

# EVALUATION OF THE INFORMAL SETTLEMENT SUPPORT PLAN (ISSP)

---

Hs 02/2020/2021

Prepared by AIVIA (Pty) Ltd on behalf of the Western Cape Provincial Department of Human Settlements (WCDHS)

## Final Full Report

*28 February 2022*

A-aishah Modack  
AIVIA (Pty) Ltd  
22 Upper Holly Street,  
Newlands  
7700  
(c) +27 79 413 5182



*Fostering resilient futures.*



**AIVIA (Pty) Ltd**  
**22 Upper Holly Street,**  
**Newlands**  
**7700**

**A-aishah Modack**  
**Director / City and Regional Planner**  
A-aishah.Modack@aivia.co.za  
(c) +27 79 413 5182

**Kevin Foster**  
**Lead Evaluator**  
kevinfoster@kjrfconsulting.onmicrosoft.com  
(c) +27 82 795 2210

# Abbreviations

Abbreviations List	
<b>24G</b>	Section 24G of the NEMA
<b>BLC</b>	Better Living Challenge
<b>BNG</b>	Breaking new ground
<b>CAM</b>	Cape Agulhas Municipality
<b>Cape Agulhas Local Municipality</b>	CAM
<b>CBD</b>	Central Business District
<b>CBPP</b>	Community-Based Participatory Planning Facilitation
<b>CCDI</b>	Craft and Design Institute
<b>CDP</b>	City Development Plan of Pune City
<b>CKIP</b>	Comprehensive Kampung Improvement Project
<b>CoCT</b>	City of Cape Town
<b>CORC</b>	Community Organisation Resource Centre
<b>CORVIDE</b>	The Housing and Social Development Corporation of Medellin
<b>COVID-19</b>	The Novel Corona Virus pandemic
<b>CRR</b>	Capital Replacement Reserve
<b>CSOs</b>	Civil Society Organisations
<b>CSP</b>	City Support Programme
<b>DA</b>	Department of Agriculture
<b>DAG</b>	Development Action Group
<b>DCAS</b>	Department of Cultural Affairs
<b>DCF</b>	District Cordination Forum
<b>DCF TECH</b>	District Technical Forum
<b>DCS</b>	Department of Correctional Services
<b>DLG</b>	Department of Local Government
<b>DoL</b>	Department of Labour
<b>DoRA</b>	Division of Revenue Act

<b>Abbreviations List</b>	
<b>EDS</b>	Economic Development Strategies
<b>EFF</b>	External Financing Fund
<b>EPWP</b>	Expanded Public Works Programme
<b>ESS</b>	Enhanced Serviced Sites
<b>EWS</b>	Economically Weaker Section
<b>GCF</b>	George Community Forum
<b>George Local Municipality</b>	GM
<b>H&amp;S</b>	Health and Safety
<b>HDA</b>	Housing Development Agency
<b>HoD</b>	Head of Department
<b>HSDG</b>	Human Settlements Development Grant
<b>HSP</b>	Human Settlements Plan
<b>IA</b>	Implementing Agents
<b>IBS</b>	Interim Basic Services
<b>IDP</b>	Integrated Development Plan
<b>IGR</b>	Intergovernmental Relations
<b>IHSP</b>	Integrated Human Settlements Plan
<b>INEP</b>	Integrated National Electrification Programme
<b>IRDP</b>	Integrated Residential Development Programme
<b>IS</b>	Informal Settlements
<b>ISF</b>	Informal Settlements Forum
<b>ISSF</b>	Informal Settlements Support Framework
<b>ISSP</b>	Informal Settlements Support Plan
<b>ISU</b>	Informal Settlements Upgrading
<b>ISUG</b>	Informal Settlements Upgrading Programme Grant
<b>ISUPG</b>	Informal Settlements Upgrading Programme Grant
<b>JDMA</b>	Joint District and Metropolitan Approach
<b>KEQs</b>	Key Evaluation Questions

<b>Abbreviations List</b>	
<b>KII</b>	Key Informant Interview
<b>KIP</b>	Kampung Improvement Programme
<b>KM HSP</b>	Knysna Municipality Spatial Development Framework
<b>KM IDP</b>	Knysna Municipality Integrated Development Plan
<b>Knysna Local Municipality</b>	KM
<b>KPA</b>	Key Performance Areas
<b>KPA5</b>	Key Performance Area 5
<b>KPI</b>	Key Performance Indicators
<b>KSI</b>	Key Stakeholder Interview
<b>Langeberg Local Municipality</b>	LM
<b>LIG</b>	Lower Income Group
<b>LSHOR</b>	Langeberg Stat House of Rasta
<b>LUMS</b>	land use management schemes
<b>M&amp;E</b>	Monitoring and Evaluation
<b>MFMA</b>	Municipal Financial Management Act
<b>MIG</b>	Municipal Infrastructure Grant
<b>MM</b>	Municipal Manager
<b>Mossel Bay Local Municipality</b>	MBM
<b>MS Teams</b>	Microsoft Teams
<b>MTEF</b>	Medium-Term Expenditure Framework
<b>MTREF</b>	Medium-Term Revenue & Expenditure Framework
<b>NDHS</b>	National Department of Human Settlements
<b>NDMC</b>	National Disaster Management Centre
<b>NEMA</b>	National Environmental Management Act
<b>NGO</b>	Non Governmental Organisation
<b>NPO</b>	Non Profit Company
<b>NT</b>	National Treasury
<b>NUSP</b>	National Upgrading Support Programme

<b>Abbreviations List</b>	
<b>O&amp;M</b>	Oversight and Monitoring
<b>OECD</b>	Organisation for Economic Cooperation and Development
<b>PDG</b>	Palmer Development Group
<b>PDMC</b>	Provincial Disaster Management Centre
<b>PFR</b>	Project Feasibility Report
<b>PID</b>	Project Initiation Document
<b>PIR</b>	Project Implementation Readiness
<b>PMC</b>	Pune Municipal Corporation
<b>PMR</b>	Pune Metropolitan Region
<b>PPE</b>	Personal Protective Equipment
<b>PPM</b>	Programme and Project Management
<b>PRIMED</b>	Programa Integral de Mejoramiento de Barrios Subnormales en Medellin (Integrated Slum Upgrading Programme of Medellin)
<b>PRT</b>	Professional Resources Team
<b>PSC</b>	Project Steering Committee
<b>PSCMC</b>	Pimpri Chinchwad Municipal Corporation
<b>PSG</b>	Provincial Strategic Goals
<b>PUI</b>	Proyecto Urbano Integral (Integrated Urban Project)
<b>PWSS</b>	Surabaya Strenkali People's Movement and CSO Civil Society Organisation
<b>RAC</b>	Rapid Assessment and Categorisation
<b>RAP</b>	Rapid Appraisal Project
<b>RAY</b>	Rajiv Awas Yojana Scheme
<b>Saldanha Bay Local Municipality</b>	SBM
<b>SAWIC</b>	South African Women in Construction
<b>SC</b>	Social Compact
<b>SDF</b>	Spatial development framework
<b>SISF</b>	Sedgefield Informal Settlement Forum
<b>SLA</b>	Service Level Agreement
<b>SMART</b>	Specific, Measurable, Ambitious, Realistic, Timebound

<b>Abbreviations List</b>	
<b>SPLUMA</b>	Spatial Planning and Land Use Management Act
<b>SRA</b>	Slum Rehabilitation Authority of Pune
<b>Swartland Local Municipality</b>	SWM
<b>Swellendam Local Municipality</b>	SM
<b>Theewaterskloof Local Municipality</b>	TWK
<b>ToR</b>	Terms of Reference
<b>TRA</b>	Transitional Relocation Area
<b>UN-HABITAT</b>	United Nations Human Settlements Programme
<b>USDG</b>	Urban Settlements Development Grant
<b>VA</b>	Vulnerability Assessment
<b>VIP</b>	Vision Inspired Priority
<b>VPUU</b>	Violence Prevention through Urban Upgrading
<b>WC</b>	Western Cape
<b>WCED</b>	Western Cape Educational Department
<b>WCG</b>	Western Cape Government
<b>Witzenberg Local Municipality</b>	WM
<b>WSIG</b>	Water Services Infrastructure Grant

# Contents

---

1	Introduction and Structure.....	1–2
1.1	Structure of the Report.....	1–2
1.2	The Focus of the Evaluation.....	1–5
1.3	Background to the ISSP.....	1–6
1.4	The Informal Settlements Support Programme (ISSP).....	1–10
1.4.1	Living Cape Framework.....	1–11
1.4.2	Informal Settlement Support Framework (ISSF) and the Theory of Change (ToC).....	1–12
1.4.3	Implementation Plan.....	1–18
1.4.4	Informal Settlements Support Plan (Design, Tenure and Services Options).....	1–19
1.4.5	Informal Settlements Prioritisation Model.....	1–19
1.4.6	Monitoring and Evaluation (M&E) Framework.....	1–19
1.4.7	NGO Framework Agreement.....	1–20
1.4.8	ISSP Policy Guidelines.....	1–20
1.4.9	Institutional Arrangements and Stakeholder Engagement and Buy-in.....	1–27
1.5	The UISP and the Western Cape’s Informal Settlement Support Programme (ISSP).....	1–28
2	Approach and Methodology.....	2-1
2.1	Evaluation Design.....	2-1
2.2	Criteria.....	2-2
2.2.1	Coherence.....	2-2
2.2.2	Relevance.....	2-3
2.2.3	Effectiveness.....	2-3
2.2.4	Efficiency.....	2-3
2.2.5	Sustainability.....	2-3
2.3	Methodology.....	2-4
2.3.1	Phase 1: Project Inception.....	2-5
2.3.2	Phase 2: Review.....	2-7
2.3.3	Phase 3: Data Collection and Fieldwork.....	2-14
2.3.4	Phase 4: Data Analysis.....	2-24
2.4	Phase 5: Reporting.....	2-28
2.4.1	Final Evaluation Report.....	2-28
2.5	Assumptions and limitations.....	2-29
2.5.1	Assumptions.....	2-29
2.5.2	Limitations.....	2-29
3	International Literature Review.....	3-1
3.1	Case of the Metropolis of Medellin (Colombia): Integrated Programmes for Improvement of Subnormal Barrios (informal settlements).....	3-1
3.1.1	Context and Scale of informality.....	3-1
3.1.2	Duration under various programmes and stages:.....	3-2
3.1.3	Upgrading Themes:.....	3-3
3.1.4	Role of Government (National and Local):.....	3-3
3.1.5	Intervention programmes.....	3-3
3.1.6	Implementation Objectives and corresponding Implementation Strategies and Actions.....	3-4
3.1.7	The Proyecto Urbano Integral (PUI) Implementation Model Matrix.....	3-4
3.1.8	Lessons/best-practice emerging.....	3-6
3.2	Case of the City of Pune, India: Slum Upgrading Schemes.....	3-8
3.2.1	Context and Scale of informality:.....	3-8
3.2.2	Intervention Programmes.....	3-9



3.2.3	Upgrading Themes.....	3-10
3.2.4	Role of Government (National and Local) .....	3-11
3.2.5	Implementation Objectives and corresponding Implementation Strategies and Actions.....	3-11
3.2.6	Lessons/best-practice emerging .....	3-11
3.3	Case of Surabaya, Indonesia: Kampung Improvement Programme (KIP) and Comprehensive Kampung Improvement Programme (CKIP).....	3-13
3.3.1	Context and Scale of informality.....	3-13
3.3.2	Duration under various programmes and stages:.....	3-14
3.3.3	Upgrading Themes:.....	3-14
3.3.4	Lessons/best-practice emerging .....	3-14
3.4	Synthesis of Emerging Themes.....	3-16
3.4.1	Latin America.....	3-16
3.4.2	South-east Asia .....	3-17
3.4.3	Conclusions for Latin America and Southeast Asia.....	3-17
3.4.4	United Nations Human Settlements Programme (UN-Habitat).....	3-18
PART 2 Municipal Case Studies: Introduction .....		4-2
4	Case Study 1: Cape Agulhas Municipality .....	4-3
4.1	Cape Agulhas Municipality (CAM) Location and Context .....	4-3
4.1.1	NGO Scope of Work .....	4-5
4.2	Strategic Planning and Mainstreaming of ISU.....	4-6
4.2.1	Inclusion and mainstreaming in key municipal strategic planning documents.....	4-6
4.3	Institutional Arrangements and Stakeholder Engagement .....	4-8
4.4	Capacity to support programme/ project implementation .....	4-10
4.4.1	Municipal Resource Capacity .....	4-10
4.4.2	Municipal Financial Capacity .....	4-11
4.4.3	Business planning .....	4-11
4.5	Community Participation.....	4-11
4.6	Basic Services and Community Facilities .....	4-14
4.7	Tenure Security .....	4-14
4.8	Housing Consolidation.....	4-15
4.9	UISP – Progress over the period – reflections.....	4-15
4.10	Conclusions and Recommendations.....	4-17
4.10.1	Institutional Arrangements and Stakeholder Engagement .....	4-17
4.10.2	Capacity to Support Programme/ Project Implementation .....	4-18
4.10.3	Basic Services and Community Facilities.....	4-20
4.10.4	Tenure Security.....	4-20
5	Case Study 2: Mossel Bay Municipality.....	5-1
5.1	Mossel Bay Municipality (MBM) Location and Context.....	5-1
5.1.1	NGO Scope of Work .....	5-3
	• Milestone 1: Community Capacity Building Programme.....	5-3
	• Milestone 2: Skills transfer for Participatory Upgrading Programme .....	5-3
	• Milestone 3: Sustainable Livelihoods Programme.....	5-3
5.2	Strategic Planning and Mainstreaming of ISU.....	5-3
5.2.1	Inclusion and mainstreaming in key Municipal strategic planning documents.....	5-3
5.3	Institutional Arrangements and Stakeholder Engagement .....	5-5
5.4	Capacity to support ISU programme/ project design and implementation.....	5-7
5.4.1	Municipal Resource Capacity .....	5-7

5.4.2	Municipal Financial Capacity .....	5-8
5.5	Community Participation.....	5-9
5.6	Basic Services and Community Facilities .....	5-11
5.7	Tenure Security .....	5-11
5.8	Housing Consolidation.....	5-12
5.9	UISP – Progress over the period – reflections.....	5-12
5.10	Conclusions and Recommendations.....	5-13
5.10.1	Institutional Arrangements .....	5-13
5.10.2	Capacity to support ISU / Project Implementation.....	5-13
5.10.3	Community Participation and Empowerment.....	5-15
5.10.4	Tenure Security.....	5-15
6	Case Study 3: George Municipality .....	6-1
6.1	The George Municipality (GM) Location and Context.....	6-1
6.1.1	NGO Scope of Work .....	6-4
6.2	Strategic Planning and Mainstreaming of ISU.....	6-5
6.2.1	Inclusion and mainstreaming in key municipal strategic planning documents.....	6-5
6.3	Institutional Arrangements and Stakeholder Engagement .....	6-6
6.4	Capacity to support programme/ project implementation .....	6-7
6.4.1	Municipal Resource Capacity .....	6-7
6.4.2	Capacity Support offered through the NGO Framework.....	6-8
6.4.3	Municipal Financial Capacity .....	6-8
6.5	Community Participation.....	6-8
6.6	Basic Services and Community Facilities .....	6-10
6.7	Tenure Security .....	6-11
6.8	Housing Consolidation.....	6-11
6.9	UISP – Progress over the period – reflections.....	6-11
6.10	Conclusions and Recommendations.....	6-12
6.10.1	Institutional Arrangements and Stakeholder Engagements .....	6-12
6.10.2	Capacity to support programme / project implementation.....	6-13
6.10.3	Community Participation and Empowerment.....	6-14
6.10.4	Basic Services and Community Facilities.....	6-15
6.10.5	Housing Consolidation.....	6-15
7	Case Study 4: Knysna Municipality .....	7-1
7.1	The Knysna Municipality (KM) Location and Context.....	7-1
7.1.1	NGO Scope of Work .....	7-2
7.2	Strategic Planning and Mainstreaming of ISU.....	7-3
7.2.1	Inclusion and mainstreaming in key municipal strategic planning documents.....	7-3
7.3	Institutional Arrangements and Stakeholder Engagement .....	7-6
7.4	Capacity to Support Programme/ Project Implementation.....	7-7
7.4.1	Municipal Resource Capacity .....	7-7
7.4.2	Capacity Support offered through the NGO Framework.....	7-7
7.4.3	Municipal Financial Capacity .....	7-7
7.5	Community Participation.....	7-8
7.6	Basic Services and Community Facilities .....	7-9
7.7	Tenure Security .....	7-10
7.8	Housing Consolidation.....	7-10
7.9	UISP – Progress over the period – reflections.....	7-10
7.10	Conclusions and Recommendations.....	7-11

7.10.1	Institutional Arrangements and Stakeholder Engagements.....	7-11
7.10.2	Capacity to Support Programme and Project Implementation.....	7-11
7.10.3	Community Participation.....	7-13
7.10.4	Basic Services and Community Facilities.....	7-13
7.10.5	Tenure Security.....	7-13
8	Case Study 5: Swellendam Local Municipality .....	8-1
8.1	The Swellendam Local Municipality (SM) Location and Context.....	8-1
8.1.1	NGO Scope of Work.....	8-2
8.2	Strategic Planning and Mainstreaming of ISU.....	8-3
8.2.1	Inclusion and mainstreaming in key Municipal strategic planning documents.....	8-3
8.3	Institutional Arrangements and Stakeholder Engagement .....	8-5
8.4	Capacity to support programme/ project implementation.....	8-6
8.4.1	Municipal Resource Capacity .....	8-6
8.4.2	Capacity Support offered through the NGO Framework.....	8-6
8.4.3	Municipal Financial Capacity .....	8-7
8.5	Community Participation.....	8-7
8.6	Basic Services and Community Facilities .....	8-9
8.7	Tenure Security .....	8-10
8.8	UISP – Progress over the period – reflections.....	8-10
8.9	Conclusions & Recommendations.....	8-11
8.9.1	Institutional Arrangements and Stakeholder Engagement .....	8-11
8.9.2	Capacity to Support Programme/ Project Implementation .....	8-12
8.9.3	Community participation and empowerment.....	8-12
9	Case Study 6: Theewaterskloof Local Municipality .....	9-1
9.1	The Theewaterskloof Local Municipality (TWK) Location and Context.....	9-1
9.1.1	NGO Scope of Work.....	9-2
9.2	Strategic planning and mainstreaming of ISU.....	9-3
9.2.1	Inclusion and mainstreaming in key Municipal strategic planning documents.....	9-3
9.3	Institutional Arrangements and Stakeholder Engagement .....	9-5
9.4	Capacity to support the programme / project implementation.....	9-6
9.4.1	Municipal Resource Capacity .....	9-6
9.4.2	Capacity Support offered through the NGO Framework.....	9-7
9.4.3	Municipal Financial Capacity .....	9-7
9.5	Community Participation.....	9-7
9.6	Basic Services and Community Facilities .....	9-8
9.7	Tenure Security .....	9-9
9.8	Housing Consolidation.....	9-9
9.9	UISP – Progress over the period – reflections.....	9-9
9.10	Conclusion and Recommendations.....	9-10
9.10.1	Institutional arrangements and stakeholder engagement .....	9-10
9.10.2	Capacity to support programme / project implementation.....	9-11
9.10.3	Community Participation.....	9-12
9.10.4	Basic services and community facilities.....	9-12
9.10.5	Tenure security.....	9-13
10	Case Study 7: Langeberg Local Municipality .....	10-1
10.1	The Langeberg Local Municipality (LM) Location and Context.....	10-1
10.1.1	NGO Scope of Work.....	10-1

10.2	Strategic Planning and Mainstreaming of ISU .....	10-3
10.2.1	Inclusion and mainstreaming in key municipal strategic planning documents.....	10-3
10.3	Institutional Arrangements and Stakeholder Engagement.....	10-5
10.4	Capacity to support programme/ project implementation.....	10-6
10.4.1	Municipal Resource Capacity .....	10-6
10.4.2	Capacity Support offered through the NGO Framework.....	10-6
10.4.3	Municipal Financial Capacity .....	10-7
10.5	Community Participation.....	10-8
10.5.1	Community Involvement in IDP processes.....	10-8
10.6	Basic Services and Community Facilities.....	10-9
10.7	Tenure Security.....	10-10
10.8	Housing Consolidation.....	10-10
10.9	UISP – Progress over the period – reflections.....	10-10
10.10	Conclusions and Recommendations.....	10-11
10.10.1	Institutional Arrangement and Stakeholder Engagement.....	10-11
10.10.2	Capacity to Support Programme/Project Implementation.....	10-11
10.10.3	Community Participation and Empowerment.....	10-12
11	Case Study 8: Swartland Local Municipality.....	1
11.1	The Swartland Local Municipality (SWM) Location and Context.....	1
11.1.1	NGO Scope of Work.....	2
11.2	Strategic Planning and Mainstreaming of ISU .....	2
11.2.1	Inclusion and mainstreaming in key municipal strategic planning documents.....	2
11.3	Institutional Arrangements and Stakeholder Engagement.....	4
11.4	Capacity to support programme/ project implementation.....	5
11.4.1	Municipal Resource Capacity .....	5
11.4.2	Municipal Financial Capacity .....	6
11.5	Community Participation.....	7
11.6	Basic Services and Community Facilities.....	8
11.7	Tenure Security.....	9
11.8	Housing Consolidation.....	10
11.9	UISP – Progress over the period – reflections.....	10
11.10	Conclusion and Recommendations.....	10
11.10.1	Institutional Arrangements and Stakeholder Engagements.....	10
11.10.2	Capacity to Support Programme/Project Implementation.....	10
11.10.3	Community Participation and Empowerment.....	11
12	Case Study 9: Witzenberg Local Municipality.....	12-1
12.1	The Witzenberg Local Municipality (WM) Location and Context.....	12-1
12.1.1	NGO Scope of Work.....	12-3
12.2	Strategic Planning and Mainstreaming of ISU .....	12-4
12.2.1	Inclusion and mainstreaming in key municipal strategic planning documents.....	12-4
12.2.2	Budgeting for ISU.....	12-5
12.2.3	Integration of ISSP Report.....	12-5
12.3	Institutional Arrangements and Stakeholder Engagement.....	12-5
12.4	Capacity to support programme/ project implementation.....	12-6
12.4.1	Municipal Resource Capacity .....	12-6
12.4.2	Capacity Support offered through the NGO Framework.....	12-7

12.4.3	Municipal Financial Capacity .....	12-7
12.5	Community Participation.....	12-7
12.6	Basic Services and Community Facilities.....	12-9
12.7	Tenure Security.....	12-9
12.8	Housing Consolidation.....	12-10
12.9	UISP – Progress over the period – reflections.....	12-10
12.10	Conclusion and Recommendations.....	12-10
12.10.1	Institutional Arrangements and Stakeholder Engagements .....	12-11
12.10.2	Capacity to Support Programme/Project Implementation.....	12-11
12.10.3	Community Participation and Empowerment.....	12-12
13	Case Study 10: Saldanha Bay Local Municipality .....	13-1
13.1	The Saldanha Bay Local Municipality Location and Context.....	13-1
13.1.1	NGO Scope of Work .....	13-2
13.2	Strategic Planning and Mainstreaming of ISU .....	13-2
13.2.1	Inclusion and mainstreaming in key municipal strategic planning documents.....	13-2
13.3	Institutional Arrangements and Stakeholder Engagement.....	13-5
<b>13.4</b>	<b>Capacity to support programme/ project implementation</b> .....	<b>13-6</b>
13.4.1	Municipal Resource Capacity .....	13-6
13.4.2	Capacity Support offered through the NGO Framework.....	13-7
13.4.3	Municipal Financial Capacity .....	13-7
<b>13.5</b>	<b>Community Participation</b> .....	<b>13-8</b>
<b>13.6</b>	<b>Basic Services and Community Facilities</b> .....	<b>13-10</b>
<b>13.7</b>	<b>Tenure Security</b> .....	<b>13-10</b>
13.8	Housing Consolidation.....	13-10
<b>13.9</b>	<b>UISP – Progress over the period – reflections</b> .....	<b>13-11</b>
13.10	Conclusion and Recommendations.....	13-11
13.10.1	Institutional Arrangements and Stakeholder Engagement .....	13-12
13.10.2	Capacity to Support Programme/ Project Implementation .....	13-12
PART 3	.....	14-2
14	FINDINGS .....	14-2
14.1	ISSP institutionalisation has progressed but understanding remains uneven within WCDHS, transversally and in municipalities.....	14-3
14.1.1	WC DHS understanding, buy-in and mainstreaming varies.....	14-4
14.1.2	Transversal provincial arrangements are reliant on the ISSP Forum.....	14-8
14.1.3	ISSP Forum enables intergovernmental arrangements/cooperation/coordination.....	14-10
14.1.4	Buy-in from municipalities receiving intermediary support from the WCDHS varies greatly .....	14-15
14.1.5	Institutional Arrangements at Local Government are inconsistently structured and reported on ..	14-16
14.2	Implementation of the ISSP was narrower than designed in the ISSF and Implementation Plan, due to resource constraints and COVID-19.....	14-18
14.2.1	The ISSP implementation plan provides an indication of sequencing of activities, but it is not time-bound .....	14-19
14.2.2	The ISSP implementation has focused on (1) promoting intermediary support to enhance the practice of community inclusion and community-based planning; and (2) the initiation of transversal and intergovernmental engagements.....	14-19
14.2.3	There is limited dedicated capacity within the ISSP unit .....	14-19
14.2.4	COVID-19 impacted on the implementation of ISU initiatives at all levels of government.....	14-20
14.2.5	Initial intent to work in sixty (60) settlements from the outset did not enable gradual scaling or learning from doing.....	14-22
14.3	Local government requires both social facilitation and professional technical expertise and support ...	14-23

14.3.1	Capacity support for social facilitation and community participation is required.....	14-25
14.3.2	Municipal capacity to engage with ISSP outputs is mixed .....	14-26
14.3.3	Municipalities require multi-disciplinary resource support and a stronger approach to PPM.....	14-27
14.4	Skills and expertise of NGOs and intermediaries were applied effectively in most cases, however in some they were not well matched to complex municipal and community contexts.....	14-29
14.4.1	Skills and expertise of NGOs varied.....	14-29
14.4.2	Despite the varying skills and expertise, the general scope of work of most NGOs were similar..	14-30
14.5	ISU is not yet sufficiently mainstreamed in municipal policies and plans for achievement of the ISSP's objectives.....	14-32
14.6	Accountability for ISSP work is unclear at the municipal level and reporting frameworks are insufficient for consistent monitoring and learning.....	14-34
14.7	Community perceptions of NGO deployment and implications of projectized approaches.....	14-35
14.8	Tenure Security Options are not consistently understood and applied by municipalities, and guidance document should be updated and mainstreamed.....	14-36
14.9	The relationship between the UISP and ISSP, and their funding models are not well understood by some municipal and provincial stakeholders.....	14-42
14.9.1	Scope and definition of the ISSP relative to the UISP is unclear.....	14-43
14.9.2	The funding for ISSP and UISP is not clearly understood.....	14-43
14.10	Important data has been collected from enumeration processes but have not yet been effectively utilised and are not standardised.....	14-45
14.11	Housing typology options are not well understood, and there is no clear strategic approach to community capacity building in relation to housing typologies.....	14-47
14.12	Land Management and Urban Land Markets and Sustainable Livelihood requires collective responses	14-49
14.12.1	The relational dynamics between rural and urban, and transient populations.....	14-49
14.12.2	Land availability and ownership presents a challenge for local municipalities; and relatedly there are varying views on the provision of services on non-municipal land .....	14-50
14.12.3	Management of settlement growth is a significant challenge and the ability of communities to assist with management is not adequately realised.....	14-51
14.13	Operation and Maintenance requirements and roles for interim and / or emergency basic services in informal settlements are not clearly defined.....	14-52
15	CONCLUSIONS.....	15-1
15.1	KEQ 1: Since the inception of the ISSP in 2016 what has changed, and how in the delivery of informal settlements projects and programmes?.....	15-1
15.1.1	The ISSP has increased the department's focus on holistic and transversal and participatory approaches to informal settlement upgrading as compared to pre-2016.....	15-1
15.1.2	The ISSP Forum has improved transversal efforts to resolve informal settlements challenges.....	15-1
15.1.3	ISSP intermediaries have improved trust, communication and information in settlements and municipalities.....	15-2
15.1.4	In some instance ISSP NGOs have mobilised additional resources in support of informal settlement upgrading and informal settlement communities.....	15-2
15.1.5	The ISSP has not increased the pace of upgrading because of COVID-19 and the lack of a link between the execution of intermediary activities to a comprehensive upgrading intervention.....	15-2
15.1.6	Progress has been made towards achieving Strategic Objective 2 and Strategic Objective 3 of the ISSF, in particular increasing active citizenship.....	15-2
15.1.7	The ISSP has increased NGO sector capability through increasing NGO exposure to informal settlements projects.....	15-3
15.1.8	Municipal capacity and capability remain a concern despite ISSP support.....	15-3
15.1.9	The ISSP has not significantly incorporated private capability into informal settlement upgrading processes	15-3
15.1.10	The ISSP has increased the quality and availability of informal settlements data available for packaging project funding applications since 2016, and has been used this in some cases.....	15-3
15.1.11	There has been limited change in the approach to implementation of UISP projects by implementation staff in the WCDHS.....	15-4

15.2	KEQ 2: Is the ISSP being implemented according to its design? .....	15-5
15.2.1	ISSP implementation has been narrower in implementation than designed in the ISSF, due to limited resources, COVID-19 and attempts at scaling in particular direction.....	15-5
15.2.2	Differences to original design.....	15-6
15.2.3	Transversal relationships have been built to support ISSP work, but key roles still need to be defined for transversal partners.....	15-7
15.2.4	At the municipal scale.....	15-7
15.3	KEQ 3: Are stakeholders being engaged as intended?.....	15-10
15.3.1	Stakeholder collaboration through intermediaries has been effective at empowering communities	15-10
15.3.2	Strength and weaknesses of stakeholder engagement .....	15-10
15.4	KEQ 4: Were there any barriers in executing the strategies of the plan? .....	15-13
15.4.1	Barriers .....	15-13
15.5	KEQ 5 What are lessons learned from the implementation, and can the successes be replicated? .....	15-15
15.5.1	Institutionalisation is a prerequisite for success.....	15-15
16	Recommendations.....	16-1
16.1	ENABLING INSTITUTIONAL ENVIRONMENT AND ISSP MAINSTREAMING AT THE PROVINCIAL LEVEL..	16-6
16.1.1	Updating of the Implementation Plan to include clearer sequencing and prioritisation of actions linked to time-bound targets; and in relation to the ISSP evaluation recommendations.....	16-7
16.1.2	Revision / Development of an ISSP extended organogram and institutional structure operationalisation.....	16-9
16.1.3	Continuation of the ISSP Forum .....	16-12
16.1.4	Provide feedback to ISU case study municipalities .....	16-13
16.1.5	Develop a provincial-wide strategic medium to long-term upgrading pipeline.....	16-14
16.1.6	Improve alignment between ISSP outputs, WCG project approval application process and UISP project tranches, and enhance quality assurance and control.....	16-17
16.1.7	Development of a Provincial Data Collection and Data Governance Approach and Guideline.....	16-20
16.2	Supporting Institutional Arrangements And Mainstreaming At The Local Government Level.....	16-25
16.2.1	Development and Implementation of a guideline for local municipal level Institutional Arrangements in support of ISU institutionalisation .....	16-26
16.2.2	Development and completion of a template for municipality-wide informal settlement upgrading strategy linked to the prioritisation tool and the development of a medium-long term pipeline.....	16-28
16.2.3	Improving the participation of informal settlement residents in the IDP process.....	16-30
16.2.4	All NGO and intermediary contracts (and any other work undertaken with community) to include a succession plan and completion of a baseline template for tracking work / or a social compact.....	16-31
16.2.5	Mainstreaming existing ISSP outcomes and outputs into various sector plans and databases.....	16-33
16.2.6	Strengthen baseline assessment and categorisation in support of informed ISU strategy and pipeline development (highlighting importance of integration of cross-sector information, geo-technical screening, and the need for differentiation within categories linked to developmental pathways and the need for land acquisition .....	16-34
16.2.7	Risk and Vulnerability Reduction in informal Settlements.....	16-36
16.3	<b>Capacity Building: Knowledge Products and Knowledge Dissemination.....</b>	16-38
16.3.1	Enhance existing ISSP webpage and use the launch as an opportunity to create awareness regarding the ISSP .....	16-39
16.3.2	Improve the understanding of the UISP Funding Application Process.....	16-40
16.3.3	Update the “Towards Incremental Informal Settlement Upgrading: Supporting municipalities in identifying contextually appropriate options” document with various modules .....	16-44
16.3.4	Strategy for responding to the needs of immigrants in the ISU context.....	16-53

16.4	Capacity Building: Human Resource Support.....	16-54
16.4.1	Continuation and improvement of the NGO/intermediary support and general guidance for cooperative service provider management .....	16-55
16.4.2	Utilise private sector expertise to support the and enhance private sector capacity.....	16-57
16.4.3	Community Skills Development Programme .....	16-63



# List of Figures

---

Figure 1.1. Evaluation methodology and phased approach (AIVIA, 2021).....	1—5
Figure 1.2. ISSP Programme Theory / Theory of Change (ISSP Implementation Plan, 2016c).....	1—13
Figure 1.3. Process for identifying and funding upgrading project (ISSP Policy Guideline, 2019).....	1—25
Figure 1.4. Map of key stakeholders in the ISSP .....	1—27
Figure 1.5. The Tenure Continuum .....	1—30
Figure 2.1. Example of a typical community invitation.....	2-23
Figure 3.1. The approach followed to select the international case studies (AIVIA, 2021).....	3-1
Figure 3.2. La Aurora Trece de Noviembre and Barrio Independencia informal settlement at Medellin’s urban periphery. Image © Integrated Urban Projects, a co-production with Daniela Coray and Maria Bellalta.....	3-2
Figure 3.3. Location and Welfare in Cities: Impacts of Policy Interventions on the Urban Poor (Source: Kapoor et al., 2004).....	3-8
Figure 3.4. Using Fuzzy Cognitive Maps to Assess Liveability in Slum Upgrading Schemes: Case of Pune, India (Source: Subhashree Nath and Raphael Karutz 2021) .....	3-10
Figure 3.5. City of Kampung: Risk and resilience in the urban communities of Surabaya, Indonesia. International Journal of Building Pathology and Adaptation (Source: Shirleyana, Shirleyana & Hawken, Scott & Sunindijo, Riza. 2018).....	3-13
Figure 3.6. The matching of each pyramid bloc with a real slum upgrading program gives testimony of each element’s actual impact and of the feasibility of its realization (source: Melendez’s, 2018). .....	3-17
Figure 4.1. Map of the Cape Agulhas Municipal Area (in white) and the towns within its jurisdiction (coloured grey) (CAM SDF, 2017).....	4-3
Figure 4.2. Napier Informal settlement outlined in red within the town of Napier in the Cape Agulhas Municipality (source: WCG Rapid Appraisal, 2016).....	4-4
Figure 4.3. The Napier Informal Settlement Map showing various qualities of each segment of the Informal Settlement (PEP Milestone 11 report presentation, 2021).....	4-4
Figure 5.1. Settlement categories in Mossel Bay at the time of the National Upgrading Support Programme (Source: WCG Rapid Appraisal, 2016) .....	5-2
Figure 5.2. Location of the informal settlements in Mossel Bay Municipal area (Part 1) (Source: Zutari, 2020).....	5-2
Figure 5.3. Location of the informal settlements in Mossel Bay Municipal area (Part 2) (Source: Zutari, 2020).....	5-3
Figure 5.4. Programme Steering and Governance Committee structure (PSC) (Source: Zutari, 2020). .....	5-6
Figure 6.1. Thembalethu Informal Settlements (Source: Zutari, 2021) .....	6-3
Figure 6.2. Thembalethu UISP Implementation Phases (Source: Zutari, 2021).....	6-3
Figure 6.3. Thembalethu UISP Areas vs IS growth (Source: Zutari, 2021).....	6-4
Figure 7.1. Smutsville, Sedgefield informal settlements map showing the different informal settlement pockets. (Source: adapted from DAG after interview with Frasier Engineers, 2021). .....	7-1
Figure 7.2. Showing the suitable land for greenfields and infill public housing in Sedgefield (KM HSP, 2015:62).....	7-4
Figure 8.1. Map of Railton as covered by VPUU in their enumeration study (VPUU Milestone 4 progress report, 2020) .....	8-2
Figure 9.1. Settlement categorisations within the Theewaterskloof Municipality (WCG Rapid Appraisal, 2016).....	9-1
Figure 9.2. Informal settlements within the Grabouw Informal Settlement areas (Source: VPUU Milestone 4 Report, 2021).....	9-2
Figure 10.1. Map of Plakkerskamp/Boekenhoutskloof on Bonnievale Langeberg (received from HABITAT-SA, Data: Google Earth, 2021).....	10-2
Figure 11.1. Map of Sibanye Informal Settlement (Source: Google Earth, 2021).....	1
Figure 12.1. WM within the regional Context. Tulbagh located in yellow highlighted in the Southwestern boundary of the Witzenberg Local municipal area (source: MW SDF, 2020).....	12-2
Figure 12.2. Informal Settlements covered by ISSP projects in Tulbagh, Witzenberg (Source: DAG).....	12-3
Figure 13.1. Tsitsiratsitsi, George Kerridge (Source: Saldanha Bay Local Municipality).....	13-1
Figure 16.1. Components of Institutional Capacity (Adapted from Community Capacity Building Programme prepared for the National Upgrading Support Programme, 2016).....	16-2

## List of Tables

---

Table 1.1 Selected Sample Settlements.....	1—3
Table 1.2. Assumptions developed during the Theory of Change Workshop (AIVIA, 2021).....	1—16
Table 1.3. Description of Agreements and SLAs entered between the NGO's and the Province (AIVIA, 2021).....	1—20
Table 2.1. Linking Key evaluation questions to the key user questions.....	2-12
Table 2.2. Selected Sample Settlements.....	2-16
Table 2.3. Fieldwork Planning information Sheet.....	2-21
Table 2.4. Data sources by the theme of triangulation.....	2-26
Table 2.5. Data sources by Key Evaluation Questions for triangulation.....	2-27
Table 3.1. Physical, Social, and Institutional actions in the PUI model phases 1-5 (continued from previous page). (Source: Author, 2021. Adopted from KTH, 2008).....	3-5
Table 6.1. Settlements per wards as identified by SAWIC.....	6-2
Table 7.1. Showing the urban housing and land need projections from 2018 – 2028 (Source: KM SDF, 2020:60).....	7-3

## List of Maps

---

Map 1.1. 10 selected case study municipalities.....	1—4
---	-----

Hs 02/2020/2021

# EVALUATION OF THE INFORMAL SETTLEMENT SUPPORT PLAN (ISSP)

---

## Part 1: Contextual Overview

Chapters 1 – 3

February 2022

# 1 Introduction and Structure

---

Since its inception in 2016, the Informal Settlements Support Programme (ISSP) has been rolled out across 13 local municipalities in the Western Cape. This report documents the first implementation evaluation of the Western Cape’s Informal Settlements Support Programme (ISSP) undertaken by AIVIA (Pty) Ltd between June 2021 and February 2022. The ISSP Evaluation Report therefore forms part of the outputs produced by AIVIA (Pty) Ltd, the service provider contracted by the WCG to undertake the ISSP’s implementation evaluation in 2021. The Evaluation Report documents the overarching approach and methodology of the evaluation. Additionally, it captures the findings, conclusions and recommendations which have emanated from the evaluation. These components form the chapters of this report. It should be noted that this document is the comprehensive or full version of the evaluation report, which is succinctly packaged into the 1/3/25 report.

## 1.1 Structure of the Report

---

This report is packaged in three main parts which coherently present the outcomes of the evaluation. Part 1 presents the contextual overview of the ISSP evaluation as undertaken and it includes Chapters 1-3.

### **Part 1: Chapters 1-3 | Contextual Overview**

This chapter (Chapter 1) presents the ISSP and its evaluation, as a WCG Human Settlements initiative within an existing framework of programmes intended to transform informal settlements in South Africa. The chapter introduces the focus and structure of the evaluation, it delves into the background of the ISSP, and further unpacks the ISSP as a unique WCG Human Settlements programme. The chapter then concludes with a discussion on the relationship between the ISSP and the Upgrading of Informal Settlements Programme (UISP); a National Human Settlements programme. These elements form the respective 1.2, 1.3, 1.4, and 1.5 subsections of Chapter 1.

Chapter 2 discusses the overall approach and methodology used to undertake the evaluation. In subsection 2.1, the chapter presents the evaluation design which is followed by a description of the evaluation criteria in subsection 2.2. The methodology and phasing of the evaluation is captured in subsection 2.3, which leads into a discussion of the reporting phase in subsection 2.4. The evaluation assumptions and limitations then form the final section of Chapter 2 in subsection 2.5.

Part 1 then concludes with a focus on lessons drawn from international cases discussed in Chapter 3. This focus on international literature and practice is motivated by the need to derive perspective and influence from international practices to understand the coherence with South African informal settlements upgrading practices. Therefore, the chapter discusses informal settlements upgrading approaches and lessons Medellín, Colombia; Pune, India; and Surabaya, Indonesia; as subsections 3.1, 3.2, and 3.3, respectively. Subsection 3.4 then consolidates the emerging themes from these cases.

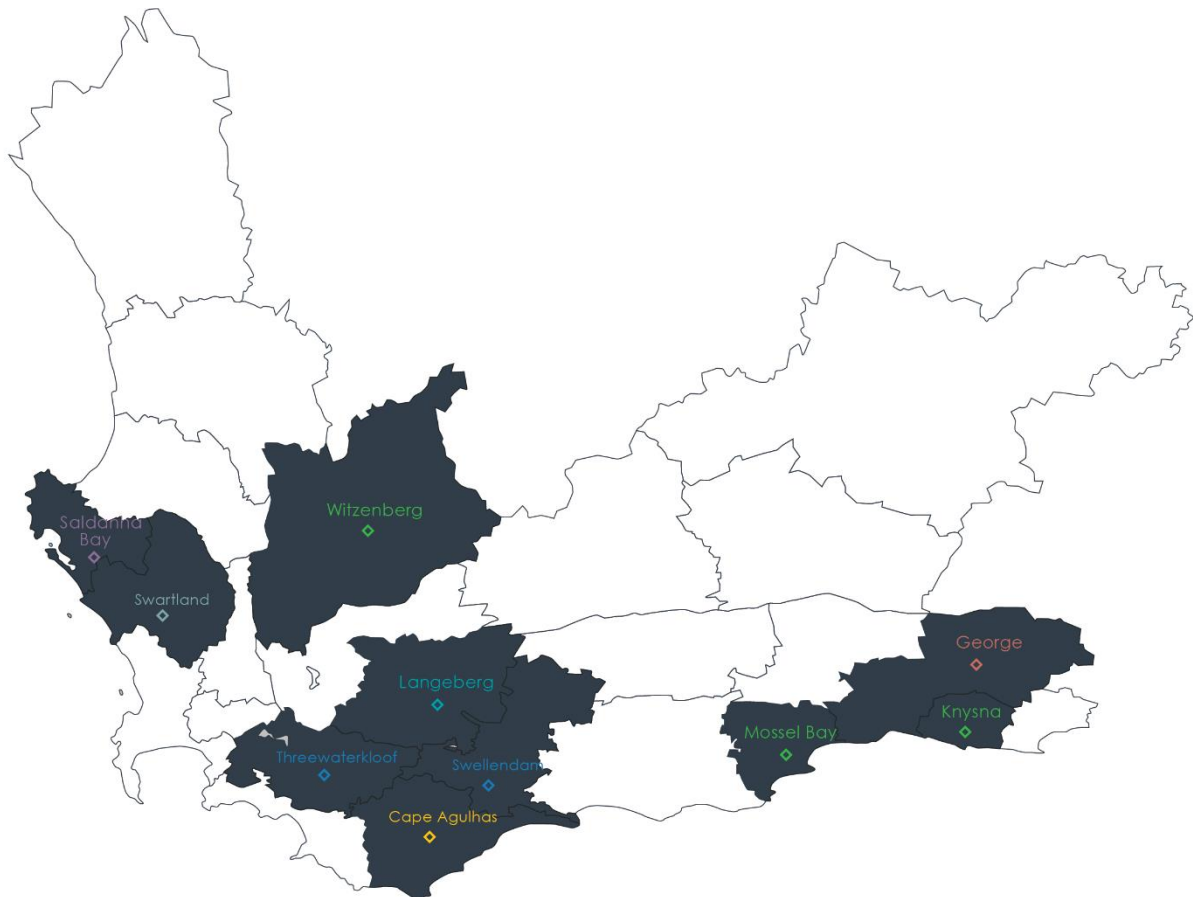
## Part 2: Chapters 4 – 13 | Case Studies of ten local municipalities

Part 2 of this report (Chapters 4 -13) presents findings from the ten (10) municipal cases studied as part of the ISSP evaluation. Table 1.1 and presents the ten selected sample settlements for this evaluation.

Table 1.1 Selected Sample Settlements

Selected Sample Settlements					
	District Municipality	Municipality	Town	Informal Settlement/s	NGO
1	Cape Winelands	Langeberg	Montagu and Bonnievale	Boekenhoutskloof, Bonnievale	Habitat-SA
2	Cape Winelands	Witzenberg	Tulbagh	Klein Begin, Asla Kamp, Chris Hani, Die Gaatjie	DAG
3	Garden Route	Knysna	Sedgefield	Slangeperk, Beverley Hills, Skool Gaaitjie, Onderste Gaaitjie, Makaphela	DAG
4	Garden Route	Mossel Bay	Mossel Bay	All 28 informal settlements (see Mossel Bay Case Study for more information) (of which four formed a part of the DAG scope of work).	DAG
5	Garden Route	George	George	All Themba lethu Informal Settlements, of which 6 formed a part of the scope of work. See George Case Study for more information. Nyamaland, Red Cross (New invaded area), Robben Island (New invaded area), Steybi-Steybi, Telkom	SAWIC
6	Overberg	Cape Agulhas	Napier	Napier Informal Settlement	PEP
7	Overberg	Swellendam	Swellendam	Railton	VPUU
8	Overberg	Theewaterskloof	Grabouw	Roidakkie informal settlement including Siyanyanzela, Kgotsong, Marikana, Zola and Iraq	VPUU
9	West Coast	Saldanha Bay	Saldanha Bay	George Kerridge	ESST
10	West Coast	Swartland	Moorreesburg	Sibanye	CORC

The selected 10 municipalities were selected as ISSP project sites within the WC where the ISSP has been implemented. The selection of the municipalities was undertaken to ensure that there was coverage of local municipalities in each district; coverage of all Non-Governmental Organisations (NGOs) deployed to provide support to these local municipalities, and to allow for coverage of a diverse range of implementation experiences. This process was undertaken in collaboration with the client, and the findings and recommendations form the basis of the content of Part 2.



Map 1.1. 10 selected case study municipalities

### **Part 3: Chapters 14 – 16 | Findings, conclusions and recommendations**

Part 3 of the report forms the crux of the evaluation. It presents the overall findings of the evaluation as discussed in Chapter 14, the resultant conclusions made – Chapter 15 – and the overall recommendations in Chapter 16.

Chapter 14 synthesises the learnings uncovered through the review phase and the data collection to develop robust findings through data triangulation. The conclusions chapter is packaged relative to the five Key Evaluation Questions (KEQs). The conclusions lead into the recommendations, presented in Chapter 16. The recommendations provide a way forward that can begin to leverage the successes of the ISSP to date, as well as create a platform for improvement of ISSP.

## 1.2 The Focus of the Evaluation

The Informal Settlement Support Programme (ISSP) was conceptualised as a holistic approach to informal settlement upgrading in the Western Cape, serving to support the implementation of the Upgrading of Informal Settlements Programme (UISP). As such, the programme aims to improve the quality of life and the physical environment of informal settlement residents by focusing on three key objectives: **(1) accessing land, services and public infrastructure and incremental housing options; (2) improving the quality of life and active citizenship; and (3) strengthening sector capability, governance, and resources.**

Since the inception of the ISSP in September 2016, there has not yet been an evaluation of the performance of the programme against achieving these three strategic objectives. Thus, this evaluation of the implementation of the ISSP aims to assess whether the programme is being implemented as planned, and to determine the extent to which the programme has improved the incremental and participatory approach to informal settlement upgrading.

The focus of this evaluation is summarised below:

- Understanding the preliminary effectiveness of the ISSP in achieving its 3 strategic objectives, the effectiveness of partnering with municipalities, NGOs, the private sector, and community leaders to implement the programme;
- Understanding how the positive outcomes of the ISSP thus far are sustained and replicated.
- Understanding to what extent implementation was done according to design, and whether any deviations from design been beneficial or not and why they were necessary.
- Understanding what challenges have been experienced in implementation and what can be learned from these and how can they be overcome; and
- understanding whether value for money has been achieved in the implementation of the programme.

**The ISSP Implementation Evaluation includes five (5) phases summarised in Figure 1.1, and this report presents the comprehensive Evaluation Report which provides an account of the analysis undertaken in preceding phases – and thus forms part of Phase 5 – Reporting. This report is accompanied by an abbreviated version in the 1/3/25 format.**

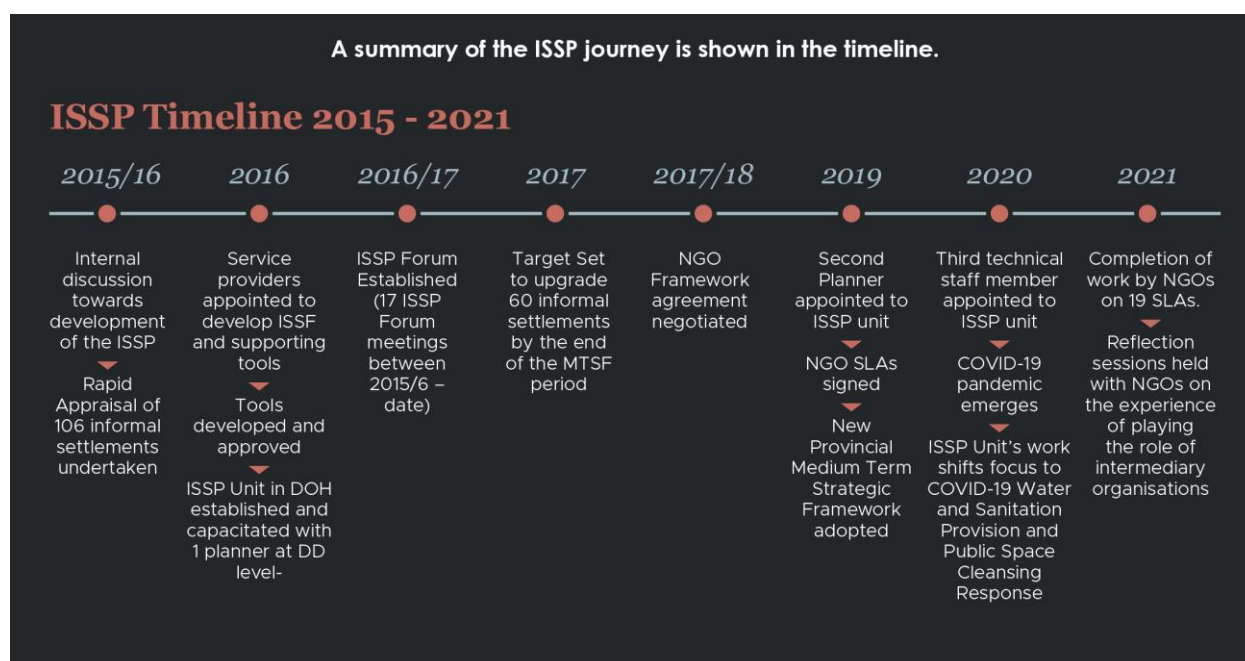


Figure 1.1. Evaluation methodology and phased approach (AIVIA, 2021).

### 1.3 Background to the ISSP

The background and problem statement are framed in accordance with a timeline of key policy and project milestones, in order to map the manner in why the need for the ISSP was identified, and how this the project statement of the ISSP.

The timeline of the implementation of the ISSP as described in key stakeholder interviews is outlined below:



Some of the milestones and the national policy context for the above milestones are described in the sub-sections that follow:

#### The National Housing Code (2009) and the Upgrading of Informal Settlements Programme (2009)

Informal Settlement Upgrading in South Africa is guided by the National Housing Code and the broader South African policy environment.

The Upgrading of Informal Settlements Programme (UISP) is one of the programmes in the incremental intervention category contained within the Housing Code. As the national policy for informal settlement upgrading, the UISP seeks to incrementally improve the living conditions of communities by providing security of tenure, access to emergency services as well as basic services and housing, which can provide a platform/foundation to households to improve their social and economic circumstances and promote sustainable livelihoods. The UISP has three main objectives namely *tenure security, health and security, and empowerment*. In order to understand the extent to which the UISP impacted the quality of life of informal settlement residents, the Western Cape Government undertook an evaluation of the Upgrading of Informal Settlement Programme (UISP) in the Western Cape in 2014.



## The WCG's UISP Evaluation

The purpose of the evaluation was to determine the extent to which the UISP impacted the quality of life of informal settlements residents. It aimed to investigate the extent to which the UISP was successful in achieving its objectives of enhancing tenure security, health and safety and increasing empowerment of informal settlement communities. The evaluation also sought to understand what factors led to the success or failure of the UISP, and what might contribute to the sustainability of the UISP in the Western Cape.

The UISP evaluation included the following recommendations:

1. To provide clear guidelines on facilitated participatory planning and communication in the terms of reference of UISP projects;
2. To build capacity in public participatory facilitation and conflict management in municipalities and communities;
3. To develop a better understanding of informal economic activities in informal settlements to ensure the security of beneficiaries' livelihoods in future upgrading projects; and
4. To develop an incremental tenure model to allow for land rights and responsibilities to be enhanced incrementally overtime

## WCG Internal Engagements

Following the evaluation of the UISP, and through ongoing conversations amongst officials, senior management, and executive the need for an evidence-based strategic response to informal settlements was identified (Key Informant Interview [KII], 2021). As the ISSF subsequently made clear, this strategic response needed to accept that:

- Informal settlements are a more enduring feature of the provincial landscape than generally appreciated;
- There was a lack of clear and coherent understanding and response from the sector (including all actors involved in human settlements) with regards to planning for informal settlements;
- Informal settlement communities were inadequately involved in planning and decision-making processes; and
- Non-state actors (the private sector and NGOs) are inadequately utilised in responding more effectively to informality (ISSF, 2016).

## Rapid Assessment Report

This shifting understanding led to the commissioning of a rapid appraisal of informal settlements in the Western Cape, which the Community Organisation Resource Centre (CORC) was appointed to undertake. The purpose of the Rapid Appraisal Project (RAP) was to gather more nuanced information regarding the needs of residents in informal settlements and how these needs can be met through more appropriate interventions and to inform these interventions.

The rapid appraisal report made several key findings of the state of informal settlements in the Western Cape at the time (WCG Rapid Appraisal, 2016). These findings include:

1. A poor relationship and communication between municipal authorities and the community members of informal settlements.
2. The locations and state of the settlements were poor.
3. The communities' priorities were unaccounted for. It was found that this issue was closely linked to the lack of communication and relationship between the municipal councillors and the residents.
4. Foreign immigrants living in informal settlements are unaccounted for, and the municipalities did not provide services to immigrants who have erected structures on municipal land. It also noted that this issue creates tense dynamics between South Africans living with foreigners in informal settlements and created the perception that South Africans in settlements would not receive services if foreign nationals also resided in those settlements. The WCG Rapid Appraisal (2016) noted this dynamic and the need for consideration going forward.
5. Issues around land tenure and the lack of employment opportunities were two challenges that became evident were not being resolved.
6. There was a lack of structured and organised community leadership in informal settlements. This further hinders the communication between the municipal officials and residents. Thus, the needs and priorities of the residents are unaccounted for and not tended to.
7. Women and children are the most vulnerable and unsafe in informal settlements.

In response to these findings the Rapid Appraisal Project discussed the issues that needed to be addressed in a comprehensive approach to informal settlements upgrading. These issues included leadership in informal settlements, community involvement, trust between residents and municipalities, basic services, intergovernmental cooperation and coordination, and municipal wide strategies. More specifically the appraisal argued:

8. Within the profiled settlements there was a need to help create leadership and organisational structures within the community. The report identified that these structures could help enable better lines of communication between the community and municipal authorities as well as hold the Municipality more accountable for providing the services and tending to the needs of the communities.
9. Residents of informal settlements wanted to be involved in the upgrading process. However, they needed support and capacity building to create structured organisations that can streamline concerns and needs to the various municipal authorities.
10. Trusting relationships between the community and municipal officers were lacking and needed to be built. The lack of trust between the settlements and the municipal authorities was hugely evident. The WCG Rapid Appraisal (2016) recommended that information needed to be shared between communities and municipal officials and then followed up by projects that make a tangible difference to the lives of the residents in the profiled settlements. The participants that took part in the surveys emphasised their desire of seeing that their participation had practical implications.

Building this trust means that municipalities need to include residents in the upgrading process through listening to community needs and then acting on the needs to see physical outcomes.

11. Access to water, sanitation, and employment opportunities were at the top of the priorities identified by the communities. These needs were prioritised above the need for formalised housing. This highlighted the need for urgent interventions in terms of access to basic services. It was found, for example, that access to electricity would make an immediate improvement to the life of people living in informal settlements. Job creation and support for livelihood activities were other critical needs indicated by participants.
12. The RAP team recommended that priorities should be classified into types and levels “create a hierarchy to indicate where access to employment stands in comparison to access to services.” (WCG Rapid Appraisal, 2016:25).
13. The rapid appraisal also indicated “the need for increased levels of interdepartmental and inter-governmental cooperation in delivering basic services and amenities.” (WCG Rapid Appraisal, 2016:31). Trans-departmental cooperation is important because incremental upgrading will focus on cross-sectoral responsibilities such as service provision, public amenities, and public spaces.
14. A need for municipal-wide informal settlement strategies and plans, which are distinct from settlements and project-level interventions. The WCG Rapid Appraisal Report recommends that Strategies must be developed through meaningful, participatory engagements so that the realities of informal settlements residents are reflected the Municipality's priorities in informal settlement upgrading.

### **Informal Settlement Support Programme**

The findings of the RAP echoed the WCG's assessment that a different approach was needed for informal settlement upgrading. In response to this need the Western Cape Department of Human Settlement appointed the Isandla Institute, in partnership with Palmer Development Group (PDG) and Habitat for Humanity South Africa to develop the Western Cape Informal Settlement Strategic Framework (ISSF), Informal Settlement Support Plan (Design, Servicing and Tenure Options, Implementation Plan, Prioritisation Model and Monitoring and Evaluation Framework. Together, these components formed the starting point and basis of the ISSP programme.

## 1.4 The Informal Settlements Support Programme (ISSP)

---

In response to the needs identified in the UISP evaluation, RAP and by the WCDHS, the development the ISSP sought to provide a robust, programmatic approach to guide the actions and relationships of multiple actors and stakeholders in the human settlements sector towards addressing informal settlements. This approach purposively seeks to acknowledge that informal settlements are the outcome of urbanisation, housing market failure, labour market dynamics and historically exclusionary housing market practises, that informal settlement are associated with risks and vulnerabilities, that a lack of trust exists between settlement communities and municipalities, and that housing is only one element of the upgrading process. The challenge is understood to be complex and urgent (ISSF, 2016).

The ISSP is designed as a transversal approach by the Western Cape Government supporting the Living Cape Framework, with the purpose to provide guidance to provincial departments and municipalities as the primary implementers of informal settlement upgrading initiatives, toward developing a sector-wide approach to addressing informal settlements and informal settlement formation. This approach includes roles for the private sector, civil society, informal settlements leaders and informal settlements residents in addition to the roles of provincial government and municipalities. The approach is consciously iterative, geared towards learning from implementation and improving the programme over time. This implementation evaluation forms part of that approach.

The ISSP was designed in the form of 5 components in 2016.

- The Informal Settlement Strategic Framework (ISSF), wherein which the Programme Theory / Theory of Change is articulated.
- An Implementation Plan – outlining key provincial and municipal actions
- The Informal Settlements Support Plan (design, tenure, and services options)
- The informal Settlements Prioritisation Model (and guidance note)
- A Monitoring and Evaluation Framework.

In 2019, an additional component, the **ISSP Policy Guidelines**, were added. The ISSP Policy Guidelines provided a response to the introduction of the Informal Settlement Upgrading Partnership Grant (UISPG). Anticipating the intensification of informal settlement upgrading over the medium term, the National Government in 2019 reaffirmed its commitment to an inclusive process of upgrading focused on the incremental improvement of informal settlements and their incorporation into their neighbourhood by ‘extending land tenure security, infrastructure and services to residents of informal settlements’ (Division of Revenue Bill, 2019: 115) through the introduction of the Informal Settlement Upgrading Partnership Grant (ISUPG).

The ISUPG starting point was the introduction of ‘dedicated windows to fund informal settlement upgrades in the provincial Human Settlements Development Grant (HSDG) and the municipal Urban Settlements Development Grant (USDG) in 2019/20’, with the view for provinces and municipalities to provide feedback before the grant shifted to a stand-alone grant.

From 2021/22 the grant is now a stand-alone Informal Settlement Upgrading Partnership Grant and appears in the Division of Revenue Bill as such. The requirements set out in the Division of Revenue Bill provide guidance on what is required from provinces and metros to release the funds. **The ISSP Policy Guideline provided a provincial interpretation of the requirements of this grant.**

These components are summarised in Diagram 1.1 and described in the following sub-sections in order to outline the intended structure and implementation of the ISSP, which is being evaluated, laying the groundwork for data collection, analysis, and findings of the ISSP. Later sections of this review chapter outline discuss key informants’ indications of actual rather than designed implementation in order to further guide appropriate evaluation of the programme.

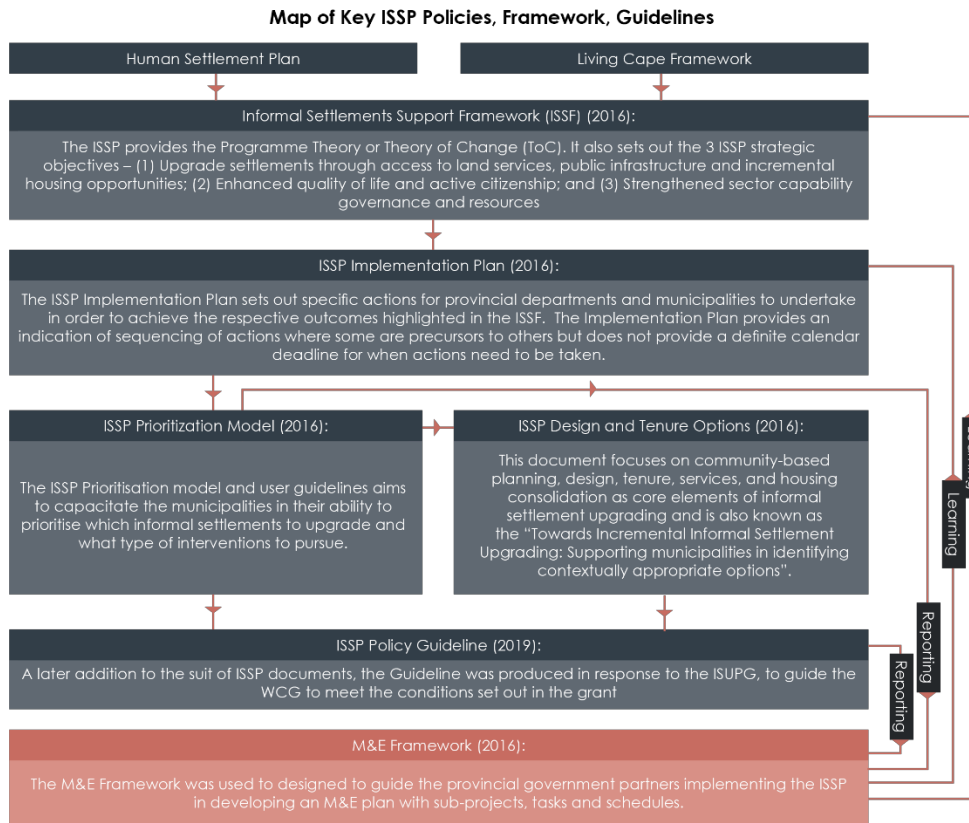


Diagram 1.1. Map of Key ISSP Policies, Frameworks and Guidelines

The ISSP is designed as a transversal approach by the Western Cape Government supporting the Living Cape Framework, and this section briefly describes the intent and purpose of the Living Cape Framework.

### 1.4.1 Living Cape Framework

The Living Cape Framework is a framework created by the Western Cape Provincial Department of Human Settlements that seeks to address governance barriers, improve human settlement integration, and improve service delivery. The framework aims to improve the ways in which people live in the Western Cape urban areas by identifying what needs to be done differently and how this can be achieved.

The purpose of the framework is to support the withdrawal from the previous housing delivery model and to focus precisely on the development and improvement of human settlements. The framework is understood as a space that unites housing and land, networked infrastructure, social and economic services and finally communities and the social fabric on various levels. The framework aims to motivate and inspire innovative, creative, and adaptive practices with all stakeholders involved in the Western Cape’s Department of Human settlements.

The Living Cape Framework was approved at Cabinet Bosberaad in May 2017 and was developed through a long-term collaborative process between Western Cape Government officials and researchers based at the African Centre for Cities that is still active. Key ideas were co-produced by an inter-sector and inter-disciplinary group of stakeholders. Informal settlements exist in urban and rural contexts and provide affordable shelter for a considerable proportion of the South African urban population. The way in which the framework links to informal settlement upgrading is through the UISP – the Upgrading Informal Settlements Programme.

#### 1.4.2 Informal Settlement Support Framework (ISSF) and the Theory of Change (ToC)

The ISSP Programme Theory or Theory of Change is outlined in the ISSF. It is comprehensively presented in a high-level logic (Figure 1.2), and a detailed set of provincial and municipal actions that respond to the specific strategies associated with the three strategic objectives. The logic assumes that these actions will lead to a series of outcomes, which in turn will contribute to the achievement of each strategic objective. These assumptions have been outlined through a Theory of Change workshop held in August 2021.

#### Programme Theory

The ISSP Programme Theory is “If provincial actors implement the **provincial actions** (with partners as appropriate) then it should lead to the **intended municipal-level outcomes**. If these outcomes are achieved at municipal level, then municipal-level actors will implement the **municipal actions** (with partners as appropriate) which should lead to the intended **settlement-level outcomes**.” (ISSP Implementation Plan, 2016c:3). Figure 1.2 summarises the ISSP Programme Theory.

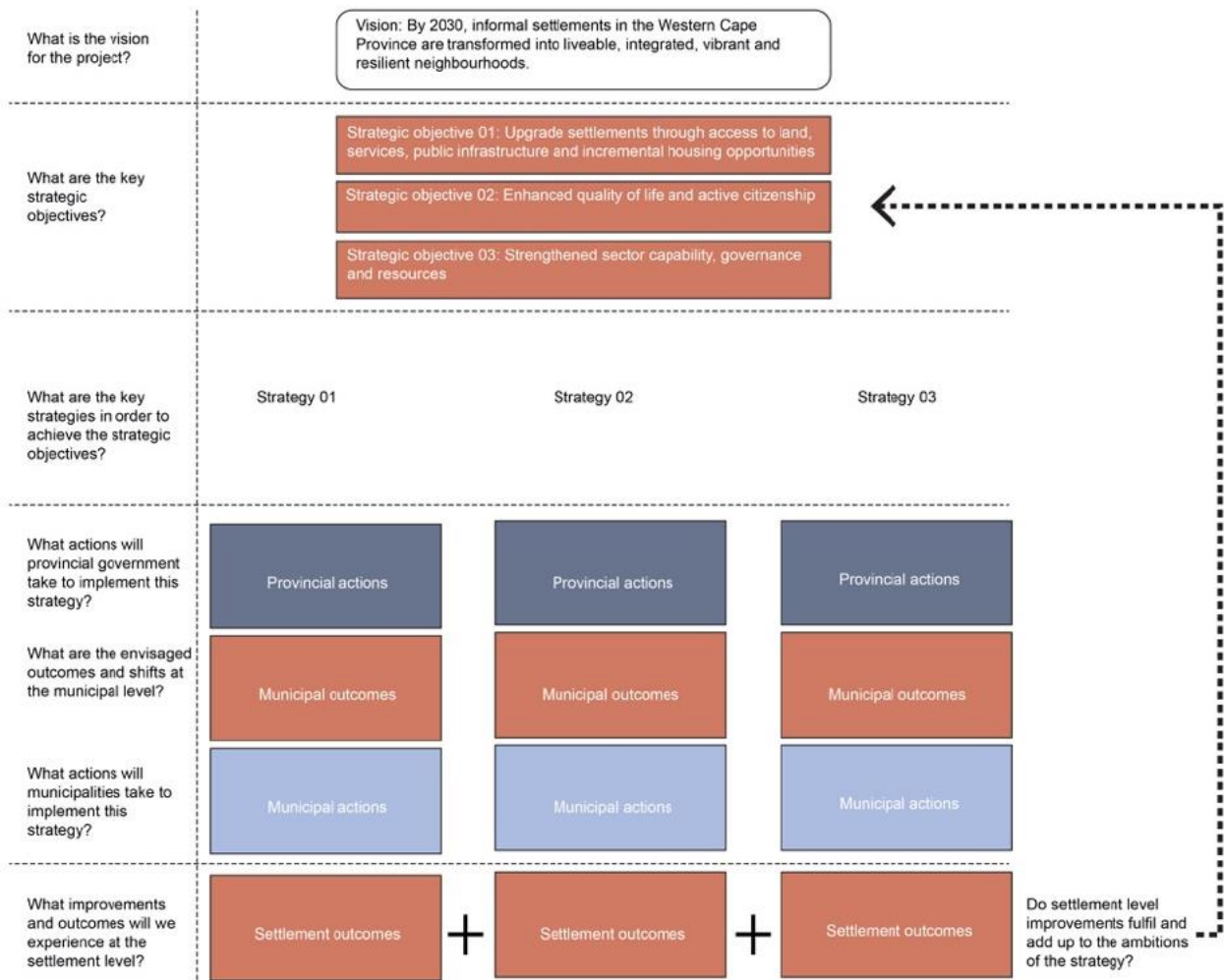


Figure 1.2. ISSP Programme Theory / Theory of Change (ISSP Implementation Plan, 2016c).

An important part of the ISSP Programme Theory is the sequencing of actions, this is not explicitly outlined in the programme theory in the ISSF, but is detailed in the Implementation Plan, where actions are identified as being key to supporting other future actions. This is important particularly in relation to Strategic Objective 3’s purpose of developing a capable humans settlements sector, because key strategies associated with Strategic Objectives 1 and 2 are reliant on the capacity that Strategic Objective 3 seeks to build. The Programme Theory, therefore, responds to the identification in the sector assessment that across the sector capacity for upgrading informal settlements is coming off a low base, and that a key component of a programme to respond to informal settlements is building sector capacity.

### Strategic Objectives

The ISSF provides the ISSP with three strategic objectives each addressing a different aspect of the vision and mission, from infrastructure, living informal settlements, to capacity to improve informal settlement. Each strategic objective is supported by a group of strategies to see that strategic objective achieved. Further each of these strategies is supported by a set of specific provincial and municipal actions identified in the implementation plan.

**Strategic objective 1:**

Upgrade settlements through access to land services, public infrastructure, and incremental housing opportunities.

Strategic objective 1 relies on the logic that communities understand these needs and priorities best, and that addressing these need and priorities requires a long-term programmatic approach to transform settlements into vibrant houses. This strategic objective focusses on the investment in infrastructure on land suitable for development. The emphasis is on physical improvements and avoiding relocations. The six strategies that support the achievement of strategic objective 1 are:

1. Prioritize emergency basic service provision
2. Strengthen planning for neighbourhood development
3. Unlock public and private land assets that are suitable for development and serving the livelihood needs of the community
4. Enable alternative forms of tenure security
5. Resettle people selectively with appropriate choices within a municipal wide development framework
6. Support incremental and affordable housing opportunities for people living in informal settlements



**Strategic objective 2:**

Enhanced quality of life and active citizenship

Strategic Objective 2 focuses on life within informal settlements looking to improve the socio-economic and socio-political status of those living in informal settlements and ensuring their participation in decision, and planning for the places where they live, focussing on ensuring government and communities are co-creators and partners in development. The four supporting strategies for strategic objective 2 are:

1. Support local entrepreneurship and livelihood strategies
2. Promote holistic human development with a focus on youth development and social cohesion
3. Support and enhance citizen capability in planning, decision-making, implementation, and monitoring
4. Shift mindsets in government and society towards recognising community agency and civic responsibility

**Strategic objective 3:**

Strengthened sector capability governance and resources

Strategic Objective 3 focusses on the capability and resourcing of the sector to support the upgrading of human settlements through the new orientation envision by the ISSP. It covers the finance requirements for the public sector and communities, public sector capability to implement, and to partner with the private sector and NGOs. It also focussing on monitoring, learning and support. This is oriented to improved spatial integration, investment planning, project identification, feasibility, packaging, and structuring.

The five strategies that support strategic objective 3 are:

1. Make adequate and appropriate financial resources available for informal settlement upgrading
2. Expand the role of micro-finance and community finance for housing consolidation
3. Initiate partnerships between public-private-NGOs-community organisations
4. Improves municipal capability for coordinating and implementing a programmatic approach to informal settlement upgrading
5. Enhance provincial capability for monitoring, oversight, technical guidance, learning and support.

### 1.4.2.1 Assumptions identified in the Theory of Change Workshop

The Theory of Change workshop identified key assumption made in the development and implementation of the programme. These assumptions have been grouped around key themes that emerged in the workshop and are presented in Table 1.2.

Table 1.2. Assumptions developed during the Theory of Change Workshop (AIVIA, 2021).

Assumption groups	Assumptions
<b>Capability/ Capacity</b>	<ul style="list-style-type: none"> <li>• Communities have capacity and leadership structures (or that this can be built)</li> <li>• Assumes capacity in municipalities, including adequate skills and capacity to understand key data exists, and to apply guidelines</li> <li>• Municipalities and province have capacity to appoint and monitor contractors</li> <li>• Innovations can be operationalised</li> <li>• There is a wide understanding of ISSP amongst stakeholders</li> </ul>
<b>Organisational resourcing</b>	<ul style="list-style-type: none"> <li>• Appropriate municipal units are in place to address informal settlements</li> <li>• A properly capacitated provincial unit is established</li> <li>• There is transversal understanding and acceptance of informal settlement upgrading</li> </ul>
<b>Communication/ Knowledge sharing</b>	<ul style="list-style-type: none"> <li>• Assumes platforms exist to share lessons on implementation</li> <li>• Assumes updated knowledge resources are available</li> <li>• Shared understanding of what participatory upgrading is</li> </ul>
<b>Resourcing</b>	<ul style="list-style-type: none"> <li>• There is funding availability for community engagement</li> <li>• Municipal resource centres are accessible to informal settlement dwellers</li> <li>• There is budget availability to decentralise and use EPWP CWP</li> <li>• Community members have resources to make use of upgrading opportunities</li> <li>• Municipalities can support relocated settlements</li> <li>• Plans are budgeted for</li> </ul>
<b>Planning</b>	<ul style="list-style-type: none"> <li>• Integrated planning processes are in place and functional or can be readily put in place</li> <li>• Consultative forums are responsive to communities</li> <li>• ISSP related plans can be timeously aligned with IDPs</li> <li>• Credible information is available</li> <li>• Zoning schemes allow for incremental upgrading</li> <li>• Plans are implemented</li> <li>• Municipalities will use data provided to them</li> </ul>

Assumption groups	Assumptions
<b>Buy-in</b>	<ul style="list-style-type: none"> <li>• There is agreement that informal settlement upgrading should be prioritised</li> <li>• Municipalities will buy-in to community inputs and value community agency</li> <li>• Official will buy-in to integrated planning</li> <li>• Senior management buy-in to ISSP processes</li> <li>• Councillors will buy-in ISSP processes</li> <li>• Communities will buy in to ISSP processes</li> <li>• Surrounding communities to informal settlements will buy in to informal settlement upgrading or development of well-located land</li> <li>• Trust can be developed between Municipality and communities</li> </ul>
<b>Cooperation</b>	<ul style="list-style-type: none"> <li>• There is ability and willingness of municipalities to co-produce with communities</li> <li>• Capacity to cooperate exists</li> </ul>
<b>Assignment of responsibility</b>	<ul style="list-style-type: none"> <li>• Responsibilities are assigned to officials (KPIs, etc)</li> <li>• Municipalities will use the resources provided to them</li> </ul>
<b>Monitoring, reporting, evaluating, learning</b>	<ul style="list-style-type: none"> <li>• Adequate provincial and municipal resource to respond to M&amp;E requirements</li> </ul>
<b>Political</b>	<ul style="list-style-type: none"> <li>• Tenure options will be politically accepted</li> <li>• Community leaders are comfortable with the message and willing to engage</li> <li>• Political will for ISSP exists</li> </ul>
<b>Legal</b>	<ul style="list-style-type: none"> <li>• Tenure options will be legally accepted</li> </ul>
<b>Market</b>	<ul style="list-style-type: none"> <li>• Sufficient intermediary organisations are available, or the sector will develop sufficient intermediary organisations</li> <li>• Land value concerns can be balanced</li> <li>• Local service providers are known</li> </ul>

These assumptions were used to inform the data collection, fieldwork, and analysis. This is discussed further in Chapter 5.

### 1.4.3 Implementation Plan

The ISSP Implementation Plan (2016c) focuses on the strategic objectives as identified in the ISSF, the said objectives' strategies, and actions needed to achieve said strategies. The implementation plan assigns responsibility of actions to provincial departments and municipalities; it provides rationale for said actions; it suggests key steps to be taken in order to achieve the intended outcomes and it links the various actions.

The ISSP Implementation Plan (2016c) sets out specific actions for provincial departments and municipalities to undertake in order to achieve the respective outcomes highlighted in the ISSF (2016). It provides rationale for each action and summarises key steps to assist with implementation. The objectives, strategies and actions are strongly underpinned by an ethos of participation, sustained community engagement and partnership as communities know their needs and priorities best (ISSP Implementation Plan, 2016c). As such the ISSP Implementation Plan aims to achieve its purpose through cohesive partnerships within this sector.

The key role-players in the Implementation Plan are provincial departments and municipalities. The Provincial departments include:

- Department of Human Settlements (WCDHS)
- Department of Environmental Affairs & Development Planning (DEADP)
- Department of Economic Development and Tourism (DEDAT)
- Department of Local Government (DLG)
- Department of Cultural Affairs (DCAS)
- Department of Correctional Services (DCS)
- Department of Social Development (DSD)
- Department of Health (DoH)
- Western Cape Educational Department (WCED)

The Housing Development Agency (HDA) is also identified as a role player.

These various departments are responsible for a range of provincial actions. Some actions link to each other and requires strong cohesion between Western Cape Government Departments. Specific municipal departments are not mentioned for all municipal actions in the implementation plan, responsibilities are assigned to Municipalities as a whole.

While the Department of Human Settlements is responsible, either solely or jointly, for most of the Provincial actions, there are specific actions within the three strategic objectives for which the Department of Human Settlements is not identified as the key role player.

#### 1.4.4 Informal Settlements Support Plan (Design, Tenure and Services Options)

The Design, Tenure and Services Options provide guidance and support to municipalities for the prioritisation, planning, implementation, and maintenance of the interventions employed in incremental upgrades of informal settlements (ISSP, 2016a). Incremental upgrading process is founded on collaboration and co-creation between municipalities and communities living in informal settlements. The plan introduces these approaches and concepts, such as tenure security, community participation, basic service provision, community-services, and housing consolidation, which form the backbone of incremental upgrading of informal settlements (ISSP, 2016a). The plan further introduces the various sub-options for the elements mentioned above. These elements are then grounded in case studies, both from the South African context and international arena. The aim of these case studies is to provide practical examples of how these theoretical concepts can be applied, and the lessons learnt in practicing incremental upgrading on the ground.

#### 1.4.5 Informal Settlements Prioritisation Model

The ISSP Prioritisation model and user guidelines aims to capacitate the municipalities in their ability to prioritise which informal settlements to upgrade and what type of interventions to pursue (ISSP, 2016b). There are three key documents linked to the ISSP Prioritisation Model. All three documents must be used in conjunction with the Informal Settlements Support Plan which outlines the design, tenure services options municipalities can consider for incremental and participatory upgrading in relation to different settlement categories. The prioritisation tool helped inform the categorisation of informal settlements which were profiled during the Rapid Appraisal.

The ISSP Prioritisation documents include:

- **The excel spreadsheet**, encompasses the tool that prioritises a list of informal settlements within the municipalities of the five districts in the Western Cape.
- **The ISSP user guidelines**, introduces the model and provides instructions on how to use the excel modelling tool.
- **The ISSP Matrix Report for the Western Cape non-metros**, communicates the findings of the Informal Settlements Prioritisation Model.

#### 1.4.6 Monitoring and Evaluation (M&E) Framework

The purposed of the M&E framework is to guide the provincial government partners implementing the ISSP in developing an M&E plan with sub-projects, tasks, and schedules. It was designed to use joint, planning, monitoring and evaluation processes already in existence and aimed to reinforce the strong move towards integrated planning and M&E in provincial government. It was designed to enable informed decision making, course correction and learning, and accountability.

The framework focuses on operational (process) monitoring and monitoring settlement level outcomes and outlines the role for evaluation.

### 1.4.7 NGO Framework Agreement

The NGO Framework agreement is an overarching agreement that was signed by each NGO commissioned to do work within the ISSP projects. This document was drawn up and signed before the development of the Service Level Agreements (SLAs). Each NGO contracted entered into a service level agreement with the WCDHS. The SLA's outlined the services that were to be performed by the NGO in the selected informal settlements. The Milestones for each NGO are outlined and described in the SLAs. Table 1.3 describes these agreements entered by the province and the NGOs

Table 1.3. Description of Agreements and SLAs entered between the NGO's and the Province (AIVIA, 2021).

Agreement	Description	NGOs With this agreement type
Service Level Agreement: Intermediary	Service Level Agreement for <b>community-based planning in informal settlements</b>	CORC PEP VPUU SAWIC
SLA Intermediary	Service Level Agreement for <b>community-based planning and enumeration in Informal Settlements</b>	Habitat DAG ESST VPUU
SLA Intermediary	Service Level Agreement for <b>community-based planning and verification of beneficiary database in informal settlement</b>	DAG
SLA (Communications)	<b>To develop visual content targeted at households in informal settlements</b>	ISANDLA
NGO Framework agreement	<b>Framework Agreement for the provision of Professional Services.</b> A brief generic 'NGO Framework Agreement Document was signed by each NGO, prior to the ToR and SLA's being developed and signed.	CORC PEP VPUU SAWIC DAG Habitat

### 1.4.8 ISSP Policy Guidelines

During the 2019/2020 financial year, an additional ISSP component was produced, the ISSP Policy Guideline. This was in response to the new Human Settlement Development Grant (HSDG) funding opportunity, the Informal Settlement Upgrading Partnership Grant, which is exclusively for Upgrading of Informal Settlement Programme (UISP) projects, provided the prescribed conditions are met. The prescribed conditions are largely aligned to the ISSP. The ISSP Policy Guidelines suggests how the actions of the Western Cape Human Settlements Department (WCDHS) could be shifted to meet these conditions. As per the ISSP Policy Guidelines (2019:3), these conditions include:

- Provincial upgrading strategy and programme
- Upgrade plan per informal settlement to be upgraded using grant funding
- Alignment with Spatial Development Plans/Spatial Development Frameworks as per SPLUMA

- Operation and maintenance of settlements upgraded and the provision of adequate bulk & connector infrastructure to support service provision
- Monitoring of key outputs
- Monitoring of informal settlement status/impact.

The purpose of the ISSP Policy Guideline (Policy Guidelines) is to explain the approaches, principles and actions identified in the ISSP that could be implemented in the short term, in UISP projects. This document also discusses how the WCDHS's administrative, planning and resourcing systems could assist in the supply of municipal services in informal settlements and relocation practices.

The Policy Guidelines strongly encourages in-situ upgrading as far as possible to ensure that informal settlement upgrading protects the social or economic connections in the community. It emphasises the need for upgrading projects to first focus on the delivery of interim services to as many informal settlements as possible. This will maximise the positive effects of public spending. In cases where the existing informal settlement will be made permanent, the provided service infrastructure will also be made permanent (ISSP Policy Guideline, 2019). This guideline is also aligned with the ISSP strategic objectives and aims to achieve positive outcomes by using the nine key strategies in UISP projects.

### **Key elements of informal settlement upgrading projects**

The ISSP Policy Guidelines highlights 9 key elements to consider for informal settlement upgrading projects. These elements are based on the ISSP and are broadly aligned to the ISSF guiding principles. The 9 key elements are:

#### **1. Upgrade in situ wherever possible, with the provision of individual services as the desirable end-state in permanent settlements**

The upgrading of informal settlements should occur in-situ as far as possible, except in cases where the informal settlement is inherently dangerous or unsuitable for human settlement. In such cases, the relevant part of the informal settlement should be relocated. Relocation can be urgent if the threat is imminent or less urgent if there is no threat, but the site cannot be serviced due to locational factors (ISSP Policy Guideline, 2019).

#### **2. Provide interim services broadly across informal settlements in the short term, with interim services as the end-state in temporary settlements**

Interventions that have significant impacts on the lives of residents (in terms of health and welfare) should be carried out first, benefitting the maximum amount of people. Community consultations are of utmost importance when identifying first level interventions as residents can most adequately identify actions that are most meaningful to their quality of life. This approach also creates trust and acceptance of interventions (ISSP Policy Guideline, 2019).

#### **3. Rapidly assess informal settlements as part of municipal planning**

Rapid assessment tools are vital to meeting the principles of upgrading and in-situ development projects. Rapid Assessment and Categorisation (RAC) tools have been developed for municipal strategic and UISP planning. The aim of this tool is threefold: firstly, it allows municipalities to conduct a high-level assessment of informal settlements in an area to determine whether relocation is necessary. Secondly, it assists in determining the details of upgrading, focussing on the short-term but in the context of a long-

term trajectory. Lastly, it allows for a comparison across informal settlements within a specific (municipal) area. This allows government servicing and relocation to be scaled according to available resources and priority areas (ISSP Policy Guideline, 2019).

#### **4. Order settlements by priority for project preparation and delivery as public resources are constrained**

In addition to RACs, prioritisation is needed because subsidy resources cannot be evenly spread across all informal settlements. This tool entails the ordering of upgrading projects within a Municipality and across the Province. It allows the WCDHS to support municipalities in the prioritisation of projects for subsidy funding. The ISSP proposes a prioritisation tool but does not dictate how it should be used at a practical level or how it should be linked to WCDHS planning processes (ISSP Policy Guideline, 2019).

#### **5. Establish adequate funding application processes that recognise project preparation and delivery requirements**

The selection, design, and funding of upgrading projects can be found in the WCDHS Business Plan. RACs that strongly inform resource allocation should be conducted over a wide area to ensure that subsidies are spread adequately across upgrading projects (ISSP Policy Guideline, 2019). With respect to the funding application processes of different settlement types:

- projects in A and B1 settlements should follow the normal funding application process
- projects in B2 settlements should follow the shortened funding application process
- projects in C settlements could follow the normal or shortened funding application process. If the result is relocation to A or B1 settlements, projects should follow the normal funding application process. If the result is relocation to B2 settlements or a temporary relocation area, projects should follow the shortened funding application process.

#### **6. Deploy intermediaries for various tasks related to project facilitation, and develop adequate funding mechanisms**

Intermediaries could play a vital role in the upgrade process regarding the way communal services can be operated maintained. Social facilitation is therefore linked to the upgrading activities of a project, as such spending should be assigned to and recorded as part of a project. Social facilitation funding requests should be made by the Municipality within the application and implementation process, or in consultation with the Municipality. Spending more than the social facilitation subsidy should be tolerated (if it can be motivated) and should be authorised as a deviation (ISSP Policy Guideline, 2019).

#### **7. Confirm that the Chief Directorate Implementation drives implementation of upgrade projects**

The Department's Chief Directorate – Implementation is responsible for the project implementation. While the Department's Chief Directorate – Planning is responsible for the project preparation. Monthly regional Technical Assessment Committee meetings will be held for implementation and planning staff to co-ordinate their efforts (ISSP Policy Guideline, 2019).

#### **8. Develop a monitoring and evaluation system for interim service delivery in informal settlements**

For accurate information regarding the need for interim services in informal settlements, the WCDHS needs to monitor the degree of access to interim services within each Municipality and the number of households involved. To achieve this, the Department should estimate the extent of access across



various informal settlements using a consistent method of estimation (ISSP Policy Guideline, 2019). The Strategic Management Support and Planning Directorates should work together to ensure that the outcomes and outputs are in line with this Guideline. The output indicators should also meet the monitoring requirements for the HSDG and UISP projects, which can be found in the Division of Revenue Act. Provincial departments are also required to report on outputs of UISP projects.

### **9. Get clarity on conditions for supplying services to informal settlements on private land**

It is unclear whether the government can provide services on privately owned land without the owner's consent. However, the government still has a responsibility to informal settlement dwellers even if they are located on privately owned land illegally (ISSP Policy Guideline, 2019).

#### **Key Instruments / Steps prior to upgrading**

Three key instruments form part of the process of identifying and funding upgrading projects, namely RACs, prioritisation tools and inclusion in the WCDHS Business Plan. These key instruments can be seen as steps prior to the actual upgrading. As indicated by WCDHS (ISSP Policy Guideline, 2019:14) the steps are as follows:

**Step 1:** Municipalities conduct a rapid appraisal of informal settlements to determine whether they need to be relocated, the level of servicing required and whether they are prepared for an upgrade.

**Step 2:** Using the ISSP prioritisation tool, settlements are placed in a priority order for funding and implementation. This is based on the results of the rapid appraisal. Steps 1 and 2 are the responsibility of municipalities and can be linked to the Integrated Development Plan (IDP), Spatial Development Framework (SDF) and Human Settlement Plan (HSP).

**Step 3:** If settlements are to be relocated, they should receive temporary services and undergo a shortened process of obtaining funding. Settlements which are not being relocated should be supplied with permanent services and undergo the normal funding process.

The processes of informal settlement rapid appraisal, project funding application and project preparation also meets the requirements set by the HSDG for the Western Cape Government. The summary below contains a description of the abovementioned three key instruments in the process of settlement upgrading.

#### **The Business Planning Process**

The Policy Guidelines describes two subsidy application processes, the normal subsidy application process, and the shortened subsidy application process. The former contains three key stages, specifically, the submission of a Project Initiation Document, the completion of a Project Feasibility Assessment and the completion of a Readiness Assessment. As each stage is completed successfully, further funding is provided for project preparation and implementation. The latter requires only a Project Feasibility Assessment. The developer, planners, and engineers on the project should complete this assessment. The completion of the Feasibility Assessment meets the requirements of the UISP grant funding.

## Rapid Assessments and Categorisation Reports

The guideline outlines that the RAC assessment should be done in terms of two key aspects which informs the housing subsidy project planning and resource allocation. The first is the suitability of the site on which the informal settlement will be developed and whether the upgrading project is ready to commence. The second is the scale of the upgrade according to the amount of people and households and servicing backlogs (ISSP Policy Guideline, 2019).

For ISSP projects, there are currently two ways of applying for subsidy funding to get projects onto the Business Plan. The first is the normal funding application process and the second is a shortened funding application process which caters for the implementation of interim services. The RAC assessment helps identify which of the two routes should be taken (ISSP Policy Guideline, 2019). For instance:

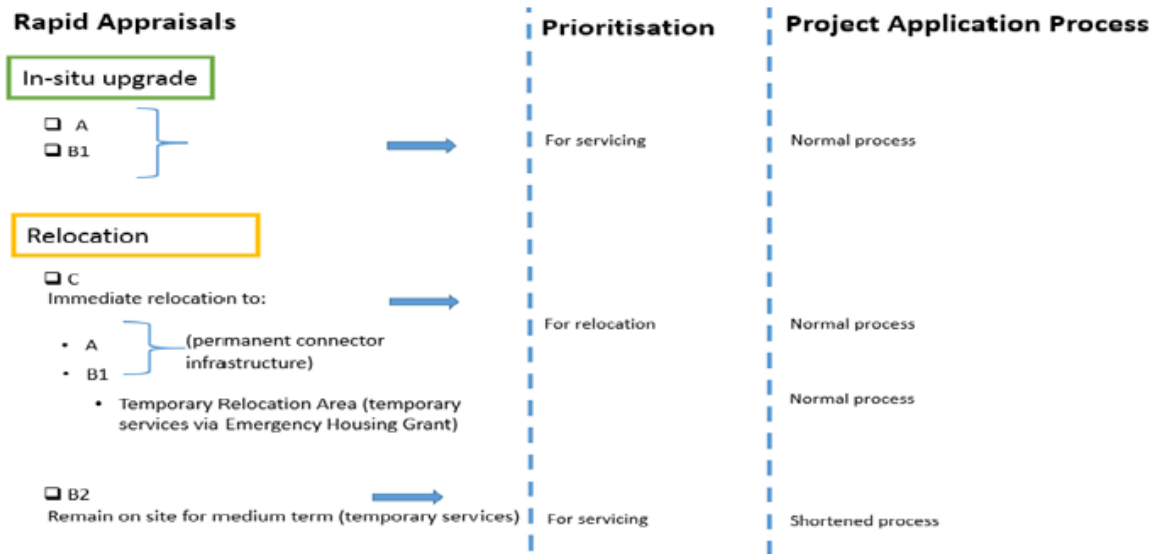
- Category B2 settlements (which require short term emergency basic services) will be considered for interim services and should use the shortened application process.
- Categories A and B1 settlements (which require full upgrading and interim services respectively) should follow the normal application process as settlements are permanent. The connector infrastructure provided should therefore be permanent, the services should be interim but readily upgradeable and the carrying capacity should be known.
- Category C settlements which require relocation to a permanent settlement, should follow the normal business plan process. In cases where a new permanent settlement is unavailable, relocation to a temporary settlement is required thus the shortened application process can be followed.

The normal project funding application process requires a Project Initiation Document. This document should contain information regarding the settlement's topography, bulk infrastructure requirements, land ownership and environmental constraints. The shortened funding application process requires a Project Feasibility for Informal Settlements Interim Services report. This report should provide information from the RAC report and the technical and engineering requirements as required in the normal application process.

RAC assessments should be resourced and funded through municipal mechanisms and inform documents such as the SDF, IDP and HSP (ISSP Policy Guideline, 2019). The strategy is to spread subsidy resources over as many informal settlements as possible while preventing relocation as far as possible.

## Prioritisation Tool

The ISSP proposed a prioritisation tool to assist municipalities in ranking informal settlements to determine which projects will be considered for funding and included in the Business Plan thereby allowing projects to move from the project pipeline to the Business Plan. The ISSP prioritisation tool is used separately for in-situ upgrading projects (i.e., categories A, B1 and B2 settlements) and relocation projects (category C settlements) and the respective results are not comparable. However, results from both types of projects feed into the Business Plan. The Western Cape Department of Human Settlements is currently operating the tool on behalf of all municipalities resulting in a provincial level of informal settlement ordering (ISSP Policy Guideline, 2019). It is important to note that factors such as bulk infrastructure and land availability also impact the prioritisation of projects and should be dealt with at a municipal level in the SDF and IDP.



1

Figure 1.3. Process for identifying and funding upgrading project (ISSP Policy Guideline, 2019).

### Services on Private Land

The Policy Guidelines document discusses whether services should be provided to informal settlements located on privately owned land. The South African Constitution provides its citizens with a range of basic core rights which ensures that safe, healthy, dignified living environments are accessible. Essentially the government has a responsibility to those living in informal settlements and those located on privately owned land are no exception. It is unclear whether the government has the authority to provide services on private land without the consent of the landowner. Changes in spatial planning law suggest that government must take responsibility for the provision of services, however further legal research is required (ISSP Policy Guideline, 2019).

Since the publication of the Policy Guidelines, additional research and legal work has been undertaken in relation to the provision of services on privately owned land and the interpretation of the Municipal Financial Management Act (MFMA) amongst others. This research will be further explored in the context of this study.

### Tenure and top structures

The Policy Guidelines, the ISSP advocates for property rights to be given to residents in an incremental manner but does not consider the risks and cost implications. The ISSP also advocates for an incremental approach to building top structures, such as support centres, which are funded and managed by government. However, there is a lack of research into its feasibility and affordability for government and alternatives are not considered (ISSP Policy Guideline, 2019).

<sup>1</sup> It is noted that the term interim and temporary services are understood to mean the same within the context of B2 settlements.

## Reporting

The ISSP Policy Guidelines requires the development of a monitoring and evaluation system for interim service delivery in informal settlements. Regarding the outcome, WCDHS should monitor the level of access to interim services for each informal settlement per Municipality. Since informal settlements grow and change quite rapidly, the WCDHS should explore ways of estimating the level of access across informal settlements. Such estimations may require municipal and provincial data to be brought together, thereby making broad assumptions about the relevant informal settlements. There should be a systematic way of checking said assumptions. The method of estimation should be used consistently across all municipalities and informal settlements. A variety of estimation methods may be explored (ISSP Policy Guideline, 2019).

The output indicators for the interim service delivery in informal settlements should include:

- the number of interim service connections per service funded by the HSDG per Municipality;
- the number of informal settlements with interim services projects being implemented.

The output monitoring can be done annually and cumulatively (while avoiding double counting).

“Indicators can be populated through standard project-based reporting” (ISSP Policy Guideline, 2019:12).

The guidelines indicated that the WCDHS Planning Directorate’s Informal Settlement Support aimed to design outcome and output indicators aligned to these guidelines and in collaboration with the Strategic Management Support Directorate, in 2020 and that mechanisms to collect data related to outcome indicators may need to be put in place to support this (ISSP Policy Guideline, 2019). These output indicators were intended to be developed to meet the monitoring requirements in the Division of Revenue Act (DORA) schedule for the HSDG and UISP grant. This schedule requires that the National Department develop a reporting template for Provincial Departments to report on outputs and other conditions linked to the UISP during 2019/2020. The design of this monitoring framework should be informed by the UISP reporting framework (ISSP Policy Guideline, 2019).

### 1.4.9 Institutional Arrangements and Stakeholder Engagement and Buy-in

The ISSP as a transversal and intergovernmental programme draws in many stakeholders. The stakeholder map below outlines the links between key stakeholders in the implementation of the ISSP.

In the initial implementation of the ISSP the institutional arrangements have focussed on the development of the ISSP Unit within the Department of Human Settlements and the development of the ISSP forum. These are the focus of this section.

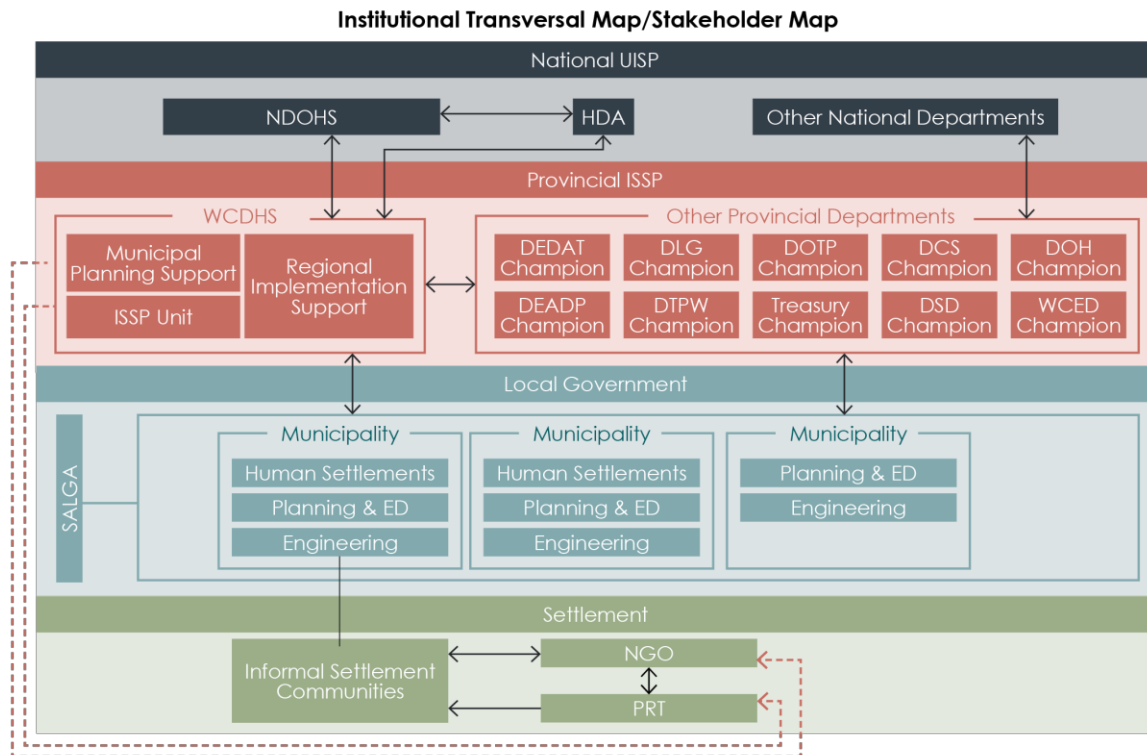


Figure 1.4. Map of key stakeholders in the ISSP

## 1.5 The UISP and the Western Cape's Informal Settlement Support Programme (ISSP)

---

The ISSP is intended to aid the uptake of UISP programmes in the Western Cape. The strategic objectives and implementation plan for the ISSP are therefore closely aligned with the UISP as outlined in the Housing Code. While the UISP is designed to support incremental in-situ upgrading of informal settlements, the ISSP offers additional detail on the implementation of the socio-technical aspects of upgrading to enable it and offer practitioners a route to implementation. Some aspects of this are highlighted below.

### In Situ Upgrading with relocation as the last resort

- The UISP was designed to facilitate the in situ upgrading of informal settlements, limiting relocation as far as possible with the view to maintain community networks. Importantly, the view to **promote in situ upgrading necessitates a shift to the acceptance of informality, and a shift away from the eradication of informal settlements**. Given the incremental nature of informal settlement upgrading put forward as part of the UISP, there is **an increasing recognition of incremental upgrading as a key approach to achieving breadth rather than depth**. Even though the mainstreaming of incremental in situ upgrading into policy and strategy documents, the practice of upgrading in action has often defaulted to a mere conventional IRDP delivery mode, rather than incrementally through the UISP Phases 1-3.

To challenge the practice of delivering human settlements opportunities in this manner, the ISSP seeks to promote incremental upgrading through the objectives and strategies contained in the ISSP. For example, strategies focused on the provision of upgrading opportunities on privately owned land speaks to the recognition that settlements located on privately owned land should not immediately be earmarked for relocation, but that alternative solutions should be sought to limit the need for relocation, particularly in context of limited supply of well-located land.

### The importance of Community Participation and meaningful engagement within the UISP

- One of the policy principles of the UISP is that the Programme is premised upon extensive and active community participation. This is widely acknowledged as a key success factor for the success of human settlement initiatives, and case law provides further evidence for the importance of engagement and co-production with communities.
- Meaningful engagement was set out in the Olivia Road case by the Constitutional Courts as a two-way process in which local government and its residents that are affected by a particular upgrading strategy or programme talk to each other meaningfully to achieve certain objectives and specified outcomes.
- Individuals and communities should be treated as partners in the decision-making process. If engagement takes place after the decision has been made, then it is not meaningful (Abahlali base Mjondo Movement of SA case).
- There should be a combination of individual and collective participation. Thus, it should be a form of engagement between the community and community-based organisations as well as the individuals within the community.
- Meaningful engagement should take place with the communities and individuals during all stages of strategy development (decision-making, planning, implementation, and evaluation).

This will provide them with reasonable opportunities to voice their concerns and participate in the decision-making process.

- The UISP grant funding: “Survey, registration, participation, facilitation, dispute resolution, calculated at 3% of the project cost before project management fees is added.” The 3% allocation has been the subject of debate in practice – particularly considering the variability in community dynamics that must be navigated in distinct locations, programmes, and projects.

The ISSP is premised on the importance of meaningful engagement, and the role and involvement of NGOs in ISU is the most well recognised feature/ component of the ISSP.

### **The indicative Upgrading Phases in Practice**

- The Code suggests that settlement upgrading be undertaken in Phases. Phases 1 to 3 focusses on community participation, supply of basic services and security for all residents. Stage 4 constitutes the Housing Consolidation Stage and access to the Government’s housing assistance programme undertaken in terms of the provisions of the specific programme opted for. Qualification for the benefits under Stage 4 is determined by the beneficiary’s profile and residential property ownership status and/or record of the household (National Housing Code, 2009).
- Current government targets are linked primarily to the number of informal settlements upgraded to Phase 3. For example, these targets are reflected in short-term Business Plans which are used to unlock funding for informal settlements.
- The rigid interpretation and application of the indicative Phases, and its steps and timeframes in a linear and sequential manner does not consider the flexibility and adaptability required in an upgrading context, given the diversity of communities, geographies, resource availability and institutional readiness.
- Notably, the UISP itself notes that “the programme has been designed to address the specific development requirements posed by informal settlements hence it is flexible to ensure that it can address locally peculiar development requirements and becomes a specially designed funding mechanism.”
- Therefore, it must be understood that in practice the incremental Phases may not always be linear, perfectly sequential or follow the guidance on timeframes as suggested in the Code.

The ISSP recognises the importance of the incremental indicative Phases but also that not every settlement is likely to move through the Phases as suggested in the Code. During the development of the ISSP, it was recognised that settlements may take longer than others to reach Stage 3. However, it is known that targets are often based primarily on settlements upgraded to Stage 3. Even though funds are required, the release of funds for more settlement upgrading than what provinces and municipalities have capacity to implement at a given point in time can create a misrepresentation of the efforts being made.

## Access to land, basic municipal engineering services and social amenities and services

- The UISP Phases 1-3 aim to culminate in fully serviced sites, whereby Stage 2 focuses on interim basic services and Stage 3 reaches house-level connections – thus, the programme will finance the incremental development of formal serviced stands.
- Whilst the exact municipal services are not defined in the Code, the Code states that **where interim services are to be provided it must always be undertaken on the basis that such interim services constitute the first phase of the provision of permanent services, the nature and level of permanent engineering infrastructure must be the subject of engagement between the local authority and residents.**
- Further consideration should also be given to ways in which innovative / alternative servicing solutions can be applied in informal settlements to realise the outcomes of incremental, in situ upgrading as intended by the UISP.
- This may also serve to aid in setting realistic implementation targets and ensuring that the provision of engineering services in informal settlements remains focused on incremental upgrading as intended by the Code, rather than a source of wasteful expenditure.

The ISSP has a dedicated strategic objective geared to move beyond the provision of basic services toward holistic upgrading.

## Importance of Security of Tenure

- The UISP promotes security of tenure as the foundation for future individual and public investment.
- The broad goal of security tenure may be achieved through a variety of tenure arrangements, and these are to be defined through a process of engagement between local authorities and residents.
- The NUSP Participants Manual notes that tenure security can follow a continuum
- Importantly – South Africa has case law and a constitution which offer protection against eviction. As mentioned above, the “Constitutional Court judgements also show that municipalities must engage meaningfully with people under threat of eviction and that attention must be given to the provision of alternative accommodation (NUSP Participants Manual, 2015).



Figure 1.5. The Tenure Continuum

- The Spatial Planning and Land Use Management Act (SPLUMA) ensures that informality is recognised in the planning process, and specific clauses and sub-clauses set out the need to mainstream informal settlements into the planning through multiple entry points such as the Spatial Development Framework (SDF), Integrated Development Plan (IDP) as well as the



Integrated Human Settlements Plans (IHSP), as well through land use management schemes and zoning.

- Since SPLUMA came into effect, several municipalities have undertaken to update their Land Use Management Scheme, many moving from a fragmented LUMS focused on areas within the urban edge, to a more comprehensive wall-to-wall LUMS. However, the extent to which the inclusion of informal areas and the enabling of tenure security has been implemented differs across the country.

The Western Cape has for example developed a Tenure Guideline as part of the Informal Settlement Support Programme, guiding municipalities toward tenure solutions. The importance of this topic was again raised in the ISSP 2019 Policy Guideline.

## 2 Approach and Methodology

---

The evaluation follows a quasi-participatory implementation evaluation approach. This is the appropriate approach as the evaluation is five years into the implementation of the programme. This allows for recommendations to be made on the programme so that it can be adapted while it continues, and to inform future iterations.

Implementation evaluations are learning-oriented, focused on learning how to improve the implementation of the programme by evaluating how inputs are being transformed into outcomes through implementation, what is happening and why (DPME, 2014). This is the recommended approach given the emphasis on lessons learnt and improvement in the Key Evaluation Questions (KEQs) in the Term of Reference (ToR). The approach to this evaluation is quasi-participatory because the focus of the key evaluation question is on implementation and cooperation between the implementing stakeholders. The emphasis is therefore on ensuring that provincial officials, municipal officials, NGOs, the private sector, and community representatives (particularly those involved with the implementation of the ISSP to date) participate in the evaluation process.

Adopting a participatory approach to the evaluation elevates the community voice and provides a role for all stakeholders throughout the evaluation process, including evaluation decision making, around criteria, key evaluation questions, methods, and results and recommendations.

The AIVIA team has taken a partnership approach with the Western Cape Department of Human Settlements (WCDHS) in undertaking this evaluation, maintaining open channels of communication, and offering mutual support to ensure an effective evaluation is undertaken.

### 2.1 Evaluation Design

---

Key Evaluation Questions (KEQs) and sub-questions were provided in the ToR issued for this project. During the course of the project, and informed through the literature review and client engagements, the key evaluation questions, and sub-questions were amended. The amended KEQs are summarised below and presented in further detail in the following sub-section 2.3.2.5.

The evaluation seeks to answer the following 5 Key Evaluation Questions (KEQS):

1. Since the inception of the ISSP in 2016 what has changed and how in the delivery of informal settlements projects and programmes?
2. Is the ISSP being implemented according to its design?
3. Are stakeholders being engaged as intended?
4. Were there any barriers in executing the strategies of the plan?
5. What are lessons learned from the implementation, and can the successes be replicated?

To respond to these KEQs, the Organization for Economic Cooperation and Development (OECD) evaluation criteria of coherence, relevance, effectiveness, efficiency, and sustainability (OECD/DAC Network on Development Evaluation, 2019) is applied.

Based on the five KEQs we understand the focus of the evaluation to be:

- Understanding the preliminary effectiveness of the ISSP in achieving its 3 strategic objectives, the effectiveness of partnering with municipalities, NGOs, the private sector, and community leaders to implement the programme;
- Understanding how the positive outcomes of the ISSP thus far are sustained and replicated;
- Understanding to what extent implementation was done according to design, and whether any deviations from design have been beneficial or not and why they were necessary;
- Understanding what challenges have been experienced in implementation and what can be learned from these and how can they be overcome; and
- Understanding whether value for money has been achieved in the implementation of the programme.

## 2.2 Criteria

---

To respond to these KEQs the evaluation adopted the Organization for Economic Cooperation and Development (OECD) evaluation criteria of coherence, relevance, effectiveness, efficiency, and sustainability (OECD/DAC Network on Development Evaluation, 2019). The evaluation criteria have guided the assessment of implementation of the ISSP in line with the with key evaluation questions and international evaluation standards.

The section below presents the OECD criteria, providing a brief interpretation of the criteria as well as interpreting these criteria against how they have been used to guide the evaluation of the ISSP. These criteria have guided how the KEQs and supporting questions have been answered.

### 2.2.1 Coherence

Coherence is the compatibility of the intervention with other interventions in a country, sector, or institution.

Application to the ISSP evaluation: Evaluating the design and implementation of the ISSP in relation to national human settlements and informal settlement policies and programmes, and particularly the human settlements and informal settlements policy and activities of the other key stakeholders in the programme, the municipalities, NGOs, and the private sector. The evaluation will take into account that the ISSF and ISSP are working “towards a new orientation” in approaching informal settlement upgrading (ISSF, 2016).

### 2.2.2 Relevance

Relevance is the extent to which the intervention objectives and design respond to beneficiaries,' global, country, and partners/institution needs, policies, and priorities, and continue to do so if circumstances change.

Application to the ISSP Evaluation: Evaluation of how the design and implementation of the ISSP responds to the needs of municipalities, partner provincial departments, civil society organisations and other partners in upgrading informal settlements. This considered how the various elements (forums, tools, and capacity building) of the ISSP are enabling the shift “towards a new orientation” in approaching informal settlement upgrading (ISSF, 2016).

### 2.2.3 Effectiveness

Effectiveness is the extent to which the intervention achieved, or is expected to achieve, its objectives and its results, including any differential results across groups (taking into account relative importance of the objectives or results).

Application to the ISSP Evaluation: For this evaluation this refers to the extent to which progress toward the ISSF's strategic objectives are being achieved, and the effectiveness of collaboration with municipalities, NGOs, the private sector, and communities in moving toward these objectives.

### 2.2.4 Efficiency

Efficiency is the extent to which the intervention delivers or is likely to deliver results in an economic (cost-effective conversion of inputs into outputs and outcomes) and timely way (within the intended timeframe).

Application to the ISSP Evaluation: In this case this focused on the value for money of the programme and the ability to implement the ISSP timeously considering its new orientation and extensive stakeholder engagement.

### 2.2.5 Sustainability

Sustainability is the extent to which the net benefits of the intervention continue or are likely to continue.

In this case sustainability will focus on the lessons learnt from successes and understanding how these successes can be sustained and also replicated in other settlements.

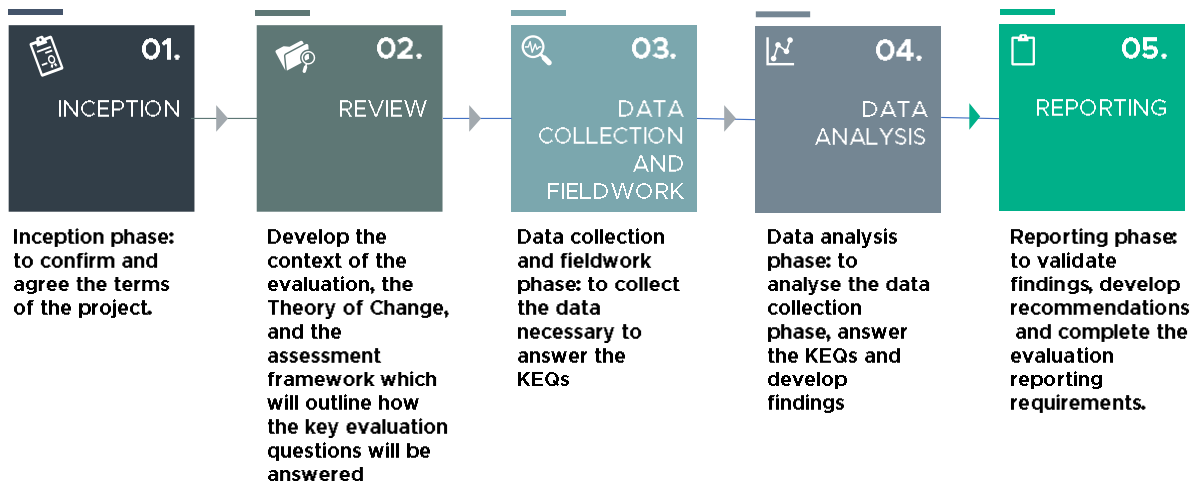
## 2.3 Methodology

---

The methodology for the evaluation included the following phases:

1. Inception Phase: to confirm and agree on the terms of the project.
2. Review Phase: to develop the context of the evaluation, the Theory of Change (ToC), and the assessment framework which will outline how the key evaluation questions will be answered.
3. Data collection and fieldwork Phase: to collect the data necessary to answer the KEQs.
4. Data analysis Phase: to analyse the data collection phase, answer the KEQs and develop findings.
5. Reporting Phase: to validate findings, develop conclusions and recommendations and complete the evaluation reporting requirements.

These phases are elaborated on in the sections that follow.



## 2.3.1 Phase 1: Project Inception



Phase 1 sets out the steps geared towards the establishment of the project as well as all the necessary actions required to successfully commence with the project. The focus of Phase 1 was to define, refine and agree on the project scope, identify stakeholders, develop the communication strategy, outline the programme and deliverables, and agree on the payment schedule. This phase culminated in an Inception Report containing all the aforementioned information.

### 2.3.1.1 Project Inception Meeting

The Inception Meeting was convened on Friday the 2nd of July 2021, to enable the Client and the Project Team to engage on the project approach, to confirm the scope, methodology, and project plan, to clarify any issues arising out of the proposal, attend to the clarification questions posed by the Project Team and to respond to the queries raised by the Project Steering Committee. The meeting minutes provide a record of the items addressed.

### 2.3.1.2 Define and Agree on the Project Scope

The scope of the project included the evaluation of the ISSP from its inception from 1st September 2016 until 31st March 2021. The execution of the evaluation focused on the following components:

- Policy issues
- Stakeholder cooperation
- Empowerment initiatives
- Value for money
- Stakeholder and Beneficiary satisfaction levels based on feedback by beneficiary representatives
- Affordability

This literature review included amongst others a review of annual reports, quarterly reports, and other ad hoc reports from inception to March 2021. Ten municipalities and a selected settlements where the ISSP imperatives have been executed, were selected as a sample of case studies for the evaluation.

These informal settlements, or clusters of settlements, were chosen through a collaborative decision between the Project Steering Committee (PSC) and the Project Team, with additional input from municipal and NGO stakeholders where appropriate.

Stakeholder engagements included interviews with programme and project managers, representative community members, and other relevant stakeholders (e.g., municipalities, NGOs, and other relevant stakeholders).

#### 2.3.1.3 Stakeholder Identification and Mapping

This step of the project involved the compilation of a list of stakeholders and representatives who formed an integral part of the ISSP implementation. The process of stakeholder engagement is essential to the attainment of the project objectives.

Stakeholders include the Executing Authorities (e.g., Provincial Ministers, Provincial Cabinet, Municipal Public representatives, Municipal Councils, amongst others), National Department of Human Settlements, NGO's and private sector role players, and Informal Settlement residents/ dwellers and informal settlement community leaders/ structures.

The Client provided the stakeholder list and contact information, and where necessary the AIVIA team sourced additional information. This was particularly relevant in the case of the community representatives.

#### 2.3.1.4 Establishment of Project Governance Structures

It was vital to set up appropriate governance and communication structures, including the PSC. The PSC members were introduced in the inception meeting. Two members of the WCG team were identified as the key contact persons for project management issues, and the information between the WCG and the AIVIA team typically flowed through the project managers of the respective organisations.

#### 2.3.1.5 Gathering of Baseline Information

A request for information was submitted during the Inception Phase of the project. Since data gathering for the project was an on-going process additional data was collected through the life of the project.

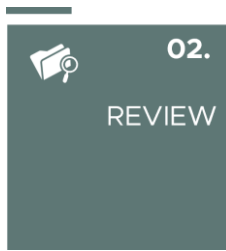
#### 2.3.1.6 Request for Letter of Introduction

A letter of introduction was prepared by the WCG introducing the project to stakeholders. This letter proved to be useful and was used in the invitation to most stakeholders and stakeholder groups during the data collection stages of the project.

#### 2.3.1.7 Formulation and Submission of Inception Report

The final task in Phase 1 was the compilation of the Inception Report. The Inception Report contained a comprehensive project plan, inclusive of project scope and methodological approach, project schedule management, project stakeholder and communication plan. This functioned as the governing document for this project, and components of the project plan were updated as part of the progress reporting and project governance, particularly in light of COVID-19 and its impacts.

### 2.3.2 Phase 2: Review



The review phase of the evaluation laid the groundwork for the next steps of the evaluation. It established the context under which the programme was established, what is intended to be achieved, and how (i.e., The Theory of Change or ToC). It also confirmed the Key Evaluation Questions (KEQs) that the evaluation is seeking to answer and developed the assessment framework through which the KEQs were answered. The review phase provided information to the evaluators that were key to designing the evaluation instruments, including data collection tools and frameworks for the analysis of the data. It also aided in developing an understanding of the context in which the evaluation findings and recommendations will be used.

The elements of the review phase included:

- Literature review
- A systematic review of programme and project administrative records: Part 1
- Key informant interviews
- Confirmation of the Theory of Change
- Confirmation of the Key Evaluation Questions
- Development of the assessment framework
- Development of data collection tools

#### 2.3.2.1 Literature Review

The literature review focused on key national and provincial policy documents and other contextual literature relating to informal settlement upgrading. It also provided a targeted review of with international experiences informal settlement upgrading and support. The approach to the selection of the international literature is described in more detail in Chapter 3 of this report, which provided a summary of the international literature reviewed as part of the review phase, and as documented in more detail therein.

This served to locate the evaluation within the national and provincial policy context and help to develop counterfactuals against which implementation of the Western Cape ISSP can be compared. The literature review also inform the analysis of institutional arrangements.

#### 2.3.2.2 Systematic Review of Programme and Project Administrative Records: Part 1

Part of the systematic review of programme and project administrative records took place during the review phase and focused on the documents and records that will need to inform the literature review, theory of change and development of data collection tools.

Those documents that speak to programme performance, stakeholder engagement, and otherwise assist in directly answering the KEQs were reviewed in the data analysis phase.



The documents reviewed during the review phase included:

1. Rapid Appraisal Reports
2. Informal Settlements Support Framework
3. ISSP Strategic Framework
4. ISSP Implementation Plan
5. ISSP Prioritisation Use Guideline
6. ISSP Monitoring and Evaluation Framework
7. ISSP Design and Tenure Options
8. ISSP Standard Operating Procedures
9. ISSP Policy Guidelines
10. NGO Framework agreement
11. Enumeration studies
12. WCDHS's informal settlements database
13. General Household Survey
14. WCDHS's Business Plan

Documents reviewed requested for review during the data analysis phase included:

15. 1. Programme performance reports
16. 2. Project monitoring reports
17. 3. Annual reports
18. 4. Quarterly performance reports
19. 5. Delivery Reports

As the review phase progressed, additional information was sourced and where not available requested from the appropriate stakeholders. This included Case Study specific information including:

20. Integrated Develop Plans from 2016 to 2021
21. Municipal budgets 2016 to 2021
22. Spatial Development Frameworks
23. Integrated Human Settlements Plan, where applicable
24. Informal Settlement Plan, where applicable
25. Emergency Housing Policy, where applicable
26. Annual report

### 2.3.2.3 Key Informant Interviews

Key informant interviews were used to clarify the understanding of the intent of the programmes, its design, and the reasoning behind it, and to get an early understanding of the implementation of the programme, how the implementation changed and differed over time, and begin the institutional analysis to understand how departmental systems, structures, capacity, organisational culture, and leadership are facilitating or limiting outcomes.

The key informant interviews, along with part 1 of the systematic review, assisted in confirming the ToC of the programme and give early indications of any change in the ToC during the implementation of the project.

The key informant interviews undertaken as part of the project includes the following:

	Date of Interview	Person/s	Role
1	13/08/2021	David Alli	WC Programme Manager
2	13/08/2021	John Edwards	WC Informal Settlement Integration
3	20/08/2021	Crystal West	DAG (Implementation) and Habitat (Design)
4	20/08/2021	Mirjam van Donk	ISANDLA (Design)
5	20/08/2021	Preshane Chandaka	WC Planning Director
6	2021/03/09	Rika van Rensberg	Dormer director of planning at Dept human settlements
7	2021/07/09	Mala Ramanna	NDoHS Representative
8	2021/09/09	Andre Oosthuizen	Department of Environmental Affairs and Development Planning (DEADP)
9	2021/10/09	Jaco Roux	Mossel Bay Municipality (Planner)
		Lindilizwi Mngxekeza	Mossel Bay Municipality (Head of Department)
		Carl Venter	Director Planning & Economic Development, Mossel Bay
10	14/09/2021	Alexei Allie	DEDAT
11	15/09/2021	Ryan Groenewald	Saldanha Bay
12	21/09/2021	Louis Welgmoed	Municipal Planning Support
13	21/09/2021	Marius Brand	Western Cape Department of Local Government

#### 2.3.2.4 Theory of Change (ToC) Development and Confirmation

The ToC and its underlying assumptions were tested and confirmed in a theory of change workshop including a sample of stakeholders from all implementers of the programme. The workshop took place during September 2021. The ToC Workshop outcomes highlighted how the theory of change outlined in the programme documents differed from that understood by the programme implementers, and how it has evolved as the project has been implemented, and some emerging lessons.

The ToC workshop invitees included:

1. Provincial officials responsible for designing and implementing the programme.
2. The municipal officials involved in implementing the programme.
3. NGOs
4. Community representatives (community members involved in the ISSP projects)

#### 2.3.2.5 Confirmation Of Key Evaluation Questions

The Key Evaluation Questions and supporting mid-level evaluation questions were provisionally confirmed with the client during the inception meeting. However, to ensure that participatory principles are adhered to, these KEQs were tested and confirmed with other stakeholders during the key informant interviews and the ToC workshop. Amendments were made to improve clarity, coherence and avoid duplication, and were then presented to the project steering committee.

The final agreed KEQs were identified as:

1. Since the inception of the ISSP in 2016, what has changed and how in the delivery of informal settlements projects and programmes?
2. Is the ISSP being implemented according to its design?
3. Are ISSP stakeholder being engaged as intended?
4. Were there any barriers in executing the strategies of the plan?
5. What are the lessons learned from the implementation of the ISSP and can the successes be replicated?

#### Evaluation Sub Questions

The evaluation sub-questions help to further specify the evaluations question and narrow the evaluation approach towards the development of specific data collection tools. The following sub-questions were presented to the evaluation key stakeholders at the introductory workshop and confirmed with the project management team.

Since the inception of the ISSP in 2016 what has changed and how in the delivery of informal settlements projects and programmes?

- How were informal settlement projects and programmes delivered prior to the introduction of the ISSP?
- How has the ISSP been implemented?
- How did this change in delivery come about?
- Is there initial indication that the ISSP outcomes are likely to be achieved?

Is the ISSP being implemented according to its design?

- Did this implementation vary from implementation envisioned in the ISSP Strategic Framework and implementation Plan, if so, why?
- Are the operational procedures and supporting tools appropriate to ensure timely delivery of participatory informal settlements upgrading?
- Are adequate systems and resources in place to ensure timely delivery of delivery of participatory informal settlement upgrading?
- Are variations in implementation of the ISSP occurring at different municipalities or sites? If so, why?
- Did variations improve or hinder implementation?
- Has the ISSP been implemented efficiently?

Are stakeholders being engaged as intended?

- How did the collaboration with stakeholders affect the implementation process?
- Are the ISSP stakeholders satisfied with implementation?
- What are the strengths and weaknesses of stakeholder engagement in the ISSP?
- Has collaboration with stakeholders been effective?

Were there any barriers in executing the strategies of the plan?

- What was the nature of the barriers?
- What effect did these barriers have on the implementation of the ISSP?
- How could these barriers be overcome?

What are lessons learned from the implementation, and can the successes be replicated?

- What lessons have been learnt from the implementation of the ISSP
- What are the gaps in the ISSP?
- Are lessons, context, or site specific?
- What lessons are likely to be replicable
- What lessons are not likely to be replicable?

Table 2.1. Linking Key evaluation questions to the key user questions

Key Evaluation Questions	Key User Questions from the TOR
<p>Since the inception of the ISSP in 2016 what has changed and how in the delivery of informal settlements projects and programmes?</p>	<p>Executive Authority</p> <ul style="list-style-type: none"> <li>• What needs to be done to enhance the potential of the ISSP?</li> </ul> <p><b>Department's Senior Management</b></p> <ul style="list-style-type: none"> <li>• What interventions are being implemented effectively, which ones are not and where are the gaps?</li> </ul> <p>Informal Settlement residents/ dwellers</p> <ul style="list-style-type: none"> <li>• What processes and actions are required to ensure improved participation in informal settlement upgrading activities</li> </ul>
<p>Is the ISSP being implemented according to its design?</p>	<p>Executive Authority</p> <ul style="list-style-type: none"> <li>• What needs to be done to enhance the potential of the ISSP?</li> <li>• What policy changes are required to improve the implementation of the ISSP?</li> </ul> <p><b>Department's Senior Management</b></p> <ul style="list-style-type: none"> <li>• What different strategies are needed to ensure effective implementation of the ISSP?</li> <li>• What interventions are being implemented effectively, which ones are not and where are the gaps?</li> </ul> <p>Private Sector and Other Partners</p> <ul style="list-style-type: none"> <li>• What type of support from government to private institutions is needed to strengthen the effectiveness of ISSP?</li> </ul>
<p>Are stakeholders being engaged as intended?</p>	<p>Executive Authority</p> <ul style="list-style-type: none"> <li>• What institutional arrangements are needed to ensure that the programme is sustained?</li> <li>• What is required from all the relevant stakeholders?</li> </ul> <p><b>Department's Senior Management</b></p> <ul style="list-style-type: none"> <li>• How to strengthen the role of each stakeholder in the implementation of the plan?</li> </ul> <p>Private Sector and Other Partners</p> <ul style="list-style-type: none"> <li>• What type of support from government to private institutions is needed to strengthen the effectiveness of ISSP?</li> </ul> <p>Informal Settlement residents/ dwellers</p> <ul style="list-style-type: none"> <li>• What processes and actions are required to ensure improved participation in informal settlement upgrading activities</li> </ul>
<p>Were there any barriers in executing the strategies of the plan?</p>	<p>Executive Authority</p> <ul style="list-style-type: none"> <li>• What policy changes are required to improve the implementation of the ISSP?</li> </ul> <p><b>Department's Senior Management</b></p> <ul style="list-style-type: none"> <li>• What different strategies are needed to ensure effective implementation of the ISSP?</li> <li>• What interventions are being implemented effectively, which ones are not and where are the gaps?</li> <li>• How to strengthen the role of each stakeholder in the implementation of the plan?</li> </ul> <p>Private Sector and Other Partners</p> <ul style="list-style-type: none"> <li>• What type of support to government is appropriate to promote ISSP?</li> </ul>

Key Evaluation Questions	Key User Questions from the TOR
<p>What are lessons learned from the implementation, and can the successes be replicated?</p>	<ul style="list-style-type: none"> <li>• What type of support from government to private institutions is needed to strengthen the effectiveness of ISSP?</li> </ul> <p>Informal Settlement residents/ dwellers</p> <ul style="list-style-type: none"> <li>• What processes and actions are required to ensure improved participation in informal settlement upgrading activities?</li> </ul>
	<p>Executive Authority</p> <ul style="list-style-type: none"> <li>• What needs to be done to enhance the potential of the ISSP?</li> </ul> <p><b>Department's Senior Management</b></p> <ul style="list-style-type: none"> <li>• What interventions are being implemented effectively, which ones are not and where are the gaps?</li> <li>• How can the department's actions be more appropriate in addressing the ISSP issues?</li> </ul> <p>Private Sector and Other Partners</p> <ul style="list-style-type: none"> <li>• What type of support to the government is appropriate to promote ISSP?</li> <li>• What type of support from government to private institutions is needed to strengthen the effectiveness of ISSP?</li> </ul> <p>Informal Settlement residents/ dwellers</p> <ul style="list-style-type: none"> <li>• What processes and actions are required to ensure improved participation in informal settlement upgrading activities?</li> </ul>

### 2.3.2.6 Development of Evaluation Framework

Based on the literature review, systematic review, key informant interviews and the ToC a detailed evaluation framework was developed to guide how the KEQs will be answered in relation to the evaluation criteria. The assessment framework demonstrates the evaluation reasoning that links the data collection to answering the KEQs.

Based on the literature review, systematic review, key informant interviews, the confirmed ToC and the assessment framework, the data collection tools for the evaluation were developed. These included:

- Key stakeholder interview instruments
- Community focus group instruments
- A survey for all stakeholders in the project
- A framework for analysis for part 2 of the systematic review of documents and records

2.3.3 Phase 3: Data Collection and Fieldwork

**03.**  
DATA  
COLLECTION  
AND  
FIELDWORK

The data collection and fieldwork phase implemented the evaluation framework developed in the review phase to answer the KEQs. The data collection included:

- Key stakeholder interviews
- Community focus groups and site observation
- Stakeholder surveys

**DATA COLLECTION AND FIELDWORK**

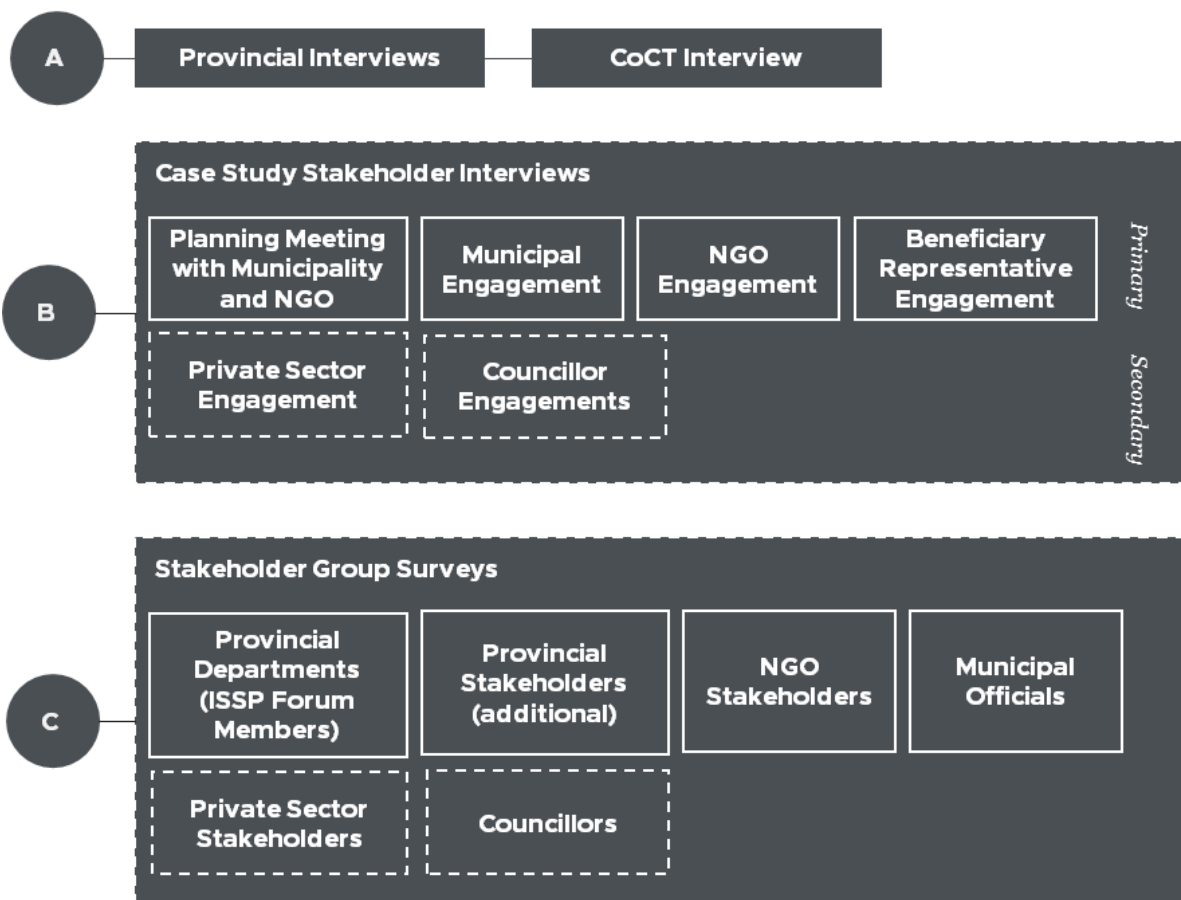


Diagram 2.1. Approach to the Data Collection and Fieldwork

The data collection and fieldwork can be viewed as having three interrelated components:

- Key Stakeholder Interviews with provincial and metro officials
- Case Study Stakeholder Interviews; and
- Stakeholder Surveys

In order to undertake the Case Study approach, Sampling was employed. This is discussed briefly below, whereafter the three fieldwork components are then discussed. The key stakeholder interviews were used to harvest the experience, perspectives and learning of key implementers of the ISSP, including provincial officials, municipal officials, and NGO and private sector partners. These interviews have been conducted as a mixture of one-on-one interviews and small group interviews, and in most cases have been conducted digitally using MS Teams.

### 2.3.3.1 Sampling

The requirements set out in the ToR included that the evaluation focus on collecting data from 10 municipalities where the ISSP has been implemented. The selection of the 10 municipalities was to be made in consultation with the WCDHS. The intention of the sample is to ensure that a variety of implementation experiences are included in the evaluation, including where challenges have been experienced, where implementation of the ISSP has run relatively smoothly and understanding the institutional context of the ISSP. A pilot of the 10 municipalities was selected to assess the use of the data collection tools, after which the tools were reviewed and amended, as necessary.

A sample of all stakeholders in the implementation of the ISSP, at the informal settlements where the programme has been implemented, were included in the online stakeholder survey.

#### Approach to the selection of the Sample Settlements

The broader study area is to be the Western Cape Province as the scope of work for this project is to evaluate the implementation of the ISSP where the programme has been implemented. For the purposes of the evaluation a sample of Ten (10) municipalities (ISSP project sites) within the Western Cape were identified. The process for the selection of the ISSP Evaluation Sample was undertaken as part of the Review Phase of the project; and was:

A: Guided by the need to identify 10 municipalities distributed across the districts of the Western Cape as per the ToR for the project;

B: Informed by the following criteria developed with the Client.

Selected municipalities should:

- include settlements which received assistance from the NGOs from the inception of an Upgrading of Informal Settlement Programme (UISP);
- include settlements which received assistance from the NGOs where the NGO came online during an on-going UISP project; and
- include a sample of all NGOs involved in the implementation of the ISSP.
- The selected project should include projects across the ease of implementation spectrum.



In relation to requirement A, it is notable that a decision was taken to focus on non-metro municipalities. The sampling focuses on the settlements in Table 2.2.

Table 2.2. Selected Sample Settlements

Selected Sample Settlements					
	District Municipality	Municipality	Town	Informal Settlement/s	NGO
1	Cape Winelands	Langeberg	Montagu and Bonnievale	Boekenhoutskloof, Bonnievale	Habitat-SA
2	Cape Winelands	Witzenberg	Tulbagh	Klein Begin, Asla Kamp, Chris Hani, Die Gaatjie	DAG
3	Garden Route	Knysna	Sedgefield	Slangeperk, Beverley Hills, Skool Gaaitjie, Onderste Gaaitjie, Makaphela	DAG
4	Garden Route	Mossel Bay	Mossel Bay	All 28 informal settlements (see Mossel Bay Case Study for more information) (of which four formed a part of the DAG scope of work).	DAG
5	Garden Route	George	George	All Thembalethu Informal Settlements, of which 6 formed a part of the scope of work. See George Case Study for more information. Nyamaland, Red Cross (New invaded area), Robben Island (New invaded area), Steybi-Steybi, Telkom	SAWIC
6	Overberg	Cape Agulhas	Napier	Napier Informal Settlement	PEP
7	Overberg	Swellendam	Swellendam	Railton	VPUU
8	Overberg	Theewaterskloof	Grabouw	Rooidakkie informal settlement including Siyanyanzela, Kgotsong, Marikana, Zola and Iraq	VPUU
9	West Coast	Saldanha Bay	Saldanha Bay	George Kerridge	ESST
10	West Coast	Swartland	Moorreesburg	Sibanye	CORC

### 2.3.3.2 Identification of the Guiding Themes

As outcome of the research undertaken in the review report, a number of key themes were identified.

These themes were informed by:

- The ISSP documentation
- The Housing Code and more especially the UISP objectives:
- The Key Informant Interviews
- The NUSP Toolkit and Webinars
- The experience of the project team

These themes guided the design of the evaluation framework in relation to the evaluation criteria and key evaluation questions, and the development of the fieldwork tools, the questionnaires used to guide the interviews and focus groups.

### 2.3.3.3 Application of themes to municipal case study analysis

#### Strategic Planning and Mainstreaming

The Spatial Planning and Land Use Management Act (SPLUMA) ensures that informality is recognised in the planning process, and specific clauses and sub-clauses set out the need to mainstream informal settlements into the planning through multiple entry points such as the Spatial Development Framework (SDF), Integrated Development Plan (IDP) as well as the Integrated Human Settlements Plans (IHSP), as well through land use management schemes and zoning.

This focuses on the manner in which informal settlement upgrading is positioned in the municipality, and the extent to which this position is reflected in the strategic planning documentation of the municipality, which in turn suggests that the approach to Informal Settlement Upgrading (ISU) is transparent and that the methodology and approaches used are well documented, and accessible to the upgrading community for reference.

#### Institutional Arrangements and Stakeholder Engagement

The ISSP is premised on the idea of being a transversal provincial programme. An evaluation of the institutional arrangements and stakeholder engagements at the time period under evaluation provides an indication of how supportive the arrangements currently are to providing the multi-disciplinary inputs required in ISU and achieving the necessary outcomes. It also provides an indication of the stakeholder engagements that have taken place, providing a perspective on if and how this has changed since the introduction of the ISSP.

## Capacity

Closely linked to the institutional arrangements, this section looks at both human resource capacity and financial capacity. The human resource capacity evaluates the extent to which the state (and specifically local municipalities) is capacitated to engage in informal settlement upgrading from a skill and time perspective.

The financial resource capacity evaluates the perception of sufficient financial resources being available to implement the strategic plans of the municipality.

## Community Participation

One of the policy principles of the UISP is that the programme is premised upon extensive and active community participation. This is widely acknowledged as a key success factor for the success of human settlement initiatives, noting that empowerment is one of the three objectives of the UISP.

A focus on the provision on engineering services was seen as the primary approach to informal settlements in the Western Cape. The ISSP aimed to broaden this focus to include community participation and participatory planning as part of the ISU conversation, ISU planning, and its implementation. In addition to the tools prepared, the enhancing of community participation was the rationale behind the NGO framework, and the deployment of NGO teams to various municipalities across the Western Cape. The evaluation has therefore identified community participation as a key theme to explore when evaluating the implementation of the ISSP. The focus of this component is to understand current strategic and operational approaches to community participation, the existence and functionality of community leadership structures, the municipal-community relationship, and provide a perspective on whether this has changed during the ISSP (and if there is evidence that this change can be attributed to the ISSP), the role of the NGO and the current positioning of the community along the spectrum of meaningful engagement.

## Basic Services

A key objective of the UISP is health and security.

Taken to mean the full suite of services required for sustainable human settlement, this includes engineering services and access to emergency services.

The evaluation looks at the way in which the municipality provides services to informal settlements, the manner in which these services are operated and maintained, and the community perspective on the access to municipal support.

It also explores whether any applications have been submitted to move the UISP process through its stages, such as the Interim Basic Services Feasibility Report, the Project Initiation Document (PID) and the Project Feasibility Report (PFR). This section also looks at the relationship between the ISSP support and the progress made in terms of basic services.

## Tenure

Tenure Security is one of the three UISP objectives.

Looking at the entire tenure security continuum, the evaluation provides a perspective on the tenure arrangements in the informal settlements under study, and the extent to which typical ISSP outputs such as enumerations have worked to strengthen tenure security through the development of community registers, issuing of occupation certificates as an example.

## Housing Consolidation

The manner in which housing consolidation takes place differs from household to household. The evaluation briefly looks at the manner in which this critical topic is addressed specifically in the case study municipalities, to provide a perspective on opportunities for structured support.

## UISP Progress and Applications

Providing a summary of active and planned UISP projects in the settlement in question, this provides some insight into the overall stage of planning (and phase of the UISP) the settlement is in. It thus relies on an understanding of application submissions and provides a perspective of the level of awareness of these documents and processes by the community to further get an indication of the level at which participatory planning takes place in the settlement and municipality.

### 2.3.3.4 Key Stakeholder interviews with provincial and metro officials

#### Provincial Officials

A total of nine (9) group or individual interviews with key provincial stakeholders was conducted, and a group interview with the City of Cape Town was conducted. These engagements were conducted via MS Team, and include officials from various departments, identified with the assistance of the client. The provincial and metro engagements conducted with the ISSP stakeholders are listed below:

- ISSP unit conducted on 26 October 2021
- Human Settlements Municipal planning support conducted on 23 November 2021
- DEADP conducted on 23 November 2021
- DEDAT conducted on 24 November 2021
- Key Stakeholders from DoTP, Provincial Treasury, and Transport and Public Works conducted on 24 November 2021
- Human Settlements Regional implementation conducted on 25 of November 2021
- Department of Health conducted on 26 November 2021
- Human Settlements Executive Management conducted on 30 November 2021
- Executive Management conducted on 30<sup>th</sup> November 2021
- City of Cape Town conducted on 11<sup>th</sup> November 2021

## City of Cape Town Officials

Although not specifically part of the methodology put forward at proposal stage, the project team felt that the metro perspective would provide valuable insight and thus set out to engage with the City of Cape Town. This engagement was successfully conducted on the 12<sup>th</sup> of November 2021.

### 2.3.3.5 Case Study Engagements

As described in Diagram 2.1, the approach to the case study engagement was planned to include a (1) Planning Meeting with each municipality and the NGO appointed in that municipality, (2) Key Stakeholder Interviews with Municipal Officials, (3) Key Stakeholder Interviews with NGOs appointed to act as intermediaries, (4) Key Stakeholder Interviews with Beneficiary / Community Representatives, (5) engagement with the private sector (implementing agents and other consultants and development practitioners identified through the planning meetings). As such, this extensive list of engagements was planned to provide the best possible understanding of the case studies, which in turn enables the development of more robust lessons learnt and recommendations.

#### Planning Meetings

Prior to entering the field, the AIVIA team set up planning meetings with each of the Municipalities and their corresponding NGOs. The purpose of these planning meetings is to plan for the various fieldwork components for the evaluation of the ISSP, such as setting up the separate municipal interviews, NGO interviews and beneficiary focus groups. These were limited to about an hour interview and the key information that was gained is represented in.

During these meetings, the attendees were briefed on the projects purpose and scope, the process of the evaluation and where this fieldwork planning fits into the broader fieldwork plan. The attendees of the planning meetings were also briefed on AIVIA's health and safety protocol, and feedback was requested from each session to understand municipal specific requirements in terms of Health and Safety (H&S). The data gathering form used to structure the planning meetings can be seen in Table 2.3.

Given that these engagements were arranged and held during the COVID-19 pandemic, it is important to note that emphasis was placed on ensuring the health and safety of the fieldwork team as well as the community members who would participate in such an engagement.

Table 2.3. Fieldwork Planning information Sheet

Questions	People identified	Comment
Municipal stakeholders to engage		
Survey		
NGO stakeholders to engage		
Identification of beneficiary representative to engage		
Approach to setting up beneficiary engagement		
Language requirements		
Time		
Venue		
Health and safety requirements		
Other private stakeholders involved?		
Map		
Other		

#### Municipal Officials

One of the outcomes of the planning meetings was to identify dates, times, and participants for the 10 group interviews with the municipal officials responsible for implementing ISSP related projects, one in each of the 10 sample settlements, to be conducted via MS Teams. This amounts to one group interview of municipal officials per settlement/municipality. Where necessary 1 follow-up interview per settlement with municipal officials unable to attend the group interview was allowed for.

#### NGOs

One of the outcomes of the planning meetings was to identify dates, times, and participants for the 10 group interviews with NGO and private sector participants in the ISSP related projects, one in each of in the 10 sample settlements conducted via MS Teams. This amounts to one group interview of NGO and private sector stakeholders per settlement. Where necessary 1 follow-up interview per settlement with NGO and private sector stakeholders unable to attend the group interview was allowed for.

## Private Sector Partners

During the Planning Meetings, private sector partners such as Implementing Agents and other Consultants and Development Practitioners were identified. The Project Team then invited these partners to participate in stakeholder interviews as applicable.

## Community Focus Groups and Observation

A focus group was planned, with a small group (10-15) beneficiaries or beneficiary representatives<sup>1</sup> from each settlement. These focus groups were to be undertaken under the necessary COVID-19 precautions. Importantly, the Project Team had envisioned that the focus group could easily be determined through the Planning Meeting discussion, given the work already undertaken by the municipality and their NGO partners. Once participants for the beneficiary focus group sessions were identified (typically during Planning Meetings), an invitation was typically drawn up which was then used to invite the participants. An example of such an invitation is shown in Figure 2.1. A .png image was created to ensure that the invitation could be distributed by WhatsApp if needed. Each invitation was tailored to the requirements in each of the ten case studies.

Importantly, the venue was established through communication with the municipality and in some cases, NGO. As far as possible, municipal venues were to be used to limit costs to the project.

---

<sup>1</sup> At proposal stage, the number of participants was limited to 10 community representatives. Due to the relaxation of COVID-19 restrictions and a relatively low incidence of COVID-19 in the province at the time of conducting the fieldwork, a slightly larger number of participants could be accommodated in these sessions. Initially the smaller number also enabled one-on-one telephonic interviews if that were to be necessary to ensure COVID-19 best practice and national and provincial regulations were to be followed. Given the adjustment to allow additional participants, this also allowed for some flexibility in terms of inviting more representatives of committees established in these settlements.



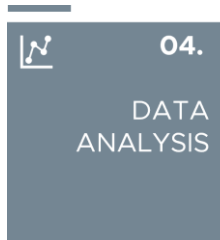
Figure 2.1. Example of a typical community invitation

#### 2.3.3.6 Stakeholder Survey

An online survey of stakeholders across all cases of implementation of the ISSP has been prepared. This allows for the inclusion of perspectives and lessons learnt beyond the 10 sampled cases and to reduce the possibility of important lessons from implementation being missed. The survey was tailored to the nature of the respondent, differentiating for public or private stakeholders, provincial or municipal officials, and the provincial department. The survey was conducted online using the SurveyMonkey survey tool.



#### 2.3.4 Phase 4: Data Analysis



On completion of the fieldwork, the data collected was analysed in the data analysis phase.

##### 2.3.4.1 Systematic Review of Administrative Documents and Records Part 2

The second part of the systematic review was conducted as part of the data analysis phase concurrently with the fieldwork phase of the project. It focused on reviews; monitoring, reporting, performance, and budget documentation:

- Programme performance reports
- Project monitoring reports
- Annual reports
- Quarterly performance reports
- Delivery Reports

A framework for the systematic review of key programme data has been developed to assess key aspects of programme implementation against intended implementation.

##### 2.3.4.2 Fieldwork Plan and Application

The fieldwork for the project commenced in mid-November, due to challenges with scheduling fieldwork in the months leading up to the 2021 Local Government Elections. A summary of fieldwork undertaken is included in Diagram 2.2.

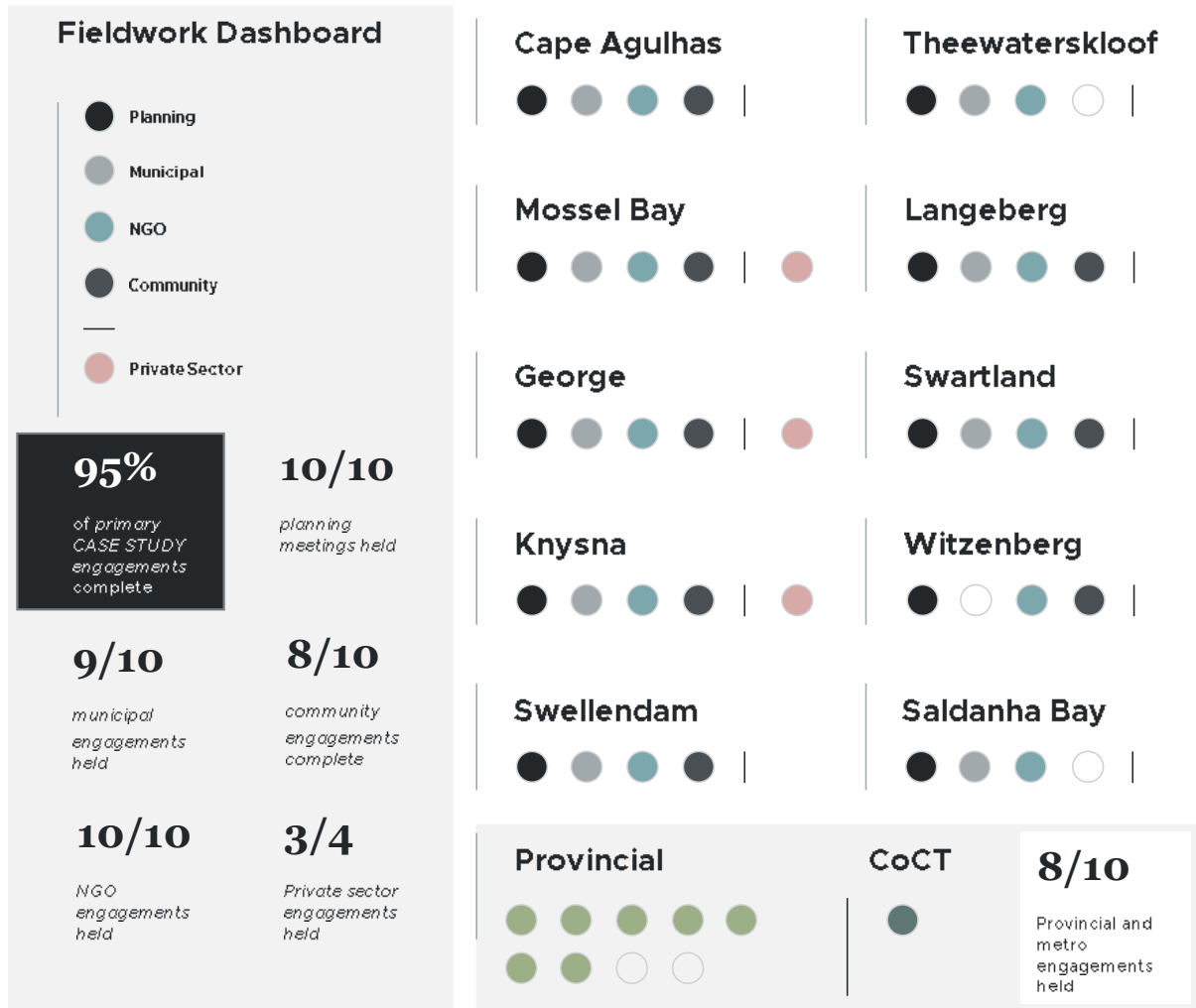


Diagram 2.2. Summary of fieldwork completed as of 02 December 2021

### 2.3.4.3 Qualitative Data Analysis

#### Interviews and focus groups

All interviews and focus groups were recorded, and detailed notes prepared. Notes were loaded into the Dedoose qualitative data analysis software for analysis. The purpose of using qualitative data analysis software is to increase the objectivity of qualitative analysis and increase the speed and efficiency of the qualitative coding process. Key themes for coding were identified based on the evaluation criteria, themes identified by the WCDHS in the TOR and recurring themes identified through the data collection process. The data is coded through the use of a code tree in the Dedoose software. The coding allows for the identification of common and exceptional themes raised in the case study and interview process.

#### Survey data

The survey generates both quantitative and qualitative data. Qualitative data emerging from the online survey was similarly coded and analysed for common and exceptional themes.

## Financial analysis

A high-level financial analysis assessing value for money has been undertaken, in the form of a high-level cost-benefit analysis.

### 2.3.4.4 Triangulation of data and development of findings

On completion of the data analysis findings were developed in response to the KEQs and their sub-questions as well as the evaluation criteria. These findings are robustly developed using a triangulation approach where findings are supported by multiple data sources.

Table 2.4. Data sources by the theme of triangulation

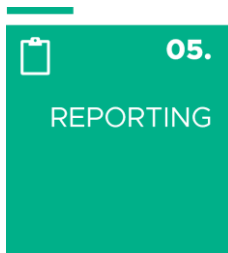
Theme	Data Source
Policy Issues	<ul style="list-style-type: none"> <li>• Literature review,</li> <li>• Key stakeholder interviews</li> <li>• Beneficiary focus groups</li> <li>• Stakeholder survey</li> <li>• A systematic review (Performance and budget information)</li> </ul>
Stakeholder cooperation	<ul style="list-style-type: none"> <li>• Key stakeholder interviews</li> <li>• Beneficiary focus groups</li> <li>• Stakeholder survey</li> <li>• A systematic review (Stakeholder SLAs, meeting minutes and records)</li> </ul>
Empowerment initiatives	<ul style="list-style-type: none"> <li>• Key stakeholder interviews</li> <li>• Beneficiary focus groups</li> <li>• Stakeholder survey</li> </ul>
Value for money	<ul style="list-style-type: none"> <li>• Literature review,</li> <li>• Key stakeholder interviews</li> <li>• Systematic review (Performance and budget information)</li> <li>• Financial analysis</li> </ul>
Stakeholder and beneficiary satisfaction levels	<ul style="list-style-type: none"> <li>• Key stakeholder interviews</li> <li>• Beneficiary focus groups</li> <li>• Stakeholder survey</li> </ul>

Table 2.5. Data sources by Key Evaluation Questions for triangulation

KEQ	Data source
<p>Since the inception of the ISSP, what has changed and how in the delivery of informal settlements projects and programmes?</p>	<ul style="list-style-type: none"> <li>• Key stakeholder interviews</li> <li>• Systematic review</li> <li>• Stakeholder survey</li> <li>• Community focus groups</li> </ul>
<p>Is the ISSP being implemented according to its design?</p>	<ul style="list-style-type: none"> <li>• Systematic review</li> <li>• Key stakeholder interviews</li> <li>• Community survey</li> </ul>
<p>Are ISSP stakeholder being engaged as intended?</p>	<ul style="list-style-type: none"> <li>• Key stakeholder interviews</li> <li>• Stakeholder survey</li> <li>• Systematic review</li> <li>• Community focus groups</li> </ul>
<p>Were there any barriers in executing the strategies of the of the plan?</p>	<ul style="list-style-type: none"> <li>• Key stakeholder interview</li> <li>• Stakeholder survey</li> <li>• Systematic review</li> </ul>
<p>What are the lessons learned from the implementation and can the successes be replicated?</p>	<ul style="list-style-type: none"> <li>• Key stakeholder interviews</li> <li>• Stakeholder survey</li> <li>• Community focus groups</li> </ul>

## 2.4 Phase 5: Reporting

---



Using the findings from the data analysis, the draft report was developed and submitted with preliminary findings and tentative recommendations. These findings were discussed at a findings and recommendation workshop. This workshop further developed the recommendations of the evaluation to ensure that the voice of the stakeholder involved in implementing the programme features in the recommendations. The recommendations have been developed considering the short-medium and long term, to guide what responses the WCDHS can make to improve the implementation of the ISSP in each of those timeframes.

### 2.4.1 Final Evaluation Report

After the findings and recommendations workshop, the evaluation report was amended, and the draft final report submitted in 1/3/25 and full report formats. After comments were received on the draft final report, the report was revised finalised and submitted. All datasets, metadata, and survey documentation accompanied the final report. After the submission of the final report, an online presentation of the result of the evaluation was delivered.

### Progress Reporting

Throughout the project, the project manager provided the WCG with fortnightly status reports documenting progress on the project.

## 2.5 Assumptions and limitations

---

This evaluation approach and methodology made a number of assumptions and had several limitations.

### 2.5.1 Assumptions

- Focus on implementation of the ISSP, not impact: The methodology interprets the ToR as primarily focusing on the implementation of the ISSP, not impacts. The methodology, therefore, sought to make findings about how the implementation led to the intended project outcomes.
- Participation of stakeholders: The methodology assumed the willing participation of ISSP stakeholders in the evaluation, in order to generate data from which to draw findings.
- Identification of community representatives to leverage work already undertaken through the ISSP.
- Availability of data based on the ISSP M&E Framework: The methodology assumed that ISSP data had been collected according to the existing M&E Framework and that this would be available to the project team.
- The methodology assumed that good data would be available on implementation in informal settlements during the study period of September 2016 to March 2021
- All products and reports would be completed in English.

### 2.5.2 Limitations

- Covid-19 fieldwork limitations: Most of the fieldwork including interviews and focus groups which would normally take place in-situ were conducted via online platforms. This arrangement created several limitations to the fieldwork regarding the accessibility of respondents to online platforms.
- The methodology proposed a quasi-participatory approach, which means that while the voice of community representatives involved with the implementation of the ISSP has been included where possible, they only played a limited role in evaluation decision making.
- Community satisfaction levels were primarily determined through focus groups in the sample informal settlements, which may give limited or skewed findings relating to satisfaction. A full beneficiary satisfaction survey is beyond the scope of this methodology.
- Community Focus Group participants based on individuals selected into leadership roles was out of this ISSP evaluation scope.  
Given the nature of the ISSP evaluation, the focus group participants were members of the communities where the ISSP had been implemented. As such, the AIVIA team had a limited role in selecting these participants.
- Variability in positionality of participants
  - In any development process, the diversity in positionality of participants in any development process has been taken into account.
  - The manner in which ISSP and specifically NGO report was received and reflected on by communities and acknowledged the positionality (and personality) of the participants and the effect of this on their responses.
- Stakeholder survey responsiveness  
In order to understand stakeholder satisfaction and other stakeholder experiences of the ISSP, a stakeholder survey was conducted via the SurveyMonkey tool. Poor levels of responsiveness to this survey were a potential limitation to this study.

- **Loadshedding**  
Loadshedding took place during the project period, and particularly impacted upon the scheduling effort and requirements for virtual engagements.
- **Local government election**  
The local government election took place in November 2021. In the lead-up to the election, many municipalities expressed concern about visiting informal settlement communities during this time and advised that fieldwork of this nature be undertaken after elections. Given the importance of this election for local government, the availability of local officials in the months leading up to, and the period immediately after, was affected.
- In addition, the change in political leadership has also affected access to the settlements selected to be part of the study, since the Ward Councillor in some instances functioned as the entry point to specific communities.
- **Unavailability of appropriate stakeholders due to competing priorities**  
Some stakeholders were not available due to other activities. It was found that some Departments were easier to organise engagements with than others. In many instances meetings had to be rescheduled and in some instances the meeting was unattended.
- **Fruit picking seasons**  
In many of the settlements selected to form part of the case study, fruit picking season was underway. This meant that many of the community members were at work and only returned from their jobs later in the evening or over the weekend. This in turn meant that the engagement sessions needed to be held in the evening or over weekends and may have affected the extent of participation particularly from those who were at work.

### 3 International Literature Review

This section explores the international literature around the approaches that developing countries have explored and drawn-on to undertake and implement informal settlement upgrading. It provides an outline of each case study that was explored in the expanded literature international review. The full expanded review can be read in review report. The following aspects are explored and highlighted: the scale of the informal city, the duration of each programme and their various stages, the upgrading themes, the role of the government at national and local level, the intervention programmes, the implementation objectives of the strategies/programmes and the corresponding implementing actions, and finally a synthesis of the emerging themes. Figure 3.1 illustrates the approach that was used to select the international literature and case studies therein.

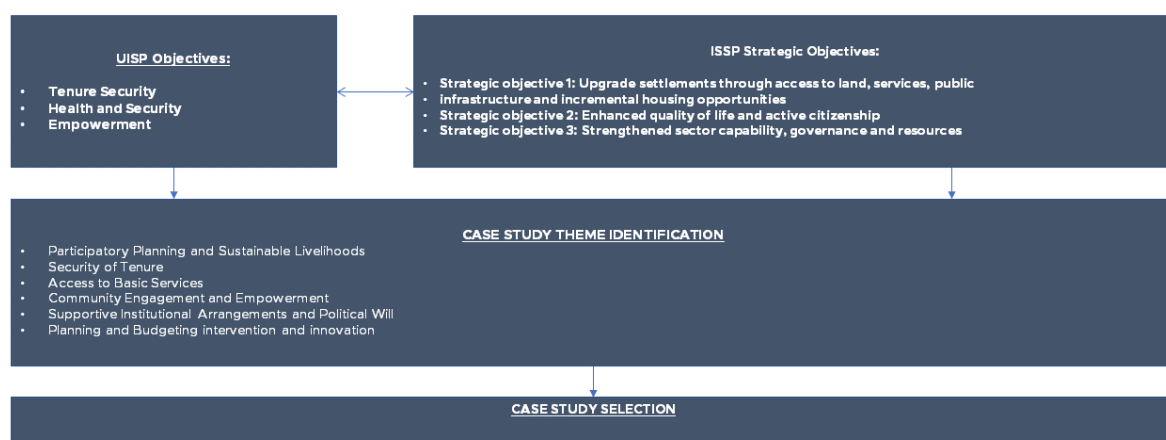


Figure 3.1. The approach followed to select the international case studies (AIVIA, 2021)

This meant that these were chosen based on where they could demonstrate efforts to achieve the objectives set out the National Housing Code through the UISP, as well as the objectives of the ISSP – which are closely interlinked. Case studies of three cities in three global regions are explored in this section. Each demonstrating different approaches to informal settlement upgrading.

#### 3.1 Case of the Metropolis of Medellin (Colombia): Integrated Programmes for Improvement of Subnormal Barrios (informal settlements)

##### 3.1.1 Context and Scale of informality

Located in the Colombian City of Medellin, the Metropolis-wide ‘informal city’, programmes identified eight polygons of intervention, located in the high sections of the centre-east, north, and centre-west communes.

- 21% of residential areas = 1 323 ha
- 11+ Urban area of the precarious accessions
- Approximate population of 350,000 (in 2002)



- The growth of the ‘Informal City’ in Medellín has been tracked by the ‘Departamento Administrativo de Planeación’.
- 1992 around 70 informal barrios | 37 000 households | population of 185 000 inhabitants.
- 1994 | 89 informal settlements | 45 000 households and 202 000 inhabitants.
- 1998 | 50 000 households | 250 000
- 2002 | 104 settlements | 350 000 inhabitants – equivalent to 18% of the population in the entire city

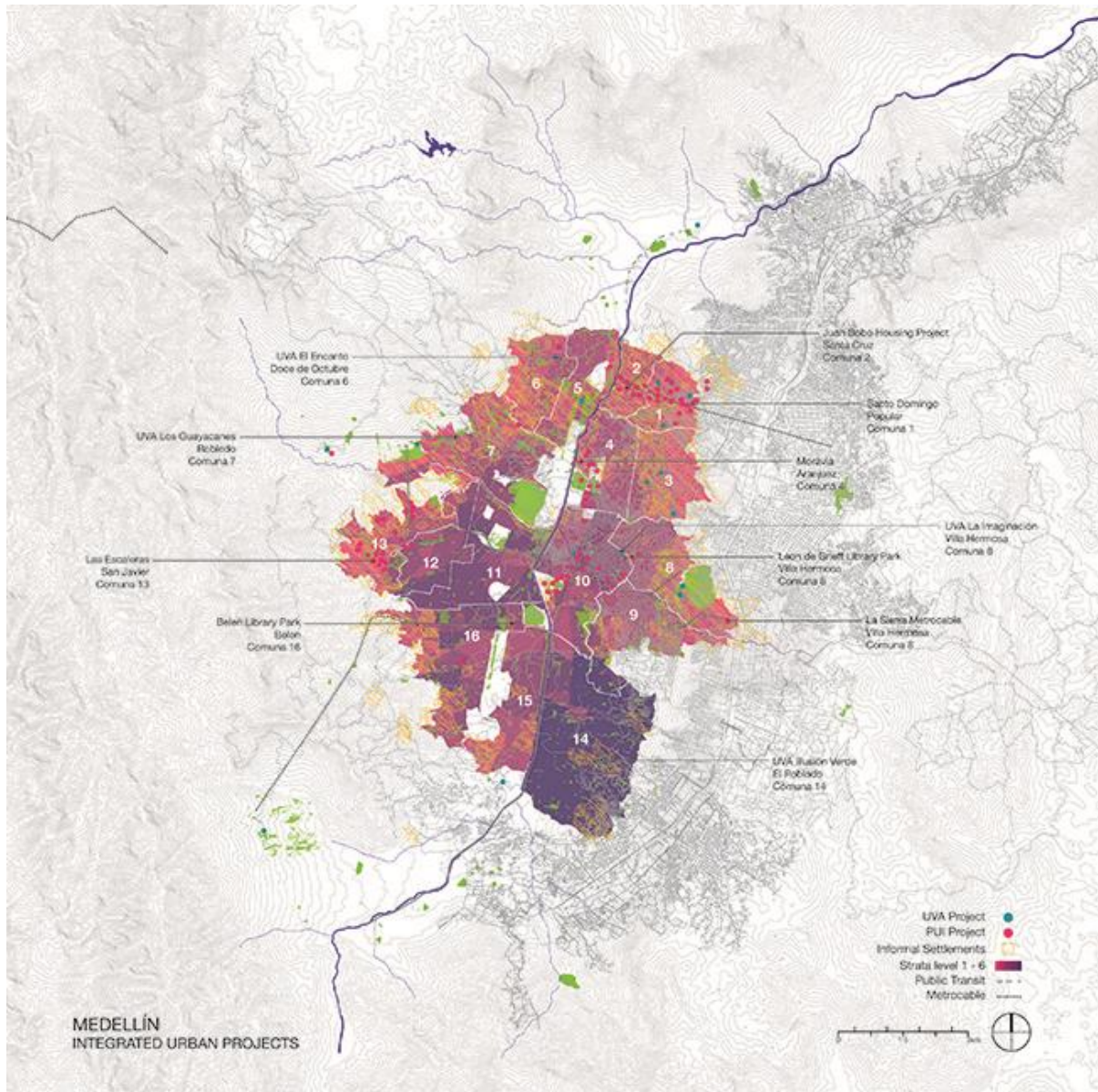


Figure 3.2. La Aurora Trece de Noviembre and Barrio Independencia informal settlement at Medellín’s urban periphery. Image © Integrated Urban Projects, a co-production with Daniela Coray and Maria Bellalta

### 3.1.2 Duration under various programmes and stages:

- 1990 -2003: Presidential Special Programme: - ‘Consejería para el Área Metropolitana de Medellín’ via
- COVIDE Corporation and its PRIMED Agency
- 2004 -2015: Concept/Strategy ‘Medellin the most Educated’ via strategies for change:

- Social Urbanism ('... shift in how social rationales are organized in formulating urban interventions')
- Integral Urban Project (priorities in the Municipality's Development Plan, located within Medellín's decentralised 'Urban Development Corporation' Unit (EDU))

### 3.1.3 Upgrading Themes:

The specific objectives of the programme were subdivided into three large character areas: physical, social and management. These included thematic focusses on:

- community participation
- inter-institutional coordination
- improvement of basic services infrastructure
- improvement of public infrastructure as the motor for social transformation
- improvement of housing
- relocation of high-risk zones
- legalization of land tenure
- mitigation of geological risk

### 3.1.4 Role of Government (National and Local):

- The main vehicle was the Presidential Advisory Committee for Medellín and its Metropolitan Area (Consejería).
- This body was explicitly created "to coordinate the actions of national institutions serving the city and its metropolitan area and to facilitate mechanisms of agreement between national, state, metropolitan and urban authorities to unify objectives and carry out programs contributing to peace; promote fundraising from international entities; coordinate the search for solutions and give advice to the national government on social policy for the region"
- Introducing enabling urban and inclusionary policies related to the 'informal city'
- Enabling legislation and structures established provided the foundations for the design and implementation of the transformational strategies and programmes

### 3.1.5 Intervention programmes

- The Primary PRIMED Programme - ('Holistic Upgrading Programme for Subnormal Neighbourhoods in Medellín') - a centralised and dedicated programme that had been commissioned by the National Government:
  - the programme was aimed at reconstructing the social fabric and institutional trust in the 'informal city barrios'
  - through actions that contribute to improvements in the quality of life of residents and the incorporation of these communities into the life of the city
  - via provision of public services, construction and provision of communal facilities, recovery of areas of high risk, legalization of barrios, enactment of home titles, restitution of public space, income generating programs and development of family and social integration.
  - The territorial approach of PRIMED was based on the habitat's attributes and is framed within the guidelines of the Urban and Social Housing Policy developed by the National Government
- The "Proyecto Urbano Integral – PUI" (Integral Urban Project within the overarching concept of "Social Urbanism"):

- Its main objective is to increase the quality of life of the inhabitants of a specific area, focusing on areas of the city that present the lowest standards of living and where poverty and violence are more visible.
- The criteria set for these kind of projects, defines a holistic intervention model, based on community participation, inter-institutional coordination, tenure security and housing promotion, public space, and transport (mobility) improvements, collective facilities upgrading, and environmental recovery, employment & training, education, environment, social relations, security, and governance -whilst pursuing the highest standard levels
- Thus, the 'Urban Integral Project -PUI' is a planning instrument for physical interventions through the interaction of three fundamental components (building blocks): Institutional, "Community Contract", Integral physical transformations.

### **3.1.6 Implementation Objectives and corresponding Implementation Strategies and Actions**

- General: improve the quality of life of subnormal barrios through mechanisms that guarantee the continuity of the program of urban improvements
- Superior: contribute to the unification of the city via the incorporation of subnormal barrios and to achieve peaceful cohabitation in Medellín
- A cyclical planning process of diagnosis, formulation, and task/action management was followed and refined through the Urban Development Enterprise (EDU) – an industrial and commercial enterprise of the municipality of Medellín endowed with administrative and financial independence, in charge of the design, management and execution of PUIs, assuming as well, the inter-institutional coordination. In the development of its mission, it celebrates agreements, strategic alliances, and business collaboration projects with public and private entities.

### **3.1.7 The Proyecto Urbano Integral (PUI) Implementation Model Matrix**

The "Proyecto Urbano Integral – PUI" (Integral Urban Project) is structured around three fundamental components (Social, Institutional and Physical building blocks); contextualised as follows:

- The development of Integral Urban Projects demands the involvement of diverse institutions from different levels including civil and governmental bodies. The Urban Development Enterprise – EDU created in 2002 is an industrial and commercial enterprise of the municipality of Medellín endowed with administrative and financial independence, in charge of the design, management and execution of PUIs, assuming as well, the inter-institutional coordination. In the development of its mission, it celebrates agreements, strategic alliances, and business collaboration projects with public and private entities.
- The fundamental purposes that guided the PUIs are aimed to strengthen the community organizations through leaders' qualification programs, informative meetings with the community, and follow-up and evaluation activities of the project. The intervention from the National level was coordinated through a municipal management board, while workshops with public entities to establish agreements at different levels and inviting the academic sector as well and promoting the participation
- A cyclical planning process of diagnosis, formulation and task/action management is followed and refined.

The 'PUI' Implementation Model Matrix is presented in the following Table:

Table 3.1. Physical, Social, and Institutional actions in the PUI model phases 1-5 (continued from previous page). (Source: Author, 2021. Adopted from KTH, 2008)

<i>PUI Implementation Model Phases</i>		<b>Physical</b>	<b>Social</b>	<b>Institutional</b>
<i>PUI Implementation Model Phases</i>	<b>1.1: Diagnosis:</b>	Analysis of the development process of the area to understand the different development patterns and challenges as have grown over the years.	Holding community meetings for project promotion, its process, and different actors/agencies.	Congregating and promoting the PUI among all institutions and agencies of the local administration, as well as outside the administration
		Quantitative and qualitative field surveys and analysis of the physical components of the area, such as amount, quality and characteristics of dwellings, connectivity and accessibility, availability of land, natural and topographical limitations, location of existing facilities, etc.	Identification and invitation to all community-based organizations and representatives	Agreement and commitment of cooperation and contribution from all institutions and agencies of the local administration
		Typological classification of the area to identify the different types of housing and neighbourhoods, its level of consolidation, functions, centralities, and main challenges.	Creation of Community Committees, and hosting workshops and visits within the community	Communicating and updating all institutions on the status and initial results of the process
				Planning and drafting the guidelines for inter-institutional and inter-sectoral coordination and cooperation
<b>2: Planning.</b>	Identifying categories of interventions that each area needs	Congregating and making workshops and visits with the community	Communicating and updating all institutions the status and results of the process	
	Creating the normative guidelines for each of the categories of intervention	Communicating, updating, and solving doubts for the community	Cooperation and contribution from potential institutions and agencies of the local administration and those from outside the local administration	

### **3.1.8 Lessons/best-practice emerging**

#### **3.1.8.1 PRIMED 'Programme:**

- The independent administrative and operational structure that could be considered as strength of the approach became the one determining its end: because of it and added to the lack of will of the city administration, the program never entered the political ideals and agendas of the moment. This affected the speed of developing and implementing the projects as well as the goals in the long term. Additionally, it reduced the actions realized to mainly physical improvements which were easier to coordinate leaving aside those aiming at social programs (health, education, employment, etc).
- All this became the main cause of the project's shortcomings and finally its termination. Nevertheless, the program is considered a model for slum upgrading approaches being referenced in several international publications (among them the UN-Habitat's (2003) "Challenge of Slums - Global Report on Human Settlements"). This is based on its unique principles and methodological approach. Its discontinuance, however, points also to the major challenges of political will, institutional coordination, corruption and political clientelism, true community participation, and comprehensiveness, among others.

#### **3.1.8.2 Integral Urban Project (PUI) Model within the concept of "Social Urbanism":**

- Action through integrated urban projects: promoted in areas with higher rates of exclusion and inequality
- Carefully planned and efficiently implemented interventions: adopting an integrated schedule for the various interventions of municipal units, and operating through an integrated management
- Cultural and educational facilities: designed as symbolic references that aim to dignify the most excluded communities, with high quality design and a wide range of cultural offer
- New social housing and upgrading programmes: targeted to the most vulnerable, including specific alternatives for relocation of families living in risk areas
- Recovery of streets and public space: as a fundamental value through promoting an intensive programme that includes boulevards, linear parks and emblematic streets that reconnect these areas with the city
- Safety and citizens': co-existence is assumed, more and more explicitly, as inseparable elements in the upgrading and renewal projects, now being incorporated from the earliest planning and design stages of integrated urban programmes
- Best investment of governments is that what is defined and led by the community: Many of the projects promoted under the social urbanism approach are the result of a participatory exercise that was institutionalized in the city. Through the participatory budgeting, communities prioritize their needs and collectively express their dreams and ideals of the city
- Young people are the priority in social and urban policies and key actors for social and situational prevention programmes implemented within the priority areas: the type of public spaces generated and recovered, youth- oriented employment generation programmes and the specific strategies targeted to youth at risk reflect this decision.
- The turning point in the policy implemented by the Municipality of Medellin was the adoption of an approach that seeks to overcome the stereotypes that placed on one side the perpetrators and in the other the victims, that stigmatize some areas of the city as dangerous and sources of violence; that think that in the same areas in which violence occurs and criminality are forging life and hope.
- The PUI Model shows that slum upgrading, and participatory approaches can bring enormous benefits for slum dwellers and the city in general: but still needs to have a deeper

understanding of how to achieve the maximum benefits of taking to practice some of these ideals

- A strong political will and commitment towards acknowledging and addressing the problems of the slum areas of a city: case studies confirms that this essential to have to be able accommodate all the problems and challenge
- A strong need of creating the ‘arenas’ for debate: where the traditional ways of thinking and acting on the city can be questioned and re-structured, especially the ones dealing with slum areas
- The ability of the city’ leaders to build and sustain supporting coalitions around issues and challenges: case studies show a higher understanding of the challenges that the slums produced to the city and what is more important to learn from this is how these visions and coalitions become the ideal scenario for implementing participatory planning approaches
- Close link between the ideals of participatory planning approaches and the very nature of slum upgrading processes and its aims: none of these requirements can be fulfilled without the close collaboration of all stakeholders, specially without the insight and contribution that slum dwellers can give to achieve efficiently such tasks and outcomes. The case study has shown how participatory slum upgrading approaches need to be seen as the scenario where outcomes that are highly significant to the slum dwellers, can be achieved both during the process and with the process (reciprocity, relationships, learning and creativity)
- A slum upgrading model can be formulated as a strategy that integrates all institutions and tools of the Administration: by doing so, resources and efforts are canalized and implemented into one limited area to achieve better and faster results. By establishing a “model” it intrinsically implies a scaling up approach, additionally it creates more pressure to the coordination and collaboration of the different institutions of the Administration replacing the ad hoc and isolated actions of the past as it was seen in various case studies
- A decentralized and independent institutional and operative framework/structure: the significance of supporting a slum upgrading model that is dedicated only to coordinate and manage the model and its projects. By having such an operative structure, the integration and coordination of the different actions that need to be implemented in the areas becomes more effective. What can be learned is that the institutional setup supporting the slum upgrading approach must not only be a decentralized one, but one in which the different components that form part of the projects are represented by professionals that reinforce the coordination, integration, and comprehensiveness of the approach
- Change of attitude and thinking of the people that form the team: such an operative structure will intrinsically promote the change of attitude and thinking of the people that form the team; the creation of specific tools and concepts that are directly related to the topic and its issues, especially in terms of decision-making, monitoring and evaluation; as well as the easier transfer of knowhow from one project/area to another, reinforcing even more the scaling up approach. Case studies have shown that in the case of Medellin there are already the foundations for a “Participatory Slum Upgrading Model” supported by an institutional and operative structure that can make it easier to implement such kind of projects in other areas of the city
- Consolidation of approaches and visions: which allow them to be institutionalized and implemented by any future administration and additionally provide politicians and experts with a deeper understanding of the potentials that can be present in these areas.
- A need for a better understanding of what participation and slum upgrading means and how these concepts can be put in practice to achieve greater benefits to the planning processes: the ways that these are being used in the PUI Model, shows that there may still be room for improvements

## 3.2 Case of the City of Pune, India: Slum Upgrading Schemes

### 3.2.1 Context and Scale of informality:

Pune is a city located in the namesake district of Pune, in the western Indian state of Maharashtra, roughly 150 km east of Mumbai. The Pune Municipal Corporation (PMC) was established in 1950 and has 15 administrative wards. It is part of the Pune Metropolitan Region (PMR), which constitutes Pune City under PMC, Pimpri- Chinchwad Municipal Corporation (PCMC), and the Talegeon Dabhade, Lonavla, Alandi municipal council. The case study review focuses only on Pune City, which as per the last census of 2011, has a population of 3.115 million. Pune's economic growth is not equally distributed with an increasing urban disparity. The high rate of in-migration and lack of formal access to appropriate housing has led to the development of unauthorized informal settlements and slum development in Pune.

The Slum Population is 12,50,000 (32.84%; as per DPR), Slum Settlements: 477 (PMC; Slum Atlas by UCD & Mashal, Slum Settlements: 564 (DPR) where 353 are declared and 211 are not declared. There is an estimate of 2,04,601 Slum Families. 90% of Land Ownership is on Private land (UCD & Mashal). Despite liveability ranking and visions of equal liveability, there are no recorded studies on how residents of informal housing perceive liveability. Figure 3.2 shows the location of the Households in squatter settlements and the unauthorised colonies.

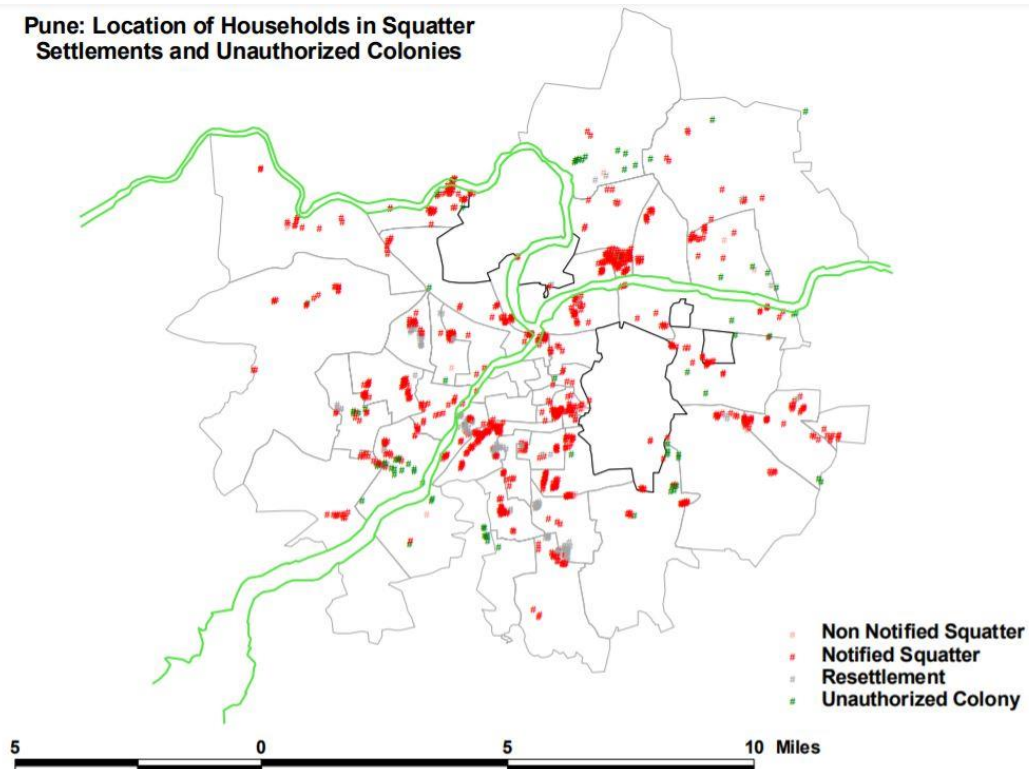


Figure 3.3. Location and Welfare in Cities: Impacts of Policy Interventions on the Urban Poor (Source: Kapoor et al., 2004).

### 3.2.2 Intervention Programmes

#### 3.2.2.1 Enabling Strategies and Contributory Factors:

To cope with the high rate of urbanisation with increasing informal development, lack of adequate infrastructure and other public services, PMC (2012) launched its revised City Development Plan which lays the vision and strategic framework for city development intending to achieve the vision by Slum Upgrading Schemes for Better Liveability by 2041. The city is receiving funding for carrying out required planning and infrastructure developments under the Central Government's scheme, Jawaharlal Nehru National Urban Renewal Mission (JNNURM). Pune has also been selected to be part of the "100 Smart Cities" initiative by the Central Government. Under the scheme, PMC envisions equal liveability for all its citizen and a slum-free city by creating 700 000 affordable housing opportunities by 2030 (PMC, 2018). The Revised/ Updated City Development Plan (CDP) of Pune City-2041 (2012) states two active central schemes for addressing the challenges of slums in the city of Pune, with the vision of "Slum Free City with Inclusive and affordable Housing for all":

Basic Services for Urban Poor Programme (BSUP):

- 'To provide security of tenure at an affordable process, improved housing, water supply, sanitation, education, health and social security'
- A Curative Strategy through Up-gradation, Redevelopment or Resettlement
- Projects under the BSUP scheme were sanctioned in 2006 and can be classified into two categories:
  - Re-location, when slums cannot be rehabilitated in-situ and are required to be relocated on account of unsafe locations, ecological and environmental concerns. Multi-story housing is being provided for the relocated slum dwellers.
  - In-situ Incremental Housing, in slum pockets where 60-70% of houses already have pucca (permanent) construction i.e., made of permanent building materials such as concrete, brick etc. Such settlements are being provided with infrastructural development and individual houses retrofitted.
  - Duration of Phase 1 & 2 of the BSUP operated from 2007 to 2017

Rajiv Awas Yojana (RAY): 2013-2022

- 'Envisages a "Slum Free India" with inclusive and equitable cities in which every citizen has access to basic civic infrastructure and social amenities and decent shelter'
- A Preventive Strategy, which includes providing affordable houses to Economically Weaker Section (EWS) and Lower Income Group (LIG), through cross-subsidies and incentives.
- Tenability Analysis Mechanism used:



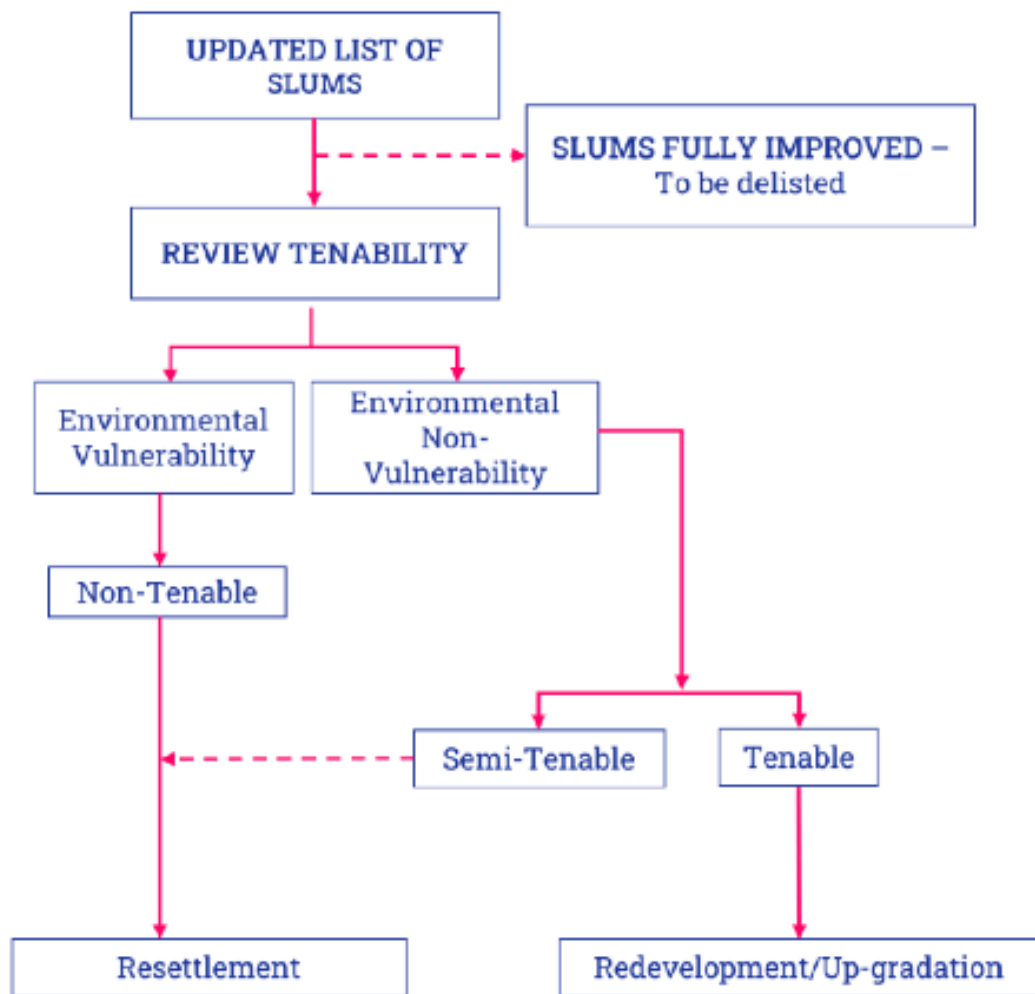


Figure 3.4. Using Fuzzy Cognitive Maps to Assess Liveability in Slum Upgrading Schemes: Case of Pune, India (Source: Subhashree Nath and Raphael Karutz 2021)

- Basic Services for Urban Poor (BSUP)
  - ‘To provide security of tenure at an affordable process, improved housing, water supply, sanitation, education, health and social security’
  - A Curative Strategy through Up-gradation, Redevelopment or Resettlement
- Rajiv Awas Yojana (RAY) Scheme
  - ‘Envisages a “Slum Free India” with inclusive and equitable cities in which every citizen has access to basic civic infrastructure and social amenities and decent shelter’
  - A Preventive Strategy, which includes providing affordable houses to Economically Weaker Section (EWS) and Lower Income Group (LIG), through cross-subsidisation and incentives.
  - Duration of programme from 2011 – 2022

### 3.2.3 Upgrading Themes

- Housing and development of infrastructure projects.
- Projects involving development /improvement of basic services to the urban poor.
- Slum improvement and projects.
- Projects on water supply, sewerage, drainage, community toilets/baths etc.

- Houses at affordable costs for slum dwellers/urban poor/ Economically Weaker Sections (EWS)/ Lower Income Groups (LIG) categories.
- Solid waste management& street lighting.
- Civic amenities like community halls, childcare centres etc.
- Operation and maintenance of assets created under this component.
- Convergence of health, education, and social security schemes for the urban poor.

#### **3.2.4 Role of Government (National and Local)**

- The Pune Slum Rehabilitation Authority (SLA) was formed in June 2005 under the State Government's direction and is jointly responsible for rehabilitation works.
- It is guided by a shared and collective vision and aimed at delivering sustainable development accompanied with poverty reduction, thereby, helping Pune city, in achieving an environmentally sustainable and self-sufficient status.

#### **3.2.5 Implementation Objectives and corresponding Implementation Strategies and Actions**

- Basic Services for Urban Poor (BSUP)
  - Rehabilitation through Resettlement in a New Location
  - In-situ Up-gradation through Retrofitting
  - In-situ Redevelopment: Upgrading through shifting to a multi-storey housing within the same land parcel
- Two-step implementation strategy of the Rajiv Awas Yojana (RAY)
  - Preparation of Slum free City Plan
  - Preparation of integrated programmatic projects for selected slum upgrading: state funded through cross-subsidisation and incentives

#### **3.2.6 Lessons/best-practice emerging**

##### **Better Liveability**

- The lack of liveability criteria and assessment:
  - For informal settlements often lead to the assumption that ensuring safer housing structures and providing basic services like household-level water, sanitation, and electricity, inevitably leads to an improved living experience.
  - Consequently, slum upgrading schemes rarely consider improvement in liveability as one of the criteria.
  - 13 indicators for analysing slums and Slum Rehabilitation Schemes are identified, based on the current literature on liveability indicators, classified under four thematic dimensions:
    - Physical, Social, Functional and Safety

##### **Summary/conclusion on the Case of Pune:**

- Vision matters:
  - In Pune success has been achieved in part because relations cross dimensions of vision, capacity, and commitment, appealing both to value-based interventions as well as to those seeking pragmatic strategies through the myriad of difficulties that government faces
  - Findings also suggest the significance of vision-led policymaking and programming with a strong and established sense of direction

- However, in Pune, the 1st round of BSUP-related housing allocations raised questions within the city, as it involved unpopular relocation to a new peripheral area
- The 2nd phase of Pune's BSUP reconceptualised the sub-Mission into in-situ upgrading realised through joint ventures that included civil society organisations. This appears to be an example of where the initial city vision behind programme implementation was amended to achieve greater success.
- The benefits of vision appear to be multiple - they include the merits of having a clear orientation for agency and individual actions; and providing for a legitimate basis on which to hold others to account.
- BSUP/JNNURM and the anti-poor orientation of India's urban development
- The Pune experience, does indicate that:
  - Wealth creation does seem to be combined with a participatory planning process, and an administration flexible enough to work in partnerships with organisations of the urban poor
  - The tension between property as a source of opportunity, and property as a source of vulnerability is recognised.
- Contribution of civil society:
  - Grassroots agencies and their professional support organisations have assisted in BSUP implementation and the consequential changing of the political relations between government and informal settlement residents, in five substantive ways:
    - Firstly: is the design and realisation of urban development approaches that enable solutions to be co-produced with the State and local citizens, legitimising the inclusion of low-income households, both at the city scale and in project planning and implementation.
    - Secondly: providing essential additional finance to engage and enlighten city and State governments about potential approaches to pro-poor urban development. Their financial contribution extends beyond actual contributions and includes financial services. Savings practices have been key to ensure the affordability of beneficiary contributions in Pune
    - Thirdly: leading to a strengthening of communication between levels of government about adverse outcomes and hence secured changes in the behaviour of junior officials.
    - Fourthly: civil society has supplemented gaps in government technical capacity in a range of areas, including the Detailed Project Report or DPRs. Civil society organisations also supported the organisation of communities and built the capacity of community groups to work with city government officials in the upgrading process and to participate in city-wide planning.
    - Fifthly: civil society has helped to connect the tenures of different government officials as they were moved on, before completing innovations that had been started (continuity and institutional memory)
- Pro-poor city as work-in-progress:
  - strengthening of capacity at all levels,
  - measures to challenge the view that the urban poor are a 'problem',
  - securing civil society participation in programming and evaluation,
  - greater financial support and the
  - linking of multiple ministries to provide for a 'holistic approach'
- Such conclusions imply that vision, commitment, and capacity do not emerge in a vacuum, but rather occur as government agencies engage with programmes such as JNNURM/BSUP and learn about what can be done, and how it might be done.

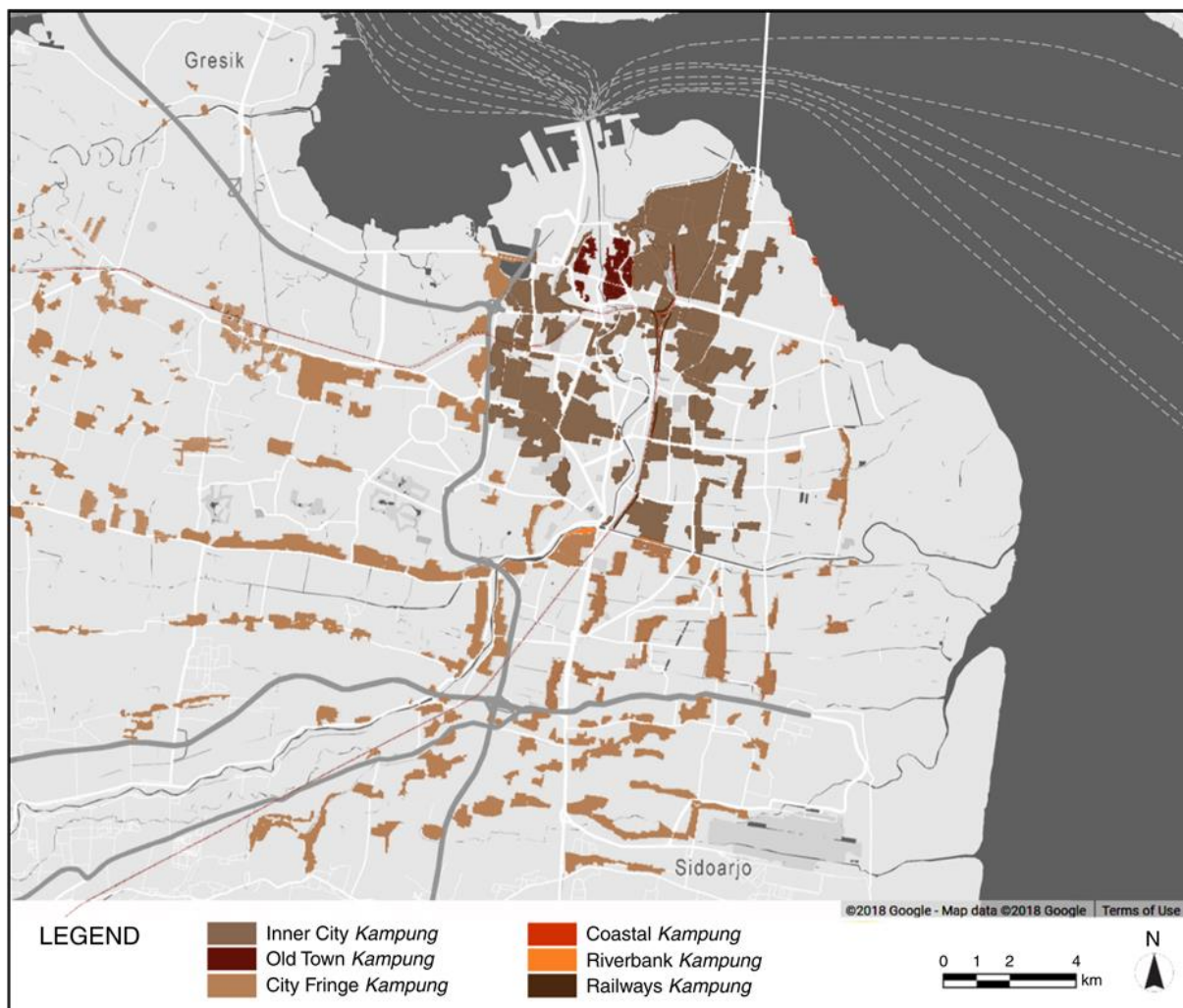
### 3.3 Case of Surabaya, Indonesia: Kampung Improvement Programme (KIP) and Comprehensive Kampung Improvement Programme (CKIP)

#### 3.3.1 Context and Scale of informality

The Kampung Improvement Programmes in Surabaya provides a low-cost, innovative, and sustainable method of transforming high-density urban informal settlements into green and clean neighbourhoods.

The programmes have between 1969 and 2008 reached over 1.2 million of the city's inhabitants (63% of the total city population) and is being replicated in 500 other towns and cities throughout Indonesia

Surabaya has 163 existing kampongs of which a large number have benefitted from the KIP and CKIP



**Source:** Author, traced from Google Earth (2018)

Figure 3.5. City of Kampung: Risk and resilience in the urban communities of Surabaya, Indonesia. International Journal of Building Pathology and Adaptation (Source: Shirleyana, Shirleyana & Hawken, Scott & Sunindjo, Riza. 2018).

### 3.3.2 Duration under various programmes and stages:

- 1969–98: The Kampung Improvement Program (KIP)
- 1999–2008: Comprehensive Kampung Improvement Project (CKIP)
- 2010 to date: Project “Excellent Kampung” to promote small enterprises in all Kampongs
- 2005 ----: the launch of the Surabaya Strenkali People’s Movement (Paguyuban Warga Strenkali Surabaya; PWSS), a civil society organization devoted to improving squatters’ shelter security
- Mid-2000s (accelerating from 2009): the steady rise of Rusunawa (rental flats for poor households) and Rusunami (low-income ownership flats)

### 3.3.3 Upgrading Themes:

**Over time, the KIP & CKIP, evolved to include a standardized menu of interventions:**

Physical:

- Vehicular access roads
- Paved footpaths
- Stormwater drainage
- Garbage receptacles and collection
- Public standpipes for drinking
- Communal washing areas and public toilets
- On-site toilets and sewerage Treatment (septic tanks)
- Neighbourhood clinics (puskesmas)
- Primary schools
- Shelter & housing provision through steady, incremental self-improvements.

**Empowerment:**

- Economic, social, and environmental improvements
- Letting residents steer project planning, implementation, and evaluation
- The PWSS forged close links with larger CSOs, including Community Architects Indonesia and the Asian Coalition for Housing Rights, and how to form coalitions to advance formidable political activism

The PWSS helped enhance the resilience of these squatter communities, even without the city’s support (Nearly all improvements (as well as ongoing maintenance and repairs) were self-funded, with daily household contributions).

### 3.3.4 Lessons/best-practice emerging

- The case studies present an exemplary scenario - of how successful democratization and decentralization of planning and governance can yield considerable transformative and upgrading to informal settlements.
- Surabaya’s seminal successes were founded in the bias of a planning regime towards the urban poor’s shelter and livelihoods.
- To address this challenge, the city government took a collaborative approach including multiple sectors and institutional practices across many successive political administrations.
- Since the 1980s, the city has received over 160 international and national accolades.
- Surabaya’s success with upgrading kampung is due to multiple factors—visionary and zealous leadership; political will and commitment; sustained, long-term financial support; continuous

city-university community collaboration that built institutional capacity and intellectual credibility; and, consequently, enhanced community capacity and trust in local government.

- Long-term international funding during the New Order Governance - helped to scale KIPs, improving affordable housing in the traditional informal settlements (kampongs) across urban Indonesia.
- The literature highlights the importance of decentralization and local participation - Decentralization boosted the local autonomy within the Surabaya Municipality, which enabled the city to innovate solutions fit for their local context.
- These governance qualities and strong and sustained political will and city support, community's trust in the city leadership and multi-sectoral collaborations have been critical for Surabaya's success
- Interviewees who took part in various studies emphasized that participatory planning succeeded in Surabaya because its communities are remarkably harmonious, democratic, and collaborative.
- Learning from this, other communities ought to strive for behavioural shifts towards collective social urbanism to yield desired transformation for all.
- Recent mass and high-rise housing development trends are working against pro-poor shelter policies such as KIPs.
- Emerging new contradictory policy objectives and a reluctance to incorporate migrant and informal workers and housing into the city proper has intensified Surabaya's affordable shelter challenge. Progressive shelter policy has almost never considered migrants and squatters because they are generally considered illegal.
- Surabaya's planning officials are mostly engineers and architects who have had little exposure to social science theories of equity, justice, inclusivity, social learning, or the nuances of civil society and governance.
- Thus, without interdisciplinary training, progressive, pro-poor urban planning that protects the interests of the most vulnerable city dwellers is hard to achieve.
- The following building blocks/critical success factors are identified for successful informal settlement (kampong) upgrading programmes which have mutual affect on one another and its successes are strongly influenced by the interaction between role players and actors. Several recommendations for minimising and/or elimination these weaknesses are suggested:
  - Government understanding, buy-in and sustained support
  - Importance to fill the gaps within the legal basis for supporting slum upgrading effort so that a comprehensive slum upgrading legal framework from the highest to the lowest level of governance can be created
  - The preparation of adequate/comprehensive and holistic planning: technical; financial aids, local government linking the program with other initiatives or policies, such as poverty alleviation, health; education, preservation; environmental and sanitation improvement, city-wide infrastructure, and transportation expansion programs, etc.
  - Strengthen vertical coordination by enhancing the role of provincial government - can be involved for managing larger-scale informal settlement upgrading (up-scaling upgrading).
  - To strengthen horizontal coordination through the synchronization of programs that are complementary, to run side by side with a clear division of duties between authorities.
- The innovations in public-private-partnership should be further explored, embraced and developed

- The purpose of slum upgrading should not only focus on infrastructure development, but also security of tenure and reservation of land for urban poor in the future
- Social capital embodied in the form of community organisation is expected to be sustainable and should be enhanced
- Better and diverse financial mechanisms in informal settlement upgrading interventions which do not depend too much on international funding or loans.
- Infrastructure to be developed in slum upgrading should not be limited on basic infrastructure like water supply, drainage, lighting, communal toilets, but also the type of infrastructure that can drive social and economic activities of society, such as traditional markets, schools, workshops micro-entrepreneurs living in slums can develop their own business (in support of sustainable livelihoods)
- The handling of slum upgrading requires a combination of top-down and bottom-up governance
- Decentralization should not be interpreted by the central government as devolution of responsibilities to the other parties without supporting the capacity to carry out these responsibilities but must be interpreted as a ‘responsible’ devolution of responsibilities.

### **3.4 Synthesis of Emerging Themes**

---

#### **3.4.1 Latin America**

- “Slum upgrading and placemaking: improving informal settlements and creating places”
- Latin American countries have been setting new and relevant benchmarks in the slum upgrading field (Irazábal, 2009: 117). By applying these theoretical concepts and by carefully examining best practices of slum upgrading in the region, a series of necessary elements have been identified that must be considered in slum upgrading practices. This set of elements has been represented as a pyramid of upgrading needs (Meléndez’s Pyramid inspired by the Maslow’s Hierarchy of Needs).
- The Pyramid draws from the premise that, until squatters’ basic human needs are satisfied, human development will not be whole nor durable

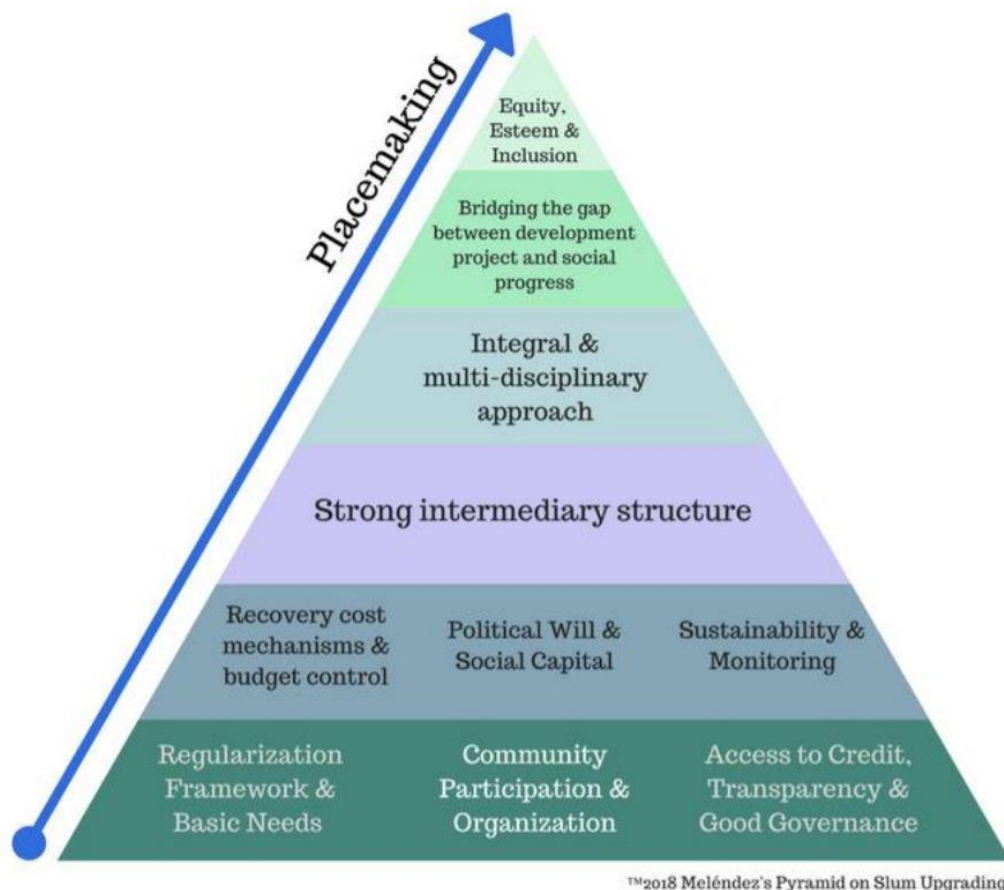


Figure 3.6. The matching of each pyramid bloc with a real slum upgrading program gives testimony of each element's actual impact and of the feasibility of its realization (source: Meléndez's, 2018).

### 3.4.2 South-east Asia

- Case study cities in South-east Asia in which upgrading policies of different kinds have been implemented, and focused on slum upgrading and urban governance reveal the following themes:
  - Hierarchy of Elements of Urban Upgrading between the Politic-legal, Socio-economic and Physical/Environmental dimensions:
    - Basic physical services
    - Private consolidation (shelter upgrading)
    - Public consolidation
    - Institutional reforms
  - A framework to incorporate aspects of on-going governance:
    - Pre-upgrading
    - Capacity building during upgrading
    - Post-upgrading

### 3.4.3 Conclusions for Latin America and Southeast Asia

- The scale of physical upgrading and gains in tenure security acquired by the case study communities was not complemented by an equally definitive boost in the households' livelihood opportunities.



- As long as slums are seen as special-needs areas that need special programs, they will never become part of the city planning.
- All the case studies have shown that the following issues are crucial aspects of the effective development and implementation of slum upgrading programs (each also provided lessons that can be incorporated into future program development):
  - security of tenure (in a very broad sense)
  - governance and institutional arrangements
  - public participation (including the effective contributions of civil society)
  - up-scaling and extension of programs, and
  - the connections between slum upgrading and sustainable livelihoods.

#### **3.4.4 United Nations Human Settlements Programme (UN-Habitat)**

- “Streets as Tools for Urban Transformation in Slums: A Street-Led Approach to Citywide Slum Upgrading”: An UN-Habitat Working Paper: 2012”
- “Practical Guide to Designing, Planning and Implementing Citywide Slum Upgrading Programs: 2014”
- These guidelines provide self-explanatory graphics to provide contextual perspectives to guide best practice strategic and implementational planning and management, covering:
  - The logics of formal and informal urbanization
  - Participatory planning and upgrading
  - Upgrading Programme Cycle
  - Indicative upgrading actions
  - Upgrading Process in a nutshell
  - DO’S and DON’TS recommended for citywide slum upgrading
  - Upgrading planning and implementation checklist

Hs 02/2020/2021

# EVALUATION OF THE INFORMAL SETTLEMENT SUPPORT PLAN (ISSP)

---

## **Part 2: Municipal Case Studies**

Chapters 4 - 13

## PART 2 Municipal Case Studies: Introduction

---

This section introduces Part 2 of this report, which comprises of the ten (10) municipal case studies discussed individually in Chapters 4-13. The preceding component of the report – Part 1 – introduced the ISSP evaluation, its approach and international literature layer reviewed to derive international lessons and accounts of best practice to inform the ISSP evaluation and South African informal settlements upgrading landscape. Part 2 therefore builds on the derived knowledge, lessons learned, and best practices developed in Chapter 3 (Part 1), by discussing the findings from the close examinations of the ISSP implementation in these 10 municipalities.

These 10 municipalities were selected from a clearly defined methodology captured in subsection 2.3 of Chapter 2. Specific KEQs were developed for each identified stakeholder group which would aid answering the key evaluation questions. These KEQs were further nuanced to form the interview questions for each group stakeholder and then categorised under numerous themes which form the structure under which case study findings have been reported. These themes include: the location and context of municipalities, the strategic planning and mainstreaming of the Informal Settlements Upgrading (ISU), the institutional arrangements and stakeholder engagement, the capacity to support the programme implementation, community participation, basic services and community facilities, tenure security, housing consolidation, reflections on the UISP on-going projects, and the case-specific conclusions and recommendations. The report narrative in the Chapters 4-13 in this part of the report is therefore structured in this order. Data gathered from the case studies was combined with outputs from other field work tools, such as the stakeholder survey to holistically answer the KEQs.

Considerations for the interpretation of the findings discussed in this part of the report are listed below:

- The responses obtained from different municipal officials during key stakeholder interviews (KSI) have been reflected to represent the individual municipalities. This means that the views expressed by individual stakeholder groups have been interpreted to represent the view of municipality as whole.
- The evaluation team worked under the guidance of the municipal officials and NGOs in the selection of the community representatives. The community stakeholders in each municipality are participants specifically selected for the ISSP evaluation due to their level of engagement with the ISSP and/or their leadership involvement within the community. As such, the evaluation team cannot verify that all community representatives were elected by the broader community at the time of the implementation of the ISSP project. The evaluation team cannot guarantee that the community representatives nominated to form part of the evaluation focus groups are recognised as the representation of the current community members.
- In X municipalities, the ISSP projects included more than one informal settlement. In these cases, all settlements in which the ISSP has been implemented have been highlighted for each case study, however the community responses have been generalised to avoid singling out specific informal settlements (IS) community responses. For further clarity, the Mossel Bay Local Municipality can be used as an example: instead of citing community responses as either “Emfuleni community” or “Transand community” which were all part of the ISSP implementation, community responses have been rather cited as “Mossel Bay settlements community”.

The Part 2 chapters are structured in this order: Chapter 4- Cape Agulhas Municipality (CAM), Chapter 5- Mossel Bay Municipality (MBM), Chapter 6- George Municipality (GM), Chapter 7- Knysna Municipality (KM), Chapter 8- Swellendam Municipality (SM), Chapter 9- Theewaterskloof Municipality (TWK), Chapter 10- Langeberg Municipality (LM), Chapter 11- Swartland Municipality (SLM), Chapter 12- Witzenberg Municipality (WM), and Chapter 13-Saldanha Bay Municipality (SBM).

## 4 Case Study 1: Cape Agulhas Municipality

### 4.1 Cape Agulhas Municipality (CAM) Location and Context

Location: Cape Agulhas is located within the broader Overberg District in the Western Cape, neighbouring Theewaterskloof, Langeberg, Swellendam and Overstrand municipalities. see Figure 4.1

Municipal area: approximately 2411km<sup>2</sup>

Number of informal Settlements: Cape Agulhas is home to 3 major informal settlements Zwelitsha (Bredasdorp), Oukamp (struisbaai) and Napier informal settlement. Smaller informal settlements in Klipdale.

Current Projects / Programmes Underway: The Napier informal settlement has been selected for in situ upgrading and formalisation with the possibility of top structure provision (WCG Rapid Appraisal, 2016).

Categorisation of Settlements: Category A

NGO appointed through ISSP: PEP

Settlements forming part of the NGO SLA: Napier Informal Settlement formed part of the NGO SLA

Settlement forming part of the Case Study: Napier Informal Settlement - see Figure 4.1 for the location of Napier informal settlement within the town of Napier. Figure 4.2 shows a map of the informal settlement (outlined in red) within the Town of Napier (outlined in black). Figure 4.3 shows a map of the informal settlement of Napier within its environmental context, depicting the potential of various areas within the settlement (PEP Milestone 11 report presentation, 2021).

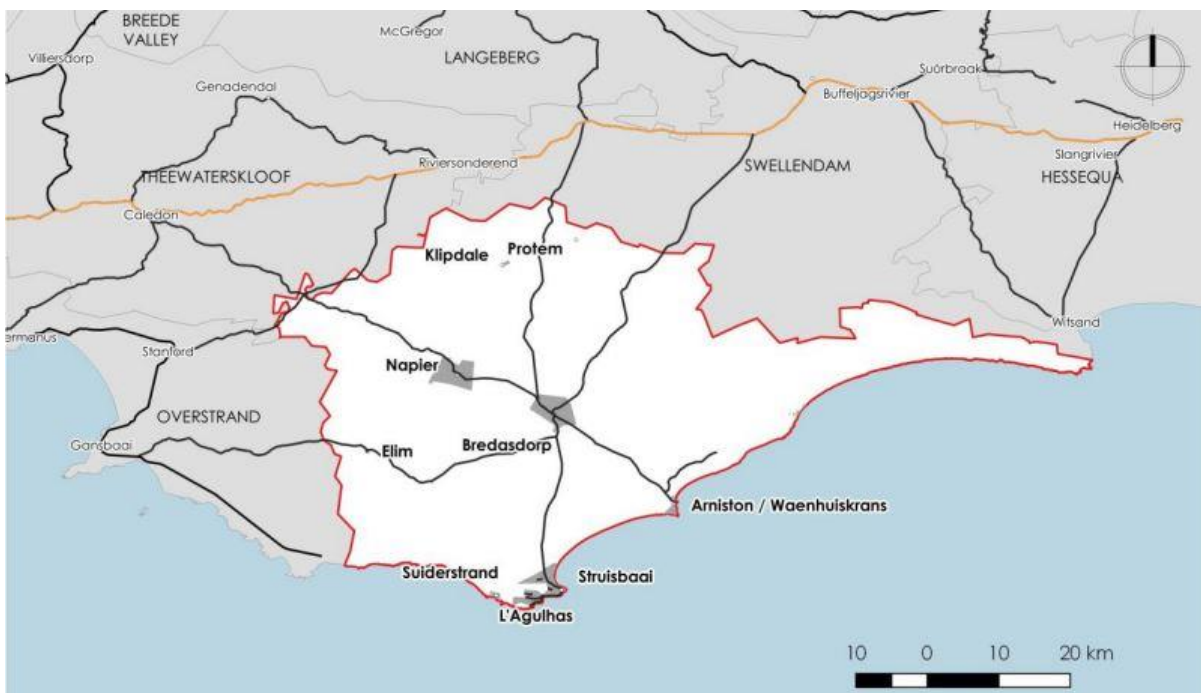


Figure 4.1. Map of the Cape Agulhas Municipal Area (in white) and the towns within its jurisdiction (coloured grey) (CAM SDF, 2017)

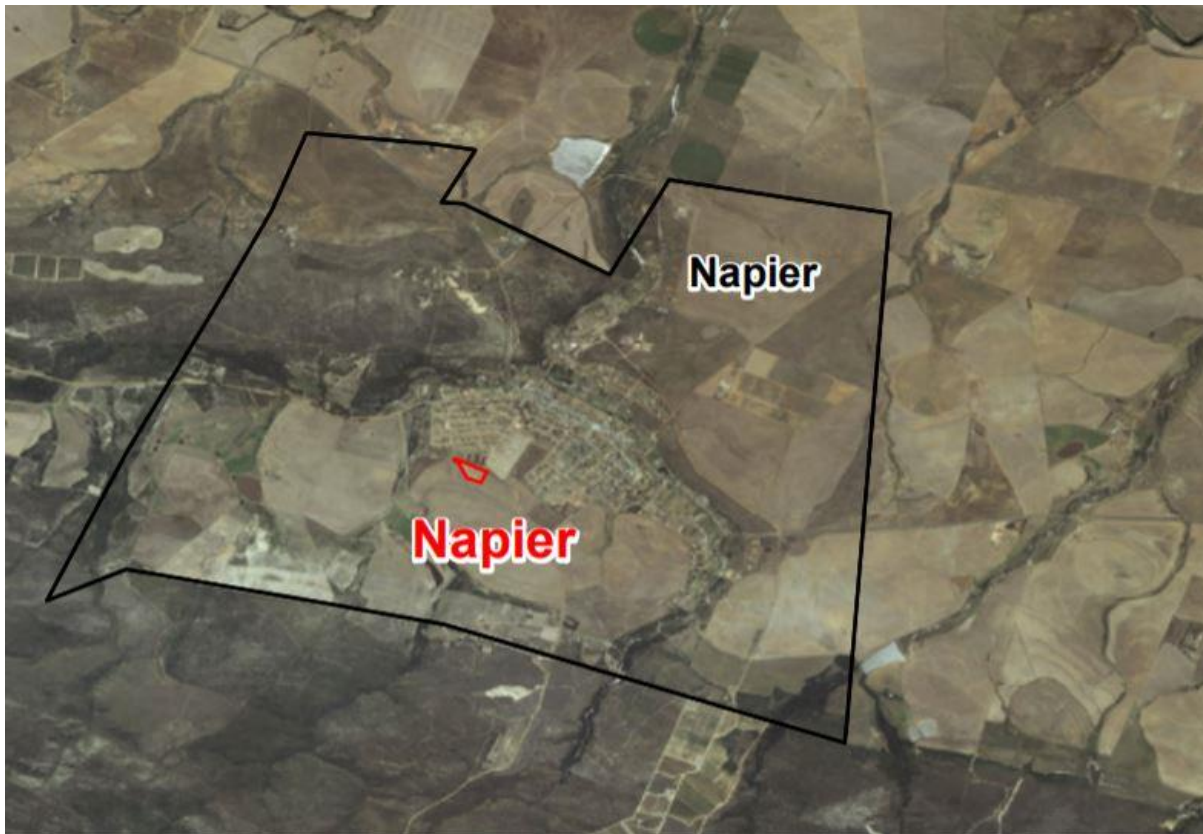


Figure 4.2. Napier Informal settlement outlined in red within the town of Napier in the Cape Agulhas Municipality (source: WCG Rapid Appraisal, 2016)



Figure 4.3. The Napier Informal Settlement Map showing various qualities of each segment of the Informal Settlement (PEP Milestone 11 report presentation, 2021).

#### 4.1.1 NGO Scope of Work

The scope of the services provided by the NGO around Community based planning in Napier is listed below.

- Project Inception
- Community-based Planning – Set up, Introductions, and Mobilization
- Community-based Planning – Stakeholder Analysis and Community Profiling
- Community-based Planning – Conflict Mediation
- Community-based Planning – Conflict Transformation
- Community-based Planning – Establishment and Capacity Building of Participation Structures
- Enumeration
- Community-based Planning – Introduction to Tenure
- Community-based Planning – Interim Services
- Community-based Planning – Relocations or Reblocking
- Community-based Planning – Evaluation and Planning of phase 2
- Monitoring and Evaluation

## 4.2 Strategic Planning and Mainstreaming of ISU

---

### 4.2.1 Inclusion and mainstreaming in key municipal strategic planning documents

The CAM IDP (2017-2022) includes a Human Settlements Pipeline which outlines projects and their progress, as well as the housing programme the project falls under. In the IDP Human Settlements Pipeline, the UISP is referenced for the Napier informal settlements project: 3280: Napier Site B Erf 513 (371 services) UISP/IRDP (CAM IDP, 2017).

The CAM IDP (2017/18-2021/22) refers to the CAM Human Settlements Plan (HSP) of 2014. CAM noted that a new HSP had been drafted in the year of 2021 (CAM KSI, 2021), which has been sent to community for comment and is awaiting approval from the incoming council (CAM KSI, 2021). It was further noted, that the Draft HSP (2021) is informed by the CAM IDP (2017-2022) and the provincial HSP guidelines were used to formulate the current draft in circulation (CAM KSI, 2021). The council was briefed through a workshop on the HSP. According to the municipality, all the informal settlements in CAM are included in the HSP and flagged as high priority area and are listed as priority areas in the IDP (CAM KSI, 2021). All the informal settlements in CAM form a major planning focus in the HSP (CAM KSI, 2021).

The CAM reported that the HSP speaks to issues of relocation, upgrade of basic services, in-situ upgrade, BNG upgrade, social housing upgrade and that the draft HSP is informed by the IDP (2017 - 2022) (CAM KSI, 2021). A pipeline of projects is also included in the HSP (CAM KSI, 2021).

CAM reported that the ISSP played a significant role in formulating the approach and focus of the CAM draft HSP (CAM KSI, 2021). The focus has shifted from BNG development to incremental upgrading of informal settlements (CAM KSI, 2021). CAM focuses on shifting its approach to be in line with the National focus on upgrading of informal settlements, basic services, and housing opportunities. Thus, these themes have become a strategic focus for the CAM to achieve and guide their HSP (CAM KSI, 2021).

Inclusion of Informal Settlement Upgrading (ISU) in the Spatial Development Framework (SDF) and land use management scheme (LUMS)

The CAM SDF (2017 – 2022) considers, as part of its strategic focus, the action to upgrade its informal settlements (specifically Bredasdorp and Struisbaai) (CAM SDF, 2017 – 2022, p.67) and to shift more resources to the upgrading of informal settlements and to provide basic services to all its citizens (CAM SDF, 2017:133).

The CAM SDF (2017-2022) notes that “CAM strives to improve basic service provision to informal settlements while simultaneously decreasing the number of informal dwellings and provide formal new dwellings.” (CAM SDF, 2017:46).

### Strategy and approach to informal settlement upgrading

The shift towards focusing on informal settlement upgrading and basic services provision was made clearer in the interview with CAM (CAM KSI, 2021), where the focus of informal settlements upgrading was emphasised. This included the impetus to be in alignment with national and provincial policy towards the incremental upgrading of informal settlements and accepting that informal settlements are a more permanent feature of the urban landscape (CAM KSI, 2021).

#### 4.2.1.1 Budgeting for ISU

UISP projects in the IDP between 2016 and 2021

The CAM IDP (2017/18-2021/22) includes the budgeting for UISP projects within its Capital Development Priorities. Specifically, for Napier informal settlement the CAM IDP notes the project: 3280: Napier Site B Erf 513 (371 services) UISP Planning Implementation (2018/19 and 2019/20).

The municipal Key Performance Area 5 (KPA5) is Basic Service Delivery (CAM KSI, 2017). Within the KPA5, the fifth strategic goal is to ensure access to equitable affordable and sustainable municipal services for all citizens, this is a function of the Human settlements department. Within this strategic objective the IDP notes a UISP project this is the Napier site B UISP planning implementation project. Furthermore, within the IDP reports that the CAM pipeline planning for 2012-2017 includes UISP projects in Bredasdorp Area B 357 and 3280: Napier Site B Erf 513 (371 services) UISP.

UISP projects identified in the MTEF between 2016 and 2021

UISP projects are not clearly defined in the annual budget reports or the MTEF.

#### 4.2.1.2 Integration of ISSP Report

The CAM noted that they value the work that the NGO completed in Napier, specifically the data that came from PEP's enumeration study (CAM KSI, 2021). CAM reported that the data from the enumerations is valuable in the way that it can be used for future planning, budget planning, service delivery. (CAM KSI, 2021). It was noted during the interview with CAM, that the data gathered during the enumeration study was used to formulate plans and budgets for future planning and projects (CAM KSI, 2021).



### 4.3 Institutional Arrangements and Stakeholder Engagement

---

#### Stakeholders at a municipal level

The CAM IDP (2017-2022) outlines the roles and responsibilities within CAM. Here the role of the municipal council, executive mayor, ward councillors, municipal manager and director's roles are described in relation to the IDP (CAM IDP, 2017). Roles are defined to each stakeholder in terms of their responsibility of implementing the IDP (CAM KSI, 2021).

The CAM human settlements department reported that they have good relationships with different directorates in the departments, as well as reported to have a good relationship with council and the ward committee (CAM KSI, 2021). The technical services department is a key stakeholder in the process of the ISSP (CAM KSI, 2021). They are responsible for to bulk and basic services for informal settlements (CAM KSI, 2021). The CAM DHS also works closely with DEADP on matters relating to informal settlements (CAM KSI, 2021).

The provincial ISSP forum was regarded as being valuable to the CAM (CAM KSI, 2021). The benefits that were reported include getting inputs and advice from other departments and connecting with provincial departments was helpful to CAM in understanding how to deal with the issues on the ground. The presentations provided at the ISSP forum meetings were also regarded to be helpful. The Municipality made specific mention of the presentations provided from DEADP which were regarded as helpful as they presented on issues that related to informal settlements.

The municipality holds quarterly meetings with all three informal settlement committees (CAM KSI, 2021). During these meetings the requests or issues that come from the informal settlement community are collated and presented to the committee for resolution (CAM KSI, 2021). There are also monthly Housing Committee meetings within the CAM (CAM KSI, 2021). These meetings are held to provide feedback to the committee and senior managers on the status and progress on housing projects and informal settlements (CAM KSI, 2021).

During the implementation of the ISSP in CAM, monthly technical meetings were held with the NGO, the CAM DHS and council. The purpose of these meetings was to provide feedback on the progress of the ISSP programme milestones that were being implemented by the NGO in Napier (CAM KSI, 2021). CAM was also able to report on their milestones and achievements at the ISSP forum meetings (CAM KSI, 2021). This is more of a sharing knowledge session than reporting. The municipality reported to have an excellent working relationship with the NGO (CAM KSI, 2021).

There is inconsistent data with regards to the existence of a community structure prior to the ISSP, which was representing the Napier informal settlement residents. The data suggest that CAM were unaware of a formal structure in place to communicate with the Napier community before the ISSP was implemented. This finding was confirmed by the NGO which indicated that their work included forming a committee within the Napier informal settlement (PEP KSI, 2021). On the contrary to this finding, the community representatives reported that a community committee did exist prior to the commencement of the ISSP project. However, was not fully recognised by the municipality (Napier informal settlement representatives KSI, 2021)

During the implementation of the ISSP in CAM, the CAM DHS and the NGO had meetings to discuss the milestones that the NGO needed to achieve (CAM KSI, 2021). The purpose of these meetings was to determine what the NGO would require from the municipality in order to meet these milestones and undertake their work in the settlement (CAM KSI, 2021). It was reported that the municipality tried to help the NGO achieve the milestones by supporting with securing venues to hold meetings, transport, and logistical arrangements (CAM KSI, 2021). The discussion with the CAM indicated a good working

relationship between the NGO and CAM and one that was valued by the municipality (CAM KSI, 2021). The NGO noted that they had a key contact within the CAM DHS which they reported to with updates and completion of milestones (PEP KSI, 2021). The municipality holds the work that the NGO undertook in Napier to be highly valuable in terms of building social cohesion and better, more streamlined communication between the Napier community and committee members (CAM KSI, 2021)

CAM also reported that the NGO's milestones were communicated with the Napier community through what was referred to as a "mini-parliaments" (CAM KSI, 2021). The "mini-parliaments" were held quarterly and consisted of municipal officials, NGO representatives and the committees from the informal settlements (CAM KSI, 2021). The purpose of these meetings was to discuss various topics relating to challenges experienced in the settlements. Topics included initiating skills developing programmes, leadership skill programmes education on waste management, law enforcement discussions, reporting on illegal shacks, skills development initiatives and the positive outcomes from the work conducted by the NGO, and it also brought attention to people stepping up and taking responsibility for areas within the settlement.

The community comments with regards to the "mini-parliament" sessions were that the municipality needed to be more present in these sessions and that the problems such as running water, shortage of toilets need to be highlighted during these sessions (Napier community representative KSI, 2021).

CAM reported a study being conducted by a consulting company in Zwelitsha informal settlement area (CAM KSI, 2021). This was in relation to an air pathway study being conducted to determine if the area around a waste management site was safe for human habitation (CAM KSI, 2021). This area reportedly has already been occupied and studies being conducted are to determine if residents are safe to remain in the area (CAM KSI, 2021). CAM reported that the study will determine whether the 500m buffer around the waste management site can be relaxed or not (CAM KSI, 2021).

#### Informal settlement institutional arrangements and committees

The data suggests that there was an informal settlement committee prior to the work of the NGO in Napier (Napier community representative KSI, 2021). This committee had a memorandum in place (Napier community representative KSI, 2021). The data suggests that this committee had been requested by the councillor to stop their work (Napier community representative KSI, 2021). This finding contradicts the findings from the NGO and Municipality, both of which had indicated lack of awareness of such a committee prior to the NGO initiating their work.

When the NGO began their work in Napier, block committees were established (Napier community representative KSI, 2021). The Napier community representatives reported that when the NGO arrived, people from the informal settlement applied to be a part of their process. Those who applied then received training which was perceived as useful (Napier community representative KSI, 2021).

There are community representatives that are trying to join the ward committee; however, it was reported that committee members don't know how to get onto the ward committee (Napier community representative KSI, 2021). Currently there are now two informal settlement community representatives on the ward committee (Napier community representative KSI, 2021).

There is some participation in the IDP process on an ad hoc basis, as members of the informal settlement committee attend the IDP meetings (Napier community representative KSI, 2021).

It is reported that the informal settlement committee does not have regular meetings with the municipality. The community members believe that this is due to the municipality not availing themselves to attend these meetings (Napier community representative KSI, 2021). Although the committee would

like to see the municipality availing themselves more, they do believe that the relationship has improved relative to what their relationship was with the municipality prior to the work of the NGO.

## 4.4 Capacity to support programme/ project implementation

---

### 4.4.1 Municipal Resource Capacity

The Cape Agulhas Municipality reported that human resources are a major constraint and risk to managing informal settlements in municipal region (CAM KSI, 2021). For instance, monitoring the influx of people (including immigrants) into informal settlements, in addition to managing the needs of informal settlements cannot be adequately addressed due to lack of human resource capacity and financial constraints in the municipality (CAM KSI, 2021; PEP KSI, 2021).

CAM reported the need for the appointment of technical personal to assist the municipality, such as lawyers, and environmental experts to raise environmental awareness in the municipality (CAM KSI, 2021). The municipality does not have financial resources to appoint more personnel as the municipality noted it is under financial constraints (CAM KSI, 2021).

The NGO's perception of the municipality indicated that the although the municipality is under-resourced CAM DHS is dedicated towards making efforts to improving the conditions in informal settlements within their capacity (PEP KSI, 2021).

#### 4.4.1.1 Capacity Support offered through the NGO Framework

CAM reported that they valued the work and skills that the NGO brought into Napier (CAM KSI, 2021). The NGO provided human resource and skills capacity that helped the municipality build relations with the community members in Napier and set up communication lines that were used both by the municipality to communicate matters the Napier community and allowed the Napier community to communicate their needs and concerns more easily with the Municipality (CAM KSI, 2021).

The CAM emphasised that even though their contract ended the work that they were doing still needs to continue. The municipality recommended that the NGO stay contracted at least up to the point where the municipality is implementation ready (CAM KSI, 2021). CAM does not have the capacity to fill the gap and the skills that the NGO brought forward and filled within the municipality (CAM KSI, 2021). The NGO noted that the time limit of the project was a major constraint and that there is much work to be done, particularly community development was noted to be an ongoing process that needed more support (PEP KSI, 2021). Both the NGO and Municipality recognise the need for continued support to the community and municipality in terms of filling skills and capacity constraints in the municipality (CAM KSI, 2021; PEP KSI, 2021).

#### 4.4.1.2 ISSP tools

CAM reported that the ISSP tools and documents forming part of the ISSP are useful documents that the CAM draws on for guidance (CAM KSI, 2021). CAM further noted that although these documents are useful the importance aspect is the implementation of the programme and projects (CAM KSI, 2021). The connection between usefulness of the documents and enabling project implementation was not explicitly made.

#### 4.4.2 Municipal Financial Capacity

CAM noted that they have insufficient financial capacity to address what needs to be implemented in the informal settlements and to achieve their goals, such as informal settlement upgrades, services sites and Breaking New Grounds units for those who qualify (CAM KSI, 2021).

Presently, CAM tries to deliver services to communities and implement regular cleaning campaigns in informal settlements (CAM KSI, 2021). This is done within the budget that the municipality has. However, the municipality notes that the funding they have access to for addressing issues, such as maintenance procedures and upgrades, is not sufficient. CAM reported that they are hoping to receive funding in the 2022/2023 financial year for the upgrading of the Napier Informal Settlement, to provide service sites or Breaking New Ground for qualifiers (CAM KSI, 2021).

#### 4.4.3 Business planning

CAM reported that their current business plan is linked to some of the upgrading projects (CAM KSI, 2021). CAM noted that the Department is going out on a revised budgetary process (CAM KSI, 2021). CAM is in the process of putting forward business plans for funding for the upgrades of the Oukamp and Napier informal settlement (CAM KSI, 2021). The CAM reported that the information that came from the work of the NGO assisted in formulating the updated/proposed business plan and made the process smoother (CAM KSI, 2021).

### 4.5 Community Participation

---

#### Community participation with the informal settlement through the IDP process

The community does not have representation on the IDP committee and for this reason the committee members were invited to, and attended, the IDP meetings on an ad-hoc basis (Napier community representative KSI, 2021). There is a need for a community leadership structure /committee that is accepted by the community as a representative structure and the community needs to be presented in the IDP process by having a representative on the IDP Committee.

The community's response with regards to planning collectively with the municipality, was one of discouragement and seemingly a challenging exercise (Napier community representative KSI, 2021). There is a disjuncture between the municipality's perception of the community-municipality relationship, and that of the community's perception. The perception was that the municipality did not engage (nor communicate) enough with the community to understand their needs in order to include them (Napier community representative KSI, 2021).

Thus, a perception of mistrust still exists in the community with regards to the expectations of the municipality (Napier community representative KSI, 2021). The community does not expect that the municipality will deliver on what is needed in the settlement (Napier community representative KSI, 2021). The community also indicated that whilst they felt supported and empowered through the work of the NGO, they were concerned that the municipality placed an undue amount of responsibility onto the NGO.

## Community institutional arrangements

The municipality and NGO appeared to be unaware of any other operational committees, prior to the involvement of the NGO in Napier. The community representatives note that there were existing structures, however it must also be noted that the community reported that the committee had been asked to stop working by municipal officials (Napier community representative KSI, 2021). The community also indicated that the identity of the committee is the “PEP committee”, and interestingly noted that they do not see themselves as representatives of the entire community. There is a level of disinterest and distrust with any community engagement and involvement.

From the NGO and Municipal perspectives, the NGO played a fundamental role in establishing the leadership and community engagement that exist in Napier informal settlement (CAM KSI 2021; PEP KSI, 2021) through this “PEP committee”. The community members indicated that the work done alongside the NGO was of great use, and particularly emphasised the leadership training. It was reported by PEP and CAM that these structures have enabled better lines of communication between the municipality and the Napier informal settlement community through the committee (CAM KSI, 2021; PEP KSI, 2021).

However, it is important to note that despite opening the communication channels, the members of the PEP committee do not see themselves as being a structure representing the entire community. They are of the view that addressing the group on any issue not directly pertaining to the work of the NGO (such as tenure security strategies) would result in a conflict since the community does not necessarily see this committee as community leaders. The community further indicated that even through this is the case, there is limited appetite from other community members to attend meetings and form committees, as they deem this to be a largely futile exercise.

## Municipality-Community Relationship

From the municipal perspective, CAM reports that the relationship between the CAM DHS and the Napier community has improved since the NGO’s work in the community to set up a formalised community structure (CAM KSI, 2021). The community structure (the committee) now communicates more easily to the municipality, and the municipality engages with the committee too (CAM KSI, 2021).

The data suggests a positive change in the relationship between the community and the municipality. The NGO noted a closer relationship between the community and municipality (PEP KSI, 2021). The structures set in place through the implementation of the ISSP opened doors for communication between the community and municipality (PEP KSI, 2021). WhatsApp groups are used as a method of reporting issues and concerns and the councillors are on these groups (PEP KSI, 2021). Thus, there is a system in place for managing operation and maintenance issues regarding the services in the settlement. Complaints and issues are directed to the relevant service providers (PEP KSI, 2021).

The community represents a varied perception to that of the NGO and Municipality in terms of their relationship between the municipality and the NGO. From the community’s perspective there is the perception that there is insufficient attention given to their settlement [Napier], which they attribute to their identity as a “quiet” settlement. The perception is that the responsibilities of the municipality are shifted towards the NGO (Napier community representative KSI, 2021). The community feels frustration towards the municipality, as there is a perception of empty promises and no consistency in engaging with the community (Napier community representative KSI, 2021). The community hopes for commitment from the Municipality in terms of regular engagements, being more active in the community meetings and fulfilling their promises and being honest with the community in terms of realistic expectations (Napier community representative KSI, 2021). The community did reflect that they were not sure of the level of capacity within the Municipality.

In alignment with the Municipalities and NGO perspectives the community also feels that the engagements between the community and Municipality can be owed to the work of the NGO (Napier community representative KSI, 2021). The perception is that without the NGO the Municipality and community would not have engaged as they had done so through the implementation of the ISSP (Napier community representative KSI, 2021).

The perception of the relationship between Municipality and the Napier community differs from stakeholders particularly the community's perception of the relationship is varied from that of the NGO's and CAM.

#### Social Compacts

At the time of writing there is no known social compact between Napier Informal Settlement and the Municipality.

## 4.6 Basic Services and Community Facilities

---

Both the NGO and CAM have reported through the interviews that all the informal settlements in the Municipality have basic services (CAM KSI, PEP KSI, 2021). However, the enumerations that the NGO undertook identified the shortfalls in terms of the National acceptable ratio of 5 families to 1 toilet (PEP KSI, 2021).

The NGO reported that there has been extra provision of toilets and taps and there is a functioning task team that reports leakages and service faults (PEP KSI, 2021). Furthermore, as a COVID-19 relief response, water tanks were provided to informal settlements in CAM (PEP KSI, 2021). The community reported that during COVID-19 restrictions water tanks were provided to the community but were taken away soon after (Napier community representative KSI, 2021). This left the community feeling confused and uncertain of the purpose of the tanks (Napier community representative KSI, 2021).

The community reported that there are 4 new toilets and one shower in C-Block. These are built out of stones (Napier community representative KSI, 2021). It was made clear through the engagement that some participants were unaware that these services were there (Napier community representative KSI, 2021). The community noted that the ablutions were expected to be implemented in the new blocks (Napier community representative KSI, 2021). The community's view is that the maintenance of the toilet facilities is insufficiently undertaken by the Municipality. The community believed that the Expanded Public Works Programme (EPWP) workers operated with insufficient oversight by the Municipality and to insufficient standards (Napier community representative KSI, 2021).

The NGO reported that the conditions in Napier remain the same since the inception of the ISSP in Napier informal settlement (PEP KSI, 2021). Napier has been identified for in-situ upgrade (CAM KSI, 2021). There is an application for 400 service sites to be implemented (PEP KSI, 2021). Overall, the community does not feel like any change has occurred with regards to basic service provision since the implementation of the ISSP in Napier (Napier community representative KSI, 2021).

## 4.7 Tenure Security

---

The existing policy for tenure security is to provide a letter of occupancy for temporary occupation that provides a right to stay on a Municipal owned plot (CAM KSI, PEP KSI, 2021). There are certain criteria that applicants must meet in order to be granted a letter of occupancy and there are certain conditions that apply to the letter of occupancy (CAM KSI, 2021; PEP KSI, 2021). For instance, one can't benefit from the structure that is erected on the plot (i.e., the structure cannot be rented out by the person who holds the letter of occupancy) (CAM KSI, PEP KSI, 2021). CAM will look at criteria such as social circumstances, family, and the need for the land. When land is available CAM reported that a letter for the temporary occupation of land for accommodation will be issued.

The work that the NGO did was reported to have improved the process of people acquiring tenure security (CAM KSI, 2021). The improved communication between the Municipality and the community increased the knowledge around the application for such letters and the processes of acquiring such tenure security (CAM KSI, 2021).

This finding was confirmed by the community representatives who reported that the processes to acquire land tenure through acquiring a letter of occupancy has been explained (Napier community representatives KSI, 2021). The community is also aware that the land is Municipal land, however the

structure that is erected on the land will be the resident's structure (Napier community representative KSI, 2021).

The community reported that they have meter boxes for electricity, but this doesn't provide the community with any sense of tenure security (Napier community representative KSI, 2021).

CAM reported that the aspiration of the Municipality is to issue formal tenure to residents in informal settlements, through the informal settlement upgrading process (CAM KSI, 2021). This formal tenure will be in the form of a title deed for a serviced site or a BNG unit (CAM KSI, 2021).

CAM reported that the data base of informal settlement residents and households are updated and stored on a system at the Municipality (CAM KSI, 2021). When the Municipality issues a letter to people to occupy Municipal land, this will feed into the data storage system at the Municipality (CAM KSI, 2021). The CAM HSD will monitor this data base (CAM KSI, 2021). The NGO noted that the situation on the ground in informal settlements is changing consistently and it was noted that there needs to be a system where live updates and inputs can be included in a register (PEP KSI, 2021). The NGO acknowledged that there is a presence of a register that sits with CAM (PEP KSI, 2021).

The community acknowledges that the NGO introduced the upgrading to the community. However, there is a sense of tension between the committee (that was formed for the ISSP purpose) and the community at large (Napier community representative KSI, 2021). There is a resistance from the community to engage in the committee as there is a feeling if the engagements being fruitless if nothing is implemented (Napier community representative KSI, 2021).

## 4.8 Housing Consolidation

---

The approved UISP housing consolidation (UISP Phase 4) has progressed in phases to approximated 700 hundred top structures completed on the 2202 enhanced service sites, developed in Phase 1 & 2 of UISP Phase 3

## 4.9 UISP – Progress over the period – reflections

---

Although the NGO's contract has come to an end in Napier, the NGO was able to continue working with the community and Municipality on the "entrance project" (PEP KSI, 2021) with funding sourced elsewhere. This project is focusing on upgrading the entrance to the settlements, as well as features like a green open space area, recreational areas, and other ancillary aspects of the built environment area (PEP KSI, 2021). The community also recognises that the NGO has remained consistent in their presence and is helping the community with an upgrading project such as building a bridge and creating a pavement area (Napier community representative KSI, 2021). In terms of the condition in the Napier informal settlement, the NGO reported that the conditions have remained relatively consistent since the inception of the ISSP in the Napier informal settlement (PEP KSI, 2021).

Napier is ready for in situ upgrading (CAM KSI, 2021). CAM reported that they are expecting to receive funding in the 2022/2023 financial year for the upgrade of the Napier informal settlement (CAM KSI, 2021). This funding refers to a UISP project that CAM had submitted a PID for.



The CAM Municipality recommended that more national / provincial departments should be involved in the ISSP. The ISSP offers a platform for Municipalities to engage, share knowledge and best practise (CAM KSI, 2021)

In CAM, WhatsApp groups have become a mechanism for reporting issues and service issues within the Napier informal settlement. The councillors are on these WhatsApp groups and specific issues are streamlined to the relevant department. A topic that formulated from this reflection was how to formalise such a reporting system so that communication remains streamlined and directed swiftly to the relevant personals within the Municipality that will tend to the issues as raised by the community.

From the community's perspective, the programme could be improved by actioning the issues that are uncovered through the NGO engagements (Napier community representative KSI, 2021). The community is eager to see these issues tended to with the hard infrastructure being constructed. Napier community representative KSI, 2021).

The work undertaken by the NGO has produced documentation which can be used in the planning for these new areas, which may be able to contribute to the overall advancement of an overarching and integrated UISP interventions

## 4.10 Conclusions and Recommendations

---

The ISSP has been adopted and implemented in CAM through the work of the NGO. There is evidence of a shift in mindset towards ISU and a participatory planning approach (CAM KSI, 2021). There is a need for sustainable communication between the Municipality and the community and a representative structure to be established within the community. There is a need for improved services and the actioning of the issues uncovered through the NGO's work. The ISSP process has initiated good momentum towards incremental upgrading of informal settlements in the Napier informal settlement in Cape Agulhas Municipality. The following sub-headings provide recommendations categorised under each of the key findings discussed in this chapter.

### 4.10.1 Institutional Arrangements and Stakeholder Engagement

Formalise the lines of communication between the Municipality and the community through the use of appropriate online/offline platforms.

There are four components to this recommendation.

- (1) Firstly, there is a need to establish a community leadership structure /committee that is accepted by the community as a representative structure. The work undertaken by the ISSP, and the committee involved in the ISSP work can be leveraged in this process.
- (2) The process of formalising/institutionalising lines of communication can include creating formal links between informal settlement committee and representatives from the relevant department.
- (3) To ensure the continuation of Municipality-community engagement there is a need to attach responsibility and accountability to the relevant Municipal officials to ensure the connection is maintained once the NGO's contract has ended. This recommendation speaks to ensuring that the work that the NGO has done is continued and the community continues to be empowered and included in human settlement processes regarding the upgrading of the informal settlements. Thus, formalisation of communication and reporting structures between the community and Municipality need to be established prior to the exiting of the NGO.
- (4) The establishment of an online platform, or an appropriate platform, that can log issues and updates live would be beneficial to develop.

Establish a cross-departmental task team for ISU matters

Recommended that a cross-departmental team is set up within the CAM to tend to informal settlement upgrading processes. the transversal team must include various line departments that will be needed and involved during the upgrading process.

#### 4.10.2 Capacity to Support Programme/ Project Implementation

##### Improved internal scoping process for municipal and Settlement needs

Municipalities need to have a clear understanding of their needs and the informal settlements needs prior to drawing up a scope of works for the NGO to implement. This refers to the need for the Municipality to undertake a needs assessment for internal capacity, to identify where capacity is required.

For the Municipality to scope the needs of the informal settlement residents, they need to know how to undertake enumerations, or ask for assistance in such capacitation. Then enumerations must take place, in order to understand what the informal settlement community needs are. This will assist the Municipality in understanding what is needed in the informal settlements that fall within their jurisdiction and then applying for the funding for such and plan for the correct numbers.

##### Capacitate the Municipality to align financial planning with strategic planning

Budget constraints hinder CAM's Human Settlement Department from implementing the expansion of the Napier informal settlement and undertaking Urban Management.

Shortening the time gap between enumeration and the upgrading of informal settlements is also required. Therefore, timing of activities and finance available to implement, need to be closely linked and aligned in the ISSP process and broader Municipal processes and budget planning.

##### Strategic planning and Urban management for settlement growth

The Municipality needs to be forward thinking in terms of planning for settlement growth. This can be achieved through ensuring adequate financial, human and skills resources within Cape Agulhas Municipality. Important role players within the Municipality and the community need to champion the ISSP and ISU programs in order to initiate and maintain continuity.

There is a need to ensure collaboration between the Municipal Human Settlements, disaster risk management and spatial planning departments.

The community identified structural fires as major risk to the Napier informal settlement and its residents (PEP KSI, 2021). The PEP engaged the community and Fire Department on this matter and found that the management of the fire risk specific to the Napier informal settlement has largely entailed a reactive response based approach as opposed to a proactive approach. It is proposed that holistic fire safety strategies are developed for the Napier informal settlement which provide a level of risk reduction and emergency preparedness appropriate to the resources available and the expectations of communities. It is recommended that hazard- settlement specific disaster management strategies be developed by Provincial/Municipal Disaster Management, in consultation with the community and CAM Department of Human Settlements. The ISSP can play a key role in improved informal settlement fire safety by facilitating and contributing to an improved understanding of:

- The application of fire safety engineering;

- The social realities of inhabitants;
- The complexity of addressing vulnerability and exposure in settlements,
- Resource limitations and maximising available resources.

The information gathered through meaningful community engagement can inform disaster management planning and implementation. A starting point would be to facilitate and engagement between the community and Municipality to workshop potential interventions and strategies for reducing fire risk in the settlement. All stakeholders should acknowledge the process as iterative, in that many strategies or interventions may need to be considered until a suitable intervention or suite of interventions are obtained.

Steps have already been taken by the community to engage the CAM and requesting their support in this regard. The PEP and the Napier informal settlements has submitted a request to the CAM fire services to assist in the installation of fire detectors as an early warning mechanism and support for capacity development to improve community level emergency preparedness.

Cape Agulhas Municipality requires strengthened internal capacity - additional dedicated Municipal officials to support ISU and/or a multi-disciplinary professional support for planning and implementation through the appointment of a Professional Resources Team (PRT) to undertake informal settlement upgrading

There is a need for capacitation within Cape Agulhas Municipality, in terms of human resources with the necessary skills for social development in Napier and for the ISSP to continue its moment. The WCDHS should further focus on supporting the Municipality in terms of investing in the recruitment of more human resources to assist in the ISSP implementation processes.

The NGO must include an exit strategy and completion of a baseline template for tracking work

A carefully thought-out exit strategy is required for the intermediary body that works in the Napier informal settlement. It is important to ensure that the committees and the lines of communication are institutionalised and secure before the NGO exits the community.

The NGO can assist in establishing a well capacitated team within the Municipality that is able to take over the role that the NGO was playing in Napier through the ISSP, and the role currently played as they continue their work in the settlement. Thus, the Municipality needs to be capacitated with human resources, finance, and requisite skills before the NGO leaves. Similarly, it is important to ensure that that the Napier community is capacitated to continue engaging with the Municipality after the NGO contract has ended. This is vital to the continuation of the work that has been initiated by the NGO in Napier.

#### 4.10.3 Basic Services and Community Facilities

Improve accessibility to Municipal officials and increase time for Municipal officials to engage with communities.

Appropriate engagement platforms should be established to support the communication between the community and the relevant line departments regarding matters such as basic service requirements and operation and maintenance. This should include the optimizing of existing platforms such as WhatsApp, as well as regularly scheduled communication (in-person) with Municipal officials.

#### 4.10.4 Tenure Security

Establish a live/up to date community register for Napier informal settlement

There is a tenancy arrangement in place between community members and CAM. A letter of occupancy provides the right to residents to occupy and build their structure on suitable Municipally owned land. As mentioned by The NGO (PEP KSI, 2021) and referred to in PEP's closeout report, a live register that records people moving in and out of Napier needs to be established.

The enumeration provided a base for such a process to be established. However, this procedure is manual, and currently the land register is manually updated and recorded. An online live version of a community register can be maintained by the EPWP in Napier that was trained to undertake the enumeration during the NGOs work in Napier. The NGO suggested that the KOBO collect app can be used to start digitizing the community register and begin a live community register that is updated daily. This way the movement of people in and out of the settlement, and the growth of the settlement as well as needs can be better understood and therefore, better planned for and managed.

## 5 Case Study 2: Mossel Bay Municipality

### 5.1 Mossel Bay Municipality (MBM) Location and Context

---

Location: Mossel Bay is situated on the N2 approximately halfway between the coastal cities of Cape Town and Gqeberha (Port Elizabeth). It is bordered by the municipalities of George to the east, Hessequa to the west and Oudtshoorn to the north. Its western boundary is the Gouritz River and its northern boundary the Outeniqua mountains. To the east it stretches to the Maalgate River.

Municipal area: 2007 km<sup>2</sup>

Number of Informal Settlements: 28 informal settlements (not inclusive of the Asazani/Izinyoka settlements)

Current Informal Settlement Upgrading Projects / Programmes Underway:

A municipality-wide integrated informal settlement upgrading programme (UISP) is currently being planned and implemented, inclusive of all the remaining informal settlements in the Municipality. These settlements are shown in Figure 5.2 and Figure 5.3.

The Municipality has engaged the services of an Implementing Agent (IA) - Zutari - to provide all the required multi-disciplinary socio-technical consulting and intermediary services (including participatory planning facilitation, community capacity building, dispute resolution facilitation, beneficiation surveys and enumeration etc.), for the planning and incremental/phased implementation of these UISP interventions.

Categorisation of Settlements: The 28 informal settlements in Mossel Bay have varying interim categorisations that transpired during NUSP support.

However, the approach to the upgrading of all 28 settlements through the UISP, is now premised on in-situ upgrading as far as possible as well as the development of additional suitable land portions within Mossel Bay. This is to be done, in order to provide for enhanced serviced sites to households that must be relocated from in situ upgraded settlement areas.

NGO appointed through ISSP: DAG for supplementary intermediary services.

Settlements forming part of the NGO SLA: Emfuleni, Asla Park C, Asla Park E and Transand Camp (4 of the 28 settlements)

These 4 settlements form part of the NGO Service Level Agreement (SLA) on the basis that they are to benefit from implementation Phase 1 of Phase 3 (permanent services sites with security of tenure) of the overall UISP.

Settlement forming part of the Case Study: Given the intricate nature of the Mossel Bay Upgrading Programme it was agreed that it would be best to evaluate the ISSP in Mossel Bay in its application to all settlements and focus then on the supplementary work undertaken by the assigned NGO in the selected settlements relative to the delivery milestones of their SLAs.

SETTLEMENT	CATEGORY	SETTLEMENT	CATEGORY
Asla Park A	B1 & C	Gentswana C	B1
Asla Park B	B1	PA Camp	C
Asla Park C	B1 & C	Sewendelaan	C
Asla Park D	C	Sinethemba	C
Asla Park E	B1 & C	Them bani Street	B1
Brandwacht	B1	Toseplaas	B1
Emfuleni	B1	Transand Camp	B1
Gentswana A	C	Wolwedans A	C
Gentswana B	B1 & C	Wolwedans B	C

Figure 5.1. Settlement categories in Mossel Bay at the time of the National Upgrading Support Programme (Source: WCG Rapid Appraisal, 2016)



Figure 5.2. Location of the informal settlements in Mossel Bay Municipal area (Part 1) (Source: Zutari, 2020).



Figure 5.3. Location of the informal settlements in Mossel Bay Municipal area (Part 2) (Source: Zutari, 2020).

### 5.1.1 NGO Scope of Work

The milestones listed below is in supplementary support to the Municipality and its IA (delivery and functions) relative to 4 Informal Settlements (Transand Camp, Asla Park C, Asla Park E and Emfuleni) that form part of implementation Phase 1 of UISP Phase 3, are stipulated in the SLA of the NGO (DAG):

- Milestone 1: Community Capacity Building Programme
- Milestone 2: Skills transfer for Participatory Upgrading Programme
- Milestone 3: Sustainable Livelihoods Programme

## 5.2 Strategic Planning and Mainstreaming of ISU

### 5.2.1 Inclusion and mainstreaming in key Municipal strategic planning documents

Inclusion of Informal Settlement Upgrading in the Integrated Development Plan and Human Settlements Plan

The Mossel Bay Integrated Development Plan (2017 – 2022) includes an Integrated Human Settlements Plan (IHSP) which is made up of the following sections: housing backlog; informal settlement response plan; overall goals and objectives of the Informal Settlement Upgrading; broad approach to informal settlement upgrading and human settlement implementation pipeline 2016 – 2022. The Integrated



Development Plan (IDP) contains a list of informal settlements and the respective categorisation with most settlements classified as B1 settlements (MBM IDP, 2017). The IDP also provides for a UISP budget line item called “NUSP Project In-Situ-Upgrading of Informal Settlements” which refers to the municipality-wide integrated informal settlement upgrading programme (UISP) for the remaining 28 informal settlements.

#### Inclusion of Informal Settlement Upgrading in the Spatial Development Framework and land use management scheme

The site plans in the Mossel Bay Spatial Development Framework (MB SDF, 2018) identifies informal settlements for upgrading but does not include its categorisation. Brief descriptions/recommendations are provided. Within Mossel Bay Town, Asazani/Izinyoka TRA, Thembelhle and Asazani/Izinyoka 1077 are particularly identified in the SDF as UISP projects (MBM SDF, 2018). The SDF site plans do not go into the details regarding in-situ upgrading. The MBM SDF (2018) identifies a total of 300 hectares of public land required for Breaking New Grounds (BNG) and social/GAP housing. The market related/private housing will be driven by the private sector (MBM SDF, 2018). The SDF does not explicitly state/show where relocation will happen. On the various site plans, it maps out areas of approved developments, housing pipeline projects, informal settlement upgrades and NUSP projects.

#### Strategy and Approach to Informal Settlement Upgrading

The Integrated Human Settlements Plan (IHSP), as per the IDP (2017 – 2022), responds to informal settlements by using the NUSP objectives, National, Provincial, and Municipal policy contexts. In the approach to informal settlement upgrading two key components will be considered, namely the tangible and less tangible aspects of informal settlement upgrading. The former refers to services and infrastructure and can be addressed through a detailed informal settlement response plan and the medium-term revenue and expenditure framework (MTREF). The latter refers to a variety of other factors of sustainability and integration such as community participation; local economic development and livelihoods; skills development and sector alignment and densification and security of tenure among others.

#### Municipality wide plan for informal settlement upgrading and phased medium to long term pipeline

The IDP contains a ten-year human settlements implementation pipeline (2016 – 2026), in which phased UISP projects run until 2022. The running UISP projects are Asazani/Izinyoka 65 (phase 3) and Asazani/Izinyoka 193 (phase 4). These projects are located in ward 12 and require services and top structures.

The project classified as ‘in planning’ refers to the “NUSP Project In-Situ-Upgrading of Informal Settlements” (28 informal settlements). This project is located in wards 1 and 2 aimed at the incremental and phased development of formal serviced sites with security of tenure (MBM IDP, 2017:202).

The reviewed IDP (2017 – 2022) contains a 10-year plan (2018 – 2028) for informal settlement upgrading. The “NUSP Project In-Situ-Upgrading of Informal Settlements” (28 informal settlements) has a projected timeframe of 7 years to run up to 2028. These projects will be located in various wards within Mossel Bay (MBM IDP, 2021:187)

### UISP projects in the IDP between 2016-2021

In terms of the UISP projects in planning there is a planned increase in the provision of services for in-situ upgrading of informal settlement projects; from 86 sites in the year 2017/18 to 594 serviced sites planned for the year 2021/22. During the years 2016 – 2018, 65 sites were serviced, and 65 top structures completed. Between the years 2018 – 2020, 193 sites were serviced, and 193 top structures completed (MBM IDP review, 2021).

The ABS funding is still not in place. The funding for the UISP Stage 3 phase 1 for 680 enhanced service sites as well as services for TRA of 250 units has been approved and the contractor has been approved to. The contractors are waiting for construction permit in order to commence (Zutari, 2022). Funding for 250 TRA units is still awaited (Zutari, 2022).

### UISP projects identified in the MTEF between 2016 and 2021

UISP projects are not clearly defined in the annual budget reports/MTREF. A general description “housing” is used. The Asazani/Izinyoka project appears in the 2016 and 2021 budget reports.

### Integration of ISSP reports

The Integrated Human Settlements Plan, as per the IDP, does not contain milestone reports produced through the ISSP but rather a more general overview of human settlement programmes running within the Municipality.

## 5.3 Institutional Arrangements and Stakeholder Engagement

---

### Engagement internal to Municipality

Mossel Bay has a cross-departmental relationship that has been established for dealing with informal settlement upgrading, which pre-dates the introduction of the ISSP as it recognises that Upgrading of Informal Settlements Programme is not and cannot be the responsibility of one department alone.

The overall coordination of informal settlement upgrading is led by the Municipal Directorate Planning and Economic Development which includes the Department of Human Settlements (housing), but it is recognised as an interdepartmental function. The Municipality has thus established a Programme Steering and Governance Committee structure (PSC) with 4 Sub-committees focussed on:

- Technical Planning
- Community Based Participatory Planning, Stakeholder Management and Communication
- Land Management, Law Enforcement and Tenure
- Community Development, Sustainable Livelihoods and Social Amenities

This structure is shown in Figure 5.4.

The following key stakeholders are represented on the PSC:

- Municipal line-function directorates
- WCDHS
- Implementing Agent
- Municipal Council Portfolio Committees
- Affected Ward Councillors
- Representative Informal Settlement Forum (through its Executive Task Team discussed later)

These inter-departmental, transversal institutional arrangements, whilst well recognised and accepted within the Municipality, are not documented in the Integrated Human Settlements Plan or elsewhere in readily available Municipal documentation, thus indicating a reliance on institutional memory.

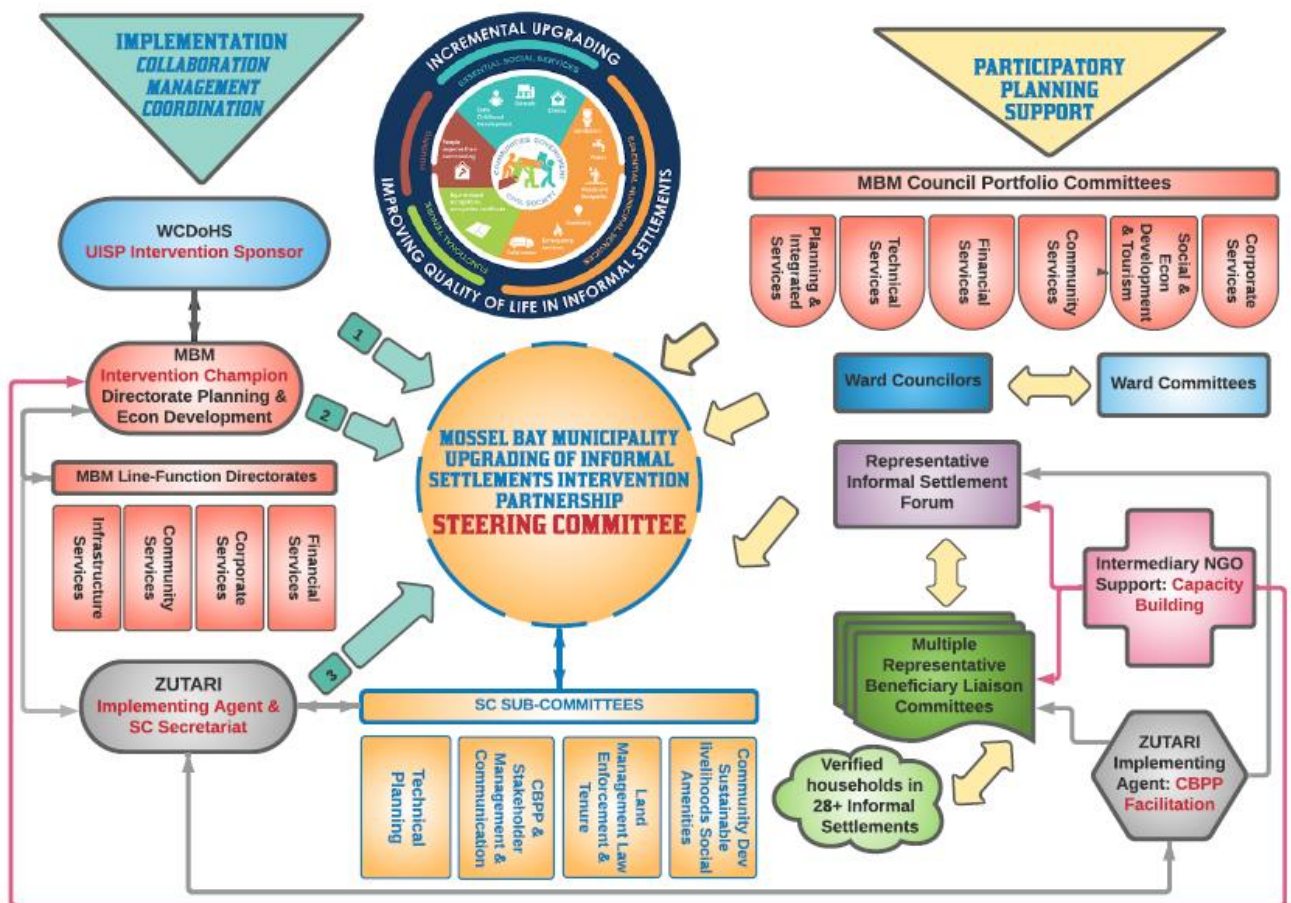


Figure 5.4. Programme Steering and Governance Committee structure (PSC) (Source: Zutari, 2020).

#### Relationship between Municipality and Province

The Municipality does participate in the ISSP Forum, and also have a standing relationship with WCG including WCDHS and DEADP.

## Stakeholders at a municipal level

In addition to internal staff of Mossel Bay Municipality as indicated in the PSC, the Municipality has appointed an Implementing Agent / Consultant (Zutari) who provides multi-disciplinary support as outlined above for the planning and implementation of the UISP.

The multi-disciplinary IA is appointed for the planning and implementation of its UISP and including all the services and activities associated with beneficiation surveys and registration administration, community based participatory planning facilitation, dispute resolution facilitation and beneficiation subsidy administration and security of tenure administration

In addition, the Municipality has also received supplementary support from the Development Action Group (DAG). This NGO forms part of an IS Framework and has been appointed by the WCG as part of the ISSP and assigned to the Municipality for support in their ISU endeavours. The scope of the supplementary support to the Municipality and its Implementing Agent was to have focused on specific less-tangible aspects of informal settlement upgrading as outlined in the SLA of the NGO.

In this context the engagement of the NGO and its scope of services as outlined above was considered to be supplementary to that of the IA in particular to the preparatory engagements with the communities of the 4 IS included in implementation Phase 1 of UISP Phase 3.

From an institutional arrangement perspective, the NGO was required to attend regular UISP PSC meetings as well as ad-hoc engagement with IA and/or the Municipality.

## Institutional arrangements and reporting mechanisms

The SLA of the NGO in Section 7, stipulates a detailed Reporting, Monitoring and Governance protocol and mechanisms to be followed. It was indicated that the reporting requirements for the NGO's were laborious and took up a lot of time (DAG KSI, 2021).

## 5.4 Capacity to support ISU programme/ project design and implementation

---

### 5.4.1 Municipal Resource Capacity

The Municipality has very limited internal capacity to deliver ISU, hence their appointment of an IA and its subsequent also acceptance of the offer to utilise the NGO assistance through the ISSP.

### Capacity Support offered through the NGO Framework

The Municipality were introduced to the ISSP when it was initiated through engagement with the ISSP Unit. The Municipality indicated that the Province made NGOs available to those municipalities who needed assistance, and that DAG was then assigned to the Municipality, to play an intermediary role in capacity building in the community.

The scope of the 'capacity support' was considered within the context that the Municipality at the time had already engaged the able services of a multi-disciplinary Implementation Agent but also mindful that such supplementary support to the Municipality and its IA can be put to good use. The scope the supplementary support of was formulated as a result of collaborative engagements between the Municipality, Zutari as the Implementing Agent, DAG as the selected NGO, and the WCG. DAG as the NGO was therefore engaged a considerable time after the appointment of the Implementing Agent, whereby the IA had already assumed much of the community participation and social facilitation work, and work of DAG then had to be carefully defined to ensure that they were able to add value and that duplication of effort could be avoided.

Despite only being appointed to focus its scope of services on 4 settlements (Emfuleni, Transand Camp, Asla Park C and Asla Park E) - those forming Phase 1 of the Municipal UISP Phase 3 – DAG's approach over time expanded beyond the focussed scope milestone deliverables and also included interactions with the then consolidated ISF.

The efforts to ensure a streamlined process by all parties included multiple engagements, including multiple meetings and workshops. Despite these efforts, the introduction of an NGO into an already existing, active integrated programme/project context created confusion in the roles and responsibilities of the respective parties. The NGO reported to Province, and the Implementing Agent reported directly to the Municipality. Notably, the NGO and Implementing Agent were not able to find the appropriate level of synergy, and this can at least in part be attributed to the power relations between the parties.

As a mandated Implementing Agent of an active UISP project, the IA should, together with its client, have oversight on all activities and engagements taking place within settlements / areas forming part of its scope of work and interventions. As a service provider to the state, the NGO should act in support of the Implementing Agent and Municipality in their capacity and role as an intermediary.

It is observed that whilst both the NGO and IA recognised the value of the other, there was a general feeling of distrust where each party did not feel sufficiently valued and supported in the process.

Without a sincere trust and cooperation between NGOs and the private sector (for example the IA), meaningful engagement at a community level with a consistent, coordinated approach was even more challenging to achieve.

Evidence of use of other ISSP tools?

No active use of ISSP tools were evident from the Municipality, however the NGO did indicate some leveraging of tools made available by the province.

#### 5.4.2 Municipal Financial Capacity

The Mossel Bay Municipality noted that despite receiving a lot of good support from government, in terms of capacity in the form of NGOs and implementing agents, they have insufficient financial resources to successfully address informal settlement upgrades (MBM KSI, 2021). Increased financial capacity will help the Municipality address key challenges such as the roll-out of ISU projects and securing land for said projects (MBM KSI, 2021).

- Shared IBS Phase 1: R14 959 684. Completed in 21 settlements for approximately 3790 households (Zutari KSI, 2021)

- Shared IBS Phase 2: Business Plan submitted for a further R24 102 650; approval awaited. Supplementation services the now increased number of 28 IS with an estimated 6500 households to comply within national norm for shared services (Zutari KSI, 2021).
- UISP funding resolution approved for estimated financial details and provisional tranche disbursements for 4203 enhanced serviced sites plus a TRA facility. (Based on the 2014/15 and 2018/19 grant quanta) (Zutari KSI, 2021)
- A supplementary application has been submitted for a revision of 2018/19 quanta for the construction of the first 680 Enhanced Serviced Sites (Phase 1 of UISP Phase 3), based on the outcomes of a tender process (Zutari KSI, 2021).

Funding for the capacity support offered through the ISSP

The NGO work undertaken in Mossel Bay as part of the ISSP was not funded from the 3% of the UISP allocation for social facilitation since the work undertaken by the NGO was agreed to be a supplementary value addition to Phase 1 only, of the broader UISP programme for which the Implementing Agent of the Municipality is responsible. In the case of Mossel Bay, the work undertaken by the NGO as part of the ISSP was funded by the WCDHS.

## 5.5 Community Participation

---

Community institutional arrangements (committees, forums, etc)

Upon the inception of the UISP a process was facilitated by the IA and the Municipality to establish a representative structure for every informal settlement, in the form of a BLC (Beneficiary Liaison Committee), where most of the project information is provided and where community based participatory facilitation commenced.

All the informal settlements in Mossel Bay form part of/are represented on an over-arching Informal Settlement Forum (ISF). The Informal Settlements Forum is where the planning and incremental/phased implementation of the UISP are debated and/or facilitated by the IA in a collaborative participatory manner amongst all settlements, due to the mammoth scale and complexities of the programme. The Municipality also has a website “Mossel Bay UISP” which is updated on a weekly basis by the IA with any relevant information and resources.

As mentioned above, the ISF has an Executive Task Team, who present the informal settlements as a key stakeholder in the UISP PSC.

The process of establishing these structures commenced in the early stages of the ISU endeavours of the Municipality with the work undertaken as part of NUSP and then flowed into a back-to-back UISP appointment of an IA to assist with the transition from the NUSP into a fully-fledged UISP. With this process, the establishment of the BLC's commenced, and the now inclusive ISF was consolidated from a pre-existing structure.

## Role of the NGO in establishing community leadership structures and enhancing community engagement

The respective BLC's and the ISF were established prior to the work undertaken by the NGO. As such, when the NGO started work with the Municipality, the Municipality and its IA were able to introduce the NGO team to the 4 BLC structures representing the 4 settlements assigned to the NGO, providing them with a platform to start work. The work undertaken by the NGO served to assist to train the members of the ISF.

The NGO thus assisted the Municipality and its IA in establishing more transparent communication between the Municipality and the community structures and amongst community structures.

It is however apparent from the community engagement that the community no longer feel enabled to do this without the presence of the NGO, despite demonstrating observable capacity and potential to use the lessons and learnings from the work undertaken with the NGO to foster community-led action (MB IS community representatives, 2021).

### Municipality-Community Relationship

The data collection process shows that the interpretation of the strength of the communication and relationship between the community and Municipality differs significantly. The community expects that the Municipality and its IA have the same capacity for engagement as per the precedent set with the NGO (MB IS community representatives, 2021).

The community clearly perceive this intensity of engagement as necessary and do not make any distinction between the UISP planning and implementation and the value-added services provided by the NGO. As such, the community expressed feelings of frustration with the exiting of the NGO and their perceived inability to continue without DAGs support (MB IS community representatives, 2021). On the other hand, the Municipality reflects on a marked improvement in the organisation and communication skills of the community members (both on BLC and ISF levels) and reflects that the engagements are fruitful and meaningful (DAG KSI, 2021).

There was also a communication protocol established with the NGO which appears to have created a situation whereby communities do not see a need to be proactive on the basis that they feel assistance should be given with setting up meetings, that all follow ups for engagements should be undertaken by the Municipality and its IA. The Municipality will need to address this and further encourage the community leadership structures to utilise their agency and proactively address the need for engagements.

There is a clear disjuncture between perceptions, experience and expectations which given the context of the on-going UISP project should be resolved with urgency to avoid these misunderstandings escalating and causing project blockages.

More must be done by the Municipality and its IA to ensure that the communication is effective, frequent, and participative and that this is recorded not only by the Municipality but also by the respective BLCs and broader ISF using the training skills obtained. To achieve true empowerment the communities themselves must feel that they are community-based partners in ISU and can act together with a unified voice and must feel confident in their ability to do so.

This then comes to the role of the individuals that represent the informal settlement and a question of leadership traits and different training needs for different personality characteristics – which is no

different from any other leadership training context in that a one-size-fits-all approach is unlikely to be successful or yield sustainable results.

### Social Compacts

After the 2017 enumeration survey, social compacts were entered into with the community as facilitated by the IA. Part of this social compact is to be a verified database of prospective registered beneficiaries of the ISU for that particular informal settlement. Due the current dynamic fluctuation experienced in the number IS and its inhabitant HH and the scale of one integrated UISP, the completion of these social compact processes has become challenging.

## 5.6 Basic Services and Community Facilities

---

Settlements are at different stages of access to services. The provision of basic services in informal settlements in Mossel Bay is dealt with through the Mossel Bay UISP.

The phased implementation of the UISP provides for incremental upgrading:

- Provision of emergency access to shared basic services
- Provision of shared interim basic services (IBS) with compliance to the national norm (W1:20 & S1:5 HH ratio) in 2 phases
- Development of formal enhanced serviced sites (ESS) with a 1:1 ratio in numerous phases over a projected 9-year period

The NGO's supplementary engagements with the affected communities in this 'Basic Services' context can be summarised as follows:

- Phase 1 IBS: Introduction of a Janitorial Programme
- Phase 1 ESS: engagements with the respective BLCs in collaboration with the Municipality and the IA

## 5.7 Tenure Security

---

The Implementing Agent is responsible for the beneficiation enumeration surveys and related administration which is being integrated into the central database of the Municipality and which will be the basis for beneficiary administration (subsidisation and tenure).

At the time of writing no clear tenure security approach has been articulated by the Municipality, but there is a view to eventually provide the residents with a proof of address. The social compacts (with its included verified beneficiation database) that are being pursued with the community can be seen as an interim tenure security measure. The community report that they do not currently feel as though they are safe from evictions but at the same time do draw comfort from the fact that they know that they are part of the UISP. They also indicated that if they require a proof of address, they need to visit the local police station to obtain an affidavit.



In Mossel Bay, the NGO did not undertake any work directly related to security of tenure since this was not part of the scope of their work. Enumerations, social compacting, and beneficiary administration are being undertaken by the IA as part of the integrated UISP processes.

## 5.8 Housing Consolidation

---

The current strategic objective of the UISP is incremental upgrading across all 28 IS up to Phase 3 of the UISP only.

Preparatory work on housing consolidation has been limited. Additional consideration should be given to how communities are introduced, trained, and capacitated around housing consolidation and local economic opportunities that may be created in this phase of the human settlement's delivery lifecycle. Due consideration also needs to be given to enabling communities to be ready for the housing consolidation phase of projects.

## 5.9 UISP – Progress over the period – reflections

---

All 28 informal settlements in Mossel Bay form part of the Mossel Bay UISP. There is a phased programmatic pipeline of projects that are to be undertaken in terms of this programme, for which the Municipality has appointed an Implementing Agent. In this context the IA is assisting the Municipality on an ongoing basis with the preparation and submission of respective Interim Basic Services (IBS) Business Plans and the UISP PIDs, PFRs, PIRs.

Through the work of the IA, the holistic and integrated packaging, planning and phased implementation of the UISP across all 28 is far advanced through the various stages:

- Community Based Participatory Planning Facilitation, Beneficiary Administration & Social Compacting (ongoing)
- Pre-planning (additional work required for additional IS)
- Establishment of development rights (approximately 50% of 28 IS and greenfields areas earmarked for development)
- Formalised implementation readiness (5/28 achieved)
- Implementation (5/28 = 680 ESS plus 250-unit TRA facility): contractor procured awaiting funding revisions from WCDHS
- Security of tenure: Social Compacting stage in process

During the community interviews it was evident that the communities have an appreciation for the above but expressed frustrations with regard to the pace of the processes and to an extent not being progressively kept informed of progress.

The process of bringing an NGO could have added more value if there was a single point of coordination in this Municipality. Given that all stakeholders recognised the value that the NGO brought, it would have been useful to have a more robust coordination, reporting, monitoring, and governance function undertaken by the Municipality. Given the resource constraints in the Municipality, this means that allocation of a resource to act as the Municipal project manager will require some forethought to ensure that an official with the requisite set of project management and socio-technical skills has the

available time necessary to ensure the optimal coordination of all stakeholders and is accountable for the ensuring that reporting is undertaken through the appropriate channels (i.e. to the Municipality's satisfaction with oversight from the WCG.)

## 5.10 Conclusions and Recommendations

---

The Mossel Bay case study summarises the current state of the informal settlement upgrading process and the dynamics between the Municipality, IA, and NGO in relation to the ISSP. It indicates key successes and areas to be improved, namely community empowerment and clearly defined roles and responsibilities respectively. There has been a variety of challenges faced by the Municipality, IA, NGO, and communities. In order to effectively address these challenges and simultaneously improve the ISU process (specifically ISSP support) within Mossel Bay, the following recommendations are proposed:

### 5.10.1 Institutional Arrangements

Draft a governance framework to establish an integrated functional local partnership for the planning and implementation of ISU and the required forums and role-players.

In the case of Mossel Bay specifically, there has been a need to better manage the structures of the ISSP and clearly define the roles of the Municipality, IA and NGO and align the reporting lines. This mandate should come from WCDHS. The IA should overarchingly oversee all activities and engagements taking place on the relevant sites; the NGO should support the IA. The IA should be mandated to act as the agent of the municipality, in its capacity as the champion of the ISU intervention.

Institutionalise the lines of communication between the community and Municipality

On-going intervention is required to keep all communities informed of the UISP programme progress. Currently it appears that the community members do not feel sufficiently empowered because of not having updated information available. The sustainable functionality and operation of Programme Steering and Governance Committee structure (PSC) as reflected in Figure 5.4 must therefore be further fully institutionalised down to community and settlement levels via the representative Informal Settlement Forum and respective Beneficiary Liaison Committees and upwards into various role-playing Municipal Directorates and Council.

### 5.10.2 Capacity to support ISU / Project Implementation

The production of a Municipal document outlining Municipality-Wide ISU strategy, upgrading pipeline and community engagement approach

The Municipality currently has in a place a multi-year informal settlement upgrading UISP intervention. This overall approach should be documented and include the approach to community engagements and

the governance structures established through the process. This should be done to ensure sustainability, continuation, and improvement in the Municipality's involvement in informal settlement upgrading, and to create less reliance on institutional memory. This would fall under the responsibility of the Municipality and can be added to the Integrated Human Settlements Plan to ensure its easy accessibility and facilitate the further mainstreaming of the UISP into strategic planning documentation.

In future contracts with service providers, a pre-inception scoping phase to gather baseline information of the Municipal area should be undertaken.

A more nuanced understanding of the ISU environment is required before NGOs are deployed. This will also allow for a better understanding of the overall ISU environment and specifically institutional arrangements and capacity to form a more realistic baseline assessment of the requirements and readiness of the Municipality. This is because informal settlements are rapidly changing and growing thereby quickly making research and documentation obsolete. This would reduce the need for flexibility in future SLAs; could assist in clearly defining the responsibilities of service providers (including NGOs and IA) and quickly clarifying the scope of the project while providing updated information.

Development of fit-for-purpose reporting requirements for service providers, as well as the provision of necessary templates.

Reporting requirements for the NGOs should be specifically catered to the current project phase and aligned with the project objectives at every phase. The reporting requirements should not be laborious but should rather contribute constructively to achieving project objectives. To achieve this, the project objectives at each phase must be explicit to all parties involved at the strategic and practical levels. Templates for the reporting documents and social compacts should also be provided by the WCDHS to ensure consistency across projects.

#### Develop a Plan for Sustainable Community Engagement and an Exit Strategy

Despite seeing an improvement in communication between the community and the Municipality during the appointment of the NGO, there is still a reliance on the NGO in their absence. It is proposed that sustainable methods of communication be taught and employed in community leadership structures as leaders need to feel confident in their ability to initiate and sustain engagements (inclusive of appropriate structures) with the Municipality and IA. This could take the form of phased workshops with both the NGO and Municipality hence emphasising a transversal approach.

A key element of this recommendation is that the appointed NGO needs to have a clear exit strategy when working with communities. This exit strategy must be clearly communicated with the community at various stages of the project to ensure that the community does not feel abandoned by the NGO. The NGO should also ensure that the community is equipped with the necessary skills to work independently of the NGO and effectively with the IA and Municipality. It is recommended that the community and NGO work together to set up task teams to ensure that there is no loss of momentum once the NGO leaves.

Refinement of the Municipality-wide ISU Strategy with a focus on densification and land management

As means of protecting land within Mossel Bay, it is recommended that the land be used optimally from the start of an ISU project. A method of achieving this could be the development of an ISU Densification Strategy which aims to accommodate rapidly growing informal settlements. This document should identify areas for densification; address the qualitative aspects of densification in ISU projects; stipulate design guidelines suitable for the area and be aligned to existing ISU projects within the area. This document should also support the informal settlement upgrading and response plans and align with Municipal budget allocations to fully be impactful. This Densification Strategy would fall under the responsibility of the Mossel Bay Municipality.

The Municipality and its IA should work together with communities to develop a strategy for the management of settlement growth in each settlement forming part of the programme. The growth of informal settlements currently and progressively poses a threat to the successful continuation and eventual completion of the UISP Programme.

#### Land Invasions - Physical protection of land for ISSP projects

There is a growing need for Municipalities to protect municipally-owned land. Mossel Bay and other smaller municipalities are facing increasing land shortages due to land invasions. It is proposed that a percentage ISSP funding goes to the physical protection of land specifically for ISSP projects, to prevent the land from being invaded. This could take the form of fencing off land or posting security personnel on land dedicated to ISSP projects. This recommendation necessitates the speedy action on ISU projects from local government and IAs to limit community frustration and to ensure that earmarked land does not remain vacant and unmanaged for an extended period.

#### 5.10.3 Community Participation and Empowerment

Provide more resources to the community around the UISP lifecycle housing consolidation, economic opportunities, and other such resources.

In preparation for the housing consolidation phase, communities need further education on the full and integrated life cycle of the UISP as an instrument in the ISU and related to what this phase entails and the economic opportunities that may be created during this phase. It is proposed that the Municipality and IA will assist in educating and preparing the community at the appropriate time for the housing consolidation phase.

#### 5.10.4 Tenure Security

Administrative tenure must be appropriately linked to the applicable incremental levels/stages of beneficiation and must be offered to community members to lessen their concern regarding evictions.

Currently the residents of the informal settlements do not have tenure security and evictions are a looming threat. It is proposed that through the roll-out of the UISP, tenure arrangements including

administrative tenure appropriately linked to the applicable incremental levels/stages of beneficitation, be offered to community members to lessen their concern regarding evictions.

## 6 Case Study 3: George Municipality

### 6.1 The George Municipality (GM) Location and Context

---

**Location:** George Municipality is located in the Garden Route of the Western Cape, and is bordered on the west by Mossel Bay, and on the east by Knysna Municipality.

**Municipal area:** 5291 km<sup>2</sup>

**Number Informal Settlements:** George Municipality is home to over 36 informal settlements. The majority of the informal settlements are located in the area of Thembalethu –which is home to 24 informal settlements.

**Current Projects / Programmes Underway:** There is currently a UISP programme underway in Thembalethu George, for which an Implementing Agent (IA) (Zutari) is currently appointed and active.

**Categorisation of Settlements:** The settlement categorisation of George’s settlements in areas outside of Thembalethu was undertaken in 2014 as part of the National Upgrading Support Programme (NUSP). The approach to upgrading in Thembalethu is premised on in situ upgrading as far as possible as well as the development of additional suitable land portions within Thembalethu. This is to be done, in order to provide for enhanced serviced sites to households that must be relocated from in situ upgraded settlement areas.

**NGO appointed through ISSP:** SAWIC

**Settlements forming part of the NGO SLA:** 6 informal settlements within Thembalethu (unnamed and unspecified in the SLA). The settlements forming part of the NGO contract covered areas in Ward 9 and 12, namely Steybi-Steybi, Telkom, Dube, France, Mandela Village, and Dameni.

The context of the support offered through the ISSP came as a result of invasions of pockets of greenfields sites situated within Thembalethu that were intended to be used as destination sites for households requiring relocation as part of the overall programme. The effect of the rapid in-migration to Thembalethu has over the years caused a significant challenge to progress of the UISP.

The growth events could be simplified into two stages – invasions before COVID-19 and invasions thereafter. SAWIC was appointed to address the informal settlements that were known to exist prior to COVID-19.

**Settlement forming part of the Case Study:** 24 informal settlements were identified across Wards 9, 11, 12, 13, and 21 within Thembalethu.

Table 6.1 provides the full list of informal settlements in Thembalethu. Whereas the NGO SLA only included 6 settlement areas named above, their engagements extended beyond these 6 settlement pockets. Figure 6.3 shows the informal settlements in Thembalethu in George at the time of the inception of the UISP in 2010 and subsequent planning and implementation progress.

Figure 6.1 shows the expanded scope of informal settlement subsequent to the mass in-migrations commence in 2017 in relation to the initial scope of the UISP upon inception.

Table 6.1. Settlements per wards as identified by SAWIC

Ward Number	Informal Settlements name
Ward 9	<ol style="list-style-type: none"> <li>1. Blondie</li> <li>2. Dube (New invaded area)</li> <li>3. Ikapa</li> <li>4. Mdywadini</li> <li>5. Steybi-Steybi</li> <li>6. Telkom</li> </ol>
Ward 11	<ol style="list-style-type: none"> <li>7. Mfuleni (New invaded area)</li> <li>8. Mpoleni (New invaded area)</li> </ol>
Ward 12	<ol style="list-style-type: none"> <li>9. Allbricks (Old Portion)</li> <li>10. Dameni (New invaded area)</li> <li>11. Edongweni</li> <li>12. France (New invaded area)</li> <li>13. France (Old portion)</li> <li>14. Mandela Village (New invaded area)</li> <li>15. New Valley (New invaded area)</li> </ol>
Ward 13	<ol style="list-style-type: none"> <li>16. ABSA</li> <li>17. Erf 5088 (Kwanorhushe)</li> </ol>
Ward 21	<ol style="list-style-type: none"> <li>18. Bhekela (New invaded area)</li> <li>19. California (New invaded area)</li> <li>20. Genesis (New invaded area)</li> <li>21. Happy Valley (New invaded area)</li> <li>22. Nyamaland</li> <li>23. Red Cross (New invaded area)</li> <li>24. Robben Island (New invaded area)</li> </ol>

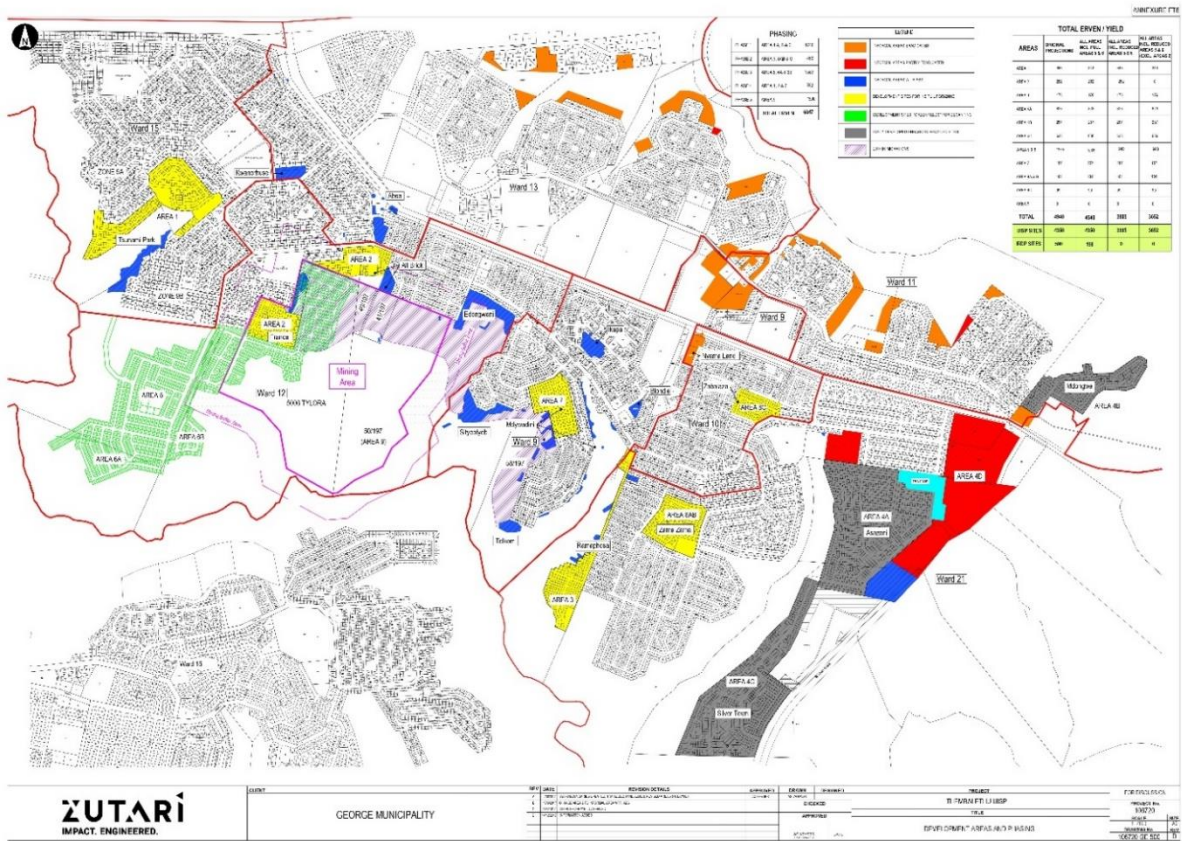


Figure 6.1. Thembalethu Informal Settlements (Source: Zutari, 2021)

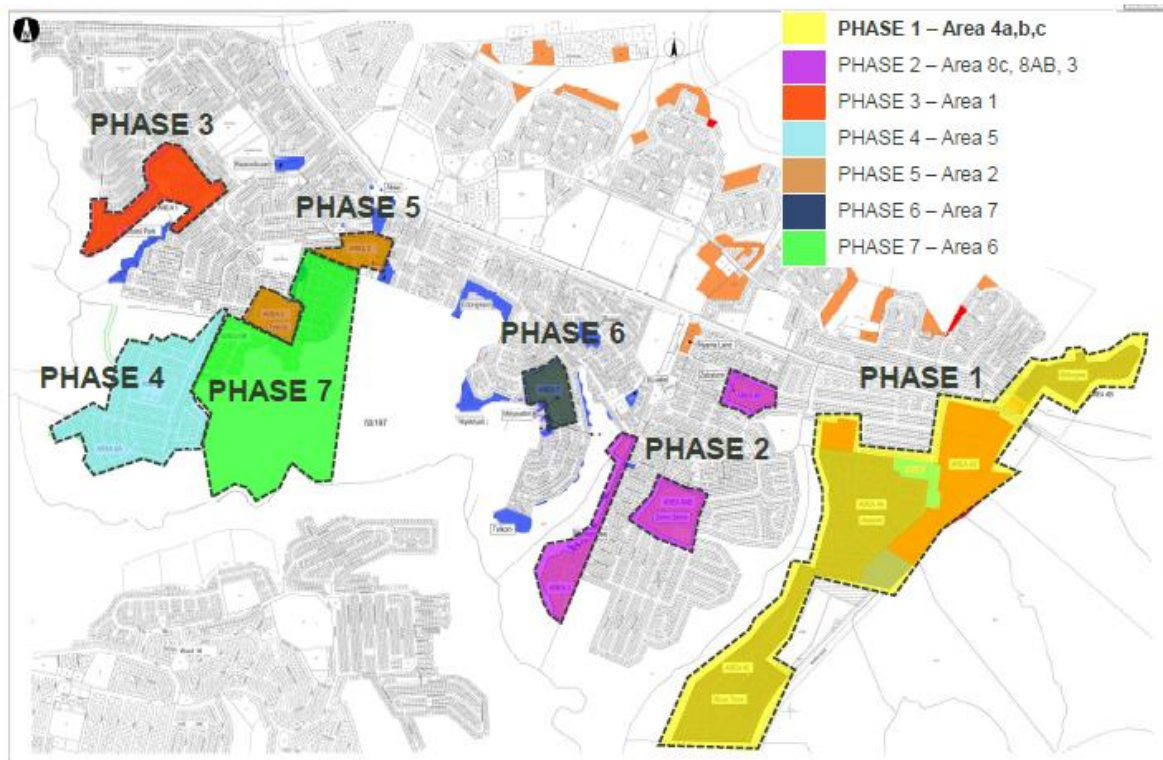


Figure 6.2. Thembalethu UISP Implementation Phases (Source: Zutari, 2021)





Figure 6.3. Thembalethu UISP Areas vs IS growth (Source: Zutari, 2021)

### 6.1.1 NGO Scope of Work

The services as per the NGO SLA is as follows:

- Milestone 1: Community based participatory planning for the 6 identified in formal settlements in Thembalethu
- Milestone 2: Institutional development, establishing and formalizing engagement structures
- Milestone 3: Capacity building workshops
- Milestone 4: Community succession plan

The scope was to be executed in selected settlements in Wards 9 and 12. 6 informal settlements within Thembalethu (unnamed and unspecified in the SLA). The settlements forming part of the NGO contract covered areas in Ward 9 and 12, were the identified as Steybi-Steybi, Telkom, Dube, France, Mandela Village, and Dameni.

## 6.2 Strategic Planning and Mainstreaming of ISU

---

### 6.2.1 Inclusion and mainstreaming in key municipal strategic planning documents

#### Inclusion of Informal Settlement Upgrading in Integrated Development Plan and Human Settlements Plan

The George Municipality Integrated Development Plan (GM IDP, 2017 – 2022) contains an integrated Human Settlements Plan (IHSP). The IHSP defines a Human Settlements Plan as a multi-year housing sector plan containing a short-term action plan and a medium to long term strategy for human settlements. The HSP focuses on the following objectives: housing demand; delivery constraints and impacts; co-ordination between housing strategies and policies; identification, prioritisation, and implementation of housing projects; quality and quantity of housing; budgetary requirements; housing programmes, typologies, and tenure options and lastly, best practice.

The key challenges faced by the human settlements sector are funding for bulk services and the lack of affordable vacant land. The IHSP therefore suggests investment in gap housing, rental stocks, and site-and-service sites as key strategies to address the affordability of housing (GM IDP, 2017:86).

#### Inclusion of Informal Settlement Upgrading in the Spatial Development Framework and Land Use Management Scheme

The SDF does provide detail regarding the state of George's informal settlements and its categorisation. The informal settlement areas are however highlighted on the Human Settlements and Areas for Incremental Upgrading Maps within the SDF (GM SDF, 2019:68-69).

The 2019 SDF maps out the areas designated for incremental upgrading but does not go into detail regarding the ways that it will take place. It does not specify the areas or informal settlements which will be relocated, but it does identify vacant land for development/housing projects. According to the George Municipality SDF (2019), there are public and privately owned, large and small parcels of land suitable for greenfield developments within the urban edge of George (GM, SDF 2019).

There are approximately 1400 vacant erven owned by landowners or developers who own more than two erven. Similarly, there are approximately 262ha commercial, industrial, and business land available within the urban edge. In both these instances, this land could be made available to the market (GM SDF, 2019:49).

#### Strategy and approach to informal settlement upgrading

The integrated human settlements plan as per the IDP, does not explicitly speak to informal settlement upgrading but the “upgrading of poorer areas” is an objective of the housing sector (GM IDP, 2017:62). The electrical master plan speaks to the formalisation of Thembalethu, specifically, through the UISP. Thembalethu is currently receiving the highest priority as there are 5000 informal homes without electricity (GM IDP, 2017).

According to the George Municipality SDF (2019), the HSP aims to focus on the densification of activity nodes, re-development of poorly serviced areas and investment in gap housing, rental stock, and site & service sites.

Municipality-wide plan for informal settlement upgrading and phased medium to long term pipeline

The integrated human settlements plan states that the HSP is a multi-year plan for the housing sector, containing short-term action plans and medium to long term (i.e., 20 year) strategic plans.

The UISP Thembaletu project is mentioned in the Municipality's 5-year implementation plan. The 2017/2018 annual target was to construct 80 top structures within the Thembaletu UISP project area, by 30 June 2018. Outside of the UISP project, 21 top structures in Protea Park and 30 top structures in Thembaletu Extension 42 & 58 were to be constructed by 30 June 2018 (GM IDP, 2017).

#### 6.2.1.1 Budgeting for ISU

UISP projects in the IDP between 2016 and 2021

The budgeting for and the number of UISP projects between 2016 and 2021 are not explicit. There is a Thembaletu phase 2 UISP project planned for 2016 – 2018 in Ward 10 however no budget has been assigned (GM IDP, 2017:123). There are also 2 electrification projects within UISP project areas, the first is in Ward 10/Zone 6, this is the upgrading of bulk services and the electrification of UISP area 8A. This was planned for the year 2017/2018. The second is in Ward 21, this is the electrification of UISP areas A3 and A8 and the upgrading of bulk supply to Thembaletu (GM IDP, 2017:123-132).

UISP projects identified in the MTEF between 2016 and 2021

The exact number of UISP projects that took place between 2016 and 2021 is not made explicit in the MTREF. It is assumed that UISP projects would fall under the “housing” category.

#### 6.2.1.2 Integration of ISSP Report

The current George Municipality Human Settlements Plan has not been made available however the Integrated Human Settlements Plan as contained in the IDP does not incorporate milestone reports produced through the ISSP. An updated HSP is currently under development and is set to include the pipeline plan for informal settlement upgrading.

## 6.3 Institutional Arrangements and Stakeholder Engagement

---

The George Municipality's Human Settlements Department (GM HSD) is responsible for informal settlement upgrading, together with the support of their IA. There is an on-going UISP project in Thembaletu in George, which has been in progress as far back as 2010. The Municipality has recently

established a task team where all directorates are represented, with a view to later extend this to communities as the Thembalethu UISP progresses. The Municipality also indicated that they have a land invasion unit in place.

The Municipality has also participated in the ISSP forum meeting and has had engagements with the province through this platform, which was first introduced to the Municipality through engagements with the ISSP unit members. There is a clear working relationship between the IA and the provincial stakeholders.

#### Stakeholders at a Municipal level

In addition to internal staff of George Municipality, the Municipality has an IA / multi-disciplinary consultant (Zutari) who provides support in the Upgrading of Informal Settlements Programme in Thembalethu. The Municipality has also received assistance from SAWIC who had been appointed by the WCG as part of the ISSP. In 2014/15, a NUSP project was undertaken, focused on updating the informal settlements Master Plan. This Master Plan was an excel spreadsheet only, therefore through the NUSP project the updating of this list, together with an assessment categorisation and upgrading plan process took place. The work undertaken in the NUSP project did not focus on Thembalethu as the UISP project was already underway, but rather on the development of a baseline understanding of the other informal settlements in George. It is understood that this document was adopted by Council but that no further work has been done to update it since.

## 6.4 Capacity to support programme/ project implementation

---

### 6.4.1 Municipal Resource Capacity

The Municipality has extremely limited internal capacity to deliver ISU, hence their appointment of an IA and its subsequent acceptance of the offer to use the NGO assistance through the ISSP. There are currently only two persons in the Municipality's human settlement department assigned to informal settlement upgrading.

The IA plays a key role in managing the UISP project on behalf of the Municipality, and additional support was accepted to be part of the NGO assistance through the ISSP. In the context of the growth of informality in Thembalethu and the formation of new informal settlements in areas that were to be allocated as destination sites as part of the UISP, these new settlements and growth of existing settlements did not form part of the current UISP project. As such, the NGO was tasked to address the settlements not currently addressed in the UISP (the work to be undertaken through the IA) and was appointed to undertake work with communities that did not form part of the UISP. This necessitated a close working relationship between the George Municipality, its IA, and the NGO, to ensure an informed, cohesive, and coordinated approach which did not come to fruition. Given that the NGO was to undertake work during the COVID-19 period, there was little trilateral engagement between the parties to facilitate for the co-ordination.

#### 6.4.2 Capacity Support offered through the NGO Framework

Having been introduced to the ISSP through engagements with the Provincial Department, the Municipality compiled an application to the WCG to form part of the ISSP, where this support would include 6 new (at the point of compilation) informal settlements within the area of Thembaletu (GM KSI, 2021). The work undertaken by SAWIC is seen to have added value given that the Municipality can use that data to re-visit their planning for informal settlement upgrading. However, it is critical that the Municipality play a more active role in the work undertaken by its service providers to ensure that the requisite information is shared between all relevant parties. Described in later sections, a coordinated approach to work undertaken with the community is especially critical given the community leadership and other forums at play in Thembaletu.

#### 6.4.3 Municipal Financial Capacity

Funding for informal settlement upgrading and specifically dealing with new (relative to the approved UISP project) households both pre- and post-COVID is especially challenging. The Municipality is in the process of compiling an Interim Basic Services Feasibility Report (GM KSI; Zutari KSI, 2021). The Municipality, due to a lack of resource capacity, has requested the assistance of the IA for the Thembaletu project to undertake this application (GM KSI, 2021). However, since this was not part of the original scope of work of the IA, it is unclear at this stage what the process is for payment of the IA. However, in order for progress to be made, these newer pockets must be addressed since the status quo lends itself to a broader blockage of the UISP project in Thembaletu.

The IDP (2017-2022) shows in the budget forward-based needs. Here UISP projects are budgeted for. Housing is a line item in ward 10 - The Thembaletu UISP project is in process and Phase 2 will commence shortly - with a budget of R0 for this line item. Electricity is another UISP line item with no budget assigned for upgrading of bulk services and the electrification of area UISP area 8A is planned for 2017/18. The same for the line item for electricity in Ramaphosa there is no budget assigned for the electrification of UISP areas A3 and A8 as well as the upgrading of the bulk supply to Thembaletu.

#### Funding for the capacity support offered through the ISSP

The NGO work undertaken in Thembaletu as part of the ISSP was not funded from the 3% of the UISP allocation for social facilitation since the work undertaken by the NGO was agreed to be a supplementary value addition to the work undertaken in the broader UISP programme for which the IA of the Municipality is responsible.

## 6.5 Community Participation

---

There are three main interventions in Thembaletu, each with different community engagement dynamics.

- In the UISP Project, (21 historical IS for approx. 4935 ESS): Beneficiary Liaison Committees have been established for all community members present at the time of this UISP project. These participants form part of a register and Social Compacts concluded with the respective communities

- In the ISSP (NGO) Community Capacitation Project: which included 6 IS communities not included in the existing UISP and
- IBS interventions: A Phase 1 and 2 were completed as the first interventions of the overarching UISP for the initial 21 IS. A 3<sup>rd</sup> Phase is currently being planned for expanded portion of the initial 21 IS plus new IS that have formed since substantial in-migrations since 2017 which does not form part of the evaluation period.

Community institutional arrangements (committees, forums, etc.)

When discussing the manner in which community engagements take place in Thembaletu, it is necessary to note the following forums:

- The historical Beneficiary Liaison Committees established in each of the historical IS for which the current approved UISP is being implemented in multiple phases (IBS plus UISP Phase 1-4 scope of upgrading)
- The George Community Forum
- The Informal Settlement Forum; and
- The Business Forum

The George Community Forum (or GCF) is a group of individuals based within George who have assumed a role of governance of informal settlement residents in the Thembaletu area, and as an entity has also recently registered as an NPC (Non-profit Company).

The formation of the GCF can be traced back (through media articles and provincial reporting – see Department of Transport and Public Works Vote 10 Annual Report 2019 /20) to protest actions relating to the roll-out of the Go George project (Public Transport). The research indicates that the GCF engaged in supporting the interests of the Taxi Industry and opposing any threats to the industry as a result of the introduction of Go George project phases (and in particular Phase 4A).

The manner in which the GCF was constituted, and whether this Forum was established through a democratic vote by the communities within the informal settlements in Thembaletu and particularly those where the NGO was active, remains unclear.

It is unclear whether the GCF has assumed a leadership role in the older parts of Thembaletu where Beneficiary Liaison Committees have been established as part of the UISP, or whether they have any clear membership from within the communities in both the older or new areas as no engagement with the residents of Wards 9 and 12 (which were part of the NGO scope) were possible.

An engagement was scheduled with the GCF, ISF, Business Forum and community leaders from each of the 6 informal settlements forming part of the NGO scope of work. However, there was a call for adjournment of the stakeholder engagement scheduled as part of this evaluation at the request of the GCF members present. The GCF indicated that according to their protocol, the meeting should have been scheduled through their office, and as such the meeting with ‘their stakeholders’ (the community members from the settlements) could not proceed until the GCFs protocol was followed.

The GCF also wrote a letter to the Premiers Office requesting clarity on the ISSP Evaluation and made the evaluators aware of the letter by providing a reading of its content. The evaluators, upon adjourning the meeting, then indicated that the matter would need to be discussed with the WCG and the George Municipality for a consensus to be reached on the way forward for the ISSP Evaluation as in terms of a response to the letter issued.

The Informal Settlement Forum is a forum constituted by members residing in the informal settlements within the Thembalethu area. The members of the GCF have indicated that the ISF as well as the Business Forum are specific portfolios within the broader GCF structure. The full organogram of the GCF and its sub-structures is not available at this time.

#### Municipality-Community Relationship

Based on the available information, the Municipality aims to have more engagements with the communities in informal settlements but are severely constrained by human resource challenges. The UISP IA are also awaiting the resolution on how to proceed with the UISP project and in particular the constraints being put to bear by the GCF, and as such the UISP project as a mechanism to engage with communities and to tap into the capacity offered by the IA in terms of logistical and administrative support are not presently available.

The role of the NGO appears to have supported the Municipality to improve their understanding of newer settlements but does not appear to have had an effect on improving relationships between the Municipality and community since the Municipality were not able to participate in most of the sessions held by the NGO due to the COVID-19 pandemic.

#### Social Compacts

- Social Compact with historical 21 IS as part of the approved UISP: These social compacts were concluded on the bases of the beneficiation enumeration surveys conducted at the time, which have by now become compromised due to progressive further in-migrations to these settlement areas
- Additional social compacts are currently under development as part of the work undertaken by the NGO. The social compacts are currently under review by the Municipality. The signatories to the Compact are set to include the councilor, the ISF chairperson, the member of GCF and the beneficiaries, and the ward committees.

## 6.6 Basic Services and Community Facilities

---

Informal Settlements in Thembalethu are at various stages of access to services. The provision of shared interim basic services (S1:5 and W1:20 HH ratio) to the historical 21 informal settlements in Thembalethu is being dealt with through the UISP, whereby the roll-out is phased. Phases 1 and 2 has been completed. A Phase 3 IBS being planned for expanded portions of the historical 21 IS as well as the newer settlements (see Figure 6.3).

With regard to the provision of formal permanently enhanced serviced sites (ESS) the approved UISP has now progressed to Phase 1 & 2 completed (2202 ESS) and Phase 3 (343 ESS) now being implementation ready (see Figure 6.2).

## 6.7 Tenure Security

---

Part of the UISP beneficiation deliverables is the provision of appropriate forms of security of tenure:

- Registered beneficiary HH in informal settlement that are recognized as part of the UISP (UISP Phase 1-2): such beneficiaries recognised as being part of the UISP as recorded in the respective social compacts with historical 21 IS and the official beneficiation database
- Registered beneficiary HH relocated to allocated Enhanced Serviced Sites (ESS in UISP Phase 3): such beneficiaries are all then further provided security of tenure in the form of a Commodatum Agreement (a form of gratuitous permission to occupy the enhanced serviced sites and for the erecting of an informal structure under certain conditions).
- Approved subsidised beneficiaries living on ESS in UISP Phase 4 (housing consolidation): such beneficiaries will receive full transfer of the applicable sites.
- Households living in newer and expanded IS: no information in this regard is available yet.

## 6.8 Housing Consolidation

---

In terms of the approved UISP housing consolidation (UISP Phase 4) has progressed in phases to approximated 700 hundred top structures completed on the 2202 ESS, developed in Phase 1 & 2 of UISP Phase 3.

There is little evidence of any engagements around top structures or any housing consolidation activities in the six newer settlements in wards 9 and 12 as being provided. The settlements are new and planning for these settlements has not yet taken place.

## 6.9 UISP – Progress over the period – reflections

---

The informal settlements in Thembaletu are covered as part of the UISP project. However, the growth and establishment of new informal areas and informal settlements on ‘greenfields’ land has created blockages to the overall roll-out of the UISP. The UISP project, which has a long history in its efforts to comprehensively upgrade the settlements there requires a collaborative effort from all stakeholders in order to enable the project to continue.

The work undertaken by the NGO has produced documentation which can be used in the planning for these new areas, which may be able to contribute to the overall advancement of an overarching and integrated UISP interventions.



## 6.10 Conclusions and Recommendations

---

The data showed that the social development and building social cohesion and trust is a non-linear process. Working on the ground in the community, exposes other needs and issues and areas for capacity building. Collaboration from all stakeholders is required to move forward progressively. Identifying and establishing clear roles and responsibilities for the municipal service providers can assist in this endeavour. Furthermore, the establishment of inter-departmental, transversal institutional arrangements can help to ensure sustainability, continuation, and improved ISU implementation processes. The forum and committee dynamics within Thembaletu need to be better understood in order to proceed fairly with the UISP projects in George. The following recommendations build on from the findings discussed in this chapter.

### 6.10.1 Institutional Arrangements and Stakeholder Engagements

Draft a governance Framework to establish an integrated functional local partnership for the planning and implementation of ISU and the required forums and role-players.

Where the Municipality has more than one service provider assisting in the implementation of ISU through the UISP (with an IA) and with ISSP support, there needs to be clearly defined processes for introducing all parties (this must be done during the inception or pre-inception phase of either party beginning their work in the Municipality). Clear lines of communication need to be established, a reporting procedure, and roles and responsibilities, and scope of works must be clearly defined and agreed by all parties. An organogram can be drawn up to structure the institutional arrangements and reporting lines between Municipality, its appointed IA, and the NGO.

Prioritise the enhancement or restructuring of the current Project Steering Committee (PSC) to a Programme Steering and Governance Committee structure (PSC)

It is recommended that consideration be given to enhance/restructure the current Project Steering Committee (PSC) to a Programme Steering and Governance Committee structure (PSC) with 4 Sub-committees focused on:

- Technical Planning
- Community Based Public Participation (CBPP), Stakeholder Management and Communication
- Land Management, Law Enforcement and Tenure
- Community Development, Sustainable Livelihoods and Social Amenities

The following key stakeholders are recommended to be represented on the PSC:

- Municipal Line-function Directorates
- WCDHS
- Zutari as the IA
- Municipal Council Portfolio Committees
- Affected Ward Councillors

- Representative Informal Settlement Forum (as discussed below)

These cross-departmental institutional arrangements have been proven to ensure sustainability, continuation, and improvement but will require full mandated recognition within the Municipality and thus appropriate incorporation into its Integrated Human Settlements Plan (which is currently in the process of being updated). ‘

#### 6.10.2 Capacity to support programme / project implementation

Additional experienced human resources are required within the George Municipality, particularly the Human Settlements Department, in order to support existing staff to ensure appropriate coordination and oversight of its service providers (IA and NGO).

Existing staff have indicated that there is not sufficient capacity within the human settlements function. Therefore, experienced human resources are required within the George Municipality, particularly the Human Settlements Department, in order to support the existing human settlements team to ensure appropriate coordination and oversight of its service providers (IA and NGO). Thus, assisting improved and optimised support in the future. Once accordingly financially resourced, the Municipality can fill positions that are outlined in an organogram.

#### Capacitate the Municipality to play an active role in ISU

It is critical that the Municipality play a more active role in the work undertaken by its service providers. This will assist in capacitating the Municipality as well as building relationships with informal settlement residents whom the service providers are contracted to work with.

The relationship between the Municipality and its service providers must be transparent and ensure that information is shared. A coordinated approach between the Municipality and its service providers is required for the work undertaken with the community. This is especially critical given the community leadership, representative structures, and other forums at play in Thembaletu. Reporting processes and regular meetings are a means to enable streamlined communication and a better understanding of the shared working environment.

#### Capacitate the Human Settlements Department around appropriate funding application processes

This speaks to both the need for human resources in the Municipality as well as knowledge and skills around the various funding mechanisms that are available to the Municipality and the private sector. Thus, a re-introduction to the supporting documents, particularly the 2019 ISSP guidelines can assist in capacitating this sector of the Municipality with the necessary knowledge around the funding pathways towards ISU (various UISP funding instruments in the Housing Code). This can be accomplished through workshops/online webinars or seminars provided through the ISSP or more directly provided in George at the municipal office with the necessary staff in attendance. It is important that all service providers contracted by the Municipality or by Province, to assist the George Municipality in ISU processes are also in attendance at these workshops.

The development of a municipality-wide ISU Strategy including all informal settlements in George Municipality should be developed and integrated into the IHSP.

George Municipality has a number of informal settlements outside of Thembalethu. Thembalethu includes the highest concentration of informal settlements, and the Municipality has in recent years focused its ISU interventions on Thembalethu. However, the remaining 12 (estimated) informal settlements also require attention and planning toward upgrading. The last work conducted in these informal settlements was as part of the National Upgrading Support Programme (NUSP) in 2014. Despite being adopted by Council, follow on work from this report did not ensue and it remains the main reference for the status quo in these informal settlements. As such, it is recommended that this study be updated and a comprehensive pipeline inclusive of all informal settlements be developed for the George Municipality.

### 6.10.3 Community Participation and Empowerment

Investigate, understand, and improve the complex community institutional arrangements

Community institutional arrangements have become highly complex in George Municipality, particularly in Thembalethu since the recent extensive and progressive growth and densification of all existing informal settlements as well as the in-migration into vacant land earmarked for the approved UISP (last 2-3 Years). An evaluation of the ISSP from the community's perspective was challenging. The ISSP Evaluators scheduled an engagement with selected community members and representatives of leadership structures. Whilst there was engagement with the members of the informal settlements, those in attendance declined to respond to the group interview questions. At the request/instruction of the GCF, the meeting was to be rescheduled to allow for the GCFs process to be followed.

However, given that the GCF as a Section 21 Non-Profit Company (NPC), and the variability of the members of the GCF as bona fide residents of the informal settlement under study, the evaluation team took guidance from the Client and Municipality in terms of how to proceed. Through the appropriate channels, it was later agreed that further engagement with the GCF would be championed by the Municipality.

- As such, it is strongly recommended that the Municipality investigate the power relations in Thembalethu, specifically between the GCF and the residents of informal settlements.
- Secondly, it is recommended that a municipal-led community committee be constituted from those who are resident in the informal settlements only, with some involvement of the Ward Councilor where necessary.
- Towards this end and considering the Thembalethu-wide (multiple informal settlements) and thus the integrated nature of the planned ISU interventions across all the settlements, it is recommended that the process to establish an overarching Informal Settlement Forum representative of all the individual settlement Beneficiary Liaison Committees, be facilitated by the IA as a matter of urgency, to ensure that a functional platform for the community based participatory planning and communication (incorporation into the afore-improved/restructured PSC) recommended, can be ensured.
- It is further recommended that a spokesperson (as mandated by the IS Forum) have direct access to the Municipality or its IA and are empowered to work directly with the Municipality.

Information around ISU needs to be disseminated through the informal settlement for the IS residents.

The Province can provide brochures and pamphlets to the NGO that can be distributed to the community members. These are helpful to explain the process of community participation. Other information relating to capacity building and ISU processes can be dispersed in this manner too. The establishment of an appropriate Thembaletu UISP Website will also provide an informative and interactive platform. This platform can be managed by the IA on behalf of the Municipality.

#### 6.10.4 Basic Services and Community Facilities

Establish a facility for community members and municipal officials to meet and where community members can work on housing and services matters related to ISU.

The IA has for a number of years provided/maintained a community liaison facility and service before and during the construction phases of the UISP Phase 1 & 2. This facility also served as a meeting venue for Beneficiary Liaison Committees and other related community-interfaces. It could be recommended that this be repeated for the way forward.

#### 6.10.5 Housing Consolidation

Capacitation around housing consolidation is needed

In preparation for further housing consolidation phases in the UISP, the remaining informal settlement communities need further education on the full and integrated life cycle and incremental phasing of the UISP as an instrument in the ISU and in particular around what this phase entails and the economic opportunities that may be created during this phase. It is proposed that the Municipality and IA will proactively assist in educating and preparing the community at the appropriate time for the further housing consolidation phases.

## 7 Case Study 4: Knysna Municipality

### 7.1 The Knysna Municipality (KM) Location and Context

Location: The Knysna Municipality is in the Garden Route District of the Western Cape. The area comprises 11 wards that stretch from Swartvlei in Sedgefield in the West to Brackenhill in the East.

Municipal area: 1059 km<sup>2</sup>

Number of Informal Settlements in Knysna: Approximately 30

Current Projects / Programmes Underway: unknown

Categorisation of Settlements: The settlements forming part of the study include Slangepark (B1), Makhaphela (B1), Beverly Hills (B1), Skool Gaaitjie (A), Onderste Gaaitjie (TBD).

NGO appointed through ISSP: DAG

Settlements forming part of the NGO SLA: In Smutsville, Sedgefield: Slangepark, Makhaphela, Beverly Hills, Skool Gaaitjie, Onderste Gaaitjie. There was a separate SLA for Witlokasie in Knysna.

Settlement forming part of the Case Study: Slangepark, Makhaphela, Beverly Hills, Skool Gaaitjie, Onderste Gaaitjie and Lankgewag. Figure 7.1 shows the settlements within Smutsville that were included in the case study (including Lankgewag informal area).

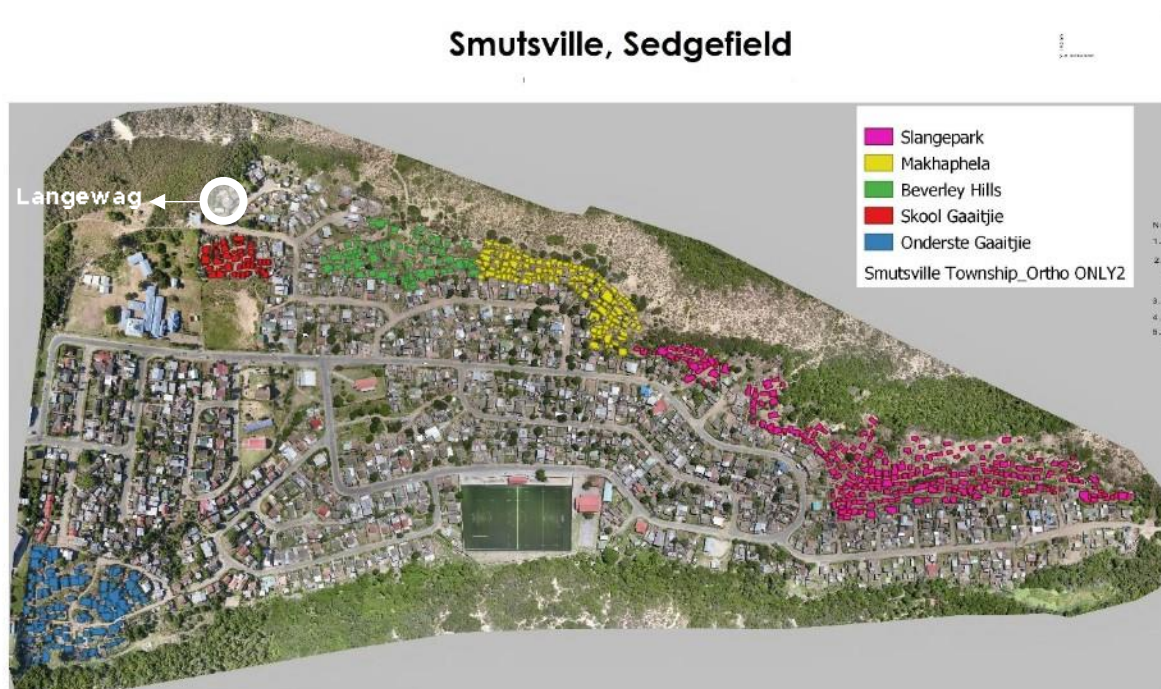


Figure 7.1. Smutsville, Sedgefield informal settlements map showing the different informal settlement pockets. (Source: adapted from DAG after interview with Frasier Engineers, 2021).

### 7.1.1 NGO Scope of Work

Based on the SLA, the scope of work was as follows:

- Community Capacity Building Program
- Skills Transfer for Participatory Upgrading Program
- Sustainable Livelihoods Program

The four components of the NGO's work are introduced below. A more detailed description can be found in DAG's Close-Out report.

#### Component 1: Social Facilitation

- Report on the Establishment of Site Based Project Steering Committees
- Report on Finalized Implementation Plan
- Report on community led operations and maintenance of basic services
- Communication Plan for interim basic service (IBS) delivery rollout

#### Component 2: Enumeration

- Enumeration household raw data for three settlements
- Enumeration report for three settlements
- Report outlining protocols and systems for updating household data
- Settlement Growth and Management Plan Report

#### Component 3: Community Action Plan

- Community asset map, stakeholder mapping and community action plan report
- Workshop reports with regards to tenure and top structure options
- Livelihoods Workshop Report

#### Component 4: Overall Project Management

- Monthly progress reports submitted to the Province
- Fortnightly progress reports submitted to the Province
- Quarterly progress reports including financial reporting
- Close out report

## 7.2 Strategic Planning and Mainstreaming of ISU

### 7.2.1 Inclusion and mainstreaming in key municipal strategic planning documents

#### Inclusion of Informal Settlement Upgrading in Integrated Development Plan and Human Settlements

The Knysna Municipality IDP (KM IDP, 2017) contains an Integrated Human Settlements Plan (IHSP). The IHSP gives an overview of Knysna's human settlements sector. The key challenges highlighted include inadequate funding, limited availability of land, inadequate capacity of existing bulk infrastructure, lengthy approval processes, limited co-operation and integrated planning between stakeholders, unreasonable demands from beneficiary communities, limited capacity of local contractors.

The IHSP discusses the future of human settlements planning in Knysna. The HSP aims to serve as a planning, facilitating, and measuring instrument for housing delivery. This will conceptually illustrate how housing projects could contribute to integrated human settlements and identify pilot projects, policy, budgets, and land options for the Municipality for the next 5 years.

#### Inclusion of Informal Settlement Upgrading in the Spatial Development Framework and Land Use Management Scheme

The 2020 Knysna Municipal SDF (KM SDF, 2020) does not name all the informal settlements nor categorise the informal settlements in the Municipality. However, the KM SDF (2020) does mention the upgrading projects in the pipeline over a 10-year period. As indicated in the SDF and shown in the table below, between the years 2018 to 2028, 3102 units in Knysna's informal settlements are projected to be upgraded. However, the detail regarding informal settlement upgrading to take place in Sedgefield is yet to be confirmed (KM SDF, 2020:60).

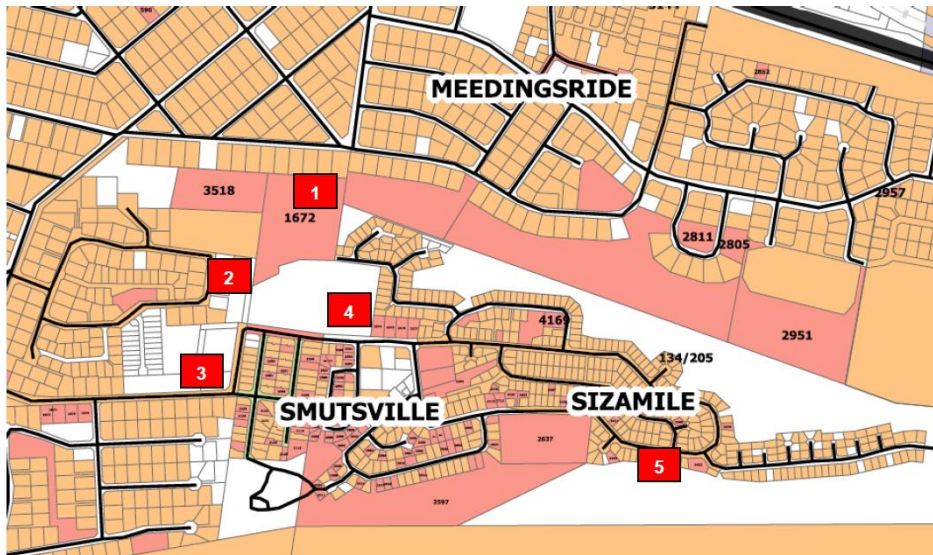
Table 7.1. Showing the urban housing and land need projections from 2018 – 2028 (Source: KM SDF, 2020:60)

URBAN HOUSING AND LAND NEED PROJECTIONS 2018 - 2028							Delivery Pipeline	
Settlement	Total new households between 2018 - 2028	2016 Average Household Size	Total Land Required by 2028 for New Households (@ 25 du/ha)	New houses needed per annum 2018 - 2028	Households likely to need state assistance per annum (83%)	Backlog (IDP Review 2018/19)	Informal Settlement Upgrading in the pipeline (Est)	Existing potential for new state-assisted units to be developed (Est)
Knysna	3728	2.8	149	373	309	7466	3102	4876
Sedgefield	749	2.4	30	75	62	393	TBC	385
Karatara	56	3.7	2	6	5	275		754
Rheenendal	228	3.2	9	23	19	705		1324
Buffelsbaai	4	3.2	0	0	0	0	0	0
Barrington						272	0	0
Other						40	0	0
<b>TOTAL</b>	<b>4764</b>	<b>2.9</b>	<b>191</b>	<b>476</b>	<b>395</b>	<b>9151</b>	<b>3102</b>	<b>7339</b>
<i>Total state-assisted demand incl backlog vs delivery pipeline by 2028</i>							<b>13105</b>	<b>10441</b>

The KM SDF (2020) highlights priority public sector projects associated with human settlement development. The specific areas mentioned according to the informal settlement upgrading projects

include Bloemfontein, Ethembeni, Happy Valley, Hlalani, Hornlee, Vision, White Location, Heidevallei and Xolweni. (KM SDF, 2020:96).

The KM SDF (2020) does not specify how upgrading will take place; identify settlements for relocation nor does it identify suitable land for relocation requirements. According to the HSP (2015), Sedgefield requires approximately 5.2ha of land to address its current housing demand and an additional 3ha for a secondary school (KM HSP, 2015:54). Figure 7.2 below identifies suitable land located in Sedgefield for greenfield developments and infill public housing (KM HSP, 2015:62).



- 1** Erf 1672, Sedgefield (municipal land)
- 2** Erven 3922 to 3927, and 3860, Sedgefield (privately owned land)
- 3** Proposed school site (privately owned land)
- 4** Remainder Portion 3818, Sedgefield (provincial land)
- 5** Portion 134 of Farm 205, Sedgefield (municipal land)

Figure 7.2. Showing the suitable land for greenfields and infill public housing in Sedgefield (KM HSP, 2015:62)

Strategy and approach to informal settlement upgrading and Municipality wide plan for informal settlement upgrading and phased medium to long term pipeline

Based on the planning documents and engagements held, there seems to be a limited appreciation for a strategic orientation to incremental upgrading and community-based partnerships. The Municipality themselves have cited the institutional arrangements and limited human resources as a key drawback (KM KSI, 2021).

The strategies of Knysna Municipality are aligned to National and Provincial legislation as well as the Municipal SDF of 2020 and the Economic Development Strategies (EDS) outlined in the Knysna Human Settlements Plan of 2015. Broadly, these strategies aim to eliminate poverty and reduce inequality by 2030. More specifically, the strategies aim to have people living closer to work, better public transport, and more job opportunities near informal settlements (KM HSP, 2015). Therefore, the KM HSP of 2015



focuses on the following key strategies: identifying and freeing up land within well located potential growth areas; creating optimal neighbourhood strategies; densification and creating a housing ladder.

The KM HSP (2015) also states that key issues regarding informal settlement upgrades are, not everyone qualifies for a service site/housing subsidy and even with the UISP and provision of serviced sites, not everyone can be catered for due to the lack of available land.

According to the HSP (2015) the main informal settlements in Sedgefield are Beverly Hills, Slangpark and Onderste Gaaitjie. Beverly Hills and Slangpark are situated on unstable dune areas, while Onderste Gaaitjie is situated on an old dump site which is unsuitable for human settlements (KM HSP, 2015:44). Specialist studies are required for all three settlements to determine whether any households could be accommodated on site, the number of households that could be accommodated and the number of households which will need to be relocated.

According to the Knysna Northern Areas Study (2014), the KM (2015) and the WCDHS: Shack Count Analysis (2014), the total number of informal structures including backyard dwellers, was 5 251 (this was between the year 2014 and 2015). Of the 5 251 informal structures, 245 informal dwellings were located in Beverly Hills; 151 in Slangpark; 125 in Onderste Gaaitjie and 36 in Skool Gaaitjie counted in the year of 2014 (KM HSP, 2015:42).

According to the HSP (2015), within Knysna, 1191 serviced sites have been approved, 309 sites have been approved for top structures and 882 sites are awaiting approval for top structures. These sites are part of the UISP and are located in the following informal settlements: Nekkies East, Dam-se-Bos South, Ou Pad, Happy Valley, Ethembeni, Hlalani, Edameni, Bloemfontein and Xolweni (KM HSP, 2015:81). The UISP project in Sedgefield's housing pipeline is located on the remainder school site (remainder portion 3813). Informal structures are located on the site and 84 units in the form of 2 storey semi-detached housing is proposed. The proposed year of implementation was 2016 – 2018 (KM HSP, 2015:96).

#### 7.2.1.1 Budgeting for ISU

UISP projects in the IDP between 2016 and 2021

The IHSP, contained in the IDP (2017 – 2022), states that the HSP focuses mainly on the Breaking New Ground (BNG) Policy but makes provision for other housing options such as rental units, social housing, and affordable housing.

The UISP projects planned for Knysna are located in wards 1, 3, 4, 6 & 11, these projects were set to take place in 2017 – 2018. There's a total of 420 low-cost housing units planned for this timeframe as part of UISP projects. The 2017/2018 annual target is 937 units, this includes servicing sites and top structures and is not specific to UISP projects only. Housing projects planned for 2016 and beyond 2018 is not explicitly stated in the IDP.

The KM IDP (2017 – 2022) outlines the following housing opportunities that were successfully implemented during the 2016/17 financial year under the Vision Contract: 226 serviced sites, 200 Platforms 200, 200 retaining walls, 150 Foundations, 60 out 165 top structures completed, and 806 PRT service sites.

UISP projects identified in the Medium-Term Expenditure Framework (MTEF) between 2016 and 2021

The MTEF does not consistently specify the amount of UISP projects underway. Human settlements projects are generally defined as “housing” projects. In the 2018 – 2019 and 2019 – 2020 MTEF, the Sedgefield ISSP project is mentioned as capital projects with budgets of R4 000 000 and R6 000 000, respectively. The Knysna Vision UISP project is also mentioned in the 2018 – 2019 MTEF as a capital project with a budget of R6 000 000.

#### 7.2.1.2 Integration of ISSP Report

Most of the available strategic planning documents predate the work that was undertaken by the NGO, thus the assessment of integration and mainstreaming of ISSP outputs and outcomes will need to be taken into account through next iterations / generations of municipal plans.

During the enumeration process, the nature of the qualification profile of the households were established. Through this process, the data revealed through the enumeration process could then be used to guide the planning for different housing typologies (DAG KSI, 2021).

### 7.3 Institutional Arrangements and Stakeholder Engagement

---

#### Engagement internal to Municipality

Over the last 4 years, there have been significant changes to the staff compliment in the human settlements department at the Municipality. The changes in leadership and staff have also reduced the institutional knowledge of staff actively participating in the human settlements space (KM KSI, 2021).

The 2017 KM IDP highlights “Limited co-operation and integrated planning between stakeholders” as a key challenge. This has been supported through the stakeholder engagements, where the absence of an inter-departmental / transversal working unit in the department significantly inhibits the coordinated planning for all human settlement projects, including informal settlement upgrading.

A suggestion has been put forward by the Municipality that a transversal structure be set in place for human settlements as a whole, with a specific sub-committee dealing with informal settlements (KM KSI, 2021). There is evidence for collaboration between the Knysna Municipality’s Human Settlements Department with the Environmental Department in respect of informal settlements, and the Environmental Department currently have an on-going relationship with the Informal Settlement Committee in Sedgefield (the Smutsville Informal Settlements Forum) as part of a dune rehabilitation project (KM KSI, 2021). There is also some evidence of collaboration between the Environmental Department and the Planning Unit. Engagements and arrangements are reported by the Municipality to be ad-hoc and a strategic approach is largely absent or not clearly understood with requisite buy-in from all departments (KM KSI, 2021).

#### Municipality-Province engagements

There is engagement with the Municipality with the Regional Implementation Support Team, who demonstrate an awareness of the informal settlement projects in Sedgefield and Witlokasie. Based on

engagements held with the Municipality, there has been limited interface between the Municipality and the ISSP Unit (KM KSI, 2021).

#### Stakeholders at a Municipal level

The Knysna Municipality has appointed Fraser Engineering for the implementation of IBS in Sedgefield. The service provider focused on the settlements Slangepark, Makhaphela, Beverly Hills, Skool Gaaitjie, Onderste Gaaitjie (Fraser KSI, 2021). The Municipality also received assistance as part of the ISSP program from an NGO (DAG) to undertake Community Capacity Building Program, Skills Transfer for Participatory Upgrading Programme and a Sustainable Livelihoods Programme as indicated above.

The reporting for the IBS project appears to have taken place mainly through the Technical Services Department. Whereas the NGO reported directly to Province, the changes in leadership in Knysna also impacted the efficacy of reporting, both of the NGO and the consultant. There was strong working relationship established between the consultant and the NGO, demonstrating the importance of a collaboration between stakeholders, and also highlighting the lack of capacity and involvement of the Municipality.

## 7.4 Capacity to Support Programme/ Project Implementation

---

### 7.4.1 Municipal Resource Capacity

There is an appetite from officials to learn more about the ISSP and its tools, indicating a need for knowledge dissemination and cross-municipal learning exchanges. There is a need for improved understanding of the UISP at a municipality-level. Aside from attendance at ISSP forums and similar, there appears to be a need to reintroduce ISSP to municipalities at a transversal municipal level, and to ensure that in instances where officials are attending the ISSP forums, for example, that there is a feedback loop to other officials. There is, however, a resource deficit within the Municipality. Knysna's Human Settlement and specifically informal settlement function has been impacted significantly by changes in staff, which has an influence on the roll-out of the ISSP project since continuity of resources and institutional memory is inhibited (KM KSI, 2021).

### 7.4.2 Capacity Support offered through the NGO Framework

Perspectives offered by the Municipality indicated that the NGO enabled a marked strengthening of the relationship with the community, in turn mobilising community capacity for upgrading project and initiatives (KM KSI, 2021).

### 7.4.3 Municipal Financial Capacity

Although no data was gathered through the interview process with regards to the Municipalities financial capacity to support the programme, the IDP (2017-2022) speaks to planning for housing delivery for 2017/2018. It has been recorded that the planning was obtained from the WCDHS for a UISP project in Smutsville.

The KM IDP (2017) further references the construction of 50 low-cost housing units in Ou Pad as part of the UISP project which was underway in 2017/2018. The construction of 40 low-cost housing units in Hlalani as part of the UISP project for which in 2017/2018 the application for the construction had been approved by the DHS (KM IDP, 2017). It was noted that construction would start that year. For the year of 2017/2018, the IDP notes that a number of areas in ward 4 were currently being serviced and prepared for the construction of low-cost housing (KM IDP, 2017:198).

## 7.5 Community Participation

---

Community institutional arrangements (committees, forums, etc.)

The Smutsville Informal Settlement Forum (SISF) forms the leadership structure for the areas under study in the evaluation. The forum pre-dated the involvement of the NGO but benefited from the work undertaken through the training and capacity building initiatives. The SISF have indicated that they are actively involved in contributing to the IDP process, but at this stage they do not have a seat on the ward committee and are working toward this. The SISF have also indicated that they attended IDP forum meetings and have intentions to continue doing so (SISF KSI, 2021).

Whilst the SISF is the only leadership forum for the Smutsville settlements (including Lankgewag), the SISF members and the broader community are affiliated with other organisations such as Gift of the Givers, and Asivikelane.

Role of the NGO in establishing community leadership structures and enhancing community engagement

The community as represented by the SISF, despite initial reservations, came to be receptive of the work undertaken by the NGO. Reflecting on the initial stages of DAGs involvement, the community expressed that they might have benefited more from the collaboration had that trust already been established. This demonstrates the fact that building trust between a service provider and community is a part of the process, takes time and patience, from both parties. It is a necessary step in the programme.

The community demonstrated an appreciation and understanding of the development process, the interaction between development decisions and the environmental conditions, and the broader policy context of the UISP. The community also expressed that the work undertaken as part of the NGO effort helped them to build confidence in their personal abilities, and to view themselves as equals and partners in the development process (SISF KSI, 2021). There is a need for more consistent engagement with the Municipality, which can currently be seen as inhibiting the progress of community efforts to play a bigger role in upgrading processes.

Municipality-Community Relationship

There is limited engagement between the Municipality and community, and there has been a call from both parties to strengthen this relationship. The distance of the Smutsville community from the centre of Knysna has been cited as a potential challenge, where closer spatial proximity of the community and municipal officials may serve to improve the relationship and yield better responsiveness. The

community has expressed their perception that there is a need for constructive skills development and training of the UISP at the municipal level – to improve the update of concepts such as incremental upgrading. From the community’s perspective, they now see themselves as partners, and feel confident in their abilities to engage with the Municipality and other stakeholders. They also derive value from the presence of the Municipality and other government stakeholders as well as the exchange that took place between Knysna and Mossel Bay ISFs. This points to a need for improved availability and capacity of officials to be present during engagements, and the desire of the community to be part of a continual learning process and an active participant in the upgrading conversation.

### Social Compacts

At the time of writing, a social compact is not yet in place for these settlements.

## 7.6 Basic Services and Community Facilities

---

In Sedgefield, an Interim Basic Services (IBS) project was undertaken in the Municipality. This included the provision of basic services (water and sanitation) for 600 structures. However, rapid growth of the settlement means that there are now over 900 structures. The IBS project included the connection of toilets to existing water mains, as well as standpipes and wash basins. Every toilet has at least one tap, and every second or third toilet had a wash basin included. There is some access to electricity, but the extent of coverage is not fully understood. There have been applications submitted for specific settlements, but the status is not known. The installation of infrastructure is also problematic as consequence of the topographic factors as well as the presence of the settlements on dunes.

A need for appropriate service options was also identified, exploring alternative and robust materials for the construction of such infrastructure (Fraiser KSI, 2021). This highlights an opportunity to connect municipalities and the private sector to work undertaken as part of the BLC, and perhaps the need for further research or consolidation of research on alternative and appropriate servicing of informal settlements.

The operation and maintenance of the toilet facilities are a big concern, whereby in the first instance there is no established channel to the Municipality for reporting faults or other Operations and Maintenance issues and concerns, despite this being raised by the NGO and community as a need at an early stage of implementation.

The community have reported that of the approximately 150 toilets that have been installed, only about 50 are presently functional (SISF KS, 2021).

Again, in the specific case of Knysna, it appears that the spatial location of Sedgefield relative to the municipal office, as well as a poorly coordinated ISU response both from a strategic and operational perspective, inhibits effective service delivery.

## 7.7 Tenure Security

---

A community land register has been put in place by the NGO and community. The land register information is held in the ownership of DAG and only the community member assigned to that particular project has access to the database and can thus update it with the information. A publicly available database with the names of the residents is available to the community. This land registers provides the community with a moderate level of security as they feel based on experience with law enforcement that if households are listed on this register, they will not be evicted. A listing on this register is accompanied by the land occupancy certificate, although there is presently no evidence that the Municipality has issued this certificate.

## 7.8 Housing Consolidation

---

During the enumeration process, the nature of the qualification profile of the households were established. Through this process, the data revealed through the enumeration process could then be used to guide the planning for different housing typologies (DAG KSI, 2021).

## 7.9 UISP – Progress over the period – reflections

---

Of the 6 pockets of informal settlements in Sedgefield (including Langewag) 5 have been covered through the IBS project undertaken between October 2017 and July 2020. Langewag was not part of the IBS as it was not in existence when the IA began their work in 2017 (IA KSI, 2021). The introduction of an NGO during this period greatly assisted with the implementation of these toilets as the NGO was able to assist with the facilitation and negotiations amongst community members, also encouraging their inputs into the process. Whilst the IBS project did not include the sixth settlement, the work undertaken by the NGO was inclusive of all settlements and this can be seen to have supported community cohesion amongst the community.

The SISF also demonstrate a willingness to champion upgrading progress from their side. They are aware that the results of a land audit (currently underway and undertaken by DAG) will aid in developing future plans for upgrading. The community is also championing the submission of the relevant applications to take projects forward, including the those for IBS and electricity.

## 7.10 Conclusions and Recommendations

---

It is evident that there is uptake of ISU mindsets and processes by the Smutsville Informal Settlement Community. This is evident through the willingness and dedicated involvement of the Smutsville Informal Settlements Forum's (SISF) in the ISSP process and the planning processes that took place. The SISF remains active and involved in community work.

There is a need to further capacitate the Municipality with support and knowledge to ensure that ISU processes and programmes (UISP and ISSP) are better understood and progress into the future. The recommendations can assist in the ISU process and community participation from the Smutsville Informal Settlement Community in Knysna Municipality.

### 7.10.1 Institutional Arrangements and Stakeholder Engagements

Establish a cross-departmental task team for ISU matters

There is currently no existing cross-departmental task team within the Knysna Municipality that deals with housing projects (formal or informal). The absence of an inter-departmental / transversal working unit in the department significantly inhibits the coordinated planning for all human settlement projects. It is therefore recommended that a transversal structure be set in place that deals with human settlements projects including a specific sub-committee dealing with informal settlements. This transversal team can pull together role players from various departments in the Knysna Municipality. Important to the functioning of such a transversal task team, is to have buy-in from all departments represented on the task team. This can include identified or elected champions from each department.

Having such a task team within a Municipality will greatly benefit the function of the Human Settlement Departments' functions in not only the Knysna Municipality but other municipalities that implement the ISSP. Thus, this concept can be introduced through the ISSP forum meetings where municipalities that have such teams set up can present their experience and processes in setting up transversal task teams. The benefits of having such a team can also be demonstrated through the presentations and knowledge sharing at the ISSP forum meetings.

### 7.10.2 Capacity to Support Programme and Project Implementation

WCDHS can provide existing and updated material and guiding documents to capacitate the Knysna Municipality in ISU programmes such as UISP and ISSP.

There is a need for an improved understanding of the UISP and a re-introduction of the ISSP within the Knysna Municipality. This can be achieved through presenting and the UISP and the ISSP programme in a workshop setting. It is important that these programmes are directed to the local Municipality so that the various departments within the Municipality are aware and can attend these workshops or presentations. The ISSP workshops must include a re-introduction of the ISSP supporting documents and guiding documents. This can assist in capacitating the municipal departments with regards to the implementation of the ISSP within their municipal area.

Improve proximity and accessibility of municipal officials for the Smutsville informal settlement community to support community participation and effective operation and maintenance.

There is a need for improved availability of Municipal officials to Smutsville community members and for greater presence of officials at community- level ISSP engagements. The community could play a greater role in the upgrading process if the Municipality were more engaged with the SISF. There has been a call from both parties to strengthen this relationship. The community reported that there is a need for more consistent engagement with the Municipality. It was suggested that a closer spatial proximity of the community and municipal officials can serve to improve the relationship and yield better responsiveness.

The informal settlements community needs to be part of a continual learning process and to be an active participant in the upgrading conversation. A physical space for Municipal and community stakeholders to meet, that is located closer to the Smutsville settlement, can improve proximity and accessibility of a municipal officer for the Smutsville community to engage with.

Urgent attention should be given to the Operation and Maintenance of basic services in Smutsville.

It is recommended to develop a clear Operations and Maintenance strategy for ISU initiatives that is approved by council upon implementation. It is important that there is accountability for this role and function. Thus, it is suggested that a specific department/personal/task team must be mandated to take ownership and manage operations and maintenance of services in the Smutsville informal settlements. This will ensure that the community is able to maintain their health and hygiene and that services are well maintained.

A well capacitated organisation must continue to support the Knysna Municipality specifically for processes such as social facilitation, bridging the communication gap between the informal settlement residents and the Municipality, and leveraging trust.

It is recommended that a well capacitated organisation continues to support the Knysna Municipality specifically for processes such as social facilitation, bridging the communication gap between the informal settlement residents and the Municipality, and leveraging trust. Continued support from an intermediary organisation and / or Implementing Agent through the ISSP would be beneficial to both the Municipality and the Smutsville informal settlements community given the lack of internal capacity to prioritise ISU.

The preparation of a Municipality-Wide ISU Strategy and Programme and the Assessment and Categorisation and Upgrading Plan development should be actioned for all informal settlements.

The Municipality does not currently have a document that provides an indication of the overall status quo with regards to informal settlements in the Municipality. The Municipality requires the development of a Municipality-wide ISU strategy to first build an overall approach for developing pathways for assessments and upgrading plans through a participatory planning methodology. It is thus recommended that the Municipality prepare first the Assessment and Categorisation report for all settlements, as well as settlement level upgrading plans. Once complete, the Municipality should also upgrade the Municipality-wide ISU strategy to form part of their strategic planning documents such as the IHSP and SDF.



Knysna Municipality to draw on the ISSP documents (and other resources) to mainstream ISU approaches into the responses and strategies that respond to informal settlements. The Municipality can also incorporate the findings from the ISSP into municipal planning documents including the IHSP and SDF.

The poorly coordinated ISU response both from a strategic and operational perspective, inhibits effective service delivery, and the spatial location of Sedgefield relative to the municipal office adds to this challenge. This indicates that there is still a need for mainstreaming ISU approaches into the responses and strategies for tending to the needs of informal settlements residents.

### 7.10.3 Community Participation

The Municipality can assist the SISF in acquiring a seat on the ward committee.

The work that the NGO undertook with the community was valued by the community. It was found that building trust between a service provider and community takes time and patience, from both parties. Once trust was achieved, it was reported that the SISF benefitted from the training and capacity building initiatives that DAG offered. From the community's perspective they have been empowered through the ISSP Programme. From the community's perspective, they now see themselves as partners, and feel confident in their abilities to engage with the Municipality and other stakeholders. The SISF is working towards a seat on the ward committee.

### 7.10.4 Basic Services and Community Facilities

The WCDoHS can explore alternative service options and materials for construction in informal settlements and this knowledge can be included in the next iterations of UISP/ISSP guiding documents.

There is a need for more appropriate service options and exploring alternative and robust materials for the construction of such infrastructure. This highlights an opportunity to connect municipalities and the private sector to work undertaken as part of the Better Living Challenge. This is an opportunity for further research or consolidation of research on alternative and appropriate servicing of informal settlements.

### 7.10.5 Tenure Security

Processes to formalise or institutionalise tenure options such as the occupancy certificate must be explored by the Municipality

Tenure security is a priority to the community and was indicated in the community action plan. The existing land registers provide the community with a moderate level of security as they feel that if households are listed on this register they will not be evicted. A listing on this register is accompanied by the land occupancy certificate, although there is presently no evidence that the Municipality has

issued this certificate. This presents an opportunity for the land register to be adopted and formalised by the Municipality and for the certificates of occupation to be provided and formally recognised by the Municipality. Processes to formalise or institutionalise tenure options such as the occupancy certificate must be explored. It may also be necessary to provide further guidance on tenure options available for the various settlement pockets within Sedgefield given their settlement categories / densities and physical constraints.

## 8 Case Study 5: Swellendam Local Municipality

### 8.1 The Swellendam Local Municipality (SM) Location and Context

---

**Location:** Swellendam Local Municipality is located in the Western Cape and within the Overberg District. Swellendam Local Municipality includes the following towns: Swellendam, Barrydale, Suurbraak, Buffeljagsrivier, and rural areas: Malagas, Infanta and Stormsvlei.

**Municipal area:** 3835 km<sup>2</sup>

**Number Informal Settlements:** Swellendam Municipality is home to 5 informal settlements. 1 informal settlement in Suurbraak (13 structures recorded at time of enumeration, latest count showed 21 structures), 1 informal settlement in Buffeljagsrivier with 9 structures recorded, Barrydale has 1 informal settlement with 14 structures recorded, Malgas has 1 informal settlement with 31 structures (this settlement has remained at 31 structures since 2017). The town of Swellendam has the largest informal settlement of Railton (approximately 1400 in 2021).

**Current Projects / Programmes Underway:** there are no current projects underway, however, a project initiation document (PID) has been submitted and pending approval for the upgrading of the informal settlements in Railton.

**Categorisation of Settlements:** Swellendam Informal Settlement is categorised as B1 and B2

**NGO appointed through ISSP:** VPUU

**Settlements forming part of the NGO's SLA:** Railton (see Figure 8.1)

**Settlement forming part of the Case Study:** Railton (see Figure 8.1)



Figure 8.1. Map of Railton as covered by VPUU in their enumeration study (VPUU Milestone 4 progress report, 2020)

### 8.1.1 NGO Scope of Work

Based on the SLA, the scope of work was for community-based planning and enumeration in the Railton informal settlement in Swellendam Local Municipality, including:

- Initiation
- Enumeration
- Participatory Planning
- Transition

A more detailed description as per VPUU report is as below:

Scope of work (Objectives):

- Design, implement and manage a stakeholder participatory process to support the data collection process.
- Conduct a household survey which includes data collection and numbering of shacks in the pocket.
- Capture GPS coordinates for all structures and link them to households in the pocket based on the information gathered; and produce GIS maps.
- Analyse all the data collected from the survey and produce various reports.

- To record existing social infrastructure and socio-economic opportunities/networks accessible to the dwellers.
- Develop a database which links each household information to a structure.

The work undertaken in Swellendam, Figure 8.1, includes both an informal area, as well as the area in which a previous UISP project was undertaken (SM KSI, 2021). This Railton Smartie Town project previously won a Govern Mbeki award in 2015 - First Prize - Best Upgraded Informal Settlements Programme (SM KSI, 2021). The growth in the entire area forming part of the scope prompted the inclusion also of the previously upgraded area<sup>1</sup>.

## 8.2 Strategic Planning and Mainstreaming of ISU

---

### 8.2.1 Inclusion and mainstreaming in key Municipal strategic planning documents

#### **Inclusion of Informal Settlement Upgrading in Integrated Development Plan and Human Settlements**

The Swellendam Municipality Integrated Development Plan for 2017 – 2022 (SM IDP, 2017) contains an Integrated Human Settlements Plan (IHSP). This plan contains a 3-year housing delivery plan for the years 2017 – 2020; speaks to the housing database and planning and highlights the bulk services funding required for future housing projects. The 3-year housing delivery plan highlights the project area and the necessary interventions. The only UISP project mentioned was set to take place in Railton during 2019/2020 for 34 service sites/top structures (SM IDP, 2017).

According to the SM IDP (2017-2022), the planning for approximately 950 erven within Swellendam is at an advanced stage, with environmental processes underway. Within Suurbraak, funding has been approved for the provision of 35 top structures. Within Barrydale funding has been approved for 79 erven and within Buffeljagsrivier funding has been requested for 37 erven and 34 top structures (Swellendam Municipality, 2017). The key challenges highlighted within the integrated human settlements plan include: the need for a by-law regulating the influx in informal settlement and bulk infrastructure shortages (SM IDP, 2017).

The Swellendam Municipality also has a housing pipeline which was prepared in the year 2014. At the time of preparation, three Railton UISP projects were in the pipeline for the years 2012 – 2015 and one project was not given a proposed starting date.

#### **Inclusion of Informal Settlement Upgrading in the Spatial Development Framework and land use management scheme**

The 2020 SDF identifies priority development areas within the towns of Swellendam, Barrydale, Suurbraak and Buffeljagsrivier. It is not explicitly stated whether these projects are part of the UISP however subsidy housing projects are planned for Barrydale, Suurbraak and Buffeljagsrivier and an upgrade of Railton CBD is planned for Swellendam (SM SDF, 2020).

---

<sup>1</sup> Additional information regarding the definition of area of inclusion was unavailable at the time of evaluation.

The SDF (2020) speaks to the ISSP approach and states that ISSP projects will be focussed on in Railton while the surrounding informal settlements were included in the household survey. The NGO also conducted community participation, leadership training and participatory planning within Railton and surrounding areas (SM SDF, 2020).

The SDF does not make explicit the settlements that will be upgraded in-situ and relocated, nor does it identify the suitable land for relocation.

### **Strategy and approach to informal settlement upgrading**

As per the SM IDP (2017–2022), the approach to human settlements is aligned with National Housing Act No. 107. It is the Municipality’s vision and mission to embody the relevant laws and policies by taking the lead in identifying land for housing, facilitate spatial planning and transportation systems and integrate human settlements into the IDP.

The IHSP highlights the different housing subsidy programmes which will be used in the provision of human settlements, it includes IRDP, UISP, institutional programme, CRU, consolidation subsidy programme, EPHP, FLISP and individual housing subsidies (SM IDP, 2017).

There is increasing pressure for urban development, intensification of land uses and demands on services due to population growth in the Swellendam Local Municipality (SM SDF, 2020). Key human settlement strategies mentioned in the SM SDF (2020) include the National BNG strategy and the Provincial Isidima Strategy<sup>2</sup>. The latter is based on an incremental development approach, which requires a shift from housing construction to sustainable settlements (SM SDF, 2020). To ensure that the principles of the aforementioned strategies are met, Human Settlements must be economically, socially, and ecologically sustainable (SM SDF, 2020). The restructuring of urban settlements must address apartheid spatial imbalances; make towns convenient to live in and create economic opportunities closer to where people reside (SM SDF, 2020).

### **Municipality wide plan for informal settlement upgrading and phased medium to long term pipeline**

The Swellendam 10-year, 2014 housing pipeline includes 4 UISP projects, 3 of which were set to begin between 2012 – 2015. These projects took place in Railton Smartie Town, the first was during 2012/13 with 306 sites; the second was during 2013/14 with 306 units and the third was during 2014/15 with 140 enhanced service sites.

The housing pipeline contains projects up to the year 2019/20, with UISP projects up to 2015.

#### **8.2.1.1 Budgeting for ISU**

##### **UISP projects in the IDP between 2016 and 2021**

The UISP project identified in the SM IDP (2017) is the Railton (306) project, this was planned for 2019/20 and was in the 2017 – 2020 pipeline. According to the 2017 – 2022 IDP, 34 service sites/top structures were required. As part of the Municipality’s capital projects, housing projects have been planned for

---

<sup>2</sup> The Isidima Strategy is the name of the Western Cape Sustainable Human Settlements Strategy (WCSHSS). Isidima, when translated from isiXhosa refers to "enabling dignified communities".

Buffeljagsrivier, Railton, Swellendam, Suurbraak and Barrydale but it is not explicitly stated whether they are UISP projects (SM IDP, 2017).

From the available data the services and facilities that have materialised with 2013, 2014 and 2015 there were 270 top structures in the informal settlement, 300 service sites (SM KSI, 2021). These numbers have not been checked against the capital expenditure in the annual budget to verify what has materialised.

### **UISP projects identified in the MTEF between 2016 and 2021**

The UISP projects between the years 2016 – 2021 are not made explicit. There are more general terms used such as “housing” and “housing – top structure subsidies”.

#### **8.2.1.2 Integration of ISSP Report**

The IHSP does not include milestone reports produced through the ISSP, however the Municipality has indicated that the ISSP outputs has been valuable in the compilation of the Project Initiation Document (PID), since it has provided the requisite baseline information for the application.

The work produced by the NGO provides useful baseline information about Railton and broader upgrading principles and concepts. There is no immediate evidence of these outputs being translated into the sector planning documentation of the Municipality.

## **8.3 Institutional Arrangements and Stakeholder Engagement**

---

### **Engagement internal to Municipality**

The overall coordination of the informal settlements upgrading project is led by the Municipality’s Housing/Human Settlements Department, with input from other Departments. These Departments include Law Enforcement who assists with illegal squatters in informal settlements; Town Planning who assists with strategic planning for informal settlements and the Engineering who assists with infrastructural issues relating to water and electricity. The working relationship between the different Departments are regarded as a good, and the PID for the Railton settlement was compiled using internal resources.

### **Municipality-Province engagements**

Provincial managers and directors introduced the ISSP to the Municipality and applied to be part of the ISSP. Quarterly meetings, forums and workshops were held with the ISSP unit. The Municipality reports to WCDHS through Mr Alli. The Municipality reports to Province and is given feedback on how the NGO is being managed (SM KSI, 2021). The managing relationship between the Swellendam Municipality, Province and the NGO is regarded as very professional with some limitations due to irregular feedback/limited capacity (from Province).

### **Stakeholders at a Municipal level**

In addition to the staff at Swellendam Municipality, an NGO who was appointed by Province to assist the Municipality with research and enumeration of informal settlements. No NGO was appointed prior to VPUU and VPUU had no prior experience in Swellendam (SM KSI, 2021).

Currently, there is no implementing agent assisting in the area.

### **Reporting**

As previously mentioned, at the introductory stage of the programme, quarterly meetings were held with the ISSP unit. The Swellendam Municipality reports to Provincial government through the ISSP unit but the frequency of reporting has not been discussed. In December 2019, there was a meeting held with Provincial team regarding the scope of work.

The Swellendam Municipality held planning workshops with informal settlement residents. There were few informal settlement residents who took part in the ISSP process which can be attributed to a lack of motivation or despondent nature regarding upgrading projects. However, those who participated in the process did so deeply and were committed (SM KSI, 2021). The frequency of meetings between the Municipality, NGO and community is unclear.

## **8.4 Capacity to support programme/ project implementation**

---

### **8.4.1 Municipal Resource Capacity**

The Municipality does not have sufficient resources to deal with current and potential threats. The land invasions in Swellendam are not at threatening levels, but should it increase, the Municipality will not have the capacity to deal with it (SM KSI, 2021).

The Municipality does not have sufficient internal capacity to effectively deliver informal settlement upgrades hence the application to be part of the ISSP and accepting an NGO to work in the area. The Municipality also plans on appointing an implementing agent to assist them going forward – this tender and appointment process is already underway (SM KSI, 2021).

### **8.4.2 Capacity Support offered through the NGO Framework**

The NGO assisted the Municipality by conducting detailed research on the current state of the informal settlements in the area. The information provided by the NGO for the Project Initiation Document (PID) is regarded as very helpful as it contained more detail than prior documentation (SM KSI, 2021). The NGO also trained up to 10 people to assist with surveying backyarders (SM KSI, 2021).

The relationship between the Municipality and the NGO was good. According to a Municipal official, they received reports on time, and they are kept up to date with the NGO's work in the informal settlements (SM KSI, 2021).



### 8.4.3 Municipal Financial Capacity

The Swellendam Municipality noted that there is insufficient funding for services which support informal settlement upgrades, such as bulk and sewerage infrastructure. It was also stated that there needs to be better integration of Municipal infrastructure grants, intergovernmental planning and budgeting and informal settlement planning, to allow for informal settlement upgrades and its supporting elements to be delivered effectively (SM KSI, 2021). The Municipality stated that they are looking forward to their PID being approved as there has been discussions of a “new, faster national grant” (SM KSI, 2021). It is assumed that what was being referenced here is the UISPG.

## 8.5 Community Participation

---

### IDP and Ward Level Participation

The community noted that the committee members attend the IDP meetings and ward meetings as much as possible (Railton Community Representatives KSI, 2021). The committee members do submit suggestions during the IDP process but would like feedback on the implementation of their inputs/suggestions (Railton Community Representatives KSI, 2021). The Municipality needs to communicate more about future plans (Railton Community Representatives KSI, 2021).

The community notes that key issues are raised with the Municipality however, there is a general sense that these issues are not prioritised (Railton Community Representatives KSI, 2021). The community’s perspectives on projects that are implemented are that they are not done in the best interests of the Railton community and that the budget constraints are the key excuse for not prioritising or tending to the needs of the Railton community (Railton Community Representatives KSI, 2021). There is a general sense from the community that their needs are not considered nor prioritised in the budgeting process (Railton Community Representatives KSI, 2021).

There is a general sense in the community that the relationship between the community and the ward council is governed by politics (Railton Community Representatives KSI, 2021) and due to this the community feels ignored and certain areas feel discriminated against (Railton Community Representatives KSI, 2021). The community reported that there is a feeling of discrimination between the informal and formal areas within Railton with regards to rate paying (Railton Community Representatives KSI, 2021).

In addition to the above, the following dynamics emerged:

1. The residents of the parts of Railton where the UISP has taken place in the past see themselves as “different” from those living in informal structures;
2. There is a race-based distinction between the groups living in the informal areas / shacks
3. Safety concerns and the need for intervention in the “non-Rasta” informal areas were most pronounced.

Whilst the community members interviewed indicated that they see themselves as one community with those living in informal structures, there is a feeling amongst community members that those living in the newer, more informal areas are “other”. Further, the safety concerns held by the community indicate that the more informal areas are unsafe and there is insufficient support and involvement from social services to address these concerns.

### **Community institutional arrangements (committees, forums, etc)**

Railton Community Representatives noted that a committee was established through the engagements with the NGO (Railton Community Representatives KSI, 2021). It was noted that the committee members attempted to have regular committee meetings and also start a homeowner’s association (Railton Community Representatives KSI, 2021). It was noted that those who did not attend the training sessions hindered the processes and initiatives that were established by the committee (Railton Community Representatives KSI, 2021). This is likely due to the fact that these individuals are less informed about the processes and lessons learnt from the training sessions (Railton Community Representatives KSI, 2021).

The community would like to continue engaging with the Municipality, however engagements have not been able to continue in a structured nor regular manner.

There is a general sense of mistrust towards the politicians and training initiatives as the community feels that empty promises are made by the organisations involved (Railton Community Representatives KSI, 2021). The sense is that the trainings are not helpful because they don’t trust the organisations that run them (Railton Community Representatives KSI, 2021).

As noted, the community feels a strong divide between the rich and poor, specifically when it comes to opportunities to enhance living conditions (Railton Community Representatives KSI, 2021). The community provided the example of a cycling tour which is to be held in Swellendam. The community stated that Old Mutual sponsored R300 000 000<sup>3</sup> and the Railton community noted that they did not benefit from this event (Railton Community Representatives KSI, 2021). More generally, the community feels that they are left out from participating or providing inputs in projects or initiatives in Swellendam. The feeling is that investment is directed to the formal Town of Swellendam, and other communities are overlooked (Railton Community Representatives KSI, 2021).

### **Municipality-Community Relationship**

The community noted that there are regular communications with the Municipality (Railton Community Representatives KSI, 2021). This is done through either a representative from the committee or a consultant who will relay the communities’ concerns or needs to the Municipality on behalf of the community (Railton Community Representatives KSI, 2021).

The committee would like to have more meetings with the Municipality so the committee can be better informed (Railton Community Representatives KSI, 2021).

The community noted that communication between the Municipality and community has improved due to involvement of the NGO (Railton Community Representatives KSI, 2021). The community noted that the NGO provided training, and this empowered the people to communicate better with Municipality (Railton Community Representatives KSI, 2021). The community feels that, before the presence of the NGO, the suggestions made by the community where not taken on by the Municipality. However, since the training (the implementation of the ISSP), the community indicates that they feel their needs and suggestions are more likely to be noted by the Municipality. The data suggests that the lines of communication have improved (Railton Community Representatives KSI, 2021).

---

<sup>3</sup> This amount has not been verified with the municipality

## Social Compacts

At the time of the evaluation, a social compact was not yet in place for these settlements.

## 8.6 Basic Services and Community Facilities

---

The community recognises that the informal settlement area is growing and there are concerns about what is being done about this growth (Railton Community Representatives KSI, 2021). There is a sense that the growing informal settlement is occupying land that could be used for other purposes such as community gardens. It must be noted that the group interviewed were all from the formal settlement area of Railton (Railton Community Representatives KSI, 2021). However, it was noted that services were provided to the older informal settlements but not for the new immigrants forming part of the informal settlement (Railton Community Representatives KSI, 2021). It was noted that the new informal settlements pose a health hazard to the people living there and the surrounding community due to the lack of sanitation and refuse services (Railton Community Representatives KSI, 2021). It was further noted from the community representative KSI that the Railton community living in the formal settlement area is also negatively affected by the informal settlement due to the criminal activities that reportedly occurs there (Railton Community Representatives KSI, 2021).

Another representative noted that locals and organisations such as LSHOR feel that they are denied any opportunities to uplift themselves as land is withheld from them and given to/occupied by new informal settlements (Railton Community Representatives KSI, 2021).

The community noted that there are community safety and social responsibility initiatives (Railton Community Representatives KSI, 2021). The community wanted to improve the lives of the children, the elderly and people with disabilities living in the area (Railton Community Representatives KSI, 2021).

The community expressed the need for community facilities and social facilities such as medical facilities/clinics, educational facilities, a taxi rank, satellite firefighting and police stations were identified by the committee/community (Railton Community Representatives KSI, 2021). It was reported that one of the biggest things the NGO looked at was safety and security in the area (Railton Community Representatives KSI, 2021). Education was also noted as a concern by the community (Railton Community Representatives KSI, 2021). It was noted that the high school is overcrowded (Railton Community Representatives KSI, 2021). This has a negative impact on education and the teachers and learners are frustrated and stressed (Railton Community Representatives KSI, 2021). As such, the committee/community requested a second high school also (Railton Community Representatives KSI, 2021).

The community spoke to the creches in the community, noting they are located near the community (Railton Community Representatives KSI, 2021). The community notes that land needs to be bought from the Municipality to establish new cheches (Railton Community Representatives KSI, 2021). It was further noted that rates and services are high and there is no discount for such facilities (Railton Community Representatives KSI, 2021). Grants are provided by the Department of Social Development (DSD). Creches are to become the mandate of the Department of Basic Education by 2022 but it is still in progress. People struggle to afford the fees so many children therefore do not attend the creches (Railton Community Representatives KSI, 2021).

A member of the community noted that many people can't afford the Municipal services such as electricity and water (Railton Community Representatives KSI, 2021). It was noted that 90% of homes default on their water accounts. The community asked the Municipality in April 2021 to look at the affordability of these services (Railton Community Representatives KSI, 2021). It was further noted that the surcharges that are levied on service bills are taking money away from other essentials that people need to buy (Railton Community Representatives KSI, 2021).

Another community representative noted that tenders were submitted for the delivering of services related to the implementation of some housing projects and this was a good opportunity to provide the community and local businesses with employment and opportunities (Railton Community Representatives KSI, 2021). It was noted that this would have been a good opportunity to obtain input from the NGO and community leaders so that the community could be provided with training and skills development. However, it is believed that tenders seem to benefit workers that come from outside the community (from George and Oudtshoorn) and this is at the expense of the local community (Railton Community Representatives KSI, 2021).

The community notes that the Municipality stated that they know what the needs of the community are but did not specify how these needs would be fulfilled (Railton Community Representatives KSI, 2021). The Municipality knows there is a need for community and social services, but the community was not approached to obtain their input on how to solve the problems (Railton Community Representatives KSI, 2021). It was reported that stakeholders and community leaders were not consulted or mobilised to obtain information from their respective communities (Railton Community Representatives KSI, 2021). It was further noted that a survey was conducted but the community leaders who received the training were not approached to assist (Railton Community Representatives KSI, 2021).

## **8.7 Tenure Security**

---

Community members in attendance were mostly from areas that had previously been formalised and title deeds were in place.

## **8.8 UISP – Progress over the period – reflections**

---

The Municipality previously won an award for the upgrading project in Railton (2015 Govan Mbeki Award). Since the settlement growth has not been contained and there is no clear land management strategy implemented in the settlement. The current dynamic reflects a distinct tension between residents in the older 'formalised area' and the newer 'informal area'. Using data from the NGO reports, the Municipality has compiled a PID for the upgrading of the area.

## 8.9 Conclusions & Recommendations

---

The Swellendam case study summarises the current state of the ISU area and highlights its successes and areas for improvement. The former includes enumeration studies; upskilling of at least 10 people; improved communication between communities and the Municipality and co-ordination between different Municipal Departments on ISU projects. The latter includes tension between the residents of formal and informal settlements and the need for timeous provision of basic services and facilities in the area. Despite the improved communication, there is still mistrust of the Municipality by communities, hence highlights a need for more effective communication between the Municipality and communities. In order to further improve ISU in Swellendam, the following recommendations are made:

### 8.9.1 Institutional Arrangements and Stakeholder Engagement

#### **Establish a cross-departmental Task Team for ISU matters**

For Swellendam, there seems to be a good foundation of intergovernmental planning as different departments plays a role in ISU projects. However better intergovernmental planning is proposed as there is insufficient funding for bulk and sewerage infrastructure which contributes to the delay in delivery of ISU projects. It is recommended that, an intergovernmental framework be developed stipulating the roles and requirements of each department for the duration of the ISU project. The intended outcome of this recommendation is to improve intergovernmental planning, integrate grants and align the delivery of basic services and facilities linked to ISU projects.

#### **Presentation of the NGO recommendations to / review of the recommendations by the Municipal planner / spatial planning department / effort to mainstream the recommendations in the ISSP NGO reports**

The area-based plans and precinct-wide recommendations put forward in the reporting by the NGO should be mainstreamed further to ensure that value for money is achieved. Extensive effort was placed on the creation of precinct plans and projects that are aligned to the overall ISSP strategies. It is thus important for these proposals to be evaluated by the Municipality to test their technical and social feasibility, revisiting the prioritisation that took place within the ISSP, and eventually selecting projects that can be taken forward. The financial viability of these projects will also need to be screened, including which of these shortlisted projects can be funded through non-governmental funding and financing opportunities.

#### **Formalise the lines of communication between the Municipality and the community through an engagement and communication strategy.**

The process of formalising/institutionalising lines of communication can include creating formal links between informal settlement committee and representatives from the relevant department. To ensure the continuation of Municipality-community engagement there is a need to attach responsibility and accountability to the relevant Municipal officials to ensure the connection is maintained once the NGO's contract has ended. This recommendation speaks to ensuring that the work that the NGO has done is continued and the community continues to be empowered and included in human settlement processes

regarding the upgrading of the informal settlements. Thus, formalisation of communication and reporting structures between the community and Municipality need to be established prior to the exiting of the NGO. The establishment of an online platform, or an appropriate platform, which can log issues and updates live would be beneficial to develop.

### **8.9.2 Capacity to Support Programme/ Project Implementation**

#### **A Provincial platform to manage data on informal settlements is proposed.**

A Provincial platform to manage data on informal settlements is proposed.

#### **Development of a Municipality-Wide informal settlement upgrading strategy to be incorporated within the HSP**

The Municipality requires the development of a Municipality-wide ISU strategy to first build an overall approach for developing pathways for assessments and upgrading plans through a participatory planning methodology. It is thus recommended that the Municipality prepare first the Assessment and Categorisation report for all settlements, as well as settlement level upgrading plans. Once complete, the Municipality should also upgrade and the Municipality-wide ISU strategy to form part of their strategic planning documents such as the IHSP and SDF.

### **8.9.3 Community participation and empowerment**

#### **Dedication to participatory planning processes embedded in the upgrading approach**

With better and more frequent communication between communities and the Municipality, there needs to be an improvement in participatory planning. It is recommended that the Municipality along with an intermediary and / or implementing agent to host participatory workshops at every stage of the ISU project.

#### **Establishment of a community representative structure/ community committee inclusive of leadership from all sub-groups and other stakeholders**

As part of the NGO process, a community committee was established. These members are affiliated with various other structures within the area. However, it was reported that these members do not meet regularly and their engagements at this time are ad-hoc. As such, it is recommended that the committee be formalised through a list of community leaders nominated by the sub-forums with invited guests such as clinics and schools in the area.

This committee should be assisted to develop a clear term of reference with a regular meeting schedule and trained to develop meeting agendas and minutes.

### **Addressing the tension between the “formal” and “informal areas”**

During the engagement with the community, it was evident that the Railton community felt isolated from more affluent areas. However, the divisions within the community also require urgent attention.

The sub-recommendations are therefore as follows:

- Engagement with a focus group from each of the sub-groups that constituted the committee that had worked with the NGO, with the aim of understanding the risks and vulnerabilities as well as proposed recommendations
- The formation of a community committee through nomination of a member from each sub-group
- A programme to build community cohesion and support from the Municipality through community safety building initiatives
- Support and training for those who want to provide support to the Municipality

## 9 Case Study 6: Theewaterskloof Local Municipality

### 9.1 The Theewaterskloof Local Municipality (TWK) Location and Context

Location: Theewaterskloof Local Municipality (TWK) is located within the Overberg District Municipality, and is bordered by City of Cape Town, Overstrand, Swellendam, Cape Agulhas, Stellenbosch, Breede River and Drakenstein.

Municipal area: approximately 3231 km<sup>2</sup>

Number of Informal Settlements: The focus of the case study is the town of Grabouw which has 13 informal settlements with an estimated 6 696+ informal structures (TWK KSI, 2021). Three (3) new informal areas were established during 2020 - they are all surrounding the Iraq 456 project (TWK KSI, 2021). See Figure 9.2 for the map of the informal settlements in Grabouw.

Current Projects / Programmes Underway: In Grabouw, a number of initiatives are planned / underway for the informal settlements in the area. This includes the Rooidakke Project, whereby the new growth will likely inhibit progress on this project.

NGO appointed through ISSP: VPUU

Categorisation of Settlements: Figure 9.1 shows the categorisation of the informal settlements identified in TWK. Those highlighted are the Informal settlements that have been categorised in Grabouw (the scope of the Case study for TWK)

SETTLEMENT	CATEGORY	SETTLEMENT	CATEGORY
Darkside	C	Marikana	A
New France	A & C	Poekom	A & B1
Beverly Hills	C	Protea Heights	A & B1
Berg en Dal	A & B1	Reimvasmaak	A & B1
Enkanini	C	Slangpark	C
Goniwe Park	A & B1	West Side 1	A & B1
Hillside	A	Zola	A
Iraq		Waterworks	A & C
Joe Slovo	A	Side Saviwe	
Lower West Side	C		

Figure 9.1. Settlement categorisations within the Theewaterskloof Municipality (WCG Rapid Appraisal, 2016).



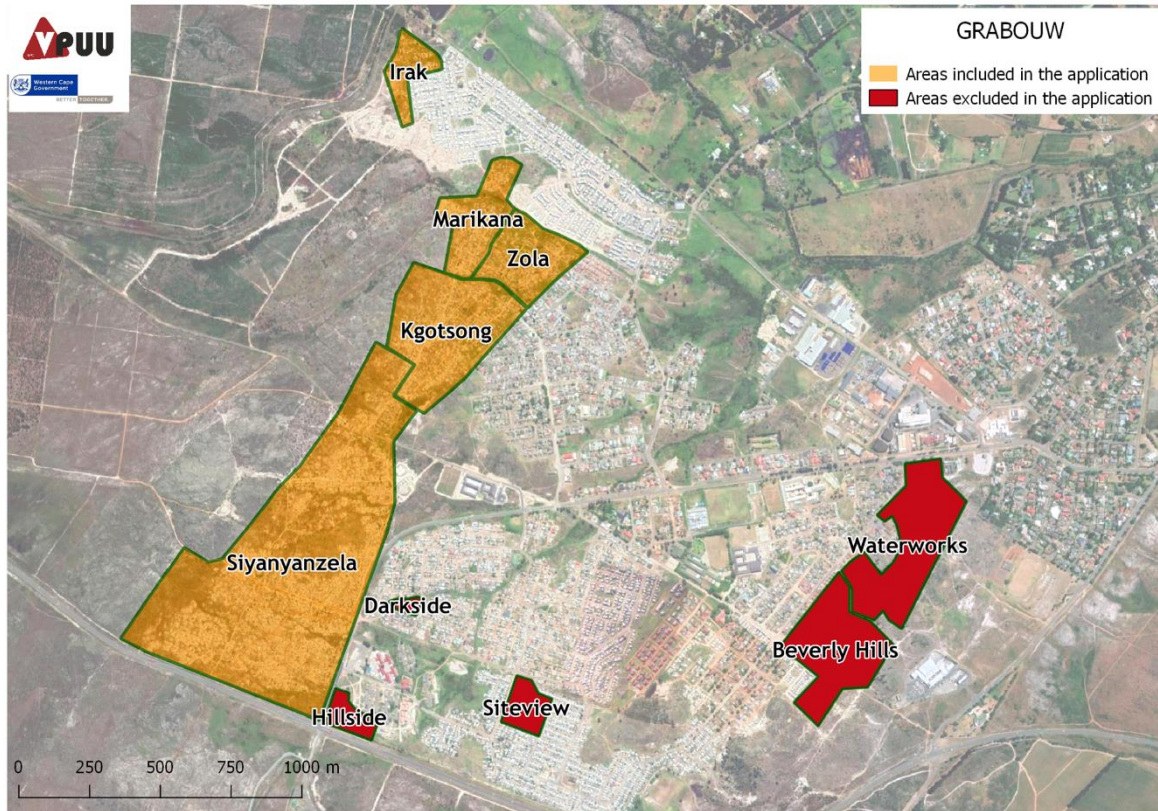


Figure 9.2. Informal settlements within the Grabouw Informal Settlement areas (Source: VPUU Milestone 4 Report, 2021)

### 9.1.1 NGO Scope of Work

The scope defined within the SLA for work within Theewaterskloof was as follows:

Community-based planning and enumeration in Grabouw intervention informal settlements in Theewaterskloof Municipality

- Project Preparation
- Stakeholder Engagements and Participatory Planning
- Enumeration
- Community Registration Office and Additional Surveys
- Project Reporting

## 9.2 Strategic planning and mainstreaming of ISU

### 9.2.1 Inclusion and mainstreaming in key Municipal strategic planning documents

The TWK IDP (2017-2022) includes a housing pipeline plan for Caledon, Grabouw, Villiersdorp, Botrivier, Greyton, Genendendal and Riviersonderend. The TWK Housing pipeline the project name and the programme under which the project falls.

The Housing Pipeline for Grabouw, specifically refers to the following UISP projects (TWK IDP, 2018:107)

- Grabouw Roodakke (1169 services):
- Roodakke Extension Iraq
- Grabouw Hillside (438 services)
- Grabouw Waterworks (Beverly Hills) Erven 505, 545 & 793 (404 services & 404 units) (Phase 2)
- Grabouw Waterworks (Beverly Hills)
- Siyanyanzela

Inclusion of Informal Settlement Upgrading in the Spatial Development Framework and land use management scheme

The following proposals are mentioned in the TWK SDF (2019) for the Grabouw area:

Portion	Proposal overview
Farm R/9/313	The site be implemented with services and used as a decanting TRA space for Erf R5157 Lost City, Erf 4233 Beverly Hills, Erf Re/793 Waterworks and Erf Re/505. After these projects have been implemented, construct top structures for priority persons from the decanted sites.
Erf R5157 Lost City	Decant. To be assisted with interim services.
Erf 4233 Beverly Hills	Decant. To be assisted with interim services.
Erf Re/793 Waterworks	Decant. To be assisted with interim services.
Erf Re/505	Subject to further investigation
Farm 295 Siyanyanzela	Super-blocking Linked to this super- blocking proposal, are the other informal areas as enumerated by the appointed service provider under the ISSP initiative; Marikana; Zola; and Kgotsong.
Farm 1/292 Roodakke	This site is partly invaded; thus, the current occupants is proposed to be supported with interim services, the full site is proposed to be serviced and serve as a space to accommodate the overflow from Farm 295 Siyanyanzela and other informal settlements (determined by super-blocking) and cater for the waiting list.

Portion	Proposal overview
Farm 4/301 Rooidakke	This site can be implemented with services first being installed serving as space to accommodate the overflow from Farm 295 Siyanyanzela and other informal settlements and cater for the waiting list priority persons in terms of top structures
Erf 1314	Subject to further investigation
Erf 8078 Gypsy Queen	Note the project has already been approved for (pre) planning. Baseline studies have been commissioned. The site is being planned as a mixed- use development with BNG and FLISP. The BNG portion of this project is proposed as an alternative for priority persons from the failed and closed Waterworks project as well as the Grabouw area.

The TWK officials indicated that a major issue / barrier for ISU is the informal settlements that are built on public works land. The Municipality is unable to assist the people living on this land. This issue has not been engaged with through the ISSP (TWK KSI, 2021).

#### Strategy and approach to informal settlement upgrading

The Municipality takes an incremental approach to informal settlement upgrading. The Municipality has adopted the ISSP in their approach to ISU. The data suggests that the Municipality supports informal settlement upgrading approach and have embraced the implementation of the ISSP in their Municipal area (TWK KSI, 2021). The TWK Municipality have expressed satisfaction for the work undertaken by the NGO in Grabouw.

#### 9.2.1.1 Budgeting for ISU

##### UISP projects in the IDP between 2016 and 2021

The TWK's IDP (2021/2022) provides a housing demand and interventions section which provides the informal settlements and the relative need for basic services for each settlement (toilets, water, electricity). The 3-year delivery plan (2019/20 – 2021/22) refers to UISP projects in Grabouw, Villiersdorp, Caledon, Botrivier and Riviersonderend.

The current projects that are mentioned under the UISP for Grabouw housing pipeline (reviewed 2018/2019, TWK IDP 2017-2022) are:

- Grabouw Rooidakke (1169 services)
- Rooidakke Extension Iraq
- Grabouw Hillside (438 services)
- Grabouw Waterworks (Beverly Hills) Erven 505, 545 & 793 (404 services & 404 units) (Phase 2)
- Grabouw Waterworks (Beverly Hills)

Another project under the UISP that was mentioned is the Siyanyanzela project which is to be implemented in the future with a duration to be decided on.

There are also mentions of projects under UISP within the Housing pipeline for Villiersdorp and Riviersonderend. This is mentioned as the “VPUU partnership”.

UISP projects identified in the MTEF between 2016 and 2021

In the report for the “Consideration and approval of the final budget 2021/2022 and indicative for the projected two outer years 2022/2023 and 2023/2024” the UISP projects that are included are the Housing project the WCO31 - Grabouw Roodakke Ext Iraq (456) (TWK Final Budget, 2021).

In the draft annual report for 2018/2019 the following IUSP projects are highlighted:

- Grabouw Roodakke Ext (Balance of 4300)
- Grabouw Roodakke Ext Iraq (456)
- Grabouw Hillside (348) (121 + 227)
- Grabouw Waterworks (710) UISP
- Grabouw Waterworks Beverly Hills (164 of 710)
- Grabouw Siyanyanzela (970)
- Riviersonderend (135) +37 UISP
- Villiersdorp Destiny Farm (2305) IRDP
- Villiersdorp Westside (153)
- Caledon (790) (Riemvasmaak)
- Low-Cost Housing Project: Riviersonderend (140) UISP project

#### 9.2.1.2 Integration of ISSP Report

The TWK IDP (2020) refers to the work being done by VPUU in Villiersdorp. However, there is little other evidence that suggests that the reports drafted through the ISSP (the NGO reports) have been integrated into Municipal planning documents such as the IDP and SDF. The data suggests that the data gathered through the work of the NGO is still to be used in future planning documents.

### 9.3 Institutional Arrangements and Stakeholder Engagement

---

#### Stakeholders at a Municipal level

Stakeholders involved in the ISSP process include the Human Settlements Department and the informal settlements department which are supported by town-based support offices.

The NGO worked with the Theewaterskloof’s Department of Human Settlement (TWK DHS) and the Informal Settlement Department which falls part of the Community Service Department in the TWK Municipality. Their responsibilities include engaging with communities to identify their needs and providing services based on the available funding (TWK KSI, 2021). The Municipality indicated the need for political champions within the Municipality to champion the ISU mandate and community participation in the planning process. The working relationship between the TWK DHS and the NGO assisted in implementing the ISSP in Grabouw.

It was reported that the TWK DHS and the NGO communicated on a regular basis (TWK KSI, 2021). This kind of relationship aids in implementing the ISSP at the level of management. However, the data

suggests that there was a lack of relationship between the ward councillors and the NGO. The lack of attendance can be attributed to the poor relationship between political figures and the NGOs.

#### ISSP forum Meetings

TWK Municipality as well as the NGO indicated that they are aware of the ISSP forum meetings and have attended them.

#### Community level institutional arrangements

The evaluators were unable to conduct a key stakeholder interview with the community of Grabouw informal settlement, due to (1) community conflict taking place and (2) the timing of seasonal work and people leaving Grabouw to go back to the Eastern Cape. This limitation will be explained more thoroughly below.

The community engagement for the TWK case study was scheduled for the 20<sup>th</sup> of November 2021. The evaluating team arrived at the venue at the prescribed time for the engagement to take place. Due to unrest in the community, the evaluators were advised to reschedule the engagement to a new date suiting both parties.

However, due to the time available for the fieldwork, the community was unable to attend any engagements because many of them had planned to leave Grabouw to return to the Eastern Cape and elsewhere, since seasonal farm work was complete for the year.

As a result, the findings articulated in this chapter have been synthesised from the NGO and Municipal engagements.

The NGO indicated that prior to their arrival, there were existing informal settlement structures (area and street committees) in each informal settlement in Grabouw. From the NGO's perspective, they reported that they tried to engage with all these committees. The NGO reported that the ward councillor of each area supported them.

## 9.4 Capacity to support the programme / project implementation

---

The data suggests that ensuring the buy-in from the community is essential to the success of the programme. The data shows that community perspectives in Grabouw varied with regards to their perception of the programme. However, the NGO suggests that the foundation of the implementation of the ISSP is built on the way in which the ISSP is introduced and explained (in terms of its purpose, goals and methods and the role the informal settlement community plays in this process).

### 9.4.1 Municipal Resource Capacity

The TWK recognises their capacity constraints in terms of human resources and skills within the Municipality. Specifically, TWK reported that they did not have the capacity to undertake an

enumeration of their informal settlements. Thus, the assistance from the NGO was required. The Municipality expressed satisfaction with the work and assistance the NGO provided.

The Municipality has indicated a need for continued support with participatory planning and upgrading in their informal settlements. There is a desire from the Municipality to continue understanding the concerns and needs of the informal settlement residents.

A finding that emerged through the key stakeholder interview with the TWK Municipality is that the knowledge around the ISSP tools, documents and guidelines that accompany the programme are not widely known within the Municipality. This points to the need for a re-introduction of the guiding and supporting material that makes up the ISSP.

#### 9.4.2 Capacity Support offered through the NGO Framework

The data suggests that the NGO provided capacity support in terms of skills and human resources which the Municipality could not fulfil. The data further suggests that the Municipality is not in a capacitated position to continue or take over the work that the NGO had initiated, specifically the monitoring and management of informal settlement growth (TWK KSI, 2021).

#### 9.4.3 Municipal Financial Capacity

TWK Municipality recognises that both their human resources and financial capacity is insufficient to support their mandate to upgrade informal settlements (TWK KSI, 2021). This indicates a need for Municipal capacitation in terms of funding for human resources and skills development. In addition, there is a need for funding for Operations and Maintenance procedures and a need for continuity in the ISSP.

## 9.5 Community Participation

---

Since a community engagement with the Grabouw informal settlement conducted during the interview phase of the evaluation, the findings presented in this section are from the perspectives of the TWK Municipality and the NGO.

The data suggests that the relationship between the Municipality and the informal settlement committees had improved since the implementation of the ISSP in Grabouw. According to the available data, meetings were held with the Municipality where committee members raised their concerns and were exposed to development plans.

The data available suggest that acquiring buy-in to the ISSP process from the ward councillor, is an important in ensuring that there is community buy-in and involvement in the ISU process. The need to support the community in taking part in the ISSP process in Grabouw is required, an example of where support is specifically required is in capacitating the community in taking part in the IDP Process.

Both leadership and knowledge around ISU, ISSP, and the IDP process are instrumental to community participating in this process. The underlying information and knowledge around what the processes are, and how to be involved, are the primary building blocks. Buy-in is another building block that is required in order to get the community involved and a be a key role-player in the process.

Community leadership and champions of the ISSP at community level, are key to maintain momentum and accountability to processes. Thus, these findings indicate the need for knowledge dissemination into communities and to community leaders and support around the ISU process, ISSP and IDP processes. This finding also indicates a potential need for community leaders to champion the ISSP process at the community level.

#### Community participation with the informal settlement through the IDP process

Considering the findings mentioned above, according to the Municipality the NGO had requested to bring in the IDP section manager and TWK HSD to provide a workshop on the overview of the ISU and housing processes. However, the COVID-19 lockdown restrictions halted these engagements. Thus, from the Municipalities perspective the community remains unempowered in terms of their knowledge around how to get involved in these processes.

#### Community institutional arrangements

The NGO reported that they worked with the area and street committees that are present in Grabouw's informal settlements. These structures existed prior to the implementation of the ISSP in Grabouw.

#### Social Compacts

At the time of writing, no social compact is in place between the Grabouw community and the Municipality.

## 9.6 Basic Services and Community Facilities

---

The Municipality noted that the work of the ISSP indicated a need for a community registrations office within the informal settlements (TWK KSI, 2021). Linked to this, is the need to capacitate persons to work at a **registration's** office. The purpose of such an office is to gather information from residents living in informal settlements such as the needs and issues experienced. The Municipality also indicated that such an office would assist in managing informal settlement growth and needs.

As identified by the Municipality, the work available in Theewaterskloof is seasonal (agricultural related work). Thus, structures in informal settlements might be occupied during work season and vacant during less busy seasons. The Municipality recognises the need to planning for economic opportunities or livelihood strategies in the planning process. This is believed to help ensure that work opportunities are created in the Municipality all year round and to have economic diversification. However, the Municipality notes that there are financial constraints to accomplishing this goal.

## 9.7 Tenure Security

---

The data suggests that there is interest from the Municipality around the options to provide tenure security. The Municipality expressed that an updated community register can assist with tenure and logging complaints. The understanding that a register that is kept up to date can greatly assist the Municipality in managing the needs and growth of informal settlements in TWK.

A barrier to providing tenure security to some informal settlement residents is for those built on National Public Works land. The TWK Municipality currently issues a proof of address to those who are situated on this land. This is the most basic form of tenure security the TWK Municipality provides.

Within the Iraq informal settlement residents can be granted certificates of occupancy. This outlines the conditions of occupancy, and it is not transferable to other people. The Municipality has expressed that they wish to move towards providing title deeds to people who qualify.

## 9.8 Housing Consolidation

---

The NGO's work within Grabouw informal settlements did not prepare the residents for formal housing. The training provided through the NGO focused on conflict resolution and managing conflict.

## 9.9 UISP – Progress over the period – reflections

---

There is recognised progress over the period of ISSP implementation in the TWK, both from the NGO and Municipality. Although there are barriers and lessons learnt that the Municipality has recognised and hope to move forward with the process with these in mind.

Since the implementation of the ISSP in Theewaterskloof there has been a shift in focus and mindset of TWK towards ISU. The Municipality values the programme and has expressed satisfaction.

The Municipality wishes to extend the ISSP beyond their HS department and recognises this as a crucial step forward. The town office is not involved in this process, and this is perceived as a barrier to the process (TWK KSI, 2021). The Municipality hopes to include more departments going forward (TWK KSI, 2021)

However, the Municipality recognises that this programme has provided the community with hope, however implementation can take up to 4/6 years and this is recognised as a disjuncture between the NGO engagement and the timing of project implementation.



## 9.10 Conclusion and Recommendations

---

The Municipality regards the work that the NGO did as valuable and recognises that their assistance and capacitation is necessary. However, the Municipality is concerned about how to go forward and around continuing the work that the NGO has started. The main barriers are human resource and financial resource constraints.

The community interview could not take place during the time of the data collection phase of this evaluation. Therefore, the community perspectives around the implementation of the ISSP in Grabouw is not fully understood **from the community's perspective**. The views from the Municipality indicate that little progress has been achieved with regards to getting community buy-in, capacitation and empowerment. However, the NGO feels that progress has been made within the community and buy-in and capacitation has taken place.

These conflicting views indicate the need for further investigation into how the community views the programme and to understand how they have gained or experienced the implementation of the ISSP in Grabouw.

### 9.10.1 Institutional arrangements and stakeholder engagement

#### Need for Champions of the ISSP at ward councilor level

On analysis of the available data, there is a need for ISSP champions at the level of ward councillors. The ISSP process and ISU process needs to be introduced and explained to Councillors. There is a need for buy-in from ward Councillors and consequently the championing of the ISSP process through the Councillor. Acquiring buy-in from champions can assist in mainstreaming ISU processes such as the ISSP at community level.

Continuation and strengthening of the relationship between the Municipality and the community through on-going communication and engagement through augmenting Municipal resource capacity.

Engagements between the Municipality and the community need to continue. The Municipality has indicated that they do not have the financial nor human resources to continue the work that the NGO was doing (which was valued by the Municipality). It is therefore important for the Municipality to prioritise the on-going engagements with the community to build on the work undertaken through the ISSP, either through the introduction of service provider or through increasing resource capacity within the Municipality.

Municipality to leverage the ISSP forum to address barriers to ISU (Barrier: settlements on non-municipal owned land).

In some instances, informal settlements have been built on Nationally owned land. This creates a barrier for the Municipality to assist these residents with upgrading the settlement and providing services. The Municipality should prioritise dealing with these types of issues. To do so, the Municipality can leverage the existing transversal structures set up in the ISSP forum. This forum can help solve such an issue and provide more guidance on how to go forward. The ISSP Forum provides a platform for such issues to be

raised and workshopped. This transversal structure acts as a supporting mechanism for which Municipalities can draw for guidance on such issues.

#### 9.10.2 Capacity to support programme / project implementation

Create awareness to share and capacitate officials on the existing ISSP documentation

In order to mainstream ISU into the Municipal housing processes, it is important that the Municipalities are aware of the strategic documents and materials that make up the ISSP. It would be beneficial for the ISSP unit to provide a series of seminars/online webinars, or in-person workshops to re-introduce this material and provide tutorials on how to use these materials and tools.

Create a resource capacity development programme of interventions (with potential linkage to Better Living Challenge) supported by understanding of localised need.

There is a need to include more capacity building initiatives for informal settlements residents.

Develop a strategy for ongoing data collection and mainstreaming into planning processes.

The need for this recommendation is evident in the Municipality's inability (financial, skills and human resource capacity constraints) to undertake the multiple processes that will enable data to be fed into the Municipal planning process. The recommendation speaks to the following three recommendations that can assist the Municipality in collecting data and feeding such data to inform the planning process.

1. Develop and adopt an approach or strategy for settlement and Municipal data collection. This must include enumerations and the establishment of or/and the updating of existing community registers.
2. Human and financial resources to support the implementation of the approach/ strategy that is developed.
3. Capacitate Municipal officials on data collection and data quality assurance to support the mainstreaming of settlement level data into Municipal planning process.

Capacitate Municipalities in their budgeting processes through support from the WCDHS.

The Municipality should incorporate the outputs of the ISSP into the Municipal planning documentation aligned to the packaging of ISU projects and programmes. Municipalities require support with the Municipal planning and budgeting process for ISU. Therefore, it will be beneficial to provide capacitation support around funding applications to Municipalities. Support in terms of assisting Municipalities in funding application processes and budgeting can be provided.

Improved internal scoping process for Municipal and Settlement needs.

The municipality needs to undertake an internal scoping process to better understand their capacity constraints and thus their needs in terms of what assistance they require. An internal needs assessment

can be undertaken to retrieve such data. In addition, the Municipality is required to understand the needs of the informal settlements in the area in order to request assistance intending to such. Thus, a process of acquiring baseline data of informal settlements is required.

The Municipality requires support in operations and maintenance of basic services that have been implemented.

The Municipality requires support and funding in operations and maintenance of ISU processes and services that have been implemented to ensure sustainability.

### 9.10.3 Community Participation

Elevating the role of councillor to support or facilitate knowledge dissemination through the community.

The Councillor needs to champion the ISSP and encourage community to attend workshops. Knowledge around the ISU process, what it is and how to participate needs to be disseminated to leadership structures and informal settlement community members. This can be done by means of brochures and flyers or through digital platforms. The community needs to buy-into these processes to participate.

Support, capacitate and empower communities to participate in the IDP process and other ISU processes.

The engagements that had been planned with TWK's Human Settlements Department and the IDP section manager should be rescheduled to take place so that the informal settlement community can be capacitated with knowledge around their role in these processes.

Develop a town-based participation strategy linked to the overall ISU strategy.

Develop a town-based participation strategy including IDP participation and participation in other upgrading initiatives aligned to the overall upgrading approach. Such an approach should, for example, be articulated in the strategic plans of the Municipality and the town-based sections of the SDF and IDP.

### 9.10.4 Basic services and community facilities

The need for a community registrations office within the informal settlement

The data suggests that there is a need for a community registrations office within the informal settlement. The purpose of such a facility will be to streamline information about the informal settlement such as growth patterns, service, and social needs, as well as be an information source for settlement residents about accessing Municipal services. This office can house the live/updated community register with capacitated persons, from the informal settlement, running this office with support from informal settlement committees and the Municipality. This facility can assist the Municipality in better

understanding the needs and growth patterns of the settlement assisting the Municipality to address the needs of the settlement and plan for future growth. If a physical office cannot be established a community register should still be developed and maintained by community members with support from informal settlements committees and the Municipality.

#### 9.10.5 Tenure security

Maintaining an updated community register can assist with tenure and managing growth

This recommendation will be enabled through the recommendations listed under: Develop a strategy for ongoing data collection and mainstreaming into planning processes within the Capacity Support section of recommendations.

The Municipality expressed that an updated community register can assist with tenure and logging complaints. A register that is kept up to date can greatly assist the Municipality in managing the needs and growth of informal settlements in TWK.

This can be achieved through capacitating the Municipality as well as the informal settlement residents, to initiate and maintain a live register that is updated on a regular basis (see section O). Capacitation will be required in the form of skills capacitation for capturing the data, premises for people to work (offices in the informal settlement can be beneficial for those living in the informal settlement and involved in this process), budgeting for skills development and paying wages/salaries to those assisting in the process.

## 10 Case Study 7: Langeberg Local Municipality

### 10.1 The Langeberg Local Municipality (LM) Location and Context

---

Location: Langeberg is a local Municipality in the Cape Winelands District Municipality. It neighbours the Breede Valley, Theewaterskloof, Swellendam, Kannaland and Laingsburg municipalities.

Municipal area: 4518 km<sup>2</sup>

Number of Informal Settlements: The Langeberg Municipality is home to 6 informal settlements

Current Projects / Programmes Underway: There are no current upgrading projects underway although the Municipality is seeking to appoint an implementing agent, to upgrade settlement on the resolution of a NEMA 24G process.

Categorisation of Settlements: ISSP project settlements are categorised as A (Plakkerskamp) and B1 (Mandela Square), although Plakkerskamp is subject to a 24G fine.

NGO appointed through ISSP: Habitat-SA

Settlements forming part of the NGO SLA: Mandela Square, Montagu and Boekenhoutskloof/Plakkerskamp, Bonnievale

Settlement forming part of the Case Study: Boekenhoutskloof/Plakkerskamp, Bonnievale

This evaluation focused on the Boekenhoutskloof informal settlement as indicated in Figure 10.1.

#### 10.1.1 NGO Scope of Work

The Habitat-SA Scope of work as per the Service Level Agreement is as follows:

- Initiation and establishment of Project Steering Committee
- Enumeration
- Community-Based Planning
- Social Facilitation and Capacitation of Municipality to establish and manage Community Registration Office
- Close-out Report



Figure 10.1. Map of Plakkerskamp/Boekenhoutskloof on Bonnievale Langeberg (received from HABITAT-SA, Data: Google Earth, 2021)

## 10.2 Strategic Planning and Mainstreaming of ISU

---

### 10.2.1 Inclusion and mainstreaming in key municipal strategic planning documents

The mainstreaming of informal settlements upgrading into municipal strategic planning documents is present, however with only limited reference to the UISP and the ISSP. Engagements with the Municipality officials have however given perspective that ongoing strategic documentation reviews and future documents to be developed will mainstream the lessons learned through the ISSP projects. From an institutional perspective, the Municipality indicated that the involvement of the NGO as an intermediary between the Municipality and the Langeberg community has positively influenced the co-option of informality perceptions and discourses within the Municipality as an institution.

#### Inclusion of Informal Settlement Upgrading in Integrated Development Plan and Human Settlements

The Municipality's 2017-2022 IDP has a Housing Strategic Objective which gives effect to the national sustainable Human Settlements and Improved Quality of Life outcome. Under this objective, the Municipal IDP targets an effective approach to better integrate human settlements and improve the living conditions of informal settlements residents.

In addition, the Community Services Directorate's Housing Strategic Objective has a predetermined objective to manage and provide access to affordable housing opportunities to all qualifying residents. The Housing Department has been tasked to develop the Human Settlements Plan.

The 2017/18 IDP had prioritised upgrading 450 service sites, where infrastructure works, and planning had been initiated in Boekenhoutskloof. These service sites reduced to 224 from the 2018/19 financial year, as indicated in the LM 2018/19 IDP Review. Furthermore, the Housing Pipeline assisted in accommodating Langeberg residents who were on the long housing waiting list. The IDP prioritised housing provision through this Housing Pipeline, as well as the provision of basic services.

The Municipality has a Human Settlements Plan for the 2014 to 2018 period. It was furthermore indicated in the LM KSI (2021) that an updated Human Settlements Plan is being developed.

#### Strategy and approach to informal settlement upgrading and Municipality wide plan for informal settlement upgrading and phased medium to long term pipeline

The approach to informal settlements upgrading is in line with the Housing Strategic objectives and the Housing Pipeline which is mandated in the Human Settlements Plan. The Langeberg community expressed that the Municipality's existing housing waiting list is longer and dates to many years back.

The demand for housing and the upgrading of informal settlements has brought about a sense of urgency within the Municipality in responding and attending to informal settlements upgrading related responsibilities. The interview with municipal officials revealed that Council is now more efficient in approving plans and recommendations related to upgrading and basic service provision and prioritises the housing pipeline for informal settlements projects.

The Directorate of Community Services houses the Housing Department which deals with upgrading responsibilities. The Housing Manager is responsible for addressing housing issues and works in conjunction with a housing official from each town in addressing housing issues. Housing officials form

the structure through which stakeholder meetings are set and through which Project Steering Committees consult for projects.

The Municipality also approaches upgrading through individual departments, such as the Engineering Services Directorate. The interview with the municipal officials revealed that the Engineering Services Directorate plays an important role in the planning and budgeting for bulk infrastructure provision and servicing. The Engineering Services Directorate is also typically involved in the planning for infrastructure provision for informal settlements, as its inputs are often included in the planning initiation documents for settlement upgrading (LM KSI, 2021).

#### Budgeting for ISU

There have not been direct budget allocations made under specific UISP or ISSP identified projects in either the IDP or the SDF. Nonetheless, some projects aimed at providing basic services and infrastructure, as well as housing opportunities in settlements have been referenced. The Province has been referenced in some instances to have availed resources for service provision. These projects were budgeted for by different Directorates, in some instances by the Community Services Directorate, and in other instances by the Engineering Services Directorate. As such, the sources of funds varied; sometimes from the Capital Replacement Reserve (CRR), while other times from the external financing fund (EFF).

#### UISP projects in the IDP between 2016 and 2021

There are no other specific UISP or ISSP projects referenced in the 2017-2021 IDP, apart from the Boekenhouskloof settlement project. The other generic settlements projects were the upgrading of bulk services for Housing projects in all wards, which was allocated R3 500 000. This project was within the Community Services Directorate, and it was funded through the CRR, as indicated in the Municipality's 2017/2018 Capital Budget Framework.

Under the Community Services Directorate's Strategic Objective 1 – the facilitation of Integrated Human Settlements and Improved Living conditions of all households – several projects were particularly targeted for the 2017-2018 period. One of these projects was the Human Settlements Plan review, which was targeted for completion by March 2018. It is however unclear whether these projects were fully achieved. Another was the construction of 100 new houses in McGregor by June 2018 and the completion of the installation/upgrading of bulk services for housing projects in Bonnievale by June 2018. The IDP also indicated that quarterly meetings with each of seven (7) informal settlements committee were held as part of the identified projects under this strategic objective.

#### UISP projects identified in the MTEF between 2016 and 2021

The LM 2020/21 IDP review incorporates two UISP projects, one for Boekenhouskloof and one for Mandela Square, each of which is supported by planned infrastructure upgrades.



### 10.2.1.1 Integration of ISSP Report

There has not been any clear integration of ISSP reports into the Municipality's current planning documentation, except for guidance in current planning processes and further intentions to capture these in the review phases for the next cycle of strategic plans. Some data on the number of top structures in informal settlements has been updated in the IDP reviews, but this does not appear to have had an impact on the project pipelines as of yet.

## 10.3 Institutional Arrangements and Stakeholder Engagement

---

### Municipal Internal Engagements

In the Langeberg Municipality, the Human Settlements unit falls under the Community Service Directorate, and the Community Services Director. The Community Services Director has been supported by a Housing official in each of the towns in the Municipality. A Human Settlements manager has recently been appointed, starting in November 2021, after the completion of the work of the NGO.

The Community Services Directorate reports to the Council's portfolio committee on community services on Human Settlements matters and Human Settlements decisions are made through the Council.

### Municipality-Province engagements

The Municipality has received ongoing support from the Western Cape Department of Human Settlements (WCDHS) in relation to the Boekenhoutskloof informal Settlement, previously receiving assistance with relocation and materials for the settlement (LM KSI, 2021). In terms of the ISSP project, the Municipality was approached to participate by the WCDHS, at a point when the Municipality was planning for an upgrading project in Boekenhoutskloof. This project was then linked to the ISSP work, and a Project Initiation Document (PID) has been completed with funding indicated for the 2021/22 financial year. The Provincial ISU was described as very engaged in relation to ISSP work, although from a distance.

However, the relationship between the Municipality and the Province from a Human Settlements' perspective is being challenged by the issuing of a 24G fine to the Municipality by the DEADP, which the DEADP argues to be issued due to the contravention of the NEMA regulations. The Municipality feels that it has been fined despite following the advisory guidance and receiving support from the WCDHS about relocating the Boekenhoutskloof Informal Settlement onto the land portion in question (LM KSI, 2021).

### Stakeholders at a municipal level

A few other Municipal Departments have had limited involvement in the ISSP project, although they have been involved in the Municipality's efforts to plan for the upgrade of the settlement. A notable contribution is from the Fire Department which was drawn into the process by the NGO after addressing fire safety issues, after being identified as a specific need for the community.

## Reporting

The NGO provided project progress reports to both the Province and the Municipality, and they were taken to Council. The Municipality describes the WCDHS as having played a very hands-on role, though remotely, with regular meetings taking place (LM KSI, 2021).

## Relationship between Langeberg and the NGO

The NGO identified the Municipality as being willing to participate and learn through the process, amidst municipal capacity challenges (HABITAT-SA KSI, 2021). The Municipality understood the role of the NGO as providing them with key information about the settlement through the enumeration process, and is enthusiastic to use this information, but is less engaged in the concept of community-based planning, rather than planning for the community (LM KSI, 2021).

## Other involved stakeholders

An SLA has been identified as an implementing agent for upgrading work in Boekenhoutskloof. Progress on work has however been delayed by the need to regularise environmental authorisation before planning can be completed and upgrading can begin.

## 10.4 Capacity to support programme/ project implementation

---

### 10.4.1 Municipal Resource Capacity

The limited municipal resource capacity has been a challenge impacting the workflow and progress made on the project. The NGO identified that a lack of staffing capacity meant that they had limited engagement at times, and that it was left to engage the community in the absence of the Municipality. This was acknowledged by the municipal officials, who described the Human Settlements unit as a “one-man show” (Langeberg Municipality KSI, 2021).

### 10.4.2 Capacity Support offered through the NGO Framework

As outlined in the institutional arrangements section, Langeberg has limited capacity in terms of officials available and designated to do Human Settlements and informal settlements work. Within this context, municipal officials and the ward councillor found the added capacity and support from the NGO to be useful both in providing key data about the settlement, and in enabling better engagement with the settlement community (LM KSI, 2021). This was attributed to the accrued trust assumed from the impartiality and neutral grounds with which the NGO entered the community. The perceived impartiality of the NGO was also identified to have enabled the success of the work, which may not have been possible with pure municipal capacity (LM KSI, 2021). The municipal officials also identified that the lack of capacity limited their ability to engage with the ISSP forum but found information to be shared there useful for forward planning (LM KSI, 2021).

### 10.4.3 Municipal Financial Capacity

While human resources capacity within the Municipality is constrained, there has been some municipal budget identified to provide some services, to its informal settlements, with the provision of toilets being identified as a priority by the Municipality (LM KSI, 2021). R750 000 was allocated in the reviewed LM IDP Budget for 2020/2021 for Boekenhoutskloof to follow on from the ISSP NGO work. The Municipality has also demonstrated capacity to submit project applications to the Province, to access funding through the Province (LM KSI, 2021). This being contingent on its ability to regularise the environmental issues identified in the 24G notices and pay the associated fine.

The LM IDP indicates that R11 250 000 has been allocated for Human Settlements project by the Province for the 2020/21 financial year for proposed and existing projects, through the HSDG. However, this drops to zero in the 2021/22 financial year (although capital budget is allocated for bulk services and electrification, through CRR, WSIG and INEP), and to R9 840 000 in 2022/23. R 2 000 000 is allocated for informal settlement upgrading through ISUP in 2021/22 and R23 000 000 in 2022/23, split between the Boekenhoutskloof and the Mandela Square settlement. This is a reduction on allocation identified in the 2017 - 2022 IDP, which indicated budget of R32 150 000, R22 500 000 and R20 000 000 for the years 2017/18, 2018/19 and 2019/20 respectively.

While finance has been allocated for these projects, the enumeration undertaken has revealed that there are considerably more households in the Boekenhoutskloof settlement which were planned and budgeted for, an increase, from 224 to about 580 households.

#### Funding of the capacity support offered through the ISSP

The LM 2018/19 IDP review compiled ten (10) top prioritised projects for the Municipality from the 2017/18 financial year, in which 500 services for Mandela Square in Montagu and 563 services for Boekenhoutskloof were identified under the ISSP/UISP projects (LM IDP Review, 2018:67). Although there has not been clear information on capital budgeted for these projects during the 2017/18 and 2018/19 financial years, the 2018/19 IDP review indicated a R10 million capital budget for each of these two projects for the 2019/20 financial year, to be funded by the WCDHS (LM IDP, 2018). WCDHS

It is clear that the Boekenshoutskloof and Mandela Square services provisions remain the prioritised ISSP projects within the LM, which have been cross-referenced across the 2017/18, 2018/19, 2019/20, 2020/21 LM IDPs, as well as the 2018 LM Housing Pipeline Progress Report. There are however distinctions across these documents in terms of the capital budget allocation amounts between the Housing pipeline and the IDP review. For instance, the 2018 Housing Pipeline Progress Report indicates that R13 440 million and R4 380 million were allocated for the Boekenhoutskloof project (with 224 targeted services) and Mandela Square (with 173 service sites) respectively, however the LM IDP 2020/21 review indicates R750 million was allocated for the Boekenhoutskloof project, while no figure was recorded for the Mandela Square project. Nonetheless, the LM 2020/21 IDP review indicates that R1 million is allocated to both projects for the 2021/22 period, while R10 380 million is allocated for the Mandela Square project, and R 13 440 million for the Boukenhoutskloof project for the 2022/23 period (LM IDP Review, 2020).

## 10.5 Community Participation

---

### 10.5.1 Community Involvement in IDP processes

The Boekenhoutskloof Community has had a longstanding representative committee, dating back to at least 2006, when the current chairperson first joined. It has had periods of high and low activities. In 2015/16 the ward councillor and Community Development Manager sought to renew and reactivate the committee, and the current committee was elected by the community. The NGO appointed to undertake ISSP intermediary work worked through this committee, after being introduced to it by the Municipality. The chair of this committee has also acted as a ward committee member for Langeberg Ward 4.

#### Role of the NGO in establishing community leadership structures and enhancing community engagement

While the leadership structure pre-dated the arrival of the NGO, both the community representatives and the Municipality identified the NGO as having played a significant role in empowering and building capacity amongst community leaders (Langeberg IS Community Representatives, 2021; LM KSI, 2021). The Municipality identified that community representatives have a much better understanding of upgrading processes and processes within the Municipality (LM KSI, 2021). Community leaders described feeling empowered to better engage with community members, particularly on contentious issues, and in managing conflict (Langeberg IS Community Representatives, 2021). The Langeberg community representatives also described the NGO assisted in improving communication channels with the Municipality and helping to identify the correct contact point to resolve issues (Langeberg IS Community Representatives, 2021).

The Municipality has also expressed that the shift in the community's understanding of municipal processes has contributed to the reduction in community demonstrations, as the officials believe there has been a better communication channel which facilitated transparency between the community and the Municipality (LM KSI, 2021).

Community leaders identified that the enumeration process had also helped them to understand the context of the settlement better, particularly in relation to the growth in households in the settlement and the implications of this (Langeberg IS Community Representatives, 2021).

The community identified that they had worked with NGOs before but felt that the work of the NGO was different because of the emphasis on educating the community and the committees, although they indicated that they had yet to see a tangible change in servicing as a result of the project (Langeberg IS Community Representatives, 2021).

#### Municipality-Community Relationship

Both the Municipality and the community representatives indicated that the relationship has improved between them since the NGO began its work (Langeberg IS Community Representatives, 2021; LM KSI, 2021). Municipal officials described the community leaders as having a better understanding of processes, while the ward councillor described engagements as being less conflict oriented than before. As a result of the NGO framework, the Municipal officials have expressed that the working relationship between the community and themselves has improved to a significant extent (LM KSI, 2021). The Fire

Department identified that the work of the NGO had opened up a new way of working with communities, allowing them to engage directly, as opposed to engaging through businesses and schools. It allowed for practical demonstration on fire safety, including how to contact fire emergency services and how to use smoke detectors. The latter skills have contributed to the community's livelihood improvement, as it is believed to reduce mortalities associated to fire outbreaks.

#### Social Compacts

At the time of writing, no social compact was in place between the Langeberg informal settlements communities and the Municipality.

## 10.6 Basic Services and Community Facilities

---

Services which exist in the settlements are based on a previous basic services intervention made in the settlement serving 110 households. The settlement has now grown to 580 structures at the time of the enumeration. Households in these 580 structures (and from additional structures that have been built since the enumeration) are relying on the existing services to serve the 110 households. These services were provided in 2013. This additional demand is placing strain on these services, in particular water and sewerage, as the bulk infrastructure is not in place to support this scale of settlement. The Municipality has planned for installation of adequate bulk services, but the 24G notice previously referred to is an obstacle to this.

After the enumeration and in response to engagement with the fire department through the NGO, the Fire Department installed smoke detectors in all settlement houses, through a programme supported by the private sector.

COVID-19 awareness workshops were also held, but other community services and facilities were not included in community planning discussions, according to the Langeberg community representatives as they did not feature highly in the community's prioritisation process.

The community representatives presented mixed responses about progress toward basic service after the completion of the work of the NGO. Some leaders felt that in practical terms, the NGO has not changed the status of services in the informal settlement, while others believed that the NGO has completed the underground preparatory work, and that the responsibility has been handed over to the implementation agents.

## 10.7 Tenure Security

---

In terms of tenure arrangements, little work appears to have been done to improve the tenure security of those residing in informal settlements, in either of the settlements addressed through the ISSP. Only the 111 recipients of serviced sites from the 2013 upgrading work appear to have been given administrative recognition to stay in the settlement, through leases. Otherwise in both Mandela Square and Boekenhoutskloof no forms of tenure security appear to have been enabled.

Relocation has been discussed with residents of Boekenhoutskloof and a site acceptable to the community identified, owing to the high potential for flooding in the current location. The data collection process gathered that there was more squatting in Mandela Square and no progress in legalising the area, however Boekenhoutskloof was described to be more arranged.

### Enumeration

The enumeration was undertaken with the support of the community leadership. Local enumerators were identified, primarily students, the advertisements in the local shop. Emphasis was also placed on recruiting women as enumerators. A locally contextualised questionnaire was used, and data collected manually, and later captured by two community members digitally, at the ward councillor's office. The use of students for the enumeration created some challenges in terms of timing of the enumeration, in balancing educational commitments. A service provider was brought in by the NGO to do the mapping based on the enumeration data.

The enumeration data was analysed with the community through community, and a social scoping report was developed out of it. The enumeration data was supplied to the Municipality and WCDHS.

While the enumeration data has proved useful to both the Municipality and the community members, according to interviews, now a mechanism has to be put in place by either the Municipality or the community to keep this database up to date. The community does not monitor and track who moves into the settlements, and leaders feel it may be risky to do so.

## 10.8 Housing Consolidation

---

Limited work has been done in Boekenhoutskloof in terms of housing consolidation through the ISSP process. The NGO emphasised not raising community expectations beyond what it thought was realisable in the short to medium term, and so did not engage on the possibility of top structure provision.

## 10.9 UISP – Progress over the period – reflections

---

While both the Boekenhoutskloof and Mandela Square settlements were identified for UISP or IRDP projects in the 2014 Housing Plan, progress has been made in more recent years alongside the ISSP process in the use of UISP. This is apparent through the submission of PIDs for UISP projects and planning for bulk services provision, in particular to Boekenhoutskloof, with funding allocated on the MTREF and IDP. This signals an improvement on uptake of the UISP in the Langeberg Municipality.

However, key to continued progress on the project will be the resolution of key environmental issues around the Boekehoutskloof site.

## 10.10 Conclusions and Recommendations

---

The Langeberg case has contributed insight into understanding the different dynamics within the informal settlements upgrading discourses. This case has shown the important role NGO intermediaries play towards facilitating and engendering upgrading objectives to success. The NGO has particularly manifested how entering the development space without partiality or favour can be instrumental in forging trust between stakeholders and enabling collegial working relationships between municipalities and communities they serve. Nonetheless, the case has also given insight into some of the notable working limitations and challenges, which this report wishes to address in adoption of the following recommendations:

### 10.10.1 Institutional Arrangement and Stakeholder Engagement

The ISSP forum should assist in connecting Municipalities to Provincial Stakeholders to help resolve issues (issue: 24G application) that hinder ISU progression

The Municipality finds itself in the midst of conflicting rationalities and administrative will and capacities between the DEADP and the WCDHS regarding the environmental authorisation around 24G applications. The WCDHS should initiate conversation with the DEADP to resolve this issue, to enable the Municipality in going ahead with the planning and ensure the value of engaging with the ISU is entrenched in the municipalities experience.

Continuation and strengthening of the relationship between the Municipality and the community through on-going communication and engagement.

The Municipality should explore ways to hold open and continuous social discussions and meaningful engagements with the community, as a means to enhance transparency and trust between the two partners, to educate the community on the development processes and durations. This will help build an informed and empowered community. Communication could be strengthened through online platforms.

### 10.10.2 Capacity to Support Programme/Project Implementation

Localisation of municipal officials / Beneficiary liaison facility

The Langeberg Municipality needs to establish municipal capacity to manage and consistently update the data gathered by the NGO during the enumeration process. The data is essential to inform the planning and budgeting processes, particularly if there are delays between enumeration and implementation.

The WCDHS should explore providing support to the Municipality through building capacity for its staff

The WCDHS should explore options to assist in creating additional staffing capacity for human settlements in the Municipality. Current limited staffing capacity creates the risk of enumeration and other NGO work losing value as progress stalling, and momentum being lost as staff is committed elsewhere. This has been ameliorated to some extent by the recent appointment of a Housing Manager.

The Municipality should be provided with human resource support for the facilitation of relocations.

In partnership with the WCDHS, the Municipality should contract services of a social facilitation partner not part of the Municipality to assist in relocation processes, where necessary. This can assist in facilitating the process effectively and efficiently.

The Municipality should mainstream the successes of the ISSP processes into municipal documents.

The Municipality should ensure that data and community engagement processes acquired and developed through ISSP work are incorporated into the Municipality's planning documents; some of which are under ongoing review, in particular the Human Settlements Plan.

### 10.10.3 Community Participation and Empowerment

Support the continuation and strengthening of the community engagement platform established through the ISSP.

The Municipality should ensure the sustainability of the community engagement platform established by the NGO by ensuring that different directorates and units within the Municipality make use of the platform to educate and empower the community on various functions and mandates of the units.

Support the Municipality to implement participatory planning methodologies and move away from top-down planning approaches.

The Municipality needs to continue to deepen its shift from an upgrading strategy based on a 'planning for communities' approach to 'community-based planning'.

The meaningful engagement of communities should be sustained throughout the upgrading processes (from data collection and planning to implementation). Where ISSP work has been undertaken, this should be leveraged, and subsequent phases of ISU interventions should be undertaken through participatory planning methodologies as intended by the UISP.



# 11 Case Study 8: Swartland Local Municipality

## 11.1 The Swartland Local Municipality (SWM) Location and Context

---

Location: Swartland is a local Municipality in the West Coast District Municipality. It neighbours Saldanha Bay, Berg River, Drakenstein, and the City of Cape Town.

Municipal area: 3707 km<sup>2</sup>

Number of Informal Settlements: The Swartland Municipality (SWM) is home to 4 informal settlements

Current Projects / Programmes Underway: ASLA is implementing an upgrading project on behalf of the Municipality after the completion of CORC's SLA. ASLA had a pre-existing contract with the Municipality that enabled quick delivery of basic services. A 2 to 1 service ratio was negotiated between the community and the Municipality, with the support of CORC.

Categorisation of Settlements: Settlements in Swartland are categorised as A and B1.

NGO appointed through ISSP: CORC

Settlements forming part of the NGO SLA: Sibanye

Settlement forming part of the Case Study: CORC was appointed to undertake work in three settlements Enkanini, Langrug in Stellenbosch and Sibanye in Swartland. The settlement forming part of the Case Study: Sibanye (see Figure 11.1).



Figure 11.1. Map of Sibanye Informal Settlement (Source: Google Earth, 2021)

### 11.1.1 NGO Scope of Work

The Scope of the NGO as per the Service Level Agreement is listed below:

- Inception/status Report on process. This to include a detailed Project Plan with timelines on when all the deliverables will be met
- Report on Capacity and Skills Training Workshops
- Community mobilised, project introduced, informal settlement structures numbered, community team selected and first monitoring session complete
- Databased cleaned and verified
- Verified and signed-off database and fieldwork exercise completed (geo-database for structures, and socio-economic services, enumeration database)
- Submission of enumeration report
- Reports on outcomes of Housing Consumer Education
- Report on Development Guidelines Workshops
- Final report: Interim Basic Services Plan report

## 11.2 Strategic Planning and Mainstreaming of ISU

---

### 11.2.1 Inclusion and mainstreaming in key municipal strategic planning documents

The SWM IDP (2017-2022) has mainstreamed the informal settlements upgrading theme in its developmental agenda. The IDP recognises the upgrading of informal settlements and fixing housing market gaps as one of its critical actions in giving effect to the IDP implementation. It furthermore has an objective to upgrade all informal settlements on suitable and well-located land by 2030. Moreover, accelerated upgrading of informal settlements is identified as one of the short-to-medium term policy priorities in the plan.

The SWM also has a Human Settlements Plan which provides an array of available government subsidised housing, increasing citizens' access to various work opportunities and urban amenities, as well as maintaining a balance between the paying of non-paying households. Under the heading '3.2 *Informal Settlements: Assessment & Categorization*', the plan has provided the number of informal structures per ward, however no informal settlements categorisation has been done. The 2020 revised Human Settlements Plan moreover asserts "although there are no informal settlements, overcrowding and informal structures are present in Swartland settlements" (SWM HSP 2017-2022, 2022:14), which could explain the absence of categorisation. This finding revealed the Municipality's initial denial of the informal settlements' presence within the Municipality. The Municipality's large emphasis is rather on the 'informal structures' presence than the presence of an 'informal settlement' in its entirety. The evaluation process has however established that this positionality on the presence of informal settlements has shifted to recognise and accept their presence, as reflected in the SWM 2020 HSP.

### Inclusion of Informal Settlement Upgrading in Integrated Development Plan and Human Settlements

The SWM SDF (2017-2022) only makes reference to the informal settlements upgrading theme by mention of the Upgrading of Informal Settlements Programme (UISP) as one of the government programmes to subsidise housing provision. The SDF has not made a specific focus on informal settlements, neither their upgrading, apart from a brief alignment to IDP's informal settlements provisions. Closely related themes, such as housing and land demand, are however briefly discussed

from an overarching perspective. Findings from data collection indicate that there are intentions to incorporate to informal settlements in the Municipality's SDF.

With regards to the Land Use Management scheme, the SWM Land Use Planning By-Law (2020) has a 'Residential Zone 4: Incremental Housing (R4)'. This zoning's objective is 'to allow for upgrading and incremental housing transforming informal settlements into formal settlements' SWM Land Use Planning By-Law (2020:91).

Strategy and approach to informal settlement upgrading and Municipality wide plan for informal settlement upgrading and phased medium to long term pipeline

The SWM has a 20-year sustainable Human Settlements goal to eradicate all informal housing structures by 2040 within its jurisdiction (SWM HSP 2017). This goal has been aligned to the IDP and the SDF. This goal has been translated into the Municipality wide plan to tackle any form of informality through upgrading the identified Transitional Relocation Areas (TRAs). These transitional areas have become incremental developments in Chatsworth, Moorreesburg (Sibanye) and Riebeeck Kasteel, for which the 2020-2023 housing pipeline is intended.

Budgeting for ISU

The 2017 Human Settlements Plan indicates that the Department of Human Settlements developed a variety of funding models through which the Municipality provided housing. The GAP housing, UISP, and IRDP are some of the models through which the Municipality budgeted for housing provision within the Municipality. Although the budget allocated to informal settlements upgrading between 2016-2021 is unclear, a budget of R346 830 936 was spent for the provision of 7344 units and 1094 serviced sites between 2014 and 2020 (SWM HSP, 2020:25).

Furthermore, the findings obtained from data collection show that informal settlements upgrading budgets within the Municipality have been obtained from the Department of Human Settlements. The findings further reveal that the Municipality applied for all the budget that was availed by the Department.

UISP projects in the IDP between 2016 and 2021

In terms of the UISP projects, the IDP has not substantially indicated the number of these projects between 2016-2021, although some reference has been made to the Housing Pipeline – which covers from 2020-2023. The Human Settlements Plan, however, gives some better context on the projects, indicating that most of the projects in the Housing Pipeline are linked to the Transitional Relocation Areas (TRAs) which include areas, such as Sibanye, for which the current pipeline provides for 4619 sites and 1983 units from 2020 to 2023, to be funded through the UISP funding model.

UISP projects identified in the MTEF between 2016 and 2021

There has not been a clear definition of or reference to UISP projects in the annual budget reports between 2016-2021. Generic references to housing needs being provided through the Housing Pipeline have been made, however with no further details.

## Integration of ISSP Report

There has not been any explicit integration of ISSP reports into the IDP, neither the Human Settlements Plan. Nonetheless, the NGO has done some data collection work which could be integrated in the Municipality's future planning work.

## 11.3 Institutional Arrangements and Stakeholder Engagement

---

### Engagement internal to Municipality

The SWM Organogram, updated for 2021, included three filled posts for its Human Settlements Department. The posts included are the Human Settlements Manager, a Housing Officer and a Capacity Building Clerk. The Human Settlements Department sits in the Development Services Directorate, which also includes Community Development, Built Environment (incl. Town and Regional Planning) and Environmental and Occupational Health and Safety Departments. Civil Engineering Services, Electrical Engineering Services and Protection Services sit in separate Directorates. The Municipality has a regular housing coordination meeting where they discuss housing project across the Municipality.

A Project Steering Committee was established on the implementation of the ISSP project. This committee included representation from the municipal Human Settlement Department, from CORC, the NGO appointed to undertake ISSP activities in the Sibanye settlement and representatives from informal settlements forum.

While the housing coordination meeting occurs and the Project Steering Committee established, the low level of engagement from across the Municipality suggests that addressing informal settlements remains a somewhat siloed activity in Swartland.

### Municipality-Province engagements

Data collected through interviews suggests that the Municipality and the ISU have a functional working relationship. The Municipality initiated the ISSP project through direct engagement with the manager of the ISU and collaborated with the ISU to determine the scope of the project. Two provincial officials then participated in the projects steering committee.

### Stakeholders at a municipal level

In the planning meeting for the fieldwork for undertaking this evaluation number of stakeholders from the municipalities side were identified as having a role in informal settlements work, including corporate services, town and regional planning, law enforcement and local economic development Departments within the Municipality. However, engagement of these Department in the ISSP process appears to have been limited, with occasional ad hoc participation, rather working through the Human Settlements Department.

## Reporting

Reporting in relation to the ISSP occurred through the Project Steering Committee, attended by both the Municipality and the community, as well as provincial officials, in addition to the submission of project outputs to the WCDHS.

## Relationship between Swartland and CORC

Municipal officials described having a good relationship with CORC, describing them as playing a “major” role, identifying that in particular, it was useful to have the NGO playing an intermediary role. CORC had enough buy-in from the Municipality that it was able to support the community to negotiate with the Municipality on service ratios for basic services and get the Municipality to increase its offering. From the NGO’s perspective it viewed its relationship with the Municipality and with the informal settlements’ community as a partnership, and this was aided by the fact that they had been appointed by the Province and so appeared somewhat neutral. Data from interviews suggests that at times the Municipality was unable to engage fully in the ISSP process and needed some support and clarification of the role that they need to play, rather than relying heavily on CORC as the intermediary organisation.

## Other involved stakeholders

ASLA had an existing contract with the Municipality for an IRDP project. The Municipality was able to use this contract to provide serviced sites to the informal settlement timeously after the completion of the ISSP work done by CORC. No appointments of services provider, contractors or implementing agents were made specifically in response to the ISSP work.

The CCDI also provided support to the ISSP work by conducting a workshop on home building in informal settlements.

## 11.4 Capacity to support programme/ project implementation

---

### 11.4.1 Municipal Resource Capacity

The Municipality expressed a constrained staff capacity within the Housing and Human Settlements units. Being a small Municipality, it was established from the interview with the Municipality that it only has three (3) municipal officials to attend to all eleven (11) towns within the Municipality. This is an indication that the unit’s resource capacity is highly strained and bound to have an impeding impact on the efficient and effective service delivery within the housing and upgrading operations of the Municipality.

### Capacity Support offered through the NGO Framework

The Municipality acknowledges that it struggles with capacity to address informal settlements, both in terms of monitoring, which is done by law enforcements, but also in terms of planning for upgrading, which fall on the three human settlements officials, who also have the responsibility for managing other

housing programmes in the municipalities. The human settlements Department has identified that it would be ideal to include planner and engineers but does not see this as feasible within a small Municipality.

Both community stakeholders and municipal stakeholders identified that CORC had increased the Municipality's capacity to engage with the informal settlements community and the community's ability to engage with the Municipality (SWM KSI, 2021; SWM Community Representative KSI, 2021). However, concerns were raised about the Municipality's ability to absorb capacity development efforts, because of a lack of capacity and availability to engage fully in the project's activities.

#### 11.4.2 Municipal Financial Capacity

##### Business plan and pipeline

The SWM HSP 2014/15 included a project pipeline covering until the 2020/21, which covered 18 projects. During the 2014/15 financial period, one (1) UISP project was identified for Chatsworth, allocated R4 000 000 (SWM HSP, 2017:167). The majority of funding identified for the 2014/15 period was allocated for IRDP projects in Malmesbury, Moorreesburg and Abbotsdale. A possible UISP project was identified in Malmesbury for 2014/15, to the value of R18 000 000, although unclear whether it was implemented.

The 2017-2022 SWM HSP revised in 2020 shows 3 UISP projects in the project pipeline, covering Moorreesburg, Chatsworth and Riebeek Kasteel, identified for implementation by the end of the 2022/23 financial year, covering 680 serviced sites, and requiring funding of about R20 000 000. PIDs have been submitted and approved for the Moorreesburg project and the Riebeek Kasteel project.

The 2017-2022 SWM IDP indicated dedication towards Human Settlements through capital and operational budgets sourced, both from within the Municipality and from the WCDHS. Numerous allocations for the SWM Human Settlements unit were made through the WC Province's Human Settlements Development Grant. These included the R41 160 000 for the 2021/2022 period, R47 210 000 for the 2022/23, and R19 760 000 for the 2023/24. The SWM 2017-2022 IDP furthermore indicated that the Housing Pipeline however, has a value of R64 330 000, R81 620 000 and 75 250 000 for each of these years respectively, with the bulk of this allocated to IRDP projects in Malmesbury. This correlates with the lack of funding availability identified by municipal officials in the municipal engagement.

##### Funding of the capacity support offered through the ISSP

As per the NGO SLA, the Municipality was provided with support which covered community mobilisation, capacity, and skills training, numbering of structures and enumeration, housing consumer education, development guidelines and an interim basic services plan. These items were delivered, and a revised version of the interim basic service plan implemented.

## 11.5 Community Participation

---

### Community Involvement in IDP processes

The Sibanye Community had a pre-existing representative committee that was formed in 2018 following a community protest. This committee became the committee that CORC engaged with, preferring to work with existing leadership structures rather than establishing new structures. Community representative from this structure formed part of the ISSP Project Steering Committee. The committee as a structure continued to be active after the completion of CORC's SLA, but the membership and leadership of the committee has changed. Some institutional memory from the previous committee is retained on the new committee.

Another structure established through the work of CORC was a savings groups to provide a form of social safety network beyond the timelines of the project. At the time of engaging the community leadership this group was still active.

A third community group established after CORC completed its SLA was a community gardener group established during COVID-19 to both provide food and prevent use of sites identified for future housing for dumping or occupation.

### Role of the NGO in establishing community leadership structures and enhancing community engagement

While CORC engaged with an existing community leadership structure, that existed and met regularly before CORC's arrival, it also broadened community participation through the enumeration process and the programme of workshops it ran. These workshops covered capacity building within the leaderships structure, housing consumer education workshops and a series of workshops to plan for based on the information gathered in the enumeration process. The enumeration process also drew in the participation of the wider community, with local community members appointed and trained as enumerators.

The community representative reflected that they had a good relationship and good communication with CORC. The community leaders reflected that the work of CORC was empowering, both in terms of increasing their ability to engage with the Municipality and to interact with their own community members (Sibanye Community KSI, 2021).

Overall, the community were very satisfied with the support provided by CORC. A number of aspects of CORC's work were identified in particular, including support to community leaders in engaging and negotiating with the Municipality, training in relation to the layout of plots to reduce crimes and other safety issues, like fire (Sibanye Community KSI, 2021). Assistance in negotiating service ratios and plot sizes with the Municipality and ASLA was identified, where the municipalities 5 to 1 proposed service ratios for serviced sites were renegotiated to 2 to 1 ratio, which came nearer the community's plan of 1 to 1 service.

### Municipality-Community Relationship

Both the Municipality and the community identified that the relationship between them had improved since CORC's work had been undertaken. The Municipality identified that they had a good relationship with the community but had concerns about raised expectations in the community given the

Municipality's limited resources (SWM KSI, 2021). The community identified that the Municipality is easier to engage with, engages more regularly and communicate with, and points of communication are clear. However, some concerns were expressed about the municipalities level of engagement on difficult issues, particularly after CORC's work has been completed. A particular issue is the explanation and negotiation of contracts that the Municipality has asked recipients of serviced sites to sign, with the community being unhappy that the conditions of the contract have not been explained and are not being negotiated. Further concerns have also been raised about the impact of the local election on the future of the relationship (SWM KSI, 2021).

One significant threat to the relationship between the community is the inconsistencies in information between the municipal housing database and waiting list, and the information collected during the enumeration. With the community considering the information in the enumeration more accurate, but allocation of sites being done according to the database.

### Social Compacts

No social compact is yet in place between the Swartland informal settlements communities and the Municipality.

## 11.6 Basic Services and Community Facilities

---

The settlement has received serviced sites with taps, toilets and electricity, with taps and toilets provided on a two to one ratio. According to community 230 sites were allocated. These were serviced during the 2020/21 financial year as part of ALSA existing IRPD contract in Mooreessburg. The work of CORC during the ISSP enabled the provision of these services in a way acceptable to both the Municipality and the community, although community leaders still feel that the one-to-one services ration identified in the development guidelines and plan developed with CORC is preferable and should be the goal.

The CCDI workshop held to building techniques in for structures was identified as coming too late for community members to take advantage of, as sites had been serviced, allocated and occupied by the time the workshop took place, so new structures had already been built on sites.

The community identified that despite the land being owned by Municipality that they were responsible for the maintenance of services, and that when things broke, community members had to pay for parts for them to be repaired, and when they did not do these items such as toilets remained unrepaired for several months.

In addition to the provision of basic services, CORC and the community developed a play park for children in the settlement which CORC sourced funding for. The CCDI also built a two-storey zinc structure as part of their workshop, which it used by the community for community meetings and other events.



## 11.7 Tenure Security

---

Site allocation, tenure and tenure security remains a contentious issue within the settlement. The community describes the site allocation process as being less than ideal. In their account sites were allocated by the Municipality according to a list held by an official. No documentation was provided to site recipients during the allocation process. Further, the community representatives indicated that they had requested the presence of law enforcement during the site allocation process to prevent occupation of as yet unallocated sites, but that this had not happened, with the result that people who were not supposed to be allocated sites occupied sites (Sibanye Community KSI, 2021). Furthermore, the previously mentioned inconsistencies between the enumeration information and the housing database and waiting list also caused dissatisfaction in the allocation process, as the role of the community leadership committee in the allocation of leftover sites, where it was felt that nepotism played a role.

After sites had been allocated, the Municipality asked recipients to sign a contract. The community largely refused to sign this contract. The reason identified for refusal include the lack of consultation by the Municipality on the contract, the lack of explanation of the Municipality of the terms of the contract to community members. Community representatives identified that several terms of the contract were unsuitable and discouraged them from investing in their homes of their allocated sites. These included the land remains the property of the Municipality, that the right to occupy the sites is specified as temporary, and that businesses were not allowed to operate in the settlements. Further fears of signing the contracts would disqualify them from receiving future housing allocations. The fact that beneficiaries of other housing project in the Municipality were not asked to sign similar contracts also caused consternation. The overall perception is that these contracts make tenure less secure rather than more secure. In its interview the Municipality indicated that it needed assistance in explaining the importance of these contracts to settlements residents, which suggests some limitations on the improved communication between the Municipality and settlement community (SWM KSI, 2021).

### Enumeration

Enumeration took place through the mobilisation and training of enumerators from the community. The community was informed about the enumeration through a community meeting, and the enumeration was undertaken using the Kobo Collect app.

The community consider the enumeration data collected through the CORC work as being the most up to date register of community residents. The data has been passed on the Municipality and used for verification of the waiting list, but this verification process has been identified by the community members as a cause for concern. Some concerns were also raised about the accuracy of this information, as enumerators were encouraged not to question answers received from residents during the enumeration process.

Unfortunately, there appears to be no structures in place within the community to maintain a register of community members on an ongoing basis.

## 11.8 Housing Consolidation

---

There has been limited work towards housing consolidation in the settlement, with the only focus on top structures being the CCDI workshop.

## 11.9 UISP – Progress over the period – reflections

---

There appears to be an increase in the uptake of UISP projects in the SWM, from one possible project identified for the pipeline in the 2014/15 housing plan to 3 projects included in the pipeline in the 2017-2022 pipeline. Two of these projects have had a PID submitted and approved, including Sibanye, where a PID has been submitted and approved for UISP for 115 serviced sites in Sibanye in the settlement requiring R1 296 000. The community is aware that future serviced sites will be provided and has taken steps to limit the occupation of this land through its food garden initiative.

## 11.10 Conclusion and Recommendations

---

The ISSP approach has largely been successfully implemented in the SWM. Leadership in the settlement has been capacitated, the settlement upgraded and the relationship between the Municipality and the community improved. However, the key issue that remains is the need to ensure the sustainability of the progress achieved. Recommendations for this case are outlined below.

### 11.10.1 Institutional Arrangements and Stakeholder Engagements

Develop a municipal-wide structure to deal with cross-Departmental informal settlements upgrading

Within the context of a Municipality with limited resources and a small Human Settlements Department, structured cross-Departmental support is key to the implementation of informal settlements projects. This structure should include engineering service, legal, law enforcement and as well as the Housing Department at least.

### 11.10.2 Capacity to Support Programme/Project Implementation

Specific protocols should be put in place to manage the distribution of upgraded sites to the community, including a role for support by law enforcement during the process

A protocol should be established, documented, and shared with the community for the distribution of serviced sites. This should include documentation of the handover both kept by the Municipality and given to the recipients of sites. Law enforcement should take part in the handover process.

### 11.10.3 Community Participation and Empowerment

Engage residents of Sibanye on terms of contract in detail and ensure it enables sustainable livelihoods

The Municipality should actively and urgently engage the residents of Sibanye on the terms of the contracts that they have been asked to sign. Legal support should be included to clarify terms and clauses in the contract. If there are clauses that prohibit economic activities within the settlement, these should be removed, as they obstruct the goal of sustainable livelihood, unless these activities are detrimental to the area. The rights of site recipients in relation to their position on the housing waiting list or as potential beneficiaries of other human settlements programmes should be clarified.

Develop and implement a protocol with the community to reconcile the enumeration data with the municipal housing database and waiting list openly and transparently and which clearly determines precedence

A project should be undertaken to reconcile the enumeration informal with the municipal housing data, according to an agreed protocol between the community and the Municipality. This should be done to resolve disputes that arose during the allocation of serviced site and maintain trust between the community and Municipality. The WCDHS should assist with this process.

Establish a community maintained communal land register to assist the Municipality to keep up to date information on the settlement for planning purposes

Having an established informal settlement committee create the opportunities to give the community a role in regular data collection, allowing for more up-to-date information for planning in the Municipality without significant additional resources required.

## 12 Case Study 9: Witzenberg Local Municipality

### 12.1 The Witzenberg Local Municipality (WM) Location and Context

---

Location: The Witzenberg local Municipality is located in the Cape Winelands District Municipality. It neighbours the Cederberg, Berg River, Drakenstein, Breede Valley and Laingsburg local municipalities.

Municipal area: 10 753 km<sup>2</sup>

Number Informal Settlements: Witzenberg is home to 7 informal settlements according to the 2020 Spatial Development Framework, (Witzenburg Local Municipality (WM) SDF, 2020). However, one of the settlements included in the ISSP work is not listed in the SDF. The four informal settlements in which ISSP work was undertaken were in Tulbagh.

Current Projects / Programmes Underway: Work is underway on an IRDP project in Vredebes in Ceres, which will accommodate some residents of the Nduli informal settlement in Ceres. A UISP project is also in the planning stages for the Nduli Settlement (WM IDP, 2021). Other UISP projects have been identified for Chris Hani in Tulbagh and Pine Valley in Wolsely, with funding identified.

Other recent upgrading work included electrification, the provision of serviced sites in Prince Alfred Hamlet, Pine Valley.

Categorisation of Settlements: Settlements in the Municipality are categorised as A, B1, and B2

NGO appointed through ISSP: DAG

Settlements forming part of the NGO SLA: Chris Hani, Kleinbegin, Aslakamp/Marikana, Die Gaaitjie in Tulbagh were included in the NGO's scope. A fifth settlement, Nduli, was identified for ISSP work, but the scope of the work could not be agreed between the province, NGO and Municipality, so it was not undertaken.

Settlement forming part of the Case Study: Chris Hani, Kleinbegin, Aslakamp/Marikana, Die Gaaitjie and Klein Begin. See Figure 12.2 for the aerial view of these settlements.

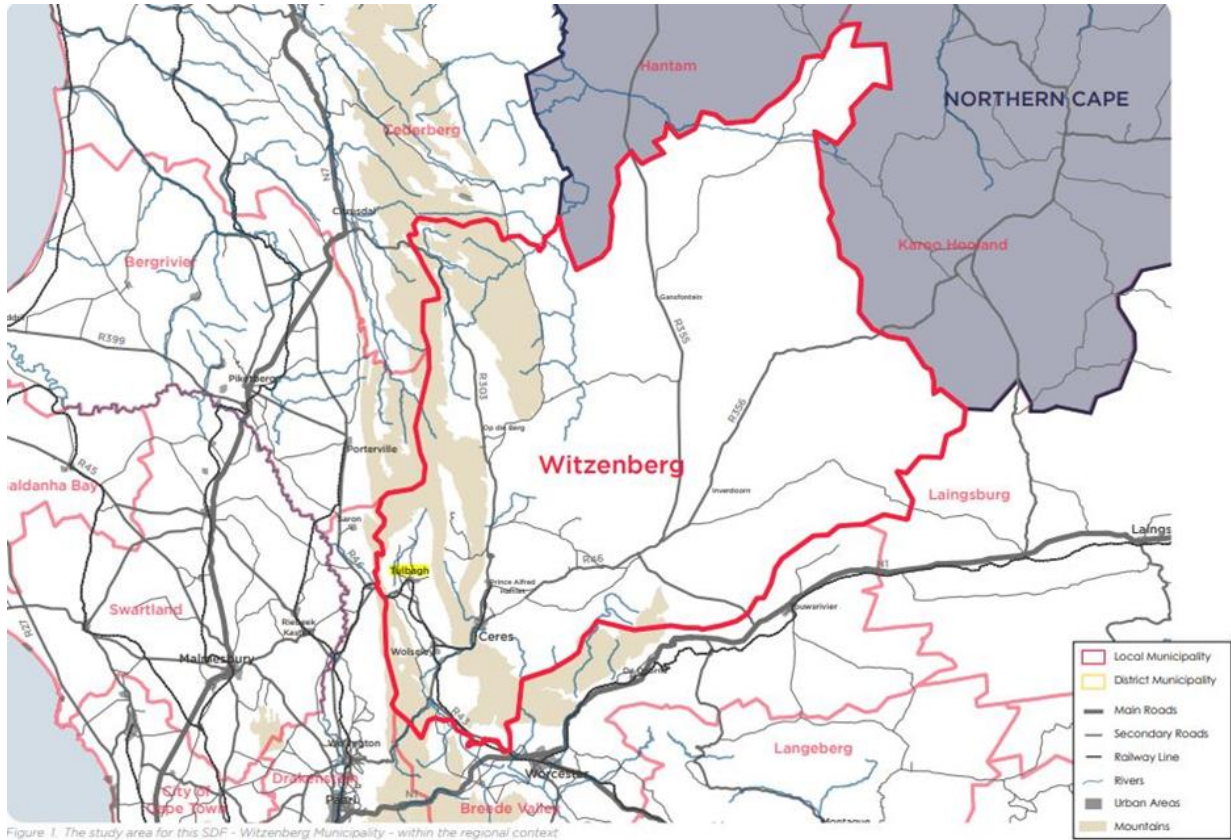


Figure 1. The study area for this SDF - Witzenberg Municipality - within the regional context

Figure 12.1. WM within the regional Context. Tulbagh located in yellow highlighted in the Southwestern boundary of the Witzenberg Local municipal area (source: MW SDF, 2020).

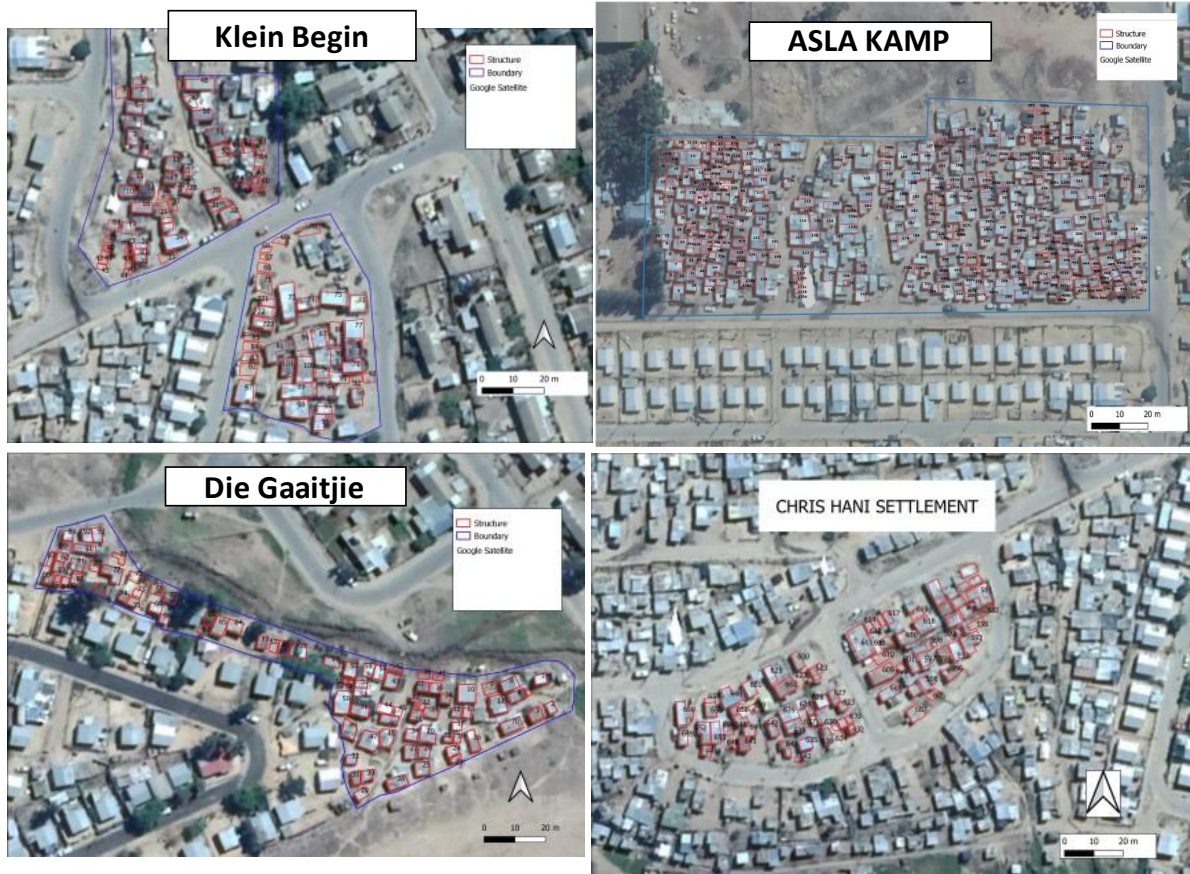


Figure 12.2. Informal Settlements covered by ISSP projects in Tulbagh, Witzenberg (Source: DAG)

### 12.1.1 NGO Scope of Work

The NGO's scope of work as defined by the SLA for Witzenberg is as follows:

- Community Capacity Building Programme
- Household enumeration surveys
- Participatory upgrading through community-based planning

The IDP identified the role of the NGO, noting that “a service provider was appointed by the WCDHS to assist the Municipality with enumeration of the informal settlements in Tulbagh and N’duil over the period 1 April 2019 to 31 March 2021” (WM IDP, 2021: 91-92).

## 12.2 Strategic Planning and Mainstreaming of ISU

---

### 12.2.1 Inclusion and mainstreaming in key municipal strategic planning documents

#### Inclusion of informal settlement Upgrading in Integrated Development Plan and Human Settlements

The Municipality identified four key performance areas (KPA) in its IDP. Within its “Essential Services” performance area it identified providing for the needs of informal settlements through improved services as one of two priorities within this area. This suggests that addressing informal settlements is a priority for the Municipality (WM IDP 2020/21, 2020). The Socio-Economic Support Services KPA also focuses on support to the poor and creating an enabling environment for the local economy and identified this as supporting improving conditions in informal settlements.

The WM IDP 2017-2022 included an informal settlements section. The section covers three programmes and is largely focused on the addressing human settlements through improved services. The programmes are implementation of services sites, the provision and maintenance of communal services and the management and control of informal settlements and illegal occupation. The emphasis applied in the IDP is on collecting data on qualifying households for the UISP subsidy, maintenance of communal services, for which a backlog is acknowledged, waste collection, and the demolition of illegal structures (WM IDP 2020/21, 2020).

The IDP identified that the Municipality has an approved Human Settlements Plan in place, however, evaluation survey respondents suggested that this was still in process. It was also identified that the draft plan did not include an informal settlement upgrading plan.

#### Inclusion of informal settlement Upgrading in the Spatial Development Framework and Land Use Management Scheme

The SDF included a housing delivery pipeline that identified five UISP projects, two of which are identified as linked to the ISSP - one of these is the work done by the NGO in preparation for the other, in the settlement from which scope could not be agreed. Numerous IRDP projects were also identified which respond to informal settlement needs, through the provision of top structures.

#### Strategy and approach to informal settlement upgrading

While informal settlements, and informal settlements upgrading feature strongly as themes in the municipal IDP and SDF, key concepts such as community-based planning, sustainable livelihoods planning, and neighbourhood planning were not mentioned. This suggests that while informal settlement receive high attention in key municipal documents, key elements of informal settlements upgrading and the ISSP approach have not been mainstreamed yet.

#### Municipality wide plan for informal settlement upgrading and phased medium to long term pipeline

The WM SDF (2020) outlined the informal settlement pipeline, this included five UISP projects, two of which are ISSP projects. One of these (the Nduli ISSP component did not take place). However, with the expectation of Provincial budget cuts the focus on the housing pipeline is on completing the Vredebes

project in Ceres (through IRDP, FLISP and UISP) and the Nduli infill project through UISP. The Vredebes UISP element aimed to provide 200 serviced sites for completion in 2020/21 and 329 sites completed in 2021/22. The Nduli project aimed to provide 83 serviced sites completed during the 2021/2022 financial year and 105 during the 2022/2023 financial year. UISP projects in Tulbagh have funding allocated for 2019/20, 2020/21 and 2022/23, although this appears to be designated for social facilitation or planning work (WM SDF, 2020:137).

#### 12.2.2 Budgeting for ISU

UISP projects in the IDP between 2016 and 2021

The initial 2017-2022 IDP identified R10.5 million for UISP projects, all allocated to Nduli. It also identified 500 serviced sites for Vredebes, with a budget of R22 million, funded through the IRDP.

The capital investment framework also identified about R13.5 million for electrification and streetlights in housing projects drawn from the capital revenue reserve, Municipal Infrastructure Grant (MIG) and (integrated National Electrification Programme (INEP), along with water, sanitation and stormwater project through the Human Settlements Development Grant (HSDG), and MIG for the Vredebes housing project, to the value of about R40 million.

#### 12.2.3 Integration of ISSP Report

There is no evidence to suggest that ISSP work concluded in the Municipality has been integrated into municipal planning documents to date.

## 12.3 Institutional Arrangements and Stakeholder Engagement

---

Internal Municipal engagements

Despite repeated requests the Municipality did not agree to an interview with the evaluation team, and therefore, the precise internal working of the Municipality as they relate to Human Settlements remain unclear. Human settlements in the Municipality falls within the Community Services Directorate and is coordinated by a Housing Manager with supporting area specific staff. In a response to the online survey, staff from Witzenberg described staffing for Human Settlements as inadequate.

An element of gate-keeping was identified through the evaluation in the approach to managing informal settlements in the Municipality. It was identified that non-human settlements officials were open to engaging in the ISSP process initially, yet this status shifted during the implementation of the ISSP project and all communication and work needed to be directed through the Housing Manager. This led to a significant reduction in engagement in the ISSP work by the Municipality.



## Municipality-Province engagements

Evidence suggests that the Province and the Municipality had some engagement prior to the entry of the NGO. Province had appointed a consultant to develop an upgrading plan for communal services in the informal settlements in Tulbagh on behalf of the Municipality. However, in initial engagement at the outset of the ISSP project between the Province, the Municipality and the NGO, it was pointed out that this plan had not been developed with the community, and was therefore inappropriate, and that a community engagement process would be required to develop a plan. Both Housing and technical staff from the Municipality were involved in this initial engagement.

In addition to the work that the NGO undertook in the four settlements in Tulbagh, a fifth settlement was identified for enumeration and participatory planning work to be undertaken by the NGO. However, the Municipality, Province and NGO could not come to agreement as to the scope of work for the settlement. The evaluation team could not explicitly establish an account for the inability to reach this agreement.

It was also identified that the Municipality sought to instruct the NGO on who it should engage as part of the process rather than letting the NGO follow its own methodology.

An initial Project Steering Committee was established including members of the NGO, officials from the Province.

A municipal representative identified that they had regularly attended the ISSP forum.

## Stakeholders at a municipal level

Other stakeholders at the municipal level that were engaged in the ISSP process included the municipal manager (MM), engineering services officials and solid waste officials. Engineering services and solid waste officials were available and engaged in the process initially, before all work was re-directed through the Housing manager with the support of the MM.

## Reporting

Regular reporting was supposed to happen through regular monthly meetings, although this did not occur. Progress reporting became ad hoc. The NGO was regularly unable to secure meetings with the municipal Housing officials.

Project reports were submitted directly to the Province by the NGO, which the Municipality were required to sign-off. Despite the sign-off of reports, the extent to which the Municipality engaged with the reports was unclear. Some stakeholders suspected that they were not read by the Municipality.

## 12.4 Capacity to support programme/ project implementation

---

### 12.4.1 Municipal Resource Capacity

As identified by municipal officials through the survey the Municipality has limited human resource capacity to support informal settlement upgrading projects. This may explain the limited engagement in

the ISSP projects, and limited number of informal settlements upgrading projects undertaken in the Municipality.

#### 12.4.2 Capacity Support offered through the NGO Framework

The introduction of the NGO offered the Municipality capacity to develop leadership capacity within the community to enable the community to engage with the Municipality as part of upgrading processes, capacity to undertake enumeration of the informal settlements in Tulbagh (and potentially Nduli), and participatory upgrading through community-based planning. The stakeholder engagement and documents review suggested that the Municipality prioritised capacity for enumeration over other forms of capacity, displaying either little understanding or will to engage in participatory planning processes for informal settlement upgrading.

#### 12.4.3 Municipal Financial Capacity

Municipal officials identified through the survey that the Municipality has limited financial resources to undertake upgrading activities, or to ensure that bulk infrastructure is able to support upgraded informal settlements.

According to the WM amended IDP (2017 – 2022) the Municipality currently receives most of its capital funding (24%) from the Municipal Infrastructure Grant, which is dedicated to providing bulk infrastructure for social housing projects. 12% of the WM capital funding is from the Integrated National Electrification Programme which is dedicated to providing electrical networks for social housing projects, and 4% from the Integrated Housing and Human Settlements Development Grant which is dedicated to the provision of infrastructure networks and top structures in social housing projects (WM amended IDP, 2017). Within the 3-year capital budget, R16 327 701 has been allocated for the improvement of services in informal settlements for the year 2021/22; R15 385 218 is allocated for the year 2022/23 and R11 563 478 for the year 2023/24 (WM amended IDP, 2017). The UISP funds serviced sites at a cost of R60 000 per site. This included services such as water connection, toilets, washbasins and surfaced roads (WM amended IDP, 2017).

## 12.5 Community Participation

---

### IDP and Ward Level Participation

The extent to which the communities of Chris Hani, Asla Kamp, Klein Begin and Die Gaaitjie engage in the IDP process is unclear. Community representatives from the informal settlements identified that they did not have representatives on the ward committee in which the settlement fell. They are however, trying to arrange for the election of a representative in the new term.

### Community institutional arrangements

Prior to the arrival of the NGO there were limited community leadership structures in place. Each settlement had identifiable leaders, who worked in the community, but with limited coordination with

each other and no structures. The Municipality had identified a preferred representative of the community to work with, who had subsequently moved out of the informal settlement.

Through the work of the NGO an informal settlements forum was established including leaders from all four of the informal settlements. The structures still exist and meet regularly both in person and digitally during COVID-19 lockdown, however, stakeholder engagement suggests that the Municipality no longer recognises the committee after the completion of the NGO contract.

Feedback from community leaders through community meeting or, when COVID-19 restrictions did not allow community meeting, through WhatsApp Groups.

#### Role of the NGO in establishing community leadership structures and enhancing community engagement

The NGO was instrumental in integrating the existing community leaders into a coordinated structure. It did this by identifying volunteers at a community meeting that introduced the project and through using these leaders to identify and co-opt additional active community members.

The NGO built capacity in the forum through a workshop process. The workshops covered the rights of informal settlements residents, routes to obtaining services, modes of communicating with the Municipality, and how to use information gathered during the enumeration process, amongst other things. The NGO consistently engaged with community leaders to ensure attendance, and registers of attendance were kept.

Community representatives identified that the NGO improved community leaders' ability to communicate both with the Municipality and with the rest of the community.

#### Municipality-Community Relationship

Despite improved communication capacity within the community, it appears that the relationship between the Municipality and the community is largely dysfunctional. The Municipality does not recognise the leadership structure that the community has established with the support of the NGO and the community representatives have identified that they lack trust in the Municipality, in particular municipal Housing officials (Witzenberg Community Representatives KSI, 2021). The Municipality is viewed as largely obstructive to attempts to improve conditions in the informal settlement, even when proposals are presented through well-developed community driven documents, such as the community action plan, prepared with the support of the NGO, including activities such as re-blocking to create space for a food garden, or the development of a community solar project. It was identified that the Municipality was particularly reluctant to engage in informal settlement proposals when settlements were on private land.

Trust in the local councillor was also identified as low, with community identifying that the priority of the councillor appeared to be public cleansing within the informal settlement areas, rather than the provision of basics services or responding to community identified needs.

One aspect of the Municipality that the community did feel it had a stronger relationship with, was the Solid Waste Department, which it identified was responsive to its communication and requests, engaged with the community register information that the community provided, and had improved its services since the ISSP process began.

The community felt better equipped by the NGO process to communicate with the Municipality and pursue channels for response in specific municipal service areas.

#### Social Compacts

No explicit social compacts were developed as part of the ISSP process in Witzenberg.

## 12.6 Basic Services and Community Facilities

---

No upgrading has taken place in the informal settlements either before or through the ISSP project. Some basic services have been provided, including chemical toilets and standpipes. The community identified that it was still waiting for the Municipality to appoint a contractor to undertake upgrading projects. Municipality-wide, there is on average a shortfall of 37 toilets per informal settlement (WM SDF, 2020: 135).

Of the existing services the community feels that it is poorly located, and that the Municipality is slow in responding to requests for maintenance and repair. The community identified that solid waste services had improved during the ISSP process, as the municipal department was able to better distribute refuse bags and better placement of skip containers, and regular emptying of these containers. This was enabled through information on the community register kept by settlement leaders and outlined in the next section.

No community facilities exist within the informal settlements and fees to access nearby, facilities, such as sports fields are considered very high.

## 12.7 Tenure Security

---

The Municipality identified that it does not recognise tenure in informal settlements in any form. Consequently, the only formal tenure security available to informal settlements residents is through receiving a formal house through a housing programme or entering the formal housing market.

Community leaders in each informal settlement keep a register of residents. This included identifying which structure which residents live in, changes in ownership or occupation of houses, and changes in family circumstances. This information is captured and verified by a community leader responsible in each settlement. This has created a community level understanding of tenure security, but is not recognised by the Municipality. The Municipality and councillor, when required use another outdated register of settlement residents, despite the existence of this register. The community would like to see this register used as the basis for determining basic service requirements.

## 12.8 Housing Consolidation

---

No work has been done towards housing consolidation with the informal settlements. Some informal settlements residents have in the past received houses through the housing waiting list. Municipal planning documents suggest, that while UISP project are planned for the future, the Municipality's preferred approach to housing is to provide houses through the IRDP, which can be offered to informal settlements residents on the housing waiting list.

## 12.9 UISP – Progress over the period – reflections

---

The Municipality has implemented one UISP project in the period since the ISSP was initiated in 2016, and this project did not include ISSP work. However, the Housing pipeline in the SDF identified 5 UISP projects (including the intermediary work by the NGO). However, the timeframe for these projects is long, extending beyond the 2023/24 financial year. Progress on some supporting projects, such as land acquisition, supposed to have been completed in 2018, has also stalled (WM SDF, 2020: 137).

Despite municipal intent to address informal settlements and provide services in municipal planning document, the level of engagement by the Municipality in the ISSP process, suggests a strong top-down approach to planning within the Municipality. There does not appear to be buy-in to the paradigm shift envisioned in the ISSP.

Despite the reluctance of the Municipality to engage in community-based planning responses to informal settlements, intermediary work in the Municipality has been successful in building sustainable, and capable community leadership that has community-based planning capability.

## 12.10 Conclusion and Recommendations

---

ISSP work undertaken by the NGO has been successful in completing enumeration, establishing and capacitating leadership structures, capable of maintaining their own data, and developing plans towards improving livelihoods and the delivering of services in the informal settlements in Tulbagh. However, the Municipality's lack of engagement in the process has blocked progress beyond this point. This is a missed opportunity, particularly given the lack of resources identified by the Municipality to undertake upgrading work in informal settlement.

### 12.10.1 Institutional Arrangements and Stakeholder Engagements

Municipality should establish a cross-Departmental forum to address informal settlement upgrading and end gatekeeping

With limited human resources available to the Municipality, particularly within the Housing Department to address informal settlement upgrading, a cross-Departmental forum should be established to plan and implement informal settlement responses. Gatekeeping within the context of limited resources increases inefficiencies and creates bottlenecks, and the establishment of a forum will allow issues to be dealt with openly by the department best suited to respond.

Municipality should recognize informal settlements forum as a representative structure and share resources

The ISSP process in Tulbagh has resulted in one of the most capable informal settlements forums that the ISSP programme has capacitated, yet it is not being effectively used by the Municipality. The first step to effectively using this structure is recognising its standing and engaging with it about how the information it manages can be used effectively in planning for services.

WCDHS, in partnership with WCDLG and WCDEADP and WCDOA to engage Municipality to encourage uptake of the ISSP process

Provincial departments should collectively engage with the Municipality, at executive and political levels if required, around adopting and institutionalizing the ISSP approach. The Western Cape Department of Agriculture should be included in this as farming plays a key role in the settlement dynamics in the Municipality, as a key employer and driver of in-migration.

### 12.10.2 Capacity to Support Programme/Project Implementation

Expedite efforts to appoint a Professional Resources Team (PRT) to undertake informal settlement upgrading

The Municipality should expedite the procurement of a Professional Resources Team to upgrade informal settlements to ensure that information and capacity built through the ISSP is not lost before upgrading can take place.

Province to seek clear and measurable commitments from the Municipality when providing support in future

The lack of municipal engagement in key aspects of the ISSP process means the resources expended in the process risk being wasted. Future support from the Province should come with clear commitments from the Municipality to engage in processes fully to avoid this risk and sufficient capacity to monitor the expenditure of the Provincial funds within the Municipality.

#### Re-initiate land acquisition process

The Municipality should expedite the re-initiation of the land acquisition processes to acquire private land on which informal settlements have been established, to unblock upgrading and sustainable livelihood opportunities.

#### 12.10.3 Community Participation and Empowerment

##### Adopt informal settlement communal land register as an information source for planning

The Municipality should take steps to incorporate the communal land register as a data source in its planning process, as both a regularly updated register, providing the most up to date information available and to build trust with the community. This should apply to both the Municipality and the councillor.

Support the nomination of one or more members of the informal **settlements'** forum to the ward committee and IDP forum

The Municipality and ward councillor should encourage the election of at least one representative from the informal settlements' forum onto the relevant ward committee, to ensure the informal settlements residents are represented on municipal wide planning processes.

## 13 Case Study 10: Saldanha Bay Local Municipality

### 13.1 The Saldanha Bay Local Municipality Location and Context

---

Location: Saldanha Bay is a local Municipality within the West Coast District Municipality. It neighbours the Berg River and Swartland municipalities.

Municipal area: 2015km<sup>2</sup>

Number Informal Settlements: The Saldanha Bay Municipality (SBM) identifies 3 main informal settlements according to the 2018 SBM HSP.

Current Projects / Programmes Underway: There are numerous short- and medium-term rudimentary service interventions and top structure projects targeted in the Tsitsiratsitsi, Langville Plakkerskamp and the Joe Slovo settlements.

Categorisation of Settlements: Settlements in the Municipality are categorised as B1

NGO appointed through ISSP: ESST

Settlements forming part of the NGO SLA: George Kerridge (Tsitsiratsitsi) as indicated in Figure 13.1, Laingville, and Middelpos.

Settlement forming part of the Case Study: George Kerridge

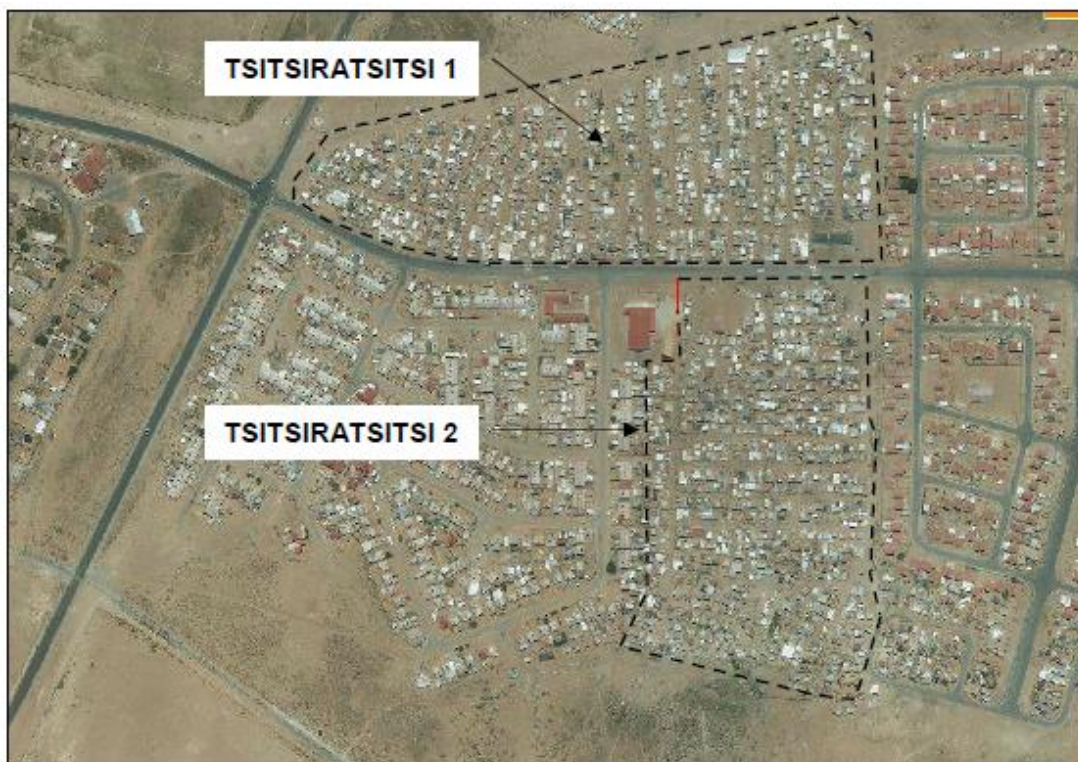


Figure 13.1. Tsitsiratsitsi, George Kerridge (Source: Saldanha Bay Local Municipality)



### 13.1.1 NGO Scope of Work

The scope of works of ESST as per the SLA for Saldanha Bay

- The establishments of a local steering committee in each of the informal settlements.
- The enumeration of all the households/shacks in the informal settlements as referred to in the Service Level Agreement.
- The enumeration and numbering of shacks in Tsitsiratsitsi 1, 2, and 3 (Approximately 1500 structures).
- The enumeration and numbering of George Kerridge informal settlement community -approximately 1024 structures,512 of which to be performed as the first phase of the project.
- The enumeration and numbering of the Middelpoos informal settlement community – approximately 1500 structures.
- The enumeration of the Langville informal settlement community –approximately 1500 structures.
- The geo-mapping of the households and all informal settlements referred to in the SLA.
- The attendance and active participation in consultative meeting with the Saldanha Bay Municipal Council as and when requested by the Department or the Saldanha Bay Municipal Council; and
- Conducting Community-Based Planning for the Tsitsiratsitsi community. This included the facilitation and mobilization of the community to take ownership of the intervention initiated by ESST.

## 13.2 Strategic Planning and Mainstreaming of ISU

---

### 13.2.1 Inclusion and mainstreaming in key municipal strategic planning documents

Inclusion of informal settlement Upgrading in Integrated Development Plan and Human Settlements

The 2017-2022 IDP indicates that the broader human settlements phenomenon is one of the priorities that the Municipality dedicates its efforts to improve. The Municipality has a strong focus on the sustainable human settlements development, through which the planning and implementation of housing projects is managed. It identifies several housing programmes, such as the GAP (Affordable Housing) as well as projects aimed at improving access to dignified living through improved basic services (SBM IDP, 2017:140;142). The IDP particularly references the Informal Settlement Development and Upgrading Plan, which was developed to improve the quality of living in informal settlements in the short term (SBM IDP, 2017).

The interview held with the SBM officials also revealed that the core objective of its Informal Settlements Development and Upgrading Plan is to serve the basic service needs of its community (SBM KSI, 2021). It was also revealed that a Human Settlements Plan under the Directorate of Infrastructure and Planning Services was developed and approved in 2016 towards realizing the housing and service needs of the community (SBM KSI, 2021). The IDP states that the Municipality remains dedicated to further develop

services in all informal settlements found in its municipal boundary, through its efforts, and assistance from the WCDHS.

#### Inclusion of informal settlement Upgrading in the Spatial Development Framework and Land Use Management Scheme

The current municipal Spatial Development Framework is also aligned to the IDP in mainstreaming the Municipality's efforts to improved services and overall living standards. Land use management in the municipal area is undertaken in terms of the SDF which provides spatial directives for the type of development and where it can occur, and the land use schemes which provide land use rights and development parameters thereof. Informal settlements have been identified for service provision and housing projects have been identified for implementation. Notable areas in which these projects have been identified include Laingville – a B1 settlement – Middelpoort, and George Kerridge – B1 settlements (SBM IDP, 2017:141). The provision of shared basic services and some top structures have been planned for on an in situ upgrading basis.

#### Strategy and approach to informal settlement upgrading

The Municipality's approach to upgrading is guided by its approved Informal Settlement Development and Upgrading Plan, which envisions an improved quality of life in informal settlements. The overarching approach to informal settlements by the Municipality is governed by the notion that informal settlements are a growing reality within the Municipality, deserving adequate attention, in the short term. Through assistance from the WCDHS, the Municipality was able to conduct surveys and an enumeration exercise in its community, which have been planned to precede and inform the further provision of basic services to all informal settlements in the municipal area.

The Municipality's view is that informal settlements grow vastly over short periods, hence must be upgraded at fast rates. The upgrading needed in informal settlements and the rapid rate at which the numbers of people on the housing waiting list is growing creates contention among the community. Therefore, the housing officials at the Municipality are dedicated to implement projects on a project-by-project basis, in absence of an operational Informal settlements unit.

Additionally, the "Ward Planning" chapter of the 2017-2022 IDP categorises the number of informal structures in each ward as part of the broader approach to target interventions for informal settlements upgrading (SBM IDP, 2017). The structures are further categorized in terms of those with access to water services, toilets, refuse removal, and electricity. This categorization allows for the targeted rollout of GAP housing opportunities, and the upgrade and development of basic services in the informal settlements.

#### Municipality wide plan for informal settlement upgrading and phased medium to long term pipeline

The medium- to long-term housing and bulk infrastructure pipeline is captured in the Human Settlements Plan (SBM Human Settlement Plan, 2015), as well as the IDP (SBM IDP, 2017). Although the Municipality emphasises that housing is not a municipal function yet performing as an agent on the Provincial government's behalf, it is persuaded to develop a Municipality wide plan in which it attempts to address these public demands (SBM KSI, 2021). The increasing household numbers growing quickly over short time periods is indicative that longer-term plans need to be put in place. This also gives an idea in terms

of the housing appetite which informal settlements residents have. The Municipality agrees that there needs to be a balance in addressing municipal needs to avoid neglecting certain areas over others.

The Municipality has therefore identified all informal settlement areas, like George Kerridge in the SBM 2018 HSP. The plan accepts that informal settlements will be ever present, hence need to be accepted and planned for towards ensuring that all residents at least have access to services.

Through enumeration and survey processes, the NGO would count the structures and gather all necessary data about settlements residents. Once the enumeration is completed, the Municipality states that it needs the milestone of beginning the township establishment processes and the pre-application processes and identify where this programme can be included or where houses can be relocated to. Following that will be the identification of suitable land followed by subsidy application (SBM KSI, 2021).

#### 13.2.1.1 Budgeting for ISU

UISP projects in the IDP between 2016 and 2021

Some of the projects identified in the SBM IDP are the Laingville IRDP project, the New Middelpoos Planning project, the George Kerridge (2 on 1) 508 Tsitsiratsitsi project and the White City 130 GAP (Planning) project (SBM IDP, 2017:141). These projects were planned for 2020/2021 municipal pipeline for either planning or implementation, which was based on an R41.4 million allocation. According to the IDP, the Municipality had started with the planning process for the eradication of the external toilet project, and the construction was planned to start in the 2020/2021 financial year (SBM IDP, 2017).

UISP projects identified in the MTEF between 2016 and 2021

There has not been a clear identification of UISP projects between 2016 and 2021 in the IDP. However, there has been mention of 7 Human Settlements infrastructure projects planned for the 2020/21-2022/23 period out of a total of 28 projects over the MTEF period.

#### 13.2.1.2 Integration of ISSP Report

No reference to ISSP milestone reports have been made in the IDP. The review did not also establish explicit reference of ISSP report in the Integrated Human Settlements Plan either, however the Municipality has indicated that the valuable ISSP outputs are insightful for future planning, and that they will be incorporated in future Planning documents (SBM KSI, 2021).

## 13.3 Institutional Arrangements and Stakeholder Engagement

---

### Internal Municipal engagements

The SBM KSI (2021) revealed that there have been internal municipal engagements over time with regards to the overall coordination of informal settlements upgrading projects. The upgrading operations fall under the senior Housing manager because the Municipality does not have an informal settlements unit yet. Engagements take place between the latter unit [housing] and several other units. These include the Law Enforcement unit, which assists with handling settlements-concerned legal matters, such as squatting, as well as ensuring law and order in relocation situations. Another unit usually engaged is the Town Planning unit which deals with the strategic planning for informal settlements and evaluation of upgrading plans proposed for the Municipality. The Engineering unit is often also engaged in connection with bulk infrastructure installations and planning.

### Municipality-Province engagements

There is an existing working relationship between the municipality and the Province (SBM IDP, 2017; SBM KSI, 2021). Some of the engagements between the Municipality and the Province included request for support from the Province in terms of technical and financial resources in conducting planning activities and/or for basic services and infrastructure provision in informal settlements. The SBM was introduced to the ISSP through working engagements with the Province, and later applied for ISSP projects (SBM KSI, 2021).

The Municipality-Province engagements occurred when there was reporting of progress on projects (SBM KSI, 2021). The general working relationship between the Municipality and the Province was described to be fairly good, however the Municipality officials expressed dissatisfaction with the Province's approach of producing many documents and authoritatively determining actions to be followed without properly structured engagements with the Municipality (SBM KSI, 2021). On this backdrop, the Municipality felt the Province could better engage municipalities, by listening to their opinions before pre-deciding on the following actions (SBM KSI, 2021).

### Stakeholders at a municipal level

The Municipality identified that informal settlements development is a significant task requiring every effort from all stakeholders. The municipal officials explained that assistance was obtained from law enforcement, engineering, maintenance – basic services implementation and repairs - town planning and administration for title deed handovers. Within the Housing Department, the unit is led by the senior manager, and receives assistance from Project Implementation for informal settlements for top structures, basic services or upgraded services to these areas.

The Municipal officials also expressed that the current organisational structure – which came after the 2017 reorganisation of the department organogram - has been useful for coordinating purposes and helps to minimise the inefficiencies brought about by the siloes that staff work within across the Municipality. The officials explained that the revised structure gives the officials a better opportunity to effectively implement their decisions (SBM KSI, 2021). They furthermore expressed sentiments around needing to work in a structure that can be accepted in terms of accredited processes. However, despite the structure being approved it had not been fully resourced in terms of staff (SBM KSI, 2021).

The Municipality reported to work under challenging circumstances which include the absence of a transversal committee or any regular working team (SBM KSI, 2021). The Housing Department does not have any specific staff to attend to informal settlements projects. In its current state, the department with its many development initiatives splits its effort and time between informal settlements and other initiatives, and the reporting is made to one senior manager (SBM KSI, 2021). Since 2017, the placement of forward planning and project management has forged a strong working relationship amongst the staff, although seen challenging in many instances.

The project was managed through a PSC structure. The SBM KSI (2021) described the PSC to be composed of the NGO representatives, municipal representatives, wards councillors and community representatives. The Saldanha Bay PSC is one described to have struggled with competition over allocation of upgrading resources amongst ward councillors for wards covering the various settlements. Furthermore, the WCG Rapid Appraisal (2016) describes Saldanha Bay informal settlements residents to have varied relationships with the Municipality. The unevenness in leadership at ward level has also been seen in the community leadership structures where ward and PR councillors have acted as gatekeepers, which poses risk to the achievement of ISSP objectives. This has also affected ISSP planning and progress at ward level, as well as at the municipal level (SBM KSI, 2021).

### Reporting

The progress made on projects would be presented on different platforms, for instance the ISSP forum, at PSC meetings or at community meetings. In some instances, the Municipality officials would attend some community meetings. Some senior officials from the municipality would, according to the municipal officials commit to attend the PSC meeting. The PSC would be made up by the ward councillors, the NGO leadership and joined by the community. The NGO would submit a milestone report to the Province on a monthly or quarterly basis. The NGO would initially draft the report, which it would pass on to the Municipality for comments and inputs before it gets submitted to the Province.

The municipal officials noted that the ISSP forum is a useful platform in that it is where useful knowledge and information is shared. The officials found the forum worthwhile to attend, given the number of things they learn from the other stakeholders.

## 13.4 Capacity to support programme/ project implementation

---

### 13.4.1 Municipal Resource Capacity

Limited municipal recourse capacity is the main challenging factor hampering the progress on projects. The Municipality does not have sufficient human resources to deal with the current services and housing demand pressure, as well as the potential threats in future. With the growth in informal settlements and the rate at which they are growing, the Municipality, especially the Housing department will completely not have the capacity to manage the informal settlements, neither to provide services and land for excess urbanites.

The Municipality does not have sufficient internal capacity to effectively deliver informal settlement upgrades hence the application to be part of the ISSP and accepting an NGO to work in the area. The Municipality also plans on appointing an implementing agent to assist them going forward – this tender

and appointment process is already underway. As an alternative, the Municipality also wishes to request that the Province appoints an implementing agent on the Municipality's behalf.

The observed haphazard growth in household numbers and informal structures does not only place pressure on the number of human resources within the department, however it further puts pressure on the skills, technology and innovation available in dealing with the new challenge of addressing the complexity in the nature of informal settlements which has been formed. The human resource capacity has not been increased., neither has it been capacitated to perform works of developers. With the growing informal settlements, the Municipality fears that it may not be able to fulfil its obligation to facilitate public consultations and may become frustrated due to high numbers needing services, that it may damage morale amongst officials.

#### 13.4.2 Capacity Support offered through the NGO Framework

The NGO was praised by the Municipality for its specialist coordination and facilitation skills. The NGO framework was found useful in mobilising the community for a good foundational understanding of their informal settlements, the enumeration process as well as the overall upgrading process. The NGO assisted in the data collection, which the Municipality would use for planning and budgeting. One particular scenario was the 512 project which the NGO was praised for facilitating the survey in gathering the number of people who needed to be relocated.

The relationship between the Municipality and the NGO has been described as good in general (SBM KSI, 2021). The Municipality however expressed concern over incomplete surveys for some areas and 'unsuitable' design layouts for some settlements which the NGO produced as part of the project through a sub-contractor. It should nonetheless be cautioned that community engagement was in part constricted by Covid-19, thus the NGO and Municipality could not achieve their desired success as initially anticipated.

#### 13.4.3 Municipal Financial Capacity

The municipal financial constraints are expressed to be as limiting and discouraging as the constrained municipal human resourcing capacity. The interview revealed that the housing department's planning and implementation of projects is often cut short due to the limited financial resource availability (SBM KSI, 2021). While reference has been made to having received some support from the Province to implement some projects, funding still remains an underlying challenge, because it further affects the Municipality's resourcing potential. The interview revealed that the unavailability of funds, created the challenge in appoint staff to fill vacant positions within the department's organogram, which further means that there is more work pressure put on the already understaffed team (SBM KSI, 2021).

Furthermore, the officials explained that planning cannot be effectively done because funding is often uncertain. The project application process gets completed, submitted and then approved; however, the challenge comes with the implementation timeframe, which the department does not always meet due to the scarce funds to see the project through. The uncertainty attached to the financial burden puts the Municipality in an uncomfortable position, which further affects the department's plans to fully explore nuanced ways to expand its impact and carry out its mandate. The officials, for instance expressed that with more financial certainty, they could organise more regular engagements for specialists, like ESST to continuously engage the community on upgrading discourses, technical training and programmes to enhance the community's social progression (SBM KSI, 2021).

## 13.5 Community Participation

---

The beneficiary engagements with representatives from the informal settlements in SBM did not take place during the evaluation. Thus, the data analysed and presented below is from the municipal and NGO perspectives from the KSI's conducted.

### IDP and Ward Level Participation

From the Municipal perspectives, there seemed to be a good level of community participation within the Municipality, resulting from the organisation in the leadership structures and the willingness of the community to participate and engage meaningfully in the upgrading process (SBM KSI, 2021). With regards to the ISSP/UISP projects, ward level participation varies from different settlements. There has been a general appreciation of participation from the Middelpos and George Kerridge settlements, which the municipal officials associate with an active committee and an involved ward councillor (SBM KSI, 2021). The Laingville settlement on the other hand, is said to have a passive community participation, which could be because of an inactive committee and passive involvement from the ward councillor (SBM KSI, 2021).

The NGO explored the community-based planning approach to planning where the community drove the planning and actively participated in the structuring of their settlements (ESST KSI, 2021). From a participation perspective, this opportunity enabled the community to better understand the planning processes and add a meaningful contribution to the process (ESST KSI, 2021). The municipal officials however felt that the scoping of the draft layout process needed to have included the Municipality from the start, to collaboratively derive what would be ideal for the settlements (SBM KSI, 2021).

Additionally, while the Municipality acknowledges the notable consultation and some level of community involvement in the layout drafting was achieved, it's the Municipality satisfaction for the produced layout was compromised largely because the layouts could not be effectively co-produced due to participation limitations presented by the COVID-19 (SBM KSI; ESST KSI, 2021). The Tsitsiratsitsi settlement layout, for instance was not finalised and could not be implemented because the alignment and participation were poor (SBM KSI, 2021). This draws back to the importance of aligning the community-based planning and participation – advocated for by IDPs – to the institutional and regulatory frameworks of municipalities in which they exist.

### Community institutional arrangements

The municipality reported that the community institutional frameworks consisted of leadership committees, ISSP forums and platforms such as PSC structures and meeting platforms (ESST KSI, 2021). The municipal interview revealed that functional community leadership structures already existed prior to the NGO entering the space (SBM KSI, 2021). When the NGO came into the space, this arrangement **thus shifted the NGO's** shifted the focus from creating these structures, to initiating ways to facilitate engagements, educate the community, transfer skills and train the community for enumerations and use these structures as communication channels (ESST KSI, 2021). The general reflection from the municipalities perspective is that the community institutional arrangements were organised and brought the success of what they were intended (SBM KSI; ESST KSI, 2021). This was particularly true for wards whose councillors were actively involved and provided support to.

Immigrants are not a particularly large influence in SBM. The Municipality stated that the issue of undocumented immigrant remains unaddressed, yet relevant and sensitive to the leaderships (SBM KSI, 2021)

#### Role of the NGO in establishing community leadership structures and enhancing community engagement

The Municipality valued the work that the NGO performed (SBM KSI, 2021). From the Municipal perspectives, the upgrading and enumeration approach the NGO used allowed the communities to buy-in to the processes (SBM KSI, 2021). The NGO also helped the Municipality to identify those who were on the housing list and how many people had moved to 512 (SBM KSI, 2021).

#### Municipality-Community Relationship

According to the SBM KSI (2021), the Municipality and community share a good working relationship. The Municipality mentioned that the collaborative efforts of the NGO in further strengthening the relationship between the Municipality and the community were additions to the already existing working relationship between the Municipality and the community (SBM KSI, 2021). The Municipality-community relationship was largely in existence because of the reporting duties of the informal settlements committees which existed. The reporting of information to the Municipality remained a good communication channel which was also used to engage different issues between the community and the Municipality (SBM KSI, 2021).

The WC Rapid Appraisal (2016) however indicate a contradicting relation between the community and the Municipality. The WC Rapid Appraisal (2016) states that “while Joe Slovo’s street leadership committee has a good working relationship, Langville Plakkerskamp has a poor relationship and Tsitsiratsitsi has no relationship with the Municipality” (2016:420). The SBM IDP (2017) also generally describes an uneven leadership structure and stability thereof for the different wards within the municipal area, hence contributing to the varying relation between the informal settlements’ community and the Municipality.

Before the NGO was appointed, informal settlements committees were already established and assigned to the Municipality (SBM KSI, 2021). The Municipal officials however expressed that the level of engagement with communities was in many cases held back by the leaderships at ward level (SBM KSI, 2021). Entrusted to be access point to communities, the ward councillors operated as gatekeepers in the engagement processes, constraining access to communities, and when new administrations would be elected to power, existing community-Municipality relationships would have been weakened or non-existent. This setback explains why this evaluation could not include a community focus group discussion, as access to the community was denied.

The Municipality reported that it was challenging to set up regular engagements with the community (SBM KSI, 2021). The municipal officials expressed that the Municipality has a duty to public consultations, but due to time and human resource constraints, the Municipality is unable to hold regular meetings as it would prefer. On this backdrop, the Municipality wishes to explore ways to hold regular meaningful engagements with the community, whether through collaboration with an intermediary like NGO, or by creating a vacancy for someone to be responsible for informal settlements community engagements. COVID-19 created additional challenges in engaging the community to conduct ISSP work, in particular.



Social Compacts:

No compacts were formed between the Saldanha Bay informal settlements communities and the Municipality.

## 13.6 Basic Services and Community Facilities

---

The IDP highlights the important role the provision of bulk infrastructure plays in enabling and supporting the growth of the municipal community, as well as contributing to the sub-regional economy in terms of enterprise developments. Community facilities and basic services have been some of the key demands expressed by the community. According to the IDP, the Provincial Department of Local Government embarked on the compilation of an Infrastructure Growth Plan, which assists with the identification of gaps between the current state of infrastructure and future requirements and sets out a plan of action to bridge those gaps. This plan has been incorporated into the municipal SDF.

According to the SBM KSI (2021), the Municipality formalised communal water taps in all three informal settlements in the late 2020. The enumeration process was also used to confirm the type of services the community had access to, and the quantities and well-being of these services. The officials have however noted as expected, the demand for basic services keeps growing from a communal arrangement to individual ownership, as community members move up the hierarchy of needs. Those who get land will have expectations of having their individual services, followed by electricity, and once the basket gets full, they will request for top structures.

## 13.7 Tenure Security

---

Community members in these settlements have a preference for housed and full ownership, not on rental bases (SBM KSI, 2021). The municipal officials have carried out the decanting of George Kerridge where 100 residents have been relocated. In terms of the 2018/19 SMB Human Settlement Plan administrative tenure is provided to services sites through a nominal rental, but identifies the intention to implement a locally administered land tenure system for informal settlements.

## 13.8 Housing Consolidation

---

The ongoing housing projects within the Municipality have not yet reached the housing consolidation phase.

### 13.9 UISP – Progress over the period – reflections

---

In conclusion, the NGO's role in enumeration, community-based planning engagements and participation facilitations have been hailed by both the Saldanha Bay community and Municipality as successful. The gathered information suggests a good working relationship between the Municipality and the community, however, this could not be confirmed without a community focus group. There are however several challenges which hinder progress on projects, especially financial constraints, and constrained human resources.

The ISSP has changed the way the Municipality works in the informal settlement space in terms of community engagement and consultations, project implementation and the approach to informal settlement upgrades. The Municipality continuously draws inspiration from other municipalities on upgrading approaches through the ISSP forum, which it continues to implement on a project-by-project basis.

The enumeration of structures conducted by the NGO assisted the verification of people. The Municipality identifies individuals staying in informal settlements easily now. In fire incidents, when there are structures damaged by fires, the verified data is used to confirm the people staying in these shacks.

There is however a need for a verification system for the data collected by the NGO and link this system to other departments, improving the operations of the Municipality in the process. The Municipality also hopes this data helps to verify and 'clean' the housing waiting list off misinformation.

### 13.10 Conclusion and Recommendations

---

The Saldanha Bay case provides another account of the relevance of involving intermediaries in the informal settlements upgrading processes. The Municipality has provided a good account of work done by the NGO in accordance with the SLA, and as a result, has expressed interest for the scope and scale of work done by the NGO to be extended throughout the municipal area over a longer period. The SBM has demonstrated a strong administrative will for positive change in the informal settlements space, and this has reflected in planning documentation, as well as the municipal engagement done. The unique lesson which the Saldanha case presents, however, is the importance of setting up structures, processes, and balanced development priorities at the municipal level. The notion of politicking development and infighting amongst ward leadership structures only impede development progress and widen institutional factionalism.

### 13.10.1 Institutional Arrangements and Stakeholder Engagement

Develop strategies to reducing gatekeeping and continuity of engagement with community leadership structure

The municipality should develop a means of maintaining dual capacity to engage with the leadership of community's that is not solely reliant on ward councillors. This will assist in ensuring continuity of engagement through changes in councillors or changes in municipal staff and assist in the retention of institutional memory.

### 13.10.2 Capacity to Support Programme/ Project Implementation

Saldanha Bay requires strengthened internal capacity - additional dedicated municipal officials to support ISU

In tangent with the provision of planning and implementation guidance frameworks, the WCDHS should further focus on supporting the Municipality in terms of investing in the recruitment of more human resources to assist in the ISSP implementation processes and the implementation of the SBM Informal Settlements Development and Upgrading Plan, which form part of the 2018/19 Human Settlements plan.

Saldanha Bay requires a multi-disciplinary professional support for planning and implementation through the appointment of a Professional Resources Team (PRT) to undertake informal settlement upgrading

The WCDHS should assist Saldanha in appointing an implementing agent or consultant to support them with informal settlement upgrading.

The SBM should be involved in the scoping of SLAs in any appointment of implementing agent or intermediary from the onset. The scope should include support to establish the informal settlement land tenure system identified in the 2018/19 Human Settlements Plan.

The NGO needs to establish a clear exit strategy to ensure project sustainability beyond their [intermediaries] involvement periods.

As part of a provincial resource capacity development initiative, communities should be offered leadership courses, skills training, small business development, business advice, and advice on social issues which can improve the social progression of communities in informal settlements.

Hs 02/2020/2021

# **EVALUATION OF THE INFORMAL SETTLEMENT SUPPORT PLAN (ISSP)**

---

## **Part 3: Findings, Conclusions, and Recommendations**

Chapters 14, 15 and 16

## PART 3

---

Part 3 of this report discusses the findings, conclusions, and recommendations from the evaluation. This part of the report consolidates findings from the municipal case studies with those gathered from other engagement tools, such as the survey sent to municipalities as well as Provincial and National Key Informant Interviews (KII) into Chapter 14. The conclusions section in Chapter 15 summarises the key points of note about the general understanding, perceptions, and implementation of the ISSP across stakeholders engaged. These findings and conclusions then ground the recommendations made in Chapter 16.

## 14 FINDINGS

---

This chapter presents the key findings of the evaluation based on the data collection and analysis thereof.

The findings are categorised in accordance with specific key considerations related to informal settlement upgrading, and further linked to key users and OECD Evaluation Criteria of relevance, effectiveness, efficiency, coherence, and sustainability (as depicted in the table below). Each finding will indicate the relevant OECD Evaluation criteria that it responds to as well as the key users.

Criteria:
Coherence
Relevance
Effectiveness
Efficiency
Sustainability

Key Users
Executive Authority
Department's Senior Management
Private Sector and Other Partners
Informal Settlement residents

The findings are made based on the data collected as part of the Review Phase of the Evaluation, as well as the Data Collection and Analysis phases.

## 14.1 ISSP institutionalisation has progressed but understanding remains uneven within WCDHS, transversally and in municipalities.

Criteria:
Coherence
Relevance
Effectiveness
Efficiency
Sustainability

Key Users
Executive Authority
Department's Senior Management
Private Sector and Other Partners
Informal Settlement residents

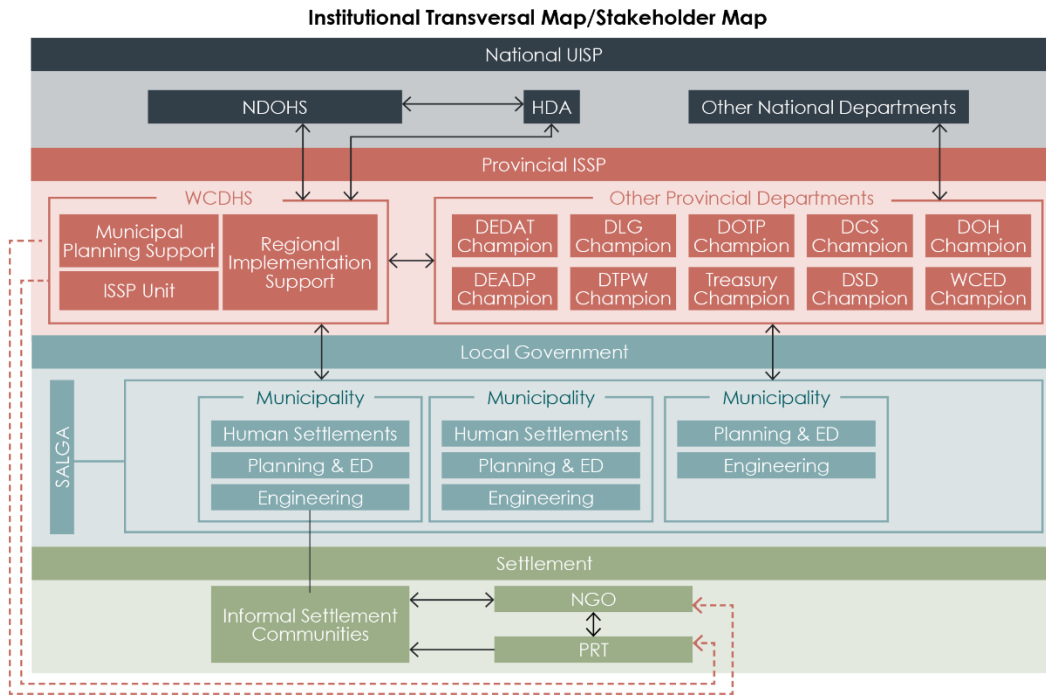
Institutionalisation can be defined as 'the process whereby social practices become sufficiently regular and continuous to be described as institutions', that is, 'social practices that are regularly and continuously repeated, are sanctioned and maintained by social norms, and have a major significance in the social structure' (Abercrombie, Hill & Turner, 1988:124 in Levy, 1996).

The institutionalisation of the ISSP assesses the extent to which existing stakeholder groups and sub-groups buy into, support and champion the strategic objectives of the ISSP, and the effect this has on their ability to achieve the requisite outcomes. It also provides perspective on the extent to which the implementation of the ISSP has sufficiently enabled and equipped these stakeholder groups to achieve these outcomes. A further consideration is the extent to which these practices have been translated into policies, guidelines, and strategies and in turn, the extent to which these are used. The latter is explored in a further finding related to the mainstreaming of the ISSP in municipal planning documents, discussed later in this chapter.

For the ISSP objectives to be realised, these objectives, actions and outcomes need to be clearly understood and accepted by all stakeholders. The institutionalisation and mainstreaming of the ISSP requires on-going, consistent action considering the fluid and dynamic human settlements environment including the socio-political context. The series of sub-findings below provide additional detail.

- (1) At the provincial level **within the provincial department**, the ISSP remains accepted and viewed as important, but this is uneven across provincial department stakeholders
- (2) **Transversally within the WCG**, the awareness and buy-in differs across departments, and some departments are not yet sufficiently included in the necessary transversal platforms
- (3) **The ISSP Forum has added significant value** in terms of achieving intergovernmental coordination
- (4) Other **intergovernmental coordination opportunities** and platforms to mainstream ISU (including the ISSP and UISP) have **not taken place to their full potential**
- (5) **At a local government level, the practice** of (1) elevating the strategic importance of ISU and **political championing**, (2) **facilitating and structuring the requisite municipal transversal structures**, committees and forums **are uneven and insufficient and sometimes not present at all**. Relatedly, the documentation of ISU and institutional arrangements toward integrated ISU is often insufficient, and as such, insufficiently documented and mainstreamed into municipal planning documentation

For reference, the Institutional Transversal Map is showed below.



#### 14.1.1 WC DHS understanding, buy-in and mainstreaming varies

The ISSP arose as a transversal intervention championed by the WCDHS. As the custodian of the ISSP, they are often seen as the ‘first point of call when assistance is required with informal settlement upgrading’ (Provincial KII, 2021). Experiences of informal settlement upgrading clearly indicate the importance of transversal and intergovernmental approaches to informal settlement upgrading. One of the key facets of the ISSP lies in this recognition – informal settlement upgrading is a multi-disciplinary undertaking and requires collaboration across stakeholder groups and sectors.

Based on the findings of the analysis, it emerged that through the design and implementation of the ISSP during its initial stages, the ISSP was well communicated to stakeholders and buy-in and engagement was sought from various stakeholder groups to ensure that the ISSP was designed in a robust manner to later enable transversal application and implementation.

##### 14.1.1.1 Executive Level

At the executive level, the ISSP was well accepted and the ISSP is now understood at the executive level as a key component of provincial developmental agenda. However, over time it appears that some traction has been lost in terms of keeping up the momentum for executive level support. Based on the available data, this could be attributed to organisational and staff changes, and prioritisation of other aspects of stakeholder engagements and operational tasks.

*“The initial uptake of the ideas in the ISSP and as a component of the Living Cape Framework (developed simultaneously), the initial acceptance through cabinet was positive and the way to go across the built environment in terms of responding to informal settlements and human settlements.” – Provincial Official*

#### 14.1.1.2 Executive attention and target setting

At its inception the ISSP garnered significant attention from executive management in the department, driven in particular by the HoD at the time. This led to ambitious targets of 60 informal settlements being upgraded through the ISSP work between its inception and the end of the medium five-year provincial planning cycle in 2019/20. Respondents varied in their views on the implications of this approach. Some senior and executive managers worried that this would overwhelm small team and in the early stage of the programme, while others thought the ambitious targets was useful to ensure that at least some progress was made in a considerable number of settlements early in the programme.

*“HoD informed the team that 50 (actually more than 50) informal settlements had to be upgraded by the end of the MTEF, but that was a challenge in itself because informal settlements are categorised, and the request was not giving the space to systematically categorise the settlements and upgrade accordingly. I was concerned that approach was going to destroy the programme and negatively impact the working team.” – Provincial Official*

*“It wasn’t easy. I watched this programme birthed and the uphill battle even after the work was completed. People weren’t necessarily embracing the principles coming through from the work. Felt as though people external to the department embraced it more than we did internally. It has slowly evolved; the message is resonating but it took years. If you weren’t committed or walked away it would have been understandable.” – Provincial Official*

The effect of this target setting was a diversion from the ISSP implementation plan to a narrower approach focussed on implementing ISSP projects through the deployment of NGOs in a limited number of municipalities given the limited resources available to the ISSP Unit. Similarly, it appears that overly ambitious target setting with limited staff resourcing overwhelmed an initial intention to appoint engineering service providers to support the informal settlement upgrading process in municipalities.

*“We had to procure local engineering companies to help with implementation, however there was no capacity to manage them. The HoD instructed an internal engineer to manage the work, but he was overloaded with the normal responsibility of oversight, on top of his own work. If they don’t create a proper informal settlements structure, the unit will continue with these kinds of problems.” – Provincial Official*



### 14.1.1.3 ISSP Unit

The ISSP is driven by a dedicated unit in the Planning Chief Directorate of the Western Cape Human Settlements Department, the Directorate Planning: Informal Settlements Support, known as the ISSP Unit. A Chief Town and Regional Planner leads the unit, with professional support from a second professional planner and a professional architect. Two administrators support the unit.

The role of the head of the unit is to coordinate the ISSP and to drive the programme. The head of the unit also facilitates the ISSP Forum, and the ISSP forum is chaired by the HoD.

The second professional staff member joined the ISSP unit in February 2019, and is responsible for:

- Strategic support – inputs into the ISSP forum.
- Contact management support – management of the SLA, scope of work for municipality, assessment of reports, financial monitoring of payments.
- Provide technical support to municipalities, assist in developing and compiling an application, providing technical support to any other informal settlement – bulk infrastructure application, internal support.
- Informal settlements support grant – development and compilation with internal team. Ensuring approval by national government.

The third professional staff member joined the unit in February 2020 and is responsible for:

- Research, monitoring and evaluation of informal settlements upgrading processes,
- Professional support to the other members of the ISSP team, NGOs, and municipalities.

The work of the unit supports the work of the Municipal Support Unit in the Planning Chief Directorate and the Regional Implementation Unit in the Implementation Chief Directorate.

The ISSP Unit acts as the custodian, champion, and facilitator of the ISSP and all related activities. As such, the ISSP and its objectives are entrenched within the ISSP Unit, where the main challenge is ensuring that sufficient human resource capacity is available to undertake the requisite coordination.

In practice this support takes the form of promoting the ISSP to stakeholders and drawing stakeholders to participate in the ongoing ISSP processes such as the ISSP forum, appointing services providers (NGOs) to assist stakeholders in working towards developing ISU data and institutionalising good ISU practice amongst stakeholders (informal settlements residents and municipalities), and assisting in preparing applications for ISU projects. The limited human resource capacity means that this support at times runs both ways, with the Municipal Support Unit at times supporting the work of the ISSP Unit.

The absence of “implementation” focused staff member within the ISSP Unit is identified through the analysis as a gap in terms of achieving the full coordination potential at a centralised ISSP unit level, therefore planning expertise is not yet complimented by engineering/implementation perspective within the unit.

*“Not enough resources nor people.  
The type of person that works in human settlements is special.  
WCDHS [officials] have to think about a huge amount of things. Human resources are  
needed the whole of the WCDHS (including ISSP). This department needs human  
resources!”– Provincial Official*

The ISSP unit works together with the Municipal Support Unit in the Planning Chief Directorate and the Regional Implementation Unit in the Implementation Chief Directorate.

#### **14.1.1.4 The Municipal Support Unit and Regional Implementation Unit**

The Municipal Support Unit comprises provincial planning staff deployed to provide support to specific municipalities, typically grouped according to various regions. The Municipal Support Unit assists municipalities in identifying their human settlements needs, and developing their human settlements project pipelines, both with technical planning support and strategic planning support as required, including project application. There is no specific allocation or specialisation in informal settlements projects.

The location of these staff varies, some are centralised in the Cape Town offices, while others are centralised and located in regional offices. Some regional implementation staff identifies the decentralised municipal support staff better aids coordination and planning of human settlements projects in municipalities within the decentralised regions.

The Regional Implementation Unit takes responsibility for managing the implementation of human settlements projects. These include human settlements project from all the human settlement programmes identified in the Housing Code. There is no specific allocation of resources to or specialisation in informal settlements projects.

Regional implementers identified that there had been limited engagement or training with them on the ISSP, leading to confusion about their roles in relation to the ISSP and the roles of the ISSP in relation to other informal settlements programmes, such as UISP and NUSP, and informal settlements upgrading funding streams.

#### **14.1.1.5 Presence of, and collaboration between, planning and implementation support at a regional level**

- Regional support for planning is largely centralized, local presence cited as critical success factor for projects
- Improved understanding of the mandate of regional officials in relation to the ISSP to be facilitated and included in job descriptions and KPIs

#### 14.1.2 Transversal provincial arrangements are reliant on the ISSP Forum

Data from stakeholders in transversal provincial roles indicate that through its implementation, the ISSP has achieved good buy-in and good representation from the strategic level. In particular, specific departments such as the Department of Environmental Affairs and Development Planning (DEADP), as well as the Department of Economic Development and Tourism (DEDAT) have demonstrated strong levels of support and buy-in.

*“As part of the ISSP working forum, there is an ongoing working relationship [between DEADP] with various directorates within the Department of Human Settlements providing advice and support on development projects which are either in implementation process or formulation of business plans stage...With regards to informal settlements, DEADP provides regulatory outlining assistance and presiding in environmental legislation to assist in fast-tracking and responding to rapid informal organisation..” – Provincial Official*

*“We had several discussions with DEADP. It’s a difficult terrain to work in because people squat in areas that were left open in the past which was deemed not developable with regards to environmental factors. They came to the table and helped us with that” - Municipal Official*

However, the buy-in and representation of other departments display a more discontinuous pattern. In particular, data indicates non-participation in forums from invited or nominated, yet key, departments such as the Department of Social Development (DSD) and the Department of Education (WCED), and only partial participation of others, such as the Department of Health (DoH), despite acknowledged synergies in work within informal settlements.

*“I don’t think the Department of Health engaged enthusiastically enough with the ISSP.  
The thing is there is limited capacity to engage on all these programmes. It starts to sound like an excuse rather than a reason. If we had gotten off on the right foot, we would be in a better space...” – Provincial Official*

*“Philosophy – respond to needs of community as articulated by community. Interpreted as articulated by government workers that service the community. To engage with a structure that is community driven and have a community voice is where the DOH want to be. The perception is that is impossible to listen to the community. That’s not true”– Provincial Official*

*“There was a letter to head of dept to invite us to attend the forum. There was a document that spelt out the strategic intent of the programme. And then there was an invite to the meeting the following week. It was a bit of shock. Reflecting on whether the DoH could have done differently – recall a request from David Alli, to do a presentation at management meetings – we set it up and then it cancelled. We never picked that direct one-on-one up. I think a one-on-one would have been helpful at the start of the engagement to understand the programme and how health can contribute to the programme.” – Provincial Official*

The Department of Agriculture (DOA) declined to participate in the ISSP forum, electing rather to engage with the ISSP Unit on a case-by-case basis. However, the data suggests that the DOA needs to play a bigger role and should participate in the ISSP forum. This is because agriculture and the work it creates is a systemic driver of informal settlement growth across rural municipalities in the Western Cape and thus the DOA needs to be involved in the coordinated response to informal settlements across the province, as well as in responding in specific cases. In addition, agriculture has a role to play as a creator of economic opportunities and sustainable livelihoods, and this should be leveraged in the ISSP.

*“Farmers are the biggest issue in terms of IS growth.” – NGO*

*“Wanted to do some research as to why the settlements are growing so fast. It was found that farmers are using labour from outside the area and not accommodating these workers on the farm. These farm workers therefore end up in the informal settlements. There is a need to communicate with the farmers to raise this issue.” –*

*NGO*

### 14.1.3 ISSP Forum enables intergovernmental arrangements/cooperation/coordination

#### ISSP Forum

**The ISSP Forum has added significant value** in terms of achieving intergovernmental coordination.

*“Benefits of the ISSP Forum included the networking opportunity, the information sharing, the capacity building from the other officials from other levels of government, especially at the local level. Also concretising relationships with colleagues” –  
Provincial Official*

The ISSP forum is a transversal and intergovernmental forum. The forum includes the Western Cape Department of Human Settlements, ISSP champions from other provincial departments (excluding agriculture), municipalities, and NGOs appointed as part of the ISSP implementation. Other stakeholders such as private companies and academics are periodically invited to attend the forum. The forum meets quarterly, and seventeen forums were held during the period covered by this evaluation, since the inception of the ISSP in 2016. The forum is chaired by the HOD to allow for immediate decision making on key issues raised in the forum.

Prior to the ISSP Forum, a provincial NUSP coordination forum existed, and this was repurposed to become the ISSP forum.

The findings indicate that there is a general consensus amongst all stakeholder groups that the ISSP Forum is important as an intergovernmental forum and has achieved great results through its implementation.

*“We do engage on that platform [ISSP Forum]. It is very useful and beneficial. We get inputs from other departments. For example, the department of home affairs with the issue of foreign nationals. The national police how they can assist with municipalities to deal with issues like that. There is useful information that comes out. DEADP provides presentations for compliance issues. The ISSP meetings are informative and beneficial... [The Municipality] doesn't get the opportunity to add to the ISSP forum agenda. They can do presentations at the ISSP forum to showcase their projects and milestones. It is a learning curve and platform to share your practice or best practice models. You can utilise these best practice models within your own municipality.” -  
Municipal Official*

All ISSP Forum participants who responded to the evaluation survey identified that the ISSP Forum was useful to some degree.

Response	Response count (n=10)	Proportion
Very useful	1	10%
Useful	7	70%
Somewhat useful	3	30%
Not useful	0	0%
Not useful at all	0	0%

The benefits of the ISSP forum were clearly illustrated through the COVID-19 crisis, where the forum was used as a mechanism to provide support to vulnerable communities. With the ISSP forum as an entry point to informal settlement communities, a coordinated provincial approach could be established.

*“Forum has a lot of reach to other departments and that other departments don’t have transversal platforms to reach a lot of stakeholders for help. There is a lot of reach that the ISSP transversal forum has, it is valuable as it holds networks and connects departments” – Provincial Official*

There are varying views held by participants of the study regarding the size and reach of the ISSP forum. In addition to the earlier gap identified (the Department of Agriculture declining to participate as part of the departmental champions group), it was also found that some stakeholders believed that the ISSP forum should be extended to include a broader array of municipal stakeholders (currently the focus is on municipal champions from within the department of human settlements and municipal human settlements officials) and more representation from the private sector/technical disciplines.

*“[in the ISSP forum] there isn’t often a good representation of all stakeholders involved in the implementation of the projects, example the engineers, the planners, the accounting officers etc.” – Provincial Official*

*“We do engage on that platform. It is very useful and beneficial. We get inputs from other departments. For example, the department of home affairs with the issue of foreign nationals. The national police how they can assist with municipalities to deal with issues like that. There is useful information that comes out. DEADP provides presentations for compliance issues. The ISSP meetings are informative and beneficial.” – Municipal Official*

The participation from certain officials also proved to be variable.

*“I had limited engagement on the ISSP platform. I would go when I was available.  
Most info was received after that we made use of...” – Municipal Official*

The findings also indicate that whilst the NGOs are consistently invited to participate, there has not been as big an effort to expand the capacity building in the sector to other service providers. This could be attributed to the fact that the NGOs are under contract with the WCDHS.

Engagements relay that there is limited participation from the private sector in the ISSP forum at this stage, which has been identified through the findings as a potential area of capacity building within the sector that requires further exploration to ensure that the ISSP can be implemented across a range of stakeholders as intended.

Survey respondents identified that the ISSP forum could be improved by expanding the focus to include more of the holistic aspects of informal settlements upgrading, not just basic services and other human settlements functions, specifically widening the involvement of DOH, DSD and DOE, and well as showcasing informal business innovation.

*“There should be more involvement from DOH, DSD, DOE etc. Upgrading is not just DHS issue, our communities have a multitude of concerns which go beyond just housing and upgrading informal settlements.” – Survey Respondent*

*“There are a range of issues raised in the ISSP that are critical to the holistic upgrading of informal settlements that aren't addressed with the same focus as basic services and other human settlements functions” – Survey Respondent*

### 14.1.3.1 Other supporting transversal and intergovernmental structures

Vision Inspired Priorities (VIPs) and Provincial Transversal Management System

The VIPs form the strategic priorities for the Western Cape Government for the 2019-2024 term of office, the equivalent of the Provincial Strategic Goals of the previous term. The implementation of these is supported through a structure of transversal executive committees and working groups, coordinating work toward each priority. Data gathered in the evaluation suggests that at the inception of the ISSP significant attention and support for the ISSP was generated in these executive transversal structures. Some stakeholders have reported that they perceive that some of this support and momentum has diminished over time, with less attention being paid to the ISSP through the transition from the **Provincial Strategic Goals (PSGs)** to the VIPs through the changing administrations in 2019.

*“What undercut potential was the shift from the 5-year PSP and VIP4 into the recovery plan in the strategic environment. There were 5 priorities in the PSP and those got reduced to 4 priorities in the priority plan. VIP4 - Spatial Transformation got divided across the four. A lot of coherence to response to built environment was split – this disadvantaged people working in the built environment.” – Provincial Official*

*“Need to watch out for switches in the transversal issues, leadership structures etc., because these changes can change the overall drive or support from different stakeholders.” – Provincial Official*



### **The District Coordination Forums and District Technical Forums (DCF/DCF TECH)**

The District Coordination Forums and District Technical Forums have been used to introduce the ISSP to district and local municipalities, as structures that play a role in coordinating intergovernmental planning and implementation. However, the ISSP and informal settlements have not consistently formed part of the agenda of these forums. Respondents identified that these forums could be used to enhance the ISSP approach, and that this would be welcome, but existing representatives on these forums from the WCDHS, particularly those from other units within the department would need ensure consideration is given to the ISSP as a transversal strategy and IS projects. In particular these forums can be used to ensure informal settlements upgrading is part of the consideration of planning for bulk infrastructure funding and provision.

*“The interface team will have municipal officials, the top level are using the DCFtech, the MMs, meaning the municipal managers and the senior managers. Then there must be a communication plan of how you are going to communicate all of this to the politicians and the wider public. – Provincial Official*

### **Joint District and Metro Approach (JDMA)**

Similarly, the Joint District and Metro Approach and its supporting forums have been used to introduce the ISSP, but the ISSP has not been consistently driven in these forums and would require existing representatives of WCDHS on these forums to do so.

The human settlements representatives on the above forums are not members of the ISSP Unit, which makes the institutionalisation of the ISSP within the WCDHS important, to ensure that these structures are effectively used and the ISSP effectively promoted by non-ISSP Unit Officials. ISSP Forum members from other departments who also set on these other forums should be encouraged to do the same.

*“It should be advocated for as an issue requiring a deep dive in one of the Mancos, probably Wellbeing. It should also be a standing item on all Premier’s Coordinating Forum and JDMA meetings. But there is a real need for a dedicated forum to be established for the coordination of upgrading - probably authorised by the Wellbeing Manco .” – Survey Respondent*

#### 14.1.4 Buy-in from municipalities receiving intermediary support from the WCDHS varies greatly

Data from the evaluation survey suggests that buy-in from municipalities varied considerably from municipality to municipality. Asked to rate the level of engagement of municipalities that they were working in, NGOs identified that about half of the municipalities were very engaged in the process and just under half were disengaged.

Level of municipal <b>engagement</b> in ISSP Process (n=8)		
	Level of engagement	No. of municipalities
Very engaged	5	3
	4	1
	3	1
	2	1
Disengaged	1	2

Asked to elaborate on the rating NGOs identified a misunderstanding of the nature of participatory work amongst some municipalities, and a lack of staff support as issues, while in other cases municipalities welcomed the notion that building trust and transparent interaction with informal settlements residents would assist in resolving their own challenges.

*“Total misunderstanding of the participatory nature of the project. Refused to interact with leaders directly. Characterized the NGO as ‘middleman’.” – Survey Respondent*

*“The officials accepted that communication, trust building and transparent interactions would go a long way to alleviating many of the challenges that they were experiencing. They were thus keen to learn how to improve this and spent time with us, listening to the voices of the residents within the informal settlements.” – Survey Respondent*

This data speaks to the need to institutionalise the ISSP paradigm shift amongst recipient municipalities, as well as the need to build municipal accountability into receiving ISSP support.

#### 14.1.5 Institutional Arrangements at Local Government are inconsistently structured and reported on

The ISSP's logic includes that municipal actions will drive settlement outcomes, and at the same time acknowledged the limited capacity of local government. During the ToC workshop, the participants were asked about which assumptions underpinned the success of the ISSP. Importantly, around the issue of capacity they indicated that implementation of the ISSP "assumes capacity in municipalities, including adequate skills and capacity to understand key data exists, and to apply guidelines; and that "municipalities and province have capacity to appoint and monitor contractors."

However, in addition to the lack of resource capacity, findings emerging from the fieldwork indicate a varied approach to ensuring that existing resources are sufficiently coordinated through institutional arrangements. In most cases, the current arrangements do not support the multi-disciplinary nature of informal settlement upgrading planning and implementation. Referring back to the case studies, it is notable that some municipalities have robust working structures and inter-departmental committees established in support of ISU, whereas in others the ISU function is fulfilled primarily by one or two primary staff members typically from within the human settlements' units or departments with very little collaboration and inputs from other line departments.

*"It would be recommended that a transversal team be established and support from the municipality. [I] don't think there is any kind of committee or arrangement that provides for the integration of departments - not even in the formal housing delivery. ...recommend to set up a transversal for dealing with formal and informal. First to have a transversal group/ integrated group dealing with formal housing and then a sub-committee for Informal Settlements."* – Municipal Official

The findings also indicate that the knock-on effect of an accepted transversal or inter-departmental structure at a municipal level includes a lack of buy-in and accountability. An often-cited example is as it pertains to matters of operating and maintaining infrastructure installed within the settlements. In the absence of a joint working group, it is seemingly challenging for municipal human settlements departments to encourage the collaboration with other departments to assist in operation and maintenance (O&M) functions. Communities have indicated that their only engagement is with the human settlements department, and they have no manner to reach service departments to engage them. This has been reflected country wide, and the Gauteng Informal Settlements Upgrading Strategy can be cited as an example.

*"So, no one takes ownership from within the municipality. No department wanted to take over or ownership of the toilets. So technical issues of the toilets not covered by the municipality."* – Municipal Official

The issues of enhancing community engagement and operation and maintenance will be discussed further later.

Returning to the finding relating to institutional arrangements for ISU, it was further found that even in municipalities with well-formed institutional arrangements and more sophisticated systems, these were either not well documented or not sufficiently resourced. Due to the lack of documentation, the findings indicate that the continuity of working structures are reliant on either external support or institutional memory. The need for resource capacity at the local level will also be discussed later.

*“Transversal alignment issue and a vertical issue. The coordination must happen at provincial, district sub district level. The capacity of coordination at local level is a challenge. Each department is very busy doing its own thing we are not coordinating things well at local level.” – Provincial Official*

In summary, the issues at local level are:

- An explicit requirement of the establishment of an appropriate ISU structure in municipalities does not exist
- There is no official guidance on how municipalities should structure ISU working arrangements, and this differs from municipality to municipality
- Limited ownership, interest, and accountability for various stages of ISU is demonstrated in cases where there is not a clear institutional arrangement or structure that acts to enable this
- There is insufficient documentation of the way informal settlement upgrading is resourced or the institutional arrangements that exist within the municipality

## 14.2 Implementation of the ISSP was narrower than designed in the ISSF and Implementation Plan, due to resource constraints and COVID-19

---

Criteria:
Coherence
Relevance
Effectiveness
Efficiency
Sustainability

Key Users
Executive Authority
Department's Senior Management
Private Sector and Other Partners
Informal Settlement residents

The implementation of the ISSP should be understood in the context that:

- (1) Unclear timeframes associated with the sequencing in the implementation plan.
- (2) The ISSP has focused on community-based planning / support / initiating transversal engagement
- (3) There is limited dedicated capacity within the ISSP unit – number of human resources
- (4) Impact of Covid-19 saw a shift in the distribution of financial and human resources, as well as the nature of interventions
- (5) Initial intent to work in 60 settlements from the outset did not enable gradual scaling or learning from doing

#### **14.2.1 The ISSP implementation plan provides an indication of sequencing of activities, but it is not time-bound**

Designed as a transversal programme of the WCG, the ISSP was designed in a manner that necessarily ambitious and integrated. However, a finding from the review phase of the project indicates that the ISSP implementation plan was not prepared in accordance with a full “SMART” goal approach. The implementation actions are Specific, partially Measurable, and Ambitious (rather than achievable). However, they are not time-based and therefore whilst individual actions on their own might be realistic, the notion that they could all commence at the same time without the appropriate prioritisation or staging creates a challenge.

Therefore, the fact that the ISSP implementation has been narrower than designed relative to the ISSF and the implementation plan itself, this must be understood in the context that the implementation plan is not time-bound.

#### **14.2.2 The ISSP implementation has focused on (1) promoting intermediary support to enhance the practice of community inclusion and community-based planning; and (2) the initiation of transversal and intergovernmental engagements**

- (1) The ISSP is well-recognised throughout the WCG and the sector for the efforts to broaden the perspective on what ISU is, moving beyond the provision of basic service provision to a more active championing of community engagement and participation toward facilitating empowerment of communities in the ISU process. One of the key initiatives to operationalise this was the introduction of intermediary support to selected municipalities based on an application by municipalities for this support. In this regard, the ISSP has achieved significant results as it has resulted in the deployment of intermediary organisations to 13 local municipalities, of which most contracts were completed (notwithstanding the impacts of COVID-19 in some of the contracts particularly in respect of time delays).
- (2) The ISSP support has also focused on building transversal structures at the provincial level to support ISSP implementation. Significant strides have been made in terms of intergovernmental and transversal engagements in particular through the ISSP forum.

#### **14.2.3 There is limited dedicated capacity within the ISSP unit**

The ISSP Unit is a small and focused unit (as described above). The scale of the undertaken tasks requires a well-resourced team to be operationalised and sufficiently empowered to implement the various projects and programmes forming part of the ISSP. In addition to the tasks formally assigned to the ISSP unit, there is also an expectation that the Unit is responsible to continually raise awareness of the ISSP and proactively champion all tasks even those where the primary responsibility does not sit as part of the core function of the ISSP unit or even WCDHS. The typically more reactive nature of other departments, taken together with the extent and complexity of the tasks to be undertaken particularly in respect of contract management and quality assurance is currently insufficient relative to its full potential. Moreover, the ability of the current staff to fully leverage the outputs currently produced by the ISSP is also inhibited due to the current size of the team and the existing working arrangements with other structures.

*“I look at what they’ve done, and I think they have good understanding of government committees. IS team is too small to make significant impact on the forums. Too small to achieve consistency, need to focus their resources. Can’t reach full potential ... don’t have the resources” – Provincial Official*

Based on the findings, the recognition of the value added by the ISSP unit is accompanied by a desire by stakeholders to further empower the unit to continue the work that they have been championing. The ISSP implementation is understood to have improved awareness that ISU is transversal responsibility, and also encouraged the engagement and participation of a transversal set of stakeholders. The analysis of the data suggest that the implementation successes have yielded a desire for continuity and expansion recognising the importance of the work undertaken to date.

#### **14.2.4 COVID-19 impacted on the implementation of ISU initiatives at all levels of government**

In the first instance, the emergence of COVID-19 required an immediate and focused shift of attention and resources to respond to the pandemic. In particular, the focus on informal settlements and the implications for de-densification, the provision of basic services in particular water, and the provision of Personal Protective Equipment (PPE) became a priority.

*“Shifted HS focus, when COVID hit in March – focus on providing water tanks delivery and not on the ISSP. Focus shifted onto other value-added interventions and not necessarily on the project level. NGOs were already to hit the ground, but they couldn’t go into the communities. The NGO framework agreement had to be extended for some of the contracts to continue – the focus of the team shifted, and response fell on David to make tasks teams and bring in other people from HDA, CoCT and National. How to respond to informal settlements in the wake of Covid” – Provincial Official*

It also had an impact on the ability of NGOs to undertake their work in the field.

*“The NGO started to do work in the municipality slap bang in the middle of COVID (March 2020). They started with their first workshops. Between March and November 2020, they started with the roll-out of their Programme. They were appointed to do community based participatory planning with the informal settlement residents. None of the municipal staff were there at these meetings due to COVID. They had already done a number of meetings.” – Municipal Official*

Working in the COVID-19 environment also had a massive impact on the continuity and completion of work envisioned to take place during the NGO contracts.

*“I think COVID-19 pandemic played a huge role in disrupting the momentum that we had and had built with the community. COVID hit and the priority shifted to keeping everyone safe and healthy and food. That kind of momentum changed, and people lost that to build that up again is like starting from scratch again to build that confidence with communities and committees. There is always a shift in dynamics with new people coming in and people exiting. Keeping momentum going especially during the pandemic was very challenging.”– NGO*

*“COVID implications, we were one step away from PSC. A nomination done through leadership group. Covid hit before the PSC was established.”– NGO*



#### 14.2.5 Initial intent to work in sixty (60) settlements from the outset did not enable gradual scaling or learning from doing

When the ISSP was conceptualised, it was envisioned that it will be rolled out in 60 informal settlements.

*HoD informed the team that 50 (actually more than 50) informal settlements had to be upgraded by the end of the MTEF, but that was a challenge in itself because informal settlements are categorised, and the request was not giving the space to systematically categorise the settlements and upgrade accordingly.”*

*They (the 60 settlements) were linked to the stage 3 target of incremental upgrading. We wanted to have participation of the community, skills transfer and all these attributes, but the way it was done would not allow for this to happen.”*

In the first instance, the upgrading of 60 informal settlements to phase 3 of the UISP was seen as an ambitious target and meant the focusing of resources to this end. This also meant that the deployment of NGOs to this number of informal settlements presented a challenge, particularly since the NGOs only became active midway through the planning period in question.

Emphasis was placed on finding ways to meet the target, rather than preparing comprehensive projects that ran from intermediary appointment to phase 3. This meant that where intermediaries were appointed, other supporting considerations such as the appointment and management of engineering support could no longer be prioritised due to the target overwhelming limited resources, which were now deployed to upgrading settlements which were further down the line in the planning process, or in other programmes.

Starting at the scale of 60 settlements also focused attention away from a slower (more methodical) and more incremental phasing of the ISSP implementation – and the institutionalisation was not fully enabled under this approach. In addition, the capacity building required across the sector was not prioritised due to the focus on implementation “at scale.”

### 14.3 Local government requires both social facilitation and professional technical expertise and support

Criteria:
Coherence
Relevance
Effectiveness
Efficiency
Sustainability

Key Users
Executive Authority
Department's Senior Management
Private Sector and Other Partners
Informal Settlement residents

The need for incremental and participatory upgrading is generally accepted by local municipalities. However, the findings indicate that there is currently insufficient capacity in most local municipalities to undertake informal settlement upgrading. The UISP policy itself provides guidance on the skillset requirements for a typical UISP intervention. These include:

- Community residents survey, registration, participation, facilitation, dispute resolution, etc
- Geotechnical investigation
- Land acquisitions
- Pre-planning
- Interim engineering services
- Detailed town planning
- Land surveying and pegging
- Contour survey
- Land survey examination fee
- Civil engineer's fee
- Site supervision fees
- Permanent engineering services
- Project management
- Transportation and loading costs for people and household effects
- Social service support inter alia support for the registration of social benefits, school registration and other welfare support
- Sustenance (food support) to relocate households

The ISU function is usually undertaken by generally small internal teams with competing responsibilities and limited capacity to champion change and give effect to the requisite transversal arrangements needed for successful informal settlement upgrading. There is a need for the assistance of external support through service providers – both NGOs (in the context of social facilitation support) and professional technical resources and skills (offered by private sector partners – Implementing Agents and Consultants).

**There is a definite need for resource capacity to support local municipalities.**

- (1) Municipalities require the support services offered by the NGOs and intermediaries offered through the ISSP or other social facilitation practitioners
- (2) Municipalities require professional, technical support including Programme and Project Management (PPM) Support

*“This is my plea, that the WCDHS should not only draft documents we need warm bodies assisting with human settlements. We are so ill capitated. We don’t need docs... we need warm bodies.” - Municipal Official*

### 14.3.1 Capacity support for social facilitation and community participation is required

The Upgrading of Informal Settlements Programme (UISP) recognises the need for social facilitation in the upgrading process. The ISSP offers a mechanism for this support to be offered to local municipalities where such internal capacity is not available. In some instances, social facilitation and community participation is undertaken through intermediaries not appointed via the ISSP, but rather as part of multi-disciplinary socio-technical teams such as Professional Resource Teams (PRTs).

The findings show that due to the scale and complexity of the challenge, municipalities typically do not possess the internal resource capacity to undertake detailed community engagements, participatory planning, and social facilitation. This is particularly relevant where no UISP project has been packaged yet. It is therefore critical that these sets of skills be readily available to municipalities to be used at the appropriate points in the project planning and implementation lifecycle.

Where NGOs, intermediaries and other (non-ISSP) service providers have been appointed, the municipalities have been able to show progress in terms of gathering baseline information, such as settlement profiles and enumeration; and establish community leadership structures.

*“The services of the NGO were spot on. They assisted on various items we required. The main objective was not really for assisting municipality to be a voice, but rather for counting and enumeration of structures. counting and enumeration of IS structures is a continuous thing. The situations change daily. This is a fear that we sit with outdated info. We need a system were the counts updates regularly.”*  
– Municipal Official

*“But I do believe that our NGOs are our best social tool. I really do believe that, but we’ll have to find the middle ground between a lot for profit and making a massive profit or the model’s going to fall apart.”*  
– Provincial Official

*“As I said earlier that relationship worked beautifully. They did a great job, they involved everyone with their meetings. They were actually arrogant and said, ‘we must be there, they can’t do the work without us being there’. They kept the whole project together. And getting the people’s moods also sorted out like in future planning, so the people don’t get worked up because for instance the project grew by 600 on top of another 600...”* – Provincial Official

*“The NGO improved the communication and relationship between the municipality and community. Empowered both municipality and community to engage one another.”* – Community Member

### 14.3.2 Municipal capacity to engage with ISSP outputs is mixed

Data from the evaluation survey suggest that municipalities' ability to engage with work produced by NGOs through the ISSP process is mixed. When NGOs were asked to rate the level of capacity municipality's had to engage with their work, only two out of eight municipalities were regarded as having high capacity. Five of the eight municipalities were identified as having limited to no capacity.

Capacity of Municipality to engage with ISSP outputs (n=8)		
	Rating	No. of municipalities
High capacity	5	2
	4	1
	3	3
	2	
No capacity	1	2

Asked to elaborate on the ratings respondents, the high rated municipalities had demonstrated clear use of or intent to use data and information produced in the process, whereas those identified as having no capacity either had significant vacancies in their organograms and not enough staff to effectively use the outputs produced or did not demonstrate any intent to change the way that they engaged with informal settlements and their residents.

*“We were required to give regular status updates and were informed that our outputs guided their planning submissions.” – Survey Respondent*

*“These officials simply saw the input of an NGO as a peace-keeper to address any and all of the historical problems that they had been experiencing with the residents. There did not appear to be any real commitment to change the way in which they did business or addressed the residents..” – Survey Respondent*

This suggests that there is a need to ensure that municipalities receiving ISSP intermediary support are supported in the use of the data generated through the process.

### 14.3.3 Municipalities require multi-disciplinary resource support and a stronger approach to PPM.

The support typically required to deliver an UISP project includes expertise such as town planners, environmental assessment practitioners, engineers (Civil, Electrical and Geotechnical), land surveyors, programme and project managers and construction managers. Additional supporting skillsets implicit in the above is GIS and Spatial Analysis, information system and database management; integrated and area based socio-economic profiling amongst others.

*“[previously there was an] announcement from WCDHS that they would appoint technical personal (like engineers, conveyancers) to assist the municipality (an idea of previous HoD). This was communicated but never came to fruition. [The municipality] needs assistance with capacity building, environmental awareness (but doesn’t have enough resources, they are overbudgeted and there are financial constraints.) we are in a difficult situation. We would appreciate on-going support in terms of planning. We need more warm bodies, personal. The HS department is too small. Under the head of housing is only 6 people. Informal settlement officer covers all the Informal Settlements. That is very difficult. That is why we need the assistance of the committees, that is actually our eyes and ears for service delivery issues that need to be resolved, or shacks or putting up shacks without municipal approved. The IS committees help the municipality in the daily issues and managing stuff on the ground. The [municipality] has a lack of capacity.” - Municipal Official*

The ISSP unit has already recognised and considered additional support options for municipalities. The ISSP Policy Guideline notes this consideration, focused on engineering capacity.

*“The Department is developing a mechanism to support municipalities to acquire consulting engineering capacity for professional assessments. The mechanism includes a database of suppliers which will be asked to tender for work identified by the municipalities” - ISSP Policy Guideline, 2019*

Given the recent addition of the shortened application process via the interim basic services Project Feasibility application, the need for the fast tracking of basic services has been recognised, but often due to the lack of internal capacity this is not carried forward. However, through the findings it also emerged that ISU practices are generally not integrated enough – and that there is not sufficient resource capacity dedicated to integration management and ensuring that projects are packaged and flow smoothly through a project pipeline in an integrated manner.

*“One shouldn’t underestimate the complexity of problems. purely linear engineering solutions don’t solve many of the subproblems. The emerging best practices should be replicated and scaled up; that should be the community of practice where everyone is co-owning the problem. We’ll need to keep exploring the emerging best practices and through the community of practice, continue to scale up.” – Provincial Official*

The findings therefore reflect that the need for engineering support to the municipalities are accompanied by the need for other resources, such as strategic advisory support, pipeline planning, integrated spatial planning, legal support, and environmental practitioners.

*“[there is a] need for the appointment of technical personal to assist the municipality, such as lawyers, conveyancers, and environmental experts to raise environmental awareness in the municipality.” – Municipal Official*

## 14.4 Skills and expertise of NGOs and intermediaries were applied effectively in most cases, however in some they were not well matched to complex municipal and community contexts

Criteria:
Coherence
Relevance
Effectiveness
Efficiency
Sustainability

Key Users
Executive Authority
Department's Senior Management
Private Sector and Other Partners
Informal Settlement residents

*“The appointed experts will work hand-in-hand with the WCDOHS, communities and municipalities to provide the relevant expertise required to simplify the concept of and implement incremental upgrading.” – NGO Framework ToR, 2017*

The NGO framework Terms of Reference required potential service providers (in this instance NGOs and intermediaries) to indicate in their proposal the relevant experience in the following areas of expertise: Community-based planning/participatory planning; Community facilitation and mobilisation; Project management; Project packaging; Social facilitation; Community survey and data collection; Conflict mediation; Networking and partnership brokering; Facilitating learnings and managing knowledge exchange; Documenting learnings and upgrading processes; Skills training and leadership development; Monitoring and evaluation; Informal settlements upgrading (e.g. re-blocking, in situ, incremental development); and Construction and building expertise.

The data indicated that:

- (1) Skills and expertise of the NGO's varied
- (2) Despite the varying skills and expertise, the general scope of work of most NGOs were similar
- (3) Capacity building has focused on NGOs and existing sector capacity has not been fully leveraged
- (4) The uneven skillsets and inadequate leveraging of the sector generates additional demands for the ISSP unit to ensure quality control

### 14.4.1 Skills and expertise of NGOs varied

Based on the data, it is evident that specific NGOs and intermediaries have different sets of skills.

*Some NGOs have been well equipped while new NGOs on the scene took a while to get used to the methodology and technology, and participatory planning and community-based planning – need to provide templates to NGOs that are inexperienced. This is a learning from the process.*



The NGOs also had different levels of expertise.

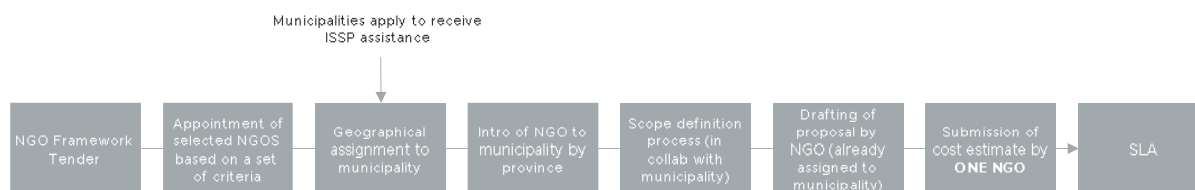
*“We are the new baby on the block” -NGO*

*“Some NGOs have been well equipped while new NGOs on the scene took a while to get used to the methodology and technology, and participatory planning and community-based planning – need to provide templates to NGOs that are inexperienced. This is a learning from the process.” -NGO*

#### 14.4.2 Despite the varying skills and expertise, the general scope of work of most NGOs were similar

However, the general scope of work required from municipalities were typically the same, meaning that the available skills base would not always be a complete match to fit the municipal need.

The analysis of the data indicates the following process was followed in the appointment and assignment of NGOs to municipalities.



This process therefore does not consider to the full extent necessary:

1. The readiness of the municipality from a strategic ISU approach perspective vs the expertise and capacity of the NGO
2. The skill set of the NGO relative to the level of complexity of the municipal or community context that they are entering
3. The experience of the NGO relative to the level of complexity of the municipal or community context that they are entering
4. The ability of the municipality to work with an NGO whilst still remaining actively involved (and accountable, irrespective of the funder of the NGO support)

Importantly, the mix of skill sets, and experience also created an opportunity for capacity building amongst NGOs.

*“Interagency transfer of knowledge, as a result of the province wanting coherence between the NGOs. To get NGOs to work together nicely was something quite fantastic to see.” - NGO*

#### **14.4.2.1 Capacity building has focused on NGOs and existing sector capacity has not been fully leveraged**

Capacity building in the sector has been limited to capacity building with stakeholders identified and selected as part of the NGO framework, which in turn means that this was limited to *Civil society* organisations capacitating other civil society organisations. The findings indicate that due to the nature of the process followed, there was not adequate consideration of capacity already available in the market to fulfil the roles and tasks required by the municipalities and communities and maximise efficiency and effectiveness, including external capacity building expertise.

#### **14.4.2.2 The uneven skillsets and inadequate leveraging of the sector generates additional demands for the ISSP unit to ensure quality control**

Another key consideration is the downstream implications for management of NGOs/intermediaries with less experience and expertise and the resourcing implications this has for the provincial government. The deployment of less suitable and less experienced NGOs to municipalities means that the ISSP unit, as the Client to the Service Provider (NGO or intermediary) must play an even stronger role in guidance or facilitating the requisite guidance, providing quality assurance, and playing a project management role.

#### **14.4.2.3 ISSP Unit support for intermediary work is regarded as excellent by NGOs despite limited capacity**

All NGOs (4 of 7 that responded to the evaluation survey rate the support that they received from the ISSP unit as excellent. In particular the ISSP unit was identified responsive and effective in addressing issues arising in the work of NGOs and in particular intervening where municipalities were disengaged in the process. However, it was identified that there was engagement in some project meetings than would have been ideal, due to limited number of staff available for engagements.

*“They were always prepared to listen to the problems that we were experiencing on the ground and willing to get involved in addressing the problems when called upon to do so. They responded promptly to all queries addressed to them. They paid invoices promptly. Generally, we thoroughly enjoyed working with the entire team who were very professional and committed to the success of the ISSP.” - Survey Respondent*

## 14.5 ISU is not yet sufficiently mainstreamed in municipal policies and plans for achievement of the ISSP’s objectives

Criteria:
Coherence
Relevance
Effectiveness
Efficiency
Sustainability

Key Users
Executive Authority
Department’s Senior Management
Private Sector and Other Partners
Informal Settlement residents

Municipal planning documentation is generally ineffective at documenting and communicating the following aspects comprehensively: the strategic approach to informal settlement upgrading tailored to the municipal context and a holistic pipeline of projects in the short, medium, and long term, the resource requirements to achieve this (both financial and human resources). The Informal Settlement Partnership Grant (ISUPG) requirements as set out in the Division of Revenue Act (DORA) requires that provinces have a province wide upgrading strategy, which is also a requirement for metros. However, it does not explicitly require local municipalities to have such. Consequently, the approaches to mainstreaming ISU through municipal development planning processes and documentation is insufficient. Mainstreaming is occurring to some extent in selected municipalities.

*“...we have identified land in our SDF where we will do the ISU. We will make the erven much much smaller. They are 150sqm at the moment. We have to make the erven smaller to help all the people.” - Municipal Stakeholder*

In the main, however:

- (1) Where informal settlements appear in the SDFs the data is outdated, and a complete strategic approach is not clearly articulated
- (2) IHSPs do not reflect a pipeline of ISU projects
- (3) IDPs show only high-level information
- (4) There is an absence of specific guidance to municipalities on how to better integrate ISU into their municipal planning documents.
- (5) Based on the case studies, only one municipality had a clear system for how IS were included in the LUMS, despite the requirements set out in SPLUMA for this to be a key feature of the municipal LUMS
- (6) Issues of vulnerability and risk (climate change response plans, disaster management plans) could be improved. ISU strategies and other sector plans should co-inform. Importantly, data from Municipal Vulnerability Assessments (VAs) should be used to inform the RAC, and such should be compiled a manner that enables this.
- (7) Many available documents pre-date the completion of the work undertaken through the ISSP, and there currently is little to no evidence of the work produced through the ISSP (NGO reports) having been integrated into publicly available municipal planning documents.

*“We need the province to help the environmental department, in terms of strategic planning. We need to look at putting areas in places where people are not at risk. The climate driven and disaster risk are not really taken into account in these studies. A strategic study from HS point of view that shows no-go areas and areas to house people, and this can inform our decisions going forward.” – Municipal Stakeholder*

Existing mechanisms such as the IHSP, SDF and IDP are not leveraged to facilitate the level of integrated planning needed to demonstrate a clear strategic approach to the development of project pipelines and prioritisation.

Relatedly, the data indicate that the use of ISSP tools such as the prioritisation framework has seen limited use by local municipalities for reasons primarily related to lack of capacity and in some cases, there is still hesitancy to embrace or even accept informality through recognition in municipal planning documentation.

*“Many of these documents are put away on a shelf or stored in a folder on your PC. It is much better to work with physical implementation. By implementing you can see results. The documents can be used as reference. The documents are not physical implementation (like going into the field). The documents are used for guidance, but the crux of the matter is the implementation. Physical implementation is needed at this stage. The guiding docs are useful, but the crux of the matter is implementation.” –  
Municipal Stakeholder*

Consequently, proactive planning for managed land settlement or responsive identification of land to meet the relocation requirements are not sufficiently addressed or documented. As such, the findings show that these important strategic issues require attention going forward. Without ISU included in the strategic narrative in planning documents, the development planning process linked to budgeting will remain unoptimized.

## 14.6 Accountability for ISSP work is unclear at the municipal level and reporting frameworks are insufficient for consistent monitoring and learning

Criteria:
Coherence
Relevance
Effectiveness
Efficiency
Sustainability

Key Users
Executive Authority
Department's Senior Management
Private Sector and Other Partners
Informal Settlement residents

During the implementation of the ISSP, it was evident that municipalities saw their role in the management of the NGOs differently, with some municipalities playing an active role aiming for a collaborative approach, whereas others saw the work of the NGO as the mandate of the province and did not place emphasis on the participation or review of the work undertaken by the NGO.

In terms of communication with the local communities, there were some perceived benefits in terms of positioning the NGO as the “province’s Service Provider.”

*“The main important thing is the approach by which you enter the community... Usually we ensure that we do not associate ourselves with the municipalities before we understand the community dynamics. We try by all means to come in as neutral players, focusing on bringing the municipalities around the same table with the communities. In terms of perceptions, we didn’t really have any issues per se, probably because our entrance was more associated with the Provincial government...”*

– NGO

The data indicates that:

- (1) The ISSP unit is insufficiently capacitated to do a detailed review of all outputs from the NGOs
- (2) There must be a reliance on the local municipality to take accountability for the review of the outputs and take ownership of the process. However, often this was not the case leaving a gap in the quality assurance process
- (3) Where other consultants and implementation agents have been appointed, it was evident that there were conflicting roles and responsibilities in particular with regard to the multi-disciplinary socio-technical terms of reference (including community-based participatory planning facilitation), of the Implementing Agent already appointed and active. Furthermore, municipalities have not played a strong enough role in the management of multiple parties.
- (4) The institutional arrangements of resources at the municipal level in particular play a significant role in the success of the role out of the ISSP interventions to date.

## 14.7 Community perceptions of NGO deployment and implications of projectized approaches

Criteria:
Coherence
Relevance
<b>Effectiveness</b>
Efficiency
<b>Sustainability</b>

Key Users
Executive Authority
<b>Department's Senior Management</b>
Private Sector and Other Partners
<b>Informal Settlement residents</b>

The deployment of NGOs to work with communities was met with **varying degrees of understanding and acceptance by communities** and **this level of acceptance is also shown to have shifted over the duration of projects**. Initially, many **communities resisted the entry of the NGO**, arguing that municipalities were shifting their responsibility. This perspective often shifted as communities **developed an appreciation for the work being undertaken**. Then, as projects came to an end, many communities had **developed a level of reliance and perceived dependence on the NGO, struggling to re-transition to a context without the intermediary support**. The framing of the NGO support as being a provincial led initiative in some cases also aided the acceptance of the NGO work from communities, whereas in some cases no linkage was made to the fact that the NGO work was a form of state support, and communities saw this as purely the initiative of the NGO sector. Projectized nature of intermediary work is a risk to stakeholder engagement and its effectiveness.

*“We are doing a small project at the moment – at the entrance project. This is being done while the application is going in. This is ongoing. It is the mandate of the municipality to do upgrade and provision of services. We looked at the complementary things to engage with. We are looking at Green belt, recreation area. Trying to begin the process of upgrading the axillary aspects of the built environment process.*

*What emerged out of that was that we were seen as the [NGO] committee, or they see themselves as the [NGO] committee.” – NGO*

*“I would like the contract with [NGO] to be renewed as the community benefited from their involvement. Would like to see a continuation of the work done so far so that the needs/projects/initiatives that were identified can be implemented. I am grateful for [NGO]’s involvement in the community” – Community representative*

## 14.8 Tenure Security Options are not consistently understood and applied by municipalities, and guidance document should be updated and mainstreamed

---

Tenure Security is one of the three UISP objectives. Looking at the entire tenure security continuum, the evaluation provides a perspective on the tenure arrangements in the informal settlements under study, and the extent to which typical ISSP outputs such as enumerations have worked to strengthen tenure security.

Criteria:
Coherence
Relevance
Effectiveness
Efficiency
Sustainability

Key Users
Executive Authority
Department's Senior Management
Private Sector and Other Partners
Informal Settlement residents

Based on the completed analysis, the following emerged:

Tenure options for informal settlements are understood differently across the municipalities, leading to various levels of application of tenure security options. In some municipalities:

- (1) no tenure security options are presented and offered, and in some cases are not clearly articulated
- (2) opportunities to facilitate tenure security not fully embraced, including where foundational elements have been set in place through the ISSP
- (3) municipalities display reluctance or are under capacitated to undertake the work required to facilitate tenure security
- (4) The municipality and the community differently interpreted available tenure security options
- (5) the communication and facilitation of tenure arrangements with the community created dissatisfaction and uneasiness within the community
- (6) There has also been little evidence of active use or relevance of the tenure guideline by local municipalities. These sub-findings are discussed as follows:

In certain municipalities, tenure arrangements relative to ISU beneficiation categories have not been clearly articulated and ineffectively communicated to communities, and as such, communities feel uneasy and uncertain of the nature of their tenure security status and the process toward tenure recognition.

For example, in a particular municipality, a multi-year programme is underway and there are plans for tenure arrangements, and although not implemented, these have not yet been adequately communicated to the community.

*“We just are not sure if we will be evicted or not... We are not sure if we have security, but we know the project will happen.” – Community Member*

In other cases, communities have reflected dissatisfaction with the terms put forward as part of the tenure security mechanism offered by the municipality, worsened by the lack of communication of the terms of the agreement.

*“The contract states that the land is owned by the municipality and the community is there on a temporary basis. After enumeration newcomers are not allowed to settle in the area. The contract also states that businesses are not allowed. The municipality was not available to explain the terms and issues related to the terms of the contract.” – Community Member*

*“The community don’t want to just sign. They need a page-by-page explanation of the contract, and it should be done after hours when people are available. Committee members are afraid to tell the community that they should sign the contract. Municipality said they don’t get paid to work after hours to come and explain the contract.” – Community Member*

Enumerations have led to the establishment of community land registers which set in place a foundation for tenure security. In one case, through the work undertaken by the ISSP, a “list of rules” was established through consensus with the community about the building of new structures. The intention was such that:

*“The communal register safeguards the people living in IS up to a specific date. If a new structure pops up, law enforcement is informed...” – NGO*

This land register was to be linked to a certificate of occupancy to be issued to the community by the municipality.





Despite progress made, in certain cases through ISSP-NGO support, municipalities display reluctance or are under capacitated to undertake the work required to facilitate and continually manage tenure security arrangements.

*“[we] set the systems in place but not continued because it is not being driven by the municipality.” – NGO*

*“No household has that certificate and we have had meetings with government, including Human Settlements but to no assistance. We have sent through information to Human Settlements MEC, but they have not responded to us. The director has acknowledged there is nothing that should be a barrier to attaining the certificates. We just need to meet again and pick up the project where we left off.” – Community Member*

In a number of instances, an observable disjuncture in perception between the community and municipality regarding available tenure arrangements has emerged. In one case, the municipality was satisfied that interim tenure security process has been established, and that it was accepted and understood by the community, whereas the community did not feel tenure secure.

*“They can take the [electricity] box and if they tell you tomorrow then you must move...” – Community Member*

In contrast, in the same municipality, municipal officials indicated that there was an application process in place for the issuing of letters, and that the ISSP process improved the level of awareness of these letters and in turn the tenure security provision process.

*“ISSP assisted. People did not know about that they have to apply to municipality. People just put up their shack. Now there are people monitoring on the ground. Now people understand the processes. Once people have applied, they will assist communities.” – Municipal Official*

In some cases, where tenure security has been provided through agreements with community members, residents sell sites still in the ownership of the municipality, whereby no system or resource capacity is in place for monitoring and maintaining the database of residents.

*“People selling sites, but it was never their site. Then that person doesn’t have the agreement because he is not legally staying there” – Municipal Official*

The ISSP is regarded as a reference tool, but in most instances the content is outdated and does not deal with key issues such as differentiated development pathways linked to settlement categorisation, or mechanisms to link tenure security into the social compacting process and the envisaged/required beneficiation categorisation.

#### **ISU beneficiation and appropriate security of tenure available to immigrants (legal/documented and illegal/undocumented) through the UISP**

*“Every municipality has issues with migrant labour or illegal / undocumented foreigners.” - Provincial Stakeholder*

*“They needed local council official in the meeting. Formally start bringing the idea of rental agreements between landlords and tenants who have high level of tenure insecurity. Because these agreements are verbal. The leaders wanted to have a stamp to certify rental agreements. Buying and selling of shacks happen all the time if you keep track you can manage. So, the idea was to document the transfer of shacks and keep record of this. The municipality didn’t even read this report.” -NGO Stakeholder*

It is evident and thus a finding that, from the various interviews conducted (Provincial, Municipalities, and informal settlement communities), that there are significant challenges with regards to immigrants, residents in informal settlements undergoing incremental upgrading, to be considered and factored into the planning for incremental ISU interventions and also **that there is a perceived lack of a consistent strategy and/or an appropriate Standardised Operational Procedure to be followed:**

- legal as defined in UISP (so-called legally ‘documented’) and
- illegal as per UISP (so-called legally ‘undocumented’)

**Security of Tenure rights (inclusive of Informal Occupation Rights) and beneficiation opportunities** for immigrants are closely linked to their respective immigration statuses as determined and documented on a case-by-case basis by the Department of Home Affairs and as prescribed in the Housing Code. In terms of the Housing Code, the local municipality as the ‘developer’ in the ISU interventions is thus placed at the forefront to initiate, facilitate, plan, and manage the necessary activities to give effect to the appropriate incorporation of immigrants into its ISU interventions or for that matter/implication, where necessary, the exclusion of certain resident immigrants.

*The Security of Tenure rights and beneficiation opportunities* for immigrants are should therefore be upfront and intentionally considered and incorporated during the following initiation, pre-planning (survey, registration, and provisional subsidisation administration), planning and implementation stages of settlement-specific ISU interventions:

- Community-based participatory planning, facilitation and commensurate incremental Memoranda of Understanding (social compacting)
- Enumeration of all IS resident individuals and households (appropriate geo-tagging surveys and data-base registrations)
  - ✓ *It is here that the ‘undocumented immigrants’ are seek to avoid being surveyed and registered.*
- Determination and ‘allocation’ of provisional beneficiation rights (and associated appropriate forms of tenure security) for all prospective categories of registered beneficiaries such as:
  - *Access to temporary emergency shelter and services*
  - *Access to interim shared basic services*
  - *Access to Temporary Relocation Area Accommodation and Relocation Assistance*
    - ✓ *This will also need to address temporary facilities for undocumented immigrants that cannot or may not be granted beneficiation in the upgrading of tenure?*
  - *Eventual access to subsidised serviced-site opportunities*
  - *Eventual subsidised housing consolidation opportunities*

## 14.9 The relationship between the UISP and ISSP, and their funding models are not well understood by some municipal and provincial stakeholders

Criteria:
Coherence
Relevance
Effectiveness
Efficiency
Sustainability

Key Users
Executive Authority
Department's Senior Management
Private Sector and Other Partners
Informal Settlement residents

The National Department of Human Settlements introduced the National Upgrading Support Programme (NUSP) in 2009 to support provinces and municipalities to achieve a programmatic approach to informal settlement upgrading. As a support programme, the NUSP had various activity streams which worked together to achieve the three (3) objectives of the UISP – tenure security, health and security and empowerment. The Western Cape Government sought to develop a provincial support programme focused on the specific context of the province, and through this process, the ISSP was created.

*“Overall, the ISSP is a replica of NUSP at the provincial level.” – Provincial Stakeholder*

*“There is a clear relationship [between the UISP and ISSP]. They are interwoven into each other.  
In the fundamentals underpinning these programmes; tenure security, community development, provision of basic services”  
– National Stakeholder*

The ISSP therefore sought to provide support for informal settlement upgrading in a holistic manner.

The analysis of the data revealed that:

- (1) There is relatively consistent understanding that the NUSP was introduced to municipalities and the province to support the implementation of the UISP
- (2) A distinction is drawn between the UISP and ISSP, and there is confusion about whether ISU projects are “UISP projects or “ISSP Projects”
- (3) Linked to the differing perceptions regarding the UISP and the ISSP, there is also confusion related to how each of these are funded, and specifically, the funding used for the undertaking of the work by the NGOs and intermediaries is not fully understood

#### 14.9.1 Scope and definition of the ISSP relative to the UISP is unclear

During the data collection process, various stakeholder and stakeholder groups were engaged on the ISSP implementation. It emerged that participants wanted to be able to categorise projects as either UISP or ISSP projects and were uncertain as to whether a project could be classified as an ISSP project even if it was a “UISP project.”

*“ISSP has been imposed and has not been very clear regarding workshopping/training on what the distinction is between ISSP and UISP and how ISSP fits into the realm but also a limited explanation on how the new grant is going to play a role.” – Provincial Stakeholder*

They also reflected a clear understanding that the NUSP was a steppingstone to the UISP, which could be attributed to the nature of the work prepared through the NUSP and in particular the development of upgrading plans and integrated upgrading programmes.

Municipalities who already had implementing agents appointed for UISP projects either currently or in the past, were able to conceptualise more clearly the ISSP as a support to the implementation of the UISP, but even this was not consistent. In some cases, the intermediaries were seen as a value-add to augment existing UISP initiatives, whereas in others the introduction of the ISSP where UISP projects with social facilitation were already in play served to create confusion about the interface between the two.

*“The meetings in Cape Town - the forum this is where all municipality come together. We report on the implementation of the UISP, not specifically focusing on the ISSP.” – Municipal Stakeholder*

#### 14.9.2 The funding for ISSP and UISP is not clearly understood

The UISP provides a framework through which informal settlement upgrading projects should be executed and is typically read together with the subsidy quanta for each component, which in turn is used to plan and cost ISU projects.

In the Western Cape, the release of funding as part of the UISP takes place in various tranches, typically linked to the completion of specific application documents.

The process has historically included a Project initiation Document (PID), Project Feasibility Report (PFR) and Implementation Readiness Report (IRR).

More recently, a Project Feasibility Report for Informal Settlements Interim Basic Services has also been introduced, which is designed to consider those instances where settlements were categorised as Category B2 – meaning deferred relocation. In these instances, the application to be submitted is the PFR for IBS which is seen as the shortened process as the PID and IRR do not need to be submitted, removing two of the three normal project approval gates (ISSP Policy Guideline, 2019: 30)

*More clarity is required on the use of the two project funding application pathways for UISP and ISSP projects: the normal application process (used for all projects) and the shortened application process for interim services projects. – ISSP Policy Guideline, 2019*

In the first instance, stakeholders across all stakeholder groups demonstrated very little awareness of these policy guidelines which do provide for recommendations for ensuring that ISSP projects are placed on the Business Plan via normal BP process; and Recommendations for ensuring that ISSP projects are placed on the Business Plan via shortened BP process.

Relatedly, there is also a lack of consistency and transparency in how the work undertaken by NGOs are funded. Some stakeholders indicate that their understanding is that the funding mechanism for the work undertaken by NGOs/Intermediaries should form part of the overall UISP budget i.e., the 3% of the project value allocated to social facilitation. However, in some cases (1) NGOs were appointed where intermediaries appointed as part of multi-disciplinary teams were already active and had already been assigned the 3% of the project value for social facilitation and in other cases (2) projects had not yet reached a pre-feasibility planning stage so the calculation of the fees allocated to NGOs to undertake social facilitation are not easily discernible as part of the overall social facilitation budget.

*“If the NGO is responsible for a certain amount of work e.g., establishing a committee then if they are not going through project to the end then the funding must be limited and cannot be the full 3% allocation” – Provincial Stakeholder*

*“We are bounded by 3% of the total project” – Provincial Stakeholder*

Overall, despite the existence of guiding documentation, there is a limited understanding of the broader policy and grant framework environment. Municipalities showed varying degrees of awareness of the stipulations in the Division of Revenue bill applicable to provinces for access to funding, and at a provincial level the introduction of the Informal Settlements Upgrading Partnership Grant (ISUPG) and the PRF IBS continues to create confusion.

*“What is the programme now? Where does ISSP and ISUPG fall into the UISP? Is the UISP still valid or has the UISP changed? And I’m specifically referring to the funding model. Our province definitely likes to change funding models and that is confusing because the UISP is set in this way and now the ISSP is this way. Previously they had this thing called ABS, it was Access to Basic Services coupled with enhanced service sites. So, you know, I still need an explanation, what is it now? Is it ISSP specifically and what is the bigger picture regarding upgrading informal settlements?” – Provincial Stakeholder*

## 14.10 Important data has been collected from enumeration processes but have not yet been effectively utilised and are not standardised

Criteria:
Coherence
Relevance
Effectiveness
Efficiency
Sustainability

Key Users
Executive Authority
Department's Senior Management
Private Sector and Other Partners
Informal Settlement residents

Data collection processes forming part of the ISSP typically include the following:

1. Obtaining household level baseline information
2. Undertaking full or sample population socio-economic surveys
3. Capturing the data so that the surveys are spatially referenced and linked to the specific household from which the data was collected (in parallel with 1 and 2)
4. Providing the data to the WCG and the relevant municipality

At first, the data collected was not standardised, and as such the data collected through steps 1 and 2 outlined above were not consistent. In later stages of the process, the provincial department provided a standardised questionnaire to the service providers (intermediaries and NGOs). The questionnaire remains adaptable, thus there are still inconsistencies across the data collected as the service providers often adjust the surveys on a case-by-case basis.

*“In terms of enumeration there is a large technical component to that. If the ISSP should have said stated the tools (Kobo collect, questionnaire, survey...). That could have gone a long way to reduce...Data sets from the questionnaire were difficult to analyse” - NGO*

Once the survey data is collected, the data is provided both to the province and the municipality. Once it reaches province, the lack of standardisation makes the data challenging to process and the data cleaning requirements are extensive, in turn generating a need for dedicated geo-spatial and database management support for which capacity does not appear to be readily available.

The way in which the data gets used by municipalities also tends to vary. In most cases, municipalities have attempted to link this enumeration process to the implementation of tenure security strategy which is in and of itself variable across the various municipalities. Some have also sought to use enumeration data in the development of PIDs for UISP projects, often with the support of the ISSP unit.



*“During the enumeration process the feeling was that the details gathered during the surveys were inadequate. Some people were not part of enumeration but were inadequately verified and was allocated a plot. No proper identification was done, and the distribution of plots are now done unfairly. Plots were given to other people if the original beneficiary could not be found. Corruption was present during the process.*

*Not possible to prove it but that was the feeling. “We know that there was some corruption in the process. I can’t prove it but there was something there.” Distribution was done by the committee, and they were assisted by the municipality. In the beginning the message was that entire settlement will be restructured. Enumeration was supposed to give land to people who were recorded originally. However, there is no updating of the database with old and new beneficiaries.” – NGO*

*“From the data use perspective... noted the reservation of municipalities towards updated data. Minimal reference to the updated datasets; assumption that perhaps municipalities often want to keep the figures low. Maybe the province should emphasise the need to use the collected data to the advantage of the municipality and community development, not to shelve this data. Maybe there should be a clause in the contract or scope of work prompting the Province to ensure that the Municipalities get to use the datasets generated during enumerations and other data collection mechanisms...” – NGO*

*“Management of data on ISSP fell on [ISSP unit]. Data received in excel and then needed to be pieced together. Data ends up sitting on laptop and not integrated into an institutional process.” – NGO*

## 14.11 Housing typology options are not well understood, and there is no clear strategic approach to community capacity building in relation to housing typologies

Criteria:
Coherence
Relevance
Effectiveness
<b>Efficiency</b>
Sustainability

Key Users
Executive Authority
<b>Department's Senior Management</b>
<b>Private Sector and Other Partners</b>
<b>Informal Settlement residents</b>

*“The ISSP favours an incremental approach to building top structures in upgrading informal settlements, and prescribes a government driven and financed support system for doing so. The establishment of building support centres offering a range of support services and the supplying of building materials, all funded and managed by government, is advocated in the ISSP.*

*Research into the feasibility of such an approach especially its affordability for government, is, however, lacking, and the ISSP does not consider alternatives. For instance, more market driven support offered by intermediaries and the private sector, supported selectively by government where this makes sense is one important alternative. The use of web-enabled smart phone technology to facilitate and co-ordinate the actions of the mix of role players required to support incremental housing is also not considered, despite emerging innovation in this field.”–ISSP Policy*

*Guidelines, 2019*

Housing consolidation (phase 4 of the UISP) requires due consideration and planning for top structure construction and housing typologies. However, it was found that given the national focus on upgrading to phase 3 of the UISP, the capacity building activities needed within municipalities and communities do not appear to be well understood or prioritised.

*“The CCDI workshop came at the wrong time and some people had already constructed their houses. Essentially the general consensus is that the CCDI’s workshop commenced only after the communities’ structures were already constructed...”– Community Members*

In the first instance, the findings show that very little engagement regarding housing typology options has taken place with the communities forming part of the case studies. This indicates that the municipality did not see this as a desirable topic for community-based activities. However, in some instances where intermediaries included this as part of their scope of work, there was a sense of reluctance from municipalities. The hesitancy can be attributed to the assumption that discussions related to top structure typologies would create expectations within communities that upgrading, and housing consolidation was imminent, when in fact current planning indicates that housing consolidation may only be reached in the outer years of the planning cycle, if at all. On the other hand, there is a need to ensure that communities understand the process, lifecycle of projects and where housing typologies and housing consolidation fits into the overall development lifecycle. From the findings, communities are insufficiently equipped to understand this lifecycle, take ownership and to hold other stakeholders such as government to account.

## 14.12 Land Management and Urban Land Markets and Sustainable Livelihood requires collective responses

Criteria:
Coherence
Relevance
Effectiveness
Efficiency
Sustainability

Key Users
Executive Authority
Department's Senior Management
Private Sector and Other Partners
Informal Settlement residents

Stakeholder engagement reiterated the fact that informal settlement creation is in part driven by local economies and labour market. Further they reveal that these dynamics also impact on informal settlements resident dynamics and have implication for community participation and community-based planning. The data also reveal that land management issues and land ownership and management relations play a fundamental role in the planning for informal settlement upgrading.

As such, the following issues related to urban management have emerged:

- (1) The relational dynamics between rural and urban, and transient populations and their effect the development of trust in community participation
- (2) Land availability and ownership presents a challenge for local municipalities; and relatedly there are varying views on the provision of services on non-municipal land
- (3) Management of settlement growth is a significant challenge and the ability of communities to assist with management is not adequately realised.

### 14.12.1 The relational dynamics between rural and urban, and transient populations

In the case studies these were most starkly revealed in the rural Western Cape municipalities where agricultural driven economies saw significant immigration into informal settlement driven by work availability on farms. This was identified as driving informal settlement growth, with originally seasonal workers choosing to stay in the area, often from South Africa's neighbouring countries, and changing informal settlement dynamics, with more strangers, unknown to communities entering, and in some cases farm foremen establish shack-farming operations supplying houses to these incoming workers.

The impact of these economic dynamics, therefore, goes beyond just the creation of informal settlement, but affects the level of coherence within communities. This in turn affects the coherence with communities can engage other stakeholder in informal settlements, upgrading projects and the ISSP. It is important to address this challenge at the source and make sure that the drivers of these dynamic are engaged as stakeholders forming part of the solution. In the Western Cape, in rural municipalities, which means ensuring the Western Cape Department of Agriculture participate, and that farmer or farm owners are included as stakeholders in the process where applicable.

*“Wanted to do some research as to why the settlements are growing so fast. It was found that farmers are using labour from outside the area and not accommodating these workers on the farm. These farm workers therefore end up in the informal settlements. There is a need to communicate with the farmers to raise this issue.” –*

*Community representative*

*“Before the register there was no control over who moved into the informal settlements and erected their shacks. Now people must first register with FM and due to the reblocking they are not allowed to build their shacks wherever they feel like. There is however the problem that households that are already living in the settlement split and then they build new shacks. There is also a problem with farm workers that are brought to the town when there is a problem between the farmer and such a worker. Such people end up building shacks without registering.”*

*– Community representative*

*“Farm workers should be accommodated on farms where they work. Seasonal workers are brought in from outside and then they don’t return to their place of origin after their work contracts end. Farmers should be held responsible for the accommodation of these workers and also for returning these workers to their place of origin. People are left stranded and are left destitute.”*

*– Community representative*

#### **14.12.2 Land availability and ownership presents a challenge for local municipalities; and relatedly there are varying views on the provision of services on non-municipal land**

In many cases, informal settlements are located on land not owned by the local municipality. Over and above the challenges presented by the fact that settlements are often not located on land suitable for long term human habitation (i.e., many settlements are earmarked for either imminent or deferred relocation based on the fact that the technical feasibility is not favourable for upgrading), the issue of land ownership poses another challenge as it requires the cooperation and collaboration of landowners (national, provincial or private).

There is no clear directive on informal settlements located on privately owned land should be provided with services.

*“It is still not clear whether government can provide interim services on privately owned land without the permission of the landowner. Changes in national municipal spatial planning law suggest the government has to take responsibility to provide interim services to informal settlements is strong, although whether there are any bounds to such delivery is not clear and requires further legal research.” ISSP Policy*

*Guidelines, 2019: 35*

### **14.12.3 Management of settlement growth is a significant challenge and the ability of communities to assist with management is not adequately realised.**

In addition to the employment opportunities which is often a driver of informal settlement formation and growth, most municipalities do not have functional and operational strategic approach to managing informal settlement growth, and in most cases data on settlement growth is not collected as frequently as required. This data is not always linked to a spatial data platform and thus little is understood of the ingress and egress patterns. Some municipalities have suggested that monthly surveys are required, for which resources are not available within the municipal staff compliment. As such, another finding is that the potential of community members to fulfil a governance function in terms of settlement growth monitoring has not been adequately leveraged.

In certain cases, where communities have been given a role to play in this management process, it has also resulted in an increased sense of ownership and investment in ensuring that the settlement growth is managed. In turn, this reduces the risk of (further) sprawl and / or the increase of settlement densities. Managing growth therefore also limits the downstream need for land acquisition where in situ upgrading will not support the land requirements for the upgrading needs of all the households.

### 14.13 Operation and Maintenance requirements and roles for interim and / or emergency basic services in informal settlements are not clearly defined

Criteria:
Coherence
Relevance
Effectiveness
Efficiency
Sustainability

Key Users
Executive Authority
Department's Senior Management
Private Sector and Other Partners
Informal Settlement residents

Whereas the need for the provision of services such as water, sanitation, electricity, and stormwater management are understood as critical to aiding the promotion of health and well-being of communities, it is evident from the findings that there is a challenge with accountability for operation and maintenance of basic services in municipalities.

Despite it being a requirement as part of the application for funding, there is an absence of a clear and effective operation and maintenance strategy in many municipalities, and that where these exist, they are not effectively implemented.

*“So, no one takes ownership form within the municipality. No department wanted to take over or ownership of the toilets. So technical issues of the toilets not covered by the municipality.” – Community representative*

*“They give the excuse that you have to know which department – but they never told the community who is responsible – when they report they say this is not the department” – Community representative*

These findings have been used to develop the conclusions and recommendations in Chapters 15 and 16 respectively.

## 15 CONCLUSIONS

---

The following chapter summarises the conclusions of the ISSP evaluation in response to the five key evaluation questions (KEQ). The conclusions below build on the Findings (Chapter 14) and are translated into Recommendations (Chapter 16) and must thus be read together with these two chapters.

### 15.1 KEQ 1: Since the inception of the ISSP in 2016 what has changed, and how in the delivery of informal settlements projects and programmes?

---

#### 15.1.1 **The ISSP has increased the department's focus on holistic and transversal and participatory approaches to informal settlement upgrading as compared to pre-2016**

The ISSP has been successful to a degree in increasing the WCDHS departments focus on informal settlement upgrading to holistic and transversal participatory approach. Resources have been allocated to supporting this through the ISSP unit, and transversal engagement has increased through the ISSP Forum. Within the department, the Planning Directorate has largely accepted this as the required approach to successfully upgrade settlements. Some work still needs to be done to institutionalise this approach and contextualise the ISSP within the broader policy environment. An example of where institutionalization should be prioritised is in the Regional Implementation Directorates (see Ch 14.1.1). Support to municipalities to enable participatory upgrading has been provided through the appointment of intermediaries and participatory capacity built in communities.

#### 15.1.2 The ISSP Forum has improved transversal efforts to resolve informal settlements challenges

The introduction and implementation of the ISSP has seen a significant improvement in transversal efforts to deliver informal settlements projects and resolve challenges around informal settlement upgrading in the Western Cape. In particular, DEADP and DEDAT have been proactively engaged towards resolving transversal challenges to informal settlement upgrading, such as NEMA section 24G issues (see Ch 14.1.2). This improvement has been achieved through the work of the ISSP Forum, where a wider array of provincial departments are now involved in informal settlement upgrading efforts (such as DOH, DTPW, and DSD), and other efforts to promote the ISSP as a policy (see Ch 14.1.2). More, however needs to be done to deepen the involvement of current and additional provincial departments in the Forum and in relation to specific sectoral issues, and ensure that planning for social infrastructure and facilities, as well as planning for basic services and housing infrastructure take place. This is in line with international best practices, as shown in the international case studies presented Chapter 3, social infrastructure, such as cultural and education facilities is as important as housing infrastructure in improving livelihoods as a result of upgrading projects.



15.1.3 ISSP intermediaries have improved trust, communication and information in settlements and municipalities.

The implementation of the ISSP has also seen the improvement of relations between informal settlement communities and municipalities in the majority of the settlements it has been implemented in. This is demonstrated through most of the case studies, including Langeberg (Ch 10) and Swartland (Ch 11). It has also served to highlight key challenges in the space – including but not limited to, complexities related to achieving meaningful engagement, establishing credible, democratically elected representatives from within the community – a challenge demonstrated in the George Case Study, as well as municipalities with limited willingness to engage with communities, such as Witzenberg.

15.1.4 In some instance ISSP NGOs have mobilised additional resources in support of informal settlement upgrading and informal settlement communities

An additional benefit of the introduction of intermediaries is the mobilisation of additional resources for informal settlements upgrading and informal settlements communities. This is consistent with the international experience outlines in Chapter 3. In some cases, intermediaries have mobilised additional resources to support informal settlements upgrading, such as the construction of a playpark in Sibanye in Swartland, an entrance to the neighbourhood in the case of Napier in Cape Agulhas and assisted informal settlement communities during COVID-19, as was the case in the four informal settlements in Tulbagh, in Witzenberg, who received vouchers for food.

15.1.5 The ISSP has not increased the pace of upgrading because of COVID-19 and the lack of a link between the execution of intermediary activities to a comprehensive upgrading intervention.

Despite improving community participation practice, the ISSP does not yet appear to have increased the pace of upgrading of informal settlements, as few upgrading projects have followed, or been undertaken in tandem with ISSP work. This is due to a combination of factors including the relatively short timeframe between initiating intermediary work and this evaluation, COVID-19, and the lack of a link between the execution of intermediary activities to a comprehensive upgrading intervention. The need to initiate appointment processes for professional resource teams from the beginning of the process exists in most municipalities, such as Cape Agulhas, Saldanha and Langeberg for example. In addition, ISSP projects and milestones are typically not linked to a broader upgrading project or programme of the municipality and respond to a need in a specific settlement, irrespective of whether a clear and strategic developmental pathway has been established.

15.1.6 Progress has been made towards achieving Strategic Objective 2 and Strategic Objective 3 of the ISSF, in particular increasing active citizenship

Some progress has been made towards the achievement of the strategic outcomes of the ISSP, in particular Strategic Objective 2: Enhanced quality of life and active citizenship and Strategic Objective 3: Strengthened sector capability, governance and resources. In terms of enhanced quality of life and active citizenship, there has been an increase and an improvement in active participation in most is by the NGOs as demonstrated by the case studies in Witzenberg and Knysna, amongst others. Work done in Knysna demonstrates the potential of community empowerment in upgrading processes, whereby communities feel more equipped to take ownership and champion the upgrading of their settlements. In some, work has been done to improve conditions in informal settlements, such as reblocking, improved community facilities and some upgrading has taken place, in cases such as Knysna and Swartland.

However, the transversal breadth of activity across sectors needs to be increased if the goal of achieving the objectives of the ISSP by 2030 is to be reached.

#### 15.1.7 The ISSP has increased NGO sector capability through increasing NGO exposure to informal settlements projects

In terms of strengthened sector capability, governance, and resources, the ISSP has led to improved coordination with some provincial departments but work still needs to be done to get and keep others on board.

There is increased NGO capability amongst those NGOs forming part of the NGO framework, to undertake the intermediary work the ISSP requires, through increased NGO experience in the undertaking of informal settlements intermediary work and collaborative work with more experienced NGOs. The effort that has gone into the capacitation of NGOs must now be leveraged.

#### 15.1.8 Municipal capacity and capability remain a concern despite ISSP support

Municipal capacity and capability remain a concern, as levels of sustained engagement by municipalities has been low, with few developing municipal-wide approaches to addressing informal settlements and only limited time and attention from staff, in small Human Settlements Departments in municipalities. Examples of this demonstrated in the case studies, include, Langeberg (Ch 10), Swartland (Ch 11) and, Saldanha Bay (Ch 13) amongst others. Only Mossel Bay (Ch 5) demonstrated a clear and capacitated municipal-wide approach. More will need to be done to address municipal capacity to receive support in particular, but also widen intermediary support options, to achieve the desired progress by 2030.

#### 15.1.9 The ISSP has not significantly incorporated private capability into informal settlement upgrading processes

There has been very limited involvement of the private sector in the capacity building efforts of the ISSP to date, given the primary focus on NGO/intermediary support. The multi-disciplinary technical skills and experience of the private sector should also be harnessed to provide the support to bolster the capacity and capability of the municipalities. This was reflected in the data collected through this project, whereby many municipalities acknowledged either implicitly or explicitly the in-house gaps in skills and expertise, and the need for easily accessible technical support. The case of Mossel Bay provides a model for how this can be done through lessons from implementation where a PRT and Implementing agent were appointed concurrently. The international case studies, outlined in Chapter 3 of this report, identified the incorporation of professional expertise to support under-capacitated public sector operators, in social facilitation and technical aspects of upgrading work.

#### 15.1.10 The ISSP has increased the quality and availability of informal settlements data available for packaging project funding applications since 2016, and has been used this in some cases

The ISSP enabled municipalities to use more up to date data for application for informal settlement upgrading projects, allowing for more accurate budgeting and sustainable service ratios in upgraded settlements, where the data has been used, as in the case of Swellendam (Ch 8). This data has also enabled communities to better understand their own dynamics and growth, within the context of limited resources available for settlement upgrading. However, work needs to be done to standardise this data and make sure it is used effectively (see Ch 14.10).

15.1.11 There has been limited change in the approach to implementation of UISP projects by implementation staff in the WCDHS

While there has been change in the applications processes for informal settlements upgrading projects, that have simplified the process for municipalities, and support provided by the province in making these applications, there has been limited change in the way informal settlements upgrading projects get implemented since the introduction of the ISSP. This is in part due to the limited institutionalisation of the ISSP within the Regional Implementation Directorates of WCDHS, but also due to lack of professional resources to package holistic, integrated upgrading programmes, and to continue work towards upgrading once intermediary projects are completed (see Ch 14.1.1 and Ch 14.3).

## 15.2 KEQ 2: Is the ISSP being implemented according to its design?

---

The implementation of the ISSP has differed significantly from its original design as per the ISSF and the Implementation Plan. This different implementation has taken two forms. First, it has been implemented in a narrower way than originally conceptualised and second, implementation has differed from original design, within this narrower implementation of the ISSP.

15.2.1 ISSP implementation has been narrower in implementation than designed in the ISSF, due to limited resources, COVID-19 and attempts at scaling in particular direction

Implementation of the ISSP has ultimately focussed on two elements, the establishment and continuation of the ISSP Forum and wider promotion of the ISSP approach, and the appointment of intermediaries to work in municipalities to support community planning approaches towards incremental upgrading.

This narrower approach has meant that only selected strategies supporting the achievement of the ISSP objectives have been pursued, and the action supporting these strategies have at times been uncoordinated with the sequencing recommended in the 2016 Implementation Plan. The primary focus has been on:

- Strategic Objective 1: Upgrade settlements through access to land, services, public infrastructure, and incremental housing opportunities
  - o Strategy 2: Strengthen planning for neighbourhood development
    - Through the introduction of community places planning approaches by NGOs
  - o Strategy 4: Strengthen and enable alternative forms of tenure security
    - To a limited extent – focused on enablement through enumeration activities undertaken in most case studies
  - o Strategy 6: Support incremental upgrading and affordable housing opportunities for people living in informal settlements
    - To a limited extent, where PRT or contractors have had a pre-existing appointment, such as in the Swartland, Mossel Bay or Knysna case studies.
  
- Strategic Objective 2: Enhanced Quality of Life and active citizenship, specifically
  - o Strategy 8: Promote holistic human development with a focus on youth development and social cohesion
    - This has been limited to data provision through enumerations, which supports the development of responses that enable youth development and social cohesion.
  - o Strategy 9: Support and enhance citizen capability in planning, decision making, implementation and monitoring
    - This has occurred primarily through NGO appointments and has been successful to a degree in most cases, as elaborated on above.
  - o Strategy 10: Shift mindsets in government and society towards recognising community agency and civic responsibility
    - This has been done through the development of knowledge products, ISSP Forum and in improvement in municipalities willingness to engage with communities. This has been a success, to a degree within some of the municipalities that intermediaries have worked in, such as Theewaterskloof, Swellendam, Mossel Bay and Cape Agulhas, with others such as Witzenberg, not demonstrating the same recognition.

- Strategic Objective 3: Strengthened sector capability, governance, and resources
  - o Strategy 13: Initiate partnerships between public-private-NGOs and civil society organisations
    - This has been undertaken, with limited focus, on social facilitation processes, and a limited focus on the inclusion of private sector entities in these partnerships.
  - o Strategy 14: Improve municipal capability for coordination and implement programmatic approach to informal settlement upgrading
    - This has been done to an extent through the development of guidelines, such as the 2019 ISSP Policy Guidelines, and through support given to municipalities by the ISSP unit and other WCDHS planning staff in the development of upgrading project applications, however, this has been largely ad hoc and not programmatic.
  - o Strategy 15: Enhance provincial capability for monitoring, oversight, technical guidance, learning and support
    - This has been undertaken through the establishment of the ISSP Unit, which has undertaken monitoring, oversight, provided technical guidance, and enabled learning and support, through the ISSP Forum and the reflective learning sessions between the ISSP Unit and NGOs.

These are the strategies within which some of the supporting actions have been undertaken. The primary reason for the narrow focus of the ISSP has been twofold. First the immediate focus on getting projects on the ground meant that resources were prioritised early towards these projects with less attention paid to other parts of the framework. This particularly refers to the time of the ISSP unit staff. And the second, is the size of the ISSP unit itself and number of staff available to undertake the work.

#### 15.2.2 Differences to original design

The differences from original design in implementation of the ISSP have occurred at two scales – provincial and municipal.

##### 15.2.2.1 At the provincial scale

Prioritisation of resources towards intermediary support and the ISSP Forum has limited availability of capacity to develop tools to train stakeholders

At the provincial level a significant portion of the ISSP original design focusses on the development of training tools and training of municipal officials and other sector stakeholders, covering a variety of subjects from finance for municipal engineers, to training on use of the prioritisation tools to supplier development workshops, and training for councillors and ward committees regarding the institutional framework for human settlements and a learning programme for local government officials on incremental development programmes. The focus on the NGO projects and ISSP Forum have meant limited work has been done towards these forms of capacity building.

Similarly, there has been less work towards preparing guidelines for municipalities on subjects such as the planning, coordination, packaging, and implementation of a programmatic (including pipeline planning) approach to informal settlement upgrading, tenure security and relocation, than was originally designed (see Ch 14.2.2 and Ch 14.3.3).

### 15.2.3 Transversal relationships have been built to support ISSP work, but key roles still need to be defined for transversal partners.

Transversally, the ISSP Forum has developed relationships and avenues across provincial government departments but work still needs to be done towards integrating ISSP strategies into the plans of other government departments, particularly the Department of Local Government (DLG) where IDPs and SDFs of municipalities are assessed (see Ch14.5 Ch14.1.2). This needs to be done to ensure the incorporation of provincial strategies and ISSP strategies into local government planning frameworks, including target setting for municipal ratios.

Similarly, roles that DOH, DSD, WCED, DCS and DOA can play need to be explored, both in terms of strategic and planning alignment, and on the ground at fieldwork level (i.e., how can the role a community health worker play in an informal settlement be used to achieve ISSP objectives, and how can the ISSP outcomes assist the work of community health workers).

Monitoring and evaluation need to be consistently implemented to ensure improvement in the ISSP going forward.

Significantly, at provincial level the monitoring and evaluation framework has not been implemented as designed. The ISSP unit only received a dedicated resource to support monitoring and evaluation process in early 2020, three and a half years after it was established, and this resource is often required to fulfil non-M&E functions. The result has been ad hoc reporting on ISSP implementation that varies from municipality to municipality. Process monitoring tools have not been used, nor the data monitoring tool and aligned reporting tools. The framework also outlined a schedule for evaluations that should be undertaken, including a design evaluation, prior to an implementation evaluation after three years (See Ch 14.6).

Further, the 2016 Implementation Plan outlines the intention to develop a community-based monitoring approach with DPME, which has not been undertaken.

### 15.2.4 At the municipal scale

Rapid onboarding of municipalities led to variations in intermediary work from across cases

At the municipal level variations in the implementation of the ISSP were largely associated with either the needs and requests of the local municipality or the local context. The needs-and-request-based variation from municipality to municipality included narrow terms of reference in some instances, that typically limited NGO work to enumeration, as was the case in some of the cases not included as cases studies in this evaluation, such as Stellenbosch and Overstrand. The outcomes of the work produced by the NGOs could not be optimised, because the municipalities had not engaged with the broader values of enumeration in the context of participatory planning, rather than project applications. In the first instance, the follow-on work was typically not part of the NGO scope of work, and moreover sector stakeholders other than NGOs may be the best suited to undertake some of these downstream tasks. This is also in part attributable to the need to rapidly bring municipalities on board to participate in ISSP projects, and importantly to capacitate municipalities to understand the importance of strategic short-, medium- and long-term pipeline planning. Future participatory planning activities should be aligned to a broader and integrated suite of incremental upgrading interventions, rather than stand-alone interventions from NGOs/intermediaries often with municipalities who have agreed to participate in the work without full buy-in to participatory planning process, and full understanding of the intent of the ISSP, as was the case in Witzenberg (see Ch 12) and others.

Capacity constraints at the local level must again be acknowledged, as well as that the introduction of an intermediary without sufficient technical or project/programme management capacity either internally or through professional teams result in a deficit of municipal participation and quality assurance.

#### 15.2.4.1 Context creates variations in intermediary work which makes intermediary matching and municipal commitment key

In terms of context, the NGOs were required to adapt the work that they did for a number of reasons, including COVID-19, reception by the local community and community organisations and reception by the municipalities. This meant that in some cases, such as Swellendam, presented community representatives were not directly residents of the informal settlements, the intermediary organisation could not facilitate or drive community-based participatory planning effectively because of local community dynamics or gatekeeping, as was the case in George, or could not get the municipality to participate with the community, as was the case in Witzenberg, and the fact that multi-disciplinary professional planning resources may not be available yet. This highlights the key of getting municipalities properly on board as part of the process, making concrete commitments for receiving the assistance that they are given, and matching intermediary organisation according to their capability and experience with informal settlements level of complexity, in terms of size and community dynamics.

#### 15.2.4.2 Upgrading is enabled by having professional skills and resources available on the completion of intermediary work

Levels of upgrading also varied significantly following of from the completion of intermediary projects, with some settlements seeing upgrades made, such as in the case of Swartland and Knysna and others not, as in the cases of Cape Agulhas and Langeberg. This was typically contingent on budget availability and whether or not a professional resources team or contractor was already contracted to the municipality (reducing the need and time to undertake procurement processes). The consequence of professional resource teams or contractors not being appointed was a reduction in value of the work undertaken in intermediary project, as municipal community trust declines and data becomes less accurate as settlements change rapidly.

Working backward, the ability to progress with upgrading interventions links back to the selection of the settlement and nature of the support requested and similarly, the nature of the support available through the ISSP. Given that the support offered was the deployment of NGOs, any municipality struggling with resource constraints would be unlikely to turn down the offer of support, even if there is a greater need for strategic technical and advisory support as a precursor to NGO support.

#### 15.2.4.3 Scoping of intermediary and upgrading work needs to be improved to ensure appropriate matching of intermediaries and municipal readiness for support

Processes for the appropriate scoping of intermediary projects needs to be improved, and so too the process for fit-for-purpose matching intermediary organisations with projects (see Ch 14.4). This will assist in ensuring that municipalities are ready to receive support in a way that makes it effective, and that intermediary organisations are working in context appropriate to their skills and experiences, avoiding case such as George (Ch 6), where very complex community dynamic meant that it was difficult for a smaller and comparatively less experience NGO to undertake community participation work. Similarly, processes need to be improved for ensuring the NGO appointments for intermediary work are concurrently supported but the appointments of PRTs or contractors to undertake upgrading

projects, to ensure that community leadership and trust built through the project is not undermined and that data produced through the project remains relevant (by being useable in downstream activities).



## 15.3 KEQ 3: Are stakeholders being engaged as intended?

---

### 15.3.1 Stakeholder collaboration through intermediaries has been effective at empowering communities

Most stakeholders identified improved relationships with other informal settlements stakeholders emerging through the ISSP engagement process. Community representatives generally felt more empowered to engage with municipal officials on informal settlements and basic service issues. This is evident in most of the case studies and even in cases where the municipality was relatively disengaged, such as Witzenberg (Ch 12). Municipal officials felt they could engage more easily with communities and their leaders and that there was improved understanding amongst community leadership of the context in which municipalities were working in relation to informal settlements upgrading. There were also cases, such as Langeberg (Ch 10) where the process was identified as reducing conflict between residents and the Municipality. In some cases, such as Knysna (Ch 7), these improvements were identified as leading to smoother implementation of informal settlements upgrading processes better coordinated engagement between community members and implementers.

#### 15.3.1.1 Nearly all municipal stakeholders were satisfied with the ISSP programme

Nearly all municipal stakeholders engaged expressed satisfaction with the ISSP programme, and the work done by NGOs as intermediary organisations and wanted the NGOs reappointed to continue with the work. Similarly, nearly all community representatives engaged expressed satisfaction with the intermediary work done by NGOs and would like to see their contracts extended. However, in most cases communities were frustrated by the slow progress toward upgrading following the completion of the NGO work and continued to be frustrated by limited engagement from municipalities to varying degrees.

Provincial stakeholders have also expressed degrees of satisfaction about the work, in particular the value of the ISSP Forum and have found the Forum useful (see Ch 14.1.2 and Ch 14.1.3). There have, however been some breakdowns in the understanding of the role of the ISSP and the role of some provincial stakeholders in the ISSP, both within the Provincial Department of Human Settlements and other provincial departments (see Ch 14.1.1, Ch 14.1.2 and Ch 14.1.3). This has led to less satisfactory perceptions of the ISSP amongst these stakeholders and work needs to be done to build cooperation, internally with regional implementation and externally with departments such as WCDHS and WCDS.

### 15.3.2 Strength and weaknesses of stakeholder engagement

#### 15.3.2.1 Community Leaders have been empowered

The major strength of the stakeholder engagement process was the identification and development of leadership groups in informal settlement communities, and the strengthening of the existing structures as evidenced in by the Smutsville Informal Settlements Forum in Knysna. These groups have been empowered to engage with their municipalities through the process and have given willing municipalities a point of engagement with the informal settlement communities.

#### 15.3.2.2 Community organisation has been improved

Several of these communities have also demonstrated consistent self-organisation subsequent to receiving intermediary support, including managing, and maintaining data about the community, initiating garden projects, and investigating alternative service options (See Witzenberg Ch 12, Swartland Ch 11, Knysna Ch 7).

#### 15.3.2.3 Transversal collaboration has improved

At the provincial transversal level, there has been improved collaboration between some provincial departments with the WCDHS, in particular the Department of Environmental Affairs and Development Planning and the Department of Economic Development and Tourism (see Ch 14.1.2).

#### 15.3.2.4 Municipal readiness for engagement is a common weakness

Weaknesses in stakeholder engagement have been the willingness (or lack thereof) of some municipalities to engage with the ISSP process and informal settlements' community representatives, or in some cases their capacity to engage, particularly after the completion of intermediary contracts (see Ch 14.1.4 and Ch 14.3. More work needs to be done to ensure the sustainability of progress made through the intermediary contracts.

#### 15.3.2.5 Poor understanding of intermediary roles by stakeholders is a weakness

Another weakness has been the perception in certain cases that the ISSP interventions are NGO projects rather than collaborative projects within the continuum of informal settlement upgrading planning and interventions. This has manifested in two ways, one where communities perceive the work being done as solely NGO work, rather than collaborative work of informal settlements stakeholders, and two, where municipalities have viewed NGOs as a go-between with informal settlements residents, rather than as an intermediary facilitating engagement between communities and municipalities (and where applicable, their multi-disciplinary professional planning resources) and building capacity in both (see Witzenberg Ch 12).

Further, in some instances, municipalities have sought to use community leaders as spokespeople for municipality's plans in informal settlements rather than as representatives that they need to engage with, plan with and negotiate with (see Cape Agulhas Ch 4). This creates particular problems for community leaders when municipalities have not delivered upgrading projects, placing community leaders at risk, and undermining the process. In some instances, the lack of active and continuous involvement of municipal officials and political leadership meant that even though engagement was taking place between informal settlement residents and between residents and NGOs, meaningful engagement between communities and municipalities was not achieved. Municipalities, in particular, need to be more engaged in the process to ensure that it is understood by communities as being a collective process, that strong partnership relationships between informal settlement communities and municipalities are developed and sustained, and that accountability is appropriately distributed. This should be established through a commitment by the municipality at the outset of the process and by establishing of an institutional transversal governance and oversight structure including the articulation of the role of ward councillors, to give meaningful expression of the upgrading partnership between the informal settlement community and the municipality.

#### 15.3.2.6 Transversal engagements need to be renewed and consolidated with several departments

Some provincial stakeholders, particularly from partner departments, identified their initial engagement was peripheral, either being engaged only once the ISSP Forum has been established and started meeting, or with initial engagements being pushed aside owing to primary departmental business concerns (see Ch 14.1.2). This means that efforts to re-initiate, consolidate and deepen stakeholder engagement will need to be made, in particular with the Departments of Health, Education, Community Safety and Social Development and Agriculture.

#### 15.3.2.7 Stakeholder engagement has been effective where it has been consistent

Collaboration with stakeholders where they have been consistently engaged has been effective. There are indications that the paradigm shift towards upgrading human settlements is happening, where engagement is consistent and capacity is sufficient, examples are Mossel Bay (Ch 5), and the Department of Environmental Affairs and Development Planning.

Stakeholder engagement has also been effective in municipalities, where relationships have improved between communities and municipalities, and in some cases resulted in delivery of upgrading projects. While relationships have improved in these cases there is less evidence to suggest a successful paradigm shift in these municipalities, in part due to their capacity constraints, but also limited wider institutionalisation of the approach across municipal departments, with the human settlements departments remaining siloed.

Stakeholder engagement has been effective within communities in the majority of the case studies, with most community representatives feeling empowered through the process. However, in some cases community engagement has not been effective, owing either to complex gatekeeping within communities that the intermediary has not been able to negotiate, inappropriate community representative identification by the municipality involved, where the representatives either do not live in the settlement or are not selected by the community, and to the extent that the scope of work undertaken by the intermediary allowed for deep engagement (this is linked to the municipalities identifying their need for the work the NGO is to undertake rather than applying the ISSP approach in full).

#### 15.3.2.8 Projectised nature of intermediary work is a risk to stakeholder engagement and its effectiveness

Another risk to the effectiveness of stakeholder engagements is the projectized nature thereof. The stakeholder engagement may be effective during the active contractual period of the NGO/intermediary. However, if appropriate mechanisms for continued and sustained communication are not put in place with the community (in a joint effort by municipality and NGO) and being linked to actual tangible planning and programming towards upgrading interventions, this puts the community at risk of feeling abandoned, reducing the effectiveness of future stakeholder engagements and appetite for engagement with the municipality and with the state in general.

## 15.4 KEQ 4: Were there any barriers in executing the strategies of the plan?

---

### 15.4.1 Barriers

The primary barriers to executing the strategies of the ISSP are linked to capacity and resourcing both at provincial and municipal level.

#### 15.4.1.1 ISSP unit capacity is a constraint

At provincial level limited human resources capacity within the ISSP unit has limited the extent to which they have been able to execute all the strategies of the ISSP. Partial progress has been made in many of the strategies, but others remain unaddressed. A particular case in point is the implementation of the M&E Framework, where a dedicated resource was hired, yet, owing to limited capacity within the unit, has been used in the implementation of intermediary projects rather than implementation of the M&E Framework. In addition, the fact that the 2016 Implementation Plan is not time-bound also creates a challenge for any monitoring and evaluation process, since clear time-based targets are not clearly articulated (see Ch 14.2.1 and Ch 14.6).

#### 15.4.1.2 WCDHS needs more capacity to support ISU project implementation

Another example is the limited capacity of the WCDHS to appoint and manage professional technical support for the design, delivery and management of informal settlement upgrading projects. There has been a lack of appropriately experienced multi-disciplinary technical capacity ready to be deployed, such as that of spatial planners and engineers required to support implementation of informal settlements upgrading projects prior to, concurrently, and after community engagement work (to date undertaken primarily by NGOs/intermediaries) (see Ch 14.2.5).

#### 15.4.1.3 Municipal capacity is a barrier to the sustainability of improvements in participation

Municipal capacity is another barrier, municipal housing departments are typically small with limited staff, covering several towns and all human settlements programmes, particularly when the municipality is unaccredited. This reduces the level of engagement on the side of the municipality and threatens sustainability of the work intermediaries do, once their contracts are complete (see Cape Agulhas, Ch 4). There is also limited project and programme management skillsets and capacity in most human settlement departments and as such the coordination of technical skills also present a challenge.

#### 15.4.1.4 Limited pool of NGOs means appropriate matching to context is critical as pool grows and thus other professional intermediaries should also be considered

Limited capacity within the NGO sector is also a constraint, with some sophisticated capacity existing, but typically located in Cape Town. Some NGOs were also stretched by the work they were appointed for, leading to less effective implementation of the projects. Both the dispersion throughout the province and number of NGOs available in the market are barriers to widespread implementation of the ISSP, if NGOs are to remain the primary source of intermediary work. The reliance of NGOs for all intermediary work must also be reconsidered, since there are other stakeholders in the market who are equally skilled in the provision of some of the typical services provided by the NGOs, with some having more experience than those NGOs currently part of the framework (see Ch14.4).

#### 15.4.1.5 Administrative will is a barrier in some municipalities

Administrative will in some municipalities was a barrier, where the municipal official did not choose to fully engage with the intent of the ISSP process, seeking to benefit from only selected outputs from the process with changing their approach to informal settlement upgrading in line with the ISSP paradigm shift (see Witzenberg Ch 12, Theewaterskloof Ch 9). This makes sustained success of the intermediary work unlikely in these cases (See Ch 14.1.4, Ch 14.1.5). Administrative will could be improved by deeper introductory work on the ISSP approach for municipalities prior to the appointment of intermediary to work in those municipalities, and the requirement for commitments to continue the work once the intermediary contract has been completed. In addition to challenges of administrative-will, there is also a challenge of staff turn-over and the need for re-introduction to the ISSP and its intent. It is often the case that changes in staff limit the continuity of work and result in a loss of momentum, often necessitating the re-establishment of administrative-will with newly appointed officials.

#### 15.4.1.6 Slow access to professional resources makes the ISSP work less effective

Slow appointment of multi-disciplinary professional planning/design resources and contractors to undertake upgrading projects up to Stage 3 after the completion of intermediary work is also a barrier to the achievement of the ISSP (see Ch 14.3.1 and Ch 14.3.3). Much of the work done by the intermediary organisations involves collected data for decision making around upgrading. Yet delays mean this data is rapidly out of date as informal settlements grow. Further delay in upgrading after ISSP intermediary work is completed, begins to erode trust built in the intermediary work process between the municipalities and communities, particularly where a clear upgrading or developmental pathway could not be communicated during these engagements.

#### 15.4.1.7 A lack of clarity around the ISSP, the UISP and the funding mechanisms to support its implementation

A lack of clarity around the ISSP, the UISP and the funding mechanisms to support its implementation – such as the ISUPG and HSDG has also served as a constraint to planning and implementation of ISU projects, since critical provincial and municipal stakeholders possess an insufficient understanding of the policy and strategic requirements for ISU.

#### 15.4.1.8 Transversal engagement of Social Development Departments needs to increase to achieve ISSP Sustainable Livelihoods Objectives

A lack of engagement by key provincial departments dealing with the social development aspect of the ISSP and informal settlements, means that integration of provincial work in informal settlements has not yet been optimised. The Department of Health, Education, Social Development and Community Safety need to play a deeper role in the ISSP. The Department of Agriculture also needs to be engaged as a key stakeholder, as growth of informal settlements can in some cases be attributed to agriculture related employment opportunities.

These barriers have meant that the implementation of the ISSP has been narrower than intended in the Implementation Plan, has been less effective transversally and the outcomes less sustainable at municipal level. Strategies to overcome these barriers are identified in the recommendations section.

## 15.5 KEQ 5 What are lessons learned from the implementation, and can the successes be replicated?

---

An extensive array of lessons has been learnt in the process of implementing the ISSP, and these have been outlined to a considerable extent in the findings section and are built on in the recommendation's sections in specific detail. However, these lessons fall into broad categories, which are worth identifying, both for improving the ISSP going forward and for consideration in other transversal and intergovernmental programmes.

### 15.5.1 Institutionalisation is a prerequisite for success

Institutionalisation of the ISSP is necessary for its success because it requires a paradigm shift in the approach of officials implementing it. This means institutionalisation of the paradigm shift within the Department, with transversal partners and with intergovernmental partners must be prioritised for successful implementation. Deeper institutionalisation would have allowed for more coherent and sustainable implementation and would assist in moving from social facilitation work through the ISSP to appropriately planned, designed, and programmed upgrading work quicker and sustainably. The deep institutionalisation in the case of Mossel Bay (Ch 5) is an example and is in line with international best practice identified in Chapter 3 of this report, in particular the case of Medellin. The original sequencing in the ISSP supported building capacity internally to enable institutionalisation and roll out of the ISSP and the experience has highlighted the importance of this, where deeper institutionalisation within the department, with other department and with municipalities would have led to more sustainable outcomes, and quicker upgrading.

#### 15.5.1.1 Universal advocacy from across the WCDHS will help ensure transversal engagement

The Western Cape Department of Human Settlements as a whole need to advocate for the ISSP for transversal and intergovernmental success, particularly within the context of limited resources. The WCDHS needs to use its position on key transversal and intergovernmental structures to consistently drive the ISSP, for better transversal uptake and access to the resources of other departments and municipalities - deeper internal institutionalisation would have aided this (See Ch 14.1.1, Ch 14.1.2, Ch 14.1.3).

#### 15.5.1.2 Capacity is required to support the implementation of the ISSP, across stakeholders

The third category of lessons learnt is that adequate capacity needs to be created in order to ensure that the complex ISSP strategy is implemented. In particular this means creating capacity within the ISSP unit, but also adequate support for ISSP activities within the WCDHS, by integrating ISSP activities into the roles of other staff, particularly planning staff and implementation staff. Capacity also needs to be built in the NGO sector and in municipalities, to absorb the support offered through the ISSP. The expertise and capacity of the private sector should be further leveraged as a way toward more nuanced and robust approaches to intermediary and socio-technical support.

#### 15.5.1.3 Implementation needs to be strategic to ensure support is absorbed and capacity is built

The fourth category of lesson is that implementation needs to be strategic, within the context of limited capacity and scarce resources. NGOs need to be assigned to context that match their skill and experiences and municipalities need to be chosen based on their readiness to absorb support provided. This includes considering municipal readiness (inclusive of access to multi-disciplinary planning, design, and management resources) to implement upgrading projects rapidly on completion of social facilitation or participatory planning activities and using existing community structure as far as possible (See Ch 14.3 and Ch 14.4).

#### 15.5.1.4 Consistency is key to ensuring the paradigm shift

Stakeholders that engage in the ISSP are broadly accepting of the ISSP approach and paradigm shift, but need to be consistently engaged, particularly non-departmental stakeholders whose primary business is not focussed on human settlements, to deepen buy-in and align work in a coherent way. Consistent reinforcement of the ISSP vision is also key to ensuring the paradigm shift in the approach to informal settlements in the Western Cape, and as has been shown in the international case studies aids in the coordination of a wide array of stakeholders and deepens stakeholders understanding of shared objectives, and a clear indication of roles to be played.

# 16 Recommendations

---

## Overview of the Chapter:

The recommendations contained in this chapter have arisen as a result of a quasi-participatory evaluation methodology, for the period of implementation between September 2016 and March 2021.

Through this process, the evaluation team undertook a review phase, focused on a review of international literature and best practice, the national and provincial legislative and policy environment, as well as other key resources providing perspective and framing the evaluation. In particular, the review process yielded an update of the Key Evaluation Questions in the Terms of Reference, and also acted as the building blocks for the Assessment Framework.

Giving effect to the quasi-participatory evaluation approach, the evaluation team also undertook extensive stakeholder engagements. These engagements included provincial, municipal, community, private sector and NGO stakeholders, all of whom were aware of or involved in the implementation of the ISSP.

The data collected through the review process and the data collection was then analysed and coded, generating case study findings, conclusions, and recommendations specific to each of the 10 municipalities forming part of the municipal stakeholder engagements; as well as overall findings, conclusions and recommendations which synthesised the available data.

The findings and conclusions (Chapter 14 and 15 respectively) provide a detailed account, with the Conclusions detailing the answers to the Key Evaluation Questions.

The original Theory of Change suggested that “If provincial actors implement the **provincial actions** (with partners as appropriate) then it should lead to the **intended municipal-level outcomes**. If these outcomes are achieved at municipal level, then municipal-level actors will implement the **municipal actions** (with partners as appropriate) which should lead to the intended **settlement-level outcomes**.” (ISSP Implementation Plan, 2016:3).

Key findings and conclusions from the evaluation suggests that the WCG has, through the implementation of the ISSP, made significant progress toward promoting and mainstreaming incremental informal settlement upgrading - with a focus beyond basic services provision - and toward more inclusive and holistic solutions that work toward the empowerment of the communities. In future, to capitalise on the momentum gained to date, the lessons learnt must be used to scale up informal settlement upgrading in the WC.

However, for the pace of upgrading to be increased, it will be imperative to address institutional capacity and mainstreaming of informal settlement upgrading, both at the provincial and municipal scale. The lack of **institutional capacity** and strategic planning and mainstreaming currently inhibits the ability for both provincial and municipal actions to be achieved at scale, in turn reducing the likelihood of reaching the settlement level outcomes, as per the ISSP ToC.



## Framing the recommendations

Institutional capacity and readiness are important considerations for building community capacity. According to the OECD, “Institutional capacity represents a broader “enabling environment” which forms the basis upon which individuals and organisations interact.” (OECD, 2003)

Institutional Capacity can be divided into two distinct areas, namely the **capacity of an organisation** as a whole, and the **capacity of an individual** within the organisation.

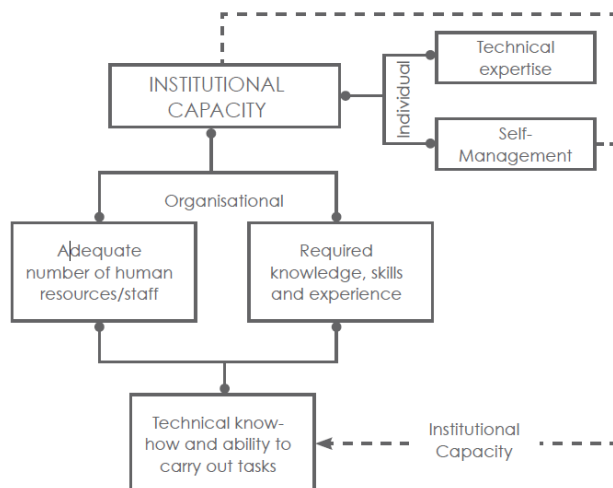


Figure 16.1. Components of Institutional Capacity (Adapted from Community Capacity Building Programme prepared for the National Upgrading Support Programme, 2016).

**Organisational Capacity** the **organisational structure / institutional arrangements** of the organisation and its associated functional units (adequate number of appropriately organised human resources); the internal systems, **policies and procedures** of the organisation and its associated functional units; and Information Management Systems

**The capacity of individuals:** The ability of individuals relates to their technical ability (Knowledge, Skills, Ability and Experience), as well as their self-management skills – specifically focused on inter and intra-personal communication competencies.

With this framework in mind, this chapter presents several inter-related recommendations for consideration in the improvement and strengthening of the Informal Settlement Support Programme (ISSP) and Informal Settlement Upgrading practice in the Western Cape.

The recommendations are arranged in accordance with specific themes:

1. Enabling Institutional Arrangements and Mainstreaming at Provincial Level
2. Supporting institutional arrangements and mainstreaming at the municipal level
3. Capacity Building and Supporting Materials
4. Capacity Building: Human Resource Support

Theme 1 and Theme 2 address the organisational structure and institutional arrangements for informal settlement upgrading – including the institutional arrangements within the WCG and the local municipalities, and the extent to which there are **adequate internal resources** to fulfil their respective mandates, making **specific recommendations related to institutional structure and internal resource capacity requirements** to support the implementation of informal settlement upgrading. In Theme 3's recommendations acknowledge the importance and **potential of leveraging the skills and expertise of the broader human settlements sector**, both by continuing the support provided by the **NGO sector**, but also by seeking the **knowledge, skills, ability and experience** within the **private sector** (augmenting the internal technical capacity within local and provincial government institutions).

Themes 1, 2 and 3 also provide recommendations linked to provincial and municipal policies and processes such as the updating of the 2016 Implementation Plan and Design and Tenure Guideline, with the latter update focused on showcasing the implementation lessons around key topics related to incremental upgrading, whilst also focusing on bring the Guideline in line with policy and grant changes such as the introduction of the ISUPG.

Theme 3 focuses on capacity building of interventions that can support the development of **knowledge, and skills within the sector as a whole**. The focus of this theme is to develop and improve knowledge products and create the appropriate platforms and mechanisms for sharing such knowledge.

In relation to **institutional capacity**, the **information management systems** need to take into account in the formulation of these recommendations, specifically in relation to **data collection and management** as well as the process for **Assessment and Categorisation**.

Overall, the recommendations aim to provide guidance to the WCG in designing a way forward for informal settlement upgrading, that is both evidence-based and aspirational.

Therefore, these recommendations present options for actions as provided by the evaluators in line with the findings and conclusions, which in turn was based on available information. The recommendations are subject to review by the WCG at the completion of the evaluation. **Adoption and implementation of the recommendations remain at the discretion of the WCG.**

## Structure of the recommendations

Under each of these themes are the recommendations and typical phases / sub- recommendations associated with each.

Each recommendation provides clarity on the nature of the recommendation, how each can be achieved through specific steps or phases, who would typically be responsible for actioning or such a recommendation, and when this can be scheduled to take place.

### Each recommendation aims to provide guidance on the following:

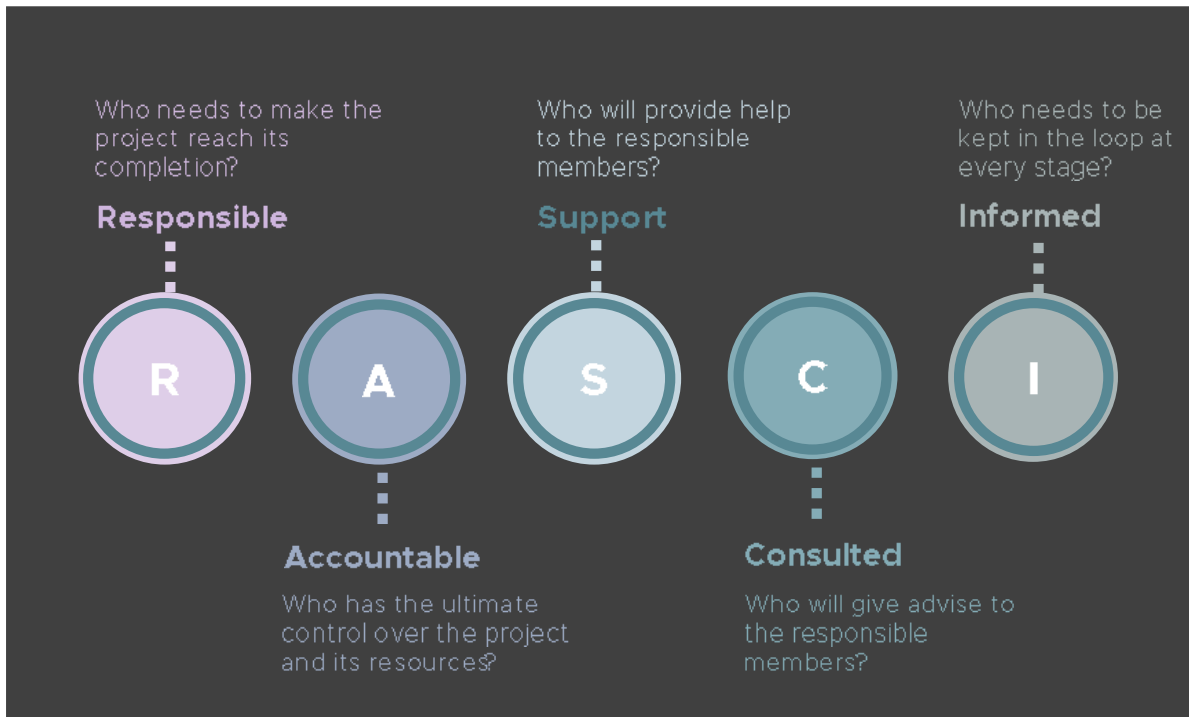
**What:** Provides a summary of the nature of the proposal and a brief overview thereof

**How:** Provides the detail of how this may be achieved

**When:** Each recommendation or phase thereof is ranked in accordance with the following categories:

<b>Quick Win</b>	These actions are seen as quick wins due to the low level of effort required to achieve them
<b>Immediate Priority / Critical</b>	These are actions that must be prioritised for commencement immediately (within the next year)
<b>Critical / Short-Term</b>	These actions are critical, and must be prioritised for commencement within the next 1 – 3 years
<b>Critical / Medium-Term</b>	These actions are critical, and must be prioritised for commencement within the next 3 – 5 years
<b>Critical / Long-Term</b>	These actions are critical, and must be scheduled for commencement to be achieved within 5 -10 years
<b>Non-critical / Short-Term</b>	These actions are non- critical, and must be scheduled for commencement within the next 1 – 3 years
<b>Non-critical / Medium-Term</b>	These actions are critical, and must be scheduled for commencement within the next 3 – 5 years
<b>Non-critical / Long-Term</b>	These actions are non-critical, and must be scheduled for commencement to be achieved within 5 -10 years

**Who:** This describes the typical stakeholders to be engaged in relation to the specific recommendation. The framework used for mapping this as follows:



The assignment of stakeholders is not exhaustive or definitive and is subject to review and refinement by the WCG. In addition, the proposed timelines are at this stage tentative and must be refined through the same process of refinement described above. They have been provided to communicate the importance of attaching appropriately sequenced and prioritised timeframes and targets to actions to assist with the appropriate governance and accountability.

## 16.1 ENABLING INSTITUTIONAL ENVIRONMENT AND ISSP MAINSTREAMING AT THE PROVINCIAL LEVEL

---

The findings and conclusions revealed that the ISSP has made significant progress in its goal to achieve a paradigm shift toward incremental informal settlement upgrading in the Western Cape (WC). Key highlights of these successes include the establishment of the ISSP forum, as well as community-based planning achieved through the deployment of NGOs and intermediaries to support local municipalities and informal settlement communities.

In charting the way forward for the future of the ISSP, it is necessary to consider these successes, as well as other lessons learnt, from the implementation to date. Moreover, given the rapid pace of change characteristic of the informal settlement environment, it is necessary also for the institutional environment to be readied to respond proactively and to support scaling of informal settlement upgrading aligned to the policy and legislative frameworks.

As such, the recommendations in this section focus on leveraging the successes and challenges experienced in the implementation process, in order to improve on these going forward.

The first recommendation is the updating of the 2016 Implementation Plan. In framing the update to the Implementation Plan, it is recommended that the WCDHS reflect on:

- The reporting requirements and mandate of the WCDHS;
- The alignment with the ISUPG grant conditions; and
- The mechanisms that will ensure the assignment of and accountability for actions not within the mandate, ambit, and control of the WCDHS. In the 2016 Implementation Plan, many actions were not the responsibility of the ISSP Unit or the WCDHS. Many of these actions were not implemented. It is not recommended that all of these actions be removed, but rather that **the ownership and accountability of other responsible departments are strengthened in alignment with the overall traversal approach of the WCG.**
- The resource requirements (particularly in the scheduling of the actions)


The consideration of resource requirements, once established, leads into the second recommendation – the Revision / Development of an ISSP extended organogram and institutional structure operationalisation.


This recommendation aims to highlight the need for additional human resources to support the implementation of the ISSP, and well as the on-boarding of WCDHS officials to ensure that all officials are enabled and equipped to facilitate and lobby for the implementation of the ISSP and to support the upgrading of informal settlements.

The third recommendation in this section is that the ISSP forum be retained, which has emerged as a particularly important and successful collaborative and empowering platform in the Western Cape.


The remaining recommendations focus on how to improve the processes of packaging support interventions as part of the ISSP.

**16.1.1 Updating of the Implementation Plan to include clearer sequencing and prioritisation of actions linked to time-bound targets; and in relation to the ISSP evaluation recommendations**

	<b>Updating of the Implementation Plan to include clearer sequencing and prioritisation of actions linked to time-bound targets; and in relation to the ISSP evaluation recommendations</b>				
<b>What?</b>	<p><b>Overview:</b> The current Implementation Plan (2016) provides a comprehensive set of important and interrelated activities that can be used to strengthen the practice of informal settlement upgrading in the WC. However, the 2016 Implementation Plan has become outdated and does not provide time-bound targets despite indicative sequencing being provided. The 2016 Implementation Plan should thus be updated. This recommendation sets out steps that can be followed in the crafting of an updated Implementation Plan for the ISSP, including internal workshops, achieving buy-in and support, and the development of an updated M&amp;E framework stipulated the frequency of reflection and review of the updated Implementation Plan.</p>				
<b>How?</b>	<b>Immediate Priority/ Critical</b>	<b>16.1.1.1 Phase 1: ISSP Unit Implementation Plan Workshop and Development of a draft updated Implementation Plan including action selection, prioritisation, sequencing, and scheduling aligned to the UISP and ISUPG, as well as the availability of departmental resources</b>			
	<ol style="list-style-type: none"> <li>1. The <b>ISSP Unit</b> should collate all actions and chair the workshop: (a) All existing actions contained in the 2016 Implementation Plan, (b) the recommendations contained in this evaluation, and (c) the other current roles and responsibilities of the ISSP unit.</li> <li>2. As part of this workshop, the ISSP Unit should (d) <b>ascertain which actions remain relevant</b>, and thereafter (e) <b>prioritise the actions based on a set of criteria to be developed by the ISSP unit based on strategic priorities taking cognisance of ISSP human resources available to the ISSP unit and in the department.</b> The ISSP Unit (f) <b>should sequence the actions and schedule them</b> over a 5-year to 10-year period.</li> <li>3. During this workshop, the following considerations (amongst others as determined by the WCDHS) should be considered: <b>The reporting requirements and mandate of the WCDHS; The alignment with the ISUPG grant conditions; and the mechanisms that will ensure the assignment and accountability of actions not within the mandate, ambit, and control of the WCDHS.</b></li> <li>4. Based on the workshop findings, the <b>draft updated Implementation Plan document should be developed.</b></li> <li>5. Ensure that all actions in the updated Implementation Plan are aligned to the ISUPG</li> </ol>				
<b>Who?</b>	<b>Responsible</b>	<b>Accountable</b>	<b>Support</b>	<b>Consulted</b>	<b>Informed</b>
	ISSP Unit	WCDHS Planning Directorate	Planning Directorate; Implementation Directorate	WCDHS officials	WCG Executive, WCG Senior Officials


	<b>Updating of the Implementation Plan to include clearer sequencing and prioritisation of actions linked to time-bound targets; and in relation to the ISSP evaluation recommendations</b>				
<b>How?</b>	<b>Immediate Priority/ Critical</b>	<b>16.1.1.2 Phase 2: Achieving transversal and vertical stakeholder (WCDHS, NDHS, Local Municipalities) buy-in and support for the draft Implementation Plan; and finalisation of the updated Implementation Plan</b>			
<p>6. The <b>WCDHS Executive</b> should re-launch the ISSP with its executive level counterparts in other Departments.</p> <p>7. The (g) WCDHS should facilitate the workshopping of the updated Implementation Plan with current and proposed ISSP champions to ensure buy-in from other departments responsible for specific activities outside of the ambit and control of the WCDHS;</p> <p>8. The (h) <b>WCDHS should engage NDHS</b> to ensure buy-in is achieved at a national level</p> <p>9. Finalise and publish the updated Implementation Plan</p>					
<b>Who?</b>	<b>Responsible</b>	<b>Accountable</b>	<b>Support</b>	<b>Consulted</b>	<b>Informed</b>
	WCDHS Planning Directorate	WCDHS Executives	WCG Executive Level, Senior Officials and ISSP Champions	WCG Executive Level, WCDHS staff; WCG Senior Officials, NDHS, Local Municipalities	Local Municipalities
<b>How?</b>	<b>Immediate Priority/ Critical</b>	<b>16.1.1.3 Phase 3: Creating a fit-for-purpose Monitoring and Evaluation (M&amp;E) Framework including an approach to the review of the updated Implementation Plan to track progress and update as required.</b>			
<p>10. The WCDHS should <b>update the Monitoring and Evaluation Framework</b> in line with the updated Implementation Plan. The M&amp;E process should include a review of the Implementation Plan on a regular basis (at least once a year). The purpose of such a review will be to ensure that the Implementation Plan is updated in line with strategic requirements. The review can be undertaken through an internal workshop or meeting of the ISSP Unit and / or WCDHS Planning Directorate, allowing the WCDHS to track progress and reporting.</p>					
<b>Who?</b>	<b>Responsible</b>	<b>Accountable</b>	<b>Support</b>	<b>Consulted</b>	<b>Informed</b>
	WCDHS Planning Directorate	WCDHS Executives	WCG Executive Level, Senior Officials and ISSP Champions	WCG Executive Level, WCDHS staff; WCG Senior Officials, NDHS	


## 16.1.2 Revision / Development of an ISSP extended organogram and institutional structure operationalisation

	<b>Revision / Development of an extended ISSP organogram and an institutional structure operationalisation framework</b>				
<b>What?</b>	<p><b>Overview:</b></p> <p>The ISSP Unit is mandated to play a facilitation and mobilisation role but is reliant on the transversal buy-in from other sections within the WCDHS and other provincial departments. The recommendation thus proposes that an appropriate organogram with associated roles and responsibilities be developed at a provincial level including Key Performance Indicators (KPIs) for non-ISSP WCDHS officials. This will support the re-institutionalisation of the ISSP, ensure the requisite buy-in for the implementation of ISU, and add capacity to the ISSP within the context of limited resources.</p>				
<b>How?</b>	<b>Immediate Priority/ Critical</b>	<b>16.1.2.1 Phase 1: Ensure adequate capacity within the ISSP Unit to support the ISSP Unit to scale-up, onboard WCDHS colleagues and introduce ISU KPIs for non-ISSP WCDHS staff</b>			
<ol style="list-style-type: none"> <li>1. Core ISSP team to be augmented with the support of additional planner and one engineer to coordinate ISU functions of the WCDHS regional implementation support teams<sup>1</sup>.</li> <li>2. Ensure that regional planning and regional implementation support teams are fully on-boarded and capacitated around ISSP – regular meetings to be held per region, focused on ISU.</li> <li>3. Addition of KPIs for non-ISSP Unit WCDHS staff</li> </ol>					
<b>Who?</b>	<b>Responsible</b>	<b>Accountable</b>	<b>Support</b>	<b>Consulted</b>	<b>Informed</b>
	WCDHS Planning Directorate WCDHS Senior Management	WCDHS Executive Level	WCDHS Planning Directorate / WCDHS Implementation Directorate	WCDHS officials	WCG Executive Level, WCG Senior Officials, WCG officials


<sup>1</sup> The mechanism through which the additional team members are added to the ISSP unit is to be determined by the WCG government in line with available budget and other internal considerations.




	<b>Revision / Development of an extended ISSP organogram and an institutional structure operationalisation framework</b>				
<b>How?</b>	<b>Immediate Priority/ Critical</b>	<b>16.1.2.2 Phase 2: Renew WCG transversal participation to ensure that the necessary stakeholders participate in the ISSP Forum</b>			
<p><b>4.</b> WCDHS Executive to engage the senior management /executive level of the respective WCG departments that form the basis of the ISSP champions for transversal involvement – thus to reconfirm the appointed ISSP champions per department. The incorporation of the Department of Agriculture is proposed due to the close relationship between farming as a livelihood’s strategy for many resident households in informal settlements and as a driver of in-migration to rural towns and thus as a driver of growth of rural informal settlements.</p>					
<b>Who?</b>	<b>Responsible</b> WCDHS senior officials	<b>Accountable</b> WCDHS Executive Level	<b>Support</b> Regional planning and implementation support teams	<b>Consulted</b> WCDHS officials	<b>Informed</b>
<b>How?</b>	<b>Quick Win</b>	<b>16.1.2.3 Phase 3: Hosting an ISSP Introduction Webinar to ensure that the basics of the ISSP and its transversal nature are well understood by all departments and provincial stakeholders.</b>			
<p><b>5.</b> WCG ISSP Introduction Webinar to ensure that the basics of the ISSP and its transversal nature are well understood by all departments and provincial stakeholders. This should also provide coverage of the ISUPG and associated implications, as well as a basic overview of the UISP funding application process.</p>					
<b>Who?</b>	<b>Responsible</b> ISSP Unit	<b>Accountable</b> WCDHS Executive Level	<b>Support</b> Regional Support Teams, WCG Executive Management and Senior Officials to support and attend	<b>Consulted</b> ISSP Forum	<b>Informed</b> Webinar can be made available to the public

	<b>Revision / Development of an extended ISSP organogram and an institutional structure operationalisation framework</b>				
<b>How?</b>	<b>Short-Term / non-Critical</b>	<b>16.1.2.4 Phase 4: Establish points of entry for ISU across provincial departments and their plans to promote transversal and coordinated approaches to ISU and support mainstreaming and alignment</b>			
<p>6. The WCG executive level should facilitate this action, which is to be implemented by the departmental officials, where the ISSP unit can provide ad-hoc guidance as needed.</p> <p>7. Informal settlement upgrading is a multi-disciplinary process, requiring support, inputs and insights from various departments. There are numerous entry-points for ISU across the various departmental plans at the provincial level, providing opportunities to mainstream ISU activities into the non-DHS departments at the provincial level. As such, the recommendation is for each department to identify opportunities for how informal settlement upgrading actions can be integrated into existing departmental planning documents, including provincial strategies and plans. For example, DEADP plays a critical role in the ISU process, whereby the role of DEADP and its officials in relation to ISU should be clearly articulated, and linked to KPIs, such that actions from the ISSP implementation plan are adequately integrated into other sector plans, strengthening traversal commitment and accountability.</p> <p>Other examples: DLG Incorporating Informal Settlements Plans in IDP assessments; DOH activating community health workers to join ISSP participatory planning activities; DEADP deploying resources to assist with regularising 24G notices where upgrading is being prioritised.</p>					
<b>Who?</b>	<b>Responsible</b> WCG Executive Level (Accounting officer or director responsible for change management)	<b>Accountable</b> WCG Executive Level	<b>Support</b> WCDHS Executive Level, WCDHS Planning Directorate and WCDHS Implementation Directorate	<b>Consulted</b> ISSP Forum	<b>Informed</b> Local Municipalities


### 16.1.3 Continuation of the ISSP Forum

	<b>Continuation of the ISSP Forum</b>				
<b>What?</b>	<p><b>Overview:</b></p> <p>The ISSP Forum is a transversal and inter-governmental forum. The forum includes the Western Cape Department of Human Settlements, ISSP champions from other provincial departments (currently excluding agriculture), municipalities, and NGOs appointed as part of the ISSP implementation. Other stakeholders such as private companies and academics are periodically invited to attend the forum. This forum has proven to have achieved great results through its implementation. Thus, the recommendation is for the continuation of the ISSP Forum.</p>				
<b>How?</b>	<b>Quick Win</b>	<b>16.1.3.1 Continuation of the ISSP Forum to leverage the benefits of this transversal platform</b>			
<ol style="list-style-type: none"> <li>1. The ISSP has presented as a well-functioning forum. Areas of improved and consideration include the further involvement of the WCDoA, and;</li> <li>2. The inclusion of private sector as and when appropriate.</li> <li>3. Renew invitations to participate in the forum to all departments, but particularly DSD, DOH, WCED, DCS and DOA, with the support of the WCG Executive Level</li> </ol>					
<b>Who?</b>	<b>Responsible</b>	<b>Accountable</b>	<b>Support</b>	<b>Consulted</b>	<b>Informed</b>
	WCDHS Executive Level	WCG Executive Level	NDHS WCG Senior Management	Local Municipalities	

#### 16.1.4 Provide feedback to ISU case study municipalities

	<b>Provision of feedback on ISU case study evaluation to selected Municipalities</b>				
<b>What?</b>	<p><b>Overview:</b> The evaluation yielded a substantial amount of information regarding informal settlements upgrading processes and capacities across the selected sample Municipalities. It would be useful feedback, as well as a monitoring exercise for the WCDHS to inform the case study municipalities about the critical evaluation findings in efforts to improve Municipalities' responses as well as forward planning for informal settlements upgrading.</p>				
<b>How?</b>	<b>Quick Win</b>	<b>Provision of ISU evaluation case study feedback to selected Municipalities</b>			
<ol style="list-style-type: none"> <li>1. The WCDHS Planning Directorate together with the ISSP Unit could collectively engage all selected Municipalities on salient and urgent matters from the evaluation through the ISSP Forum</li> <li>2. Planning Directorate should also prioritise holding separate engagements with individual selected Municipalities to address specific concerns.</li> </ol>					
<b>Who?</b>	<b>Responsible</b>	<b>Accountable</b>	<b>Support</b>	<b>Consulted</b>	<b>Informed</b>
	WCDHS Planning Directorate in support of the ISSP Unit	WCDHS Executive Level	WCDHS Senior Management	Local Municipalities Critical WCG Departments e.g., DEADP, DLG	NGOs Communities which have participated in the evaluation

16.1.5 Develop a provincial-wide strategic medium to long-term upgrading pipeline

	<p><b>Develop a provincial-wide medium to long-term upgrading pipeline</b></p>
<p><b>What?</b></p>	<p><b>Overview:</b></p> <p>It is recognised that the informal settlement challenge requires a programmatic and long-term approach. Pipeline planning over the medium to long term has been advocated by the National Department of Human Settlements (see also the NUSP Webinar<sup>2</sup>).</p> <p>The strategic pipeline plan is iterative and must be updated as new information becomes available.</p> <p>The steps recommended for the pipeline planning process in the Western Cape is described below, drawing on the guidance provided by the NDHS/NUSP, with the aim of leveraging existing ISSP materials.</p> <p>It is notable that this proposed pipeline plan speaks directly into the ISUPG requirements reflected in the 21/22 DORA.</p> <p><b>Benefits of a strategic pipeline plan</b></p> <p>The benefit of a medium to long term strategic plan is that it creates a very clear strategic orientation for ISU in the province, based on sound baseline data and transparent assumptions linked to these inputs.</p> <p>Such a well-articulated strategic approach can assist to guide strategic decision making and also support the alignment and mainstreaming of ISU with other sectors, as a clear developmental agenda will emerge on a provincial wide scale, which can in turn be translated at the municipal level into municipal spatial plans and other planning documents. This also links into the requirement of SPLUMA and as set out in DORA, for informal settlements to be recognised in the spatial plans of the municipality.</p>

<sup>2</sup> [NUSP Pipeline Planning Webinar](#)

<p style="text-align: center;"><b>How?</b></p>	<p style="text-align: center;"><b>Immediate Priority / Critical</b></p>	<p><b>16.1.5.1 Development of a Provincial-Wide Strategic Pipeline Plan to develop a medium to long term strategic approach to ISU, aligned to funding approaches.</b></p>
<p>In accordance with the guidance provided by the NDHS, the following steps for the creation of a provincial wide medium to long term strategic pipeline plan are put forward:</p> <p><b>Phase 1: Assembly of base inputs</b></p> <p><b>1. Establishing the provincial baseline demand:</b></p> <p>During this stage, inputs include:</p> <ul style="list-style-type: none"> <li>• Informal settlement data base</li> </ul> <p>In the case of the WC, the prioritisation tool contains the data required for the steps above.</p> <p><b>2. Establishing the Categorisation and development pathways and associated incremental upgrading steps</b></p> <p>Whilst it is important to understand the settlement category in terms of the 4 categories widely used (Category A, B1, B2 and C), it must be understood that development pathways for upgrading of settlements in particular categories require additional granularity. As such, it is recommended by the NDHS that development pathways and incremental upgrading steps be developed for each category, with a particular focus with those settlements with split categorisation; and B1 settlements in terms of characteristics such as density amongst others. This must be read together with 16.2.6 Strengthen baseline assessment and categorisation in support of informed ISU strategy and pipeline development (highlighting importance of integration of cross-sector information, geo-technical screening, and the need for differentiation within categories linked to developmental pathways and the need for land acquisition – whereby this recommendation will avail the necessary granularity in future assessment and categorisation processes, which can then be rolled up at a strategic level.</p> <p>3. Once the number of settlements, their categories, development pathways and incremental upgrading steps have been identified, it is then necessary to <b>establish the duration and cost of each of the steps associated with each of the incremental upgrading steps.</b></p> <p>4. Input 4 of the guidance provided by the NDHS NUSP is the contextual analysis of the settlement – ‘assigning a spatial advantage classification to each of the settlements within the data base’.</p> <p>5. In the context of the WC, these considerations are largely taken into account in the prioritisation matrix.</p>		

6. The **determination of resource availability** is the next input required. AS per the pipeline planning webinar notes, this includes determining project funding availability for the upgrading actions over the medium to longer term- how much grant funding is available in respect of the Informal Settlement Upgrading Partnership Grant (Provinces) (ISUPG), the Municipal Infrastructure Grant (MIG) and the Integrated National Electrification Programme (INEP). This should be shown as a table reflecting the three-year Medium-Term Expenditure Framework (MTEF) period.

The analysis should enable you to take a position on:

- Any cross contributions – between Provinces and Metros.
- Whether HSDG funding will play a role in ISU – e.g., Emergency Housing Programme for relocations

**Phase 2: Developing a model to test the implications of these in terms of the amount of time and funding** it will take to upgrade the informal settlements in the data base. On the basis of this modelling, a final recommendation can be made as to which groups of settlements should be responded to over the time frame and how much funding this will require.

7. **Modelling the options: Noting** that the modelling can be undertaken in excel using pivot tables NDHS describes the inputs and outputs as follows (NDHS, 2021):

1) Inputs are:

- The number of structures per settlement
- The number of settlements per category or type of settlement
- The cost of services for each category of settlement

2) Outputs are:

- The estimated cost of upgrading all of the informal settlements by category of settlement
- The total cost of upgrading all of the informal settlements

3) This is then compared to the resources available.

The base model as described above is then used to assess different priorities and strategic options.


**Phase 3: Buy-in and support for the priorities and strategic options identified through the modelling**

8. The long-term strategic orientation toward ISU must be supported in order for it to be implemented successfully. Once the requisite buy in is achieved, the “agreed strategic approach and sequence should form part of the Provincial Informal Settlement Upgrading Strategy as required by DORA 21/22 which sets out the city’s/provinces approach to informal settlement upgrading, and how settlements are categorised and will be prioritised for upgrading.

The NDHS NUSP Pipeline Planning materials should be read together for a more comprehensive account of this recommendation.


	<b>Responsible</b>	<b>Accountable</b>	<b>Support</b>	<b>Consulted</b>	<b>Informed</b>
<b>Who?</b>	WCDHS Planning Directorate	WCDHS Executive Level	NDHS / NUSP	NDHS/ NUSP, Local Municipalities	Local Municipalities, NDHS/NUSP


**16.1.6 Improve alignment between ISSP outputs, WCG project approval application process and UISP project tranches, and enhance quality assurance and control**


	<b>Improve alignment between ISSP outputs, WCG project approval application process and UISP project tranches, and enhance quality assurance and control</b>				
<b>What?</b>	<p><b>Overview:</b></p> <p>As noted in the findings, the ISSP has to date focused primarily to the provision of community planning support administered through NGOs and intermediaries. The deployment of the NGO often created the platform for the assessment of local municipal needs from which it was evident from the findings that the scope of services required by municipalities could not be fully provided by the NGOs as this was not necessarily the core strength of the NGO sector.</p> <p>Therefore, it is recommended that a detailed assessment of municipal readiness and requirements for holistic ISU support be undertaken by WCDHS to ensure that (1) the support provided is optimised due to (2) increased relevance and that (3) expectations of communities can be realistically managed. Moreover, such an assessment will also reduce expenditure caused by services provided where the outputs cannot be immediately used and with thus have to be repeated at a later stage.</p>				
<b>How?</b>	<b>Critical / Short-Term</b>	<b>16.1.6.1 Phase 1: Undertake a Municipal Needs Assessment and create a needs register documenting needs of municipalities including social facilitation and other forms of socio-technical support required to support upgrading<sup>3</sup></b>			
	<ol style="list-style-type: none"> <li>1. This assessment should focus on municipal readiness for ISU, including the institutional arrangements, level of inclusion of ISU into planning documents, as well as the current community engagement practices amongst others. This could be undertaken by consultants (project managers, planners or engineers who understand the municipal planning and informal settlement upgrading environment). It can be rolled out on a phased basis.</li> <li>2. The outcomes this assessment will be to guide the WCDHS and specifically the ISSP Unit with focus areas for the channelling of resources for support; and to ensure that the needs are understood for later alignment with the UISP phases and requirements of the ISUPG.</li> </ol>				
<b>Who?</b>	<b>Responsible</b> WCDHS Planning Directorate (With support from the private sector if need)	<b>Accountable</b> WCDHS Executive Level	<b>Support</b> WCDHS Implementation Directorate, WCG Senior Officials, ISSP Unit	<b>Consulted</b> Local Municipalities	<b>Informed</b>

<sup>3</sup> This phase can be replaced if an updated and detailed understanding of the municipal needs are already available.



	<b>Improve alignment between ISSP outputs, WCG project approval application process and UISP project tranches, and enhance quality assurance and control</b>				
<b>How?</b>	<b>Critical / Short-Term</b>	<b>16.1.6.2 Phase 2: Development of a list of typical products / outputs to be offered through ISSP support to respond to stated needs</b>			
<p>3. <b>Developing the list of support requirements:</b> The needs assessment to be undertaken in Phase 1 will provide more robust guidance on the ISU needs of the municipalities. Based on the case studies and findings of the evaluation, it is anticipated that typical support requirements would include at least the following areas:</p> <ul style="list-style-type: none"> <li>• Project and programme packaging via project and programme management</li> <li>• Strategy development and pipeline planning</li> <li>• Enumeration and database management</li> <li>• Assessment and Categorisation</li> <li>• Upgrading Plans</li> <li>• Relocation Planning</li> <li>• Tenure Options, noting that “number of households provided with secure tenure” is an ISUPG output</li> <li>• Sustainable livelihoods programmes at municipal level – noting that “number of Sustainable Livelihoods Plans developed” forms part of the ISUPG outputs</li> <li>• Settlement Level Sustainable Livelihood Frameworks</li> <li>• Socio-economic surveys</li> <li>• Environmental Management</li> <li>• Disaster Risk Management and Emergency Response Plans</li> <li>• Community Profiling</li> <li>• Community Action Plans and social compacts, noting that “number of social compacts or agreements concluded with communities outlining their role in the upgrading process” is an output of the ISUPG.</li> </ul> <p>The ISSP has offered some of these support types to municipalities to date.</p> <p>4. Once such a list is available, this list must be packaged into key areas of support that the WCDHS will be able to provide. The list of support must therefore:</p> <ol style="list-style-type: none"> <li>a) Align with the WCDHS and WCG strategies and plans;</li> <li>b) Available resources;</li> <li>c) Align and support compliance with the ISUPG requirements</li> <li>d) This will result in a final list of support that can be offered to municipalities by the WCDHS</li> </ol>					
<b>Who?</b>	<b>Responsible</b>	<b>Accountable</b>	<b>Support</b>	<b>Consulted</b>	<b>Informed</b>
	WCDHS Senior Officials	WCDHS Executive Level	WCDHS Planning Directorate, WCDHS Implementation Directorate	WCG Senior officials	Local Municipalities

	<b>Improve alignment between ISSP outputs, WCG project approval application process and UISP project tranches, and enhance quality assurance and control</b>				
<b>How?</b>	<b>Critical / Medium-Term</b>	<b>16.1.6.3 Phase 3: Development of SoPs for each of these support areas including guidance on when support can be offered.</b>			
<p><b>5. SoPs for each of the support areas should be developed, with templates and reporting frameworks developed in accordance with the specific support area.</b></p> <p><b>6. Considerations for providing support after applications are received from municipalities:</b></p> <p>Applications must be received from municipalities requiring support. These applications should provide insight on the following matters:</p> <ul style="list-style-type: none"> <li>• Understanding of how this support will align with the overall upgrading intervention for the settlement, and establishment of how the output of each support area will assist with the compilation of funding applications to province in terms of the UISP. Establish how the support will, on a case-by-case basis, support the process and progress of the UISP implementation. This alignment will ensure that due consideration is given to when support is provided, ensuring that the sequencing is appropriate and that the ISSP’s support is tied into a broader upgrading approach. This will also assist to ensure that the outputs of the support provided does not become outdated before it is used. Ideally, the municipality should be held accountable for taking the work forward.</li> <li>• The extent of municipal capacity to manage service providers and relatedly, the level of support that will be required to ensure a rigorous quality assurance process.</li> <li>• Selection of municipal ISU champion based on specific municipal conditions and a continuity plan and backstopping strategy.</li> <li>• Clear accountability framework must be available and agreed to by the municipality.</li> </ul>					
<b>Who?</b>	<b>Responsible</b>	<b>Accountable</b>	<b>Support</b>	<b>Consulted</b>	<b>Informed</b>
	ISSP Unit	WCDHS Executive Level	WCDHS Implementation Directorate, WCDHS Planning Directorate	WCG officials, NDHS	Local Municipalities

	<p><b>Development of a Provincial Data Collection and Data Governance Approach to support data management at provincial and municipal level</b></p>
<p><b>What?</b></p>	<p><b>Overview:</b></p> <p>The reliance on accurate data regarding informal settlements is critical across the lifecycle of developmental interventions, from the early stages of visioning and inception all the way through to implementation, operation, and maintenance. Moreover, data has various roles and functions at different spatial scales of planning and implementation, meaning that the temporal aspects of data also must be considered dependent upon when in the planning and implementation lifecycle the data is required, and whether it is settlement level data to be used for settlement level planning or data that is to be collated for strategic planning purposes (often a synthesis of settlement level data). The dynamic and constant evolving nature of IS must also be factored into this strategy in order to ensure that data collected and processed remains relevant and credible.</p> <p>There is a need for a cohesive and integrated approach to data collection and governance at a provincial level.</p> <p>The approach should consider:</p> <ol style="list-style-type: none"> <li>1. Data and information considerations to support strategic planning and budgeting at the provincial level</li> <li>2. Data and information considerations to support strategic planning and budgeting at the municipal level</li> <li>3. Data and information considerations to support for settlement level planning</li> </ol> <p>Read together with the pipeline planning recommendation, minimum requirements for baseline data includes (NDHS 2021: 10):</p> <ul style="list-style-type: none"> <li>• Geo-spatial location of the settlement</li> <li>• Number of Dwellings/households</li> <li>• Existing permanent and temporary engineering services</li> <li>• Underlying land ownership</li> <li>• Age of the settlement</li> <li>• Categorisation of the settlement (if this is available)</li> </ul> <p>In respect of B1 Settlements it should also specify:</p> <ul style="list-style-type: none"> <li>• The density of the settlement (this can be by category), and</li> <li>• Whether the settlement has a formal or informal layout configuration</li> </ul> <p>This recommendation should be read to together the ISUPG grant requirements for provinces, as well as the recommendation to develop municipality-wide informal settlement upgrading strategies at a local municipal level.</p>

<p style="text-align: center;"><b>How?</b></p>	<p style="text-align: center;"><b>Critical / Short Term</b></p>	<p><b>16.1.7.1 Development of a Provincial Data Collection and Data Governance Approach to support strategic planning and budgeting at the provincial level and municipal level through appropriate data collection and management at settlement, municipal and provincial levels</b></p>
<p><b>Data and information considerations for settlement level planning to guide the development of provincial approach and guidance:</b></p> <p>At present, municipalities collect different baseline datasets sourced from various custodians; not all municipalities have a centralised repository of spatial data, enumeration data or socio-economic data; the data collected by NGOs (and in some cases communities themselves) differ across the municipalities particularly in respect of enumerations, and once the data is collected at the municipal level there is no streamlined and consistent process to ensure the data is cleaned, verified, analysed and fed into a larger digital database where it can later be leveraged. Municipalities need guidance on the above, and also guidance on how to use the information at their disposal to achieve both settlement level and strategic planning and budgeting outcomes.</p> <p>Following the socio-technical approach adopted by the NUSP, there are two main considerations:</p> <ul style="list-style-type: none"> <li>• Data that can only be obtained through community engagement processes such as enumeration and socio-economic surveys and</li> <li>• Data that can be determined through desktop assessments and field studies undertaken by professionals such as planners, EAPs and engineers as relevant. This process must be undertaken by or in close collaboration with the relevant municipal departments to ensure the optimisation of existing data across various sectors / line departments.</li> </ul> <p>Together, these two types of data form a comprehensive profile of the settlement that can later be used to conclude the settlement category, the appropriate development pathway for the settlement as well as the development of a settlement specific upgrading plan.</p> <p>It is important to note that the qualitative data on settlement developability, long term potential for human habitation, risk profiles and proximity to bulk infrastructure, communities must also clearly understand likelihood of service connections and other technical considerations to ensure that they are capacitated around these issues in a manner that is easily understandable. This is particularly important in the community engagement process as it is infrequent that the technical conditions and densities in informal settlements allow for incremental upgrading without negotiations, debates, and discussions regarding these issues.</p> <p>Once this data is collected at a settlement level, the categorisation of settlements that come as a result, form the baseline of the municipal ISU strategy, which should deal with a range of issues (see 16.2.2.1 Phase 1: Development of a template for a municipality-wide informal settlement upgrading strategy and programme by the WCDHS.</p>		

#### Important considerations for settlement level data includes:

1. Having a clear methodology for the data collection process including community engagement plans, and the selection of the appropriate tools for different types of data.
2. Ensuring that data from other line departments are also considered and integrated within the planning process.
3. Data collected must be well documented and where appropriate catalogued as part of a dedicated municipal database, included data collected and maintained by communities, where possible.
4. Data collected at the settlement level from within communities should be linked to a specific purpose and outcome, and the purpose and timing of these outcomes should be clearly communicated to communities to aid in managing expectations. This should be linked to a clear strategy for when in the development lifecycle event level data will be collected and how this will be communicated to communities – this should be documented in the municipal ISU strategy (as per the previous recommendation).
5. Settlement level beneficiation (inclusive of eventual appropriate levels of security of tenure) that is to result from the planning of progressive development lifecycle events demands that data collected in respect of resident persons and households must provide appropriate, nuanced, and reliable baseline information to inform the community based participatory planning for the following envisaged forms of beneficiation and associated level of security of tenure:
  - Provisional need for access to temporary emergency shelter and services
  - Provisional need for access to interim shared basic services
  - Provisional need for access to Temporary Relocation Area Accommodation and Relocation Assistance
    - As part of an integrated Relocation Strategy
    - This will also have to address temporary facilities for undocumented immigrants that cannot/may not be granted beneficiation in ISU
  - Provisional need for eventual access to serviced-site opportunities subsidisation and
  - Provisional need for eventual housing consolidation subsidisation

Given the importance of data in making informed decisions about ISU, it is recommended that the province develop a strategy for data collection and data governance that can be followed by all local municipalities. The intention will be to achieve consistent data sets that optimise the effort spent on the data collection and may also form the basis for a larger database that can be used across various departments. It is proposed that this section of the guideline explore the following elements:

- **What is settlement upgrading data?** For example, geospatial information, enumeration results, settlement profiling, socio-economic studies, sustainable livelihood development plans, community action plans.
- **How does it get used?** It will be important to link the data to specific planning processes both a project planning and municipal planning level, to ensure that the data is used optimally, and that the municipality has a clear understanding of how the data should optimally be utilised.
- **Who?** The strategy should also explain who the different types of data will be collected from and why, by whom and for whom – governance and control framework. For example, the strategy should explain exactly what should happen as part of an enumeration process, and how the post-processing of such data should occur.
- **When?** The strategy should also provide an indication of when typical data should be sourced in relation to a broader programme of upgrading or HS activities

- **Where does it feed into?** Linked to the above, it must be clearly based on the data collected, which database/s and departments should have access to the data for planning purposes.
- **When** should different types of data be collected, collated, and updated?
- A clear approach to how settlement level data is collected (both technical baseline information and qualitative and quantitative data from enumeration and socio-economic studies and community registers)
- It should further provide a minimum set of criteria for a standardised set of data fields that will help to ensure consistency.

#### Data and information considerations to support strategic planning and budgeting at the municipal level

- **Data requirements:** An indication of the total number of informal settlements, the distribution of settlements that have been categorised and not categorised, the categorisation and development pathways to provide an indication of in situ upgrading and relocations; density considerations; and relocation strategies.
- **How does it get used?** It will be important to link the data to specific municipal planning and budgeting processes. The high-level data can be used to provide overall estimates of costs for upgrading based on subsidy quanta (subject to further detailed investigation where upgrading plans are not yet available); a programme for upgrading activities / an upgrading pipeline.
- **Who?** The strategy should also explain who the different types of data will be collected from and why, by whom and for whom.
- **When?** The strategy should also provide an indication of when typical data should be sourced in relation to a broader programme of upgrading or HS activities – this should be aligned to the planning processes active in specific municipalities – and should also be aligned with the processes set in place in terms of the institutionalisation recommendation.
- **Where does it feed into?** Linked to the above, it must be clearly based on the data collected, which database/s and departments should have access to the data for planning purposes.
- **When should different types of data be collected, collated, and updated?**
- A clear approach to show the data requirements for collection and updating in line with the municipal ISU strategy.

#### Data and information considerations to support strategic planning and budgeting at the provincial level:

- Planning at the provincial level requires the synthesis, prioritisation, and programming of upgrading activities within the province.
- The data requirements at the provincial level are driven by the grant framework for informal settlement upgrading, which sets out the conditions, responsibilities, and the requirements for the business plan process. It is already stipulated for the most part in the various funding application documentation such as the Project Initiation Document, the Feasibility Report, the Interim Basic Services Feasibility Report, the Implementation Readiness Report.

Who?	Responsible	Accountable	Support	Consulted	Informed
	WCDHS Planning Directorate	WCDHS Executive Level	WCG officials, NDHS	Local Municipalities, Metropolitan Municipalities,	

<b>How?</b>	Critical / medium Term	16.1.7.2 Implementation of guideline at the provincial level to support provincial pipeline planning			
<b>Who?</b>	<b>Responsible</b>	<b>Accountable</b>	<b>Support</b>	<b>Consulted</b>	<b>Informed</b>
	WCDHS	WCDHS Executive Level	WCG officials, NDHS	Local Municipalities, Metropolitan Municipalities,	
<b>How?</b>	Critical / medium Term	16.1.7.3 Implementation of settlement level and municipal level guidance at the municipal level			
<b>Who?</b>	<b>Responsible</b>	<b>Accountable</b>	<b>Support</b>	<b>Consulted</b>	<b>Informed</b>
	Local Municipalities	Local Municipalities	ISSP Unit. Planning Directorate, Implementation Directorate		Communities

## 16.2 SUPPORTING INSTITUTIONAL ARRANGEMENTS AND MAINSTREAMING AT THE LOCAL GOVERNMENT LEVEL

---

This overall recommendation focuses on supporting local municipalities to upgrade informal settlements. The Spatial Planning and Land Use Management Act (SPLUMA) provides a basis for the recognition of informal settlements and their mainstreaming into municipal policies, plans and planning tools. It is the responsibility of the municipalities to undertake this task of planning inclusion, and whilst there has been variability in the uptake across the country, the inclusion of informal areas in Land Use Management Schemes has been observed in some municipalities, and these will over time also support goals of tenure security and serve as examples for other municipalities

These recommendations are intended to support local municipalities with strategic planning and decision making, and as such has two components:

It focuses on the need to (1) **create an institutional arrangements framework** that stipulates the role of the department championing the ISU function, and roles of all other departments that work in support of it, that can be adjusted to suit individual municipal circumstances. In most cases, ISU forms part of the municipal Human Settlements Department. However, it is seldom that the ISU unit or human settlement department will have all relevant resources in house in that same department, making the establishment and functioning of a cross-departmental structure more critical. This recommendation does not suggest the establishment of a rigid process, but rather stipulation of clear guidance on which departments are required to play a role in ISU at a municipal level, and what this role should be. This is also supported by a similar intervention at a provincial level, to ensure that there is oversight and accountability at both spheres of government. These structures should carry an implementational oversight mandate focussed on the key-deliverables/milestones to be achieved through the ISSP and ISU in general.

The second is to **provide clear guidance on what aspects of ISU should be included in the Integrated Human Settlements Plan / Housing Chapter of the IDP and the SDF by creating a template for Informal Settlement Upgrading Strategies.**


This guidance should also seek to ensure the basic level of ISU mainstreaming is in place through municipal planning documents. This should also be supported by DLG (IDP assessment) and DEADP (SDF assessment). At present, the ISUPG requires that provinces and metros prepare Informal Settlement Upgrading Strategies. It is recommended that at a local level, a short-, medium- and long-term strategy and pipeline plan be prepared as well, clearly showing the settlements to be upgraded in the short-term as well as those to be addressed in the outer years, along with the funding requirements for these upgrades.

### **ISUPG outputs include:**

- “Number of informal settlements designated for upgrading in terms of the municipal Spatial Development Framework (SDF) and Spatial Planning and Land Use Management Act (SPLUMA) and municipal by-laws enacted in this regard.”
- In addition, one of the conditions of the grant is that “All projects in the approved informal settlements upgrading plans must be aligned with the Integrated Development Plan (IDP) and the Spatial Development Framework of municipalities.”



16.2.1 Development and Implementation of a guideline for local municipal level Institutional Arrangements in support of ISU institutionalisation


	<b>Development of a guideline for local municipal level Institutional Arrangements in support of ISU institutionalisation</b>	
<b>What?</b>	<p><b>Overview:</b>          ISU practices are linked to the contextual factors specific to individual municipalities and settlements. At a municipal level, these factors include staff capability and capacity, experience with upgrading, familiarity with grant frameworks, and municipal transversal arrangements that support the multi-disciplinary nature of upgrading. ISU practices are linked to the contextual factors specific to individual municipalities and settlements. At a municipal level, these factors include staff capability and capacity, experience with upgrading, familiarity with grant frameworks, and municipal transversal arrangements that support the multi-disciplinary nature of upgrading. At a local government level, the practice of elevating the strategic importance of ISU and political championing, facilitating and structuring the requisite municipal transversal structures, committees and forums are uneven and insufficient and sometimes not present at all. Relatedly, the documentation of ISU and institutional arrangements toward integrated ISU is often insufficient, and as such, insufficiently documented and mainstreamed into municipal planning documentation. It is therefore proposed that the province assist municipalities by preparing a guideline based on best practice.</p>	
<b>How?</b>	<b>Quick Win</b>	<b>16.2.1.1 Phase 1: Preparation of a guideline by WCDHS to assist local municipalities to establish inclusive institutional arrangements and governance frameworks including ISU task teams and committees toward integrated functional local partnerships for the appropriate planning and implementation of ISU</b>
<ol style="list-style-type: none"> <li><b>1. Identification of relevant departments to participate in an ISU Task Team:</b> Each municipality should be made aware of the need to establish / formalise / organise their ISU institutional arrangements. This will also provide an integrated foundation for the alignment of IDP Sector Plans and budgets in relation to ISU. First, all relevant contributory directorates/departments should be identified. These departments should include at least: Water and Sanitation, Roads and Stormwater, Electricity, Waste Management, Disaster Risk Management, Environmental Health, Town Planning, Local Economic Development, Integrated Development Planning, Environmental Management and Parks and Recreation, Social Development, or their equivalent (as per local municipal arrangements).</li> <li><b>2. Guidance on constituting a cross-departmental ISU Task Team including the development of a Terms of Reference and guidance on municipal executive level at Municipal Manager level.:</b> Each municipality should develop a ToR for their ISU Task Team a detailed overview of the role and responsibility of the respective contributing partners in the Institutional Framework in planning, implementation, and operation and maintenances of basic services in informal settlements, including implementers, representative structures of the affected communities, Intermediaries and PRTs or Consultant.</li> </ol>		


A summary of the content of the ToR to be developed (which should also be communicated in the guideline) is therefore recommended as follows:

- Purpose of the Task Team
  - Commitment of the Task Team with **an accountability mandate** from Council or Exco
  - Resolution by the Municipal Manager
  - ISU lead Directorate/department and role, function, and responsibilities
  - All other departments and their role, function, and responsibilities
  - WCDHS Regional Implementation Support Team
- 3. Guidance for the development of a Community Engagement Framework including the strategy for engaging with the municipal council as well the engagement of the officials and councillors with the various informal settlements**
- A strategy for how the Municipal Council will be engaged
  - A strategy for how the technical departments and the council will engage and incorporate members of the community into the municipal ISU governance framework
  - Where applicable, the Task Team should also consider structure(s) representing and mandated by the affected IS communities, contracted consultant (PRT), contracted intermediaries (NGO), guidelines on frequency of engagements

<b>Who?</b>	<b>Responsible</b>	<b>Accountable</b>	<b>Support</b>	<b>Consulted</b>	<b>Informed</b>
	WCDHS Executive Level	WCG Executive Level	ISSP Champions, WCG Senior Officials	NDHS, Local Municipalities.	Local Municipalities
<b>How?</b>	<b>Critical / Short-Term</b>	<b>16.2.1.2 Phase 2: Application of the Institutional Arrangements Guideline by local municipalities</b>			
<b>Who?</b>	<b>Responsible</b>	<b>Accountable</b>	<b>Support</b>	<b>Consulted</b>	<b>Informed</b>
	Municipal Manager Local Municipality – Human Settlement Departments	Municipal Manager	Municipal department where ISU function is housed, ISSP Unit, WCHDHS Planning Directorate, WCDHS Implementation Directorate	NDHS, Councillors	Communities

**16.2.2 Development and completion of a template for municipality-wide informal settlement upgrading strategy linked to the prioritisation tool and the development of a medium-long term pipeline**


	<b>Development and completion of a template for municipality-wide informal settlement upgrading strategy linked to the prioritisation tool and the development of a medium-long term pipeline</b>	
<b>What?</b>	<p><b>Summary:</b> The Informal Settlement Partnership Grant (ISUPG) requirements as set out in the Division of Revenue Act (DORA) requires that provinces have a province wide upgrading strategy, which is also a requirement for metros. However, it does not explicitly require local municipalities to have such. Consequently, the approaches to mainstreaming ISU through municipal development planning processes and documentation is insufficient. Therefore, the recommendation is for all municipalities to develop a municipality-wide ISU strategy to form part of their existing suite of planning documents (Phase 2) to be guided by a template by WCDHS (Phase 1).</p>	
<b>How?</b>	<b>Immediate Priority / Critical</b>	<b>16.2.2.1 Phase 1: Development of a template for a municipality-wide informal settlement upgrading strategy and programme by the WCDHS</b>
<ol style="list-style-type: none"> <li>1. Engage with the content of the Western Cape HSP guideline and document custodian, DEADP and DLG to review ISU mainstreaming practices in the Western Cape</li> <li>2. Review a sample of ISU strategies at municipal level (at least one per district)</li> <li>3. Develop a template based on readily available resources such as the ISUPG requirements, and provide guidance on alignment with UISP and ISSP objectives</li> <li>4. Engage with the content of the Western Cape HSP guideline and document custodian, DEADP and DLG to develop guidance to local municipalities as per the departmental implementation plans</li> <li>5. Workshop template with NDHS, WCDHS officials including Regional Planning and Implementation teams (more than one workshop may be required)</li> <li>6. Present template to municipalities through a district level workshops / or an online Webinar</li> <li>7. Consideration can also be given to updating the HSP guideline to include this template as an Annexure</li> </ol>		

	<b>Development and completion of a template for municipality-wide informal settlement upgrading strategy linked to the prioritisation tool and the development of a medium-long term pipeline</b>				
<p><b>Content inputs for consideration in the development of the Template<sup>4</sup>:</b></p> <p>This can be part of the IHSP and does not have to be a stand-alone or “new” document – it must however have a standardised / consistent set of focus-areas that need comprehensive coverage for how informal settlements are to be dealt with. As such, it is recommended that the province provide such guidance, which should be developed in collaboration with the local municipalities, Metro and the NDHS. This should cover topics such as:</p> <ul style="list-style-type: none"> <li>• Data collection and enumeration</li> <li>• Socio-economic surveys</li> <li>• Assessment and Categorisation</li> <li>• Settlement level upgrading plans</li> <li>• A holistic and overarching upgrading programmes for all informal settlements including the incremental provision of services and sustainable livelihood interventions</li> <li>• Development of appropriate progressive Memoranda of Understanding to embrace/underpin the envisaged ISU interventions</li> <li>• This should also provide a more detailed perspective on how community needs, and action plans will be actioned and considered</li> <li>• Cost estimates for upgrading over the short, medium, and long term</li> </ul>					
<b>Who?</b>	<b>Responsible</b>	<b>Accountable</b>	<b>Support</b>	<b>Consulted</b>	<b>Informed</b>
	WCDHS Planning Directorate	WCDHS Executive Level	NDHS, DEADP, DLG, WCG senior management		


<b>How?</b>	<b>Critical / Short-Term</b>	<b>16.2.2.2 Phase 2: Completion of the template for a municipality-wide informal settlement upgrading strategy and programme by the Local Municipalities</b>			
<p>8. This directive to develop a municipality-wide ISU strategy should <b>be sanctioned/mandated by the relevant Council Portfolio Committee</b> through MMs office to have maximum effect. Various municipal departmental teams and units may need to be consulted to achieve the best possible outcomes.</p>					
<b>Who?</b>	<b>Responsible</b>	<b>Accountable</b>	<b>Support</b>	<b>Consulted</b>	<b>Informed</b>
	WCDHS Executive Level	WCG Executive Level. Local Council	ISSP Champions, WCG Senior Officials, Councillors	NDHS, Local Municipalities, Councillors	Local Municipalities

<sup>4</sup> The development of the Guideline is not part of the Evaluation Scope of Works. High level guidance has however been offered to support the implementation of this proposal.

### 16.2.3 Improving the participation of informal settlement residents in the IDP process

		<b>Improving the participation of informal settlement residents in the IDP process</b>			
<b>What?</b>	<p><b>Overview:</b>          In order to enable the mainstreaming of informal settlement representation in IDPs and IDP processes representatives from informal settlements forums developed should be included in ward committees of the wards informal settlements are in. Similarly, IDP forum at municipal wide should include representatives from informal settlements forums to ensure that there is representation for municipal-wide IDP considerations.</p>				
<b>How?</b>	<b>Quick win</b>	<b>16.2.3.1 Engage WCDHS and local government officials to ensure ISF representation on ward committees and IDP forums</b>			
<ol style="list-style-type: none"> <li>1. The ISSP unit should engage the Public Participation Department at WCDLG to get its support in encouraging municipalities to include ISF members on wards committees where ISSP projects have been undertaken.</li> <li>2. ISSP unit should engage the municipalities where ISSP project have been undertaken to encourage them to find ways to include ISF member in ward committees</li> <li>3. Where ward committee have already been elected for the 2021-2026 term ward committees should be encouraged to co-opt members for ISFs when vacancies arise</li> <li>4. Municipal Managers should be engaged by officials from WCDHS and DLG to ensure that informal settlements residents are included on municipality-wide IDP forums</li> </ol>					
<b>Who?</b>	<b>Responsible</b>	<b>Accountable</b>	<b>Support</b>	<b>Consulted</b>	<b>Informed</b>
	Municipal Managers	Municipal Managers	WCDHS Executive Level WCG Executive Level, Councillors, Western Cape Department of Local Government (DLG) ISSP Unit	Municipal officials	Other provincial departments Private sector

**16.2.4 All NGO and intermediary contracts (and any other work undertaken with community) to include a succession plan and completion of a baseline template for tracking work / or a social compact**

	<p><b>All NGO and intermediary contracts (and any other work undertaken with community) to include a succession plan and completion of a baseline template for tracking work / or a social compact</b></p>	
<p><b>What?</b></p>	<p><b>Overview:</b>            During the evaluation it was noted that the various NGOs and intermediaries have unique approaches to undertaking work within the communities. It is recommended that future work with communities include clear and accessible access to the documentation of the process followed in each community, including outcomes, challenges and risks experienced in each project.            Furthermore, the work must culminate in the development of a social compact, noting that social compacting can also take place incrementally.</p>	
<p><b>How?</b></p>	<p>Quick Win</p>	<p><b>16.2.4.1 Development of a Community Engagement Execution Tracking Document by the WCDHS</b></p>
<p>It is recommended that NGOs/intermediaries (and any other consultants of an internal municipal team) populate a Community Engagement Execution Tracking Document. This should at minimum describe and / or provide:</p> <ul style="list-style-type: none"> <li>• Settlement location, map of settlement and current settlement boundary (in a polygon format compatible with ArcGIS);</li> <li>• Duration of fieldwork;</li> <li>• Details of fieldwork team (name, contact, qualifications, previous experience working in settlement / municipality/ ISU);</li> <li>• Details of municipal official responsible for ISU including contact information;</li> <li>• Details of Ward Councillor;</li> <li>• Details of existing representative community structures known prior to intervention;</li> <li>• Approach to finding community participants for the initiative / intervention (this must be linked to the SoW / mandate given);</li> <li>• Payment / remuneration parameters for community members (this will help to document any expectations / precedents that will be informative for further engagements);</li> <li>• Obtain consent and then document all community members who participated in the intervention;</li> <li>• Provide an indication of the manner in which this intervention was received and level of buy-in; and</li> <li>• Provide an indication of the strategy used to exit the community including succession planning and social compact development.</li> </ul>		

The list above is not exhaustive but provides an indication of information that must be tracked and regularly updated. It is important that the tracking of this information retains the time-based iterations. This means that if a team were to work there in Month 1 of Year X, another team working in Month 3 of Year Y should have access to the previous information and then work with it to populate an updated tracker so that the data becomes layered.


It is also important to note that the municipality must be responsible for ensuring that this tracking takes place. It can also form the baseline of any other settlement information. Some of the fields of information listed above may also be easily populated based on known information from the municipality. This tracking process is important since it enables a level of transparency and continuity. For instance, where changes in political structures and leaders such as ward councillors occur, this type of documentation will ensure that the municipal officials and other teams will have access to the appropriate community leaders and members to support efficiency and limit any duplication of effort.

<b>How?</b>	<b>Quick Win</b>	<b>16.2.4.2</b> On-going completion of the Community <b>Engagement Execution Tracking Document</b>
-------------	------------------	--

Using the updated Towards Incremental Informal Settlement Upgrading document, make it a requirement that NGO / Intermediary contracts include the development of a social compact. The nature of the social compact will be variable depending on the specific context of the settlement.


<b>Who?</b>	<b>Responsible</b>	<b>Accountable</b>	<b>Support</b>	<b>Consulted</b>	<b>Informed</b>
	Local Municipalities (And service providers if applicable)	Local Municipalities	WCDHS	WCG Senior Officials, DEADP	Local Municipalities, Communities

### 16.2.5 Mainstreaming existing ISSP outcomes and outputs into various sector plans and databases

	<b>Mainstreaming existing ISSP outcomes and outputs into various sector plans and databases</b>				
<b>What?</b>	<b>Summary:</b> During the ISSP implementation, NGOs/intermediaries were offered/deployed to municipalities to undertake community-based planning yielded various outcomes. Whilst the shape and form of each of the outputs was dependant on the specific contractual milestones, it is important that the work produced be mainstreamed into the municipal planning process and documents, and that municipalities give critical attention to how these outputs can advance the planning and budgeting process for informal settlements.				
<b>How?</b>	Quick Win	<b>16.2.5.1 Municipalities to review all outputs produced through the ISSP and integrate these into municipal forward planning documents and funding applications where applicable.</b>			
<ol style="list-style-type: none"> <li><b>Review the ISSP outputs for integration opportunities:</b> Each municipality where ISSP has been implemented should review the work produced through the ISSP. If an ISU Task Team (or similar) exists, the Task Team can undertake this. It will be important for this process to be undertaken by at least the department where ISU is housed, as well as a spatial planner, and the WCDHS Planning Support should also receive a copy of these reports for their consideration and discussion with the municipality.</li> <li><b>Review of the ISSP outputs for opportunities: Municipalities:</b> The municipality’s ISU team should consider opportunities for using the ISSP outputs to prepare funding applications where this is possible, based on the nature of the work and the readiness and appropriate capacity of the municipality to pursue various stages of the project planning and funding process.</li> </ol>					
<b>Who?</b>	<b>Responsible</b>	<b>Accountable</b>	<b>Support</b>	<b>Consulted</b>	<b>Informed</b>
	Local Municipalities – specifically the ISU Team, Housing Departments and Spatial Planning Departments	Municipal Managers	ISSP Unit, Regional Implementation Support, Regional Planning Support	NGO involved in producing the document if necessary	



**16.2.6 Strengthen baseline assessment and categorisation in support of informed ISU strategy and pipeline development (highlighting importance of integration of cross-sector information, geo-technical screening, and the need for differentiation within categories linked to developmental pathways and the need for land acquisition)**


	<p><b>Strengthen baseline assessment and categorisation in support of informed ISU strategy and pipeline development (highlighting importance of integration of cross-sector information, geo-technical screening, and the need for differentiation within categories linked to developmental pathways and the need for land acquisition)</b></p>	
<p><b>What?</b></p>	<p><b>Overview:</b>            The Rapid Assessment and Categorisation was undertaken for 106 informal settlements in 2016. There is a need for the on-going assessment and categorisation of informal settlements to develop an accurate understanding of the informal settlement upgrading need. The assessment and categorisation and settlement level upgrading plans generated out of this process must be undertaken in such a manner that it speaks to a standardised approach and methodology. For example, this should include guidance on the detail criteria and sub-criteria to be used in a categorisation process, including geotechnical and biophysical considerations such as the interpretation of steep slopes for categorisation; guidance on adding granularity to the settlement categories based on considerations such as density for instance – leading to a more nuanced understanding of development pathways.</p>	
<p><b>How?</b></p>	<p><b>Quick Win</b></p>	<p><b>16.2.6.1 Preparation of a guidance note for Assessment and Categorisation, including criteria to be considered, the development of settlement level upgrading plans, and the creation of development pathways linked to settlement categories</b></p>


Considerations for content of the guidance note for future assessment and categorisation and upgrading plan processes include:

1. Development of standardised sub-criteria based on the guidance provided by the NDHS NUSP
2. Development of additional granularity for each settlement category in line with specific characteristics. For example, Category B1 settlements with low, high and medium densities will trigger different development responses / pathways.
3. Guidance on how to consult with the various sector plans for inputs against these criteria including environmental management plans, disaster risk management plans etc. during the assessment process
4. Inclusion of a baseline geotechnical assessment as guided by applicable NDHS Generic Specifications GFHS 1-10 as part of the assessment of the biophysical environment including consideration of the NHBRC assessment process for Project Registration which will eventually allow for Top Structure Home Warranty Enrolments
5. Application of Western Cape sector plan guidance
6. Detail on the interpretation of environmental considerations such as steep slopes
7. Appropriate municipal engineering solutions linked to various settlement typologies
8. Guidance on how to deal with split categorisation in circumstances where settlements are on land that is not homogenous and therefore requires different categorisation classes

	<b>Responsible</b>	<b>Accountable</b>	<b>Support</b>	<b>Consulted</b>	<b>Informed</b>
<b>Who?</b>	ISSP Unit with support from the Private Sector	WCDH Planning Directorate	ISSP Units, NDHS	NHBRC, WCG Officials	Local Municipalities

## 16.2.7 Risk and Vulnerability Reduction in informal Settlements

	<b>Risk and Vulnerability Reduction in informal Settlements</b>				
<b>What?</b>	<p><b>Overview:</b>          Informal settlements are characterised by their vulnerability to various hazards. During the evaluation, it was evident that informal settlements require a targeted strategy for risk reduction. This recommendation puts forward a two-phase programme, where the first phase focuses on building a culture of safety and resilience by using existing platforms and materials to empower communities with information and tools to reduce risk and vulnerability; and the second puts forward the consideration of a Vulnerability Risk Assessment for all informal settlements which will generate meaningful data that can dovetail with assessment and categorisation processes.</p>				
<b>How?</b>	<b>Quick Win</b>	<p><b>Phase 1: Building a culture of safety and resilience through:</b></p> <ul style="list-style-type: none"> <li>• <b>Developing Programmes to raise awareness</b></li> <li>• <b>Including Disaster Risk Reduction in formal/informal education</b></li> <li>• <b>Enhancing the understanding, dissemination, and use of Disaster Risk Reduction information</b></li> </ul>			
<p>The general population would need basic knowledge of how to recognize the early warning signals of a variety of hazards, how to protect themselves, where to go and who and how to help. The Disaster Management Act (No 57, 2002) provides for the training of volunteers from within communities to assist with disaster response and risk reduction.</p> <ul style="list-style-type: none"> <li>• Identifying well-established community leaders (preferably part of existing informal settlement forums where applicable) who know and understand the strengths and vulnerabilities of the community who could respond to early warning signals, mobilise and co-ordinate resources and provide a communications channel with the higher levels of disaster risk management.</li> <li>• Establish programmes to assess risks in vulnerable communities, and train “Community Risk Monitors” who will provide eyes and ears for risk for potential hazards (focussing on floods, fire, health and the environment) and is trained to increase community resilience.</li> </ul>					
<b>Who?</b>	<b>Responsible</b>	<b>Accountable</b>	<b>Support</b>	<b>Consulted</b>	<b>Informed</b>
	PDMC	PDMC	ISSP Unit, WCDHS, WCG, District Disaster Managers, Department of Education	Local Municipalities, NGOs, Church groups, Communities, Schools, Day-care, Creche’s	Communities

	<b>Risk and Vulnerability Reduction in informal Settlements</b>				
<b>How?</b>	Medium-Term Critical	<b>Phase 2: Disaster Risk and Vulnerability Assessment for Informal Settlements</b>			
<p>In order to mitigate risk and build resilience, it is critical to understand the risk profile of a community. It is important to note that a risk profile is dynamic in nature and should, specifically in informal settlements, be updated at least biennially. Analysing risk should be a twofold process:</p> <ul style="list-style-type: none"> <li>• A scientific disaster risk assessment analysing the potential hazards (hazard identification, frequency, and severity), vulnerabilities (economical, societal, environmental, technological) and coping capacity of the community and hazard owners/responsible entity. This process results in prioritised risk and should identify the exposure, sensitivity, and spatial extent of each hazard.</li> <li>• A community-based assessment to ground-truth the findings, create awareness and establish potential “fit for purpose” risk reduction measures.</li> </ul> <p>This is reliant on up-to-date geo-spatial information pertaining to informal settlement locations and other base information.</p>					
<b>Who?</b>	<b>Responsible</b>	<b>Accountable</b>	<b>Support</b>	<b>Consulted</b>	<b>Informed</b>
	DDMC supported by the PDMC and Private Sector	DDMC	ISSP Unit, WCDHS, WCG, PDMC	Local Municipalities, Communities	NDMC

## 16.3 Capacity Building: Knowledge Products and Knowledge Dissemination

---

Strengthening the practice of informal settlement upgrading is supported by a well-equipped and capacitated community of practice. As discussed in the introduction to the recommendations, this refers both to the need for the availability of stakeholders with the requisite knowledge, skills and expertise to be able to address the complexity of the of ISU; and the organisation to have the necessary staff compliment to be able to fulfil its service delivery mandate. Section **Error! Reference source not found.** - **Error! Reference source not found.** relates to some of the key materials that can be used to support the development of the body of knowledge available for practitioners to use in their upgrading practice. This is supported by other recommendations such as the **Error! Reference source not found.**, the **Error! Reference source not found.**, and the **Error! Reference source not found.**.

This section of the recommendations places focus on knowledge dissemination, through the proposal of an enhanced ISSP Webpage, building on the existing webpage to create a more complete repository of information able to showcase the work undertaken by the WCG and other stakeholders. The main feature of this section is the proposed update to the “Towards Incremental Informal Settlement Upgrading: Supporting municipalities in identifying contextually appropriate options” (Design and Tenure Guideline).

Updates should consider contextual changes such as the introduction of the ISUPG, as well as shifts emanating as a consequence of the COVID-19 pandemic. Moreover, the update should be seen as an opportunity to reflect on and to document key lessons learnt from the implementation of the ISSP.


The recommendations also focus on ensuring that the modules of the updated document provide sufficient guidance to municipalities on the compliance requirements for the ISUPG. The recommendations to Redevelop the Community-based Participatory Planning section into a module and to update the content and incorporate guidance on incremental social compacting processes, directly relates to the **ISUPG output of “number of social compacts or agreements concluded with communities and/or community resource organisations outlining their role in the upgrading process.”**

Recommendations to create the Tenure Security Module to include lessons from practice in incremental tenure solutions also links directly to the ISUPG output of **“Number of households provided with secure tenure.”**


**“Number of households benefited from interim services”** is also an output of the ISUGP, and thus the recommendation to enhance the understanding of the UISP Funding Application Process and to Redevelop the Basic Services Section to an incremental basic service options and technologies module and include clear guidance on service provision options across settlement categories; and approaches to operation and maintenance of services through a , will serve to better equip municipalities with the implementation of the provision of basic services and support UISP implementation.

Municipalities play a critical role in supporting the province in meeting the ISUPG requirements. As such, these knowledge enhancement products and capacity building materials will be of great value if produced in a pragmatic and user-friendly manner.

**16.3.1 Enhance existing ISSP webpage and use the launch as an opportunity to create awareness regarding the ISSP**

	<p><b>Enhance existing ISSP webpage and use the launch as an opportunity to create awareness regarding the ISSP</b></p>										
<p><b>What?</b></p>	<p><b>Overview:</b>            During the evaluation of the ISSP, it was found that many officials were not aware of the full suite of materials available to support their practice of informal settlement upgrading. It is therefore proposed that the <b>ISSP webpage be updated and relaunched, with additional relevant materials</b>. It is important that if such an initiative is to be put in place, the necessary planning is undertaken to ensure the <b>on-going updating and maintenance of such a webpage</b>. This will form a <b>rich repository of information available in the sector, and also showcase the work and progress the WCG has made with ISU to the benefit of the province and municipalities</b>.</p>										
<p><b>How?</b></p>	<p>Quick Win</p>	<p>16.3.1.1 Update to the ISSP Webpage</p>									
<p>1. This <b>webpage materials</b> should include (amongst others) the following:</p> <ul style="list-style-type: none"> <li>• All ISSP documents such as the ISSP Design and Tenure Guidelines, the current Implementation Plan as well as the prioritisation tool (some are already available on the webpage)</li> <li>• The DEADP circulars including the NEMA information</li> <li>• All relevant information regarding services standards (e.g., NDHS suite of Generic Specification GFHS 1-10)</li> <li>• All UISP funding application documentation</li> <li>• Research and practice materials related to settlements located on privately owned land</li> <li>• Links into documentation such as the NUSP 2021 Webinar Series, and other data sources and materials from the National Department of Human Settlements</li> <li>• Other</li> </ul> <p>2. <b>Governance documentation</b> should be developed including setting out:</p> <ul style="list-style-type: none"> <li>• Responsible department for collating content</li> <li>• Maintenance and upkeep of webpage</li> <li>• Ensuring that the content is up to date; and</li> <li>• Clear guidance on who may have access to the upload portal to support the quality assurance of the data being shared</li> <li>• Email updates might also be considered when new materials are uploaded</li> </ul>											
<p><b>Who?</b></p>	<p><b>Responsible</b></p>	<p><b>Accountable</b></p>	<p><b>Support</b></p>	<p><b>Consulted</b></p>	<p><b>Informed</b></p>						
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%;"></td> <td style="width: 15%;">ISSP Unit</td> <td style="width: 15%;">WCDHS Senior Management</td> <td style="width: 15%;">WCDHS Management Support WCG Officials</td> <td style="width: 15%;">Local Municipalities, NDHS (NUSP), NT (CSP)</td> <td style="width: 15%;">Public</td> </tr> </table>							ISSP Unit	WCDHS Senior Management	WCDHS Management Support WCG Officials	Local Municipalities, NDHS (NUSP), NT (CSP)	Public
	ISSP Unit	WCDHS Senior Management	WCDHS Management Support WCG Officials	Local Municipalities, NDHS (NUSP), NT (CSP)	Public						

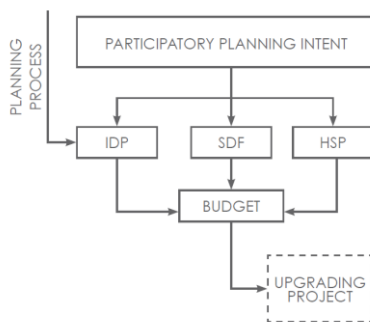
### 16.3.2 Improve the understanding of the UISP Funding Application Process

	<b>Improve the understanding of the UISP Funding Application Process through an easy-to-understand booklet and a Webinar</b>	
	<p><b>Overview:</b></p> <p>The findings forming part of the evaluation of the ISSP indicated that stakeholders did not fully understand the UISP funding application process, particular in light of changes at both the national and provincial level. These include the introduction of the Informal Settlement Upgrading Grant at the national level, and the shortened application process introduced by the WCG. As such, it is proposed that capacity around the ISUPG, UISP and its funding quanta, as well as the ISSP and its funding be clearly and transparently communicated, and that there be a dedicated webinar for provincial officials focused on the funding application process and funding opportunities for ISU. This will be seen as a catalytic step to ensuring that this knowledge can then be passed from provincial officials to the local level, further enabling the local municipalities to strengthen the practice of upgrading.</p> <p>In this process, it will be important to develop a clear and comprehensive understanding of the ISUPG and the HSDG in particular, focused on level of increased flexibility associated with the ISUPG. In addition, there should also be emphasis placed on the planning and budgeting cycle at the municipal level.</p>	
<b>How?</b>	<b>Immediate Priority / Critical</b>	<b>16.3.2.1 Phase 1: ISU Funding Booklet / Slide Deck to explain and explore the WC ISU funding environment in the context of national policies and grants</b>



**Improve the understanding of the UISP Funding Application Process through an easy-to-understand booklet and a Webinar**

3. In order to achieve the requisite level of understanding of the UISP Funding Application Process, it is recommended that a **short presentation slide deck or booklet** be prepared which answers the following questions<sup>5</sup>:
- Introduction to municipal finance mechanisms including the overall IDP Process (and HSP contained therein), the development of a municipal multi-year pipeline, budget provisions, and funding applications. (Recommend a comprehensive process and related decision tree being developed.)



- What is the UISP and how is it funded? This can also be linked to the series of NUSP webinars which are open to the public.
- What is the ISSP and how is it funded?
- What is the relationship between the UISP and ISSP?
- How can the ISSP be used to support UISP applications? (**See also Error! Reference source not found. Error! Reference source not found.**)
- What supplementary funding options and grants are used for ISU?
- What is the Western Cape’s Informal Settlement Prioritisation Process? (Here the tool should be re-introduced.)
- How does the funding application process work? (Recommend a comprehensive decision tree being developed.)
- Consider the inclusion of a frequently asked questions section as well.

<sup>5</sup> The development of the Guideline is not part of the E





**Improve the understanding of the UISP Funding Application Process through an easy-to-understand booklet and a Webinar**


- Specifically, this document should provide definitions for various beneficitation terminology used in informal settlement upgrading processes, for example:
  - Emergency Basic Services
  - Shared Interim Basic Services
  - Permanent Services
  - Access to basic services (ABS)
  - Temporary basic services
  - Housing Consolidation
  - The continuum and interrelationships between these (inclusive of applicable funding pathways).
- This should form the basis of the recommended Webinar and should also be made available on the ISSP Webpage as an important reference material product.

	<b>Responsible</b>	<b>Accountable</b>	<b>Support</b>	<b>Consulted</b>	<b>Informed</b>
<b>Who?</b>	ISSP Unit	WCDHS Senior Management	WCDHS Management Support	Local Municipalities, NDHS (NUSP), NT (CSP)	Public Councillors


<b>How?</b>	<b>Immediate Priority / Critical</b>	<b>16.3.2.2 ISU Funding WCDHS Webinar hosted by the ISSP Unit to encourage internal dialogue and knowledge sharing amongst provincial officials</b>			
-------------	--------------------------------------	---	--	--	--


4. The first webinar on this topic should be internal to the WCDHS to ensure that it creates a platform for DHS officials to freely share their experiences, concerns, and questions.
5. The Webinar should include the topics above, and also have a dedicated session to gather ideas about best practice and areas of improvement and innovation. Such a process will also be important in preparing a consolidated list of questions regarding the flexibility of the ISUPG funding (as regards to what can be funded).
  - It is expected that this discussion will yield a list of topics that might warrant further discussion, investigation, and consideration. The WCDHS officials should therefore be prepared to take this discussion forward into additional webinars or further discussions with the National Department of Human Settlements.


	<b>Responsible</b>	<b>Accountable</b>	<b>Support</b>	<b>Consulted</b>	<b>Informed</b>
<b>Who?</b>	ISSP Unit	WCDHS Senior Management	WCDHS Management Support. WCDHS Planning Directorate, WCDHS Implementation Directorate	NDHS	WCDHS officials


	<b>Improve the understanding of the UISP Funding Application Process through an easy-to-understand booklet and a Webinar</b>				
<b>How?</b>	<b>Immediate Priority / Critical</b>	<b>16.3.2.3 WC ISU funding webinar for local municipalities to improve the understanding of the funding options for informal settlement upgrading</b>			
<p>6. A webinar targeted at local municipalities is seen as the next step. This will draw on lessons and discussions emerging from the internal WCDHS Webinar.</p> <p>7. This Webinar will need to provide some of the context prepared for the ISSP introductory webinar, contextualising informal settlement upgrading in the context of the Upgrading of Informal Settlements Programme (UISP) and the Informal Settlements Support Programme (ISSP) itself. Then, the webinar should focus on the way in which funding can be obtained for different components of the incremental ISU process.</p>					
<b>Who?</b>	<b>Responsible</b>	<b>Accountable</b>	<b>Support</b>	<b>Consulted</b>	<b>Informed</b>
	ISSSP Unit	WCDHS Senior Management	WCDHS Management Support	Local Municipalities, NDHS (NUSP), NT (CSP)	Public Councillors

16.3.3 Update the “Towards Incremental Informal Settlement Upgrading: Supporting municipalities in identifying contextually appropriate options” document with various modules

	<p><b>Update the “Towards Incremental Informal Settlement Upgrading: Supporting municipalities in identifying contextually appropriate options” document with various modules</b></p>
<p><b>What?</b></p>	<p><b>Overview</b></p> <p>The document entitled “Towards Incremental informal settlement upgrading: Supporting municipalities in identifying contextually appropriate options”, is aligned with the ISSF and other project outputs and focuses on community-based planning, design, tenure, services, and housing consolidation as core elements of informal settlement upgrading.</p> <p>This document is often referred to as the Informal Settlements Support Plan and/ or the Design and Tenure Guideline. Prepared in 2016, it has acted as a useful tool to support municipalities.</p> <p>The current guideline focuses on the following “informal settlement upgrading elements”:</p> <ul style="list-style-type: none"> <li>• Community Based Planning</li> <li>• Tenure Options</li> <li>• Basic Services Options</li> <li>• Community Facilities</li> <li>• Housing Consolidation</li> </ul> <p>The overall proposal included in this recommendation is to redevelop and update the sections of each of these elements, in a modular way.</p> <p>The updated document is proposed to focus on the following:</p> <ul style="list-style-type: none"> <li>• Tenure Security Module with easy to understand and user-friendly guidance on incremental beneficiation related tenure solutions based on lessons from practice</li> <li>• Community-based Participatory Planning Module incorporating guidance on incremental social compacting processes</li> <li>• Housing Consolidation Module</li> <li>• incremental basic service options and technologies module - clear guidance on service provision options across settlement categories; and approaches to operation and maintenance of services through a collaboration with municipalities and community members</li> <li>• Guidance on urban management, containment strategies and densification</li> <li>• <i>Community facilities – this section must be updated and include incorporation of livelihood activities such as community-led facilities including food gardens which can also in preventing further land encroachment</i></li> </ul> <p>Given the dynamic environment of ISU, including shifts in contextual factors, such as the funding environment, the realities of ISU in the COVID-19 pandemic and the overall changes, developments, and innovations with ISU over the last five years, it is appropriate to update this document.</p> <p><b>This document will focus on the documenting the overall lessons and experience of the implementation of the ISSP to date, offering and important opportunity for all of these important insights to be shared with other stakeholders in the sector.</b></p>

	<b>Update the “Towards Incremental Informal Settlement Upgrading: Supporting municipalities in identifying contextually appropriate options” document with various modules</b>	
<b>How?</b>	<b>Short-term / critical</b>	<b>16.3.3.1 Create a Tenure Security Module and create easy to understand and user-friendly guidance on incremental beneficiation related tenure solutions, based on lessons from practice</b>
<p><b>Overview:</b></p> <p>Security of tenure options for informal settlements are understood differently across the municipalities, leading to various levels of application of tenure security options. The current Informal Settlement Support Plan – Design and Tenure Guide is not sufficiently utilised and is considered outdated given the tenure innovations that have emerged since the compilation of the document. Security of Tenure is also closely linked to the level of beneficiation afforded to IS residents. It is therefore recommended that a new Security of Tenure Guideline with options for tenure security solutions be considered.</p> <p>Furthermore, the 2019 Policy Guideline indicated that “The ISSP does not examine the costs and risks that are involved in setting up an incremental tenure approach and does not consider how the current system can be reformed to better cater for low-income households. These gaps need to be explored before more guidance can be given.” This proposed Security of Tenure Guideline should be used as an opportunity to answer some of these questions.</p> <p>In addition, the relationship between tenure and immigrant status also requires further exploration leading to guidance that can be shared with local municipalities.</p> <p>It is evident from the various interviews conducted (Provincial., Municipal. and informal settlement communities), that there are significant challenges with regard to immigrants, resident in informal settlements undergoing incremental upgrading, to be considered and factored into the planning for incremental ISU interventions and <b>that there is perceived to be a lack of a consistent strategy and/or an appropriate Standardised Operational Procedure (which also complies to the applicable legislative prescripts), to be followed.</b></p>		


	<b>Update the “Towards Incremental Informal Settlement Upgrading: Supporting municipalities in identifying contextually appropriate options” document with various modules</b>	
<b>How?</b>	<b>Short-term / critical</b>	<b>16.3.3.1 Create a Tenure Security Module and create easy to understand and user-friendly guidance on incremental beneficiation related tenure solutions, based on lessons from practice</b>
<b>Detail of the recommendation (proposed tasks / steps):</b>		
<p>8. <b>Survey of tenure security practices</b> in municipalities (work undertaken as part of the <b>Case Studies can be used as the first step to formulating a questionnaire</b>).</p> <ul style="list-style-type: none"> <li>• <b>Investigation of tenure security options</b> applied in various scenarios linked to settlement categories and development pathways including a deepened understanding of incremental tenure.</li> <li>• <b>Compilation of booklet or guideline</b> documenting various development pathways and tenure security strategies and solutions applied.</li> <li>• <b>Update of the decision tree</b> provided in the current Guideline to reflect the scenarios above and provide additional detail.</li> <li>• Linkage to Memoranda of Understanding (<b>‘Social Compacts’</b>) in tenure arrangement guidelines should also be made explicit, and similar MoU’s should address tenure security arrangements adopted for specific settlements. therefore, the document should offer guidance on how this can be incorporated.</li> <li>• The proposed Security of Tenure Guideline should therefore also address <b>tenure options / considerations for immigrants</b> (documented and undocumented). Additional considerations are described below.</li> </ul> <p><b>Security of Tenure rights (inclusive of Informal Occupation Rights) and beneficiation opportunities for immigrants</b> are closely linked to their respective immigration statuses as determined and documented on a case-by-case basis by the Department of Home Affairs and as prescribed in the Housing Code. In terms of the Housing Code the local municipality as the ‘developer’ in the ISU interventions is thus placed at the forefront to initiate, facilitate, plan, and manage the necessary activities to give effect to the appropriate incorporation of immigrants into its ISU interventions or for that matter/implication, where necessary, the exclusion of certain resident immigrants<sup>6</sup>. <i>The Security of Tenure rights and beneficiation opportunities</i> for immigrants are therefore to be upfront and intentionally considered and incorporated during the following initiation, pre-planning, planning and implementation stages of community/area-specific ISU interventions:</p> <ul style="list-style-type: none"> <li>• Community based participatory planning facilitation and commensurate incremental Memoranda of Understanding (social compacting)</li> <li>• Enumeration of all IS resident individuals and households (appropriate geo-tagging surveys and data-base registrations) <ul style="list-style-type: none"> <li>▪ It is here that the ‘undocumented immigrants’ avoid being surveyed and registered.</li> </ul> </li> </ul>		

	<b>Update the “Towards Incremental Informal Settlement Upgrading: Supporting municipalities in identifying contextually appropriate options” document with various modules</b>				
<b>How?</b>	<b>Short-term / critical</b>	<b>16.3.3.1 Create a Tenure Security Module and create easy to understand and user-friendly guidance on incremental beneficiation related tenure solutions, based on lessons from practice</b>			
<ul style="list-style-type: none"> <li>• Determination and ‘allocation’ of provisional beneficiation rights (and associated appropriate forms of security of tenure) for all prospective categories of registered beneficiaries: <ul style="list-style-type: none"> <li>▪ Access to temporary emergency shelter and services</li> <li>▪ Access to interim shared basic services</li> <li>▪ Access to Temporary Relocation Area Accommodation and Relocation Assistance</li> <li>▪ This will also have to address temporary facilities for undocumented immigrants that cannot/may not be granted beneficiation in the process</li> <li>▪ Eventual access to serviced-site opportunities subsidisation and</li> <li>▪ Eventual housing consolidation subsidisation</li> </ul> </li> </ul> <p>The proposed Security of Tenure Guideline should there also appropriately provide clear guidance in this regard.</p>					
<b>Who?</b>	<b>Responsible</b>	<b>Accountable</b>	<b>Support</b>	<b>Consulted</b>	<b>Informed</b>
	ISSSP Unit with support from the private sector	WCDHS Senior Management	DEADP, WCDHS, NDHS, Legal Advisors	Local Municipalities, NDHS (NUSP), NT (CSP), Private sector, Cities Alliance, NT	Public
	<b>It is recommended that a consultant be appointed to update this section of the document. It is further recommended that a project reference group be formed for this undertaking that includes the WCDHS, DEADP, NDHS and DHA.</b>				


valuation Scope of Works. High level guidance has however been offered to support the implementation of this proposal. considered


	<b>Updating the “Towards Incremental Informal Settlement Upgrading: Supporting municipalities in identifying contextually appropriate options” document with various modules</b>				
<b>How?</b>	<b>Short-term / critical</b>	<b>16.3.3.2 Redevelop the Community-based Participatory Planning section into a module, update the content and incorporate guidance on incremental social compacting processes <sup>7</sup></b>			
<p><b>Overview:</b></p> <p>The document currently provides high level guidance on community-based planning. The typical processes described should be revisited and updated. It is recommended that these processes be linked to various ISU developmental pathways. It should provide further guidance on typical community-based participatory planning processes already included in the guideline, but also provide guidance on social compacting options particularly given the requirement for social compacts stipulated in the ISUPG.</p> <p>Memoranda of Understanding (social compacts) can be developed in different formats, and it is necessary that this be clearly communicated. The NUSP Social Compacting Webinar is a useful reference material in this regard. The community-based participatory planning section should be enhanced to give further guidance on incorporate guidance on incremental social compacting processes through linking them to where settlements are in the broader participatory planning and upgrading process. In other words, participatory planning such as community participation, mobilisation, settlement mapping, enumeration, and asset mapping should take place incrementally at appropriate times in the development lifecycle. For example, enumeration processes must be undertaken with a specific outcome and output in mind that translates into a material benefit for the community involved, even if there is not a UISP project currently planned. Such a benefit could be the basis of a social compact or incremental tenure process. <b>It is important to note that the “number of social compacts or agreements concluded with communities and/or community resource organisations outlining their role in the upgrading process” is an output of the ISUPG.</b></p> <p><b>Detail of the recommendation (proposed tasks / steps):</b></p> <ol style="list-style-type: none"> <li>1. Drawing from the requirements set out in the ISUPG as well as the experience of the first round of NGO and intermediary support, prepare specific guidance for municipalities on the incremental social compacting process, highlighting the linkages with other areas of the upgrading process, typical information that should be included, and in particular who the typical signatories of the social compact will be.</li> <li>2. The WCG will also need to take a strategic decision about the terminology.</li> <li>3. Update all sections of the guideline – this should also be linked to the scope of services to be offered by service providers including but not limited to the NGOs and intermediaries i.e., include other participatory planning processes including capacity building that can be undertaken by PRTs.</li> </ol>					
<b>Who?</b>	<b>Responsible</b>	<b>Accountable</b>	<b>Support</b>	<b>Consulted</b>	<b>Informed</b>
	ISSP Unit	WCDHS Planning Directorate	Local Municipalities, NDHS	NGOs, Private Sector	Public

<sup>7</sup> Read together **Error! Reference source not found.** since this must be linked to the identification of products / outcome and the SoPs developed.

	<b>Updating the “Towards Incremental Informal Settlement Upgrading: Supporting municipalities in identifying contextually appropriate options” document with various modules</b>				
<b>How?</b>	Critical / Medium-Term	16.3.3.3 Redevelop the housing consolidation section into a module and update the content			
<p><b>Overview:</b></p> <p>The document section should be revisited, reviewed, and redeveloped in line with new and alternative approaches. It should provide an indication of the interrelationship between housing consolidation and development pathways; the appropriate time engage to communities on processes of housing consolidation and funding and the way in which these should be planned for, over the long term.</p> <p><b>Detail of the recommendation (proposed tasks / steps):</b></p> <p>Existing content of this section of the document should be reviewed and document should be reformulated into a module that includes:</p> <ol style="list-style-type: none"> <li>1. An elaborated explanation of housing consolidation processes linked to development pathways</li> <li>2. When and how housing consolidation is linked to beneficiary administration processes (subsidisation that also directly links to security of tenure options).</li> <li>3. Consideration of when housing consolidation and housing typologies capacity is built at the local level, and the development of materials to support this</li> <li>4. How tenure status and the question of documented and undocumented immigrants affect the housing consolidation process.</li> <li>5. The application of PHP and/or other appropriate modalities to fund the housing consolidation phase.</li> </ol>					
<b>Who?</b>	<b>Responsible</b>	<b>Accountable</b>	<b>Support</b>	<b>Consulted</b>	<b>Informed</b>
	WCDHS Planning Directorate	WCDHS Senior Management	DEADP, NDHS, Private Sector	Private Sector, NGOs	Public



	<b>Updating the “Towards Incremental Informal Settlement Upgrading: Supporting municipalities in identifying contextually appropriate options” document with various modules</b>				
<b>How?</b>	<b>Immediate Priority / Critical</b>	<b>16.3.3.4 Redevelop the Basic Services Section to an incremental basic service options and technologies module and include clear guidance on service provision options across settlement categories; and approaches to operation and maintenance of services through a collaboration with municipalities and community members</b>			
<p><b>Overview:</b></p> <p>The provision of engineering services to informal settlements in an incremental manner is an important aspect of securing the preconditions for sustainable livelihoods. During the evaluation, it was found that the provision of basic services to informal settlements is understood differently across various municipalities, there is confusion about terminology and the relationship between settlement categories and conditions and the ability to provide services. This recommendation is closely aligned to the provincial UISP Funding Application Process Recommendation</p> <p><b>Detail of the recommendation (proposed tasks / steps):</b></p> <p>Existing content of this section of the document should be reviewed. Document should be reformulated into a module that includes:</p> <ul style="list-style-type: none"> <li>• An indication of the various servicing options in line with the content of the UISP Funding Application Process webinar including Emergency Basic Services, Interim Basic Services, Shared Interim Basic Services, Permanent Services, the continuum, and interrelationships between these as well as how they are funded</li> <li>• Clear descriptions and definitions for at least the following: <ul style="list-style-type: none"> <li>• Emergency Basic Services</li> <li>• Shared Interim Basic Services</li> <li>• Permanent Services</li> <li>• Access to basic services (ABS)</li> <li>• Temporary basic services</li> </ul> </li> <li>• The relationship between these service provision approaches and options and the settlement category and development pathways</li> <li>• Other key considerations that may emerge from the provincial webinar that will enable further information on lessons from practice</li> <li>• The development of clear guidelines for the <b>operation and maintenance</b> of informal settlement services including the linkage of community champions to municipal champions for these services accompanied with clear lines of communications and regular feedback and inspection protocols.</li> </ul>					
<b>Who?</b>	<b>Responsible</b>	<b>Accountable</b>	<b>Support</b>	<b>Consulted</b>	<b>Informed</b>
	WCDHS Planning Directorate	WCDHS Executive Level	NDHS	Local Communities	

	<b>Updating the “Towards Incremental Informal Settlement Upgrading: Supporting municipalities in identifying contextually appropriate options” document with various modules</b>	
<b>How?</b>	<b>Immediate Priority / Critical</b>	<b>16.3.3.5 Develop a section providing guidance on urban management, containment strategies and densification</b>
<p><b>Overview:</b></p> <p>During the evaluation process it was evident that there was a need to guide municipalities on aspects related to strategic urban management issues and the relationship of these with incremental upgrading processes. Therefore, this recommendation focuses on the addition of another module of the document focused on some of the urban management issues</p> <p><b>Detail of the recommendation (proposed tasks / steps):</b></p> <p>A new module should be developed including:</p> <ol style="list-style-type: none"> <li>1. Guidance on the incorporation of including informal settlements in Spatial Development Frameworks and other municipal documents, noting that “number of informal settlements designated for upgrading in terms of the municipal Spatial Development Framework and Spatial Planning and Land Use Management Act and by-laws enacted in this regard” is an output of the ISUPG.</li> <li>2. An approach that can be followed for the containment and management of sprawl of informal settlements. This will provide high level guidance on decision processes since its application will be case specific.</li> <li>3. Guidance on cross-border cooperation approaches that can be employed in cases where settlements may cross municipal boundaries</li> <li>4. Examples of how management of settlement growth can be championed from within the community, as has been demonstrated in the Witzenberg case study (linked also to the beneficiary register, social compacting and community participation and engagement processes)</li> <li>5. A strategic approach to high density settlements or and densification needs of settlements due to technical land feasibility requirements</li> <li>6. Approaches to environmental and land management and how to deal with specific issues arising from the upgrading processes. This can include information currently contained in provincial releases such as the Preliminary DEA&amp;DP response and guidance: Request for Exemption of Standard Procedures for Sites identified for Informal Settlement Dedensification, through the National Environmental Management Act 1998 (NEMA) and the Memo entitled Proposed Use of Environmental Regulatory Mechanisms to better respond to rapid urbanisation: Upgrading Informal Settlements and Addressing land invasions.</li> <li>7. Creating integrated spatial frameworks that support livelihood strategies in informal settlements, through mixed land use considerations. This should take into account the reality of diversified livelihood strategies reliant on subsistence and small-scale farming.</li> </ol>		




**Updating the “Towards Incremental Informal Settlement Upgrading: Supporting municipalities in identifying contextually appropriate options” document with various modules**

Given the strategic nature of the document, it is not intended that this will provide detailed instructive or be prescriptive. The intention of this module **will be to showcase experience based on the implementation of the ISSP** and other implementation experience that may serve to guide innovative responses by municipalities and other stakeholders.

	<b>Responsible</b>	<b>Accountable</b>	<b>Support</b>	<b>Consulted</b>	<b>Informed</b>
<b>Who?</b>	WCDHS Planning Directorate	WCDHS Executive Level	NDHS	Private Sector, Local Municipalities	Public, Councillors

### 16.3.4 Strategy for responding to the needs of immigrants in the ISU context

	<b>Updating the “Towards Incremental Informal Settlement Upgrading: Supporting municipalities in identifying contextually appropriate options” document with various modules</b>				
<p><b>Summary:</b></p> <p>The UISP is intended as a holistic, inclusive and integrated intervention. However, the matter of foreign nationals, and in particular undocumented foreign nationals remains an issue for which there is no consistent understanding or approach at either the provincial or national level. The UISP policy indicates that the matter of undocumented foreign nationals must be referred to Home Affairs, which offers guidance on the first step to be undertaken. However, little clarity is given on how this matter should be handled by Home Affairs from a human rights and legal perspective, particularly in the context of the UISP which is intended to be inclusive of everyone living in the settlement. Engagements in relation to immigrants are ongoing: e.g. IGR Meetings between municipalities, DLG, Home Affairs and Department of Labour.</p>					
<b>How?</b>	<b>Medium-Term/ Critical</b>	<b>16.3.4.1 Work with the National Department to develop a strategy for foreign nations (documented and undocumented)</b>			
<p>Fasttrack a discussion with National toward the development of a national approach and an interim provincial approach in the short term.</p> <p>The production of a policy response at a national level will be required to follow the full policy production process which will require a long lead time. As such, it is recommended that the province drive an interim provincial strategy in collaboration with the National Department such that this can be built upon and improved in future iterations, whilst at the same time setting in place a baseline document that can be expanded upon for national use. It will also serve to ensure that the provincial approach is aligned to / supported by the National Department.</p>					
<b>Who?</b>	<b>Responsible</b> WCDHS Executive Level	<b>Accountable</b> NDHS	<b>Support</b> NDHS, DHA, IGR, DLG, DoL	<b>Consulted</b> Private Sector, Local Municipalities	<b>Informed</b> Public

## 16.4 Capacity Building: Human Resource Support

---

As noted in the conclusions, ISSP intermediaries have been instrumental to assist with improved trust, communication and information in settlements and municipalities. There is increased NGO capability to undertake the intermediary work the ISSP requires, through increased NGO experience in the undertaking of informal settlements intermediary work and collaborative work with more experienced NGOs. The effort that has gone into the capacitation of NGOs must now be leveraged.


Municipal capacity and capability remain a concern, as levels of sustained engagement by municipalities has been low, with few developing municipal-wide approaches address informal settlements upgrading and only limited time and attention from staff, in relatively small human settlements departments in municipalities.


The private sector skillset remains largely untapped in terms of the actions identified in the original 2016 Implementation Plan. The multi-disciplinary socio-technical skills and experience of the private sector should also be harnessed to provide the support to bolster the capacity and capability of the municipalities. This was reflected in the data collected through this project, whereby many municipalities acknowledged either implicitly or explicitly the in-house gaps in skills and expertise, and the need for easily accessible multi-disciplinary socio-technical support.

In the main, this section deals with the capacity of the WCDHS to have the necessary staff compliment to be able to fulfil its mandate by bringing in external support to fulfil specific tasks that support the WCDHS with ISU functions. Two main proposals are made – firstly the continuation of the ISSP NGO deployment, working toward scaled up informal settlement community participation. However, secondly this must be supported by project and programme development and management and other socio-technical support that can be provided by the private sector.


*It is recommended extensive consultation with the National Department of Human Settlements take place. The NDHS has extensive experience with PRTs and has undertaken informal settlement upgrading including assessment and categorisation and upgrading plans and sustainable livelihoods programme at scale, supporting many municipalities across the country. The NDHS also has a panel of service providers – Community Development Facilitators (CDFs) who provide similar support services to that of the NGOs/Intermediaries in the WCDHS NGO Framework. It would be beneficial to understand the experience of the NDHS in managing PRTs and CDFs active in the same municipality at the same time.*

#### 16.4.1 Continuation and improvement of the NGO/intermediary support and general guidance for cooperative service provider management

	<b>Continuation and improvement of the NGO/intermediary support and general guidance for cooperative service provider management</b>	
<b>What?</b>	<p><b>Overview:</b></p> <p>As noted in the conclusions, ISSP intermediaries have been instrumental in assisting improved trust, communication and information in settlements and municipalities. However, the implementation of the ISSP in the 13 informal settlements can be seen as a sound starting point for a solution that should be packaged in future as part of a scalable solution for informal settlement upgrading. It is therefore proposed that WCG continues to provide intermediary support to municipalities and communities, in tandem with multi-disciplinary support to be provided by other private sector stakeholders such as multi-disciplinary Professional Resource Teams or Implementing Agents (see also 16.4.2 <b>Utilise private sector expertise to support the and enhance private sector capacity</b>); and improvements to the overall process.</p>	
<b>How?</b>	Critical / Short Term	<b>16.4.1.1. General Guidance on the Appointment Process</b>
<p>The NGO and intermediary framework appointment process should distinguish specific skillset requirements in more detail than the previous Terms of Reference such that the NGOs can be categorised in accordance with their core skills. The skillset requirements should be developed as a result of the typical products that are envisioned to be produce and NGOs and intermediaries should be aligned to these. This will aid in ensuring that there isn't a mismatch between the need (as determined through the needs assessment) and the skills of the NGO/intermediary.</p> <p>The process of assigning an NGO/intermediary to a specific department must therefore (1) start with an assessment of the need, (2) followed by the identification of all NGOs within the framework who can provide the package of services required to meet the need (where NGOs are required – in other cases the support of multi-disciplinary professional and technical services may need to be prioritised). Once a sub-group of NGOs/ intermediaries have been identified, they should all be allowed to submit proposals for the work to be undertaken. Importantly, it must also be acknowledged that dependant on the need identified, certain PRTs (if the PRT panel recommendation is accepted) should also be allowed to bid. If this holds, then in both PRT and NGO/Intermediary groups, general competence would already be established. As such, the assessment and selection of the successful bidder should focus on methodological rigour, previous experience working with the municipality in question, experience with the specific needs identified in the brief and cost effectiveness. Methodological rigour should also include the compilation of reporting proposals for how the work will optimally be managed in terms of the tracking of progress, reporting and outputs - the brief must also clearly indicate how governance oversight and quantity assurance in respect of the NGO/intermediary work by the municipality and/or its IA will be ensured within the overarching intervention management framework adopted by the municipality</p>		

	<b>Continuation and improvement of the NGO/intermediary support and general guidance for cooperative service provider management</b>				
<b>How?</b>	<b>Critical / Medium- Term</b>	<b>16.4.1.2 Post-Service Provider Selection</b>			
<p>When the service provider is selected, it is important that there must be a formal introductory meeting with the province, municipal officials and if applicable appointed IA, PRT or PM of the municipality (including the selected ISU champion as per the previous recommendation). During this engagement, the reporting process and accountability requirements must be set out by the Province and contributed to by the municipality for sign-off as an outcome of the introductory meeting. This should include:</p> <ul style="list-style-type: none"> <li>• Appointment of a municipal champion that will be responsible for overseeing all work undertaken by the service provider, sign-off the work as a first approval and also participate in all engagements and particularly community engagements. Backstopping, delegation protocols and continuity of municipal staff should also be discussed in this meeting.</li> <li>• The methodology and programme must be presented by the service provider for comment during the meeting by the municipality.</li> <li>• Date of submission of an inception report which should include a revised approach, methodology and project programme as well as clear approach to institutional arrangements and reporting.</li> </ul>					
<b>How?</b>	<b>Critical / Medium- Term</b>	<b>16.4.1.3 Management of the service providers</b>			
<p>Based on the needs assessment, the needs for the management of service provider must be determined by the province in collaboration with the municipality. This will mean that those three points of accountability must be identified i.e., the accountable person from within the service provider team, the municipal champion and a WCG ISSP Core Team representative. It is recommended that the service provider (PRT or NGO or Intermediary) be managed by the municipality and that a cooperation agreement be reached.</p> <p>Further, it is recommended that the municipality be held accountable through ensuring their role as managing and supporting the Service Provider in accordance with the programme developed by the Service Provider and refined during the introductory meeting mentioned above.</p> <p>In cases where Implementing Agents are already appointed, the municipality must disclose such to the province, and also indicate how the institutional arrangements will best be designed. A very robust set of arrangements must be set in place where projects are already active, and in particular the province and the municipality should reach agreement on the delegation of powers to Implementing Agents already appointed. This will help to ensure that the appropriate level of structure is established, avoid duplication of effort, the creation of inconsistent understandings with the community and importantly reduce the potential for conflict.</p>					
<b>Who?</b>	<b>Responsible</b>	<b>Accountable</b>	<b>Support</b>	<b>Consulted</b>	<b>Informed</b>
	WCDHS Planning Directorate	WCDHS Executive Level	DEADP, WCDHS,	Private sector, Local Municipalities, NDHS (NUSP), NT (CSP). NT, Communities	


#### 16.4.2 Utilise private sector expertise to support the and enhance private sector capacity

	<b>Utilise private sector expertise and enhance private sector capacity</b>				
<b>What?</b>	<p><b>Overview:</b></p> <p>The ISSP has provided significant support to local municipalities through the NGO framework, where NGOs played a role in filling part of the capacity and capabilities in municipalities. However, based on the findings, it is evident that the support needed from municipalities extends well beyond community planning support. Municipalities require capacity for a broader set of socio-technical expertise, including project/program management experts, professional planners, environmental impact practitioners, risk and resilience practitioners and municipal engineering support.</p> <p>The private sector can be leveraged to support both the WCDHS with strategic actions such as those contained in this suite of recommendations, and also provide an avenue for province to provide support to municipalities who cannot make this support available directly via the municipality.</p> <p>This recommendation therefore proposes that the WCG utilise the socio-technical and advisory skills available in the private sector in order to support municipalities, and it therefor recommended that the province offer a Panel of Multi-disciplinary Professional Resource Teams (PRT) which can be used specifically for informal settlement upgrading and human settlements matters.</p>				
<b>How?</b>	<b>Quick Win</b>	<b>16.4.2.1 Appointment of consultants to support the ISSP Unit in the short term with selected actions</b>			
<p>Due to the capacity constraints at the provincial level, to support the scaling of the ISSP the WCDHS can consider the appointment of consultants as and when required to provide advisory support and to develop the knowledge products recommended in this document. Such an appointment should consider the expertise of the consultants with the implementation of informal settlements at a settlement level as well at a strategic level to ensure that pragmatic solutions and strategies are developed, and to ensure that the skillset adds value to the ISSP Unit’s experience. In particular, it is understood that a significant amount of reference material for the knowledge products proposed herein, are already available. However, this needs to be synthesised and collated, whereafter this information can be shared to the benefit of a much wider audience. An experienced and proficient consultant will be well placed to support the province with such an endeavour.</p>					
<b>Who?</b>	<b>Responsible</b>	<b>Accountable</b>	<b>Support</b>	<b>Consulted</b>	<b>Informed</b>
	WCDHS Planning Directorate	WCDHS Executive Level	WCDHS officials	NDHS Municipalities (in terms of specific needs)	



	<b>Utilise private sector expertise and enhance private sector capacity</b>	
<b>How?</b>	<b>Critical / Short-Term</b>	16.4.2.2 Establish a Panel of Professional Resource Teams (PRT)

In order to support municipalities, it is recommended that the province offer a Panel of Multi-disciplinary Professional Resource Teams (PRT) which can be used specifically for informal settlement upgrading and human settlements matters. This recommendation should be read together with 16.1.5 *Develop a provincial-wide strategic medium to long-term upgrading pipeline*

	<p><b>Develop a provincial-wide medium to long-term upgrading pipeline</b></p>
<p><b>What?</b></p>	<p><b>Overview:</b></p> <p>It is recognised that the informal settlement challenge requires a programmatic and long-term approach. Pipeline planning over the medium to long term has been advocated by the National Department of Human Settlements (see also the NUSP Webinar).</p> <p>The strategic pipeline plan is iterative and must be updated as new information becomes available.</p> <p>The steps recommended for the pipeline planning process in the Western Cape is described below, drawing on the guidance provided by the NDHS/NUSP, with the aim of leveraging existing ISSP materials.</p> <p>It is notable that this proposed pipeline plan speaks directly into the ISUPG requirements reflected in the 21/22 DORA.</p> <p><b>Benefits of a strategic pipeline plan</b></p> <p>The benefit of a medium to long term strategic plan is that it creates a very clear strategic orientation for ISU in the province, based on sound baseline data and transparent assumptions linked to these inputs.</p> <p>Such a well-articulated strategic approach can assist to guide strategic decision making and also support the alignment and mainstreaming of ISU with other sectors, as a clear developmental agenda will emerge on a provincial wide scale, which can in turn be translated at the municipal level into municipal spatial plans and other planning documents. This also links into the requirement of SPLUMA and as set out in DORA, for informal settlements to be recognised in the spatial plans of the municipality.</p>

How?	Immediate Priority / Critical	<p><b>16.4.2.3 Development of a Provincial-Wide Strategic Pipeline Plan to develop a medium to long term strategic approach to ISU, aligned to funding approaches.</b></p>
<p>In accordance with the guidance provided by the NDHS, the following steps for the creation of a provincial wide medium to long term strategic pipeline plan are put forward:</p> <p><b>Phase 1: Assembly of base inputs</b></p> <p><b>8. Establishing the provincial baseline demand:</b></p> <p>During this stage, inputs include:</p> <ul style="list-style-type: none"> <li>• Informal settlement data base</li> </ul> <p>In the case of the WC, the prioritisation tool contains the data required for the steps above.</p> <p><b>9. Establishing the Categorisation and development pathways and associated incremental upgrading steps</b></p> <p>Whilst it is important to understand the settlement category in terms of the 4 categories widely used (Category A, B1, B2 and C), it must be understood that development pathways for upgrading of settlements in particular categories require additional granularity. As such, it is recommended by the NDHS that development pathways and incremental upgrading steps be developed for each category, with a particular focus with those settlements with split categorisation; and B1 settlements in terms of characteristics such as density amongst others. This must be read together with 16.2.6 Strengthen baseline assessment and categorisation in support of informed ISU strategy and pipeline development (highlighting importance of integration of cross-sector information, geo-technical screening, and the need for differentiation within categories linked to developmental pathways and the need for land acquisition – whereby this recommendation will avail the necessary granularity in future assessment and categorisation processes, which can then be rolled up at a strategic level.</p> <p>10. Once the number of settlements, their categories, development pathways and incremental upgrading steps have been identified, it is then necessary to <b>establish the duration and cost of each of the steps associated with each of the incremental upgrading steps.</b></p> <p>11. Input 4 of the guidance provided by the NDHS NUSP is the contextual analysis of the settlement – ‘assigning a spatial advantage classification to each of the settlements within the data base’.</p> <p>12. In the context of the WC, these considerations are largely taken into account in the prioritisation matrix.</p>		

13. The **determination of resource availability** is the next input required. AS per the pipeline planning webinar notes, this includes determining project funding availability for the upgrading actions over the medium to longer term- how much grant funding is available in respect of the Informal Settlement Upgrading Partnership Grant (Provinces) (ISUPG), the Municipal Infrastructure Grant (MIG) and the Integrated National Electrification Programme (INEP). This should be shown as a table reflecting the three-year Medium-Term Expenditure Framework (MTEF) period.

The analysis should enable you to take a position on:

- Any cross contributions – between Provinces and Metros.
- Whether HSDG funding will play a role in ISU – e.g., Emergency Housing Programme for relocations

**Phase 2: Developing a model to test the implications of these in terms of the amount of time and funding** it will take to upgrade the informal settlements in the data base. On the basis of this modelling, a final recommendation can be made as to which groups of settlements should be responded to over the time frame and how much funding this will require.

14. **Modelling the options: Noting** that the modelling can be undertaken in excel using pivot tables NDHS describes the inputs and outputs as follows (NDHS, 2021):

1) Inputs are:

- The number of structures per settlement
- The number of settlements per category or type of settlement
- The cost of services for each category of settlement

2) Outputs are:

- The estimated cost of upgrading all of the informal settlements by category of settlement
- The total cost of upgrading all of the informal settlements

3) This is then compared to the resources available.

The base model as described above is then used to assess different priorities and strategic options.

**Phase 3: Buy-in and support for the priorities and strategic options identified through the modelling**

15. The long-term strategic orientation toward ISU must be supported in order for it to be implemented successfully. Once the requisite buy in is achieved, the “agreed strategic approach and sequence should form part of the Provincial Informal Settlement Upgrading Strategy as required by DORA 21/22 which sets out the city’s/provinces approach to informal settlement upgrading, and how settlements are categorised and will be prioritised for upgrading.

The NDHS NUSP Pipeline Planning materials should be read together for a more comprehensive account of this recommendation.

	<b>Responsible</b>	<b>Accountable</b>	<b>Support</b>	<b>Consulted</b>	<b>Informed</b>
<b>Who?</b>	WCDHS Planning Directorate	WCDHS Executive Level	NDHS / NUSP	NDHS/ NUSP, Local Municipalities	Local Municipalities, NDHS/NUSP



**Utilise private sector expertise and enhance private sector capacity**


Improve alignment between ISSP outputs, WCG project approval application process and UISP project tranches, and enhance quality assurance and control as well as ***Error! Reference source not found. Error! Reference source not found..***

The panel tender should provide clear and robust requirements to determine the skills and experience of professional practitioners. It is important that the bid evaluation criteria focus on qualifications and registrations as well as experience. Proof of extensive experience with incremental informal settlement upgrading and the development of the typical products listed above must be demonstrated.

It is further recommended that once PRTs are appointed on the panel, project specific opportunities should require the submission of both a methodology and price by more than one of the PRTs to ensure that it is a fair and competitive process based on competence of the team for the specific task at hand.

	<b>Responsible</b>	<b>Accountable</b>	<b>Support</b>	<b>Consulted</b>	<b>Informed</b>
<b>Who?</b>	WCDHS Planning Directorate	WCDHS Executive Level	WCDHS officials	NDHS, Municipalities	

### 16.4.3 Community Skills Development Programme

	<b>Community Skills Development Programme</b>																
<b>What?</b>	<b>Overview:</b> The evaluation illuminated the importance of building communities' capacities for ISU projects and processes. The evaluation revealed how poor community mobilisation and engagement to great extents contributed to poor progress on ISU projects. The WCDHS could thus introduce and streamline an array of community skills development programmes which may unlock communities' active and robust participation in upgrading efforts. These programmes could be focused on social facilitation, general mobilisation, information sharing, enumeration, and training in mapping, as well as livelihood enhancement strategies.																
<b>How?</b>	Non-critical / Medium Term	<b>16.4.3.1 Developing a nuanced Community Skills Development Programme and aligning it with existing Provincial Community Development Programmes</b>															
<ol style="list-style-type: none"> <li>1. In partnership with the DSD and the DEDAT, the WCDHS should develop a continuous community skills development programme which encapsules essential components of active participation and centred around building capacities in facilitating and meaningfully engaging with ISU processes.</li> <li>2. The skills development programme should be streamlined into existing Provincial livelihood strategies and development programmes to boost synergies from an ISU training perspective and from a socio-economic progression perspective.</li> <li>3. Other relevant Provincial Units, such as the Corporate Communications function should also play an active supporting role to the WCDHS in ensuring public awareness, optimal uptake, and the continuation of the development programme.</li> </ol>																	
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 15%;"></th> <th style="width: 15%;">Responsible</th> <th style="width: 15%;">Accountable</th> <th style="width: 15%;">Support</th> <th style="width: 15%;">Consulted</th> <th style="width: 15%;">Informed</th> </tr> </thead> <tbody> <tr> <td data-bbox="188 1473 363 1733" rowspan="2" style="vertical-align: middle;"><b>Who?</b></td> <td data-bbox="363 1473 596 1733">DEDAT DSD</td> <td data-bbox="596 1473 794 1733">WCG Executive Level</td> <td data-bbox="794 1473 1024 1733">WCDHS Planning Directorate WCDHS Implementation Directorate ISSP Unit Corporate Communication Provincial Function</td> <td data-bbox="1024 1473 1206 1733">DEDAT DSD</td> <td data-bbox="1206 1473 1398 1733">Local Municipalities Local Communities</td> </tr> </tbody> </table>							Responsible	Accountable	Support	Consulted	Informed	<b>Who?</b>	DEDAT DSD	WCG Executive Level	WCDHS Planning Directorate WCDHS Implementation Directorate ISSP Unit Corporate Communication Provincial Function	DEDAT DSD	Local Municipalities Local Communities
	Responsible	Accountable	Support	Consulted	Informed												
<b>Who?</b>	DEDAT DSD	WCG Executive Level	WCDHS Planning Directorate WCDHS Implementation Directorate ISSP Unit Corporate Communication Provincial Function	DEDAT DSD	Local Municipalities Local Communities												
	DEDAT DSD	WCG Executive Level	WCDHS Planning Directorate WCDHS Implementation Directorate ISSP Unit Corporate Communication Provincial Function	DEDAT DSD	Local Municipalities Local Communities												



AIVIA (Pty) Ltd

A-aishah Modack

[Aaishah.Modack@aivia.co.za](mailto:Aaishah.Modack@aivia.co.za)

079 413 5182

# Reference List

---

- Abby Hellem: “2004-2007 North-eastern Integrated Urban Project and the Medellín Miracle: An Urban Legend or a Model for Urban Renewal?” University of Iowa; 2018
- Alejandro Echeverri Restrepo Francesco M. Orsini: Medellín: Environment, Urbanism, and Society (pages 132-156)”: “Informality and Social Urbanism in Medellín”
- Anita Dianingrum, Muhammad Faqih, Dewi Septanti: Case Study: Development of Kampung Improvement Program in Surabaya, Indonesia: IJES; 10-06-2017
- Ashok Das, Robin King: Surabaya: The Legacy of Participatory Upgrading of Informal Settlements: World Resources Report Case Study; 2019
- Asyrafinafilah Hasanawi, Hasanawi Masturi, Adib Hasanawi: Improvement of Community Governance to Support Slum Upgrading Programs in Indonesia: The Indonesian Journal of Development Planning Volume III No. 3 – December 2019
- Camilo Andres Calderon Arcila: “Learning from Slum Upgrading and Participation: A case study of participatory slum upgrading in the emergence of new governance in the city of Medellín–Colombia”: KTH, Department of Urban Planning and Environment; 2008
- Cape Agulhas Municipal Integrated Development Framework (2017 – 2022).
- Cape Agulhas Municipality Medium Term Revenue and Expenditure Framework (2017/2018 – 2019/2020)
- Cape Agulhas Municipality Medium Term Revenue and Expenditure Framework (2019/2020 – 2021/2022), March 2019 Review
- Cape Agulhas Municipality Medium Term Revenue and Expenditure Framework (2018/2019 – 2020/2021), May 2019 Review
- Cape Agulhas Municipality Medium Term Revenue and Expenditure Framework (2020/2021 – 2022/2023), May 2020 Review
- Cape Agulhas Municipality Spatial Development Framework (2017 – 2022), Final Report, July 2017.
- Cape Agulhas Municipality. 2021. Cape Agulhas Municipal Officials Interview ISSP Implementation Evaluation, Key stakeholder Interview [online]. AIVIA Pty (Ltd).
- Carolina BLANCO and Hidetsugu KOBAYASHI: “Urban transformation in slum districts through public space generation and cable transportation at North-eastern Area: Medellín, Colombia”: The Journal of International Social Research Volume 2; 8 Summer 2009
- Claudio Acioly Jr: The Rationale of Informal Settlements Regularisation Projects: from settlement upgrading to integration approaches: Institute for Housing and Urban Development Studies; The Netherlands: Introductory Lecture Notes
- CORC. 2021. NGO Interview ISSP Implementation Evaluation, Key stakeholder Interview. AIVIA Pty (Ltd).



DAG. 2021. DAG NGO Interview ISSP Implementation Evaluation Key Stakeholder Interview. AIVIA Pty (Ltd).

DAG. 2021. DAG NGO Knysna Municipality Interview ISSP Implementation Evaluation Key Stakeholder Interview. AIVIA Pty (Ltd).

DAG. 2021. NGO Interview ISSP Implementation Evaluation, Key stakeholder Interview. AIVIA Pty (Ltd).

Danny Andres Osorio Gaviria: “Moravia: the story of a slum on a hill of garbage”: Project Case; 2014

Danny Andrés Osorio Gaviria: “The North-eastern urban integration project [PUI]: Medellín, Colombia - Urban Development Agency [EDU]”; 2015

Department of Planning, Monitoring and Evaluation. (2014). Evaluation Guideline No 2.2.12: Guideline on Implementation Evaluation.

Division of Revenue Act 2 of 2013. Republic of South Africa. Available at:[https://www.gov.za/sites/default/files/gcis\\_document/201409/36555act2of2013.pdf](https://www.gov.za/sites/default/files/gcis_document/201409/36555act2of2013.pdf) [30/09/2021]

Division of Revenue Bill 5 of 2019. Department of Finance. Republic of South Africa.

ESID Briefing Paper No. 13: Lessons from India’s Basic Services for the Urban Poor programme: December 2015

ESST. 2021. NGO Interview ISSP Implementation Evaluation, Key stakeholder Interview. AIVIA Pty (Ltd).

Foster, C. & Nasroo, M. 2021. NUSP Webinar Series: Implementing In-situ Upgrading of Informal Settlements. Webinar 2: Incremental Upgrading of Engineering Services. National Department of Human Settlements. Available at: <https://www.youtube.com/watch?v=bTe8UvzX7OU> [Accessed 30/09/2021]

Frasier Engineers (2021) Implementation Evaluation, Key Stakeholder Interview. AIVIA Pty (Ltd).

GAPP Architects and Urban Designers for George Municipality. 2019. Spatial Development Framework 2019. George, Western Cape. Viewed: October 2021. <<https://george.gov.za/george-doc-categories/documents/spacial-development-framework/municipal/>>

George Municipality. 2017. Fourth Generation Integrated Development Plan 2017 – 2022. George, Western Cape. Viewed: October 2021. <<https://george.gov.za/?s=idp>>

George Municipality. 2019. Spatial Development Framework.

George Municipality. 2021. ISSP Implementation Evaluation Key informant Interview. AIVIA Pty (Ltd)

HABITAT-SA. 2021. ISSP Implementation Evaluation, NGO Key stakeholder Interview. AIVIA Pty (Ltd).

Housing Act 107 of 1997. South African National Government. Available at: <http://www.dhs.gov.za/content/housing-act> [30/09/2021]

John J. Betancur: “Approaches to the regularization of informal settlements: The case of primed in Medellín, Colombia”: Global Urban Development Magazine (Volume 3 Issue 1); November 2007

Jota Samper, Catalina Ortiz, Javier Soto: MIT School of Architecture and Planning: “Rethinking Informality Strategies of Urban Space Co-Production, Medellín - Comuna 8”

Karl Fyhr: Participation in Upgrading of Informal Settlements -a case study of the project “City In-situ Rehabilitation Scheme for Urban Poor Staying in Slums in City of Pune under BSUP, JNNURM”:  
Department of Human Geography, Stockholm University: 2012

Knysna Municipality (2021) Annual Report 2019/20.

Knysna Municipality (2017/2018) Annual Report. Volume 1.

Knysna Municipality (2018/2019 ) Annual Report. Volume 1.

Knysna Municipality (2021) ISSP Implementation Evaluation, Key stakeholder Interview. AIVIA Pty (Ltd).

Knysna Municipality. 2015. Integrated Strategic Development Framework and Sustainable Humans Settlements Plan. Final Draft.

Knysna Municipality. 2016/17 Annual Report volume 1.

Knysna Municipality. 2017. Integrated Development Plan 2017 – 2022.

Knysna Municipality. 2020. Municipal Spatial Development Framework, Draft Report (version 4).

Langeberg Informal Settlements Community Representatives. 2021. ISSP Implementation Evaluation, Key stakeholder Interview. Langeberg. AIVIA Pty (Ltd).

Langeberg Municipality. 2015. Langeberg Municipal Spatial Development Framework: Final Spatial Development Framework 2015. Langeberg, Western Cape. Retrieved: December 2021.

<https://www.langeberg.gov.za/langeberg-documents-and-notice/publications/idp/idp-2021-2022/3937-approved-integrated-development-plan-2021-2022/file>

Langeberg Municipality. 2018. Langeberg Integrated Development Plan Review 2018/19. Langeberg, Western Cape. Retrieved: December 2021. <https://www.langeberg.gov.za/langeberg-documents-and-notice/publications/idp/idp-2018-2019/2795-approved-integrated-development-plan-2018-2019/file>

Langeberg Municipality. 2018. Langeberg Municipality New Housing Pipeline Progress Report – Adopted from 2019/20 IDP Annexures. Langeberg, Western Cape. Retrieved: February 2022.

<https://www.langeberg.gov.za/langeberg-documents-and-notice/publications/idp/idp-2019-2020/approved-idp-2019-2020-annexures/community-services/3188-housing-pipeline-2/file>

Langeberg Municipality. 2019. Amended Integrated Development Plan 2019/2020. Langeberg, Western Cape. Retrieved: December 2021. <https://www.langeberg.gov.za/langeberg-documents-and-notice/publications/idp/idp-2019-2020/3171-approved-integrated-development-plan-2019-2020/file>

Langeberg Municipality. 2020. Langeberg Municipality Fourth Generation Integrated Development Plan IDP 2017-2022. Langeberg, Western Cape. Retrieved December 2021.

<https://www.langeberg.gov.za/langeberg-documents-and-notice/publications/idp/idp-2020-2021/3540-integrated-development-plan-2020-2021/file>

Langeberg Municipality. 2021. Integrated Development Plan Review 2021/22. Langeberg, Western Cape. Retrieved: December 2021. <https://www.langeberg.gov.za/langeberg-documents-and-notice/publications/idp/idp-2021-2022/3937-approved-integrated-development-plan-2021-2022/file>

Langeberg Municipality. 2021. ISSP Implementation Evaluation, Key stakeholder Interview. AIVIA Pty (Ltd).

Lissa Barrows, Lingjun Bu, Ellis Calvin, Anne Krassner, Natalie Quinn, Jet Richardson, Gillian Sollenberger, Prof. Clara Irazábal, Nicole Buchholz: "Growth Management in Medellín, Colombia: Develop a more comprehensive and just approach to growth management by bolstering the role of the community in a public-community partnership": GSAPP Urban Planning Studio of Columbia University Graduate School of Architecture, Planning, and Preservation; 2013

Maretha Ayu Kusumawati: The performance of governance towards successful slum upgrading: The case study of Neighbourhood upgrading and shelter sector project in Indonesia: University of Groningen and Institut Teknologi Bandung: Aug 2010

Mossel Bay community representatives. 2021. Mossel Bay community representative Interview ISSP Implementation Evaluation Key Stakeholder Interview. AIVIA Pty (Ltd).

Mossel Bay Municipality. 2017. Fourth Generation Integrated Development Plan 2017 – 2022. Mossel Bay, Western Cape. Viewed: October 2021.

Mossel Bay Municipality. 2018. Spatial Development Framework

Mossel Bay Municipality. 2021. Municipal Officials Interview ISSP Implementation Evaluation Key Stakeholder Interview. AIVIA Pty (Ltd).

Napier informal settlement representatives. 2021. Napier informal settlement representatives interview, ISSP Implementation Evaluation, Key stakeholder Interview. AIVIA Pty (Ltd).

National Department of Human Settlements. 2009. Housing Project Process Guide. A Process Guide for the following National Housing Programmes: Integrated Residential Development Programme; The Upgrading of Informal Settlement Programme & The Rural Subsidy: Communal Land Rights Programme. South African National Government. Available at:

<[http://www.dhs.gov.za/sites/default/files/documents/publications/housing\\_project\\_process\\_guide.pdf](http://www.dhs.gov.za/sites/default/files/documents/publications/housing_project_process_guide.pdf)> [30/09/2021]

National Department of Human Settlements. 2009. *Incremental Interventions: Upgrading Informal Settlements. Part 3 of the National Housing Code*. Volume 4. Republic of South Africa. Available at: <<http://www.dhs.gov.za/content/national-housing-code-2009>> [Accessed 30/09/2021]

National Planning Commission. 2011. National Development Plan 2030: Our Future – make it work. Department: The Presidency of the Republic of South Africa. Available at: <<https://www.gov.za/sites/default/files/Executive%20Summary-NDP%202030%20-%20Our%20future%20-%20make%20it%20work.pdf>> [30/09/2021]

OECD. (2019). Better Criteria for Better Evaluation: Revised Evaluation Criteria Definitions and Principles for Use. OECD

of Railton, Swellendam. "

Paula Lucci, Tanvi Bhatkal, Amina Khan and Tom Berliner: "What works in improving the living conditions of slum dwellers: A review of the evidence across four programmes": Overseas Development Institute (Dimension Paper; Dec 2015

Paula Restrepo Cadavid: "The impacts of slum policies on households' welfare: The case of Medellín (Colombia) and Mumbai (India)": Economics and Finance; Paris Institute of Technology; 2011.

PEP (2021) ISSP Cape Agulhas Municipality Milestone 11 Napier close out report presentation.

PEP. 2021. PEP Interview ISSP Implementation Evaluation, Key stakeholder Interview [online]. AIVIA Pty (Ltd).

Railton Community Representatives. 2021. ISSP Implementation Evaluation, Key stakeholder Interview. Railton, Swellendam. AIVIA Pty (Ltd).

Republic of South Africa. (2009). The National Housing Code Volume 4: Part 3 Upgrading Informal Settlements. South Africa.

Republic of South Africa. (2021). Division of Revenue Bill. South Africa. Retrieved: February 2022. [http://www.treasury.gov.za/legislation/bills/2021/\[B3%20-%202021\]%20\(Division%20of%20Revenue\).pdf](http://www.treasury.gov.za/legislation/bills/2021/[B3%20-%202021]%20(Division%20of%20Revenue).pdf)

Rita Ernawati, Happy Ratna Santosa, Purwanita Setijanti. Facing Urban Vulnerability through Kampung Development, Case Study of Kampung in Surabaya. Indonesia. Humanities and Social Sciences. Vol. 1, No. 1, 2013, pp. 1-6. doi: 10.11648/j.hss.20130101.11

Saldanha Bay Municipality. 2015. Saldanha Bay Municipal Human Settlements Plan. Saldanha Bay, Western Cape, Retrieved: January 2022. [https://sbm.gov.za/wp-content/uploads/Pages/Human\\_Settlement/HSP-Part-2.pdf](https://sbm.gov.za/wp-content/uploads/Pages/Human_Settlement/HSP-Part-2.pdf)

Saldanha Bay Municipality. 2017. 4th Generation Integrated Development Plan 2017–2022 3rd Review. Saldanha Bay, Western Cape. Retrieved: January 2022. [https://www.cogta.gov.za/cgta\\_2016/wp-content/uploads/2020/12/Saldanha-amend\\_4th\\_generation\\_idp\\_21\\_05\\_2020\\_final.pdf](https://www.cogta.gov.za/cgta_2016/wp-content/uploads/2020/12/Saldanha-amend_4th_generation_idp_21_05_2020_final.pdf)

Saldanha Bay Municipality. 2019. Saldanha Bay Municipal Spatial Development Framework. Saldanha Bay, Western Cape. Retrieved: January 2022. <https://sbm.gov.za/wp-content/uploads/Pages/SDF/6.1-Saldanha-Bay-Whole-Mun-SDF-section.pdf>

Saldanha Bay Municipality. 2021. Municipal Interview ISSP Implementation Evaluation, Key stakeholder Interview. AIVIA Pty (Ltd).

Santosa H.R., Faqih, M., Cahyadi, S.: Comprehensive Kampung Improvement Programme to Support Better Settlement and Poverty Reduction: Institut Teknologi Sepuluh Nopember

SAWIC 2021. SAWIC NGO ISSP Implementation Evaluation Key informant Interview. AIVIA Pty (Ltd)

Shirleyana, Scott Hawken, Riza Yosia Sunindijo: City of Kampung: risk and resilience in the urban communities of Surabaya, Indonesia: International Journal of Building Pathology and Adaptation; Sept 2018

Shuji Funo, Naohiko Yamamoto & Johan Silas (2002) Typology of Kampung Houses and Their Transformation Process-- A Study on Urban Tissues of an Indonesian City, Journal of Asian Architecture and Building Engineering, 1:2, 193-200, DOI: 10.3130/jaabe.1.2\_193

Sibanye Community. 2021. Beneficiary Representatives Interview ISSP Implementation Evaluation, Key stakeholder Interview. AIVIA Pty (Ltd).

Smutsville Informal Settlement Forum (2021) ISSP Implementation Evaluation, Key stakeholder Interview. Knsyna Municipality. AIVIA Pty (Ltd).

Society for the Promotion of Area Resource Centres (SPARC): NTAG study of BSUP projects to examine potential for Community Participation: 2012

Spatial Planning and Land Use Management Act 16 of 2013 (SPLUMA). Republic of South Africa. Available at < [https://www.gov.za/sites/default/files/gcis\\_document/201409/367305-8act16of20.pdf](https://www.gov.za/sites/default/files/gcis_document/201409/367305-8act16of20.pdf)> [30/09/2021]

Subhashree Nath: Slum Upgrading Schemes for Better Liveability: Case of Pune, India

Sundar Burra1, Diana Mitlin, Gayatri Menon, Indu Agarwal, Preeti Banarse, Sharmila Gimonkar, Maria Lobo, Sheela Patel, Vinodkumar Rao and Monali Waghmare: Understanding the contribution of the BSUP (JNNURM) to inclusive cities in India: ESID Working Paper No. 97: February 2018

Swartland Municipality. 2021. Municipal Officials Interview ISSP Implementation Evaluation, Key stakeholder Interview. AIVIA Pty (Ltd).

Swartland Municipal Planning By-Law. 2020. Provincial Gazette. Western Cape. Viewed: January 2022 [http://www.swartland.org.za/media/By-laws\\_2020/14-Grondgebruiksbeplanning\\_Land\\_Use\\_Planning.pdf](http://www.swartland.org.za/media/By-laws_2020/14-Grondgebruiksbeplanning_Land_Use_Planning.pdf)

Swartland Municipality. 2017. Swartland Municipality Human Settlement Plan 2017-2022 2020 Revision. Swartland, Western Cape. Viewed: December 2021. [http://www.swartland.org.za/media/docs/2021/Sector\\_plans/FINAL\\_HSP.pdf](http://www.swartland.org.za/media/docs/2021/Sector_plans/FINAL_HSP.pdf)

Swartland Municipality. 2017. Swartland Municipality Integrated Development Plan for 2017-2022. Swartland, Western Cape. Viewed: December 2021. <http://www.swartland.org.za/media/docs/2017/IDP/IDP%20Final%2025%20May%202017.pdf>

Swellendam Municipality. 2017. Fourth Generation Final Integrated Development Plan 2017 – 2022. Swellendam, Western Cape. Viewed: October 2021. <<https://www.swellenmun.co.za/resource-category/integrated-development-plan>>

Swellendam Municipality. 2020. Spatial Development Framework. Swellendam, Western Cape. Viewed: October 2021. <<https://www.swellenmun.co.za/resource-category/spatial-development-framework>>

Swellendam Municipality. 2021. ISSP Implementation Evaluation, Key stakeholder Interview. AIVIA Pty (Ltd).

The Constitution of the Republic of South Africa, 1996.

The World Bank Report No. 14747-IND: Indonesia Impact Evaluation Report Enhancing the Quality of Life in Urban Indonesia: The Legacy of Kampung Improvement Program: 1995

Theewaterskloof Integrated Development Plan, 2017 – 2020. Third IDP Review 2020/21.

Theewaterskloof Local Municipality (2021) Consideration and approval of the final budget 2021/2022 and indicative for the projected two outer years 2022/2023 and 2023/2024.

Theewaterskloof Spatial Development Framework, November 2019

TWK (2019/2020) Draft Annual Report

TWK (2020) Final Budget 2020/2021 to 2022/2023.

TWK. (2021) ISSP Key Stakeholder Interview AIVIA Pty (Ltd).

UNHABITAT: “Building Urban Safety through Slum Upgrading”; 2011

UNHABITAT: “Practical Guide to Designing, Planning and Implementing Citywide Slum Upgrading Programs”; 2014

Veyom Bahl: DPU Working Paper no.143: “Murder Capital to Modern Miracle? - The Progression of Governance in Medellin, Colombia”; May 2012

Virginie Martin-Onraët: “The PUI Project/Beyond ‘he’ and ‘she’ – Medellin; October 22, 2014

VPUU (2020) Milestone 4 Progress Report, Community Stakeholder Engagement, Household Enumeration, GIS Mapping and Participatory Planning

VPUU. 2021. ISSP Implementation Evaluation Key Stakeholder Interview. AIVIA Pty (Ltd).

VPUU. 2021. ISSP Implementation Evaluation, NGO Key stakeholder Interview. AIVIA Pty (Ltd).

Western Cape Government (WCG). 2019. Provincial Strategic Plan 2019 – 2024. Western Cape, South Africa. Available at: <https://www.westerncape.gov.za/search/node/provincial%20strategic%20plan> [30/09/2021]

Western Cape Government. (2016). Close out Report: Rapid appraisal of informal settlements in the Western Cape. Western Cape, South Africa. Retrieved: February 2022.

[https://www.westerncape.gov.za/assets/departments/human-settlements/docs/issp/western\\_cape\\_issp\\_rapid\\_appraisal\\_close\\_out\\_report\\_2016.pdf](https://www.westerncape.gov.za/assets/departments/human-settlements/docs/issp/western_cape_issp_rapid_appraisal_close_out_report_2016.pdf)

Western Cape Government. (2016). Western Cape Informal Settlements Strategic Framework (ISSF): From Precarious Settlements to Dignified Communities. Western Cape, South Africa. Retrieved: February 2022. [https://www.westerncape.gov.za/assets/departments/human-settlements/docs/issp/western\\_cape\\_issp\\_implementation\\_plan\\_2016.pdf](https://www.westerncape.gov.za/assets/departments/human-settlements/docs/issp/western_cape_issp_implementation_plan_2016.pdf)

Western Cape Government. (2016a). Towards Incremental Informal Settlement Upgrading: Supporting municipalities in identifying contextually appropriate options. Western Cape, South Africa. Retrieved: February 2022. [https://www.westerncape.gov.za/assets/departments/human-settlements/docs/issp/western\\_cape\\_issp\\_design\\_and\\_tenure\\_options\\_2016.pdf](https://www.westerncape.gov.za/assets/departments/human-settlements/docs/issp/western_cape_issp_design_and_tenure_options_2016.pdf)

Western Cape Government. (2016b). Western Cape ISSP Prioritisation Model User Guideline. Western Cape, South Africa

Western Cape Government. (2016c). Western Cape Informal Settlement Strategic Framework (ISSF): Implementation Plan 2016-2030. Western Cape, South Africa. Retrieved: February 2022.

[https://www.westerncape.gov.za/assets/departments/human-settlements/docs/issp/western\\_cape\\_issp\\_implementation\\_plan\\_2016.pdf](https://www.westerncape.gov.za/assets/departments/human-settlements/docs/issp/western_cape_issp_implementation_plan_2016.pdf)

Western Cape Government. (2019). Western Cape Informal Settlements Support Plan Policy Guideline, Western Cape, South Africa.

Western Cape Land Use Planning Act 3 of 2014 (LUPA). Republic of South Africa. Available at: <https://www.wcpp.gov.za/sites/default/files/Western%20Cape%20Land%20Use%20Planning%20Act%2C%20Act%203%20of%202014.pdf> [30/09/2021]

Witzenberg Community Representatives. 2021. Beneficiary Interview ISSP Implementation Evaluation, Key stakeholder Interview. AIVIA Pty (Ltd).

Witzenberg Municipality, 2017. Integrated Development Plan 2017-2022

Witzenberg Municipality, 2021. Amended Integrated Development Plan 2017-2022

Witzneberg Municipality. 2020 Spatial Development Framework

Witzneberg Municipality. 2021. 2019/20 Annual Report

Zutari. 2021. Zutari Implementing Agent Interview ISSP Implementation Evaluation Key Stakeholder Interview. AIVIA Pty (Ltd).



AIVIA (Pty) Ltd

A-aishah Modack

[Aaishah.Modack@aivia.co.za](mailto:Aaishah.Modack@aivia.co.za)

079 413 5182