Western Cape Government
Human Settlements
BETTER TOGETHER.

TOWARDS INCREMENTAL INFORMAL SETTLEMENT UPGRADING

Supporting municipalities in identifying contextually appropriate options

ISANDLA Institute in partnership with pdg Committed to Develop Habitat for Humanity South Africa

The Western Cape Government is seeking to ensure that informal settlement upgrading is progressive in its orientation, incremental in its design and participatory in nature. To this end, the Western Cape Government has developed an Informal Settlement Strategic Framework (ISSF) with an associated Implementation Plan (for the period 2016-2030) and Monitoring and Evaluation Framework. It has also produced an Informal Settlements Prioritisation Tool, which assists municipalities in prioritising which settlement(s) to upgrade and what type of interventions to pursue. This document entitled Towards incremental informal settlement upgrading: Supporting municipalities in identifying contextually appropriate options is aligned with the ISSF and other project outputs and focuses on community-based planning, design, tenure, services and housing consolidation as core elements of informal settlement upgrading.

The documents have been developed for the Western Cape Government by Isandla Institute in partnership with PDG and Habitat for Humanity South Africa.

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ANNEX 1. DEFINING INFORMAL SETTLEMENTS 63

1. INTRODUCTION

1.1. THE WESTERN CAPE INFORMAL SETTLEMENTS CONTEXT AT A GLANCE

Informal settlements present particular challenges and opportunities for municipal planning, land use management, and the provision of public services and infrastructure. On the one hand, informal settlements show up the inability of municipalities and Province to come to terms with historical exclusion, urbanisation, demographic changes and economic realities. Municipal planning and infrastructure development, public service provision and the housing market have proven inadequate to respond to the demand for inclusive and affordable residential settlements in well-located areas. The public housing programme has also not been able to meet the demand; moreover, it has proven to be costly and has often been subject to poor planning decisions.

On the other hand, informal settlements show that people are creating their own solutions to address their shelter and livelihoods needs. These solutions show resilience and agency on the part of the poor, yet are in many respects inadequate to ensure that they live in healthy, dignified and enabling conditions. It is this resilience and agency that offers municipalities an opportunity to work in partnership with local communities in uplifting their settlements.

In non-metropolitan areas in the Western Cape, almost three out of four informal settlements have been in existence for 10 years or more, and one in four is over 20 years old. This shows that informal settlements can no longer be considered a temporary reality, but tend to offer long-lasting – yet highly deficient – shelter solutions to local residents.

Municipalities are placed at the forefront of efforts to improve these living conditions and transform informal settlements into liveable, integrated, vibrant and resilient neighbourhoods. They are expected to do so with a sense of purpose and a sense of urgency. Informal settlement upgrading plays a pivotal role in addressing the needs for tenure security, services, shelter and livelihood opportunities of a significant part of the local population.

It is important to acknowledge that municipalities are unable to upgrade informal settlements all at once, bearing in mind that settlement upgrading involves tenure security, the provision of basic services, social facilities, community amenities and top structures (either through subsidised housing or through facilitating access to self-help schemes), and the design of public space – all of which needs to be informed by a coherent plan for each settlement, which allows it to be integrated into the municipal fabric. Informal settlements need to be upgraded in an incremental and participatory manner, with an emphasis on developing settlement-level responses or interventions which are contextually relevant and tailored to community needs and priorities.

1.2. PURPOSE OF THIS DOCUMENT

The underlying imperative of participatory approaches to settlement upgrading sits central to this document, and the inclusion of community needs and priorities (through co-creation) is a core theme. To this end, multi-stakeholder partnerships are crucial to enable collaboration to take place. This approach not only gives municipalities the opportunity to engage with the residents of informal settlements to understand their needs; it also allows municipalities to express the need for residents to take responsibility for services supplied.

The purpose of this document is to act as the foundation for effective prioritisation, planning, implementation and maintenance of interventions in informal settlements. It seeks to assist municipal officials to co-create, in collaboration with informal settlement communities, design, tenure, services and shelter options that speak to the different types of informal settlements in their jurisdiction. Like all urban communities, informal settlements require layout planning, services, socio-economic amenities and housing. They also require the design and arrangement of tenure options appropriate to residents of the settlement. This document aims to simplify the concept of incremental upgrading and make it more practical, with reference to implementable methods.

1.3. HOW TO USE THIS DOCUMENT

This document is primarily meant for municipal officials, and is intended to guide municipal actions aimed at improving informal settlements through physical interventions. This document is not intended to be prescriptive, but instead aims to foster strategic thinking and creativity, stimulate discussions and encourage reflections by outlining a variety of options to guide municipal decision-making and the implementation of settlement-level interventions. The following components form part of this document:

- Section 2: Background and basic concepts
- Section 3: Planning for the formation of new settlements
- Section 4: Informal settlement upgrading elements (which outlines various options for settlement design, tenure security, basic services and infrastructure, community facilities and housing consolidation)
- Section 5: Conclusion

Within each of the upgrading elements discussed in Section 4, an outline is provided on the background and motivation for the specific element of upgrading, as well as an indication of the various options and their applicability (in terms of a description of the option, how it works and when it is suitable). Short case studies are included which clearly describe how the options have been implemented on the ground. In addition, a process flow mapping possible scenarios for intervention is included for each each option. This methodology will assist municipal officials in their decision-making, and should stimulate creativity in their upgrading approaches to realise contextually relevant, innovative and alternative types of service delivery and settlement development.

It is important to note that there is no formula or ‘right order’ to implement these processes in. Each settlement has different contextual realities and different needs which will determine the order in which these various processes will unfold.

This document has to be read alongside the Western Cape Informal Settlement Strategic Framework (which sets the tone for informal settlement upgrading) and the associated Implementation Plan (which outlines the various actions at provincial and municipal level to achieve the desired settlement-level outcomes) and Monitoring and Evaluation Framework. Municipalities may also want to use the Informal Settlements Prioritisation Tool, which assists municipalities in prioritising which settlement(s) to upgrade and what type of interventions to pursue.

2. BACKGROUND AND BASIC CONCEPTS

2.1 DEFINING INFORMAL SETTLEMENTS

Informality is a very broad thematic subject and, in the context of human settlements, can cover many aspects relating to informal settlements, backyarders, overcrowding and so forth. Informal settlements are mostly characterised by lack of tenure rights, irregular layouts, non-compliance with planning and building regulations and limited access to services. They are also associated with higher vulnerability and risks. Annex 1 summarises how informal settlements are defined in different policy-related documents.

The following are common characteristics of informal settlements:

- Unplanned and often located in geographically disjointed areas;
- Lack of tenure security where residents do not have legal claim to the land which they occupy;
- Unhealthy living conditions due to high densities and limited access to services;
- High levels of risk and vulnerability, in part due to their location in environmentally hazardous areas and as a result of high levels of poverty and social stress.

While these characteristics by and large speak to physical and legal realities, the Western Cape Informal Settlement Strategic Framework is explicitly informed by an appreciation that informal settlements are ultimately inhabited by people and that these settlements offer low-cost shelter solutions and opportunities for livelihood and services to inhabitants.

2.2 HOW INFORMAL SETTLEMENT UPGRADING CAME ABOUT IN SOUTH AFRICA

In 1994 approximately 300 recorded informal settlements existed in South Africa. By 2013 there were more than 2 600 settlements which were estimated to house between 1.1 million and 1.4 million households. Despite the prerogative of the National Department of Human Settlement (NDoHS) to provide state-subsidised houses to all South Africans, high rates of urbanisation, population growth, financial constraints and rising development costs have made it impossible to keep pace with the demand. Informal settlements therefore continued to arise and expand where land and space was available for occupation. The cost to build a minimum of 1.2 million houses, with the necessary provision of bulk infrastructure and land, became near impossible to achieve within required time frames.

After considerable research and the commissioning of an appraisal of 16 pilot projects to evaluate the progress of informal settlement upgrading in South Africa, it became clear that the normative approach to 'eradicate informal settlements' (i.e. With the standard Reconstruction and Development Programme (RDP) package to provide land, a serviced stand and top structure) by 2014 was unrealistic and unobtainable. The national mandate has subsequently shifted from providing houses to developing human settlements, and thus the emphasis landed on informal settlement upgrading.

In order to achieve the mandate to upgrade all informal settlements by 2014, there was a need for a radical shift towards incremental upgrading of informal settlements as stated in the Part 3 of the National Housing Code. The National Upgrading Support programme (NUSP) was therefore put in place to provide technical assistance to provinces and municipalities for the development and implementation of upgrading programmes and projects; to supply capacity building and training to practitioners and community members in the field of informal settlement upgrading; and to offer knowledge services and information dissemination to the upgrading community of practice.

After informal settlement upgrading became a national mandate, the Upgrading of Informal Settlements Programme (UISP) in the National Housing Code began to be fleshed out. It became clear that municipalities face a number of challenges and contradictory land and housing situations that make informal settlement upgrading very complex. It also became apparent that there is no well understood incremental in-situ settlement upgrading model, and despite progressive policies, the implementation of settlement upgrading interventions on a local municipal level is still primarily focused on isolated turnkey housing delivery projects on greenfield sites with associated mass relocation of individual households to peripheral locations.

2.3 CONTEMPORARY PRACTICES IN INFORMAL SETTLEMENT UPGRADING

'Incremental' refers to an intervention that it is not a once-off action, but rather a step-by-step process where different actions, or products, interlink and overlap, bringing a developmental change over time. These 'actions or products' are also processes in themselves.

Incremental informal settlement upgrading is therefore a staged process of improving the quality of life of people residing in informal settlements, based on the provision of services, tenure and amenities over a period of time and in relation to a medium-term spatial and investment plan. The main shift between incremental upgrading and mainstream, conventional housing developments for the low-income segment of the market is a change of focus at different levels:

- Firstly, subsidy programmes are output-oriented aimed at the provision of complete top structures in a turnkey manner. Conversely, incremental upgrading is both process- and outcome-oriented aimed at creating an enabling environment to allow for a wide range of improvements in informal settlements and neighbourhood actions.
- Another important shift is the move away from relocations to greenfield development (which have always been the default approach to 'eradicating' informal settlements) to in-situ upgrading which focuses on improving living conditions and tenure security in the very location where people reside.
- Finally, incremental upgrading is premised on a participatory development planning process to guide phased development, and is intrinsically linked to community needs and priorities.

Figure 1 shows the key elements of informal settlement upgrading.

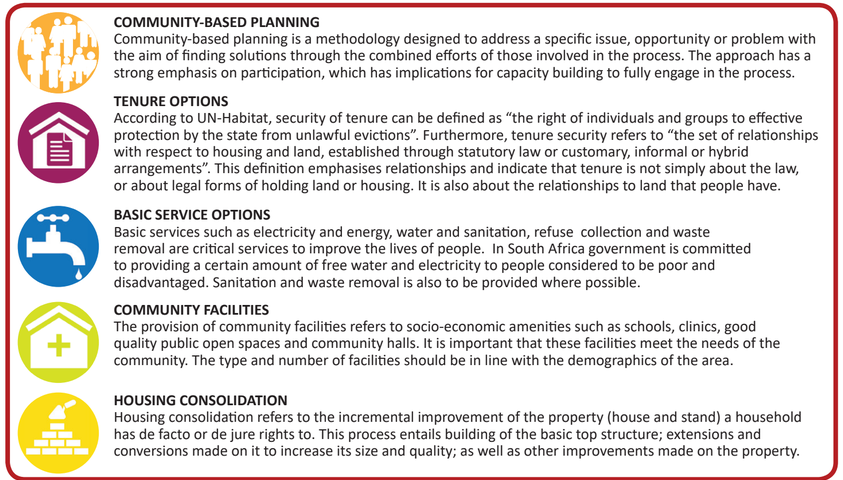


Figure 1: Incremental informal settlement upgrading elements

The objective of upgrading is to improve the quality of life of people in informal settlements through an array of interventions which include, but is not limited to, improving access to land; secure tenure; services and social infrastructure; economic opportunities; finance and incremental housing opportunities. Moreover, upgrading seeks to address social and economic exclusion by focusing on community empowerment, the promotion of social and economic integration, building social capital through participative processes and addressing the broader social needs of society. To this end, dignified living is one of the main objectives of settlement upgrading.

2.4. CATEGORISATION OF SETTLEMENTS AND APPROACH TO UPGRADING

In order to assist in identifying and better understanding informal settlements within a particular provincial or municipal context, and analyse them according to various developmental responses which are appropriate and achievable, settlement categories have been created (and captured in the HDA Rapid Assessment and Categorisation Guidelines) to enable the strategic prioritisation of informal settlements for different developmental responses, which in turn informs provincial and municipal planning and budget allocations for settlement upgrading.

These guidelines identified four categories for informal settlements based on two main criteria:

- The viability (or not) for the site to be developed based on topography, geo-technical conditions, existing servitudes, etc.
- The readiness for the project to be implemented based on availability of budget, bulk service availability, etc.

Based on these criteria, four categories are determined. These categories are illustrated in Figure 2.

Settlement categorisation makes use of readily available information (such as desktop analysis and rapid on-site assessments) and does not entail specialist studies. The protocol of categorisation is informed largely by the need to determine, at a relatively early stage in the project process, the potential for long term formalisation on land which is informally occupied. As such, site developability is the main determinant in categorising informal settlements.

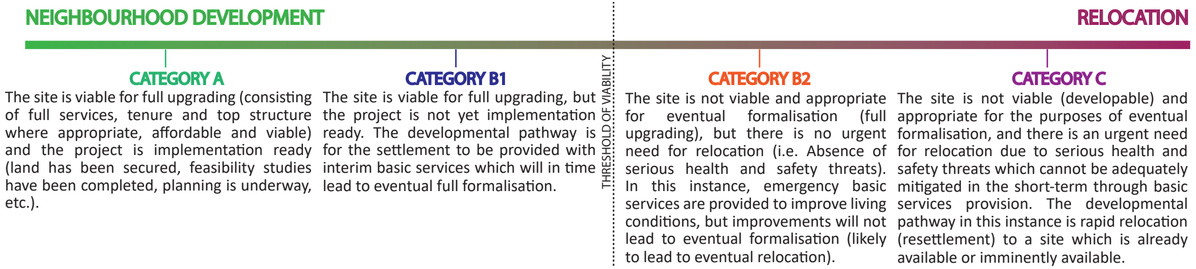


Figure 2: HDA informal settlement categories

2.5. HOW TO BRING INCREMENTAL UPGRADING AND PARTICIPATION CLOSER TO PRACTICE

A key question is how to bring the concept of incremental upgrading to practice. This document intends to assist municipal officials to manoeuvre through the various processes which are required to incrementally upgrade an informal settlement as per the elements reflected in Figure 1.

It is important to note that there is no formula or 'right order' to implement these processes in. Each settlement has different context realities and different needs which will determine the order in which these various processes will unfold.

Another major challenge for practitioners who work in informal settlement upgrading is to bring incrementalism and participation to an implementable reality. Working groups and community-based planning processes are two methods used to action informal settlement upgrading in a participatory manner. Working groups refer to the collaboration of all relevant stakeholders throughout the duration of the project roll-out. This includes representatives of the settlement or broader community, the land owner (if possible), municipal and other government officials, politicians, supporting organisations, and other technical support. Working groups meet on a regular basis to discuss the progress of the upgrading project, as well as address the challenges faced. The process of community-based planning is discussed in more detail under Section 4.1.

2.6. NEIGHBOURHOOD DEVELOPMENT PLANNING

Informal settlements are residential entities with associated social and economic activities to support the livelihood needs of households. Whatever the construct of informal settlements, it is important to see them in direct relation to the spatial context they form part of. Like any other residential area of a municipality, informal settlements need to be well-connected into the municipal fabric.

It is for this reason that the development of a neighbourhood development plan takes place alongside and in tandem with Spatial Development Frameworks (SDFs) at the local, regional and municipal level.

Neighbourhood Development Planning must be integrated into the municipal planning and budgeting processes

Neighbourhood development plans should also look at the area from an internal point of view, and should take into account a series of factors which are interrelated and have an impact on the final layout of the settlement.

Spaces must be created in between top structures for the purpose of access and installation of pipes and scales for infrastructure services

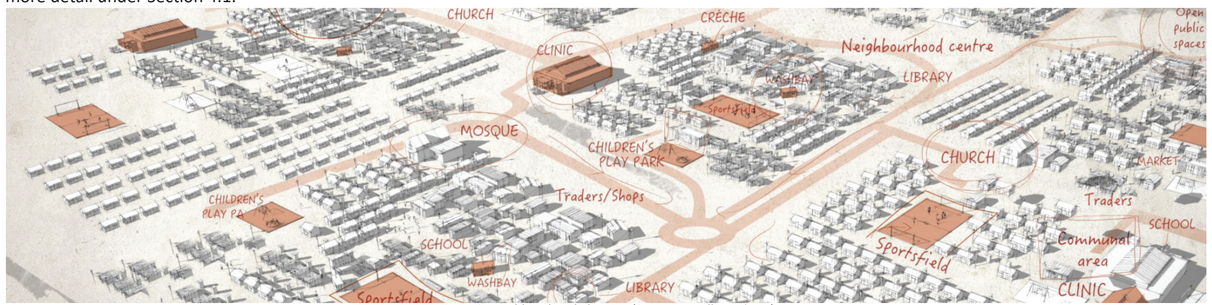


Figure 3: Neighbourhood Planning (Source: Isandla Institute)

3. PLANNING FOR THE FORMATION OF NEW SETTLEMENTS

One of the key lessons learnt with regards to the proliferation of informal settlements in South Africa is the need for municipalities to be able to anticipate population growth and settlement formation, and to accommodate the anticipated increase in a planned manner that is dignified, feasible and sustainable.

There are numerous social, economic, political and structural reasons for the 'settling' of groups of people, and these informal settlements can happen through processes of relocation or land invasion, through expansion or densification of an existing township or informal settlement, or can be stratified over time by disconnected households.

Part of the anticipation of settlement formation or establishment is to understand where communities might expand to or new-comers may decide to settle. These decisions made by people are dependent on a number of factors connected to livelihoods, opportunity and availability of external resources.

3.1. HOW TO ANTICIPATE SETTLEMENT FORMATION

Due to the high urbanisation rates experienced in countries across Africa, it is essential that municipalities in South Africa are able to anticipate population growth within their jurisdiction. Of course, it is not finite that growth will happen in every town or city or rural area. Nonetheless, municipalities should be capacitated to understand the push and pull factors that result in population changes. It is also important for municipalities to anticipate where people might settle and thus how urban development will take shape. This is called 'scenario planning'.

Scenario planning allows municipalities to plan for the future development of their jurisdiction by calculating estimates of change in population increase or decrease. This is done by using specific qualitative and quantitative indicators to analyse what economic, political and social factors at micro- and macro scale, will impact on settlement establishment. Such indicators include:

- Economic: Growth, decline and changes in sectors at a macro- and local economic level
- Political: Global, national and local political changes that will redirect governing policies and programmes
- Social: Change in technology, medicine and family practices that determine birth and death rates, natural population growth projections based on historical growth rates/statistics and projected in-migration, and a change in household characteristics such as size and income, etc.

Scenario planning should happen on a short-, medium, and long-term basis with a projection of at least 30 years. In order to anticipate the settlement patterns of people, municipal officials can map the potential sites of new settlement formation or existing settlement densification. With this information, creative methods to accommodate the increased population can be developed in advance.

3.2 ACCOMMODATING POPULATION GROWTH

The accommodation of population and settlement change must happen over time periods and at different structural levels. In other words, the municipal plans and systems must integrate new developments, and specific approaches to accommodate these developments must be unpacked in order for it to be implementable.

The primary methods for accommodating population growth are through managed land settlement and densification. Managed land settlement is primarily about coming up with a proactive approach to land release and accommodating the incremental development of this land. It involves planning for new settlement formation within existing neighbourhoods based on expected/projected growth. Sound baseline data, refined growth projections and good spatial planning form the backbone of managed land settlement, and if well executed, has the potential to aid tremendously in managing the proliferation of informal settlements in the Western Cape. Managed land settlement is essentially a process where people settle on land in an organised and planned manner with access to basic services and basic tenure, and they start to build their own houses with their own resources. In this approach, government is able to return at a later stage and assist with upgrading and improving the environment.

Densification on the other hand is essentially increased use of space, both horizontally and vertically, within existing areas and new developments, accompanied by a higher population threshold and/or an increased number of housing units. In the instance where existing townships or informal settlements are densifying, existing house owners could be assisted with building regulatory standards, town planning approvals and finance to extend on their properties in order to provide quality rental stock. Similarly, municipalities could work with and assist building owners to build affordable accommodation, or government itself could build apartments for rent or to buy. Provision of a range of housing typologies and tenure options are vital due to the diversity in households migrating to urbanised areas.

4. INFORMAL SETTLEMENT UPGRADING ELEMENTS

This section details the various options for settlement planning and design, tenure security, basic services and infrastructure, community facilities and housing consolidation in informal settlement upgrade interventions.

Each of the upgrading elements is discussed as follows:

- An introduction explains what this element entails and why this is important for incremental informal settlement upgrading.
- This is followed by a brief description of options available, how each option works and under what conditions it is most suitable.
- Short case studies from local and international practice are included to illustrate how various options have been implemented.

Each section concludes with a process flow mapping possible scenarios for intervention.

The purpose of this section is to assist municipal officials in thinking through the available options that are most suited to particular local realities and specific settlements, and in making decision-making related to informal settlement upgrading transparent. The document should not be read as being prescriptive, nor is it offered as a step-by-step operational guide. While the document presents the elements in a particular order, it is not suggested that there is a fixed order in which these actions need to be pursued. Each settlement has different contextual realities and different needs which will determine both which options are most suitable and the order in which these various processes will unfold.

However, community-centred approaches and solutions should be at the heart of any informal settlement upgrading intervention. Figure 4 shows how tenure, design, servicing and housing options should be informed by community-based planning.

Figure 4: Relationship between the five incremental informal settlement upgrading lements

COMMUNITY BASED PLANNING

BACKGROUND AND MOTIVATION

The planning and design phase is of critical importance in the informal settlement upgrading process, and the focus lies on co-creation and co-production and creating avenues for community participation and contribution. The overarching objective is to focus on minimising relocations and to determine how developable space can be optimised. Community-based planning is a methodology designed to address a specific issue, opportunity or problem with the aim of finding solutions through the combined efforts of those involved in the process. The approach has a strong emphasis on participation, which has implications for capacity and capability to fully engage in the process. Due to this, intermediary (support) organisations play an important role to facilitate capacity building, social cohesion and empowerment. In community-based planning processes, community action plans (CAPs) are produced by communities themselves which not only defines what projects and programmes should be implemented in the settlement, but also how these should be implemented, managed and maintained overtime, as well as who are the relevant stakeholders to be involved in each part of the process. In short, a CAP outlines prioritised projects and interventions, and explains how communities will work alongside other project partners such as municipalities and external organisations to implement, maintain and sustain these priority initiatives. There is an array of sub-processes with inter-connected elements under the banner of community-based planning, and it is important to understand that all these elements are needed (as it is a planning process), and none of the steps can be seen as optional. It is also important to understand that community-based planning cannot be done in isolation, and that should not be the intention. Rather, community-based planning should be considered alongside municipal strategic planning and resource allocation (where municipal planning identifies strategic development priorities and undertakes spatial planning, and community-based planning generates the detail required for settlement-level interventions).

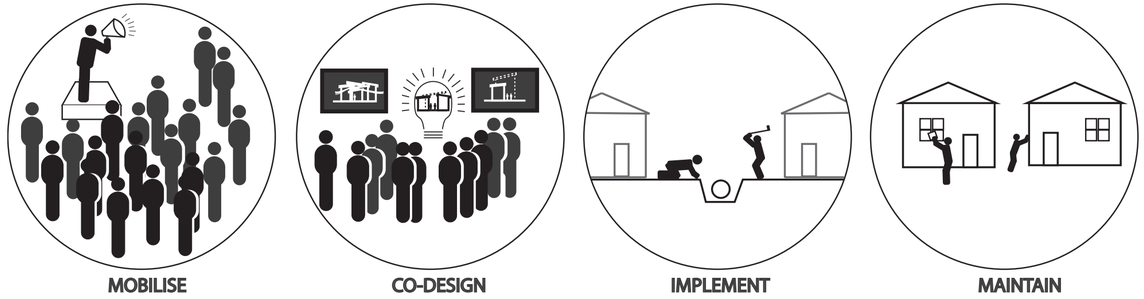


Figure 5: Community action planning elements

OPTIONS AND APPLICABILITY

OPTION	DESCRIPTION	HOW DOES IT WORK	WHEN SUITABLE (CRITERIA / CONDITIONS)
COMMUNITY MOBILISATION AND PARTICIPATION	Process of capacity building and awareness creation through which communities are empowered and enabled to take part in a participatory planning and upgrading intervention. This process is undertaken specifically to strengthen community voice and facilitate community buy-in and ownership of the planning and upgrading process.	A facilitated process with focusing on creating awareness of forthcoming development involves community capacity building and training of a community technical team (task team/steering committee responsible to inform planning and layout design from a community perspective).	Required when there is insufficient capacity and leadership on a community level to drive and inform upgrading and development processes (to the extent where the community can work alongside technical project partners such as municipal officials and private sector consultants). Extent of support and capacitation could be dependent on existence (and capacity in terms of resource availability) of local intermediary organisations.
HOUSEHOLD ENUMERATION	Process of creating a comprehensive household-level socio-economic and demographic profile of a settlement, which includes capturing tenure security status, level of services, access to facilities and the development aspirations and immediate needs per household.	Working alongside the community, develop a survey tool (such as a questionnaire) which can accurately capture the information required to inform planning and decision-making. Accurate settlement-level data is of utmost importance to inform participatory planning and infrastructure delivery, and to inform other interventions such as social assistance.	Required when there is insufficient settlement-level data to confidently make planning decisions, or when an enumeration exercise was not undertaken in the past 12 months. Data should be maintained and updated on an on-going basis to ensure future upgrading interventions are contextually appropriate and relevant. Extent of support could be dependent on existence (and capacity in terms of resource availability) of local intermediary organisations.
SETTLEMENT PROFILING AND MAPPING	Process of capturing the exact spatial location of municipal services (communal taps, sanitation facilities, etc.) and social facilities (community amenities, schools, health facilities, transport, etc.) using GIS technology. This information is of critical importance to ensure that community planners understand the spatial distribution of services and facilities to inform participatory planning exercises.	Train community members how to plot all services and facilities in their respective settlements on a GPS. These coordinates are then fed into a GIS system which creates a spatial overview of the various points of interest. Settlement-level maps are then created using this data, which is important to guide community-based planning and inform decision-making.	Required when there is insufficient GIS information on settlement-level services and facilities (fine-grained information such as access points, beyond the municipal reticulation network/bulk distribution lines). Data should be maintained and updated on an on-going basis as access to services and facilities improve. Extent of support could be dependent on existence (and capacity in terms of resource availability) of local intermediary organisations.

COMMUNITY BASED PLANNING

OPTIONS AND APPLICABILITY

OPTION	DESCRIPTION	HOW DOES IT WORK	WHEN SUITABLE (CRITERIA / CONDITIONS)
ASSET IDENTIFICATION	Process of identifying key community assets and capitals (human, social, natural, physical and financial). It is important to identify existing assets which can be unlocked and/or leveraged to support/enable participatory planning and community-driven upgrading and development. Asset identification is furthermore crucial in identifying asset gaps and community needs.	Intermediary (support) organisation(s) work alongside the community to identify all existing assets in the community (beyond what was captured through settlement profiling and mapping). The various community strengths and resources are inventoried and depicted spatially (where possible), and the interconnections between the various assets are identified to ensure an in-depth understanding of the various interdependencies. This process is closely related to a livelihoods analysis, and is an important step in understanding how to build on current assets to improve the overall well-being of a community.	Required when there is insufficient knowledge and understanding of existing assets in a community (beyond physical assets that are visible). Assets and their interdependencies/interconnections need to be updated on an on-going basis to ensure a contextual understanding of the settlement. Extent of support dependent on existence (and capacity in terms of resource availability) of local intermediary organisations.
PARTICIPATORY PLANNING	Participatory planning is a culmination of all the above steps, and is a process of utilising enumeration information, profiling data and existing assets of a particular settlement and working alongside the residents to come up with an upgrading layout plan, as well as long-term development vision for their settlement.	Intermediary (support) organisations work alongside the community to develop an upgrading layout plan and long-term vision which reflects and addresses community needs and development aspirations. The actual community-based planning step is of crucial importance to ensure that an upgrading plan is devised which can give clear guidance to the local municipality in terms of resource allocation for infrastructure spending and service delivery, tenure security, the provision of social facilities and other social and economic development interventions.	Required when a participatory planning process (involving all the above steps) has not been done in the last 12 months. Quality of the participatory planning process and extent of support dependant on existence (and capacity in terms of resource availability) of local intermediary organisations, as well as on the capacity, willingness and commitment of the community in question.

COMMUNITY MOBILISATION

Implementing Agents

Informal Settlement Network (ISN)

Project Location

Durban, South Africa

CUSTOM-MADE PARTICIPATORY ACTION PLANNING

IMPLEMENTING AGENTS

Development Action Groups (DAG)

PROJECT LOCATION

Cape Town, South Africa

Development Action Group had developed an emerging theory of change operating at three integrated levels (Systemic, Human Settlements, and City-wide perspective), premised on collaboration and citizen aspiration. With respect to Human Settlements, they promote accelerating service delivery and infrastructure delivery within specific settlements, neighbourhoods and precincts, by fostering and supporting a citizen-driven agency that results in innovative projects interconnected in two ways: a shared agenda around catalytic community-based projects; and strengthening and supporting citizens, local leaders, CBO's, NGO's and other stakeholders from across targeted human settlements in the city who act as a collective, with a shared consciousness and city-wide urban transformation agenda.

During their work on NUSP projects, DAG provided facilitation and planning support to the CoCT across 25 informal settlements, and developed participatory planning tools.

The overall objective of the contract was to enhance the capacity of CoCT officials and affected communities to develop robust informal settlement upgrading plans, using a participatory planning process.

DAG adopted a programmatic, principled and phased approach to their facilitation services, designing and implementing a custom-made participatory action planning methodology in the identified informal settlements.

DAG designed an overarching framework within which to locate the core elements of their approach to ISU and developed a phased approach to the facilitation and participatory action planning process, which involved six phases.

ASIAN COALITION FOR COMMUNITY ACTION PROGRAMME (ACCA)

IMPLEMENTING AGENTS

Asian Coalition for Housing Rights (ACHR)

PROJECT LOCATION

Various Asian cities

The Asian Coalition for Community Action Program (ACCA) is a program of the Asian Coalition for Housing Rights (ACHR) which supports a process of citywide and community-driven slum upgrading in Asian cities. Urban poor community organizations are the primary doers in planning and implementing projects which tackle problems of land, infrastructure and housing at scale in their cities, in partnership with their local governments and other local stakeholders. The ACCA Program did not come out of the blue, but builds on the initiatives that have already developed in most countries in the Asia region, by community organizations and their supporting groups, and it draws on their combined experiences, mistakes and learning over the past 25 years. The program is an important tool for making change in situations of poverty - a tool which belongs to Asia's urban poor and to all these active groups, and which is helping them to grow and to make changes in their cities.

COMMUNITY MOBILISATION AND PARTICIPATION

LANGRUG

Implementing Agents

Habitat for Humanity South Africa (Habitat SA), Informal Settlement Network (ISN) and the Community Organisation Resource Centre (CORC)

Project Location

Langrug, Franschhoek, South Africa

VIOLENCE AND PROTECTION THROUGH URBAN UPGRADING (VPUU)

IMPLEMENTING AGENTS

Sustainable Urban Neighhbourhoods (SUN)
City of Cape Town

PROJECT LOCATION

Cape Town, South Africa

The elements of VPUU follow a strategic approach according to a clear methodology based on analytical elements of the current situation (Baseline Survey), a prioritisation process in cooperation with community members and their representative bodies (Prioritisation of Interventions). Based on these two elements a strategy is developed which informs individual interventions that make up the strategy. These individual interventions are developed in partnership with the residents and their representative bodies. Implementation is done by using local resources as much as possible.

Arguably the most important achievement to date has been the completion of the enumeration process. This is an essential element which will help to unlock the further development of the area.

This enumeration process is the largest the City has ever undertaken with 6 470 households, or 25 000 people involved. The enumeration process is absolutely critical as it enables the City and its partners to have an up-to-date, accurate and locally accepted list of who currently lives in the area and under which conditions.

It allows for the compilation of strategic information which informs planning, decision-making, land use management, service delivery and tenure security.

In addition, the full geo-location of all dwellings gives people an address, which in turn allows for tenure certificates to be issued.

KARACHI 'GOTH' VILLAGES

IMPLEMENTING AGENTS

OPP-RTI
Asian Coalition for Community Action (ACCA)

PROJECT LOCATION

Karachi, Pakistan

With land speculation expanding fast, Karachi's traditional 'goth' villages are increasingly targeted for eviction by the government and real estate mafia. The ACCA support has helped OPP-RTI to work with these communities to survey and map their settlements, research land ownership, set up savings groups, develop their infrastructure, improve their houses and advocate for secure tenure with the government.

The grant given was used to set up a housing loan fund, which gives small loans to build or repair their houses - especially in cases where people's houses have been unlawfully demolished in the tenure struggle.

HOUSEHOLD ENUMERATION

ASIAN COALITION FOR COMMUNITY ACTION (ACCA) PROGRAMME

Implementing Agents

ACCA

Project Location

Various Asian cities

ACCA PROJECTS

IMPLEMENTING AGENTS

ACCA

PROJECT LOCATION

Various Asian cities

It is important for the citywide upgrading process to begin with some kind of comprehensive, citywide view and citywide understanding of the scale of problems, so in almost all of the 183 cities in the ACCA Program, some kind of citywide survey or preliminary information gathering has been carried out. Some of these surveys are comprehensive and include socio-economic enumerations of all the individual settlements in the city, while others cover only certain districts or wards where ACCA projects are being implemented, or focus only on communities with serious land problems. In many cities, the surveyed slums have all been mapped - both within the settlements and on the city map. In many cities, groups have also mapped and gathered ownership information about possible vacant land for housing and about formal development plans which may affect communities.

Some groups have been using the tools of citywide and settlement-level mapping as part of their planning and advocacy for quite a while, but in the last couple of years of the ACCA program, mapping has really taken off.

Community networks in Bangladesh, Thailand, Philippines, Indonesia, Nepal, Myanmar, Vietnam and Pakistan are now working with community architects and community-based technical helpers to map their settlements, and they are using the information they gather in those maps to plan and to negotiate for land, secure tenure, resources and support from their cities. Here are some thoughts on the mapping process from Malee Orn, a community leader in the railway settlements in the Northeastern Thai city of Khon Kaen:

‘In my city, the community people first draw maps of their settlements the old-fashioned way, by hand, to understand who lives where and how their houses relate to the railway tracks, what are the problem areas, and other infrastructure. Then, we use simple GPS applications on our mobile phones to plot the houses and then superimpose these digital survey maps on the satellite images of the settlements. It sounds very sophisticated, but these new technologies have made it possible for all of us to do what used to require trained surveyors. On the computer, each house can be clicked, and that brings up a full page of detailed survey information about that family (names of family members, savings, history of tenure). Each household has a ten-digit identification number, which is posted on the house, and that number corresponds to the survey map and survey information in the computer.

The survey is important because now everybody is on the map! Most of these houses don’t have a house registration and are invisible on the city’s database. But with these maps, they are no longer invisible - they are part of the information. We can now negotiate with the government with very precise data - it’s all there in the computer, better than any data the municipal government has. When we link this survey information and digital mapping with the official aerial photos of the town, nobody can lie and say these houses are not there. This makes for a very powerful credibility in our negotiation process. And we are doing this not only in Khon Kaen. We have surveyed all the houses on railway land, from Khon Kaen to Korat, about 150 kms away.’

VPUU - MONWABISI PARK

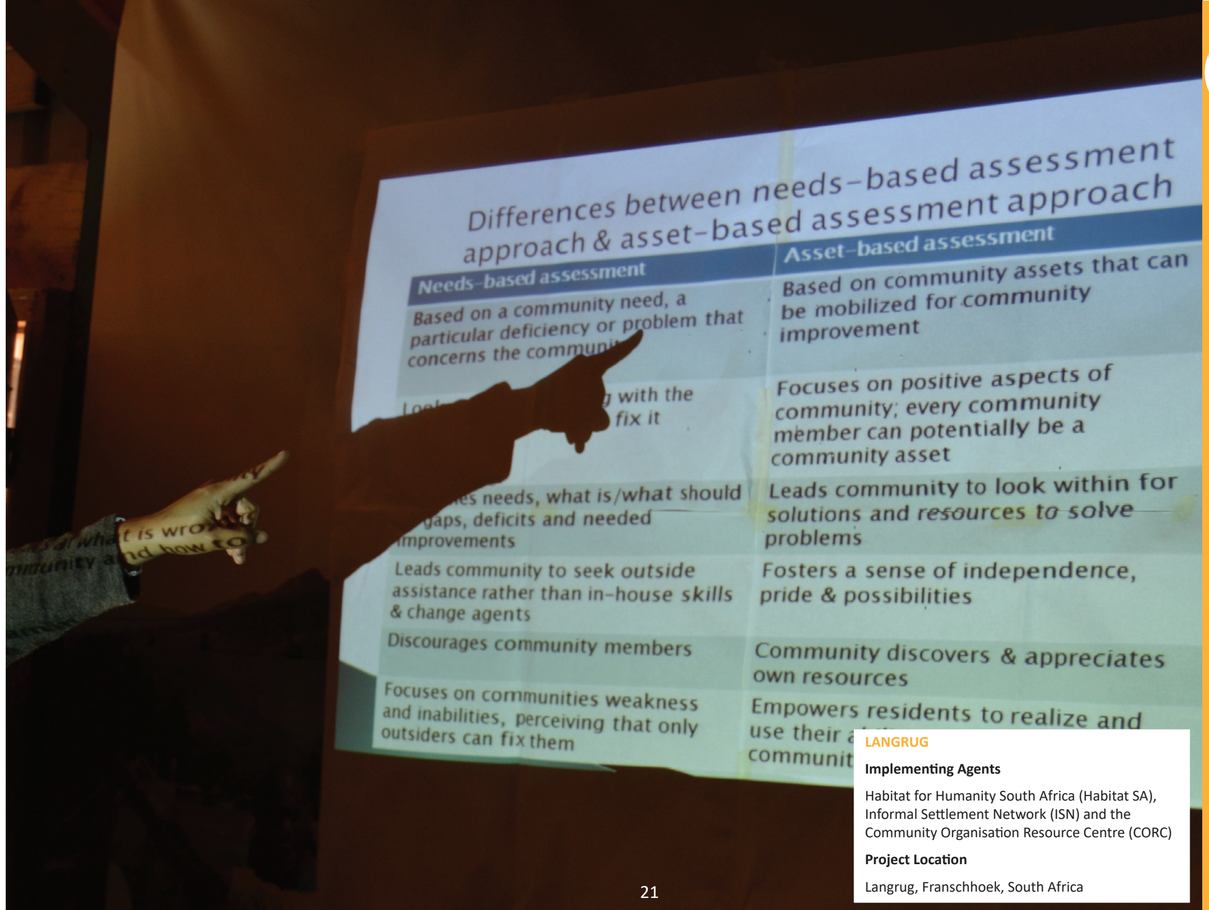
IMPLEMENTING AGENTS

SUN Development

PROJECT LOCATION

Cape Town, South Africa

Monwabisi Park is an informal settlement in the township of Khayelitsha, Cape Town that has been chosen by the City to be a pilot community for innovative, sustainable community upgrading. In early 2013, Monwabisi Park was identified as a study area by VPUU. VPUU is a group based in the City of Cape Town, and uses social engagement and town planning as tools in fighting crime in Khayelitsha, mainly to improve living conditions of residents. VPUU, together with the community of Monwabisi Park, collected the data through questionnaires and mapping each household structure. This is a more democratic application of GIS, which allowed the community to participate and contribute to the body of knowledge known as Participatory GIS (PGIS).



LANGRUG

Implementing Agents

Habitat for Humanity South Africa (Habitat SA), Informal Settlement Network (ISN) and the Community Organisation Resource Centre (CORC)

Project Location

Langrug, Franschhoek, South Africa

LANGRUG

IMPLEMENTING AGENTS

Habitat for Humanity South Africa (Habitat SA), Informal Settlement Network (ISN) and the Community Organisation Resource Centre (CORC)

PROJECT LOCATION

Langrug, Franschhoek, South Africa

Habitat SA, CORC and the ISN were appointed as sub-consultants to provide participatory-based planning support in terms of a NUSP technical assistance to the Langrug informal settlement in Franschhoek in the Stellenbosch Local Municipality. An important component of the work included the formulation of a sustainable livelihoods framework. Habitat SA (with the support of the ISN and CORC) facilitated numerous workshops in the Langrug informal settlement which focused on capacitating community members on the concept of asset-based community development (ABCD), as well as the identification of various natural, physical, social, financial and human capitals in the settlement. The outcome of this process was a compendium of community assets per sub-section (settlement block), which formed the basis for the sustainable livelihoods framework and CAP. The asset mapping exercise (supported by household enumeration data) provided guidance to the drafting of a layout plan for Langrug (as part of the NUSP contract deliverables).

FLATS OF DU NOON

IMPLEMENTING AGENTS

Wolf Architects

PROJECT LOCATION

Du Noon, Cape Town, South Africa

The extraordinary income-generating potential of the flats in Du Noon and their morphological innovation is what sparked interest in this study. Over the past decade, a new type of privately developed, rentable housing market started emerging in Du Noon, Cape Town. As an economic model it is similar to the renting of backyard shacks, but the rentals are three times higher on average.

Du Noon is zoned as 'Informal Residential'. This zoning has facilitated the development of rentable housing, due to it placing unlimited restrictions on the number of units per erf, provided that the primary use is for residential purposes. Many of the flat buildings have a shop on ground floor, one building even provides rentable office space. The mix of functions in these buildings, and the extreme density of flats per erf, has resulted in buildings that push right up to the road edge and therefore participates in the spatial definition of the street.

UNLOCKING LAND FOR MICROENTERPRISE GROWTH (ULMEG)

IMPLEMENTING AGENTS

Sustainable Livelihood Foundation (SLF), Urban Works, South African Breweries

PROJECT LOCATION

Delft, Cape Town, South Africa

The Project advances the achievements of the Foundation's Formalising Informal Micro-Enterprises (FIME) Project. The FIME project developed an important repository of data and new knowledge on the workings of informal micro-enterprises in South African townships. Over five years, the FIME project has identified some of the major constraints to micro-enterprise growth. One of these constraints relates to land.

Land constraints and market rigidities affect enterprise development in several respects. We have identified five areas where land issues have a strong impact. These are:

•Absence of land, insufficient access to land and unavailability of land for commercial development.

•Land tenure insecurity, including the non-issueing of land titles/title deeds.

•Inflexible land use plans (zoning) and land management laws (including by-laws).

•Poor alignment between micro-enterprise business requirements and municipal development initiatives.

•Land market rigidity and system failures.

Some of the project outcomes:

•A comprehensive desk-top study into the state of knowledge on land rigidities and constraints in the township context. The study will address the different contexts (and settlement types) of township land management. The research will examine: i) legal frameworks, ii) institutional constraints, iii) structural obstacles, iv) market conditions, v) municipal development planning approaches and vi) constitutional issues.

- A series of spatial studies drawing on case site evidence to document land use rigidities in specific sectors, namely: i) liquor retailing, ii) street trading, iii) grocery retailing / food service and iv) micro-manufacturing. Case studies will examine land constraints within particular spatial contexts, highlighting land availability, zoning and issues of tenure security.
- A report on land use management development strategies, examining 3 different contexts to assess their impact and lessons learnt. New research will be conducted. A study of the high street concentration of leisure economy activities in Katutura, Windhoek, Namibia.
- A study of township land use constraints in Ivory Park. The land challenges will be analysed in a design syndicate workshop with the aim to mobilise a high level panel of exports to provide recommendations on how to unlock the identified land obstacles.
- A study of the impact of planning techniques and urban design on the immediate and broader social environment for micro-enterprise activities and livelihoods, focusing on the case of Harare township, Khayelitsha, Cape Town.
- A participatory action learning intervention, using digital stories, to document the actual experiences of individual micro-entrepreneurs in their efforts to respond to the land use constraints which impact on their business. The component will focus on the impact of land use zoning as an obstacle to business formalisation in the township context.

20 CITIES SLUM UPGRADING PROJECT

IMPLEMENTING AGENTS

The Alliance of the Society for the Promotion of Area Resource Centre (SPARC), Mahila Milan and National Slum Dwellers Federation (NSDF) is working with the Government on this project. Project activity falls under the Jawaharlal Nehru National Urban Renewal Mission's (JNNURM) Basic Services to the Urban Poor (BSUP) programme.

PROJECT LOCATION

These are various Indian cities in Odisha (Cuttack, Puri, Paradeep, Bangalore, Mysore), Karnataka (Maddur, Mandya, Chikmanga, Hubli), Gujarat (Baroda, Surat, Bhavnagar, Jamnagar) and Maharashtra (Bombay, Pune, Ahmadnagar, Nashik, Malegaon, Nanded, Bhubhan).

This slum upgrading project stems from a need to build community capacity necessary for higher level engagement and negotiation processes. Without the community capacity built through savings, enumerations and exchanges, ownership over upgrading projects would not be possible.

Project activities include city profiling, site surveying, enumeration activities, infrastructure mapping (the drainage line, electricity and water connection), liaisons with government officials, understanding various tenancy issues as well as building typologies. This project involves slum upgrading in twenty cities where the City Alliance works

PHOLA PARK

Implementing Agents

People's Environmental Planning (PEP)

Project Location

Phola Park, Philippi, Cape Town, South Africa

PHOLA PARK

IMPLEMENTING AGENTS

People's Environmental Planning (PEP)

PROJECT LOCATION

Philipi, Cape Town, South Africa

People's Environmental Planning (PEP) works towards the creation of economically, socially, and environmentally sustainable human settlements through community-centred, incremental housing and upgrading programmes. PEP's vision is rooted in pragmatic, on-the-ground implementation and delivery.

Building on the momentum of the channel project in Phola Park in Philippi, PEP is working with the community to design an in-situ upgrading development plan.

The site is approximately 32,500 sqm, with 961 shacks currently on the site, all of which must, ideally be accommodated during the upgrades - presenting a difficult design challenge. PEP is currently working with the community to understand their nuanced needs and aspirations around typology and tenure structure.

SHANTI TOLE UPGRADING PROJECT

IMPLEMENTING AGENTS

Local architecture students, residents, Asian Coalition for Community Action (ACCA)

PROJECT LOCATION

BIRGUNJ, NEPAL

For 50 years, the 31 poor families in Shanti Tole have been living in mud-and-thatch huts on land that belonged to the farmer whose fields they laboured in. Two years ago, the women's savings group there was able to persuade the land owner to donate the land to the people. After surveying and mapping the settlement, they worked with local architecture students to develop plans to reconstruct the community, with a new layout, low-cost row-houses and infrastructure provided by the Municipality.

Part of the ACCA budget is being used as loans to people to pay the land transfer taxes and part as housing loans.

THAILAND'S BAAN MANKONG PROGRAM

IMPLEMENTING AGENTS

Community Organisation Development Institute (CODI)

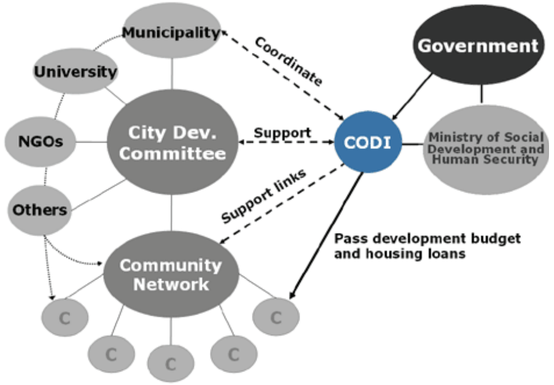
PROJECT LOCATION

Thailand

Traditionally, slum upgrading is planned, administered and funded solely by the government or a third party. As a result, the community is often excluded from the planning and implementation process, leading to fragmented improvements in a few targeted slums. Thailand's Baan Mankong program empowers poor communities to take ownership of their own housing development.

Instead of treating residents as just beneficiaries of government aid, the Baan Mankong program ("secure housing" in Thai) facilitates a process that is entirely community driven. The program supports networks of poor communities to survey and map all the poor and informal settlements across the city and develop plans for comprehensively upgrading them. Residents partner or consult with experts from local governments, NGOs and academia, but it is the members of individual settlements that take the lead in surveying and mapping the community, developing plans and budgets for upgrading housing and infrastructure and negotiating some kind of secure land tenure—the ability to live somewhere without fear of eviction. Once the communities have reached an agreement on the land tenure and have completed their upgrading plans and budgets, the implementing agency, Community Organizations Development Institute (CODI), issues infrastructure subsidies and/or subsidized loans directly to the community. This empowers the poor to determine where and how they want to improve their community.

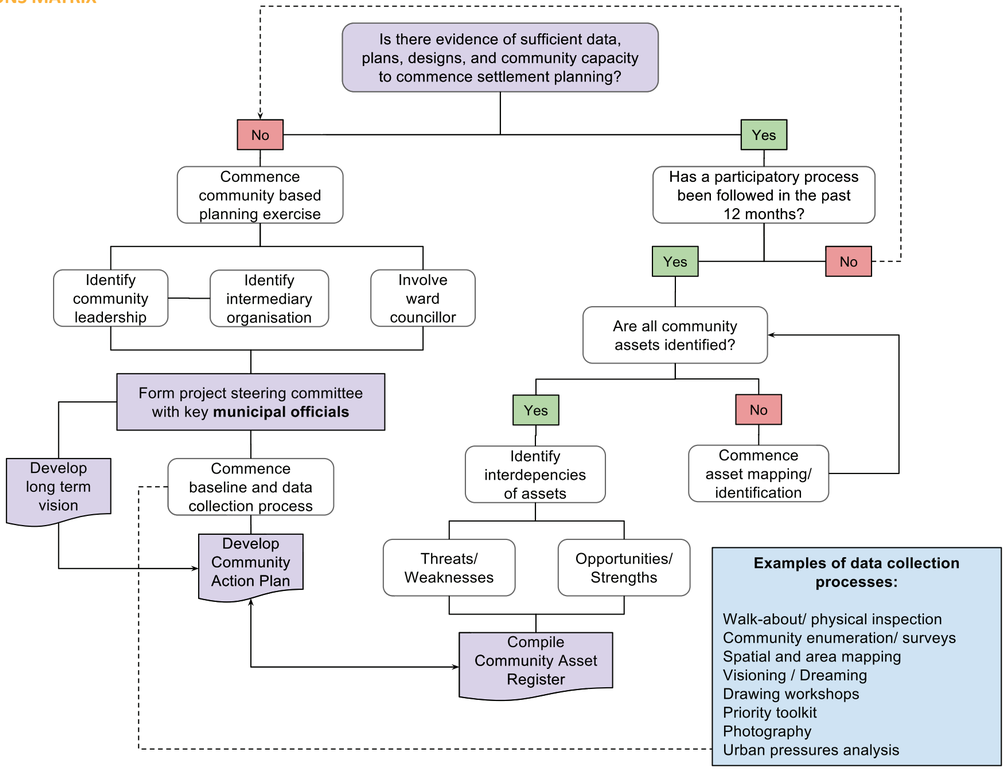
BAAN MANKONG PROGRAM MECHANISM



PARTICIPATORY PLANNING

COMMUNITY BASED PLANNING

DECISIONS MATRIX



TENURE OPTIONS

BACKGROUND AND MOTIVATION

Security of tenure can be defined as the right of individuals and groups to effective protection from unlawful evictions, and refers to the set of relationships with respect to housing and land, established through statutory law or customary, informal or hybrid arrangements. This definition emphasises relationships and indicate that tenure is not simply about the law, or about legal forms of holding land or housing. It is also about the relationships to land that people have. Tenure provision is a crucial element of settlement upgrading and can connect informal settlement dwellers to the functions of city administration (such as receiving a residential address, which makes something as basic as receiving mail from the Post Office possible). Some of the benefits of tenure security include overcoming land, housing and livelihood inequalities, reducing physical insecurity and conflict (such as forced evictions, corruption and land grabbing), facilitating the provision of essential facilities, services and quality of life, and promoting food security, entrepreneurship and development. Global experiences show that enhanced tenure security generates many household and community benefits through encouraging investment in housing and neighbourhoods. Tenure security can be achieved in many different ways, and many different types of land tenure systems may exist side-by-side. Individual land title is often considered to be the ultimate and most desirable form of tenure security in existing informal settlements and in planned resettlement projects. However, regularising tenure by granting individual titles to informal settlement residents can be time-consuming, costly and prone to corruption. Many households do not want to obtain titles because of the costs involved, and the risk that they may lose their land if they have to pledge their deeds to obtain bank loans which they may have trouble paying back. The concept of a continuum of land rights is rapidly gaining traction in informal settlement upgrading, and allows for a greater bouquet of rights. In the continuum approach, the user is able to incrementally progress up the land rights ladder depending on their socio-economic conditions and desire to formalise. In this model, the most appropriate form of tenure depends on the particular time and context, and the model reflects an approach that accommodates diversity rather than one that reflects an evolutionary approach. The continuum concept recognises that (1) tenure can take a variety of forms, (2) the various rights do not in fact lie on a single line, and they may overlap with one another, and (3) rights at the most formal end of the continuum should not be seen as the preferred or ultimate form of land rights. Three primary routes to tenure security are deemed appropriate in the Western Cape context, and include formalising local practices, and administrative and legal recognition. It is important to understand that the relationship between administrative and legal recognition is flexible and is not necessarily mutually exclusive and that forms of recognition can be used in combination. It is therefore entirely possible to provide forms of administrative recognition within blocks or identified areas within a settlement that has an overall legal status.

TENURE OPTIONS

OPTIONS AND APPLICABILITY

OPTION	DESCRIPTION	HOW DOES IT WORK	WHEN SUITABLE (CRITERIA / CONDITIONS)
RECOGNISING, ADOPTING AND STRENGTHENING EXISTING LOCAL PRACTICES	Process of developing insight into how things currently work in local land management practice and determining how these arrangements can be officially recognised.	This approach involves identifying and understanding current land management practices, and co-producing official tenure arrangements based on current (informal) practices.	Can be applied as initial form of tenure (prior to administrative or legal recognition) in Category A, B1 or B2 settlements. Should ideally form the basis for administrative and legal recognition (base tenure options on what is known to function and effectively serve a need, or not).
ADMINISTRATIVE RECOGNITION	Mechanisms using policy instruments or administrative practices to give residents tenure security. These may not have a firm legal basis but rather derive security through commitment by authorities.	Ideally, administrative recognition may be the first stage of tenure and settlement upgrading, which could lead to legal recognition to make the settlement more secure and allow for more individual forms of tenure. Incremental improvements related to this approach include drawing up a basic site layout plan, drawing up a community action plan endorsed by council, creating a record of occupants linked to a structure number and GIS location (enumeration), providing households with a postal address, delivering emergency services (if required), and doing basic land use control.	Can take the form of conventional modes of recognition (occupation/tenure certificates, shack numbering linked to registers, giving informal settlement residents an address, agreeing on a block layout or introducing basic services. Can also be based on current local tenure practices (which are refined to accurately address the community's specific tenure requirements). Preferred option for Category B2 settlements, but can be applied in Category A and B1 settlements as an immediate tenure intervention.
LEGAL RECOGNITION	Mechanisms using legislative procedures to grant legal status to an area (by declaring the area in terms of the law, which then permits certain other actions (i.e. development) to take place legally. This uses a legal procedure, in terms of some recognised law, to grant secure legal status to an area.	The area has to be acknowledged in legal terms (initiating township establishment through the Less Formal Township Establishment Act (LFTEA), rezoning the area or using a Town Planning Scheme instrument, and hence changes the status of the informal settlement from that of illegal to legal. It usually results in declaring the area in terms of this law (a settlement area, an area zoned for informal housing, etc.) which then permits certain other actions to occur legally. Legal recognition allows for incremental improvements in tenure security, infrastructure services, land use planning and regulation and integration into municipal administrative systems.	Numerous forms of legal recognition exist, and examples include the City of Johannesburg's Regularisation Scheme (Planning Scheme declaration of 'Transitional Residential Settlement Areas'), period-linked recognition such as in Latin America (legal transfer of land to the occupant gained after uninterrupted and undisputed occupation for a number of years) and SPLUMA provisions for Special Zones. Desirable option for settlements where no relocation will take place (full in-situ upgrading). Preferred (longer term) option for Category A and B1 settlements (legal recognition allows for public investment in services and improved tenure security).

CHANGING LAND POLICY TO IMPROVE ACCESS TO LAND IN NAMIBIA

IMPLEMENTING AGENTS

Shack Dwellers Federation of Namibia (SDFN), Namibia Housing Action Group (HHAG)

PROJECT LOCATION

Windhoek, Namibia

Shack Dwellers Federation of Namibia (SDFN) and their support NGO Namibia Housing Action Group (NHAG) are involved in efforts to secure land for low-income households in Namibia. They build collective solidarity, political pressure and financial capacity. Local groups devise solutions that work for them, with what resources are available from the local authority. These initiatives are key to building collective capacity which enables future cooperative action.

Statistics provided by the Namibian government are radically more optimistic about the housing situation than censuses by SDFN indicate. Shelter improvement, land security and access to infrastructure are priorities for the urban poor in Namibia. One of the biggest blockages to better living conditions for the poor is the high price of land and housing due to the very high building standards applied by Namibian authorities, irrespective of appropriateness or affordability.

The national housing policy of 1991 allows people to build with traditional materials, but does not allow erf sizes of less than 300sqm, which makes a plot unaffordable to many households. The budget provided to local authorities is not big enough for them to provide serviced land to meet the demand.

Two notable responses to the lack of any current policy for land delivery include the following.

1. The Flexible Urban Land Tenure Bill which is undergoing approval processes, and which provides for two new forms of land tenure that are available to low-income households: starter titles and land hold titles. The proposed process is to assign freehold titles to whole blocks of land and assign households starter titles. As the land develops incrementally (hopefully through facilitated improvement processes), households can have their plots measured and receive a land hold title.
2. In 2001, the City of Windhoek introduced seven service standards that are accessible to different groups based on what they can afford. This policy reform has increased access to tenure in the city, but access to bulk infrastructure is often a problem. These can be summarised as follows:

   - 0: Informal accommodation with access to water taps

   - 1 – 2: Internal roads and communal toilets, with the potential to upgrade in blocks that can be bought by individual families or groups

   - 3 – 6: High standards of services, with individual plots for sale to families. Households who cannot afford to buy can rent or buy as a group.

SPRING VALLEY

IMPLEMENTING AGENTS

Planact in collaboration with the Spring Valley Development Committee (SDC)

PROJECT LOCATION

Emalahleni, Mpumalanga

Planact, in collaboration with communities, initiates and conducts negotiations with relevant municipal councils on issues of formalising land tenure and upgrading projects in informal settlements. The Spring Valley informal settlement community is located in the Emalahleni Local Municipality on high value land, with access to amenities within a 300m radius. However, the settlement has no access to running water, electricity and adequate sanitation, and has no legal form of recognition (leaving the community vulnerable to evictions and relocations). With the assistance of Planact, the SDC entered into discussions with the municipality to recognise the settlement. In order to obtain tenure security, local land management practices were documented, which were put forward to the municipality along with updated enumeration data linked to structure numbers, community maps and an enumeration data management system which is updated by the community as land rights evolve and changes occur.

EAST WAHDAT UPGRADING PROGRAM

IMPLEMENTING AGENTS

Amman Urban Development Department

PROJECT LOCATION

East Wahdat, Amman

About 25 percent of the Greater Amman population lives in unregulated settlements. Rather than raze the shantytowns, the Urban Development Department decided not to evict the occupants. City authorities provided road access, electricity and core units with water and a sewage system. With the help of neighbours, residents moved their existing shanty structures to a corner of the plot as a temporary shelter. Once the first room of the new house was built in the vacant space, the residents moved in, pulling down the original shanty.

PRO LAY TOEK UPGRADING PROJECT

IMPLEMENTING AGENTS

Asian Coalition for Community Action (ACCA)

PROJECT LOCATION

Peam Ro District, Cambodia

Pro Lay Toek was a small community of 33 extremely poor evicted households in Peam Ro District, living in thatched huts on a long strip of flood-prone land along a canal. They used support from ACCA to plan and upgrade their settlement in-situ, with land filling, infrastructure and new double storey row houses.

They used their planning as a bargaining chip to persuade the Commune Council authorities to give them the land for free, on a collective land title. The people used a $4,500 loan from UPDF to buy an extra 1.5m strip of land to slightly widen the individual house plots and make room for an access road.

MONWABISI PARK

IMPLEMENTING AGENTS

Sustainable Urban Neighbourhoods (SUN) in partnership with the Tenure Security Facility Southern Africa

PROJECT LOCATION

Kayelitsha, Cape Town, South Africa

Monwabisi Park is an informal settlement situated on the southern periphery of Khayelitsha, Cape Town, and is home to an estimated 24,000 residents and comprises 6,472 structures on approximately 64 hectares of land. In their journey to legal recognition, the community residents (with the support of SUN) had to take a multi-pronged approach to tenure security (which included elements of both administrative and legal recognition). Administrative recognition was achieved through mayoral sign-off on the CAP (which described the community's vision for the area and how to achieve it), enumeration and survey data with an updated community register linked to structure numbers, geo-location of all structures, pathways and roads, provision of minimal basic services (standpipes, communal toilets, electrical connection to 60 per cent of residents, solid waste removal, and high mast lights) by the CoCT, issuing of Services Registration Cards to residents, and the development of a Spatial Re-configuration Plan (developed by SUN, working closely with the community leadership and residents of Monwabisi Park).

CITY OF CAPE TOWN
ISIXEKO SASEKAPA
STAD KAAPSTAD

HUMAN SETTLEMENTS

URBANISATION

CERTIFICATE OF TENURE

Date: 02 February 2015

Dwelling Unit New Number: P4 Polly Lane

Dwelling Unit Old Number: F34

FLAMINGO CRESCENT, Lansdowne

The City of Cape Town hereby acknowledges that:

Ms Maria Matthews ID: 510212

And ID:

reside(s) in *Dwelling Unit Number* P4 Flamingo Crescent, Lansdowne

Making progress possible. Together.

Please note: This document is not a formal title deed for the property, and the land remains the sole property of the City of Cape Town.

On receipt of this document, the following conditions will apply:

1. Only residents as reflected in Flamingo Crescent community register will be provided with a new structure number and an occupation agreement by the City of Cape Town.
2. Selling, renting or subletting of the land is unlawful and will not be tolerated.
3. The land is not transferable to relatives, friends or any other person as the City remains the only competent authority to exercise the right to authorise any change of occupancy.
4. The dominant use of the dwelling unit shall remain residential. The dwelling unit has to be compliant with the Single Residential Zone 2: incremental Housing (SR2) as part of the Cape Town Zoning Scheme (CTZS). Primary uses, additional use rights and consent uses are outlined below:

Primary uses	Additional use rights
Dwelling house, second dwelling, utility service, private road, urban agriculture, open space.	**Shelter, house shop, home occupation**, bed & breakfast establishment, **home child care, informal trading** and any **educational, religious, occupational** or **business** purpose, provided that: - The dominant use of the unit shall remain residential; - No noxious trade, risk activity, adult entertainment business, adult services or adult shop are permitted; - No activities shall be carried out which constitute or are likely to constitute a source of nuisance, including the use of equipment that generates excessive noise, or any activity which results in the generation of dust, fumes, smoke, or waste material which could be detrimental to health, or which requires special waste removal processes (...).
Consent uses	**Multiple uses and buildings where no formal townships exists**
Group housing, boarding house, place of worship, institution, clinic, place of assembly, place of instruction, office, restaurant, guest house, place of entertainment, service trade, authority use, rooftop base telecommunication station, wind turbine infrastructure and halfway house.	Notwithstanding that primary uses, additional use rights and consent uses in this zone may be expressed in the singular, more than one such use is permitted where: - No formal township has been established legally; or - It is not possible to identify individual land boundaries.

5. Applications to use a dwelling unit other than for residential purpose must be submitted at the Human Settlements Urbanization Informal Settlements Offices in Ottery. No activity other than residential shall be undertaken until such application has been scrutinized and approved by Informal Settlements Management.
6. Applications for extensions and alterations to existing dwelling units must be submitted to Human Settlements Urbanization Informal Settlements Offices in Ottery who in turn will submit such applications to the Informal Settlements Management Department for scrutiny and approval.
7. The occupant/s has the responsibility to maintain his/her own structure in a good, neat and tidy condition in order to prevent any potential health or danger hazard.
8. Running a Shebeen and / or doing Drug Trafficking or the hosting of Activities of Criminal Nature in this unit, is a criminal offence and will be dealt with by the Law.
9. The making of excessive noise / music or any social activity to held, which may lead to frequent public disturbance, is strictly prohibited.
10. Any malfunction in terms of services, i.e. water, toilets & electricity, or illegal activities should be reported to the relevant officials on duty with immediate effect. Alternatively it may be reported at the following contact numbers:

Water & Sanitation: 0860 103 089 / 021 957 4700
Electricity (Eskom): 0860 037 566
Illegal Activity: 021 596 1999

I know and understand the contents of this statement and have no objection in agreeing to comply with the above. I consider the prescribed agreement to be binding.

SIGNATURE OF RECIPIENT: .....

I certify that the above conditions have been explained to the recipient whom acknowledged the he / she knows the contents of this agreement. The recipient's signature was placed thereon in my presence at FLAMINGO Crescent on the ..... day of February 2015.

NAME OF OFFICIAL: ..... SIGNATURE: .....

REBLOCKING PROJECTS

Implementing Agents

ISN, CORC, and iKhayalami

Project Location

Cape Town, South Africa

REBLOCKING PROJECTS

IMPLEMENTING AGENTS

ISN, CORC, and iKhayalami

PROJECT LOCATION

Cape Town, South Africa

“Blocking-out” and “re-blocking” are interchangeable terms the ISN and support NGOs Community Organisation Resource Centre (CORC) and iKhayalami use to refer to the re-configuration and repositioning of shacks in very dense informal settlements in accordance to a community-drafted spatial framework. The aim is to better utilise the spaces in informal settlements to allow for better service provision. Moreover, re-blocking is done in “clusters” identified by the community, and after implementation, “courtyard” are created to ensure a safer environment for woman and children via neighbourhood watches (all shacks face the courtyard), productive places (such as washing lines, food gardens), and generally provides space for local government to install better services.

Successful demonstration of this alternative approach to upgrading informal settlements in settlements such as Mtshini Wam and Sheffield Road has drawn the City of Cape Town’s attention. In November 2013 Mayoral Committee Member for Human Settlements, Ms. Thandeka Gqada adopted the re-blocking policy, and stated that:

‘We view this as a turning point in our commitment to redress and a new model of shared responsibility that can change the face of our informal settlements.’

JOHANNESBURG REGULARISATION OF INFORMAL SETTLEMENTS

IMPLEMENTING AGENTS

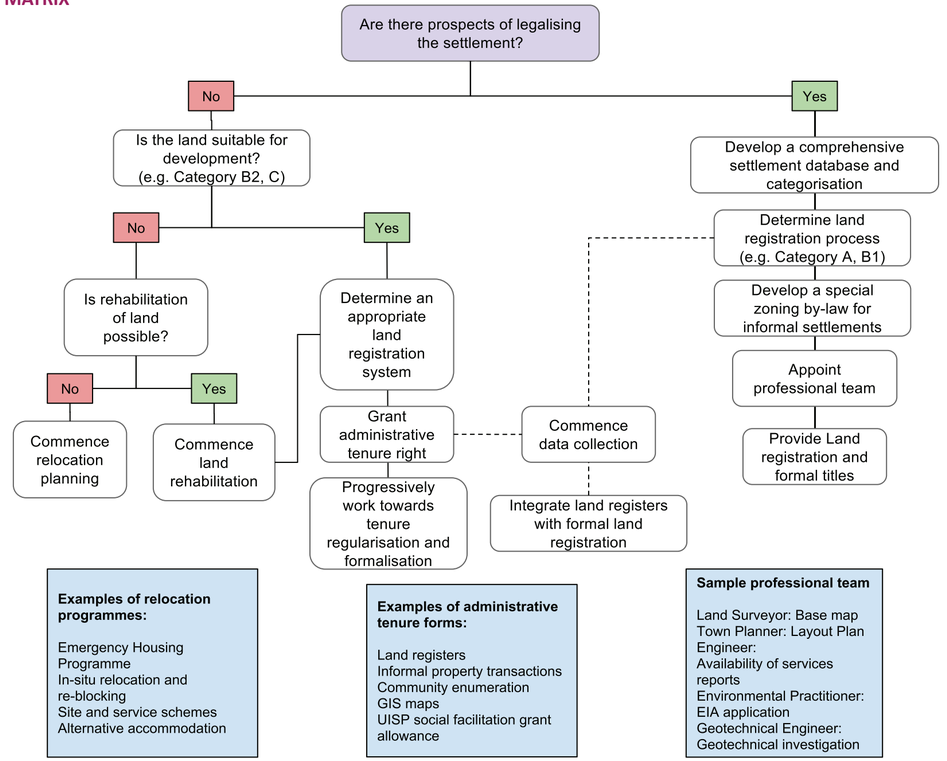
City of Johannesburg

PROJECT LOCATION

Johannesburg, South Africa

Various settlements received legal recognition in the City of Johannesburg through a process of settlement regularisation. Regularisation is an interim measure to recognise settlements, deliver services, provide addresses, improve the quality of life, and extend citizenship to informal settlements while waiting for formalisation to be implemented. The regularisation approach enables informal settlements to be upgraded in situ incrementally until they can be formally developed. The mechanism is a town planning instrument and was used to declare certain portions of land in informal settlements as Transitional Residential Settlement Areas (TRSAs) by amending the City of Johannesburg’s Town Planning Scheme to include a definition of a TRSA. A schedule (Annexure 9999) was included, which sets out the rules applicable in the TRSAs. This process allowed for occupation certificates to be issued once there is a basic layout plan (based on aerial photography) and all structures have been enumerated. It is important to note, however, that Regularisation is not a township establishment process. It does not deliver a new development area with cadastrally defined sites in which individual ownership or official, subsidised houses are located. Nevertheless, the provisions of Annexure 9999 are innovative, because they make legal provision for the identification of each structure (securing the home of the household), spatial mapping of the area to produce a basic layout plan, occupation permits (providing proof of occupation), incremental settlement management, land use regulations and a local register (held by the City of Johannesburg to record and secure occupancy).

DECISIONS MATRIX



FLAMINGO CRESCENT

Implementing Agents

CORC, ISN, Ikayalami

Project Location

Lansdowne, Cape Town

BASIC SERVICE OPTIONS

BACKGROUND AND MOTIVATION

Basic services refer to municipal engineering services such as water, sanitation, electricity, refuse removal and other related infrastructural services. The provision of basic services is critical to ensure a decent standard of living to improve the lives of people, and is one of the core functions of local government.

Two main servicing options exist, namely bulk service delivery and alternative servicing options. These options can be implemented in an incremental manner, starting with shared services (higher service ratios) leading to individual services (ratio of 1:1), depending on a range of factors which includes bulk availability, settlement density, levels of community mobilisation and settlement category.

High densities and organic settlement layouts are often constraints to delivering basic services, and settlement re-blocking is a desirable option to accelerate service delivery. However, re-blocking is not suitable for all informal settlement scenarios, and is not necessarily a feasible option in settlements with low densities; an existing grid pattern which serves as a sound blueprint for formalisation; or low levels of community organisation.

Communities can also play an important role in the operations and maintenance of basic services and infrastructure. The establishment of local water and sanitation maintenance committees is one example in this regard that has been used effectively in different contexts across the world. It is, however, important to ensure that communities and households are clear about expectations in this regard, that these functions are adequately supported and funded (where appropriate), and that communities are provided with the necessary skills and equipment necessary for operations and maintenance.

BASIC SERVICE OPTIONS

OPTIONS AND APPLICABILITY

OPTION	DESCRIPTION	HOW DOES IT WORK	WHEN SUITABLE (CRITERIA / CONDITIONS)
SETTLEMENT RE-BLOCKING	Method to address challenges related to immediate settlement layout and service delivery in densely populated informal settlements.	Community-led process of re-configuring the current layout of a settlement by reorganising and grouping shacks into clusters in such a manner as to optimally utilise space.	Can be applied in Category B1 and B2 settlements. Can be undertaken in smaller sections of a settlement (full re-blocking not the only option). Can be done in either a proactive (to facilitate access for planned infrastructural improvements) or reactive (post-disaster intervention) manner.
INCREMENTAL BULK SERVICING AND INTERNAL RETICULATION	Primary method of servicing human settlements by delivering basic services such as water, sanitation and electricity via an infrastructure grid.	Individual (household) or settlement-level (shared) connections which are connected to an internal reticulation system fed by municipal bulk supply.	Individual services can be provided in Category A settlements where the availability of existing bulk is sufficient, and where an improvement in service delivery ratios is desired (provided that a ratio of 1:5 has already been met). Shared services – as an incremental method of delivering services – can be provided in Category B settlements to ensure a service ratio of 1:5 (in line with national standards), and is a desirable option where there is insufficient densities/bulk capacity/funding available for individual servicing (ratio of 1:1).
ALTERNATIVE SERVICING AND OFF-GRID OPTIONS	Provision of basic services through environmentally sustainable, alternative means such as grey water systems and rainwater harvesting, bio-digesters and dry composting, solar PV, wind, and localised biogas, and public drop off locations and recycling.	Individual (household) or settlement-level (shared) connections which are NOT connected to an internal reticulation system fed by municipal bulk supply (i.e. Independent of local municipal infrastructure).	Can be applied in instances where funding is limited/ densities are too low to meet efficiency requirements to justify bulk investment/bulk capacity is not available. Can be applied in B2 settlements where eventual formalisation is not viable/appropriate, but where there is no urgent need for relocation. Desirable option in all settlements (regardless of category, but with consideration to contextual, site specific details) to ease the pressure on municipal engineering infrastructure and the environment.

FLAMINGO CRESCENT REBLOCKING

IMPLEMENTING AGENTS

ISN, Community Organisation Resource Centre (CORC) and iKhayalami

PROJECT LOCATION

Flamingo Crescent, Lansdowne, Cape Town

The re-blocking of Flamingo Crescent is an example of alternative ways of thinking through quality of place, safety and security through improved settlement layouts, and better located services. Before re-blocking, the community of 405 residents of Flamingo Crescent had no electricity and access to only 14 chemical toilets and 2 water taps. The SDI Alliance (comprised of ISN, CORC and FEDUP) formed a partnership with the community, and during the first meetings with the community, the ISN introduced the ideas of informal settlement upgrading and re-blocking, and explained how the community could drive their own development processes through savings contributions, joint planning and implementation.

The re-blocking process facilitated by CORC restructuring space in the settlement, opening courtyard areas and clearly designated access roads, which enabled the City of Cape Town to install individual water, sanitation and electricity services per household. The re-blocking process necessitated households to move around on the site whilst infrastructure and services were installed, but no households had to be relocated permanently. In addition to this, the residents now have tenure certificates, internal roads are paved and named, and the settlement is home to a crèche and children's playground.

Community contribution plays a vital role in re-blocking projects, and is used as a method to facilitate community support and ensure community ownership. Savings schemes were created with the support of FEDUP which functioned alongside the re-blocking process, and residents contribute financially to their improved top structures (which are built on slabs with new materials, and painted with fire retardant paint). The Flamingo Crescent community contributed 20% to the cost of its structures through community-based daily savings. During the implementation phase, 20 jobs were created through the Expanded Public Works Programme (EPWP).

KUKU-TOWN REBLOCKING

IMPLEMENTING AGENTS

ISN, Community Organisation Resource Centre (CORC) and iKhayalami

PROJECT LOCATION

Kuku Town, Kensington, Cape Town, South Africa

There is a growing recognition that new ways of delivering services in informal settlements are needed. Such new approaches should be aimed at building community capacity through participatory planning, design and implementation of services. Informal settlements are characterised by very different shapes and sizes, ranging from smaller inner city settlements located in residential neighbourhoods, to large sprawling settlements on the periphery of cities. Different approaches are needed to effectively transform these settlements into more dignified living spaces, and working with communities is paramount to succeeding in upgrading initiatives. The re-blocking of Kuku Town is an example of alternative ways of thinking through quality of place, safety and security through improved settlement layouts, and better located services.

Kuku Town informal settlement is located on little triangle of open land at the end of 14th Street, Kensington and close to Kentemade train station. Kuku Town consists of 21 households, making up a community of about 50 people. The relatively small settlement is conveniently located, close to jobs and social amenities.

The re-blocking of Kuku Town is one of 21 partnership projects between the City of Cape Town and ISN, supported by CORC and iKhayalami.

CUA NAM WARD UPGRADING PROJECT

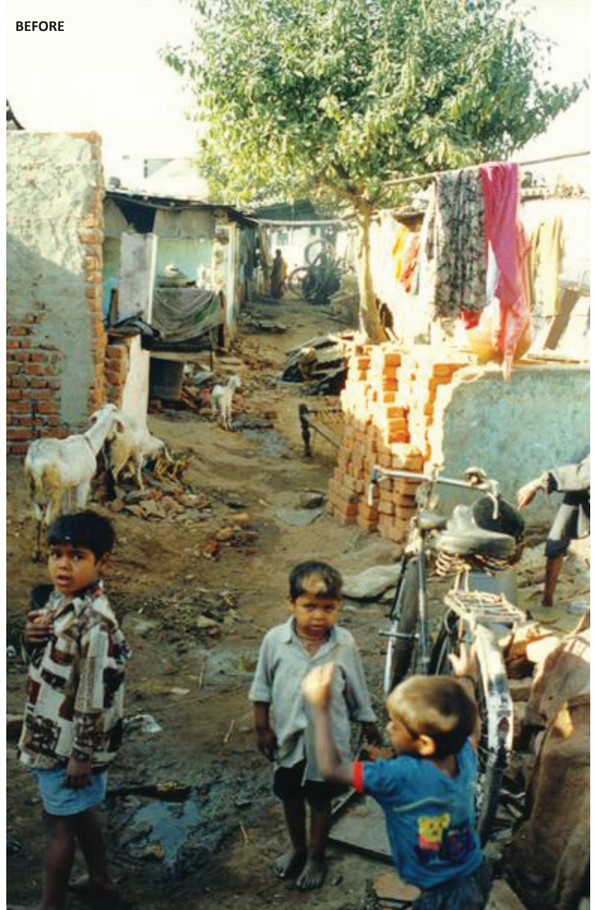
IMPLEMENTING AGENTS

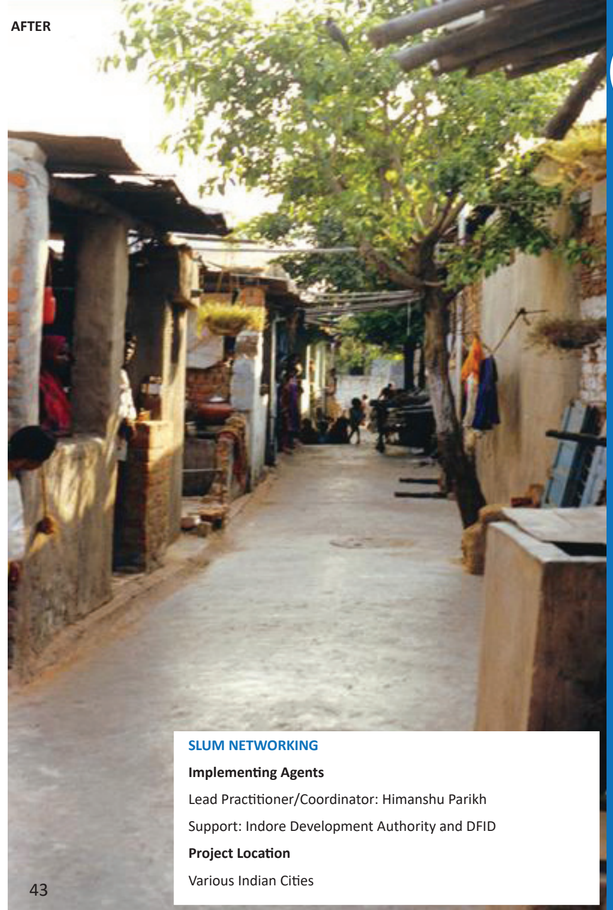
Vinh Community, community architects, and Asian Coalition for Community Action (ACCA)

PROJECT LOCATION

Vinh, Vietnam

When the city announced plans to evict and redevelop all of the old collective workers housing in Vinh, 29 families in one of those communities, in Cua Nam Ward, decided to propose to redevelop their housing themselves. The plans they developed, with help from the community architects, included widening the lanes, laying drains and rebuilding their small houses in an efficient layout of double storey row-houses on 45sqm plots. They used this redevelopment plan, and the availability of housing loans from ACCA, to negotiate with the authorities, which finally agreed to the people's proposal.





SLUM NETWORKING

Implementing Agents

Lead Practitioner/Coordinator: Himanshu Parikh

Support: Indore Development Authority and DFID

Project Location

Various Indian Cities

SLUM NETWORKING

IMPLEMENTING AGENTS

Lead Practitioner / Coordinator: Himanshu Parikh
Support: Indore Development Authority; DFID

PROJECT LOCATION

Various Indian Cities

A slum upgrading project to install basic sanitary provision to 450 000 slum dwellers. The Slum Networking process was first developed for Indore but has since been used in many cities around India and is currently being applied in 150 villages in Andra Pradesh province.

The first Slum Networking project in Indore – covering 450 000 people – began in 1987 with the initial planning work. Site work started in 1989 and was completed in 1997 with continual in-situ upgrading and extension of the works. Projects in other cities have taken a much shorter time period due to dealing with smaller slum pockets: a recent project in Ahmedabad covering 1000 people was completed in less than a year from the initiation of the project to full practical completion.

Slum Networking projects have been funded in many different ways, ranging from entirely grant funded (Indore was funded almost entirely by overseas development funding from DFID) to partnerships between the local government and an NGO, or between government and industry, as in Ahmedabad. The slum dwellers themselves are always a capital partner in the project, paying between 2000 and 4000 rupees per household. The total cost per household is currently around 12 000 rupees.

In total over one million slum dwellers have benefitted from Slum Networking, gaining a normal level of street paving, water and sewage provision for the first time.

UPGRADING FOR GROWTH INITIATIVE

IMPLEMENTING AGENTS

Cities Alliance, The Ekurhuleni Metropolitan Municipality, the World Bank

PROJECT LOCATION

Ekurhuleni, South Africa

The third largest city in South Africa, Ekurhuleni was created in 2000 from nine local authorities. The new municipality struggled to deal with the huge social and economic disparities that resulted from social planning during Apartheid. Around 65 percent of the city's population were living in informal settlements or townships. The city has adopted an approach to slum upgrading that uses the upgrading process to drive sustainable economic development.

This Initiative integrates energy, economic development and housing needs. Instead of focusing solely on housing for slum residents, the Upgrading for Growth approach involves providing opportunities for economic growth that meet the livelihood and social needs of the poor within Ekurhuleni's informal settlements.

iSHACK PROJECT

IMPLEMENTING AGENTS

Sustainable Institute with funding from the South African Government's Green Fund

PROJECT LOCATION

Enkanini, Stellenbosch, South Africa

The iShack Project is using solar electricity to demonstrate how green technologies can be used appropriately to incrementally upgrade informal settlements and slums and at the same time build local enterprising capacity and resilience within the community.

The iShack Project is providing solar electricity, on a pay-for-use basis, to residents of an informal settlement in Stellenbosch (Enkanini), South Africa. The project aims to provide the service to over 1500 clients. iShack Project is training a group of local franchisees called "iShack Agents" to install and maintain the solar systems and to market the service in their community. The clients pay a monthly fee for the service to ensure long term operational sustainability. The energy service provides lighting, television, cell-phone charging and additional energy for music, DVD players and radios. The utility is scalable and in future, fridges and water heaters will be added.

The iShack Project is using solar electricity to demonstrate how ecologically sound technologies can be used appropriately to incrementally upgrade slums and at the same time build local enterprising capacity within the community. This enterprise development model recognises the significant existing social, human and physical capital within slums. A key objective of the iShack business model is to harness this existing capital to unlock a range of social and economic benefits and development opportunities for the community. The vision of the project goes far beyond simply providing clean, safe and affordable energy. Other technologies and services that can be incorporated into the model include off-grid sanitation, ecological housing, water services and food production.

COOL SHACK (PILOT PROJECT)

IMPLEMENTING AGENTS

UCT's Environmental and Geographical Science Department

PROJECT LOCATION

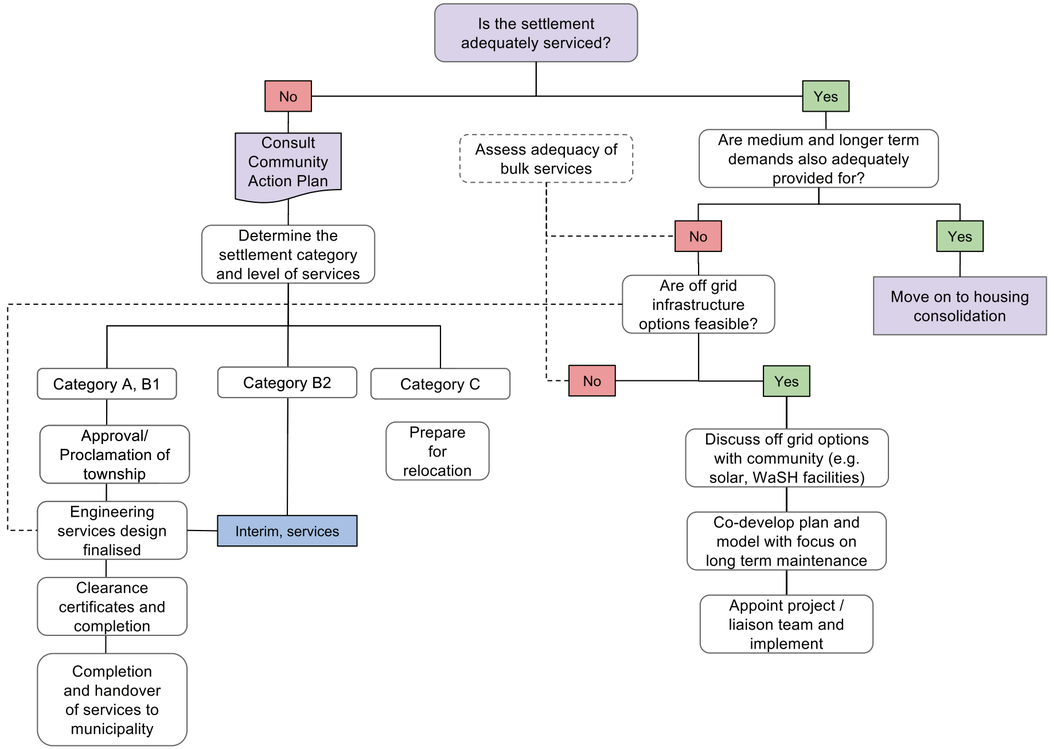
Cape Town, South Africa

To find affordable ways of reducing temperatures in shacks, UCT's Environmental and Geographical Science Department has been testing materials and designs for heat reduction as part of the 'Cool Shack' project.

In the first phase, the researchers tested various structures and materials using high-resolution sensors to capture temperature and humidity data. The results were sufficiently encouraging to proceed to the second phase. When a corrugated iron structure was covered with a white woven fabric made from recycled plastic bottles, peak temperatures inside these structure could be reduced by as much as 9 degrees Celsius.

The shack project has other benefits too. The pitched roof drains water into rain gardens that are columns of soil contained by car tyres. Runoff is reduced through infiltration in the column. These micro gardens also offer opportunities for harvesting productive edible vegetables. The shacks are also fitted with 'litres of light' bottles that distribute light into the home during the day. In addition, the dwelling has a plumbed basin that enables the occupants to dispose greywater into an aerobic and anaerobic soak-away, which makes it safer to dispose of unwanted water especially at night time. Further benefits include a fire retardation chemical that is soaked into the woven fabric covering the structure. The cloth is inflammable although it does melt with intense heat. The advantage is that it may give occupants a few extra minutes in the event of fire in an informal settlement. Finally, the walls are plastered with a mix of cement and sand, with the bulk of the fill being comprising newspaper strips that offers indoor insulation during cool winter conditions.

DECISIONS MATRIX



VIOLENCE PREVENTION THROUGH URBAN UPGRADE (VPUU)

Implementing Agents

SUN Development

Project Location

Cape Town, South Africa

COMMUNITY FACILITIES

BACKGROUND AND MOTIVATION

Despite the progress made in improving human settlements in the Western Cape, many settlements are still not functioning optimally and are characterised by substandard access to social amenities and community facilities. However, this challenge is not unique to the Western Cape, and across the country very few social and economic amenities have been developed in new townships/housing developments since the inception of the housing subsidy programme.

The greatest potential for immediate change in informal settlements is often through the installation of basic services and social/community facilities (such as community halls, multi-purpose centres, schools, health facilities and others) and through good quality public space. It is important to understand that these facilities are central to upgrading interventions and placemaking, and cannot be done in isolation of general planning and upgrading or as an “after thought” (which is often the case).

In fact, community facilities often become an entry point for settlement interventions and have the potential to act as catalysts for development as these centres often become the place where communities meet to mobilise themselves and start the upgrading conversation. These facilities are furthermore of critical importance in sustaining and promoting livelihoods and quality of life from a socio-economic perspective.

When community facilities are designed, it is important that the community is included in not only the conceptualisation, design and construction of the facility, but that they are included in maintenance and operational planning process. Here, communities can work alongside local municipalities to assist with facility management and routine maintenance. Support by intermediary organisations is of utmost importance to enable the process through assisting with community mobilisation to clearly identify what facility is needed and to secure community contributions, community capacitation (co-design and construction) and consumer education aimed at management and aftercare.

When community facilities are provided it is important to reach an appropriate and sustainable trade-off between up-front capital costs, long-term maintenance and operating costs, settlement affordability levels, the need for environmental sustainability, social acceptability, human dignity and safety. This subsection has not necessarily identified what alternative community facilities can be provided, but has rather outlined how the same products can be provided, but through different means (which is premised on demand-oriented, supply-negotiated solutions).

COMMUNITY FACILITIES

OPTIONS AND APPLICABILITY

OPTION	DESCRIPTION	HOW DOES IT WORK	WHEN SUITABLE (CRITERIA / CONDITIONS)
PROVISION OF FACILITIES THROUGH CAPITAL FUNDING	Utilisation of existing capital funding allocations in the Integrated Development Plan (IDP).	Subsequent to the consultative IDP process, the capital budget (which has to be informed by communities) outlines prioritised capital investments (community facilities amongst many others) per municipal region/district and/or ward.	Capital funds can be utilised if the facility required has been included in the IDP budget. Appropriate option when funding allocation is sufficient to cover the cost of delivering the facility.
PROVISION OF FACILITIES THROUGH THE PROVISION OF SOCIAL AND ECONOMIC FACILITIES PROGRAMME	Subsidy funding mechanism for the provisioning of certain basic social and economic amenities or facilities to stimulate social and economic development, job creation and to develop/support social capital. The Programme is aligned with the Expanded Public Works Programme (EPWP).	The programme only funds the development of amenities in cases where municipalities are unable to provide such facilities within existing and/or short term budget allocations. If this is the case, the local municipality has to draw up a business plan (which has to be informed and guided by the CAP and needs analysis) to secure funding from Province.	Insufficient existing and/or short term budget allocations to deliver the required facilities. Suitable for delivering social facilities stipulated in the subsidy programme (which includes a clinic or medical care facility, community hall, community park or playground, taxi rank, sports facilities, small business/informal trading facilities and basic ablution facilities to serve the aforementioned). Facilities that are developed through the Programme's funding mechanism must, as far as possible be provided in a holistic, integrated and locally-appropriate manner.
MULTI/USE PUBLIC SPACES AND FACILITIES	Multi-use public spaces and facilities serving a dual purpose such as WaSH facilities and innovation centres (sanitation coupled to centres of learning and knowledge) by utilising pooled funding (where municipal funding is coupled with community contributions and donor funding), supported by external technical assistance (e.g. from academic institutions and civil society organisations). These multi-use facilities can be developed in a phased (incremental) manner dependent on funding and other resources.	Guided and informed by the CAP and community needs analysis, the mobilised community can approach support organisations and other project partners to assist then to source funding and co-design and co-build the facility. Community contributions (such as household/ community savings) can be utilised (as a sign of commitment and to promote ownership of the asset, and not primarily for financial reasons).	Appropriate when a single source of funding is inadequate (municipal capital funds), or where funding cannot be secured (i.e. financing through abovementioned subsidy programme). Feasible when a range of project partners and support organisations exist. Mobilised and activated local community and CAP as prerequisites (desirable to have ownership, sustainability and maintenance plans finalised prior to implementation phase).

VIOLENCE PREVENTION THROUGH URBAN UPGRADE (VPUU) PROJECTS

IMPLEMENTING AGENTS

SUN Development

PROJECT LOCATION

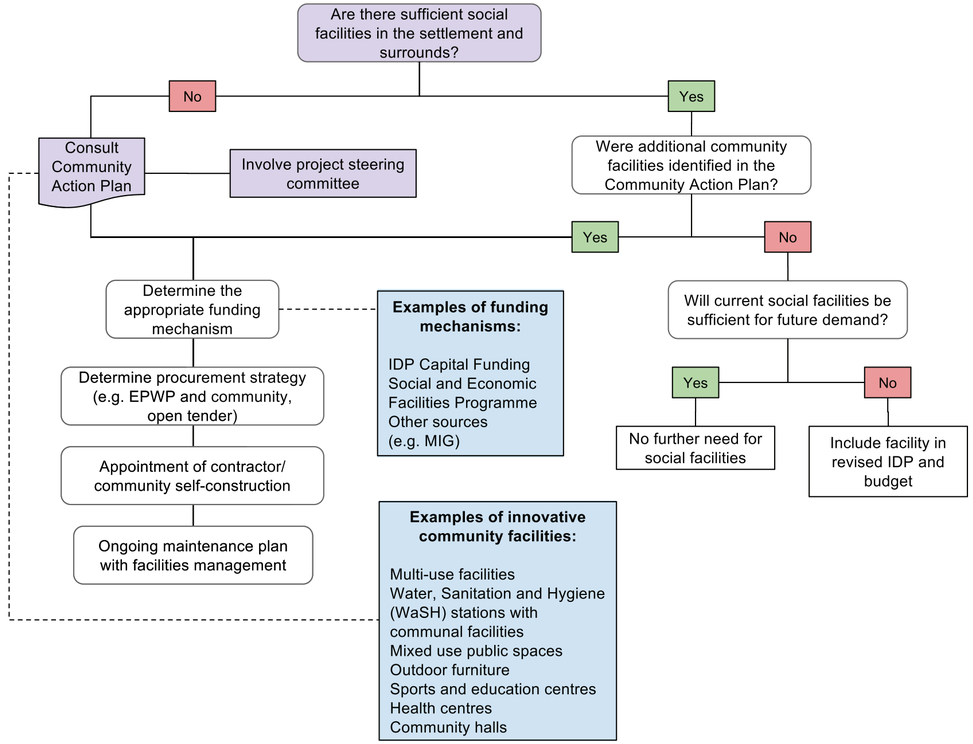
Cape Town, South Africa

VPUU has created a programme of the same name to act as an urban planning design strategy in Khayelitsha, Cape Town. The programme – which uses social engagement and the active boxes) made from shipping containers and rendered sand-bag walls are hubs of 24/7 and act as community centres and safe havens. The centres are positioned every 500m along a route through the township, and has a multipurpose room, used for meetings and youth groups, a caretaker's flat and spaces for shops and start-up businesses or a crèche.

To ensure the safety of the users, the centres are manned by volunteers from the local neighbourhood watch initiative. The active boxes are furthermore accompanied by a package of public realm improvements funded by a Social Development Fund, from street lighting to new paving and recreation spaces, along with "active citizenship" programmes where residents are empowered to drive these projects forward.

COMMUNITY FACILITIES

DECISIONS MATRIX



HOUSING CONSOLIDATION

BACKGROUND AND MOTIVATION

Despite the commitment of government to provide state-subsidised houses to all South Africans in need of housing assistance, high rates of urbanisation, population growth, financial constraints and rising development costs have made it impossible to keep pace with the demand. It is important to recognise that not all informal settlement dwellers will be considered for government housing assistance and for many, a serviced site (with the associated implications for self-build) is a very real reality. For these households, alternative options for consolidation are of utmost importance. The most important element which influences housing consolidation is the households' need or desire to improve their own housing conditions. Their ability to afford house improvement is the second most important factor. Affordability can be facilitated by availability of a subsidy, savings, disposable income, credit availability and household/community contributions. Even with the desire to improve their housing and the ability to afford to do so, households are mostly unable to improve their housing unless they can find access to management skills, technical support, building materials and contractors. It is therefore important to understand that housing consolidation requires many different stakeholders to play a role in terms of development facilitation, funding assistance, technical and professional construction advice and oversight and facilitating access to building materials. Municipalities are often uncomfortable with an incremental approach to housing development because it is generally unregulated and during the incremental process is perceived to be untidy. Further, there are some risks to an incremental self-build approach, particularly where the incremental housing process is not accompanied by the required technical support. The municipality can work to mitigate these disadvantages and support households to build for themselves. With support households can build a completed small structure, which they can then add to over time as and when they have the funds.

HOUSING CONSOLIDATION

OPTIONS AND APPLICABILITY

OPTION	DESCRIPTION	HOW DOES IT WORK	WHEN SUITABLE (CRITERIA / CONDITIONS)
IN-SITU CONSOLIDATION THROUGH THE APPLICATION OF A SUBSIDY INSTRUMENT (UISP PHASE 4)	Provision of housing assistance (top structure) by means of accessing state assistance (through a subsidy programme stipulated in the National Housing Code).	Once basic services and tenure security have been delivered, the final phase of township establishment finalisation, ownership registration (where appropriate), and house construction will commence in terms of the provisions of the relevant National Housing Programme opted for. A variety of options are available for the implementation of Phase 4. These will include municipal provision of housing (i.e. using a housing contractor to provide a subsidised house through the IRDP), a community/NGO-partnership working with local small builders or groups of households through the Enhanced People's Housing Process (EPHP) programme and medium density options may include rental and individual ownership options.	Beneficiary households have to meet the qualification criteria of the subsidy programme opted for (qualification for the benefits under Phase 4 is determined by the beneficiary profile and residential property ownership status and/or record of the household). Can be pursued if normal township establishment processes have been followed (includes approval of the general plan of the settlement, surveying and pegging of stands, the approval of the design and standards of engineering services by the municipality, and the proclamation of the township).
PROVISION OF SERVICED SITES AND PROMOTION OF INCREMENTAL HOUSING	Sharing of the responsibility for providing decent, affordable housing in the city between government and citizens in a step-by-step process where households start with a serviced site and basic, affordable shelters whilst working toward investing in the phased extension and improvement of their dwellings as their circumstances allow and in accordance with their priorities.	Government takes responsibility for preparing plots and providing individual access to basic infrastructure. Serviced land can be sold, leased or allotted to the beneficiary households for self-build purposes, and households resource self-build without any government assistance.	Households do not meet the qualification criteria of any of the subsidy programmes which can be applied for consolidating informal settlements. Local municipalities have to support and enable the owner-builder-based approach and assist households to upgrade their houses using an incremental approach using their own resources.

EMPOWER SHACK

Implementing Agents

Urban Think Tank (U-TT) and Ikhayalami Development Services

Project Location

Khayelitsha, Cape Town, South Africa

EMPOWER SHACK

IMPLEMENTING AGENTS

Urban - Think Tank(U-TT), Ikhayalami, residents

PROJECT LOCATION

Cape Town, South Africa

Empower Shack is an interdisciplinary development project directed by U-TT and the local NGO Ikhayalami Development Services, in collaboration with the BT-Section community and associated local and international partners.

The ongoing pilot phase is focused on a cluster of 68 houses within the BT-Section of Khayelitsha. Through innovative design and organizational models, the project aims to develop a comprehensive and sustainable informal settlement upgrading strategy centered on four core components: a double storey housing prototype, participatory spatial planning, ecological landscape management, and integrated livelihoods programming.

Employing the socio-spatial “Blocking Out” process alongside new digital visualization tools and micro-financing, Empower Shack has created an interface between residents, professionals, and the government. Together, with its partners, U-TT is developing an approach that responds to contemporary social, ecological, and market dynamics, and which will provide incentives for the state to extend tenureship rights. This would create a legally durable foundation for future incremental upgrading, as well as a system that can dovetail with established policy mechanisms.

The physical upgrading of BT-Section will be complete by the end of 2017, at which point a year-long evaluation project will monitor the outcome and plan for future upgrades in the region. In the meantime, the City of Cape Town is supporting the program as a pilot project for potential replication.

UBU, SWEET HOME FARM

IMPLEMENTING AGENTS

Ubuhle Bakha Ubuhle (UBU)

PROJECT LOCATION

Sweet Home Farm, Philippi, Cape Town, South Africa

Sweet Home Farm, in Phillip East on the outskirts of Cape Town, Western Cape, South Africa, is approximately 16,5 ha in size and home to approximately 17 000 people, most of whom are Xhosa speaking. Originally a rubbish dump, people began settling in the area around 1994, although a small number of the coloured community of Sweet Home Farm have been in the area for 25 years from the days when they worked on the original farm, Die Vlei. People settled in the area more formally from 1996 onwards, when there were just 12 homesteads.

The history of Sweet Home Farm and our relational journey goes back to around 2005 when Joy Klimbashe, a pastor from The Warehouse began chatting with the men waiting for work on Wetton Road. He discovered that many of the unemployed men were from Sweet Home Farm, and so began a friendship with a community that has grown, developed and morphed into its current enriched state.

Projects within the community have ranged from a Senior Citizen’s Club and teenage girl discipleship group, to soccer teams and HIV support groups, from soup kitchens to community service with Edith Stephens Wetland Park. Whilst projects and programmes have come and gone, the thread that runs through them all is the relationships that have been built over years with people from The Warehouse and their broader community, and the residents of Sweet Home Farm.

This has culminated in the current UBU project, which is focused on activating the potential of the quality men and women of Sweet Home Farm as they pursue housing solutions.

UBU PROCESS HOUSE

Implementing Agents

Ubuhle Bakha Ubuhle (UBU)

Project Location

Sweet Home Farm, Philippi, Cape Town, South Africa

PROVISION OF SERVICED SITES AND PROMOTION OF INCREMENTAL HOUSING

ORANGI PILOT PROJECT (OPP) LOW-COST SANITATION PROJECT

IMPLEMENTING AGENTS

Project initiator: Akhtar Hameed Khan

Current implementin agents: OPP-RTI (Research and Training Institute), OPP-OCT (Orangi Charitable Trust, involved in microfinance), OPP-KHASDA (Karachi Health and Social Development Association, involved in health activities) and residents

PROJECT LOCATION

Karachi, Pakistan

OPP-RTI encourages communities to develop their own 'internal' sewerage systems (latrines inside homes, underground sewers in lanes and neighbourhood collector sewers) which connect into 'external' infrastructure (trunk sewers and plants) provided by the local authority. The project demonstrates the ability of communities to finance, manage and build their own services when provided with technical and managerial support.

OPP-RTI offers technical assistance in the form of maps and plans, estimates of labour and materials costs, tools, training for carrying out the work, and supervision of the work. The work has resulted in the development of new construction standards, techniques and tools that are affordable to poor communities and appropriate to community involvement in construction.

In Orangi, more than 95 000 households have built their neighbourhood sanitation systems at a cost of US$ 1.4 million, where it would have required an investment of US$ 10.5 million for the local authority to do the same. Infant mortalities between 1983 and 1993 fell from 128 to 37 per 1000.

With the Orangi overall map in hand, OPP-RTI was able to oppose a formal intervention by a consultancy of engineers, to be funded by a loan from the Asian Development Bank. OPP-RTI successfully argued that at best the plan to map the area and put in water supply, sanitation and road paving did not recognise or build upon a lot of the work already done by Orangi residents, and at worst it meant that the residents would have to rebuild their individual connections to suit the new trunk lines. OPP-RTI were awarded the project instead, and used it to upgrade the open channel trunk lines to piped trunk lines, which meant none of the individual connections to the trunk lines had to be changed.

Local government has since realised the value of communities being involved in their own mapping and service provision. Excellent links were built between the communities involved and the local government engineers and authorities, which has led to successful lobbying for future projects. Replication projects have served to provide sanitation, road paving and water supply – all according to the 'internal' / 'external' system.

QUINTA MONROY

IMPLEMENTING AGENTS

ELEMENTAL - Alejandro Aravena, Alfonso Montero, Tomás Cortese, Emilio de la Cerda

PROJECT LOCATION

Sold Pedro Prado, Iquique, Tarapacá, Chile

Quinta Monroy social housing was built in a site that had been illegally occupied by 97 families since the 1960's, who they rehoused on the same 5,000 square metre site.

The site's central location meant that the land was three times the price of what social housing could usually afford, however the subsidy provided by the government was exactly the same - US$7,500 per family, which had to pay for the land, infrastructure and building costs. The challenge was how to build decent homes for these families, when following the purchase of land there was almost no money left for the housing itself. The project addressed this challenge by building 'half-houses'. This 'half-a-house' designed was essentially the core of a home, the half that the residents could not build on their own. The initial dwellings were double height, robust concrete block structures fitted out with the very basics - a kitchen, bathroom, some partition walls and an internal timber stair. Each of these box-like structures alternated with an empty space, of exactly the same size. In this vacancy the family could expand their own home, configuring the space however they desired.

PROVISION OF SERVICED SITES AND PROMOTION OF INCREMENTAL HOUSING

BOGOTÁ SITE AND SERVICE MODEL

IMPLEMENTING AGENTS

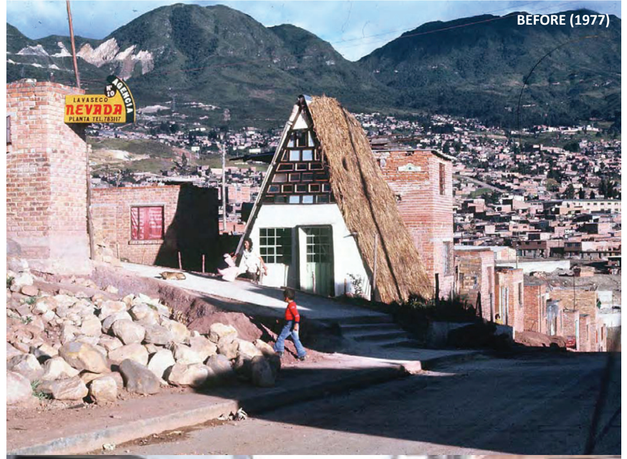
Instituto de Crédito Territorial, Caja de Vivienda Popular

PROJECT LOCATION

Guacamavas, Bogotá, Colombia

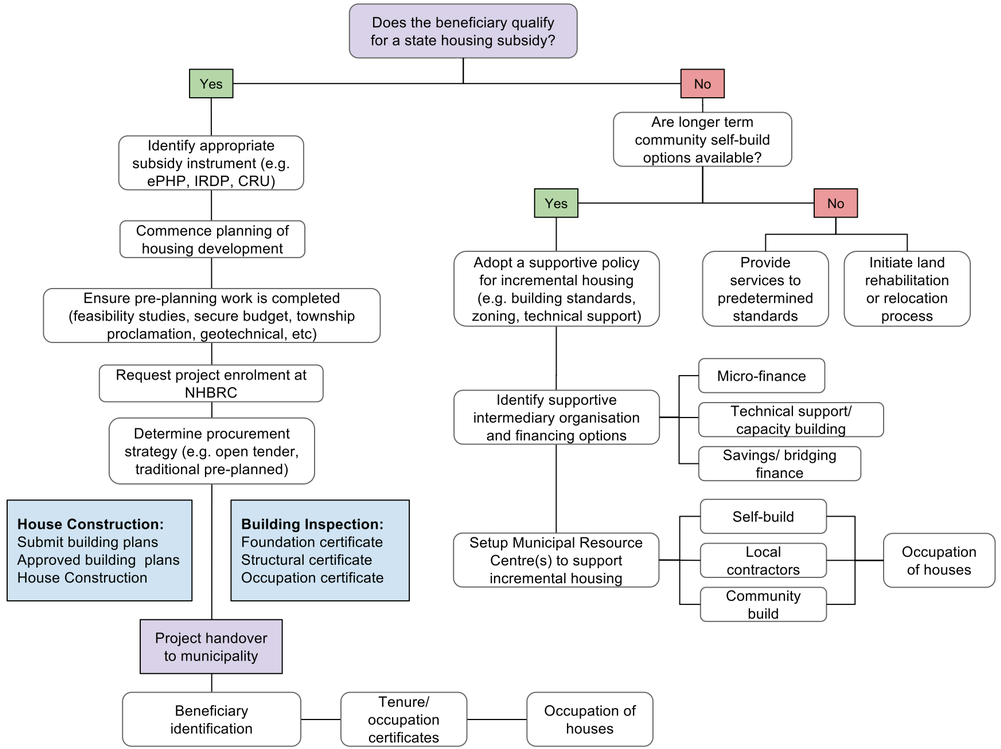
A site-and-services project started in 1976 on land on the city fringes with good access to the city centre and industrial areas.

When the project started, core service units with one room on each plot were provided. Many households moved onto the site with second-hand building materials and components to start extending their dwellings immediately. In 1977, several families had extended their houses, including the addition of a second floor on the original core house. By 2009, 23 years after the project launched, Guacamayas has become fully urbanized with traffic confined to perimeter roads and pedestrian precincts in the interior of the blocks. Houses continue to be extended and improved.



HOUSING CONSOLIDATION

DECISIONS MATRIX



5. CONCLUSION

This document puts forward a number of practical options which can guide the effective prioritisation, planning, implementation and maintenance of interventions in informal settlements. The approach taken in formulating an array of options for intervening in informal settlements acknowledges that informal settlements play a critical role in responding to people's shelter and livelihood needs, and places people at the front and centre of developing appropriate development responses.

Given the scale and endurance of informal settlements, and the implications for people's health, safety, dignity and livelihoods, it is vital that municipalities pursue in-situ settlement upgrading with determination and in a coordinated and coherent manner. It is equally important that municipalities plan for envisaged population and/or household growth in a proactive manner and pursue land development options in advance. The various options put forward for settlement planning, tenure security, provision of services and community facilities and eventual housing consolidation aim to support and enable municipalities, communities and other relevant role-players to co-create neighbourhoods that are liveable, integrated, vibrant and resilient. The approach taken allows for incremental improvements in informal settlements, and outlines that with the right incentives and support, communities and households can be assisted to invest and innovate based on their own shelter needs and livelihood opportunities.

From the various options that have been outlined, it is clear that multi-stakeholder people-centred partnerships are crucial to the success of these settlement upgrading initiatives, and that the state – and, most especially, the municipality – has a critical role to play in enabling local development and good governance, which includes facilitating the involvement of other stakeholders and affected communities and households.

It is hoped that this document assists municipal officials in unpacking the complexities of informal settlement upgrading in an innovative and easy to comprehend manner to ensure that the quality of life of people in informal settlements is improved through a robust people-centred and partnership-based approach.

ANNEX 1

DEFINING INFORMAL SETTLEMENTS

In policy and literature, informal settlements are often described/defined in different ways:

Descriptive: These definitions attempt to describe the key features of informal settlements and dwellings, often in operational terms such land, structure type and services.

Analytical/explanatory: These reflect particular views about how informal settlements have come about (causal factors), and what they represent to residents and the municipality as a whole (i.e. the 'functionality' of an informal settlement). This is about understanding how to intervene including migration trends, functionality and agency of the poor.

Normative: These definitions or ways of writing about informal settlements summarise the value that ought to be ascribed to these settlements and focuses on the development rights of residents within these settlements.

Informality is very broad thematic subject and can cover many aspects relating to informal settlements, backyarders, overcrowding, tenements etc.

The table on next page summarises how informal settlements are defined in different policy-related documents.

Document	Understanding of informal settlements	Understanding of informal settlements upgrading
Breaking New Ground (2004)	Result of urbanisation and natural population growth, associated with unemployment and crime	Phased, in situ approach Phase 1: community survey Phase 2: basic service delivery Phase 3: housing delivery
National Housing Code (2009)	Identified on the basis of the following characteristics: illegality and informality; inappropriate locations; restricted public and private investment; poverty and vulnerability; and social stress.	Phased approach, community involvement contributes to successful implementation
Outcome 8 (2009)	As in National Housing Code (2009), provides land and opportunities for the urban poor	
HDA report (2011)	• An unplanned settlement on land which has not been surveyed or proclaimed as residential, consisting mainly of informal dwellings (shacks) (settlement type) • A makeshift structure not erected according to approved architectural plans (dwelling type)	
National Development Plan (2012)	• Characterised by poor sanitation, risk of waterborne disease, fires, flooding, and malnutrition • Indication of the scale of housing problem • Recognised as spaces that serve particular function (point of access)	• Phased, in situ approach • Hindered by rigid local regulations, ambivalent attitudes towards informal settlements in parts of government, and a lack of capacity to upgrade such settlements
Discussion document – new HS policy (2015)	Established through invasion of land, unplanned	Prioritise security of tenure and provision of infrastructure
UN-Habitat The Challenge of Slums (2003) AND A practical guide to designing, planning and executing citywide slum upgrading programmes (2014)	'…settlement where the inhabitants are characterized as having inadequate housing and basic services. A slum is often not recognized and addressed by the public authorities as an integral or equal part of the city' Operational definition: • inadequate access to safe water; • inadequate access to sanitation and other infrastructure; • poor structural quality of housing; • overcrowding; • insecure residential status	• Valid, opportune and cost effective way to improve living conditions and urban environment • Critical lesson: success is contingent on community involvement

Western Cape Government

Human Settlements

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