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Fostering resilient futures.

Evaluation of the Implementation of Informal Settlement Support Plan (ISSP)

1/3/25 Report

February 2022

Western Cape Government

Human Settlements

A\V/A

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Abbreviations

24G	Section 24G of the NEMA
BNG	Breaking new ground
CAM	Cape Agulhas Municipality
CCDI	Craft and Design Institute
CORC	Community Organisation Resource Centre
COVID-19	The Novel Corona Virus pandemic
DA	Department of Agriculture
DAG	Development Action Group
DCS	Department of Correctional Services
DEADP	Western Cape Department of Environmental Affairs and Development Planning
DEDAT	Western Cape Department of Economic Development and Tourism
DHS	Western Cape Department of Human Settlements
DLG	Western Cape Department of Local Government
DOA	Western Cape Department of Agriculture
DOCS	Western Cape Department of Community Safety
DOH	Western Cape Department of Health
DoL	Department of Labour
DoRA	Division of Revenue Act
DOTP	Western Cape Department of the Premier
DPME	Western Cape Department of Planning, Monitoring and Evaluation
DSD	Western Cape Department of Social Development

DTPW	Western Cape Transport and Public Works
EPWP	Expanded Public Works Programme
ESS	Enhanced Serviced Sites
HDA	Housing Development Agency
HoD	Head of Department
HSDG	Human Settlements Development Grant
HSP	Human Settlements Plan
IA	Implementing Agents
IBS	Interim Basic Services
IDP	Integrated Devlopment Plan
IGR	Intergovernmental Relations
IHSP	Integrated Human Settlements Plan
IS	Informal Settlements
ISF	Informal Settlements Forum
ISSF	Informal Settlements Support Framework
ISSP	Informal Settlements Support Plan
ISU	Informal Settlements Upgrading
ISUPG	Informal Settlements Upgrading Programme Grant
KEQs	Key Evaluation Questions
KII	Key Informant Interview
KPI	Key Performance Indicators

KSI	Key Stakeholder Interview
LUMS	land use management schemes
M&E	Monitoring and Evaluation
NDHS	National Department of Human Settlements
NGO	Non Governmental Organisation
NT	National Treasury
NUSP	National Upgrading Support Programme
OECD	Organisation for Economic Cooperation and Development
PID	Project Initiation Document
PRT	Professional Resources Team
PSC	Project Steering Committee
RAP	Rapid Appraisal Project
SAWIC	South African Women in Construction
SDF	Spatial development framework
SISF	Sedgefield Informal Settlement Forum
SPLUMA	Spatial Planning and Land Use Management Act
ToR	Terms of Reference
UN-HABITAT	United Nations Human Settlements Programme
VPUU	Violence Prevention through Urban Upgrading
WC	Western Cape
WCED	Western Cape Educational Department
WCG	Western Cape Government

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Overview: The Western Cape Government (WCG) commissioned this implementation evaluation to answer 5 Key Evaluation Questions (KEQs) covering the period of implementation of the Informal Settlement Support Plan (ISSP) between September 2016 and March 2021: (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? ; and (5) What are lessons learned from the implementation, and can the successes be replicated? AIVIA (Pty) Ltd undertook the evaluation using a quasi-participatory approach. The evaluation's findings, conclusions, and recommendations are based on data analysis of an extensive stakeholder engagement process including Key Informant and Stakeholder Interviews, focus groups, and stakeholder surveys, within an understanding of the policy and legislative context.

One Pager Overview

Since the inception of the ISSP in 2016:

- **Significant strides were taken towards achieving a paradigm shift** in informal settlements upgrading.
- The ISSP has increased the focus on holistic, transversal, and participatory approaches to informal settlement upgrading.
- Work still needs to be done towards integrating ISSP strategies into the plans of other government departments.
- The deployment of ISSP intermediaries has demonstrated the potential of social facilitation to improve trust, communication and information in settlements and municipalities.
- The ISSP has not increased the pace of upgrading as few ISSP projects have had a cohesive linkage with upgrading projects.
- The transversal breadth of activity needs to be increased if the goal of achieving the objectives of the ISSP by 2030 is to be reached.

Implementation was narrower than designed

- This narrower implementation has been due primarily to limited resources available to the ISSP unit, particularly in terms of staff, and constraints created by COVID-19.
- Consequently, only selected strategies supporting the ISSP objectives have been pursued.
- Sequencing of activities has not always followed the 2016 ISSP Implementation Plan.
- At the provincial scale, the prioritisation of resources towards intermediary support and the ISSP Forum has limited capacity to develop tools to train stakeholders on various topics.
- Scoping of intermediary and upgrading work needs to be improved to ensure appropriate matching of intermediaries and municipal readiness for support.

Stakeholders are being effectively engaged

- Relationships among informal settlements stakeholders have improved through the ISSP engagement processes, and nearly all stakeholders were satisfied with the stakeholder engagement efforts of the ISSP.

Barriers to implementation

- Limited human resources capacity within the ISSP unit and WCDHS as a whole.
- A lack of clarity around the ISSP, the UISP and the funding mechanisms to support its implementation – such as the ISUPG and HSDG.

- Improving capacity of the WCDHS to appoint and manage professional socio-technical support for the design, delivery and management of informal settlement upgrading projects.
- Poor institutional arrangements at local government level to support ISU strategies.

Lessons learnt

- Institutionalisation of the paradigm shift within the Department, transversal and intergovernmental partners, must be prioritised for successful implementation.
- Implementation needs to be strategic to ensure support is absorbed and capacity is built.
- Consistency in engagement with stakeholders is key to ensuring the ISSP paradigm shift.
- Based on these findings, the follow has been recommended (amongst others).

Recommendations

- The development of a province-wide upgrading pipeline plan and supporting data collection and goverance strategy.
- Detailed guidance on undertaking Assessment and Categorisation of informal settlements.
- Development of a guideline for institutional arrangements at the municipal level and a template for Municipality-Wide Informal Settlement Upgrading Strategies.
- Continuation of with the NGO framework incorporating lessons learnt about alignment of intermediary skills and local complexities.
- Continuation of ISSP Forum with reinforced involvement.
- Leveraging private sector expertise and capacity.
- Improving alignment between ISSP outputs, integrated ISU interventions, WCG project approval application processes and UISP project implementation funding tranches.
- Improve knowledge products and capacity building activities supporting the ISSP
- Capacity of the ISSP unit and WCDHS be augmented, and transversal WCG participation and accountability be strengthened to support the paradigm shift being sought through the ISSP.

Executive Summary: The Western Cape Government (WCG) commissioned this implementation evaluation to answer five Key Evaluation Questions (KEQs) in relation to a defined period of implementation of the Informal Settlement Support Plan (ISSP) between September 2016 and March 2021: (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? ; and (5) What are lessons learned from the implementation, and can the successes be replicated? The evaluation was undertaken by AIVIA (Pty) Ltd using a quasi-participatory methodology. The findings, conclusions, and recommendations emerging from the evaluation are based on rigorous analysis and extensive stakeholder engagement including Key Informant Interviews, Key Stakeholder Interviews (including focus groups) and stakeholder surveys were embedded within an understanding of the prevailing policy and legislative context. The recommendations emerging from the evaluation are focused on building institutional capacity and encouraging comprehensive sector-wide support for ISU. They are summarised herein and must be read together with the summarised findings and conclusions below (as well as the full report).

Recommendations include **(1) The development of a province-wide upgrading pipeline plan** and a **(2) supporting data collection and governance strategy** to support the ISSP. 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 frameworks. This must be supported by **(3) detailed guidance on the undertaking of Assessment and Categorisation of informal settlements**, focused on A&C processes that generate the level of granularity and nuance necessary to develop appropriate settlement level upgrading pathways and incremental basic services and technology options.

At the municipal level, the **(4) development of a guideline for institutional arrangements** as well as a **(5) template for Municipality-Wide Informal Settlement Upgrading Strategies** is recommended in order to address the need for adequately capacitated multi-disciplinary informal settlement upgrading task teams and to improve the mainstreaming of ISU through a well-articulated ISU approach at the municipal level. Embedded within this ISU strategy is an enhanced approach to multi-sector support which is linked to a specific recommendation focused on (**6) building resilient and safe informal settlements by reducing risk and vulnerability**. **(7) The continuation of the NGO framework** incorporating lessons learnt about alignment of intermediary skills and local complexities; **and the (8) continuation of the ISSP Forum** with reinforced involvement of specific departments and the addition other are also proposed which should be supported by **(9) leveraging the expertise and capacity of the private sector** through the establishment of a Panel of PRTs and/or direct appointments by the WCDHS on a case-by-case basis.

Efforts to coordinate current and future support initiatives should be done within a framework of **(10) Improved alignment between ISSP outputs, integrated ISU interventions, WCG project approval application processes and commensurate UISP project implementation funding tranches**. This will aid in ensuring the appropriate sequencing of interventions and support, serving to ensure the usability of outputs and manage community expectations around implementation readiness.

In order to achieve this, a suite of capacity building activities and knowledge products are recommended, including a **(11) WCDHS webinar on municipal funding for ISU to enhance the understanding of the ISSP, UISP and their relationship to the ISUPG** and HSDG in particular, **(12)** the comprehensive **update of the** "Towards Incremental Informal Settlement Upgrading: Supporting municipalities in identifying contextually appropriate options" aka ISSP Design and Tenure Guideline document **with various modules to showcase lessons learnt from the implementation of the ISSP** and other recent experiences. In addition, an internal ISSP-unit workshop is proposed as part of the recommended **(13) updating of the 2016 Implementation Plan and M&E Framework** to bring this in line with the ISUPG requirements, SPLUMA requirements as well as the core mandate of the WCDHS and its ISSP Unit, and moreover align this with the resource capacity considerations. In part, improved capacity can be facilitated through external service provider support, but it is imperative that the **(14) capacity of the ISSP unit and WCDHS be augmented, and transversal WCG participation and accountability be strengthened to support the paradigm shift being sought through the ISSP.**

The rationale for these recommendations are contained within the findings and conclusions, presented below in relation to the KEQs.

KEQ 1: Since the inception of the ISSP in 2016 what has changed and how in the delivery of informal settlements projects and programmes?

The WCG through the WCDHS developed the ISSP in 2016 to support the implementation of the Upgrading of Informal Settlements Programme (UISP) and to encourage a paradigm shift in the upgrading of informal settlements focused on integrated, holistic, and participatory incremental upgrading in the Western Cape. The aim was to move beyond the then prevailing focus in the WC on basic service provision toward ensuring that communities were more actively involvement in the upgrading process, and ensuring an understanding that ISU is a multi-disciplinary undertaking whilst promoting the requisite transversal support. *The findings and conclusions indicate that, overall, significant strides were taken toward achieving this paradigm shift.*

Executive **Summary**

The ISSP has increased the focus on holistic, transversal, and participatory approaches to informal settlement upgrading as compared to pre-2016. The ISSP Forum has improved transversal efforts to resolve informal settlements challenges. This progress should be leveraged to support the on-going institutionalisation of the ISSP 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, which will support the requirements of the ISUPG as well as achieving the recognition of informal settlements in municipal planning documents as set out in SPLUMA.

The deployment of ISSP intermediaries have demonstrated the potential of social facilitation to improve trust, communication and information in settlements and municipalities offering municipalities a localised evidence base for the importance of community participation, simultaneously offering communities an evidence base for meaningful engagement in practice.

The ISSP has not increased the pace of upgrading: There are approximately 400 informal settlements in the Western Cape, of which 106 were included in the rapid appraisal undertaken in 2015/16 and 299 settlements ranked in the 2016 Prioritisation Model. The ISSP has been implemented in 13 municipalities and 47 informal settlements. Despite improving community participation in these 47 settlements, the ISSP has not increased the pace of upgrading of informal settlements. Few ISSP projects have demonstrated a cohesive linkage with a broader settlement or area-based upgrading project, attributable to a lack of local municipality capacity to design and implement such ISU interventions, despite ISSP support. This is compounded by the limited leveraging of other external sector resources such as PRTs to create this capacity. The currently limited involvement of the private sector should be increased to bolster the capacity and capability of the municipalities.

The ISSP has increased NGO sector capability through increasing selected NGOs' exposure to informal settlements projects, and the effort that has gone into the capacitation of NGOs must now be leveraged. Progress has been made towards achieving *Outcome 2 enhanced quality of life and active citizenship* and *Strategic Outcome 3: Strengthened sector capability, governance, and resources.* However, the breadth of activity needs to be increased if the goal of achieving the objectives of the ISSP by 2030 is to be reached. Another major change that has taken place since 2016 occurred at the National level with the introduction of the Informal settlements Upgrading Partnership Grant (ISUPG) in 2019. A grant dedicated to ISU, the ISUPG inspired the development of the WCDHS's 2019 Policy Guidelines, providing guidance to *provincial and municipal stakeholder on the ISUPG. Despite these efforts, provincial and municipal stakeholders have demonstrated a varying level of understandings of the relationship between the ISSP, UISP and the ISUPG.*

KEQ 2: Is the ISSP being implemented according to its design?

The implementation of the ISSP has differed significantly from its original design. 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. This narrower approach has meant that only selected strategies supporting the achievement of the ISSP objectives have been pursued, and the actions supporting these strategies have at times been uncoordinated with the sequencing recommended in the 2016 Implementation Plan. Notably, 2016 Implementation Plan itself does not provide time-based targets for the actions contained therein.

At the provincial scale, the prioritisation of resources towards intermediary support and the ISSP Forum has limited capacity to develop tools to train stakeholders on various topics.

Monitoring and evaluation need to be consistently implemented to ensure improvement in the ISSP going forward and there is thus a need to update both the 2016 Implementation Plan as well as the M&E framework.

ISU processes rooted in direct community engagement requires a degree of flexibility, commitment, and accountability in respect of the assistance, and the appropriate matching of organisations according to their capability and experience with informal settlements' level of complexity, in terms of size and community dynamics. At the municipal level, it was also revealed that the optimisation of upgrading is enabled by having professional skills and resources available to provide the full suite of multi-disciplinary socio-technical support for ISU. There is thus a need for a streamlined, a well sequenced approach to aiding municipalities. Altogether, scoping of intermediary and upgrading work needs to be improved to ensure appropriate matching of intermediaries and municipal readiness for support.

KEQ 3: Are stakeholders being engaged as intended?

In general, most stakeholders identified improved relationships with other informal settlements stakeholders emerging through the ISSP engagement processes, and nearly all stakeholders were satisfied with the stakeholder engagement efforts of the ISSP.

Provincial stakeholders have reported significant value in the ISSP Forum and its role as a transversal structure, although it is evident that the support from non-ISSP unit stakeholders can be further enhanced.

Municipalities have generally reported progress in terms of either **the establishment of entry points into communities** in support community stakeholder engagements, and / or **the strengthening of the community-municipal relationship**. However, in some instances the stakeholder engagements with communities have also led to increased expectations for implementation of upgrading interventions, and *many municipalities lacked either the willingness, expertise, or resource capacity to participate in the engagement process*, and to leverage the outputs and package these into UISP or other interventions. Another weakness has been the **perception in certain cases the that the ISSP interventions are "NGO projects" rather than collaborative projects** where the NGO work was a form of state support. In other cases, framing of the NGO support as being a provincial led initiative in some cases also aided the acceptance of the NGO work from communities.

The ISSP stakeholder engagement work in communities have seen the identification of new, and the strengthening of existing, community leadership structures. **Community representatives generally felt more empowered to engage** with municipal officials, champion conversations about ISU, and lead sustained self-organisation. However, in some cases, due to the **projectised nature of the support** communities reported a level of perceived reliance and dependence on the intermediary, struggling to re-transition to a context without the intermediary support, pointing to the *need for a sound exit strategy as well as at the least the commencement of a social compact* to promote sustained benefits following the ISSP work. There is also need for a nuanced understanding of the complexities involved in **ensuring that community leaderships structures are representative of the community and that buy-in is in place from residents**.

The ISSP intermediary work therefore requires that those deployed to support communities and municipalities have the experience and proficiency required relative to the complexity of the context.

KEQ 4: Were there any barriers in executing the strategies of the plan?

At provincial level limited human resources capacity within the ISSP unit and WCDHS as whole, is a key constraint, and has limited the extent to which they have been able to execute all the strategies of the ISSP. 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.

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.

The capacity of the WCDHS to appoint and manage professional socio-technical support for the design, delivery and management of informal settlement upgrading projects also presents as a constraint since there is lack of appropriately experienced multi-disciplinary socio-technical capacity.

Going forward the collaboration with non-WCDHS departments must be *strengthened through an improved accountability framework to ensure that actions assigned to them in the updated Implementation Plan are undertaken*.

At a local government level, the political championing and practice of elevating the strategic importance of ISU is limited, supportive institutional arrangements for ISU are lacking in most cases, and there is limited evidence of well-articulated municipal ISU strategies and pipelines, demonstrating an ad-hoc rather than strategic and coordinated programmatic approach to upgrading. In some instances, this is accompanied by a lack of administrative will to participate in the social facilitation and other ISU interventions. The lack of capacity is often exacerbated by prolonged procurement processes and generally **slow access to professional resources** required to plan, package, and implement ISU support. This has led to outputs of the intermediary work becoming outdated before it can be used for important decision-making.

Appropriate matching of NGOs to context remains critical as pool grows and other intermediaries are considered.

KEQ 5: What are lessons learned from the implementation, and can the successes be replicated?

Institutionalisation of the paradigm shift within the Department, transversal and 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 to targeted and appropriately planned, designed, and programmed upgrading work quicker and sustainably.

Universal advocacy from across the WCDHS will help ensure transversal engagement, particularly within the context of limited resources.

Capacity is required to support the implementation of the ISSP, across all stakeholder groups including at the provincial and municipal level. Thus, capacity support from NGOs and PRTs should be encouraged.

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 and integrate support provided.

Consistency is key to ensuring the paradigm shift and stakeholders 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.
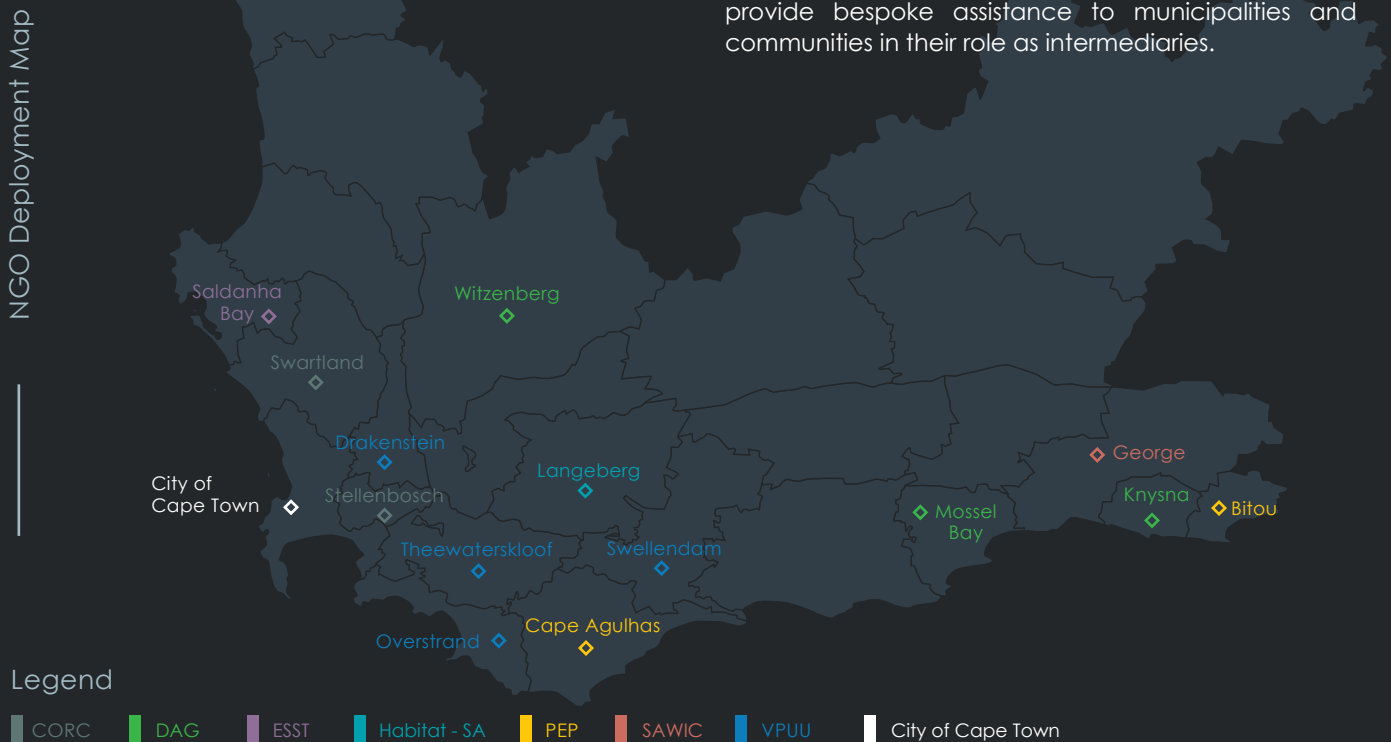
The Implementation Evaluation of the Informal Settlements Support Programme (ISSP)

Overview

The WCG conceptualised the ISSP as a holistic approach to informal settlement upgrading in the Western Cape, serving to support the implementation of the Upgrading of Informal Settlements. Championed by a core ISSP unit and supported by provincial champions from ten (10) departments within the WCG, the ISSP 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.**

Through the ISSP, support was provided to **13 local municipalities** through the deployment of NGOs to provide bespoke assistance to municipalities and communities in their role as intermediaries.

NGO Deployment Map

Saldanha Bay ◇
Witzenberg ◆

Swartland ◇

Drakenstein ◆
Langeberg ◆
George ◇

City of Cape Town ◆
Stellenbosch ◇
Knysna ◆
◇ Bitou

Theewaterskloof ◆
Swellendam ◆
◇ Mossel Bay

Overstrand ◇
Cape Agulhas ◆

Legend

| | CORC | | DAG | | ESST | | Habitat - SA | | PEP | | SAWIC | | VPUU | | City of Cape Town |

Key Evaluation Questions

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?*

Phases of the Evaluation

This evaluation of the implementation of the ISSP assessed whether the programme is being implemented as planned, and the extent to which the programme has improved the incremental and participatory approach to informal settlement upgrading.

The evaluation was undertaken in five (5) phases.

| 01. INCEPTION | 02. REVIEW | 03. DATA COLLECTION & FRAMEWORK | 04. DATA ANALYSIS | 05. REPORTING |

Overview of the ISSP

A summary of the ISSP journey is shown in the timeline.

ISSP Timeline 2015 - 2021

2015/16	2016	2016/17	2017	2017/18	2019	2020	2021
Internal discussion towards development of the ISSP	Service providers appointed to develop ISSF and supporting tools	ISSP Forum Established (17 ISSP Forum meetings between 2015/6 – date)	Target Set to upgrade 60 informal settlements by the end of the MTSF period	NGO Framework agreement negotiated	Second Planner appointed to ISSP unit	Third technical staff member appointed to ISSP unit	Completion of work by NGOs on 19 SLAs.
Rapid Appraisal of 106 informal settlements undertaken	Tools developed and approved				NGO SLAs signed	COVID-19 pandemic emerges	Reflection sessions held with NGOs on the experience of playing the role of intermediary organisations
	ISSP Unit in DOH established and capacitated with 1 planner at DD level-				New Provincial MTSF adopted	ISSP Unit's work shifts focus to COVID-19 Water and Sanitation Provision and Public Space Cleansing Response	

ISSP Institutional Arrangements

A transversal and intergovernmental programme, the ISSP draws in a large number of 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 focusses on the development of the ISSP Unit within the Department of Human Settlements and the development of the ISSP forum.

Institutional Transversal Map/Stakeholder Map

Components of the ISSP

The ISSP was designed with five (5) components dated to 2016, where the ISSP Policy Guidelines were later added in 2019.

Map of Key ISSP Policies, Framework, Guidelines
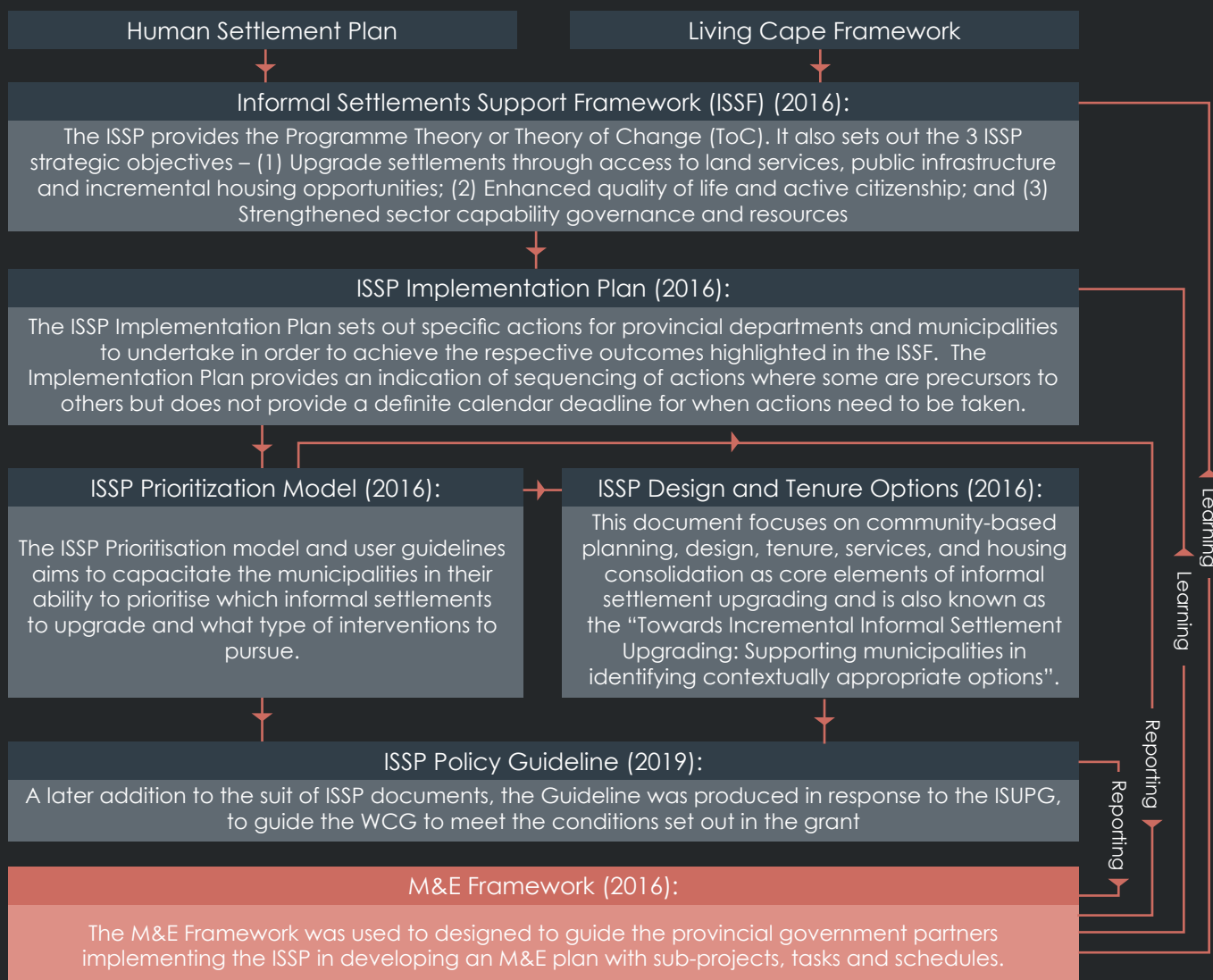
Human Settlement Plan	Living Cape Framework

Informal Settlements Support Framework (ISSF) (2016):

The ISSP provides the Programme Theory or Theory of Change (ToC). It also sets out the 3 ISSP strategic objectives – (1) Upgrade settlements through access to land services, public infrastructure and incremental housing opportunities; (2) Enhanced quality of life and active citizenship; and (3) Strengthened sector capability governance and resources

ISSP Implementation Plan (2016):

The ISSP Implementation Plan sets out specific actions for provincial departments and municipalities to undertake in order to achieve the respective outcomes highlighted in the ISSF. The Implementation Plan provides an indication of sequencing of actions where some are precursors to others but does not provide a definite calendar deadline for when actions need to be taken.

ISSP Prioritization Model (2016):

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 Design and Tenure Options (2016):

This document focuses on community-based planning, design, tenure, services, and housing consolidation as core elements of informal settlement upgrading and is also known as the "Towards Incremental Informal Settlement Upgrading: Supporting municipalities in identifying contextually appropriate options".

ISSP Policy Guideline (2019):

A later addition to the suit of ISSP documents, the Guideline was produced in response to the ISUPG, to guide the WCG to meet the conditions set out in the grant

M&E Framework (2016):

The M&E Framework was used to designed to guide the provincial government partners implementing the ISSP in developing an M&E plan with sub-projects, tasks and schedules.

Learning · *Learning* · *Reporting* · *Reporting*

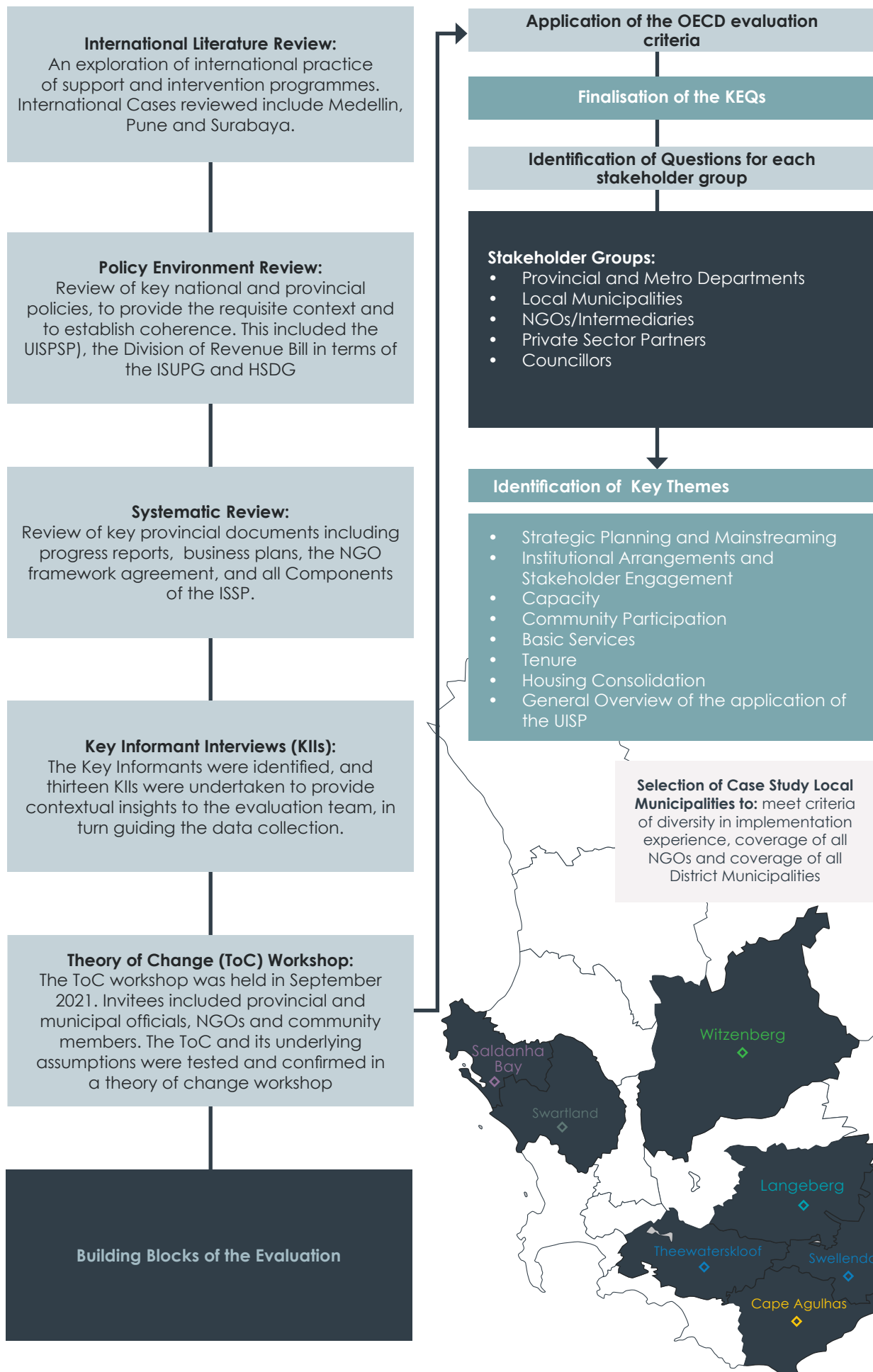# The Evaluation Approach and Methodology

Evaluation 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. Additional detail is provided on the following pages 8 and 9.

Review Phase

The review phase established the context for the establishment of the ISSP, what is intended to be achieved, and how (i.e., The Theory of Change). It also confirmed the Key Evaluation Questions (KEQs) that the evaluation is seeking to answer and developed the assessment framework through which the KEQs will be answered.

Data Collection

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 (KSIs), Community Focus Groups and a Stakeholder survey.

Data Analysis

On completion of the fieldwork, the data collected was analysed in the data analysis phase. All interviews were coded in coding software indicating the frequency of key themes and ISU challenges.
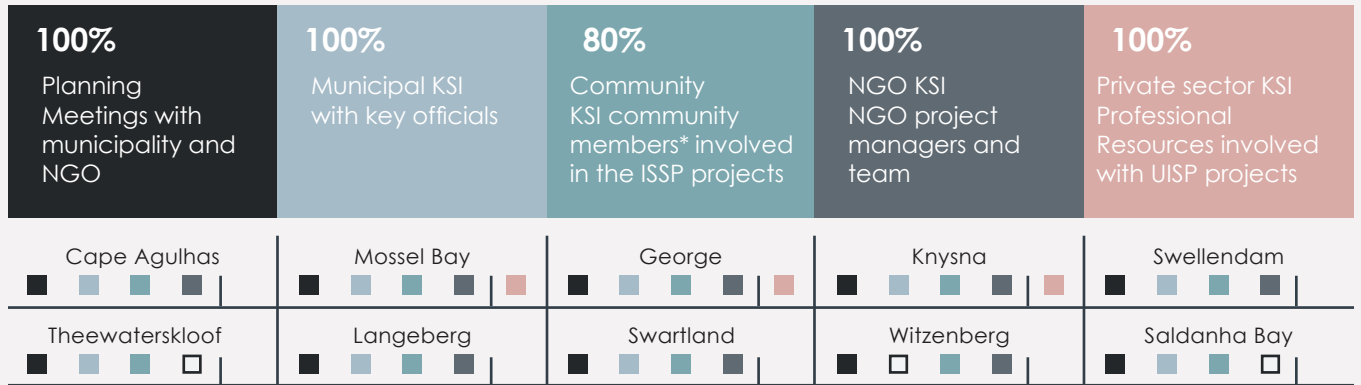
Review Phase

Approach and Methodology

International Literature Review:
An exploration of international practice of support and intervention programmes. International Cases reviewed include Medellin, Pune and Surabaya.

Policy Environment Review:
Review of key national and provincial policies, to provide the requisite context and to establish coherence. This included the UISPSP), the Division of Revenue Bill in terms of the ISUPG and HSDG

Systematic Review:
Review of key provincial documents including progress reports, business plans, the NGO framework agreement, and all Components of the ISSP.

Key Informant Interviews (KIIs):
The Key Informants were identified, and thirteen KIIs were undertaken to provide contextual insights to the evaluation team, in turn guiding the data collection.

Theory of Change (ToC) Workshop:
The ToC workshop was held in September 2021. Invitees included provincial and municipal officials, NGOs and community members. The ToC and its underlying assumptions were tested and confirmed in a theory of change workshop

Building Blocks of the Evaluation

Application of the OECD evaluation criteria

Finalisation of the KEQs

Identification of Questions for each stakeholder group

Stakeholder Groups:
- Provincial and Metro Departments
- Local Municipalities
- NGOs/Intermediaries
- Private Sector Partners
- Councillors

Identification of Key Themes

- Strategic Planning and Mainstreaming
- Institutional Arrangements and Stakeholder Engagement
- Capacity
- Community Participation
- Basic Services
- Tenure
- Housing Consolidation
- General Overview of the application of the UISP

Selection of Case Study Local Municipalities to: meet criteria of diversity in implementation experience, coverage of all NGOs and coverage of all District Municipalities

Witzenberg

Saldanha Bay

Swartland

Langeberg

Theewaterskloof

Swellendam

Cape Agulhas

Data Collection and Fieldwork

Key Stakeholder Interviews

Case Studies

100%	100%	80%	100%	100%
Planning Meetings with municipality and NGO	Municipal KSI with key officials	Community KSI community members* involved in the ISSP projects	NGO KSI NGO project managers and team	Private sector KSI Professional Resources involved with UISP projects

Cape Agulhas	Mossel Bay	George	Knysna	Swellendam
Theewaterskloof	Langeberg	Swartland	Witzenberg	Saldanha Bay

80% Provincial & Metro KSI

Stakeholder Surveys

Stakeholder Surveys were conducted with provincial, municipal and NGO stakeholders.
• 50% of the provincial survey recipients responded to the survey
• 46% municipalities participated in the survey (at least one response was received from 6 of the 13 participating municipalities.
• 57% of the NGOs participated in the survey (at least one response received from 4 for the 7 NGOs involved in the implementation of the ISSP)

Data Analysis

Data Triangulation 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.

The data was coded through the use of a code tree in the Dedoose software
Key themes for coding were identified based on:

• The evaluation criteria
• Themes identified in the Terms of Reference
• Recurring themes in the data.
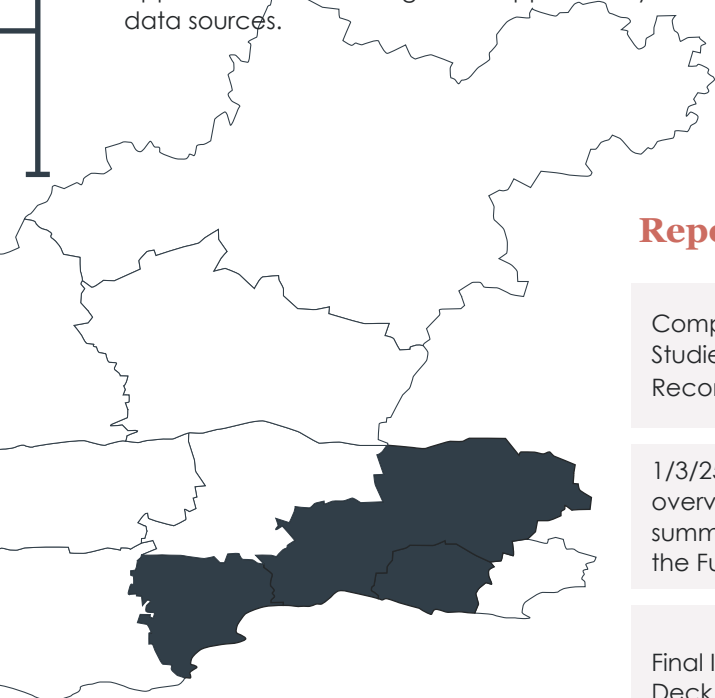
Reporting

Compilation of draft Full Report: Case Studies, Findings, Conclusions and Recommendations	Full Report
1/3/25 report providing a 1-page overview, 3-page executive summary and 25-page summary of the Full Report	1/3/25 Report
Final ISSP Evaluation Presentation Slide Deck	Presentation

Municipal Case Studies Recommendation Summary: This section includes a summary of the case studies of the 10 local municipalities of the Western Cape where the ISSP has been implemented. The selection of the case studies was based on criteria which included coverage of all relevant districts, and as such the selected case study municipalities included Cape Agulhas, Theewaterskloof and Swellendam from the Overberg District, Mossel Bay, George and Knysna from the Garden Route District, Langberg and Witzenberg from the Cape Winelands District and Saldanha Bay and Swartland from the West Coast District.

The section specifically presents synthesised recommendations statements, indicating the key actions which need to be undertaken in addressing the findings for each case municipality. Details of the findings and these recommendations can be found in the full report, in which they have been categorised in these themes, namely: Basic Services and Community Facilities, Capacity to Support Programme/Project Implementation, Community Participation and Empowerment, Institutional Arrangements and Stakeholder Engagements, Housing Consolidation, and Tenure Security.

1. Cape Agulhas Case Study Recommendations Summary

Create a community leadership structure that is recognised by the community as a whole and formalise the lines of communication between the municipality and the community, levering work undertaken through the NGO and supporting continuity and on-going benefits.

Establish a cross-departmental task team to ensure the necessary attention and resources is given to informal settlement upgrading projects.

Improve internal scoping process for municipal and settlement needs to identify capacity issues and improve application and planning processes.

Capacitate the municipality to align financial planning with strategic planning in support of ISU.

Develop a strategic focus on forward planning and management of informal settlements growth to ensure a proactive approach to integrating ISU projects into the spatial planning of the Municipality.

Ensure collaboration between the Municipal Human Settlements, disaster risk management and spatial planning departments to reduce the vulnerability of informal settlement residents.

Improve municipal capacity for ISU by increasing CAM staff and / or introducing a PRT to provide multi-disciplinary support as required.

Improve accessibility to municipal officials and increase time for municipal officials to engage with communities to improve the communication between the Municipality and the community on topics such as basic services and operation and maintenance.

Establish a live/up to date community register for Napier informal settlement to assist in keeping track of settlement growth and allow for better planning and management of the settlement.

Improve the close-out process by ensuring that NGO SoW includes an exit strategy and completion of a baseline template for tracking work and ensuring that the community is fully engaged though the project Lifecyle.

Municipal Case Studies

2.   Mossel Bay Case Study Recommendations Summary

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

Institutionalise the lines of communication between the community and Municipality to keep all communities informed of the ISU processes.

Refine and document Municipality-wide ISU strategy, upgrading pipeline and community engagement approach to ensure the continuous involvement of the Municipality in ISU projects, reduce the reliance on institutional memory, and include a densification and land management strategy and less reliance on institutional memory.

Reserve funding for the physical protection of land earmarked for ISSP projects from land invasions.

Provide more resources to the community around the UISP lifecycle, housing consolidation, economic opportunities, and other such resources to educate communities in preparation for the housing consolidation phase.

Link tenure options to applicable stages of the upgrading processes and offer these to community members to lessen their eviction concerns.

Develop fit-for-purpose reporting requirements for service providers, and provide necessary templates to align reporting processes and project deliverables with project objectives.

Develop a Plan for Sustainable Community Engagement and an NGO Exit Strategy to ensure a smooth continuation of ISU projects beyond NGO contract periods.

Undertake a pre-inception scoping phase in future contracts with service providers, to gather municipal baseline information.

3.   George Case Study Recommendations Summary

Draft a governance Framework to establish an integrated functional local partnership for the planning and implementation of ISU and the required forums and stakeholders, to clarify lines of communication, reporting structures, scope of work and general roles and responsibilities in situations where there is more than one service provider.

Prioritise the enhancement or restructuring of the current Project Steering Committee (PSC) to a Programme Steering and Governance Committee structure (PSC) which includes a wider stakeholder base in terms of planning, public participation, land management and community development.

Recruit additional experienced human resources, particularly for the Human Settlements Department, to support the current staff in coordination and oversight responsibilities and improve capacity for ISU project packaging.

Support the Municipality in building trust and exercising transparency with the community and service providers in its ISU processes.

Develop a municipality-wide ISU Strategy including all informal settlements in George Municipality and integrate it into an updated IHSP.

Investigate, understand, and improve the complex community institutional arrangements to establish an overarching Informal Settlement Forum, well represented by all informal settlements representatives within George.

Disseminate ISU processes information and education material to informal settlement residents to reduce the ISU-education gap amongst the community.

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.

Capacitate informal settlements' communities with knowledge around the housing consolidation phase and its processes.

4.   Knysna Case Study Recommendations Summary

Establish a cross-departmental task team for ISU matters to allow for effective planning and delivery of human settlement projects through coordinated efforts across Municipal departments.

Provide existing and updated material and guiding documents to capacitate the Knysna Municipality in ISU programmes such as UISP and ISSP.

Improve communication and direct interface between municipal officials and community members to support effective management of informal settlements in Sedgefield. Particular consideration to be given to operation and maintenance.

Attend to the urgent need for communal services' operation and maintenance in Smutsville.

Capacitate the Knysna Municipality to undertake social facilitation training and transfer skills to communities, bridging the communication gap between the informal settlement residents and the Municipality, and building trust in the process.

Develop a Municipality-wide ISU strategy and Programme, and action the Assessment and Categorisation and Upgrading Plan for all informal settlements.

Mainstream ISSP strategies into ISU approaches and processes, as well as in municipal planning documents. Assist the SISF in acquiring a seat on the ward committee.

Explore alternative service options and materials for construction in informal settlements and include this knowledge in the next iterations of UISP/ISSP guiding documents to encourage further research and the exploration of the usage of alternative materials for construction in informal settlements.

Formalise or institutionalise tenure options such as the occupancy certificate to protect informal settlement residents from evictions and provide secure tenure.

5.   Swellendam Case Study Recommendations Summary

Establish a cross-departmental task team for ISU matters to improve intergovernmental planning, integrate grants and align the delivery of basic services and facilities linked to ISU projects.

Present and mainstream NGO review and recommendations in the ISSP NGO reports to achieve value for money through the effective use of reports written during the ISSP.

Formalise the lines of communication between the Municipality and the community through an engagement and communication strategy.

Establish a provincial platform to manage data on informal settlements, hence improving its general efficiency.

Develop a Municipality-wide informal settlement upgrading strategy to be incorporated within the HSP to create pathways for assessments and upgrading plans through a participatory process.

Dedicate adequate resources to participatory planning processes embedded in the upgrading approach to achieve frequent communication between the Municipality and community at different ISU project stages.

Establish a community representative structure/ community committee inclusive of leadership from all sub-groups and other stakeholders to unite all relevant stakeholders within the settlement through regular meetings on ISU matters.

Address the tension between the "formal" and "informal areas".

6. Theewaterskloof Case Study Recommendations Summary

Identify ISSP champions at ward-level to obtain buy-in from Councillors and mainstream their efforts in the overall ISU processes.

Strengthen the relationship between the Municipality and the community through on-going communication and meaningful engagements with the community.

Leverage the ISSP forum to address barriers to ISU, such as the settling of residents on privately-owned land.

Create awareness to share and capacitate officials on the existing ISSP documentation through initiatives such as series of workshops, webinars, or tutorials on the ISSP material for municipal officials.

Create a resource capacity development programme of interventions within the Municipality and link this to already existing programmes, such as the Better Living Challenge.

Develop a strategy for ongoing data collection and mainstreaming into planning processes to feed data into the planning process.

Capacitate municipalities in their budgeting processes through support from the WCDHS.

Improve internal scoping processes for Municipal and Settlement needs.

Approach the WCDHS for support in enhancing operations and the maintenance of basic services which have been implemented.

Elevate the role of councillors to support or facilitate knowledge dissemination through the community.

Support, capacitate and empower communities to actively participate in the IDP processes and other ISU-related processes.

Develop a town-based participation strategy linked to the overall ISU strategy.

Develop an interface between the Municipality and the community where the community from informal settlements can access ISU-related information and accommodate ISU-related registrations.

Maintain an updated community register to assist with managing growth settlement growths and land occupations and ownership.

7. Langeberg Case Study Recommendations Summary

WCDHS should resolve the 24G fine confusions and contradictions between the DEADP and the Municipality hindering progress on the ISU processes. This can be actioned through the ISSP Forum and will further guide the Municipality on how to avoid similar fines in the future.

Strengthen the ongoing relationship-building between the Municipality and the community through on-going communication and engagement.

Establish a new internal function to manage and improve data sets for future planning and budgeting processes.

Explore opportunities to build the Municipal officials' capacity and skills in undertaking and monitoring ISU projects and processes.

Compliment the Human Settlement Department's capacity and skills in facilitating relocation processes to ensure smooth transitions to new residences.

Mainstream ISSP successful approaches and lessons into Municipal planning documents to ensure alignment with provincial upgrading efforts.

Support the continuation and strengthening of the community engagement platform established through the ISSP to further educate and empower informal settlement residents.

Support the implementation of participatory planning approaches which shift from top-down planning approaches to meaningful bottom-up planning processes.

8. Swartland Case Study Recommendations Summary

Develop a Municipality-wide structure to co-ordinate cross-departmental informal settlements upgrading, inclusive of the Engineering, Legal, Law Enforcement and Housing Departments.

Establish protocols to manage the distribution of upgraded sites to the community, including a role for support by law enforcement during the process to ensure a smooth and transparent distribution process.

Engage the Sibanye Residents meaningfully on the Lease contract terms in detail and ensure it enables sustainable livelihoods.

Reconcile the enumeration data with the Municipal housing database and waiting list to resolve disputes between the Municipality and community regarding the allocation of serviced sites.

Establish a community-maintained communal land register to assist the Municipality in keeping updated information on the settlement for planning purposes to streamline the planning and upgrading processes.

9. Witzenberg Case Study Recommendations Summary

Establish a cross-departmental forum to address informal settlement upgrading and end gatekeeping.

Recognise the Informal Settlements Forum as a representative structure and share resources to educate the forum on effective information usage.

Encourage the implementation of the ISSP approach to ISU, in partnership with WCDLG, DEADP and DOA.

Expedite efforts to appoint a Professional Resources Team (PRT) to undertake informal settlement upgrading to ensure that information and capacity is not lost.

Seek clear and measurable commitments from the Municipality when providing support in future to prevent the loss of Provincial resources.

Re-initiate the land acquisition process to acquire private land on which informal settlements have been established to unblock upgrading and sustainable livelihood opportunities.

Adopt an informal settlement communal land register as an information source for planning to improve access to current informal settlement information and build trust with the community.

Support the nomination of one or more members of the Informal Settlements Forum to the ward committee and IDP Forum to ensure that residents are represented on Municipality-wide planning processes.

10. Saldanha Bay Case Study Recommendations Summary

Develop strategies to reduce gatekeeping and improve continuity of engagement with community leadership structures to improve and maintain institutional memory.

Strengthen internal capacity through additional dedicated Municipal officials to support ISU.

Appoint a Professional Resources Team (PRT) to undertake planning and implementation of ISU projects.

Establish a clear exit strategy to ensure project sustainability beyond intermediaries' involvement periods to ensure social progression in communities through education and skills training.

This section presents the key findings of the evaluation based on the data collection and analysis thereof. The findings synthesises the learnings uncovered through the review phase and the data collection to develop robust findings through data triangulation.

The OECD Evaluation Criteria (relevance, effectiveness, efficiency, coherence, and sustainability) and well as the relationship with the key users also formed part of the analysis applied to the findings. *The detail of each of the findings below can be found in Chapter 14 of the Evaluation of the ISSP: Full Report.*

Evaluation **Findings**

1. ISSP institutionalisation

The understanding, buy-in and mainstreaming of the ISSP varies across WCDHS stakeholders.

- At the executive level, the ISSP was well accepted and is now understood at the executive level as a key component of provincial developmental agenda. However, over time, it appears that some momentum for maintaining the executive level support has been lost.
- 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. The ISSP Unit acts as the custodian, champion, and facilitator of the ISSP – including promoting the ISSP, encouraging participation in the ISSP Forum, appointment of NGOs working toward developing ISU data and institutionalising good ISU practice amongst stakeholders, and preparing ISU project funding applications. . The **main challenge is ensuring that sufficient human resource capacity** is available to undertake the requisite coordination.
- 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. **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.

"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

There is a consensus amongst all stakeholder groups that the ISSP Forum is important as an intergovernmental forum and has achieved great results through its implementation.

"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

Buy-in from municipalities receiving intermediary support from the WCDHS varies greatly.

- *At the local government level, resource capacity and institutional arrangements are variable and typically insufficient (sometimes absent) to support the multi-disciplinary nature of ISU.* The limited capacity of local government persists and inhibits the progress of ISU. In addition to **the lack of resource capacity**, a varied approach to ensuring that existing resources are sufficiently coordinated through institutional arrangements is evident. In most cases, the **current institutional arrangements are poorly documented and do not support the multi-disciplinary nature of informal settlement upgrading, and there is an absence of official guidance on how municipalities should structure ISU working arrangements. The absence of a cross-departmental ISU talk team at the municipal level has also been linked to challenges of accountability for basic service provision and operation and maintenance thereof.**

"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

Overall Finding: ISSP institutionalisation has progressed but remains uneven within WCDHS, transversally and in municipalities.

2. Implementation of the ISSP

"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

The 2016 ISSP implementation plan provides an indication of sequencing of activities, but it is not time-bound. Therefore, while individual action might be realistic, it is unrealistic to assume they could all commence at the same time without prioritising or staging such actions. The ISSP implementation has focused on (1) promoting intermediary support to enhance the practice of community inclusion and community-based planning through the deployment of NGOs to 13 local municipalities, and (2) the initiation of transversal and intergovernmental engagements such as the ISSP Forum.

There is limited dedicated capacity within the ISSP unit given the extent and complexity of their task, compounded by a generally more reactive approach by non-WCDHS departments. This inhibits their ability to undertake and quality assurance processes and leverage the work produced by NGOs to the extent desired.

COVID-19 impacted the implementation of ISU initiatives at all levels of government given the immediate shift to respond to the needs arising because of the pandemic.

Initial intent to work in sixty settlements from the outset did not enable gradual scaling or learning from doing.

Overall Finding: Implementation of the ISSP was narrower than designed in the ISSF and Implementation Plan due to resource constraints and COVID-19.

3. Local government capacity

"This is my plea, that the WCDHS should not only draft documents we need warm bodies assisting with human settlements. We are so ill capacitated… we need warm bodies."
- Municipal Official

The ISU function is generally undertaken by 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. The engagements with municipalities confirmed the need for multi-disciplinary support in order to enable ISU.

Overall Finding: Local government requires both social facilitation and professional technical expertise and support.

4. Skills and expertise of NGOs and intermediaries deployed

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

Skills and expertise of the NGO's varied, yet the general scope of work of most NGOs were similar, meaning that the available skills base would not always be a complete match to fit the municipal need.

Capacity building has focused on NGOs and existing sector capacity has not been fully leveraged

The uneven skillsets and inadequate leveraging of the sector generates additional demands for the ISSP unit to ensure quality control

ISSP Unit support for intermediary work is regarded as excellent by NGOs despite limited capacity

Overall Finding: 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.

5. The mainstreaming ISSP into municipal policies and plans

"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

Municipal planning documentation is generally ineffective at communicating 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 Upgrading Partnership Grant (ISUPG) requirements as set out in the Division of Revenue Act (DORA) requires that provinces have a province wide upgrading strategy, however, it does not explicitly require local municipalities to have such. Mainstreaming is occurring to some extent in selected municipalities. However, in the main:

- Where informal settlements appear in the SDFs the data is outdated, and a complete strategic approach is not clearly articulated; IHSPs do not reflect a pipeline of ISU projects; IDPs show only high-level information and there is an absence of guidance for municipalities on how to better integrate ISU into their municipal planning documents.
- 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.
- Issues of vulnerability and risk (climate change response plans, disaster management plans) could be improved. Data from municipal vulnerability assessments (VAs) should be used to inform the RAC.
- Many available documents pre-date the completion ISSP work, 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.

Overall Finding: ISU is not yet sufficiently mainstreamed in municipal policies and plans for achievement of the ISSP's objectives.

6. Accountability and Reporting for ISSP work at the municipal level

"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 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...
– Municipal Stakeholder

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. The data indicates that:
- The ISSP unit is insufficiently capacitated to do a detailed review of all outputs from the NGOs.
- 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.
- Where other consultants and implementation agents have been appointed, it was evident that there were conflicting roles and responsibilities about the multi-disciplinary socio-technical terms of reference. Furthermore, municipalities have not played a strong enough role in the management of multiple parties.
- 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.

Overall Finding: ISU is not yet sufficiently mainstreamed in municipal policies and plans for achievement of the ISSP's objectives.

7. Community perceptions of NGO deployment

"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

The deployment of NGOs to work with communities was met with varying degrees of understanding and acceptance by communities. *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. Projectised nature of intermediary work is a risk to stakeholder engagement and its effectiveness.

> **Overall Finding:** Projectised approaches necessitate careful consideration of the entry point into communities and adequate framing of the project lifecycle is critical to ensuring sustainable benefits such as an enduring relationship between communities and local government and achieving empowerment.

8. The understanding and implementation of Tenure Security Options

"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

Tenure options for informal settlements are understood differently across the municipalities, leading to various levels of application of tenure security options. In some cases:
- no tenure security options are offered, and in others are not clearly articulated;
- municipalities display reluctance or are under capacitated to undertake the work required to

facilitate tenure security despite foundational elements set in place through the ISSP;
- The municipality and the community differently interpreted available tenure security options, and communication and facilitation of tenure arrangements with the communities has created dissatisfaction and uneasiness.

> **Overall Finding:** Tenure Security Options are outdated and not consistently understood and applied by municipalities.

9. The understanding of the ISSP, UISP and ISU funding

"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

There is relatively consistent understanding that the NUSP was introduced to municipalities and the province to support the implementation of the UISP.
A distinction is drawn between the UISP and ISSP, and there is confusion about whether ISU projects are "UISP projects or "ISSP Projects".
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. At a provincial level the introduction of the Informal Settlements Upgrading Partnership Grant (ISUPG) and the PRF IBS continues to create confusion.
Linked to the differing perceptions regarding the UISP and the ISSP, there is also confusion related to how each of these are funded. Specifically, the funding used for the undertaking of the work by the NGOs and intermediaries is not fully understood.

> **Overall Finding:** The relationship between the UISP and ISSP, and their funding models are not well understood by some municipal and provincial stakeholders.

10. Usage and standardisation of data collected as part of the ISSP

"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

At the start of the ISSP, the *data collection process was not standardised.* 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. This lack of standardisation makes the **data challenging to process** and the data cleaning requirements are extensive, generating a need for dedicated geo-spatial and **database management support for which capacity may not be readily available.**

Some municipalities have attempted to link this enumeration process to the implementation of tenure security strategies 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.

> **Overall Finding: The relationship between the UISP and ISSP, and their funding models are not well understood by some municipal and provincial stakeholders.**

11. The understanding of the housing consolidation and typologies

"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

Little engagement regarding housing typology options has taken place with the communities forming part of the case studies.
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.

> **Overall Finding: The relationship between the UISP and ISSP, and their funding models are not well understood by some municipal and provincial stakeholders.**

12. Land Management and Urban Land Markets and Sustainable Livelihoods

"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

The relational dynamics between rural and urban, and transient populations and their effect the development of trust in community participation In municipalities where agricultural driven economies saw significant immigration into informal settlement driven by work availability on farms.
Land availability and ownership presents a challenge for local municipalities the case studies these were most starkly revealed in the rural Western Cape; and relatedly there are varying views on the provision of services on non-municipal land
Management of settlement growth is a significant challenge and the ability of communities to assist with management is not adequately realised.

Overall Finding: The relationship between the UISP and ISSP, and their funding models are not well understood by some municipal and provincial stakeholders.

13. Operation and Maintenance of informal settlement structures

"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

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.

Overall Finding: Operation and Maintenance requirements and roles for interim and / or emergency basic services in informal settlements are not clearly defined.

This section includes a summary of the Conclusions, packaged through lens of ISSP Successes and Shortcomings, in relation to each of the Key Evaluation Questions.

KEQ 1: Since the inception of the ISSP in 2016 what has changed and how in the delivery of informal settlements projects and programmes?

There has been substantial change in the approach to informal settlement upgrading since the implementation of the ISSP in 2016, despite limited resources and COVID-19. However, the change has largely been limited to the planning and preparatory aspects of informal settlements upgrading, such as transversal visioning, transversal coordination, data collection, community leadership development and citizen participation and participatory planning. There has not yet been an increase in the pace of informal settlement upgrading.

WCDHS
At the level of the Western Cape Department of Human Settlements the ISSP has had the following effect:

- Since 2016, The ISSP has successfully increased the department's focus on holistic and transversal and participatory approaches to informal settlement upgrading as compared to pre-2016, but this still to be deepened, particularly in the Regional Implementation Directorates.
- There has been limited change in the approach to implementation of UISP projects by in implementers in the Regional Implementation Directorates with implementers unclear on the role of the ISSP as a programme.
- The ISSP has significantly increased the quality and availability of informal settlements data available for packaging project funding applications in the municipalities where intermediary work has been undertaken, and has been used by municipalities in some cases to apply for UISP projects.
- The ISSP has increased NGO sector capability through increasing NGO exposure to informal settlements projects, deepening the pool of organisations and skills available to support informal settlements upgrading going forward.
- The ISSP has not significantly incorporated private capability into informal settlement upgrading processes, meaning that under-capacitated municipalities have not been able to progress intermediary work beyond the initial phase. The international case studies incorporated in this study identified the incorporation of professional expertise to support under-capacitated public sector operators, in social facilitation and technical aspects of upgrading work.

WCG
- The ISSP Forum has improved transversal efforts to resolve informal settlements challenges, and this has also improved coordination with some key departments, in particular DEADP and DEDAT.
- The ISSP Forum has been less successful at improving coordination with other key sector department, in particular Social Development, Community Safety, Health and Education.
- Therefore, the ISSP Forum has been partially successful at institutionalising the ISSP as a transversal policy, and efforts to do so need to be deepened. International best practices, as shown in the international case studies presented in the full evaluation report, social infrastructure is as important as housing infrastructure in improving livelihoods as a result of upgrading projects.

Municipalities
- The ISSP has been successful in deepening the understanding of the need for holistic strategies to tackle informal settlements, particularly among municipal human settlements officials.
- The ISSP has not increased the pace of upgrading because of COVID-19 delays and Professional Resource Teams (PRTs) being appointed to continue work in only a few cases, meaning application and procurement processes still need to be undertaken in most cases.
- Municipal capacity and capability remain a concern and little progress has been made in most municipalities towards coordinating cross-department municipal wide responses to informal settlements.

Intermediaries
- ISSP intermediaries have generally improved trust, communication and information in settlements and municipalities.
- Intermediaries have been successful in empowering community leadership to engage with municipalities on upgrading issues, and thus improving active citizenship.
- In some cases intermediaries have mobilsed additional resources to support informal settlements upgrading and assisted informal settlement communities during COVID-19.
- In some case, the ISSP intervention is associated with the intermediary, rather than as a partner of the municipality and province (this is in part linked to capacity constraints), which limits the sustainability of outcomes when intermediary projects end.

Conclusions

KEQ 2: Is the ISSP being implemented according to its design?

In terms of implementation according to the design laid out in the in the ISSF and the ISSP implementation plan, limited resources have meant that only parts of the ISSP has been implemented according to plan. ISSP implementation has been narrower in implementation than designed in the ISSF, due to limited resources, COVID-19 and attempts at scaling to large numbers of settlements.

Provincial

- Prioritisation of resources towards intermediary support and the ISSP Forum has limited availability of capacity to develop tools to train stakeholders as originally intended in the ISSP.
- However, deploying intermediaries and establishing the ISSP forum have been successful to a degree in creating the conditions for informal settlement upgrading.
- Transversal relationships have been built to support ISSP work, but key roles still need to be defined for transversal partners, to ensure that the programme is transversally implemented, and execution is not limited to the WCDHS. As outlined in the previous section and the international case studies, social infrastructure, beyond just housing infrastructure is key to the successful upgrade of informal settlements and sustainable livelihoods.
- Monitoring and evaluation needs to be consistently implemented to ensure learning and improvement in the ISSP going forward. Activities such as reflective sessions between the ISSP unit and the intermediary organisations support this but need to be undertaken within a consistent framework.

Municipal

- Rapid onboarding of municipalities led to variations in intermediary works from across cases, where some municipalities have bought into the paradigm shift that the ISSP represents, while other have rather used it as an opportunity to gather data about informal settlement.
- There has been limited institutionalisation of municipal-wide programmatic approaches to informal settlement upgrading as envisioned in the ISSF.
- Municipal readiness to receive ISSP support has been mixed, and more attention should have been paid to a municipalities willingness and capability to absorb support at the outset.
- Context creates variations in intermediary work which makes intermediary matching and

municipal commitment key, and in some instance less experiences NGOs were appointed in very complex environments, which would have been better managed by more experienced NGOs.
- Upgrading is enabled by having professional skills and resources available on the completion of intermediary work, which has only been the case in limited instances. For the ISSP to efficient and sustainable these need to be available concurrently or as soon as possible on completion of intermediary work.
- Scoping of intermediary and upgrading work needs to be improved to ensure appropriate matching of intermediaries and municipal readiness for support.

KEQ 3: Are stakeholders being engaged as intended?

The stakeholder interviews and evaluation survey identified that nearly all municipal stakeholders (including municipal officials, community representative and NGOs) were satisfied with the ISSP programme and the engagement of the ISSP Unit.
- The stakeholder interview identified that in nearly all cases community leaders have been empowered, and are in a better position to lead their communities and constructively engage municipalities than before the introduction of the ISSP. This has included a reduction in conflict between municipalities and communities.
- Through this empowerment community organisation has been improved and a number of communities included in the case studies now demonstrate the ability to monitor and manage their own issues, such as settlement growth and addressing service issues.
- However municipal readiness for engagement is a common weakness amongst municipalities receiving support, this is at least in part due to insufficient preparatory work on the principle and objectives of the ISSP approach before providing support, as well as a lack of accountability for support received.
- Poor understanding of intermediary roles by some stakeholders has occurred due to low levels of institutionalisation in some areas, including parts of the WCDHS, some municipalities and community representatives. This weakness also occurs in part due to the projectised nature of intermediary work. Projectised nature of intermediary work is a risk to stakeholder engagement and its effectiveness.
- Transversal collaboration has improved through stakeholder engagement in the ISSP forum as well a bilateral engagement between the ISSP unit and other departments, transversal engagements need to be renewed and consolidated with several departments.

KEQ 4: Were there any barriers in executing the strategies of the plan?

The key barriers to the execution of the ISSP have been:

- ISSP Unit capacity has been a significant constraint. The unit only achieved its full current compliment of 3 professional staff in early 2020, and only has two additional supporting staff. This is a very limited staff compliment to coordinate, develop tools, implement, support key stakeholders and monitor a transversal and intergovernmental programme.
- WCDHS's wider limited capacity amongst planners, engineers, supply chain management to support ISSP work alongside current responsibilities is an additional limiting factor, as has been the lack of integration of ISSP responsibilities into the KPIs of wider WCDHS staff to provide more capacity to support ISU project implementation.
- Municipal capacity to absorb support is a barrier to the sustainability of improvements in participation, as is wider lack of municipal institutional arrangements to support informal settlements responses.
- Limited pool of NGOs means appropriate matching to context is critical as pool grows and other intermediaries should be considered. Poor matching in some cases was a limiting factor in some of the case studies undertaken as part of this evaluation.
- Administrative will is a barrier in some municipalities, where municipal official are disinclined to engage with informal settlements communities or consider a change in approach to the way they do business and adopt the paradigmatic shift envisioned in the ISSP.
- Slow access to professional resources to continue upgrading work to follow on from intermediary work has been a barrier to increasing the pace of informal settlement upgrading and makes the ISSP work less effective.
- The transversal engagement of the social development oriented departments has been a limiting factor and needs to increase to achieve ISSP Sustainable Livelihoods Objectives.

KEQ 5: What are lessons learned from the implementation, and can the successes be replicated?

- Institutionalisation is a prerequisite for success. This applies to the WCDHS, other provincial departments and municipalities. At the municipal level, Mossel Bay offers an example of how this can be done.
- Universal advocacy from across the WCDHS is necessary to ensure transversal engagement. This means that all WCDHS representatives on transversal forums need to encourage those forums to consider ISSP objectives in their processes.
- Capacity is required to support the implementation of the ISSP, across stakeholders. This includes within the ISSP Unit, in other directorates of the WCDHS, and at municipalities. This can be achieved to an extent through better institutional arrangement at local government level, but also through the appointment of professional resource teams.
- Implementation needs to be strategic to ensure support is absorbed and capacity is built. This means ensuring municipalities are ready to receive ISSP support, and are accountable for the work undertaken, and ensuring that intermediaries are appropriately matched with municipalities and informal settlements.
- Consistent reinforcement of the ISSP vision is key to ensuring the paradigm shift in the approach to informal settlements is the Western Cape, as has been shown in the international case studies.

This section includes a summary of the Recommendations. 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.

The recommendations are arranged in accordance with **specific themes:**

Theme 1	Theme 2
Enabling Institutional Arrangements and Mainstreaming at Provincial Level	Supporting institutional arrangements and mainstreaming at the local level

Theme 3	Theme 4
Capacity Building and Supporting Materials	Capacity Building: Human Resource Support

In the full report, additional detail regarding the recommendations are included, such as the proposed stakeholders associated with each recommendation using the RASCI (Responsible, Accountable, Support, Consulting, Informed) Framework.

In this summary as well as the full report, all recommendations have been categorised as follows.

- Quick Win
- Critical Long-Term
- Immediate Priority / Critical
- Non-critical Short-Term
- Critical Short-Term
- Non-critical Medium-Term
- Critical Medium-Term
- Non-critical Long-Term

All recommendations are proposals only, and are subject to review and adoption by the WCG.

Recommendations

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

Overview:
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 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.

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.

Immediate Priority/ Critical

1.2
Phase 2: Achieving transversal and vertical stakeholder (WCDHS, NDoHS, Local Municipalities) buy-in and support for the draft Implementation Plan; and finalisation of the updated Implementation Plan.

Immediate Priority/ Critical

1.3
Phase 3: Creating a fit-for-purpose Monitoring and Evaluation (M&E) Framework including an approach to the review of the updated Implementation Plan to track progress and update as required.

Immediate Priority/ Critical

2   Revision / Development of an ISSP extended organogram and institutional structure operationalisation

Overview:
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 is thus proposed 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.

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.

Immediate Priority/ Critical

2.2
Phase 2: Renew WCG transversal participation to ensure that the necessary stakeholders participate in the ISSP Forum.

Immediate Priority/ Critical

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.

Immediate Priority/ Critical

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.

Immediate Priority/ Critical

3   Continuation of the ISSP Forum

Overview:
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.

3.1
Continuation of the ISSP Forum to leverage the benefits of this transversal platform.

Quick Win

4   Provide feedback to ISU case study municipalities

Overview:
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.

4.1
Provision of feedback on ISU case study evaluation to selected Municipalities.

Quick Win

5 | Develop a provincial-wide strategic medium to long-term upgrading pipeline

Overview:

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). The strategic pipeline plan is iterative and must be updated as new information becomes available.

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. It is notable that this proposed pipeline plan speaks directly into the ISUPG requirements reflected in the 21/22 DORA.

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.

Immediate Priority/ Critical

6 | Improve alignment between ISSP outputs, WCG project approval application process and UISP project tranches, and enhance quality assurance and control

Overview:

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.

Therefore, it is recommended that a detailed assessment of municipal readiness and requirements for holistic ISU support be undertaken 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.

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.

Citical / Medium-Term

6.2

Development of a list of typical products / outputs to be offered through ISSP support to respond to stated needs.

Citical / Medium-Term

6.3

Phase 3: Development of SoPs for each of these support areas including guidance on when support can be offered.

Citical / Medium-Term

7   Development of a Provincial Data Collection and Data Governance Approach and Guideline

Overview:

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.

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.

Critical / Short Term

7.2

Implementation of guideline at the provincial level to support provincial pipeline planning.

Citical / Medium-Term

7.3

Implementation of settlement level and municipal level guidance at the municipal level.

Citical / Medium-Term

8   Development and Implementation of a guideline for local municipal level Institutional Arrangements in support of ISU institutionalisation

Overview:

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.

8.1

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.

Quick Win

8.2

Phase 2: Application of the Institutional Arrangements Guideline by local municipalities.

Citical / Short-Term

9

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

Summary:

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. 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).

9.1

Phase 1: Development of a template for a municipality-wide informal settlement upgrading strategy and programme by the WCDHS.

Immediate Priority / Critical

9.2

Phase 2: Completion of the template for a municipality-wide informal settlement upgrading strategy and programme by the Local Municipalities.

Critical / Short Term

10

Improving the participation of informal settlement residents in the IDP process

Summary:

In order to enable the mainstreaming of informal 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.

10.1

Engage WCDHS and local government officials to ensure ISF representation on ward committees and IDP forums.

Quick Win

11

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

Summary:

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, outcomes, challenges and risks with each community.

Furthermore, the work must culminate in the development of a social compact, noting that social compacting can also take place incrementally.

11.1

Development of a Community Engagement Execution Tracking Document by the WCDHS.

Quick Win

11.2

On-going completion of the Community Engagement Execution Tracking Document.

Quick Win

12   **Mainstreaming existing ISSP outcomes and outputs into various sector plans and databases**

12.2

Municipalities to review all outputs produced through the ISSP and integrate these into municipal forward planning documents and funding applications where applicable.

Quick Win

Summary:
During the ISSP implementation, NGOs/intermediaries were offered/deployed to municipalities to undertake community-based planning yielded various outcomes. It is important that the work produced be mainstreamed into the municipal planning process and documents, and that critical attention be given to how these outputs can advance the planning and budgeting process for informal settlements.

13   **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**

13.1

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.

Critical / Medium-Term

Overview:
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.

14   **Risk and Vulnerability Reduction in Informal Settlements**

Summary:
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.

14.1

Phase 1: Building a culture of safety and resilience through:
• Developing Programmes to raise awareness
• Including Disaster Risk Reduction in formal/informal education
• Enhancing the understanding, dissemination and use of Disaster Risk Reduction information

Quick Win

14.2

Phase 2: Disaster Risk and Vulnerability Assessment for Informal Settlements.

Critical / Medium-Term

15 Enhance existing ISSP webpage and use the launch as an opportunity to create awareness regarding the ISSP

15.1

Update to the ISSP Webpage.

Quick Win

Overview:

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 ISSP webpage be updated and relaunched, with additional relevant materials. It is important that if such an initiative is to be put in place, the necessary planning is undertaken to ensure the on-going updating and maintenance of such a webpage. This will form a rich repository of information and also showcase the work and progress the WCG has made with ISU to the benefit of the province and municipalities.

16 Enhance the understanding of the UISP Funding Application Process

16.1

Phase 1: ISU Funding Booklet / Slide Deck to explain and explore the WC ISU funding environment in the context of national policies and grants.

Immediate Priority / Critical

Summary:

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 and the shortened application process. 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 the core and regional provincial teams to the local level, further enabling the local municipalities to strengthen the practice of upgrading.

17 Strategy for responding to the needs of immigrants in the ISU context

17.1

Work with the National Department to develop a strategy for foreign nations (documented and undocumented).

Critical / medium term

Overview

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.

18 **Update the "Towards Incremental Informal Settlement Upgrading: Supporting municipalities in identifying contextually appropriate options" document with various modules**

Overview:
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 is thus proposed 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.

18.1	**18.2**	**18.3**	**18.4**	**18.5**
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.	Redevelop the Community-based Participatory Planning section into a module, update the content and incorporate guidance on incremental social compacting processes.	Redevelop the housing consolidation section into a module and update the content.	Redevelop Basic Services Section to a 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.	Develop a section providing guidance on urban management, containment strategies and densification.
Immediate Priority / Critical	**Immediate Priority/ Critical**	**Critical / Medium-Term**	**Immediate Priority/ Critical**	**Immediate Priority/ Critical**

19 **Continuation and improvement of the NGO/intermediary support and general guidance for cooperative service provider management**

Overview:
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 Utilise private sector expertise to support the and enhance private sector capacity); and improvements to the overall process.

19.1	**19.2**	**19.3**
General Guidance on the Appointment Process.	16.1.1.2 Post-Service Provider Selection.	Management of the service providers.
Critical / Short Term	**Critical / Medium-Term**	**Critical / Medium-Term**

20   Utilise private sector expertise and enhance private sector capacity

Overview:

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.

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.

20.1

Appointment of consultants to support the ISSP Unit in the short term with selected actions.

Quick Win

20.2

Establish a Panel of Professional Resource Teams (PRT).

Critical / Short-Term

21   Community Skills Development Programme

21.1

Developing a nuanced Community Skills Development Programme and aligning it with existing Provincial Community Development Programmes.

Medium Term / Non-Critical

Summary:

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 focussed on social facilitation, general mobilisation, information sharing, enumeration, and training in mapping, as well as livelihood enhancement strategies.

A\V/A

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