



ISUlabaNtu Project

Community-led upgrading for self-reliance in
South Africa

PHASE 1 REPORT

Context and Gap Analysis.

Barriers and Drivers of in-situ participatory approaches
for informal settlement upgrading

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INTRODUCTION

This report seeks to summarise the main findings of the first phase of the Project ISULabantu that will inform the subsequent phases.

The first phase of the project (**Phase 1**) (led by Dr Claudia Loggia, School of Built Environment & Development Studies (SoBEDS), UKZN), started officially in February 2016 with a range of scoping activities that involved some academics from the SoBEDS, Master students from the Housing Discipline, a local NGO called uTshani Fund and also some selected community researchers. The phase has been completed in October 2016 and was followed by the action research- focused, phase two.



Phase 1 focuses on a detailed **Context and Gap analysis** aimed at identifying and selecting a number of case studies and, ultimately, uncovering barriers and drivers impacting on existing bottom-up upgrading of informal settlement in the wider Durban area. The primary aim of *Phase 1* was, in fact, providing an overview of the local contexts in the Durban Metropolitan Area and revealing factors that have enhanced self-reliance in informal settlements through a content analysis of the status quo.

A propaedeutic part of *phase 1* was the establishment of a trustful relationship with the communities (informal settlements dwellers and community leaders) and with other stakeholders involved in the upgrading process (e.g. Municipality officials, ward councilors, Project managers, NGOs and CDOs). In fact, one of the first tasks for the SA team from the SoBEDS, was to develop a "Community Engagement Strategy" to be used throughout the project. This strategy provides guidelines to engage with community groups, municipality officers, NGOs officials, students and academic staff involved in the process.

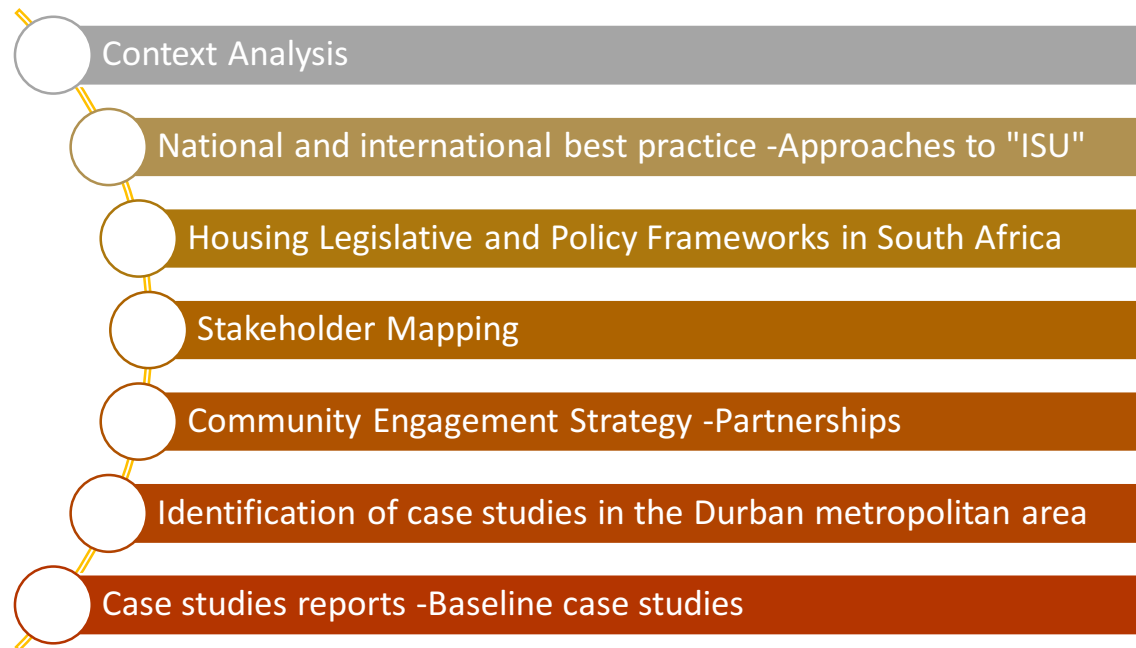
Interestingly enough, the name of the project- *ISULabaNtu*- was coined by the SA team and agreed between all the partners and community collaborators. This name intends to reflect the *co-production of knowledge* and *community-led* aspect of the upgrading processes we are engaging with and that we aim to support and enhance: "ISU" has a twofold meaning: it is an acronym for Informal Settlement Upgrading and also means a 'great idea' or a 'vision' in isiZulu. LabaNtu instead, stands for people in Isizulu and it is an acknowledgement of the community engagement as *co-investigators* in this project.

Phase 1 is the foundation for the subsequent four phases and includes a range of scoping activities. This phase applied a qualitative approach, which used different data collection techniques such as interviews, focus group discussions, observations, and one-day in-field training sessions with the community.

First of all, the SA team undertook an overview of historic and current situation in informal settlements in Durban Metropolitan Area, including the demographics, socio-economic and cultural background of the inhabitants. Then a critical analysis of existing regulations and planning policies in South Africa, identified and compared top-down (National, municipal) and bottom-up models adopted in the upgrade of informal settlements. The third key step of Phase one was the Stakeholder Analysis in participatory upgrading across national (South Africa), local (eThekweni municipality) and project (case study) levels. This involved mapping the role of central and local government, individuals, community organisations (such as FEDUP, uTshani Fund), eThekweni municipality, local construction industry/ SMEs, international agencies. Finally, during *Phase 1* the SA team identified some case studies, through the development of a set of classification criteria. A total of three '*best available practice*' of community-led upgrading projects

(namely Namibia stop 8, Piesang River and Havelock), have been selected for detailed fieldwork, that started in Phase one and will be continued in the Phases 2, 3, 4 and 5. Moreover, a municipal project called eMagwaveni (without any community participation element), was also studied to better understand the drivers and barriers in municipal interventions.

This report is articulated into **seven main sections**, namely:



It is expected that the results of this first phase will provide a basic platform to inform and design accordingly the next phases (phase two, three, four and five) of the project.

The SA team is committed to feed these findings back to the communities that have participated as co-investigators and follow-up with any further results. As part of the dissemination strategy, during the next two years, several community events and in-field training sessions will be organized by the ISULabantu team to disseminate the project results within the community and getting their precious feedback.

It is important to note that the preliminary results of *Phase 1* have been presented by the SA and UK team at the UN-Habitat III Conference (October 2016) at the side event titled “GRASSROOTS APPROACHES TOWARDS SELF-RELIANCE IN SOUTH AFRICA. INFORMAL SETTLEMENTS UPGRADING LED BY THE COMMUNITY”. The event provided the unique opportunity to get critical feedback through a panel discussion with five high profile experts working on informal settlements upgrading in South Africa, namely Beryl Mphakathi (Head of Human Settlements in Ethekweni municipality, Durban), Prof Marie Huchzermeyer (University of the Witwatersrand), Emily Mohohlo (SDI), Dr Graham Alabaster (United Nations Human Settlements Programme, Urban Basic Services Branch), and Dr Zoleka Sokopo (South African National Department of Human Settlements).



ISU_{labaNtu} Project

Context Analysis Overview of historic and current situation in informal settlements in the Durban Metropolitan Area

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BACKGROUND

According to the United Nations Department of Economic and Social Affairs (2014) the world's population is estimated at about 7.2 billion. More than half of the global population live in urban areas and a shocking 1.06 billion of urban dwellers live in slums. In the next 30 years, this number is set to double. According to the South African Cities Network (2004) cited in Misselhorn (2008) almost 50% of South Africa's population live in urban centers and a quarter of those in the major urban centers live in informal settlements.

Housing has been a key challenge for South Africa post-apartheid. The government argued that the most effective solution was to establish several intervention programmes aimed at improving the living environment for disadvantaged communities. These interventions remain the most common means by which disadvantaged households access shelter in the country. They include *incremental housing* intervention through the Informal Settlements Upgrading Programme (UISP), which aims to improve the lives of informal settlement dwellers by 2020 (National Housing Code, NHC; 2009).



Knight (2001) states that, due to high levels of unemployment and low wages, many South Africans are finding hard to provide for their own housing and basic needs. The rapid increase in the number of informal settlements and land invasions are further indications of these pressing housing problems (Knight, 2001). Moreover, unemployment and poverty push many people to relocate to urban areas such as Durban for employment opportunities in order to improve their living conditions. However, Nhlapho (2013) notes that not all migrants have access to job. Some do not have relatives in urban areas with whom they can stay while seeking employment and, thus, opt to live in informal settlements that lack basic services such as sanitation, water, electricity and waste removal. Informal settlements are mostly overcrowded and untidy and there have inadequate public spaces. This is the case in townships such as Inanda, where the government has made efforts to upgrade informal settlements.

According to Staff (1993), an informal settlement is a compact settlement which consists of communities that have constructed their own houses under traditional or formal land tenure. Staff adds that these types of settlements are common in Third World countries and are the urban poor's solution to housing shortages.

However, Srivinas (2005) notes that the definition of informal settlements can vary from country to country based on its legal and planning framework. For the purpose of this study, informal settlements refer to residential units constructed in "planned" and "unplanned" areas which do not have formal planning approval. In essence, they are settlements that are characterised by inadequate housing, social services and infrastructure (Todaro, 1994).

The Department of Human Settlements (2009) state that today, more South Africans live in urban areas than in rural areas. The population in the urban areas is increasing at a drastic rate and a large number of these households live in impoverished and insecure conditions. Municipalities do not have the capacity to meet the growing demands created by urban growth. This is the case in eThekweni Municipality where many poor people resort to informal settlements for shelter. Migration and poverty are major causes of informal settlements. Kramer (2006, cited in Tshikotshi, 2009) states that most informal settlements residents migrate from rural areas to escape rural poverty, and pursue the greener pastures seemingly offered by metropolitan areas. According to Lai (1995) migrants are attracted mainly to the cities by socio-economic conditions such as the considerable rural-urban gap of living standards instead of the collectivization in rural areas. *“The pull factor of better access to socio-economic opportunities contributed to the establishment, if not the permanence, of informal settlements in South Africa”* (Tshikotshi, 2009).

Wekesa et al. (2011) note that some people are forced to live in informal settlements due to poverty and unemployment. Indeed, some consider such settlements a practical solution for a developing country (Wekesa et al., 2011). According to Mutisya and Yarime (2011), this phenomenon is also regarded as economically viable as residents cannot afford to build or buy their own houses or to access formal shelter through proper channels for various reasons such as low wages or unemployment. Mutisya and Yarime add that the existence of informal settlements demonstrates the poverty and poor conditions in which people live, which call for multiple interventions from various governmental sectors in order to provide easy access to essential social services. Conditions in informal settlements predispose residents to diseases which could have a harmful effect later in life (Mutisya and Yarime, 2011).

Scholars have also noted that informal settlements present their own unique problems. One of the important factors that policy makers need to consider before formulating policies and programmes to eradicate informal settlements is to understand the causes of these settlements. Misselhorn (2008) emphasises that *“it is important to analyze why informal settlements exist and what functionality they afford to those who reside in them”*. Furthermore, whilst informal settlements are all different, he states that *“one frequent factor in the formation of informal settlements is that they typically provide an initial point of access into the urban environment for incoming migrants, or for those moving from other parts of the city. More importantly, they afford such access at a very low financial cost and the barriers to entry are low”* (Misselhorn, 2008:5).

The Informal Settlement Upgrading contained in the Housing Code of 2009, enables government to stimulate housing development by facilitating structured in situ upgrading in order to achieve land and housing tenure security for poor households residing in informal settlements. This is achieved by recognizing and formalizing the tenure rights of informal settlement dwellers and

ensuring secure living conditions by facilitating the provision of affordable and sustainable basic municipal engineering infrastructure (Department of Housing, 2009).

Misselhorn (2008) highlights some of the elements that explain the nature of this access. These include access to employment and other economic/livelihood opportunities (which are often modest or survivalist in nature); access to social facilities (e.g., education and health care) and potential access to housing and infrastructure. Thus, informal settlements play a critical role as 'holding places' where people can access the urban environment at low financial cost in search of a better life.

EThekweni Municipality Data analysis

According to the Census 2011, there has been a significant increase in the number of households living in formal dwellings in eThekweni since 2001. The number living in shacks in backyards has increased at a slightly faster rate, albeit off a lower base. The number of households living in shacks not in backyards has declined. In fact, in 2001, 73% of households lived in formal dwellings; by 2011 this had increased to 79%. The proportion of households living in shacks not in backyards declined from 16% in 2001 to 12% in 2011. In addition, roughly 40% of households living in shacks not in backyards in eThekweni regard themselves as owners, with 27% who say they occupy the dwelling for free. Twenty-nine per cent of households say *they rent their dwellings* (HDA, 2013).

EThekweni's spatial structure is not the result of planned growth or a vision of urban form, but of past race-based planning, and the extension of its boundaries over time to incorporate low-density urban settlements and adjoining farmlands. The structure also has been influenced by extreme topography. The city is spatially fragmented, vast, and complex, and economic uses are spatially segregated from residential uses. (EThekweni, 2016)

Some of the negative consequences of spatial fragmentation, segregated uses, and low-density are:

- Reduction in ease of access to *employment*, and to social facilities.
- *Economic challenges*, especially: Increased trade costs across many sectors of the local economy; Low-density residential customer bases creating barriers to Local Economic Development in residential areas;
- *Transportation problems*, especially: public transport which is inefficient, or unsustainable or even non-viable; Long commuting times (average for the majority of eThekweni commuters is 2 hours per day), which impacts negatively on labour productivity and on domestic cohesion, and; high transport costs per low-income household

- *Inefficient infrastructure*, especially: high costs per dwelling or business for pipe runs, and road lengths; High costs per dwelling for engineering maintenance and operations, and unused capacity.
- *Pollution* by transport.

According to the data we received from eThekweni municipality, upgrading projects have been running for a long period of time. Some projects aim to fix pre-1994 construction defects, and others focus on new full subsidized houses that are allocated. The issue that the municipality deals with is trying to meet targets in order to try and reduce the backlog in infrastructure (like water, sanitation, roads and housing). Projects that take a long period of time to complete have increased distrust between the state and the people and disrupt communities. As a result, there has been more pressure for the state to deliver, and not create false hope to the people, because it could lead to strikes against government. The common issues found by the municipality when dealing with fully subsidized housing and upgrading programmes during the construction phase, includes:

- The planning not been completed in time for some projects that are expected to be delivered.
- Late service delivery of the final product to informal settlement dwellers due to the material supply investigations, if the project changes technology programs.
- The delays in the installation of internal services has affected some projects which were already at top structure construction. There have been delays in the awards for other contractors due to challenges around funding.
- The award of tenders to the contractors are often delayed. Building contractors were not appointed on time to certify completed work.

There are also two types of data that has been presented by the census stats SA and municipal Census, which demonstrate the housing backlog issue within Durban South Africa, in 2011 and 2015. Housing backlog is estimated to grow at 1,26% pa, which increases the rate of housing demand within informal settlement every year as result of the continuously growing population (as seen on table 1: population growth estimates). In 2011, the census determined that total backlog (includes Informal Settlement + Backyard Informal Settlement + Trading.), to be 189 476, yet the backlog that was counted by the municipality was determined to be 411,738. There is a large difference between the data which could mean that data collected off the ground manually by the municipality shows that the reality of housing backlog to be a growing issue that has not been properly dealt with. Data manipulation also take place during the census and counting due to human error of miscounting as well as immigration. Currently based on tendered prices the eThekweni municipality is paying between R 120,000 to R 160,000 per unit excluding services.

History of informal settlements in eThekweni Metropolitan area

According to Byerley (2007), Durban in the 1970's experienced population growth which led to enormous pressures on the existing housing stock which was not enough to sustain the demand. People started to build backyard shack and also started squatting on adjacent vacant land. This population growth was mainly credited to many factors one of which was the natural growth within those government structures. There was no initiative from the government to provide for the growing demand. Private sector companies started to get into the Black housing market, where they built houses for the middle income groups. It was the same period where Durban like other South African cities experienced a move of people (especially young) from black areas to the city centres. This became a trend for black people starting to move from their places to places which were declared "White". From then, the emphasis was put on to moving away from race differentiation to "class". In this same period Companies like the KwaZulu Finance and Investment Corporation (KFC) and Stocks & Stocks were building new affluent townships, such as Umlazi BB and AA in Umlazi, and KwaMashu H and L sections.

At the same time as the new middle class communities were growing in these areas, informal settlements were also growing on the other hand. Those who could afford better housing were moving away from townships to better places identifying themselves with a particular class, whereas those who could not afford themselves means for housing were either renting backyard shacks or getting themselves into stand alone or free informal settlements, such as settlements like Inanda in the north of Durban, Malukazi in the south of Durban, and the on slopes of the Bluff, Clairwood, Umhlatuzana area, Stella Hill, Umngeni, Sea Cow Lake and Cato Manor farm accounting for the an estimated (Byerley, 2007).

Currently, approximately a quarter of the eThekweni Municipality's total population of roughly 3.5 million reside in informal settlements. Whilst the City can pride itself on a successful and large scale mass housing delivery programme, not all settlements can be provided with full services and low income housing in the short term due to funding and other constraints. Yet informal settlements face a range of basic challenges such as access to adequate sanitation, clean and safe energy and roads. As a result, a pro-active and broad based programme to provide a range of basic interim services to prioritized informal settlements within the Municipality was developed with a view to addressing a range of basic health and safety issues and delivering rapidly to as many settlements as possible instead of providing a high level of service to only a select few (HDA, 2011).

Housing policy at national level went through a major change after the first decade of democracy (Department of Housing, 2004a). The perpetual 'peripheralisation' and segregation of low income settlements (Huchzermeyer, 2009), low density sprawl and extended urban poverty were alarms that the revised policy sought to address, mainly because there was no prescribed of

specific policy instrument that was set out to deal with the challenge of informal settlements and the upgrading of them. The revised 'housing programme' or policy, which includes as Chapter 13 of the Housing Code an 'Informal Settlement Upgrading Programme' (Department of Housing, 2004b) was appropriately termed 'Breaking New Ground'. Breaking New Ground (BNG): "*A Comprehensive Plan for the Development of Sustainable Human Settlements*" that was meant and earmarked to bring drastic changes for human settlements. Since 2004, when BNG was introduced and all successive National Housing Codes were changed to suit the concepts and principles contained therein (Charlton and Kihato, 2006), the Informal Settlement Upgrading Programme allowed for those previously left out of the government's national housing subsidy programme. The programme requires an investigation by the eThekweni municipality into the feasibility of in situ upgrading and assumes that relocation is necessary in some cases where land is not sufficient to accommodate all those moved for upgrade implementation, but only as a last resort. Its principles and funding apply to the in situ development as well as the development of the relocation site. It makes available funding for immediate provision of basic services, for community empowerment and participation in decision-making, for the provision of basic community facilities (not just infrastructure and housing), and for assistance in relocation where this is required (Huchzermeyer, 2009).

eThekweni Metropolitan demographics

According to Census 2011 the eThekweni population is young with 66% of the population below the age of 35 years. Individuals within the 0-14 years old group comprise 25% and the 15-34 age group 41% of the population. The 35 to 59 age group comprises 26% and those 60 and over 8%. The economically active age group from 15 to 59 years includes 67% of the population. The population dependency ratio is 48 / 100 and this indicates that 48 persons either young or old depend on 100 persons of working age (Stats S.A, 2013).

Current estimates indicate that there are approximately 317,615 households residing in an estimated 476 informal settlements which are not currently being upgraded or which have been recently approved by the Provincial Department of Human Settlements for upgrading, with none showing any signs of community-led approach in the upgrading process. A further 162 informal settlements are being upgraded or have been approved for upgrading, accommodating 89,000 households, below in a table that shows the breakdown of the distribution of the three types of informal settlements in the eThekweni Metropolitan (eThekweni IDP, 2015).

Type	Sub-type	Dwellings
Informal Settlement	Single dwellings	265 542
	Backyard	48 975
	Formal informal	3 096
	Total	317 613

Fig. 1 Informal settlements in eThekweni Integrated Development Plan (IDP, 2015)

Informal settlements are a global phenomenon challenging the developing world's urban cities, impacting the urban population and landscape. Governments and NGOs all over the world have yet to develop strategies that fully respond to informal settlements phenomenon and its unique multi-faceted and dynamic aspects. The South African government has made attempts to respond to the informal settlements over the past three decades from influx control, demolition to upgrading.

According to Mashabela (1990), informal settlements in South Africa date back to the early 1980s. It is said that one of the reasons for the mushrooming of informal settlements was the establishment of Black municipalities that took control of townships from the then Administration Boards during this decade. These municipalities did not have the financial capacity to provide housing. Moreover, Mashabela notes that the abolition of influx control in 1986 enabled migrants to bring their families to live with them in urban areas. This resulted in the problem of homelessness and hence the massive growth of informal settlements.

However, Malinga (2000) argues that the growth of informal settlements is not directly attributable to the abolition of influx control and rural migrants moving to the cities. He argues that residents of informal settlements were generally urban residents who were forced to create such settlements due to the shortage of housing. Sapire (1996) cited in Malinga (2000) points out that *"informal settlements residents are not a marginal underclass living at the periphery of the urban areas, rather they are integrated into the social and economic structure of the cities and towns in which they are located"*.

The dawn of democracy in South Africa in 1994 brought about changes in housing delivery. According to Khan and Thring (2003:17), this included the transformation of housing provision to provide a sustainable solution to the problem of informal settlements. South African housing policy has aimed to address informal settlements through programmes such as *in-situ* upgrading and the relocation of residents to formal housing (Department of Housing, 1994: 4-10; Khan and Thring, 2003).

The Department of Human Settlements (then known as the Department of Housing) launched a new housing strategy in September 2004, called Breaking New Ground (BNG). This five-year plan aimed to provide direction to the upgrading of informal settlements. Breaking New Ground was followed by the Department of Human Settlements Strategic Plan, 2009 - 2014. According to the Department of Housing (2004: 17), the BNG involves the formalisation of informal settlements in their original location. The BNG Housing Plan recommended *in situ* upgrading of informal settlements located on land suitable for human settlement. However, relocation is considered in circumstances where upgrading is impossible (DoH, 2004).

CASE STUDIES IN ETHEKWINI MUNICIPALITY

1. The Case Study of: Zwelisha

Zwelisha, which is located on the north side of Durban, is similar to most slum settlements within the eThekweni municipality, due to having a diverse ethnic group of Zulus, Xhosas and Indians, had a successful in-situ upgrading programme (Patel, 2013). Just like the majority of informal settlements, most community members were not involved in the project and only heard about community participation during meetings when the state officials came to give a presentation on the types of house they would get and how in-situ upgrading works. A *Community Development Committee* (CDC) was formed, and consisted of members from the: community, other low-income settlement dwellers, disability forums, women's forum, a state actor and a city dweller (Patel, 2013). CDC partnered to work with the state to work with the community of Zwelisha and provide information from the people's perspective.

Besides being responsible for assisting the community to be heard, the CDC's tasks were to: act as agents of implementation with specific responsibilities such as drawing up housing lists of eligible residents and monitoring any newcomers that arrive so they do not take advantage of the upgrade. Furthermore, they facilitated the entry and movement of all construction workers on site, such as builders, water and sanitation officials, amongst others, during the feasibility and implementation phases of settlement, and ensured all eligible residents applied for a housing subsidy (Patel, 2013). They actively helped residents in understanding every step that dealt with the upgrade process and housing subsidy, and aimed to empower and unite the community with the assistance of the state.

Due to segregation that is based on racial issues amongst the community, most Indian people were threatened by the black people, who has migrated in the area since the early 1990's, not sign up for houses because people felt that those who just moved into the area were not entitled

to the land and houses like they were. This tends to occur around many informal settlements around Durban, where CDC intervene in the process of upgrade in order to assist anyone in the marginalised groups and to create unity amongst the community so everyone can obtain better housing and to remind other community members of the common goal they wanted to achieve in forming a unified community.

The influence of the CDC on the community increased community leadership, even after the in-situ programme was completed. Hence, after having new improved housing the community with the CDC worked with each other in alleviating shabeens, decrease crime rates, and bring unity amongst the community.

The role of settlement-level actors is vital to the logistical success of an upgrade project (Taylor, 1994). It brought peace between the municipality and the informal settlement residents of Zwelisha, because it brought common understanding amongst both entities. It positively influenced community led participation in terms of getting ideas from other non-communal stakeholders who have has previous experience with in-situ upgrade. Community Development committee, increases the impact of community leadership within informal settlements, and assists in mediating between the state and the people, which makes the upgrade process smoother to operate.

2. The case study of Cator Crest

Cato Crest is a densely populated informal settlement that is located close to Glenwood and is approximately about seven kilometres away from the inner city centre of Durban in the South African province KwaZulu-Natal. The project was launched and implemented in 2009 by different organizations, including: FEDUP, ISN, CORC, SDI, uTshani, Ethekewini Municipality, Ngcobo & Associates Development Consultants, and the provincial Department of Housing (SDI alliance, 2012).

Project Description

Cato Crest is a mixed development, which includes in-situ upgrades and peoples housing process. The project was inherited by Ethekewini Municipality from CMDA, and was continued as part of the Slums Clearance Project. The Community leader, Lucia Shibe started mobilizing the settlement since 2009 (Mdlalose, 2014). When ISN first made contact in 2009, they were welcomed by an enthusiastic women's group, full of aspirations and dreams of changing the informal settlement of Cator Crest. Due to the unfolding of natural and man-made disasters like flooding and fire outbreaks within the congested and densely built informal settlements in-situ upgrading could not occur on land that was not suitable for development. However, the community at that point had already identified some pieces of vacant land which they were willing to move to as a possible solution to the shack density and danger from disaster.

A community architect from CORC met with the community on various occasions and drawn up plans. However, the community decided to bring their own architect on board to revise these plans and ensure that they were in line with their vision. Beneficiaries were to be registered and screened by the Municipality, in order to be approved for subsidy application.

Moreover, the issues of overcrowding and lack of Greenfield project alternatives, the project was implemented using a roll-over method wherein each areas is cleared and developed while beneficiaries were placed in temporary holdings before being relocated back to completed houses. There were about 3500 families living within Cator Crest, in 2006, and the rate has increased since then (Mdlalose, 2014). 900 houses have been built with water, sanitation and road facilities and allocated to beneficiaries, but due to the continuous increase in population over time, not everyone could be allocated a house within the area but a further 600 housing units were yet to be built. The left over population which consisted around 2000 people were to be relocated to other housing projects, with those people who lived in transit camps. The project was expected to be completed within this year (2016). Slum Dwellers International (SDI) visited the site several times and committed to bridge-finance the building during the project. They negotiated that government subsidy per house are being discussed within the partnership. The province welcomed the people's process as an alternative to the contractor-driven approach facilitated by the Municipality.

In conclusion, community led upgrading, in Durban takes place under different projects, but usually under In-situ upgrading. The role of community participation and community leadership is highly significant on the success of a community led project, because beneficiaries need to guide members within the project in order to attain their needs, and have to assist one another in other to become a self-reliant community. Marginalization within gender roles impacts the development of a community led project, gender issues are not addressed.

3. The case study of OCEAN DRIVE in durban - Community based mapping

A community based-mapping project was run as part of the *Chance2Sustain* research Programme (2012) in Ocean Drive settlement, in Durban.

Community based mapping has emerged as a useful tool in participatory research with different motivations ranging from producing indigenous maps for claims on ancestral lands (Massey and Jess 1995), ensuring access to and ownership of information (Elwood 2006); and fostering social learning between 'scientific experts' and communities (Chambers 2006).

In this specific case, community mapping was used *as a means to hold 'rights' to a formal house in a resettlement process* (Sutherland, 2016). In fact, the community wanted to ensure that all

those who resided in the settlement, and that had been registered or recognised as legitimate claimants, would obtain housing in that settlement. Even if the municipality has maps of all the informal settlements in the city, these maps are *at the settlement scale* and do not show the position of individual shacks, which comprise of both the main house of the owner (or renter) and the additional rooms constructed by tenants. In addition, those maps are not updated frequently.

Through a participatory research process, the community together with academic researchers, produced a community drawn and GIS Map of Ocean Drive Informal settlement. This case study shows interesting politics of knowledge and information. A protest slowed down the process. The process of developing maps and sharing knowledge around the maps built trust and improved the relationship between researchers and community members. According to the researchers involved (Sutherland, 2016) the mapping process and the sharing of knowledge around the maps, had a very positive impact on the community, building trust and developing the relationship between the researchers and the community. The knowledge co-production was making a difference to their lives. It was a moment of social learning. Both Expert (scientific) and lay knowledge can be produced. This mapping allows tacit knowledge to be transferred to formal or codified knowledge. Maps can become a vehicle for spatial learning, discussion, information exchange and decision making. Maps facilitate the communication between community and researchers. This was also an important step for the social mobilization of the urban poor.

4. THE CASE STUDY OF Kwa-Mathambo (From SDI SA Alliance website)

The UKZN team has done already some fieldwork in this settlement in 2016, for a PhD study. Potentially, this case study can be a valid candidate for the testing of the ISULabantu toolkit. In fact, similarly to Havelock, the community living in KwaMathambo has been actively involved in community-based planning and enumerations and they have shown clear signal of resilience and self-reliance (they have been challenged by a fire in 2015, when they had to rebuild many shacks in such a short period). Unfortunately, they have no tenure security and at the moment there are no projects upcoming.

Kwa-Mathambo informal settlement is located on private land just off Chris Hani Road/ North Coast Road in the Avoca suburb, Durban. The settlement was established in 1991 at the time, which the land-owners' gardener erected a shack for him and his family on the erf. With the years, more people settled on the land, and a settlement grew to 294 households (565 people). Geographically, the settlement is built up a steep hill on a relatively small piece of land that explain the high densities and typologies of the settlement. Three different private owners own the occupied land. A project, aimed at improving grey water drainage system behind the communal ablution block, and extending the number of water service points, was approved in

October 2012 and was completed on 4th November 2012. With technical support from the uTshani Fund/CORC Durban office, the community established a Community Construction Management Team (CCMT) to coordinate the implementation of the project. ISN communities also supported, especially Havelock, a settlement in the same ward 22, eThekweni Metropolitan. The community contributed with savings and sweat equity to the project. They have done the profiling and enumeration of the settlement.

Resulting from discussions following the enumeration exercise, the community identified the blocked grey-water drainage systems behind the communal ablution block as a priority project. The major cause of blockage was the accumulation of solid waste. The contamination of this grey-water posed a major health and safety risk and could well have been contributing to high level of illness, particularly amongst children who regularly play in the lower reaches of the run-off. Years of service delivery neglect means that the settlement is severely under-serviced, with only two blocks of flushing toilets and three wash-basins serving the entire community. The priority with this upgrading project was to eliminate grey-water blockages (caused by the accumulation of solid waste) by designing a community-maintained drainage system. The creation of an efficient grey-water drainage facility and addition of another water point have been the main short-term priorities for Kwa-Mathambo. Previously the drainage facility was used as a walkway and it was not designed to carry water away efficiently. The consequent health risks and unpleasant odours stemming from the stagnant grey-water were impediments on the quality of life. Hence, the projects aimed to positively impact upon all members of the settlement, but especially those directly surrounding the area that was being flooded by the grey water.

Kwa-Mathambo has been earmarked for “*emergency services*”, a category of basic service provision the eThekweni metro uses to indicate the uncertain future of the settlement, but basic service provision is guaranteed. According to the local leadership, there has been no planning or implementation of significant development projects.

The leadership of Kwa-Mathambo has been active in dialogues with the eThekweni metro, which was set up by the Informal Settlement Network (ISN).

PROJECT DESCRIPTION: The project proposal outlined a community-led action plan for the upgrading of drainage and the extension of taps, with possibility of eventually enacting a wider slum-upgrading process. Kwa-Mathambo is located in ward 22 and the community has a good standing relationship with the ward councillor. According to the City’s service delivery schedule, Kwa-Mathambo is only suitable for “*emergency services*”, which implies that according to the City, relocation is the only option. The community, in solidarity with ISN Durban, started a dialogue surrounding settlement upgrading as opposed to relocation. These dialogues are ongoing as eThekweni officials evaluate the possibilities of partnering with ISN on pilot projects.

CONSTRAINTS: Kwa-Mathambo's full-scale development and potential re-blocking is seriously hampered by the lack of security of tenure. The site has major topographical challenges and the densely populated plot of land is not possible to navigate other than by foot. Access of emergency vehicles and roads with service delivery therefore narrows down the options for development. The community has a re-blocking spatial plan, but needs to engage the City on a collaborative project.

5. baseline case studies: NAMIBIA STOP 8 PROJECT (Inanda)

Namibia Stop 8 is a housing project, located on Haffajee's Land in the Ethekewini northern region, Inanda, on the outskirts of Durban in the South African province KwaZuluNatal. It is bordered by Emtshebeni Phase 1 in the North, Congo in the East, Stop 8 in the South and Amatikwe in the West. FEDUP has been allocated a portion of the 90 hectares of greenfields to construct 96 units. This is a community-led project with full citizen control of Inanda Stop8 and Namibia informal settlement dwellers with organizational partnership with uTshani fund and Slum Dwellers International (SDI). uTshani have been involved in the upgrading of an informal settlement called Namibia Stop 8 (NS8) which will be used as the main case study for fieldwork. The involved organisations are: FEDUP, Utshani Fund, Ethekewini Municipality, Kwa-Zulu Natal Provincial Department of Housing and Lombard Insurance.

Namibia Stop 8 came into existence in the early 1960s when people moved from rural areas into the city, hoping to find jobs. The settlement is close to several factories. The community began to build permanent structures, as it became their adopted home. A lot of the residents saw their move as a temporary measure, and they had planned to return to the rural areas. However, as the rural areas continued to decline as a viable place to live, whole families began to reside in Stop 8. The area was later incorporated into the five-year Housing Plan of Ethekewini Municipality. In 2005 preliminary studies were done in preparation of a housing development for the whole area. An enumeration was proposed by FEDUP to determine the population of the area in relation to the land size. This was never undertaken as the pre-feasibility studies done by the Municipality overtook the whole process. Pre-planning and land audits were quickly undertaken, whose results revealed that this specific piece of land could not accommodate the total number of households that existed within the project boundary.

Historical Background

In the 1830s approximately 185 years ago, KwaZulu-Natal which was then called the Natal was a Boer Republic called the Natalia for a brief moment. The Republic came about due to several Boers who acquired farms for themselves including Inanda. These farms were then abandoned when the British took control of Natal in the year 1843 and the land subsequently fell into the hands of land speculators (Ulwazi, 2015). Many years later a few wealthier Christians from Inanda mission including Gumede and Dube family and many Indian agriculturist bought the land from land speculators. The Dube family and other landowners were able to make a living out of farming crops specifically sugar cane. Unfortunately, discrimination by colonial imperialist and racist government made it difficult for them to succeed in the agricultural sector (Ulwazi, 2015).

In the 1930s segregationist legislation unfolded upon the country, the entire area of private landholding in the Inanda area was rezoned as an area. This was considered as a direct attack on Indian and other black landowner who became reluctant to invest further into their own farms

(Ulwazi, 2015). By this time the apartheid government had been in power for a decade and this matter dragged on to a state of uncertainty until the end of the 1950s, when the Apartheid government turned its sights to black urban South Africans. The sudden attention on the blacks living in urban areas was calculated, the government was beginning to tighten up control of blacks accessing urban areas and addressing growing informal settlements and forced removals, the state also responded by building townships around Durban (Ulwazi, 2015).

Inanda Township

Inanda the oldest settlement in Durban, it was established in the 1800 as a reserve for Black South Africans, with an Indian population of reasonable size that resided there until the mid-late 1930s. At that point in time, it was then designated a released area and exclusive to Black South Africans. This settlement predominantly comprises of informal settlements and with a huge housing backlog (Department of Provincial Government, 2008).

Inanda is an isiZulu name which means Pleasant Place, it is a township in located north of KwaZulu-Natal 21 km inland from Durban CBD. It is populated by majority Zulu speaking Black Africans; however, it is also populated by Xhosa and other ethnicities. Inanda is also known the home of the first president of the African National Congress (ANC) John Langalibalele Dube who was also a major landowner in Inanda. It is also a second home and place of operation for Mahatma Gandhi, and as birthplace of uShembe a Nazareth Baptist Church leader. Inanda is the place where Nelson Mandela casted his vote in South Africa's first democratic elections (Sithole, 2010). It is notorious for its high crime rate, with 164 murders in 2014 more than any other township in the province and with a little over 1000 residents killed each year.

According to Ngceshu and Ncwane (2003), Inanda was a rural area until the 1950s. This changed due to drought and through apartheid government policies that intentionally undermined the black people from rural areas. Ngceshu and Ncwane added such pressures exerted by these situations created by the government were too much for the black rural South Africa. As a result, they moved close to Durban hoping to escape poverty and seeking jobs in urban areas where they had no accommodation. Forced removals from Cato Manor in the 1960s did not help the situation either, it increased inhabitants in the urban area that had to be accommodated for (Ngceshu and Ncwane, 2002).

The forced removals had a significant impact on Inanda area. From the 1970s saw an influx of people from different rural areas especially drought stricken areas. The 1980s saw Inanda changing from being a shanty town to a high density settlement with levels of unemployment (Ulwazi, 2015). During the forced removals from Cato Manor, residents who were employed were relocated to KwaMashu and those who were unemployed were made to leave the city altogether. Those who were unemployed and left homeless found refuge in Inanda. Inanda landowners who were also in a hard time due to drought were presented an opportunity, they

rented out plot of land for additional income than relying on crop farming. This was essentially the beginning of the urbanisation of Inanda (Ulwazi, 2015).

Socio-economic overview of Inanda

Population

Inanda Township has the biggest township population in the province and the oldest black settlement in the eThekweni metropolitan area, according to 2011 census with approximately 158.619 people and approximately 39.105 households living in Inanda Township. According to Ngceshu and Nw cane (2002), Inanda presents the most representative urban area in relation to culture and tribal diversities of the country, while hosting foreign nationals from neighbouring countries such as Swaziland, Mozambique and Lesotho to mention a few. About 55% of all households in the area have one to three members and in addition to this, 35% of the household accommodate four to seven people in their homes. Youth development is must be a be priority in the Inanda region and surrounding township including Ntuzuma and KwaMashu, over 65% of the population is younger than 29 years, hence youth development is mandatory. The gender ratio in this area is relatively on par with females representing 51% and males representing 49% while 57% of the households are male headed in this region (Ngceshu and Nw cane, 2012).

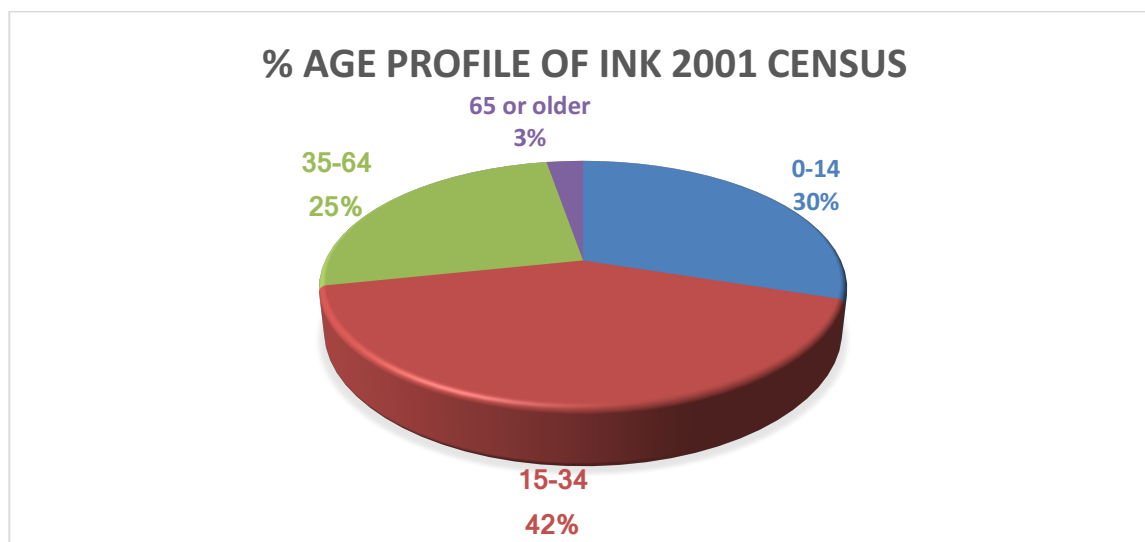


Fig. 2: Age Profile

(Source: Ngceshu and Nw cane, 2012)

Infrastructure and Services

Regarding service provision in Inanda Township, Local government has made strides in providing basic services. With exception of pipe water, provision is within the norms of the urban area node averages. There are still households without basic services in Inanda, 26% of households are without electricity, 30% are without piped water, 2% are without waste removal services, and 67% are without fixed line telephones. Provision of educational facilities remains a slight challenge with the no tertiary education facilities in the whole INK area, however great strides have been made in primary and secondary facilities. Department of Provincial Government has made plans for the establishment of two new hospitals of 450 beds in the Inanda Ntuzuma and KwaMashu area and one of them will be located in Inanda (Department of Provincial Government, 2008).

Unemployment

The economic implications of the Apartheid era can be seen in present day in Inanda. As mentioned earlier, the unemployed individuals of forced removals in Cato Manor found refuge in Inanda. For some these people their circumstances have not changed and poverty has been passed down from one generation to the next. In fact, in order to gain any benefits or advantages from an economy, one has to be an active participant in it. According to Ngcshu and Ncwane (2002), poor people can participate as labourers in an economy as this is usually their primary means of actively participating in an economy. However, when the poor are unable to gain employment they are sidelined by the economy and become outcasts in society. This scenario consequently results in unemployment which creates the perfect breeding conditions for poverty to entrench itself in households and communities (Ngcshu and Ncwane, 2002).

According to Trading Economics (2015), unemployment today stands at 25%, with a previous highest being 30%. It is important to note that in South Africa, unemployment rate measures the number of people actively looking for job as a percentage of the labour force and not those who have been discouraged and have stopped seeking jobs. Research conducted by census and private research institutions indicate that unemployment is one of the leading socio-economic issues plaguing Inanda, which needs special and immediate attention by authority's community leaders. In order for the economy of South Africa and Inanda's local economy to be stable, the economy's growth rate has to exceed the population growth rate. In townships such as Inanda that are plagued with poverty and unemployment, there is need of extensive government intervention in order to achieve this (Stiftung, 2000).

According to stats provided by the Department of Provincial Local Government, around 40% of the population in Inanda, KwaMashu and Ntuzuma collectively (INK) are unemployed with an additional 33% not economically active (Department of Provincial Government, 2008). Moreover, about 75% of all households earn below R9 600 per annum, and 93 % of the employed group are

employees (Department of Provincial Government, 2008). In 2006 the unemployment rate of Inanda stood at 57% according to Urban-Econ, with Ntuzuma sitting at 50% while KwaMashu has the highest unemployment rate of 60%. Combined the INK area's unemployment sat at 64% (Urban-Econ, 2006). As mentioned earlier, the high unemployment level in South Africa and Inanda area are directly related to poverty, failure of earning income exacerbate the conditions presented by poverty and makes it extremely difficult for one to lift themselves out of poverty.

Health

Inanda Township suffers from similar health issues plaguing other townships surrounding Durban. Diseases such as HIV and AIDS, STDs and bacterial infections such as TB and cholera, are rife in Inanda due to the vast informal settlements located there. Informal Settlements are unplanned, have no provisions of healthy and sanitary services such as waterborne toilets, wastewater infrastructure. The lack of this services creates an unhealthy environment for the communities living in it, and a breeding ground for diseases mentioned above that fest in unsanitary conditions found in informal settlements where freshwater is exposed to and contaminated by wastewater dumped waste refuse that runs along the alley ways and streams in the settlements (Department of Provincial Government, 2008).

According to Maurice (2000), housing, access to fresh drinking water and sanitation are the three most critical factors that determine health. However, Maurice mentions that it can be argued that sanitation and water can be potentially more important determinants if the position of prevention rather than cure is taken on the onset. For instance, during the 1980s a few areas in Inanda were severely hit hard by cholera due to the consumption of running water that was contaminated. According to Ngceshu and Ncwane (2002) this serves as an indication that leaders and authorities in Inanda were not being accountable because of their failure to prevent or take swift action against cholera. Ngceshu and Ncwane blame the fragmented character of the Inanda's health system for the situation explained above. Majority of the residents of Inanda rely on public health service, it is imperative that government had to improve health facilities, increase accessibility to the community of Inanda and surrounding townships. A community with access to healthcare facilities will result in a healthy productive labour force improving opportunities for higher paying jobs and late retirement. Hence illness which is loss of output regrettably goes unnoticed and consequently will have undesirable impact on economic growth.

Education

The Department of Provincial and Local Government (Department of Provincial Government) has provided a brief overview of the levels of education in Inanda area and the greater INK area. According to Department of Provincial Government, 34% of the population within 0 - 24 years of age do not have a formal education. Moreover 64% of those who have enrolled in schools, only 22% of them have matriculated. Furthermore, only 4% of those who have matriculated have went

on to attain a tertiary qualification and secondary school pass rates and university exemption rates are low (Department of Provincial Government, 2008).

Crime

Over the past decade Inanda township has emerged as one of the most violent township in eThekweni and can be further considered the most violent place in the whole eThekweni municipal area. This is according to crime stats released by Crime Stats SA in 2011. However, crime has slightly decreased from 2011 to 2014 by 468 reported crimes. From 2004 crime has increased 6478 reported crimes in 2004 and 7287 reported crimes in 2011 (Crime Stats, 2015).

Da Costa (2011) argues that the leading contributor to high crime rate in Inanda is due to alcohol abuse. Da Costa points the finger at illegal *shebeens* that are in every corner in Inanda's main intersections, before they became a problem in a community *shabeens* were a place of social gathering and leisure where adults meet after work and to relax and have conversations before heading home. She further supports her argument by quoting Mbongeni Phewa who shares the same views on uncontrolled selling and distribution of alcohol. According to Mbongeni Phewa, cited in da Costa (2011), they are losing the battle against the illegal *shebeens* in Inanda despite their best efforts. Phewa also adds that *shebeens* operate 24 hours a day during the weekends and 7 days a week, and this contributes to crimes committed within the neighbourhood. In hindsight of this the forum planned to organise a meeting for all *shebeen* owners, legal and illegal, with the intention to ask them to reduce their operating hours and close their business at 9pm. They are also in partnership with KwaMashu community police forum and have developed coordinated efforts to combat crime and sit in during each community's forum meetings (da Costa, 2011). This was in hopes of curbing the high crime rate in Inanda surrounding townships.

Alcohol abuse and the abuse of socialisation space (*shebeens*) may be one of the leading causes of crime in Inanda, however there are other prevailing contributors to crime in Inanda and the greater eThekweni metropolitan area. The drug epidemic that has a vice grip on the youth in Inanda and the greater eThekweni metropolitan. According to Numbeo (2015), the crime rate in Durban has increased in the past three years and sits at a rate of 80.91% and the rate of drug use and dealing rate sits at 69.64% which is quite high. The data and stats provided by Numbeo are based on perceptions provided by people who visit their websites within the last three years. Inanda has been hit very hard by the drug epidemic, this is due to a popular drug called 'Whoonga' or 'Nyaope' which is very cheap, widely accessible and simple to produce as it is made from a mixture of various substances such as rat poison, ARV drugs, marijuana and other lethal powder substances not safe for human consumption.

It has extremely damaging side effects and strong cravings that puts the user's life in danger and the community due to the user's willingness to do whatever he or she can to purchase the drugs at any means necessary. According to Juan Hull (2010) whoonga user who has no income needs

more than one hit to get through the day, and crime becomes an irresistible opportunity to fund their drug habit. A whoonga addicted crimes of choice are usually: home invasion, robberies and other petty crimes are being committed by mostly whoonga addicts (Hull, 2010). The local authorities and the local police are aware of the whoonga that is overwhelming the community. The police and the national addiction council say they are doing the best they can do with limited resources, furthermore due to the high crime levels in Inanda, prioritising whoonga is a challenge.

Local Economy

Inanda Township is part of the INK, townships and economic node development initiative that aims to integrate these townships together by means of development of economic nodes and social facilities. There are factors that help explain the economic characteristics of Inanda and surrounding townships which are internal and external (Department of Provincial Government, 2008). There are high levels of dependency on social grants in Inanda and the rest of the INK to the high level of unemployment in the area, 41% of the 25 to 65 years persons are unemployed and 59% of the total are economically active. Inanda is a residential area within the greater eThekweni municipal area, with the majority of Inanda inhabitants being employed outside the Inanda area and INK economic nodes. This external factor indicated that employment opportunities of the INK and Inanda lay in Durban metro which itself is experiencing low economic and job growth. Regarding internal factors, integration of informal and formal economic activities is limited within the area which is dominated with retail and small business (Department of Provincial Government, 2008).

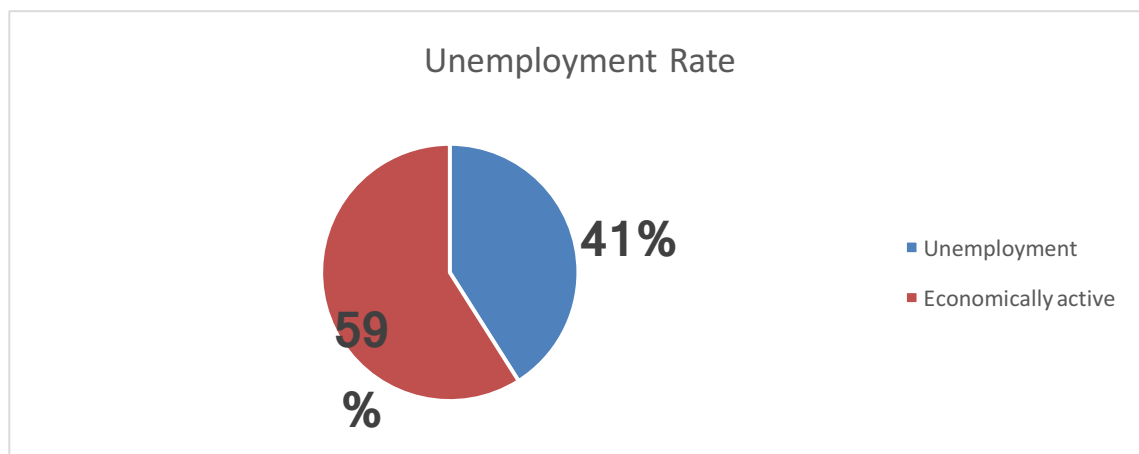


Fig.3: Pie chart showing unemployment rate
(Source: Department of Provincial Government, 2008)

Tourism

Tourism in Inanda presents potential for economic revenue and job creation in Inanda and INK area. The best known tourist attraction is Inanda heritage trail and the Shembe Church, this also includes the Gandhi Settlement, Ohlange institute. According to the Department of Provincial

and Local Government tourism in Inanda has not had the desired outcomes as expected. Tourism has been at a low and has generated a few jobs and the industry itself has consisted of self-guided day travel. Furthermore, there are a few restaurants or accommodation specially aimed at tourist sector (Department of Provincial Government, 2008). However, in more recent times residents are slowly capitalising on tourism and on their own communities with lifestyle bars and lounges and restaurants that epitomises Black culture in the Inanda Township. Moreover, local government and other stakeholder's committees and programmes that have proposed developments that will help enhance the tourism industry in Inanda.

6. NAMIBIA STOP 8 PROJECT DESCRIPTION (Information from SDI SA Alliance website)

Due to overpopulation, floods and fire, it became inevitable that beneficiaries would need to be moved to a greenfield site. Vacant land of approximately 90 hectares was identified within the vicinity and general planning ensued. As the Municipality moved to start putting in bulk infrastructure, like roads and sewer lines, it became evident that there were several permanent structures that lay in their projected plans. The Municipality did an evaluation and, of the 790 people they identified as in the way of services, 96 were FEDUP members who subsequently became part of the first phase out of a total of 250 members. The remaining balance of 154 will form part of the phase 2 in-situ upgrade project.

The beneficiaries were given an opportunity in the pre-planning phase of the project to produce a desirable structure which turned out to be 50m² in size. With the assistance of Utshani fund and Lombard Insurance, the beneficiaries agreed that they would have a standard 50m² for everybody to save time and be able to do costing effectively within the subsidy band. The construction method entails construction by community contractors and construction management teams (CCMTs), supervised by technical support (Utshani Fund) and approved professional supervisory contractors.

While Phase 1 is currently at an operational stage (built from 2010 to 2013), Phase 2 is due to commence within the next few years (it was supposed to start in 2016 but was postponed to 2017). uTshani have documented that the uTshani Fund/ FEDUP self-built approach has resulted in 85% of people continuing to live in their houses after improvements to their homes, while the comparative figure for Government's Reconstruction and Development Programme (RDP) houses is 45%. This collaborative approach delivered substantially larger (56m²), better-designed and sized houses than those constructed under the government-driven RDP model (40m²). There is also some evidence of the lower quality of the RDP houses, which (for example) have restricted extension possibilities and have limited the growth of home-based enterprises (Adebayo, 2010). For their involvement in Phase 1 of the NS8 in eThekweni municipality, uTshani Fund have twice received the prestigious Govan Mbeki Human Settlements Award - from the KwaZulu-Natal (KZN)

provincial authority in 2012 and from the national government in 2014. This has created a legacy for the community in terms of income generation, skills upgrade, and sense of ownership.

The costing of the houses was two-fold:

- Complete structure from foundation to roof level (on vacant site). The cost of construction for the 50m² house from the foundation to the roof level has been calculated at R68 104.37 including labour and contingencies.
- Extension of 40m² slab to roof level (on sites with Municipality slabs)

The cost of extending the 40m² slab to a 50m² and construction of top structure to roof level is calculated at R56 104.37 including labour and contingencies.

The houses have been financed through the national housing subsidy system, and the Municipality is acting as the Accounts Administrator who transfers the funds to Utshani. Upfront funding was agreed upon with the Municipality.

Objectives Empowerment, skills transfer and job creation– For women mainly, this has been a life-changing experience and their centrality in the development has been pivotal.

FEDUP will utilize the project as a means to mobilize the beneficiary community and consolidate the rituals of SDI and FEDUP, as outlined in the MOU (mobilization of community into savings collective, strengthen existing savings collectives, etc.).

This has helped gain the full support of the KZN provincial government and revived their enthusiasm for a people-driven initiative

The introduction of a Community Construction Management Team (CCMT) has empowered the beneficiaries with a sense of ownership and overall control of their process.

PROJECTED OUTCOMES A working agreement (MOU) was signed between Utshani Fund, FEDUP and the Ethekewini Municipality with the Municipality agreeing to pre-finance the project before the subsidies were approved by the Provincial Department of Human Settlements. With this agreement the partnership has demonstrated the trust and understanding they share in working together towards the eradication of slums and the promotion of an Enhanced People's Housing Process (EPHP). The communities are enthusiastic that they own the process and the end product thereof. Following the Kroonstad example of the upfront release of subsidies, this partnership is another example which can be replicated in other provinces to allow the roll-out of an EPHP process. Furthermore, this project provides evidence to allow proper assessment and evaluation of the EPHP by government as a whole, in order to be able to offer the so much needed support for FEDUP to enhance delivery of the houses at scale, not only for FEDUP members but in most informal settlements nationally.

CONSTRAINTS Initially cooperation and communication with the Municipality was difficult. Only towards the finalization of the first 30 houses, the situation improved. The Municipality for instance hesitated to make the payment for the Establishment and Facilitation grant, alleging that there first had to be proof that all the enlisted beneficiaries qualify for the housing subsidy. The building inspectors who came to do the inspection used a lot of ‘red tape’ on the houses and went in some instances beyond the specifications that had originally been submitted to them.

7. BASELINE CASE STUDIES: PIESANG RIVER (INANDA)

Piesang River (close to the township of Inanda and KwaMashu) is located 25 km North West of Durban. The settlement was developed after an unofficial land sale (1960s) and a gradual uncontrolled settling. In the 1980s a new residential trend emerged with the so-called “train-houses”. The settlement was also called “Soweto” because of the illegal activities (gambling, drinking, stabbing and shooting). It was the first venue for the first “Community-Driven Shelter Training Programme in SA” (People’s Dialogue, 1993). The motivation was to mobilise women for the savings schemes and strengthen the formal development process by undertaking a physical survey for gathering households’ information and also building the ideal house cardboard model. These two exercises were the first community-driven attempts to contribute to the development/upgrading of the settlement. The homeless People’s Federation had also established a door-to-door survey that residents were not wishing to relocate and they explored a housing alternative able to accommodate higher densities at Piesang River (a two story house).

In Piesang River, residents were eligible for the Housing component of the capital subsidy, because the DFR-Forum grant had covered only the component of land and infrastructure. So Homeless People Federation members were able to access that portion through the uTshani Fund agreement (between Province and the Federation).

The Piesang River Settlement, near the township of Inanda derived its name from the river on the banks of which the settlement developed. In the 1960s, an unofficial land sale took place between an Indian vegetable farmer and an African individual who then subdivided and allocated land to other African households in return for payment. This action followed by the gradual uncontrolled settling on adjacent portions of the land throughout the 1970s. As the demand for housing increased in the 1980s, a new residential trend emerged with the so-called ‘train houses’. The residential densities increased due to one-room units packed and jumbled up against one another. This resulted in the densified settlement despite the steep slopes, leading to dwellings being close together with no private open space or yard surrounding the individual homes. Another factor was that people migrated from the adjacent rural areas under Amakhosi with a view to come closer to job opportunities (Huchzermeyer, 2004).

In 1992 the Durban City Council made available the sum of R18 million to upgrade the infrastructure of the area through the then minister of housing Joe Slovo. This due to the fact that most of the people living in the invaded area wish of moving, because the bond they grown to have with the place. Hence, part of the money contributed toward the land acquisition, while the rest towards the construction of the houses. With the help of the Federation of the Urban Poor (FEDUP) to construct the houses with community's involvement, through the community participation initiative to help empower the people in the decision of their housing (Huchzermeyer, 2004). The Inanda unemployment rate stands at 42%, with 80.2% of households earning below R19200/year (R1600/month) (Department of Provincial & Local Government, 2012). A rough estimation of highest level of education for most people in the community would be between grades 10 and 12, but although many had secondary education very few had gone on to tertiary institutions, for a variety of reasons. Young people in this community are highly affected by crime, early pregnancy and drug abuse but those who do survive past grade 12 continue with their tertiary education at Langeni College, which is in Ntuzuma Township, 15 minutes' drive from Piesang River and 25 minutes from NS8. While, those that are fortunate to get tertiary funding from government get the opportunity to Study at DUT and MUT within Durban.

The Utshani Fund role in the upgrading of housing

After receiving funding of R10 million in Piesang River from former Minister of Housing the late Joe Slovo, the uTshani Fund was established to control the administration and funds of the federation (FedUP Profile, 2007). The uTshani Fund was a resource that enabled the federation to support house construction through a process of pre-financing, in which uTshani made a loan of R15000 to assist a member in building a house through sweat equity, which the beneficiary later repaid to allow for replication of the process. In 1997, the process was changed because beneficiaries were failing to repay the loans; instead government switched to paying the loan funds to the uTshani Fund after the beneficiary was first approved by the Department of Housing (DoH) as qualifying for the subsidy. The process has been replicated in other settlements where uTshani Fund has been involved the upgrade of informal settlements, more recently in NS8. The communities have over and above been encouraged to embark on saving schemes that would eventual help towards the construction of their housing, through the forming of savings groups.

Saving towards building and housing incremental

Within NS8 and Piesang River, there are several organized savings groups (Sivukile, Siyaphambili, Sesiyesabona, Landless and Inenja Savings groups), signifying a range of interests. The largest and most prolific being Syaphambili, a savings group, which started in the early 1990s, this group mainly made up of an older population crowd from both communities. All the members of this group have since benefitted for the first phase of housing completed in 2013. These savings

groups have three types of savings consisting of “Nsukuzonke (Daily Savings)”, “Inqolobane (Granary Savings)” and “Housing Savings”.

- *Nsukuzonke (Daily Savings)*: With this sort of savings, individuals are required to make an everyday commitment as low as 50c. These savings regularly help the members of the savings group to have access to emergency loans when they required assistance. Individuals can tap on this subsidizing in the event that they encounter monetary issues. This sort of reserve funds designed mainly because the poor cannot bear to save money on week-by-week or month-to-month premise. The saver keeps the record of his/her contribution.
- *Inqolobane (Granary Savings)*: This saving is towards larger production and enterprise loans. All individuals are anticipated that would partake in this program. Commitment is made on a month-to-month premise. These assets are utilized to bolster individual and gathering salary producing exercises/ activities.
- *Housing Loans*: These funds deposited in Utshani Fund account in the form of deposits for Utshani Housing Loans.

Construction of the houses

From the interviews and the focus groups done in Inanda, the UKZN team found out that the members of both communities (NS8 and Piesang), with the support of the Federation members, constructed houses by using their little gained skills. In other words, the actual construction of houses did not use outsourced labour or professionals. As mentioned above, the Federation in NS8 and Piesang River is made up of savings groups affiliated to it. Within the savings groups the members divided themselves into manageable groups of four to 10 members. These members, built houses for each other with the pulled in labour. During the process of building the houses, the Federation made available to the community members a skilled builder who would offer assistance and gives on-site training, facilitating the development of those who had no skills to the semi-skilled members. The payment for the skilled builder pegged at R50 per day and taken deducted from the member's loan allocation whose house was being built at that given time. This provided a greatly powerful instrument with which to transfer skills and training amongst the previously disadvantaged. This approach the dream of bigger houses attainable through the numerous cost cutting strategies allowing them to fully stretch the limited loans given to them.

8. BASELINE CASE STUDIES: Magwaveni

Magwaveni, in the Tongaat area, is considered to be one of the highest potential growth areas in KwaZulu-Natal, as it is found between the Durban and Richards Bay development corridor.

Magwaveni informal settlement in the Tongaat area first emerged in the late 1970s as a result of people migrating from rural areas such as Ndwedwe, Nyoni and Nongoma amongst other areas in search of employment opportunities. Tongaat area is one of eight economic zones in the eThekweni municipality falling within the northern area. Geographically, the area is surrounded by areas such as Ballito, Stranger in the northern region, and the Durban CBD. The strategic location of Tongaat, coupled with its proximity to the Dube Trade Port, means that Tongaat is facing exceptional growth and development over the next coming years.

The Dube Trade Port development, situated six km from Tongaat provides many job opportunities to the people of the eThekweni municipality. The greater Tongaat area also provides road and rail access for the rural communities who trade in the greater Durban municipal area and it is a more accessible area for other surrounding rural communities. The greater Tongaat area provides road and rail access for the rural communities who trade in the greater Durban municipal area and it is a more accessible area for other surrounding rural communities representing an important commercial transit node for many of the people living within the eThekweni municipality (Ethekeeni, 2008).

According to a municipal official from the Informal settlement unit interviewed, most of the households residing in the informal settlement in that area have a low level of education. Illiteracy and unemployment need to be considered as threats to personal, community as well as national development (Ethekeeni, 2008).

The economic growth of the Tongaat area has not been in line with the increasing population growth of Tongaat and other surrounding areas. The area had faced a number of service backlog challenges including high and increasing levels of unemployment, poverty and skills shortage. The main sectors operating in the Tongaat local economy that provide employment opportunities to the local community are agricultural, retail and food, light industrial, manufacturing, automotive and transport. Informal Economy and Small Micro Medium Enterprises (SMMEs) are more developed in the CBD than in the rest of the Greater Tongaat area. Major activities include the following: cooks, newspaper vendors, live chicken sellers, second-hand clothes dealers, hairdressers, candle makers, fruit sellers, street food vendors, street non-food products vendors, spaza shop owners and workers, tailors, dressmakers and hatters, Mr phone dealers, bead workers and sellers, shoe makers and polishers and welders (Ethekeeni, 2008).

It has been reported that unemployment is highest in the black residential areas, largely due to the lack of education and skills development resulting from apartheid policies that denied citizens

access to a better life. Approximately 32% of the economically active population of the Tongaat area is employed in some form of economic activity. There are currently local jobs for just over 47% of the population. This needs to increase to between 60% and 80%. An estimated 15 000 people must travel outside the zone daily to their places of employment. Major parts of Tongaat are affected by the current problems being experienced in the clothing, footwear, textile and luggage sectors due to low priced imports from China. The sugar industry is also experiencing low world sugar prices, so the local economy is struggling and its activity level is well below the growth periods of the past (Ethekekwini, 2008).

Households in Magwaveni have been facing problems associated with the lack of access to basic services. The lack of availability of health and sanitation facilities has given rise to various illnesses such as diarrhea, tuberculosis and acute respiratory infections. To address health challenges in Magwaveni settlement, the eThekweni Municipality has embarked on a programme for the in-situ upgrading of this settlement through the provision of roads, storm water, electricity, and water and sanitation services (The Housing Development Agency, 2012).

A study on the level of satisfaction of the Magwaveni beneficiaries of the in-situ upgrading has been conducted for a Master in Housing in 2014. This study (Xulu, 2014) showed that Magwaveni households were not satisfied with their current housing status because of their difficulties of accessing the necessary financial capital required for housing improvements due to not having access to permanent employment opportunities. The findings of the study demonstrate empirically that the provision of basic municipal services to informal settlements by the eThekweni municipality has delivered much needed basic municipal services to households residing in shacks. However, *“the provision of basic services as an interim measure before housing upgrade did not provide the beneficiaries of services with an opportunity of owning adequate housing units as is commonly desired by the poor opposed to in situ upgrading projects where site and services are provided along with a government assisted house”* (Xulu, 2014:86). The residents’ housing condition remained unchanged but access to essential municipal services such as access roads, footpaths, electricity, water and sanitation were provided to remedy the hazardous conditions that residents of informal settlements are faced with.

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ISUlabaNtu Project

National & International Best Practice. Approaches to informal settlement upgrading (ISU)

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WORKING Definitions & APPROACHES to informal settlement upgrading (ISU)

INTRODUCTION

Informal settlements represent one of the biggest challenges worldwide, as a consequence of the accelerated process of urbanisation in developing countries.

They are often characterised by the lack of basic services and infrastructure (e.g. safe sanitation, reliable electricity), poorly performing building materials (e.g., wood, cardboard, metal sheets, mud) without any building plans approved and often on illegally-



accessed and hazardous land. The so-called slums can be interpreted as a response to ineffective governmental housing policies that failed to provide the urban poor with affordable and adequate shelter (El-Batran and Arandel, 1998). Despite all the efforts to reduce its growth, the number of informal settlements is still constantly increasing. Therefore, addressing the informal urbanisation challenge represents a key strategy that benefits not only the urban poor, but the city as a whole, towards sustainable and self-reliant communities (Khalifa, 2015).

Defining “Informal settlements”

There is no standard definition for *informal settlements*, its meaning varies greatly from country to country and specific defining parameters. According to Srinivas (1991) informal settlements may be defined as a residential area which developed without formal legal standing or claim to land. Furthermore, because of their illegal status, they develop outside the regulations of the city. Consequently, they have some common features such as inadequate services and infrastructure (Klug & Vawda, 2009).

Informal settlements may be defined by certain characteristics: physical, social and legal. Physical characteristics refer to poor services of networks (water, sanitation, electricity, and roads) and inadequate physical infrastructure constructed from a variety of materials including corrugated iron, plastic, clay, timber and metal sheeting (Marx & Charlton, 2003). Social characteristics refer to low income groups, and predominantly migrants; and legal refers to lack of legal ownership of land parcel on which a shack is constructed because of illegal occupation (Srinivas, 1991).

Most of the definitions emphasize the dwelling type as a dominant feature of informal settlements (e.g. shacks built of temporary and poor materials) (The Housing Development Agency, 2013). Moreover, several definitions refer to ownership of the land, the nature of land tenure and formal demarcation. The National Department of Human Settlements (National Housing Code's Informal Settlement Upgrading Programme, 2009) defines informal settlements on the basis of the following characteristics:

- Illegality and informality;
- Inappropriate locations;
- Restricted public and private sector investment;
- Poverty and vulnerability; and
- Social stress

According to Huchzermeyer (2011) *"Shacks, that are the visible dimension of informal settlement, remained an embarrassment to the newly elected democratic state (after apartheid) and thus they decided to replace them by neat estate of pitched roof houses"*.

Roy (2011) suggests a progressive interpretation of informal settlements as spaces of habitation, livelihood, self-organisation and politics. This concept moves away from the pathology of Informal settlements that need to be fixed and envisages their huge potential in terms of dynamic places of living.

Informal settlements can be also generally defined *substandard*, referring to the poor living conditions (sometimes with high environmental risk) and deprivation. Urban substandard settlements offer housing to Urban poor. (Sutherland *et al.*, 2016).

More in general *Informality* has been defined as the bedrock of African cities (Mitullah, 2007), since over half of African Urban population lives in informal settlements and far more is part of the so-called informal economy. Therefore, the development of African cities should approach those issues holistically, accommodating the informal economy and considering it in the actual planning and management of municipalities.

The UN-Habitat define *informal* settlements as settlements where inhabitants have no secure tenure in respect of the land or dwelling they inhabit which may or may not comply with city planning and building regulations. According to Huchzermeyer (2002) these are *settlements that are developed through unauthorised invasion of land and construction of shelter*. The neighbourhood is void of basic services, and infrastructure and often situated in

geographically and environmentally hazardous areas. (UN-Habitat III, 2016). Despite these pitiful conditions the UN-Habitat also notes that informal settlements are also a form of *real estate speculations* for all income groups in the urban areas. *Informal* settlements are characterised by self-help efforts, often illegal, and considered 'informal' as they do not align with prevailing regulations. In the self-help efforts residents make use of the limited resources available to them for the purposes of erecting shelter on interstitial or marginal land (Dovey and King, 2011) often close to economic, social or survival benefits. Dovey and King (2011) record that informal settlements often form small pockets of irregular, unconventional, substandard, unregulated human settlements, with few instances where informal settlements take up larger geographical area as in the case of Dharavi in Mumbai, Rocinha in Rio de Janeiro, Kibera in Nairobi, and Ezbet el-Haggana in Cairo.

Furthermore, *informal* settlements are often located on prime land (Hassan , 2012) and better located than new housing developments that are constructed to accommodate inhabitants in cases of relocated. They can be conceived as active housing agents, as they source locations for new housing developments (Huchzermeyer, 2002). On the other hand informal settlements may be located on hazardous land but offer other benefits to the informal dwellers and offer immediate response to housing needs in urban areas of developing countries. The location of these settlements is critical for the socio-economic activities of inhabitants (Abbott, 2003).

- According to Huchzermeyer (2011) we should recognise Informal Settlements as *complex, popular, spontaneous neighborhoods*.

Informal settlements have been attributed to failed policies, corruption, poor governance, inappropriate land markets, finance systems and regulations and a lack of political will to address housing Menshawy *et al.* (2011) and El-Batran & Arandel (1998). Others have blamed informal settlements on inadequate institutional capacities, and escalating poverty (Majale, 2008). Despite all the efforts to reduce its growth, the number of informal settlements is still constantly increasing. Therefore, addressing the informal urbanisation challenge represents a key strategy that benefits not only the urban poor, but the city as a whole, towards sustainable and self-reliant communities (Khalifa , 2015).

In-situ upgrading

In-situ upgrading is the process undertaken to improve an informal settlement in its current location by delivering basic services and secure tenure to people (Pikholz, 1997). According to Mukhija (2002: 554 cited in Tshikotshi, 2009) informal settlements upgrading involves the recognition of three conditions: *"the property rights, the property values and physical attributes of the underlying assets, and their impact on each other"*. Furthermore, according to Cities Alliance cited in Ziblim (2013: 4) informal settlements upgrading is defined as a process whereby the former in urban environments is incrementally upgraded, formalized, and incorporated in the urban fabric. Therefore, upgrading does not only focus on the legal aspects, but seeks to improve the living conditions and services.

As suggested by Huchzermeyer (2011) in-situ upgrading, as promoted under the Informal Settlement Upgrading Programme (UISP), would leave as many structures as possible in their original position, providing formal rights, infrastructure and services, with the minimum disruption and providing support for the gradual transformation of shacks into more durable housing. In addition, in-situ upgrading can be seen as the *"the recognition and permanent incorporation of informally developed neighborhoods into the city"*. (Huchzermeyer, 2011)

Upgrading of informal settlements may happen using two different approaches: *relocation* or *in-situ development* (Del Mistro and Hensher, 2009). Relocation is the process of moving inhabitants from their settlements to another '*greenfield*' site. Often these new settlement sites are further away from urban opportunities than the informal settlement, thus directly interfering with socio-economic activities. On the other hand, in-situ development reduces the number of households that are relocated to another site; thus minimizing the extent of disruption to economic and social networks (Del Mistro and Hensher, 2009). Furthermore, settlement upgrading is more appropriate in responding to poverty, vulnerability and social inclusion (Huchzermeyer, 2006).

In addition, Huchzermeyer (2006) argues that the success of upgrade programs can only be attributed in having confidence in the abilities of the poor, by enabling them to address their housing needs. Community profiling and grassroots enumeration, in fact, have been successfully used to record individual housing units, their number and a cadastre of the residents and their status, (size, tenure condition, income, etc.) in order to help correctly

determine and agree on the size and conditions of the population living in each single settlement. (Huchzermeyer, 2009)

Community participation

According to Samuel (1986:46) community participation, in a broad sense, may be “thought of as an instrument of *empowerment*”. Arnstein (1969) presents a typology (rungs of the ladder) of eight levels of community participation, these are: manipulation, therapy, informing, consultation, placation, partnership, delegated power, and citizen power. Furthermore, community participation that lacks redistribution of power is a hollow and frustrating process for the powerless people. Moreover, community participation is fueled by two main objectives: one is to improve the living conditions, and to influence decisions in the political arena (Choguill, 1996). Thus, community participation is not only focused on improving living conditions, rather it should pursue power to influence political decisions, therefore permanent change to the status quo.

The current housing framework advocates for active community participation as a paramount tool in project life cycle of in-situ upgrading programs (DoH, 2004). Community participation is a concept that is often easy to use; however, in reality, difficult to translate into practice. In a local context, according to Jordhus-Lier and de Wet (2013) community participation in practice often becomes “*formal, legalised, and politicized*”. Furthermore, it is common in upgrading cases that most options and plans are meticulously defined by officials, and residents are merely “*informed*” (not engaged) at a later stage during implementation phases (Piper, 2012).

Security of tenure

Informal settlements are erected and occupied without formal legal standing which directly influences land tenure. Land tenure may be defined as the legal regime in which land is owned by an individual, who is said to hold the land (Singer, 1996). Land is a crux asset for rural and urban poor, it provides an important foundation for economic and social development. Sound property rights and adequate access to land offers the potential to help empower the poor to adjust to the challenges posed by recent trends of globalisation. Regardless of initiatives aimed at reduction of poverty and safety net programmes, inhabitants living in informal

settlements continue to increase; insecure tenure often discourages urban poor households from improving their sustainable livelihood survival strategies (Mahanga, 2002).

In settlement upgrading, the availability of adequate land is fundamental. Furthermore, where land is suitable for upgrading, the current policy (Breaking New Ground- BNG) seeks to support different tenure options. Del Mistro and Hensher (2009) argued that the supported tenure option is *freehold title*. It provides security of tenure, and therefore the “opportunity to leverage the property values as means as a poverty alleviation” (Del Mistro and Hensher, 2009: 335). Thus, security of tenure offers the urban poor the opportunity to derive sustainable livelihood survival strategies. Moreover, security of tenure provides for better socio-economic development to informal settlement residents. Inhabitants are more motivated to invest in their structures and knowingly they have security of tenure.

Self- Reliant Communities

Self-reliance can be a term associated with self-help, independence, and liberation since it looks at the manner in which a community or individuals can help themselves. According to Galtung (1980), Self-reliance is thus defined as “development on the basis of a country’s (region’s) own resources, involving its populations based on the potentials of its cultural values and traditions”. The main principle of self-reliance incorporates into the community development process the means of offering ordinary citizens to share in making important decisions about their living conditions (Anyanwi: 1992). This principle allows people to obtain exactly what they need and assists the community in obtaining maximum satisfaction. Allowing people to make and define their own choices and needs assists them in becoming more dependent on each other as a community, and increases unity, skills to be shared amongst each other. A self- reliant community emphasizes the need to increase involvement and participation of the community in programmes that have been designed for them, and allow them to lead the programmes in order for them to gain skills which will help them to cope and to solve problems they may encounter in their daily lives after the project has even been complete.

Community Participation and Sustainable Development

Sustainable development is a result of a merger of two paradigms: *growth and development*, and *environmental movement* (Irurah and Boshoff, 2002). Growth and development paradigm is grounded in economic growth; on other hand, environmental movement is on the realization of environmental degradation and finite resources. Our Common Future – also known as the Brundtland Report (published in 1987) - coined and defined sustainable development as “*development that meets the needs of the present without compromising the ability of future generations to meet their own need*”. The report gathered different issues and launched a comprehensive gateway to sustainability, which includes social, economic, political and environmental criteria (pillars).

In 2004, the Breaking New Ground Policy (BNG) introduced the principle of *sustainable human settlements* and it is upon this ideology that *in-situ* upgrading of informal settlements is founded to achieve *sustainable human settlements*. Sowman and Urquhart (1998) argue that in order for housing to be considered sustainable, it has to conform to environmental, economic, social, and technical sustainability. All pillars of sustainable development must be balanced, nevertheless; in some cases, the environmental pillar is neglected and not given priority compared to economic pillar. Therefore, sustainable human settlements could remain a fantasy if it is not applicable in *real life* situations.

Ecological sustainability means developments must conserve both renewable and non-renewable resources. Similarly, pollution produced must not occur at a rate faster than it can be absorbed; thus avoiding environmental degradation and damage. Economical sustainability means that there must be a balance between initial capital and maintenance costs, and also it must be affordable and accessible by all stakeholders. Social sustainability refers to promoting community participation along with well-being of beneficiaries. Lastly, technical refers to technology used must be sound and not degrading to the environment (Sowman and Urquhart, 1998).

Community participation is a fundamental requirement concerning sustainable development (Sowman and Urquhart, 1998). It is of utmost importance for people concerned to be fully involved in all stages of the development (from planning, decision making, to implementation, etc.), not just informed, however; engaged in all processes as they will be affected directly. Community participation is the crux of sustainability, prior to the pillars of sustainable

development. It permits the people affected to be involved in their development and maintenance. Furthermore, participation of the all stakeholders improves the ratio in which sustainable development can be achieved. Community participation has a direct influence to the social pillar (Sowman and Urquhart, 1998).

In South Africa, early provisions (from 1994 as part of the Reconstruction and Development Programme) of low-cost housing were simply bureaucratic (top-down approach) lacking the aspect of community participation (Jenkins, 2006). The authorities took decisions on behalf of people affected. Crucial decisions such as location, typology, size, etc. were decided at the top. This approach simply was concerned with the delivery of structures to the people in need of a top structure. Consequently, this bureaucratic approach proved to be *unsustainable* in the aspect of continuing the legacy of apartheid concerning housing delivery. Locations of new houses remain unchanged as new houses were placed in ghettos on urban peripheries, far from jobs and services (Seekings, 2000).

‘Slums’ vs informal settlements

During the 19th century industrialization in Britain, there was rapid urban change coupled with class formation which resulted in inequalities in residential conditions. Early factories were situated in low-lying locations adjacent to canals, and housing for workers was often situated nearby waterlogged land (Cowie, 1996 cited in Huchzermeyer, 2011). These settlements were characterized by damp, overcrowding, dark, unhealthy and cramped accommodation conditions. Therefore, the word ‘*slum*’ comes from the 1820s, derived from the word ‘*slump*’, which was used to refer to these inadequate housing conditions (as mentioned above) (Huchzermeyer, 2011).

Nowadays, the term ‘slum’ is defined differently with different meanings according to different contexts. For example, in Kenya the term is used to characterize “unplanned settlements that accommodate the urban poor” (Huchzermeyer, 2011). In the city of Nairobi, ‘slums’ are commercialized, predominantly residents are tenants, whereas, owners of structures are rich person(s) connected politically who do not reside in these settlements (COHRE, 2005). In Kisumu (city in Kenya), ‘*slum*’ refers to settlements that contain a mixture of tenants and structure owners, landlords tend to be residents themselves (Huchzermeyer,

2011). In India, '*slums*' refer to highly populated shack settlements that are occupied by owners with little prevalence of rental tenure. In Abuja (capital city of Nigeria), '*slum*' refer to "informal expansion of indigenous villages that preceded the formally planned city" (Huchzermeyer, 2011: 6).

For the purpose of this research, it is fundamental to differentiate between '*slum*' and '*informal settlement*', even though there is substantial overlap between the two terms, they have different meanings. Simply put, '*slum*' refers to the physical housing condition, and '*informal settlement*' refers to the legal standing of the settlement (Ley, 2009). It is further stated in Tredoux (2009), informal settlements may also be characterized by crime and social stress. According to Abbott (2003), informal settlements are characterized by people who reside on a portion of land without legal tenure and the settlement is outside formal planning processes, consequently such settlements lack basic services such as sanitation, water, and are constructed from basic materials. Furthermore, it is stated in Jenkins (2006) *informality* may be defined by activities that are not regulated by government in any form. The term '*slum*' has negative connotations on an international and academic sought to move away from the former (Massey, 2013). In a South African context, a clear departure from apartheid terminology, conscious and policy was strongly advocated for in 1994. Consequently, this included the term '*slum*' and '*squatter camps*' to be replaced by '*informal settlement*' (Huchzermeyer, 2011).

CO-PRODUCTION AND COLLABORATION

There are various interpretations of *co-production*. Co-production can be defined as a particular form of state-society engagement taking place mainly in cities in the Global South (Mitlin, 2008). It is quite a different form of participation, focused on collaborative and communicative planning. (Watson, 2014). The origin of the term "co-production" can be related to the work of the political economist Ostrom, who defined it as "*a process through which inputs from individuals who are not in the same organization are transformed in goods and services*" (Ostrom, 1996).

The work of SDI Alliance and the Asian Coalition for Housing rights (ACHR) offers many examples of co-production.

Basically, co-production is based on the acknowledgement that State and citizens have different but *complementary forms of knowledge*. In fact, communities have local knowledge and skills, while the government has resources and technical expertise. In other words, State and citizens have different but complementary forms of knowledge.

Interestingly, the outcomes of co-production can be socially undesirable.

Mitlin (2008) interpreted the work of SDI (Slum dwellers international) as bottom-up co-production. The co-production applied by SDI is different from the standard *participation* or *partnership*. In addition, SDI allows greater participation from women (e.g. many saving groups are represented and led by women).

The typical “rituals” – grassroots practices of SDI can be summarized as follows:

- Self-enumeration (carried out by households);
- Settlement Mapping;
- Learning exchanges;
- Community based saving schemes
- Building relationships with the Government (at the Municipal, Provincial and National level).

The self-enumeration and settlement mapping encourage a common understanding and dialogue between community members. A crucial aspect is the way the community acquire knowledge. In fact, this process is not based on readings and engagement with consultants, but it is mainly focused on experiential learning (direct experience). Thus, efficient co-production strategies are for example: learning exchanges, festival exhibitions, self-enumerations and self-mapping. These methods can strengthen civic actions (Watson, 2014).

Interestingly enough, the Asian Coalition for Human Rights (ACHR) has embarked on a process of City-wide Slum Upgrading in bottom-up co-production with the Government. Good examples of Co-production can be found in Kampala, Dehli and Bankok.

Approaches to Informal Settlement Upgrading

Top-down approaches have been used by international agencies (e.g. UN Habitat, World Bank) and city governments (e.g. Johannesburg, Cape Town, Durban) but these have not examined explicitly the particularities of the local context. These processes have not engaged directly with low-income communities, and have not understood in depth the nature of their

vulnerability due the impacts of the local context. In fact, top-down approaches are characterised by very limited inputs coming from the local population and, therefore, they do not reflect its actual needs.

On the other hand, *community participation*, also known as bottom-up approach (El-Masri & Kellett, 2001) is widely considered one of the most efficient strategies to face the informal urbanisation challenge. In fact, it is targeted at the grassroots development and, for that reason, is considered the key to promote self-reliance within the involved communities (Lizarralde and Massyn, 2008). For the reasons above mentioned, participatory processes still receive a strong support from various sectors in South Africa. Nevertheless, a high number of limitations and uncertainties characterise community participation, such as heterogeneity and fragmentation of some communities, lack of social and material resources and community expectations in terms of personal return from their involvement in development projects. In other words, there are both conceptual and practical challenges in the implementation of bottom-up processes (Emmett, 2000).

Informal settlement upgrading is rather a complex process which may unfold through different approaches. The first approach is '*relocation*', it involves the demolishing of the existing informal settlement and the residents are relocated to a suitable greenfield location. This approach originates from the 19th century in Britain and continued to be the central methodology right up until the late 1970s (Maylam & Edwards 1996 cited in Massey, 2013: 14). According to Abbott (2002) this approach was used in developed countries, and it proved to be a successful solution. Notwithstanding, there is historical evidence, in a South African context of the demolition and relocation approach during the apartheid era. While there are many cases, the most commemorated are District Six in Cape, demolished between 1968 and 1980, residents relocated to the Cape Flats; Sophiatown in Johannesburg, demolished between 1955 and 1968, residents relocated to Diepkloof and Meadowlands in Soweto (Brodie, 2008 cited Huchzermeyer, 2011: 8); and Cato Manor in Durban, demolished between 1958 and 1960, residents relocated to Chesterville, Umlazi, Kwamashu Merebank, Phoenix, Chatsworth, (Maylam and Edwards, 1996 cited in Cele, 2010: 10). This approach is best utilized when the settlement location is not suitable for development or habitable. In fact, if a site poses danger to human life then that site cannot be used for housing. If a geo-tech report concludes a site cannot be habitable, then that site should not be habitat. Topography

is the first barrier followed by other factors such as land ownership, availability of resources and employment and availability of services and facilities.

The demolition and relocation approach implemented in developed countries was successful in their own context. On the other hand, developing countries faced an escalating rate of urbanization, overcrowding, and growth of informal settlements. Thus, the demolition of informal settlements and replacement by public housing approach was not fit to be adopted in developing countries. Seeking to find an adequate approach to address the challenge of informal settlements, during the late 1960's and early 1970's John Turner and other authors focus on the concept of *incremental housing* (Abbott, 2002), and *autonomy* (Turner, 1976). They argued, and advocated for '*dweller control*', stating that when residents are part of major decision making processes and at liberty to make contributions to the development of their housing, this environment enables the stimulation of individual and social well-being (Fichter *et al*, 1972).

The second approach is '*in-situ upgrading*', it is the process undertaken to improve an informal settlement in its current location through the provision of access to basic services and secure tenure to people (Pikholz, 1997). It also involves the recognition of three condition: "the property rights, the property values and physical attributes of the underlying assets, and their impact on each other" (Mukhija 2002 cited in Tshikotshi, 2009: 33). Therefore, in-situ upgrading is a holistic approach that focuses on legal aspects, and improving living conditions and services. Furthermore, settlement upgrading is more appropriate in responding to poverty, vulnerability and social inclusion (Huchzermeyer, 2006). In-situ upgrading of informal settlements is a community driven initiative, where inhabitants have chosen their desirable location for housing which favours mostly their socio-economic engagements and close to transportation networks.

There is evidence that *in-situ upgrading* of informal settlement approach does not only focus on the physical attributes of a settlement, it also has positive implications on the social well-being. In a study conducted in India, through the provision of piped water, the incidence of Cholera diseases affecting children witnessed a reduction (Jalan and Ravallion, 2003). In Mexico, settlement upgrading through the provision of cement floors helped to reduce sicknesses related to dirty floors that were once found on the settlement (Cattaneo *et al*, 2007). The provision of legal tenure status in Peru, through a property titling programme,

provided households with emotional and mental stability, and encouraged investments in their livelihood ventures (Field, 2007). This is to display a significant connection between in-situ upgrading of informal settlements and socio-economic development (and well-being) of informal settlement dwellers.

“Slum eradication” pilot projects

In 2004, South Africa and Kenya launched two "*national slum upgrading*" projects, namely the **N2 Gateway Project** (in Cape Town) and the **KENSUP** project in Nairobi. Both the projects were aimed at responding to the state's embarrassment with visible informal settlements and they distorted the meaning of "upgrading" and in-situ upgrading approach, being in this case just a slum eradication attempt (translating upgrading with redevelopment with considerable disruption to the lives of slum dwellers) (Huchzermeyer, 2011).

In Cape Town, the apartheid state approach to low-income housing was based on *transit camps*, *site-and-services* areas and *housing developments* in the periphery of the city. Not surprisingly, informal settlements emerged in better located unused areas (e.g. Joe Slovo informal settlement that became the target of the N2 Gateway Project). The failure of the N2 Gateway Project, now seen by many as a “malignant outgrowth in policy implementation” (Huchzermeyer, 2011).

According to Huchzermeyer (2011), there was increased confusion over the interpretation of the “*upgrading*”, interpreted by provincial and municipal government as the removal (relocation) of well-located informal settlements and its replacement with “inclusionary” and mixed-income housing (as they have done in phase one of N2 Gateway pilot).

The South African slum eradication approach was *target-driven* similarly to the Kenya one, where the government was determined to eradicate slums in all parts of the country by partnering with organizations such as UN-Habitat and constructing modern houses to replace informal settlements. The projects of Kibera and N2 Gateway were both focused on symptoms (the embarrassment of shacks and slums visible from the tourists) and replace them with more acceptable looking (neat-looking) housing developments.

A new target driven upgrading agenda was introduced in 2009 with the call for eradicating slums in South Africa by 2014 (see Outcome 8 in the Policy Analysis section).

Interestingly, according to Huchzermeyer (2011) several governments commissioned reviews in 2008 showed that *none of the several upgrading projects across SA for informal settlement Upgrading called for under the BNG had attempted to implement the New Upgrading of Informal Settlement programme*. Actually, some of those were not even addressing informal settlements (just sites and services or RDP housing). According to Klug & Vawda (2009) as cited in Huchzermeyer (2011:171) "*Municipalities had not explored the space created by the shift in policy continuing instead to focus on RDP delivery*" (Klug & Vawda, 2009:43)

The city of Johannesburg got inspired by the Brazilian approach called ZEIS (Special Zones of Social Interest) that they used as a *land regularization approach* for all areas occupied by favelas: securing permanent tenure rights for favela residents. In Johannesburg, they have introduced the New Regularisation Programme, that is an '*incremental tenure approach*' as a methodology to provide legal recognition and interim services to those informal settlements that need to be relocated, while ensuring tenure security. According to Huchzermeyer (2011) there is a clear link between informal settlement eradication and urban competitiveness shown in the "Gauteng urban management for elimination of slums and informal settlement policy".

Methods to In-situ Upgrading of Informal Settlements

On a global scale, there are dominantly two methods into upgrading of informal settlements: *community-based* and *technological solutions*.

1. The first model originates from the Indian Sub-continent, it advocates for community-based initiatives through NGOs partnerships (Huchzermeyer, 1999 cited in Abbott, 2002: 305). This method unfolds through active community participation and private-public partnerships. It has the ability to place power in the communities that are to be upgraded. Communities are built by its residents, thus it is imperative that people are included in the planning processes in order to make decisions about their settlement, as they are directly affected (Fyhr, 2012). In 2008 in Pune, a city in India, Yerwada slum (informal) settlement was upgraded through intensive community participation, and fruitful private-public partnerships. To uphold the principle of community

participation, NGOs (Society for the Promotion of Area Resource Centres, National Slum Dwellers Federation, Mahila Milan [Women together]) distributed documentation to residents to be signed, the community had to give consent to the upgrading of their settlement. Most importantly, community members were actively involved in decision making process, notably from the planning (design) phase (Fyhr, 2012). For example, Mathare 4A, an informal settlement in the City of Nairobi (Kenya), was upgraded through a people-centered and holistic approach instead of the traditional top-down approach. The upgrading commenced in 1993, as a pilot project through public-private partnerships with emphasis on community participation (Diang, 2012). While there are many cases of informal settlement upgrading through community based initiatives, the above examples merely serve as an illustration that this method, to some extent, can be applied successfully.

2. The second method, the *technological solution*, originates from South America, and is dominantly used and supported in Latin America (Abbott, 2002). Common techniques include remote sensing, aerial photography and geographic information system (GIS); used mostly for change detection, land use management and planning, and database management (Zeilhofer and Topanotti, 2008). It is of utmost importance to state that the application of GIS in informal settlements is poorly documented, or has not been carried out extensively as it is a relatively new phenomenon. However, there is evidence of successful use of GIS in informal settlements. The city of Belo Horizonte in Brazil was the pioneer of using GIS as a planning tool for upgrading informal settlements. In 1983, the city of Belo Horizonte Pro-favela (informal settlement) Law was passed resulting in a new dimension of upgrading of the favelas (Habitat, 2010). The Voluntary Association for International Service (AVSI) was invited to provide technical support to the upgrading program. AVSI realized the structure of favelas was similar to Italian historical town, thus established links with the Italian University of Bologna, which had developed GIS applications in the upgrading of historical centers in Italy (Abbott, 2003). Furthermore, the use of GIS for favela upgrading at the University of Bologna concurred with 'the development of the ViSP (Visual Settlement Planning) approach by UNCHS (Habitat)' (Abbott & Douglas, 2001) cited in (Abbott, 2003). At the same time Habitat was developing a methodology for low resolution data captured through the use of aerial photographs. In 1991, the University of

Bologna mosaicked the ViSP and GIS technology. These attempts lead to sound decision making, and planning. The Belo Horizonte experience proved to be a success, since they achieved upgrading informal settlements in-situ through creating a master plan on a large scale. Evidently, success of the Belo Horizonte experience is highlighted by being adopted in other cities in Brazil and Latin America (Abbott, 2003). This study is important because it sets precedents for GIS technology to be used in the spectrum of informal settlements. It paves the way in which GIS can be innovatively used in in-situ upgrading programs of informal settlements.

The two methods have proved to be a success on a small scale; however, on a large scale they are insufficient because they are not duplicable. In the case of community-based initiatives, communities are not the same (Abbott, 2002). They may share certain characteristics (such as poverty) but are made up by different individuals with different needs and desires. On the other hand, technological approach is centered exclusively at a technical level without input from affected communities (Musungu *et al.*, 2012). Informal settlement communities are complex and diverse entities (Smit, 2006); thus, a method used to upgrade settlements should take into account and understand the complexities of individual cases.

In-situ participatory approaches in the eThekweni Metropolitan area

As all cities in South Africa, Durban has to balance the more dominant neo-liberal pro-growth agenda with the pro-poor agenda, making urban transformation a complex problem. The spatial structure of the city, which is fragmented and reflects a pattern of sprawl, is a major obstacle to achieving sustainable, efficient and equitable development. Social segregation and compartmentalization of the cities are, in fact, some of the Post-Apartheid major consequences that are aggravated by the suburban-type low-density typical of South African cities. (Western, 2002; Williams, 2000). Inequality in housing in Durban has a clear spatial dimension with most sub-standard housing being found on the periphery of the city, or on marginalised sites where informal dwellers have occupied land in close proximity to urban opportunities.

Currently, approximately a quarter of the eThekweni Municipality's total population of roughly 3.5 million reside in informal settlements. Whilst the City can pride itself on a successful and large scale mass housing delivery programme, not all settlements can be provided with full

services and low income housing in the short term due to funding and other constraints. Yet informal settlements face a range of basic challenges such as access to adequate sanitation, clean and safe energy and roads. As a result, a pro-active and broad based programme to provide a range of basic interim services to prioritized informal settlements within the Municipality was developed with a view to addressing a range of basic health and safety issues and delivering rapidly to as many settlements as possible instead of providing a high level of service to only a select few (HDA, 2013).

The Informal Settlement programme is the principal focus of eThekweni Housing Unit, promoting the upgrade of informal settlements as a better alternative to relocation and slum clearance. According to the eThekweni Spatial Development Framework, informal settlements must be integrated into the broader urban fabric to overcome spatial, social and economic exclusion (eThekweni, 2015). Since 2004, the Comprehensive Plan for the Development of Sustainable Human Settlements introduced detailed information on the programmes identified by the National Department of Human Settlements. In fact, the new “Human Settlements Plan” promotes the achievement of a non-racial, integrated society through the development of sustainable human settlements and quality housing at both local and regional scales.

Under the Breaking New Ground (BNG) policy, in-situ upgrading was prescribed as the best way to address the structural causes underpinning the emergence and growth of slums (Huchzermeyer, 2006). This approach was considered to be “responsive to poverty and vulnerability, and also, will lead to social inclusion” as well as empowerment of sum communities, compared to relocation to new sites (Huchzermeyer 2006:49). Hence, relocation of slum dwellers was only recommended as a last resort, and under exceptional circumstances. This was supposed to be carried out in accordance with international best practices, and only after a meaningful engagement with the residents. In effect, it has to be responsive to the peculiar circumstances and needs of the affected communities.

In-situ upgrade is most favoured in cases of informal settlement upgrade because it incorporates the role of the state and inclusionary participation from the community, government subsidies, and provide a sustainable quality of life after slums have been removed.

eThekweni municipality has a great range of policies on which they refer to for upgrading programmes, such as the in-situ upgrading, but in as much as the policies are needed, the implementation phase is more important. The problem issue that occurs when it comes to community upgrading projects, is that people who live within the community end up not leading their development upgrade programmes, but instead being led by the state through a top-down model. This results to the people not always receiving exactly what they need as individuals nor as a community. For example, the design stages or the physical planning process of the house is one sided because it only includes a team of professionals from the government and the private sector, and has no inclusion from the beneficiaries (Bolnick, 2009). Bolnick argues that issues of bad spatial planning of neighbourhoods, and turnkey projects limit the utilization of space. As a result, low-cost houses, which are in any case assigned to the peripheries of the cities, are generally built as single story freestanding dwellings separated by narrow corridors making the space between them non-usable.

The primary challenge of informal settlement upgrading is to achieve some kind of coherence in the community and find solutions to a wide range of needs of different individuals. Land on which the informal settlements are on originally may not be stable enough for formal construction, hence a lot of costs goes to stabilizing land. Those people who live on land that cannot be rehabilitated, end up being moved to areas that are closest to their original location, but having to find new pockets of land to allocate those who were removed to congestion that was previously set up by shack condition, is difficult and costly due to the scarcity of land closest to the old location. In some cases, informal upgrading projects have failed because there are people in the community who believe they will not qualify for an upgrading programme because they are not citizens or residents of the country.

A driver for in-situ participatory approach is that it minimizes social economic issues, in terms of allowing people to still live in areas that are close to the city-centre, and does not disrupt the cycle of life which people had, but improves it. In situation where people are reallocated they still live in areas close to their place of work, healthcare facilities, entertainment areas, and live close to transportation networks. Not having to worry about losing a source of income, but looking at gaining a home that can also contribute to adding value to individuals within informal settlements.

The fact that slum clearance is part of the millennium development goals, has assisted in promoting upgrading programmes in all countries, including South Africa. The South African Minister of Housing was quoted in the media as stating that the country's plan to 'eradicate' informal settlements by 2014 is 'in line with United Nations Millennium Development Goals' (Palitza, 2005). Having an international force support informal settlement removal, means having more sources for funding in terms of informal settlement upgrading projects. This international campaign aims to 'significantly improving the lives of at least 100 million slum dwellers by 2020' (United Nations, 2000:5)

The role of women in the participatory and upgrading process

In most societies, women and men tend to have different roles, responsibilities, needs and perceptions. Therefore, informal settlement upgrading affects women and men differently. A large range of informal settlements, households tend to be women headed due to different circumstances where women flee to live in slums due to situations such as to: escape domestic violence, discrimination within closed rural communities, or when husbands leave their families to find employment elsewhere.

Women are the heart of communities, because they are equipped with the skills to run a functional household (Melha and Rojas, 2008). The skills they have used to run households can be applied on a community-wide scale to run a savings scheme, for example, or manage a community construction projects. This allows indigenous knowledge to last over a longer period within the community, and empowers women and the community to rely on each other for the progress of any development that may occur, like in-situ upgrading. Indigenous knowledge can be defined as "local knowledge that is unique to a given culture or society. It is the basis for local-level decision making in agriculture, food preparation, education, natural-resource management, building and other activities within communities" (Warren, 1991). This knowledge is usually passed on to younger generation through storytelling, teachings and pictures. Knowledge that is only shared according to gender, has limited women's participatory skills in civic participation during political decision making within the communities.

A key aspect of informal settlement upgrading is community participation and the creation of self-reliant functional communities. Moreover, women have been gifted with the ability to

influence each other and a large group of people within any community, to be involved or to exclude themselves from a project. They are most frequently the ones who save money, look after the children, and care for the sick or elderly. With that said, involving women into a project will bring a larger number to participate in projects and enhance community participation.

The issue of women being part of the category of vulnerable groups in society, results to them being them looked over or be unseen in the community participation process. Cultural norms do not give equal gender opportunities, even in social upgrading development programmes (Melha and Rojas, 2008). In fact, women are usually marginalized in informal upgrading meetings in rural areas, or places where monarchy takes place and usually headed by “induna” (advisor/great leader). For example, the so-called “imbizo ” are usually attended and headed by males because women are not given the same status as a man. Thus, women are more vulnerable to poverty because they often have limited access to land control and assets outside of marriage or within family ties. These issues must be taken into consideration when planning or implementing an informal settlement upgrading programmes.

Self-Help

Another way in which community-led upgrading can be achieved is through self- help housing. Self-help in the housing environment became an important paradigm in housing delivery since the 1960s, mainly as a consequence of inadequate supply and government-driven housing, and has been with humankind for centuries (Pugh, 2001). Hence Self-help housing emerged as a solution for the poor to provide affordable shelter for themselves since government may not always meet the demand of housing. According to Ntema (2011), Self-help housing is described as a concept which involves practices in which low- income groups resolve their housing needs mainly through their own resource in terms of labour and finance. This approach allows full community leadership and participation, since government acts as a supporter and the community are the drivers of their own housing upgrade projects.

Incremental housing is defined as a step-by-step process of a fundamental urban development process; building housing communities and citizens (Goethert, 2010: 23). It is important to note that this concept is relevant in the self-help policy because it displays the notion that government participates in the process, which does not mean that it will speed

up the housing construction, and immediate the process, since decision making on the choice of structure of the dwelling still remains with the owner. The owner of the dwelling, within the community, controls how much the house will be extended, according to their housing needs, as well as their access to resources. Self-help housing is viewed as a process, which an idea that rises from Turners idea of viewing is housing as a 'verb'. He emphasized that housing should be regarded as a process because housing takes place over time, with due consideration of the income of the household, the life cycle of the inhabitants and the needs of those who occupy the house (Marais et al, 2008). Having no time limit to a project that is dependent on voluntary funds and sourcing funds from the state and the private sector is part is strenuous to government, consequently this is part of the main reasons of which self-help is a last resort and usually avoided informal settlements upgrade in the Durban metropolitan area.

South Africa's policy has demonstrated that the state role is moving towards a more universal approach, in terms of government being more open minded and involved in self- help housing, while the policies still continue to promote the concept of 'Laissez- faire self-help housing', and 'freedom to build', in situations where governments housing delivery does not meet peoples housing demands. This is referred to as dweller control since the dwellers are in full control of the construction process as supposed to having a contractor building a core house for the dweller, (Ntema, 2011).

In most cases the state principles tend to underscore the "progressive" nature of self-help, due to the fact that the state documents tend to be framed around certain paradigms that include "speeding up delivery, reducing backlog, and eradicating informal settlements (Tissington, 2010: 61). According to the originality of Turners ideas, government should assist owner builders and acts as a supporter in the process of self- help housing, where they only assist in giving the house owners the means that they cannot afford and access, like land plots, building materials, and basic services (Harris, 2003).

Self-help housing has also been associated with neo-liberal policies that have been implemented by the World Bank organisation (Ntema, 2011). This has made housing to be more market orientated and have made it into a market driven delivery system (WB, 1993). Entrenching self- help housing in South Africa's policy, has made managing it shift from a the laissez- faire effect to a more formalised system of housing that is guided by rules. This occurs

as a result of government shifting as much responsibility to the house dwellers in order to minimize costs that would be used on each housing plot, in order to assist in delivering housing for a larger scale of people.

A comprehensive definition for “community-led upgrading” in informal settlements

“Community- led upgrading” occurs when the community is given the power and control to drive development projects by making decisions on issues that will affect them. Community-led upgrading provides decent and affordable homes designed to assist all social groups stay in the area they know. According to the World Bank (2003), Community Driven Developments (CDD) frameworks link participation, community management of resources, good governance and decentralization, which is parallel to what community-led upgrading is about. Community led upgrading includes a bottom up approach, where people’s needs come first and are consulted about what they want before being implemented or Imposed on them by the state.

Community-led approaches means that community upgrading projects are *run by* local communities *for* local communities. These projects are built where local people decide and to standards which they specify. Furthermore, community-led approaches aim to increase community participation, sustainability, and connecting communities with the local government and private sector.

What is Community?

Communities are described by common characteristics but these can be geographical, physical (e.g. ethnicity) and cultural. Communities contain both groups and individuals and interestingly, communities tend to have lives well beyond those of the individuals or groups within them at any point in time. In Local Government, our communities often have artificial external boundaries but generally there are multiple internal boundaries or subsets as well (Stephenson, 2010).

Councils often have to think about those moving in and out of their community, as well as those who are fixed within. An artificial boundary does not mean a council is not required to interact with those outside that boundary. Communities have variously been described as things (or groups of things), as systems with interconnected parts acting as a whole, and as

processes. That is, a community can be a thing which exists apart from us, it can be something we are a part of and it can be something we do together (Plummer, 2013).

Councils need to consider the nature of community in order to effectively deliver services to their community. There is a wealth of information available to councils on community, community engagement and servicing the community (Stephenson, 2010).

During the fieldwork of phase one, the research team gathered information regarding the definition of “community” according to the informants. Please see the section “Case studies reports -Baseline case studies” for more detail.

Defining Participation

The definition of participation is widely disputed in the discourse of community development. Participation is the Voluntary contribution to public programmes but people do not play a role in shaping the programmes. Involvement in shaping, implementing and evaluating programmes and sharing the benefits. An active process where intended beneficiaries influence programme outcomes and gain personal growth (Oakley, 1989).

The social justice argument: all people, especially the poor and disadvantaged, have both the right and duty to be involved in decisions that affect their daily lives (Rifkin, 1990). Community participation is best seen on a continuum (sequential), because this emphasises the importance of the participation process, rather than just the outcome.

The World Bank’s reasons for community participation in informal settlement upgrading are:

1. Local people have a great amount of experience and insight into what works, what does not work and why.
2. Involving local people in planning projects can increase their commitment to the project.
3. Involving local people can help them to develop technical and managerial skills and thereby increase their opportunities for employment.
4. Involving local people helps to increase the resources available for the programme.
5. Involving local people is a way to bring about ‘social learning’ for both planners and beneficiaries. ‘Social learning’ means the development of partnerships between

professionals and local people, in which, each group learns from the other (World Bank, 1995).

Community Participation tends to enhance project effectiveness when the involvement to beneficiaries contributes to better project design and implementation and leads to a better match of project services with beneficiary needs and constraints. Therefore any project or development activity is then a means of empowering people so that they are able to initiate actions on their own and thus influence the processes and outcomes of development. Thus, beneficiaries may share in the management tasks of the project by taking on operational responsibility for a segment of it themselves. For example, beneficiaries may play an active role in monitoring. Developing beneficiary capacity could also contribute to the sustainability of a project beyond the payment period due to the enhanced level of beneficiary interest and competence in project management (Wenger et al, 2011).

COMMUNITY LEADERSHIP

Correspondingly to community participation, Community leadership also forms part of informal settlement upgrade. It highlights beneficiaries and the community as the main leader and driver of the project (Plummer, 2013). In some cases, there are people who act as representatives and become the voice for the community, within projects such as the *king (induna)* or councillors.

Community leadership provides advantage of having transparency, charisma, ability to organize, thoroughness, fairness, loyalty, dependability, ability to listen, respect for the people, and the ability to communicate amongst the people involved within the informal settlement upgrading project (Bartle, 2012).

The relationship between community participation and leadership is that, community empowerment is that the primary focus in order to create a stronger community. Community is more involved because the labour force comes from the community, therefore there is skills transfer and the project is build according to the needs and preferences of the community. There is an economic advantage since individuals who work on the project get sourced out from the community. If the project is community led, there is a higher percentage of community participation.

Community-Led Participation

Community led participation shifts the responsibility from the state to the people and allows communities to have the final verdict on their upgrading programme. In as much as community leadership is there to benefit the people, the process of *creating and owning* it by the community residents has many barriers in. According to Blakey (2008), these barriers include:

- **Personal Barriers**, such as having a lack of confidence and discomfort in raising issues in formal meetings with other community members, government officials, or anyone who is part of the professional team who is working on the project. The issue of transparent communication due to having to speak another language like English, instead of using one's home language i.e IsiZulu, can be shameful to people and make them not want to participate in community leadership.
 - **Practical Barriers** include having lack of information and understanding of significant decision making processes. The decision affects the direction in which the project will go as well as the outcome (final product) of the project.
 - **Socio-economic** barriers look at the large number of people who focus on looking for employment opportunities in order to support themselves and their families, instead of wanting to change the community. Socio- economic issues also look at gender as well as culture and ethnicity.
- I. *Gender roles* within rural and informal settlements are usually clearly demonstrated, because the ideal is that men and women have their own place in society and should stick to it. Women are usually prevented to be part of decision making and community led participation, on matters that will also affect them, due to dynamics that relate to gender and culture. "It has been documented and acknowledged that poverty is a key issue for women and that a much greater burden of community activity and responsibilities are placed on women" (Blakely and Evans, 2008). This should mean more participation is required and expected from females within informal communities, but instead they are side-lined. Family commitments and work have been acknowledged to take a more

important priority to women than community participation (Rai, 2008). Therefore, women in slum settlements have less time to be involved in civic participation than men do, as they have to offer caregiving and are food providers within their homes and to their neighbours in events and time when they are available to contribute in community leadership strategies they are already stereotyped as 'domestics with no knowledge in decision making'. The most disadvantaged group of women in informal settlements are the disabled group of women. Society sees them as misfits and tends to separate them from other people in the community. The environment in informal settlement is based on survival and those with disabilities tend to be regarded as 'useless' and not having the capacity or ability to make their own decisions, never the less, add input on decisions that affect the community at large (Edward, 2001). Usually the men in the community feel they know what the disabled groups as well as women's needs are and make decisions on their behalf. Community participation and leadership involvement has its own form of marginalisation, and can end up having bias decisions when only one specific group of gender makes all the decisions and excludes the other.

II. *Cultural Barriers*: cultural factors always tend to limit the involvement of women in community leadership. According to Rai (2008) Cultural stereotype was found to be in blocking and limiting women's participation in community leadership. For example, participation amongst black women who are Zulu or Xhosa usually seems to be at odds with traditional cultural norms, especially in peri-urban and rural areas, not only within the Durban metro but in South Africa as a whole. The way the patriarchal cultures have been designed and entitles decision making are a domain for me, and a women's place is the domestic side (Rai, 2008). Therefore, it is always a challenge and an obscure view for men to see women trying to involve themselves in community leadership.

- **Motivational Barriers**, where by previous disappointment and negative experiences in being involved in community participation and community leadership caused project failure due to division amongst the community residents. The projects that

have failed in the past also cause scepticism to whether improvement and change will occur if community led participation takes place, or if the desired outcome could be done through handing over the task to local government structures in eThekweni municipality, rather than carrying false hope about community led participation. When community led participation is not being given recognition or seen as important in the manner to which councillors or formal organisations are viewed.

These barriers that Blakey (2008), mentioned are similar issues which community leadership within informal settlement in the Durban Metropolitan deal with. In the case of Durban, in-situ upgrades with community participation have been seen to change the lives of slum dwellers. The successful outcome is placed upon how the process of upgrading is implemented, as well as the continuous community leadership amongst the residents after the upgrading programme is completed.

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International best practices

INFORMAL SETTLEMENT UPGRADING -BARRIERS AND DRIVERS FOR “ISU” – AN AFRICAN OVERVIEW (EGYPT, ZIMBABWE, KENYA AND NIGERIA)

INTRODUCTION

This chapter discusses barriers and drivers that affect informal settlement upgrade programmes in Africa. It gives an overview of the various intervention approaches and the intended outcomes. The paper is structured as follows: Background to informal settlements; settlers and squatters types of informal settlements; *mega* slums; *traditional* informal settlements, *semi-* informal; Upgrading approaches; relationships vs partnerships; governance, legislation; self-help, self-driven. It demonstrates, by means of examples from the African context, how a participatory inclusive partnership with all stakeholders is mandatory for successful upgrading of informal settlements. It also reveals how interventions have shifted from eradication to inclusive and participatory models.

Background

The UN Habitat (2015) records that in the world today one in eight people live in slums and over 80% of these are in developing countries. Slums form a major part of the urban landscape globally (Habitat III, 22- Informal Settlement, 2015) largely due to rapid urban migration, population growth in general (Menshaw, Aly, & Salman, 2011), escalating poverty and inadequate institutional capacities, which results in inadequate infrastructure and housing (Majale, 2008).

Slums are described as residential areas with no security of tenure, areas lacking basic services, and infrastructure, and residences that do not comply with planning or regulatory standards (Habitat III, 22- Informal Settlement, 2015). They are characterised by poor living conditions, over-crowding, unsanitary conditions, inadequate or completely absent basic services, insecure tenure and inadequate living space, poverty, poor accessibility and substandard structures.

In an attempt to distinguish between slum and informal settlements, Khalifa (2011) describes slum as inclusive of all informal settlements, shanty towns, decaying inner city tenements. However, it can be argued that slums are physical buildings in inner cities that gradually deteriorate into slummed conditions, due to overcrowding and overstretched physical structure, facilities and services particularly sanitation and waste management, without the necessary maintenance and management.

On the other hand, informal settlements may be described as those settlements that mushroom as spontaneous settlements on vacant land, within and around places of opportunities and may not necessarily be slummed but illegally occupying land, disrespectful of building-by-laws or of substandard construction methods (Khalifa M. A., 2015).

Origin of informal settlements

According to Menshawy *et al.* (2011) Informal settlements are products of failed policies, bad governance, corruption, inappropriate regulation, dysfunctional land markets, unresponsive financial systems and a fundamental lack of political will. Agbola and Henshaw (Agbola & Henshaw, 2011) asserts that, due to failed land delivery systems and commercialization of land, many African cities are losing residential land. Hudson (2016) further alludes to this and blames the loss of land for residential purposes on globalisation and privatisation. For this reason, many informal settlements are located illegally on vacant, marginalized land. It can be argued that the historical background of any informal settlement is important in considering the appropriate upgrade approach.

Others consider informal settlements to be dense settlements comprising of communities housed in self-constructed shelters under conditions of informal or traditional land tenure, link informality self-build structures on land tenures that are informal or traditional (Morakinyo , Ogunrayewa , Koleosho, & Adenubi , 2012) as in the case of Ajegunle in Lagos. Ajegunle also known as 'Jungle city' by the locals is reported to be the most populated multi ethnic slum in Lagos. It is not uncommon for slum settlements to develop in major cities or in close proximity to affluent areas as in the case of *Shimo La Tewa* settlement in Mililani, Kenya (Khalifa M. , 2011), Mbare, Hatcliff in Harare, Zimbabwe, (Muchadenyika, 2015), Zwelisha in Durban, South Africa (Patel, 2013), Makhaza and New Rest in Capetown, South Africa (Massey, 2014), Ezzbet Abd El Moniem Riad in Alexandria, Egypt (Menshawy, Aly, & Salman, 2011). The common factor is access to a livelihood, where by the poor access employment (often informal and temporary) or engage in commercial activities be it formal or informal, as is the case in Ajegunle in Lagos. These are important factors when considering upgrading programs.

Other conditions leading to the development of informal settlements can be linked to the illegal conversion of land use from the zoned use to residential. This was the case of the Ashwa'iyyat in Egypt, where various forms of land invasion was noted. Informal settlements are recorded to have gradually spilled over from residential plots onto adjoining land zoned for agriculture, ignoring building regulations (Khalifa M. , 2011). Khalifa notes other transgression from those who are unable to access regular plots and so illegally squat on state owned land or buy state owned land from brokers and build standard houses. Over time, informal structures are added onto the formal, in transgression of building regulations, slumming the area. Such is the case of a community of garbage collectors in Mansheiet Nasser informal settlement in Cairo, who were formally allocated land by the state in the 1960s but eventually the area developed into a slum.

The presence of vacant land with access to basic services such as water and electricity is a main precursor for the development of informal settlements. A peculiar case to illustrate this is the settling of the urban poor in grave chambers located underground but has services with electricity, water and sanitation facilities. While this service was provided for short day visits to the burial chamber, the poorest of the urban poor and those employed in the grave yard

settled in the area, bringing in families to live there. Over time the area has become deteriorated and can be considered a slum (Khalifa M. , 2011).

It is therefore important to consider the historical formation of the informal settlement as this varies and can give insight to the strengths and weaknesses of the settlement.

Whatever the definition or historic backgrounds, slums and informal settlements result in exposure to conflicts with authorities, diseases and hazards which makes these settlements a developmental concern to stakeholders, such as land owners, government, neighbours and NGOs, health care authorities, child protection services and other environmental and Human Rights 'watch dogs'. It also remains a concern to the informal settlement dwellers who live daily in inhumane conditions without basic services and infrastructure, and call for reactions which could be initiated by external forces to the settlement or community themselves. Apart from the concern of pending social, economic, environmental and health treats, informal settlements are generally considered a sore point of many fast growing cities especially in the developing world.

UPGRADING INTERVENTIONS

Informal settlement upgrade refers to *any sector-based intervention in the settlement that results in a quantifiable improvement in the quality of life of the residents affected*. (Abbott, 2002). Abbott argues that irrespective of the intervention origin, the results of the intervention are more important in determining the success of the intervention. The ideology behind an upgrading program may be motivated externally or community supported. He identifies the following three models: physical transformation, progressive improvement of infrastructure, and community micro-planning.

Huchzermeyer (1999) identified various types of intervention programs which could be an externally designed comprehensive upgrading or a support based intervention. The *Externally designed comprehensive upgrading intervention* are programs that seek to transform an illegal and sub-standard environment to acceptable standards in a relatively short period of time through a capital intensive intervention, driven by external agencies or by government.

Externally designed comprehensive upgrading

The Plano Global (Physical transformation) model can also be considered externally motivated. The main driver to upgrading is to ensure safe residential urban areas. For instance, the case of Mauritius can be considered as Plano Grand driven by external design for a comprehensive upgrade. At the Habitat III thematic meeting (2016) Prithivirajsing reports that Mauritius occupies an area of 2000sqkm, the province of Gauteng is nine times bigger than Mauritius. Population is 1.3 million, the highest density in Africa and 17th in the world. Mauritius has low urban habitation rate of about 45%. Services are relatively good. Electricity coverage is almost 100%. A clear urban and rural divide is not present, which means that the phenomenon of urban migration is not present. Extreme poverty is low (1%) but increase in relative poverty (about 10%).

No actual slums but rather *pockets of poverty or deprived regions*. These are areas where poor people who are landless settle and end up living on land that belongs to the state or private owners. These are usually marginal lands. It is state policy to try to legalise the situation of the settlers in-situ, otherwise they are relocated when not possible.

The question of *legalisation of the squatters* is vital, because without a proper lease document, they will not be able to apply for utilities such as water, sanitation, electricity etc. The government does not, however, encourage people to settle on land belonging to private owners. The state is the main driver for upgrading with major involvement of all spheres of government, including Infrastructure, Housing, Social Integration and Environment. A lot of ministries are in place with major legislative interventions to increase, and social housing is encouraged.

The legislative structures for intervention of the state include increasing the *Social housing* area from 30sqm to 50sqm and now provide a free public house with the possibility of scaling up. The government is not in favour of 100% subsidy, but starts from 25% from the beneficiaries also instead having mass housing for the poor the state tries to bring about social integration from the onset. There is also a social corporate responsibility where private companies have to contribute 2% of their profit towards housing the poor. Also started an initiative to get companies to adopt deprived regions toward the development of those regions, and encouraging the involvement of the communities towards poverty reduction and possibility of employment. A challenge is the scarcity of housing typology because of limited land surface, and so there is the need to have high rise buildings.

In the Egyptian context where informality relates largely to the *illegal deviation* from legislated land use, the holistic approach will be required to reconsider the land use patterns and the residential needs on ground.

On the other hand, the approach has shown weaknesses where the improvement of poor living conditions is not the primary concern but more attention is given to macro-economic needs of the state. This instance will see the relocation and unpleasant eviction of the poor with no alternative location. This upgrade method of evictions as was the practice in many African states did not consider the upgrade as meaning improvement of the living conditions of the poor. For example, the forced eviction of Mbare and Epworth informal settlements in Harare, Zimbabwe in 1991, which was carried out in preparation of the Commonwealth Heads of Governments Meeting (Auret , 1995). The continuous relocation of the community at the hands of holistic planning saw the urban poor being entangled with bigger governmental politics and dynamics (Muchadenyika, 2015). This process has since been replaced with a more inclusive approach, in which the Mayor recognises and give audience to organised groups of informal settlements (Muchadenyika, 2015). The next section will discuss this approach in details.

Community-driven interventions

The Support based interventions are community initiated with the help of NGO, also referred to as community micro-planning by Abbott (2002). There is a strong commitment to community driven development, despite the different methodological approaches that may be utilized. Through the community profiling and enumeration (also called social mapping) which is carried out by the community, assisted by NGOs such as the SDI, community is able to discuss and identify priority projects to the benefit of the community.

This approach is known to bring about better results, as more improvement is made on the quality of life of the informal settlement dwellers. An example is the case in the *Shimo La Tewa* informal settlement in Kenya. The settlement is located in close proximity to an affluent suburb where many from the informal settlement find employment. The two settlements are, however, separated by a small polluted river, which requires the poor to travel long distances to work. A Strategic Action Plan (SAP) identified the need to connect the informal settlement to the more affluent residential area by building a bridge. The initiative was an inclusive process at the planning, implementation and monitoring stages was led by the local authority and involved private sector business that provided materials and community members provided sweat equity and materials where possible. The initiative is reported to have been self-sustaining as other income generating interventions were implemented and managed by the community members (Majale, 2008). The bridge improved access to place of employment, thereby saving travel time to place of work, making residents more productive at work, and able to arrive home earlier, thus improving the quality of life.

While this initiative of connecting informal settlements to the more affluent settlements worked in this instance, it may not be replicable in other contexts especially where the NIMBY syndrome and socioeconomic segregation is at play as is the case in many upmarket South African residential areas. This is evidence with the increase in gated communities and related controlled access.

Experiences at the Freedom Square informal settlement in Namibia presented at the Habitat III Thematic meeting (April 2016), aligns with the community micro action plan. It demonstrated that informal settlement dwellers are able to organise themselves and participate in decision making processes. This was done under the umbrella of the Federation of the Urban Poor (FEDUP). Through a focus- group discussion or what is described as a *mass meeting* with all stake holders present (Beukes , 2015) the data was verified. Beukes (2015) notes that the activity of collective deliberation creates a sense of belonging amongst community members who eventually take ownership of the process and final product confirming Hamdi & Goethert (1996) argument, that the planning stage is the most crucial for community participation. The Freedom Square community got involved in the re-blocking with the planning students of the University of Namibia. Experiences at the Freedom Square informal settlement in Namibia presented at the UN HabitatIII Thematic meeting (April 2016), showed that while the communities are able to organise themselves, carry out profiling and enumeration, there is poor communication between the community and the local authorities.

This is attributed to the lack of platforms for communication and interaction. As such, the coordination of the upgrade process was hampered.

Huchzermeyer (2006) argues that the success of upgrade programs can only be attributed in having confidence in the abilities of the poor, by enabling them to address their housing needs. Community profiling and grassroots enumeration, in fact, have been successfully used to record individual housing units, their number and a cadastre of the residents and their status, (size, tenure condition, income, etc.) in order to help correctly determine and agree on the size and conditions of the population living in each single settlement.

Notes

Common barriers to upgrading programs in the African context are: poor governance together with a poor understanding of the informal settlement problem and, thus, poor conception of the interventions. Governance arrangements are crucial to the support based interventions. Muchadenyika (2015) notes that one of the major barriers in informal settlements upgrade is the relationship between citizens and governments whereby issues of legislation, politics, power and influence play a major role in how resources are distributed, and implemented. The New Urban Agenda Pretoria declaration (Habitat III, Habitat III Thematic meeting on informal settlements , 2016) calls for not just partnerships but **inclusive participatory partnerships**.

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INFORMAL SETTLEMENT UPGRADING – BARRIERS AND DRIVERS FOR THE ISULABANTU PROJECT – GLOBAL OVERVIEW (LATIN AMERICA AND ASIA)

Introduction

This chapter reviews international case studies relating to community-led upgrading of informal settlements, with a special focus on Latin American and Asian examples.

It looks in particular at factors that have enhanced self-reliance in informal settlements, as well as highlighting the drivers and barriers that have been found to affect in-situ participatory approaches to this model of settlement upgrading.

Background

Imparato and Ruster (2003) define participation as follows:

Participation is a process in which people, and especially disadvantaged people, influence resource allocation and the formulation and implementation of policies and programs, and are involved at different levels and degrees of intensity in the identification, timing, planning, design, implementation, evaluation and post-implementation stage of development projects.

They claim that research has shown that participation improves project performance and increases impact and sustainability, whilst any costs are outweighed by the benefits.

LATIN AMERICA CASE STUDIES

Different types of Upgrading interventions

Abbot (2002), in developing a typology of different methods of upgrading informal settlements, describes the shift in approach from demolition and replacement with social housing to greater autonomy and dweller control in the production of housing. As this strain of thinking emerged, governments and international providers of finance sought to move away from social housing to self-help through the provision of a site and accompanying services and in situ upgrading, which was claimed to avoid the major pitfalls of the eradication strategy – the high public cost of housing provision and the enormous social disruption. A

central component of slum upgrading is securing more favourable property rights (in whatever form, e.g. use rights, transfer rights etc.) (Jaitman, 2012).

In their empirical paper on the causal links between housing improvements and living conditions in three Latin American countries, Galiani et al. (2013) examine the implications of informal dwellings upgraded by TECHO. This NGO provides prefabricated housing for the poorest parts of the population of informal settlements, a targeted approach to upgrading that uses a lottery system to select beneficiaries.

As the second most urbanised region in the world, and with a significant vulnerability to natural disasters, particularly in areas of Central America, improving standards of living in Latin America represents a major challenge to governments in the region. As countries moved away from demolition and site-and-services provision – which were often left incomplete and left families worse off in the long run – the notion of in situ upgrading, i.e. not requiring the removal and/or relocation of households, gained support. In situ projects can be wide ranging, from simply dealing with land tenure to the provision of services associated with formal settlements.

Institutional support for community participation in slum upgrading is critical. For example, Pimentel Walker (2016) records that the southern Brazilian city of Porto Alegre experienced the same pattern described above, in which focus shifts from eradication to self-help housing. The town followed this national and international trend until the mid-to-late 2000s. In 2001, Brazil's Federal City Statute made participatory master plans mandatory for municipalities with over 20,000 inhabitants, and the 'participatory budget' approach introduced an element of direct democracy that ensured significantly greater involvement of local people in housing decisions.

Linked to this notion of an institutional underpinning that lends credibility to an approach, Abbott (2001) identifies a method known as *plano global*, first trialled in Belo Horizonte in Brazil. *Plano global* uses GIS technology to capture data and use social and economic data, linking them with physical layout to develop an array of possible types of intervention. This was made possible by the Pro Favela law of 1993, which grants legal status to informal settlements and designates them as 'zones of special interest' – taking them out of the planning system and granting more freedom to the planning process used, thereby allowing more targeted upgrading. However, the human and financial resources required may be prohibitive.

The city of Belo Horizonte in Brazil was the pioneer of using GIS as a planning tool for upgrading informal settlements. In 1983, the city of Belo Horizonte Pro-favela (informal settlement) Law was passed resulting in a new dimension of upgrading of the favelas (Habitat, 2010). The Voluntary Association for International Service (AVSI) was invited to provide technical support to the upgrading program. AVSI realized the structure of favelas was similar to Italian historical town, thus established links with the Italian University of Bologna, which

had developed GIS applications in the upgrading of historical centers in Italy (Abbott, 2003). Furthermore, the use of GIS for favela upgrading at the University of Bologna concurred with 'the development of the ViSP (Visual Settlement Planning) approach by UNCHS (Habitat)' (Abbott & Douglas, 2001) cited in (Abbott, 2003). At the same time Habitat was developing a methodology for low resolution data captured through the use of aerial photographs. In 1991, the University of Bologna mosaicked the ViSP and GIS technology. These attempts lead to sound decision making, and planning. The Belo Horizonte experience proved to be a success, since they achieved upgrading informal settlements in-situ through creating a master plan on a large scale. Evidently, success of the Belo Horizonte experience is highlighted by being adopted in other cities in Brazil and Latin America (Abbott, 2003). This study is important because it sets precedents for GIS technology to be used in the spectrum of informal settlements. It paves the way in which GIS can be innovatively used in in-situ upgrading programs of informal settlements.

Imparato and Ruster (2003) present the results of a study on participatory strategies in slum upgrading, using five case studies to provide a practical, hands-on guide for officials and policymakers, among others. The study outlines the importance of participation, the various ways in which groups can be included and the steps involved. The types of action, participatory strategies and resettlement strategies are briefly outlined here.

1. Ley de Participación Popular, Bolivia

- Type of action: Slum upgrading; social investment (schools, clinics, community centres); rural infrastructure;
- Participatory strategies: Participatory budgeting; community control of local government spending;
- Resettlement strategies: Very little impact on housing or resettlement; need for resettlement is limited, for reasons similar to the Mexican case.

2. Guarapiranga Program, São Paulo, Brazil

- Type of action: Slum upgrading; environmental sanitation on a river basin-wide scale;
- Participatory strategies: Information; consultation; negotiation; organized community pressure on policymaking;
- Resettlement strategies: Very elaborate strategy, including temporary lodgings, building of new units within the settlement and housing schemes outside the settlement.

3. Programa Habitat Popular Urbano, FUPROVI, Costa Rica

- Type of action: Low-income housing; urban upgrading;
- Participatory strategies: Participatory planning; community management;

- Resettlement strategies: Not applicable (FUPROVI helps associations build new housing);
4. Programas de Obra Social Comunitária, Tijuana, Mexico;
- Type of action: Slum upgrading;
 - Participatory strategies: Participatory budgeting; community management;
 - Resettlement strategies: Very little need for resettlement since the colonias populares are planned informal subdivisions with a regular grid pattern and access to all plots;
 - Comunidad Urbana Autogestionaria de Villa El Salvador, Lima, Peru;
 - Type of action: Slum upgrading; social investment (schools, clinics, community centers);
 - Participatory strategies: Participatory planning; organized community pressure on policymaking; community control of local government;
 - Resettlement strategies: Villa El Salvador was a major initiative to provide a resettlement alternative for families occupying other areas; planned as, and became, a city.

A notable observation is that informal settlements often comprise sub-standard housing located on sites vulnerable to natural disaster, a threat which can restrict their developmental potential – physically, socially and from an infrastructure perspective (van der Spek, 2014).

A participatory approach used in Villa 31 in Buenos Aires is described in detail by Perton (2011). After decades of, at best, neglect and, at worst, open hostility from the authorities, the Buenos Aires government sanctioned a rehabilitation programme that complemented the existing built environment through the addition of new structures and the renovation of safely-constructed existing ones. Delegates were meant to be elected by residents every three years, although in this instance, elections had not taken place for seven years – indicating that the legitimacy of participatory approaches can be eroded if political institutions intended to support them are allowed wane. The process of reinvigorating political organisation appears to have been resource-intensive – as is often the case with bottom-up representation – with relationships needing to be established and dialogues initiated and maintained with the many subdivided districts of Villa 31. Important partners also included churches, libraries and school, as well as external groups, such as volunteers, lawyers, universities and social workers. It is suggested that the planners' university (as opposed to political) backgrounds worked strongly in their favour after years of broken promises had undermined trust in political parties amongst Villa 31 residents. In addition, the local population had knowledge of the locations of pieces of physical infrastructure that the city simply had not been recording.

The “Social Urbanism” model of Medellin (Colombia)

According to Guirk (2014), in the 1990's, the second largest city of Colombia, Medellin, was the most dangerous city in the world. That was due to many factors, mainly the sprawling of huge informal and poor neighbourhood, which used to be one of the main politicians' concern but also source of continuous researches and studies for professionals. Hence, in the recent decades, Medellin's government and civil society took the challenge to address these problems and transform the city from the image of violence and poverty to the city of innovation. Calderon (2012) acclaimed the enthusiasm of politicians led by the city's mayor to make the change and tackle the issue of informal settlement. However, Guirk (2014) appraised through an interview with some academics and members of the Medellin's civil society that in mid-1990 there has been a great will from Medellin's communities to initiate an intensive social reform program.

Therefore, an integrated collaborative approach was applied to improve the socio-economic aspect of the most underprivileged neighbourhood through architectural and urban innovations and which was nurtured by a new development scheme focusing on the right of the poor to the city and public spaces. The “Social Urbanism” strategy was the pro-poor integrated plan known by its strong social objectives, and which was driving Medellin's urban reform. Moreover, this urban reform focused on the cultural, educational infrastructure to empower communities and future generations through building new public libraries, new schools, parks and sport recreational facilities. Furthermore, Calderon praised the 3-year (2004-2007) development plan in Medellin and called it as a model for all urban projects aiming to upgrade the deprived neighbourhoods. Since then collaboration, integration and participation are the key elements for Social Urbanism's strategic implementation process. Hence, Medellin's institutions conceived the “Urban Integrated Plan (Proyecto Urbano Integral)”–PUI model, for more effective and faster urban interventions. In fact, the PUI model included the physical aspect of the area by providing:

- Services;
- Different amenities;
- Public spaces.

The Integrated Plan is focused on social inclusion and community participation in different stages of the project also developing a strategic institutional infrastructure to ensure coordination between different stakeholders and the collaborative process throughout the project.

The fascinating urban transformation of Medellin represents a lesson and model for other cities. Guirk mentioned that the transformation happened and the accomplishment of Fajardo administration was due to his emphasis on educational and cultural public space. In addition, he acclaimed Medellin as a model and referred to the multidisciplinary participatory

process between politicians, communities, urbanists, architects etc. that led to the significant change over and done with development of public spaces for the empowered communities.

The Favela-Bairro Program in Rio de Janeiro (Brazil)

The Favela- Bairro in Rio de Janeiro, one of the biggest slums in the steep hill of the city, located in the vulnerable and illegal lands. These dense isolated informal settlements have been suffering from severe poverty, lacking basic services and exposed to diseases, crimes and drugs (E. Riley et al., 2001). Therefore, many attempts to resolve the issue of urban poverty and tackle the housing crisis within the shantytown of Rio de Janeiro have taken place. In 1995, the Municipal government launched the Urbanisation of Popular Settlement of Rio de Janeiro Program (PROAP). The PROAP was initiated as a self-help process where the municipality used to bring sanitation to favelas and redefine the streets and then hire local labour to do the work (as part of community participation) and starting the favelas' dwellers empowerment.

Barakaz and Aduan (2004) indicated that this program, also known as the City wide slum upgrading program Favela-Bairro can be considered as “the best – known urban upgrading program in Latin America” since it is an operational program for participatory slum upgrade with a significant amount the community contribution from informative role to decision making from inception to completion. However, Riley et al. (2001) considered that community participation in the favela- Bairro was not sufficient and favelas dwellers were not included in strategic decision making process. In fact, besides the fact that the programme was designed, managed and applied by local municipalities to address local urban challenges, actually, it was an international agent (the Inter- American Development Bank –IDB) to fund it.

Moreover, local governors made big efforts to keep the program focused on the poverty alleviation in favelas, and the most vulnerable (women and children) were prioritized in this process. Meanwhile, addressing local urban challenges steered favela Bairro programme and they implemented an integrated strategy for a significant achievement. To elaborate, the City wide slum upgrading program Favela-Bairro program was a multi-sectorial approach aimed at addressing different facet of slum upgrading from providing water, sanitation, and other services such as refining streets with paving address etc. also regularisation of land occupancy. Moreover, a special attention was given to the erection of public buildings with “quality architecture” within the favelas and creating active nodes as part of the social integration process, connecting favelas to the city and inequality reduction. Furthermore, this toolkit for urban renewal included skills development, economic empowerment and creation of many institutional devices for social and civic engagement such as social and urban advice centres, Municipal Employment Department etc. (E.Riley et al 2001).

Barakaz and Aduan referred to City wide slum upgrading program Favela-Bairro as the Life - Cycle Approach also they acclaimed the social aspect of the programme since it focused on the notion of family and the family and underprivileged community members for instance disable people homeless and a nutritional program (Bolsa Alimentacao) was also organized.

However, E.Riley et al. argued that besides the big focus on the physical aspect of favelas, the social part had fallen behind since the national and international praise was more to the physical environment upgrade of favelas. Yet, the social development can only be reached by promoting education skills development and emphasising job creation.

ASIAN CASE STUDIES

Whilst Pom Mahakan, in Bangkok (Thailand), is not a typical informal settlement, its residents were threatened with forced eviction and relocation to a site 45km away (du Plessis, 2005). They responded using well-known methods: petition-writing, protesting, erecting barricades. In addition to this, however, they proposed an innovative land-sharing solution that would incorporate features of the existing built environment into the plans for a public park that had been drawn up by the municipality and used to justify the evictions. In this instance, the local community appears to have in preventing top-down decisions foisted upon them, and the case highlights the importance of having open-minded authorities that are prepared to listen, engage and respond to novel proposals.

The value of local knowledge – the location of settlements, land use, layouts, sizes and infrastructure – highlighted by Perton (2011), is underlined by the experiences of slum dwellers in Mumbai, which it is claimed differ somewhat from cases discussed above. Mukhija (2001) argues that under certain ‘extreme’ circumstances residents may actually prefer wholesale redevelopment of sites, although motivated by the desire for the enhanced value of assets rather than improved housing conditions. Under conditions where, for example, settlements are irregularly laid out or where the density of housing prevents infrastructure installation, the balance of opinion among residents may swing in favour of redevelopment. Furthermore, Mukhija (2002) claims that some slum dwellers will prefer site redevelopment and relocation into multi-storey buildings on the grounds that that way they can escape street-level noise and bustle. Mukhija (2001) concludes that specific upgrading programmes should be dependent on the needs and wishes of the community, the physical conditions within settlements, and should also put to use a more differentiated set of policy options.

One example of so-called ‘government-initiated support-based mechanisms’ (to distinguish from those initiated by NGOs) is Sri Lanka’s Million Houses programme, which aimed to regularise land title for informal housing. Abbot (2001) criticises it as being based on a ‘western capitalist model of individual ownership of land’, which has at its core a principle (land regularisation) rather than a theme and therefore should not drive the upgrade process.

Community Architects network (CAN)

The Community Architects network, was established in 2010. The network has been supporting community-driven projects under the Asian Coalition for Community Action programme (ACCA) regarding people housing, city-wide upgrading, and recovery from disasters (CAN, 2012). The network believes that the role of community architects is to build the capacity of people, through involving design and planning process to assist in the process of empowering people. Similarly to the Asian coalition of housing rights (ACHR), the community Architects network aims to keep the neighbourhood approach by encouraging communities to co-live with each other, and indicates this within their housing designs. ACHR community further confirms this when it looks at how the Asian community is moving from a co-living community to a 'public housing' and 'real-estate housing' which focus greatly on the physical and technical dimensions of the housing development whereby people are isolated from each other (Boonyabancha, 2010). CAN aims to teach people to think differently and positively, in order to find their own solutions to transform their communities. This is done through different meetings and providing poor Asian communities with workshops that deal with finding solutions to the specific issues that, that particular community has.

There are two roles that the community architect can play. The first is to help the people absorb, visualize and appreciate the change that is going to take place. The architect can help soften the transition from "what is" to "what it could become". The second role is to provide space for people to discuss and decide for themselves and let them resolve issues and manage potential conflicts that might or result in the community housing projects that seek to upgrade the informal/slum settlements.

Community-led participation in Indonesia

In the 1970s, Indonesia saw the rise of the informal settlement upgrade through the Kampung Improvement Programme (KIP) model, implemented by the government of Jakarta as a model for other Asia countries such Thailand, Malaysia etc. This approach was based on the implementation of a new model that shifted from the eviction and relocation of communities, and instead proposed the community-driven upgrade, commonly referred to as community-led informal settlement upgrade in other parts of the world, such as Africa. The KIP in Jakarta was adopted as an affordable and effective way to improve the life of urban poor families through basic infrastructure development. The physical projects include construction of pathways, drainage, bridges, and community buildings. Through the fully stratified governance structure in Indonesia, the KIP was able to reach around 3 million people or 60% of the city's population, although participation remained limited to information and consultation. Nonetheless, this model saw a new era of slum upgrade being ushered in, along with the nurturing of community of architects. Over the years, this model was used by most of the Asian countries and was on constant appraisal up until the late 1970s where a new phase was to be introduced to upgrading slums and informal communities (CAN, 2010).

Community-led participation in India

In the case study of India, the CAN was launched in 2009, bringing change within the community and also made it realising that community and professional need each other, especially in the field of housing. It further taught the people that they need to share information in order to learn from each other, to improve their livelihoods. Community Architects Network ran workshops regionally in India focused on the idea that local people, including community artisans and community builders, are 'the architects' by practice (CAN, 2012). Different strategies to improve the design on houses were shared as well as women empowerment strategies, between the people and CAN professionals. For example, after the network visited Ahmedabad, they taught the community the importance of community leadership and in return had the opportunity to learn from SEWA (Self Employed Women's Association), which has financially supported poor women and their families in India to improve their quality of life (CAN, 2012). The SEWA Bank sought to implement a collective saving mechanism to empower women workers in India that has been used in many countries. The community network joined up with SEWA, in order to impact other Asian community, in terms of empowering women. In addition, sharing skills on creating a business, marketing and selling products allowed women to empower themselves within the reserved Indian community.

Asian coalition of housing rights (ACHR)

ACHR was started in 1987, and was swayed by seeing a large number of people in Korea being evicted out of their settlement, in order for the city to prepare for the Olympics (ACHR, 2010). This association is made up of different organisations, and individuals from the Asian countries. It is meant to share information on how Asian countries can assist one another, to formulate solution on how to reduce the number with dealing with challenges faced by slum settlement dwellers, in attaining resources and finding new inventions to improve development in Asian countries (ACHR, 2010). In addition, ACHR seeks to obtain fairness and justice for the people (i.e. slum settlement dwellers). Different members, from different Asian countries, used the experience they had with cultural, economic and cultural issues, to uplift one another. In fact, having a co-existing community is a common norm in the Asian culture, in order to bridge the knowledge and experience gap amongst practitioners.

India: city of Bhuj

The strike of a natural disaster (i.e earthquake) that occurred in India in 2001 caused a significant change in India. Although the city has revamped itself, the effects of the earthquake left thousands of people homeless, who then turned into living on slum settlements as a solution for survival. The city of Bhuj, is described to have 74 slum communities (with about 12,000 households), which are grouped together in seven major clusters around the city, and surround organized around religious and caste groups, with each caste having its own slums (ACHR, 2010). Issues of land reform, have been upon these communities because they are still recognised as squatter settlements even though, the

previous monarch recognised the residents and handed them land in return for the service to the city. With the new housing strategy to obtain subsidies, the residents of Bhuj settlements sought to use that as a method to negotiate land tenure, in order for residents to be able to own their personal plots of land.

In other Indian communities, such as the region of Kutch, the community built their own traditional round houses, called the “bhunga” (World Urban Forum Nanjing, 2008). They are built from mud (adobe) walls, with cone-shaped roofs made of timber, bamboo and thatch. The ‘bhungas’ are able to resist the horizontal forces, much better than rectangular houses during an earthquake. Henceforth, the houses that the community built after the earthquake are also round, and built much stronger, with extra steel reinforcing, so that cyclones and earthquakes will not affect them very much when they happen again in Kutch.

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A decorative vertical strip of colorful, patterned fabric, likely a traditional South African textile, runs down the left side of the page. It features various geometric and floral patterns in shades of blue, red, yellow, green, and black.

ISUlabaNtu Project

Policy Analysis Legislative and Policy Frameworks for Housing in South Africa

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HOUSING LEGISLATIVE AND POLICY FRAMEWORKS IN SOUTH AFRICA

Introduction

South Africa is a party to the **UN-Millennium Development Goals** (MDGs) which provides under Goal 7 (Target 11) to ensure the significant improvement of living conditions for slum dwellers by the year 2020. Interestingly, this Millennium Development Goal is to be achieved *“by scaling up participatory slum upgrading and poverty reduction programmes”* (UN-Habitat, 2003), so that participation becomes one of . The country also holds some important declarations under the UN-Habitat Programme, including: The Vancouver Declaration on Human Settlements (1976), the Istanbul Declaration on Human, and Other Settlements (1996), as well as the Habitat Agenda (1996). The overarching aim of those declarations is to alleviate the issue of access to adequate housing (National Housing Code Part 3, 2009, 9). In fact, *adequate and affordable shelter for all* is one of the biggest challenges for all the Governments across the world.



At the national level, the provision of adequate housing is present in several pieces of legislations, starting from the Constitution of South Africa. Political will and strong National housing policy are critical to the achievement of improved housing conditions for the urban poor (UN-Habitat, 2013). Nevertheless, the reality is that pro-poor housing in many countries in the global South continues to be dominated by evictions and relocations (Huchzermeyer, 2011). Within the discourse on Slum-free urban areas, different approaches range from considering slum dwellers as undesirable to "innovative makers and shapers of urban space".

A crucial moment for the South African Housing Policy was the Judicial challenge (in 2000) known as the Grootboom ruling¹ that stated that the government housing programme was not meeting the needs of people evicted from land they had invaded (as protected in the Bill of Rights). That ruling had a significant impact on the housing policy that was updated in 2004 and proposed a new attention to in-situ upgrading. The Grootboom judgement is still considered one of the most important judgement. The housing policy was in fact reviewed in light of its shortcomings. Nevertheless, evictions continued to take place across the country reflecting that shifts in policy do not always result in a change in state interventions. (Huchzermeyer, 2004). In fact, the Practice does not always follow policy.

The main approaches to housing policy emerged in the Global South to face the informal settlements challenge, can be summarised as follows:

- Policies of self-help;
- Policies of demolition and eviction;

¹ The starting point was the State's policy response to Grootboom. In 2004, it adopted Chapter 12 of the National Housing Code, which was meant to provide for Housing Assistance in Emergency Circumstances. The Emergency Housing Policy, as it has become known, was adopted in terms of section 3 (4) (g) of the Housing Act 107 of 1997. It provided for municipalities to apply for funding from provincial governments to implement emergency housing programmes. The policy applies to a broad range of emergency housing situations, but applies specifically to persons who “are evicted or threatened with imminent eviction from land or from unsafe buildings, or [who live in] situations where proactive steps ought to be taken to forestall such consequences”.

- Policies of in-situ upgrading;
- Policies of relocation and resettlement;
- Policies of integrated Human settlements.

All those approaches are characterised by different levels of *state intervention* and *community participation* and *spatial disruption* (very high for policies of relocation and demolition/eviction) (Sutherland et al., 2016).

SELF-HELP APPROACHES

Self-help approaches have been implemented for centuries, including collective house-building (through cooperatives) and individual building houses on occupied land. Co-operative house building has been important in many countries (e.g. In Brazil). For example, the concept of *Mutirao* (repeated voluntary and cooperative work) is linked to urban upgrading in favelas.

Policies of self-help housing are largely attributed to John Turner thinking (neo-liberal policies promoted by the World Bank) and can be defined as bottom-up, collective approaches where informal dwellers have the control of the housing process. Turner claims the "Freedom to build", since informal dwellers have local knowledge about their contexts and potential solutions. Local Knowledge is in many cases more valuable than technocratic and professional knowledge (Turner and Fichter, 1972). Turner based his work on his experiences in Peru. In Lima, for example, self-help approaches have been adopted since 1950s: local government allocated land to be invaded by organized poor families so that they can self-urbanise and construct their own houses. Lima pro-poor housing policies were participatory, supported by a national government that promoted incremental home-building. In South Africa, this approach is called People's Housing Process –PHP- (community-driven initiatives).

POLICIES OF DEMOLITION AND EVICTION

Policies that supported the demolition of slums were prevalent in Brazil and South Africa during the 1960s and 1970s. This led to the destruction of favelas until the 1980s, when Rio shifted its approach towards a political recognition and upgrading of favelas.

The notion of "RIGHT TO THE CITY" has been included in multi-level institutional framework developed for urban reform in Brazil. In SA, under apartheid, the national Government engaged in the demolition of informal settlements with several forced removals and evictions. In the Post-1994, many changes in the Constitution provided greater protection to informal dwellers, so that everyone has the right of access to *adequate housing*. The White Paper on Housing (1994) led to the PIE Act (Prevention of Illegal Evictions from and Unlawful Occupation of Land, 1998), where the eviction of an unlawful occupier is illegal, unless is authorized by the court. Informal settlements eradication was legitimized both as a way of addressing the goal of poverty eradication and reducing the housing backlog.

Provincial Elimination and Prevention of Re-emergence of Slums Act passed at provincial government level in KZN in 2007 and taken up by the national government. This act, allows the court orders to legitimize the demolition of shacks: for example, in Durban the Land

Invasion Unit removes new shacks to limit the number of informal settlements. As a consequence of the large scale slum demolition, the number of homeless increased quite significantly.

POLICIES FOR IN-SITU UPGRADING

This shift has been driven by the recognition that governments are not able to deal with growing housing demand through provision of formal housing. In-situ is because has been demonstrated that the location of housing for urban poor impacts significantly on poverty and inequality. In fact, the relocation of the urban poor away from their established locations (usually to peripheral areas), increases their vulnerability. In situ upgrading ranges from minimal improvement, with only basic services provided, to a substantial upgrading of services, facilities and housing.

The ANC government (in the post-apartheid era) adopted a housing policy of large-scale delivery of state-subsidized formal housing. Then, in 2004, there was a big shift with the BNG policies that proposed a more holistic approach to housing including in situ upgrading, more flexible planning and increased community participation. However, in-situ upgrading received very little support. In 2010, President Zuma announced that 400.000 informal settlements units would have been upgraded as a new housing target.

Depending on the suitability of the land, informal settlement upgrading can be implemented differently: in situ upgrading if the land is suitable and interim services Programme (ablution blocks with toilets, water points in containers). Usually, in this case, the shacks are demolished and Informal dwellers are relocated to transit camps and then moved back to the formal houses when those are ready. Sometimes, if the transit camps are not sufficient to temporary host the residents, the shacks are kept until the formal houses are ready. The current tendency is to favour upgrading over resettlement on new sites, to reduce the social issues related to the relocation (e.g. job opportunities, transport, etc.).

POLICIES OF RELOCATION AND RESETTLEMENT

For example: triggered by mega-projects development. A site and services approach to housing was adopted by the apartheid government in the late 1980s. The urban poor were provided with a plot of land, a platform upon which to self-build a house and basic services (tap point, sanitation, electricity).

In South Africa the main **Housing legislative and policy frameworks** can be defined as follows:

HOUSING LEGISLATIVE & POLICY FRAMEWORKS	
LEGISLATIVE FRAMEWORKS	POLICY FRAMEWORKS
Housing Act 107 of 1997 (amended by Acts 28 and 60 of 1999; Act 4 of 2001) (Housing Act)	White Paper on Housing: A New Housing Policy and Strategy for South Africa (1994)
Prevention of Illegal Eviction from and Unlawful Occupation of Land Act 19 of 1998 (PIE Act)	Reconstruction and Development Programme (RDP) (1994): a policy framework by ANC

Rental Housing Act 50 of 1999 (amended by Act 43 of 2007) (Rental Housing Act)	People's Housing Process (1998) (PHP)
National Norms and Standards for the Construction of Stand Alone Residential Dwellings Financed through National Housing Programmes (April 2007) (National Norms and Standards)	Breaking New Ground (BNG): A Comprehensive Plan for the Development of Sustainable Human Settlements (September 2004).
Social Housing Act 16 of 2008 (Social Housing Act)	UISP Upgrading Informal Settlements Programme (2004)
National Housing Code (2000, revised in 2009)	Social Housing Policy for South Africa (June 2005) (Social Housing Policy)
	Framework for an Inclusionary Housing Policy (IHP) in South Africa (2007) (Inclusionary Housing Policy)
	Enhanced People Housing Process (EPHP) 2008 as a revision of the PHP.

National Legislative Framework

The **1996 Constitution of South Africa** contains clear provisions under Article 26, which guarantees the right of the individual to adequate housing. In fact, it states that “everyone has the right to adequate housing” and the State has to “*take reasonable legislative and other measures, within its available resources to achieve the progressive realisation of this right.*” It also further specifies that “*no one may be evicted from their home, or have their home demolished, without an order of court made after considering all the relevant circumstances. No legislation may permit arbitrary evictions.*” In effect, the Article 26 of the Constitution provides the primary legislative framework from which all national programmes and policies on *adequate housing*, including slum upgrading, derive their support and legitimacy in South Africa.

Adequate Housing

The Constitution (section 26(1)) states that everyone has the right to have access to adequate housing. Nevertheless, the definition of “*adequate housing*” is quite complex, since depends on the specific context and circumstances of households and individuals, together with their needs and priorities. Access to housing is also connected with access to other socio-economic goods and facilities including access to land, water, sanitation, electricity, livelihoods, transport, clinics and hospitals, schools, universities and other cultural and recreational amenities such as parks, libraries, public spaces, etc. Moreover, achieving the right to housing is intrinsically bound up with a number of other cross-cutting rights, including rights to public participation, equality, human dignity, just administrative action, freedom of expression, access to information and access to justice etc.

The General Comment 4 on Article 11(1) of the UN International Covenant on Economic, Social and Cultural Rights (ICESCR) define the main indicators for *adequate housing* as follows:

- legal security of tenure;
- availability of services, materials, facilities and infrastructure; ☞ affordability;
- habitability;
- accessibility;
- location;
- cultural adequacy.

However, South Africa is characterised by significant spatial inequalities and also several different housing typologies such as: high-density residential (e.g. inner city flats, erected shacks in abandoned inner city buildings; private rental housing; social housing), shacks in informal settlements on both publicly- and privately-owned land, subsidised RDP houses in urban townships, backyard shacks adjacent to formal housing, rural housing dwellings etc. Thus, it becomes very difficult to give a comprehensive definition of adequate housing in the South African context.

The Housing Act (1997)

The Housing Act is a fundamental piece of housing legislation in South Africa, because it legally reinforces policy principles outlined in the 1994 White Paper on Housing. The Act aims at a sustainable housing development process, defining general principles and rules for housing development at the national, provincial and local governments whereas laying the foundation for financing national housing programmes.

In section 2(1) the Act states that government at all levels (national, provincial, local) must give priority to the needs of the poor in respect of housing development, consulting with individuals and communities affected by housing development. The housing development has to ensure:

- a wide choice of housing and tenure options;
- affordable and sustainable options;
- being based on integrated development planning;
- being administered in a transparent, accountable and equitable manner;
- the practice of good governance.

Moreover, in section 2(1)(e) the Act states that all spheres of government must promote inter alia the following: a process of racial, social, economic and physical integration in urban and rural areas; measures to prohibit unfair discrimination on the ground of gender and other forms of unfair discrimination by all actors in the housing development process; higher density in respect of housing development to ensure the economical utilisation of land and services; the meeting of special housing needs including the needs of the disabled; the

provision of community and recreational facilities in residential areas; the housing needs of marginalised women and other groups disadvantaged by unfair discrimination.

The Housing Act, and later the National Housing Code (promulgated in 2000 and modified in 2009), sets out the *roles and responsibilities* of the three tiers of government in respect to housing. The main functions are in fact:

1. National government: must establish and facilitate a sustainable national housing development process by formulating housing policy. It must also monitor implementation through the promulgation of the National Housing Code and the establishment and maintenance of a national housing data bank and information system.
2. Provincial government: must act within the framework of national housing policy and create an enabling environment by doing everything in its power to promote and facilitate the provision of adequate housing in its province, including the allocation of housing subsidies to municipalities.
3. Local government (i.e. municipalities): must take all reasonable and necessary steps within the framework of national and provincial housing legislation and policy to ensure that the constitutional right to housing is realised. It should do this by actively pursuing the development of housing, by addressing issues of land, services and infrastructure provision, and by creating an enabling environment for housing development in its area of jurisdiction.

The Prevention of Illegal Eviction (PIE) Act (1998)

The PIE Act is an important piece of national legislation enacted to give effect to section 26(3) of the Constitution. The PIE Act provides safeguards against the eviction of unlawful occupiers living on both privately- and publicly- owned land. The PIE Act is applicable to everyone who occupies land or property without the express or tacit consent of the owner or the person in charge of the land or property. This includes those who occupied land lawfully at some point in the past but who no longer have the consent of the owner to occupy the land in question, as well as to those who took occupation of land unlawfully in the first place. In December 2006, the NDoH published the *Prevention of Illegal Eviction from and Unlawful Occupation of Land Amendment Bill, 2006 (PIE Amendment Bill)* along with a memorandum stating that it was not the intention that the PIE Act “should apply to tenants and mortgagors who default in terms of their prior agreements with landlords and financial institutions, respectively”.

The Rental Housing Act (1999)

The Rental Housing Act is a piece of national legislation that regulates the relationship between landlords and tenants in all types of rental housing. Section 2(1)(a)(i) of the Act stipulates that it is the government’s responsibility to “*promote a stable and growing market that progressively meets the latent demand for affordable rental housing among persons historically disadvantaged by unfair discrimination and poor persons, by the introduction of*

incentives, mechanisms and other measures that improve conditions in the rental housing market.”

The National Norms and Standards (2007)

In 1999, the *National Norms and Standards for the Construction of Stand Alone Residential Dwellings* were introduced by the Minister of Housing within the Housing Act. These provided minimum technical specifications (standards) including environmentally efficient design measures. Eight years later, in 2007, these standards were revised in the *National Norms and Standards* which are contained in the National Housing Code (2009). All standalone houses constructed through application of the National Housing Programmes must, at least, comply with these norms and standards. As stipulated, each house must have:

- minimum gross floor area of 40m²;
- two bedrooms;
- separate bathroom with a toilet, a shower and hand basin;
- combined living area and kitchen with wash basin;
- ready board electrical installation, if electricity is available in the project area.

While the subsidies provided under the national housing programmes are not meant to be used for bulk and connector services, internal reticulation services (e.g. water pipes inside a house) may be funded as a last resort through the provincial housing allocation. In general, all residential properties created through the national housing programme must comply with the following levels of services, as per the National Norms and Standards:

- Water - single standpipe per stand (metered);
- Sanitation - Ventilated Improved Pit (VIP) latrine or alternative system agreed to between the community, the municipality and the MEC;
- Roads - graded or gravel paved road access to each stand (this does not necessarily require a vehicle access to each property);
- Storm water - lined open channels;
- Street lighting - high mast security lighting for residential purposes where this is feasible and practicable (on condition that such street lighting is not funded from the Municipal Infrastructure Grant (MIG) or from other resources).

In 2000, the Council for Scientific and Industrial Research (CSIR) published Guidelines for Human Settlement Planning and Design, more commonly known as “*The Red Book*”. This document provides practical and useful guidelines, information and ideas to assist both private and public sector housing practitioners, architects, town planners, urban designers, engineers and developers to create “sustainable and vibrant human settlements”. The document consists of two volumes, with volume 1 focusing primarily on planning issues and volume 2 dealing with engineering services. The Red book is currently under revision to be updated with new guidelines.

The Social Housing Act (2008)

The Social Housing Policy for South Africa was approved in June 2005 and the Implementation Guidelines published in November 2006. The revised policy has recently been included in the Social Housing Programme (SHP) in the new National Housing Code of 2009. In 2008, the Social Housing Act 16 of 2008 (Social Housing Act) provided the enabling legislation for the Social Housing Policy. The Act aims to establish and promote a sustainable social housing environment and defines the functions of national, provincial and local governments in respect of social housing. Moreover, it provides for the establishment of the Social Housing Regulatory Authority (SHRA) and defines its role as the regulator of all Social Housing Institutions (SHIs) that have obtained, or are in the process of obtaining, public funds.

Nowadays, social housing in South Africa is defined as a “*rental or co-operative housing option for low income persons at a level of scale and built form which requires institutionalized management and which is provided by accredited social housing institutions or unaccredited social housing projects in designated restructuring zones*” (The National Department of Housing, South Africa, 2005). These programmes are primarily carried by social housing institutes (SHIs) which aims an affordable housing option at the middle income target group (ZAR 3500 = 150 GBP to ZAR 7500 =375 GBP per month).

National Policy Framework

The mainstream intervention in the first decade after the Apartheid (1994-2004) has been the relocation from informal settlements (or other illegal/inadequate housing conditions) to large scale private sector driven greenfield development projects, mainly using the “*project linked subsidy*” (since the new housing policy in late 1994). Other subsidy mechanisms were:

- the individual subsidy for the purchase of completed houses (1995),
- the institutional subsidy (1995), for the construction of rental or cooperative housing by social housing institutions;
- the subsidy for the upgrading of migrant labor hostels (1995);
- People Housing Process (1998) enabling the top structure component of the project linked subsidy to be released separately for self-construction of the house (Huchzermeyer, 2001).

The White Paper on Housing (1994) and the RDP framework

The White Paper on housing, adopted by the African National Congress (ANC) government after the 1994 democratic elections, was the first post-apartheid housing policy. It is aimed at:

...creating viable, integrated settlements where households could access opportunities, infrastructure and services, within which all South African people will have access on a

progressive basis, to: (a) a permanent residential structure with secure tenure, ensuring privacy and providing adequate protection against the elements; (b) portable water, sanitary facilities including waste disposal and domestic electricity supply. (Cited in Tissington, 2010, 33)

One of the main targets of the White Paper on housing was to secure an upward adjustment in the national housing budget to five percent, in order to realise a sustained increase in housing delivery to reach a target of 338,000 units per year. This was to enable the government achieve its stated target of one million houses in five years (White Paper on Housing 1994, 19). Several housing programmes have been implemented over years in pursuit of the ideals of the of this landmark policy document, culminating in the significant policy shift in 2004, with the launch of the BNG.

The Reconstruction and Development Programme (RDP) was introduced in 1994 by the ANC as an “integrated, coherent socio-economic policy framework” to eradicate apartheid and build a democratic, non-racial and non-sexist future. (ANC, 1994). It includes several programmes, namely *meeting basic needs, developing human resources, building the economy, democratising the state& society and implementing RDP*. Housing and services are included as part of the basic needs to improve living conditions of the community. The RDP programme promotes an inclusive, affordable, and sustainable approach to housing, infrastructure and service. It is focused on active involvement and empowerment of people and promotes subsidies and other support mechanisms to make housing finance affordable. Delivery systems should aim at maximising job creation, using local materials and in general improving the the local economy. One of the core principles of the RDP is the involvement of beneficiary communities at all levels of decision making (community control).

The *national housing subsidy scheme*, introduced within the Reconstruction and Development Programme in 1994, represents the cornerstone of low income housing policy in South Africa. The subsidy consists of a once-off capital grant (applied on a sliding scale according to household income) used to secure *a site, basic services* and a 30m² *starter house* (Adebayo, 2010). However, during the first decade of post-apartheid delivery, the subsidised starter houses built in new townships were characterised by bad locations on cheap, peripherally located land (Khan and Ambert, 2003, Department of Housing, 2004).

The People’s Housing Process (PHP)

The PHP (People’s Housing Process) approach to housing provision was approved in 1998 as a *self-help* (or *self-built*) *housing* scheme inspired by the work of the homeless people’s federation and saving and housing schemes from around the globe. The PHP has been a feature of the National policy, nevertheless many provinces resisted it in favour of private sector delivery (Khan and Thring, 2003).

The Enhanced People’s Housing Process (EPHP) was adopted in July 2008 and then rolled out in April 2009, to replace the previous PHP programme. This new policy was the result of long and difficult negotiations between the National Department of Housing and a group of

NGOs including Planact, DAG, the Built Environment Support Group (BESG), Afesis-corplan, Urban Services Group, Utshani Fund and Federation of the Urban Poor (FEDUP). These NGOs had for some time objected to the narrow definition of the PHP as “self- build” housing involving contributions of “sweat equity” as opposed to the use of contractors. They believed it should fundamentally concern a collective, “community-based process of decision-making that would seek to address housing in the context of other social needs and community priorities.”

The new policy adopts a broader definition of PHP in which beneficiaries actively participate in decision-making over the housing process and housing product so as to: *empower* beneficiaries, create *partnerships*, mobilise and retain “*social capital*”, build “*housing citizenship*”, encourage beneficiaries who are aware of their rights and responsibilities, promote local economic development, foster stable communities, build houses that are better suited to the needs of individual households, involve women and youth more directly, and nationally, create sustainable and inclusive human settlements which are more responsive to the needs of the community.

ENHANCED PEOPLES HOUSING PROCESS (EPHP)

The EPHP is understood as a way of enhancing the housing subsidy to go further by eliminating profit in housing delivery, and allowing beneficiaries to exercise a large degree of resilience, ingenuity and ability to look after their own housing needs (National Housing Code, 2000). The PHP is based on maximum beneficiary involvement during the building of their houses as an alternative housing delivery with the aim of supporting people’s initiatives. The EPHP was introduced by the government, in EThekweni municipality to assist those beneficiaries who wish to enhance their housing subsidies to build or organize the building of their homes.

These are special subsidies that are available to communities, or organized groups of households to enhance their housing subsidy by building or organizing the building of their own homes themselves. By using their own labour rather than paying someone else, these households can make their housing subsidy and personal contribution go further by building better quality and/or larger houses for less money. This approach makes a particular effort at involving women in decision-making and draws on their skills and roles in their community (Bolnick, 2009). In addition, the Enhanced People’s Housing Process can also include things that will contribute to uplifting community skills development, participation and community independence, by:

- Obtaining access to land that can be serviced;
- obtaining training opportunities;
- Gaining technical assistance.

Breaking New Ground (BNG): A Comprehensive Plan for the Development of Sustainable Human Settlements

The South African government introduced, in 2004, the Informal Settlements Upgrading Program entitled “*Breaking New Ground (BNG): a comprehensive plan for upgrading slum settlements*”. That plan proposed a new approach aimed at poverty eradication, reduction of vulnerability and promotion of social inclusion through participatory layout planning (Huchzermeyer, 2006a). Moreover, the new directives included in the BNG promoted a new inclusive approach supporting mixed-income groups in new developments, to avoid the marginalization of the lowest-income households experienced until the 2000s (Marais and Ntema, 2013). In fact, a new attention to the health of urban environment and the concept of sustainable human habitats is revealed, in 2004, by the “*Sustainable Habitats Agenda*” Report submitted from the SA Department of Housing to the UN-Habitat. Nevertheless, South African settlements have historically demonstrated a past, present and projected future of unsustainability (Goebel, 2007).

The aim of the BNG was to promote the delivery rate of well-located and adequate housing through various innovative, demand-driven housing programmes and projects (Tissington, 2011). The BNG policy was aimed at:

- Accelerating the delivery of housing as a key strategy for poverty alleviation;
- Utilising the provision of housing as a major job creation strategy;
- Leveraging growth in the economy;
- Combatting crime, promote social cohesion and improving quality of life for the poor;
- Supporting the functioning of the entire single residential property market;
- Utilising housing as a tool for the development of sustainable human settlements, in support of urban regeneration. (DOH 2004, p. 7 cited in Mistro and Hensher 2009, 334-5)

The BNG was interpreted as a policy shift, proposing a revolutionary approach to the challenge of slums. In fact, the challenge of informal urbanisation was conceptualised for the first time as the product of an underlying socio-economic predicament that need to be addressed.

While the BNG was built upon the basic principles of the 1994 White Paper on Housing, it nevertheless diverges in a number of ways from previous national housing programmes, including the priority given to informal settlement upgrading against relocation in order to deliver *adequate* housing to the poor in South Africa.

National Housing Programmes

The national housing programmes are categorised into different “Intervention Categories” as follows:

1. Financial Programmes
2. Incremental Housing Programmes

3. Social and Rental Housing Programmes (Institutional Subsidies, Social Housing Programme (SHP) and Community Residential Units (CRU))
4. Rural Housing Programmes (Rural Subsidy: Informal Land Rights, Farm Residents Housing Assistance Programme)

There is a set of generic qualifying criteria which must be fulfilled by those applying for state housing subsidies under the NHSS for the national housing programmes. However, there are also specific rules that apply to each subsidy programme and in some cases there are specific eligibility criteria that apply over and above the generic criteria.

The generic qualifying criteria as outlined in the revised National Housing Code can be summarised as follows:

- Citizenship: applicant must be a citizen of the Republic of South Africa, or be in the possession of a Permanent Resident Permit.
- Competent to contract: applicant must be legally competent to contract (i.e. over 18 years of age, or married or divorced and of sound mind).
- First time property owner: the applicant or their spouse may not have owned and/or currently own a residential property.

In addition to the above requirements, any applicant must also satisfy the following general criteria:

- Married or financial dependants: the applicant must be married or constantly be living together with a spouse. A single person with proven financial dependants (such as parents or parents-in-law, grandparents or grandparents-in-law, children, grandchildren, adopted children, foster children) may also apply.
- Monthly household income: the applicant's gross monthly household income must not exceed R3 500. Adequate proof of income must be submitted.
- Beneficiaries of the Land Restitution Programme: beneficiaries of the Land Restitution Programme, should they satisfy the other qualification criteria, may apply for housing subsidies
- Persons classified as military veterans as confirmed by the SANDF: military veterans who are single without financial dependants may also apply for housing subsidies.
- Persons classified as aged: aged persons who are single without financial dependants may also apply for housing subsidies. Aged persons are classified as male and female persons who have attained the minimum age applicable to Government's old age social grant scheme.
- Persons classified as disabled: persons who are classified as disabled, whether single, married or co-habiting or single with financial dependants, may apply for housing subsidies. If a person who has already received state funding for housing and/or who already owns or owned a house, is or becomes disabled, or if his or her dependant(s)

is/are or become disabled, such a person may receive an additional variation on the subsidy amount to finance special additions to provide independent living conditions.

Local government's programmes: Upgrading of Informal Settlements Programme (UISP)

The Breaking New Ground Policy (BNG) promoted *in-situ* upgrading programs that allow people to stay settled close to their existing job opportunities and established transportation routes. Social inclusion and community participation were encouraged by the *Upgrading of Informal Settlements Programme (UISP)* launched with the BNG directives. The UISP programme promoted in situ upgrading over relocation, in order to prevent the marginalisation typical of the relocation into peri-urban areas. In situ upgrade was conceived as a measure to reinforce social ties and network, while avoiding relocation and resettlement (Massey, 2014). In fact, some unsuccessful attempts of “state-led in situ upgrades” in Cape Town, failed to spatially reintegrate the city, because of the lack of access to economic opportunities and social network (Turok, 2001).

Moreover, *in situ* upgrades can provide residents with training and education opportunities as well as skills development, namely self-build and other construction and environmental management skills. For example, the in situ upgrade of Msunduzi Municipality (SA), revealed some other positive impacts on the inhabitants, namely greater sense of satisfaction, cohesion and identity (Goebel, 2007).

Previous studies on in-situ upgrade of informal settlements in Durban have explored the positive impact of community participation on local inhabitants in terms of basic housing needs met, tenure security and wellbeing improvement (Patel, 2013). In particular, the role of the local Community Development Committee (CDC) and its relationship with the residents was assessed by Patel in the context of the upgrade process. The results envisaged sustainability of upgrades outcomes and related that success to informal continuities, specifically the consolidated power of the local CDC.

The Upgrading of Informal Settlements Programme (UISP) provides grants to accredited municipalities to run sustainable housing development projects aimed at improving the conditions of slum communities. The key idea of this initiative is to facilitate a phased *in-situ upgrading of informal settlements* as a valid alternative to the relocation of slum dwellers to new developments (greenfields). In fact, the main targets of the UISP are:

- tenure security;
- health & safety;
- empowerment of slum communities' inhabitants through bottom up, participatory, processes (Housing Code Part 3, 2009).

The challenge of informal settlements should not be conceived simply as a “housing problem.” In fact, it should be recognised as a quintessence of an underlying *social change*, seeking to realise a “multi-sectoral partnership, long-term commitment, and political endurance.” The UISP highlights that the radical approach to slum “eradication,”

characterised by forced relocation of slum communities, tends to provide short-term and interim solutions, without addressing the real issues of slums.

The Inclusionary Housing Policy: integrating the poor in the city

The inclusionary Housing Policy (IHP) introduced in 2007 by the National Department of Housing, seeks to respond to the BNG's call for *income integration* in new housing developments, through the development of a certain portion of policy-assisted, lower income housing within or adjacent to higher income developments, for rental or ownership (Adebayo, 2010). If well located, such developments would lessen the concentration of poverty on the urban periphery, while improving the lower income residents' access to the opportunities available in better locations (Smit & Purchase, 2006, Mabaya, 2007). However, private developers demonstrated reluctance to the possibility of being compelled by the government to include low income housing in their developments. In practice, that means that mixed income housing developments might only occur on parastatal- or government-sourced land, where developers' access to such land would be conditional upon their commitment to deliver a proportion of low income housing.

The eThekweni Municipality

The eThekweni Municipality (Durban, SA) with a population of approximately 3.6 million people and high levels of poverty (about 41.8%) is facing significant socio-economic challenges (eThekweni Municipality, 2012a). As all cities in South Africa, Durban has to balance the more dominant neo-liberal pro-growth agenda with the pro-poor agenda, making urban transformation a complex problem. The spatial structure of the city, which is fragmented and reflects a pattern of sprawl, is a major obstacle to achieving sustainable, efficient and equitable development. Social segregation and compartmentalization of the cities are, in fact, some of the Post-Apartheid major consequences that are aggravated by the suburban-type low-density typical of South African cities. (Western, 2002; Williams, 2000). Inequality in housing in Durban has a clear spatial dimension with most sub-standard housing being found on the periphery of the city, or on marginalised sites where informal dwellers have occupied land in close proximity to urban opportunities. The Informal Settlement programme is the principal focus of eThekweni Housing Unit, promoting the upgrade of informal settlements as a better alternative to relocation and slum clearance. According to the eThekweni Spatial Development Framework, informal settlements must be integrated into the broader urban fabric to overcome spatial, social and economic exclusion (eThekweni, 2015). Since 2004, the Comprehensive Plan for the Development of Sustainable Human Settlements introduced detailed information on the programmes identified by the National Department of Human Settlements. In fact, the new "Human Settlements Plan" promotes the achievement of a non-racial, integrated society through the development of sustainable human settlements and quality housing at both local and regional scales.

Comments & Notes

During the first decade post-Apartheid the approach applied by the State has been unsuccessful in addressing the reality of informal settlements. In fact, as pointed out by Huchzermeyer (2004) the informal settlement intervention framework in South Africa has “*stagnated around a powerful technocratic (product-driven) market-oriented approach*”. In other developing countries such as Brazil, instead, a *progressive* debate has challenged the product-oriented market driven informal settlement intervention, developing instead an approach (process-oriented) based on the demands of mobilized informal dwellers. These debates have challenged the technocratic market-oriented informal settlement intervention promoted internationally by the World Bank since the early 1970s. Moreover, the need for standardization of the layout (the one usually applied in formal townships) resulting from the capital subsidy entitlement has overridden any consideration of settlement diversification through individual investment. In addition, demolitions have been the rule. (Huchzermeyer, 2004).

There is a huge gap between community organisations’ perspectives and National Housing Policy proposed model of intervention. In fact, they apply two different approaches:

- **A Prescriptive formal development framework** followed by the Municipality (local government), based on the household based entitlement to a capital subsidy.
- **The People-driven initiatives (PHPs)** with some barriers:
 - Different Processes of settlement formation
 - Conflictual situations

It is also fundamental clarifying what “in-situ” upgrading means, since the interpretation of the local government is very different from the one of the dwellers. A very good definition is the one proposed by Huchzermeyer (2011) that defined in-situ upgrading as “*the recognition and permanent incorporation of informally developed neighborhoods into the city*”.

Shacks (the visible dimension of informal settlement) remained an *embarrassment to the newly elected democratic state* (after apartheid) and thus they decided to replace them by neat estate of pitched roof houses (Huchzermeyer, 2011).

PERFORMANCE MANAGEMENT AND DELIVERY TARGETS

Numbers are crucial for most urban authorities: quantitative targets and performance management practices in government departments have been established to eradicate informal settlements.

The “**2014 TARGET**” is described in the Housing Development Agency Report on Informal Settlements in KZN (2013)

In 2010, President Zuma introduced the **Outcome 8 Delivery Agreements**: Sustainable Human Settlements and Improved Quality of Household Life, that can be summarised as follows:

- upgrading of 400.000 households (by 2014) with access to secure tenure and basic services.
- Implementation of the National Support Programme (NUSP)
- Delivery of 80.000 well-located and affordable rental accommodation
- Improved property Market

Delivery agreement. Makes provision for each Province to deliver a specific portion of the 400.000 households targeted. (DoHS). There are different programs:

1. UISP (Upgrading of Informal Settlements),
2. the Integrated Residential Development Programme (IRDP),
3. the PHP (People Housing Process) and
4. the Rural Housing Program and Emergency Housing Programme. Various funding streams are utilized.

PERFORMANCE: all forms of assistance that improve the lives of residents in informal settlements through access to basic services (water, sanitation, electricity, refuse removal and access roads)

Access at least two of the main services (water and sanitation)

Security of tenure: various stages of tenure such as:

- Title deed
- Permission to occupy
- Other forms of tenure that recognize the right of an individual household to a specific piece of land

Incremental tenure options for informal settlements situated in communal land.

According to the Census there is a significant increase of households living in “formal housing” since 2001.

There have been noticeable improvements in services for those who live in shacks not in backyards than in 2001(access to flush toilets and piped water).

TOWARDS A NEW APPROACH TO ‘ISU’

A more innovative approach is proposed from the Housing Development Agency - HDA, (2015) in the “Participatory action planning for informal settlements upgrading” report.

The guidelines on Participatory Action planning are based on practice and lessons emerging from DAG’s socio-technical support to the city of Cape Town in 2013.

Interestingly, this report stresses the fact that Informal settlements should not be viewed as merely a Housing problem, requiring a housing solution, but instead as a manifestation of structural social change and political endurance.

- *Experience confirms that an incremental in situ upgrading approach has a higher chance of improving living conditions given that it does not disrupt social networks or livelihood strategies. So in-situ is always a preferable option than relocation. (The Housing Development Agency, 2015)*

- A good approach to ISU would include: building local organizational capacity and leadership, security of tenure, access to basic services, sustainable livelihoods approaches, community-based and driven upgrade approaches, policy inputs.

The **Key principles** supported by the Housing Development Agency (2015) are:

- Deep understanding of local settlement context;
- Working with existing Community-based Organisations (CBOs) and local NGOs;
- Empowering people to participate;
- Fostering an inclusive process;
- Focusing on using Participatory Action Planning.

Community Engagement and Participation involves various steps/phases:

- I. Identifying key stakeholders and gaining entry (understanding local leadership and power dynamics);
- II. Establishing Institutional arrangements;
- III. Participatory action planning;
- IV. Multi-stakeholders forums;
- V. Exit strategy;
- VI. Next steps: taking forward the planning.

Comprehensive scoping of stakeholders via one-on-one meetings with council lots, ward committees, local NGO and social movements.

Classification of informal settlement eligible for Upgrading to:

- Full Upgrading;
- Interim Basic Services;
- Emergency Basic Services;
- Relocation.

Participatory Action Planning workshops should create opportunity for:

1. Introduction to Participatory Action Planning
2. Community Mapping
3. Development Options

The key Outputs of a meaningful participation: **Advanced Community and settlement profiles** that document the locality and general description of the site, history, service provision, demographic.

- Unfortunately, meaningful participation is difficult to translate into practice.

DRAFT NEW WHITE PAPER ON HUMAN SETTLEMENTS

The *New White Paper* will be a fundamental Policy Document that carves the development and implementation of *Integrated Human Settlements in South Africa*.

Before that: in 2004 the Cabinet adopted the Breaking New Ground: Comprehensive Plan for the Development of Sustainable Human Settlements as new strategy. Now the new White Paper seeks to consolidate the solid foundation laid in the past 20 years.

The Draft White Paper on Human settlements will be informed by the policy proposals detailed in the discussion document. The Publishing of the draft White Paper on Human Settlements will signal the beginning of a discourse and an extensive Public consultative process that will culminate in the development of a Human Settlements Act and a White Paper on Human settlements.

Consultative engagements including government, government agencies, non-governmental Organisations (NGOs) private sector, academia, civil society, professional bodies, etc. in all the Provinces.

Repealing Housing Act 107 of 1997 in its entirety including the White Paper on Housing.

Objectives of the *consultative process*:

- To obtain specific policy insights;
- To solicit inputs on what policy must address;
- To ensure participation of stakeholders;
- To mobilize various role-players to support the development of the Policy.

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ISULabaNtu Project- Phase 1

Stakeholder Analysis. Mapping the role of the main stakeholders involved in participatory ISU

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Stakeholder Analysis

Introduction

Informal settlements represent a phenomenon in which individuals and communities attempt to secure for themselves shelter by the means and resources available to them. The growth of any settlement, formal and informal, involves a multiplicity of actors either singly or in collaboration. As such, there are many endeavours in life that require the participation of individuals, groups, communities, entities, organisations, formations and movements - formal and informal, organised and unorganised, invited and uninvited – in projects and programmes undertaken in society such as informal settlement upgrading. *Stakeholder analysis* is important in such circumstances in order to understand who is involved and who is not, who makes decisions and who does not, who benefits and who does not, who is affected and who is not, who opposes and who supports these initiatives, interventions, policies, projects or programmes. Therefore, defining what stakeholder analysis is pertinent.



Background

Reed et al., (2009: 1933) argue that *stakeholder analysis* is a process undertaken to define aspects of a phenomenon (which can be either social or natural) and can be affected by an action or decision and involves the identification of groups, individuals and organisations which affect or can be affected by parts of the phenomenon with scope for prioritising those individuals or groups to participate in decision making. For Yang et al. (2011), stakeholder analysis is a process which allows the identification and assessment of stakeholders, their interests, influence and relationships. Snel et al. (1999) opine that stakeholder analysis is concerned with identify individuals or groups who may be directly or indirectly, positively or negatively affected by a project. ODA (1995 in Snel et al., 1999: 4) define stakeholder analysis as ...'the identification of a project's key stakeholders, an assessment of their interests, and the ways in which these interests affect the project riskiness and viability'. Schmeer (1999) views stakeholder analysis as a process of collecting and analyzing qualitative data in a systematic way in order to establish whose interests should be considered when developing and executing a policy/project. Stakeholder analysis goes beyond interests to their importance, agency, power, their links (de-links), risk, networks, modes of engagement, viability and so forth with variegated impacts which can be direct or indirect, positive or negative on the outcomes of the intervention itself and the people involved. It is also appropriate to describe who a stakeholder is.

Reed et al. (2009) support a definition of a *stakeholder* which is broad and normative which includes living and non-living things including mental-emotional constructs such as the well-being of future generations. An actor or 'interested party', who is a person or organisation, with a vested interest in a policy or project is a stakeholder and are usually grouped as public, private, international, national, labour, Non-Governmental Organisation/civil society and users/customers (Schmeer, 1999). Snel et al. (1999) categorise stakeholders into three categories, namely, primary, secondary and external. In the context of waste management, they categorized those receiving waste management services such as households and citizens as being directly affected (positively or negatively) by the implementation of a waste management project. Municipalities and their employees, other national and state departments, NGOs, donor agencies, waste sweepers and so forth were categorized as secondary stakeholders because of their intermediary role and the effect they may have on the outcome of the project. External stakeholders are those who are not directly involved but are affected by the project such as residents of communities in the proximity, waste buyers, entrepreneurs who re-cycle waste and so forth. They argue that compromise and consensus are hallmarks of effective relationships between stakeholders rather than confrontation. (Snel et al., 1999). Stakeholders have resources in different proportions, exude knowledge, occupy positions, can form alliances, some have power and leadership but some do not as can be seen in informal settlements as in other contexts. While stakeholders could be variously categorized, they have to be relevant and their views/claims legitimate and the processes of defining and selecting stakeholders must be inclusive for legitimacy and effectiveness.

Theoretical Framework

There are many theoretical frameworks and approaches that could be used to underpin stakeholder analysis; for example *Structural Role Theory* (i.e., focussing on the 'acting out' of social roles, see Biddle, 1979), *Social Exchange Theory* (i.e., focussing on negotiated exchanges between parties, see Cropanzano and Mitchell, 2005, and Emerson, 1976), *Social Comparison Theory* (i.e., focussing on individuals self-evaluation in relation to others, see Suls and Wheeler, 2000), *Social Identity* (i.e., highlighting individual's group membership, see Tajfel and Turner, 1979), and *Social Capital* (i.e., conceptualising social networks as a form of capital, see Coleman, 1988 and Portes, 1998). These specific sociological and social psychological frameworks can also be supplemented using concepts and methods from the broader disciplines of network science and complexity science, such as network structure and analysis using centrality and betweenness (from network science), and positive and negative feedbacks, tipping points and emergence (from complexity science). The analysis conducted in this stakeholder mapping and analysis will be primarily guided by *Social Network Theory* and *Actor-Network Theory*.

Social Network Theory

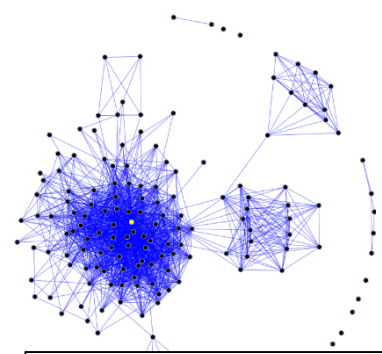


Figure 1: An example of a Social Network Diagram

Social Network Theory (and analysis - SNA) examines how '*nodes*' such as individuals, firms, and groups connect and interact with others in a network. Connections and interactions are represented by '*links*' (sometimes called edges) connecting nodes in the network, as in the example diagram/graph in Figure 1.

The roots of Social Network Theory can be found in the work of Georg Simmel and Emile Durkheim, who both highlighted the importance of considering the patterns in relationships between social actors. However, it was not until the second half of the twentieth century that the use of SNA took hold and a reasonably well-agreed upon set of concepts, methods and metrics emerged (Freeman, 2004 & 2006).

A key concept in a social network is the strength of ties (i.e., links). Ties are typically described as strong or weak. This abstract framework can be used to describe a range of different relations between nodes. For example, in a well-known study on the effect of network ties on job searching, Granovetter (1973) highlighted the importance of weak ties (i.e., acquaintances as opposed to close friends) in individuals' search for good leads for jobs.

More generally, analysis of social networks tends to focus on the structure of the overall network (i.e., do nodes have similar number of ties? If not, what is the distribution of ties?), and the position of nodes in a network. Position is often analysed by considering 'centrality'; a range of measures designed to determine how influential a node is in a network. Centrality is most commonly measured by degree (the number of ties a node has), or betweenness (the number of times a node acts as a 'bridge' along the shortest path between two other nodes).

For more general social networks further reading, Scott (2013) provides an excellent introduction on the use of social network analysis and the steps in carrying out your own analysis. More relevant to ISULabantu is the analysis of Phillips (2002) on a range of state-funded community development projects and their approach to building social capital and social networks. Meagher (2005) provides a more critical analysis of the use of the concepts of social capital and social networks in the context of informal African economies.

Actor-Network Theory

Actor-Network Theory (ANT), sometimes referred to enrolment theory, or the sociology of transition, refers to a disparate group of material-semiotic tools. Despite its name, in essence it is a method for conducting research, rather than a theory. It focuses on the connections between human (e.g., individuals, organisations) and non-human (e.g., technologies) entities in networks. The method involves 'tracing' connections between entities, most commonly through fieldwork using (participant) observation, document analysis, and interviews. ANT analyses typically seek to avoid essentialist accounts (i.e., assertions of objective truth or attributes) and favour a more pragmatic approach in which descriptions are based on what can be derived directly from experience (i.e., fieldwork) (Crawford, 2007).

ANT was developed during the 1980s by the work of Bruno Latour, Michel Callon, and John Law (see Latour, 1987 and Callon, 1986 for early examples). The approach developed from the STS (Science and Technologies Studies) field, focussed on qualitative case studies on the processes and production of science. Since the 1990s ANT has increasingly been used to study a variety of domains outside STS. Because of this wide-spread use, it has been applied in many different ways (i.e., its application is not always consistent) which may not be compatible. ANT is often seen as controversial, and sometimes most well-known, because of its insistence on including non-human entities as actors in networks, even though critics point out they have no intentionality.

Key concepts in ANT include:

- **Group formation:** This concept relates to the instability of groups, or entities that may appear stable, but are actually made up of other entities in a network. For example, an organisation such as an NGO or government department may be considered an entity, but we may observe it is made up of other entities with specific connections and relations, and we should consider how its status as a stable entity is maintained by these entities and connections.
- **Actants:** Actors may form groups that ANT refers to as actant-networks. The word actant is used instead of actors to refer to 'volitional actors'; an actant is any entity (a human, animal, object or concept) which accomplishes or undergoes an act. Thus, humans, animals, objects and concepts are treated equally in an analytical sense. A key difference between ANT and other methods is the emphasis on non-human entities having the capacity to affect systems and networks.
- **Networks:** When actants interact, they form an actant-network, which in turn affects them (giving them definition, substance, action, intention and subjectivity). Importantly, it is via the network that actants derive their nature. Networks are made up of entities, but emphasis is put on the fact that we can 'zoom-in' on one entity, and see the network of interactions that make up that entity. Similarly, we might 'zoom-out' on a network, and begin to see

it as one entity, and consider how it interacts with other networks. In the analysis, emphasis should be put on when and how these levels of networks become more and less visible (i.e., how is it that an NGO maintains the appearance of a single entity? What would have to happen for us to perceive its own network - would this entail failure in its functioning?).

- **Translation:** Potentially the core concept in ANT, 'translation' refers to the work that is necessary to displace and transform actant-networks. Translation is understood as the negotiations, intrigues, calculations, acts of persuasion and violence through which an actant, and thus its networks, are altered. Importantly, when actants have not been translated (or translate themselves), they are not part of the actant-network.
- **Immutable mobiles:** This refers for the need for flows of information, concepts, or things between actant-networks and actants to represent interaction. For example, scientists might write reports on their work, which allows information to be passed between different actant-networks. In this example, the report is an immutable mobile.
- **Agnosticism:** ANT requires impartiality and suggests that all interpretations be unprivileged; this links to its anti-essentialist roots.

Using ANT involves using the fieldwork methods mentioned above to map out these concepts for a network or system under study. By using this framework to describe a system or network, we may arrive at novel conclusions, unreachable via alternative frameworks or methods. For further reading, Latour (2005) provides a detailed introduction to ANT, whilst Law (2009) discusses and qualifies the definition(s) of ANT. Examples of ANT used in relation to stakeholder analysis include Arnaboldi & Spiller (2011) and Pouloudi et al. (2004).

Stakeholder Mapping (Preliminary phase- The case Study of Namibia Stop 8)

In undertaking this mapping exercise, we attempted to address the issues of who the stakeholders are, what their interest are, the influence they wield over in-situ upgrading, their perceptions of likely approaches to upgrading, how they relate to other stakeholders, the knowledge they possess and the initial contacts available. Below, is a list of stakeholders covering those issues.

1. Firstly, for specificity, stakeholders have been identified through personal knowledge and expertise, document analysis and essentially from people who have worked in the sector/projects (e.g. Mr Jeff Thomas from uTshani Fund). The stakeholder information presented in the Table 1 below pertains specifically to the case study of Namibia Stop 8, however, some of the information supplied is transferable to other cases with typical characteristics particularly in a KwaZulu-Natal (South African) context.

Stakeholder	Interest/stake	Influence over in situ upgrading	Likely perception of project and way to approach	Key relationship with other stakeholders	Knowledge they possess	Initial/Key contact names
Politicians	The politicians want to appease their constituencies. They gain and enhance their political capital through their interactions with communities	They are linked to those in authority and can sway decisions of state actors on the basis of their influence.	They will support for as long as they can achieve some political gain. They can work against it - to undermine it - should they decide to do so for political reasons.	Political party	They are accountable to their own party and know their constituencies very well.	Names indicated by the Municipality
National Department of Human Settlements (previously Housing)	The department sets the norms and standard which guide the delivery of state subsidised housing in RSA. It also provides budget/housing subsidy i.e funding	There is policy to this effect-the Housing Code 2009- ie the Upgrade of Informal Settlement Programme (UISP)	Support the project	National Government	The department formulates policy	Name 1: Minister Lindiwe Sisulu, previously Tokyo Sexwale Name 2: Ani Rajkumar Enhanced People's Housing Process (EPHP) - Co-ordinator

KwaZulu-Natal Department of Human Settlements	<p>The Department monitors the implementation of policy. It also distributes subsidies to municipalities</p> <p>Provincial application of Nat Policy and funding</p>	<p>It works together with municipalities from feasibility to implementation stages of the projects</p> <p>Roll-out policy at Provincial level</p>	<p>The Department's perception is guided by the feasibility reports</p> <p>Will support project</p>	Provincial government	<p>The Department has officials who work with municipalities (Project Monitors)</p> <p>Application of Policy at Provincial level</p>	<p>Name 1: Winston Oakes - Senior Manager (projects)</p> <p>Name 2: Raj Maharaj - Project Monitor</p>
<p>eThekweni Municipality: is the local tier of Government, representing the Developer for Housing Projects. It includes several relevant Departments (e.g.ETW EThekweni Water and Sanitation, Human Settlements, Environment Planning and Climate Protection Department, Economic Development Unit, Internal eThekweni Municipality Housing Project Working Group, eThekweni Municipality Development Engineering Unit eThekweni Water and Sanitation and Electricity Unit Durban Solid Waste Community and Emergency Services</p>	<p>As per the roles and responsibilities of national, provincial and local government, eThekweni is the developer</p> <p>Municipal application of Nat Policy and funding. Putting out construction work for tender</p>	<p>The municipality has a strong influence in the sense that it has to identify all informal settlements and package them for upgrade</p> <p>Makes decisions on which settlements to be relocated and which to be upgraded</p>	<p>Feasibility studies will influence their perception</p> <p>Could be some resistance as prefer to control all connected processes themselves</p>	<p>As the developer, the municipality takes a leadership role and is bound to relate to all relevant stakeholders for smooth delivery</p> <p>Implementation and control of external implementers appointed by tender</p>	<p>They have a special department dealing with all issues relating to informal settlements</p> <p>Various policy, financial and technical</p>	<p>Name 1: Beryl Mphakathi - Head of Housing Unit – (originally Cogi Pather)</p> <p>Name 2: Oscar Kunene - Senior Project Manager, Northern region – (originally Beryl Mphakathi)</p> <p>Name 3: Oscar Kunene Project Manager - (NS8)</p>
	Highly interested in settlement upgrading	They have a statutory say in settlement upgrading	Likely to be positive – meetings, email contact, telephone	Work closely with national, provincial and other government, departments; can come into conflict with new invaders, slum dwellers associations (Abahlali BaseMjondolo) over the provision of basic services	Municipal plans regarding informal sites to benefit from the provision of basic services (upgrading); budgets;	<p>Name 1: Faizal Seedat</p> <p>Name 2: Nkululeko Xulu</p> <p>Name 3: Nomalungelo Moroka</p>
National Treasury Department	UISP, NUSP planning instruments in support of the Municipality		Support the projects	National Government		
Human Settlements Committee	Settlement development and management			Settlement politics		Representatives from the community

Social Movements, such as “Abahlali BaseNjolo”		They act as informal real estate developers	controversial	Community social movements		
FEDUP National Leadership	Promoting nationally the interests of their members in obtaining housing/improved human settlements. Ensuring good relationships between FEDUP and Informal Settlement Network (ISN) at national level	Providing encouragement for community led upgrading	Very positive	Supporting membership and negotiating relationship with Government and uTshani Fund	State of relationship with National Government	Name 1: Rose Molokoane (President, previously Vice-President) Patrick Magebhula (Late President)
FEDUP REGIONAL LEADERSHIP (KZN)	Doing the same as National Leadership but at local level. Being the bridge between the membership level and Province and Municipality (both FEDUP and ISN).	Providing encouragement for community led upgrading	Very positive	Supporting membership and negotiating relationship with Government and uTshani Fund at local level	State of relationship with Provincial Government and Municipality as well as the objectives and state of mind of their members	Name 1: Regional Co-ordinator - Anna Esteveao (MAMKABELA) Name 2: Nonhlanhla Mbatha - Social Support Co-ordinator Name 3: Nomali Zondo - Savings Co-ordinator
UTSHANI HEAD OFFICE Cape Town and Johannesburg	Supporting financially and technically FEDUP members involved in project work	No influence just support	Very supportive	Financial and technical support to FEDUP projects	Financial and Technical	Name 1: CEO – Greg Van Rensburg (Late) - Technical Name 2: Abi Khoza National Technical Support Person Name 3: Vanessa Baadjies – Administrator - financial
UTSHANI KZN REGIONAL OFFICE	Supporting technically FEDUP members involved in project work	Support	Very supportive	Technical support to FEDUP and ISN members	Technical	Project support officer (initially Bunjiwe Gwebu then Jeff Thomas) Administrative support - Samke Phewa
CORC is an SDI affiliate, an informal settlement network	Involved in early stages of process on the ground – mediating, taking remuneration, setting up savings groups etc	Technical support – mediation, financial advisory	Supportive	<i>CORC is involved locally – was built under the uTshani Fund initially as uTshani had been involved with the house construction at Namibia Stop 8 phase 1 and previously at Piesang River.</i>	Technical	
PROFESSIONAL SERVICES	Providing engineering support	Construction practices	Stay within norms and standards	Monitoring	Engineering	JMA Consulting engineers – Jim Martin
SUPPLIERS	Sale of materials	None	No interest	Provide materials	Materials	Build-It (Inanda) – Manager Thando Mjadu D+A Timbers – now Buco (Pinetown) – Roofs circle reinforcing – reinforcing for raft foundations

STEERING COMMITTEE	That the CCMT performs their roles and that the beneficiaries are involved in labour and satisfied with the construction	Chasing and monitoring	Want it done timeously and properly	Chasing and Monitoring	Understand community dynamics	8 Members Name 1 Name 2 Name 3 Name 4 Name 5 Name 6 Name 7 Name 8
CCMT (COMMUNITY CONSTRUCTION MANAGEMENT TEAM)	Managing the construction process	Monitoring	Positive	Accounting to the Steering Committee, regional FEDUP and uTshani Fund on project progress. Ensuring that materials arrive on site and are monitored, construction goes according to plan and that any paid labour receive their remuneration	Various as per roles	Site project manager - Mr Shangase Technical co-ordinator - Mr Ngubane Book-keeper - Thembi Shangase Stores co-ordinator - Mavethane
CONSTRUCTION TEAMS/BUILDERS <ul style="list-style-type: none">foundations and wallsroofingplasteringfloor screedingdoor hangingglazingplumbing	Wages for externally hired labour but for Sweat Equity participants – it is the final product of the project	Creating the final product	Positive as receiving wages or receiving improved dwelling or settlement	Supply labour for construction	Construction	Name 1: Name 2:
BENEFICIARIES/CURRENT RESIDENTS (96 FAMILIES) <ul style="list-style-type: none">members of 2 original savings groupsmembers of new ns8-based savings group	Receiving an improved dwelling or settlement	Provide the impetus for a project	Very positive	The raison d'être for the project	What they need	Name 1: Name 2: Name 3:
Local Councillors	The councillor leads the development at local level as a political rep for the party leading in the area Better human settlements in their wards and positive impact on their political futures	It has to be positive as it is the councillor who should identify the housing need and beneficiaries too. Represent ward residents needs to Municipality	The approach will be guided by the local issues including technical, social, political and environmental challenges Depends on whether they see political gain for themselves	The councillor is bound to work closely with all relevant stakeholders at local level for the project to run smoothly Political	The councillor should have special knowledge on the dynamics of the area he/she leads. Political	

Community leaders: Ward Committee and other	As per Councillors		Depends on whether they see political gain for themselves		Socio-economic and political position of their particular community members	Name 1: Name 2:

Phase 2: Categorisation

- I. Then the stakeholders have been categorised by main relevant criteria, namely: individuals, interest groups, private organisations, government agencies, environment etc. This is being done to undertake comprehensive Social Network Analysis and Knowledge Mapping exercises. This phase will entail Focus Groups Discussions, Semi-structured Interviews and Snowballing where appropriate.

Criteria	Organisation/Individual	Needs	Interests
Individuals		Homeownership	House
Interest groups	uTshani Fund (SA)	Promote self-help housing	Having membership on the ground and where there is informal settlements to be upgraded Self-help housing
Private organisations	Private construction firms/contractors	Create work opportunities and jobs; make profit	Work
Government agencies	National government Provincial government Local Government (Municipality)	Ensuring rights are fulfilled	Ensure fulfilment of Constitutional rights through the implementation of housing policy and achieving Outcome 8 (<i>Sustainable Human Settlement and improved quality of household life</i>) Provincial plan?/Provincial Growth Strategy Contained in IDP/ Alignment with Spatial development Framework
Environment	Environment	Sustainability	Sustainability No degradation

Community	Community	Housing	Housing
Academia	University	Knowledge	Research, Learning, co-learning, knowledge production and knowledge co-production
	UKZN University of Westminster University College London		

- II. Secondly, we decided whose interests must be prioritised – we prioritised the interests of the **communities** and the **environment**. The community’s interests must be prioritised without causing harm and damage to the environment. Of importance are the communities’ interests and the environment which we prioritised.
- III. Thirdly, we identified the beneficiaries of this initiative as **communities**.
- IV. Fourthly we analysed the **strengths and weaknesses** of potential contributors to the scheme.

Potential contributors	Contribution	Strengths	Weaknesses
Individuals		Leadership	Elite Capture Co-optation of leaders
uTshani Fund (SA) NGOs???		Finance/funding Expertise	Assistance limited to their membership
Private construction firms/contractors		Expertise Funding Technical skills	Failure to transfer technical skills and perpetuating cheap labour.
National government		Develop Policy	Lack of monitoring and evaluation
Provincial government		Implement Policy	Competing for implementation space (finder and developer)
Municipality		Implement Policy and plans	Limited resources to implement plans
Environment	Biodiversity	Biodiversity	Vulnerable
Community		Knowledge, skills, capacity,	Lack of funding Vulnerable
University		Expertise, Research funding	

- V. Fifthly, we analysed the **threats and constraints** posed by hostile individuals, groups and organisations.

Organisation	Threats/constraints
Individuals	Competing interests
uTshani Fund NGOs???	Financial constraints
Private construction firms/contractors	?
National government	Political wheel. Policy. Bureaucracy?
Provincial government	Political wheel. Bureaucracy?

Municipality	Bureaucracy?
Environment	Cannot speak for itself
Community	Those not included may disrupt???
University	Little financial input

VI. Sixthly, we analysed the stakeholders in terms of those (This will be expanded in further work in the communities) :

- Affected by the problem;
- Those who cause the problem;
- Those who may be affected by the measures against the problem;
- Those who may contribute in dealing with the problem;
- Those who may worked against the envisaged measures;
- Any organisation, programme or project that may do similar work, in part or in full.

Issue	Stakeholders
Affected by the problem	Communities
Those who cause the problem	Communities – occupy land which does not belong to them Government – does not adequately publicise the options open to communities; does not fully consult communities; enacts policies and laws which cause the problem e.g.
Those who may be affected by the measures against the problem	Housing developers
Those who may contribute in dealing with the problem	uTshani and other NGOs
Those who may worked against the envisaged measures	Those who have been excluded
Any organisation, programme or project that may do similar work, in part or in full	NGO

Lastly, we will do an assessment of our own organisational abilities:

Item	Capabilities
Researchers	Data Collection and analysis Researchers have skills to use SPSS and Nvivo
Software	SPSS and Nvivo

We also identified the **potential benefits** to each stakeholder:

Stakeholder	Benefits
UKZN University of Westminster University College London	Toolkit tested; Knowledge co-production, students learn, publications
Community	Guidelines for ISU. Skills improvement. Housing and improved conditions
EThekweni Municipality	Access to a Toolkit (construction and environmental management systems) for

	supporting community-led upgrading in informal settlements
NGOs	Toolkit

We also devised a **communication plan** with our stakeholders as follows:

What information	Target Audience	When?	Method of Communication	Provider
Project status report		Bimonthly	Email Hardcopy Meeting	UKZN Team UK Team
		Weekly		Dr Georgiadou
	Community	Anytime		Dr Loggia (PI)
				Dr Myeni
		As required		Mrs Ojo-Aromokudu

Reed et al. (2009: 1947) observe:

Those who are affected by the outcomes of a phenomenon are likely to have an interest, and hence hold a stake, in what happens. However, to affect change, stakeholders need both interest and the power to influence what happens. Whether they have a direct interest or not, those who hold this power must necessarily be considered stakeholders.

ANALYSIS OF DATA COLLECTED – INTERACTION WITH KEY STAKEHOLDERS THROUGH THE 100 RESILIENT CITIES PROGRAMME

Focus groups discussions and interviews with some of the most important stakeholders (namely National Treasury, KwaZulu-Natal Provincial Department of Human Settlement, eThekweni Human Settlement Unit and local NGOs) have informed the mapping exercise. A crucial part of this task was the active participation to the **100 Resilient cities Programme** multi-stakeholder meetings, where the PI of the SA team (Dr Claudia Loggia) had the unique opportunity to engage with the key stakeholders of the Informal settlement Upgrading Process.

The 100 Resilient Cities Programme (100RC) for Durban is seeking to develop a Resilience strategy to address the continuous changes that the city of Durban is facing every day. One of the two Resilience Building Options defined by the 100RC team is, in fact, the **RBO1 “Collaborative Informal Settlement Action”**. In January 2017, Dr Loggia has been selected as part of the RBO1 Reference Group to work closely with the 100RC team on developing and refining the resilience strategy. The Reference group is composed of eight members chosen from local government, NGOs, CBOs, and academia. The meetings with this working group provided insights and strengthened the relationship with the Municipal officials and other key stakeholders (such as the organisation ‘PPT’—Project Preparation Trust, some local NGOs and ward councillors).

KEY IDEAS

The 100 RC team has recognised the need to rethink new perspectives on informality and accepting it as part of the city. Informal settlement is such a dynamic space that changes continuously and requires appropriate planning strategies that involve (in a meaningful way) the residents. Currently, the **housing targets** (performance goals) are reducing the approach to informal settlements to a mere set of numbers (delivery target). The key strategy to address this challenge is represented by **collaboration and partnership** between the local Government and all the other main participants. There is a **lack of understanding** about the dynamics of informal settlements and there is need for **coordinating** all the interventions from the different departments of the Municipality. Moreover, the involvement of communities in the planning is generally poor and that implies a **high level of mistrust** between Municipality and community. Communities are very different and thus responses need to be diversified. Progressive and integrated human settlement policies can be undermined by a focus on numbers (housing targets). Finally, **long-term funding** is a big challenge.

FINDINGS

The first key outcome of the 100 Resilient Cities workshops was a detailed “**Actor Map**” (attached to this document) showing the different levels of interaction and dependence between the various stakeholders involved. This Map has been discussed during multi-stakeholder workshops and accepted by the 100RC team and 100RC’s reference group for the RBO1.

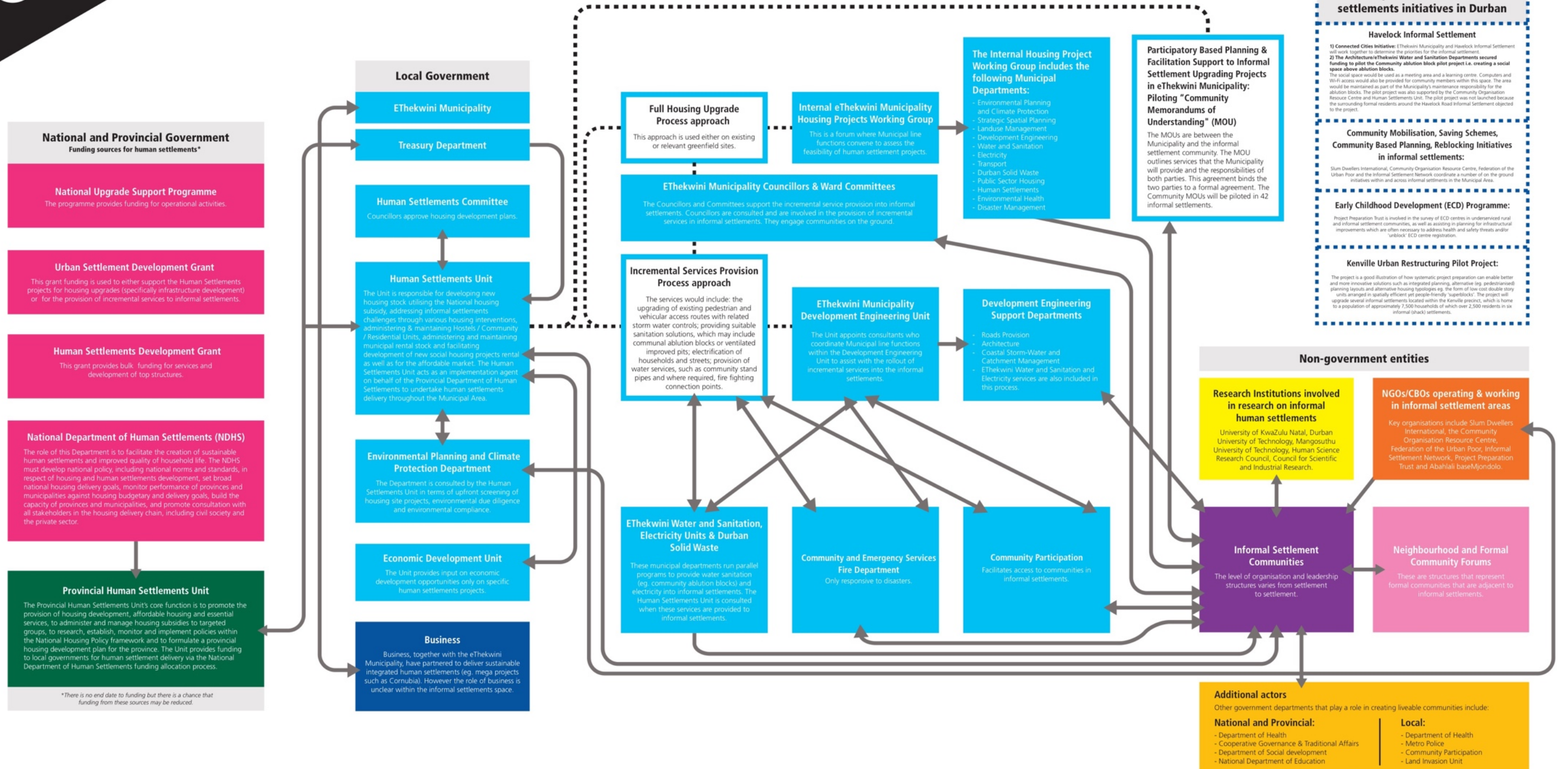
What emerged during the multi-stakeholder meetings of the 100RC Programme, is the **need for a New Approach to Informal settlement Upgrading**, with the following characteristics:

- *City wide*, inclusive of all the informal settlements;
- *Incremental* (with a range of different improvement as opposed to the traditional housing delivery);
- *In-situ*, considering relocation as a last resort;
- *Partnership-based* (instead of purely state-service oriented).
- *Participatory and more community driven* (we have been discussing extensively the importance of having communities involved actively as co-drivers, working closely with the local government.
- Programmatic and area-based (instead of project delivery focused);
- Context related, differentiated, situationally responsive (as opposed to the “one-fits-all”).
- Statutory and regulatory flexible (working *with* and not *against* informality)

A key factor has been envisaged in the need for a more functional relationship between State, urban poor and the other actors (including NGOs, CBOs, communities, academia, research institutions and private sector).

The Actor Map below, developed by the 100RC team and refined (during the several participatory workshops) shows the different types of relationships and partnerships between the key actors involved in the Informal settlement Upgrading. This map can be used as an instrument to rethink a new approach and define a more responsive toolkit for community-led upgrading.

Resilience Building Option 1. Integrated Informal Settlements Planning - Draft Actor Map



Map Key

→ Relationships between the key actors

Research Institutions

Provincial Government

Business

Human settlement responses to informal settlements

Current Initiatives

Local Government

Informal Settlement Communities

National Government

NGOs/CBOs

Processes

Neighbourhood and Formal Communities

Additional actors



After a series of meetings between the Reference Group for the RBO1 and the 100RC team, on the 30th of March, a **Draft of the Resilience strategy** has been presented to the public. The strategy is composed of eight main resilience outcomes and a set of specific interventions, with different timeframes.

The 100 Resilient Cities RBO1's outcomes have been summarised in the following table.

Outcome 1	EThekweni Municipality has a committed team of champions that are supported by coordinating institutional structures to ensure collaborative informal settlement upgrading
Outcome 2	Consolidated quantitative and qualitative community and municipal-collected data on all informal settlements in Durban is accessible to all and updated regularly
Outcome 3	EThekweni Municipality facilitates the establishment of proactive, innovative and municipal-wide partnerships to develop and execute collaborative, climate-smart and sustainable informal settlement upgrading.
Outcome 4	EThekweni Municipality secures the human and financial resources required to undertake collaborative, municipal-wide informal settlement upgrading
Outcome 5	EThekweni Municipality has enabling and integrated administrative systems and simplified regulatory procedures that facilitate the accelerated implementation of municipal-wide, collaborative informal settlement upgrading and partnerships
Outcome 6	Collaborative monitoring and evaluation of informal settlement upgrading interventions is institutionalised in eThekweni Municipality
Outcome 7	Ensure proactive management of the use of land for informal settlements in the Municipal Area.
Outcome 8	All informal settlements in the eThekweni Municipal Area exhibit improved social, economic and environmental well-being, which in turn enhances Durban's resilience

More details regarding the outcomes and the specific interventions proposed, are available at:

http://www.durban.gov.za/City_Services/development_planning_management/environmental_planning_climate_protection/About%20Durban%E2%80%99s%20Resilience%20Programm/Documents/ResilienceStrategyOutcomesandInterventionsForResilienceBuildingOption1and2.pdf

One of the task of the Reference Group (that Dr Loggia is part of) was **to map the role of each stakeholder** in all the interventions proposed to achieve the outcomes defined. Interestingly, the role of academia has been recognised as a fundamental partnership to support the Municipality and local NGOs, CBOs in understanding and consequently addressing communities' needs.

The following table shows the outcome of this important mapping exercise and in particular highlights the role of academia (in this case is indicated as 'UKZN') and research institutions in general (including also PPT, Project Preparation trust).

Outcome	Intervention	Notes	EThekwini Municipality	Comments	SASDI	Comments	PPT	Comments	UKZN	Comments	Multi-Sectoral Advisory Forum	Comments	Area-Based Forums	Comments	Time Frame	Comments
Outcome 1: <i>EThekwini Municipality has a committed team of champions that are supported by co-ordinating institutional structures to ensure collaborative informal settlement action</i>	Identify and secure a political champion and relevant administrative champions within eThekwini Municipality.	A champion is needed to ensure clear political leadership of RBO 1. It is likely that the mayor will need to play this role. Relevant administrative champions are also required to ensure strong administrative leadership. It is likely that the Deputy City Managers, Chief Strategy Officer and specific Unit Heads (e.g. Human Settlements and Engineering Units) will need to play a central role.	X	Durban's 100RC Team supported by relevant line departments											Short Term	April 2017
	Undertake a review of existing eThekwini Municipality co-ordinating structures and establish new structures or expand existing structures as required.	A number of local government structures exist, or are being planned, in relation to the coordination of informal settlement action. However, gaps do exist in coordinating work across local government departments and these need to be appropriately addressed. An important consideration in this process, is the fact that coordinating structures (and the line departments that contribute to these) need to be appropriately resourced to ensure their sustainability. An example of an existing coordination structure is the Incremental Services Technical Forum (ISTF). However, although this exists, it focuses predominantly on infrastructure. A more comprehensive structure is needed that includes Treasury Unit, Architecture Department, Economic Development Unit, Disaster Management Unit and other relevant line functions. This might be an expanded version of the existing forum (for example through additional workstreams that are coordinated by the ISTF), or something new. In addition, relevant structures are required at a smaller geographic scale to co-ordinate the action of departments in specific areas. The existing Area Based Management structures could be used, however, currently Area Based Management structures do not cover all areas where informal settlements are based. In addition, these structures do not have a specific focus on informal settlements and specific sub-structures may need to be created. In addition to structures to co-ordinate work across eThekwini Municipality's line departments, area structures where these departments and relevant non-government stakeholders for an area can meet and under take collaborative planning are required. Further discussion is needed regarding appropriate institutional coordination across all these levels.	X	Human Settlements to lead review.	X	SDI to support establishment of small geographically-based collaborative planning structures with profiling, mobilisation, sub-regions and sub-regional representatives	X	Participate	X	Participate					Short Term - Ongoing	1 Year to establish, but ongoing operation

	Establish a multi-sectoral advisory forum that can lead the debate regarding informal settlement upgrading.	This forum will advise on informal settlements upgrading but will not play a role in resource allocation. The following sectors should be represented in the forum: NGO and CBO Sector, Research Sector, Private Sector, Local Government, Provincial Government and National Government. There is no such forum currently in existence, but initial ideas around a Community Stakeholder Forum are being explored by eThekweni Municipality's Human Settlements Unit.	X	Human Settlements to lead establishment and build on ideas that have been proposed for a 'Community stakeholder forum'	X	Participate	X	Participate	X	Participate					Short Term - Ongoing	1 Year to establish, but ongoing operation
	Establish a clear policy statement regarding collaborative informal settlement action.	There are difficulties with, and different interpretations of, the terminology associated with informal settlements. Clear policy and position statements with explanations of terminology could assist in developing a common vision and understanding. In addition, policy positions need to align with provincial and national policy and there should be engagement with provincial and national government regarding this.	X	Participate as a member of the Forum	X	Participate as a member of the Forum	X	Participate as a member of the Forum	X	Participate as a member of the Forum	X	All Sectors participate as a member of the multi-sectoral advisory forum			Short Term	1 Year
	Develop an appropriate brand for the 'Collaborative Informal Settlements Action' work and a range of appropriate communication materials explaining policy positions and statements.	Given the various perspectives on informal settlements, there is a need to develop an appropriate brand that can help communicate around the intentions of the Municipality's work in promoting 'Collaborative Informal Settlement Action'. All communication materials should be available in isiZulu and English	X	Durban's 100RC Team, Human Settlements and Communications											Short Term	1 Year
Outcome 2: Consolidated quantitative and qualitative community and municipal-collected data, information and knowledge on all informal settlements in Durban is accessible to all and updated regularly	Review and understand existing information sources and other initiatives to collect information.	The National Housing Needs Register is a national database to register households and informal settlements, and completion of this register will become a national requirement for all local governments. However, the current survey questions that need to be completed for the National Housing Needs Register would need to be modified to include questions about access to, and the need for, social amenities, as well as other needs that may not already be covered by the survey. Community-collected data could feed into this process. Other processes exist in eThekweni Municipality that may be useful in assisting with the data collection process (e.g. the Municipal Services and Living Conditions Survey).	X	Human Settlements Research and City Research and Policy Advocacy Unit. The Incremental Services Technical Forum is currently beginning a process to consolidate the informal settlements projects that are happening in the EMA.			X	Support the co-development of instrument / tools for data collection and analysis. Lead some components.	X	Support the co-development of instrument / tools for data collection and analysis. Lead some components.					Short Term	1 Year

	Collaboratively prioritise the type of data and knowledge required from informal settlements.	To secure buy-in from communities, it is important to gather the information that matters to them. It will also be important to ensure that the data collected are relevant in informing the work of eThekweni Municipality officials and other processes such as the Housing Needs Register described above.	X	Participate as a member of the Forum	X	Participate as a member of the Forum	X	Participate as a member of the Forum	X	Participate as a member of the Forum	X	All Sectors participate as a member of the multi-sectoral advisory forum			Short Term	1 Year
	Support the development of a city-wide informal settlement profile and mapping exercise in which residents of each informal settlement develop their own profile and undertake digital mapping of boundaries and services.	Apart from generating new and comprehensive data for informal settlements, the intention would be for the process to begin driving transformation e.g. by establishing new partnerships for data gathering. There are precedents of successful programmes having been undertaken at scale in Ghana, Uganda, Liberia. Appropriate mechanisms for data collection (e.g. focus groups/community surveys) need to be agreed in order to maximise data accuracy.	X	eThekweni Municipality to lead the process. Community Participation to be involved.		SDI have a major role in community mobilisation, identifying community teams, training and developing profiles	X	Facilitate or lead data collection and analysis at settlement or area level. Share existing data.	X	Facilitate process. Training for data collection and analysis. Data inputs.					Short-term	1 Year
	Undertake community and municipal dialogues to jointly co-produce knowledge to identify development priorities for each settlement.	It is essential that interventions in informal settlements are linked to jointly identified priorities that are co-developed between eThekweni Municipality and informal settlement communities through a participatory planning process. This creates demand and ownership among local communities and also ensures that implementation plans are informed by what is possible for the Municipality.	X	Area-based management Offices, Community Participation and Operation Sakuma Sakhe	X	Build sub-regions and identify dialogue forums	X	Help to manage the establishment of forums	X	Participate					Short Term - Ongoing	2 to 3 years
	Establish a relevant platform to consolidate and share information regarding informal settlements.	There is currently very limited information on informal settlement communities and the information that exists is often not accessible to all stakeholders. The challenge of lack of accessible information has been consistently raised by stakeholders as an obstacle to collaborative informal settlement action.	X	Developed by Information Systems Department			X	Support	X	Assist with open source platform development					Medium Term	3 to 7 years

	Develop, in collaboration with communities, a range of accessible communication products in both English and IsiZulu to share the results of the data collection process.	One example would be to create livelihood opportunities for youth in informal settlements to produce video and multimedia content on life in informal settlements to assist with the communication of the results.	X	Durban's 100RC Team, Human Settlements and Communications	X	Identify community journalists who will participate and ensure meaningful communication at the community level									Short Team	1 Year
Outcome 3: EThekweni Municipality facilitates the establishment of proactive, innovative and municipal-wide partnerships to develop and execute collaborative, climate-smart and sustainable informal settlement upgrading.	Research relevant best practice in eThekweni Municipality and internationally, promote the management and dissemination of knowledge, and use this to inform implementation.	Project Preparation Trust (PPT) and University of KwaZulu- Natal (UKZN) are already involved in several research initiatives and the Slum Dwellers International (SDI) Secretariat can provide guidance regarding international research sources. However, it is important to be clear on what the focus of research needs to be, and how this is used as a tool to build new knowledge about informal settlements.	X	Human Settlements - Co-develop research concepts and lead certain components. All relevant departments participate.	X	Advise on international research sources	X	Co-develop research concepts and lead certain components	X	Co-develop research concepts and lead certain components					Short Term - Ongoing	Initial Research in 1 Year - but ongoing thereafter
	Explore innovative climate-smart approaches to informal settlement upgrading.	Informal settlements in Durban are at high risk from extreme weather. Climate changes that have been projected for Durban include increased temperatures and more variability in rainfall, with associated implications for human health, safety and wellbeing. Innovative, climate-smart, approaches to upgrading informal settlements are required.														
	Identify where municipal-wide partnerships are needed and the potential for various partners to contribute to implementation priorities. Possible partners include NGOs, CBOs, communities, researchers, private sector and neighbouring formal communities.	This would require that informal communities identify the role they can play in the upgrading process, and the capacities and resources they can contribute to partnerships with eThekweni Municipality. This process helps to shift the narrative from "delivery" to "partnerships" and from "demands" to "suggestions". Similarly, eThekweni Municipality will need to identify the resources and capacity it can bring to these partnerships. In addition, other potential partners should be drawn into the process from civil society, non-governmental organisations, research institutions and the private sector.	X	Participate as a member of the Forum	X	Participate as a member of the Forum	X	Participate as a member of the Forum	X	Participate as a member of the Forum	X	All Sectors participate as a member of the multi-sectoral advisory forum			Short Term	1 Year

	Establish partnerships, using relevant mechanisms, to co-produce and execute interventions that respond to the priorities identified by informal settlement communities.	Several mechanisms exist (e.g. social compacts, MOU's, Section 67 of the Municipal Finance Management Act etc.) to facilitate the development of partnerships and to structure the collaboration required. These need to be assessed for their suitability and used in appropriate ways. It should also be noted that eThekweni Municipality's Human Settlements Unit has City-Community Partnership Arrangements (CCPA's) for 42 informal settlements.	X	Line departments depending on the intervention	X	Explore MOU between SASDI and EM in relation to communities that SASDI is already involved in. Assist in role out for CCPAs to other communities.	X	Planning upgrading / participation etc. Start early with partnership formation – use / build on existing partnerships e.g. UKZN, PPT, SDI. Start now and add more later.	X	Execute / research					Medium Term	3 to 7 years
	Establish systems and funding to support and finance relevant partnerships.	Once partnerships have been established, there will be a need to proactively invest in and maintain these. Although funding is an important element in sustaining partnerships, stakeholders also acknowledged that a level of volunteerism is also still critical.	X	Line departments depending on the intervention			X	Collaborate (co-applicants) on funding proposals. Key funding however comes from government.	X	Collaborate (co-applicants) on funding proposals. Key funding however comes from government.					Medium Term	3 to 7 years
	Create public spaces that allow for the convening of community and local government meetings	Many informal settlement communities do not have appropriate spaces for residents of the informal settlement to convene discussions regarding the upgrading of their informal settlement. It is important to ensure these spaces are kept available for this purpose.	X	Architecture Department and Town Planning.	X	Identify relevant community dialogue platforms and places.	X	Help as part of upgrading							Medium Term	3 to 7 years
	Explore relevant mechanisms to facilitate mutual learning and improved relationships between eThekweni Municipality and informal settlement communities.	In order to facilitate productive partnerships, there is a need for informal settlement communities to understand how eThekweni Municipality functions and for the Municipality to better understand the informal settlement communities in which they work. This is important in helping to find common ground regarding the appropriate approach to service delivery in informal settlements. Possible mechanisms that were suggested by stakeholders to facilitate this learning, included peer-to-peer experiential exchanges between teams of local government, community and other partners from Durban and a range of partners in other cities/institutions to encourage joint learning.	X	MILE	X	Participate, coordinate and facilitate	X	Participate, co-develop and lead some exchanges	X	Participate, co-develop and lead some exchanges					Short Term - Ongoing	

Outcome 4: EThekweni Municipality secures the human and financial resources required to undertake collaborative, municipal-wide informal settlement upgrading	Identify the specific skills and human resources needed to implement and sustain priority interventions	A key challenge that has been identified is the lack of human resources with appropriate skills to facilitate collaborative informal settlement action. The first step in securing sufficient human resources is understanding what is required in this regard.	X	Use the RBO 1 workplan as a starting point for an investigation into the human resources that are needed for implementation of the plan. Lead by the Strategy Office and institutional structures created in Outcome 1.	X	Participate as a member of the Forum	X	Participate as a member of the Forum	X	Participate as a member of the Forum	X	All Sectors participate as a member of the multi-sectoral advisory forum			Short Term	1 Year
	Develop programmes to build the skills of local government and other stakeholders to execute collaborative, climate-smart and sustainable informal settlement upgrading.	This would complement and support the peer-to-peer experimental exchanges proposed in Outcome 3 by promoting the development of key skills for successful partnerships. Examples include capacitating residents of informal settlements to engage with local government and empower officials in participatory planning.	X	Municipal Academy (e.g. Dr Ngubane)	X	Participate in the development and facilitate transfer of skills at community level.	X	Training materials and provide training on new approach to upgrading.	X	Provide platform for training and provide some training.					Short Term - Ongoing	
	Estimate the financial costs associated with the implementation of priority interventions	A key challenge to the implementation of collaborative informal settlement action is the inadequacy of financial resources to implement a comprehensive programme across all informal settlements in Durban. The first step in securing sufficient financial resources is understanding the costs associated with implementation.	X	Line departments depending on the intervention	X	Assist in the process of estimating financial costs	X	Assist in the process of estimating financial costs							Short Term - Ongoing	1 Year
	Review the existing resources of eThekweni Municipality, informal settlement communities, civil society, non-governmental organisations, the private sector and research institutions and how these could be more effectively utilised, and then identify critical resource gaps.	This would involve reviewing existing resources (such as approved budgets), how these could be more effectively utilised and the potential to redirect budgets if required. Understanding the potential 'in kind' contributions from informal settlement communities (for example "sweat equity" potential) is also important. A comparison between what is needed, and what is available from the Municipality and partners, can be used to highlight critical resource gaps.	X	Conduct a review of internal human and financial resources in the municipality able to contribute to RBO 1	X	Conduct a review of internal human and financial resources SASDI is able to contribute to RBO 1	X	Conduct a review of internal human and financial resources PPT is able to contribute to RBO 1	X	Conduct a review of internal human and financial resources UKZN is able to contribute to RBO 1	X	All Sectors participate as a member of the multi-sectoral advisory forum			Short Term	1 Year

	Identify opportunities for funding and work to secure these funds.	Opportunities to secure additional funding could include approaching donors as well as specific taxes or levies. Part of this work should include exploring the potential within existing grants (e.g. Urban Settlements Development Grant) to facilitate implementation that is in line with the principles of RBO1 and to leverage innovative partnerships for funding from a diverse cross-section of national and international development partners. Existing proposals and partnerships should be assessed as part of this intervention, in order to avoid duplication.	X	Treasury, Durban's 100RC Team and relevant line departments	X	Participate	X	Prepare / package projects and initiatives.	X	Contribute and collaborate					Short to Medium Term	1 to 5 Years
	Facilitate introduction of a range community finance facilities to leverage resources from communities and development partners	Community finance facilities offer affordable finance and/or grants to organized informal settlement communities for the purpose of community managed interventions for upgrading informal settlements. National Treasury is spearheading an initiative to pilot such funds in South Africa's metropolitan areas. Financial facilities should not be limited to loan financing but could also include initiatives such as community saving schemes.	X	Participate as a member of the Forum	X	Participate as a member of the Forum. Sharing of SDI experience, facilitate the establishment of community finance facilities e.g. savings schemes	X	Participate as a member of the Forum	X	Participate as a member of the Forum	X	All Sectors participate as a member of the multi-sectoral advisory forum			Medium Term - Ongoing	
Outcome 5: EThekweni Municipality has enabling and integrated administrative systems and simplified regulatory procedures that facilitate the accelerated implementation of municipal-wide, collaborative informal settlement upgrading and partnerships	Create a transversal municipal working group that promotes appropriate statutory and regulatory flexibility and revision.	This may be undertaken by the transversal municipal working mentioned in Outcome 1, or it may be a sub-group within that larger body.	X	Overseen by Institutional Structure Created in Outcome 1											Short Term	1 to 3 Years
	Identify current or potential bottlenecks created by the existing statutory and regulatory context and undertake steps to address these.	Collaboratively identify whether blockages are related to policy intention (for example is the policy intention to prevent development in unsafe areas such as Floodplains) or application and address accordingly.	X	Working group created in the intervention above			X	Help in identifying and 'mapping' the blockages and necessary flexibilities (e.g. tenure, building regulations, ECD regulations etc.)	X	Participate					Short Term	

	Identify innovative procedures to upgrading and service delivery for informal settlements within the existing legislative and policy context.	Possible options include templates/pre-approvals and "special zones" as a vehicle for realising tenure security in informal settlements.	X	Working group created in the intervention above, Human Settlements (Extra sectoral research capacity needed) and Line departments			X	Lead role in co-developing precedents and innovations. Also, coordination and information dissemination roles.	X	Co-developing precedents and innovations and play an information dissemination role.						Short Term	
	Identify municipal systems that may need to change in order to facilitate alternative and innovative approaches to collaborative informal settlement action.	For example, changes to the Performance Management System, which is perceived as a system that does not incentivise exploratory and integrative work, may need to be considered.	X	Working group created in the intervention above and Strategy Office			X	Help map the systems blockages and possible changes								Short Term	
Outcome 6: Collaborative monitoring and evaluation of informal settlement upgrading interventions is institutionalized in eThekweni Municipality	Establish a collaborative monitoring and evaluation system for the 'Collaborative informal settlement action' resilience building option.	The evaluation system should incorporate the original 'levers for change' that were identified as critical in building resilience in Durban, in order to assess the extent to which RBO1 is contributing towards achieving these goals and building broader resilience. Communities should be involved in the feedback of information and how the information they provide is used.	X	Durban's 100RC Team and Strategy Office	X	Facilitation	X	Support	X	Support						Short Term	1 to 3 Years
	Develop and implement a collaborative monitoring and evaluation system that involves eThekweni Municipality, communities, civil society, private sector, non-governmental organisations and research organisations.	Oversight and implementation of the collaborative monitoring system would be through relevant institutional structures (to be developed as part of Outcome 1 following the institutional review).	X	Durban's 100RC Team and Strategy Office and other institutional structures depending on the results of the review in Outcome 1.	X	Participate	X	Co-implement or support implement some components (e.g. ECD, health, livelihoods etc.)	X	Co-implement or support implement some components (e.g. ECD, health, livelihoods etc.)						Ongoing	This would presumably operate for the entire life of the programme

Outcome 7: The use of land for informal settlements is proactively managed in Durban	Explore and develop appropriate governance approaches to proactively manage the emergence and location of new informal settlements in Durban.	There is a need to proactively manage the emergence of new informal settlements so that they do not put existing informal settlement residents at risk, undermine existing development plans for areas that appear to be open, or undermine important natural environment assets. This intervention may require engaging with existing legislation and associated processes, related for example to land invasion.	X	Institutional structures created as result of review in Outcome 1.												
	Develop and support appropriate community approaches to proactively manage the expansion of informal settlements in Durban.	There is a need for communities to assist in the proactive management of the expansion of informal settlements. Examples of the types of proactive management steps already taking place are: surveying of informal settlement communities (often by the communities themselves) to understand current residential status of residents; formal reblocking of communities (which can facilitate easier monitoring of existing and new dwellings); and the establishment of representative community structures that can engage more readily with eThekweni Municipality.			X	Through participation in institutional structures created as result of review in Outcome 1.	X	Through participation in institutional structures created as result of review in Outcome 1.	X	Through participation in institutional structures created as result of review in Outcome 1.						
Outcome 8: All informal settlements in Durban exhibit improved social, economic and environmental well-being, which in turn enhances Durban's resilience	Co-production by eThekweni Municipality, communities, civil society, non-governmental organisations, private sector and research institutions of climate-smart and sustainable settlement upgrading plans at an area level.	This will build on the area-level dialogue on municipal and community collected data (Outcome 2) and should facilitate more detailed co-production of community level upgrading plans. Appropriate institutional structures where these plans can be co-produced will be identified and created/expanded on following the institutional review proposed in Outcome 1.	X	Depends on the results of institutional review conducted in Outcome 1. However, all implementing departments will participate in some form.	X	Participate	X	Prepare upgrading projects, participation, facilitation, technical studies, feasibilities etc.	X	Participation and facilitation.	X	Would assist in overseeing the process	X	Would be the forum through which each area plan is developed	Short Term to Long Term	Phased approach
	Implement collaborative climate-smart and sustainable pilot upgrading approaches to address priorities raised in community-led profiling	This refers to the implementation of pilot upgrading of selected informal settlements throughout Durban. This upgrading should be climate-smart to ensure informal settlements are resilient and responsive to climate change impacts.	X	Depends on the results of institutional review conducted in Outcome 1. Specific line departments depending on plans requirements	X	Role in decision-making, planning and implementation	X	Prepare upgrading projects, participation, facilitation, technical studies, feasibilities etc.	X	Participation and facilitation.	X	Advise on implementation	X	Oversee implementation of Area Plan	Ongoing	Phased approach

	Upscale the implementation of pilot projects to ensure municipal-wide coverage.	Although pilot projects have a role to play in testing new approaches, interventions ultimately need to be introduced in all informal settlements in Durban.	X	Line departments depending on pilot	X	Getting communities ready.	X	Help plan the pipeline and if need be manage (e.g. EU project).			X	Advise on implementation	X	Oversee implementation of Area Plan	Medium Term to Long Term	
	Create employment opportunities and skills development in informal settlements linked to upgrading.	Wherever possible, the processes associated with upgrading should create employment and skills development opportunities for informal settlement communities. This could include facilitating access to Wi-Fi in informal settlements and the creation of job link centres.	X	Line departments depending on implementation	X	Participate as member of Forums	X	Informal economy support programme – micro enterprise	X	Skills development	X	Advise on implementation	X	Oversee implementation of Area Plan	Ongoing	

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ISULabaNtu Project

Community engagement strategy Protocol on research collaboration between community, NGO, academic staff and students and Municipality

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INTRODUCTION

The ESRC-NRF collaborative Project, locally referred to as **ISULabaNtu** seeks to make an important contribution in the field of Sustainable Urban Transformation and seeks to achieve 'self-reliance' in *in-situ* participatory upgrading of resource and financially constrained settlements, through *development from within the community* towards local, regional and national environmental, social and economic benefits.

The present draft document aims to encourage and assist in the formulation of research and fieldwork projects which answer to the needs of the whole society and in particular of economically weaker



groups, whose experiences often have little impact on research agendas. It is a work in progress document that will incorporate ideas and suggestions from all the participants.

We believe that establishing a trustful relationship with the community, based on reciprocal support, transparency and clarity is key in

OBJECTIVE OF THE COLLABORATION: CO-PRODUCTION OF KNOWLEDGE

The main objective of this collaboration is to engage in knowledge transfer between the UK and South Africa on how informal settlements can be transformed into sustainable and self-reliant settlements through a full participation of the community.

The research involves a multidisciplinary team of academics, students, housing experts, NGO groups and community-based researchers. The research project is to span over a period of three years and divided into six phases.

The main outcome of this research is the development and test of an integrated Toolkit (set of guidelines and instructions) to support community-led upgrading programmes of informal settlements in SA. The project will use a novel action research methodology, which will involve the co-production of knowledge with local people, community organisations, South African policy makers and practitioners. Community members will benefit from access to the finalised toolkit and training to improve technical, management and communication skills.

The interaction will give the UKZN and our UK colleagues the opportunity of getting involved with the community, in such a way that we learn from and also impart know-how to improve the living conditions in the settlements. Other benefits for the research group apart from the

learning curve is the benefit of publishing first-hand findings from the research. This research provides an opportunity for *co-learning* and *co-production of knowledge* with communities.

For this purpose, the UKZN team is committed to organise a range of community events, such as “in-field training sessions”, that we have called “critical conversations” to get feedback from the community and discuss important issues, participatory workshops, and also “awareness raising events” just before the beginning of fieldwork in a specific area.

Since February 2016, the ISULabantu team has been supported by the local NGO uTshani Fund in organising these community events and facilitating the meetings and the research activities conducted.

This is in line with the ethos of Responsible Community Engagement is a core principle for SA Research Institutions.

RESPONSIBLE COMMUNITY ENGAGEMENT (RCE)

The Responsible Community Engagement is listed as Goal two of the UKZN strategic Plan (2011-2016) and is defined as the strategy *“To contribute through knowledge to the prosperity and sustainability of our province, and to nation-building, by connecting with and committing ourselves to the communities we serve in a manner that adds value and earns their respect, admiration and trust”*.

The main aim is to engage with communities on the basis of **mutual benefit**, in such a way that there is low risk for the community, and projects are sustainable within the community after our engagement is ended. The advantages of the involvement of community are more than cost savings; they result in the kind of satisfaction that all housing project beneficiaries deserve.

Activities recognised as responsible community engagement that results in academic impact on society can be classified into three broad categories:

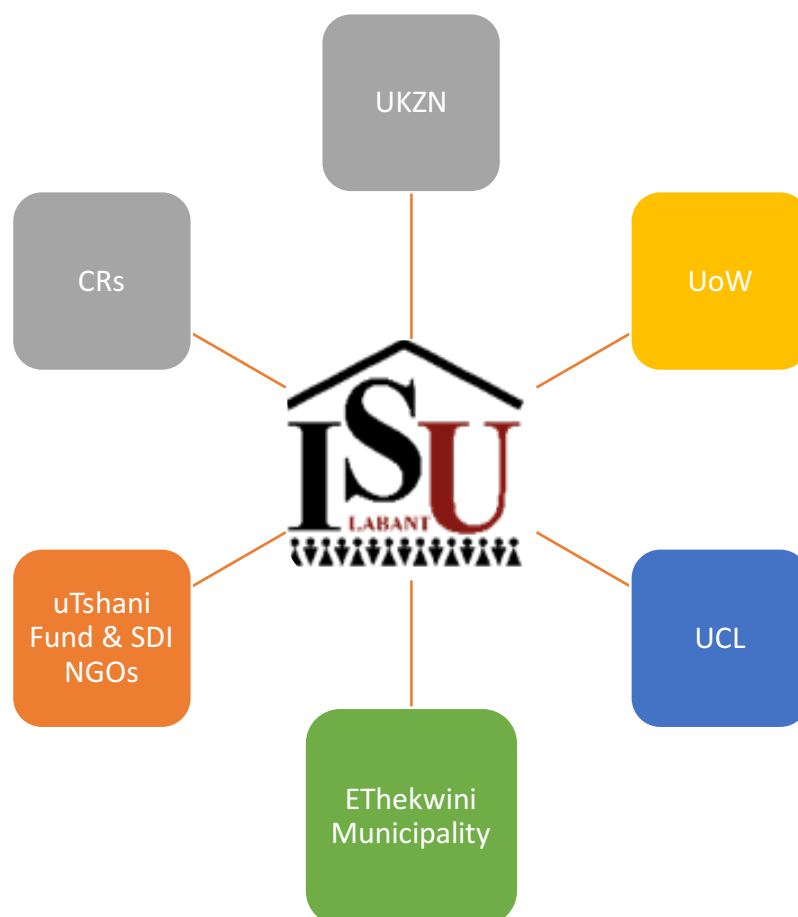
- *Community Human Capital Development activities*, which develop people outside of the University;
- *Education and training*: Activities that formally educate and train UKZN students outside the University;

- Research and Development activities, which apply research outcomes to solve community issues and societal problems, or involve communities in the research process.

The ISULabantu team has embraced this vision and is committed to achieve the project targets respecting the rules and the terms of this important engagement strategy.

PARTNERSHIP ORGANISATIONS

The present collaboration will bring together different Institutions and organisations from SA and UK, namely: University of KwaZulu-Natal (UKZN, SA), University of Westminster (UoW, UK), University College London (UCL, UK), EThekweni Municipality, uTshani Fund and SDI Alliance NGOs (SA), Community Researchers (CRs, SA).



Roles and responsibilities

- **UKZN team:** Research activities: leading Phase 1 , co-leading phases 5 and 6
- **UoW team:** Research activities : leading phase 2, 4, and co-leading phases 5 and 6
- **UCL team:** Research activities : leading phase 3
- **CRs team** Research activities: co-investigators (all the fieldwork activities)
- **uTshani Fund and SDI NGOs:** Facilitating fieldwork activities and engagement with communities, access/ data collection
- **EThekweni Municipality:** supporting and assisting the academic team (access to data, facilitating engagement with other stakeholders such as National and Provincial government, ward councillors, other research institutions, CBOs, etc.). The partnership with the Municipality is fundamental for addressing the existing GAPs between Policy and Practice.

Phase 1: Local Context and Gap Analysis (UKZN uTshani Fund + CRs) Examining factors that have helped communities in Durban upgrade their housing and communities, and barriers to upgrading.

Phase 2: Mapping Urban Transitions through Community Participation (UoW + uTshani Fund + CRs) through a participatory action-research methodology, the project team will co-produce findings on bottom-up construction and environmental management in Namibia Stop 8 and other selected case studies, with the involvement of the community living there.

Phase 3: Integrated Closed-Loop Environmental Management Systems (UCL with UKZN): Exploring the potential of closed-loop systems where wastewater generated from the case studies can be reused for agriculture; investigating the processes, partnership models and business models required to ensure resilient infrastructure is provided.

Phase 4: Skills Enhancement in Construction (Westminster + CRs+ uTshani Fund): Mapping the skills developed and enhanced through the ‘self-build’ approach adopted in NS8; transferring lessons from the UK Government Construction 2025 Strategy.

Phase 5: Developing and Testing an Integrated Collaborative Toolkit (Westminster and UKZN) Bringing together the key findings of individual Phase1 to Phase 4, this toolkit will take the form of a dynamic decision-making model which will map potential ways for communities,

businesses, policymakers and others to collaborate. It will also help to spell out the resources required and skills that will be developed, and the business models created for mobilising private sector involvement and economic growth.

Phase 6: Project Management, Communication and Dissemination (Westminster with UKZN): to communicate and disseminate findings to a varied audience. The dissemination strategy will include: project website, branding, social media, dissemination material, and dissemination events (in UK and SA).

uTshani Fund OBJECTIVES & expectations

Within the broader context of uTshani Fund's operations and its role as part of the South African SDI Alliance, the organisation's main objective with respect to this project is to support research that promises to be of benefit to the urban poor, and particularly those resident in informal settlements, by assisting with the research planning and implementation. It is expected that UF will be kept informed of all aspects of the research activities and in particular those that will impact on the communities that are part of the SASDI Alliance. It is also expected that its role as a significant collaborator is acknowledged at all times and in all fora in which the research is discussed and within any related publications.

COMMUNITY RESEARCHERS EXPECTATIONS

That the communities incorporated as "case studies" will be actively involved in the process as co-investigators and not simply objects of external research interest. That such incorporation will take the form of community members, generally from within the urban poor but where appropriate from the case study settlements, being part of the decision-making around the research. It is also expected that the commitment to the direct involvement of community members in the research results in a significant contribution to the capacity-building of those community members who are brought on board as "community-based researchers" such that they will be left with a skill they can utilise beyond this project. Finally, it is expected that the research, in one way or another, might see a transfer of resources, intellectual (skills & knowledge), financial and material, to the communities who participate. In particular, the in-field training events (twice per year), and also the focus groups organised during all the phases will offer opportunity to share knowledge and skills between academics (from UK and SA) and the community members. The

overall project is based on a collaborative learning approach, with mutual benefits for the participants.

STUDENTS' EXPECTATIONS

MSt students from UKZN will gain a real world exposure through fieldwork activities and also knowledge-transfer from Community Researchers and project team members involved. They are a fundamental part and a precious resource for the SA team, since they will assist all the fieldwork activities (data collection, training, community events). It is also expected that their contribution to the research outcomes will be acknowledged at all times and in all fora in which the research is discussed and within any related publications.

ACADEMIC INSTITUTIONS

The SA academic team from UKZN has established a strong partnership with the Human Settlements Unit of the eThekweni Municipality, together with eThekweni Water and Sanitation, eThekweni Engineering and Development Planning, Environment and Management Unit. Moreover, the Principal Investigator of the SA team, Dr Claudia Loggia, has been actively involved in the 100Resilient Cities Programme for the city of Durban and also selected to be part of the “100Resilience Cities Reference Group” (working group) for the RBO 1 (Resilience Building Option 1: Collaborative Informal settlements Action). This group consists of a total of eight members (selected from the Municipality, NGOs, CDOs, community leaders and academia) and is collaborating with the 100RC team towards the development of a resilience strategy for the Durban Metropolitan area. This important partnership with Municipality, NGOs and Civil Society will provide the ISULabantu team with the opportunity to get insights and feedback from other key stakeholders involved in the upgrading of informal settlements in South Africa. The 100 Resilient Cities Programme represents also a useful platform for up-scaling the bottom-up decision-support framework for the development of self-reliant communities (that is the expected outcome of this research).

More details regarding roles and management plan of ISULabantu can be found in the *Team Collaboration Strategy* document that has been accepted by all the parts and will be kept updated according to the development of the phases.

ETHICS POLICIES

As researchers, we have to respect some fundamental 'Ethics Policies' designed to protect the human subjects of research from breaches of confidentiality, hurt or embarrassment or other risks. Formal approvals have to be obtained by university staff and students for their projects, especially if they involve any work with young people, vulnerable adults or very sensitive topics.

This document was produced in compliance with UKZN and University of Westminster Ethics regulations (VRE Ref: 1516-0595). More information about institutional ethics can be found at:
<http://research.ukzn.ac.za/research-ethics/Overview.aspx>
<https://www.westminster.ac.uk/research/research-framework/research-ethics>.



ISUlabaNtu Project

Identification and selection of potential case studies

Baseline and testing case studies

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IDENTIFICATION & SELECTION OF POTENTIAL CASE STUDIES

INTRODUCTION

The selection and identification of the 'best available' case studies to be used in the fieldwork of phases one, two, three and five was a crucial task for Phase 1. This process was initiated by the SA team at the very beginning of the Project and involved the constant interaction with some of the key stakeholders of the Upgrading projects, namely the eThekweni Municipality and the NGO uTshani Fund. This document is the result of many consultations and focus group discussions with some Municipal officials (from the Informal settlement Unit), some uTshani Fund representatives and some community leaders.



The process consisted of identifying some settlements, preferably where in-situ upgrading interventions have been implemented, in order to identifying what constitutes "best practice" in community-led development, to develop a toolkit to be tested in some further in-situ settlements as they are subjected to upgrading and the toolkit can be further refined.

Originally, the ISULabantu team had only one case study, namely Namibia Stop 8, for the 'preliminary' case-study and Havelock for the testing. Then, reviewers of the Grant application suggested to consider alternative case studies, including also a 'worst case' in terms of community participation, and the team started the process of identification and selection.

PHASE 1 – INTERACTION WITH THE MUNICIPALITY

After some preliminary discussions with some Municipal officials, the SA team collected updated data regarding the projects currently part of the NUSP list that they have provided. Two lists of settlements which were part of the **National Upgrading Support Programme (NUSP)** initiative, which is a special programme of the National Dept. of Human Settlements, have been analysed. One list contains the upgrade projects that have been planned for short term implementation and the other a list of incremental (interim) services to informal settlements planned also for the short term. The latter list contains settlements that are eventually planned for in situ full upgrade.

The NUSP initiative has undertaken *social-economic surveys of these settlements* as well as *community capacity building* amongst others. The senior Manager at the Planning/Housing, eThekweni Municipality and his colleagues (at the Human Settlements Unit) assisted on the details. They were also able to forward us the contact names and details of the relevant project managers attached to the upgrade projects. The upgrade list excludes Havelock Road informal settlement, which is still a good candidate to consider. The above mentioned NUSP list does not represent all of the projects they (eThekweni) intend implementing, it was only a selection based on NUSP criteria and limited funding for the study.

A brief background on the **City's Integrated City Dev Grant (ICDG)** identifies the settlements location within these zones (Fig.1).

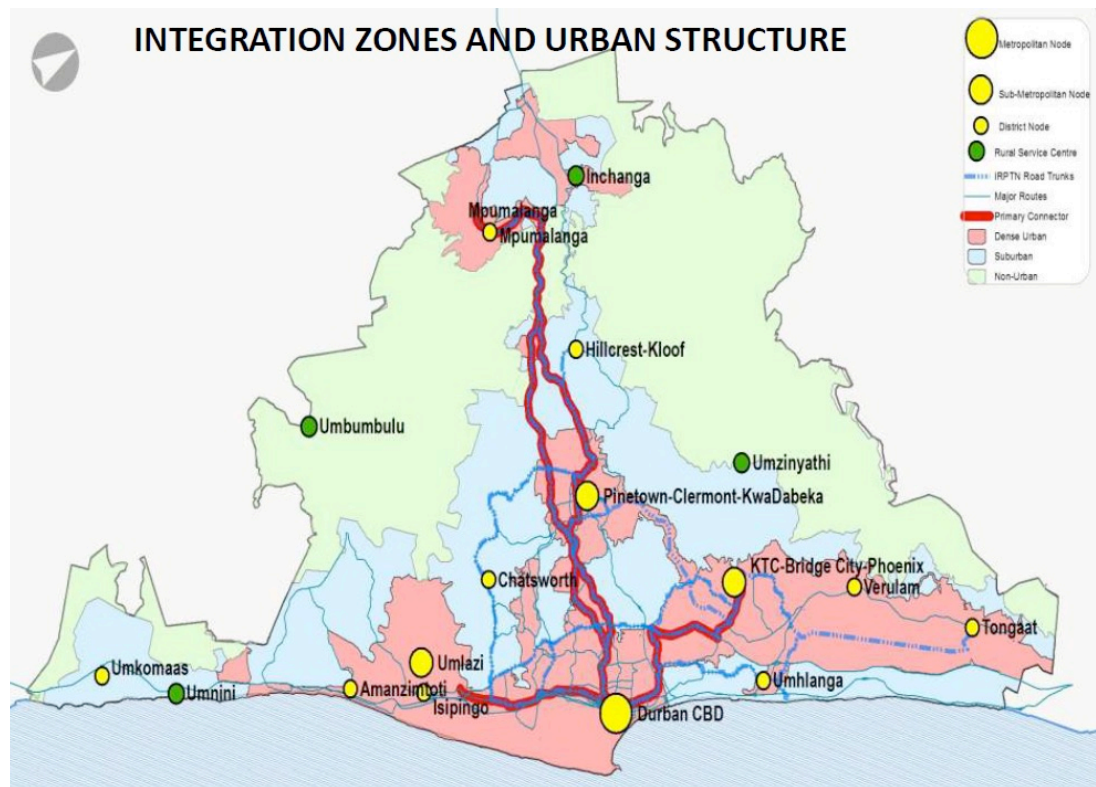


Figure 1: Integration Zones in the Integrated City Dev Grant (ICDG, 2015)

The integration Zones include integrated programmes tailored to the different kinds of areas and Categorisation of spaces and formulation of metropolitan integrated development programs for each type of space.

• Three different types of *Zones* are defined in Fig.2:

- Dense Urban
- Suburban
- Non-Urban

The Built Environment Performance Plan 2016-2017 (BEPP) identifies three Integration Zones, zones, each one of which has particular integration challenges. For each Zone there is a broad development response. The departure point for the Integration Zones is that integration should not be limited to only selected spaces making up the core of the urban fabric, but that integration must occur within the whole city – within urban areas, suburbs and non-urban areas. These have been mapped as three distinct Integration Zones. Each Integration Zone requires an appropriate integration intervention and investment program, with the aim of

making an appropriate balance between stimulating growth, meeting social pressures, and meeting constitutional and legal obligations.

Sector Support for the Integration Zone vision:

Housing and Engineering Interventions

DENSE URBAN	SUBURBAN	NON URBAN
<ul style="list-style-type: none"> • Has highest concentration of key public transport routes, infrastructure, jobs and economic activity – 90% of most jobs located here. • 48% of the population live here – ±1.8 million people, covering about 25% of the municipality's area and contain some of the densest population densities. • Contains former townships, informal settlements and dormitory suburbs. These have limited local economic development. <p>High infrastructure investments, intensive detailed planning, medium to high densities, attract private sector (social housing), innovative typologies.</p> <p>CHALLENGES</p> <ul style="list-style-type: none"> • Maintaining infrastructure and buildings • Encouraging and intensifying existing property and land for increased residential densities and economic development. 	<ul style="list-style-type: none"> • Contains low density suburbs with infrastructure but poorly connected to urban centres and jobs. Includes former white suburbs which rely on private transport. • Includes outlying former townships and informal settlements. <p>Stabilisation of settlements with services to ensure universal access on affordable standards, implementation of interim services projects, maintenance of infrastructure and services, provision of social facilities to the norms and standards agreed etc., medium densities.</p> <p>CHALLENGES</p> <ul style="list-style-type: none"> • Encouraging infill and redevelopment to increased densities and appropriate typologies. 	<ul style="list-style-type: none"> • The non-urban areas are home to 8% of the population – 313 000 people (1 out of 12 persons). • Occupies 43% (nearly half) of the municipal extent. <p>Provision of infrastructure/ services appropriate to location, implementation of interim services projects to dense informal settlements, application of rural housing subsidies where appropriate, low densities.</p> <p>CHALLENGES</p> <ul style="list-style-type: none"> • Access to social facilities and basic infrastructure (water, electricity & sanitation), and local connectivity (roads, internet) • Sustainable livelihoods

Figure 2: Integration Zones types in the Integrated City Dev Grant (ICDG, 2015)

For the purposes of this project, we have considered only “urban” areas that are the ones that accommodate the most populated settlements and are closer to the Metropolitan nodes. As summarised in Fig 2, the challenges faced by urban a non-urban areas are different as well as the necessary interventions requested from the local government to improve the living conditions of inhabitants.

PHASE 2- Criteria & Indicators developed by the academic team

In order to select the most appropriate case studies, the SA team carried out interviews and focus groups with key stakeholders of the upgrading projects implemented in the Durban Metropolitan area, namely the eThekweni Municipality and the NGO uTshani Fund. A set of criteria (Fig. 3) and related indicators have been developed by the UKZN team, based on the theoretical framework defined in Phase one, considering international and national case studies, context analysis, SA legislative and policy frameworks and stakeholder analysis.

The **key criteria** developed to identify the best available practices are:

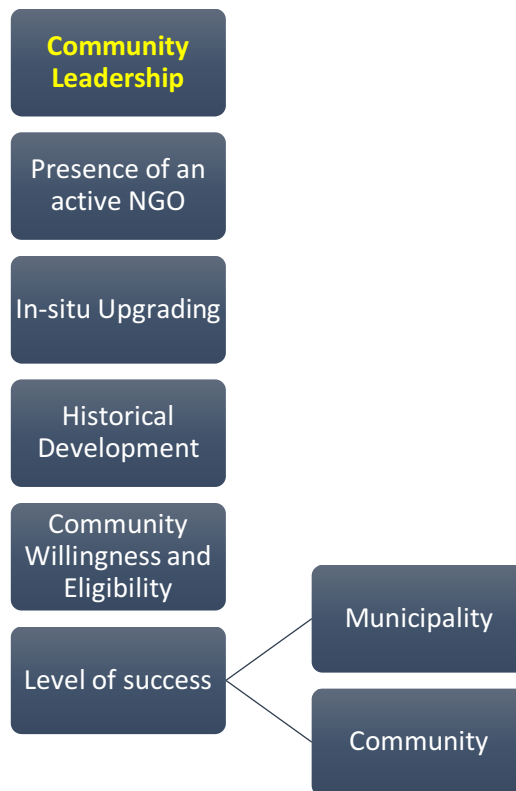


Figure 3: Key criteria to identify best available practice of community-led upgrading

The first one, *Community Leadership* refers to the community's capacity to lead, organise and mobilise resources throughout the upgrading process (that usually is instead controlled by the Municipality).

The Presence of an active NGO is one of the most important criteria to verify the **actual leadership** of the community. If the NGO is not present, the process can be merely participatory but not community-driven. The role of the NGO is facilitating the dialogue between the Municipality and the community.

In-situ Upgrading means implementing the process where the community was originally settled, (no relocations unless the inadequacy of the land is clearly demonstrated);

Historical Development is conceived as the historical origin of the settlement and factors that drove the community to occupy the land.

Community Willingness and Eligibility is interpreted as the community's drivers to upgrade the settlement. From the community perspective, this criteria implies the willingness to save money for incremental upgrading and for self-building purposes.

Level of success: which is measured differently by the Municipality and the Community. From the municipal perspective, this refers mainly to successful delivery of infrastructure and services. For the community, instead, it refers to full ownership of the project and the achievement of the real community goals.

Note: *Some important definitions, such as “in-situ Upgrading” are described more in detail in the Context Analysis section, under the “Definitions and Approaches” chapter. For more details regarding the definitions of ‘success’, the role of the NGO, the community leadership, please refer to the Focus group reports of SDI Alliance representative attached at the end of this section.*

For each one of the above criteria, specific indicators have been defined to assess the compliance with the selection requirements and provide further details, as detailed in Fig 4 below.

PHASE 3 - The interaction with the eThekweni Municipal Human settlement Unit & the Informal Settlements Programme

We have asked Mr Faizal Seedat, Senior Manager of the Planning Human Settlements Unit of the eThekweni Municipality, to assist us in selecting the cases.

Nkululeko Xulu, Principal Project Officer of the *Informal Settlements Programme*, managed to populate the selection criteria spreadsheet as requested, with the help of Project Managers responsible for the selected upgrade projects.

According to the Municipal officials, a 'good case study' is a project that:

- Has received the wider community acceptance;
- Where the local government has committed to the allocation of resources;
- Land acquisition has taken place and households have security of tenure;
- Departmental resources have been allocated towards project management, to ensure that in-situ upgrading is completed in time.

With regards to the community leaders name field, Nkululeko consulted with **local ward councillors** for each area and they have suggested to set up a meeting with the settlement we are interested in piloting for the study to allow the community itself to identify the settlement leadership, so as to avoid creating unnecessary expectations from the community (also considering we are leading up to Local Government Elections in August this year).

In most cases, the local ward councillors would be the relevant community leaders for the ward, however, communities in settlements do have their own elected representatives within each settlement in that particular ward.

Nkululeko has also included a field which reads "Project Progress" and, within this category, the JX3 informal settlement project upgrade is the only one yet completed. He will provides GIS images of this settlement which show the built houses as part of the Upgrading of Informal Settlements Programme.

Preliminary Findings - Focus group with eThekweni Municipal officials

A preliminary list of settlements provided by the Senior Manager of the Planning Unit (Human Settlements) of the eThekweni Municipality, has been analysed. The list is part of the National Upgrading Support Programme (NUSP) initiative (special programme of the National Dept. of Human Settlements) contains the upgrade projects (including in-situ) and incremental (interim) services that have been planned for short term implementation in the eThekweni Metropolitan area.

Fig 5 illustrates also the application of the criteria to the list of projects developed by the eThekweni municipality (Informal Settlement Unit of the Planning Unit). During the focus

group, Mr. Nkululeko Xulu, Principal Project Officer of the Informal Settlements Programme, filled the selection criteria spreadsheet as requested, and he selected the JX3 project as the only one meeting all the requirements. However, he suggested to use, instead of JX3, the Greylands-eMagwaveni- Phase 1, since Phase 2 of this project is expected to be an ideal example for direct comparison with Namibia Stop 8.

NATIONAL UPGRADING SUPPORT PROGRAMME (NUSP)																				
ETHEKWINI MUNICIPALITY																				
LIST OF 23 INFORMAL SETTLEMENT UPGRADE PROJECTS - 9 JUNE 2015																				
				Community leadership: yes / no		process of NGOs	In-situ Upgrading				Historical Development		Community Motivation		LEVEL OF SUCCESS					
SETTLEMENT	PLANNING UNIT	WARD	HOUSEHOLD COUNT	ICDG Zone	PROJECT PROGRESS	existing community organisations active	leaders name	Tenure security Yes / No	Land Adequacy Yes / No	Community Motivation Yes / No	Neighbourhood acceptance Yes / No	Relocated Yes/no	spontaneous occupation yes/no	socio-cultural economic	eligibility	successful yes/no	community satisfaction	living conditions	migration/ upgrades	
NORTH																				
Sim Place	Kenville	34	1040	Dense Urban		Yes in the form of settlement committees		Yes	Yes	Yes	Yes	No	No	Access to educational facilities	Access to employment opportunities	Yes				
Lacey Rad & Rainbow Ridge	Sydenham	31	181	Dense Urban / Medium & Low-Density Suburban		Yes in the form of settlement committees		Yes	Yes	Yes	Yes	No	No	Access to educational facilities	Access to employment opportunities	Yes				
Jadhu Place & Puntams Hill	Springfield	25	1200	Dense Urban		Yes in the form of settlement committees		Yes	Yes	Yes	Yes	No	No	Access to educational facilities	Access to employment opportunities	Yes				
Bhambayi Phase 1 Extension	Bhambayi / Newtown C	57	1146	Dense Urban / Medium & Low-Density Suburban		Yes in the form of settlement committees		Yes	Yes	Yes	Yes	No	No	Access to educational facilities	Access to employment opportunities	Yes				
Dikwe Masakhane	Esimangweni	55	483	Medium & Low-Density Suburban		Yes in the form of settlement committees		Yes	Yes	Yes	Yes	No	No	Access to educational facilities	Access to employment opportunities	Yes				
Kenville Phase 1	Sea Cow Lake	34	439	Dense Urban		Yes in the form of settlement committees		Yes	Yes	Yes	Yes	No	No	Access to educational facilities	Access to employment opportunities	Yes				
Redcliffe Valleyview	Redcliffe	60/59	290	Dense Urban / Medium & Low-Density Suburban		Yes in the form of settlement committees		Yes	Yes	Yes	Yes	No	No	Access to educational facilities	Access to employment opportunities	Yes				
Africa Inanda	Okhange Africa	55	767	Medium & Low-Density Suburban		Yes in the form of settlement committees		Yes	Yes	Yes	Yes	No	No	Access to educational facilities	Access to employment opportunities	Yes				
Buffelsdraai	Buffelsdraai	59	1124	Non-Urban		Yes in the form of settlement committees		Yes	Yes	Yes	Yes	No	No	Access to educational facilities	Access to employment opportunities	Yes				
SOUTH																				
Pilgrim X	Nipingo	90	389	Dense Urban		Yes in the form of settlement committees		Yes	Yes	Yes	Yes	No	No	Access to educational facilities	Access to employment opportunities	Yes				
Cato Crest Instit	Cato Crest/Cato Crest Open space	31 / 101	5287	Dense Urban		Yes in the form of settlement committees		Yes	Yes	Yes	Yes	No	No	Access to educational facilities	Access to employment opportunities	Yes				
Old and New Dunbar	Wiggins-Dunbar	29/30	1966	Dense Urban		Yes in the form of settlement committees		Yes	Yes	Yes	Yes	No	No	Access to educational facilities	Access to employment opportunities	Yes				
JX3	Umhlati J	77	398	Dense Urban	Project completed	Yes in the form of settlement committees		Yes	Yes	Yes	Yes	No	No	Access to educational facilities	Access to employment opportunities	Yes	Yes	High	Improved	None
Ezimbokodweni Qhip Khowe	Ezimbokodweni / Umbongintwini	93	360	Dense Urban / Suburban		Yes in the form of settlement committees		Yes	Yes	Yes	Yes	No	No	Access to educational facilities	Access to employment opportunities	Yes				
Welbedacht East	Welbedacht	77/72	692	Suburban / Non-Urban		Yes in the form of settlement committees		Yes	Yes	Yes	Yes	No	No	Access to educational facilities	Access to employment opportunities	Yes				
WEST																				
Sandton Phase 3	Dassenhoek Rural	12	241	Suburban		Yes in the form of settlement committees		Yes	Yes	Yes	Yes	No	No	Access to educational facilities	Access to employment opportunities	Yes				
Sandton Phase 2	Kawendogeni / Dassenhoek Rural	12 & 14	894	Suburban		Yes in the form of settlement committees		Yes	Yes	Yes	Yes	No	No	Access to educational facilities	Access to employment opportunities	Yes				
Rietvallei 1B	Fredeville	4	696	Suburban / Dense Urban / Non-Urban		Yes in the form of settlement committees		Yes	Yes	Yes	Yes	No	No	Access to educational facilities	Access to employment opportunities	Yes				
Emagpheleni Project	Clermont	22	1512	Dense Urban		Yes in the form of settlement committees		Yes	Yes	Yes	Yes	No	No	Access to educational facilities	Access to employment opportunities	Yes				
Banana City	University of Westville	23	500	Suburban		Yes in the form of settlement committees		Yes	Yes	Yes	Yes	No	No	Access to educational facilities	Access to employment opportunities	Yes				
Kloof Ext 15 + Ext 21 ph 3	Wyebank	19	657	Dense Urban		Yes in the form of settlement committees		Yes	Yes	Yes	Yes	No	No	Access to educational facilities	Access to employment opportunities	Yes				
Mpola Phase 3	Tshelimnyama - Mpola	15	496	Suburban		Yes in the form of settlement committees		Yes	Yes	Yes	Yes	No	No	Access to educational facilities	Access to employment opportunities	Yes				
Woody Glen	Mpumalanga-East	91	166	Dense Urban		Yes in the form of settlement committees		Yes	Yes	Yes	Yes	No	No	Access to educational facilities	Access to employment opportunities	Yes				

Figure 5: Selection criteria & indicators referred to the NUSP list

NOTE: It has to be noted that eThekweni Municipality has very demanding targets to achieve, such as the Outcome 8 (400.000 units to be upgraded by 2015) and they are experiencing a huge backlog on housing service delivery. Due to these constraints, there is not real interest for community driven processes that are considered more time consuming and also resource consuming. According to the officials interviewed, greenfield projects (re-development with relocation in selected areas, opposite to brownfield project or in-situ upgrading) are a faster delivery mechanism, because they are technically less complex. Although, there is political wheel at the National level for a radical change, towards bottom-up approaches. At the local level, the delivery targets are the real drivers in the attempt of eradicating informality.

(See more details in the attached *Focus group with the Municipality*).

PHASE 4 - The interaction with the uTshani Fund Officials

For the testing of the toolkit uTshani Fund suggested that we select one or two case studies that are settlements where SA SDI Alliance has a presence and one/two where they are not active, i.e. taken off the Municipal list. We aim to select cases that are not excessively impacted by previous "community-led" processes. These 'test' case-studies can be either Interim/Incremental Service upgrade projects or Housing delivery projects.

As far as the 'preliminary' are concerned, the team proposed to continue with Namibia Stop 8, even though it was a greenfield project (in phase 1) and not a case of in-situ, but it can give some insights regarding the community-led process and it will be used to test the toolkit during the phase 2 implementation (starting hopefully in 2017).

Another good case study proposed by uTshani, considering the key criteria adopted, is the completed Piesang River Project (in Inanda) which was an in-situ project from an earlier period of uTshani Fund/FEDUP community-led upgrading.

Together with uTshani Fund representatives and some community leaders that collaborate with the local NGO, the UKZN team had long discussions regarding the concepts of "community-led process", the willingness of the community, the importance of mobilisation and the land tenure challenge. The key findings have been summarised in the attached *Focus group with uTshani report*.

PHASE 5 - Selection of case studies

BASELINE CASE STUDIES

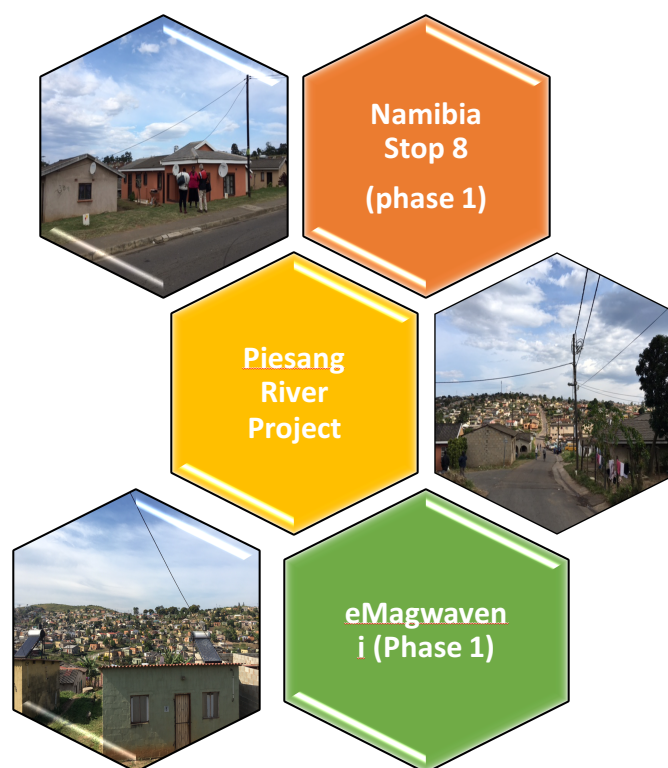
A key finding is that ***eThekweni Municipality has never practiced "community-led" upgrading***, either of interim services such as the Emagwaveni case or of housing delivery through the Enhanced People's Housing Process (EHPH) model (as defined in the "Legislative and Policy analysis" section).

In fact, instead of community-led projects, the eThekweni Municipality can only suggest some *successful* examples of "community-participation" projects that can be used for comparative purposes. (It is important to note that here the concept of "success" is interpreted as "successful delivery of services and infrastructure" as defined by the municipal officials interviewed).

Regarding the '**preliminary (baseline) case studies**' used to analyse in depth drivers and barriers of completed community led upgrading projects and the toolkit development, the following projects have been selected:

1. Namibia Stop 8, even though it was a *greenfield* site (in Phase 1) it can give insights into the community-led process and it will be used to test the toolkit during the Phase 2 implementation (starting hopefully in 2017).
2. Piesang River Project which was an in-situ project from an earlier period of uTshani Fund/FEDUP community-led upgrading.
3. Greylands – eMagwaveni (Phase 1). This was a municipality-led project which operated on the ‘community participation’ principle which had shown technical problems and no community ownership of what was installed.

Those are all areas where full upgrade to housing has been done, with different type of processes (community driven only in Phase 1 of Namibia Stop 8) and also different type of intervention (Greenfield in Namibia Stop 8 – Phase 1, in-situ upgrade in Piesang Riever and Greylands Phase 1).



TESTING CASE STUDIES

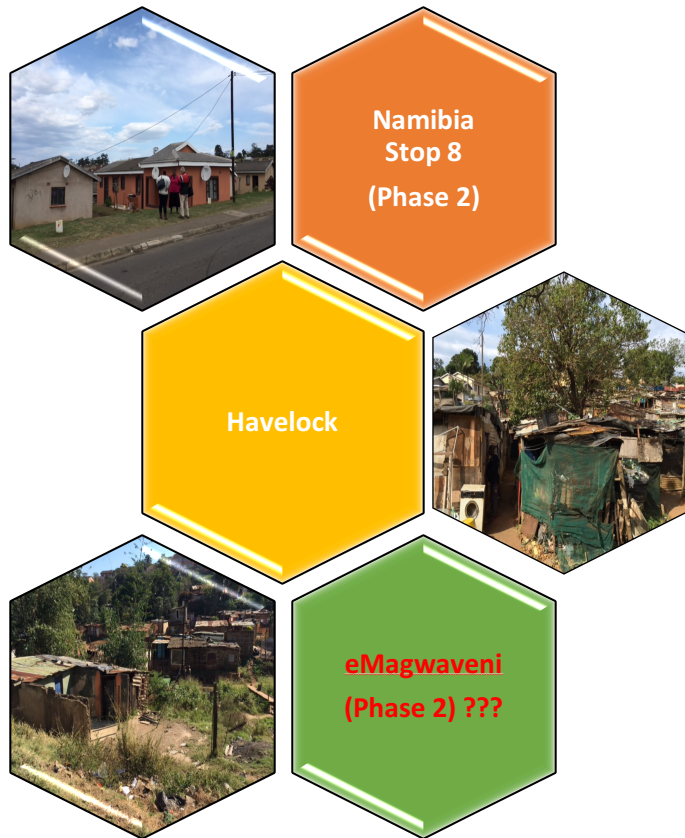
Regarding the **testing of the Toolkit**, instead, the following potential settlements have been identified:

- Within the Municipality projects:
 - eMagwaveni (Phase 2) ;
 - Banana City (within the UKZN Westville Campus);
 - Cato Crest.
 - Havelock
- Within the SASDI Alliance:
 - Namibia Stop 8 (Phase 2);

- Havelock Rd;
- KwaMathambo (ward 34);
- Malandeni;
- Foreman Rd;
- Kenville Village.

The idea is that one, maybe two, from each of the Municipality and SASDI Alliance lists will be chosen nearer the time of the testing. This choice is dependent on whether or not an upgrading project (full upgrade to housing or incremental services upgrade) is being initiated in the particular settlement.

Interestingly enough, **Havelock** revealed some signals of community participatory initiatives. In fact, in 2012, the settlement conducted an in-depth enumeration of the shacks. After extensive mobilization, the leadership from Havelock was invited to meeting in Mayville where they heard about the saving scheme and advice and solutions on how *ISN* (Informal Settlements Network) methods can offer assistance to communities. This strengthened the relationship between the community and ISN. Workshops were hosted to train community-based enumerators in understanding the questionnaire, and thereafter, capturing the data on CORC provided computers. The initiation of the enumeration exercise saw the establishment of four teams: a data collection, a numbering team, a measuring team and a mapping team. The data was captured, and returned to the community where the dataset was verified. Moreover, the dataset was spatially referenced via Geographical Information System (GIS). The results were presented to the eThekweni metro. Currently, the metro (and also the National Treasury) seems to be very interested in re-blocking this settlement.



Limitations and constraints

Considering the uncertainty of these processes (due to political issues, bureaucracy, etc.) the choice of the testing cases might change according to the availability of projects. In fact, if at the time of the testing there is nothing happening in any of these settlements we reserve the right to make a selection of Municipal and SASDI Alliance projects outside of these lists.