

# PART A: THE CONTEXT

## CHAPTER 2 GOALS AND GUIDING PRINCIPLES

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### 2.1 GOALS

The Provincial Housing Plan incorporates 4 Goals to be achieved regarding Informal Settlements. All policies with regard to planning, financing and implementation must have the achievement of these goals in mind. They should therefore be integrated into all projects and programmes from the beginning.

The Goals are

**INCORPORATION**  
**IMPROVEMENT**  
**BETTERMENT**  
**FORWARD PLANNING**

and are explained below.

#### 2.1.1 Goal 1-INCORPORATION

2.1.1.1 The achievement of this goal requires the recognition of some fundamental rights - of movement, of creating shelter, of organising, of access to water, etc., and accepts that one consequence of the exercise of those rights in a country such as ours will be the establishment of informal settlements.

2.1.1.2 The goal reflects the fact that informal settlements are not generally established out of a desire for destruction or anarchy, but are creative, sensible endeavours to address basic human needs in an environment that is typically somewhat uncharitable and hostile.

2.1.1.3 This goal requires that the inhabitants of an informal settlement be recognised as full citizens of the city, town or village with which they are associated. This implies recognising the informal settlement as a part of

the whole, and doing whatever may be necessary to legitimise and integrate the community.

- 2.1.1.4 It is also implied that if an informal settlement cannot be approved as an acceptable human settlement in its present form it must be made the subject of a project to re-establish the community in conditions that would be acceptable.

### **2.1.2 Goal2-IMPROVEMENT**

- 2.1.2.1. The achievement of this goal requires an integrated approach to development, that seeks to meet the most important needs of the whole community. It also requires that those needs and priorities are determined by all the stakeholders. The choice of strategies also requires an inclusive process that takes into account all factors.
- 2.1.2.2 Implied in this goal is a creative approach to the resolving of issues - informal settlements should be viewed as creating opportunities rather than causing problems.

### **2.1.3 Goal3-BETTERMENT**

- 2.1.3.1 This goal must be related to all residents, seeking real results in all sectors of the community.
- 2.1.3.2 Addressing this goal requires perspective that seeks more of a process than a product. The vital elements of this goal are the provision of **opportunities and encouragement**.
- 2.1.3.3 This goal therefore involves creating appropriate opportunities, encouraging participation and involvement, and then doing everything possible to ensure that the resources are applied to good effect. A major ingredient of success will be the creation of community-based initiatives.
- 2.1.3.4 This goal can be met by many means. Most people tend to think of conventional ways, such as formal education, skills training and capacity-building programmes. However, some of the most productive betterment results are achieved simply by involving community members in decision-making roles in real projects, programmes and business initiatives.

### **2.1.4 Goal4-FORWARD PLANNING**

- 2.1.4.1 The future must be anticipated and all of the implications for informal settlements identified and addressed in a comprehensive manner.
- 2.1.4.2 The achievement of this goal requires a philosophy that regards future realities as current challenges . To anticipate the future we must understand the present - it is vital to keep well-informed about trends and

- initiatives.
- 2.1.4.3 Forward planning creates pro-active responses.
- 2.1.4.4 A lack of forward planning necessitates reactive responses, which are invariably inadequate, too late and counter-productive.
- 2.1.4.5 This goal is at least as important as any other. It is not optional.

## 2.2 GUIDING PRINCIPLES

### 2.2.1 INTRODUCTION

There are four guiding principles to be followed in order to address informal sector issues effectively.

You could think of them as the four sets of floodlights on a sports field - they must all operate together to avoid blind spots and a loss of perspective.

They can also be thought of as “the rules of the game”, which must be applied to all situations, whatever phase of the game you are in.

It would also be useful to think of them as tests that should be applied to every part of a process in order to assess whether that part is likely to be really effective. Each of them has some question that must be asked.

The four Guiding Principles are:

**INTEGRATION**  
**PARTICIPATION**  
**COMMUNICATION**  
**MINIMUM RELOCATION**

Each is explained below:

### 2.2.2 INTEGRATION

To “integrate” is to combine a number of parts into a whole. Useful key words to remember are: **inclusive, complete, whole**.

The test of **integration** can be applied by asking the following kinds of questions:

Of the urban community as a whole -

Is the informal settlement community excluded in any way?

Of representative structures -

Have any groups within the informal settlement been excluded?

Of the development plan-

Does it contain all the components that the community requires?

Project committees-

Has anyone who can help or hinder the project been left out?

The beneficiaries-

Has everyone had a fair chance of obtaining a benefit?

Communication strategies-

Is everyone kept informed?

### 2.2.3 PARTICIPATION

“Participants” are people and groups of people who are included in a process, in which they each play an essential role. The test of **participation** can be applied by asking the following kinds of questions:

Do **both** the community and the local authority participate effectively:

In the management of an informal settlement?

In the formulation of policies?

In the formulation of strategies?

In the planning of any project or programme?

In the implementation of any project or programme?

In monitoring and evaluating any project or programme?

In considering how to finance projects & programmes?

In ensuring local employment?

### 2.2.4 COMMUNICATION

“Communicators” do not only give clear messages, they really listen to others.

The test of **communication** can be applied by asking the following kinds of questions:

Is there a message to be heard or sent?

How is the content of the message decided upon?

Whom should be listened to?

Whom should be spoken to?

What is the most effective medium for listening?

What is the most effective medium for sending a message?

Whom should communicate?

Should there be a communications programme and budget?

Is the community receiving the message?

### 2.2.5 MINIMUM RELOCATION

The clear intention of this approach to informal settlements is to provide people with opportunities to stay and settle, and not require them to move. Every move is disruptive and costly.

The test of **minimum relocation** can be applied by asking the following kinds of questions:

Is there a positive, reassuring attitude towards informal settlements?  
Is there respect and appreciation for what people have invested and achieved in informal settlements?  
Is every person and household in the urban community valued equally?  
Who decides where infrastructure should be laid in the upgrading of an informal settlement?  
Who decides whether any homes will have to be moved, and how would such a decision be communicated?  
What are the technical possibilities and constraints?

Constantly remember these Guiding Principles:

**Integration**  
**Participation**  
**Communication**  
**Minimum Relocation**

They are the key to success.