



January 2010

S:\PPT CURRENT FILES\PROGRAMS\REPLICABLE MODELS\Informal Settlement Responses\PPT INFORMAL PACKS COPYRIGHT OF PPT\0. PPT Inf Sett Toolkits - CONTENTS & QUICK USER GUIDE r12.doc

PPT INFORMAL SETTLEMENT TOOLKITS: DETAILED TABLE OF CONTENTS AND QUICK USER GUIDE

Copyright: © Project Preparation Trust of KZN (2010). Not to be reproduced for commercial purposes without PPT's express consent.

Disclaimer and limitations: Whilst PPT seeks to make these toolkits relevant and accurate; it does not accept any liability arising from the use of them. It is emphasized that they have been developed as working practice on a non-commissioned and unfunded basis.

PREFACE

ORIGIN: These toolkits have been developed incrementally by PPT over a period of many years and are informed, amongst other things, by PPT's extensive practical experience in successfully preparing and planning large numbers of informal settlement projects¹ and in working closely with communities, government and other stakeholders. They are an ongoing work-in-progress.

PURPOSE: The main purpose of these toolkits is to assist those involved in managing informal settlement upgrading and transformation. Whilst they focus extensively on infrastructure, tenure and housing, it is emphasized that a range of other developmental responses are critical. Certain elements of these toolkits can assist in this regard.

TARGET USERS: These toolkits are targeted principally on those within government, the private sector, the NGO sector or community based organizations who are responsible for or involved in informal settlement upgrading, improvement or change management.

AVAILABILITY: These toolkits are available free on PPT's website at <http://www.pptrust.org.za/informal-settlement-upgrading-toolkits/view-category.html>.

KEY CONSIDERATIONS: A major consideration in developing these toolkits is the need for informal settlement responses which can occur more rapidly, at greater scale and which are more inclusive of the urban poor. Given the scale of the informal settlement challenge in South Africa, 'best practice' needs to be practical and achievable within environmental constraints (such as constrained state 'capacity', a shortage of suitable land, and socio-political factors). Another major consideration is the need to increase the available capacity and knowledge base to enable change to be expedited.

¹ Over the past 18 years, PPT has successfully prepared 45 informal settlement upgrade projects for 40,733 households resulting in capital leverage of R1.03 billion. PPT is currently preparing 9 projects benefiting 11,997 households and with potential capital leverage of R510 million. This excludes initiatives where PPT is playing an advisory role such as eThekweni's Interim Services Programme.

TABLE OF CONTENTS

(Refer to quick user guide which follows to reference tools to specific user requirements)

1. **Overall integrated responses and urban management framework** (flow chart)
2. **Key success factors in responding to informal settlement**
3. **Overview of main responses for infrastructure & housing:**
 - 3.1. Primary housing & infrastructure responses:
 - 3.1.1. Rapid assessment & categorization
 - 3.1.2. Interim basic infrastructure services
 - 3.1.3. Emergency basic infrastructure services
 - 3.1.4. Full upgrading
 - 3.1.5. Relocations
 - 3.1.6. Land identification & acquisition
 - 3.2. Non housing responses
4. **Participative community action planning (PCAP)** – detailed scope of work for rollout
5. **Participative (local) economic action planning (PEAP)** – detailed scope of work for rollout
6. **Flow chart for determining appropriate responses** (for infrastructure & housing)
7. **Categorization guideline** (infrastructure & housing)
8. **Appropriate tenure options**
9. **Appropriate grant instruments** (infrastructure, land & housing)
10. **Summary scopes of work & cost norms** (infrastructure & housing responses)

Note: each of the following consists of a schedule of work packages with indicative cost estimates

 - 10.1. Module 1: Rapid preliminary assessment and categorisation
 - 10.2. Module 2: Planning & delivery of interim services
 - 10.3. Module 3: Planning & delivery of emergency services
 - 10.4. Module 4: Planning and delivery of a full upgrade (housing, full services & formal tenure)
11. **Detailed scopes of work** (infrastructure & housing responses)

Note: each of the following includes a detailed scope of work for all required work packages

 - 11.1. Module 1: Rapid preliminary assessment and categorisation
 - 11.2. Module 2: Planning & delivery of interim services
 - 11.3. Module 3: Planning & delivery of emergency services
 - 11.4. Module 4: Planning and delivery of a full upgrade (housing, full services & formal tenure)
 - 11.5. Module 5: Planning & delivery of relocations
 - 11.6. Module 6: Identification & acquisition of suitable land
12. **Indicative schedules (timetables)** (infrastructure & housing responses)
 - 12.1. Interim services
 - 12.2. Emergency services
 - 12.3. Full upgrade (housing, full services & formal tenure)

QUICK USER GUIDE - HOW TO FIND THE RESOURCES YOU NEED

Note: shaded numbers in square brackets are relevant items on the main table of contents.

- **UNDERSTANDING HOW TO RESPOND AND STARTING THE PROCESS:** Learning how to respond. Programme setup. Understanding communities. Procuring resources. Project initiation.
 - **Overall integrated responses and urban management framework:** Schematic and simplified overview only of main elements and likely process flow. [1]
 - **Key issues in responding to informal settlement:** Identifies some of the most important success factors. ‘Foundational’ issues which, if not addressed or taken into consideration, are likely to result in failure. [2]
 - **Overview of main responses for infrastructure and housing:** Summary outline of the main responses and the situations in which they are likely to appropriate. The emphasis is on responses which are inclusive and at scale. [3]
 - **Participative community action planning:** Necessary for constructive engagement with community and other key stakeholders in respect of practical planning. Multi sectoral: infrastructure, livelihoods, key social facilities etc and including further key issues / needs analysis. [4]
 - **Rapid assessment and categorization:** Necessary to rapidly determine overall developability and key technical constraints. Essential to determine appropriate infrastructure and housing response. [3.1.1; 10.1]
 - **Categorization guideline:** To determine what sort of infrastructure or housing response is appropriate and achieve-able. [7]
- **RAPID RESPONSES TO ADDRESS IMMEDIATE VULNERABILITY:**
 - **Emergency basic services:** Informed by preceding participative community action plans and rapid assessment. Temporary responses only. E.g. rudimentary water, sanitation, access, fire protection, solid waste removal) including possible preliminary layout [10.3; 11.3]
NOTE: Refer also to HDA’s Emergency Housing Guidelines available on the PPT website at <http://www.pptrust.org.za/download-document/156-hda-emergency-housing-guidelines.html> or the HDA’s website (http://www.thehda.co.za/resources/entry/hda_-_implementing_emergency_housing_guidelines/)
 - **Interim basic services:** As for emergency basic services but usually with a higher level of service and with planning towards long term formalization. [10.2; 11.2]
 - **Appropriate grant instruments:** Assesses the various grant instruments which can be utilized for infrastructure, tenure and housing responses. [10.3; 11.3]
 - **Special needs:** response plans e.g. home based care, child headed households, HIV prevention & treatment. [4] *[updated PPT guide on special needs housing to follow]*
 - Support for **livelihoods & informal enterprise** - including food security / gardens [4] *[updated PPT guide to follow]*
 - **Basic / functional tenure:** In general, this will be un-registered and non-individual (e.g. administrative recognition of an entire settlement) EXCEPT where capacity exists to provide more than this and it can be rapidly expedited without creating community tensions. [8]

- **Relocation:** but only as a last resort (i.e. where there are imminent health and safety risks that cannot be mitigated OR where more appropriate land (acceptable to community) is immediately available for resettlement. [3.1.5; 11.5]
- **Participative (local) economic action planning (LED):** [5]

➤ SPATIAL INTEGRATION

- **Precinct level master plans (preliminary)** – desirable before delivery of interim basic services but not prior to emergency basic services [updated PPT guide to follow]
- **Participative (local) economic action planning (LED):** can also be undertaken at the precinct level [5]
- **Local spatial plans:** [10.4]
- **Urban design:** [10.4]
- **Identification and assessment of suitable land for acquisition:** [11.6]

➤ LONG TERM FORMALIZATION

- **Land acquisition:** [10.4, 11.6]
- **Settlement planning:** e.g. planning & services layouts, urban design, architectural input [10.4, 11.4]
- **Incremental development areas:** The release of land with basic planning and services to communities on a more rapid basis that occurs with conventional housing delivery [8, 10.3, 11.3] [updated PPT guide to follow]. Refer also to City of Cape town precedent and LandFirst initiative www.afesis.org.za/About-LANDfirst/.
- **Conventional housing delivery:** Government subsidized housing ('RDP') along with formal tenure, full services and associated formal planning and township establishment. A slow and highly costly programme which cannot adequately address the informal settlement challenge [10.4, 11.4, 12.3]
- **Densification:** This should be pursued as the 'default' approach where land is scarce. It typically consists of low cost double storey attached units with more pedestrianised layouts. [10.4, 11.4, 12.3] [updated PPT guide to follow]
- **Permanent / formal tenure:** Consideration should be given to alternative forms of formal tenure to a title deed, given that there are material problems with utilizing title deeds in the low income sector of the market (e.g. a high level of reversion from title deeds to informal property transactions) [8, 10.4, 11.4]

In addition to the above toolkits, it is noted that:

- The National Upgrading Support Programme (NUSP) has various knowledge resources available at www.upgradingsupport.org/learn.html.
- The Housing Development Agency intends to develop certain informal settlement knowledge resources (in collaboration with PPT and others), to become available at www.thehda.co.za/resources/. This includes Implementation of Emergency Housing guidelines.
- There is significant precedent case study work of 'good practice' as well as other bodies of informal settlement and tenure work from both NGO's (e.g. PPT, DAG, Planact, Urban LandMark, Afesis Corplan, BESG) as well as by Municipalities (such as eThekweni, Johannesburg and Cape Town). It is hoped that this can be collated or referenced soon by either NUSP or the HDA.