

Buffalo City Metropolitan Municipality

Annexures:

Informal Settlement Upgrading Policy and Strategy

2014

BUFFALO CITY
MUNICIPALITY

NUSP
National Upgrading Support Programme

human settlements
Department:
Human Settlements
REPUBLIC OF SOUTH AFRICA

Produced by CS Consulting and Afesis-corplan for the National Department of Human Settlements, the National Upgrading Support Programme and Buffalo City Metropolitan Municipality

Afesis-corplan
Promoting active citizenship and good governance

CS CONSULTING

December 2014

Cover photo: Amalinda Forest Informal Settlement - Buffalo City Metropolitan Municipality

CONTENTS

ANNEXURES

Contents

1. **ANNEXURE:** Environmental legislation applicable to informal settlement upgrading 5
2. **ANNEXURE**: Environmental hotspot checklist 14
3. **ANNEXURE**: Incremental settlement areas 16
3.1. STEP 1: Establish incremental settlement areas 16
3.1.1. Land tenure in ISA 17
3.1.1.1. Land tenure rules 17
3.1.1.2. Changing names in ISA's 19
3.1.2. Land use and building control 21
3.1.2.1. Land use and building control rules 21
3.1.2.2. Changing land use and getting building approval in ISA's 22
3.2. STEP 2: Rezone identified areas to land use zone Public Residential 1A or 1B 23
3.3. STEP 3: rezone from residential zone 1A to 1B and/or other appropriate land use zoning 24
3.3.1. Summary of zoning categories 24
4. **ANNEXURE**: Upgrading Rounds 25
5. **ANNEXURE**: Upgrading Phases 27
5.1. PHASE 0: Rapid review 28
5.1.1. Rapid review 28
5.1.2. Emergency response team 28
5.1.3. Zoning of Incremental Settlement Areas 29
5.1.4. Awareness and community capacity development 29
5.1.5. Time frames 29
5.1.6. Capacity for rapid review phase 30
5.2. PHASE 1: Preparing for development 30
5.2.1. Capacity building 30
5.2.2. Data collection 30
5.2.3. Participative planning 31
5.2.4. Awareness raising 31
5.2.5. Timeframes 32
5.2.6. Capacity for preparing for upgrading 32
5.3. PHASE 2: Basic Development 32
5.3.1. Basic services and facilities 32
5.3.2. Basic layout 34
5.3.3. Basic tenure 36

5.3.4. Basic land use management 37
5.3.5. Basic organisation 38
5.3.6. Basic house 38
5.3.7. Time frames 38
5.3.8. Capacity for basic development phase 39
5.4. PHASE 3: Development Support 39
5.4.1. Support for programme/ project implementation 39
5.4.2. Support for Neighbourhood Based Organisations 40
5.4.3. Support for households (consumers) 41
5.4.4. Support to micro finance consumers 42
5.4.5. Support for businesses (producers) 42
5.4.6. Support for social and cultural institutions 43
5.4.7. Evaluation and learning 43
5.4.8. General awareness raising 44
5.4.9. Mode of support 44
5.4.10. Timeframes 45
5.4.11. Capacity for development support 45
5.5. PHASE 4: Consolidation 45
5.5.1. Tenure 45
5.5.2. Services and facilities 47
5.5.3. Organisation 48
5.5.4. House 48
5.5.5. Timeframes 49
5.5.6. Capacity requirements for consolidation phase 49
5.6. PHASE 5: on-going development phase 50
5.6.1. On-going development support and consolidation 50
5.6.2. Maintenance and improvement 50
5.6.3. Affordability and sustainability 51
5.6.4. Evaluation and learning 51
5.6.5. Time fames 52
5.6.6. Capacity required in on-going development phase 52
6. **ANNEXURE:** Upgrading options or paths 53
7. **ANNEXURE**: The ABCD approach 62
8. **ANNEXURE**: Guidelines for layout of informal settlements 63
8.1. INTRODUCTION 63
8.2. DRAFT Guidelines 63
9. **ANNEXURE**: Policy and strategy workshop report 66
9.1 WORKSHOP 1: EAST LONDON WITH MUNICIPAL COUNCILLORS 66
9.2 WORKSHOP 2: KING WILLIAMS TOWN 70
9.3 WORKSHOP 3: MDANTSANE 74
9.4 ATTENDANCE LISTS 78

1. ANNEXURE: ENVIRONMENTAL LEGISLATION APPLICABLE TO INFORMAL SETTLEMENT UPGRADING

The following tables (table 1 and 2) outline environmental legislation that is potentially applicable to situations where informal settlements are to be upgraded.

Table 1: Environmental Legislation applicable to Upgrading of Informal Settlements (1)

Title of legislation, policy or guideline:		**Administering authority:**	**Date:**
National Environmental Management Act (Act No. 107 of 1998)		**National and Provincial**	**1998**
Listing Notice 1			
GNR 983 Listing Notice 1 Activity 9	The development of infrastructure exceeding 1000 metres in length for the bulktransportation of water or storm water-(i) with an internal diameter of 0,36 metres or more; or(ii) with a peak throughput of 120 litres per second or more;excluding where- (a) such infrastructure is for bulk transportation of water or storm water or storm water drainage inside a road reserve; or (b) where such development will occur within an urban area.	ECDED-EAT	8 December 2014
GNR 983 Listing Notice 1 Activity 10	The development and related operation of infrastructure exceeding 1000 metres in length forthe bulk transportation of sewage, effluent, process water, waste water, return water,industrial discharge or slimes (i) with an internal diameter of 0,36 metres or more; or(ii) with a peak throughput of 120 litres per second or more;excluding where- (a) such infrastructure is for bulk transportation of sewage, effluent, process water, waste water, return water, industrial discharge or slimes inside a road reserve; or (b) where such development will occur within an urban area.	ECDED-EAT	8 December 2014
GNR 983 Listing Notice 1 Activity 12	The development of-(i) canals exceeding 100 square metres in size;(ii) channels exceeding 100 square metres in size;(iii) bridges exceeding 100 square metres in size;(iv) dams, where the dam, including infrastructure and water surface area, exceeds 100square metres in size;(v) weirs, where the weir, including infrastructure and water surface area, exceeds 100square metres in size;(vi) bulk storm water outlet structures exceeding 100 square metres in size; (vii) marinas exceeding 100 square metres in size;(viii) jetties exceeding 100 square metres in size;(ix) slipways exceeding 100 square metres in size;(x) buildings exceeding 100 square metres in size; (xi) boardwalks exceeding 100 square metres in size; or(xii) infrastructure or structures with a physical footprint of 100 square metres or more;where such development occurs-(a) within a watercourse;(b) in front of a development setback; or(c) if no development setback exists, within 32 metres of a watercourse, measured fromthe edge of a watercourse; -excluding- or road reserves.	ECDED-EAT	18 June 2010

Title of legislation, policy or guideline:		Administering authority:	Date:
GNR 983 Listing Notice 1 Activity 12	(aa) the development of infrastructure or structures within existing ports or harbours that will not increase the development footprint of the port or harbour; (bb) where such development activities are related to the development of a port or harbour, in which case activity 26 in Listing Notice 2 of 2014 applies; (cc) activities listed in activity 14 in Listing Notice 2 of 2014 or activity 14 in Listing Notice 3 of 2014, in which case that activity applies; (dd) where such development occurs within an urban area; or (ee) where such development occurs within existing roads	ECDED-EAT	18 June 2010
GNR 983 Listing Notice 1 Activity 18	The infilling or depositing of any material of more than 5 cubic metres into, or the dredging,excavation, removal or moving of soil, sand, shells, shell grit, pebbles or rock of more than 5cubic metres from-(i) a watercourse; (ii) the seashore; or(iii) the littoral active zone, an estuary or a distance of 100 metres inland of the high-watermark of the sea or an estuary, whichever distance is the greaterbut excluding where such infilling, depositing , dredging, excavation, removal or moving- (a) will occur behind a development setback; (b) is for maintenance purposes undertaken in accordance with a maintenancemanagement plan; or (c) falls within the ambit of activity 21 in this Notice, in which case that activity applies.	ECDED-EAT	8 December 2014
GNR 983 Listing Notice 1 Activity 24	The development of-(i) a road for which an environmental authorisation was obtained for the routedetermination in terms of activity 5 in Government Notice 387 of 2006 or activity 18 inGovernment Notice 545 of 2010; or(ii) a road with a reserve wider than 13,5 meters, or where no reserve exists where theroad is wider than 8 metres;but excluding- (a) roads which are identified and included in activity 27 in Listing Notice 2 of 2014; or (b) roads where the entire road falls within an urban area.	ECDED-EAT	8 December 2014
GNR 983 Listing Notice 1 Activity 27	The clearance of an area of 1 hectares or more, but less than 20 hectares of indigenousvegetation, except where such clearance of indigenous vegetation is required for- (i) the undertaking of a linear activity; or (ii) maintenance purposes undertaken in accordance with a maintenance management plan.	ECDED-EAT	8 December 2014
GNR 983 Listing Notice 1 Activity 30	Any process or activity identified in terms of section 53(1) of the NationalEnvironmental Management: Biodiversity Act, 2004 (Act No. 10 of 2004).	ECDED-EAT	8 December 2014

Title of legislation, policy or guideline:		Administering authority:	Date:
GNR 983 Listing Notice 1 Activity 45	The expansion of infrastructure for the bulk transportation of water or storm water where the existing infrastructure-(i) has an internal diameter of 0,36 metres or more; or(ii) has a peak throughput of 120 litres per second or more; and(a) where the facility or infrastructure is expanded by more than 1000 metres inlength; or(b) where the throughput capacity of the facility or infrastructure will be increased by10% or more;excluding where such expansion- (aa) relates to transportation of water or storm water within a road reserve; or (bb) will occur within an urban area.	E C D E D - EAT	8 December 2014
GNR 983 Listing Notice 1 Activity 46	The expansion and related operation of infrastructure for the bulk transportation of sewage,effluent, process water, waste water, return water, industrial discharge or slimes where theexisting infrastructure-(i) has an internal diameter of 0,36 metres or more; or(ii) has a peak throughput of 120 litres per second or more; and(a) where the facility or infrastructure is expanded by more than 1000 metres inlength; or(b) where the throughput capacity of the facility or infrastructure will be increased by10% or more;excluding where such expansion- (aa) relates to transportation of sewage, effluent, process water, waste water, return water, industrial discharge or slimes within a road reserve; or (bb) will occur within an urban area.	E C D E D - EAT	8 December 2014
GNR 983 Listing Notice 1 Activity 48	The expansion of- .(i) canals where the canal is expanded by 100 square metres or more in size ;(ii) channels where the channel is expanded by 100 square metres or more in size ;(iii) bridges where the bridge is expanded by 100 square metres or more in size;(iv) dams, where the dam, including infrastructure and water surface area, is expanded by100 square metres or more in size; (v) weirs, where the weir, including infrastructure and water surface area, is expanded by100 square metres or more in size;(vi) bulk storm water outlet structures where the bulk storm water outlet structure isexpanded by 100 square metres or more in size; or(vii) marinas where the marina is expanded by 100 square metres or more in size;where such expansion or expansion and related operation occurs-(a) within a watercourse;(b) in front of a development setback; or(c) if no development setback exists, within 32 metres of a watercourse, measured fromthe edge of a watercourse;excluding- (aa) the expansion of infrastructure or structures within existing ports or harbours that willnot increase the development footprint of the port or harbour; (bb) where such expansion activities are related to the development of a port or harbour,in which case activity 26 in Listing Notice 2 of 2014 applies; (cc) activities listed in activity 14 in Listing Notice 2 of 2014 or activity 14 in Listing Notice3 of 2014, in which case that activity applies; (dd) where such expansion occurs within an urban area; or (ee) where such expansion occurs within existing roads or road reserves.	E C D E D - EAT	8 December 2014

Title of legislation, policy or guideline:		Administering authority:	Date:
GNR 983 Listing Notice 1 Activity 49	The expansion of -(i) jetties by more than 100 square metres;(ii) slipways by more than 100 square metres;(iii) buildings by more than 100 square metres; (iv) boardwalks by more than 100 square metres; or(v) infrastructure or structures where the physical footprint is expanded by 100 squaremetres or more;where such expansion or expansion and related operation occurs-(a) within a watercourse;(b) in front of a development setback; or(c) if no development setback exists, within 32 metres of a watercourse, measured fromthe edge of a watercourse;excluding- (aa) the expansion of infrastructure or structures within existing ports or harbours that will not increase the development footprint of the port or harbour; (bb) where such expansion activities are related to the development of a port or harbour, in which case activity 26 in Listing Notice 2 of 2014 applies; (cc) activities listed in activity 14 in Listing Notice 2 of 2014 or activity 14 in Listing Notice 3 of 2014, in which case that activity applies; (dd) where such expansion occurs within an urban area; or (ee) where such expansion occurs within existing roads or road reserves.	E C D E D - EAT	8 December 2014
GNR 983 Listing Notice 1 Activity 56	The widening of a road by more than 6 metres, or the lengthening of a road by more than 1kilometre-(i) where the existing reserve is wider than 13,5 meters; or(ii) where no reserve exists, where the existing road is wider than 8 metres;excluding where widening or lengthening occur inside urban areas.	E C D E D - EAT	8 December 2014
GNR 983 Listing Notice 1 Activity 67	Phased activities for all activities.listed in this Notice, which commenced on or after the effective date of this Notice; orii. similarly listed in any of the previous NEMA notices, which commenced on or after theeffective date of such previous NEMA Notices;where any phase of the activity may be below a threshold but where a combination of thephases, including expansions or extensions, will exceed a specified threshold;excluding the following activities listed in this Notice-17(i)(a-d);17(ii)(a-d);17(iii)(a-d);17(iv)(a-d);17(v)(a-d);20;21;22;24(i);29;30;31;32; 34; 54(i)(a-d); 54(ii)(a-d); 54 (iii)(a-d); 54(iv)(a-d); 54(v)(a-d); 55; 61; 62; 64 and 65	E C D E D - EAT	8 December 2014
Listing Notice 2			
GNR 984 Listing Notice 2 Activity 6	The development of facilities or infrastructure for any process or activity which requires apermit or licence in terms of national or provincial legislation governing the generation orrelease of emissions, pollution or effluent, excluding (i) activities which are identified and included in Listing Notice 1 of 2014; in which case the competent(ii) activities which are included in the list of waste management activities published in. terms of section 19 of the National Environmental Management: Waste Act,. 2008(No. 59 of 2008) in which case the National Environmental Management: Waste Act,2008 applies; (iii) the development of facilities or infrastructure for the treatment of effluent, wastewater orsewage where such facilities have a daily throughput capacity of 2000 cubic metres or above does not apply to theless	E C D E D - EAT	8 December 2014

Title of legislation, policy or guideline:		Administering authority:	Date:
Listing Notice 3			
GNR 985 Listing Notice 3 Activity 2 b(iv)(aa)	The construction ofreservoirs for bulkwater supply with acapacity of more than250 cubic metres.(b) In Eastern Cape:iv. In urban areas:(aa) Areas zoned for use as public open space.	E C D E D - EAT	8 December 2014
GNR 985 Listing Notice 3 Activity 4(b)(iii)(aa)	"The construction of a road wider than 4 meters with a reserve less than 13, 5 meters (b) In Eastern Cape:iii. In urban areas:(aa) Areas zoned for use as public open space	E C D E D - EAT	18 June 2010
GNR 985 Listing Notice 3 Activity 12(a)(ii)(iv)	The clearance of anarea of 300 squaremetres or more of indigenousvegetation except where such clearance of indigenous vegetation is required for maintenance purposes undertaken in accordance with a maintenance plan(a) In Eastern Cape, Free State, Gauteng, Limpopo, NorthWest and Western Cape provinces:ii. Within critical biodiversity areas identified in bioregional;iv. On land, where, at the time of the coming into effect ofthis Notice or thereafter such land was zoned openspace, conservation or had an equivalent zoning.	E C D E D - EAT	18 June 2010
GNR 985 Listing Notice 3 Activity 14(c)(iii)(aa)	The development of-(i) canals exceeding 10 squaremetres in size ;(ii) channels exceeding 10square metres in size;CO bridges exceeding 10square metres in size;(iv) dams, where the dam,including infrastructure andwater surface area exceeds10 square metres in size;(v) weirs, where the weir,including infrastructure andwater surface area exceeds10 square metres in size;(vi) bulk storm water outletstructures exceeding 10square metres in size;(vii) marinas exceeding 10square metres in size;(viii) jetties exceeding 10 squaremetres in size;(ix) slipways exceeding 10square metres in size;(x) buildings exceeding 10square metres in size;(xi) boardwalks exceeding 10square metres in size; or (xii) infrastructure or structureswith a physical footprint of10 square metres or morewhere such developmentoccurs(a) within a watercourse;(b) in front of a developmentsetback; or(c) if no development setbackhas been adopted, within32 metres of a watercourse,measured from the edge ofa watercourse;excluding the development of structures within existing ports or harbours that will not increase the excluding conservancies; development footprint of the port or harbour. (c) In Eastern Cape:iii. In urban areas:(aa) Areas zoned for use as public open space;(bb) Areas designated for conservation use in SpatialDevelopment Frameworks adopted by thecompetent authority, zoned for a conservationpurpose; or(cc) Areas seawards of the development setback line.	E C D E D - EAT	18 June 2010

Title of legislation, policy or guideline:		Administering authority:	Date:
GNR 985 Listing Notice 3 Activity 18(b)(iii) (cc)	The widening of a roadby more than 4 metres,or the lengthening of aroad by more than 1 kilometre ((b) In Eastern Cape:iii. Inside urban areas:(cc) Areas zoned for use as public open space;	ECDEDEAT	18 June 2010
GNR 546 Listing Notice 3 Activity 23(b)(iii) (aa)	The expansion of-(i) canals where the canal isexpanded by 10 square metresor more in size;(ii) channels where the channel isexpanded by 10 square metresor more in size;(iii) bridges where the bridge isexpanded by 10 square metresor more in size;(iv) dams where the dam isexpanded by 10 square metresor more in size;(v) weirs where the weir is expandedby 10 square metres or more insize;(vi) bulk storm water outlet structureswhere the structure is expandedby 10 square metres or more in size;(vii) marinas where the marina isexpanded by 10 square metresor more in size;(viii) jetties where the jetty isexpanded by 10 square metresor more in size;(ix) slipways where the slipway isexpanded by 10 square metresor more in size;(x) buildings where the building isexpanded by 10 square metresor more in size;(xi) boardwalks where the boardwalkis expanded by 10 square metresor more in size; or(xii) infrastructure or structures wherethe physical footprint is expandedby 10 square metres or more;where such development occurs—(a) within a watercourse; or(b) in front of a development setbackadopted in the prescribedmanner; or(c) if no development setback hasbeen adopted, within 32 metresof a watercourse, measured fromthe edge of a watercourse;excluding the expansion of structureswithin existing ports or harbours that willnot increase the development footprintof the port or harbour. (b) In Eastern Cape iii. Inside urban areas: (aa) Areas zoned for use as public open space;	ECDEDEAT	18 June 2010
GNR 985 Listing Notice 3 Activity 26	Phased activities for allactivities listed Phased activities for allactivitieslisted in this Notice and as itapplies to a specificgeographical area, which commenced on or after theeffective date of this Notice;orii. similarly listed in in any of theprevious NEMA notices, andas it applies to a specificgeographical area, whichcommenced on or after theeffective date of suchprevious NEMA Noticeswhereany phase of the activitymay be below a threshold butwhere a combination of thephases, including expansions orextensions, will exceed aspecified threshold; -excluding the following activitieslisted in this Notice-7; 8; 11; 13; 17; 20; 21; and 24.	ECDEDEAT	18 June 2010
National Water Act (Act 36 of 1998): Section 21 Water Uses		**National and Provincial**	**1998**
(a) Taking water from a water resource (c) Impeding or diverting the flow of water in a watercourse (i) Altering the beds, banks, course or characteristics of a watercourse. (f) Discharging waste or water containing waste into a water resource through a pipe, canal, sewer, sea outfall or other conduit: (g) Disposing of waste in a manner which may detrimentally impact on a water resource		DWA	1998

Table 2: Environmental Legislation applicable to Upgrading of Informal Settlements (2)

Activity #	Listed Activity Description	Reason for Inclusion
National Environmental Management Act (Act No. 107 of 1998).		
GNR 983 Listing Notice 1		Should the proposed development trigger any listed activity detailed in Listing Notice 1 (No. R 983), the development will require an environmental authorisation from the relevant authority.
GNR 984 Listing Notice 2:		Should the proposed development trigger any listed activity detailed in Listing Notice 2 (No. R 984), the development will require an environmental authorisation from the relevant authority.
GNR 985 Listing Notice 3:		Should the proposed development trigger any listed activity detailed in Listing Notice 3 (No. R 985), the development will require an environmental authorisation from the relevant authority.
National Environmental Management Biodiversity Act (Act No. 10 of 2004 – NEMBA)		
	The National Environmental Management: Biodiversity Act (Act No. 10 of 2004 - NEMBA), "provides for: the management and conservation of South Africa's biodiversity within the framework of the NEMA; the protection of species and ecosystems that warrant national protection; the sustainable use of indigenous biological resources; the fair and equitable sharing of benefits arising from bioprospecting involving indigenous biological resources; the establishment and functions of a South African National Biodiversity Institute; and for matters conducted therewith". Regulations published under the National Environmental Management: Biodiversity Act (Act No 10 of 2004 - NEMBA) provides a list of protected species (flora and fauna), according to the Act (GN R. 151 dated 23 February 2007, as amended in GN R. 1187 dated 14 December 2007).	If the activity falls within a Critical Biodiversity Area (CBA) and/or within 10 kilometres of a national park and/or within 5 kilometres of a protected area, the development will require an environmental authorisation from the relevant authority. In addition, should the activity require the removal of protected species, as listed in GN R. 151, a Permit will be required from the relevant authority.
Nature And Environmental Conservation Ordinance (No. 19 of 1974)		
	The Nature and Environmental Conservation Ordinance (No 19 of 1974) allows for conservation of the natural environment; and the protection of wildlife. Certain biota are scheduled and therefore protected.	A permit must be obtained from relevant Department of Economic Development, Environment Affairs and Tourism (DEDEAT), Provincial Environment Affairs (Biodiversity Unit), to remove or destroy any plants listed in the Ordinance.

Activity #	Listed Activity Description	Reason for Inclusion
National Heritage Resources Act, Act 25 of 1999		
38(1)(c)	Subject to the provisions of subsections (7), (8) and (9), any person who intends to undertake a development categorised as- (a) the construction of a road, wall, powerline, pipeline, canal or other similarform of linear development or barrier exceeding 300m in length; (b) the construction of a bridge or similar structure exceeding 50 m in length; (c) any development or other activity which will change the character of a site- (i)exceeding 5 000 m^2 in extent; or (ii) involving three or more existing erven or subdivisions thereof; or (iii) involving three or more erven or divisions thereof which have been consolidated within the past five years; or (iv) the costs of which will exceed a sum set in terms of regulations by SAHRA or a provincial heritage resources authority; (d) the re-zoning of a site exceeding 10 000 m^2 in extent; or (e) any other category of development provided for in regulations by SAHRA or a provincial heritage resources authority, must at the very earliest stages of initiating such a development, notify the responsible heritage resources authority and furnish it with details regarding the location, nature and extent of the proposed development.	The Responsible Heritage Resource Authorities, the South African Heritage Resources Agency (SAHRA) and the Eastern Cape Provincial Heritage Resources Authority (ECPHRA) should be notified of any proposed development should the proposed development trigger any listed activity detailed in Section 38 of the National Heritage Resources Act (Act No. 25 of 1999).
National Forests Act, Act 84 of 1998		
15 (1)(a)(b)	(1) No person may: (a) cut, disturb, damage, destroy or remove any protected tree; or (b) collect, remove, transport, export, purchase, sell, donate or in any other manner acquire or dispose of any protected tree, except under a license granted by the Minister.	Permits will be required for the removal of species listed in the National Forests Act (Act No. 84 of 1998).

Activity #	Listed Activity Description	Reason for Inclusion
National Water Act, Act 36 of 1998		
21 (a)	Taking water from a water resource	Any activity that requires taking water from a water resource requires a general authorisation from the DWA.
21(c)	Impeding or diverting the flow of water in a watercourse.	Any activity within 500 meters of wetlands and 32 meters from riparian areas (watercourses) requires a general authorization from the DWA.
21(i)	Altering the bed, banks, course or characteristics of a watercourse.	Any activity within 500 meters of wetlands and 32 meters from riparian areas (watercourses) requires a general authorisation from the DWA.
21 (f)	Discharging waste or water containing waste into a water resource through apipe, canal. sewer. sea outfall or other conduit:	Any activity that discharges waste or water containing waste into a water resource requires a general authorisation from the DWA.
21 (g)	Disposing of waste in a manner which may detrimentally impact on a water resource;	Disposing of waste in a manner which may detrimentally impact on a water resource requires a general authorisation from the DWA.

2. ANNEXURE: ENVIRONMENTAL HOTSPOT CHECKLIST

The following table (table 1) provides a checklist that the municipality can use to determine the environmental sensitivity of informal settlements so as to determine what further environmental studies and approvals may be necessary.

Table 1: Environmental Hotspot Checklist

Legislation	YES	NO	NEMA Listing Notice
Is the development within 32 meters of a watercourse?			NEMA Listing Notice 1
Is the development within a Critical Biodiversity Area?			NEMA Listing Notice 3
Will the development involve the clearance of indigenous vegetation within a Critical Biodiversity Area?			NEMA Listing Notice 3
Is the development occurring in an area zoned for the use of public open space?			NEMA Listing Notice 3
Is the development within 10 kilometres from national parks or world heritage sites; or 5 kilometres from any other protected area identified in terms of NEMPAA or from the core areas of a biosphere reserve			NEMA Listing Notice 3
Will the development require the removal/infilling of material within a watercourse?			NEMA Listing Notice 1
Is the development within 500 meters of a wetland?			Section 21 of the National Water Act
Does the development require water abstraction from a water resource?			Section 21 of the National Water Act
Will the development impeding or divert the flow of water in a watercourse			Section 21 of the National Water Act
Will the development alter the beds, banks, course or characteristics of a watercourse.			Section 21 of the National Water Act
Will the development discharge waste or water containing waste into a water resource through a pipe, canal, sewer, sea outfall or other conduit:			Section 21 of the National Water Act
Will the development dispose of waste in a manner which may detrimentally impact on a water resource			Section 21 of the National Water Act
Will the development require the removal/disturbance to any protected species/tree listed in the National Forest Act (No.			GN R. 151of the National Environmental Management: Biodiversity Act (Act No 10 of 2004); Section 15 of the National Forest Act (No. 84 of 1998) and the Nature and Environmental Conservation Ordinance (No. 19 of 1974)

Legislation	YES	NO	NEMA Listing Notice
Will the development involve: (a) the construction of a road, wall, powerline, pipeline, canal or other similar form of linear development or barrier exceeding 300m in length; (b) the construction of a bridge or similar structure exceeding 50m in length; (c) any development or other activity which will change the character of a site- (i) exceeding 5 000 m2 in extent; or (ii) involving three or more existing erven or subdivisions thereof; or (iii) involving three or more erven or divisions thereof which have been consolidated within the past five years; or (iv) the costs of which will exceed a sum set in terms of regulations by SAHRA or a provincial heritage resources authority; (d) the re-zoning of a site exceeding 10 000 m2 in extent; or (e) any other category of development provided for in regulations by SAHRA or a provincial heritage resources authority.			Section 38 of the National Heritage Resources Act (Act No. 25 of 1999).
Will the development require the permanent/temporary disposal of inert waste to land, in excess of 25 tons, in areas outside of registered waste facilities? Or any quantity of hazardous waste to land?			GN . R 921 in accordance with Section 20 of the National Environmental Management Waste Act (No. 59 of 2008).

3. ANNEXURE: INCREMENTAL SETTLEMENT AREAS

The municipality must designate identified informal settlements that it wants to recognise as being part of its upgrading plans, as Incremental Settlement Areas (ISA's).

ISA's build on the Spatial Planning and Land Use Management Act (SPLUMA) No. 16 of 2013 which states that municipalities, in its Spatial Development Framework plans, should "identify the designation of areas in the municipality where incremental upgrading approaches to development and regulation will be applicable" (in section 21 (k)).

These ISA's include those settlements that are likely to be upgraded in situ as well as those that are to be relocated. ISA's should be designated on public/ state and private land.

The municipality should not designate an informal settlement as an incremental settlement area if it plans to or is in the processes of removing the settlement.

The recognition of tenure in informal settlements follows the following phased or step by step approach:

- Step 1: Establish incremental settlement areas where basic rules are set out for how tenure is to be managed in these areas, and what land use and building controls will apply.
- Step 2: Rezone from existing land use to Public Housing 1A or 1B for those informal settlements for which the necessary environmental and other approvals are obtained and for which a basic plot layout has been developed. The tenure rules applicable to ISA's will continue to apply but the land use and zoning rules will be applicable to land use zoning 1A.
- Step 3: Rezone from 1A to zone 1B and/or another appropriate zoning category where a formal layout with registered erven is created for houses, schools, road reserves, public open space etc. Unless tenure is converted to individual ownership, rental or some other tenure system, the tenure rules applicable to ISA will still apply.

The following section provides guidelines for how these Incremental settlement areas should be managed. The municipality should develop more detailed regulations, based on these guidelines, to administer incremental settlement areas.

3.1 Step 1: Establish incremental settlement areas

Identify all informal settlements in the municipality and determine which settlements the municipality plans to address by either upgrading where they are or will be relocated. (See section 3.3.1 on upgrading at the municipal scale of the main Policy and strategy report)

Identify an outer boundary to demarcate an area within which households have the right to be part of future upgrading plans of the municipality for that area, and demarcate/ designate this area as an incremental settlement area. This area must then be reflected as such in the municipalities Spatial Development Framework (SDF).

Areas that can be designated as incremental settlement areas include:

- Existing informal settlements
- Open areas where incremental settlement will be allowed in future (this could be adjacent to existing informal settlements or on new land identified for incremental settlement development)
- Existing and future settlement areas on communal land (if incremental settlement will be accommodated on this communal land)

ISA's can be designated on either public/state land or on private land. These ISA do not change the underlining land ownership. They also do not change the rights of the existing property owners, but merely acts as an administrative tool to indicate that the municipality acknowledges that the occupants are on the land, and that the municipality will be looking at upgrading and/or removing the occupants after following the necessary procedures.

Note also that even informal settlements that will be relocated in future should be designated as incremental settlement areas, so that the municipality is able to start to manage and administer these areas prior to them being relocated. Once the settlement is relocated, the incremental settlement designation for these areas can be removed/ withdrawn, and the area where people have been relocated too can be designated as an incremental settlement area.

The incremental settlement area deals with the following two broad issues (these issues are elaborated on in more detail below):

1. Land tenure which deals with who has permission to stay on which piece of land and under what rules within the incremental settlement area.

2. Land use and building control which deals with what the land can be used for and what type of structures can be built on the land.
    - land use could indicate, for example, that the land can be used for residential, business (spaza shops, shebeens, etc., , institutions (community halls, churches, play areas, etc.). on a temporary basis despite what the official underlying land use zoning indicates.
    - building control which could indicate, for example, that households don't need permission to build a shelter (where shelter is defined as a structure and unit of accommodation intended for human occupation, constructed of any material whatsoever, even though such structure or material may not comply with the standards or requirement for durability intended by the National Building Act, or any other definition as approved by the municipality). Households should not be allowed to build a formal dwelling within incremental settlement areas – unless the area is zoned as per the land use management system as a residential zone 1A (see section below for more on this).

The following section outlines:

- in relation to land tenure in ISA
    - land tenure rules
    - Procedures for changing occupants
- In relation to Land use and building control in ISA
    - Land use and building control rules
    - Getting building approval

3.1.1 Land tenure in ISA

3.1.1.1 Land tenure rules:

The following provides guidelines for the rules that need to be developed for land tenure which deal with who may occupy which piece of land. Specified people are allowed to stay on identified land using one of the following options:

1. Outer boundary – no names: Anyone who is staying in the designated area can stay there. The municipality does not keep any record of who these people are. The municipality may set a limit to the number of structures/ shelters that can be erected in such a designated incremental settlement area.

2. Outer boundary – no internal layout - list of names not linked to plot: The people whose names are on a list kept by the municipality can stay in the designated area. The municipality just keeps a list of names per designated area, but the municipality does not keep a record of which particular plot each person can stay on within the designated area. The number of names can be fixed so that no new shacks can be built in the area.

3. Outer boundary – concept internal layout – name linked to plot number: The people whose names are on a list kept by the municipality, where a shack number is linked to a plot shown on a concept map, can stay on the appropriate plot shown on the map. Note that in some instances a geo referenced point (e.g. the location of an electricity pre payment meter, or the front door of shack) could substitute for a plot in the concept plan. Note that the term plot is used to describe a portion of land that is shown on a map/ plan approved by the municipality but which is not registered with the surveyor general or shown in the deeds office. The term erf is used to describe a portion of land that is shown on approved general plan and recorded in the deeds office.

4. Outer boundary – registered internal erven – name linked to erven The people whose names are on a list kept by the municipality, where the erf number is linked to a registered erf, can stay on the specified erf. Note that in such cases, as much as there is a registered erf in the deeds office, the owner of the erf is the municipality. The municipality keeps a local land occupation register of who can stay on which erf.

5. Individual erven linked to name: The person who's name is recorded in the deeds office as the owner of the erven is able to stay on the erf and build a shack. In effect this is the same as individual ownership and is therefore not necessarily an incremental tenure option but the culmination of the incremental tenure process. However, it is shown as an option as there may be situations where individually owned plots may be designated as part of an incremental settlement area.

The following table (table 1) summarises the above information.

Table 1: Rules applicable to tenure option

Type of tenure	Is there a name	Is name linked to a settlement	Is the name linked to a plot within a settlement	Is name linked to an erf within settlement	Is named person given certificate
1. Outer boundary - No names	Yes	X	X	X	X
2. Outer boundary – named people	Yes	Yes	X	X	X (but can be if they ask. Certificate only specifies area not plot)
3. Identified plot – named person	Yes	Yes	Yes	X	X (but can be if they ask. Certificate linked to plot
4. Individual erven – linked to occupant	Yes	Yes	X (name is linked to erf not plot)	Yes	Yes
5. Individual erven - owned by named person	Yes	Yes	X (name is linked to erf not pot)	Yes	No – they have title deeds

The following outlines a number of other questions for which rules need to be developed, and provides some proposed answers to these questions.

1. Whose name is kept on the informal settlement occupation list? It is proposed that both names should be recorded on the list when the occupants are a married couple or co-habiting. This is so as to protect the rights of both occupants should the couple or co-habitors split or get divorced.
2. Can households bequeath their locally administered tenure rights when they die? It is proposed that households can bequeath their recognition of occupation certificates to children, spouses, siblings and others if the occupant dies. Space needs to be made available on the municipal list for names of people who will take over in such instances.
3. Can households transfer their tenure rights? Yes, it is proposed that households should be able to transfer the rights they obtain within ISA's. If these rights are not transferable, this is likely to lead to situations where households 'illegally' transfer their rights anyway. It will also be very difficult for the municipality to 'police' any restriction on transferring rights. It is proposed that households can transfer these rights to anyone of their choosing. Note however, that in certain instances the municipality may want to modify this right to transferring tenure, in situations where they plan to 'de-densify' and informal settlement. Such situations will be specifically noted and acknowledged by both the municipality and the occupants/ households.
4. What financial compensation can households receive when they transfer their tenure rights? It is proposed that households are able to receive a financial compensation from the incoming person as determined at a market determined price. Note that the person is not selling the land, but is just 'selling' the rights associated with staying on the land. They are also 'selling' the recognition they have from the municipality to stay on the land. These include the right to participate in any upgrading or relocation process.
5. Can households sub let their property or parts of your property? Households should not be able to sub let their shack or the 'plot' or erf they are residing on, but they should be able to sub let rooms in their shack or parts of the plot/ erf they are residing on.
6. Who can households approach if they have a dispute over any of these rules? The first point of reference is the local area committee of the informal settlement concerned. If they are unable to assist then the household should approach the local ward committee and ward councillor. If they are unable to assist the municipality can be approached to try and find a solution to the problem. The municipality's decision is then final.

The issues of what activity households can undertake on the land and what type of structures can build are dealt with the next section.

3.1.1.2 Changing names in ISA's

The following procedure will be followed to change the names in the local land occupation records:

1. Outer boundary – no names: There is no need to change or update the names on the local occupation records as the municipality does not keep records of who is staying in the area.

2. Outer boundary – no internal layout - list of names not linked to plot: The outgoing and incoming households need to inform the municipality that they are changing occupation of the shack. The municipality just changes the name on the list. No record is kept of which plot the person is staying on.

3. Outer boundary – internal concept layout - list of names linked to shack numbers (and shown on map): The outgoing and incoming households need to inform the municipality that they are changing occupation of numbered shacks. The municipality changes the name on the occupation list, which reflects which shack/ plot number is affected.

4. Individually registered erven – name linked to erf number: The outgoing and incoming households need to inform the municipality that they are changing occupation of identified erven. The municipality changes the name on the occupation list, which reflects which erf number is affected. The owner in the deeds office remains the municipality
5. Individually registered erf – name linked to deeds office register: The outgoing and incoming households need to inform the deeds office, following normal property transfer procedures, that the owner of the plot has changed. The municipality can access deeds office records if it wants to see who the owner of the plot is.

In the above examples, the municipality must keep a list or record of who is staying in a particular incremental settlement area (for option 2), on a particular plot (for option 3), and on a particular erf (for option 4 and 5). In each of the above examples the municipality may or may not issue the household with one or more of the following:

- A recognition of occupation certificate acknowledging that the person is staying on the land.Note however that in option (1) the municipality does not keep a record of who is stating in the incremental settlement area so will be unable to issue a recognition of occupation certificate, In option (2) the certificate is only able to indicate the settlement where the person is staying and not the specific plot within that settlement. If the municipality does issue a certificate then this certificate needs to include a municipal stamp and the date the certificate was issued.
- A pre payment electricity meter account can act as a proxy for an recognition of occupation certificate where this is available.

The municipality should also develop and agree with the residents of the ISA what further actions will be required from the occupants to change the names in the locally administered tenure system. This could include the parties concerned having to submit a motivation as to why the names need to be changed, which could include, for example:

- The household having to get a signed affidavit with specified particulars (e.g. ID number etc) from both the incoming and outgoing persons (where this is applicable)
- The family of the outgoing person (where they have died) providing proof of death and a signed affidavit from remaining family members confirming who the incoming name will be.
- The ward councillor and/or representative of the ward committee, and/or a representative of the local area committee counter signing the motivation for changing the name.

If there is a difference between the details shown on the list kept by the municipality and an occupation certificate that may be in the possession of a household, then the details shown in the occupation list kept by the municipality will be used; unless the household and the municipality are able to reach agreement that the details on the certificate are more accurate.

If there is a difference between the details shown on the pre payment meter and the details relating to occupation certificates or lists, then the occupation certificate takes precedence.

It is up to the households concerned to inform the municipality if there are any changes to the occupation so the municipality can update its occupation list or update who the pre payment electricity meter is registered too. When updating the list the municipality must update or issue a new occupation certificate to the new occupant, if the new occupant requests such a certificate.

If there is a dispute over who occupies a plot or erf, and occupation certificates are kept, then the person with the most recent legitimate occupation certificate will be deemed to have the rights to occupy that plot.

By accepting to live in an area designated as a Incremental Settlement Area the occupants are automatically indemnifying the municipality against any claims by the occupants of the land and shelters built on the land as a result of damages, injury etc. caused by the person living in the area.

3.1.2 Land use and building control

3.1.2.1 Land use and building control rules

The following section outlines the rules relating to 1) what land use can be undertaken and 2) what type of buildings can be built and where in an ISA. Note: these rules will only be possible to apply in instances where the Municipality owns the land or has signed some form of development or land availability agreement with the existing land owner that the land can be developed. Where the Municipality does not have these conditions in place then the municipality is unable to enforce these land use and building control rules.

- Land use
  - Households can occupy the land for residential purposes. They have to get permission from the municipality if they want to use the land for any other activity such as crèche, spaza shop, business, etc. If they do not apply for permission for other land uses and the municipality does not follow this up then this does not mean that the municipality is giving them to right to continue with this non complying land use. The municipality still has the right to require the land occupier to stop any offending land use at any time.
  - The rights and rules associated with the existing underlining land use zoning activity (e.g. formal residential, open space, institutional etc.) are not changed by designating an area as an ISA (unless the land use zoning is specifically changed to Public Housing 1A or 1B or other land use zoning).
  - When an area is designated as an ISA, and households and the municipality acknowledge that the household can stay in the area, the household indemnifies the municipality against any damages or injury that may occur as a result of the municipality letting the household occupy the land for informal housing or informal settlement purposes.; By accepting that households can occupy the land, the municipality is not accepting any responsibility or giving any approval for occupation and use of the land that may not be allowed as a result of other government legislation such as environmental, health and safety, pollution, heritage and any other legislation.

- Building control:
  - Households and occupants can build any temporary shelter (where shelter is defined asa structure and unit of accommodation intended for human occupation, constructed of any material whatsoever, even though such structure or material may not comply with the standards or requirement for durability intended by the National Building Act, or any other definition as approved by the municipality without having to get building control approval).
  - Households cannot build a permanent structure. To build permanent structures, the area must first be zoned as Public Housing 1A or 1B and then the occupant needs to get building plan approval. In public housing 1A contexts, permanent buildings will only be allowed in situations where the plot is designated as 'permanent' by the municipality.
  - The municipality has the right to retrospectively ask households to remove or rectify any shelter to address health, safety, environmental and other principles and legislation; and households need to take any action as instructed by the municipality to rectify shelters, failing which legal action will be taken.
  - Only informal single storey structures can be built (no multi story structures will be allowed). The risks associated with allowing temporary multi-story structures are too high when it comes to the integrity of the structure to remain standing.
  - Only single detached or semi-detached structures can be built (no row housing may be built). Row houses pose a greater threat when it comes to potential fire hazards and they also potentially disrupt storm water and pedestrian movement between structures.
  - A minimum space of 1 meter needs to be provided between adjacent structures (or sets of semi detached structures). Note that in relation to this rule, it is assumed that there are no plot boundaries between shelters. This is to reduce potential for fire to spread between shacks and provide ventilation, free flow of storm water and pedestrian movement between shacks.

- If plot boundaries are demarcated, than the following rules shall apply:
  - Cannot build within 1 meter of one of the side boundaries, and can build up to the other side boundary. This is to accommodate duplex accommodation.
  - Cannot build within 1 meter of front and back boundaries. To provide ventilation, etc.
- No housing can be built closer than 2 meters to any outer boundary line. This is to increase the distance between neighbouring structures and reduce the risk of fire spreading from informal areas into neighbouring land use.
- Only wire fencing can be erected. Households cannot build permanent fencing, this is so that if the plot boundaries have to change in any future planning exercise this can be done with minimum cost.
- The municipality reserves the right to retrospectively apply these rules, and failure of the municipality to follow up on these rules does not mean that the municipality is consenting to the structure.

3.1.2.2 Changing land use and getting building approval in ISA's

The following procedures will be followed to change land use and get approvals for building construction within an incremental settlement area.

1. To change land use:
   - The household does not have to get permission if they change the land use from residential to gardening / agriculture or open space.
   - The household needs to get special consent if the land use changesfrom residential to a crèche, a small business or light industry. Failure by the municipality to enforce this requirement does not mean that the municipality has giving its consent to such a land use change.
   - In order to change land use to big business or heavy industry the household needs to apply for formal rezoning. This may require the household to sub divide and formally rezone the area.
2. To get approval for building construction:
   - For shelter: The household may build a shelter (defined as a temporary structure) without the need to get approval from the municipality. However, the municipality reserves the right to retrospectively ask the household to make change to the house if the household does not confirm to basic health and safety principles.
   - For dwelling: The municipality will not be in a position to approve formal houses within options 1) and 2)as outlined in the section above on tenure where there is no internal layout approved by the municipality. This is because in any subsequent upgrading processes the boundaries of the plot may change. Dwellings (or formal houses) may only be approved in options 3), 4) and 5) if there is an approved concept plan (with permanent plot boundaries) or an approved layout plan with registered erven.
   - The above procedures relating to shelter and dwellings also apply to situations where the structures being built relate to non- residential activities that have been approved by the municipality.

Note that these procedures in the section above apply for incremental settlement zones that are not yet zoned as residential zone1A (as per the proposed new land use zoning scheme of the municipality which accommodates incremental housing). The procedures for changing land use and getting building approval for these land use zones are outlined in the relevant zoning scheme.

3.2 Step 2: Rezone identified areas to land use zone Public Residential 1A or 1B

The municipality will need to undertake more detailed studies to determine in which areas within an ISA can be upgraded (either through pure in situ or through roll over in situ upgrading), and which areas they will have to be removed at some point in future (e.g. on steep slopes, within power line servitude, close to a water course servitude, within a future roadway, etc).

For those areas where the people will be able to remain and be upgraded, the municipality can rezone the land use to Public Residential 1A (if only a concept layout plan is approved by the municipality) or 1B (if registered erven are created). The following provides more detail on the content of these 2 sub zones:

Public Residential 1A:

- Plan: Public residential 1A can be used in instances where there is a conceptual plan with plots or a general plan with erven. Within a concept plan plots can be:
  - Provisional plots which are used where there is a likelihood that the plot boundaries will change if the plot is converted to an erf. This applies to situations, for example, where plots are in areas that will be removed (e.g. flood lines and on steep slopes, etc), and where the houses are densely spaced and there is likely to be role-over upgrade in future. Note that the concept of using points to demarcate positions of structures cannot be used in public housing zone 1A or 1B, and can only be used in ISAs.
  - Permanent plots which are used where there is very little chance that the plot boundaries will be changed when it is converted to an erf.
- Land use: Residential and other consent uses (e.g. business, institution, public open space/ road, etc).
  - Where using concept plan, the whole area within the outer boundary within which the concept plan is drawn is zoned public housing 1A. This includes the roads, institutional sites, public open space, business sites etc shown on the concept plan. This concept plan land use description is more indicative of what the municipality is planning for the site. The plots within this concept plan, for residential or other potential land uses can either be 1) provisional or 2) permanent. In future when specific erven are registered for these other land use sites, these sites can be rezoned from public residential 1A to the appropriate zoning. .
  - Where using registered erven (public Housing 1A), each specific registered erven is zoned land use Zone public residential 1A.
- Construction type: shelter or dwelling if get approval depending on plot type:
  - Provisional plot: can only be shelter (not dwelling)
  - Permanent plot: can be shelter or dwelling
- Land use restrictions: 1 meter from front and back boundary of plot or erf; and 1 meter from at least 1 side boundary. Only single storey for shelter, and up to double story for formal dwelling.

Public residential 1B:

- Plan: Public residential 1B can only be used where there is a formal erf registered with surveyor general and in deeds office (not a plot)
- Land use: Only residential and other consented land uses as per zoning scheme. (If want to operate a business etc. then the owner of the land portion must rezone to business)
- Construction type: only formal house (no shelter).

- Land use restrictions: 1 meter from front and back boundary of erf; and 1 meter from at least 1 side boundary (so as to accommodate detached formal housing). Up to double storey.

In relation to land tenure, in areas zoned as Public residential 1A or 1B, the incremental land tenure procedures as described in the earlier Incremental Settlement Area section will still apply, until such time as tenure is 'upgraded' to individual tenure or lease agreement, or some other formal variant.

Note that land tenure, in the context of Public housing 1A and 1B can change at any time from any of the incremental tenure options as described in earlier section (e.g. changed from outer boundary with no names recorded, to outer boundary and concept layout linked to plot number and person's name), with the understanding that for public housing 1A, there needs to at least be a concept plan, and for public housing 1B, there needs to be registered erf.

3.3 Step 3: rezone from residential zone 1A to 1B and/or other appropriate land use zoning

In future, as part of the consolidation phase, the municipality can rezone areas from an existing zoning category (if they are part of an incremental settlement area that has not been rezoned to 1A) or from zone 1A to zone 1B and/ or other appropriate land use zoning (e.g. institutional spaces, public open space, etc).

3.3.1 Summary of zoning categories

Table 2: Summary of zoning categories

Zoning type	Use rights	Spatial demarcation
Incremental settlement areas. This is not reflected in the land use zoning code	At start, with special consent: Residential. In future, with further special consent: • Crèche • Small business • Light industry • Garden/ agriculture • Open space Accepting that failure to enforce special consent procedures does not imply acceptance of these land uses. And on condition that municipality can ask occupant to stop 'unacceptable' land use at any stage for health, safety and environmental or other reasons.	Nothing, or single GPS point per shack, or plot
1A. As per land use zoning scheme	Residential land: Public open space, road reserves, business, institutional, etc. The whole area within the approved outer boundary needs to be a single zone 1A, as there will not be individually registered individual internal erven to zone differently. Therefore need to have wide range of consent land uses. Should also have clause that says municipality can get occupants to change land use for environmental, health and safety concerns.	Registered outer boundary with municipal approved internal plots. Plot (provisional) – when not sure plot boundaries will remain the same when upgraded to erf. Can only have shelter (as not certain of building lines for dwelling approval) Plot (permanent) – when certain that plot boundaries will remain the same when plots changed to erven. Can have shelter and dwelling (as certain of building lines)
1B	Residential Consent use: Crèche etc.	Registered erven

4. ANNEXURE: UPGRADING ROUNDS

The municipality will allocate all informal settlements into one of two categories:

- Category A: in situ upgrade: Those settlements that can be upgraded where they are.
- Category B: relocation: Those settlements that need to be relocated.

Note that many informal settlements will be a combination of category A and category B. Where possible the municipality will identify on a plan which part of the settlement falls into category A and which part falls into category B (e.g. in a power line servitude, or within a certain distance of a waterway), but this may not be possible at the rapid review phase and determining areas to be relocated within a settlement may only be possible during the planning process.

For those informal settlements that fall into category A (in situ upgrade), or have at least a portion of the settlement falling within a category A settlement, the municipality will allocate these settlement to rounds. A round is a set of informal settlements for which the phased approach as described in strategy 1 (starting with phase 1) will commence at the same time and will thereafter follow the subsequent phases over time.

So, for example, the set of round 1 settlements will all start their participative planning exercises in year 1, moving onto the provision of basic development products in year 2 as well as development support in year 3 (and in some instances year 2) onwards. The set of round 2 settlements will then start their planning in year 2, proceeding with basic development and development support in year 3. Round 4, 5 and other rounds will then start in subsequent years progressing along the phases as described above.

The following criteria will be used to determine which informal settlements are allocated to which round:

- Those settlements that have been in existence for a longer period will be prioritised to earlier rounds.
- Within a round there will be a spread of settlements across the wards. This will also help ensure that there is a general spread between urban and rural as well as between large and small settlements, and low density and high density settlements.

The following provides an example of how such informal settlements could be categorised.

- Ward 1
  - Settlement 1.1: oldest settlement
  - Settlement 1.2: second oldest settlement
  - Settlement 1.x: youngest settlement
- Ward 2
  - Settlement 2.1: oldest settlement
  - Settlement 2.2: second oldest settlement
  - Settlement 2.x: youngest settlement
- Ward Y
  - Settlement Y.1: oldest settlement
  - Settlement Y.2: second oldest settlement
  - Settlement Y.x: youngest settlement

Given that each informal settlement will come up with its own settlement upgrading plan, one does not need to ensure, for example, that all settlements within a round have access to bulk sewerage connections. The planning for and provision of bulk sanitation, in this example, will form part of the upgrading plan for the settlement concerned. This means that some settlements in a round may be able to get access to waterborne sanitation much sooner than other settlements within the same round.

Note that for settlements that have a portion of the settlement needing to be relocated, these settlements will also be allocated to rounds as per the process outlined above.

The municipality will need to establish separate procedures for dealing with removing whole or portions of settlements to new land. These procedures are not elaborated on in this informal settlement strategy.

The issue of the underlining land ownership for the informal settlement should also not be a determining factor in deciding which round the settlement is allocated. Settlements in a round could include a mix of settlements on public land and private land.

The plans developed for the upgrading process will need to outline what steps will need to be taken to address any land ownership issues.

- Municipal (public) land: If the land is municipal (public) land, then the upgrading process should be relatively straight forward. The municipality is able to plan and continue with its basic tenure and basic engineering interventions.

- Other state or public land: For other state and public land the planning process will need to include an element of getting permission from the public / state entity concerned to upgrade and develop the land or transferring this land to the municipality. The process required to do this will depend on which state/ public entity owns this land. Note that public land includes land held by provincial and national governments, as well as land owned by local authorities and land belonging to parastatals or other enterprises wholly owned by government. State land is land which is held by the national and provincial governments, but excludes local authority and parastatal land. State land includes former South African Development Trust land and land already allocated to communities and individuals in the former homelands and former coloured reserves.

- Communal (state) land: The upgrading process on communal (state) land is a unique situation that is not addressed in this Upgrading strategy. It is proposed that the municipality develops a special and specific strategy for upgrading and development on such communal land.

- Private land: For privately owned land, again the plans developed by the community would need to show what steps will need to be taken to upgrade the settlement. If possible the Municipality must attempt to reach agreement with the private land owner to undertake the necessary planning exercises and development interventions that include a process of acquiring the land or relocating the households. If the municipality is unable to reach agreement with the land owner to upgrade or develop the land, it is proposed that the municipality still plans to provide emergency services to the land while they continue with negotiations and/or other legal procedures to access this land or relocate the households. In some instances these emergency services could be provided on public/state land adjacent to the private property, or on the private land concerned but towards the edge making it easier to service. It can be argued by government that their constitutional mandate to provide for human dignity and health and safety entitles them to provide emergency services to informal settlements on private land, even without the consent of the land owner. (This is a position taken by the eThekwini Metropolitan Municipality)

All informal settlements will start in year 1 with a rapid review phase so that at least basic and emergency services are provided to those settlements that have to wait for latter rounds to start. Dedicated funds will need to be allocated for interventions emerging from this basic review exercise.

A separate strategy will need to be developed for how to deal with settlements that require relocation, as this process requires the identification and preparation of land for relocation.

5. ANNEXURE: UPGRADING PHASES

Upgrading of each informal settlement will follow a phased approach as outlining in this annexure.

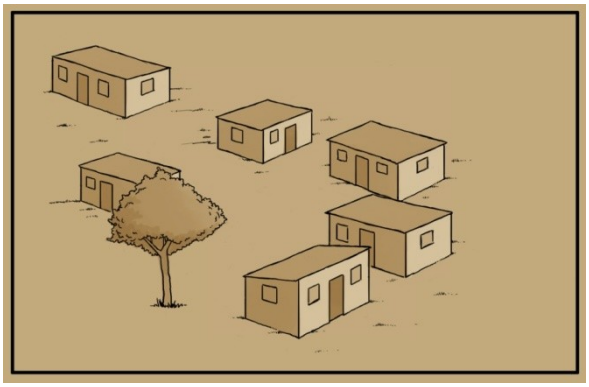
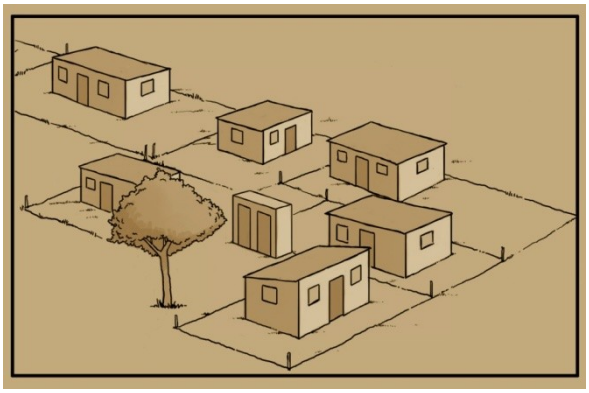
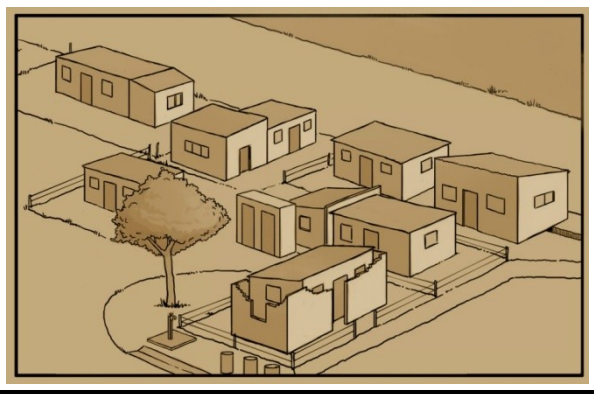
A Phase 0 has been included, which relates to the rapid review phase that all informal settlements will undergo at the start of the upgrading strategy.

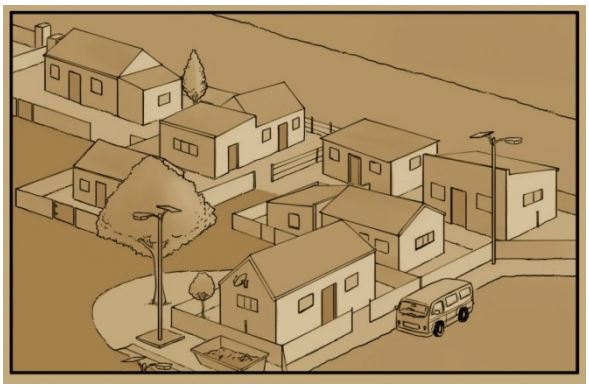
The remaining phases include:

1. Phase 1: Preparing for development
2. Phase 2: Basic development
3. Phase 3: Development support
4. Phase 4: Consolidation
5. Phase 5: On-going development

A summary of these five phases is provided in Figure 1: Phases for the Upgrading of Informal Settlements on the next page.

Figure 1: Phases for the Upgrading of Informal Settlements

1. Prepare for development Government and communities identify and negotiate where informal settlements will be upgraded.	
2. Basic development Government provides a basic level of services and tenure security to households so they can start to improve the houses they have already built for themselves.	
3. Development support Households continue to improve their houses and their community using their own resources, with what support they can get.	

4. Consolidation Government and others help households to upgrade their tenure security, level of services and their houses.	
5. On-going development Households, communities and government continue to maintain and improve the houses and neighbourhoods.	

Artist: David Edwards *http://artcore.co.za/*

5.1 Phase 0: Rapid review

Before any upgrading takes place in any community the municipality has to determine which settlements it will be upgrading at which time. For those settlements that are to be upgraded at a later date the municipality needs to determine what emergency interventions it is able to implement.

5.1.1 Rapid review

The municipality will arrange for a multi disciplinary municipal team made up of officials from municipal departments such as engineering, planning, and public participation to conduct a rapid review of the existing situation in the settlement so as to:

- help identify and classify informal settlements (see section below in Incremental Settlement Areas); and
- determine what emergency or interim interventions can be implemented in the short term.

For emergency interventions the municipality will consider the establishment of an emergency fund set up for this purpose and/or make use of existing departmental funding to fund the implementation of these emergency and interim interventions.

The appropriate sector departments will manage the implementation of the various rapid response interventions.

5.1.2 Emergency response team

The Municipality already has an emergency response (or disaster management) team that deals with emergencies (like fires, floods, etc). The team provides emergency relief and support in event of such crisis and emergencies.

The Rapid review team (discussed above) should be called on by this emergency response team to visit informal settlements that have experienced an emergency, and the rapid response team will see how they can use the opportunity created by the emergency to initiate and make various rapid interventions, prior to formal planning and development commencing as described in the subsequent phases. Such interventions could include for example:

- Providing emergency water and toilets and refuse collection facilities and services.
- The re-blocking and re-layout of shacks in a way that opens up and expands pathways through the settlement making it easier for the area to be developed in future .
- The separation of rebuilt shacks so as to reduce risk of fires spreading between shacks.
- Awareness raising and capacity building of the community and its leadership

The land invasion unit, set up as part of the Municipalities land management Policy, will also be on call from the emergency response team (and the rapid review team) to deal with any situations where there is a need to implement the municipalities land management policy.

5.1.3 Zoning of Incremental Settlement Areas

The rapid review team discussed above (including at least a town planner and an engineer) will visit all informal settlements and indicate on a map the outer boundary of each informal settlement (where the outer boundary includes potential areas of expansion of the informal settlement where this is possible). This outer boundary will be used to demarcate the Incremental Settlement Area.

The rules for Incremental Settlement Areas as outlined in Annexure 3 will apply to households in these areas. These rules relate to:

- Tenure: who can live in these areas and how a locally administered tenure system will be managed; and
- Land use and building control: what land use can be undertaken in these areas and what type of structures can be built.

5.1.4 Awareness and community capacity development

For those settlements that are not earmarked for immediate upgrading, the municipality will approach each settlement and inform them of what rounds they have been allocated and what plans the municipality has for when and how the settlement will be upgraded.

The municipality will also consider how to provide training and advice to the community on how to establish and manage a community committee, and how this committee can engage with its members and other structures outside the community; so that the municipality has an organised structure within whom it can engage in the upgrading phases.

The municipality will also need to engage with surrounding communities, through the ward committee structure, to also make them aware of the status of the upgrading of informal settlements in that area.

5.1.5 Time frames

The rapid review phase is predominantly within the first year of the implementation of the upgrading strategy.

The rapid review team can be on standby in subsequent years to respond to and engage future informal settlements that may be established in future.

5.1.6 Capacity for rapid review phase

The following human capacity are examples of the type of skills required for the rapid response phase:

- Awareness raising and organisational development skills to build communities understanding of the upgrading process.
- Engineering skills to determine emergency interventions
- Planning skills to demarcate zones for incremental settlement areas

5.2 Phase 1: Preparing for development

The first thing that the municipality should do, for those settlements that have been identified for in-situ upgrading within a particular period of time, will be to prepare that community for the planning process that is to come. This includes collecting the necessary information on which to base upgrading plan and to develop, in a participative manner, an upgrading plan.

5.2.1 Capacity building

The municipality should provide capacity building support to the leadership of the informal settlement concerned. This can be an extension of the work that should have started in the Rapid review phase. This support may include conducting short training courses, the screening of videos, circulating information pamphlets with the informal settlement residents and other identified activities.

The municipality may need to conduct some facilitation work and act as a mediator between potential rival leadership structures in the community in an attempt to reach a situation where it is clear who are the legitimate leadership structures in the community.

The municipality may even start, at this early phase, to provide some of the development support services as discussed in the “development support phase”, like for example support to consumers of micro finance, and small business, or special needs support. Much of this support could include the provision of capacity building training and support to the associated institutions and beneficiaries.

5.2.2 Data collection

The municipality and the community should collect as much information as they can on the informal settlement. This includes information relating to:

- Land: Land ownership and servitudes
- Engineering: Bulk water and sanitation capacity, and location and quality of existing basic services
- Environmental: Environmental constraints and hotspots
- Geological: slopes and soil conditions
- Social: household composition
- Economic: income of households

This information can either be collected by the municipality (through a survey) or by the community (through a community enumeration process) .

It is strongly advisable that the municipality arranges for a full survey of who is living where in the informal settlement at this stage. This will make the administration of the upgrading process much easier.

If possible the municipality should also conduct a ten percentage random socio economic survey.

5.2.3 Participative planning

The municipality should arrange for a participative planning process to be conducted for each informal settlement. The municipality may need to contract in the necessary facilitative planning support to assist in this planning process.

This planning in this preparation phase will focus predominantly on planning at the settlement scale, as opposed to planning at the household scale. The planning will identify when various interventions will be conducted over time, and it will approach the development of the settlement from a multi- disciplinary perspective.

It is recommended that the upgrading plans be divided into the following key sections:

- Situation analysis
- Vision
- Layout plans (see the layout and planning sections in the basic development phase for more information on this)
- Tenure recognition plans (see tenure sections in the basic development phase for more information on this)
- Engineering and infrastructure plans (see services and facilities section in basic development phase for more information on this)
- Development support service plans (see the development support section for more information on this)
- Management plans (see section 3.4 of the main Policy and Strategy report for more information on this): and
- An Implementation programme and budget (see section 3.5 of the main Policy and Strategy report for more information on this.)

The implementation programme and budget will highlight, for each settlement:

1. What will happen in the basic development phase
2. What development support will be provided over time
3. What further consolidation development interventions can be implemented at later phases in the upgrading process
4. How the on-going upgrading process will be maintained and sustained into the future

It is strongly advised that the Asset Based Community Development (ABCD) approach be used as the foundation on which to base the participative planning process. This is an internationally recognised approach to development that focuses on the assets available within communities on which development can be built, looking at how external support, from government and others can be used to add to what communities are already doing for themselves. (See annexure 7 on the ABCD or Asset Based Community Development approach)

5.2.4 Awareness raising

During the preparing for development phase, the municipality will also need to continue with its awareness raising exercise it started in phase 0, updating surrounding communities and residents of what upgrading plans are being developed for the settlement. This can be achieved through updating the local ward committee structures.

Consideration should be given to putting a notice in the local newspaper informing surrounding communities of what plans are being considered. The municipality may need to act as some form of mediator trying to bring the views of various stakeholders into alignment of how the upgrading process should proceed.

The existing township public participation requirements of various environmental legislation and township establishment and rezoning legislation will also provide an opportunity for surrounding residents to be made aware of and have their say in the upgrading process.

5.2.5 Timeframes

The Preparing for Development Phase can start once the municipality makes a decision to upgrade a specific informal settlement. For example the municipality and others can start to collect technical data on the settlement at any time.

In terms of participative planning however, the municipality only has limited resources and time to engage in such planning processes, and therefore may decide to undertake participative planning in batches or rounds, with certain settlements being planned in one year and other settlements in other years. When participative planning starts will depend on which round or year the settlement is allocated for planning to commence.

It is anticipated that this preparing for development phase will take up to one year (especially if the settlement is being upgraded as part of a broader programme of upgrading a number of informal settlements at the same time). However, the participative planning element could take a shorter period depending on how many other settlements are being planned at the time.

5.2.6 Capacity for preparing for upgrading

The following human resource capacity is required during the preparing for upgrading phase:

- Technical data collection can be done by relevant departments (e.g. water, roads, refuse collection etc.)
- Participative planning skills
- Socio economic survey skills
- Capacity building and awareness raising

5.3 Phase 2: Basic Development

Once the participatory planning process is complete, the municipality can start with the basic development phase.

Basic development refers to those initial interventions that the municipality can take, based on the agreed plan, to provide residents of the informal settlement with basic services needed for health and safety and to put the settlements on the path of on-going upgrading.

5.3.1 Basic services and facilities

Basic services refer to what initial interim, and or emergency services could be provided, over and above what may have been provided in the rapid assessment phase (phase 0).

Each settlement should undertake their own trade off exercise to determine what priority basic services will be provided given available resources.

The municipality will require communities to first prioritise those basic services that respond directly to health, safety and the environmental concerns like:

1. Communal water standpipes
2. Sanitation ablution blocks
3. Refuse removal
4. Basic Storm water drainage

Other basic services, that could be considered after these basic health and safety issues have been met include for example:

1. Roads, paths and storm water
    a. Pedestrian Paving
    b. V-drains and lined storm water
    c. Turning circle spaces for emergency vehicles
    d. Guard rails
    e. Parking spaces / curbs for mobile and emergency vehicles
    f. storm water de(re)tention ponds
    g. Taxi stops and shelters
    h. traffic furniture
    i. Parking space for mobile facilities
    j. Common or public hard (paving)
    k. Soft (grass) space
2. Health, safety and security
    a. Fire hydrants
    b. Lockable (break in emergency) fire equipment
    c. Alarms and panic button systems
    d. Fire walls
    e. Local water purification system
3. Communication
    a. Communal post boxes
    b. free Wi-Fi
    c. Notice boards
    d. Gateways
    e. Signage
    f. public art
4. Environment
    a. recycling/ composting
    b. Trees
    c. Biogas
    d. Weed control/ poison
    e. Pest control / poison
5. Electricity
    a. Public street lights
    b. Communal plug points
6. Buildings
    a. Multi-purpose hall
    b. Advice centre
    c. Storage lockers
    d. Tool and information library
    e. Builders yard
    f. Small business advice office
    g. Community TV/ video

7. Beautifications
    a. Play equipment
    b. Benches and tables
    c. Braai areas
    d. Painting
    e. Street cleaning
8. Earthworks
    a. Retention walls
    b. terracing
9. Cultural
    a. graves
    b. monuments
10. Boundaries
    a. Fencing
    b. Corner pegs

The above mentioned basic services relate mainly to physical things that can be provided but also include a few others that relate to services in the sense of activities that people can perform such as painting, pest and weed control, and street cleaning.

The exact combination of interventions will depend on the needs and aspirations of the residents concerned, balanced against the available budget.

Whatever is provided, attention will be given to how the infrastructure can be upgraded or reused in future.

Basic support services like small business and housing support services are picked up in the next phase 3 – the development support phase. Support services are understood to be the people and institutions that provide support whereas the facility/infrastructure is the space, place and equipment needed by these people.

The following provides examples of how the community can get involved in the implementation of many of these basic services and facility initiatives:

- Community Work Programme
    - Infrastructure: One or two days a week community members are paid to install storm water management infrastructure, roads and pathways, communal water and sanitation, etc.
    - Home based care: One or two days a week community members paid to visit and support people that require home based care such as: children/ child headed households; people living with HIV/ aids/ the aged/ disabled etc .
- Working for water / waste programmes: An alien vegetation clearing programme and waste cleaning programme can be implemented at a municipal scale drawing on households from informal settlements.

5.3.2 Basic layout

Basic layout refers to what minimum marking out of roads and plots needs to occur on the site, and how this is also shown on maps and plans.

As a minimum the municipality should define the outer boundary of the settlement. In instances where there are portions of the settlement that need to be relocated, like where they are under a power line or in a flood plain, the outer boundary of these specific portions should also be marked out on the ground and shown on a map.

There are broadly two types of in-situ upgrading:

- Option A:Stay/ shift: A plot and road/ path layout that takes into account the existing shack and plot layout. Determine on the ground the true boundaries of the plots and convert these boundaries onto a paper/ electronic plan.
- Option B:2 Step: A new layout is produced for the area that does not significantly take into account the existing plot and path layout. The area is developed by households first having to move their shacks via an interim relocation site to a new plot on the old land.

Option A is preferable as it involves less disruptions for the households, and option B is only advised in unique circumstances (e.g. in very high density situations where the only way to restore order is to develop a new layout).

See annexure 6 on Upgrading options for more information on these and other options.

Questions that could be considered to inform the layout include:

1. How does storm water flow through the settlement?
2. Where should communal ablutions be located (possibly clustering shacks so as to ensure ease of access)?
3. Where should main meetings spaces be located?
4. Where are the gateways into the settlement?
5. Where are main vehicular routes, around, into and through the settlement, especially relating to emergency services?
6. Where are pedestrian paths, ensuring access to every plot/ shack?
7. Where are the community facility spaces?

It needs to be recognised that the layout can be developed in phases at different periods of time and not all in one layout planning exercises, with for example:

- Phase 1: identifying the outer boundary
- Phase 2: identifying the main access roads through the site
- Phase 3: identifying the internal paths and routes within the settlement
- Phase 4: identifying the position of each plot within the settlement.

The layout exercise should be conducted in a participatory manner with the households concerned.

The municipality should consider developing a set of guidelines that refers to things like fire hydrants and access road widths for emergency vehicles, position of storm water drainage channels, etc. that can then be used by communities when they conduct these basic layout exercises. (See annexure 8 on guidelines for layout of informal settlements for an example of this for consideration).

The municipality should differentiate between a plot and an erf, where:

- Plot is an officially demarcated portion of land where people can live that is shown on a plan, and can also be marked out on the ground, but the plot is not registered with the surveyor general or in the deeds office. The municipality keeps a record of the layout.
- Erf is an officially demarcated portion of land that is registered with the surveyor general and with the deeds office. An erf number is recorded.

Plots can be surveyed by community members or land survey technicians, whereas erven need to be surveyed by professional land surveyors. In future if a plot is upgraded to an erf, then the erf boundaries need to be confirmed by a professionally qualified land surveyor.

This outer boundary and internal layout should be linked to the tenure system described below.

5.3.3 Basic tenure

Basic tenure refers to both 1) providing some form of recognition of occupation to households and 2) getting the necessary approvals (e.g. land availability agreements) and or arranging for the land to be transferred from the present land owner (another government entity or the private sector) to the municipality so that future land tenure upgrading steps can be undertaken.

In terms of providing some form of recognition of occupation for those people living in the informal settlement, it is likely that recognition of occupation will be provided though a locally administered tenure system.

Recognition of occupation can be conferred by the Municipality by transferring title deeds to affected households, but this will require a long settlement establishment process and is more likely to occur in the subsequent consolidation phase.

The tenure provided through the locally administered tenure system, will need to clarify what rights households are receiving and what their associated responsibilities will be. Questions associated with determining rights include:

- What land use can the property be used for (residential, business, other)?
- Can the households make improvements to the property and of what type?
- Can the property be bequeathed and inherited?
- Can the household lease the whole or portion of the property?
- What compensation can the household expect for any improvements they have made to the property if they leave the property and from whom?
- Can the household take out a mortgage using the property as collateral?
- What recourse does the household have if they feel their rights are being abused?

Questions associated with household responsibilities include:

- How much does the household have to pay to gain access to these rights?
- How much does the household have to pay to remain on the property?
- What do households have to do if they would like to vacate the property?
- What rules does the household have to follow to stay on the land (e.g. pay fees and only use the land for residential purposes)?

The rights and responsibilities of the municipality will also need to be clarified. Questions associated with Municipal rights include:

- Can the municipality evict the household for non-payment or for any other reason?
- Can the municipality visit or move onto the plot and under what circumstances?
- What rights does the municipality have to restrict various household rights (like control land use and building types on the site)?

Questions associated with Municipal responsibility include:

- What responsibility does the municipality have to service the property?
- What responsibility does the municipality have to protect collective rights of the neighbourhood (e.g. noise and air and pollution), relative to more private rights?

The following provides a list of the possible ways that the municipality could use to confer tenure rights to households:

a. Take a council resolution that either recognises the rights of occupation to 1) a defined group of people who can stay on a defined portion of land, or 2) a specific person being allocated to a specifically defined plot

b. Use the electricity pre- payment meter account to link a household to a portion of land, where the pre- payment meter is located.
c. Issue a services bill to households for refuse removal or other services. Such accounts can take into account any indigent discounts they might receive.
d. Issue an occupation certificate to households as outlined in a specific incremental tenure policy and strategy specifically developed for this purpose.
e. Sign a lease agreement between the household and the municipality.

If appropriate and possible, full ownership could also be transferred to households or community groups. This would obviously mean that all necessary town planning and township establishment or sub division requirements would need to be undertaken.

It is proposed that the municipality standardise two or three of these approaches so that these methods of conferring land tenure can be rolled out at scale for all informal settlements.

Options that deserve further consideration include 1) using a locally administered tenure system where the municipality keeps a record of who is staying where, 2) using electricity pre- payment meters to issue tenure recognition and 3) using council resolutions for issuing tenure recognition.

The form of tenure used needs to be work shopped with the households concerned, so that whichever option is chosen takes into account the existing tenure arrangements used by the community at the moment (e.g. rules for transferring shacks etc.)

The Municipality would need to play a leading role in conferring and administering this local tenure security. Other entities like community groups and traditional leaders could play a role in locally administering tenure, but for informal settlements it is recommended that the municipality perform this role, and only in unique circumstances could others play this role.

The form that this basic tenure recognition takes will also be significantly influenced by the existing land ownership arrangement in the settlement. For example, if the land is owned by a private individual, it may not be appropriate for the municipality to issue occupation certificates as part of an approved incremental tenure policy and strategy. It may also not be appropriate to provide pre- payment electricity meters. In such a situation, a council resolution may be the appropriate route to take to confer tenure rights.

It is important that the upgrading strategy does not encourage households to invade land in an attempt to 'jump' the municipalities housing waiting list. The basic tenure system will need to be linked to the municipalities housing waiting list and governments housing demand data base. The basic development that households benefit from in this basic development phase is provided to a community and not to an individual household so households within these communities are not registered on the governments housing subsidy data base (indicating who has received a housing subsidy or not). The communities therefore do not 'jump' the queue'.

As explained in the tenure section of phase 4 – consolidation – the municipality is able to still only provide housing subsidies in the consolidation phase to households who are higher up the municipality housing waiting list.

For land that is not owned by the municipality (i.e. is owned by another government department or the private sector) the basic development phase should also include the process of transferring this land to the municipality, or at least arranging for the municipality to enter into a land availability and development agreement with the land owner to upgrade the informal settlement (including the recognition of occupation).

5.3.4 Basic land use management

The municipality needs to put in place rules governing what activities people can undertake on the land and what

type of structures people can build in what areas.

Basic land use is unpacked in more detail in annexure VVVVV dealing with Incremental settlement areas. The following outlines a number of questions the municipality will need to consider dealing with land use and building control in the basic development phase of the upgrading process.

- Land use
  - What activities can people undertake on the land?
  - What happens if people undertake activities they are not permitted to undertake?
  - What process needs to be followed to change land use?
- Building control
  - What structures can be built?
  - What rules relate to coverage, building height, and boundary lines?
  - What happens if people build structures in places they are not permitted?
  - What process needs to be followed to get building plan approval?

These basic land use management rules (and the land tenure rules discussed earlier) may be modified as the informal settlement is upgraded over time.

For areas that are not yet zoned for incremental settlement one set of rules will apply to what land use management rules are applicable. Once the area is rezoned as public residential zone 1A and 1B, then the land use and building control rules associated with the relevant zoning scheme regulations will apply.

5.3.5 Basic organisation

The basic organisational development that the municipality started in the previous phases can also continue in this basic development phase. This topic is picked up in more detail in phase 3 the development support phase which looks at support from government for community organisational development.

5.3.6 Basic house

At this basic development phase, limited attention needs to be given to interventions directly targeted at each individual house; although if necessary some interventions, like fire walls and the provision of basic shack building kits (after shacks fires), may be targeted at each household. Consideration can also be given, for example, to provide additional building material (zinc sheets, nails, wooden panels, etc.) to households that have to relocate their shack as a result of changes to the layout due to road re-alignment etc.

Interventions directed at the house or individual plot scale will be picked up in the next two phases, phase 3: development support (e.g. housing advice centres), and phase 4: consolidation (e.g. Housing subsidy for qualifying beneficiaries for top structure).

5.3.7 Time frames

The basic development phase generally starts after the participative planning exercise is complete. This usually means it starts in year 2, but can start sooner depending on how long the participative planning takes.

The phase should take about one year, although basic interventions could continue beyond one year as additional basic and intermediate interventions are made, over the long term upgrading process.

There are various 'levels' of basic intervention. For example communal ablutions blocks could initially be provided with 1 toilet per 50 households, while at a later stage additional communal toilets can be provided so that there is 1 communal toilet per 5 households. Basic storm water and pedestrianisation improvements can also be implemented over time.

5.3.8 Capacity for basic development phase

The following human resource capacity is needed in the basic development phase:

- Civil (for water, sewerage, roads, etc), structural (for community halls, etc.) and electrical engineering
- Land surveying
- Town planning
- Legal advice (for basic tenure)

5.4 Phase 3: Development Support

In the development support phase the municipality and other government (and other) role-players provide on-going support to the community and households so they are able to manage their own development efforts. The support is of such a nature as to help the people help themselves – be it build their own homes, create jobs for themselves or address their social needs.

Beneficiaries of development support will depend on the nature of the support provided, as described in the sections below.

5.4.1 Support for programme / project implementation

The participatory planning committee established in phase 1 – preparing for development –should continue to operate but change its attention from planning to focus on monitoring and steering the implementation of the plan that was developed in phase 1.

Each informal settlement will be treated as a programme, where a programme includes a range of different projects that occurs over a long period of time. The settlement programme steering committee will be responsible for overseeing the implementation of each of the different projects identified for that informal settlement including for example storm water projects, electrification projects, communal ablution projects, small business training projects, construction of multi-purpose hall project, youth support project etc.

The programme steering committee will also reflect and revise the upgrading plan on an ongoing basis, taking into account lessons learnt from implementing previous projects as well as building on new opportunities that emerge over time.

In order for the committee to learn these lessons there may be a need for on-going perceptions, impact, and satisfaction surveys.

The community and its leadership should also play a role in monitoring and reporting on progress in implementation. The broader community needs to be given the opportunity to provide its views on the extent to which project plans are being implemented and make steering suggestions.

It is advised that the municipality consider clustering incremental settlement upgrading steering committees so that if the municipality is undertaking a number of upgrading initiatives in an area they do not have to have separate meetings with each committee but can call the leadership of each settlement to a central cluster steering committee meeting.

If possible a municipal wide incremental settlement steering committee should be established where participants of the incremental settlement upgrading process can share experiences and develop common strategies.

5.4.2 Support for Neighbourhood Based Organisations

This section unpacks the support that can be provided to neighbourhood associations and groups representing the residents of the informal settlement. The upgrading process is a long process that is undertaken over a number of years, and it is important for the community to be involved in planning, implementing and monitoring and evaluation throughout this whole development process.

This implies that the community needs to be organised in a way that they effectively are able to give their leadership mandates and hold the leadership to account.

The type of support that government can provide to neighbourhood groups and associations includes:

- Provision of space where the community and leadership can meet
- Provision of training in basic organisational skills, like how to chair meetings, take minutes, manage organisational finances
- Training of leadership and community members in the upgrading and development process
- Training for leadership and community as to what other opportunities the community has to engage with government on a range of different topics through for example their ward structures and the IDP process.
- The provision of constitutional templates for voluntary associations and advice on what constitutions to adopt
- The provision of mediation, conflict and communication management support to try and get conflicting community factions to talk to and work with each other.
- Assisting the leadership to raise awareness within the community on what the upgrading process entails, through production of translated information sheets and displaying information on municipal erected notice boards..

In some instances where internal community conflict is severe, it may be appropriate for much of the upgrading process to be put on hold until such time as some form of resolution is achieved in relation to this conflict.

It needs to be recognised, that in some instances, there may even be elements within informal settlements that do not even want the upgrading process to continue. An example of this may be where criminal elements may see the informal settlement as providing them with an environment where it is difficult for the security services to find them and disrupt their activities. Another instance may be where illegal immigrants may fear that the upgrading process will expose them and they will be returned to their country of origin.

Those providing the development support need to understand and be open to these nuances.

The neighbourhood based organisations will also need to engage with neighbourhood based organisations in neighbouring communities and at larger scales. The municipality can play a role in facilitating communication and collaboration between these neighbouring neighbourhood associations and associations at different scales.

5.4.3 Support for households (consumers)

While households wait for government to come back and provide additional housing consolidation support, there are a number of interventions that government can take to help households to build their own houses, and maintain and improve their neighbourhoods.

- Municipalities (in partnership with other government departments and structures) could provide a one stop shop where households can get advice and support on indigent discounts, electricity pre payments, pension discounts, etc. and even contact information of other government departments. Such a one stop shop will make it easier for households to deal with all their government accounts and support requirements from one place without having to visit different government departments in different locations.

- The municipality can provide a locally administered tenure service where the municipality keeps records of who is allowed to occupy which plots, what building plans have been approved, what land use allowed etc. A land administration service that assists with the issuing and transfer of basic tenure recognition mechanisms (e.g. occupation certificate issued as per the incremental settlement land tenure policy and strategy). This system should be coordinated with and linked to the municipal property rental and the municipal (and government) housing demand data base systems. The system should also be linked to the municipalities housing waiting list. (See annexure 3 on Incremental settlement areas as well as section 3.2.2 in the main policy and strategy report on locally administered tenure system for more on this).

- Establishment of a housing advice office where households can get:
  - Information and copies of standard building plans which are easy to upgrade and copies of standard rental agreements, etc.
  - Access to a referral and Information system where households are advised where they can go to receive additional assistance from government departments, as well as for discounts on building materials and information on what small building contractors can be employed. Other information that can be provided include, for example, where households can go to get financial services and legal advice. More attention will need to be given to the procurement implications of the municipality providing such a referral system.
  - Support in establishing and managing a material (and services) bulk buying facility and service (e.g. facilitation of bulk buying clubs that able to negotiate cheaper building materials for households)
  - Access to a tool library service to hire building and construction equipment
  - Various basic self build or self managed building construction kits. Funding for these kits could be provided by government and or discounts and donations from the private sector, civil society and individuals. There could be a rage of kits ranging from:
    - Emergency kit for households that have had their shacks damaged by fire and flood etc (corrugated iron, poles, wood, nails, cement, etc)
    - Relocation kit for households that have had to demolish and rebuild their shack in another place
    - Shack improvement kit: energy efficiency – for households to install ceilings and insulation.
    - Shack improvement kit: roof water - for households to provide guttering, and roof water tanks and taps
    - Plot improvement kit - greening – for households to fence their plot and provide shade/ fruit trees, and grow vegetables

Much of the support outlined above would not only be of interest to households in incremental settlement areas.

5.4.4 Support to micro finance consumers

Micro finance for households could be categorised under consumer support above (if the focus is on the users of micro finance services) or producer support below (if the focus is on the owners of these micro finance institutions), but because of its importance in any upgrading process it is given its own dedicated section.

One of the more important sources of finance for the development of top structures and household gardens in the period prior to provision of a top structure (in the consolidation phase) is the households own savings and credit.

The type of support that municipalities/ government can provide to consumers of micro finance include:

- Space for community meetings where groups of households can meet as part of local savings and loans schemes. (Such schemes include, for example, savings clubs, savings and credit cooperatives, or stokvels and burial societies etc.)
- Basic awareness raising and training to local micro finance schemes and clubs
- Broad monitoring of the performance of various local micro finance and savings and loan schemes (linking this information to the referral system discussed in the previous section) and making the findings of this research available to households.

Note that the issue of supporting the micro finance institutions themselves falls under the category of support to small businesses (where the micro finance scheme or institution is seen as a small business).

Savings and loans is not only important for the role it plays in helping households obtain finance to support self build and development initiatives, but it also plays an important role in helping to build the organisations capacity of communities and to build social capital and social cohesion in communities.

Savings is generally conceptualised as financial savings but it could also involve households saving building materials and saving 'promises' from builders and service providers.

5.4.5 Support for businesses (producers)

Many people living in informal settlements have started or would like to start their own small business ventures.

The types of businesses that can be supported range from construction related business such as building contractors, carpenters, plumbers, brick layers etc, as well as material manufactures and suppliers like shack panel manufacturers, block makers, etc. Other businesses include food gardening, bakery, retail, service industry (hair salon, cell phone repair, etc).

The type support that can be provided to producers and services includes for example: skills training, financial advice and referrals, and referral on business opportunities/ backwards and forward linkages etc.

The municipality can also look at how it can support the informal building material industry and sector. Different support can be provided at different stages of the value chain:

- how the material is originally sourced and brought into the community
- how the material is processed into panels and building modules
- how the material is sold to the community
- how the households buy the material
- how households build with and use the material
- how the material is continually recycles and re-used

There are a number of programmes and initiatives that government and the community can tap into to support these businesses, ranging from, for example:

- Programmes from municipal Local Economic Development Departments
- Programmes from the Department of Trade and Industry, Economic Development, Social Development and others
- SETA supported programmes

In the informal sector the producer of the house is often the same person as the consumer of the house so it becomes difficult to categorise some of the support to consumers and builders.

5.4.6 Support for social and cultural institutions

Within informal settlements (and the surrounding neighbourhoods of the informal settlement) there are a number of sectors that can receive special support.

- Old aged
- Children
- Youth
- Disabled
- Orphans
- People a(in)fected with HIV/ Aids
- People with tuberculosis and other chronic diseases
- Cultural support
- Sports clubs
- Cultural groups (choirs, dance studios, art classes, etc)
- Recently released prisoners
- Alcohol and drug users
- Gang members and criminals

The type of support that government can provide to these groups is beyond the scope of this upgrading strategy, but it is important that communities and government pick up and address these issues. Depending on context, support could refer to helping these sectors develop; or trying to reduce the influence of the sector.

5.4.7 Evaluation and learning

One of the benefits of upgrading of informal settlements, compared to more conventional turnkey RDP housing developments, is that the phased and incremental settlement development process provides opportunities for stakeholders to reflect and learn from experience in implementing various phases so as to inform future development interventions.

In this way, the environments created better reflect the needs and aspirations of the residents concerned, compared to settlements that have been planned and developed in one go by external planners and developers.

The community can be involved in:

- Setting the criteria which will be used to judge the success or failure of steps in the upgrading process;
- Collecting the data that will be used to determine success or failure
- Analysing the data; and
- Sharing and distributing the findings from the research and evaluation

The findings from the research can also be used to inform other communities that are also involved in upgrading processes to improve the way they upgrade their informal settlements.

This issue of evaluation and learning is also picked up on in the on-going development phase.

5.4.8 General awareness raising

An important role that government (and civil society and other structures) could play to support people doing things for themselves is to encourage people, through general awareness raising of the benefits of incremental upgrading processes, to take their own initiative and share information on successful initiatives.

Examples of the type of intervention that government could undertake include:

- Hold competitions (on the best self built house, the best garden, the best community initiative, etc) to help identify best practice and inspire households and communities to try and do better.
- Publicise the winners and best practice to encourage the competitors to do better and other people and communities to replicate, imitate and adapt best practice.
- Produce pamphlets, and posters providing information and advice. This information can be produced in popular formats making it easier for a wider range of people to access and understand the information.
- Facilitating exchange visits between communities and initiatives so that people can learn from what other communities are doing. These exchanges can be between communities at similar stages of the development process, or to communities which are at a more advanced stage or phase of the development process.
- Facilitating case studies and news reports in community, public and private media like radio, TV and newspapers.
- Organising exhibitions where residents of informal settlements are able to publicise the work they are doing and lobby for additional support for their upgrading initiatives.
- Undertaking and sharing the findings from case studies where the successes (and failures) of upgrading processes are unpacked.
- Encouraging households and participants of the informal upgrading process themselves to reflect on and unpack their own development efforts, using social media and other community journalism mechanisms.

5.4.9 Mode of support

Those people and groupings being supported as described in this section can access this support through various mechanisms:

- Distance facility, where the service or support is provided over the internet, telephone or postal service.
- Mobile and/or periodic facility, where the service or support is provided on site but on a periodic basis (such as a mobile clinic, mobile library, or mobile municipal office). Multi-purpose halls and spaces can be shared between a number of mobile / periodic support services.
- Decentralised facility, where the service or support is provided at a small facility or office, as part of a larger facility, like a satellite municipal office or satellite police station. Decentralised support services could also share adjacent space in a multi-purpose facility.
- Centralised facility, where the support service is located in a centralised location and people requiring this support would visit the centralised facility. Ideally a range of decentralised services should be accessible from a single one stop facility, so people can go to one place to get different types of support.

In some instances the support will start off as more periodic and as support is scaled up in consolidation phases this can then become more fixed in decentralised offices or larger offices. An example of this is health services and support, where initially a mobile clinic could service the households, this can be upgraded to a clinic and then at a later stage the clinic can be upgraded to a hospital.

5.4.10 Timeframes

The development support phase can also start once the participative planning process has been concluded, and run in parallel to the provision of basic development products. However, in most instances the service providers will first focus their attention on providing at least some of the basic products first (e.g. communal sanitation and basic tenure), before turning their attention to development support.

Much of the support (e.g. household support) is important in the period up to the consolidation phase where government comes back at a later stage and provides additional upgrading support. However, this phase is an ongoing phase and continues for as long as support is needed.

5.4.11 Capacity for development support

The capacity requirements for the development support phase from within government institutions are fairly significant. This ranges from, for example:

- Organisational development / conflict resolution skills
- Housing advice and support
- Locally administered tenure administration
- small business support
- community health
- community policing

This support does not all need to be provided by the municipality, and other government departments can be drawn in to assist.

5.5 Phase 4: Consolidation

In the consolidation phase the municipality comes back and provides additional development assistance to the community and households to upgrade the basic development products that were provided in earlier phases.

The whole community benefits from consolidation assistance at the neighbourhood scale, This includes those that qualify for housing subsidy support as well as those that don't (e.g. earn above cut-off household income, received subsidy assistance before, non -South African citizen etc.)

It is only at the plot scale that government is able to differentiate and provide additional development assistance to targeted households to upgrade their tenure and upgrade their house and on-site services.

For those that do not qualify for housing subsidy support from government, they will have to use their own resources and initiatives to improve their own houses and tenure circumstances.

5.5.1 Tenure

The concept of upgrading of tenure as proposed in this strategy) is not awell understood concept in South Africa, as there have not been many examples of interim and/or emergency tenure that people can refer to and draw from. There has however been some experience with converting 'lesser' forms of tenure (e.g. 99 year leasehold, permission to occupy, etc.) to full individual title deeds.

Example of upgrading of tenure include:

- Upgrading from recognition of occupation certificates issued in terms of the tenure rules associated with Incremental Settlement Areas to individual title deeds
- Upgrading from the use of electricity pre paid meter accounts to an occupation certificate under the rules associated with a locally administered tenure system
- Upgrading from a lease agreement between the municipality and the household to individual title deeds per plot.
- Upgrading from an occupation certificate to a communal property association or housing property owning cooperative

Note that the upgrading does not have to follow a one step upgrading processes described above but could involve a multi stage upgrading process from, for example, a council resolution recognising an agreed number of un-named households in an specifically defined and bounded informal settlement, to the use of electricity pre paid meter accounts linked to a specifically geo-referenced location of the associated electricity meter, to at subsequent stages the issuing of an occupation certificate under the incremental zoning regulations, to providing a lease agreement for the household to rent a registered and surveyed plot from the municipality, to the purchase of the plot by the household living in on the property. There are many more combinations of a staged tenure upgrading process.

If government subsidies are used to upgrade tenure, specifically to individual title deeds, than it is important that the benefiting household must qualify for a housing subsidy (as per housing subsidy rules – earn an household income of less than R3 500, not have received a subsidy before, be South African citizen, etc). The housing subsidy amount can then be used to pay for the tenure upgrading process for these households.

It needs to be noted, that this could lead to a situation where one qualifying household owns their plot while a neighbouring non qualifying household does not own their plot and still retains, for example, a recognition of occupation certificate under the rules associated with incremental settlement areas.

Those that do not qualify for a housing subsidy will have to use their own money and resources to pay for the tenure upgrading process. These costs could include for example, depending on the circumstances:

- Paying the land surveyors to surveying the plot boundaries and registering the plot with the deeds office
- Paying a conveyancer to transfer the property from the original owner (the municipality) to the new owner (the household).
- Paying the town planners to rezone from the underlying zoning found in an Incremental Settlement areas to an appropriate zoning category or from public Residential zone 1A or B to an appropriate residential zoning.
- Paying the purchase cost to buy the land from the original owner (e.g. the municipality). In some instances this purchase cost could include the above mentioned activities removing the burden of organising these activities from the household.

It makes sense for the municipality to pay for all the costs associated with rezoning, land surveying and opening a township register with subsidies that are not linked to qualifying beneficiaries (e.g. USDG), and then only pay for individual title deed transfer costs using subsidies that are linked to qualifying households (e.g. phase 3 or phase 4 of the UISP subsidy of the HSDG)

Note also that it is generally only when one upgrades to individual title deeds that the issue of who qualifies or not for a housing subsidy comes in the picture (as the national housing subsidy data base is linked to the deeds office). For upgrading steps described above that do not involve title deeds, non qualifying households can also benefit.

The common and public space will normally remain in the hands of the municipality if the municipality owns the land, but in instances where the land is owned by another private entity, arrangements will need to be made to transfer the roads and open space to the municipality.

The upgrading of tenure also refers to the upgrading of tenure for community facilities and spaces. For example a site that is being used as a clinic or small business centre may need to be upgraded and transferred from the municipality to the appropriate department.

It must be noted that the term 'upgrading of tenure' tends to imply a movement from a worse to a better form of tenure, and that moving towards individual title deeds is the best form of tenure. The role-players involved in any tenure upgrading process need to guard against this bias of assuming that full individual title deeds is the best form of tenure in all circumstances. Individual ownership may not be appropriate in certain instances, where, for example:

- They are unable to afford the associated rates and services that come with owning property;
- They do not want the temptation to use their house as collateral for a loan from a bank and thereby potentially loose the property if the default on their loans.

An understanding what is a 'better' form of tenure to upgrade too will depend on the circumstances and views of the households concerned.

5.5.2 Services and facilities:

Upgrading of services is a well understood and researched area of intervention. Municipal and government departments have a long history of, for example upgrading communal standpipes to taps per house.

Examples of upgrading of services include, for example:

- Upgrading communal ablutions to water and toilets per house
- Upgrading undeveloped or gravel roads to gravel or surfaced roads respectively.
- Upgrading communal refuse collection to refuse collection per house
- Upgrading communal plug points to electricity per house
- Upgrading basic street lighting to full street lighting

Upgrading of facilities is also a fairly well understood exercise, but not as well implemented by government, as the upgrading of services.

Examples of upgrading of facilities includes for example:

- Upgrading a parking space for a mobile clinic to a permanent clinic
- Upgrading of a one roomed community meeting space to a multi roomed multipurpose housing support centre.
- Upgrading of a roof-on-poles shed structure with security fencing used for the manufacture and storage of building materials, to an enclosed small business support centre.

In both the upgrading of engineering services and facilities, it is important that the initial services and facilities in the basic development phase are designed such that it is easy to upgrade the services, without (unnecessarily and unduly) wasting the initial investment put into the original basic products. This could be achieved by either, for example:

- Designing pipe diameters for communal toilets at a size that allows additional water to be taped of these pipes when water per house is provided (although, technical considerations will need to be addressed on issues like, for example, water pressure in underused pipes in initial stages of development when only communal toilets are being used),or
- Designing the infrastructure in a way that makes it easy to remove or use for some other purpose (e.g. Using converted shipping containers for ablution blocks that can be moved to another site, or used by an upgraded clinic or community facility).

5.5.3 Organisation:

Upgrading of organisations refers to, for example, upgrading the local informal neighbourhood committee to a voluntary ratepayers or home owners association with a constitution.

For more information on this upgrading of organisation refer to the section in phase 3 – development support – dealing with neighbourhood organisation support.

5.5.4 House

The upgrading of the top structure or house, as can be seen in this upgrading process, is only one element of the whole upgrading process, and in many instances may even not be a significant element. Upgrading services and tenure and community facilities etc. may have more of an impact on the quality of life of the residents in the area than the upgrading of the house.

The following provide a summary of the housing programmes that are most applicable for upgrading of house.

- The consolidation phase (phase 4) of the Upgrading of Informal settlements programme
- The top structure component of the Enhanced Peoples Housing Process.

The rural housing voucher programme (once it is finalised) should also be seriously considered by government in the context of informal settlement upgrading. However, for the programme to work in in-situ upgrading contexts, the requirement that this subsidy is only available on communal land would need to be changed.

Once households have tenure security they are far more likely to start to use their own resources to make improvements to their own houses. There is no longer the threat that any investment they make will be demolished and wasted.

This informal settlement upgrading process turns the whole top structure / housing subsidy process on its head. In conventional RDP type housing interventions, government provides a subsidised (starter) house, which households occupy and only then do they start to use their own resources to make improvements to what government has provided. In an upgrading process household start to use their own money first to make a liveable shelter and then government funding is used to add to and improve what the household has started.

This means that new ways of using government subsidy funding for top structure will need to be considered. Options include:

- Subsidy funding used to replace interim/ basic shelter that the household built themselves. This means that the old shack is dismantled and the new house built in its place.
- Subsidy funding used to build a new house adjacent to the interim/ basic house initially built. The old house remains.
- Add a room or rooms onto the side of the interim/ basic house
- Add elements (e.g. foundations, facades, roofs, wet cores, walls, ceilings, etc.) to the existing interim/ basic house

When using government funding to add to an existing house, careful attention will need to be given to how the new house relates to the old house. For example, it is unlikely that government will approve a situation where government funding is used to add a roof to unapproved foundations and walls.

The municipality will need to have very clear rules and communicate these rules to the households so that everyone is fully aware of what is allowed and not when it comes to using government subsidy funding for top structure development. Generally it is advisable that government subsidy funding should only be provided to build or add to

approved house plans. These rules need to be (re) explained repeatedly in the planning for upgrade, basic development and development support phases.

There are a number of options that households can consider when it comes to deciding how top-structure funding will be made available. This includes for example, funding in the form of:

- Coupons to buy material from pre approved suppliers. The (draft) rural housing voucher subsidy could be considered in this instance.
- Cash for material that has been pre bought and can be verified on site
- Payments to small builders for completing the construction of a pre determined work stages in terms of house construction (for labour and material).

There are also a number of options for who the developer is of the top structure upgrading subsidy component.

- The municipality – employing a conventional contractor
- A community based structure or NGO when following the EPHP
- Employers
- Individual households or groups of households

In situations where material is provided, and households arrange for layout using their own resources, careful attention needs to be given to ensuring that the material is used in the actual construction of the house and is not sold. One approach to address this is to provide funding/ vouchers for only a few materials at a time and only make the remaining material available after inspections taken on completion of stages of house construction.

In many instances it is advisable that the households within a community agree on one, two or three (in other words - a few) of these methods of disbursing subsidy top structure funding, thereby making it easier for those responsible for the upgrading of top structures to manage and administer the subsidy funding and top structure upgrading.

It is very important to remember, that, as discussed in the upgrade tenure section above, only those households that qualify for a housing top structure subsidy will be able to receive top structure funding support. Households that do not qualify for top structure funding will have to continue to use their own resources for improve their own houses.

5.5.5 Timeframes

It is difficult to give a time frame for this consolidation phase as this will vary depending on the local circumstances, and also vary depending on what is being upgraded (tenure, facilities, services, house, etc).

The consolidation phase can start immediately after the basic development phase is implemented, although if this is the case then it may be more appropriate to skip the basic development phase and move directly to the consolidation phase. However, immediately starting the consolidation phase (or skipping the basic development phase) misses the point of incremental upgrading which is about using the limited resources available to government to try and reach as many informal settlement residents as possible. The costs associated with full consolidation are generally much higher per household meaning that less people get to benefit with a given budget.

For this reason, it is recommended that many elements of the consolidation phase, especially the consolidation of the top structure, only starts to occur once all households in all identified informal settlements have at least received a basic development product (and development support).

5.5.6 Capacity requirements for consolidation phase

The following human resources are required during the consolidation phase:

- Project manager for top structure and engineering services upgrading
- Town planners for rezoning and township establishment
- Land surveyors for pegging individual plots
- Conveyencers for transferring title deeds
- Engineers for engineering upgrading
- Architects and quantity surveyors for facility upgrading
- Organisational development specialists for organisational upgrading

5.6 Phase 5: on-going development phase

This phase is not so much a phase on its own but is more a continuation of previous phases, especially the development support and consolidation phases.

The beneficiaries of this stage are the households in relation to on-going development at household scale, and the broader community for improvements at the neighbourhood scale.

Government institutions themselves like the municipality, department of health, the police etc, all also benefit from maintenance and improvement of the facilities and services they provide.

5.6.1 On-going development support and consolidation

The various government departments and programmes that provide the development support services like small business support and special needs support will need to continue to provided and maintain these services for as long as they are needed.

Additional funding can continue to be sourced from government programmes and other sources (e.g. Employers, etc) to continue to improve and upgrade neighbourhoods, like for example providing additional child play equipment, improving the traffic calming measures in the area etc.

5.6.2 Maintenance and improvement

Households will maintain and improve their own plots and houses

The municipality will maintain and improve engineering services (e.g. Sanitation, water, roads, electricity, refuse removal), facilities (e.g. Community hall); and community services (e.g. Housing support centre, and health service)

There may be instances where the broader neighbourhood community is drawn in to assist in the maintenance and improvement of common spaces, community spaces / services.

Maintenance provides a good opportunity for government to support local employment opportunities.

The municipality/ government can employ local people to maintain the communal toilets and other social facilities.

Community - public - private partnership arrangements, where for example the municipality contracts a local community street cleaning cooperative to collect refuse are one way to promote local employment.

In certain instances it is also possible to leave the maintenance to households and communities themselves (e.g.

in the cleaning of toilets or cleaning of streets), but this must not be done in a way that reduces the obligation of government to provide such services.

The Community Work programme, may provide a good opportunity for maintenance of community facilities and services to be managed.

5.6.3 Affordability and sustainability

When determining what level of services to provide consideration needs to be given as whether the households are able to afford to pay for the services provided. This relates to immediate once off costs when the services are initially installed and provided, but also relate to the on-going monthly fees and charges associated for using the services.

Consideration needs to be given to looking at pre payment metering options (that include an element of free basic services) for services like electricity and water.

Households that receive recognition of occupation certificates and other forms of basic tenure recognition do not have to pay rates as they are not property owners. It is only once property is transferred to individual title for those households that qualify or purchase such title deeds that they will be exposed to the payment of rates. The normal indigent policy of the municipality with respect to rates (and services) will apply.

The municipality must also be able to continually sustain the provision of the service to the households. The municipality must also be able to sustainably provide similar services to other households that need them in future. This means that the costs associated with providing, operating and maintaining the services need to be at least matched by income if the municipality is to be able to continually provide those services. This income could come from the households themselves in the form of user charges, but could also come from own internal municipal cross subsidisation and/or from transfers from national government (using the equitable share formula).

The implications of this for the municipality are that the municipality needs to conduct a thorough cost benefit analysis before they commit to providing certain levels of services.

5.6.4 Evaluation and learning

Throughout the whole upgrading process, regular monitoring and evaluation needs to take place.

At the neighbourhood scale this monitoring and evaluation is undertaken by the neighbourhood upgrading steering committee.

At the municipal wide scale the monitoring and evaluation is coordinated and overseen by the department tasked with championing the upgrading process (e.g. the informal settlement department within the Directorate of Human Settlements).

Where possible the community needs to be involved in this monitoring and evaluation. This means, for example the community being involved in the collection of socio and other survey data. It also means the community being involved in reviewing progress of implementation compared to targets set in the planning phase.

The community can also be involved in setting impact targets and collecting the data to measure impact. Impact refers to issues questions related to the following issues:

- Health and safety: Has incidence of diseases decreased? Has crime statistics dropped?
- Socio-economic development : Have Households incomes increased?

- Empowerment: Do people feel more involved in influencing decision making? Are people more active in community structures?
- Environmental sustainability: Is the quality of storm water leaving the community improving?

Government can also support community media initiatives such as community radio and newspapers, allowing them to reflect and report on the upgrading process. In this way the findings from the evaluations can be shared with the community.

Academic institutions, non government organisations can also be drawn in to assist with evaluation learning exercises.

It is suggested that the upgrading informal settlement programme of the municipality oversee the development of a set of impact indicators that can be used by the stakeholders, in particular the informal settlement residence themselves, to evaluate to what extend the upgrading programmes are leading to improved quality of life and environmental sustainability.

The municipality (and other stakeholders) need to identify opportunities for reflection and learning lessons and for sharing of experiences. Examples of how this can be facilitated include:

- Facilitating exchange visits between informal settlement areas
- Arranging for seminars and other learning events through the municipal wide incremental settlement forum
- The development of awareness raising and capacity building material such as DVD's
- Using community, public and private media outlets; and using social media like FaceBook and twitter.

The municipality and other stakeholders need to acknowledge that they do not have the answers and solutions to what is the best way that informal settlements should be upgraded. The municipality needs to facilitate a process where stakeholders and role-players are encouraged and supported to experiment and test out different ideas and approaches to upgrading. Over time the municipalities and communities can learn from and improve on those interventions that prove successful in different contexts.

One option would be for the municipality to establish an innovation programme that is given the mandate to seek out, test and learn from different upgrading approaches.

5.6.5 Time fames

As explained in the introduction to this section this phase is not so much a separate phase but more a continuation of previous phases into the future.

The on-going development phase effectively starts once government commits to upgrade the informal settlements, but generally kicks into 'cruising gear' once the consolidation has taken place.

The on-going phase continues indefinitely into the future as maintenance and improvement is continually required at both the household and neighbourhood level.

5.6.6 Capacity required in on-going development phase

The human resource skills associated with on-going development includes:

- Research skills
- Rates and services administration
- Engineering services maintenance

6. ANNEXURE: UPGRADING OPTIONS OR PATHS

There are 4 options for how upgrading can take place, or paths that an upgrading process could follow. These options are visually depicted in the diagram at the end of this section, with the following table providing a summary of what is involved in each option and phase.

The following table (table 1: upgrading options) corresponds to the diagram as depicted in diagram 1: upgrading options found at the end of this section. These options also correspond to the phases as described in Annexure 5 on Upgrading phases

- Phase 1: Preparing for Development. In row 1 (existing) while people are living in their existing informal settlement the municipality and community prepare and plan for the upgrading of the informal settlement.
- Phase 2: Basic Development. The basic develop phase is depicted in the subsequent sets of rows.
    - Basic first: Initial basic interventions are provided before all the necessary approvals are obtained for environmental authorisation and town planning.
    - Basic second: Subsequent interim basic interventions then follow after the initial interventions have been completed and after the necessary town planning and environmental approvals have been obtained.
- Phase 3: Development Support. Development support interventions start to take place during the basic first (initial) development interventions and gathers momentum during the basic second (interim) period.
- Phase 4: Consolidation. Consolidation occurs in the long term consolidation row, when government comes back and provides further housing subsidies to upgrade the tenure, services and houses; as well as upgrade any community facilities and services. .
- Phase 5: On-going development. On-going development starts in the basic development phase and continues into the future past the consolidation phase.

Table 1: Upgrading options

	Stay/ Shift option	Two step option	Move option
Existing	Informal settlements (or sections of settlements) in this category are usually found in low to medium density settlements where there is space between shacks, making it possible to bring in services and create plots without having to significantly move anyone in the process. You do not need to move anyone to new land at any stage. Households use their own resources to build shacks with no tenure security	This option for upgrading is usually associated with higher density settlements where it is very difficult to create plots and roads without significantly having to move shacks around onto a superimposed new layout. To achieve this reallocation of plots a piece of land is used to temporary move people onto (step 1) and then move them back (step 2) to the original piece of land after it has been redeveloped. Households use their own resources to build shacks with no tenure security	Informal settlements that are on the path to be moved are usually found in situations where the land is steep, close to a water course, shacks within engineering servitudes (e.g. under power line, on top of water/ sewer main, or in area that will be developed for future road or community facility.) Alternative land needs to be identified for permanent relocation. Households use their own resources to build shacks with no tenure security

	Stay/ Shift option	Two step option	Move option
Basic: initial intervention set 1	The following interim basic tenure and basic service interventions are then undertaken for all informal settlements, no matter into which category they fall, including those settlements or parts of settlements that will requires shacks to be shifted, moved in a two -step manner or completely moved. 1) The basic tenure provided involves providing recognition of occupation certificates [1] to all people living in the area, by creating a list of the names of the people living in shacks in the area and linking their names to a geo-referenced shack number. 2) The basic services provided include: Access roads (for emergency) Pedestrian paths and storm water Communal toilets and water Communal refuse collection Pre- payment electricity per shack Area lighting Community hall Play area It is acknowledged that the land may not be owned by the municipality when these interventions are provided, the land may be zoned for some alternative land use and the necessary environmental and other approvals will be not be in place. Intervention is undertaken to address resident's basic human rights. It is also accepted that some of the investment in communal facilities, paths and pipes will need to be moved in instances where the future plot and road layout does not match the existing reality. Households continue to use their own resources to improve/ build their shacks. They have slightly greater tenure security in that they know that they have been recognised and are on the municipalities plan for either on site upgrading or relocation. There is still however no incentive for households to make significant self- improvements to their shack, as there is still a chance that they will be asked to move their shack, even if they are in the stay/ shift type of settlement.		

[1] Recognition of occupation certificate = a card given to households who have had their names (and geo-referenced shack number) recorded on a list/ register acknowledging and recognising that the person is living on the land. Note this recognition does not give people any rights to stay on the land.

	Stay/ Shift option	Two step option	Move option
Basic: interim Intervention set 2	At this stage, after the first set of basic intervention activities have been undertaken, the municipality needs to make sure that the land is owned by the municipality, or at least the municipality signs a development agreement with the existing land owner. The municipality then creates plots [2] and gets the necessary approvals for the plots (environmental authorisations, town planning rezoning approval) The land is zoned as public residential 1A [3] (allowing informal shelter or formal approved dwellings) In relation to the 'stay' option, households are allowed to stay in the shack they originally lived in, where 1) give people permission to occupy certificates [4], with public residential zoning 1A, linking name of household to a geo-referenced plot and 2) keep the original communal toilets and install new basic roads/ paths within the newly demarcated road reserve; and keep existing pre-payment electricity layout. In relation to 'shift' households have to shift their shacks to a new plot, where 1) households are provided with permission to occupy certificates linking name to geo-referenced plot number; and 2) move communal toilet if appropriate to new location and improve basic roads and paths, and move pre- payment poles if necessary. If space permits play areas, multipurpose halls and other community facilities can start to be developed on plots marked out for this purpose. People continue to live on their plots until the area is consolidated.	The Municipality must first identify a Transitional Relocation Area (TRA), create plots on this land and rezone it, and get necessary approvals to use the TRA land. The municipality must make sure that both the TRA land and the original piece of land the shacks were located on is in the name of the municipality, or at least sign development agreement with existing land owners. The municipality must 1) request temporary departure from zoning scheme to use the TRA land on a temporary basis for temporary residential; or 2) rezone the TRA land to public residential 1B. The municipality then moves the people to the TRA where: 1) record temporary relocation of person on recognition of occupation certificate, and 2) provide them with temporary communal toilets etc. While households are living on the TRA land the municipality can then develop plots and roads on the original land, and get the necessary approvals to develop this land. The original land is then zoned as public residential 1A (allowing informal shelter or formal approved dwellings) Household then move back from the TRA to the new plots on the original land; where: 1) the municipality provides them with permission to occupy certificates (that zoned as residential zone 1A); and 2) provides communal toilets, roads/paths, refuse collection, pre- payment electricity, area lighting, refuse removal. Play areas and multipurpose halls are then located and developed on plots set aside for this purpose.	The Municipality must identify the land, plan plots on this land, and get the necessary approvals to develop this new land. The new land is zoned as public residential 1A (allowing informal shelter or formal approved dwellings) The municipality then moves people from the area to be moved onto the new land where 1) they are given permission to occupy certificates, and 2) provided with communal toilets, pre -paid electricity, etc. (to the same level as households receive in areas that form part of stay/ shift or a two- step. The municipality is able to build play areas and multipurpose halls etc. on land set aside for this purpose in the new area. People continue to live on new land until area is consolidated. The municipality or land owner then has the responsibility to return the original land to its original condition. When moving to the new piece of land, government can 1) let households use their own resources to build a shack/ shelter, or 2) they can provide households with temporary/ emergency shelter pack that a) government could build on the new land prior to the households occupying the land or 2) households can use to erect the temporary shelter themselves.

[2]Plot = a piece of land marked out on a plan that is approved by the municipality, but the plan is not registered as an erf with the surveyor general and deeds registry.

[3]Public residential 1A = a new zoning category being proposed in the new zoning scheme being developed by the BCMM, which allows for incremental housing solutions.

[4]Permission to occupy certificate = a certificate given by the municipality to the household head (or co-habitors) that gives the person(s) the right to live on a demarcated piece of land or plot for as long as they abide by the rules associated with that permission to occupy certificate.

	Stay/ Shift option	Two step option	Move option
Basic: interim Intervention set 2	Households again continue to use their own resources to maintain and improve their shack/ shelter. At this stage the municipality has demarcated plots and road areas, and issued the household with a permission to occupy certificate, giving the household stronger tenure security making it possible for them to use their own resources to make significant improvements to their shack/ shelter. Households are also able to submit a formal building plan to get permission to construct an approved formal dwelling on their plot. (Note that these two options above assume that the permission to occupy certificate specifies that incoming households are able to pay outgoing households for any improvements that have been made to the property). The municipality can also consider providing a basic shelter package (similar to the emergency housing package) that the household can use to improve their shack. This can be in kit form for the household to erect themselves or it can be erected by government. During the basic: interim development phase, if the municipality has established a housing support service and facility – see the next section for more on this – the household can use this support to improve the quality of their shelter(shack) or dwelling (house).	People continue to live on new plots on original land until area is consolidated. The TRA piece of land can then continue to be used as a TRA for other communities or it can be converted back to its original use or some new use. At the stage when people are moved to the TRA, government can either: 1) build temporary / emergency houses for people on this land into which households can move; or 2) let households use their own resources to build a temporary shelter (however where possible households should built temporary structures into which people can move). Households will have no incentive to improve their TRA shelter as they will know that they will be returned to their original portion of land. When people move back to the re-planned original piece of land they can either: 1) Use their own resources to built a new shack; or they can 2) be provided with a temporary / emergency shelter that is a) built for them prior to them returning to the land or b) given to them in a kit form which they can then erect themselves. At this stage households will have permission to occupy tenure so they will have more of an incentive to use their own resources to make significant improvements to their shelter and even to apply for building plan approval to use their own resources to erect a dwelling. (Note that this assumes that the permission to occupy certificate specifies that incoming households are able to pay outgoing households for any improvements that have been made on the property). Households can also utilise the development support services provided by government to get construction, small business and other support as described in the adjacent stay/shift column and as described in the development support row below.	Once again, as households at this stage will have permission to occupy certificates to their new piece of land, they will be more incentivised to either use their own resources to 1) improve the shack they have started to build, or 2) apply for a building plan approval to build a formal dwelling on the plot. (Note that these two options above assume that the permission to occupy certificate specifies that incoming households are able to pay outgoing households for any improvements that have been made to the property).

	Stay/ Shift option	Two step option	Move option
Development support	While households are living in both the basic (first level) and basic (second level) phases, government needs to provide various forms of support to: Help households improve their own houses (housing support). This can include for example housing support services and centres where household can get access to: information about how to build their own houses; low interest loans; information on various building suppliers and service providers, etc. Help (existing / potential) small business start or improve their business ventures (small business support). This includes: training in small business development; access to start up and expansions business loans and packages; access to subsidized rental space from which to conduct business activities, etc. help special interest groups achieve their respective objectives (social support) which includes for example: old aged; frail care and home based care children: early childhood development support youth: youth programmes and sporting activities the sick: home based care neighbourhood residents: neighbourhood watch and safety patrols This development support can either be 1) linked into existing development support initiatives in the area; or 2) it can be started from scratch. The services and facilities can also be located in a permanent space or form part of a mobile / rotating system.		

	Stay/ Shift option	Two step option	Move option
Consolidation	In future, when government is ready (usually) after most of the informal settlements in the area have at least being provided with basic tenure and basic services as described above), the municipality, or some other developer, is able to come back to each settlement and provide consolidation support. From a township establishment and zoning point of view: a. If keep original plots (not register erven) than you must remain residential 1A, which allows either 1) informal shelter or 2) formal approved dwelling. b. If create erven [5] (as opposed to plots which were created in earlier phases) by sub dividing original 'outer boundary', then you can either 1) keep the erf zoned as public residential zone 1A (which allows for further incremental housing – shelter - as well as for formal approved dwellings [6]); or 2) rezone the erf to public residential 1B (which does not allow temporary shelter, and requires construction of approved formal dwellings), or 3) even to some other zoning if government finding is not involved. From a tenure point of view the Permission to Occupy certificates provided in the earlier basic development phase can either be retained or they can be converted to one of the following: a. Lease agreement where household leases the land from the existing land owner with conventional rental agreement. b. Individual title deeds where 1) if the household qualifies for housing subsidy then the housing subsidy [7] is used to pay for all or part of the land and transfer costs; or 2) if the occupant does not qualify for a housing subsidy, then the household must use their own money to buy the land (where price includes costs associated with land price as well as sub division, and rezoning and conveyancing. The occupant may also need to pay a connection fee to gain access to the internal water and sanitation system.) From a services point of view: • Water and sanitation: The Municipality can use subsidy money to change from communal ablutions to a water and sewer connection to each erf. • Roads and paths: The municipality can improve the storm water system and the quality of roads (e.g. from gravel to surfaced) • Electricity: The municipality or electricity supplier can continue with pre- payment electricity, and improve area lighting. • Refuse removal: The municipality can change to refuse collection per erf where this is possible, or continue with communal collection. • Facilities: the municipality – or other developers - can upgrade play areas, multi- purpose halls and other community facilities, by building walls, fences, making facilities bigger etc. From a house or top structure point of view: • If the house is in an area zoned as residential 1A: then the household can 1) continue to live in and improve their shack/ shelter, or they can 2) with building plan approval, build a formal dwelling using: a) the housing subsidy (if they qualify for housing subsidy), or b) their own resources (if they do not qualify for a subsidy). Note that the subsidy is also used to provide a water connection and toilets per erf / plot at this stage. • If the house is in an area zoned public residential 1B: then household must convert shack/ shelter into formal Dwelling and provide water and sanitation to the plot/erf, either by 1) using housing subsidy funding if they qualify, or 2) using their own resources if they do not qualify. Residential zone 1B does not permit shelter.		

[5]Erven = portions of land that are registered with the surveyor general and in the deeds registry, each with their own erf number. Erven can be bought and sold

[6]Dwelling = formal house built with approved building materials and after approval by the municipality of a building plan submission.

[7]Note that the rules and subsidy quantum amounts governing what a subsidy can be used for need to be observed.

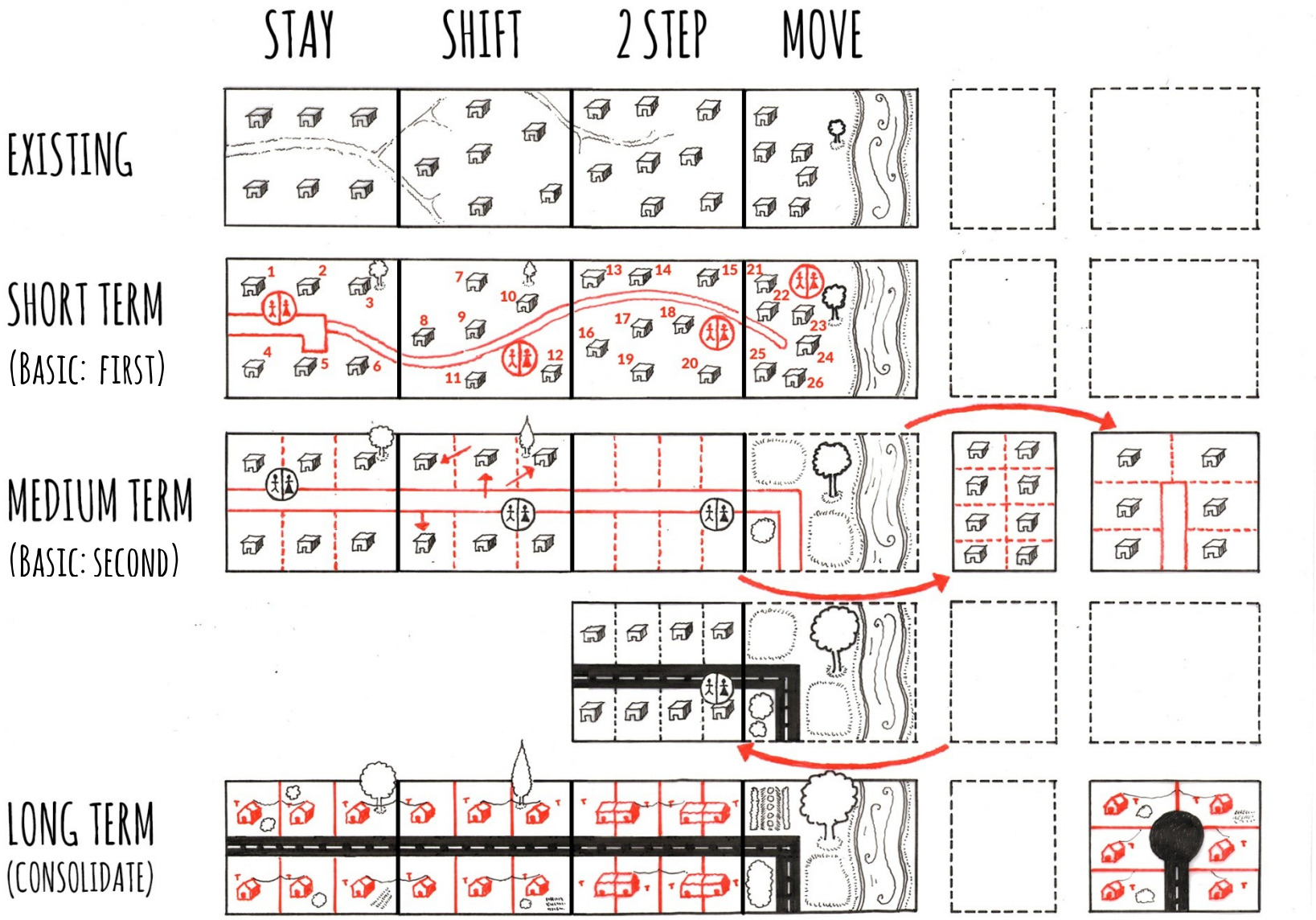
	Stay/ Shift option	Two step option	Move option
Consolidation	For those households that qualify for top structure housing subsidies the following funding sources can be used (where all these subsidies will require the funds to be used to build a dwelling and not be used to improve any shelters): • Enhanced People's Housing Process (ePHP) grant: This grant could be used in situations where households a) have permission to occupy certificates [although this needs to be tested], and b) have individual title deeds. • Integrated Residential Development Programme (IRDP) grant: This grant is likely only to be applicable in situations where households are to obtain individual title deeds. • Community Residential Unit (CRU): This grant can only be used where government aims to own the completed units which are then rented out to occupants. Higher density rental units can be constructed with communal ablutions and kitchen areas being provided (to make the units more affordable), or each unit could have its own toilets and kitchen. • Social housing subsidy (SHS): This grant is only available to accredited social housing institutions in approved social housing restructuring zones. It is possible that some of the higher density informal settlements could be located in a restructuring zone, in which case, the municipality could reach an agreement with a social housing institution to develop social housing rental accommodation. Careful attention would need to be given to making sure that the original households that lived in the informal settlement are able to afford to live in the new social housing built. • Finance Linked Individual Subsidy programme (FLISP): This grant is available to individual households who earn between R3 500 and R15 000. The household accesses this grant though financial institutions and receive a grant amount whereas the households income increases they receive a small and smaller subsidy amount. The balance the household has to cover with their own resources. This grant will only be available to households that receive individual title deeds. • Rural housing subsidy (RHS) - including in future the Rural Housing Subsidy Voucher Scheme): The present rural hosing grant is only available to households living in on communal land. Households will therefore not be able to own their property but may be able to have permission to occupy tenure. Consideration needs to be given to expanding the rural housing voucher programme that has been piloted in certain areas within informal settlements as this provides a unique approach to helping households improve their own houses.		
On going	In terms of payment of rates and services, rates and services depend on the form of tenure involved: • If Recognition of Occupation tenure: 1) No rates or services are paid; and 2) Prepayment electricity with first agreed number of kWh free • If Permission to Occupy tenure, 1) no rates and services are paid; and 2) Prepayment electricity with first agreed number of kWh free • If lease – 1) pay rental as determined by municipality to cover; and 2) Prepayment electricity with first X kWh free • If individual ownership ◦ If qualify for indigent discount 1) household gets discount on rates and services; and 2) Prepayment electricity with first agreed number of kWh free ◦ If household does not qualify for indigent discounts, then: 1) Normal rates and service charges apply and 2) Prepayment electricity with no free component. In terms of maintenance: • Maintain shack (shelter), dwelling, plot/erf and services on plot/erf ◦ Done by households using household resources • Maintain Public toilets ◦ Done by BCMM using funds secured though rates and services and equitable share formula; or ◦ Done by Implementation Agent using funds from Community Work Programme ◦ Done by households using donations of voluntary contributions from residents.		

	Stay/ Shift option	Two step option	Move option
On going	• Maintain Public toilets ◦ Done by BCMM using funds secured though rates and services and equitable share formula; or ◦ Done by Implementation Agent using funds from Community Work Programme ◦ Done by households using donations of voluntary contributions from residents. • Maintain roads and internal and connector services ◦ Done by BCMM using funds secured though rates and services and equitable share formula • Maintain community facilities (multi-purpose halls and play areas) ◦ Done by BCMM using funds secured though rates and services and equitable share formula ◦ Done by relevant authority if the land has been transferred to this authority or if there is an agreement in place with this authority. In terms of improvements • Improving house: done by the household concerned using its own resources • Improving the broader environment: done by the Municipality using rates and services it has collected, or equitable share grants it receives. (This includes improving public toilets if they are in place) • Improving community facilities (play areas, multi-purpose halls and other): done by the municipality if they own them, or done by land owner or facility manager if agreement in place. Funding can be secured from various facility grants.		

It is noted that this table and its associated diagram assumes that upgrading processes will follow the phased approach where basic development products are provided to as many informal settlements as possible first and then only later does government come back to provide consolidation funding. If consolidation funding is secured earlier on in the process, then consolidated top structures can be provided, for example, after people move back to their land in the two step option or as they move into new houses in the move option.

Figure 1: Upgrading options diagram

(See next page)


STAY
SHIFT
2 STEP
MOVE
EXISTING
SHORT TERM
(BASIC: FIRST)
MEDIUM TERM
(BASIC: SECOND)
LONG TERM
(CONSOLIDATE)

7. ANNEXURE: THE ABCD APPROACH

The informal settlement upgrading process requires a mindset shift from the community, politicians and government officials. In the past development was seen as a process where government asked communities what their problems and gaps where and then government would develop projects to fill these gaps. Communities would then be passive recipients of government projects. This called the needs based approach to development.

An alternative way to look at development is to focus on the assets that the community already has and then see how the community, using its own resources and capabilities, and leveraging in government and other resources to add to what the community has already started. This is called the Asset Based Community Development (or ABCD) approach and is seen as a more empowering approach for community development.

The needs based approach can be conceptualised as looking half empty glass while the needs based approach sees the glass as half full.

It is proposed that the municipality formally adopts the ABCD approach for informal settlement upgrading. It is recommended that municipal councillors and officials are exposed to a short ABCD training exercise to introduce them to the ABCD methodology.

Officials from key departments like planning should then participate in longer ABCD training courses, to be better able to facilitate such processes. Identified community leaders should also be exposed to and undertake ABCD training exercises.

The following summarises the ABCD approach.

1. Focus and build on what communities have - rather than focusing on filling the gap of what they don't have
2. Help communities to articulate their own visions
3. Encourage communities to take small (and not so small) steps using what resources they have at hand
    i. Build capacity/ awareness raising
    ii. Create a conducive environment for people to help themselves
4. Provide co-finance /resources to build on what communities are doing for themselves
5. Jointly learn from this experience, making adjustments as you go along, always with the broad vision in mind
6. Share your experiences and inspire others to follow similar paths

There are a number of tools that can be used to facilitate ABCD. These include for example:

1. Physical mapping exercises
2. Social mapping exercises
3. Economic mapping using the leaky bucket method
4. Appreciative enquiry
5. Story telling
6. Visioning
7. Action planning etc.

For examples of these and other tools see:

- http://tsdp.co.za/wp-content/uploads/2013/08/ABCD-Training-of-Trainers-Tools-July-2013.pdf (Accessed 3 April 2014)
- www.ikhala.org.za/abcd_training2011.docAccessed 3 April 2014

8. ANNEXURE: GUIDELINES FOR LAYOUT OF INFORMAL SETTLEMENTS

8.1 Introduction

These guidelines provide a proposed checklist to be considered when considering short, medium and long term intervention for all informal settlements. These guidelines need to be read as a whole and not necessarily followed sequentially.

There are broadly three types of layout interventions that can be taken for each shack within an incremental settlement area:

1. Remove shacks that are on unsuitable land to a new piece of land
2. Let shacks remain where appropriate and then either:
    a. Upgrade role-over where shacks are moved to a temporary relocation area, a new layout is created where the shacks used to be located; and the households are returned to the new layout
    b. Upgrade in situ where roads and paths are introduced into the existing layout with minimum disturbance of the existing shack layout.

Whichever of the above three approaches to layout design are adopted it is likely that the households will remain in their existing shacks for a considerable period of time. For example, for those shacks that have to be removed, alternative land needs to be secured and prepared before households are able to move to this new land; and for role over upgrade, the relocation area needs to be prepared and a new layout needs to be developed for the original informal settlements.

Therefore it is proposed that the following set of guidelines be applicable to all informal settlements no matter which category they fall. For relocate and role- over upgrade settlements the layouts developed using these guidelines will be temporary layouts, whereas for pure in-situ upgrade settlements the layouts will become more permanent layouts.

8.2 Draft Guidelines

Identify shacks to be relocated

1. Mark shacks for relocation that are on steep slopes (unless terracing and other interventions will be introduced), and are within flood lines of streams and rivers, and are in other environmentally sensitive areas.
2. Mark shacks for relocation that are within existing and proposed future road reserves and engineering and other servitudes (e.g. water and sewer lines and electricity power lines)
3. Mark shacks for relocation that are in areas where community facilities etc will be located.

Identify new plots

4. Mark out areas where new plots can be created, ensuring that the implications ofsuch spaces are taken into account interms of access to these and other plots.

Access

5. Ensure that all parts of the settlement are within 90 meters of a main road access point. Introduce new access routes into the settlement if the 90 meters is not achieved to all shacks. This is to ensure that fire trucks can get to within 90 meters of any shack with 90 meters being the distance that fire hoses can reliably access a burning shack.

6. If an access road cannot be provided for whatever reason (e.g. The land is too steep), provide a fire hydrant within 100 meters of all shacks so that multiple fire hoses can be connected to these fire hydrants. All fire hydrants to be accessible by fire truck.
7. If cull de sacs are used, ensure there are adequate turning circles. The cul de sac needs to be larger for areas where the road is longer.
8. Ensure that access points to informal settlements from existing municipal road networks take into account minimum sight lines according the applicable road's designs speed and road gradients to a maximum of 10% for turning into a road network
9. At lower densities where able to demarcate plots boundaries around shacks, ensure that all plots have a vehicular/ pedestrian access point.
10. At higher densities where it is harder to demarcate plot boundaries around shacks, aim to provide at least a broad pedestrian network within the settlement that is accessible to a large proportion of the shacks, but for the finer grained pedestrian network that reaches every shack, leave the demarcation of these internal pedestrian routes to the community to determine on site.
11. Provide pedestrian bridges at stream and storm water crossings
12. Use the following guidelines for width of access routes described above
    a. Access roads 4.00 meters
    b. Primary pedestrian paths 1.850 meters
    c. Secondary pedestrian paths (to be determined on site)

Storm and grey water

13. Ensure that all storm and grey water is channelled away from shacks.
14. Consider creating areas where storm water and grey water can be retained and detained within and adjacent to the settlement so as to reduce the influence of peak storm water flows into the existing storm water system.

Household Clusters

15. Create clusters of between 20 and 30 households, so that these clusters can serve as a local social and physical organisational framework to manage and maintain any collective interventions, including communal toilets (see next point).

Ablution facilities and services

16. Allocate at least one set of ablution facilities per cluster, where an ablution facility includes:
    a. Toilets (male and female)
    b. Water taps (accessible with bucket)
    c. Laundry facilities
    d. Showers
    e. Grey water soak-aways or retention sumps accessible by sewer waste removal trucks where waterborne sewerage is not available
    f. Fencing where management and maintenance is a concern
17. Consider location of ablution facilities taking into account:
    a. Ease of access to the facilities for all households within the cluster
    b. Privacy considerations of households adjacent to the facility.
    c. Suitable position for the provision of water and sewer services.

Play areas

18. Consider the creationof one play space per cluster or group of clusters, ensure surrounding households face onto and overlook play spaces. (Drawing on the defensible space concept)
19. Consider linking such play spaces to local crèches, even moving existing crèches so they adjacent to such spaces.

Vehicular pick up points

20. At accessible places where vehicular and pedestrian spaces intersect, create a taxi pick up/drop off point with adequate pedestrian access and waiting space; as well as parking space for emergency services (fire, ambulance, police etc) and mobile facilities (mobile clinic, mobile library, etc)

Electricity

21. Aim to have street and public lights at least at main intersections, access points and at main community spaces and facilities (e.g. ablution blocks).
22. Locate electricity poles servicing pre payment electricity meters internal to group of shacks so that they can service a maximum of 8 shacks from one pole; and that these poles are positioned away from any potential future road reserves and path alignments thereby minimising potential for relocation of poles in future phases.
23. Place public lighting on top of electricity poles servicing pre payment electricity meters.

Refuse collection/pick-up nod:

24. Provide adequate refuse collection points located at suitable positions throughout then settlements at sites accessable by the community and municipal refuse collection trucks.

Community halls

25. Create a 'central' community space where the community can gather for meetings and other social events, and where possible allocate a plot adjacent to this space for a community hall or office
26. Consider building these community halls in a phased and incremental manner starting with, for example a basic roof on poles structure that can be upgraded over time.
27. Provide for notice boards, public pay phones, post boxes, lockable storage units, and other facilities as required and appropriate to be located at, within and around this social space.

Defensible space

28. Use above interventions to help create defensible space and a sense of place and community, such as:
    a. create gateways to settlements,
    b. plant clusters of trees along main routes and around main spaces and facilities,
    c. provide different ground surfaces in semi public spaces compared to public spaces
    d. cluster households around a common space so main living areas of houses face onto these spaces
    e. provide signage that helps give settlement a sense of place.

9. ANNEXURE: POLICY AND STRATEGY WORKSHOPS REPORT

9.1 Workshop 1: East London with Municipal Councillors

Date: 11 June 2014

Venue: City Hall

1. Opening and welcome

Councillor Sam (BCMM) opened and welcomed all councillors and officials present

2. Attendance and Apologies

See attached attendance list. A round of apologies was presented.

3. Agenda

There were no additions and omissions to the agenda. The agenda was adopted by Councillor Gunuza seconded by Councillor Mapisa.

4. Background and purpose

Albie Meiring of BCMM Planning Department gave a brief background to the workshop.

5. Background to informal settlements

Craig Sam (CS Consulting) gave a brief background on Informal settlements.

6. Introduction to upgrading process – Lindi's story

Ronald Eglin of Afesis Corplan presented a video introducing the upgrading process. Councillor Sam also allowed an opportunity to the participants to give comments on the video presentation and the following comment were made:

1. This is a great approach; it will grow and satisfy our beneficiaries.
2. I did not hear anything on tenure and legal sites but I think the approach was presented very well.
3. It is a very good approach and it will allow involvement of community members to participate and encourage them to find ways of eradicating or preventing the growth of shacks.
4. It is wise to involve the beneficiaries in the service delivery process so that they may get thorough knowledge of the development process.
5. The workshop is very good so that we can be equipped and be able to take this back to our communities. I also think the backyard residents should be included in these development plans. And my thinking is that we should come up with a plan to involve people in the upgrading process.
6. This will assist a great deal in creating familyhood in the communities whereby everyone takes part in the growth process and I would like to also state that we allow informal settlements which have been in existence for more than 30 years to be part of the development plan.
7. The presentation is good and an excellent process shown to us compared to what is happening currently.
8. It is a step by step process and beneficiaries will understand the value of the upgraded areas and provided services and think twice before vandalising them.

7. Good and bad about informal settlements

Participants were divided into two groups to discuss what is good and bad about informal settlements and what can be done about it.

Group One:

Good things about an informal settlement.

1. Residents have close relations
2. There is a good sense of community
3. Residents share skills and capacity
4. The residents are always helping and developing each other
5. Informal settlements provide immediate shelter
6. In informal settlements there are responsible voters
7. In close proximity to amenities e.g. schools, bus routes near urban areas etc.
8. It is very affordable for the residents because they do not pay rates.
9. The shack residents are very good at spotting economic opportunities

Bad things about an informal Settlement

1. There is utilization of any vacant land irrespective of legal processes
2. There are health hazards
3. There is a violent demand of services
4. There are illegal electricity connections, fire and life threatening situations.
5. There is lack of infrastructure which causes divisions in formal and informal settlements
6. There is a lot of crime
7. They put a strain in the government budget because they are not budgeted for.
8. Residents pollute rivers.
9. Children are exposed to immoral practises.

What can be done about it?

1. A sense of community must be maintained and we must retain residents where they are if conditions permit.
2. Educate people about the conditions of the housing subsidy
3. Create data base of available skills in informal settlements and utilise them for economic development.
4. Provide access to basic services.
5. Create a budget vote to cater for eventualities caused by informal settlement
6. Provide secure tenure
7. Educate residents about pollution, health and hygiene.

Group Two:

Good thing about the Informal settlements

1. Residents are able to shelter themselves temporarily.
2. Residents are able to plan for housing needs
3. People who reside in informal settlements redress imbalances of the past (e.g. pro-poor previous disadvantaged)
4. Services are free in the informal settlements
5. Cheaper material is used to build shelter

6. Residents have sense of ownership
7. People are close to work opportunities
8. Information flows very quickly in the informal settlements

Bad thing about informal settlements

1. Water floods cause disasters
2. There are fire disasters
3. There is a lot of health hazards
4. There is a high rate of crime
5. The settlements are poorly planned
6. There is no compliance
7. There is a lack of social facilities
8. There is an abuse of municipal services.
9. There is no policy to prevent the mushrooming of these settlements.

What can be done?

1. Relocation should take place where there is a high density
2. Basic services on site must be provided.
3. Control measures must be taken.
4. There should be an integration of all government departments (IGR- Intergovernmental relationships.)

8. Policy and strategy video

Craig Sam (CS Consulting) presented a second video on policy and strategy and the following comments were made after viewing the video.

1. The issue of upgrading informal settlement must not be taken as a singular program it must be tackled in all ways.
2. This video is not the reality of what is happening or the ground (e.g. if the police can stop people from invading land then this will be real.)
3. The selling of the houses back to government should be stopped otherwise the plan is a good start.
4. We need to allow transparency, people must know that the land belongs to the municipality and also allow the communities to participate in the process of development. People must not be allowed to sell RDP houses.
5. The overall concept of the policy is good and it is more sustainable than the current RDP concept in terms of sustainability, service delivery and funding.
6. The policy does not cover the implementation strategy
7. First of all, ward councillors must begin to take these issues seriously, they must improve their attendance before they go and change the communities. Secondly can we get a clear idea of these 32 affected settlements?
8. There is a gap in the presentation relating to implementation the approach is good because it will address all these issues that are pending.
9. Typologies of informality are broader than just informal settlements and they all need to be considered in upgrading.
10. We need time to interact with the document to be able to give positive feedback based on our understanding.
11. Councillor Sam advised participants to take this knowledge and impart it back to the communities as they are

being equipped to do so. He added that people must be moved away from the RDP mentality but to change their mindset and policy guidelines to access funding and allow them to take charge in the development process. The idea is to assist in informal settlement upgrading so that houses can be built in those areas in which shack owners occupy.

9. Support and not support policy

The two groups were then given time to discuss what they support or do not support about the proposed policy shown in the video and also give suggestions.

Group One

What do you support about the policy?

1. The Incremental approach attempts to address immediate needs which precedeshousing and this provides a basis for budgeting.
2. The presentation does not show how they will promote the integrated approach.
3. How will the selling of houses be properly managed?
4. Policy should be strict on the issue of mushrooming of informal settlements
5. The land must be secured

What do you not support about the policy?

1. The Implementation strategy is not presented thoroughly
2. The presentation has gaps.

Suggestions for future

1. There must be a proper management of backyard shacks
2. Migration must be handled well.

Group Two

What do you support about the upgrading?

1. There will be consultation
2. Surveys will be conducted
3. There is good planning, projections for long term and short term
4. A feasibility study will be done
5. Basic services will be provided
6. Land management will be enforced.

What do you not support about the policy?

1. We support the whole concept of the policy.
2. The policy will change and improve the livelihoods of the shack dwellers.

Suggestions for future

1. The policy should concentrate on capacity, funding and management issues. It must also address sustainability e.g. jobs and empowerment. There must be enforcement of land management.

10. Conclusion

Craig Sam of CS Consulting gave a way forward and concluded by stating that the planning team has just completed the transect walks through all 32 informal settlements identified by the municipality and the National Upgrading Support Programme (NUSP). He added that the community liaison officers are being appointed to be the links with the 32 informal settlement communities, to assist in the setting up of workshops and arranging meetings. Craig also announced that participatory workshops will be held with the various clusters of informal settlements to discuss upgrading plans over the next three months.

9.2 Workshop 2: King Williams Town

Date: 17 June 2014

Venue: War Memorial Hall

1. Opening and welcome

Councillor Sam (BCMM) Opened and welcomed all councillors and officials present

2. Attendance and Apologies

See attached attendance list. A round of apologies was offered.

3. Agenda

There were no additions and omissions to the agenda.

4. Background and purpose of workshop

Albie Meiring of BCMM Planning Department gave a brief background of the workshop.

5. Background to informal settlements

Craig Sam (CS Consulting) gave a brief background on Informal settlements.

6. Background to upgrading

Ronald Eglin of Afesis Corplan presented a video introducing the upgrading process.

An opportunity to the participants to give comments on the video presentation was opened and the following comments were mentioned:

1. We are very happy about this new approach because it might assist to speed up the development in those informal settlements and it is promising to be much quicker than the existing approach.
2. I would like to have a list of these informal settlements. What about the rural settlements? Why they are not included in these plans?
3. This is a good approach but we shall have to identify the areas which will be suitable for incremental upgrading and also which areas will be suitable for relocation.
4. We need to find a strategy to be able to move people and also how to provide new land and also a way of providing services where people are instead of this RDP approach.
5. The presentation is an excellent process shown to us compared to what is happening currently.

Craig Sam explained that in order to come up with a good and successful approach only a selected few had to be worked on and thereafter, the same approach can be implemented on the other settlements.

7. Good and bad informal settlement

Participants were divided into two groups to discuss what is good and bad about informal settlements and what can be done about them.

Group One

Good things about informal settlements

1. People have a roof over their heads
2. We reside closer to workplaces
3. There is unity among our people
4. People have access to free water
5. There is good communication
6. Residents do not pay rent

Bad things about informal settlement

1. There is no proper monitoring or system for identifying who resides there
2. Health hazard conditions
3. Crammed shacks, there is not enough land
4. No basic services like electricity
5. A lot of crime
6. Illegal occupation
7. Bad roads
8. Dangerous illegal electricity connections

What should be done to upgrade the informal settlements?

1. Provide a proper planning and monitoring system
2. Provide electricity
3. Policy on basic law enforcement
4. We must build on the good by working hand in hand with the municipality and not wait for handouts
5. Relocation system must be applied to make way for the infrastructure and proper development

Group Two

Good things about Informal settlements

1. The good thing about living in informal settlements is that you do not pay rates and service fees
2. You have a structure or roof over your head
3. The municipality provides water and sanitation
4. It makes things easier for the government to upgrade and if the area is dense other residents can be relocated.
5. There is unity among residents.

Bad things about informal settlements.

1. Even though residents do not pay rates, they still need a proper house.
2. The shacks are built on sewage lines.
3. They are victims of the accidents caused by the illegal electricity connections
4. They are disadvantaged and at risk due to disasters e.g. Fire
5. Residents are victims of reckless driving on account of some shacksbeing built near the main road.
6. More than twenty families share only two toilets
7. Shack residents do not have access to roads and pavements.
8. In the informal settlements there is a high rate of crime, drugs and theft.

What can be done to upgrade informal settlements?

1. A structure must be formed to control informal settlements.
2. Electricity must be provided.
3. Provide skills development
4. Construct roads and storm water drains to prevents flood disasters
5. Provide a solar hot water system.
6. Bridge the gap between the house and shack dwellers to prevent shack residents isolation and encourage unity.
7. Create job opportunities, bring projects to the communities.

8. Policy and strategy

Craig Sam (CS Consulting) presented a second video on policy and strategy and the following comments and comments were made after screening the video.

1. People are at the centre of the draft policy, the public participation process is noted.
2. Policy talks to what is really happening on the ground and the people. We need more clarity on the enhanced peoples housing process.
3. Urban settlement development grant. Municipal grant is to upgrade informal settlements throughout the boundaries of the municipality; we need development in the rural areas as well.
4. We need an enhanced peoples housing subsidy, establishment of trust within the communities to improve the lives of the community.
5. The issue of backyard shacks has not been addressed in the policy and strategy.

Councillor Sam advised participants explaining how some inhabitants might have to be relocated; ward committees should prepare their communities of some of the implications involved e.g. budgeting, training of people. Begin preparing the community for the ultimate policy.

9 Support and not support on Policy

Two groups were then given time to discuss what they support or do not support about the policy and also give suggestions.

Group One

What do you support about the policy?

1. We fully support the new upgrading approach because it will improve the lives of the residents
2. Residents will be recognised by the government
3. Shack dwellers will receive tenure
4. Basic services will be provided
5. The upgrading process will create job opportunities

What do you not support about the policy?

1. We fully support the policy but we need to know what will happen to backyard shack dwellers
2. What about the rural settlements dwellers, when can this upgrading be done in the rural areas.

Suggestions for future

The approach is interesting and we hope that in future there will be more than just 32 settlements in the upgrading process. We hope that this upgrading process will really open job opportunities for the unemployed shack residents.

Group Two

What do you support about the policy?

1. Finally something is being done about the informal settlements
2. The truth about the informal settlements not ever going away has been accepted
3. It is true that it will take more than 50 years to build houses for all the shack dwellers? Therefore we appreciate the change that is about to take place in the informal settlements.

What do you not support about the policy?

1. It does not give guidance on what can be done to avoid more land invasion and how can land be managed in future.

Suggestions for future

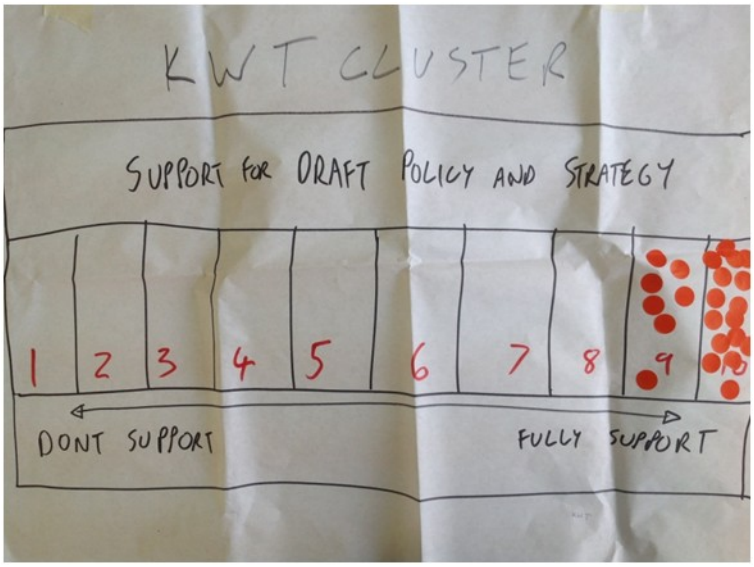
1. Give an approach or system for monitoring as soon as implementation starts.

10. Conclusion

Craig Sam of CS Consulting gave a way forward and concluded by stating that the planning team has just completed the transect walks through all 32 informal settlements identified by the municipality and NUSP, He added that the community liaison officers are being appointed to be the links with the 32 informal settlement communities, to assist in the setting up of workshops and arranging meetings. Craig also announced that participatory workshops will be held with the various clusters of informal settlements to discuss upgrading plans over the next three months.

Participants voted on scale of 1 (not support) to 10 (fully support) the proposed policy as shown in the video. Figure 1 (next page) shows the results of this voting.

Figure 1: Rating of Policy and Strategy - King William's Town workshop



9.3 Workshop 3: Mdantsane

Date: 19 June 2014

Venue: Mdantsane Community Hall: Zone 10

1. Opening and welcome

Councillor Sam (BCMM) opened and welcomed all councillors and officials present.

2. Attendance and Apologies

See attached attendance list: A round of apologies was presented. Apologies were made for CLLR V. Mtyingizane, CLLR. Pakade, Ward committee (ward 20) Ntongolwana, CLLR Mapuka, ward committee member Songezi.

3. Agenda

There were no additions and omissions to the agenda.

4. Background and purpose of workshop

Albie Meiring of BCMM Planning Department facilitated the workshop and gave a brief background of the workshop.

5. Background to informal settlements

Craig Sam (CS Consulting) gave a brief background on Informal settlements.

6. Background to upgrading

Ronald Eglin of Afesis Corplan presented a video introducing the upgrading process.

Councillor Sam also allowed an opportunity to the participants to give comments on the video presentation and the following comment were stated:

1. The approach speaks of basic services but does not mention the maintenance plan
2. The video gives a clear idea, if this approach can be followed then good things are possible in our community to achieve
3. We as communities must work hand in hand with the municipality.
4. In this video we learn about the importance of unity
5. This is an excellent approach, so that our informal settlement can receive all the municipal services they need.
6. Once people have been moved they must then be provided with fast and better basic services
7. As long as the relocated residents receive title deeds too, then we have no problem.

7. Good and bad about informal settlements

Participants were divided into two groups to discuss what is good and bad about informal settlements and what can be done about it.

Group one

Good things about the informal settlements

1. Everything is free, there are no payments whatsoever.
2. People are united and they tackle the various community issues together and are consistent.
3. It is nearer to job areas.
4. Sense of equality in as far as social status is concerned
5. Land is easily accessible; there are no procedures to be followed before accessing the land.

Bad things about the informal settlements

1. Residing illegally
2. There are no proper roads
3. There are dangerous illegal electricity connections which result in deaths.
4. There is a high population growth rate.
5. Shacks are crammed because there is not enough land
6. There is also no basic services like electricity
7. There is a lot of crime

What should be done to upgrade the informal settlements?

1. More basic services must be provided.
2. Prevent land invasion.
3. Regulate or enforce law towards further building of shacks.
4. Partnership between the community and government is vital to tackle social necessities such as fighting crime and exploring job opportunities.

Group two

Good thing about the Informal settlements

1. Residents have a roof over their heads.
2. People are closer to workplaces.
3. No payment is required from the residents
4. They are provided with basic services.

Bad things about an informal Settlement

1. People invade undevelopable land
2. There is high density of shacks
3. The electricity illegal connections are putting lives at risk
4. There are health hazards.

What can be done about it?

1. Provide basic services
2. Create jobs and bring infrastructure.
3. Undertake monitoring systems.

8. Policy and strategy presentation

Craig Sam (CS Consulting) presented a second video on policy and strategy and the following comments were made.

1. The involvement and participation of the community is a great idea.
2. Funding, management and related issues are not addressed.
3. There should be a policy to enforce the proper management of land.
4. There are no services provisioned for those who do not qualify for subsidy.
5. Further land invasions should be prevented and there should be regulations and policies to control this process.

Councillor Sam advised participants to take this knowledge and impart it back to the communities as they are being equipped to do so. He added that people must be moved away from the RDP mentality but to change their mindset and policy guidelines to access funding and allow them to take charge in the development process. The idea is to assist in informal settlement upgrading so that better houses can be built in those areas in which shack owners occupy.

9. Support or not support policy

The two groups were then given time to discuss what they support or not support about the policy and also give suggestions on what else to include in the policy and strategy.

Group one

What do you support about the policy?

1. We support the whole approach.
2. It will address the basic needs.
3. It is a different approach in terms of planning.
4. The community members will have a sense of ownership.

What do you not support about the policy?

1. Monitoring is not mentioned.
2. The policy does not address the upgrading of backyard shacks
3. It will create tension between the formal and informal houses.

Suggestions for future

1. Pay more attention to social facilities and management issues

Group two

What do you support about the policy?

1. That community participation is encouraged.
2. There is proper planning
3. Communities will be provided with tenure and more basic services.

What do you not support about the policy?

1. It does not mention anything about management policy and its enforcement.
2. It does not have a shack clearance strategy.

Suggestions for future

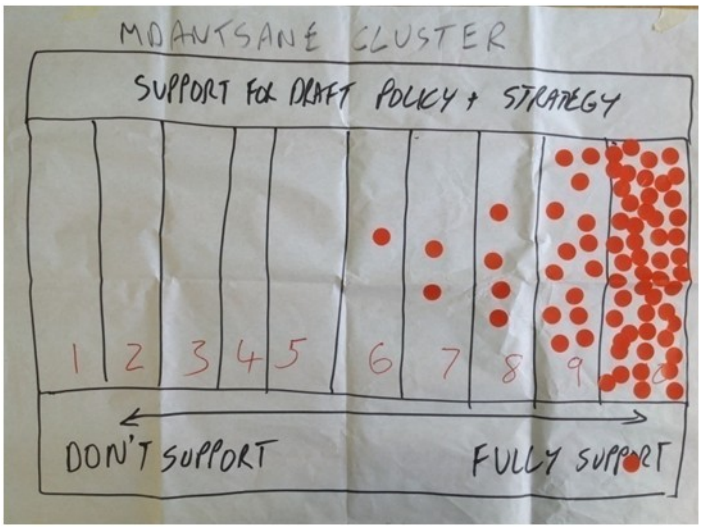
1. There should be proper planning, monitoring and law enforcement. NGOs must continue working closely with the government.

10. Conclusion

Craig Sam of CS Consulting gave a way forward and concluded by stating that the planning team has just completed the transect walks through all 32 informal settlements identified by the municipality and NUSP. He added that the community liaison officers are being appointed to be the links with the 32 informal settlement communities, to assist in the setting up of workshops and arranging meetings. Craig also announced that participatory workshops will be held with the various clusters of informal settlements to discuss upgrading plans over the next three months.

Participants voted on scale of 1 (not support) to 10 (support) the proposed policy as shown in the video.
Figure 2 (next page) shows the results of this voting.

Figure 2: Rating for Poliocy and Strategy - Mdantsane workshop



9.4 Attendance Lists

See attendance lists from the three workshops on the following pages.