; and being strategic rather than reactive.

1.1 Purpose of the Policy Framework for Integrated Planning

The purpose of the Policy Framework for Integrated Planning is to strengthen integrated planning towards the achievement of the country's development results. It is aimed at providing an overall framework for planning across the state machinery and improving synergies and alignment of existing planning legislation, policies and instruments and processes. The Policy Framework for Integrated Planning is not aimed at changing existing legislation or constitutional powers and functions. Rather, it builds on and updates earlier work on the institutionalisation of planning and takes into consideration existing and proposed new legislation, policies, frameworks, guidelines, processes, powers and functions, and structures in relation to integrated planning across all of government.



The Policy Framework for Integrated Planning is informed by a wide range of policies and legislation. These include the following:

- 1) National Planning Framework (2001), which was adopted by cabinet and was seen as a tool to guide integrated planning across departments and the three spheres of government.
- 2) The Green Paper on National Strategic Planning (2009), which was a discussion document that outlined government's position on national strategic planning, and was a precursor to the National Planning Commission (NPC) and the NDP;
- 3) A document entitled, Towards Institutionalising Planning, Monitoring and Evaluation (2017), which set out the planning landscape and the proposed architecture for a functional planning system across government.
- 4) Concept Note on the Institutionalisation of Planning (2018), which established that "A key institutional challenge to the achievement of effective planning in government is the lack of collaboration which may be caused by the constitutional powers to effect planning, a power that is dispersed across the three spheres of the South African government". This led to the development of the Draft Integrated Planning Framework Bill (2018).
- 5) The draft Integrated Planning Framework Bill was released in 2018. The legislation is applicable to government planning processes and seeks to improve coordination, collaboration and alignment of development planning in the national, provincial and local spheres of government, including state owned entities.

- 6) Gender Responsive Planning, Budgeting, Monitoring, Evaluation and Auditing Framework (2019) (GRPBMEAF), which entailed mainstreaming gender in government planning and processes through gender-responsive planning, budgeting, monitoring, evaluation, and auditing systems.

The Policy Framework for Integrated Planning will guide integrated planning in the country and will further provide the basis for the revision of the Integrated Planning Framework Bill. The main intention for the Policy Framework is to strengthen and improve the performance of the country's planning system to contribute to the achievement of better development results at a national, provincial, and local level.

1.2 Applicability and Use of the Policy Framework for Integrated Planning

The Policy Framework for Integrated Planning will be applicable to all institutions in the national and provincial spheres of government listed respectively in Schedule 1, Schedule 2 and Schedule 3 of the Public Service Act (PSA) Act 103 of 1994, as amended by Act 30 of 2007; the constitutional institutions listed in Schedule 1, State Owned Enterprises/ Companies (SOEs) listed in Schedule 2 and public entities listed in Parts A, B, C and D of Schedule 3 of the Public Finance Management Act (PFMA) Act 1 of 1999; the local government municipalities listed respectively in the Constitution and the Local Government: Municipal Structures Act, Act 117 of 1998 as Category A: Metropolitan Municipalities, Category B: Local Municipalities and Category C: District Municipalities, and the established municipal entities as per the processes outlined in the Municipal Finance Management Act (MFMA) Act 56 of 2003.

1.3 Structure of the Policy Framework for Integrated Planning

The Policy Framework comprises of the following seven sections:

- Section 1 outlines the purpose of the Framework, its applicability and the use of the Framework to promote integrated planning.
- Section 2 provides a detailed overview of the background to integrated planning in South Africa. This section reflects on the progress made by government on integrated planning over the years; challenges experienced in relation to integrated planning; the rationale behind the introduction of the policy framework; the policy and legal context; and international benchmarks.
- Section 3 outlines the approach followed in developing the Framework.
- Section 4 elaborates on the problem statement which the framework seeks to address.
- Section 5 explains the policy, vision and objectives of the framework as well as the underlying theory of change.
- Section 6 proposes the policy recommendations and envisaged integrated planning model to institutionalise an integrated planning system in South Africa and sets out the associated roles and responsibilities of different stakeholders.
- Section 7 covers governance, monitoring, evaluation, and review, providing guidance on management of the framework with regard to its implementation, reporting, risks, and accountability.

2. BACKGROUND

2.1 Policy Issue Identification

South Africa's planning system has evolved significantly since the dawn of democracy, with many reforms in the three spheres of government. These reforms have contributed to the achievement of the development results of the country. Despite these gains, challenges still exist with both the planning system and the achievement of the impact needed to realise further development results.

The South African government introduced Integrated Development Plans (IDPs) in the local government sphere in the 1990s. These early planning processes emphasised consensus-seeking and collaboration amongst the three spheres of government and incorporated environmental, social, economic and spatial dimensions. This integrated planning can

be defined as a sustainable approach to planning that builds coherence and synergies through collaboration; aligns the governments' outcomes and priorities; and emphasises preparedness for change in delivery of services. It builds a culture of planning that sets out what needs to be done across the planning eco-system to achieve future results at all levels. It includes engagements with stakeholders at interdepartmental and sectoral level, across the spheres and with social partners, so that everyone with a stake in the intended outcomes is invested in the achievement of government priorities. It means that government efforts are aligned both horizontally and vertically and across the spheres, incorporating both a top-down and bottom-up approach.

Integrated planning links planning to resource allocation and to monitoring and evaluation. Government priorities and initiatives have the resources needed to achieve intended results and progress can

be measured. Government institutions can align and support each other in planning and implementing the priorities that cut across different sectors and spheres of government, thereby optimising impact. Government institutions and spheres with integrated planning processes can respond with agility to a volatile environment and are prepared to drive the change by working together.

Integrated planning also supports strategic decision-making by providing a comprehensive view of resources and commitments that contribute to ensuring the alignment of financial and other resources with government priorities. It ensures that all functions and key stakeholders are coordinated and can work efficiently. This requires good forward planning, clear roles and responsibilities, and a coordinated effort to deliver on the government priorities.

Among the advantages of effective integrated planning are that it is collaborative; planning processes are coordinated, coherent and not inconsistent; it is strategic and not reactive; and it provides the basis for greater levels of policy coherence and transformation and development impact.

Integrated planning in the South African government includes institutions in the national, provincial and local spheres of government and the state-owned enterprises. Since 1994, the three spheres of government have matured and developed planning policies and instruments that are in line with priorities emanating from the Constitution, the NDP, the MTSF, sector priorities and priorities identified through the IDPs. The scene has been set for a completely integrated planning system that unifies the three spheres while maintaining their distinct nature and scope.

While the planning system has achieved certain levels of integration and alignment,

fragmentation and uncoordinated planning persists. This is partly due to varied constitutional and legislative authority which provides for the autonomy of different spheres of government and a complex mix of planning-related powers and functions. The custodianship of the planning system spreads across the centre of government with a lack of clear policy and legislation which clarifies roles and responsibilities. This has contributed to uncoordinated planning efforts in some instances. The legislation that regulates planning in national and provincial spheres of government to a large extent excludes the local government sphere and vice versa. The planning of the national and provincial spheres must adequately consider local needs, the District Development Model (DDM), and the role of local government as pivotal in the implementation of government priorities within a particular municipal space. As a result, there is a need for improvement of the integration and alignment of planning processes to enhance the effectiveness of planning and implementation across the three spheres of government.

Strengthened integrated planning will assist government in ensuring that the planning legislation, policies and frameworks are coherent and coordinated in order to deliver on government priorities. Integrated planning across the system will strengthen collaboration amongst state institutions as well as non-governmental institutions in order to deliver sustainable service delivery to the citizens and effect the desired socio-economic transformation. It will enable government to eliminate duplication of efforts in providing services to South African citizens and in transforming the country towards the achievement of the non-racial, non-sexist and democratic society envisaged in our Constitution and the NDP.

2.2 Waves of Planning Reforms Since Democracy

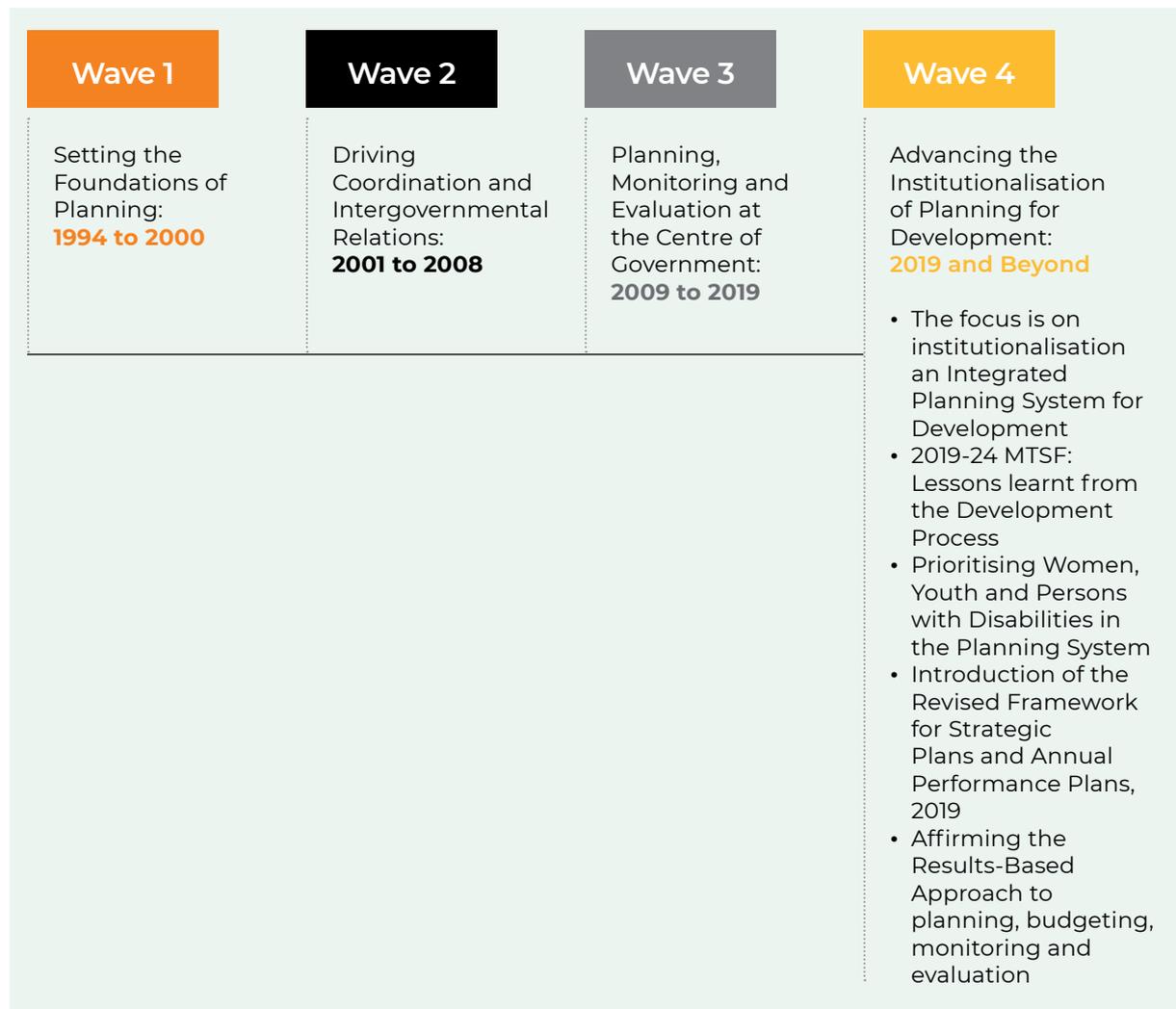
The mandate of the national planning function derives from the Constitution of the Republic of South Africa (1996), with Section 85(1) stating that “the executive authority of the Republic is vested in the President” and that the President exercises this authority together with Cabinet. This executive mandate includes developing and implementing national policy and coordinating the functions of state departments and administrations. The planning mandate is therefore founded on the strategic and coordinating authority of the Presidency.

The positioning of national planning at the centre of government is consistent with the experience of many other countries.

Since 1994, four waves of planning reform can be identified in South Africa. These are:

- Wave 1 - Setting the Foundations of Planning: 1994 to 2000;
- Wave 2 - Driving Coordination and Intergovernmental Relations: 2001 to 2008;
- Wave 3 – Planning, Monitoring and Evaluation at the Centre of Government: 2009 to 2019; and
- Wave 4 – Advancing the Institutionalisation of Planning for Development 2019 and Beyond.

These four waves reflect major strides towards the institutionalisation of planning in South Africa and provide insight on the way forward during the sixth democratic administration of government and beyond.



2.2.1 Wave 1

Setting the Foundations of Planning: 1994 to 2000

During this first wave, the Constitution of the Republic of South Africa allocated powers and responsibilities in relation to public administration as a key component of the State to ensure that government systems are geared towards the realisation of the Bill of Rights. The Public Service Act (PSA) (1994) and related regulations, the Public Finance Management Act (PFMA) (1999) and related regulations, and the Municipal Systems Act (MSA) (2000) were introduced to direct organisational and financial planning, and associated processes at a national, provincial and local government level.

During this wave, one of the first inceptions of integrated planning was seen through the Reconstruction and Development Programme (RDP). The RDP was an integrated, coherent socio-economic policy framework. The aim was to mobilise the country's resources towards the final eradication of apartheid and the building of a democratic, non-racial and non-sexist

future. The RDP raised many challenges in its implementation because it involved processes and forms of participation by organisations outside government that were very different from the old apartheid order. The implementation and coordination of the RDP required the establishment of effective RDP structures in government at a national, provincial and local level.

The implementation of the RDP faced many challenges and government subsequently introduced a macroeconomic policy framework called the Growth, Employment and Redistribution (GEAR) strategy in 1996 to stimulate faster economic growth which was required to provide resources to meet social investment needs. The policy encompassed many of the social objectives of the RDP but was also aimed at reducing fiscal deficits, lowering inflation, maintaining exchange rate stability, decreasing barriers to trade and liberalizing capital flows.

2.2.2 Wave 2

Driving Coordination and Intergovernmental Relations: 2001 to 2008

During the second wave, in 2001, the Presidency was restructured and new innovations were introduced to drive coordination and intergovernmental relations. As a result, the Policy Coordination and Advisory Services (PCAS) unit, the Cluster system in Cabinet, and the Forum of South African Directors-General (FOSAD) were introduced. In addition, in 2001, the National Planning Framework (NPF) was put in place with the first Medium Term Strategic Framework (MTSF) introduced for the

2004-2009 electoral period. The National Spatial Development Perspective (NSDP) was also introduced in 2003 to identify national spatial investment priorities. In line with the objective of enhanced intergovernmental relations and coordination, during this period, the Municipal Finance Management Act (MFMA) (2003), the Intergovernmental Relations Framework Act (IGRFA) (2005) and Guidelines for Provincial Growth and Development Strategies (2005) were introduced.

2.2.3 Wave 3

Planning, Monitoring and Evaluation at the Centre of Government: 2009 to 2019

In 2009, two Ministries – one for National Planning and one for Performance Monitoring and Evaluation – were introduced into the Presidency. The National Planning Commission (NPC) was established in May 2010, to develop the long-term vision and strategic plan for South Africa, which became known as the National Development Plan 2030 (NDP). The NDP was adopted and launched in 2012, with the aims to eliminate poverty and reduce inequality by 2030. According to the plan, South Africa can realise these goals by drawing on the energies of its people, growing an inclusive economy, building capabilities, enhancing the capacity of the state, and promoting leadership and partnerships throughout society.

During the fifth administration, the two Ministries were consolidated and the newly consolidated DPME was established in 2014. Additional planning, monitoring and evaluation policies and instruments, including a National Evaluation System and Operation Phakisa were introduced to improve planning, coordination and implementation.

The second MTSF was developed as a five-year plan for the fifth administration towards the achievement of the priorities of the NDP. The intention was to develop five-year plans towards the achievement of the 2030 vision, aligned to the electoral cycles. The MTSF was designed to identify critical actions that would put the country on a positive trajectory towards the achievement of the 2030 vision. It sets out indicators and targets to be achieved within the planning period. The aim was to, as far as possible, reflect institution-specific NDP targets to enable direct links between the NDP, MTSF and institutional strategic plans and annual performance plans.

The 2014-2019 MTSF was developed as a five-year implementation plan towards the achievement of the NDP 2030 vision, aligned to the electoral cycle. It outlined 14 outcomes to be achieved, along with indicators and targets to be achieved. The aim was to reflect institution-specific NDP targets to enable direct links between the NDP, MTSF and departmental strategic plans and annual performance plans. According to the 2014-2016 MTSF mid-term review report, performance on NDP 2030 actions which require cooperation across multiple departments, spheres of government or non-governmental stakeholders showed slow and poor progress regarding implementation. A contributing factor is that there were too many government priorities given equal weighting and status, leading to resources being thinly spread. It was also noted that there are inadequate information systems in government to track progress towards the NDP 2030.

The Spatial Planning and Land Use Management Act (SPLUMA) (2013) was adopted shortly after the introduction of the NDP. Although SPLUMA does not deal with the fragmentation of the spatial planning function directly, it introduces a new approach to spatial planning that can be refined and linked with overall long-term planning.

Institutional medium- and short-term planning were guided by the Framework for Strategic and Annual Performance Plans issued by the National Treasury (NT) in 2010. The Framework set out a standardised approach to strategic and annual performance planning, and promoted accountability for performance and service delivery, and alignment between the planning, budgeting and

reporting. This Framework has been implemented by the national and provincial departments, and Schedule 3A and 3C public entities since 2010. Significant improvements in institutional short- and medium-term planning have been noted since the implementation of the Framework for Strategic and Annual Performance Plans (FSAPP). The coordination of the FSAPP was transferred to DPME in 2014.

The Gender-Responsive Planning, Budgeting, Monitoring, Evaluation and

Auditing Framework (2019) (GRPBMEAF) was developed to ensure that women's empowerment is placed at the centre of public policy, and requires gender mainstreaming across the government-wide planning, budgeting, monitoring and evaluation system. The Framework aims to ensure adequate resource allocation to improve country performance on gender equality and women's emancipation, and to promote inclusive growth and development to achieve the country's development results.

2.2.4 Wave 4

Advancing the Institutionalisation of Planning for Development: (2019 and beyond)

The focus is now on institutionalizing an Integrated Planning System. This entails focused priorities and several planning reforms, including the Medium Term Strategic Framework with focus on the seven priorities, Annual Strategic Plan and the introduction of the District Development Model and the development of district and metro One Plans, which were introduced within the sixth administration from 2019 onwards.

Lessons learned from the development process of the MTSF have informed the development of the 2019-24 MTSF. In addition, the planning system will prioritise spatial transformation and the needs and experiences of women, youth and persons with disabilities. It will be developed through a collaborative process, affirming the results-based approach to planning, budgeting, monitoring and evaluation. These are outlined below.

a) Medium Term Strategic Framework 2019-2024

Developed in 2019, the 2019-2024 MTSF was based on a participatory approach,

wherein all stakeholders (government, private sector, labour and civil society) were engaged. The broadening of the engagements and consultation in the development of the MTSF represented an advance to a more integrated planning system based on lessons learned from the development process. This approach intends to promote partnerships and common understanding, clarify roles and responsibilities of all stakeholders involved in the implementation of national programmes, reduce conflicts or duplication, promote cooperation amongst different sectors or institutions, and improve service delivery. Also key in the 2019-2024 MTSF was prioritisation, including the reduction in the number of targets compared to the 2014-2019 MTSF.

b) Prioritising Spatial Transformation in the Planning System

Spatial planning is instrumental to achieving the development outcomes for South Africa and redressing the spatial and other development imbalances arising from apartheid. There have been multiple efforts across government to

address the lack of progress with respect to spatial transformation, however concerns remain around the lack of explicit spatial structuring strategies and the implementation of these to realise spatial change.

A number of legislative and policy directives guide spatial planning in South Africa. These include the long-term strategic National Spatial Development Framework, and the Spatial Planning and Land Use Management Act, 2013 (SPLUMA).

Adopting best practice approaches for effective spatial transformation through planning, implementation and monitoring outcomes are understood in relation to a clearly defined end state (impacts) and the preconditions (inputs, activities and outputs) required for their achievement.

c) Prioritising Women, Youth and Persons with Disabilities in the Planning System

Prioritisation of women, youth and persons with disabilities in the planning system is crucial to respond to inequality and rectify the imbalances of the past. The South African government has made remarkable progress in developing enabling legislation, transforming the state machinery and putting structures in place to be representative and responsive to the development needs of people with disabilities and other designated groups. Government also emphasises the prioritisation of women, youth and persons with disabilities in the Medium-Term Strategic Framework and in institutional plans. However, this approach is not sufficient without the involvement of the private sector and other non-government role players. A proper planning system that is comprised of different role players from government and the non-government sector is required to respond to national crises such as gender-based violence and femicide and discrimination against women, youth and persons with disabilities

in certain socio-economic activities. An ideal planning system should enable a multi-sectoral approach to harness the roles, responsibilities, resources and commitment across government spheres and non-government sectors in prioritising the needs of the designated groups.

d) Introduction of the Revised Framework for Strategic Plans and Annual Performance Plans using a results-based approach

In 2019, a Revised Framework for Strategic Plans and Annual Performance Plans was introduced into the planning system to improve national and provincial government planning systems and processes toward institutionalising development planning in government. The Revised Framework articulates the planning principles that inform the logic and content of Strategic Plans, Annual Performance Plans, Annual Operational Plans and Implementation Programme Plans, and the linkages between other medium- and short-term plans in government. It was developed to reaffirm the planning logic and institutionalise planning to enable better service delivery.

Furthermore, it has a particular focus on planning for women, youth and persons with disabilities to improve the needs of the designated groups as well as a focus on spatial targeting towards spatial transformation imperatives. The implementation of the Revised Framework will contribute toward an integrated planning system as it includes mechanisms to reflect an institution's planned delivery in local government spaces aligned to the One Plan (District Development Model). In addition, the Revised Framework includes conditional grants and consolidated indicators as an effort to promote integrated planning.

An important addition is that the Revised Framework for SPs and APPs is a mechanism for the institutionalisation

of a results-based approach to planning. Results-based planning aims to deliberately encourage departments and entities at all levels of government to plan with citizens' needs in mind, i.e. responding to people's needs, focusing on changing people's lives, bringing about social and economic development. The results-based (RB) approach is institutionalised in government to enable the use of data and evidence to inform decision-making about the design, resourcing and delivery of programmes, and about accountability and reporting. At the planning stage it ensures that there is a necessary and sufficient sum of the interventions to achieve expected results. The institutionalisation of the results-based approach in government is crucial to clarify citizens' needs, link budget allocation to the outputs, improve reporting, and promote continuous improvement.

The results-based approach lays the foundation for an integrated approach to programme management, including planning, monitoring and evaluation. Stakeholders contributing directly or indirectly to achieving set results direct their efforts, processes, and services towards the achievement of the desired results, i.e. to achieve the NDP goals, thereby directing the national focus towards fostering change rather than focusing on normal activities. As such, all stakeholders across government and non-government focus on long-term results and should be able demonstrate their contribution to achieving such results. Integrating Results Based Management (RBM) into strategic planning is essential to being able to achieve and demonstrate results later in the life of a programme.

e) Budget Prioritisation Framework

In order to improve alignment between the policy, planning priorities and budget allocations for priorities of government, the Mandate Paper was introduced in 2017/18. The Mandate Paper was reconceptualised

as the Budget Prioritisation Framework (BPF) in 2019. The purpose of the BPF is to guide the allocation of budgets in support of government priorities. The BPF is an annual document that provides a strategic framework for decision-making on budget priorities that will enable the achievement of the goals of the MTSF and the NDP. The BPF is an input into the annual budget process that is coordinated by National Treasury. It also informs departments about government priorities to be considered during the preparation of their budget submissions. All these inputs are considered by the Medium-Term Expenditure Committee (MTEC) when making recommendations to the Ministers' Committee on the Budget, which subsequently makes recommendations for Cabinet approval.

f) National Annual Strategic Plan

The National Annual Strategic Plan (NASP) was introduced in 2021 as an annual plan to improve the alignment between the MTSF and annual plans. The NASP also seeks to improve the alignment between annual plans and budgets of departments. As an annual plan, the NASP outlines a set of interventions, indicators and targets that are prioritised for a particular financial year. These interventions are identified based on the contribution that they can make towards the development outcomes of South Africa.

g) District Development Model and One Plans

The District Development model (DDM) aims to improve the coherence and impact of government service delivery within the country's 44 Districts and eight Metros and includes the development of One Plans for these local development spaces. The DDM model aims to involve all three spheres of government, state entities and other stakeholders working together in the same municipal space, in a coherent and focused way.

2.3 Rationale for a Policy Framework for Integrated Planning

The Constitution makes provision for national, provincial and local spheres of government, all with their own legislative and executive powers and functions. These spheres of government are clearly defined as distinctive, interdependent and interrelated. The planning system needs a common foundation for the three spheres of government to plan cooperatively with one another in mutual trust and good faith. The NDP is the lodestar that drives all of government and society to tackle the triple challenges of poverty, unemployment and inequality.

Integrated planning involves the formulation of plans by and between government spheres, non-government, and the private sector for the realisation of the priorities of the NDP. For the country to make significant progress in the achievement of the priorities of the NDP, there should be cooperation and collaboration of efforts by all stakeholders across different sectors. The integrated planning system is a crucial mechanism to foster a common understanding towards the realisation of government priorities and ultimately the vision for South Africa. It should enable government to coordinate and align the priorities across the different spheres of government, and the private and non-government sectors. Consequently, planning processes should be broader than government to become inclusive of all the stakeholders and so ensure buy-in and ownership of the developed plan.

The integrated planning system should also focus on the effective interpretation and implementation of government plans in all spheres and across all sectors. It should enable timeous identification of problems and opportunities, and the

development of collective interventions. Integrated planning should go hand in hand with budgeting to ensure availability of funds for the implementation of prioritised programmes.

The powers and functions across spheres of government (inter- and intra-sphere) are clear and uncontested. However, there is still a need to improve implementation through better collaboration, alignment and co-ordination of planning, budgeting, and implementation for achieving the results of the NDP. Intergovernmental planning needs to be reformed so that all of government complements each other in achieving the outcomes. The four areas of reform in institutionalisation of planning include the MTSF as an implementation framework for the NDP, the National Spatial Development Framework (NSDF) to deal with spatial injustices and inform investments and economic planning, the Budget Prioritisation Framework (BPF) to align planning with budgeting annually, and the strategic planning system to ensure that all medium term (strategic plans) and annual plans (Annual Performance Plans (APPs) are aligned to the MTSF towards implementing the NDP. Furthermore, political will is an essential requirement for integrated planning.

The current planning system is inadequately integrated in its function to undertake effective planning, coordinate implementation, and focus monitoring and evaluation of government policies in a manner that contributes to the achievement of the NDP goals and leads to meaningful, integrated developmental gains. There are limitations within the current planning system, especially with regard to integrated planning across the three spheres of government, SOEs and other institutions of government. This diffuse nature of planning has resulted in a plethora of government plans and reports, some misaligned planning processes, and a complex legislative landscape with uncoordinated implementation structures

and institutional arrangements. Planning outcomes have been sub-optimal, and the impact of the resources allocated to implementing policies and programmes has been felt unevenly across the country.

In summary, the rationale for a policy intervention is to:

- Establish a framework for an improved, coherent, predictable and integrated planning system within and across all spheres of government as well as with social partners.
- Provide the basis for ensuring that planning systems and instruments better contribute to policy coherence, achieving South Africa's development results and improving the lives of the citizenry;
- Promote better coordination, collaboration and alignment of planning within the framework of short, medium and long-term planning and between and across the national, provincial and local spheres of government;

- Inform the preparation, adoption and implementation of policy, legislation and frameworks concerning planning and development;
- Inform the compilation, adoption and implementation of development plans;
- Provide recommendations to guide an integrated planning system which leads to the efficient, economic and sustainable use of resources to drive development;
- Institutionalise short, medium and long-term planning and ensure that long-term national development priorities are implemented across the three spheres of government.

The Policy Framework for Integrated Planning will inform new planning legislation which will enforce the required collaborative interactions across government, and the standardisation of planning processes across government, to ensure that national priorities are embedded and implemented across the institutions in the three spheres of government.

3. APPROACH TO DEVELOPING THE POLICY FRAMEWORK

3.1 Brief Overview of the Process

The development of the Policy Framework for Integrated Planning has been informed by several processes. Firstly, a synthesis of the current legislation, policies and frameworks that guide planning in the country was conducted. The reason for the synthesis was to understand prescripts that are in place and currently implemented across the three spheres of government. The current legislation, policies and frameworks also assisted in identifying the gaps that exists amongst these prescripts.

Secondly, a literature review on integrated planning in government was conducted

to inform the development of the policy framework. This also considered the frameworks and policies that are in place and their application by the three spheres of government. The literature review unpacked requirements and processes outlined in the planning framework and policies. The identification of the problem in government planning was based on the literature review and this informed the development of the Theory of Change (ToC) for the policy framework.

Thirdly, a study of international practices on integrated planning was conducted, in order to understand how other countries plan in an integrated way. Malaysia, China, Rwanda, Australia, Canada and Uganda,

amongst others, were considered for this study. The summarised findings on integrated planning from each of the countries are included in the discussion below, while more detail is provided in Appendix 1.

Through the literature and synthesis of the legislative, policy and frameworks, the DPME went through a process of developing the problem statement by using problem and solution trees. Furthermore, the Theory of Change was used to develop the possible impact, outcomes and outputs that the Policy Framework will address to ensure that integrated planning in government is a success.

The DPME took a participatory approach in developing the Policy Framework by consulting relevant stakeholders involved in planning processes across the three spheres of government. The DPME held consultations through the National Steering Committee for Integrated Planning with the departments at the centre of government (such as the Department of Public Service, National Treasury and Department of Cooperative Governance and Traditional Affairs, Department of Public Service Administration) and the Offices of the Premiers. Bi-lateral engagements were held with the centre of government departments and Department of Basic Education (DBE), Department of Social Development (DSD), and Department of Public Enterprises (DPE). The National Technical Planning Forum provided an opportunity for consultation with national departments, government components, and constitutional institutions. The Community of Practice for Public Entities allowed for consultation with schedule 3A public entities. Other government institutions were given an opportunity to provide inputs in writing. Non-government stakeholders, including academia, the

business sector, labour, the community sector and women's organisations, were consulted through a webinar and their inputs were incorporated into the Policy Framework.

3.2 Methodology used in the production of the Policy Framework

This Policy Framework was produced in accordance with the National Policy Development Framework (NPDF) and the Social Economic Impact Assessment System (SEIAS). Introduced in 2015, the SEIAS aimed to improve predictability and standardisation in policymaking. The SEIAS highlights the importance of broad stakeholder engagement to ensure that policy proposals addressed the interests of all affected stakeholders. It ensures that policy responses are necessary, appropriate, fair, equitable and practicable. The NPDF was approved by Cabinet in 2020 to promote harmonious cooperation between policymakers and stakeholders by enabling stakeholder participation at the initiation stage of policymaking and to ensure implementation of the SEIAS. The NPDF aims to entrench good public-policy making practices, laying out principles for policy development and implementation, including the need for evidence-based policy, clarifying approaches to consultation, and introducing mechanisms for policy monitoring and evaluation.

The following processes were undertaken in the production of the Policy Framework for Integrated Planning:

1. **The National Policy Development Framework:** The format and principles outlined in this framework have been adhered to, particularly broad stakeholder engagement and consultation, and the need to develop evidence-based policy.

2. **Socio Economic Impact Assessment:** The Policy Framework was submitted to SEIAS for assessment and the certifications were issued.
3. **Literature Review:** A detailed literature review has been conducted in order to understand the evolution of planning in South Africa as well as current status of planning in government. In addition to considering integrated planning in government, the literature review also looked at the frameworks and policies that are in place and their application by the three spheres of government. Through the literature review, the requirements and processes outlined in the planning framework and policies were unpacked.
4. **International Benchmarking:** A detailed international benchmarking exercise was conducted across several countries to examine how they deal with integrating planning across government. Findings from the consideration of Malaysia, Rwanda, Canada, Kenya, Uganda and China are included as an Appendix 1 to this Policy Framework.
5. **Problem and solutions tree analysis:** A detailed problem and solution tree analysis was conducted to identify the problem statement and provide possible recommendations to the solutions. A Problem Tree identifies the focal problem, related consequences and root causes. The identified consequences can be divided into cause and effect categories. The Solution Tree tool is used to generate solutions to problems identified in the Problem Tree analysis.
6. **Theory of Change (ToC):** The ToC outlines the result chain that will be followed in implementing the Policy Framework. Theory of Change is one of the tools that can be used to

determine a pathway for achieving desired results. Elements of the theory include the pathway of change; results and preconditions (impact, outcomes, outputs, activities and inputs); indicators; and assumptions.

7. **Logic Model:** The Logical Model has been applied in the Implementation Plan of the Policy Framework.

3.3. Consideration of International, Continental and Regional Development Commitments

The South African government has committed to the implementation of international, continental and regional development commitments, which contribute to the development agenda of the world, e.g. the UN Sustainable Development Goals (SDGs), AU Agenda 2063 and Southern African Development Community (SADC) development priorities. The integration of global and regional plans and priorities is reflected in the outcomes of the NDP. These priorities must be clearly integrated into institutional, sector and cluster planning. International and regional priorities must be integrated in the planning system to ensure that the appropriate outcomes and outputs will produce performance data that can be used for reporting to local and international bodies. The expected outcomes and outputs from these agreements should be incorporated into the long- and medium-term frameworks.

These frameworks cascade from the national to provincial and local government institutional plans through outputs, output indicators and targets. Presently, the commitments of international, continental, and regional development are incorporated in the long- and medium-term plans of government such as the NDP and the MTSF. International and regional priorities must

also be integrated into the budgeting system. The implementation of institutional plans by national, provincial and local government institutions, which are in alignment with the MTSF, will also assist government in contributing to the achievement of the international, continental and regional development commitments.

3.4 Legal Basis for the Policy Framework for Integrated Planning

The legal basis for the Policy Framework, through applicable planning legislation and related policies, is outlined below.

3.4.1. Applicable Planning Legislation and related instruments

The legislation listed below sets the basis for government planning and has been considered in the development of the Policy Framework for Integrated Planning:

Table 1: Planning Legislation and Related Instruments

Legislation	Function	Horizon	Responsibility	Application
The Constitution of the Republic of South Africa, 1996	Supreme law of the country	No timelines	Constitutional Court	National, Provincial and Local Government
Public Audit Act 25 of 2004	Audit of public sector institutions	No timelines	Auditor-General of South Africa	
Statistics Act 6 of 1999	Official and other statistics	No timelines	Statistics South Africa	
Spatial Planning and Land Use Management Act 16 of 2013	Spatial planning and land use management across three spheres government	Long term	Agriculture, Land Reform and Rural Development (DALRRD)	
Division of Revenue Act 9 of 2021	Fiscal planning: equitable division of revenue – Determines allocation	No timelines	National Treasury	National
Companies Act 71 of 2008	Establishment of the SoEs and companies	No timelines	Department of Trade Industry and Competition	SOEs
Public Finance Management as amended Act 29 of 1999	Planning and reporting against predetermined objectives and allocated budget	Medium and short term	National Treasury	National and Provincial SOEs
Treasury Regulations 2005	Regulates planning and quarterly reporting	Medium and short term		

Legislation	Function	Horizon	Responsibility	Application
Public Service Act 103 of 1994 (as amended by the Public Service Amendment Act 30 of 2007)	Basis for planning and reporting	Medium and short term	Department of Public Service and Administration (DPSA)	National and Provincial
Public Service Regulations, 2016	Requirements for planning and reporting against plans	Medium and short term		
Municipal Systems Act 32 of 2000	Local government planning	Medium and short term	Department of Cooperative Governance	Local Government
Municipal Structures Act 117 of 1998	Local government structures and functions	Medium and short term	Department of Cooperative Governance	
Municipal Finance Management Act 56 of 2003	Local government financial management practices	Medium and short term	National Treasury	
Municipal Finance Management Act – Circular 88: Municipal Circular on Rationalisation Planning and Reporting Requirements, 2017 amended in 2020	Guides municipalities on planning and reporting	No timelines	National Treasury and Department of Cooperative Governance	
Intergovernmental Relations Framework Act 13 of 2005	National, provincial and local government co-ordination	No timelines	Department of Cooperative Governance	
Proclamation No. 43 of 8 July 2014 was also gazetted to amend Schedule 1 of the Public Service Act, 1994, to establish new and renaming the National Departments. The Ministry of Performance M&E was created in the Presidency in 2009, and the Department of Performance M&E (DPME) in January 2010.	National	No timelines	Department of Planning Monitoring and Evaluation	National

a) The Constitution of the Republic of South Africa - 1996

The Constitution of the Republic of South Africa is the supreme law of the country and makes provision for other legislation regarding planning and performance monitoring across the three spheres of government. Section 85 (1) and (2) states that the executive authority of the Republic is vested in the President. The President exercises the executive authority, together with the other members of the Cabinet, by:

- a) implementing national legislation except where the Constitution or an Act of Parliament provides otherwise;
- b) developing and implementing national policy;
- c) coordinating the functions of state departments and administrations;
- d) preparing and initiating legislation; and
- e) performing any other executive function provided for in the Constitution or in national legislation.

Sections 92 (3) and (4) state that members of Cabinet are accountable collectively and individually to Parliament for the exercise of their powers and the performance of their functions. Members of Cabinet must act in accordance with the Constitution and must provide Parliament with full and regular reports concerning matters under their control.

Section 114 (2) states that a provincial legislature must have mechanisms in place to ensure that all provincial executive organs are accountable to it and to maintain oversight of the exercise of provincial executive authority, including implementation of legislation, and any provincial organ of the state.

Section 125 (3) states that a province has executive authority only to the extent that it has the administrative capacity to assume effective responsibility. By legislative and other means, national government must assist provinces to

develop the administrative capacity that they need to exercise their powers and to carry out their functions effectively.

Section 153 states that municipalities must structure and manage administrative, budgeting and planning processes to give priority to the basic needs, and social and economic development, of the community; and participate in national and provincial programmes.

b) The Public Audit Act - 2004

The Public Audit Act intends to give effect to the provisions of the Constitution establishing and assigning functions to an Auditor-General in providing for the auditing of institutions in the public sector and to provide for accountability arrangements of the Auditor-General. It also intends to repeal certain obsolete legislation; and to provide for matters connected therewith.

c) The Statistics Act - 1999

The Statistics Act provides the basis for the planning, production, analysis, documentation, storage, dissemination and use of official and other statistics. The purpose of these statistics is to help organs of state, businesses, other organisations and the public with planning, decision-making and monitoring or assessing policies. The use of official statistics strengthens the quality of government and institutional medium- and short-term plans.

d) The Spatial Planning and Land Use Management Act - 2013

The Spatial Planning and Land Use Management Act (SPLUMA) was adopted shortly after the introduction of the NDP and is intended to help ensure that South Africa achieves its goals of spatial justice, spatial sustainability, efficiency, spatial resilience and good administration.

The Act establishes mechanisms for negotiating spatial conflicts, issuing

guidelines and monitoring compliance. Although it does not deal directly with fragmentation of the spatial planning function, it introduces a new approach to spatial planning that can be refined and linked to overall long-term planning. Embedding spatial planning within the overall planning system is critical.

e) The Division of Revenue Act - 2021

The Division of Revenue Act provides for the equitable division of revenue raised nationally among the national, provincial and local spheres of government for a financial year. This Act also provides the determination of each province's equitable share and the allocations to provinces, local government and municipalities from national government's equitable share. It further outlines the responsibilities of all three spheres pursuant to such division and allocations; and to provide for matters connected therewith.

Conditional grants are used to transfer funding to provinces and municipalities for the purpose of achieving particular national policy objectives. This mechanism is especially important as the Constitution provides for equal access to basic public services, including health, education, water, and welfare. In addition to the conditional grants they receive, local government and each province are also

entitled to "an equitable share of revenue raised nationally", according to Section 214 (1) of the Constitution. Equitable shares are unconditional and enable provinces and municipalities to provide the services and the functions allocated to them.

The Conditional Grant Frameworks are published as annexures to the Division of Revenue Act. These frameworks set the rules for how the funds can be used and support the administration and oversight of conditional grants. Conditional grant allocations to provinces and municipalities are enacted in the Division of Revenue Act.

f) The Companies Act - 2008

The Companies Act focuses on the establishment of SOEs and other forms of companies. The Act encourages high standards of corporate governance, which sets minimum accounting standards including annual reporting. The concept of business rescue is also broadened and formalised, in order to provide for a modern business rescue regime.

g) The Public Finance Management Act - 1999

Section 27 (4) of the PFMA provides the basis for the development of measurable objectives which must be included in national and provincial institutions' annual budgets. Sections 40 (3) and 55 (2) provide



the basis for reporting performance against predetermined objectives in institutions' Annual Reports.

The PFMA also provides the basis for reporting against predetermined measurable objectives contained in medium- and short-term plans. Section 38 (d) of the Act states that the Accounting Officer is responsible for managing, safeguarding and maintaining a department's or entity's assets and for managing its liabilities. Sections 38 (a) (iv) and (c) (iii) provide the basis for systems that properly evaluate all major capital projects before a final decision on the project is made and that manage available working capital efficiently and economically.

Section 52 provides the basis for development of the corporate plans for Schedule 2: State Owned Entities, which must cover the operations of the institutions and the submission of plans to the relevant executive authority and to National Treasury before the start of the financial year.

h) Treasury Regulations for Departments, Trading Entities, Constitutional Institutions and Public Entities - 2005

The Treasury Regulations give the requirements for, and regulate the development and submission of, Strategic Plans (SPs), Annual Performance Plans (APPs) and related quarterly performance reporting.

i) The Public Service Act (as amended by the Public Service Amendment Act 30 of 2007)

The Public Service Act (PSA) provides for national and provincial planning and reporting and promotes integrated planning. Chapter II (3) (1) of the PSA states that the Minister of Public Service and Administration is responsible for establishing the norms and standards

relating to transformation, reform, innovation and any other matter to improve the effectiveness and efficiency of the public service and its service delivery to the public.

j) Public Service Regulations - 2016

Chapter 3 of the Public Service Regulations gives the requirements for preparing SPs, Annual Reports (ARs) and Service Delivery Improvement Plans (SDIPs). Regulation 25 describes the requirements for developing SPs and related reporting systems. Regulation 31 provides the basis for the development, tabling and submission of ARs. Regulations 36, 37 and 38 give the requirements for developing SDIPs, which must be informed by SPs.

k) The Municipal Systems Act - 2000

The Local Government: Municipal Systems Act makes it a requirement for each council, within a prescribed period after the start of its elected term, to adopt a single, inclusive Integrated Development Plan (IDP) for the development of the municipality. Section 24 of the Act makes provision for municipalities to undertake planning that aligns with and complements the development plans of other municipalities and organs of state and to participate in national and provincial development in line with the principles of cooperative governance. Section 31 of the Act allows for provincial Members of the Executive Council (MECs) for Local Government to assist municipalities with planning, drafting, adopting and reviewing their IDPs.

l) The Municipal Structures Act - 1998

The Local Government: Municipal Structures Act defines the categorisation and type of municipalities to be established and provides for the division of powers and functions between the different categories of municipality. It also regulates the internal systems and structures of municipalities, and stipulates appropriate electoral systems.

m) The Municipal Finance Management Act (MFMA) - 2003

The MFMA aims to modernise budget, accounting and financial management practices by placing local government finances on a sustainable footing in order to maximise the capacity of municipalities to deliver services to communities. It also aims to put in place a sound financial governance framework by clarifying and separating the roles and responsibilities of the council, mayor and officials. The MFMA also provides the basis for the accountability cycle by ensuring proper linkages between IDPs, budgets, SDBIPs, in-year reports, annual financial statements, annual reports, oversight reports and audit reports. The MFMA is required by the Constitution, which obliges all three spheres of government to be transparent about their financial affairs. It also forms an integral part of the broader reform package for local government, as outlined in the 1998 White Paper on Local Government.

n) The Municipal Finance Management Act – Circular 88: Municipal Circular on Rationalisation of Planning and Reporting Requirements – 2017 amended 2020

This circular provides guidance and assistance to municipalities on the preparation of statutory planning and reporting documents required for the Medium-Term Revenue and Expenditure Framework (MTREF).

The circular aims to support the alignment of planning and reporting instruments for a prescribed set of municipal performance indicators. The MSA and the MFMA require alignment between planning and reporting instruments, such as the Integrated Development Plan (IDP), the Service Delivery and Budget Implementation Plan (SDBIP) and the Annual Report. This circular prescribes municipal performance indicators for municipalities. In providing guidance and conceptual clarity and alignment between the IDP, SDBIP and the performance part of the Annual Report, this MFMA Circular has clear benefit for all municipalities.

o) The Intergovernmental Relations Framework Act - 2005

The Intergovernmental Relations Framework Act, in line with Section 41 of the Constitution, makes provision for Intergovernmental Structures such as the President's Coordinating Council, Premier's Intergovernmental Forum and District Intergovernmental Forums. These structures provide for the discussion of functional areas, including policy and legislation, coordination and alignment of functional areas and other matters of strategic importance.

3.4.2 Applicable Policies and Frameworks

The table below provides a summary of the main policies, frameworks and guidelines relevant to government planning. These must be read in conjunction with the relevant legislation listed above:

Table 2: Policies and Frameworks

Policies/ Frameworks	Function	Horizon	Responsibility	Application
United Nations: Sustainable Development Goals adopted 2015	Global commitment to end poverty, hunger and combat inequalities	Long term	United Nations	National, Provincial and Local Government
Africa United: Agenda 2063 – (2015)	Socio-economic transformation in Africa	Long term	African Union	
National Development Plan 2030 – 2012	Country long-term vision	Long term	DPME – National Planning Commission	
Draft Spatial Development Plans – 2018	Guides spatial planning	Long term	DPME and DALRRD	
South African Statistical Quality Assessment Framework (2010)	Framework and criteria for evaluating and certifying statistics	No timelines	Statistic SA	
Policy for the Government-Wide Monitoring and Evaluations (M&E) Systems (2007)	Provides an integrated, encompassing framework of M&E principles, practices and standards to be used throughout government	No timelines	DPME	
Framework for Managing Programme Performance (2007)	Design and implement management systems	No timelines	National Treasury	
Revised Framework for Strategic Plans and Annual Performance Plans (2019)	Processes for developing Strategic Plans, Annual Performance Plans and Annual Operational Plans	No timeline	DPME	

Policies/ Frameworks	Function	Horizon	Responsibility	Application
Framework for Gender-Responsive Planning, Budgeting, Monitoring, Evaluation and Auditing (2018)	Achieve gender equality through planning, budgeting, monitoring, evaluation and auditing in government	No timelines	DWYPD	National, Provincial and Local Government
National Evaluation Policy Framework (2019)	Basis for an evaluation system	No timeline	DPME	
Medium-Term Strategic Framework (2019-2024)	Five-year plan for government	Medium term	DPME	National Government
Draft Budget Prioritisation Framework (2021)	Guides budget allocations	Short term	DPME	
National Annual Strategic Plan (2021)	Sets priorities and targets for a particular year	Short term	DPME	National and Provincial Government
District Development Model (2019)	Operational model for improving cooperative governance	No timeline	DCoG	National and Provincial Government
Guideline Framework for Corporate Planning and Shareholder's Compact (2003)	Guides development of corporate plans	Medium term	National Treasury and Department of Public Enterprises	SOEs
King IV Code of Corporate of Governance (2016)	Good corporate governance	No timelines		
Provincial Growth and Development Strategies 2019-2024	Provincial five-year plan	Medium term	Office of the Premier	Provincial Government
Integrated Development Plans Guideline (2017)	Five-year Plan for the municipality	Medium term	Local government	Local Government

a) United Nations Sustainable Development Goals - 2015

The aim of the Sustainable Development Goals (SDGs) adopted by the United Nations (UN) in 2015, is to end poverty and hunger globally; combat inequalities within and among countries; build peaceful, just and inclusive societies; protect human rights; promote gender equality and the empowerment of women and girls; and ensure the lasting protection of the planet and its natural resources. Countries committed to the SDGs aim to create the conditions for sustainable, inclusive and sustained economic growth, shared prosperity and decent work for all, considering different levels of national development and capacities. The SDGs are integrated and indivisible and balance the three dimensions of sustainable development: the economic, the social and the environmental. There are 17 SDGs, demonstrating the scale and ambition of this global agenda.

b) Agenda 2063 - 2015

Agenda 2063, published by the African Union Commission in 2015, is a strategic framework for the socio-economic transformation of Africa over the next 50 years. It builds on, and aims to accelerate, implementation of past and existing continental initiatives for growth and sustainable development.

Agenda 2063 has the following aspirations: an integrated continent, politically united and based on the ideals of Pan-Africanism and the vision of Africa's Renaissance; an Africa of good governance, democracy, respect for human rights, justice and the rule of law; a peaceful and secure Africa; an Africa with a strong cultural identity, common heritage, shared values and ethics; an Africa whose development is people-driven, relying on the potential of African people, especially its women and youth, and caring for children; and

an Africa that is a strong, united and influential global player and partner. These aspirations have priority areas aligned to the SDGs.

c) National Development Plan 2030 - 2012

The NDP is a long-term vision for the country which provides a broad strategic framework to guide key government choices and actions, and focuses on the critical capabilities needed to transform the economy and society. The NDP aims to achieve the following objectives by 2030: Unite South Africans of all races and classes around a common programme to eliminate poverty and reduce inequality; encourage citizens to be active in their own development, in strengthening democracy and in holding their government accountable; raise economic growth, promote exports and make the economy more labour absorbing; and focus on key capabilities of both people and the country. Capabilities include skills, infrastructure, social security, strong institutions and partnerships both within the country and with key international partners. The NDP also emphasises building a capable and developmental state; as well as strong leadership throughout society that work together to solve the country's problems.

The plan highlights that accelerated development in South Africa requires the active support of all citizens; leadership in all sectors that puts the country's collective interests ahead of narrow, short-term goals; and radically improved government performance.

d) Spatial Development Frameworks - 2018

The purpose of Spatial Development Frameworks (SDFs) is to radically change the rationale for and rules by which planning, budgeting and infrastructure investment and development spending

in the country take place. It also targets and directs all infrastructure investment and development spending decisions by all national sector departments and state-owned entities. The National Spatial Development Framework (NSDF) seeks to frame and coordinate provincial, regional and municipal spatial development frameworks. Most importantly the NSDF will support national development priorities (as articulated in the NDP); provide strategic, integrated and coordinated spatial guidance to planning; pave the way and prepare the ground for national spatial planning as an ongoing activity by bringing change in national spatial governance and the structures required for this function in government; galvanise state action (investment and spending) on a set of national spatial development priorities; and introduce sub-national spatial development planning in the form of 'functional development regions.'

In all spheres of government, the purpose of SDFs is to direct public and private development and to provide guidelines for general land use and infrastructure investment. All government institutions preparing medium- and short-term plans must indicate the spatial impact that the plans will have. This facilitates and promotes intergovernmental cooperation in relation to spatial development planning and transformation. Spatial referencing is applicable to all three spheres of government, sector departments and state entities working together to achieve development outcomes in the district and metropolitan spaces over a multiyear period and over multiple electoral cycles.

e) South African Statistical Quality Assessment Framework- 2010

The South African Statistical Quality Assessment Framework (SASQAF) provides the framework and criteria for evaluating and certifying statistics produced by government and non-government institutions. The framework enables

assessment of the quality of statistics and the distinction between official and unofficial statistics. Official statistics are certified by the Statistician General in line with Section 14 (7) (a) of the Statistics Act and are used by government institutions to inform their planning processes and the development of plans.

f) Policy Framework for the Government-wide Monitoring and Evaluation System - 2007

This Framework states that programme performance information is one of the data terrains underpinning the Government-wide Monitoring and Evaluation System (GWMES), and in particular information collected by government institutions while carrying out their mandated work and implementing the government's policies.

g) Framework for Managing Programme Performance Information - 2007

The Framework for Managing Programme Performance Information (FMPPI) describes how to design and implement management systems for defining, collecting, reporting on and using performance information in the public sector. It emphasises that performance information enables public and oversight bodies, by comparing performance against budgets and service delivery plans, to determine whether public institutions are providing value for money and to alert managers to where corrective measures are needed.

h) Revised Framework for Strategic Plans (SPs) and Annual Performance Plans (APPs) 2019

The Revised Framework for SP and APPs outlines the processes that must be followed by national and provincial government institutions in developing their Strategic Plans, Annual Performance Plans and Annual Operational Plans. It institutionalises results-based planning in government to enable the achievement of the development agenda. The Strategic

Plans and Annual Performance Plans of government institutions must reflect government priorities, cross-cutting issues; and their related interventions as reflected in the MTSF, which are the responsibility of the institution. Furthermore, institutional plans must outline the intended institutional impact statement, outcomes and outputs that institutions will deliver on within their mandate.

The institutions must spatially reference their service delivery projects and also indicate the focus in relation to the District Development Model. The Annual Performance Plans are monitored and reported on a quarterly basis using the electronic quarterly performance reporting system of government and the annual report which is subjected to auditing by the Auditor-General of South Africa (AGSA). The Annual Operational Plans (AOP) are institutional plans which outline the activities that will assist the institution in achieving the outputs outlined in the Annual Performance Plans (APP) and other outputs that are not included in the APP. The AOP will be used as a management tool and the monitoring of the AOP will be determined by the institutions.

i) Gender-Responsive Planning, Budgeting, Monitoring, Evaluation and Auditing Framework (GRPBMEAF) 2019

Gender-responsive planning, budgeting, monitoring, evaluation and auditing framework (GRPBMEAF) is aimed at ensuring better outcomes for women and girls and more tangible gender equality impacts in South Africa. Investing in women's empowerment and reducing the gender gap is an important driver of inclusive economic growth and development and will benefit the citizenry as a whole.

The main goal of the framework is to achieve gender equality and the full

realisation of the rights of women and girls. The framework outlines the importance of gender mainstreaming in planning, budgeting, monitoring, evaluation and auditing processes in government to ensure that the needs of women and girls are considered in government priorities. Government institutions are required to ensure that planning, budgeting, monitoring and evaluation is gender responsive.

j) National Evaluation Policy Framework (2019)

The National Evaluation Policy Framework (NEPF) provides the basis for both a minimum system of evaluation across government and a common language for evaluations in the public service. Its purpose is to ensure good-quality evaluations that give information about what is working and what is not and, in this way, help to improve the effectiveness and impact of government's work. To improve performance, the Framework underlines the need to use credible and objective evaluation-derived evidence in planning, budgeting, organisational improvement and policy review, and in programme and project management.

k) Medium Term Strategic Framework – 2019-2024

The Medium-Term Strategic Framework (MTSF) outlines the country priorities based on the electoral mandate and provides a medium-term roadmap for developing five-year institutional plans to enable the NDP's goals to be achieved. Intergovernmental and interdepartmental planning is crucial to achieving government's priorities and the vision for the country. The MTSF promotes coordination and alignment of priorities across all spheres of government and with non-government stakeholders and assists with integrating all components of national development into mainstream planning processes.

l) Budget Prioritisation Framework (BPF)- 2021

Government plans are implemented at different levels across the three spheres of government (national, provincial and local) and across a large number of public entities and state-owned enterprises (SOEs). The purpose of the BPF is to guide allocation of budgets towards achieving government priorities. It provides the strategic framework for decision-making on budget priorities that will enable achievement of the goals of the NDP using limited resources.

m) District Development Model (DDM) - 2019

The DDM is an operational model for improving cooperative governance aimed at building a capable, ethical and development state. It embodies an approach whereby the three spheres of government and state entities work in union in an impact-oriented way, and where there is higher performance and accountability for coherent service delivery and development outcomes. It is a method of government operating in union focusing on the municipal district and metropolitan spaces as the impact areas of joint planning, budgeting and implementation. The DDM is anchored on the One Plan which is a long-term intergovernmental plan for each of the 52 districts and metropolitan spaces.

The overall objectives of the DDM are listed below:

1. Solve the silo approach at a horizontal and vertical level.
2. Maximise impact and align plans and resources at our disposal through the development of "One District, One Plan and One Budget."
3. Narrow the distance between people and government by strengthening the coordination role and capacities at the district and city levels.

4. Ensure inclusivity by gender responsive planning and budgeting, based on the needs and aspirations of our people and communities at a local level.
5. Build government capacity to support municipalities.
6. Strengthen monitoring and evaluation at district and local levels.
7. Implement a balanced approach towards development between urban and rural areas.
8. Ensure sustainable development whilst accelerating initiatives to promote poverty eradication, employment and equality.
9. Exercise oversight over budgets and projects in an accountable and transparent manner.

(n) Provincial Growth Development Strategy- 2019-2024

The Provincial Growth and Development Strategy (PGDS) is a critical tool to guide and coordinate the allocation of national, provincial and local resources and private sector investment to achieve sustainable development outcomes.

The PGDS is based on a long-term view of a province's development trajectory. Drawing on the NSDP and the MTSF and working within a sustainable development paradigm, the primary purpose of PGDS is to provide a collaborative framework to drive implementation within a province. It is not a provincial government plan, but a development framework for the province as a whole.

The PGDS is a strategic statement and not a vehicle for reflecting the administrative role of provinces. Particular line function departments will continue to be required to provide their strategic approaches but show how these align to the development perspective of the PGDS.

o) National Treasury Guideline Framework for Corporate Planning and Shareholder's Compact - 2003

The Guideline Framework is developed according to Part 9, Chapter 29 of the Treasury Regulations and Section 52 of the PFMA and is applicable to Schedule 2, 3B and 3D public entities. The Guideline provides the details on the contents of the Corporate Plan and sections that must be covered by this plan. The Corporate Plan must cover a period of three years, include outcomes, initiatives and also the budget projections for the period. It further covers the quarterly reporting in terms of non-financial and financial performance.

p) King IV Code of Corporate of Governance - 2016

The King IV Code focuses on principles and practices that are linked to desired outcomes, therefore articulating the benefits of good corporate governance. Most Schedule 2, 3B and 3D state owned enterprises adhere to the codes of good corporate governance as outlined in the King IV Code.

q) Provincial Growth and Development Strategy (PGDS) - 2005

The PGDS provides a long-term view of a province's development trajectory, linked to the NDP and the MTSF and is developed within a sustainable development paradigm. The primary purpose of the PGDS is to provide a collaborative framework to drive implementation of priorities within a province. The cornerstone of an effective PGDS is a deep and thorough understanding of provincial endowments and assets, development potential and constraints, along with the forces shaping these and the anticipated changes over time. The PGDS should be spatially referenced, with trend information being specifically important. The institutional arrangements and resource requirements to meet challenges must be identified, considering that some of the resources and capabilities required

may reside in national and local spheres. This should inform the difficult choices around resource allocation, usage and trade-offs (in the interests of maximising development impact). The Premiers take the responsibility to annually review the targets set and ensure that momentum and collaboration is maintained in achieving the long-, medium- and short-term priorities.

A PGDS should have the following characteristics:

- It should provide direction and scope for province-wide development programmes and projects, within the context of a long-term perspective; taking into consideration the resources, economic, political, social and natural environment constraints and opportunities. It should be a vehicle to address the legacies of the apartheid space economy, promote sustainable development and ensure poverty reduction and employment creation;
- It should be a framework for both public and private sector investment, indicating areas of opportunities and development priorities;
- It should be focussed on addressing key implementation blockages and issues, including institutional reforms; and
- By being spatially referenced, it enables intergovernmental alignment and guides activities of various role players and agencies (including national and provincial sector departments; parastatals; and metropolitan, district and local municipalities) by linking to and deepening the application of the MTSF.

Each province considers these characteristics in the context of its own existing plans and strategies. It is not intended that the PGDS should duplicate work already undertaken. The key principle is for provinces to proactively and contextually advance and deepen the national development results and directions.

r) Integrated Development Plan Guideline - 2017

The IDP Guideline aims to provide guidelines for a credible integrated development planning process as well as a credible plan embedded in current good practice towards enabling outcomes-led integrated planning and budgeting to respond to the NDP. The IDP is the five-year strategy for a term of office of a municipal council. This five-year plan is located in a longer-term vision for the municipality and is a legislative requirement in terms of the Municipal Systems Act 32 of 2000. The vision is briefly expressed in the IDP but should be comprehensively outlined elsewhere, such as in a long-term growth and development strategy or a strategic framework document for a metropolitan municipality. The Municipal Systems Act requires the following:

- Each municipal council must, within a prescribed period after the start of its elected term, adopt a single, inclusive and strategic plan for the development of the municipality which-
 - a) links, integrates and co-ordinates plans and considers proposals for the development of the municipality;
 - b) aligns the resources and capacity of the municipality with the implementation of the plan;
 - c) forms the policy framework and general basis on which annual budgets must be based;
 - d) is compatible with national and provincial development plans and planning requirements binding on the municipality in terms of legislation.

3.4.3. National or Overarching Reviews

There are a number of reviews which have been undertaken over the years to assess progress towards the achievement of South African development results, namely, the Ten (10) Year Review: South Africa; Fifteen (15) Year Review: South

Africa; Fifteen (15) Year Report on the State of Intergovernmental Relations (IGR) in South Africa; 2009 State of Local Government Assessment; Twenty (20) Year Review: South Africa; and the Twenty-five (25) Year Review.

In summary, these reviews and assessments reveal the following challenges:

- a) Strategic plans of different spheres do not align with one another which makes it difficult to cascade national priorities into provincial and local strategic plans (10 Year Review);
- b) National and provincial sector departments have in general not engaged municipalities on the content of the IDPs (10 Year Review);
- c) Questions on the extent to which IDPs influence provincial and national plans (15 Year Review);
- d) National policies initiated without determining the implications for local government (15 Year Review);
- e) Poor integration of national and provincial sector plans in the IDPs (State of Local Government Report 2009);
- f) IGR structures not utilised as a platform for integrated development (15 Year Review);
- g) Although IGR structures have been established, effective coordination remains a challenge (20 Year review);
- h) There is a need to strengthen planning and monitoring capacity across all areas of government, including gender, sustainability and youth mainstreaming, and introduce inclusive individual and collective systems of accountability at project and programme level, including clear outcomes-based targets and annual reporting (25 Year Review).

3.5. International Benchmarking

It is important to learn from international practices on integrated planning, to learn how other countries are implementing integrated planning across the different

types of government institutions. Planning within development states in a study undertaken by DPME¹ was found to be a strategic response to the realities of specific countries, based on the value system, historical legacies and key drivers of change. Instituting an effective planning system was characteristic of all countries that were investigated. Most countries restructured to include the presence of a Central Planning Agency (CPA) to drive the development agenda and introduced 'Planning' as a key policy intervention. Structuring the presence of a CPA is found to be one of the ten top policy interventions pursued by these development states, making the case for coordinated development and integrated

implementation of national plans. Further lessons learned from different countries in relation to integrated planning will inform the development and design of a customised model of integrated planning for the South African government.

The location and functions of CPAs provide a useful starting point to understand integrated planning and the roles of different levels of government. A high-level analysis of key functions performed by CPAs from the research conducted is provided in the table below. These functions are linked to mechanisms implemented by the countries and illustrate how the function interfaced with government and the sector or line-function departments.



¹There were 18 sample country cases included in the study: Botswana, Brazil, Chile, Finland, Ghana, Hong Kong, India, Japan, Malaysia, Phillipines, Rwanda, Singapore, South Africa, South Korea, Taiwan, Thailand, Turkey, USA. Six of the more relevant of these case studies have been elaborate on in the Appendix.

Table 3: Functions of Central Planning Agencies and their interface with Government

Functions	Mechanisms
Establishment of planning cycle	<ul style="list-style-type: none"> 5 yearly development plans across most countries, even in the absence of a central planning agency
Capacity to diagnose developmental challenges and priority setting	<ul style="list-style-type: none"> Poverty reduction and economic growth remained core, using different strategies – from industrial plans to ‘Manpower plans’ E.g. 10 industries targeted for stimulus in China Focus on Science, technology and innovation in recent years
Policy coordination, design and implementation	<ul style="list-style-type: none"> National Development Plans aligned to sectoral plans, implementing line ministries strongly aligned to central agency Direct links and alignment with budgets/resource allocation e.g. the Economic Planning Board of South Korea
Strategic development planning	<ul style="list-style-type: none"> Strong industrial and economic policy focus, influencing national skills training, education and labour policy Strong centralized control enabled state to ensure delivery of its skills plans Housing strategy, Land use and spatial planning integrated in strategic planning and implementation
Monitoring implementation and progress	Reporting lines and linkages made with implementing agencies e.g. National Development Bank, Affiliated Think Tanks
Stakeholder management and accountability	Central Agency developed and maintained partnerships with State and Non-state actors to ensure alignment and implementation of developmental priorities

Source: DPME, 2018

3.5.1. Lessons Learned from international benchmarking

The following lessons learned from different countries have assisted in the development of this policy framework:

- **Malaysia:**

The Malaysian development planning system uses innovative approaches to foster collaboration between key stakeholders in development programmes.

While within-government collaboration had been quite robust in Malaysia for some time, initiatives have expanded collaboration beyond government. In order to formulate the programmes, government successfully collaborated with the private sector and civil society. This collaboration extends beyond mere consultation or one-way communication from the government. The realisation of a “whole of society” approach to addressing

pressing development problems was a useful model of collaboration for achieving the SDGs.

National development planning has been central in guiding economic policy-making for more than 60 years in Malaysia. Development outcomes over the six decades have occurred against the backdrop of the five-yearly development blueprints called the Malaysia Plans, currently in its 11th edition, illustrating its importance as a policy instrument to promote growth and shared prosperity. The poverty rate has declined, standards of living have improved, and social and economic infrastructure that have expanded and grown in sophistication have been due to good planning and implementation, with political commitment from the highest levels. The national development planning system has been a beacon, directing key socio-economic reforms in the face of favourable economic climates, and even during economic transitions and global downturns, with some adjustments. Top-down and bottom-up approaches featured in the system balanced technical details, stakeholder buy-in and ownership with deep consultations within and beyond government. The budgeting of resources and a strong mandate for the Economic Planning Unit (now the Ministry of Economic Affairs) and policies were implemented through programs and projects in coordination with line ministries and sub-national governments.

- **Rwanda:**

Vision 2050 serves as the critical planning and policy blueprint to guide efforts by all role players in Rwanda's development and considers global and regional development agendas. All stakeholders are brought together in a Joint Actions Development Forum to contribute to the delivery of the National Strategy for Transformation (NST1, 2018-2024) implemented through District Development Strategies. The adoption

of an integrated approach to planning, delivering and monitoring interventions is crucial to address poverty- and malnutrition-related challenges. Establishing the National Early Childhood Development Programme (NECDP) and developing the multi-sectoral strategy to eliminate extreme poverty demonstrates how different sectors have come together to address issues of malnutrition and extreme poverty. Building on home-grown solutions, which are rooted in the Rwandan culture, resource efficient and adapted to the national context, allows for popular ownership and participation, ensures effective and faster delivery of development, and strengthens accountability.

- **Canada:**



The Canadian planning system operates within the “Whole-of-government Framework”. This maps the financial and non-financial contributions of federal organisations receiving appropriations by aligning their programme activities to a set of high-level outcome areas defined for the government as a whole. Supporting the framework is the Policy on Management, Resources and Results Structures (MRRS) which aims to ensure that the government and Parliament receive integrated financial and non-financial programme performance information which can be used to support facilitate government-wide decision making. It reinforces the government’s commitment

to strengthen public sector management and accountability by providing a standard basis for reporting to citizens and Parliament on the alignment of resources, program activities and results. The objectives or results that the government aims to achieve require the contribution of two or more departments (including Crown corporations), jurisdictions or non-governmental organizations. The ability to build alliances, form partnerships, and effectively manage horizontal initiatives is key to delivering services to Canadians.

Although the Policy on MRRS does not apply directly to horizontal initiatives, its underlying principles are relevant to horizontal initiatives, given the risks related to initiatives involving multiple departments; specifically risks to the clarity of accountability, the rigour of governance, and the manner in which outcomes associated with the initiatives are aligned with the government's performance objectives. Managing a horizontal initiative involves entering into an agreement with partners where there is shared authority and responsibility, joint investment of resources (for example, time, funding and expertise), shared risks, mutual benefits and common results. One department is designated as the "lead" department, which may entail providing secretariat support to an interdepartmental governance committee, allocating funds to participating departments, and reporting on the overall progress of the initiative. Canadian departments have adequately designed accountability structures and have defined their roles and responsibilities for their participation in horizontal initiatives.

- **Kenya:**

The Constitution of Kenya and The Kenya Vision 2030 and its Medium-Term Plans provide the foundation for the preparation of the County Integrated Development Plans (CIDPs) for all 47 counties in the Republic of Kenya. The CIDP is prepared



by all counties to guide development over a five-year period. Kenya's Public Finance Management Act provides that no public funds shall be appropriated outside a county's planning framework. The CIDP contains the strategic mid-term priorities of the county and a clear theory of change. These are usually the priorities for the county during the five-year tenure of a county government. The CIDP contains information on development priorities that inform the annual budget process, particularly the preparation of annual development plans, the annual county fiscal strategy papers, and the annual budget estimates. However, poor consultation in counties has contributed to poor implementation of programmes and projects. Challenges arose around poor county governance, lack of capacity and capabilities, inadequate capacity in planning, budgeting and implementation; corruption and ineffective monitoring and evaluation. These have negatively impacted on the implementation of the CIDP.

- **Uganda:**

Uganda's Government adopted the Comprehensive National Development Planning Framework (CNDPF) in 2007. This provides a 30-year Vision to be implemented through 5-year National Development Plans (NDPs); Sector Investment Plans (SIPs); Local Government Development Plans (LGDPs), Annual work plans and budgets. The National Planning Authority (NPA) within the Ministry of Finance, Planning and

Economic Development, in consultation with other government institutions and other stakeholders, has developed a Uganda Vision 2040, and is responsible for its implementation. The CNDPF outlines the hierarchy of planning and the development planning process, providing a holistic approach to long term planning, and the process through which plans are produced by various sectors. Plans are synchronised with the Medium-Term National Development Plan. The process of producing Higher and Lower Local Government plans is coordinated by the District Council which is the District Planning Authority. All Ministries, Departments and Agencies (MDAs) of government, whether autonomous or semi-autonomous, are required to realign their development priorities with the Vision 2040's strategic direction.

Although the implementation of the NDPs (NDP I and NDP II) resulted in several achievements, the implementation of core projects has been slow, adversely affecting growth and job creation and undermining Vision 2040. Various challenges have been noted. The civil service is generally weak and not adequately equipped to drive development due to a lack of capacity, a lack of will, and diverse pressures placed on civil servants that frustrate successful implementation of policy. This is compounded by corruption. Government institutions continue to operate in "silos" with little integrated thought as to how to deliver on pledges and policies of government. It is unsustainable and counterproductive to have the planning of major development projects undermined by a lack of coordination. Development projects are not isolated stand-alone items but directly impact on a wide variety of competencies covered by numerous government departments and institutions, both within and between sectors. Fully functional sector working groups exist only in a few sectors. Coordination across governments needs to be revisited to

strengthen results-based planning and implementation.

- **China:**

The Chinese state centrally and hierarchically directs planning through its state policies and guidelines of Five-Year Plans, and its sectoral implementation through the different ministries. China uses the National Development and Land Reform Commission (NDRC) as a central planning agency in charge of executing the state's policies. Its main functions are to formulate and implement strategies of national economic and social development, long and medium term development plans; to coordinate economic and social development; to carry out research and analysis on the domestic and international economic situation; to put forward targets and policies concerning the development of the national economy; to regulate the overall price level and the optimization of major economic structures; and to make recommendations on the employment of various economic instruments and policies.

In 2014, an "information note on the launching of 'duoguiheyi' pilot projects in towns and districts" was published on the NDRC website. Duoguiheyi, meaning "the integration of several plans into one", is China's integration policy. The primary mission of duoguiheyi is to resolve the conflict stemming from plans applied to the same space being drawn up independently of each other. It seeks to strengthen planning as an efficient tool for managing urban space. This integration policy is a challenge to institutions, as it requires reorganising the centre of power, and as such inevitably leads to a breakdown of state bodies that the major ministries are not necessarily willing to accept. The evolution of duoguiheyi reflects a process of struggle and the sharing of the power of planning expertise between the various administrations concerned, and a reaffirmation, on the part of the political authorities, of power over their technical departments, according to Tzou et al, 2017.

4. PROBLEM STATEMENT

4.1 Underlying Policy Statement

The current planning system is inadequately integrated in its function to undertake planning, coordinate implementation, and focus monitoring and evaluation of government policies in a manner that contributes to the achievement of the long-, medium- and short-term development plans that lead to meaningful, integrated development gains.

When South Africa's first democratically elected government came into power in 1994 it inherited fragmented, unequal and inadequately integrated planning systems. Substantial progress has been made over the past 20 years in developing the country's planning system. Government now has an established system for the development of plans in the national, provincial and local government spheres with primary emphasis on informing resource allocation and holding public institutions accountable to deliver on plans. In practice, the scope and complexity of accommodating so many concurrent planning priorities and agendas at the three spheres of government stretches the available resources and dilutes a true strategic prioritisation. As the 2019-24 MTSF notes "One of the key underlying constraints is the lack of coherence in government and poor coordination among departments. In general, policy incoherence, contradictions, lack of certainty and delays in decision making have hindered societal transformation."

As a result, government is limited in its ability to implement coordinated policies and programmes towards the achievement of the NDP's priorities. Fostering a whole-of-society approach that provides an opportunity for collaboration

with non-governmental stakeholders in a structured and predictable manner is a further challenge. The lack of standardised, and well-coordinated collaboration and partnerships with non-government stakeholders' efforts towards national, provincial and local development priorities has also contributed to inadequate development results. Appropriate public-private partnership arrangements in the planning system are required to guide whole-of-society engagement and collaboration towards fostering shared responsibility in the realisation of the country's required development results.

It is acknowledged that the insufficient achievement of meaningful, integrated development gains is not solely caused by the current planning system being inadequately integrated in its function to undertake planning, coordinate implementation, and focus monitoring and evaluation of government policies. Other important factors or causes that impede the achievement of national development results include the failure of successfully implementing policies and plans across the three spheres of government and corruption. For the purpose of this Policy Framework, the scope of the problem is defined within the planning system and the various factors that impede the planning system's ability to effectively contribute towards achieving the required development growth.

4.2 Problem Analysis: Challenges in relation to Integrated Planning

Recognising the need for a coherent vision for the future, in order to realise changes in the socio-economic structure and the culture of society, NDP 2030 was adopted in 2012. Drawing on the priorities set out in international and regional commitments and the Constitution of the Republic of South Africa (1996), the NDP provides

overarching goals for the country to be realised by 2030, and the mechanisms and levers to bring about these goals. Since the adoption of the NDP the shift in focus of the country's planning system has been on strengthening the existing planning system in order to realise development results. However, the following key challenges have been identified:

- **Planning instruments do not sufficiently integrate policy priorities**

Since 1994, government has been implementing planning legislation, policies and frameworks to improve service delivery and socio-economic transformation. However, certain gaps have been identified in the legislation, policies and frameworks. Planning instruments do not sufficiently prioritise policy interventions and development results and translate these into measurable outputs, outcomes and impacts.

- **Insufficient availability and utilization of evidence to ensure evidence-based planning**

Linked to this, plans are not sufficiently evidence based due to the lack of credible and reliable data. There is a challenge in accessing data and lack of skills of using the data to develop results-based plans. Government needs to improve knowledge management systems and practices towards improving the availability of evidence and its translation into planning instruments.

- **Fragmentation of the planning system**

A further gap is continued fragmentation in the planning system and the inadequate alignment and coherence of planning across the three spheres of government in a manner that considers the autonomy of each sphere. This includes the integration of national priorities within provincial and municipal plans and the manner in which local and provincial priorities are considered in national planning instruments. There is a lack of coherent planning policy and

legislation to harmonise the planning system.

- **Lack of alignment of planning frameworks guiding SOEs**

SOEs report to the Department of Public Enterprises or their respective oversight institutions. However, conflicting or misaligned mandates and the lack of alignment between planning policies and frameworks that guide SOEs and those guiding other government institutions creates a challenge in the achievement of targets relating to government priorities. These are compounded by a lack of clarity regarding the funding of non-commercial or socio-economic developmental activities undertaken by the SOEs and limited fiscal resources available to invest in SOEs as well as limited opportunities for private sector participation.

- **Inadequate collaboration between centre of government departments on planning and budgeting**

There is a need for further collaboration between the DPME and National Treasury to ensure that the planning and budgeting processes and timelines are adequately aligned to ensure consistency and coherence of information in the planning and budgeting documents of government institutions.

- **Effectiveness of intergovernmental forums**

A variety of intergovernmental forums have contributed to certain levels of planning coherence across the three spheres of government. For example, a DPME analysis of the alignment between provincial development plans and the MTSF found a considerable degree of alignment, albeit with some gaps. There is a need to further optimise inter-governmental coherence with a greater focus on driving collaborative efforts across government to ensure that the whole of government is geared towards achieving the country's medium- and long-term outcomes in a

manner that considers specific provincial and local conditions and priorities.

- **Dominance of compliance-based approach relative to performance and results-based approach**

A further concern is the extent to which a compliance-based approach to planning weakens the performance and results-based approach. These challenges have been noted during the assessments of Annual Performance Plans, which tend to prioritise the need for compliance to obtain positive audit outcomes. An example of this is a tendency to focus on lower order indicators and “safe targets” which are easily achievable rather than “stretched targets.” Many institutional plans focus on performance information which is measurable and meets the SMART criteria but may not add value in achieving higher order outcomes and impacts, the mandate of the institution and the broader national development priorities. This may result in poor quality performance information which is then used to develop subsequent plans. In addition, evaluation practices have not been sufficiently embedded across the state machinery, resulting in insufficient availability and utilisation of evaluations and other sources of credible evidence in planning processes. While some institutions make use of official statistics, research and administrative data in their planning processes, this is not sufficiently analysed and utilised in the development of theories of change and results-based plans.

- **Lack of alignment between planning targets and performance agreements**

There is a disincentive for institutions to commit towards delivery of development results (impact and outcome level) individually and in an integrated manner due to the associated accountability implications. More emphasis has been placed in the past on compliance to institutional planning prescripts at the expense of strategic planning,

monitoring and reporting focused on enhanced service delivery. The translation of institutional plans into performance agreements, being a justification for budget allocation and spending, and the preference for the auditing process on predetermined objectives becomes a perverse incentive for planned service delivery managed through under-targeting, with a questionable relationship to the desired development results. Similarly, the risk of public consequence through the legislatures is a deterrent from planning for results where institutional commitments may compromise annual performance achievements. This results in institutional planning that is less strategic and is not focused on implementing the development agenda but rather on being compliant within a cyclical planning system.

With the audit in mind, targets are often set so that they can be more easily achieved. Setting low “easy-to-achieve” targets is compounded by oversight role players tending to concentrate the focus on the achievement of performance targets. This has the unintended consequences of creating perverse incentives and malicious compliance. In addition, choosing indicators that are not data-intensive, usually due to challenges such as non-existent or inadequate data management systems, results in insufficient or inappropriate data for accurate measurement of performance.



4.3 Problem Analysis: Understanding the root causes

Key weaknesses that need to be addressed relate to:

1. The uncoordinated and inadequate legislative and policy landscape to effectively drive an organised, integrated planning system;
2. The inadequate integration of development priorities within planning instruments and inadequate coordination and integrated planning across the three spheres of government; and
3. The inadequate capability to undertake planning which impedes the government machinery from effectively planning for integrated developmental results.

These are discussed in detail below:

4.3.1 Root Cause 1: The uncoordinated and inadequate legislative and policy landscape to effectively drive an organised, integrated planning system

- Limited planning powers and functions for some government institutions are provided for in the South African Constitution.
- Inadequate legislation to provide a legal foundation for the adoption and implementation of key developmental plans which include the NDP, MTSF, the PGDSs and Sector and Cluster Plans. This means that there are no legal implications for national, provincial and local government institutions that choose not to implement priorities of these development plans.
- Inadequate legislation that would properly support the institutionalisation of the planning system, and formally clarify the roles and functions of

different plans and institutions responsible for planning.

- Uncoordinated legal mechanisms for aligning planning across the three spheres of government.
- The continued incoherence in the spatial planning system in relation to development planning and budgeting within government with the resultant confusion of spatial priorities across sectors.
- In terms of the societal reach and ethos of planning, there is a challenge of building a planning system that is state led but that is also truly societal, bringing together the different segments of society in a genuinely participatory and collaborative process.

4.3.2 Root Cause 2: The inadequate integration of development priorities within planning instruments and inadequate coordination and integrated planning across the three spheres of government

- Planning is not adequately evidence-based and does not effectively take into consideration the development needs of our country. There is a need to promote policy coherence in pursuit of medium- and long-term development objectives.
- There are inadequate and unpredictable processes and procedures for the development of the medium- and long-term plans; provincial and local development plans as well as sector and cluster plans in an integrated and structured manner as well as the relationship between these.
- The lack of coherence in spatial planning including spatial targeting across the three spheres of government limits government's ability to lead efforts towards a coherent and planned location of development, unlock related space transformation and improve spatial justice.

- The sub-optimal alignment of institutional plans to the NDP, MTSF, PGDSs (where applicable), Sector and Cluster Plans or, alternatively, only superficial or rhetorical alignment.
- Government institutions across and within the national and provincial spheres of government continue to develop plans that lack coherence. This can be seen in instances where more than one government institution intervenes in a particular area or for particular beneficiaries in an uncoordinated manner to address the same challenge. This approach hampers the efficient utilisation of limited national resources and creates accountability gaps and a lack of common ownership and collaboration to address the identified problem.
- Uncoordinated policy directives which may have unintentionally driven an inward looking, government-centric, compliance culture.
- Lack of linkages between development plans and budgets where the planning process does not adequately assess the resources, elements and tools necessary for good planning.
- The proliferation of plans, including in the economic sector, leading to confusion and a deficiency of focus.
- Compliance orientation of the planning and auditing system which creates a dominance of the compliance culture in the planning system, especially at an institutional level, and weakens the results-based management approach.

4.3.3 Root Cause 3: The inadequate capability to undertake planning which impedes the government machinery from effectively planning for integrated development results

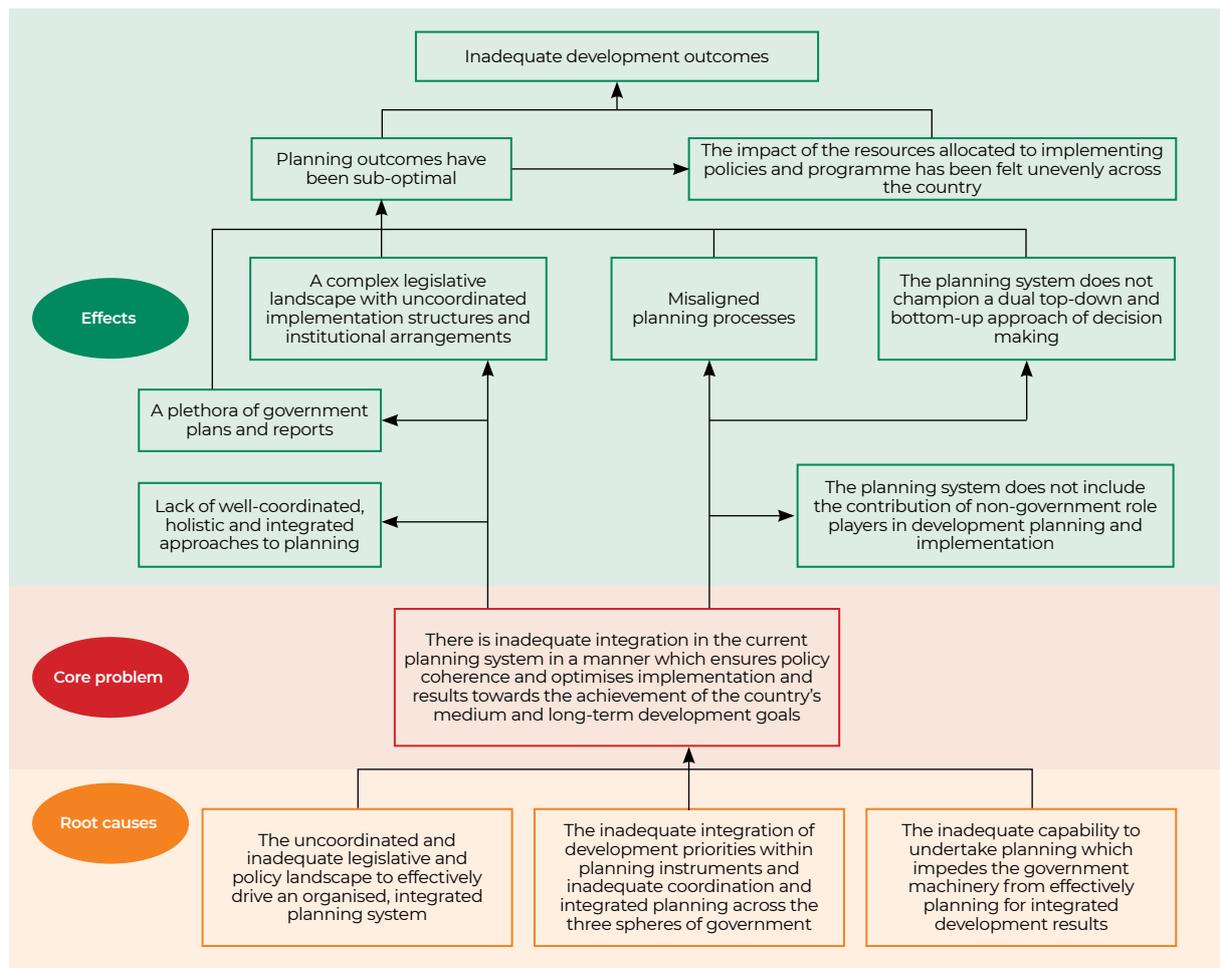
- Inadequate capability across spheres of government to undertake development and institutional planning, and for the analysis and participatory processes that accompany planning.
- Lack of understanding and utilisation of tools such as theory of change, an in-depth understanding of public policy and its translation into planning instruments.
- Insufficient clarity on roles and responsibilities and coordination at the centre of government to support and strengthen the integration of the planning system towards the realisation of the development agenda.
- Insufficient capacity and utilisation of scenario planning, forecasting and modelling to inform decision making on prioritisation and sequencing of national development priorities.
- Inadequate and uncoordinated use of evidence to inform policy and planning decisions.
- Insufficient modernisation and automation of planning systems, including access to, capabilities and utilisation of technology and artificial intelligence to improve planning systems and their integration.

- Lack of alignment between institutional and programme planning and weaknesses at the level of programme planning.
- Insufficient capabilities and efforts to ensure that planning integrates policy priorities relating to women, youth and persons with disabilities.
- Inadequate planning support for the spatial targeting in the planning processes and in ensuring that government and non-government action is reflected in the “One Plan” in alignment with the District Development Model.
- Inadequate inclusion of social partners in development-focused planning systems and processes.

4.3.4 Schematic view of the problem

The Problem Tree below summarises the analysis of the identified challenges, problem statement and root cause analysis of challenges hindering integrated planning across government.

Figure 1: Problem Tree



5. VISION AND OBJECTIVES OF THE POLICY FRAMEWORK

5.1 Vision

To institutionalise an integrated, development-focused national planning trajectory for short, medium- and long-term development plans, and their implementation toward the realisation of development results.

5.2 Aims of the Policy Framework for Integrated Planning

- The aim of this Policy Framework is to promote improved integration and harmonization of planning across the planning system including national, provincial, and local government, and state-owned enterprises.
- The policy framework is also intended to improve coherence of existing policies, frameworks and legislation that guide integrated planning. This will improve planning and enhance the implementation of government programmes and achievement of delivery results.

This entails the following objectives:

- Establish a framework for an improved, coherent, predictable and integrated planning paradigm within and across all spheres of government as well as the broader social partners;
- Promote better coordination, collaboration and alignment of planning, monitoring and evaluation, within the framework of long, medium- and short-

term planning, between and across the national, provincial and local spheres of government and including social partners;

- Institutionalise long-term planning and ensure that long-term national development priorities are implemented across the three spheres of government;
- Inform the preparation, adoption and implementation of any policy, legislation, or framework concerning planning, monitoring and evaluation, and development;
- Inform the compilation and adoption of any development plan;
- Provide recommendations to guide an integrated planning system which leads to the efficient, economic and sustainable use of resources to drive development.

5.3 Policy Framework Approach

The policy framework is intended to achieve consistency, integration and alignment and efficiency in planning across government. This Policy Framework provides recommendations for appropriate practices of policy makers, planners and M&E practitioners in government. Integrated planning must be intentional and institutionalised. This Policy Framework also acknowledges existing policies, frameworks and legislation on integrated planning; and intends to improve the alignment and coherence of existing instruments and processes.

5.4 Strategic Linkages

The Policy Framework for Integrated Planning provides an approach to build on the planning system that has been developed since 1994 by introducing a stronger and more explicit development focus. This Policy Framework aims to shift the planning system beyond the current level of government planning, towards a system that engages more effectively with the policy coherence of development improving the relationship between the different components of the planning system. This will include the integration of priorities within plans, the use of evidence and the approach to implementation whilst providing an opportunity for participatory planning with non-governmental stakeholders.



It is important that the national planning function is underpinned by a centre of learning, innovation, experimentation and research, and that it interacts not only with all spheres of government, but across a wider range of institutions including business, labour, academia and civil society. This will enable the national planning function to play a catalytic and innovative role that constitutes a valuable

addition to the types of planning done at institutional level as well as influencing planning for the various sectors. It is envisaged that this Policy Framework will direct government and non-government stakeholders to actively plan for and implement integrated plans directed towards the realisation of the NDP and subsequent long-term development plans' priorities which is urgently needed in South Africa.

The development and implementation of the Policy Framework also aligns to Priority 1 of the 2019-2024 MTSF on Building a capable, ethical and development state by contributing to building capabilities in government in relation to planning and harmonising planning towards the achievement of development results.

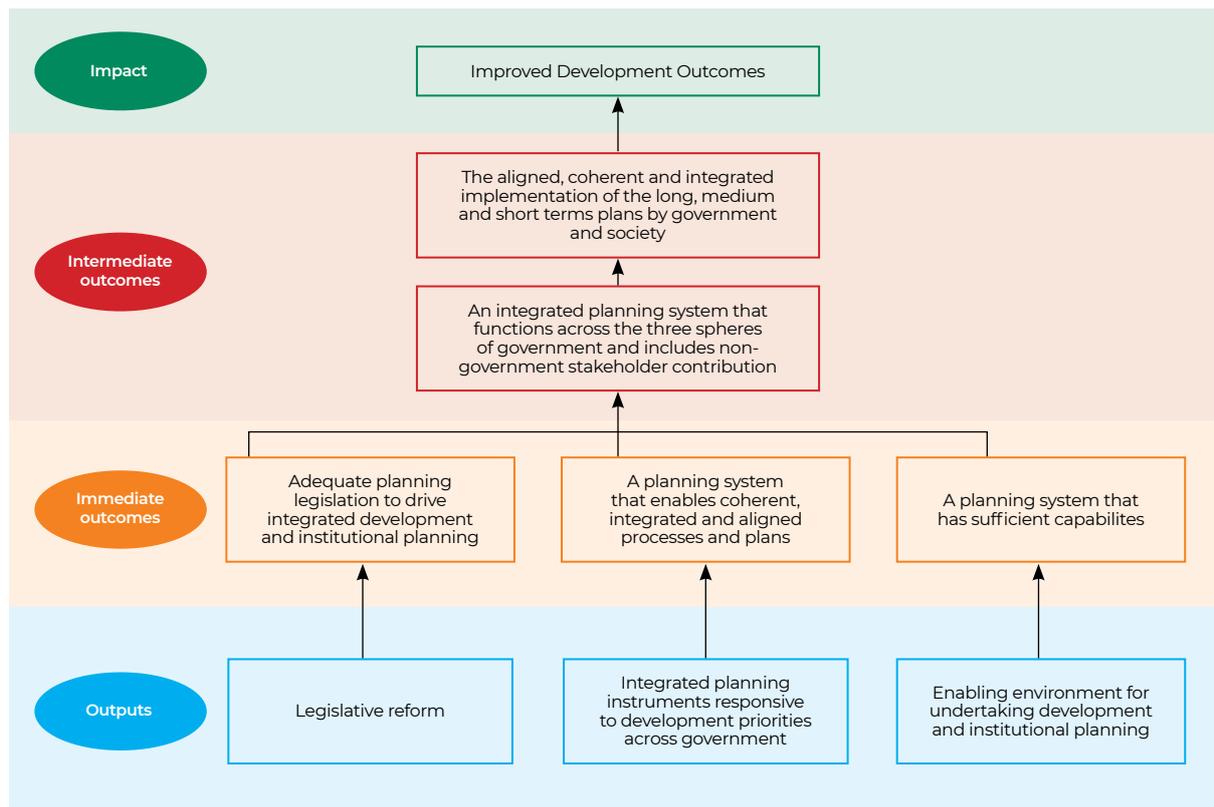
The Policy Framework encourages all sectors to work together in dealing with societal challenges. The integrated planning process should be able to promote a common thinking and combined efforts in contribution to the achievement of the national priorities as outlined in the NDP and subsequent long-term development plans. Furthermore, the development and implementation of the Policy Framework aligns to Priority 1: Building a capable and ethical development state of the 2019-2024 MTSF, by ensuring that the Policy Framework will contribute to the alleviation of the planning challenges and contribute to building capabilities in government in relation to planning. This will further assist with improving integrated planning and encourage collaboration across government.

The Policy Framework promotes the need for coordinated planning by government across all spheres, in conjunction with non-government role players to combine efforts in tackling societal challenges.

5.5 Theory of Change, Policy Objectives and Expected Outcomes

The Theory of Change sets out the identified outputs, intermediate outcomes and impacts which would be required to address the problem diagnostic and lead to improved development outcomes.

Figure 2: Policy Framework for Integrated Planning: Theory of Change



5.5.1 Impact

- a) **Improved Development Outcomes**
An integrated implementation of the long-term development agenda in the NDP and subsequent long-term development plans will ultimately result in improved socio-economic outcomes.

5.5.2 Intermediate Outcomes

- a) **The aligned, coherent and integrated implementation of the long-, medium- and short-term plans by government and society**
A whole-of-government and society approach will allocate resources and direct investment toward the implementation of a common long term development agenda in the long-, medium- and short-term plans.

- b) **An integrated planning system that promotes policy coherence and functions across the three spheres of government and includes non-government stakeholders' contributions**

A more unified and accountable public service with a strengthened ability to plan for improved results, and the coherent and aligned policy direction of government will enable non-government partners to effectively participate in the country's planning system.

5.5.3 Immediate Outcomes

- a) **Adequate planning legislation to drive integrated development and institutional planning**

Adequate planning legislation is an enabler to institutionalise the development planning approach adopted by the country and strengthen the accountability for its implementation. The aligned planning functions will arrange government institutions and non-government stakeholders in a manner that facilitates aligned and coherent planning approaches and processes including better policy delivery, more appropriate resource allocations and functional institutional structures.

- b) **A planning system that enables coherent, integrated and aligned planning processes and plans**

Integrated and coordinated planning processes will provide for coherent and aligned government plans leading to integrated policy delivery. Government plans should be streamlined in terms of concept and policy consistency and include budgetary integration. There should be alignment between long-, medium- and short-term policies, plans and strategies, as well as between inter-sphere and intra-sphere plans.

- c) **A planning system that has sufficient capabilities**

Adequate state capability enables the planning system to fulfil the associated functions, roles and responsibilities across the state from planning, budgeting, implementation, monitoring and evaluation to legislative oversight and scrutiny.

5.5.4 Outputs

- a) **Output 1.1 - Legislative Reform**

Planning legislation is required to ensure better integration, coherence and alignment of a functional national planning system. The planning system should ensure that all planning, performance management, budgeting and implementation promote social inclusion, spatial equity, desirable settlement patterns, rural revitalisation, urban regeneration and sustainable development. It should confirm the requirements of the selection of development priorities for government aimed at addressing past development imbalances, prioritising inclusion and redressing the impacts of racially based discrimination.

- b) **Output 2.1 – Integrated planning system responsive to development priorities across government**

There are gaps in the policy landscape on government planning that require intervention with the aim of directing the development and institutionalisation of long- and medium-term plans across the three spheres of government to better enable collaboration and integration. Ultimately government planning processes must ensure that NDP and subsequent long-term plans and all the priorities outlined therein are clearly integrated into the medium- and short-term plans of institutions at all spheres of government.

It is envisaged that once the gaps in the planning system are addressed, this will in turn contribute towards an improvement in the content of planning whereby the actual strategic linkages will be identifiable between planning documents across and within the three spheres of government. To support this improvement, the government-wide planning and reporting cycle will be implemented to articulate the planning, budgeting, monitoring, reporting, evaluation and auditing process cycle in the national, provincial and local spheres of government. This cycle will be a formal mapping of the planning, budgeting, monitoring, evaluation and auditing processes in all three spheres of government. It is expected that this will result in improved planning, budgeting, monitoring, evaluation, and auditing related processes; strengthened integration of planning, budgeting and reporting between national, provincial and local government; improved collaboration of institutions involved in the planning, budgeting, monitoring, evaluation and auditing processes; and contribute to improvement in the quality of plans and improved implementation of government programmes.

i. National, Provincial and Local Government Planning Frameworks and Guidelines

Centre-of-government departments should develop and issue planning frameworks and guidelines to strengthen long- and medium-term planning with the aim of solidifying coordinated, coherent and integrated planning processes across the three spheres of government. These frameworks and guidelines should include planning norms and standards and make provision for collaborative planning. The following frameworks and guidelines must be developed, approved and institutionalised within the planning system:

- Guideline for the development and institutionalisation of long-term national development plans;

- Approval of the NSDF for implementation;
- Guideline for the development and institutionalisation of the MTSF;
- Guideline for the development and institutionalisation of Provincial Growth and Development Strategies (PGDSs);
- Guideline for the development and institutionalisation of national sector and cluster plans;
- Frameworks and guidelines for the development and institutionalisation of One Plans (DDM Model);
- Alignment of frameworks and guidelines that provide direction to local government in developing the long-, medium- and short-term plans that are aligned to the national and provincial frameworks and guidelines

ii. Direction for Schedule 2 (SOE), Schedule 3B and Schedule 3D Planning

Centre-of-government departments should strengthen planning frameworks and guidelines to make specific provision for the alignment and integration between national, provincial and local government development plans and the institutional and corporate long-, medium- and short-term plans of Schedule 2, Schedule 3B and Schedule 3D public entities. Contributions of these institutions to the development agenda across the three spheres of government must be reflected in institutional and corporate plans. These plans should be used as an accountability mechanism to ensure that these entities institutionalise and implement their commitments, within the ambit of their institutional mandates, toward the realisation of development results across the three spheres of government. The following framework must be developed, approved and institutionalised within the planning system:

- A Revised Framework for Corporate Planning and Shareholder's Compact must be issued to align to the results-based planning principles and

methodologies implemented through the Revised Framework for Strategic Plans and Annual Performance Plans.

- That a governance model and strategy be developed through the Presidential State-Owned Enterprises Council (PSEC) and implemented to improve governance including planning within Public Entities
- That strategic agenda of these entities be repurposed through the PSEC
- That the oversight capacity of Oversight Departments be enhanced via the implementation of the DPME SOE Monitoring Framework.
- The Presidential State-Owned Enterprises Council (PSEC) has been established to provide the President with recommendations in line with its terms of reference to improve stakeholder management of SOEs.

iii. Alignment of budget to the plans

Through the Budget Prioritisation Framework, the DPME provides a strategic framework to cascade medium-term priorities into the budget process. The Budget Prioritisation Framework seeks to ensure that the national budget accounts for the key goals and priorities of the NDP and the MTSF in driving our development results. The Budget Prioritisation Framework is an important input into the budget deliberations conducted through the National Treasury function groups, the



Medium-Term Expenditure Committee (MTEC) and the Minister's Committee on the Budget (MinComBud). After considering departmental submissions together with the BPF and the fiscal policy strategy, MTEC makes recommendations to MinComBud on budget allocations. MincomBud, in turn, makes the final recommendations to Cabinet for approval.

iv. Non-government stakeholders and the integrated planning system

National, provincial and local government planning frameworks and guidelines must make clear provision for collaboration with non-government stakeholders in the development of institutional planning processes throughout the entire planning spectrum across the three spheres of government. This will seek to provide an opportunity for the inclusion of non-government stakeholders' contributions toward policy development, adoption and implementation.

The Minister in the Presidency together with the DPME's DG will lead government's effort to collaborate with non-government stakeholders through liaising with the private sector, organised labour and civil society organisations with the view to promoting partnerships in the pursuance of implementing the NDP and subsequent long-term plans.

The Nedlac is a key role player to coordinate initiatives that bring the required stakeholders together in the development of the MTSF, sector and cluster plans at the national planning level, whilst also facilitating participation in planning processes across the provincial and local government spheres in the development of PGDSs and IDPs. These stakeholders include non-government organisations, civil society organisations, and the business sector among others.

Academia is a key role player in assisting government to generate research and knowledge, which can improve integrated planning across the three spheres of government. Government and different academic institutions can enter into a memorandum of understanding (MoU) on the types of research that can be produced for government, to inform evidence-based planning and decision making. The academic institutions can be included in the planning processes of government by different government institutions, to share research that can be used to improve government planning processes.

The business sector can play a critical role to support government in achieving the national priorities as set out in the long-, medium- and short-term development plans. The government and business sector can enter into social partnership agreements, which will outline the commitments of the business sector and further outline the reporting and accountability frameworks. This means that there will be an agreement of how government can hold the business sector accountable for the commitment made and track the performance thereof.

- **Department of Women, Youth and Persons with Disabilities (DWYPD):**

There is a role for each of the non-government stakeholders in planning (i.e. private sector and NGOs/ CSOs) within the WYPD space. The DWYPD's role is actively to engage non-governmental



sectors in planning. The non-government sectors play an advocacy role to ensure that priorities are budgeted for and implemented. Roles and responsibilities between DWYPD and non-government sectors include the coordination of meetings, consultations with the sectors on plans and implementations, and supporting the advocacy role of the sectors. Non-government stakeholders have a role to conduct research, provide technical assistance, monitoring, advocacy and awareness-raising for effective development and implementation of the national gender priorities.

- **Department of Social Development (DSD):**

The national DSD currently involves NGOs in integrated planning through programmes. Statutory mandates that are executed and supported by NGOs include planning processes. There are adopted protocols on resource allocation, and sharing of various capacities whether human and finance, from both government and NGOs. DSD in provinces involve NGOs and local government in integrated planning. These stakeholders are part of the strategic planning sessions.

c) Output 3.1 – Enabling environment for undertaking development and institutional planning

- i. **Coordinated use of evidence to inform development and institutional planning**

Effective integrated planning is dependent on timely, relevant and credible data, information and evidence at all stages in the policy process. In this regard, the creation of a Knowledge Hub, specific to the needs of government (entire government for planning purposes), as a repository of data and information, is necessary for evidence-based planning and decision making. Regulations drafted pursuant to planning legislation will require that various data and knowledge generating institutions,

such as publicly funded science councils, Statistics South Africa (StatsSA), the Finance and Fiscal Commission, and the Municipal Demarcation Board provide the DPME with access to curated and anonymised databases to enable research and analysis for medium- to long-term planning, including monitoring and evaluation of key public policies impacting on integrated planning.

Availability of data for planning remains a challenge. While StatsSA has taken strides in providing regular socio-economic data from sample surveys and censuses, South Africa has lagged behind in generating disaggregated data (ward level), demographic data and quality administrative data on service delivery. These form the basic prerequisites to assess and monitor supply and demand gaps, to be able to plan effectively for their eradication. In addition to data availability, data analysis (or research) and modelling also needs to be expanded to drive deeper understanding and adjustment of plans. Longitudinal data and the use of administrative data for research and analysis (aside from reporting) is the trend in other governments, taking into consideration the strides made around big, real-time data which is critical for an agile and responsive government. These demonstrate the need for reviewing data sources and methods in generating relevant data for integrated planning.

A centre for policy-relevant research and analysis should be created, working with state-funded research institutions across the country, the private sector, various universities, and Centres of Excellence. Technical and knowledge-creating institutions such as the Agricultural Research Council (ARC), Council for Scientific and Industrial Research (CSIR), National Research Fund (NRF), Human Sciences Research Council (HSRC), Medical Research Council (MRC), and the Health Systems Trust (HST), have the responsibility

to contribute to the achievement of the NDP goals, and should support the objective of integrated planning through mutually beneficial operating relationships and collaborative partnerships. This work will depend crucially on the data and statistical and economic planning instruments developed by Statistics South Africa through research and surveys such as the census.

An important addition to the evidence for planning is private sector data. The private sector makes up more than 70% of the South African economy and generates a wide range of data that can be used for planning in government. Data sharing and related partnerships can be used to provide government with substantive knowledge across the different sectors.

It is also vital that there is a common understanding of the functions, use and limitations of the various models and approaches in the generation and use of evidence to inform strategic decisions in the planning process. Guidance should be provided by the centre of government to the three spheres of government on the principles for the use of evidence and the processes to follow when using evidence to inform planning decisions.

The following processes should be undertaken to ensure the availability and use of appropriate data, analysis and modelling for planning:

- The establishment of a Knowledge Hub as a repository for data and information necessary for evidence-based planning and decision making.
- A Guideline should be developed and issued on how evidence can be used in planning across the three spheres of government.

ii. Anticipatory Governance

Anticipatory governance is a system of an institution's rules and norms that outlines the path to use foresight for the purpose

of reducing risk and increasing capacity to respond to events at earlier rather than later stages of development (Fuerth, 2011). It is a new concept that can be used to plan in government. It allows the institution to anticipate a wide range of possible future outcomes which are not best or most likely to happen and to assess or analyse across a range of scenarios (aggregation, extremes, sensitivity and risk assessment). Thereafter the institution is able to develop multiple strategies that may be appropriate for the short-term and long-term based on the range of possible futures predicted. These strategies must outline multiple benefits; robust and contingency planning must be considered in an incremental manner. Monitoring of changing conditions over time must be conducted to identify key precursors associated with various possible futures. There must be ongoing assessment of the range of future possible conditions and re-evaluation of strategies. Over time the institution can act appropriately as anticipated and extend incremental decision making and allow for flexible implementation of the chosen strategies (Quay, 2010).

A shift towards anticipatory government is currently being promoted across SADC, particularly in light of the impacts of COVID 19 in the region, the need for more effective disaster management, and to build resilience in SADC. In South Africa, “the government’s pandemic response ensured sustained communication through multiple channels, a clear sign of anticipatory governance harnessing technology” (Van Niekerk, 2021).

Foresight allows governments to construct development narratives of their desired futures in the 21st century, instead of relying on ‘used’, ‘second-hand’ futures from highly developed countries. It enables public service organisations to better frame future policy environments and present decision-makers with more

and better choices for inclusive growth and social justice (OECD).

Strategic foresight, as such, is a method and practice used to create functional and operational views of possible futures and the possibilities that exist within them with a view towards influencing today’s decisions. While no one can predict the future, foresight allows organisations and institutions to gather and process information about their future operating environment by creatively examining their current landscape for meaningful trends and then leveraging those insights to extrapolate or explore multiple potential outcomes that can then be used for planning purposes (OECD High Level Risk Forum, 2017).

The other form of foresight commonly used is scenario planning. It is one of the tools government institutions use as part of their planning processes. It can be used for short, medium and long-term planning or in preparation for a new planning cycle and is often appropriate for developing a situational or diagnostic analysis and about responses and interventions in the present. They provide for articulation of pathways that may exist in the future and for potential movements within each pathway. This can enable adaptation to changing aspects of the environment. Scenario planning involves making choices currently, with an understanding of how they might turn out in the future.

iii. Technical Support Service Provided by Centre of Government

Centre-of-government departments should strengthen technical support within the planning system in a coordinated and predictable manner which may include providing technical planning advice during planning processes; providing recommendations on draft development and institutional planning documents; providing training on planning principles,

methodologies and approaches; and convening discussion forums to help resolve specific problems or facilitate the sharing of experiences and/or ideas.

Centre-of-government departments should issue annual schedules of technical support services that will be provided within the planning system for a financial year. A key focus for the centre-of-government departments must be the implementation of interventions to improve the quality of implementation programme planning and plans in the national, provincial and local spheres of government. These interventions may include the provision of training on the planning principles for implementation programme planning, and engaging in targeted interventions to support national, provincial and local institutions during the development and/or revision of implementation programme plans. Technical support services should allow for the improved application of the Theory of Change planning tool and approach in the development and/or revision of implementation programme plans.

iv. Professionalisation of the Planning Practice

There is a need to professionalise planning practice within the planning system. Norms and standards should be issued to provide guidance to public institutions in relation to skills development and recruitment of planning professionals. In addition, norms and standards need to be determined for the placement and resourcing of the development and institutional planning function within organisational structures. Professionalising means:

- Changing attitudes and behaviour towards serving the public. This is a value aspect which is about observing and serving in accordance with the Constitution, Batho Pele and the Public Service Charter.
- Having qualified people who are fully equipped to perform their jobs

with diligence (With some of the following competencies such as: policy development and policy analysis).

- The creation of professional categories in the public service, for example, health workers must be recognised as and belong to professional bodies (their trade is regulated). The strategic planning function should also have professional bodies to which public officials can belong.
- Having a public service that is nonpartisan and depoliticised. Departments must be insulated from the politics - the mandate of the bureaucracy is to loyally and diligently implement the political mandate, but not to be political actors themselves.

v. Planning Forums and Oversight Structures

Planning forums and oversight structures play a critical role in providing information sharing platforms and support towards the improvement of government strategic planning, monitoring and evaluation. These forums and oversight structures are crucial in resolving specific planning related problems and facilitate the sharing of experiences and/or ideas. The planning forums and oversight structures should serve as the vehicle to coordinate engagements and dialogue on planning towards steering the planning system towards integration.

The Policy Framework will strengthen these fora and provide a rationale for alignment of planning fora to existing oversight structures as it encourages planning to be broader than government. The intention is to acknowledge the role of non-government stakeholders in planning and implementation of the national development agenda and make provision for sufficient social reach in informing and making strategic decisions about the country's development priorities and development trajectory. Therefore, some of the existing planning forums should be

expanded to accommodate involvement of the non-government stakeholders.

Below is an indication of primary planning forums and oversight structures to drive integration of planning within the planning system:

- **Cabinet**

The role of Cabinet is to make strategic policy decisions on the country's development based on recommendations of designated structures. Cabinet is responsible for the approval of the national development agenda in the form of long- and medium-term development plans. Cabinet is a crucial structure for holding public institutions accountable for the implementation of the long- and medium-term development agenda of the country.

- **Government Clusters**

Government clusters are groupings of government departments with cross-cutting programmes. They play a crucial role by providing a consultative platform on cross-cutting priorities and matters recommended to Cabinet for decision making. The purpose of government clusters is to ensure proper coordination of all government programmes at national and provincial spheres. Their main functions include the alignment of government-wide priorities, facilitation and monitoring of the implementation of priority programmes. Clusters are a crucial vehicle to foster integrated planning within government by nature. They foster an integrated approach to governance that is aimed at improving planning, decision-making and service delivery. This calls for top level officials to also clearly understand that integrated planning is a powerful tool that can take this government far in reaching the NDP priorities and outcomes.

- **Forum of South African Director Generals (FOSAD)**

The Forum of South African Director Generals (FOSAD) is a key planning

and coordination mechanism where Directors-General of national and provincial government departments as well as management of the South African Local Government Association (SALGA) provide inputs and recommendations on government policies to Ministerial Clusters. This is a strategic team to drive integrated planning.

- **National Steering Committee on Integrated Planning**

The National Steering Committee on Integrated Planning, which is convened by DPME, is a high-level strategic platform for engagement, consultation and communication between centre-of-government departments and Offices of the Premiers toward the integration of plans and coordination of implementation of the priorities outlined in the MTSF, Sector and Cluster Plans and NDP.

- **National Technical Planning Forum**

The National Technical Planning Forum, coordinated by DPME, is a platform for learning and knowledge building which will contribute towards improved medium term planning and reporting, and the achievement of government outcomes. The forum was established to provide technical support on the implementation of the medium-term planning and reporting system for national departments and promote learning, leadership and collaboration in the planning and performance management environment. This forum comprises of officials from DPME and planning and reporting officials from all national departments. The role of this committee in integrated planning is to promote and collaborate with national institutions' efforts towards the achievement of MTSF priorities.

- **Planning, Monitoring and Evaluation Community of Practice (CoP) for National Public Entities**

The Community of Practice (CoP) is a platform for learning, capability building,

and sharing of knowledge and planning best practices for national public entities (Schedule 3A). It comprises of Schedule 3A public entities, National Departments responsible for oversight of Schedule 3A public entities, National Treasury, Auditor General and DPME. The forum is intended to empower national public entities with planning, monitoring and evaluation skills so that they are able to contribute towards the achievement of government outcomes. The CoP will play a vital role in integrated planning by enabling a synergy between public entities and national departments. As the implementing arm of government, public entities are encouraged to align their priorities to government's agenda.

- **National Oversight Forums on Provincial Planning, Monitoring and Evaluation**

The DPME hosts the Office of the Premier Planning, Monitoring and Evaluation Forum which is a platform for providing direction on the implementation of planning and reporting frameworks and guidelines; for capacity building of provincial planners; and for sharing of information with regards to planning and reporting. This Forum comprises of officials from DPME, and officials that take a lead in the provincial planning, monitoring and evaluation function from the nine provincial Offices of the Premier. A key focus is to support the integration of the MTSF and PGDSs into provincial institutional plans.

Furthermore, additional Forums are hosted by DPME with national sector departments which involves the planning and reporting officials from the national departments with concurrent functions. This Forum provides technical support on the implementation of the medium- and short-term planning and reporting system for provincial departments with concurrent functions; and promotes learning, leadership and collaboration

in the planning and performance management environment. A key focus is to support the integration of the MTSF, and sector and cluster plans into provincial institutional plans.

- **Provincial Planning, Monitoring and Evaluation Forums**

The provincial forums, are hosted by the Offices of the Premier and, are a mechanism for information sharing and coordination towards integrated planning in the provincial sphere as well as platforms used to capacitate provincial planning and reporting practitioners on the provincial planning, monitoring and evaluation systems and principles. In addition, these forums are used to periodically review performance pertaining to the implementation of the strategic deliverables, programmes and/or projects in a province. These forums consist of officials responsible for strategic planning, monitoring and evaluation in the provincial spheres and play an important role in engaging on the alignment of provincial and local government plans with the national development priorities.

- **Local Government Forums**

DCoG and National Treasury host Forums which include stakeholders from the local sphere of government. Key Forums are reflected below:

Local Government Forums hosted by National Treasury

National Treasury in collaboration with DCoG, DLRRD, and DPME hosts the following forums:

- **Planning Alignment Task Team (PATT):** This is held with the metropolitan municipalities and includes other stakeholders such as relevant national departments and SACN
- **Joint Planning, Budgeting, Reporting Reforms Steering Committee:** This is held with the national departments (NT, DCoG, DPME, DLRRD etc.)

Local Government Forums hosted by the Department of Cooperative Governance At a strategic level, the Technical MINMEC (DG and HODs) and the MINMEC (Minister and MECs for Local Government) are the critical structures for the Department to engage with the provinces and SALGA on local government issues including critical planning issues.

From an IDP perspective, DCoG hosts the IDP Coordinators Forum which is

chaired by DCoG and attended by all provincial COGTAs (officials responsible for coordinating IDP processes of municipalities). This Forum allows for the invitation to be extended to district municipalities where needed. The purpose of the forum is to monitor and support integrated development planning processes in municipalities and to coordinate planning initiatives between provinces and national government.



6. INSTITUTIONALISING AN INTEGRATED PLANNING SYSTEM IN SOUTH AFRICA

6.1 Policy Recommendations

The following policy recommendations are put forward:

- a) Legislative reforms that lead to the promulgation of integrated planning legislation.
 1. Integrated Planning legislation that outlines the different components of the planning system and their harmonization.
- b) Integrated Planning System responsive to development priorities across government
 1. Long-term national development plans are reviewed and revised every ten years based on extensive research and consultations across the three spheres of government and with social partners.
 2. The national medium-term development plan is developed every five years for a particular government term of office and is based on the electoral mandate and the long-term development plan.
 3. The Budget Prioritisation Framework is developed on an annual basis to identify the policy and planning priorities for the forthcoming year and used to guide resource allocations in line with long-, medium- and short-term priorities and results.
 4. The National Annual National Strategic Plan is developed on an annual basis to give expression to the priorities and targets of government for a particular year and to guide the development of institutional plans.
 5. The approved short, medium- and long-term plans are institutionalised by the three spheres of government including through the institutional five-year and annual plans (Strategic Plans and Annual Performance Plans).
 6. The approved NSDF is revised every five years in alignment with the medium and long-term national development plans and is implemented and institutionalised across the three spheres of government.
 7. Provincial governments will develop long- and medium-term plans aligned with the national long and medium -term plans whilst considering provincial priorities and mandates.
 8. Institutional Strategic Plans and Annual Performance Plans are results-based and aligned to the medium- and long-term national plans in accordance with the Revised Framework for Strategic and Annual Performance Plans. These Plans provide geo-spatial referencing for the location of interventions at a local level.
 9. National sector and cluster plans are aligned to the medium- and long-term development plans.
 10. The DDM One Plans and IDPs are aligned to the medium- and long-term plans at a provincial and national level.
 11. A Revised Framework for Corporate Planning and Shareholder Compacts aligned to the government's results-based planning principles and methodologies is developed to guide planning by SOEs.

12. National, provincial and local government planning frameworks and guidelines make provision for collaboration with non-government stakeholders in the development and institutional planning processes across the three spheres of government.
- c) An enabling environment for undertaking development and institutional planning including where:
1. Planning is professionalised to improve the institutionalisation and integration of short, medium- and long-term policy priorities, outcomes-based planning and planning alignment across the spheres of government.
 2. A Knowledge Hub is established as a repository for data and information necessary for evidence-based planning and decision making.
 3. New techniques are utilised in government planning, including foresighting and anticipatory governance.
 4. Evidence-based and results-based planning and budgeting is mandatory and capacitated across the three spheres of government.
 5. Technology and innovation are utilised to strengthen the planning system and instruments are automated, including through linkages across short- and medium-term instruments
 6. Appropriate institutional arrangements across the three spheres of government are institutionalised to serve as vehicles to coordinate engagements and dialogues on planning towards coherence, alignment and integration. Planning forums are aligned to oversight structures to ensure effective and efficient decision making. Where appropriate, social partners are included in planning forums.
 7. Capacity building programmes on planning are expanded, including in collaboration with higher education institutions and professional bodies.
 8. DPME in consultation with centre-of-government departments issues an annual planning and budgeting cycle as well as schedules of technical support services to be provided within the planning system for a financial year.
 9. DPME in consultation with centre-of-government departments, provincial and local government issues a compendium of common definitions for the three spheres of government.

6.2 Envisaged Integrated Planning Model

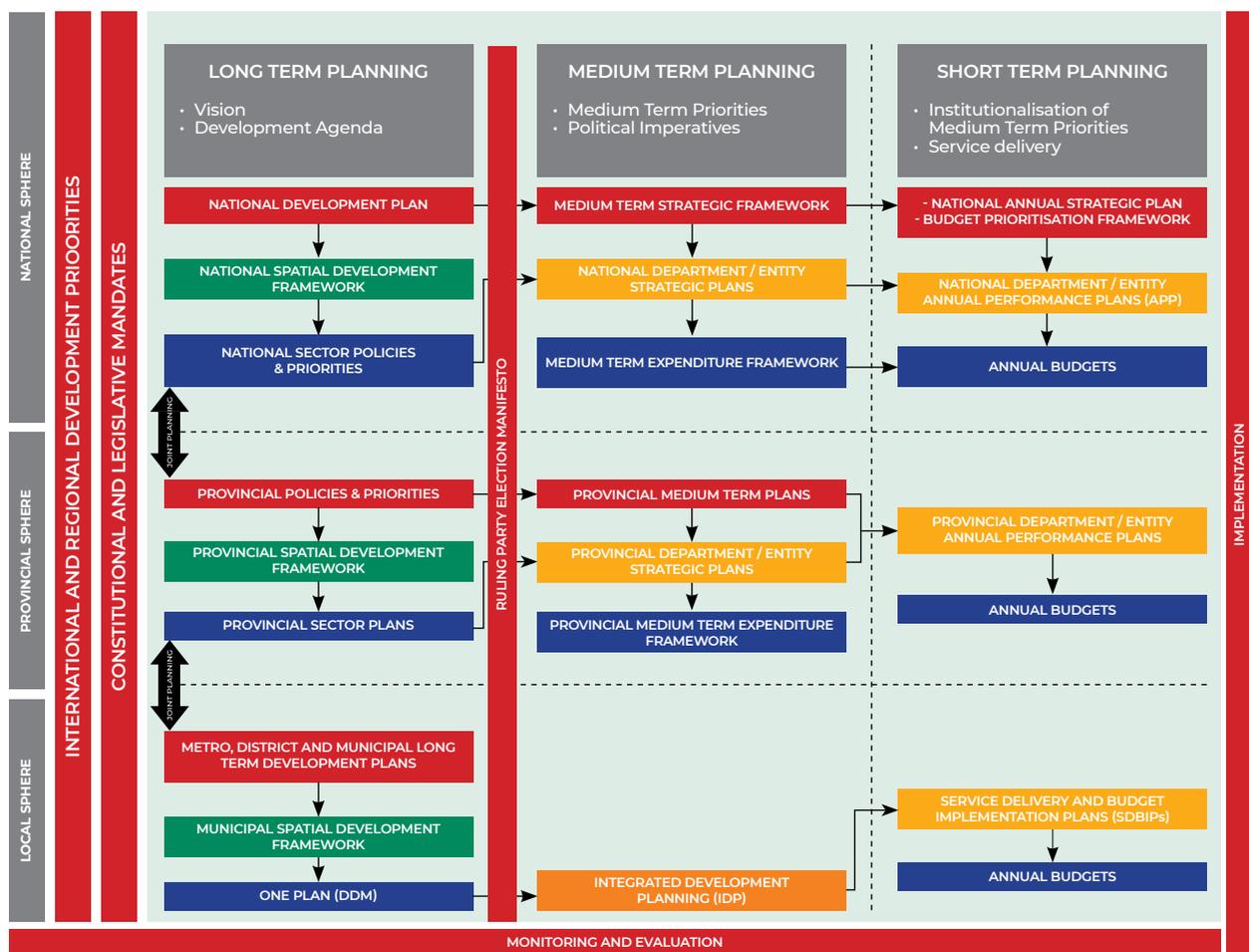
The achievement of medium- and long-term development priorities demands a cooperative relationship across national, provincial and local governments; and with social partners. The three spheres of government need to work collaboratively to ensure alignment between their powers and functions, the planning processes and budget allocation processes. A collaborative planning approach, including all stakeholders (government, private sector and civil society) must be pursued to ensure buy-in and ownership of the long-term development agenda by all in society towards the national strategic vision.

The national planning function has a unique role to play in analysing trends, identifying priorities and directing government and society towards national development planning and implementation. It is important that the planning function is at the centre of learning, innovation, experimentation and research, and that it interacts not only with all spheres of government, but across a wider range of institutions including business, labour,

academia and civil society. This will enable the planning function to play a catalytic and innovative role that constitutes a valuable addition to the types of planning done at departmental level as well as influencing planning in other sectors.

The approach to planning should incorporate both a top-down and bottom-up approach. Key elements of these are identified below.

Figure 4: Planning System



The figure above illustrates the interrelationships between the different levels of planning at the different spheres of government. In essence, national government plans inform plans for the provincial sphere, and provincial plans inform local government plans. The national and provincial sphere must take the local government IDPs into consideration when charting a development agenda. The figure

shows how the results of the planning of one sphere need to feed into the planning of the other spheres in a cyclical feedback process. In addition, horizontal alignment is imperative within a sphere of government to ensure that the policy direction is coherent and implementation is coordinated, and that public funds are effectively invested to achieve the greatest benefit and optimal level of development results.

The national planning function has a unique role to play in analysing trends, identifying priorities and directing government and society towards national development planning and implementation. It is important that the planning function is a centre of learning, innovation, experimentation and research, and that it interacts not only with all spheres of government, but across a wider range of institutions including business, labour, academia and civil society. This will enable the planning function to play a catalytic and innovative role that constitutes a valuable addition to the types of planning done at departmental level as well as influence planning in other sectors.

Key elements of the top-down and bottom-up approach to planning are reflected below:

i. Top-Down Planning Approach

- Define a long-term national development agenda through a long-term development plan;
- Coordinate the delivery of the election mandate through the Medium-Term Strategic Framework in alignment with the long-term development plan;
- Determine medium term development priorities in the MTSF for implementation which includes spatial prioritisation and social transformation imperatives;
- Identify policies, programmes and interventions that must be implemented within the ambit of the medium-term development priorities;
- Confirm the institutional arrangements which set out the contributions of both government and social partners;
- Develop a national monitoring and evaluation framework to track the achievement of results over the medium term;
- Develop mechanisms to inform accountability for contributions by social partners;
- Allocate national budget to fund

delivery of medium-term priorities;

- Align provincial and local government development plans towards the national medium-term and long-term development agenda;
- Implement aligned timeframes for planning, budgeting, monitoring and evaluation processes across the three spheres of government, including public entities and SOEs;
- Develop institutional plans in the three spheres of government which align to the delivery of the medium-term development priorities;
- Provide technical planning support to guide the alignment of institutional plans to the medium-term development agenda;
- Reflect planned delivery of the three spheres of government institutional plans in the DDM “One Plans” to guide investment and delivery in relation to the 52 district and metropolitan spaces.

ii. Bottom-Up Planning Approach

- Identify service delivery challenges and community needs through local level consultations, diagnostics, and research;
- Prioritise challenges and needs to be addressed within the 52 district and metropolitan spaces;
- Align local government development plans towards the national and provincial medium-term development agenda;
- Identify policies, programmes, projects that must be implemented in the IDPs for development gains;
- Allocate local government budgets to fund delivery of medium-term strategies;
- Reflect planned delivery of the three spheres of governments’ institutional plans in the DDM One Plans to guide investment and delivery in relation to the 52 district and metropolitan spaces;
- Ensure national and provincial medium term development plans make provision for addressing priority local development challenges.

6.3 Stakeholders

Table 4: List of Stakeholders

Name of the stakeholder	Influence
The Presidency	<ul style="list-style-type: none"> • Provide leadership and supervision in galvanising the whole of government and society towards the attainment of the vision of the NDP, Vision 2030. • Lead the alignment and coordination of the implementation of the strategic agenda of government.
Department of Planning, Monitoring and Evaluation (DPME)	<ul style="list-style-type: none"> • Lead the processes of national planning and driving key government priorities. • Issue policy frameworks and guidelines for planning and M&E including integrated planning. • Institutionalise planning within government. • Develop short, medium and long-term plans • Regulate government planning • Lead the alignment and coordination of the implementation of the strategic agenda of government.
National Planning Commission	<ul style="list-style-type: none"> • Provide research and analysis to inform long term planning and integrated planning through involvement / engagement of non-government sectors.
National Treasury	<ul style="list-style-type: none"> • Provide guidance on budgeting to ensure transparency and control of expenditure in all spheres of government. • Ensure that budgets are aligned with institutional plans and government priorities.
Department of Cooperative Governance and Traditional Affairs	<ul style="list-style-type: none"> • Ensure the coordination of the development of standardised indicators for local government. • Collaborate with DPME and other departments at the centre of government with regard to integrated planning. • Issue frameworks and guidelines for local government in relation to planning and monitoring.
Department of Public Service and Administration	<ul style="list-style-type: none"> • Ensure alignment of SDIP with the broader government priorities.
Statistics South Africa	<ul style="list-style-type: none"> • Provide statistical data that can be used by government institutions for planning purposes.
National departments responsible for PFMA Schedule 2, 3B and 3D institutions	<ul style="list-style-type: none"> • Ensure that planning in the SOEs is aligned with the Medium-Term Strategic Framework and NDP goals. • Compacts can be improved to be more results and outcomes based.
National departments	<ul style="list-style-type: none"> • Implement the long and medium priorities of government to ensure that development results are achieved.

Name of the stakeholder	Influence
Offices of the Premiers (OTPs)	<ul style="list-style-type: none"> Ensure that deliverables in the long- and medium-term priorities of government are aligned with the provincial priorities, and that local government priorities are taken into consideration when provincial priorities are developed. Ensure that national and provincial priorities are planned for, implemented and monitored.
The National Economic Development and Labour Council (Nedlac)	<ul style="list-style-type: none"> Promote collaboration between government and non-government sectors towards achievement of the development priorities for the country.
Provincial departments	<ul style="list-style-type: none"> Implement the long and medium priorities of government to ensure that development results are achieved.
South African Local Government Association (SALGA)	<ul style="list-style-type: none"> Provide guidance on the integration of MTSF priorities into the plans and agenda of the municipalities.
Nation School of Government (NSG)	<ul style="list-style-type: none"> Provide training to government institutions on improving the capabilities for planning, monitoring, evaluation, administration and management related courses.
Department of Women, Youth and Persons with Disabilities	<ul style="list-style-type: none"> Provide planning guidance to national and provincial departments in terms of inclusion of the women, youth and persons with disabilities in the short, medium- and long-term plans, including institutional plans.
Non-Government Stakeholders	<ul style="list-style-type: none"> Contribute to the development, adoption and implementation of government's priorities. Produce research and knowledge that contributes to the improvement of government planning, implementation, monitoring and evaluation processes.

6.4 Roles and Responsibilities

The section below provides the roles and responsibilities of key stakeholders in the integrated planning model.

6.4.1 Executive Authority – Cabinet

The mandate of the national planning function derives from the Constitution, Section 85(1) of which states that “the executive authority of the Republic is vested in the President” and that the President exercises this authority together with

Cabinet. This executive mandate includes developing and implementing national policy and coordinating the functions of state departments and administrations. The mandate therefore is founded on the strategic and coordinating authority of the Presidency rather than authority derived from legislation.

The Cabinet holds government institutions accountable for the implementation of the electoral mandate through their long-term, medium-term and institutional plans. Cabinet plays an oversight role on

the implementation of plans through the constituency, AGSA and other Chapter 9 institutions. The role of the Cabinet in integrated planning is crucial to ensure alignment of priorities across the three spheres of government.

Cabinet is the shareholder with regard to the SOEs and they will appoint an Executive Authority EA to be the shareholder representative. The EA will perform the oversight with the support of their department over the relevant SOE including the planning function.

6.4.2 The Presidency



The Presidency guides policy development through the National Policy Development Framework and Socio-Economic Impact Assessment System as a tool that validates the policy implementation. The Presidency ensures the implementation of government priorities and policies the development results.

6.4.3 Minister in the Presidency for Planning, Monitoring and Evaluation

The authority of the Minister in the Presidency to implement national planning derives from the Sections 85(1) and 85(2) of the Constitution of the Republic of South Africa. This authority provides that the Minister lead processes of national planning and is the custodian of planning, monitoring and evaluation

systems in government. The Minister in the Presidency also chairs the National Planning Commission.

6.4.4 Department of Planning, Monitoring and Evaluation (DPME)

The DPME leads processes of national planning which covers organisation and regulation of planning, planning support, and the development of key national development-focused plans. It also leads and manages the process of developing long-term development plans (National Development Plan and Spatial Development Plans), medium-term development plans (the Medium-Term Strategic Framework) and the annual Budget Prioritisation Framework, including key consultations and negotiation processes, and publishes and disseminates these plans on behalf of the government.

A key role will be to continue to provide appropriate administrative and technical support to the NPC as an important body for consultation on national development. DPME leads and manages the development of a monitoring framework on the MTSF, in collaboration with core national departments, and reports on a six-monthly basis to Cabinet on progress in achieving the priorities set out in the plan.

6.4.5 The National Planning Commission (NPC)

The NPC is one of several commissions that exist to inform integrated and informed planning. Other commissions include the Commissions on 4IR, Water and Sanitation, and Land Reform. These commissions focus on sector specific issues and contribute to the planning landscape. Commissions are mainly high-level structures formed by the Presidency to focus on certain sector issues and accelerate implementation.

The mandate of the NPC is to advise on long-term development planning, take a broad, cross-cutting, independent and critical view of South Africa, to help define the South Africa all South Africans seek to achieve over a long-term period, and to map out a path to achieve that preferred future. The NPC is expected to put forward solid research, sound evidence and clear recommendations for government and perform an expert advisory role to the Minister in the Presidency, Cabinet and the President on national development.

The NPC conducts research and analysis to inform long-term planning, contributes towards international partnerships and networks on national planning, and engages sectors of society on the long-term development of the country. The NPC promotes and advances the implementation of the NDP across society through rallying the citizens behind the Plan.

6.4.6 Ministerial Clusters

The Ministerial Clusters are responsible for providing inputs into the policy and recommend for approval by Cabinet. The Ministerial clusters are crucial to ensure the alignment of government wide priorities, facilitate and monitor the implementation of priority programmes, and to provide a consultative platform on cross-cutting priorities and matters being taken to Cabinet. The role of Ministerial clusters in integrated planning is to foster a planning approach, which improves decision making and service delivery.

6.4.7 Forum of South African Directors-General (FOSAD)

FOSAD is a planning and coordination mechanism composed of the Director-Generals of national and provincial government departments as well as representatives of the South African Local Government Association (SALGA). FOSAD

provides inputs and recommendations on government policies to Ministerial Clusters. FOSAD plays a technical and administrative role in integrated planning, ensuring that plans are sound, integrated and will be implemented in the respective departments.

6.4.8 Statistics South Africa (StatsSA)

StatsSA is tasked in law to collect data for the country. StatsSA will support planning for development by the provision of statistical data and use of models to support the development of targets for long- and medium-term development plans, spatial planning and other planning conducted in the three spheres of government upon request by stakeholders and DPME.

StatsSA has developed statistical data tools and applications, including the Growth Accounting Framework, Social Accounting Matrix and Supply Use tables that are readily applicable for decision-making in national planning; these tools will be made available to DPME and other government institutions to support empirical decision-making under appropriate institutional arrangements.

6.4.9 National Treasury (NT)

National Treasury is the custodian of government budgeting. NT manages national economic policy, prepares the government's annual budget and manages the public finances. The NT's role in planning is to ensure that budgets are aligned with institutional plans and government priorities, and allocated accordingly.

6.4.10 Department of Cooperative Governance (DCoG)

DCoG is responsible for the coordination of the development of standardised indicators for local government. DCoG is

also responsible for providing planning guidelines and framework to local government in relation to the development of the IDPs and furthermore, provide guidance on the develop of the One Plan across the three spheres of government which contributes to the integrated planning model.

6.4.11 Provincial Government

Provincial government is empowered to undertake planning in areas specified in the Constitution where national government similarly has the authority to implement planning. The role of planning for provinces therefore requires that this sphere of government works closely with the DPME and other national departments in planning for development.

Provinces will identify and drive key development priorities that include economic development and spatial transformation, through Provincial Growth and Development Strategies and Provincial Priorities. Provinces must align to national development planning goals and sectoral plans and ensure that these are incorporated into provincial development priorities and plans. It is also important that provinces work and plan with other spheres of government and use provincial planning processes to bring different stakeholders together to build consensus on development results and the execution of provincial plans.

6.4.12 Local government

The core function of local government is to provide basic services to the communities that they serve. The current modes of planning at the local level that include IDPs and Local Economic Plans (LEDs) which are concerned with improving the delivery of basic services to citizens and creating economic prosperity in municipalities. Local government must

ensure that their local planning objectives are better integrated into planning activities of the national and provincial spheres of government through the intergovernmental planning processes.

Local government representatives will participate in national development planning to ensure coordination of stakeholders in the three spheres of government towards effective implementation of the national strategic direction, and the spatial targeting of investment and spatial transformation. Public participation by citizens in the preparation of municipal plans, the relationship of these plans to national development plans and priorities, and the convergence of the three spheres of government in a manner that seeks to achieve the objectives of the government priorities will occur.

6.4.13 State-Owned Enterprises (SOEs)

Many SOEs have a development mandate that coexists alongside considerations of commercial sustainability. SOEs provide the services on behalf of the government and services rendered by these SOEs are crucial for the achievement of government priorities. SOEs must develop strategic plans that are aligned to the NDP priorities and must participate meaningfully in forums for joint planning with the three spheres of government. SOEs' planning approach should be aligned to one used by the rest of government to ensure alignment and integration across government institutions. Cabinet is the shareholder with regard to the SOE's and they will appoint an Executive Authority EA to be the shareholder representative. The EA will perform the oversight with the support of their department over the relevant SOE including the planning function.

6.4.14 South African Local Government Association (SALGA)

The SALGA is responsible for local government oversight. The role of SALGA in the integrated planning process is crucial to enforce integration of provincial and national priorities into the local government development agenda.

6.4.15 Department of Public Service and Administration (DPSA)

The DPSA is responsible for providing planning guidance to national and provincial departments in relation to the SDIPs, human resources, information and communication technologies. The DPSA does not provide support directly to local government, the support is offered through provincial and national government.

6.4.16 National School of Government (NSG)

A key function of the NSG is working towards professionalising the planning function in government through provision of a standardised organisational structure and qualification. The NSG is a state training institution tasked to build public sector capabilities to implement the government's development agenda. The role of the National School of Government in capacity building will be crucial in professionalising the planning function in government.

6.4.17 Executive Authorities responsible for PFMA Schedule 2, 3B and 3D institutions

Provides strategic direction to SOEs, so that their businesses are aligned with the national development priorities. Monitor the implementation of the plans through the quarterly performance reporting

and reviews on both non-financial and financial performance to ensure alignment between expenditure and performance. Consistent engagement on planning and supporting the SOEs to address the challenges that may have a negative impact on the achievement of priorities is important. These oversight Ministries include Departments of Public Enterprises, Transport, Trade Industry and Competition; Defence; National Treasury; Mineral Resources and Energy; Digital Communication and Technologies; Agriculture, Land Reform and Rural Development; Environment, Forestry and Fisheries. etc.

6.4.18 The National Economic Development and Labour Council (Nedlac)

The National Economic Development and Labour Council provides a platform in which government, labour, business and community organisations seek to cooperate, through problem-solving and negotiation, on economic, labour and development issues, and related challenges facing the country. The Nedlac is crucial to promote collaboration between the public and private sector towards the achievement of government priorities.

6.4.19 Department of Women, Youth and Persons with Disabilities (DWYPD)



The DWYPD provides frameworks and guidelines on the implementation of the government's priorities regarding women, youth and people with disabilities (WYPD). The Department also assesses the plans of national and provincial departments for the alignment to the framework and monitors progress on the empowerment of WYPD. The DWYPD provides guidance to national and provincial departments in terms of mainstreaming of women, youth and persons with disabilities to ensure responsive country and institutional planning. The Department monitors and evaluates plans and implementation towards the achievement of WYPD priorities. The role of the Department in planning is underpinned by the Revised Framework for Strategic Plans and Annual Performance Plans.

The machineries for Women, Youth and Persons with Disabilities exist, however they are not effectively functional. The DWYPD in the process of reviewing these. The High-Level Steering Committee (HLSC) is functional at an implementation level and was established to provide strategic guidance, serve as a high-level consultative forum and take the necessary decisions on issues relating to gender responsive policy, planning, budgeting, audits, research, monitoring and evaluation and related matters towards improving women's empowerment and gender equality outcomes. The forum is held every second month. Provincial workshops on GRPBMEAF are also held every second month.

Processes and timelines exist in DWYPD to enable integrated planning. There are processes and timelines for inputs in the Revised Framework for Strategic Plans and Annual Performance Plans (APPs), the analysis of Strategic Plans and APPs for gender, youth and disabilities responsiveness as well as providing analysis feedback to departments, all aligned to the DPME processes.

6.4.20 Non-government stakeholders

Non-government stakeholders will contribute to the development of policy, planning and implementation of government priorities. There are different types of non-government stakeholders that contribute to integrated planning such as (a) Academia; (b) Civil Society, (c) Business, (d) Non-government Organisations and (e) Labour. These stakeholders bring different roles to the integrated planning processes in government. Academics produce research that contributes to the improvement of government planning, implementation, monitoring and evaluation processes. Civil society serves as a link between government and society. Civil society engages in advocacy and offers alternative policies for government, by ensuring that the rights and interests of people are protected. Civil society monitors government policies, plans and actions and further holds government accountable to its actions. The business sector makes various contributions to the priorities and functions of government. The business sector and government should collaboratively plan and implement projects together, in order to address the socio-economic challenges and to improve services. The business sector has the resources and capacity to assist government in achieving the national development priorities. The role of NGOs is to be flexible, able to innovate, and have societal understanding around the challenges faced, without being profit-oriented. The NGO's role is to assist government in addressing the needs of the society. The role of organised labour in government processes is to ensure that the interests and rights of the labour force are considered during the planning of government priorities.

6.5 Role of Centre-of-Government Departments in Integrated Planning

The departments at the centre of government include the Department of Planning, Monitoring and Evaluation, National Treasury, the Department of Public Service and Administration, DPE, and Department of Cooperative Governance. Their functions are to provide guidelines for the planning cycle and five-year development plans; develop capacity to diagnose development challenges and setting priorities; ensure policy coordination, design and implementation and alignment of line ministries with central planning instrument; strategic development planning including industrial policy and integration of spatial planning in national strategic planning; monitoring implementation and progress; and stakeholder management and accountability including state and non-state actors. In particular, DPME provides guidance to national and provincial government on long, medium and short term development and institutional planning; NT provides guidance to the three spheres on budget planning; DPSA provide guidance to national and provincial government on public administration (including human resources) planning; DCOG provides guidance to provinces and local government on development and citizen based needs planning; and DPE together with other departments that have oversight over SOEs provides guidance on SOE development and institutional planning.

In an effort to improve the communication and drive integration in planning and also coordination, the departments at the centre of government should enhance their collaboration in providing guidance to government institutions. The departments at the centre of government must ensure that all guidance provided

to government institutions are aligned to the national development priorities and encourage integration and collaboration of the processes and resources to deliver on the priorities in a coherent and cooperative manner. These departments must also engage and collaborate in processes that are related in order to avoid stakeholder fatigue and fragmentation of processes.

Departments such as DWYPD and national departments responsible for PFMA Schedule 2 institutions can participate in engagements with the centre-of-government departments to deliberate on common matters that impact on planning. The collaboration between the national departments and the centre-of-government departments will encourage integration and coherence on planning processes across government institutions.

6.6 Roles and responsibilities of national, provincial and local government functions

It is important to differentiate the roles and responsibilities of the spheres of government in integrated planning. It is imperative to understand where and how integration will happen across the spheres. Accountability and monitoring of this integration will be important. The preceding section highlighted the roles of single departments however, these functions need to be amalgamated and a flow of integration and coordination must be clearly communicated.

National sphere:

The national sphere of government is responsible for several functions that affect the country as a whole and/or require uniformity.

Through the parliamentary process, the presidential and Cabinet powers, and the administrative functions of the Director

Generals and departments, the national sphere of government must ensure that national plans and priorities are developed in a consultative manner. Consultation with the private sector, civil society and consultation of the provincial and local government must be coordinated at the national level to ensure integration and clear communication of national priorities, including those in the National Spatial Development Framework. The DPME must design mechanisms to implement and monitor consultations and integration of planning priorities and establish a golden thread of integration from national to local government.

Provincial sphere:

The powers and functions of Premiers of provinces are entrusted by the Constitution and other legislation.

The Premier of a province is responsible for: -

- a) assenting to and signing Bills;
- b) referring a Bill back to the provincial legislature for reconsideration of the Bill's constitutionality;
- c) referring a Bill to the Constitutional Court for a decision on the Bill's constitutionality;
- d) summoning the legislature to an extraordinary sitting to conduct special business;
- e) appointing commissions of inquiry; and
- f) calling a referendum in the province in accordance with national legislation.

The Offices of the Premier (OTP) must take leadership to translate national priorities into provincial plans while taking provincial priorities and mandates into account. The mechanisms of the integration must

be developed, led by the OTP to ensure coordination and consultation of integration of plans. Each province has to develop a Provincial Growth and Development Strategy (PGDS) that outlines the overall framework and plan for developing the economy and improving services. Provinces also have a Spatial Development Framework (SDF) that indicates the manner in which residential and business development should take place.

Local sphere:

The objects of local government are -

- a) to provide democratic and accountable government for local communities;
- b) to ensure the provision of services to communities in a sustainable manner;
- c) to promote social and economic development;
- d) to promote a safe and healthy environment; and
- e) to encourage the involvement of communities and community organisations in the matters of local government.

A municipality must strive, within its financial and administrative capacity, to achieve the objects set out in Section 152 (2) of the Constitution.

Through the council powers and mayoral process and administrative support of municipal managers, the process for developing the town/urban and regional planning (Long Term Development Strategy (LTDS), Integrated Development Plan (IDP), Spatial Development Framework (SDF) and local economic development must be guided by the PGDS and SDF as a continuation of integrated planning.

6.7 Departments responsible for policy and those responsible for service delivery and how these must function to ensure integration

Government departments are mainly guided by the mandates stipulated by the legislation, Cabinet and the presidential proclamations for the department to execute its objectives. There is a distinction between departments with mandates that drive policy development and those that are responsible for the delivery of services, such as, frontline services.

Many of the national departments are responsible for policy development and the policies are implemented by public entities or provinces and municipalities. These types of departments also provide oversight over their implementing agencies within the relevant sectors. In some of these departments the mandates focus on policy design, development, facilitation and monitoring.

These departments may not have concurrent functions in provinces. They have powers to provide an enabling environment, assist in interpreting government regulation and provide administrative guidance from the accounting officer and approval from the Minister, on the development of policy which will be implemented in line with the MTSF priorities. The policy-driven departments do not necessarily implement the full policy but rather ensure that systems are in place to allow effective implementation.

Coordination problems are particularly acute between national departments with overlapping or interdependent responsibilities. This includes departments responsible for governance and

administration issues. These departments could work together more effectively at a horizontal level. In some instances, there could be significant policy disagreements or contradictions, and this requires a greater role for strategic coordination through both the cluster system and the Presidency.

Collaboration of the departments (inter-governmental and horizontal)

- Adopt a less hierarchical approach to coordination with routine issues being dealt with on a day-to-day basis between officials in departments.
- Use the cluster system to focus on strategic cross-cutting issues.
- Where coordination is lacking, the Presidency should bring different parties together to mediate agreements.
- There should be a link between horizontal coordination and improved governmental performance and national planning. To achieve integrated planning amongst these distinctive departments, high-level horizontal coordination across all participating departments within the sector is required.
- Institutional capabilities are required to ensure successful horizontal coordination successfully.

6.8 Communication

DPME will communicate the policy framework with the following stakeholders and the whole of government:

6.8.1 Centre of Government and Other Oversight structures:

- a) The Presidency
- b) National Treasury
- c) Department of Planning, Monitoring and Evaluation
- d) Department of Public Service and Administration

- e) Department of Cooperative Governance
- f) Department of Women, Youth and Persons with Disabilities
- g) Department of Public Enterprises
- h) National departments responsible for PFMA Schedule 2 institutions

6.8.2 National Institutions

- National departments
- Government components
- Constitutional institutions
- Schedule 2, 3A and 3B public entities

6.8.3 Provincial Government

- Provincial departments
- Provincial Legislature
- Offices of the Premier

6.8.4 Local Government

- Department of Cooperative Governance and SALGA to facilitate the process for communication of the policy framework.



7. GOVERNANCE, MONITORING, EVALUATION, AND IMPLEMENTATION

7.1 Performance Reporting and Accountability

- i. The Treasury Regulations and the relevant Instruction Notes provides the requirements for, and regulate the development and submission of, Strategic Plans (SPs), Annual Performance Plans (APPs) and related quarterly performance reporting by national and provincial institutions. The Policy Framework for Integrated Planning will be implemented through an implementation plan which outlines outputs, indicators and targets, as well as responsible institutions which will account for progress on the achievement of the set targets. The indicators and targets in the implementation plan for the Policy Framework will be reflected in the Annual Performance Plans of each responsible institution, which will be tabled in Parliament and monitored through the quarterly performance reports submitted to the DPME. Progress on the achievement of targets in the implementation plan for the Policy Framework will also be reported to Parliament.
- ii. Executive Authorities: Ministers, MECs and mayors are accountable to Parliament, (Constitution of South Africa), provincial legislatures and municipal councils, and should provide implementing institutions with full and regular reports concerning matters within their mandate. Ministers, MECs and mayors should ensure that the institutions under their control set up appropriate planning and performance information systems so that they are able to fulfil their accountability reporting responsibilities. They should

also oversee such systems to ensure that they are functioning optimally and comply with this Framework and other related standards and guidelines.

- iii. Accounting Officers: The Accounting Officer of an institution must establish and maintain the systems to manage planning and performance information. Their performance agreements should reflect these responsibilities (PFMA No.1 of 1999).
- iv. Programme managers and planning practitioners: Programme managers and planning practitioners must establish and maintain the planning and performance information management processes and systems within their areas of responsibility. Their performance agreements must reflect these responsibilities.

7.2 Implementation of the Policy Framework for Integrated Planning

It is important for the Policy Framework to have an implementation plan to ensure that the recommendations result in outcomes that can be monitored. The implementation of the Policy Framework's recommendations through indicators and targets will result in the achievement of the outcomes and the impact statement, as outlined in the Theory of Change for the Policy Framework. A detailed implementation plan is outlined in a separate document.

The implementation of the Policy Framework for Integrated Planning will be a multi-year intervention in order for government to improve integrated

planning across the three spheres of government. The DPME as the custodian of the Policy Framework will coordinate the change management processes related to the adoption, advocacy and implementation of the Policy Framework for Integrated Planning. In addition, the DPME will focus on raising awareness on the provisions of the Policy Framework and supporting the implementation of the policy recommendations by responsible institutions. Where necessary, DPME will collaborate with institutions such as the National School of Government to undertake skills and capability development initiatives.

The National Steering Committee on Integrated Planning will be the primary stakeholder engagement platform that will seek to drive and provide oversight on the implementation of the Policy Framework recommendations. The Committee will constitute a key implementation partnering and dialogue forum for the successful implementation of the Policy Framework.

7.3 Change management

The DPME as the custodian of the Policy Framework will coordinate the change management processes related to the adoption, advocacy and implementation of the Policy Framework for Integrated Planning. Priority will be given to soliciting buy-in and approval at a political level as well as buy-in from an executive management level across the three spheres of government, including non-government buy-in which will be facilitated through Nedlac. In addition, the DPME will focus on raising awareness on the provisions of the policy framework and supporting the implementation of the policy recommendations by responsible institutions. Where necessary, DPME will work with partner institutions such as the National School of Government and SALGA to undertake skills and capacity

development initiatives. The National Steering Committee on Integrated Planning will be a key implementation partner and dialogue forum for the successful implementation of the Policy Framework. Furthermore, change management provisions and processes must be a key design feature of each output as per the policy recommendations.

7.4 Monitoring processes

The DPME will coordinate the reporting and monitoring of the implementation of the Policy Framework. Implementation of the policy Framework will be monitored through the institutional APPs for which progress is reported on the eQPRS, and Operational Plans which are monitored internally within institutions.

The indicators and targets from the implementation plan will be included in the individual Annual Performance Plans (APP) and Annual Operational Plans (AOP) of the relevant departments. APPs and AOPs plans are instruments to implement government policies and programmes. Performance against the indicators and targets in the APP and AOP are monitored on a quarterly basis through the eQPRS and through institutional internal reporting systems.

7.5 Evaluation of the Policy Framework

The National Evaluation Policy Framework (NEPF) sets minimum standards on the implementation of evaluation in government. The evaluation of the Policy Framework must be conducted in different phases. For example, within a year of the adoption of the Policy Framework, a design evaluation of the Policy Framework will be conducted to assess the appropriateness of the theory of change and whether the objectives of the Framework are clear. In about two to three years of implementing the Policy Framework, an implementation

evaluation of the Policy Framework will be undertaken to understand how the Policy Framework is working and how it can be strengthened. An outcome/impact evaluation can be undertaken after five or so years to determine whether the Policy Framework did achieve the intended outcomes.

A sectoral review on the implementation of the Policy Framework can be undertaken to assess how it can be strengthened and better coordinated to improve effectiveness and efficiency with all resources that are used and accounted for in the sector.

7.6 Policy review schedule

The Implementation Plan for the Policy Framework for Integrated Planning will be reviewed annually based on the performance from the previous financial year. The review of the Policy Framework will take place once the findings from the evaluation of its implementation have been finalised and approved. These findings will serve as evidence to inform the review of the Policy Framework. The NEPF sets minimum standards on conducting evaluations in government and will be adhered to. The Policy Framework will be reviewed every five years.

7.7 Transparency and Information dissemination

The implementation of the Policy Framework is transparent and participatory in nature. The planning and performance management processes in government encourage transparency and accountability. The Policy Framework has outlined the different steps of planning processes that government institutions follow in order to produce different types of plans.

The government policies, frameworks and plans are disseminated through different channels of sharing information in order to encourage access to government information. The Policy Framework will be published following the government processes which include approval by Cabinet. The Policy Framework will be disseminated through the different government channels to ensure transparency and access to information by all citizens. This will be the responsibility of the DPME.

7.8 Risk assessment and mitigation strategies

Table 5: Risk assessment

Risk	Risk Description	Mitigation Measures
Resistant to change or lack of buy-in by government institutions	<ul style="list-style-type: none"> Resistance to adhere to the changes that are brought by the implementation of the Policy Framework especially the processes of planning across the spheres of government. 	<ul style="list-style-type: none"> The consistent engagement and sharing of the processes with government institutions. Consultations during the development of different guidelines to improve integrated planning.
Lack of collaboration by the centre of government institutions	<ul style="list-style-type: none"> Lack of collaboration by the centre of government institutions will create confusion on guidance and direction provides across government institutions. 	<ul style="list-style-type: none"> The effective use of centre-of-government forums to discuss the integrated planning processes. Continuous and consistent engagements.
Lack of interest by the non-government sector	<ul style="list-style-type: none"> Lack of interest by the non-government sector will slow down the integrated planning and lead to parallel initiatives. 	<ul style="list-style-type: none"> Thorough consultation through appropriate non-government structures.

7.9 Five-year implementation plan

The table below outlines the outputs, indicators, and targets in relation to the implementation of recommendations from

the Policy Framework. The targets below will be implemented by the identified responsible institutions and will be included in their institutional plans for the implementation of the Policy Framework for Integrated Planning post approval.



Table 6: Implementation plan

Outputs	Output Indicator	Responsible Institution	Annual Target				
			2022/23	2023/24	2024/25	2025/26	2026/27
Advocacy for the Policy Framework for Integrated Planning (PFIP)	The Policy Framework is communicated with implementing institutions and broader stakeholders	DPME	Launch of the Implementation of the Policy Framework for Integrated Planning Workshops on the Policy Framework for Integrated Planning with government and non-government stakeholders	Training on PFIP	Training on PFIP	Training on PFIP	Training on PFIP
Promulgation of Planning Legislation	Approved Planning Legislation	DPME	Consultation on revised Integrated Planning Framework Bill	Cabinet approval of the draft planning legislation	Promulgation of the planning legislation	Drafting and Approval of Regulations in line with the Planning Legislation	Implementation and Monitoring of the Planning Legislation
Medium Term Strategic Framework developed	Medium Term Strategic Framework developed for the five-year term	DPME	Review of medium-term planning methodology	Draft Medium-Term Strategic Framework for 2024-2029	Medium Term Strategic Framework for 2024-2029	Implementation of the Medium Term Strategic Framework	Implementation of the Medium Term Strategic Framework
National Annual Strategic Plan developed	National Annual Strategic Plan developed annually	DPME	National Annual Strategic Plan developed and implemented	National Annual Strategic Plan developed and implemented	National Annual Strategic Plan developed and implemented	National Annual Strategic Plan developed and implemented	National Annual Strategic Plan developed and implemented
Budget Prioritisation Framework developed	Budget Prioritisation Framework approved annually	DPME and NT (MTEC)	Annual Budget Prioritisation Framework developed and approved	Annual Budget Prioritisation Framework developed and approved	Annual Budget Prioritisation Framework developed and approved	Annual Budget Prioritisation Framework developed and approved	Annual Budget Prioritisation Framework developed and approved
Approved National, Provincial and Local Government Planning Frameworks and Guidelines	Approved National, Provincial and Local Government Planning Frameworks and Guidelines	NPC Secretariat	Framework for Long-term national development plans developed	Cabinet approval on the Framework for Long-term national development plans	Implementation of the Framework for Long-term national development plans	Implementation of the Framework for Long-term national development plans	Implementation of the Framework for Long-term national development plans
		DPME/DALRRD ³	Cabinet approval of National Spatial Development Framework	Implementation of the National Spatial Development Framework	Implementation of the National Spatial Development Framework	Implementation of the National Spatial Development Framework	Implementation of the National Spatial Development Framework
		DPME	Guideline on the development and implementation of the Medium Term Strategic Framework (MTSF) developed	Implementation of Medium Term Strategic Framework (MTSF) guidelines	Implementation of Medium Term Strategic Framework (MTSF) guidelines	Implementation of Medium Term Strategic Framework (MTSF) guidelines	Implementation of Medium Term Strategic Framework (MTSF) guidelines
		DPME	Guideline on the implementation of the National Annual Strategic Plan	Implementation of the National Annual Strategic Plan guidelines	Implementation of the National Annual Strategic Plan guidelines	Review of the guidelines for the implementation of the National Annual Strategic Plan	Implementation of the National Annual Strategic Plan guidelines
		DPME OTPs	Guideline for the development of Provincial Growth and Development Strategies (PGDSs) developed	Implementation of Provincial Growth and Development Strategies (PGDSs) guidelines in all provinces	Implementation of Provincial Growth and Development Strategies (PGDSs) guidelines in all provinces	Implementation of Provincial Growth and Development Strategies (PGDSs) guidelines in all provinces	Implementation of Provincial Growth and Development Strategies (PGDSs) guidelines in all provinces
		DPME The Presidency	Guideline for the development of Sector and Cluster Plans developed	Implementation of Sector and Cluster Plans guidelines across all sectors and clusters	Implementation of Sector and Cluster Plans guidelines across all sectors and clusters	Implementation of Sector and Cluster Plans guidelines across all sectors and clusters	Implementation of Sector and Cluster Plans guidelines across all sectors and clusters

³ The approval process for the NSDF resides with DALRRD. As it stands the function has not been transferred so it is noted it as a shared competence

Outputs	Output Indicator	Responsible Institution	Annual Target				
Approved National, Provincial and Local Government Planning Frameworks and Guidelines	Approved National, Provincial and Local Government Planning Frameworks and Guidelines	DCOG	Guideline for the development of the One Plans (DDM Model) developed	Implementation of the One Plans guidelines	Implementation of the One Plans guidelines	Implementation of the One Plans guidelines	Implementation of the One Plans guidelines
		DCOG	Framework for Local government long-, medium- and short-term plans developed	Cabinet approval of the Framework for Local government long-, medium- and short-term plans	Implementation of the Framework for Local government long-, medium- and short-term plans in all municipalities	Implementation of the Framework for Local government long-, medium- and short-term plans in all municipalities	Implementation of the Framework for Local government long-, medium- and short-term plans in all municipalities
Framework for Schedule 2 (SOE), Schedule 3B and Schedule 3D Planning implemented	Approved Planning Framework for Schedule 2 (SOE), Schedule 3B and Schedule 3D	DPE DPME NT	Revised Framework for Corporate Planning and Shareholders' Compact	Cabinet Approval of the Revised Framework for Corporate Planning and Shareholder's Compact	Implementation of the Revised Framework for Corporate Planning and Shareholder's Compact	Implementation of the Revised Framework for Corporate Planning and Shareholder's Compact	Implementation of the Revised Framework for Corporate Planning and Shareholder's Compact
Professionalised Planning Practice (I)	Norms and Standards for the professionalisation of planning practice implemented	DPSA NSG DPME	Memorandum of understanding with NSG and other key stakeholders on the process of professionalization of the planning practice	Approval of the minimum requirements for planning professionals (training, qualification and recruitment)	Approval of the organisational structure for planning units across government institutions (DPSA)	Implementation of the Norms and Standards for the planning practice	Implementation of the Norms and Standards for the planning practice
Research agenda setting to inform integrated planning and knowledge translation	Research agenda for planning over medium term and stakeholder dialogues for analysis and translation	DPME	Research agenda for 2022/23-2026/27 Stakeholder database for strategic partnerships	Updated research agenda to inform planning Number of dialogues hosted for analysis and translation of knowledge	Updated research agenda to inform planning Number of dialogues hosted for analysis and translation of knowledge	Updated research agenda to inform planning Number of dialogues hosted for analysis and translation of knowledge	Updated research agenda to inform planning Number of dialogues hosted for analysis and translation of knowledge
Functional Knowledge hub functional as a resource for integrated planning	Knowledge hub established	DPME	A research, analysis and knowledge hub core task team established	Various types of evidence from different sources and government institutions identified, sourced, accessed and organized into the knowledge hub	Commitment from different government institutions to share data, research and evaluation outputs relevant for planning	Integrate all research repositories from different government institutions relevant to planning and the policy cycle	Knowledge hub functional, accessible and reliable for analysis, identification of gaps, patterns/ trends and policy briefs to inform planning
Guideline on the use of evidence in planning across the three spheres of government implemented	Approved Guideline on the use of evidence in planning across the three spheres of government	DPME	Guideline on the use of evidence in planning across the three spheres of government developed	Implementation of Guideline on the use of evidence in planning across the three spheres of government	Implementation of Guideline on the use of evidence in planning across the three spheres of government	Implementation of Guideline on the use of evidence in planning across the three spheres of government	Implementation of Guideline on the use of evidence in planning across the three spheres of government
Functional Planning forums	Streamlining of planning forums across the centre of government	DPME, NT, DCOG, DPSA	Database of existing forums and their mandate/ purpose, across the centre of government	Refinement of Planning Forum/s at centre of government for improved synergy and effectiveness	Schedule for Forums circulated annually	Schedule for Forums circulated annually Assessment of planning forums	Schedule for Forums circulated annually Revised planning forums
Technical Support Service Provided by Centre of Government	Approved annual government-wide planning and reporting cycle by centre of government departments	DPME	Annual government-wide planning and reporting cycle by centre of government departments approved	Annual government-wide planning and reporting cycle by centre of government departments approved	Annual government-wide planning and reporting cycle by centre of government departments approved	Annual government-wide planning and reporting cycle by centre of government departments approved	Annual government-wide planning and reporting cycle by centre of government departments approved
Evaluations conducted on the Policy Framework for Integrated Planning	Number of evaluations conducted on the Policy Framework for Integrated Planning	DPME	-		Implementation of evaluation of the Policy Framework for Integrated Planning	Improvement Plan developed based on the results of an Implementation Evaluation of the Policy Framework for Integrated Planning	Outcome evaluation of the Policy Framework for Integrated Planning

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APPENDIX 1: INTERNATIONAL BENCHMARKING: CASE STUDIES

1. Malaysia

The Malaysian state introduced the framework for implementing the development plan through four pillars that guided their strategic priority reforms which were accumulative over the years up to the final medium-term period of 2020. Their Vision 2020 contains long term goals, 20 years and 10 years per phase dating back from 1971, comprising of New Economic Policy, National Development Policy, National Vision and New Economic Model. These phases were further divided into 5-year medium terms for the implementation of their National Development Plan. The development of the Eleventh Plan was guided by the Malaysian National Development Strategy (MyNDS), which focuses on rapidly delivering high impact on both the capital and people economies at low cost to the government.

The Malaysian planning system has a consistent hierarchy of plans with flexibility, cascading in nature from long, to medium and short term. The hierarchy of plans helps to ensure that the short-term operational plans reflect the long-term strategic visions. The long-term visions and plans provide a structure for development and ensure continuity, while maintaining flexibility, due to the in-built mechanism of mid-term reviews of the five-year plans,



which allow recalibration of policy in response to changing circumstances.

Another important feature of the Malaysian development planning system is the use of innovative approaches to foster collaboration between key stakeholders in development programmes. While within-government collaboration had been quite robust in Malaysia for some time, initiatives have expanded collaboration beyond government. In order to formulate the programmes, government successfully collaborated with the private sector and civil society. This collaboration extends beyond mere consultation or one-way communication from the government. The realisation of a “whole of society” approach to addressing pressing development problems was a useful model of collaboration for achieving the SDGs.

In linking plans and SDGs with resource allocation, the Economic Planning Unit (EPU) and the Ministry of Finance jointly scrutinise annual budget proposals from ministries, government agencies and state governments. While there are no hard-and-fast rules for prioritising projects for funding, the following factors are considered:

1. whether the project helps achieve National Key Result Areas of the Government Transformation Programme (GTP) and supports National Key Economic Areas of the Economic Transformation Programme (ETP) priorities during the 10th and 11th plans;
2. whether it is in line with new prerogatives announced by the government, such as housing for food-affected populations;
3. the total cost of the project as viewed against its expected outcomes;

4. the environmental impact of the project;
5. whether the project is a continuation from the previous plan; and 6) whether the project has a prior cabinet or ministerial approval.

Overall findings from Malaysia:

- National development planning has been central in guiding economic policy-making for more than 60 years in Malaysia. Development outcomes over the six decades have occurred against the backdrop of the five-yearly development blueprints called the Malaysia Plans, currently in its 11th edition, illustrating its importance as a policy instrument to promote growth and shared prosperity.
- The poverty rate has declined, standards of living have improved, and social and economic infrastructure that have expanded and grown in sophistication have been due to good planning and implementation, with political commitment from the highest levels.
- The national development planning system has been a beacon, directing key socio-economic reforms in the face of favourable economic climates, and even during economic transitions and global downturns, with some adjustments.
- Top-down and bottom-up approaches featured in the system balanced technical details, stakeholder buy-in and ownership with deep consultations within and beyond government.
- The budgeting of resources and a strong mandate for the Economic Planning Unit (now the Ministry of Economic Affairs) and policies were implemented through programs and projects in coordination with line ministries and sub-national governments.

2. Rwanda

Vision 2050 serves as the critical planning and policy blueprint to guide efforts by all role players in Rwanda's development, including government, private sector, citizens, diaspora, civil society and faith-based organizations, development partners, academia and research institutions, and political parties. The goal of Rwanda's democratic system is to ensure that no one is being left behind. The democratic consensus adopted in the Rwandan system allows all actors to participate in the management of the country for a common goal.

Preparation of Vision 2050 has considered global and regional development agendas to ensure coordination of targets and indicators. These include: The Sustainable Development Goals (SDGs), African Union Agenda 2063, East African Community (EAC) Vision 2050, and nationally determined contributions on the Paris declaration on climate change among other instruments. Rwanda has also integrated the development agendas into the National Strategy for Transformation (NST1, 2018-2024) and related strategies at different levels.



The implementation of Vision 2050 is done through medium term development strategies starting from the first NSTI which serves as a bridge between Vision 2020 and Vision 2050. The NSTI lays the foundations for achieving Vision 2050's targets over 2018-2024, building momentum to the targets set for the 2035 mid-term review. Vision 2050 planning and execution will be driven by existing development planning and implementation frameworks at the national, sector, and district level, respectively.

The Sustainable Development Goal (SDGs), African Union (AU) Agenda 2063, and the East African Community (EAC) Vision 2050 goals and strategies are cascaded into the Vision 2050 and National Strategy for Transformation (NST). The goals and strategies set in the NST are further cascaded down to Sector Strategic Plans (covering specific areas e.g. Health, Education) and District Development Strategies (considering District/ CoK Specificities). Deliverables set in the Sector Strategic Plans and District Development Strategies are then used to inform Medium Term Expenditure Framework (MTEF), Annual Plans and Budgets, Imihigo (performance contracts) and M&E.

The oversight function for implementing NSTI lies with Parliament and Cabinet. Cabinet provides policy guidance and strategic orientation. The Office of the Prime Minister undertakes coordination of all government programmes entailed in NSTI. The oversight function is supported by different structures and fora that include National Umushyikirano Council (the National Dialogue Council), the National Leadership Retreat, Ministerial Cluster meetings among others.

Technical coordination is undertaken through the Permanent Secretary's Forum and the Development Partners' Coordination Group (DPCG). Sector

working groups (which bring together government, development partners, private sector and civil society) follow up implementation of sectoral plans and investments through Joint Sector Reviews. At the district level, the Joint Actions Development Forum brings together all stakeholders contributing to the delivery of the NSTI implemented through District Development Strategies.

The Ministry of Finance and Economic Planning (MINECOFIN) leads the national development planning and delivery process through coordinating the national planning and budgeting functions to ensure all sector and district' plans are aligned to NSTI priorities. The Ministry of Local Government (MINALOC) supports in the coordination and follow up of implementation of District Development Strategies.

The delivery of NSTI is undertaken through annual plans, budgets and imihigo (performance contracts). The monitoring and evaluation functions follow the guidelines stipulated in the Results Based Management (RBM) policy which provides for the M&E frequency as well as the roles and responsibilities for each stakeholder.

The role of the Monitoring and Evaluation (M&E) framework in Rwanda is to track, update and report on the progress and impact of interventions outlined under NSTI as well as ensuring that information, data and analysis are of the best quality. The goal is to improve the current and future management of activities, outputs, outcomes and impacts to provide a foundation for the strongest possible NSTI implementation.

Achievement of the NSTI development targets requires effective coordination. The National Results Based Management (RBM) Policy provides the guidance for the design and structuring of the NSTI M&E framework. The policy outlines the best

practices in results-based performance management. M&E will leverage ICT tools and innovations to support timely and effective update of the performance information.

Overall findings from Rwanda:

- The Joint Actions Development Forum brings together all stakeholders contributing to the delivery of the NSTI implemented through District Development Strategies.
- The adoption of an integrated approach to planning, delivering and monitoring interventions is crucial to address poverty- and malnutrition-related challenges.
- Establishing the National Early Childhood Development Programme (NECDP) and developing the multi-sectoral strategy to eliminate extreme poverty demonstrates how different sectors have come together to address issues of malnutrition and extreme poverty.
- Building on home-grown solutions, which are rooted in the Rwandan culture, resource efficient and adapted to the national context, allows for popular ownership and participation, ensures effective and faster delivery of development, and strengthens accountability.

3. Canada

The Canadian planning system operates within the “Whole-of-government Framework” which Parliament has adopted for reporting to Parliament on progress made as a nation (Treasury Board of Canada Secretariat, 2015). This framework maps the financial and non-financial contributions of federal organisations receiving appropriations by aligning their programme activities to a set of high-level outcome areas defined for the government as a whole. The framework has four spending areas (Economic Affairs,

Social Affairs, International Affairs and Government Affairs) and 16 Government of Canada Outcome Areas, each located within one of the four spending areas. The framework maps the financial and non-financial information on programme objectives, performance, and results against the 16 Government of Canada Outcome Areas.

Supporting the Whole-of-Government Framework is the Policy on Management, Resources and Results Structures (MRRS), which requires that each federal department lay out a set of strategic outcomes, and program activities. Each programme activity may only link to one of the 16 Government of Canada Outcome Areas, though the department’s strategic outcomes may contribute to more than one Outcome Area. The policy on MRRS requires the establishment of a MRRS in each federal department as a key element of the Expenditure Management System. It provides the common framework within which financial and non-financial information is linked across government. The policy is issued in terms of the Financial Administration Act, and applies to any federal department and crown corporations seeking an appropriation from Parliament.

The objective of the policy is to ensure that the government and Parliament receive integrated financial and non-



financial programme performance information which can be used to support improved allocation and reallocation decisions in individual departments and across government. The policy requires that 1) each department clearly defines measurable Strategic Outcomes; 2) a Programme Alignment Architecture (PAA) is developed to reflect how a department allocates and manages its resources to achieve their intended results; 3) a description of the governance for each program of the PAA is provided; 4) departments to ensure that information systems, performance measurement strategies, reporting and governance structures are consistent with and support the department's MRRS. The information systems also reflect the manner in which resources are actually managed and allocated in the department; and 5) Senior executives are held accountable for the agreed outputs and outcomes set out in the MRRS.

The Government of Canada has a Management Accountability Framework (MAF) which establishes the expectations for sound public sector management practices and performance and supports accountability for deputy heads. The objectives of the framework are to give an organisational and government-wide view of management practice and performance; understand management capacity; inform the Treasury Board Secretariat about the state of policy implementation; identify weaknesses; track progress on government wider management priorities; and improve management capabilities, effectiveness and efficiency (Canada, 2015). This framework is supported by an annual MAF assessment process focussing on four core areas of management for all departments, and an additional three areas of management for some departments. The four core areas are financial management, information management and information technology management, management of integrated

risk, planning and performance, and people management. The three additional areas are management of acquired services and assets, security management, and service management. The information gathered through this assessment process is used to understand management capacity, benchmark organisational performance, understand government wide management practice and monitor policy compliance and implementation. The process is intended to allow for continual learning and improvement.

Overall Findings from Canada:

- The Policy on MRRS reinforces the government's commitment to strengthen public sector management and accountability by providing a standard basis for reporting to citizens and Parliament on the alignment of resources, program activities and results.
- The Policy on MRRS also provides for linking interdepartmental financial and non-financial information to facilitate government-wide decision making.
- The objectives or results that the government aims to achieve require the contribution of two or more departments (including Crown corporations), jurisdictions or non-governmental organizations.
- The ability to build alliances, form partnerships, and effectively manage horizontal initiatives is key to delivering services to Canadians.
- Although the Policy on MRRS does not apply directly to horizontal initiatives, its underlying principles are relevant to horizontal initiatives, given the risks related to initiatives involving multiple departments; specifically risks to the clarity of accountability, the rigour of governance, and the manner in which outcomes associated with the initiatives are aligned with the government's performance objectives.

- Managing a horizontal initiative involves entering into an agreement with partners where there is shared authority and responsibility, joint investment of resources (for example, time, funding and expertise), shared risks, mutual benefits and common results. One department is designated as the “lead” department, which may entail providing secretariat support to an interdepartmental governance committee, allocating funds to participating departments, and reporting on the overall progress of the initiative.
- The Canadian departments have adequately designed accountability structures and have defined their roles and responsibilities for their participation in horizontal initiatives.

4. Kenya

The Constitution of Kenya and The Kenya Vision 2030 and its Medium-Term Plans provide the foundation for the preparation of the County Integrated Development Plans (CIDPs) for all 47 counties in the Republic of Kenya. The CIDP is prepared by all counties to guide development over a five-year period. Kenya’s Public Finance Management Act provides that no public funds shall be appropriated outside a county’s planning framework. The CIDP contains the strategic mid-term priorities of the county and a clear theory of change.



These are usually the priorities for the county during the five-year tenure of a county government. The CIDP contains information on development priorities that inform the annual budget process, particularly the preparation of annual development plans, the annual county fiscal strategy papers, and the annual budget estimates.

In the new constitutional dispensation, there will be regional integrated plans for programmes/projects transcending several counties as well as the County Integrated Development Plans. The Ministries of Devolution and Planning, and Land Urban Development, and the Transitional Authority will be facilitated to develop initial five-year County Integrated Development Plans; ten-year County Sectoral Plans; County, Urban Areas and Cities’ Spatial Plans; strategic plans and resource mapping during the transitional period.

Overall findings from Kenya:

- The experience of one county, Vihiga County, highlights several key issues. The County’s 2013-2017 CIDP was prepared by the Transition Authority without comprehensive public participation. Although achievements were reported in various sectors most could not be verified and some of them were not completed or stalled. Further, during the reporting period the government faced various governance issues which led to poor performance in project implementation.
- Key issues that led to poor implementation of the 2013-2017 CIDP among others are:
 - o Poor county governance structure and lack of capacity and capability;
 - o Delayed and inconsistent release of funds from the National Government;
 - o Inadequate capacity in planning, budgeting and budget implementation from a

- programme-based approach;
- o Corruption incidences towards public service delivery;
- o Inconsistent linkages between the CIDP priorities and actual implementation during the MTEF; and
- o Ineffective monitoring and evaluation framework.

5. Uganda

The Government of Uganda adopted and approved the Comprehensive National Development Planning Framework (CNDPF) in 2007. This provides for the development of a 30-year Vision to be implemented through: three 10-year plans; six 5-year National Development Plans (NDPs); Sector Investment Plans (SIPs); Local Government Development Plans (LGDPs), Annual work plans and budgets. The National Planning Authority (NPA) within the Ministry of Finance, Planning and Economic Development, in consultation with other government institutions and other stakeholders, has developed a Uganda Vision 2040 and is responsible to operationalise this Vision statement. The strategic role of the NPA in driving national planning and development is well recognised by state and non-state actors. Vision 2040 stipulates that the road to transformation requires careful planning and commitment of resources, and that the human rights-



based approach to development will be integrated in the policies, legislation, plans and programmes.

Interventions are sequenced and detailed in the 5-year national development plans and annual budgets. Over the Vision period, the planning approach is based on harnessing strategic opportunities by strengthening the relevant fundamentals that facilitate maximum returns from the opportunities. The CNDPF outlines the hierarchy of planning and the development planning process. Uganda's CNDPF provides a holistic approach to long term planning, and further outlines the process through which plans are produced by various sectors. Plans are synchronised with the Medium-Term National Development Plan. The framework provides for Mid-term reviews (every two and a half years).

Planning is coordinated at two levels of government, national and local government. Firstly, at the national level it entails the determination of national priorities, integration of local government and sector plans, and production of the national development plans, and secondly, at the local government level as provided for under Section 37 and 38 of the Local Government Act, 1997. The process of producing Higher and Lower Local Government plans is coordinated by the District Council which is the District Planning Authority.

The Vision requires all development actors in the county to follow a common strategic direction in their planning in order to achieve faster socio-economic transformation. All Ministries, Departments and Agencies (MDAs) of government, whether autonomous or semi-autonomous, are required to realign their development priorities with the Vision 2040's strategic direction.

Overall findings from Uganda:

- Although the implementation of the NDPs (NDP I and NDP II) resulted in a number of achievements, various challenges have been noted.
- The civil service is generally weak and not adequately equipped to drive development. For instance, the implementation of almost 50% of all NDP II core projects is unlikely to start before expiry of NDP II. This is due to a lack of capacity, a lack of will and diverse pressures placed on civil servants from other sources that all combine to frustrate the successful implementation of policy. This is compounded by prevalence of corruption that has increased the cost of doing business for both the public and the private sector. Addressing this will be key to transforming articulated goals into reality.
- Government institutions continue to operate in “silos” with little integrated thought as to how to deliver on pledges and policies of government.
- All aspects of the NDPs require national buy-in and this starts with government. It is unsustainable and counterproductive to have the planning of major development projects undermined by a lack of coordination.
- Development projects are not isolated stand-alone items but directly impact on a wide variety of competencies covered by numerous government departments and institutions, both within and between sectors.
- Fully functional sector working groups exist only in a few sectors such as health; the justice, law and order sector; education and energy. Coordination across governments needs to be revisited in order to strengthen results-based planning and implementation.
- The implementation of core projects under the former NDPs has been slow, adversely affecting growth and job

creation and undermining Vision 2040. Of the 42 NDP II core projects, only 17 are on schedule, while five are under implementation but behind schedule. The rest are either only at the feasibility stage or have not yet started.

6. China

The political structure of the Chinese state centrally and hierarchically directs planning through its state policies and guidelines of Five-Year Plans, and its sectoral implementation through the different ministries. These Five-Year Plans are based on the social and economic development initiatives issued since 1953 in the People's Republic of China. Planning is a key characteristic of the nominally socialist economies, and one plan established for the entire country normally contains detailed economic development guidelines for all its regions.

The Chinese development state made use of the National Development and Land Reform Commission (NDRC) as a central planning agency in charge of executing the state's policies. The State Planning Commission is the former body from which the NDRC inherited a conservative position on reform. The main functions of the NDRC are to formulate and implement strategies of national economic and social development, long and medium term development plans; to coordinate economic and social



development; to carry out research and analysis on the domestic and international economic situation; to put forward targets and policies concerning the development of the national economy; to regulate the overall price level and the optimization of major economic structures; and to make recommendations on the employment of various economic instruments and policies.

The 13th Five-Year Plan that covered implementation in 2016 to 2020 was used to ensure that governments at all levels better performed their duties and stimulated the vitality and creativity of different types of participants, so that the entire party and the people of China work collaboratively “in finishing the building of a moderately prosperous society in all respects.” This involved strengthening overall management and coordination and creating a development planning system headed by the plan for economic and social development, and supported by subject-specific, regional, local and annual plans.

The 14th Plan was drafted against the backdrop of the worsening relationship between China and the United States as well as the COVID-19 pandemic, which caused China's economy to shrink for the first time in 44 years. The Plan outlines development goals and detailed plans for the next five years. It also contains 20 main indicators covering a wide range of areas,

including eight obligatory targets, with seven focusing on ecological protection and security support.

Overall findings from China:

- In 2014, an “information notes on the launching of ‘duoguiheyi’ pilot projects in towns and districts” was published on the NDRC website. Duoguiheyi, meaning “the integration of several plans into one”, is China's integration policy.
- The primary mission of duoguiheyi is to resolve the conflict stemming from plans applied to the same space being drawn up independently of each other.
- It seeks to strengthen planning as an efficient tool for managing urban space.

This integration policy is a challenge to institutions, as it requires reorganising the centre of power, and as such inevitably leads to a breakdown of state bodies that the major ministries are not necessarily willing to accept. The evolution of duoguiheyi reflects a process of struggle and the sharing of the power of planning expertise between the various administrations concerned, and a reaffirmation, on the part of the political authorities, of power over their technical departments, according to Tzou et al, 2017.



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