



FROM PRECARIOUS SETTLEMENTS TO DIGNIFIED COMMUNITIES

Western Cape Informal Settlement Strategic Framework (ISSF): Implementation Plan 2016-2030

Final
September 2016



in partnership with



The Implementation Framework accompanies the Western Cape Informal Settlement Strategic Framework (ISSF). The implementation period for the Western Cape Informal Settlement Strategic Framework (ISSF) is 2016-2030. This aligns the Implementation Plan with the National Development Plan 2030. It is deliberately intended to be ambitious, given the urgency with which Province and municipalities ought to address the living conditions and livelihood challenges of people living in informal settlements.

The ISSF specifies three strategic objectives:

- 1. Upgrade settlements through access to land, services, public infrastructure and incremental housing opportunities**
- 2. Enhanced quality of life and active citizenship**
- 3. Strengthened sector capability, governance and resources**

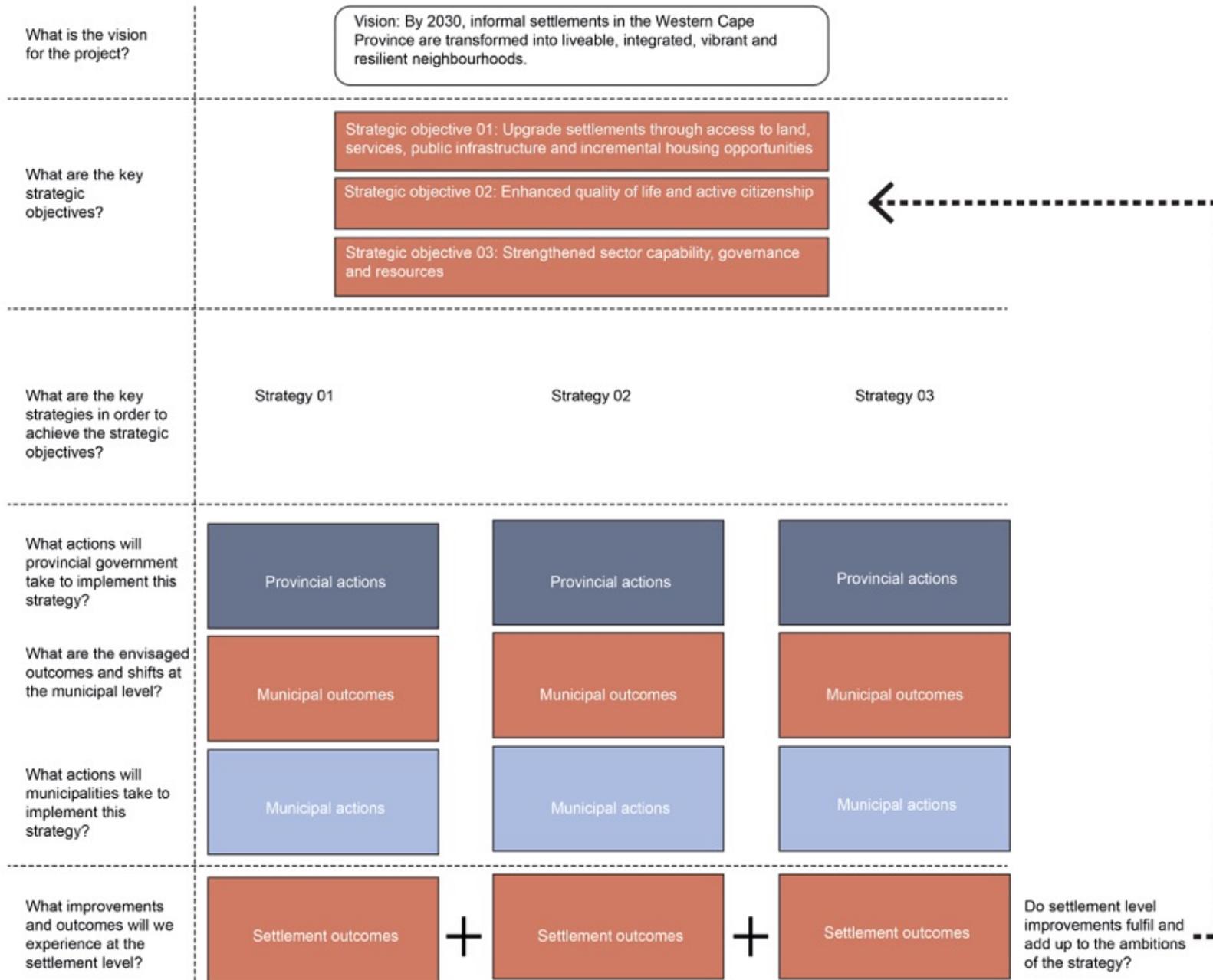
Each strategic objective has a sub-set of strategies to realise the vision and mission outlined in the ISSF. For each strategy, a set of actions at provincial and municipal level is identified, aimed at achieving specific outcomes at municipal and settlement level respectively. The identified actions are interdependent and need to be implemented in parallel to transform informal settlements into vibrant, resilient and dignified neighbourhoods that are well integrated into the municipal fabric and the local economy.

The Implementation Plan provides a rationale for each action and summarises key milestones to assist in determining whether the action is being implemented. Because the actions are interlinked, it also indicates how a specific action may depend on, be enabled by, or relate to other actions. Finally, the Implementation Plan assigns responsibility for provincial actions to specific provincial departments.

Whilst the ISSF and the Implementation Plan outline many actions aimed at guiding provincial departments and municipalities towards an orientation that advances the vision and mission of the ISSF, it should not be interpreted in a minimalist or prescriptive manner. Where there are other, possibly complementary, means to achieve the intended outcomes in a more effective, inclusive and sustainable manner, these should be pursued. Critically, both political will and strong leadership across all levels and spheres of government is required to bring about the necessary redirection of resources and practice.

A logic model underpinning the ISSF is summarised in diagram 1. It is intended to assist in implementing the actions and monitor change.

Diagram 1



Strategic objective 1: Upgrade settlements through access to land, services, public infrastructure and incremental housing opportunities

1 Prioritise emergency and basic service provision

	Provincial actions	Rationale	Key steps	Linkages	Department responsible
1.1	Advocate for flexible norms and standards for provision of basic and emergency services as indicated in the Red Book	Many settlements do not have access to basic services due to restrictive engineering norms and standards as outlined in the red book. This action is in essential to achieve a higher level of services in informal settlements.	<ul style="list-style-type: none"> • Conduct a short survey with selective municipalities to identify impediments to service delivery relating to engineering norms and standards • Develop ToR for infrastructure and technology services tool • Develop Provincial engineering norms, standards and recommendations • Prepare and submit briefing document with recommendations in order to advocate for amending the red book 	This action enables actions 1.4 and 1.5.	DoHS
1.2	Develop and finance a training programme for municipal engineers advocating to revisit municipal norms and standard by-laws for servicing informal settlements	Many settlements do not have access to basic services due to restrictive municipal by-laws with regards to engineering norms and standards as outlined in the red book. This action is in essential to achieve a higher level of services in informal settlements.	<ul style="list-style-type: none"> • Conduct a survey with selective municipalities to identify specific standards adopted by municipalities that are impediments to service delivery • Develop Provincial engineering norms, standards and recommendations • Distribute memo with provincial engineering norms and standards to all municipalities • Organise once off training led by Province targeting municipal engineers to adopt more flexibility in norms and standards 	This action enables actions 1.4 and 1.5.	DoHS

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1.3	Engage National Treasury about the specific MFMA provisions and/or GRAP standards preventing servicing on private land	Informal settlements located on private land are unable to access basic services. This action allows for advocating for delivering basic services to informal settlements on private land.	<ul style="list-style-type: none"> • Prepare a list of all settlements that are located on private land including the age of the settlement (Using rapid appraisal data) • Develop a preliminary document motivating for provision of basic services on private land • Organise an interdepartmental meeting along with Provincial Treasury to explore legislative restrictions on servicing private land • Provincial Treasury to submit high level briefing document to National treasury motivating delivery of services on private land 	This action enables actions 1.4 and 1.5.	Provincial treasury
1.4	Set targets and provide oversight on bringing service ratios in informal settlements up to national standards (particularly relating to O&M and indigent grant)	There are no service delivery targets or preferred standards at the provincial level that gives clear direction to the municipalities.	<ul style="list-style-type: none"> • Distil rapid appraisal data of current service shortfalls per municipality • Identify key impediments for service delivery per municipality in order to meet national standards (including lack of bulk services and poor operations and maintenance) • Establish targets per municipalities to at least comply with national standards • Distribute targets to each municipality 	This action enables actions 1.4 and 1.5. This action is dependent on action 11.2.	DoHS

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	Municipal actions	Rationale	Key steps	Linkages	Department responsible
1.5	Adopt service delivery targets and implement service delivery projects and 'quick wins', preferably through community contractors in a sustainable manner (communal or individual services)	Service delivery and community priorities are not addressed adequately in municipal planning. This action allows municipalities to improve basic services in informal settlements	<ul style="list-style-type: none"> • Review the rapid appraisal data relating to community needs/ quick wins and provincial targets for service delivery • Align municipal resources with community priorities and provincial targets • Advertise the implementation of the project in the local community and encourage local contractors to apply 	This action is dependent on actions 1.1, 1.2, 1.3 and 1.4. This action links to action 7.1.	
1.6	Develop and incorporate community action plans into the IDP process as per the ISSP design and tenure options	Community needs are not adequately represented and resourced in the IDP process. This action allows community 'quick win' and long term priorities to be planned, budgeted and implemented.	<ul style="list-style-type: none"> • Conduct a community led settlement level enumeration and mapping to identify community needs • Package the enumeration, mapping data with key community priorities as a community action plan • Circulate the community action plan across various departments within the municipality and if needed to relevant provincial departments • Adopt the community action plan into the IDP and allocate necessary resources to meet settlement needs 	This action supports actions 4.1 and 6.1. This action links to actions 7.6 and 8.5.	

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2 Strengthen planning for neighbourhood development

	Provincial actions	Rationale	Key steps	Linkages	Department responsible
2.1	Prepare neighbourhood development and community action planning strategy using NUSP resources	Municipalities focus on developing greenfield housing projects, rather than targeting investments in building stronger neighborhoods that are integrated into the city/ town fabric. This information enables municipalities to deepen participation and reduce community protest within the province	<ul style="list-style-type: none"> • Circulate NUSP resources on neighborhood development and community action planning, along with the related ISSP documents to all municipalities in the Western Cape. • Organise regular interdepartmental meetings (preferably quarterly) to align resources and long-term investments in settlements in order to improve access to health, education, transport, civic amenities and livelihood opportunities. 	<p>This action enables actions 2.3, 2.4 and 2.5. This action links to action 14.6.</p> <p>The ISSP serves as a reference to this action.</p>	DoHS
2.2	Disseminate and train municipal officials on the prioritisation tool	Municipalities often struggle to prioritise key informal settlements that require urgent intervention. The tool allows municipalities to prioritise informal settlement interventions and the province to track progress, particularly the most vulnerable settlements.	<ul style="list-style-type: none"> • Circulate the prioritization tool to all municipalities along with the briefing document • Provide once of training to municipalities to use the prioritization tool 	This action enables action 2.6.	DoHS
	Municipal actions	Rationale	Key steps	Linkages	Department responsible
2.3	Prepare plans for all informal settlement neighbourhoods, including community actions plans, to be incorporated into the IDP	Municipalities often do not incorporate broader needs of the community relating to health, education, transport, civic	<ul style="list-style-type: none"> • Prepare a list and maps of all settlements within the municipality based on the rapid appraisal data 	This action enables actions 2.4 and 2.5. This action links to actions 7.4 and	

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		amenities, open space and livelihood in settlement planning and IDP's. This action allows municipalities take a long-term perspective to development and pursue an incremental approach.	<ul style="list-style-type: none"> • Organise community forums with community leaders/elders and ward councillors to identify needs within the broader neighbourhood plan with a particular focus on access to health, education, transport, civic amenities, open space and livelihood opportunities • Incorporate all neighbourhood plans into the IDP • Circulate the document to Province bringing various aspects to the attention of relevant departments 	14.6.	
2.4	Identify and plan for new settlement formation within existing neighbourhoods based on expected growth	Municipalities are unable to manage pressures of urbanisation and in-migration. There is a need for proactive and forward planning to account for growth and urbanisation.	<ul style="list-style-type: none"> • Develop a land ownership inventory of all land included in the current SDF • Earmark well located land for human settlement development, using the land inventory database, avoiding flood plains and environmentally sensitive areas • Service land in order to proactively manage in-migration 	This action is dependent on actions 3.2, 3.3, 3.4, 3.5 and 3.6.	
2.5	Apply prioritisation tool along with it weighting criteria for all informal settlements in order to programme interventions	Municipalities often struggle to prioritise key informal settlements that require urgent intervention. The tool allows municipalities to prioritise informal settlement interventions and the province to track progress, particularly the most vulnerable settlements.	<ul style="list-style-type: none"> • Create a weighting system within the municipality • Seek council approval on the weighting system • Implement and utilise the prioritisation model 	This action is linked to action 2.2 and relates to the Prioritisation Model.	

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3 Unlock public and private land assets that are suitable for development and serving the livelihood needs of the community

	Provincial actions	Rationale	Key steps	Linkages	Department responsible
3.1	Fast track funding and approvals for settlement upgrading projects that actively develop well located land in well established neighbourhoods	Projects that actively target well-located land and are innovative and precedent setting have long approval periods.	<ul style="list-style-type: none"> • Identify all settlement projects on the pipeline and business plan • Shortlist settlement projects that are actively targeting neighbourhood development on well located land with strong community participation • Circulate list of shortlisted projects across the various departments in the province • Fast track provincial approvals and funding for shortlisted projects through various departments 	This action enables action 1.5.	DoHS and DEADP
3.2	Develop a land release strategy regarding the optimal use of land, in collaboration with HDA	In many instances, well located land in municipalities is owned by other spheres of government or parastatals and cannot be released for human settlement development	<ul style="list-style-type: none"> • Prepare a guiding document that explains the imperative of land release from various spheres of government • Organise a series of meetings and workshops with HDA to agree on land release strategy • Prepare a land release strategy document • Circulate the document to municipalities 	This action enables action 2.4.	HDA + DoHS

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	Municipal actions	Rationale	Key steps	Linkages	Department responsible
3.3	Release well located land for human settlement development	Well located in-situ and greenfield land is seldom utilised for human settlement development and often used for private developments. There is a need to integrate informal settlement neighborhoods into the town fabric avoiding land with natural hazards.	<ul style="list-style-type: none"> • Develop a land ownership inventory of all land included in the current SDF and within the urban edge • Earmark and release well located in-situ and greenfield land for human settlement development 	This action enables action 2.4.	
3.4	Develop well located land located in established neighbourhoods for low income housing and other public amenities	Many municipalities continue to develop human settlement projects on the outskirts of the municipal boundaries or outside the current SDF, further reinforcing the apartheid spatial order.	<ul style="list-style-type: none"> • Develop a land ownership inventory of all land included in the current SDF and within the urban edge • Implement the servicing of such land • Direct other provincial resources and programmes relating to health, education, transport, civic amenities, open space and livelihood with the intention to strengthen neighbourhood development 	This action enables action 2.4.	
3.5	Identify and develop new parcels of land within established neighbourhoods for new settlement formation with the intent for spatial integration	This action enables the proactive management of growth and in-migration.	<ul style="list-style-type: none"> • Develop a land ownership inventory of all land included in the current SDF and within the urban edge • Identify and develop new parcels of land within established neighbourhoods for new settlement formation with the intent for spatial integration 	This action enables action 2.4.	

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4 Enable alternative forms of tenure security

	Provincial actions	Rationale	Key steps	Linkages	Department responsible
4.1	Develop and operationalise provincial guidelines on incremental and/or alternative tenure options	Tenure rights are critical for informal settlements and the current form of freehold title is exclusionary and limiting. Municipalities will benefit from alternative forms of tenure will allow for incremental upgrading.	<ul style="list-style-type: none"> • In consultation with provincial legal department, prepare a briefing document on tenure options based on ISSP and NUSP guidelines • Circulate briefing document to municipalities • Invite NUSP to workshop tenure guidelines at a PUSP meeting • Based on the briefing document, prepare a ToR for a municipal training programme 	This action enables actions 4.3 and 4.4 and links to action 14.1.	DoHS
	Municipal actions	Rationale	Key steps	Linkages	Department responsible
4.2	Provide form of tenure to informal settlement residents in category A and B1 settlements	Settlements located on category A and B1 do not have tenure rights and thus, cannot use their own resources to develop top structure.	<ul style="list-style-type: none"> • Based on provincial briefing document, discuss and agree on appropriate tenure options with community leadership/members and ward councillors • Implement tenure rights for community members residing in category A and B1 settlements 	This action is dependent on action 4.1.	
4.3	Provide alternative forms of tenure to informal settlement residents in category B2 and C settlements	Settlements located on category B2 and C are earmarked for relocation but no alternative form of tenure is offered to them.	<ul style="list-style-type: none"> • Based on provincial briefing document, discuss and agree on appropriate tenure options with community leadership/members and Ward Councillors • Implement tenure rights for community members residing in category B2 and C settlements 	This action is dependent on action 4.1.	

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5 Resettle people selectively with appropriate choices within a municipal wide development framework

	Provincial actions	Rationale	Key steps	Linkages	Department responsible
5.1	Prepare provincial guidelines for relocating communities facing serious hazards and risks and decanting from high-density locations	Settlements that need to be relocated often due to severe hazards or risks are relocated without adequately understanding the socio-economic impacts on the communities. Resettlement can be done in a participatory and transparent manner in order to reduce conflict and strife.	<ul style="list-style-type: none"> • Prepare a provincial guidelines dealing with relocations including clear rationale why the settlement is being relocated, does the whole settlement need to be relocated (or only partially), jointly identify land with communities, identify transport needs and possible compensation and any other post relocation support. 	This action links to actions 2.2 and 4.2.	DoHS
	Municipal actions	Rationale	Key steps	Linkages	Department responsible
5.2	Engage affected sections of communities that have to be relocated as per provincial guidelines and implement such relocations	Settlements that need to be relocated often due to severe hazards or risks are relocated without adequately understanding the socio-economic impacts on the communities. Resettlement can be done in a participatory and transparent manner in order to reduce conflict and strife.	<ul style="list-style-type: none"> • Identify jointly with community residents reasons why the settlement or sections thereof has to be relocated • Establish a process of joint land identification with community residents with regards to proximity to health facilities, schools and employment opportunities • Identify the transport needs to the identified relocation site • Debate and discuss compensation for relocating and resettling communities, if any • Ensure appropriate post relocation support to communities 	This action links to actions 2.5 and 4.3.	DLG + DEDAT

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6 Support incremental and affordable housing opportunities for people living in informal settlements

	Provincial actions	Rationale	Key steps	Linkages	Department responsible
6.1	Advocate for flexible norms and standards regarding stand sizes and building regulations for incremental housing	This action enables municipalities to adopt flexible stand sizes and building regulations that are more suitable for incremental and self build developments.	<ul style="list-style-type: none"> Province to prepare a guiding document (suggesting flexible norms and standards) including multiple criteria but not limited to densities, potential to reorganise the space better, alternative land availability, consultation and preference of community residents, minimize relocations and disruptions to community residents 	This action links to actions 1.1 and 7.1.	DoHS
6.2	Operationalise innovative models for housing consolidation and transitional housing models emerging from the CCDI BLC report and ISSP	New forms of incremental housing are needed to move away from current paradigm of low density subsidised housing.	<ul style="list-style-type: none"> Circulate the ISSP design and tenure options to all municipalities Circulate Better Living Challenge (BLC) case studies to municipalities Organise a PUSP session to train municipalities in adopting innovative models of housing consolidation 	This action is supported by action 7.1 and links to action 14.1.	DoHS
6.3	Seek legal advice on housing consolidation for non-qualifiers	There is ambiguity within the UISP document that needs to be resolved to find solutions for non qualifiers.	<ul style="list-style-type: none"> Organise meeting with NUSP and provincial legal department with regards to non qualifiers for subsidy with regards to UISP project Circulate a briefing document and directive to all municipalities 		DoHS

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	Municipal actions	Rationale	Key steps	Linkages	Department responsible
6.4	Establish a municipal resource centre to assist communities in capacity development, self build and accessing finance and plan approvals	Bureaucratic red tape causes inefficiencies, including delays in registration and implementation, and can be costly, particularly for small contractors and businesses. A 'one-stop-shop' can offer advice and support to fast-track the registration process.	<ul style="list-style-type: none"> • Develop the scope for a municipal resources centre • Identify financial and human resource requirements • Identify a suitable location/building for the centre to operate from 	This action is supported by action 7.4.	

Strategic objective 2: Enhanced quality of life and active citizenship

7 Support local entrepreneurship and livelihood strategies

	Provincial actions	Rationale	Key steps	Linkages	Department responsible
7.1	Conduct Supplier Development Workshops (compliance/registration) with local service providers	Using local contractors and service providers enhances the local economy and livelihood strategies. There are resident home building and extension contractors in all municipalities, although they may not always have the requisite knowledge, skills and business acumen (e.g. of regulations, programmes, materials estimation and management, basic business management).	<ul style="list-style-type: none"> • Conduct a sample survey of local contractors to assess available knowledge and capabilities (and gaps) • Develop a TOR for a toolkit to capacitate community contractors • Submit an application for EPWP funding to finance contractor training • Provide training of community contractors, based on the toolkit 	This action is linked to actions 6.2, 6.5 and 7.3.	DoHS + DEDAT
7.2	Incorporate neighbourhood planning into LED/IDP Assessment Framework	Residents of informal settlements engage in a range of livelihood strategies to generate income and get by. Upgrading strategies need to strengthen, rather than undermine, these livelihood strategies. Municipalities need guidance on how to incorporate an economic and livelihoods perspective into settlement and neighbourhood planning.	<ul style="list-style-type: none"> • Review the provincial LED Strategy to identify strategic actions for informal settlements and upgrading initiatives • Draft a guidance note for municipalities on linking LED into settlement/ neighbourhood planning and IDP 	This action needs to inform actions 2.1, 2.3 and 2.4 and enables actions 7.6 and 7.7. It could be linked to action 7.2.	DEDAT + DLG DEDAT + DLG
7.3	Incorporate provincial food security strategy actions into neighbourhood planning guidelines	Food insecurity and malnutrition continue to be prevalent in informal settlements, which can be addressed in a proactive manner if taken into account as part of upgrading interventions.	<ul style="list-style-type: none"> • Develop a guidance note for municipalities on incorporating recommendations from the Provincial Food Security Strategy into settlement/ neighbourhood planning and IDP 	This action links to action 2.1 and could be linked to action 7.2.	DoP + DoHS

Strategic objective 2: Enhanced quality of life and active citizenship

	Municipal actions	Rationale	Key steps	Linkages	Department responsible
7.4	Incorporate provincial local economic development (LED) and food security strategy actions into neighbourhood planning linked to the IDP	Residents of informal settlements engage in a range of livelihood strategies to generate income and get by. Upgrading strategies need to strengthen, rather than undermine, these livelihood strategies. Municipalities need to incorporate an economic and livelihoods perspective into settlement and neighbourhood planning.	<ul style="list-style-type: none"> • Discuss the recommendations from the provincial guidance notes on LED and food security with community forums • Incorporate locally appropriate actions into the neighbourhood plans and IDP 	This action is dependent on actions 7.2 and 7.3. It is linked to action 2.3.	
7.5	Create a database of local community based contractors and organisations that can implement informal settlement projects, with appropriate regulations specifically labour laws	Municipalities are often not fully aware of the resident skills and competencies in their locality that can assist in informal settlement projects and/or home building. A database can speed up the contracting process, with better results for the municipality and settlement(s) concerned.	<ul style="list-style-type: none"> • Develop a registration tool • Set up and manage the database 	This action can support action 7.1 and is linked to action 7.4.	
7.6	Establish a municipal resources centre to assist businesses and local contractors with registration	Bureaucratic red tape causes inefficiencies, including delays in registration and implementation, and can be costly, particularly for small contractors and businesses. A 'one-stop-shop' can offer advice and support to fasttrack the registration process.	<ul style="list-style-type: none"> • Develop the scope for a municipal resources centre • Identify financial and human resource requirements • Identify a suitable location/building for the centre to operate from 	This action can be linked to action 6.6 and is related to actions 6.2 and 6.5.	
7.7	Create a database of local enterprise and SMMEs in the municipality	Municipalities are often not fully aware of the local businesses active in their locality, which hinders their ability to design suitable supportive interventions.	<ul style="list-style-type: none"> • Develop a registration tool • Set up and manage the database 	This action is linked to action 7.6.	

Strategic objective 2: Enhanced quality of life and active citizenship

7.8	Recognise informal economic activity under the land-use scheme and improve them over the long term	Land use management and planning schemes, such as zoning, can have an enabling or undermining impact on local economic activities.	<ul style="list-style-type: none"> • Use the provincial guidance note to develop locally appropriate projects and programmes • Conduct an assessment/survey of how the land use scheme impedes/supports local economic activity • Review and revise by-laws and zoning schemes with an eye on enabling local economic activity 	This action is supported/enabled by action 7.2 and linked to 7.5.	
7.9	Support local food production and food security through, amongst others, LED programmes	Food insecurity, hunger and malnutrition are very high in informal settlements. Municipalities can support people in growing food (incl. in communal gardens), support community service organisations that offer relief (e.g. through food kitchens, crèches or home-based care) and create incentives for local food producers to offer nutritious food.	<ul style="list-style-type: none"> • Use the provincial guidance note to develop locally appropriate projects and programmes (including, amongst others, support for community service organisations, local food production and food preparation) 	This action is supported/enabled by actions 7.3 and 7.2.	

Strategic objective 2: Enhanced quality of life and active citizenship

8 Promote holistic human development with a focus on youth development and social cohesion

	Provincial actions	Rationale	Key steps	Linkages	Department responsible
8.1	Provide accurate data, research and analysis to municipalities to help them plan for growth in demand of social services like education, training and health	Informal settlement upgrading has to address social and human development dimensions. Municipalities rely on provincial government to provide the necessary information and resources to ensure that these development dimensions are adequately addressed.	<ul style="list-style-type: none"> • Develop and update sector plans regarding planned facilities and services and share with municipalities (for inclusion in the IDP and SDF) 	This action needs to inform actions 2.1, 2.3 and 2.4.	DSD, with DoH and WCED
8.2	Incorporate provincial social development strategy actions into settlement and neighbourhood planning	Municipalities need guidance on how to incorporate a social development perspective into settlement and neighbourhood planning, based on the provincial strategy.	<ul style="list-style-type: none"> • Review the provincial Social Development Strategy to identify strategic actions for informal settlements and upgrading initiatives • Draft a guidance note for municipalities on incorporating social development actions into settlement/neighbourhood planning 	This action enables actions 2.3 and 2.5 and can support action 8.5.	DHS
8.3	Prioritise and support neighbourhood watches in informal settlements, linked into community policing forums and/or community safety forums	Crime and safety concerns are often very high in informal settlements. To address these, the police needs to work with local community representatives who can be more effective in reducing crime and violence in their communities.	<ul style="list-style-type: none"> • Offer training and equipment to neighbourhood watches • Identify municipalities that do not yet have a community policing forum and work with local station commander in establishing a CPF • Develop and offer a training course for community policing forums/community safety forums 	This action links to action 8.7 and can support action 8.5.	DCS DCS DCS
8.4	Operationalise the MOD Programme across all municipalities to target youth programmes	Youth are a vulnerable population, facing the risk of school dropout, unemployment, exposure to crime and gangs, amongst others.	<ul style="list-style-type: none"> • Expand the MOD Programme across all municipalities 	This action relates to action 8.6 and can support action 8.5.	DCAS

Strategic objective 2: Enhanced quality of life and active citizenship

	Municipal actions	Rationale	Key steps	Linkages	Department responsible
8.5	Develop a municipal programme of action, including the establishment of a help desk, to address sexism, xenophobia and intolerance using EPWP programme in partnership with local NGOs		<ul style="list-style-type: none"> • Convene a meeting with local service providers, interest groups, NGOs and EPWP programme to discuss a programme of action • Agree on roles and responsibilities for programme implementation • Identify suitable venues (possibly owned by the municipality) for help desk to operate from 	This action can support action 8.7.	
8.6	Support the rollout of the MOD Programme in order to promote youth development	Although the MOD Centres are established and supported by DCAS and are usually based at schools, municipalities can help identify settlements that are not yet covered by the MOD Programme and can also make municipal venues available.	<ul style="list-style-type: none"> • Map informal settlements where the MOD Programme is not yet active and can be rolled out • Identify suitable venues owned by the municipality for MOD Centres to operate from 	This action links to action 8.4.	
8.7	Connect all community forums to SAPS and ensure that SAPS participates in the quarterly settlement partnership meetings with community and municipality	Direct communication and linkage between community forums and SAPS is vital to ensure rapid responses to crime and violence and to improve safety.	<ul style="list-style-type: none"> • Convene quarterly community forums focusing on safety and crime prevention • Invite local SAPS to quarterly meetings • Document the meetings and agreements made 	This action links to action 8.3 and can support action 8.5.	

Strategic objective 2: Enhanced quality of life and active citizenship

9 Support and enhance citizen capability in planning, decision making, implementation and monitoring

	Provincial actions	Rationale	Key steps	Linkages	Department responsible
9.1	Develop, implement and resource a programme of community capacity development and action planning in partnership with intermediary organisations	Intermediary organisations often have tried and tested approaches to community capacity development and pre-existing relationships with community representatives.	<ul style="list-style-type: none"> • Scan existing training programmes and materials on community planning • Develop a curriculum for the capacity development programme • Pilot the programme and evaluate/revise • Develop a fundraising/resource mobilisation strategy for the programme 	This action supports actions 2.3 and 2.5.	<p>DoHS</p> <p>DoHS with DoLG</p> <p>DoHS with DoLG</p> <p>DoHS with DoLG</p>
9.2	Provide training to community leaders including councillors and ward committees regarding the institutional framework for human settlements	Community leadership is often not fully informed about the institutional framework for human settlements, which means that they are unable to provide communities with correct information and guidance.	<ul style="list-style-type: none"> • Develop a training programme for community leadership, councillors and ward committees • Roll out the training programme in municipalities across the province 	This action can complement action 9.1. It can support action 9.4 and enable action 9.5.	<p>DoHS with DoLG</p> <p>DoHS with DoLG</p>
9.3	In consultation with DPME, develop and implement a citizen-based monitoring (CBM) approach to informal settlement upgrading	The role of communities in monitoring progress and results is vital. The DPME has a citizen-based monitoring programme, which has not yet been applied to the human settlements context.	<ul style="list-style-type: none"> • Set up an engagement with the DPME to discuss how CBM can be taken forward • Develop a ToR for a service provider to support the development of a CBM pilot • Pilot the approach in at least 2 sites 	This action can be linked to 9.4.	

Strategic objective 2: Enhanced quality of life and active citizenship

	Municipal actions	Rationale	Key steps	Linkages	Department responsible
9.4	Establish an interdepartmental quarterly partnership meeting through IDP and ward forums with each informal settlement	Quarterly meetings between different municipal departments and community forums can greatly enhance communication, community oversight and optimisation of settlement resources.	<ul style="list-style-type: none"> • Prepare a Council resolution to ensure departmental commitment and participation • Draft a standard meeting agenda • Identify and invite participants • Minute the meetings and decisions taken 	This action can be supported through (and in turn support) action 9.3. It can be supported by action 9.5.	
9.5	Allocate resources for each settlement in the budgeting process and share this information with settlement CBOs and leaders	Transparency regarding resource allocation for settlement development is critical to ensure informed engagement with community structures and effective utilisation of resources.	<ul style="list-style-type: none"> • Prepare a Council resolution regarding the amount/proportion of funds allocated to each settlement • Summarise the budget information in a simplified manner for dissemination to community representatives. • Discuss resource allocation and utilisation at the quarterly partnership forum 	This action is linked to action 9.4.	
9.6	Convene community training programmes on legislation, policy, by-laws, planning and budget processes	Community representatives need to understand the legislative, institutional and regulatory context of local government to enable them to be effective in their engagement with municipalities on development matters.	<ul style="list-style-type: none"> • Develop a training programme for community representatives and community structures • Identify participants • Implement the training programme 	This action can support most other municipal actions, most notably 1.6, 2.3, 2.4 and 2.5.	
9.7	Conduct a municipal wide community led rapid appraisal to monitor and oversee improvements at a settlement level	A rapid appraisal is an effective participatory tool to assess services and delivery progress that allow the municipality solve problems more quickly. It also generates a sense of ownership of development efforts in the community.	<ul style="list-style-type: none"> • Review, if necessary revise, the survey used for the provincial rapid appraisal of informal settlements in 2016 • Offer training and equipment to community structures that can conduct the rapid assessment • Collate and review the findings to inform appropriate responses 	This action can support/inform actions 2.3, 4.3, 4.4, 5.3, 7.6 and 7.7. It is linked to/enabled by action 14.2 and 14.4.	

Strategic objective 2: Enhanced quality of life and active citizenship

10 Shift mindsets in government and society towards recognising community agency and civic responsibility

	Provincial actions	Rationale	Key steps	Linkages	Department responsible
10.1	Develop and implement a learning programme on participatory and incremental settlement development for local government officials programmes (including site visits, peer learning and pairing/ twinning of municipalities)	Participatory and incremental settlement development requires a different mindset and approach. Municipal officials tend to learn best from peers and from practice (as opposed to a prescriptive approach that seeks to instil compliance).	<ul style="list-style-type: none"> • Develop a TOR for a comprehensive adult learning programme on participatory and incremental settlement development • Source service provider(s) to design and support/implement the multi-faceted learning programme • Identify partners/service providers for implementation of programme components • Implement & evaluate programme components 	This action enables action 10.4 and supports most other actions.	DoHS, DoLG and DoP
10.2	Develop knowledge products that promote the value of community agency and civic responsibility	Municipalities do not necessarily lack the willingness to work with communities, but often do not know how to initiate, support or sustain civic involvement.	<ul style="list-style-type: none"> • Develop a TOR for relevant product development (themes or topics, format, frequency, target and distribution) • Develop and monitor product development strategy 	This action can support 10.1 and most other actions.	DoLG and DoHS
10.3	Recognise well performing municipalities and community participation through an annual award for neighbourhood development	Recognising good practice (and/or the willingness to try out new approaches and learn from mistakes) can instil behavioural/institutional change.	<ul style="list-style-type: none"> • Develop criteria to evaluate practice • Develop a call for nominations • Set up a review panel • Organise an award ceremony • Develop and implement a PR & communication strategy 	This action supports actions 10.1 and 10.2. It supports most other actions.	DoP with DoHS and DoLG

Strategic objective 2: Enhanced quality of life and active citizenship

	Municipal actions	Rationale	Key steps	Linkages	Department responsible
10.4	Municipalities to participate in 'pairing/ twinning programmes' (offered by province/other stakeholders) that allow for shared learning on participatory and incremental settlement development	Municipal officials tend to learn best from peers and from practice (as opposed to a prescriptive approach that seeks to instil compliance).	<ul style="list-style-type: none"> • Apply for a twinning programme • Where appropriate, identify community representatives to join the learning exchange • Participate in relevant activities • Report back and share lessons learned 	This action is enabled by 10.1.	
10.5	Support CSOs in hosting dialogues between municipal officials and community members to manage conflicts and increase participation	Settlement development, like any other development intervention, is likely to involve contestation and conflict. Relationships of respect and trust are critical in minimising the negative manifestations and consequences of contestation. CSOs often fulfil the roles of intermediaries.	<ul style="list-style-type: none"> • Develop a TOR for a dialogue programme • Identify qualified CSOs for programme implementation • Identify participants and ensure their participation (especially of municipal officials) 	This action supports most other actions, most notably 2.3-2.5, 4.3, 4.4 and 5.2.	
10.6	Document best practices in municipal areas that improve citizenship and quality of life of communities in informal settlements	Government/municipalities are not always good at documenting practices, lessons and mistakes for internal/peer/ external learning and replication.	<ul style="list-style-type: none"> • Develop a product development and communication strategy • Develop templates for knowledge products • Secure a text editor to review knowledge products • Apply basic design and disseminate 	Feeds into actions 10.2 and 10.3.	

Strategic objective 3: Strengthened sector capability, governance and resources

11 Make adequate and appropriate financial resources available for informal settlement upgrading

	Provincial actions	Rationale	Key steps	Linkages	Department responsible
11.1	Convene an annual Neighbourhood Investment Forum with private sector developers, civil society and finance institutions in order to identify finance and investment opportunities in neighbourhood development	Non-state actors can bring valuable expertise and resources to bear that can lead to more inclusive and effective development solutions. Convening a regular forum enables joint problem-solving and builds mutually constructive relationships.	<ul style="list-style-type: none"> • Develop a concept note determining the objectives, scope, intended outcomes and agenda of the forum • Prepare discussion document on expenditure & finance requirements for neighbourhood development • Organise logistics 	This action can result in/contribute to action 11.6 and enhance action 11.7.	DoHS with DoP and PT
11.2	Redirect provincial budget allocation in favour of UISP	The budget is a vital tool in shifting provincial and municipal approaches from greenfields projects to upgrading projects, which allows for more households to be serviced and, over time, integrated fully into the municipal fabric. The underutilisation of the UISP needs to be addressed.	<ul style="list-style-type: none"> • Develop an early warning monitoring system regarding UISP underexpenditure • Reallocate resources from IRDP towards UISP in accordance with set targets for upgrading 	This action could enable most actions outlined in the ISSF and implementation plan.	DoHS DoHS
11.3	Negotiate with NDoHS with regards to review of grant conditions and performance management	Inflexible grant conditions limit municipal discretion towards contextually appropriate, yet progressive and lasting, solutions.	<ul style="list-style-type: none"> • Develop a concept note on blockages/restrictive grant conditions • Set up meeting with NDoHS to discuss the identified blockages and proposed solutions 		DoHS
11.4	Implement a performance management system that allows top up funding or discretionary innovation funding for better performing municipalities	Positive incentives can be more effective in changing mindsets and practice than compliance-oriented (and/or punitive) approaches.	<ul style="list-style-type: none"> • Develop criteria and outcome-based indicators to qualify for top up / discretionary funding • Develop a TOR for a review (of applications) and monitoring system • Advertise the incentive-based system and its uptake 	This action could be linked to action 3.1.	DoHS

Strategic objective 3: Strengthened sector capability, governance and resources

11.5	Develop an expenditure monitoring system to monitor budget allocation and expenditure on informal settlement upgrading	Municipal and provincial budgeting and expenditure on informal settlement upgrading needs to be tracked to ensure that funds are utilised as intended and not diverted to other human settlement programmes.	<ul style="list-style-type: none"> • Develop the technical specifications of the expenditure monitoring system, clarifying which data is required and which department/unit will be assigned responsibility to implement it 	This action is linked to, and can enable action 11.7. It can also be linked to actions 8.2, 8.3 and 8.4.	DoHS
11.6	Prepare guidelines for municipalities for leveraging private sector funding	The financial contribution of the private sector remains underexplored and underutilised. Municipalities would benefit from guidance on co-financing and crowd sourcing mechanisms.	<ul style="list-style-type: none"> • Discuss possibilities for co-financing and crowd sourcing at the annual Neighbourhood Investment Forum • Distil guidelines and disseminate 	This action links to action 11.1.	DoHS with PT
	Municipal actions	Rationale	Key steps	Linkages	Department responsible
11.7	Prepare a financial plan for a municipal informal settlement upgrading programme	Incremental development (beyond provision of sites and services) requires a financial plan linked to the strategic and spatial development plans of the municipality. A financial plan can also bring in the contribution of other actors (public/private/households).	<ul style="list-style-type: none"> • Develop a financial plan based on identified needs, set priorities and targets • Consult affected communities and possible co-financiers in public/private sector • Align financial plan with IDP and SDF • Get Council approval 	This action is linked to action 11.5	
11.8	Develop municipal guidelines for leveraging private sector funding	The financial contribution of the private sector remains underexplored and underutilised.	<ul style="list-style-type: none"> • Use provincial guidelines to develop guidelines that suit the municipal context and realities 	This action links to action 11.6.	

Strategic objective 3: Strengthened sector capability, governance and resources

12 Expand the role of micro-finance and community finance for housing consolidation

	Provincial actions	Rationale	Key steps	Linkages	Department responsible
12.1	Engage finance institutions, NGOs and donors to incentivise community savings schemes as a means to access finance for improving shelter	Community savings schemes have proven effective as a co-financing mechanism that enhances a sense of pride and ownership related to shelter improvements. Community savings schemes can be greatly advanced through seed capital and resources for fund management from external sources.	<ul style="list-style-type: none"> • Develop a concept note on community savings schemes in informal settlement upgrading, based on local/global practice • Convene meetings to discuss the concept note and options • Technical design of fund(s) 	This action supports strategy 6 and particularly action 6.3.	DoHS
12.2	Develop guidelines for incentives such as tenure, services, as per ISSP design and tenure options, in order to enable community residents willing and able to finance their own shelter improvements	Residents are more likely to invest in shelter improvements when they have tenure security and services and infrastructure improvements are evident. Municipalities can offer different incentives in this regard.	<ul style="list-style-type: none"> • Develop scenarios/incentive models, based on global and local practice 	This action enables action 12.5 and can be linked to action 4.1.	DEADP

Strategic objective 3: Strengthened sector capability, governance and resources

	Municipal actions	Rationale	Key steps	Linkages	Department responsible
12.3	Offer technical support to communities in informal settlements through a municipal resource centre	Whilst encouraging self-build, municipalities remain responsible for adherence to basic building regulations safety requirements. The housing support centre can be a one-stop shop to advise residents and homebuilders of these requirements.	<ul style="list-style-type: none"> • Develop the scope for a municipal resources centre • Identify financial and human resource requirements • Identify a suitable location/building for the centre to operate from 	This action supports strategy 6 (see also action 6.4).	
12.4	Review/revise by-laws that act as an impediment to household income generation and investment in home improvements	For poor households, their home can be an important asset to enable income-generating and/or livelihoods activities, yet by-laws can – often unintentionally – be restrictive in this respect	<ul style="list-style-type: none"> • Conduct a review of by-laws to identify impediments • Develop recommendations • Council resolutions to amend by-laws 	This action relates to action 7.6 and supports action 12.5.	
12.5	Implement incentives in order to enable community residents willing and able to finance their own shelter improvements as per provincial guidelines	Residents are more likely to invest in shelter improvements when they have tenure security and services and infrastructure improvements are evident. Municipalities can offer different incentives in this regard.	<ul style="list-style-type: none"> • Use provincial scenarios/incentive models to inform community engagement • Develop agreements with respective communities • Implement incentive models as per community agreements 	This action relates to actions 12.2 and 12.4.	

Strategic objective 3: Strengthened sector capability, governance and resources

13 Initiate partnerships between public-private-NGOs-community organisations

	Provincial actions	Rationale	Key steps	Linkages	Department responsible
13.1	Develop generic tender specifications for appropriate socio-technical skills for informal settlement upgrading and set up a suitable monitoring system	Social skills are often undervalued in informal settlement upgrading and neighbourhood development, yet upgrading is as much about building cohesive and inclusive communities as it is about providing basic services and public infrastructure. Including both social and technical skills requirements in the tender ensures that the requisite competencies are made available and can facilitate a partnership-based approach.	<ul style="list-style-type: none"> • Draft concept note on core functions and associated skills requirements in informal settlement upgrading • Incorporate these skills requirements with weighting in tender specifications • Set up (and implement) a monitoring system to review socio-technical competencies in tender applications • Conduct an assessment of non-state actors including intermediary organisations 	This action can be linked to action 11.4.	DoHS
13.2	Develop and manage a database of prequalified panel of professional resources to deliver socio-technical support to municipalities	This can assist province in fast-tracking procurement and supporting municipalities lacking key professional/specialist skills.	<ul style="list-style-type: none"> • Determine eligibility criteria and application/review procedure, as well as next windows of opportunity • Circulate a call for applications and review applications • Set up and manage the database 		DoHS
13.3	Prepare generic guidelines for stakeholder partnership approach	Guidance on the types of partnerships, roles & responsibilities of partners and review mechanisms can assist in shifting towards a partnership-approach in practice. It can assist municipalities as they do not have to reinvent the wheel.	<ul style="list-style-type: none"> • Draft guidelines for adaptation by municipalities 		DoHS

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13.4	Incorporate the 3% allocation for social facilitation in contracts with municipalities with reporting requirements	The UISP includes a provision that 3% of funds are made available for social facilitation, yet there is no mechanism in place to ensure that this is reflected in tenders, nor to assess whether the allocation is used for its intended purpose	<ul style="list-style-type: none"> • Include a minimum requirement (at least 3%) for social facilitation in tenders • Review the requirement as part of the assessment process • Revise reporting requirements to include outcome-based reporting related to the utilisation of funds earmarked for social facilitation 		DoHS
	Municipal actions	Rationale	Key steps	Linkages	Department responsible
13.5	Identify and prepare a database of all civil society organisations	Municipalities are often not fully aware of the types of civil society organisations and services offered within the municipal area. These organisations can be partners in local development and/or sources of local information.	<ul style="list-style-type: none"> • Develop a registration tool • Set up and manage the database 		
13.6	District/ local municipalities to establish a yearly consultative forum on informal settlement upgrading	The consultative forum creates an opportunity for reflection and peer learning across different projects and interventions in different communities. It can further deepen partnerships and accountability of all actors involved.	<ul style="list-style-type: none"> • Develop a concept note determining the objectives, scope, intended outcomes and agenda of the forum • Secure facilitation support • Organise logistics 		
13.7	Align resource allocation, planning and capacity with regards to IDP, SDBIPs and SDF	This will facilitate overall alignment in approach and a long-term perspective on informal settlement upgrading and neighbourhood planning.	<ul style="list-style-type: none"> • Conduct a review of the IDP, SDBIP and SDF to ensure alignment with informal settlement upgrading policy and targets. 	This action enables all municipal actions.	

Strategic objective 3: Strengthened sector capability, governance and resources

14 Improve municipal capability for coordinating and implementing a programmatic approach to informal settlement upgrading

	Provincial actions	Rationale	Key steps	Linkages	Department responsible
14.1	Design and implement a Provincial upgrading support programme (PUSP) to share best practice, skills development and lessons learnt	The PUSP can act as a provincial forum for coordination, learning, joint intervention and partnership building, which will serve to improve practice and upscaling of interventions.	<ul style="list-style-type: none"> • Develop a concept note on the objective, scope, modus operandi and resourcing of the PUSP • Implement accordingly 		DoHS with DoP and DEADP
14.2	Develop a standard approach to rapid appraisals in informal settlements to monitor and oversee improvements within informal settlements	The 2016 provincial rapid appraisal offered invaluable data. Regular updates are necessary to ensure that information remains up to date. Also, in settlements where the rapid appraisal has not been done it is important that there is consistency in approach and data gathered.	<ul style="list-style-type: none"> • Develop a standardised form for rapid appraisals at community level • Determine the resource/equipment requirements to conduct the appraisal and process the results • Develop an outcome-based performance review system to oversee improvements in informal settlements (against appraisal findings) 	This action links to action 15.1 and enables action 14.4.	DoHS + DEADP
14.3	Develop and/or identify suitable training programmes with regards to upgrading for municipal representatives	Informal settlement upgrading and neighbourhood development is an interdisciplinary effort, requiring complementary action & resourcing, collaboration and learning across disciplines and sectors.	<ul style="list-style-type: none"> • Develop an MOU with a tertiary institution • Develop a concept note regarding the training programme and curriculum design • Programme delivery, including logistics and facilitation 	This action links to action 15.3 and is instrumental in enabling all municipal actions outlined in the implementation plan.	DoHS with DoP and DEADP

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	Municipal actions	Rationale	Key steps	Linkages	Department responsible
14.4	Decentralise rapid appraisal to local municipalities to be conducted through EPWP/CWP community led surveys	A rapid appraisal is an effective participatory tool to assess services and delivery progress that allow the municipality solve problems more quickly. It also generates a sense of ownership of development efforts in the community.	<ul style="list-style-type: none"> • Review, if necessary revise, the survey used for the provincial rapid appraisal of informal settlements in 2016 • Offer training and equipment to community structures that can conduct the rapid assessment • Collate and review the findings to inform appropriate responses 	This action links to action 9.7 (and associated actions listed there) and action 14.2.	
14.5	Establish adequate human resources and capacity with a dedicated focus on neighbourhood development and informal settlement upgrading	Strong municipal capability is required to ensure coherence in approach, adequate guidance and support to other departments and local actors, and to implement all municipal actions	<ul style="list-style-type: none"> • Develop a TOR for an institutional approach that ensures coordination and coherence, with capability requirements, resourcing needs, accountability and reporting systems • Get political signoff 	This action enables all municipal actions and is linked to action 15.4.	

Strategic objective 3: Strengthened sector capability, governance and resources

15 Enhance provincial capability for monitoring, oversight, technical guidance, learning and support

	Provincial actions	Rationale	Key steps	Linkages	Department responsible
15.1	Develop an interdepartmental monitoring and evaluation system to measure success, based on the ISSP M&E framework	Outcome-based monitoring across all departments with respect to neighbourhood development and informal settlement upgrading is critical, as well as suitable capacity allocation for implementation.	<ul style="list-style-type: none"> • Develop a TOR/brief for a detailed outcome-based M&E system, in line with the ISSF M&E Framework • Set up & maintain the system (including allocating responsibilities and resources) 	ISSF M&E Framework	DoHS with DoP
15.2	Establish a protocol to align MTEF targets relating to neighbourhood development across all departments	Actions and resource allocations for neighbourhood development need to be provided for in the MTEF, otherwise they will not happen.	<ul style="list-style-type: none"> • Review neighbourhood plans and municipal plans with a view to identifying implications for the MTEF • Consult provincial departments on MTEF implications 	This action enables all provincial actions as well as many municipal actions.	DoHS
15.3	Develop an interdisciplinary training programme with regards to upgrading for provincial representatives	Informal settlement upgrading and neighbourhood development is an interdisciplinary effort, requiring complementary action & resourcing, collaboration and learning across disciplines and sectors.	<ul style="list-style-type: none"> • Develop an MOU with a tertiary institution • Develop a concept note regarding the training programme and curriculum design • Programme delivery, including logistics and facilitation 	This action links to action 14.3 and is instrumental in enabling all provincial actions outlined in the implementation plan.	DoHS with DoP and DEADP
15.4	Establish a well capacitated provincial unit within the department of human settlements with a dedicated focus on neighbourhood development and ISU	Strong provincial capability is required to ensure coherence in approach, adequate guidance and support to sector departments and municipalities, to implement actions in the ISSF Implementation Plan and to leverage cross-sectoral and multi-stakeholder involvement and resources.	<ul style="list-style-type: none"> • Develop a TOR/scope for the unit, with capability requirements, resourcing needs, accountability and reporting systems • Get political signoff on role and resourcing of the unit 	This action enables all provincial actions as well as many municipal actions.	DoHS and DoP
15.5	Align provincial plans linked to various departments under super BEPP	This will facilitate overall alignment in approach and a long-term perspective on informal settlement upgrading and neighbourhood planning.	<ul style="list-style-type: none"> • Review of super BEPP and departmental plans in terms of informal settlement upgrading and neighbourhood development 		DoHS and DEADP