Land and Settlement Development
Research Study

Report on:

Housing Project Life Cycle

2013

Prepared by:
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1. Executive Summary

This report aims to provide an overview of housing delivery in the province in the context of Strategic Planning, Housing Programmes and Projects and key challenges being faced.

Housing demand in municipalities is generally being reported as broad, rounded off figures. In terms of responding to such reported demand, it is not always clear whether a clear strategy is in place to assist in prioritising allocation of scarce resources.

Human Settlement Development in South Africa is first and foremost guided by National policy, that cascades down to inform planning and delivery at Provincial and Local Government level. Policy and strategic documents guiding Human Settlement exist at the various levels of Government, ranging from National, Provincial, Local to associated local community structures. At national level these include, amongst others, the Constitution, the Freedom Charter, the Botshabelo Housing Accord, the Comprehensive Plan for Human Settlements Development, the National Housing Code, the Medium Term Strategic Framework 2009 – 2014 and Outcome 8 Targets. Provincial policy and strategic documents include the Provincial Growth & Development Plan, Provincial Spatial Development Plan and Provincial Multi-Year Housing Development Plan. Municipal policy and strategic documents include IDP’s, Housing Development Plans and Sector Plans. The formulation of policy and plans is expected to be a reiterative two-way process, where not only National and Provincial policies and plans should guide local level strategic decision making, but the housing voice (community level participation) is also expected to inform local government based planning and prioritisation. This in turn should help to inform provincial and national planning and policy formulation and review.

The Human Settlement development process is broken into two broad categories, namely, the Human Settlement Programme Cycle and the Human Settlement Project Cycle.

The report provides a summary of the challenges / issues / problems identified in the Human Settlement Development Programme Cycle and proceed to make recommendations on possible solutions for each. It also reflects on the phases, steps and required outcomes of the Human Settlement Development Project Cycle and lists the challenges / issues / problems and proposed solutions related to each.

The report concludes by highlighting the opportunities for communities to participate in the Human Settlement project cycle delivery process.
2. Introduction

The Purpose of this report is to:

- Provide facts about housing demand and delivery in the Eastern Cape
- Explain all the plans needed in the build-up to Human Settlement projects
- Explain the typical Human Settlement processor project life-cycle
- Identify issues/challenges at various stages of the process
- Make recommendations for responding to issues and challenges in the process
- Provide a checklist to assist with navigating the process
- Provide a summary by using the concept of a pipeline
- Uses diagrams and graphics to help illustrate the above

3. Housing demand and supply

Housing demand, reflected in Municipal Housing Sector Plans (HSP’s), often consists of broad, rounded off figures stated to be total housing backlog or demand. What became clear in the most recent review of the Sector Plans for all 39 Municipalities in the Eastern Cape (ECDHS 2011-2012 review) is that the reported demand by municipalities and the expressed demand (if one had to consult in detail with communities) often vary greatly and that Municipal HSP’s often include inflated and over-simplified figures. Reasons for this are likely to include the following:

- Demand estimates are based on income statistics alone and are assuming all households within the qualifying income brackets are in need of housing.
- Appropriate level of detail and differentiation between expressed demands, statistics on real number of inadequate shelters and rental/temporary versus permanent homes are not considered.
- Figures are inflated in the hope of increasing the allocation of funding to the municipality.

In the last review of the Human Settlement Sector Plans of Municipalities in the Eastern Cape, an attempt was made to provide a more realistic description of demand in terms of the various funding programs, for example Rural, Informal Settlement Upgrade, Rental and Special Needs. The HSP review also reflected on Census data that lists the number of households residing in brick, traditionally built or temporary structures. The aim of this was to differentiate between households that may qualify for housing assistance (in terms of income criteria) and households that reside in inadequate shelter and are truly in need of adequate shelter. The trend in a number of municipalities has been to assume that all traditionally built structures are inadequate, and that each household that qualifies for a subsidy in terms of the qualifying criteria is considered to be part of the housing demand.

In terms of delivery targets and actual delivery, the Eastern Cape Department of Human Settlement’s performance is described in the table below:

<table>
<thead>
<tr>
<th></th>
<th>2011/2012</th>
<th>2012/2013</th>
<th>2013/2014</th>
</tr>
</thead>
<tbody>
<tr>
<td>Target Sites</td>
<td>Actual Delivery</td>
<td>Target Units</td>
<td>Actual Delivery</td>
</tr>
<tr>
<td>21 653</td>
<td>5 990</td>
<td>20 407</td>
<td>14 498</td>
</tr>
</tbody>
</table>

Source: Presentation to the Portfolio Committee on Human Settlements, 14 May 2013
In terms of responding to reported demand, it is not always clear whether a clear strategy is in place that identifies the extent of land needed (based on the type of housing and expressed need), the identification of suitable land parcels and the land targeted for acquisition. The SDF’s of some municipalities do however include identification of land for future residential expansion.

It is further also not clear whether there is a strategic provincial policy (and criteria) to assist in prioritising allocation of subsidies based on, for example, strategic economic growth points, areas of greatest need (worst off areas) or types of beneficiaries. The focus on rural projects appears to be popular seeing that rural projects are not affected by bulk infrastructure constraints or lengthy township establishment processes and therefore deemed as easier to implement.

It can safely be concluded that demand will always outnumber supply, especially if demand is considered to include every single household living in a traditionally constructed dwelling or every single household that qualifies for a subsidy in terms of the government housing subsidy criteria.
4. High Level Human Settlement Development Policy and Strategic Plans

Human settlement development in South Africa is first and foremost guided by national Policy, that cascades down to inform planning and delivery at Provincial and local Government level. The following section provides a breakdown of the policy and strategy at the various levels of Government, ranging from National, Provincial, Local to associated local community structures.

A. National

The Constitution

The South African Constitution, 1996 enshrines the right of everyone to have access to adequate housing and makes it incumbent upon the State to take reasonable legislative and other measures within its available resources to achieve the progressive realization of this right.

In response to this Constitutional imperative, Government has in terms of the Housing Act, 1997 (Act No 107 of 1997) introduced a variety of programmes which provide the poor households access to adequate housing.

Ten years after the introduction of the housing programme in 1994, a comprehensive review was undertaken of the outcomes of the programme and the changes in the socio-economic context in the country. This lead to the approval of the Comprehensive Plan for Sustainable Human Settlement commonly referred to as “Breaking New Ground” or “BNG”, by Cabinet in September 2004.

Building progressively on the Constitution, 1996 and the 1994 Housing White Paper, the Comprehensive Plan provides the enabling environment for the coordinated implementation of South Africa’s core human settlement creation objectives by the three spheres of Government, civil society and the private sector.

The detailed delivery is given further focus over the period 2011 – 2014 by the Outcomes 8 objectives, targets and strategy for the province that come from the delivery intent of the Minister of Human Settlement.

The Freedom Charter

As the struggle for freedom reached a new intensity in the early fifties, the ANC saw the need for a clear statement on the future of South Africa. The idea of a Freedom Charter was born, and the Congress of the People Campaign was initiated.

During this campaign the ANC and its allies invited the whole of South Africa to record their demands so that they could be incorporated in a common document. The document would be accepted at the Congress of the People and would become the Freedom Charter. Thousands of people participated in the campaign and sent in their demands for the kind of South Africa they wished to live in. These demands found final expression in the Freedom Charter.
The campaign for the Congress of the People and the Freedom Charter united most of the liberation forces in South Africa. It served to consolidate an alliance of the anti-apartheid forces of the 1950s composed of the African National Congress, the South African Indian Congress, the South African Coloured People’s Congress, the South African Congress of Democrats and the South African Congress of Trade Unions (SACTU) into a non-racial united front known as the Congress Alliance.

**The Botshabelo Housing Accord of 1994**

On 27 October 1994, a historic landmark was reached, when a national housing strategy was launched at Botshabelo, near Bloemfontein. About 600 delegates from all walks of life attended the conference. The Botshabelo National Housing Accord that entrenched the principles of the Reconstruction and Development Programme was launched (Free State, 1997, Olufemi, 1997, Bolnick and Mitlin, 1996). The Declaration constituted commitments by individual signatories, such as the government, civil society, the private sector and NGOs to house all South African citizens on a progressive basis (Olufemi, 1997). The product would be adequate, and affordable permanent residential structure, with secure tenure, a safe environment of peace and dignity, sufficient water, sanitation, electricity, transport facilities and adequate land for housing development (Achiever, 2004; Free State, 1997; and Glasser, 1994).

**The Comprehensive Plan for Human Settlements Development**

Cabinet in 2004 approved the Comprehensive Housing Plan (CHP) for the Development of Integrated Sustainable Human Settlements (Breaking New Ground [BNG]) that aims, among other things, to eradicate informal settlements in South Africa in the shortest possible time.

The BNG incorporates principles such as the:

- integration of subsidised, rental and bonded housing
- provision of engineering services at a higher level than many other townships, and applied consistently throughout the township
- provision of ancillary facilities such as schools, clinics and commercial opportunities.

As part of the CHP, government provides a house with two bedrooms; a separate bathroom with a toilet, shower and handbasin, a combined living area and kitchen with a washbasin, and a ready board electrical installation where electricity supply is available in the township, to qualifying households earning less than R3 500 a month.

**National Housing Code that sets out the various funding instruments or subsidy programs**

The National Housing Code, 2009 sets the underlying policy principles, guidelines and norms and standards which apply to Government’s various housing assistance programmes introduced since 1994 and updated.

**The Medium Term Strategic Framework 2009 – 2014: Government’s Strategic Priorities**

The fourth democratic elections ushered in a new electoral mandate which defines the strategic objectives and targets of government for the period 2009 – 2014. This Medium Term Strategic Framework (MTSF, 2009 – 2014) builds on successes of the 15 years of democracy. It is a statement of intent, identifying the development challenges facing South Africa and outlining the medium-term strategy for improvements in the conditions of the life of South Africans and for our enhanced contribution to the cause of building a better world.
The MTSF base document is meant to guide planning and resource allocation across all spheres of government. National and provincial departments in particular will need immediately to develop their five-year strategic plans and budget requirements, taking into account the medium-term imperatives. Similarly, informed by the MTSF and their 2006 mandates, municipalities are expected to adapt their integrated development plans in line with the national medium-term priorities.

**Outcome 8 Targets**

In 2010 Government has agreed on 12 outcomes as a key focus of work up to 2014. Each outcome has a limited number of measurable outputs with targets. Each output is linked to a set of activities that will help achieve the targets and contribute to the outcome.

Each of the 12 outcomes has a delivery agreement which in most cases involves all spheres of government and a range of partners outside government. Combined, these agreements reflect government’s delivery and implementation plans for its foremost priorities.

Building on the foundation of the Freedom Charter, the White Paper on Housing, the Housing Act and the Comprehensive Plan for the Creation of Sustainable Human Settlements, the president in the State of the Nation Address of 3rd June 2009 confirmed that the human settlements future in South Africa must at least consist of:

- Development of suitably located and affordable housing (shelter) and decent human settlements
- An understanding that human settlements are not just about building houses
- Transforming our cities and towns (moving towards efficiency, inclusion and sustainability); and
- Building cohesive, sustainable and caring communities with improved access to work and social amenities, including sports and recreation facilities (community development and optimal access/inclusion).

Sustainable human settlements and an improved quality of human life are defined in terms of the following 4 outcomes.

**Output 1:** Upgrading 400 000 units of accommodation within informal settlements

**Output 2:** Improving access to basic services

**Output 3:** Facilitate the provision of 600 000 accommodation units within the gap market for people earning between R3 500 and R12 800

**Output 4:** Mobilisation of well-located public land for low income and affordable housing with increased densities on this land and in general

**Human Settlement programmes and code**

In summary, the national priorities for Human Settlement development are determined by:

- Cabinet Lekgotla - where the Cabinet sets its national agenda
- SONA - Annual State of the Nation Address by the President, an opportunity for the President to take stock of the country’s domestic and foreign situation and to chart a common direction that we should take to enhance our efforts to achieve a better life for all.
MTSF - The five-year Medium Term Strategic Framework is to be used by government as a guide to planning, developing South Africa, allocating resources and for performance evaluation

Outcome 8 delivery agreement

Based on these national priorities, funding is allocated to the various provinces. The 2013/2014 financial year allocation is reflected in terms of the various funding categories. These funding categories are based on the Human Settlement programmes in the housing code, which can broadly be summarized as follows:

- **IRDP** - The Integrated Residential Development Programme (IRDP) provides for the acquisition of land, servicing of stands for a variety of land uses including commercial, recreational, schools and clinics, as well as residential stands for low, middle and high income groups. The land use and income group mix will be based on local planning and needs assessment.
  - Planning and Services
  - Top Structures

- **Informal Settlement Upgrading** - Seeks to upgrade the living conditions of millions of poor people by providing secure tenure and access to basic services and housing.

- **Emergency Housing** - During the process of upgrading informal settlements, it may be necessary to temporarily re-house households while services are being installed or formal houses are being built on sites previously occupied by informal structures. Likewise it may be necessary to provide temporary housing relief to households in stress following natural or man-made disasters (eg. where settlements have been destroyed by fire or houses have been rendered uninhabitable by storms and need to be repaired).

- **Social Housing** - The Social Housing Programme applies only to “restructuring zones” which are identified by municipalities as areas of economic opportunity and where urban renewal/restructuring impacts can best be achieved. The Programme also aims at developing affordable rental in areas where bulk infrastructure (sanitation, water, transport) may be under-utilised, therefore improving urban efficiency.

- **Institutional Subsidies** - to provide capital grants to social housing institutions which construct and manage affordable rental units. The Programme also provides for the sale of units by the social housing institution after at least four years have lapsed.

- **Community Residential Units Programme** – Community Residential Units Programme (CRU) aims to facilitate the provision of secure, stable rental tenure for lower income persons/households. The Programme provides a coherent framework for dealing with the many different forms of existing public sector residential accommodation.

- **Individual Subsidy Programme** – to provide access to state assistance where qualifying households wish to acquire an existing house, serviced stand linked to a house construction contract through an approved mortgage loan.
• Rural Housing (rural subsidy) - deals with the rules for housing subsidies for housing development on communal land registered in the name of the state or which will be held by community members subject to the rules or custom of that community. It is a pre-requisite for the allocation of subsidies under the Programme that a beneficiary community member provides proof of uncontested land tenure rights and qualifies for a new order tenure right on the portion of land allocated to him or her.

• Consolidation Subsidy Programme – where households received serviced sites in terms of the state housing schemes instituted pre-1994, this subsidy provides for the completion of houses on serviced sites.

• Rectification - to facilitate the improvement of state financed residential properties created through State housing programme interventions during the pre-1994 housing dispensation that are still in ownership of the public sector institution and/or that were disposed off to beneficiaries.

• Enhanced Peoples Housing Process - The People’s Housing Process is a government housing support programme that assists households who wish to enhance their houses by actively contributing towards the building of their own homes. The process allows beneficiaries to establish a housing support organisation that will provide them with organisational, technical and administrative assistance. Training and guidance on how to build houses are also supplied. Participation in the process is regarded as a contribution towards the achievement of their housing opportunities and the compulsory requirement for a financial contribution is thus not applicable.

• Farm Residents Housing Assistance Programme – provides capital subsidies for development of engineering services and adequate houses for farm workers and occupiers in a variety of scenarios

Other Programmes:

• FLISP (Finance Linked individual Subsidy Programme) - is an instrument that assists qualifying households by providing a once-off down payment to those households who have secured mortgage finance to acquire a residential property for the first time.

• Land acquisition for Housing Development – pro-actively identifying and acquisition of land for human settlement provision.

• Enhanced Extended Discount Benefit Scheme - The policy framework and implementation guideline for an Enhanced Extended Discount Benefit Scheme (EEDBS) were specifically formulated and implemented to support decisions made regarding the transfer of pre-1994 housing stock and is intended to stimulate and facilitate the transfer of public housing stock to qualifying occupants.

• Blocked Projects– funding specifically targeting projects that have come to a stand-still (to undertake required activities to facilitate completion of such projects)
B. Provincial

**Provincial Growth & Development Plan**

The Eastern Cape PGDP (2004 – 2014) provides a strategic framework, sectoral strategies and programmes aimed at achieving a rapid improvement in the quality of life for the poorest people of the Province. In order to achieve this, the PGDP sets out a vision with quantified and sequenced targets in the areas of economic growth, employment creation, poverty eradication and income redistribution for the ten-year period 2004-2014. The strategy framework for growth and development is expressed in terms of six strategic pillars, of which the pillar for Social Protection and Basic Service Delivery relates to Human Settlement Development (Housing) targets.

**Provincial Spatial Development Plan**

The EC Provincial Spatial Development Plan takes its strategic approach from the six pillars of the revised Provincial Growth & Development Plan (EC PGDP, 2010) 2010. The PSDP has introduced a set of general and overarching core values additional to those contained in the NSDP and DFA; identified as the following:

- Environmental integrity and sustainability;
- Safeguarding all natural resources;
- Densification;
- Integrated Land Use;
- Economy and efficiency of development;
- Achieving synergy and linkages between urban and rural areas;
- Participatory community based planning as a basis of going forward; and
- Emphasis being placed on “brownfield” development before adopting “greenfield” development.

**Provincial Multi-Year Housing Development Plan**

The Provincial Multi-Year Housing Development Plan aligns with national and provincial policies and programs to deliver on Government’s aim of creating integrated sustainable human settlement. The plan identifies key challenges and formulates a response to such challenges in terms of short, medium to longer term strategies for human settlement development.

C. Municipal

All municipalities are obliged by the Municipal Systems Act [Act 32 of 2000] to compile Integrated Development Plans [IDPs] that would serve to give strategic direction over a given period in terms of planned and desired development.

Also in terms of the Housing Act, Act 107 of 1997 municipalities have to develop and implement Housing Development Plans that talk to the Provincial Multi-Year Housing Development Plan, these are known as Municipal Housing Sector Plans (MHSP) or Housing Chapters of IDPs.
Municipalities have to ensure the linkages and/or alignment between the IDPs and MHSPs, the MHSP and the Housing Conditional Grant Business Plan (component of Provincial Multi-Year Housing Development Plan), MHSPs with other Provincial imperatives (ie. PGDP, PSDP) and national priorities (viz. Outcome 8 & BNG).

D. Community

National Housing Code stipulates that “It is a pre-requisite for the allocation of subsidies under the Rural Housing Programme that: Members of the beneficiary community must participate in all aspects of the Human Settlement development that is planned and will be undertaken”.

Municipalities also have to ensure that their Human Settlement Sector Plans or Housing Chapters of IDPs include what is referred to as the Housing Voice, which captures the details of the local residents’ expressed needs and priorities for Human Settlement.
5. The Human Settlement Development Process

The Human Settlement development process (or life-cycle) can be broken into two broad categories.

A. **The Human Settlement Programme Cycle**: This cycle looks at how national and provincial policy and programmes influence municipal Human Settlement policy and programmes, and how Human Settlement projects should be identified at a local level.

B. **The Human Settlement Project cycle**: This cycle starts from once a Human Settlement project is identified until it is completed and evaluated.

### 5.1 Human Settlements Programme Cycle

The various plans and policy directives that relate to Human Settlement, from National Government, Provincial Government and Local Municipal level to local community level guide the formulation, structuring and periodical review of Human Settlement Development Programmes. The plans and policy directives also assist to inform the prioritisation of delivery of housing and associated allocation of budgets in terms of:

- Most appropriate funding mechanism (types of housing interventions and associated funding mechanisms), and
- Priority areas for delivery (priority areas in terms of basic human needs, strategic growth points and areas of opportunity).

The formulation of policy and plans is expected to be a reiterative two-way process, where National and Provincial policies and plans not only guide local level strategic decision making, but the housing voice (community level participation) is expected to also inform local government based planning and prioritisation, which in turn should help to inform provincial and national planning and policy formulation and review.

Based on the principle of Integrated Strategic Planning and Integrated Sustainable Human Settlements, it is expected that the Human Settlement Development Plan priorities should inform prioritization and programming of other sector plans' prioritisation. Examples of associated sector plans include Water and Sanitation Services Sector Plans, Transportation Plans, Electrification Plans etc.
Challenges, Issues and Problems in Human Settlement Programme Cycle

The following serves as a summary of the challenges / issues / problems that have been identified in the Human Settlement Development Programme Cycle:

<table>
<thead>
<tr>
<th>ISSUES</th>
<th>POSSIBLE SOLUTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lack of clarity on actual demand for housing. Many people actually have two homes (and urban and a rural home for example). Many people may qualify for subsidy but their housing situation is adequate. Many traditional dwellings for example are of adequate quality and standard.</td>
<td>Improve definitions of what constitutes housing demand. Improve systems of collecting data on housing need. Institute systems to verify and cross reference claims of housing demand.</td>
</tr>
<tr>
<td>Weak match between identified housing demand and land identification needs in area to address this need.</td>
<td>Pro-active land need quantification, identification and acquisition</td>
</tr>
<tr>
<td>Housing identification and prioritisation not adequately matched to economic and other strategic opportunities in the country, province and municipality, leading to housing projects often being approved in areas of decline and lack of economic opportunity.</td>
<td>Formulate clear criteria for identification, prioritisation and allocation of funding</td>
</tr>
<tr>
<td>Lack of proactive comprehensive integrated planning for housing – no long term cohesive, integrated strategic approach that guides funding prioritisation and allocation from the various sector departments on which housing delivery depends.</td>
<td>Improve integrated planning</td>
</tr>
<tr>
<td>Lack of integration of Human Settlement priorities in other sector plans’ prioritisation (eg. Land access, bulk infrastructure, social facilities and economic development)</td>
<td>Improve intergovernmental co-operation</td>
</tr>
<tr>
<td>Lack of sense of urgency from municipalities in responding to the information required and requested for the Project</td>
<td>Templates developed for municipalities to just populate the required information</td>
</tr>
<tr>
<td>HSP review process lagging behind IDP processes – no opportunity for integration</td>
<td>Province to coordinate program for review of sector plans, alignment and integration</td>
</tr>
<tr>
<td>Fragmented planning processes at Provincial and at municipal level – not aligned</td>
<td>Province to coordinate program for review of sector plans, alignment and integration</td>
</tr>
<tr>
<td>Limited capacity at Provincial level( shortage of staff) for effective monitoring of implementation of MHSPs</td>
<td>Capacity building and training</td>
</tr>
</tbody>
</table>
5.2 Human Settlement Project cycle

Outline of project cycle

A typical Human Settlement Development Project cycle consists of a number of phases, each including a number of steps, requiring particular outcomes in order to allow progressing to the next phase.

The following table summarises the overall project life cycle phases and steps:

<table>
<thead>
<tr>
<th>HOUSING PROJECT CYCLE</th>
<th>1</th>
<th>PROJECT APPLICATION/ PRE FEASIBILITY PHASE</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>STEPS</strong></td>
<td><strong>OUTCOME</strong></td>
<td></td>
</tr>
<tr>
<td>1.1 Confirming Municipal Commitment</td>
<td>Council Resolution</td>
<td></td>
</tr>
<tr>
<td>1.2 Project Agreement</td>
<td>Signed Agreement</td>
<td></td>
</tr>
<tr>
<td>1.3 Feasibility Funding Application</td>
<td>Feasibility Study funding</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2</th>
<th>FEASIBILITY PHASE</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>STEPS</strong></td>
<td><strong>OUTCOME</strong></td>
</tr>
</tbody>
</table>
| 2.1 Securing Land Ownership | • PTOB or Vesting agreement in place for State Owned Land (non-communal)  
• Community Resolutions in place i.t.o. IPILRA for Communal State Land  
• Municipal Owned Land  
• Signed Agreement for Parastatal Land  
• Expropriation order or signed agreement for privately owned land |
| 2.2 Check for Restrictive Conditions of Title | Removal of Restrictive Conditions |
| 2.3 Check for Servitudes or Caveats affecting land | Servitudes/ Caveats accommodated or cancelled |
| 2.4 Confirmation of land claims | Clearance from RLCC |
| 2.5 Physical Site suitability | • Slopes less than 1:5 excluded  
• Geotechnical conditions Confirmed Suitable  
• Flood risk areas excluded  
• Environmentally sensitive areas excluded  
• NEMA Listed activities identified |
| 2.6 Infrastructure Aspects | |
| Sanitation | • Geotechnical suitability confirmed for VIP/Dry System  
• Water Bourne Bulk Capacity Confirmed |
| Water | Bulk capacity confirmed |
| Electricity | Bulk capacity confirmed |
| Access Roads | Connector Road available |
| 2.4 Beneficiary Registration and Screening | Screened list available |
| 2.5 Integration | |
| Health | Health Facilities Confirmed Adequate / Need identified |
| Security | Security Services Confirmed Adequate / Need identified |
# HOUSING PROJECT CYCLE

<table>
<thead>
<tr>
<th>STEPS</th>
<th>OUTCOME</th>
</tr>
</thead>
<tbody>
<tr>
<td>Local Economic Development</td>
<td>LED Confirmed Adequate / Need identified</td>
</tr>
<tr>
<td>Transport</td>
<td>Transport Facilities and Services Confirmed Adequate / Need identified</td>
</tr>
<tr>
<td>Education</td>
<td>Education Facilities Confirmed Adequate / Need identified</td>
</tr>
</tbody>
</table>

2.6 Pre-Planning Funding Application
Pre-Planning funding approved

## 3 PRE-PLANNING PHASE

<table>
<thead>
<tr>
<th>STEPS</th>
<th>OUTCOME</th>
</tr>
</thead>
<tbody>
<tr>
<td>Topographical Survey</td>
<td>Topographical survey available</td>
</tr>
<tr>
<td>Town Planning</td>
<td>Layout Plan and Township Establishment approved</td>
</tr>
<tr>
<td>Environmental Authorisation</td>
<td>Environmental Authorisation granted</td>
</tr>
<tr>
<td>Land Surveying</td>
<td>GP approved</td>
</tr>
<tr>
<td>Engineering Designs</td>
<td>Design approved by services authority</td>
</tr>
<tr>
<td>House Plan</td>
<td>Building Plan approval issued</td>
</tr>
<tr>
<td>NHBRC Registration</td>
<td>NHBRC Registration and Enrolment</td>
</tr>
<tr>
<td>Implementation Funding Application</td>
<td>Implementation funding approved</td>
</tr>
</tbody>
</table>

## 4 IMPLEMENTATION PHASE

<table>
<thead>
<tr>
<th>STEPS</th>
<th>OUTCOME</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contracting and Procurement</td>
<td>Tender Documentation Approved</td>
</tr>
<tr>
<td></td>
<td>Call for tenders advertised Tenders Received</td>
</tr>
<tr>
<td></td>
<td>Tender Adjudication Adjudication Report</td>
</tr>
<tr>
<td></td>
<td>Tender Award Tender Accepted</td>
</tr>
<tr>
<td></td>
<td>Contract Finalisation Pre-contract conditions complied with</td>
</tr>
<tr>
<td>Implementation / Construction</td>
<td>Project Inception Site Handover</td>
</tr>
<tr>
<td></td>
<td>Construction Management Monthly report</td>
</tr>
<tr>
<td></td>
<td>Civil Services Practical Completion Certificates Certificates issued</td>
</tr>
<tr>
<td></td>
<td>Units Handover Certificates Certificates issued</td>
</tr>
<tr>
<td>Transfers</td>
<td>Beneficiary and Sales Administration Lodgement with Deed Office</td>
</tr>
<tr>
<td></td>
<td>Transfer of properties Title Deeds Issued</td>
</tr>
<tr>
<td></td>
<td>Close Out Report Close Out Report Accepted</td>
</tr>
</tbody>
</table>

## 5 POST CONSTRUCTION PHASE

<table>
<thead>
<tr>
<th>STEPS</th>
<th>OUTCOME</th>
</tr>
</thead>
<tbody>
<tr>
<td>Re-sale and transfers of subsidised housing</td>
<td>Housing market, Vehicle for economic improvement</td>
</tr>
<tr>
<td>Payment of Rates and Services and Maintenance of services</td>
<td>Functioning Local Government</td>
</tr>
<tr>
<td>BNG principles - services and facilities such as schools, clinics, public transport, etc.</td>
<td>Functioning Human Settlement</td>
</tr>
<tr>
<td>Household affordability (ability to pay for rates and services, maintenance etc.)</td>
<td>Sustainable Human settlement</td>
</tr>
</tbody>
</table>

## 6 EVALUATION AND MONITORING PHASE

<table>
<thead>
<tr>
<th>STEPS</th>
<th>OUTCOME</th>
</tr>
</thead>
<tbody>
<tr>
<td>Compliance Monitoring and value for</td>
<td>Evaluation report</td>
</tr>
<tr>
<td>HOUSING PROJECT CYCLE</td>
<td>moneyevaluation</td>
</tr>
<tr>
<td>----------------------</td>
<td>----------------</td>
</tr>
<tr>
<td>6.2</td>
<td>Impact analysis – improvement of peoples’ lives</td>
</tr>
</tbody>
</table>
**Challenges, Issues and Problems in Human Settlement Project Cycle**

The following serves as a summary of the challenges / issues / problems that have been identified in the Human Settlement Development Process, reflected in terms of the above described phases and steps.

### ISSUES RELATED TO VARIOUS PHASES OF PROJECT LIFE CYCLE

<table>
<thead>
<tr>
<th>ISSUES</th>
<th>POSSIBLE SOLUTION</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>PROJECT APPLICATION/ PRE FEASIBILITY PHASE</strong></td>
<td></td>
</tr>
<tr>
<td>Political interference in project prioritisation</td>
<td>Project checklists could assist in minimising political interference</td>
</tr>
<tr>
<td>Housing waiting lists are not being updated at regular intervals. No clear information on the expressed demand for housing and accommodation</td>
<td>Training and capacity building of officials at Municipalities</td>
</tr>
<tr>
<td>Funding and housing projects located in areas without economic potential</td>
<td>Pre-feasibility assessments to be thorough</td>
</tr>
<tr>
<td>Prioritisation of rural projects as this is easier to implement</td>
<td>Temporary moratorium on rural projects</td>
</tr>
<tr>
<td>Failure to respond to the “real” demand for access to housing whilst allowing mobility.</td>
<td></td>
</tr>
<tr>
<td><strong>FEASIBILITY ASSESSMENT PHASE</strong></td>
<td></td>
</tr>
<tr>
<td>Lack of integration and alignment of priorities and key interventions required from other sector departments - required for unlocking projects for implementation (including land acquisition, bulk infrastructure, social and economic infrastructure)</td>
<td>Establish working groups and steering committees including other sector department officials</td>
</tr>
<tr>
<td>Poor beneficiary administration (beneficiary prioritisation) leading to disputes that often result in land or project invasion</td>
<td>Capacity building at beneficiary administration level</td>
</tr>
<tr>
<td>Lack of pro-active land identification and acquisition process</td>
<td>Improve land identification and acquisition processes</td>
</tr>
<tr>
<td>Project implemented before / without feasibility assessment completed and feasibility confirmed</td>
<td>Funding for implementation to be subject to favourable feasibility outcome, based on a checklist</td>
</tr>
<tr>
<td>Failure to undertake pre-planning activities such as flood line assessments, tache surveys etc. result in sites being allocated on top of water bulk line, under power lines, in wet</td>
<td>Funding for implementation to be subject to favourable feasibility outcome, based on a check</td>
</tr>
<tr>
<td><strong>areas, below floodlines etc.</strong></td>
<td>checklist</td>
</tr>
<tr>
<td>-----------------------------</td>
<td>----------</td>
</tr>
<tr>
<td>Projects fast tracked due to political intervention, critical steps such as beneficiary education and feasibility confirmation overlooked</td>
<td>Funding for implementation to be subject to favourable feasibility outcome, based on a checklist</td>
</tr>
</tbody>
</table>

| Lack of beneficiary education and consultation (beneficiary being able to make informed decisions based on adequate knowledge of choices) lead to unhappiness and disputes | Improve beneficiary education |
| Pre-planning Phase | |
| Unresolved land claims causing delays with pre-planning | Petition RLCC to resolve claims |
| Unresolved land disputes result in land invasions | Appoint facilitators to resolve disputes |
| Land transfer / vesting outstanding (Item 28 (1) Certificate outstanding) – DRDLR do not see processes through to reach vesting making it impossible to finalise Township Establishment / formalisation | Petition DRDLR to speed up vesting and transfer processes |

<table>
<thead>
<tr>
<th><strong>IMPLEMENTATION PHASE</strong></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Lack of experience of emerging contractor in business management (including tendering, costing, business / financial management) leading to quality, cash flow and other problems causing delays in implementation or stalled projects</td>
<td>Mentoring of emerging contractors</td>
</tr>
<tr>
<td>Low skill levels resulting in slow progress poor workmanship - resulting in rectification / over expenditure / wasteful expenditure</td>
<td>Mentoring of emerging contractors</td>
</tr>
<tr>
<td>Lack of accountability for non-performance of contractors results in slow response to interventions to rectify performance.</td>
<td>Accountability and levying of penalties to be included in contracts</td>
</tr>
<tr>
<td>Emerging contractors unable to provide bridging finance or carry operational costs, leading to delays in implementation</td>
<td>Investigate options for assisting with bridging finance</td>
</tr>
<tr>
<td>NHBRC enrolment – requirements not met</td>
<td>Mentoring to assist with requirements</td>
</tr>
<tr>
<td>Delays in implementation (after approval) result in projects being affected by escalation - inadequate budget</td>
<td>Timeframes to be realistic</td>
</tr>
<tr>
<td>Issue</td>
<td>Solution</td>
</tr>
<tr>
<td>----------------------------------------------------------------------</td>
<td>----------</td>
</tr>
<tr>
<td>Time lapse / projects being blocked lead to unoccupied developments being vandalised, infrastructure not being maintained resulting in dilapidated infrastructure</td>
<td>Timeframes to be realistic</td>
</tr>
<tr>
<td>Time lapse between pre-planning and implementation result in statutory approvals (Township Establishment and EA) that lapse</td>
<td>Timeframes to be realistic</td>
</tr>
<tr>
<td>Lack of ownership of delayed / stalled projects, leading to vandalism</td>
<td>Timeframes to be realistic</td>
</tr>
<tr>
<td>Procurement compliance problems – leading to fraud and tender disputes</td>
<td>Procurement procedures to be strengthened</td>
</tr>
<tr>
<td>Delays in the procurement process- result in implementation delays</td>
<td>Procurement procedures to be strengthened</td>
</tr>
<tr>
<td>Poor site and project management – resulting in material theft and vandalism</td>
<td>Improve project management skills</td>
</tr>
<tr>
<td>Employment challenges – wage disputes, causing delays</td>
<td>Departmental assistance in resolving labour disputes</td>
</tr>
<tr>
<td>Protracted procurement processes has a negative effect on set timelines</td>
<td>Capacitate procurement section</td>
</tr>
<tr>
<td>Beneficiary lists not regularly reviewed from time of project initiation to completion – missing beneficiaries / over supply / undersupply / unapproved beneficiaries</td>
<td>Improve beneficiary administration processes</td>
</tr>
<tr>
<td>Beneficiaries move on / pass away – sales administration impossible to complete (proof of mobile society)</td>
<td>Improve beneficiary administration processes</td>
</tr>
<tr>
<td>Land transfer / vesting outstanding (Item 28 (1) Certificate outstanding) – DRDLR do not see processes through to reach vesting - making it impossible to transfer title deeds to beneficiaries</td>
<td>Petition DRDLR to sped up vesting processes</td>
</tr>
</tbody>
</table>

**GENERAL ISSUES**

<table>
<thead>
<tr>
<th>Issue</th>
<th>Solution</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lack of Capacity (human and financial) at Municipal level to pursue the strategic recommendations of HSP’s</td>
<td>Improve capacity</td>
</tr>
<tr>
<td>The reality of Regional offices of Province fulfilling the role of housing implementer, whilst the responsibility (in terms of delegated mandate) is at LM level (with limited capacity and involvement in the actual delivery process)</td>
<td>Improve capacity</td>
</tr>
<tr>
<td>Lack of overall management systems to manage project feasibility assessment, pre-planning, readiness and implementation – process fragmented</td>
<td>Improve management systems</td>
</tr>
<tr>
<td>Land restitution projects – where not all beneficiaries qualify for subsidy. Lack of funding alignment / partnerships. Local authority specify higher level of service requirement – funding shortfall</td>
<td>Need to review policy and alignment of policy between departments and local authorities.</td>
</tr>
<tr>
<td>Political instability, resulting in dysfunctional councils and municipalities – impacting on decision making and delivery / implementation</td>
<td>Need to respond with policy to enable immediate response to delays due to dysfunctional local government entities</td>
</tr>
<tr>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td>Abdication of responsibility by municipalities – regarding the Provincial Department as being responsible for human settlement development.</td>
<td>Clarification of delegation of powers and functions.</td>
</tr>
<tr>
<td>Failure to respond to the “real” demand for access to housing whilst allowing mobility. From the number of shacks, informal flat developments and backyard rooms it is clear that considerable demand or “rental” stock is required.</td>
<td>Need to focus on identification of real demand, including housing voice.</td>
</tr>
<tr>
<td>No property market allowing for mobility of beneficiaries (selling a subsidy house and purchasing another in the area where they need to locate for economic reasons) leading to “informal sales”, inability to re-enter the housing market (no second subsidy) – leading to informal settlement.</td>
<td>Need for a policy to enable houses being handed back, if need exists for a beneficiary to relocate.</td>
</tr>
<tr>
<td>Failure to establish a system of “handing back or exchanging a house” to become municipal stock / rental stock or to access house in place of need from such municipal stock / rental stock.</td>
<td>Need for a policy to enable houses being handed back, if need exists for a beneficiary to relocate.</td>
</tr>
<tr>
<td>Municipality’s outstanding tax payments. This resulted in the South African Revenue Services (SARS) using the municipality’s housing vat claims to decrease the outstanding amounts. This in turn meant that the municipality had a shortfall and therefore was unable to offer financial assistance to these current housing projects</td>
<td>Ensure that housing funding can be “ring-fenced” to avoid this.</td>
</tr>
<tr>
<td>The assumption that houses built using traditional building methods is not adequate shelter and the assumption that rural residents all prefer block brick built structures. Failure to adequately inform rural residents of the options that exist in terms of the rural housing policy</td>
<td>Need for policy review based on research into sustainable construction techniques</td>
</tr>
<tr>
<td>Often the regulations and rules governing the process to be followed in developing housing settlements, and the quality of the finished housing and settlement product are too stringent and strict for the context within which the settlements are being developed. (e.g. do rural</td>
<td>Introduce managed land settlement and other incremental settlement approaches that accommodate interim tenure arrangements and other interim services and housing solutions that can be upgraded over time.</td>
</tr>
</tbody>
</table>
5.3 Categorisation of key Challenges, Issues and Problems

The above breakdown of key challenges, issues and problems are reflected in terms of a typical life cycle of a Human Settlement Development Process. In order to reflect on possible interventions to address these key challenges, issues and problems, it is necessary to separate these in terms of what can be regarded as the root causes. The following categories are considered as summarising the root causes:

1. Project Process
2. Information and Document Management
3. Project and Programme Management
4. Coordination and integration (including establishment of forums)
5. Capacity building
6. Monitoring, evaluation, learning and innovation and Policy review

1. PROJECT PROCESS RELATED ISSUES

These are issues that relate to omission of particular steps or phases in the project process, or failure to undertake particular steps of phases in the correct manner.

<table>
<thead>
<tr>
<th>ISSUES</th>
<th>RESULTING OUTCOMES IF NOT ADDRESSED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Political interference:</td>
<td>● Delivery in areas where demand not prioritised in terms of accepted criteria.</td>
</tr>
<tr>
<td>Political interference in project prioritisation and implementation. Projects fast tracked due to political intervention. Critical steps such as beneficiary education and feasibility confirmation overlooked to meet political promises.</td>
<td>● Failure to address critical demand.</td>
</tr>
<tr>
<td></td>
<td>● Blocked projects</td>
</tr>
<tr>
<td></td>
<td>● Political instability, resulting in dysfunctional councils and municipalities – impacting on decision making and delivery / implementation</td>
</tr>
<tr>
<td>Feasibility Assessment:</td>
<td>Fatal flaws and limiting factors not identified, resulting in blocked and/or failed projects</td>
</tr>
<tr>
<td>Proper feasibility assessment processes not followed. Project implemented before / without feasibility assessment completed and feasibility confirmed.</td>
<td>● Unresolved land claims or disputes</td>
</tr>
<tr>
<td></td>
<td>● Bulk capacity constraints not identified and timeously resolved</td>
</tr>
<tr>
<td>Pre-planning:</td>
<td>● Sites being allocated in areas not to be developed - on top of water bulk lines, under power lines, in wet areas, below floodlines etc.</td>
</tr>
<tr>
<td>Failure to undertake pre-planning activities such as flood line assessments, base map surveys, township establishment, environmental authorisation etc. result in.</td>
<td>● Projects being blocked as result of non-compliance with statutory requirements.</td>
</tr>
</tbody>
</table>
| Housing demand data not accurate in terms of locality, nature of demand and demand data out of date. | • Failure to respond to where demand is highest (worst – off areas or key investment and growth localities)  
• Over and under supply  
• Lack of pro-active land identification and acquisition process based on demand |
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Poor beneficiary administration (beneficiary prioritisation)</td>
<td>• Leading to disputes that often result in land or project invasion</td>
</tr>
</tbody>
</table>
| Lack of beneficiary education and consultation | • Beneficiary unable to make informed decisions based on adequate knowledge of choices.  
• Leads to unhappiness and disputes  
• Rural residents not aware of the options that exist in terms of the rural housing policy |

2. INFORMATION AND DOCUMENT MANAGEMENT

This relates to capturing and managing documentation related to projects in a manner that is reliable and easily accessible to all parties involved in project planning, managing and monitoring. Lack of access to accurate and up-to-date project information makes effective management of projects impossible.

<table>
<thead>
<tr>
<th>ISSUES</th>
<th>RESULTING OUTCOMES IF NOT ADDRESSED</th>
</tr>
</thead>
</table>
| Lack of overall document management systems to manage project related documentation and interpretation of documentation | • Project and programme management based on inaccurate information - inefficient  
• Accurate forward planning and projection impossible  
• Monitoring of project progress impossible |

3. PROJECT AND PROGRAMME MANAGEMENT

This relates to management of projects and programmes to be on time, within budget and on target in terms of delivery quantity and quality. The interdependence between document and information management and project programme management is regarded as critical.

<table>
<thead>
<tr>
<th>ISSUES</th>
<th>RESULTING OUTCOMES IF NOT ADDRESSED</th>
</tr>
</thead>
</table>
| Lack of overall management systems to manage project feasibility assessment, pre-planning, readiness and implementation. | • Project process fragmented, lack of continuity between phases resulting in delays due to unresolved blockages.  
• Time lapse between pre-planning and implementation result in statutory approvals (Township Establishment and EA) that lapse. |
- Time lapse result in escalation and budget shortfalls.
- Fraud and tender disputes
- Implementation delays
- Unoccupied developments being vandalised, infrastructure not being maintained resulting in dilapidated infrastructure
- Lack of accountability for non-performance of contractors results in slow response to interventions to rectify performance.
- Project over budget or blocked.

4. COORDINATION AND INTEGRATION

This relates to effective integration of delivery related aspects of human settlements across functional departments. Also regarded as critical, is the need for policy and procedural aspects to be integrated between departments to enable an effective response to challenges that result from the wide range of policies that impact on the human settlement development process (ranging from land tenure and administration, infrastructure development, labour legislation, procurement policy etc.)

<table>
<thead>
<tr>
<th>ISSUES</th>
<th>RESULTING OUTCOMES IF NOT ADDRESSED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lack of integration and alignment of priorities and key interventions required from other sector departments - required for unlocking projects for implementation (including land acquisition, bulk infrastructure, social and economic infrastructure)</td>
<td>Failure to timeously address: • Land identification and acquisition • Land transfer / vesting making it impossible to finalise Township Establishment / formalisation • Bulk infrastructure capacity augmentation • Delivery of social infrastructure</td>
</tr>
<tr>
<td>Lack of ownership of delayed / stalled projects.</td>
<td>• Leads to vandalism</td>
</tr>
<tr>
<td>Lack of interdepartmental liaison with regards to non-housing aspects that can impact on housing deliver</td>
<td>• Municipality’s outstanding tax payments - SARS using housing vat claims to decrease the outstanding amounts, leading to budget shortfall. • Employment challenges – wage disputes, causing delays</td>
</tr>
</tbody>
</table>

5. HUMAN AND SKILLS CAPACITY

This relates to the mandate of local government to take responsibility for human settlement development, often under circumstance that limits their capacity to respond to this mandate. This also includes the expectation for human settlement projects to develop emerging contractors, often without the required support to enable such contractors to effectively deliver the quantity and quality expected.
### Issues

| Failure to train and mentor emerging contractors prior to allocating responsibility by awarding of tenders | • Emerging contractors unable to provide bridging finance or carry operational costs, leading to delays in implementation.  
• Lack of experience of emerging contractor in business management (including tendering, costing, business / financial management) leading to quality, cash flow and other problems causing delays in implementation or stalled projects.  
• Low skill levels resulting in slow progress poor workmanship - resulting in rectification / over expenditure / wasteful expenditure.  
• NHBRC enrolment – requirements not met |
| --- | --- |

| Allocation of responsibility for housing delivery to municipalities without necessary staffing and training of responsible officials. | • Lack of Capacity (human and financial) and inability at Municipal level to pursue the strategic recommendations of HSP’s.  
• Regional offices of Province fulfilling the role of housing implementer with limited involvement of LM’s in the actual delivery process.  
• Abdication of responsibility by municipalities – regarding the Provincial Department as being responsible for human settlement development. |


This relates to the on-going cyclical process of monitoring, evaluation and interpretation of results, identifying the need for a response to address particular aspects, innovation to improve on the present processes and to capture this in the review of policy to enable / enforce corrective or improved procedures or processes. It appears that common day-to-day challenges in the human settlement development process is common knowledge, whilst the requirements for a response from a policy and process perspective is seemingly ignored.

<table>
<thead>
<tr>
<th>Issues</th>
<th>Resulting Outcomes if Not Addressed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lack of review and alignment of policy between departments and partnerships between funding departments.</td>
<td>• Land restitution projects – where not all beneficiaries qualify for subsidy. Local authorities specifies higher level of service requirement – funding shortfall.</td>
</tr>
<tr>
<td>Failure to formulate and implement policy to enable immediate response to delays due to dysfunctional local government entities</td>
<td>• Project delays and blockages</td>
</tr>
</tbody>
</table>
| Failure to amend policy to address need for mobility of beneficiaries to respond to job opportunities, whilst tied in to one locality of a subsidy. No policy to enable houses being handed back, if need exists for a beneficiary to relocate. | • Shacks, informal flat developments and backyard rooms remaining as only solution to considerable demand or “rental” stock.  
• No property market allowing for mobility of beneficiaries (selling a subsidy house and purchasing another in the area where they need to locate for economic reasons)  
• “Informal sales”, inability to re-enter the housing market (no second subsidy) – leading to informal settlement. |
| Research into sustainable construction techniques not translated into policy review. | • Assumption that houses built using traditional building methods is not adequate shelter.  
• Assumption that rural residents all prefer block brick built structures. |
| Failure to review policy to address challenges with statutory approval validity periods and standards to be applied in various situations and to enable incremental development | • Prioritisation of rural projects as these are easier to implement |
6. Opportunities for participation in project cycle process

Decisions and plans are made at various stages of the development process. Each of these decisions involves pre-decision and post decision activities.

The following highlights the opportunities for communities to participate in the Human Settlement project cycle delivery process.

<table>
<thead>
<tr>
<th>Step</th>
<th>Opportunities for participation per step</th>
</tr>
</thead>
<tbody>
<tr>
<td>Preparation and planning</td>
<td>Participate in collecting information on which to base decisions. Participate in influencing what decisions get made. At end of stage decision made to proceed/ plan developed.</td>
</tr>
<tr>
<td>Project identification</td>
<td>Participate in national, provincial and local government housing policy and programme development. Become involved in making applications for Human Settlement projects on land communities identified. Motivate to be allocated to portions of land identified by government for housing in municipal plans. Link to communities who are in process of making applications for projects. Lobby for and participate in municipal (and provincial) housing forums where issues relating to project identification get discussed.</td>
</tr>
<tr>
<td>Feasibility assessment</td>
<td>Provide input and opinion on feasibility of projects. Assist with beneficiary information gathering. Assist with general data gathering. Comment on more technical feasibility studies. Commission and provide alternative feasibility analysis where deemed appropriate (e.g. to dispute geotechnical ground conditions)</td>
</tr>
<tr>
<td>Pre planning activities</td>
<td>Respond to and advertisements placed for various processes (e.g. environmental approval, rezoning applications, etc) and comment on plans. Provide comments and input and participate in all public and beneficiary processes Lobby for and participate in project steering committee meetings. Contribute to discussions around which developers and other stakeholders should be in various Human Settlement projects.</td>
</tr>
<tr>
<td>Implementation</td>
<td>Participate in implementing the Human Settlement project. Participate in monitoring the implementation of the plan. At end of stage project/ programme completed.</td>
</tr>
<tr>
<td>Detailed planning</td>
<td>Participate in decision making around detailed planning related to issues such as: tenure system, level and type of services, house design, servicing construction method, housing construction methods, etc.</td>
</tr>
<tr>
<td>Implementation construction /</td>
<td>Obtain construction (and other) training and provide labour for housing projects. Provide assistance to emerging contractors, where possible. Assist in sourcing labour and materials for Human Settlement development projects.</td>
</tr>
<tr>
<td>Step</td>
<td>Opportunities for participation per step</td>
</tr>
<tr>
<td>-------------------------------------------</td>
<td>------------------------------------------</td>
</tr>
<tr>
<td>Participate in project steering committees and monitor progress in implementing projects and contribute to decision making around necessary steering measures.</td>
<td></td>
</tr>
<tr>
<td>Participate in determining allocation criteria and systems. Monitor that allocation systems and criteria and implemented according to plan. Assist in administration of land transfer process</td>
<td></td>
</tr>
<tr>
<td>Participate in determining outstanding issues to be addressed before handover certificates are issued. Provide input into project close out reports.</td>
<td></td>
</tr>
<tr>
<td>Participate in evaluating if implementation was according to plan. Participate in analysing if decision led to desired long term objective (this feeds back to the start where experiences in past decisions are used as data and input for subsequent decisions). At the end of this stage, repeat the process for follow up projects and plans</td>
<td></td>
</tr>
<tr>
<td>Maintain properties. Petition relevant departments for social service provision. Motivate for a culture of payment of rates and taxes. Participate in secondary property market. Participate in neighbourhood and rate payers associations to discuss on-going development of the area.</td>
<td></td>
</tr>
<tr>
<td>Provide input as part of evaluation phase Assist with providing information for research on satisfaction levels of beneficiaries</td>
<td></td>
</tr>
</tbody>
</table>
7. The concept of planning

A. Planning product and process

The recommendations that follow in the next section focus primarily at the provincial and municipal level and are based on the broad understanding of what the content is of planning for Human Settlement development.

As explained in the previous section, Human Settlement and settlement development is broken into two categories or cycles:

- Human Settlement programme planning, development and evaluation cycle. As is clear in this description, a typical cycle will include a group of projects (aimed at addressing a particular section of human settlement needs) being identified, implemented and their success evaluated, in preparation for the next programme cycle; and the

- Human Settlement project planning, development and evaluation cycle. This includes the process of project preparation, implementation and ends with each project is evaluated according to what it planned to achieve.

In strong contrast to what often appears to be delivery based on which community can lobby the loudest, or where land happens to be available, or where the highest number of units can be achieved in the shortest time span to meet delivery targets, the Human Settlement planning process is required to start with a broad long term vision of what type of Human Settlement and settlement environment the department wishes to achieve. Such vision should inform strategic direction and guide decision making as far as what type of project (priority needs categories) should be supported in which locality (priority intervention areas). This should in turn guide Municipalities and sector departments to align their planning and prioritisation to the overall strategic direction, for implementation in the short to medium term. In this way a projects delivery pipeline should developed, coordinating and programming development of bulk infrastructure capacity, targeted land acquisition, statutory authorisation processes, beneficiary administration etc.

Project submissions to the Department should be evaluated against the Department’s strategic direction and targets in order to determine the extent to which they will contribute to achieving the identified short and medium term objectives.

At periodical intervals during programme and project planning and implementation processes, the impact of a set of projects (or programme) on peoples’ lives and in working towards the longer term vision can be determined. The outcomes of such evaluation should then inform the need for possible review or modification of project or programme interventions.

When looking at planning for Human Settlement projects there are two broad aspects that need to be considered:

- The process of developing plans:

Formulation of local area plans (such as at Municipal, ward or precinct level) are being guided by strategic direction of higher level plans (e.g. provincial and national level plans). In addition to this, based on the principles of integrated development planning, sector specific plans should not only be aligned with strategic priorities of guiding strategic plans such as Municipal Spatial Development Framework plans and Integrated Development Plans, but should also integrate strategic priorities of
sector plans that either have an impact on such plan, or on which such plan may in turn have an impact.

Planning processes make provision for public participation and consultation, allowing opportunity for the public or particular interest groups to influence the content of plans. In addition to this, development processes should also allow for public monitoring and evaluation of implementation of the plans. In other words the public should be in a position to monitor whether steps that were agreed to in a plan are being implemented according to the plan. Likewise, stakeholders who were involved or are being affected by the plan, need to be able to reflect on the success of the planning process (i.e. did people participate and where the plans followed into implementation) and the environment created as a result of implementation the project. This will ensure that those planning teams (including actively participating public) will learn from past experience and improve on how planning is undertaken in future planning cycles.

- **The content of plans**

The content of Human Settlement plans depends on the level at which such plans are being formulated, for example National, Provincial or Local Municipal level. Human Settlement plans at national and provincial level for example focus more on setting out strategic direction and do not get down to the level of detail of specific Human Settlement projects. Local Human Settlement Development plans on the other hand are far more detailed, ending up with specific action plans and project lists.

Generally, as explained above, at a strategic level a plan should provide a broad vision and set of principles that a project would work towards. A set of actions and steps would then be identified, highlighting who does what, where, when and with what resources and funding, so as to achieve an agreed outcome. The plan should also include an outline of the steps to be followed to learn lessons from the project for future projects.

**B. Summary of the Human Settlement development cycle**

The following attempts to summarise how the Human Settlement programme cycle and the Human Settlement project cycle combine to create the Human Settlement development cycle:

1. **Planning to identify projects**

Interpretation of higher level strategic planning and policy recommendations to identify:

- Strategic growth points for investment
- Areas of highest need – worst off in terms of access to adequate shelter

Some examples of possible steps and actions within this phase:

- establish a provincial housing forum
- establish municipal housing forums (plan and monitor projects)
- create and use project management checklist/tool to ensure that planning to identify projects are being done correctly
- develop rural housing policy
- develop data and allocation policy

Output: A plan showing where investment in human settlement development is being prioritised.
2. Planning to implement Human Settlement projects

Once you know which projects are to be developed you can plan for implementation of these projects.

Some examples of steps and actions within this phase:
- establish project planning steering committee
- build capacity to do project planning
- create and use project management checklist/tool to make sure project plans done correctly

Output: A plan showing how to implement a specific Human Settlement project.

3. Implementing and monitoring implementation of plans

Once you have a plan for a specific project the plan can be implemented

- establish project implementation steering committees (extension of project planning steering committees)
- build capacity to implement
- make the steps as easy as possible to follow and implement based on capacity available
- make sure stakeholders able to track progress of implementation and systems are in place for easy steering

Output: Completed Human Settlement project (e.g. services installed, house built, tenure transferred, etc). Note projects can be phased over time (incremental).

4. Reflecting and learning from experience and monitoring impact

Once the project is implemented (as a set of steps) you can draw on this experience to inform future plans

- Develop monitoring and evaluation capacity to learn.
- Involve the community in the evaluation and impact analysis phases.
- Make sure lessons are collated and shared
- Establish feedback loops to those that are conducting future plans.

Output: Lessons shared with for future plans
8. Recommendations

8.1 Prioritised recommendations – general

From the previous general list of recommendations (see table XXXXX) the following are proposed priorities for how the Human Settlement development cycle can be improved:

1. Create and pilot the use of a project cycle management tool
2. Establish provincial and municipal Human Settlement forums
3. Support project packaging and pre-feasibility studies - integration
4. Undertake capacity building and mentoring
5. Encourage innovation
6. Facilitate monitoring, evaluation and learning
7. Support Incremental settlement development
8. Review and develop a rural housing strategy
9. Review, revise and develop a housing demand and allocation programme

Each of these recommendations is elaborated on in more detail below. Each recommendation addresses the following questions:

- Outputs: What output does the recommendation aim to create? What will be seen if the recommendation is implemented?
- Issues: Why is the recommendation being made? What negative issues does it try to address and overcome, and what positive issues does the recommendation build on?
- Purpose: What behaviour change would we like to see from identified role-players as a result of implementing the recommendation?
- Activities: Specifically, what activities and steps will need to be undertaken to implement the recommendation?

Further attention will need to be given as to whom will undertake these activities, by when and with what resources.

1. Create and pilot the use of a project cycle management tool

... so it’s easier to monitor and manage how Human Settlement projects are identified, planed and implemented, and evaluated.

Outputs
- A central coordinated project cycle management tool
- Competent people able to use the system

Issues
- negative
  - There is confusion as to what needs to happen as management and tracking of projects is week
  - Corruption easier as people are confused
  - Political interference easier as managers are confused
- positive
We have technical skills / knowledge available to set up such systems
There is growing familiarity with using technology by all stakeholders

Purpose
- Government coordinates its land, settlement and housing interventions following appropriate processes
- The public tracks projects through the project cycle management tool (on web, in Human Settlement forums, etc.)

Activities
1. Provincial government to create a project cycle management tool / spreadsheet/ checklist
2. Train government officials to use the project management tool
3. Make the project management tool open to the public on a website (in electronic format)
4. Get Human Settlement forums (see separate recommendations) to also use tool for planning and monitoring purposes
5. Develop a simplified pamphlet / poster that summarises the Human Settlement development process for the public.

2. Establish provincial and municipal Human Settlement forums
... so that all stakeholders have an opportunity to participate in Human Settlement development decision making and monitoring and evaluation processes. (Note: consideration should be given to naming these human settlement forums to reflect the emphasis on the broader environment not just the house.)

Outputs
- Operational provincial Human Settlement forums and municipal Human Settlement forums involving all stakeholders
- Operational provincial and municipal interdepartmental Human Settlement committees. Taking municipal forums as an example that should includerepresentatives of provincial government, other provincial government departments, local government departments, the public/ communities, and business. The role of these forums is to allow participants to participate in the development of Human Settlement plans, get report backs from project committees, monitor and steer projects, and oversee the evaluation of the success and impact of projects

Issues
- Negative
  - There is a lack of coordination within government
  - There is a lack of participation by communities
- Positive
  - People are generally willing to participate
  - Government has policy supporting participation

Purpose
- All role-players are coordinating their intervention and are participating in decision making and monitoring and evaluation.
- Government is coordinating its intervention s with good intergovernmental coordination prior to engagement in the forum.
Activities
1. Provincial government to mandate provincial and local government to establish and maintain Human Settlement forums
2. Mandate spheres of government to establish inter-governmental committees prior to them engaging in forums with external stakeholders
3. Support municipalities to establish Human Settlement forums and coordinating committees
4. Allocate funding for Human Settlement forums to meet
5. Include management of Human Settlement forums and inter government coordinating committees in municipal performance targets
6. Train Human Settlement forums in Human Settlement development project cycle and Human Settlement legislation, programmes and budgets.
7. Capacitate Human Settlement forums in how to use the Human Settlement project cycle management tool to track projects
8. Help forums to develop and adopt a code of good practise that will guide how the forums operate.

3. Support project packaging and pre-feasibility studies
... to make sure projects identified for implementation are appropriate and ready for detailed planning and implementation.

Output
• A pipeline of appropriate and realistic Human Settlement projects with a clear understanding of where they will be located, when they can be developed, how they will be resourced, how they will be managed and how they will be coordinated and phased

Issues
• Negative
  o Human Settlement projects that are identified often start without proper pre planning.
  o It is difficult for municipalities to access funds to identify and start creating a pipeline of Human Settlement projects.
• Positive
  o There is capacity to do preliminary planning in the province (even if not always in the municipality)
  o There is funding in various places for planning but it’s not always coordinated and known how to access for pre planning
  o Feasibility planning can easily be linked to the project management tool mentioned elsewhere in this report

Purpose
• Municipalities identifying and lining up settlement development projects as part of a project pipeline. part of multiyear programmes, so projects that identified for implementation are screened and likely for implementation
• Communities are aware of what projects are likely to be implemented and in what timeframe

Activities
1. Undertake research at the provincial level to identify all funds that can be utilised for pre planning and project packaging
2. Inform and support municipalities to access these funds
3. Support municipalities to do pre screening and feasibility studies of potential Human Settlement projects
4. Link the implementation of identified projects to existing Human Settlement programmes and budgets and incremental settlement processes.

4. Support incremental settlement development
... to make the process of settlement development easier to implement and let people at least get basic support while they wait for subsequent upgrading phases.

Outputs
- Provincial and municipal incremental plans in both upgrading and greenfield contexts
- Incremental plans being implemented and monitored

Issues
- Negative
  - There is a general lack of capacity to deliver on Human Settlement plans
  - There are high levels of dependency within communities. Communities are waiting for handouts.
- Positive
  - We have policy and legislative provisions for incremental settlement (e.g. the informal settlement upgrading programme)
  - We have commitment to the upgrading of informal settlements (e.g. Outcome 8)
  - There is a basic understanding of Managed Land Settlement approaches

Purpose
- Municipalities are planning for and providing for the basic needs of residents (in both MLS and ISU contexts), with commitment for on-going development and capacity building.
- Households have access to basic minimum requirements and are able to start to address their own Human Settlement needs and are not just waiting for government to give them a house.

Activities
1. Provincially, review funding opportunities in the province for incremental settlement, identify how they can be utilised for incremental development, and share this information with municipalities.
2. Instruct municipalities to develop incremental settlement programmes and projects that:
   - plan for multiyear projects so that project pipelines can be prepared.
   - emphasise getting basics to people first
   - support people to develop themselves and not wait for government
3. Implement identified pilot incremental settlement projects as soon as possible and link these to evaluation systems (see separate recommendation on this point)

5. Undertake capacity building and mentoring
... so people involved in the Human Settlement planning and implementation process have the skills to plan and implement

Outputs
• Planning support programmes at district level
• Project management programme at district level
• A provincial mentorship programme focusing on built environment specialists.

Issues
• Negative
  o Municipalities don’t all have sufficient capacity to plan
  o Municipalities don’t all have management skills to manage the implementation of plans / projects
• Positive
  o There is some capacity and experience in the province to plan projects and manage project implementation.

Purpose
• Planning
  o Districts are supporting municipalities to do planning
• Implementation
  o Districts are supporting municipalities to manage project implementation
  o Builders and other built environment implementers are learning from the experience of other skilled builders and implementers.

Activities
1. Develop and establish district/ regional Human Settlement support programmes. Centralise skilled staff at the district/ regional level so as to be able to support weaker municipalities. Use the centralised project management tool described as part of separate recommendation to help manage projects.
2. Establish mentorship programme for built environment specialists including small builders, project managers, engineers, etc. The mentorship programme recognises that the best place for learning is through doing rather than through off site training.

6. Encourage innovation and action
... so that people are supported and encouraged to take risks and prioritise action (as opposed to just talk), and instil a culture of action/ doing in the population.

Output
• An innovation programme being implemented

Issues
• Negative
  o People scared to try things that are different and new for fear that they will be disciplined for breaking the rules.
• Positive
  o There are potentially lots of people with different ideas about how to do Human Settlement development but they are scarred to start for fear of failure and being disciplined.

Purpose
• Government supports people who are prepared to take the initiative
• Government, communities and business implement new and innovative projects. This innovation is linked to evaluation (see separate recommendation)
• Society is built on a culture of doing and innovation.

Activities
1. Use the incremental approach to settlement development to allow range of stakeholders to start to implement basic projects even when these projects are not planned from start to finish.
2. Break larger settlement and Human Settlement projects into smaller sub projects and allocate these sub projects to range of role-players to each implement projects following their own processes.
3. Establish awards that recognise innovation and action. Use this to praise municipalities/ others that take initiative and innovate; and encourage others to do the same.
4. Include modules on risk management and innovation in capacity building programmes so as to raise awareness of need for action learning.
5. Research the establishment of an innovation programme/fund within government that specifically encourages and facilitates innovation in settlement planning and development.

7. Facilitate monitoring, evaluation and learning
... to ensure that learning and reflection is built into all projects and plans (that draws from the culture of doing that is promoted in earlier recommendation)

Outputs
• A provincial monitoring and evaluation unit/ programme/ fund
• A learning programme
• Projects planned and funded with build in monitoring and evaluation systems

Issues
• Negative
  o People are not sharing their experiences and learning from past successes and mistakes.
  o Evaluation is often seen as an afterthought and funding for it is first to be cut when resources are scarce.
• Positive
  o There are people doing good work but this is not always captured and recognised
  o There is a growing theory and practice relating to how to establish and support learning environments.

Purpose
• Government and other role-players reflecting and analysing past projects and reflecting on the impact of Human Settlement programmes on development trends.
• Role-players involved in Human Settlement development have access to information on and are learning from previous experience and improving plans and implementation systems and outcomes

Activities
1. Review the provincial programme for research and evaluation and develop a revised policy and programme for monitoring and evaluation.
2. Identify funding sources for supporting and funding monitoring and evaluation.
3. Require all new Human Settlement projects to include a monitoring and evaluation component into their project plans (don’t approve them if they don’t have this element).
4. Continually monitor, review and evaluate the implementation of the monitoring and review programme.
5. Establish a central place (office and web presence) where documented (visual, written, etc.) lessons and experience can be collated and accessed.
6. Establish and manage a ‘community of practice’ where learning events and programmes are held and people can share information.
7. Publicise the availability of the open data base (or centralised learning portal) so others can access this information for learning purposes.
8. Develop proactive programmes to get information related to the Human Settlement development process out to municipalities, developers, builders and the public.
9. Conduct training in monitoring and evaluation.

8. Review and develop a rural housing strategy
... to reflect on experiences with rural housing and revise the rural housing and settlement policy as deemed appropriate.

Output
- A revised provincial communal rural settlement policy and strategy.
- Basic guidelines and procedures for land use change in communal rural areas.

Issues
- Negative
  - Housing projects in rural areas are often implemented without proper planning which leads to environmental concerns, settlement sprawl etc.
- Positive
  - There is a culture of land use change and settlement planning that has not been adequately tapped
  - Rural communities have experience with undertaking housing and settlement development.

Purpose
- Houses and settlements are located in appropriate places within an agreed rural spatial plan.
- Traditional leaders, municipalities and others, in a collaborative manner, are managing land use changes in rural areas according to agreed procedures and plans
- Communities and government are providing appropriate development support to rural communities. This support may not necessary be a house.

Actions
1. Undertake an urgent and rapid assessment of the scale and nature of the challenge facing rural land use change, and its implications on development in the province.
2. Consider putting in place a moratorium on rural housing projects until the review and revised rural housing plan is adopted. Possibly put in place an interim moratorium until at least there is a better understanding of the challenges and there is broad agreement on what needs to be done to address these challenges.
3. Review and revise rural housing policy as described below. Recognise that this policy and guidelines will not be ‘perfect’ so make sure there is a built in evaluation and review.
mechanism in the policy to continually reflect and improve this policy and these regulations and guidelines.

a. Urgently develop an initial (round 1) rural land use management policy that guides how land use changes are decided and monitored in rural areas.
b. Urgently develop initial (round 1) guidelines for the development of spatial development plans for rural areas so municipalities and others develop appropriate spatial land use plans and land use changes occur within a clear spatial framework.

4. Support municipalities to develop Spatial Development Frameworks (SDF’s) and adopt and implement rural Land use management (LUM) systems. Allow the framework plans and LUM schemes to start off with basic information and put in place system for learning and reflecting on these LUM and SDF systems so that subsequent rounds of SDF planning and LUM implementation learn from this experience.

5. Regularly review and modify the communal land use management system and the guidelines for rural spatial planning.

9. Review and develop a revised housing demand and allocation programme

... to make sure that the process of land and housing allocation is fair and transparent.

Output

- A coordinated housing needs data base
- A provincial land and housing allocation policy to guide municipalities to develop their own policies and programmes

Issues

- Negative
  - Government data on the need for housing is often not correct and out of date
  - Allocation systems and procedures in municipalities often don’t exist, or are unclear
  - Allocation systems often do not recognise and balance the variety of contexts where people may need land and housing (e.g. from exiting informal settlements, from housing waiting lists, from community initiatives like savings schemes).
  - People who obtain land and housing from government are prevented from selling their house within an 8 year period (in terms of the Housing Amendment Act 4 of 2001)
  - Human Settlement projects are generally conceptualised with individual private ownership as the ultimate objective (exclusion communal areas), and this tends to mean that other alternative tenure options do not receive sufficient attention.

- Positive
  - There are many communities who are willing to organise themselves to try and arrange for land and housing for their members/community.
  - There are examples of non individual ownership tenure options that can be built on and supported

Purpose

- Decisions on future Human Settlement projects and allocations across the province are being made based on correct and updated housing needs data, that balances the technical aspects of allocation with ‘political’ and other aspects.
- Government and other relevant role-players allocating people to land and housing in a fair and transparent way

Activities
1. Relating to housing needs data bases
   a. consider removing 8 year transfer rule
   b. conduct research using latest STATS SA census data to determine the housing needs in different areas
   c. conduct in depth surveys in sample municipalities and sample areas within municipalities to be used to cross reference the existing housing needs data
   d. review the government’s housing needs data base programme and how it can be improved

2. In relation to allocation policy and process
   a. review national, provincial and municipal allocation policies and programme.
   b. develop a provincial framework for how municipalities should develop allocation policies and broadly what it should contain.
   c. instruct municipalities to review and modify their housing and land allocation policies and programmes to be in line with national and provincial policy.

3. Review existing subsidy allocation systems and consider alternative methods of allocation such as allocating settlement and vouchers to households to use as they determine, or allocate subsidies to projects in a way that the subsidy amount is not linked to a specific household but rather to the plot.
8.2 Recommendations for civil society

The following provides draft set of recommendations, that builds and draws on some of the recommendations in the previous section, for what civil society organisations can do to intervene in the Human Settlement development cycle in a way that will contribute towards the improvement of living conditions for people in need of land and housing.

Each civil society organisation will need to determine what set of interventions is most appropriate for their own unique situation and skills set.

1. Civil society organisations involved in Human Settlement development in the province need to arrange to come together and reflect on the analysis and recommendations from this study. As part of these deliberations:
   a. identify which of the above mentioned recommendations should be prioritised and what role civil society will play in these prioritised recommendations
   b. consider establishing a provincial civil society Human Settlement forum wherein civil society organisations are then able to prepare themselves to engage with provincial government and others around Human Settlement development. Pay particular attention to how such a civil society forum can be sustained and resourced.

2. In anticipation of decisions yet to be made by civil society organisations as outlined above, certain civil society organisations like Afesis-corpplan, can already begin to lobby for:
   a. government to establish a project cycle management tool/table/system/checklist as described in the recommendations.
   b. provincial and local Human Settlement forums and inter-department Human Settlement committees.
   c. and raise awareness of the need for more incremental settlement development approaches
   d. rural housing policy review and planning
   e. allocation policy review and planning

3. Civil society organisations need to use whatever platforms and forums they have access to (e.g. ward committees, IDP review processes, Human Settlement sector planning exercises, etc. in municipalities and other government structures) to lobby for Human Settlement forums to be established at provincial and municipal level.

4. Work with willing civil society organisations to begin to evaluate past experiences and share the findings from this research. Approach government, donors and others to fund and support such evaluation and learning exercises.

5. Civil society organisations should consider identifying pilot projects, and start to seek funding for such projects, that demonstrate more incremental settlement approaches.

6. If provincial government or some other structure starts to use a project management tool/system, civil society organisations need to get involved as early as possible to learn from this experience and contribute to the evolution and improvement of such a system.

7. Afesis-corpplans should:
a. share these research findings and recommendations with as many people and organisations as possible (both within civil society organisations – locally and nationally; as well as with government, business academia and others) and get constructive feedback on the situation analysis and appropriateness of the recommendations.

b. summarise the research findings and make this information easily available on its existing websites and through the networks of other civil society organisations

8. Sections requiring more detailed analysis need to be identified (such as development of a revised rural housing policy, development of a project management tracking system, etc.)
   a. funding to conduct this research sourced; and or
   b. other organisations and structures need to be lobbied in order to conduct this research work
Annexure: Navigating the Human Settlement development process

The following table can be used by communities and others to check where your project is within the housing and settlement development process.

This table is meant to provide just a broad overview of what is involved in the Human Settlement development and assist communities to determine where in the process they need to focus their attention.

The project cycle management tool mentioned elsewhere in this report will provide a far more detailed checklist for what needs to happen.

<table>
<thead>
<tr>
<th>HOUSING PROJECT CHECKLIST FOR COMMUNITY STRUCTURES</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1 PROJECT APPLICATION PHASE</strong></td>
<td></td>
</tr>
<tr>
<td>ITEMS TO CHECK</td>
<td>YES/ NO</td>
</tr>
<tr>
<td>Has the project been identified by government as a potential project</td>
<td></td>
</tr>
<tr>
<td>Are funding applications submitted to Department as per the prioritisation in the municipal HSP AND IDP?</td>
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<tr>
<td><strong>2 FEASIBILITY PHASE</strong></td>
<td></td>
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<tr>
<td>Have steps of feasibility stage been completed and are outcomes confirmed in terms of:</td>
<td>Request that project first resolve:</td>
</tr>
<tr>
<td>• Land availability?</td>
<td>• Land availability</td>
</tr>
<tr>
<td>• Land suitability?</td>
<td>• Land suitability</td>
</tr>
<tr>
<td>• Infrastructure capacity?</td>
<td>• Infrastructure capacity</td>
</tr>
<tr>
<td>Have beneficiary consultation, education and screening been completed?</td>
<td>Insist in proper consultation, education and screening before confirming support of alternative options.</td>
</tr>
<tr>
<td>Have Integration of community needs, social and economic needs been considered?</td>
<td>Request that forum be established to involve relevant departments to address community needs, social and economic needs.</td>
</tr>
<tr>
<td><strong>3 PRE-PLANNING PHASE</strong></td>
<td></td>
</tr>
<tr>
<td>Have all pre-planning activities been completed, including:</td>
<td>Ensure that municipality or implementing agent submits proof of completion and remaining validity period.</td>
</tr>
<tr>
<td>• Topographical Survey?</td>
<td></td>
</tr>
<tr>
<td>• Town Planning?</td>
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<tr>
<td>• Environmental Authorisation?</td>
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<td>• Land Surveying?</td>
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<td>• Engineering Designs?</td>
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<td>• House Plan?</td>
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<td>• NHBRC Registration?</td>
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<tr>
<td><strong>4 IMPLEMENTATION PHASE</strong></td>
<td></td>
</tr>
</tbody>
</table>
## HOUSING PROJECT CHECKLIST FOR COMMUNITY STRUCTURES

Follow each component of procurement and implementation, to ensure the following:
- Is the project being adequately monitored and steered?
- Has process of preparing tender documentation, procurement, adjudication and award been followed and completed according to regulations?
- Does selected contractor have necessary capacity and skill?
- Does the contractor have a good track record?
- Is the product satisfactory?
- Is beneficiary and sales administration progressing?

<table>
<thead>
<tr>
<th>Action Items</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lobby for the project steering committees capacity to be enhanced</td>
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<tr>
<td>Request that due process be followed, prior to finalisation of award.</td>
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<tr>
<td>Request that award be reconsidered or measures be put in place to capacitate.</td>
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<tr>
<td>Request that alternative contractors be considered</td>
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<tr>
<td>Do not accept completion.</td>
</tr>
<tr>
<td>Request clarification and unblocking</td>
</tr>
</tbody>
</table>

### 5 LONG TERM SUSTAINABILITY

Monitor, manage and maintain sustainable settlement.
- Is there awareness and willingness to pay Rates and Services (for consumption over and above free basic allowance)?
- Is there awareness of the responsibility to maintain own house after project completion?
- Is your local municipality fulfilling its obligation for provision and maintenance of services?

<table>
<thead>
<tr>
<th>Action Items</th>
</tr>
</thead>
<tbody>
<tr>
<td>Promote campaign to promote awareness and willingness.</td>
</tr>
<tr>
<td>Run competition and award for best maintained house / garden.</td>
</tr>
<tr>
<td>Demand acceptable service deliver and local government</td>
</tr>
</tbody>
</table>

Has the housing project been evaluated and reviewed?

<table>
<thead>
<tr>
<th>Action Items</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lobby your municipality to conduct a review of the housing project and share the findings with you with recommendations for how the review will help improve your and other projects.</td>
</tr>
</tbody>
</table>