

PROJECT PREPARATION TRUST



PO Box 5609 Durban 4000
Telephone 031 305 1288 Fax 031 305 1227
www.pptrust.org.za

INFORMAL SETTLEMENT TOOLKITS

2010 / 2011



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]

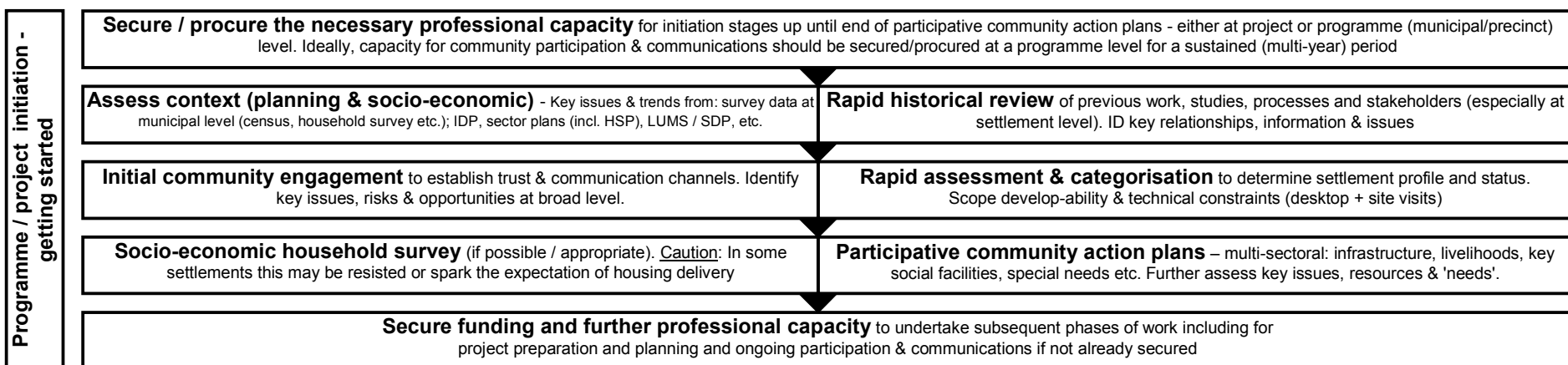
➤ LONG TERM FORMALIZATION

- **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.

Informal Settlement Improvement, Inclusion, Transformation & Urban Management Overall Summary Framework & Process



	Expedite rapid responses & vulnerability mitigation					Address spatial / precinct level development				Where and when appropriate - formalisation			
	Plan, design & deliver either interim or emergency basic services (e.g. water, sanitation, access, fire protection, solid waste removal). Possible preliminary layout & proactive emergency housing.	Special needs response plans e.g. home based care, child headed households, HIV prevention & treatment	Support for livelihoods & informal enterprise - including food security / gardens	Basic / functional tenure (e.g. administrative settlement recognition)	Participative LED plan - based on engagement with local informal and formal enterprise	Key social facilities assessment & investment / response plan (e.g. primary health, education etc)	Precinct level master plans (road hierarchy, activity centres, key social facilities etc)	Land identification & assessment (for possible full upgrading / relocation / green-fields dev / incr. dev. area)	Land acquisition (for possible full upgrading / relocation / green-fields dev / incr. dev. area)	Relocation / resettlement - Last resort (e.g. green-fields housing / incremental development area)	Permanent tenure solution (not necessarily a title)	Permanent services & township establishment including planning / EIA approvals etc	Housing delivery (preferably med. density) including 'self-help' housing
TIME	ST	ST	ST	ST	ST	ST/MT	ST/MT	ST/MT	MT/LT	MT/LT	MT/LT	MT/LT	MT/LT
SCALE	settlement	settlement	settlement	settlement	settlement	precinct	precinct	settlement	settlement	settlement	settlement	settlement	settlement
COST	moderate	moderate	low	low	low	moderate	low	low	moderate to high	moderate to high	moderate to high	high	high
GRANT	EH / USDG / USIP	Mun / DoSD / DOH	Mun, DED	UISP	Mun / DED	Mun, DE, DOH	Mun / UISP	Mun / UISP	Mun / UISP	UISP	UISP	UISP	UISP
GOVT	Mun	Mun, DoSD, DOH	Mun, DED	Mun	Mun	Mun, DoSD, DOH	Mun	Mun, DoHS	Mun, DoHS	Mun, DoSD, Health	Mun	Mun, DoHS	Mun, DoHS

Abbreviations			
ST = 6 – 18 months	DED = Department of Economic Development	DoSD = Department of Social Development	EH = Emergency Housing
MT = 1 – 2 years	DE = Department of Education	UISP = Upgrading Informal Settlement Programme DoHS	DoHS = Department of Human Settlements
LT = 2 - 10 years	DOH = Department of Health	USDG = Urban Settlement Development Grant	Mun = Municipality

25th March 2011

S:\PPT CURRENT FILES\PROGRAMS\REPLICABLE MODELS\Informal Settlement Responses\PPT INFORMAL PACKS COPYRIGHT OF PPT\2. PPT Informal Settlement Knowledge Key Issues Document r6.doc

Key Success Factors for Informal Settlement Responses

(I.e. Which are: at Scale, Rapid, Appropriate & Participative)

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.

OVERALL KEY SUCCESS FACTORS

- **Responding at SCALE:** Historically, developmental responses have occurred at insufficient scale. They have often been premised on unrealistic expectations of which is achievable within available resource constraints. Great commitment and realism is required. This includes greater inter-department co-operation, greater co-operation with the NGO and private sector, and more flexible and responsive budgeting.
- **Changing the emphasis:** Less emphasis on housing, and greater emphasis on the following top priorities: a) basic / rudimentary services; b) primary health care; c) school education; c) local economic development (especially job creation, informal enterprise support and work-place skills development).
- **Recognising, understanding and working with (not against) informality:** Ongoing fear and denial of informality leading to persistently ineffective policies and strategies. Despite the best intentions, the State and the urban poor have often worked against each other instead of collaboratively.
- **Getting community participation right:** Including budget allocation and professionalisation of this work (can't be undertaken in-house by Municipalities via ward development committees and councilors without support) – refer to eThekweni intentions in this regard. Human resources and funding for this need to be made available.
- **Achieving a more integrated response:** I.e. focusing not only on housing and infrastructure but also on access to key social facilities such as education and health care, local economic development, enterprise development, livelihoods responses, special needs and HIV AIDS etc.
- **Precinct level master planning:** Informal settlements need to be considered within their local spatial context and integrated into the broader urban form. These master plans are especially important for ensuring that road and transport networks are integrated and that attention is given to key social facilities (e.g. education and health).
- **Mobilising private sector and NGO capacity:** Professional skills and capacity are critical to project success. Building this capacity is key. Work needs to be funded from subsidy programme and funding adequately (e.g. typically lack of preparation funding, insufficient engineering and other fees especially for complex projects, fee structures out of line with construction industry norms).
- **Moving away from rash political promises:** Reactive and rash electioneering promises based on political imperative rather than a proper understanding of what is actually achievable within budgetary, technical and socio-economic constraints is critical. Leaders at all levels persist in dangerous

and poorly informed messages to communities. Communities deserve to know the truth about can and will be done for them. They are no longer content with 'spin'.

KEY SUCCESS FACTORS FOR INFRASTRUCTURE AND HOUSING DELIVERY

- **Acceptance of interim & emergency services as the mainstay for delivery at scale:** It is now accepted that conventional housing delivery cannot deliver fast enough and at sufficient scale and that interim services are now the priority (as per Outcome 8). Greater political buyin and more adequate budget allocation are however required for this new approach to succeed.
- **Tenure:** Functional, non-individualised and non-registered tenure via administrative recognition of settlements must be sufficient for interim and emergency basic services delivery
- **Land acquisition:** Land acquisition is inherently slow and costly and is often a project in its own right. Forward planning necessary as well as sufficient funding allocated not only for land costs but associated professional work (e.g. land legal, negotiations, valuations, expropriation, project management etc).
- **Getting the grants and funding right:** Including resolving the problems with the UISP so that ph1 has significantly more budget and land acquisition can be deferred to start of ph2; resolving funding for emergency basic services (e.g. utilizing USDG or EH funding)
- **More strategic utilization of costly housing delivery:** Costly investments in housing construction (including in site upgrading) need to be made more strategically to promote a more efficient and sustainable urban form (including better spatial and urban design considerations and utilization of denser housing typologies where land is scarce).
- **Low cost densification:** Where land is scarce utilize double storey, attached housing with pedestrianised layout – aim to get densities of at least 60-80 du per ha which create greater urban efficiency.
- **Creating greater urban efficiency:** South African cities are inefficient by international norms. In particular densities are too low and public transport is inadequate. Densities of between 60 and 80 dwelling units per hectare are necessary to enable sustainable public transport and more effective spatial and transport planning is required.
- **Rapid assessment and categorization:** There is typically a lack of sufficient information on informal settlements to enable decision making on appropriate responses. Rapid assessments are required in order to provide adequate profiles, including of technical constraints and developability potential so as to enable more rational and reliable decisions on infrastructure, tenure and housing responses.
- **Depth and breadth balance:** Conventional housing delivery is inherently slow and costly (conventional upgrading typically takes an average of nine years from commencement of feasibility to closeout of construction and costs more than R120,000 per delivered low cost unit including land, services, top-structures and professional / contracting fees). Delivery at scale ('breadth') can only be achieved by an incremental approach which emphasizes emergency or interim basic services as the first level of responses.
- **Getting the right budgetary balance between housing and interim services:** On the national and provincial housing budgets. Too much budgetary emphasis on conventional housing delivery.
- **Preparation funding:** The ongoing failure to adequately plan and prepare projects is recognized as a key reason for project failures, project delays and the absence of bankable project pipelines. Preparation needs to take place well in advance of detailed design and implementation.

January 2011

S:\PPT CURRENT FILES\PROGRAMS\REPLICABLE MODELS\Informal Settlement Responses\PPT INFORMAL PACKS COPYRIGHT OF PPT3. PPT Inf Settlement Responses Overview of Main Responses r1.doc

Informal Settlement Developmental Responses: Overview of Main Responses

© *Project Preparation Trust of KZN (2010)*

1. Primary Housing and Infrastructure Responses

Whilst a range of developmental responses are necessary to address the challenges of informal settlement, DoHS's grants are confined mainly to preparation and planning, basic infrastructural services, top-structures and land and tenure. The responses outlined below are thus focused specifically within this grant funding mandate of the Department. For more information please also refer to the Project Classification Guideline, 'Flow Chart', and 'Summary Scopes of Work and Cost Norms', and Detailed Toolkits'. It is emphasized that, in the delivery of all the following responses, care should be taken to enable integrated, multi-sector development which goes beyond housing and infrastructure and addresses such issues as integrated local spatial planning, key social facilities (e.g. education, health care), public transport, livelihoods (e.g. food security, special needs etc), micro-enterprises and local economic development (see also section 2 below).

1.1. RAPID UP-FRONT PRELIMINARY ASSESSMENTS AND CATEGORISATION

This is required for all informal settlements within every Municipality in the province (where this has not yet occurred or is incomplete) in order to obtain an adequate profile of settlements and to enable them to be categorized in terms of the appropriate developmental response(s). It is emphasized that, with the notable exception of eThekweni Municipality, most other municipalities do not yet have this information and would therefore typically need to undertake this work as an urgent priority (refer also to PPT Informal Settlement Upgrading Toolkits 6 & 7: Flow chart of determining appropriate responses and categorization guideline). It is important that this is not seen merely as an administrative process but as a critical developmental intervention, without which effective plans and strategies for informal settlement are impossible.

1.2. Planning and Delivery of INTERIM BASIC SERVICES

Interim basic services should be provided to those settlements located on sites which are viable and appropriate for long term full upgrading but where this is not imminent (e.g. due to budgetary, land, or bulk services constraints). This response has the potential to be delivered rapidly, provided it is de-linked from land acquisition and provided that collective tenure security via municipal recognition of settlements is utilized. It is expected that this response could be provided to a significant proportion of all settlements (in the region of 30%-40% of them) within the short term (i.e. within the next 5yrs) if the necessary grant pre-conditions were put in place and if it were pursued with vigor.

1.3. Planning and Delivery of EMERGENCY BASIC SERVICES

Emergency basic services should be provided to those settlements where long term upgrading is not viable or appropriate but where there also no pressing imperative for a relocation (i.e. absence of any imminent threat or risk due to such factors as flooding, slope instability or exposure to toxic waste) and no immediately available and suitably located relocations destination (e.g. available sites on an existing housing project with un-allocated sites). It is expected that this response could be provided to a significant proportion of all settlements (in the region of 30% to 40% of them) within the short term (i.e. within the next 5yrs) if the necessary grant pre-conditions were put in place and if it were pursued with vigor.

1.4. Planning and Delivery of a FULL UPGRADE

A full upgrade (i.e. full services, top-structures and tenure) should be provided to those settlements which have been prioritized for this high level of short term investment and where the other pre-conditions are already in place (e.g. available funding, land, bulk services etc). It is noted that the provision of permanent engineering services may be provided as an incremental first phase of full upgrading. Where there is a scarcity of suitable and available land (e.g. within eThekweni) then careful consideration should be given to maximizing housing densities, principally through the use of double-storey attached top-structures and partially pedestrianised town-planning layouts. Given the high costs and protracted timeframes associated with full upgrading it is expected that this will only be an appropriate response for a small proportion of all settlements (in the region of 10%) within the short term (i.e. within the next 5yrs).

1.5. RELOCATIONS

Relocation should be seen as a last resort for those settlements not only un-viable for long term upgrading but ALSO where there is also a *pressing imperative for relocation* (i.e. imminent threat or risk due to such factors as flooding, slope instability or exposure to toxic waste) as well as an available relocations destination (either an emergency transit facility or an existing housing project with un-allocated sites). Given the difficulties associated with relocations and the protracted timeframes associated with the development of green-fields housing projects, it is expected that that this response will only only be an appropriate response for a small proportion of all settlements (in the region of 5% to 10%) within the short term (i.e. within the next 5yrs). It is emphasized that, whilst the relocations destination may offer better access to basic services and shelter, it may also bring about unintended negative impacts on relocatees, usually resulting from the change in locality and unintended consequential impacts on their livelihoods and survival strategies (e.g. in terms of access to employment, informal income generating activities, jobs, and schools or else disruption of existing social networks).

1.6. LAND IDENTIFICATION AND ACQUISITION

This needs to focus on both land which is already settled as well as potential green-fields sites. It must be remembered that the process of land acquisition is an inherently slow process (usually taking anywhere between a years and four years) and that Municipalities therefore need to plan ahead

accordingly. The following are suggested as the main categories of land which a Municipality may target for acquisition. These would also constitute the main reasons for a municipality wanting to plan for acquire land:

- *Relocations destinations for full housing delivery* (full services, top-structures and tenure).
- *Relocations destinations for transit camps*
- *Strategic acquisitions to 'get ahead of the housing problem'*: I.e. 'banking' land for future projects such as the development of new suburbs or residential precincts in areas of current of projected urban expansion.
- *Serviced land release*: Acquiring land (either settled or green-fields) with the intention of doing basic planning, installing interim basic infrastructural services and making it available to residents of informal settlements or new arrivals in the city/town.

1.7. SERVICED LAND RELEASE

Whilst this is not yet a mainstream / operational programme of government, this is expected to be a response which will receive increasing attention in the years to come. It is already implicit in the provision of interim basic services and its intention is clearly manifest in the DRDLR's SLAG grant mechanism. It is usually assumed that some form of functional tenure will accompany this response. There is also a national 'Land First' movement facilitated by Afesis Corplan which is actively promoting this as an necessary developmental response (refer to <http://www.afesis.org.za/About-LANDfirst/> for more information).

2. Non housing responses

It is critical that informal settlement upgrading is not only focused on housing and related basic infrastructure (relating to water, sanitation, road access, and electricity). In order to enable more integrated and sustainable development other developmental issues need to be addressed and other sectors / spheres of government involved. Communities also need to be more fully involved in the developmental process to meet these ends (e.g. utilizing participative and livelihoods approaches). The role of effective community engagement and up-front assessment of a community in order to better understand the issues, needs, social capital, livelihoods and survival strategies of residents, and settlement formation– need to consider IS in context – ensure not.

KZN DoHS funding during the preparation and planning stages plays a pivotal role in enabling such involvement and participation through appropriate facilitation and planning activities (refer also to the toolkits and summary scopes of work contained in the PPT Informal Settlement Upgrading Toolkit 10).

Some of the critical responses over and above those relating to basic infrastructural services, housing and tenure are:

- basic non-infrastructural services (e.g. fire protection, solid waste removal);
- social facilities (e.g. education & health care);
- livelihoods issues (e.g. food security, HIV AIDS, income generating activities);
- job creation and local economic development.

August 2011

S:\PPT CURRENT FILES\PROGRAMS\REPLICABLE MODELS\Informal Settlement Responses\PPT INFORMAL PACKS COPYRIGHT OF PPT4. PPT SOW Participative Community Action Plan Rollout r3 combo.doc

PPT Scope of Work: Rollout of Participative Community Action Planning (PCAP) at Municipal Scale

© *Project Preparation Trust of KZN (2010)*
(Refer also to attached Gantt Schedule)

1. Overall Objectives

- 1.1. Identify and meaningfully address the most critical poverty challenges within informal settlement communities.
- 1.2. Strengthen local assets, resources and activities.
- 1.3. Focus and optimize City's interventions and investments in communities (multi-sectoral).
- 1.4. Improve communication & co-operation between communities and City around a development agenda.
- 1.5. Build expanded and enhanced facilitation capacity.

2. Overall Scope of Work (Summary)

2.1. Programme Setup

- 2.1.1. Establish understanding and buyin within the City in respect of PCAP and livelihoods approach via internal workshops.
- 2.1.2. Establish programme steering committee (SC) with representatives of key relevant Departments.
- 2.1.3. Appoint programme manager / co-ordinator (PM).
- 2.1.4. Agree / confirm purpose and scope of PCAP.
- 2.1.5. Agree internal communication protocols (e.g. between SC and key Departments).
- 2.1.6. Procurement: a) agree / confirm scope of work and skills required for PCAP; b) procure necessary outsourced facilitation capacity (e.g. framework contract).
- 2.1.7. Induction / orientation of procured service providers.
- 2.1.8. Desktop assessment of all areas where informal settlement is located and definition of functional sub-zones / planning precincts (should preferably be as for participative LED planning).

2.2. Expanded Pilot Phase

- 2.2.1. Identify settlements for pilot phase (at least ten in number in a large Metro).
- 2.2.2. Issue task orders for service providers to undertake precinct profiles and PCAP for identified settlements.
- 2.2.3. Implementation of PCAP in targeted informal settlements (refer to section 3 for scope of work).
- 2.2.4. Feedback of PCAP results to SC, especially in respect of action implications for City.
- 2.2.5. Communication / feedback to key responsible Departments.
- 2.2.6. Monitoring of follow through by Departments by SC via PM.
- 2.2.7. Review of impact / effectiveness and recommendations on refinements to process by PM.
- 2.2.8. Decision by SC on process refinements.

2.2.9. Feedback workshops within City as to outcomes, learning and programme implications of PCAP for future 'delivery'.

2.3. Expanded Rollout

2.3.1. Develop time-table for up-scaled rollout taking into consideration housing, interim services infrastructure and other City programmes by PM. This needs to prioritise settlements for successive phases of implementation of PCAP (e.g. 40 settlements per phase in a large Metro).

2.3.2. Implement rollout plan.

2.3.3. Continue feedback and learning via SC and City learning workshops.

3. **Scope of Work for PCAP at Informal Settlement Level**

(Responsibility of appointed service providers)

3.1. Inputs / scope of work:

3.1.1. SETUP: Establish communications with local community leadership. By means of an initial community meeting / workshop: a) sensitize the community as to the objectives and nature of the livelihoods approach, the participative action plans, and the intended delivery of interim services b) obtain community buy-in; c) identify key issues in terms of needs, vulnerabilities, local assets (especially human capital), and existing activities.

3.1.2. PARTICIPATIVE WORKSHOP TO IDENTIFY KEY SECTORS: By means of an initial participative workshop, assist local residents to identify key 'sectors' / areas of need such as: basic infrastructure, fire protection, special needs (e.g. home based care), creches informal enterprise, urban agriculture, solid waste disposal etc. Typically there will be local groupings with particular interests in these 'sectors'.

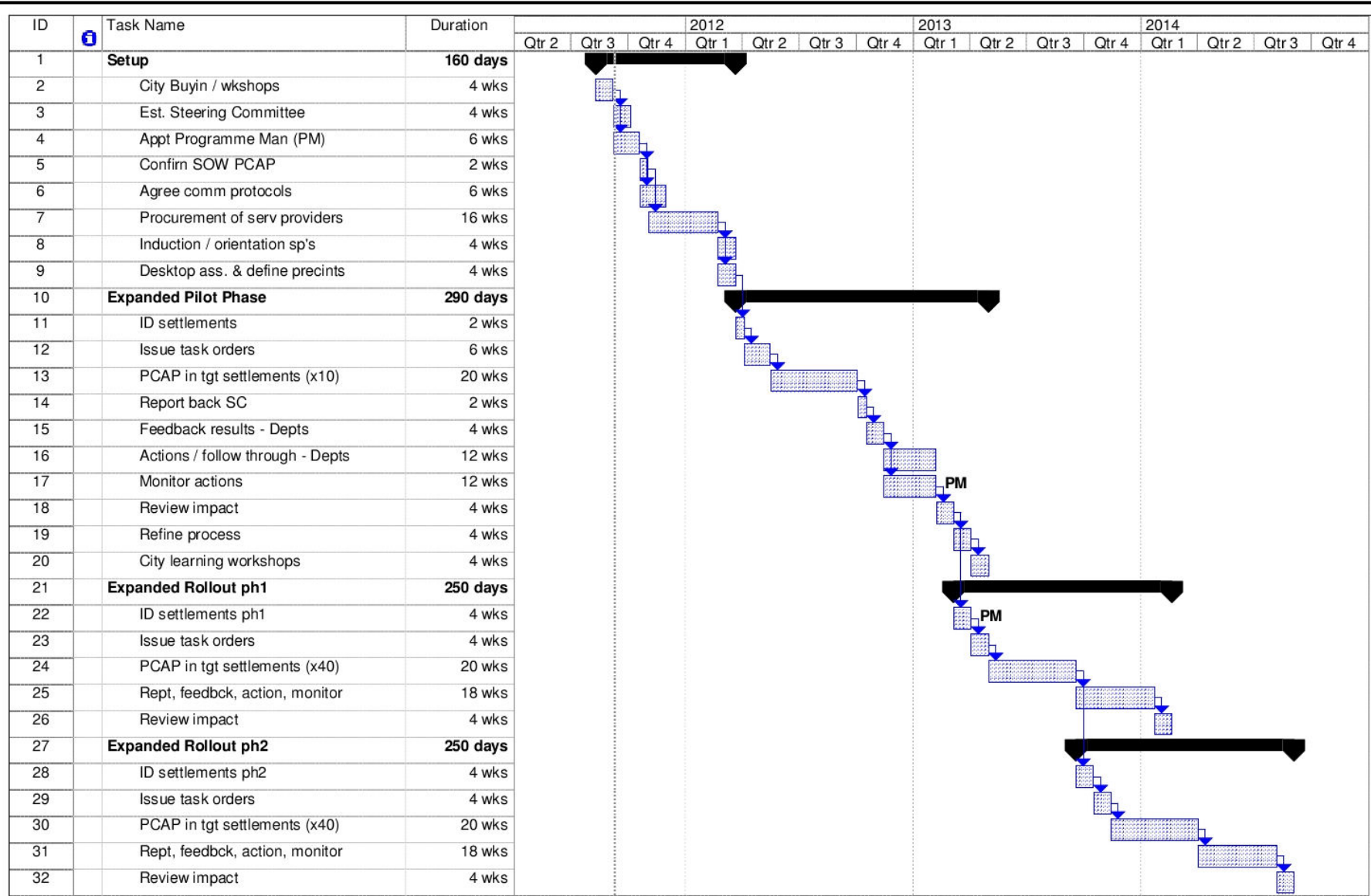
3.1.3. PARTICIPATIVE ACTION PLANNING WORKSHOPS: By means of a series of follow up participative workshops / mini-workshops in the prioritized 'sectors' (typically one mini-workshop per 'sector'), assist participants to define a simple plan of action which clearly defines: a) key community roles and responsibilities (i.e. what local people can do to support / enable / maximize these investments¹ as well as what additional community actions independent from government investment can be taken); b) key external actions or support by government or other actions which could assist (e.g. investment, training, information and knowledge resources, extension officers, infrastructure etc). One of these sector plans needs to identify (potential) priority basic infrastructure interventions for further assessment and consideration. It is desirable that personnel from the Municipality's infrastructure department participate in the participative sector workshop on infrastructure.

3.1.4. FOLLOW UP SUPPORT ON ACTION PLANS: Where necessary facilitate meetings / interactions with key Municipal or other Government Departments / officials in respect of the plans and where necessary / appropriate amend / update the plans. Undertake follow up interactions / mini workshops to support local people in following through on plans, identifying and resolving obstacles, and implementing them.

3.2. Outputs: Short process report on the above stages. Practical action plans for identified sectors, including one focusing on (potential) basic infrastructure. Attendance registers.

3.3. Human resource requirements: Experienced facilitator with livelihoods experience.

3.4. Budgetary requirements: R40,000 to R50,000 per settlement (between 10 and 20 days of the facilitator's time - presumed daily rate ranging from R2,400 to R4,000).



Gantt Schedule: Participative Community Action Planning Rollout at City Scale

January 2011

S:\PPT CURRENT FILES\PROGRAMS\REPLICABLE MODELS\Informal Settlement Responses\PPT INFORMAL PACKS COPYRIGHT OF PPT\5. PPT SOW for Participative LED Plan Rollout r2.doc

PPT Scope of Work: Rollout of Participative (Local) Economic Action Plans (PEAP) at Municipal Scale

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.

1. Overall Objectives at City Level

The overall objective is empowering local economic action plans which:

- build on local assets and resources
- can be implemented locally with limited outside intervention and support
- create a more enabling environment for both formal and informal economies
- do not rely primarily on the City to drive and fund (avoid dependency)
- maximize local enterprise & employment opportunities arising from public sector investments
- build local LED professional expertise and capacity
- are a replicable and scale-able.

2. Objectives / principles at precinct / settlement level

- 2.1. Promote a demand-led as opposed to supply-led economic development process which builds on and empowers local economic actors, encourages them to take the lead in planning and taking action, and which thereby promotes sustainability instead of dependency.
- 2.2. Mobilise and empower local economic stakeholders by means of improved knowledge and economic / enterprise relationships (including those stakeholders from both the formal and informal economy, but with a particular focus on the latter).
- 2.3. Assess and understand the local economy by means of a participative process.
- 2.4. Facilitate the formulation of practical, locally generated action plans by local people which can be taken forward by them.
- 2.5. Focus at all levels of the economy including: survivalist, micro-enterprise, small and medium enterprise, and industry (both formal and informal economies).
- 2.6. Facilitate broad-based participation (including the local community, local institutions and organizations, local and district municipality, the private sector, financial institutions etc).

- 2.7. Facilitate potential linkages between local informal economic actors, the established business, and other relevant stakeholders (e.g. financial institutions, funders, relevant government programmes etc).

3. **Overall Scope of Work (Summary)**

3.1. Programme Setup

- 3.1.1. Establish understanding and buyin within the City in respect of PEAP approach via internal workshops.
- 3.1.2. Establish programme steering committee (SC) with representatives of key relevant Departments.
- 3.1.3. Appoint programme manager / co-ordinator (PM).
- 3.1.4. Agree / confirm purpose and scope of PEAP.
- 3.1.5. Agree internal communication protocols (e.g. between SC and key Departments).
- 3.1.6. Procurement: a) agree / confirm scope of work and skills required for PEAP; b) procure necessary outsourced LED facilitation capacity (e.g. framework contract).
- 3.1.7. Induction / orientation of procured service providers.
- 3.1.8. Desktop assessment of all areas where informal settlement is located and definition of functional sub-zones / planning precincts (should preferably be as for participative LED planning).

3.2. Expanded Pilot Phase

- 3.2.1. Identify settlements for pilot phase (at least ten in number in a large Metro).
- 3.2.2. Issue task orders for service providers to undertake precinct profiles and PEAP for identified settlements.
- 3.2.3. Implementation of PEAP in targeted informal settlements (refer to section 3 for scope of work).
- 3.2.4. Feedback of PEAP results to SC, especially in respect of action implications for City.
- 3.2.5. Communication / feedback to key responsible Departments.
- 3.2.6. Monitoring of follow through by Departments by SC via PM.
- 3.2.7. Review of impact / effectiveness and recommendations on refinements to process by PM.
- 3.2.8. Decision by SC on process refinements.
- 3.2.9. Feedback workshops within City as to outcomes, learning and programme implications of PEAP for future 'delivery'.

3.3. Expanded Rollout

- 3.3.1. Develop time-table for up-scaled rollout taking into consideration housing, interim services infrastructure and other City programmes by PM. This needs to prioritise settlements for successive phases of implementation of PEAP (e.g. 40 settlements per phase in a large Metro).
- 3.3.2. Implement rollout plan.
- 3.3.3. Continue feedback and learning via SC and City learning workshops.

4. **Scope of Work for PEAP at Informal Settlement / Precinct Level**

(Responsibility of appointed service providers)

NOTE: Service providers should have an understanding of and utilize key selected principles from the following well known development frameworks: a) PACA (Participatory Process for Competitive Advantage); b) ABC (Asset Based Community Development); c) SL (Sustainable Livelihoods). They should play a strictly facilitative and non-interventionist role, creating an enabling environment within which local actors themselves can learn, explore and act.

4.1. Desktop local economic assessment:

The main purpose of this stage is to obtain base information to assist with the subsequent stages by means of desktop work.

- 4.1.1. Review existing LED documents and data to identify existing and potential economic activities and role players. This includes identifying existing LED strategies and initiatives for the areas, including those arising from IDP's, government programmes, and NGO / donor programmes.
- 4.1.2. Summarise key findings including implications for the focus and emphasis of the participatory planning process to follow.
- 4.1.3. Commence mapping of institutions / organisations already involved in the areas, including local grassroots institutions / organizations (with the participation of the other LEAP team members). This process will be continued in the subsequent stage.
- 4.1.4. Provide feedback the Project Manager (PM) / Project Steering Committee (SC) and other team members.

4.2. Preparation and initial engagement

The main purpose of this stage is to identify and mobilize local LED roleplayers ahead of the next stage of the project by means of direct interactions with local role-players.

- 4.2.1. Undertake site visits to the targeted areas.
- 4.2.2. Continue the institutional mapping commenced above and invite support institutions to attend relevant workshop sessions as appropriate.
- 4.2.3. Identify and mobilize key role-players within the local economy as well as any support organisations that exist in respect of participating in mini-workshops and interviews during the next stage.
- 4.2.4. Identify and brief the main 'gatekeepers' such as councilors, amakosi, local and district municipal officials, existing NGOs, etc.
- 4.2.5. Provide feedback and reports to the PM and SC.

4.3. Information gathering and planning (via participative assessment workshops)

The purpose of this stage is to collect information and where possible to do so in a way that enables participants to learn from each other and 'discover things together'. It also offers an opportunity to identify role-players or institutions that may not have been identified so far.

- 4.3.1. Arrange a workshop event to launch the process to which local role-players and participants are invited.
- 4.3.2. Undertake a series of participative workshops, mini-workshops and interviews in each area which, amongst other things, identify obstacles to growing and starting an enterprise and consider what local people could do address some of them by acting together.
- 4.3.3. If possible, train and utilize local community representatives as part of process (eg: as fieldworkers and / or local co-ordinators). *Note: Should you elect to make use of local field workers / co-ordinators on a paid basis then you are required to liaise with PPT in advance as to the availability of budgets for basic stipends).*
- 4.3.4. Identify and comment on the entrepreneurial skills that exist within the area.
- 4.3.5. Provide feedback where necessary to PPT, SaveAct and other members of the LEAP team to assist in the process design for other project activities (eg: via periodic emails)¹.

4.4. Analysis of findings & formation of draft action plans

The main purpose of this stage is for the project team to produce draft action plans based on the information and findings from the previous stage.

- 4.4.1. Review and analysis of information and findings flowing from the previous stage by the participatory planning team and formulation of draft action plans (these should be initiatives / activities that people will want to get involved with, that make use of readily available resources and that yield at least some tangible results in 3-6 months).

4.5. Feedback and action planning event

The main purpose of this stage is to inform local stakeholders of the information obtained, and to draft action plans, agree action items, and form action teams.

- 4.5.1. Facilitate a feedback event (workshop) at which key findings and proposals are presented to all interviewees, mini-workshop participants and support institutions. This needs to include the following elements:
 - Presentation of results of previous stage and draft action plans presented and acquisition of feedback / amendments.
 - Introduction by possible resource organisations - including other LEAP participants - and during a break in proceedings offer information on how they might support local initiatives by means of an "information fair".
 - Facilitation of agreement on priorities for action².
 - Facilitation of action teams around specific proposals. *Note: Where necessary, additional brief "way forward" workshops might be required.*

¹ It being noted that the design of other project activities will in part be informed by the findings of this process and that most other project activities commence *prior* to the finalization of the participative action plans.

² These actions might include the setup of information sharing opportunities or an "information fair" where various service providers and entrepreneurs can present themselves and exchange information.

4.6. Action mentorship

Note: The main purpose of this stage is to provide support to local people in order to enable them to take responsibility for managing their own initiatives. Occasional facilitation over a period of six months or so can add considerable value in building the capacity and confidence of action teams. It is at this stage that the participative process has the potential to link most strongly with the other elements of the LEAP programme (eg: action teams may be formed to organise business skills or permaculture training).

4.6.1. Provide *ad hoc* support to participants in implementing action plans and in facilitating linkages between the PEAP process and other elements of the programme (synergies identified).

4.7. Reporting: You should complete a short progress report (one for each target area) on the completion of 3.2 and 3.3 above (the latter being a project closeout report). Your reports should contain the following:

4.7.1. In respect of *local economic development issues*:

- Main difficulties / challenges encountered and how they were either rectified / addressed.
- Main successes as well as and synergies between project components achieved.
- Lessons learned and future improvements that could be made.
- Any additional development opportunities / key issues that may have arisen³.
- Your final report should also encapsulate the action plans formulated, key findings and recommendations from the team.

4.7.2. In respect of *record keeping and monitoring*:

- Progress against result indicators (both those specified in overall project logframe as well as those contained in the M&E framework for this component of the project which might be more detailed).
- A record of project activities undertaken.
- Minutes / records of meetings and workshops.
- Signed attendance registers of workshops and meetings.
- Photographs of project activities (eg: workshops, draw cards) and of local economic activities where available / relevant.
- Names and contact details of individuals and organizations engaged with.

4.8. Inputs / scope of work:

4.8.1. SETUP: Establish communications with local community leadership. By means of an initial community meeting / workshop: a) sensitize the community as to the objectives and nature of the livelihoods approach, the participative action plans, and the intended delivery of

³ Eg: Any additional catalytic / strategic LED actions falling beyond the scope of the above actions plans for action by other parties such as local or provincial government.

interim services b) obtain community buyin; c) identify key issues in terms of needs, vulnerabilities, local assets (especially human capital), and existing activities.

4.8.2. **PARTICIPATIVE WORKSHOP TO IDENTIFY KEY SECTORS:** By means of an initial participative workshop, assist local residents to identify key 'sectors' / areas of need such as: basic infrastructure, fire protection, special needs (e.g. home based care), creches informal enterprise, urban agriculture, solid waste disposal etc. Typically there will be local groupings with particular interests in these 'sectors'.

4.8.3. **PARTICIPATIVE ACTION PLANNING WORKSHOPS:** By means of a series of follow up participative workshops / mini-workshops in the prioritized 'sectors' (typically one mini-workshop per 'sector'), assist participants to define a simple plan of action which clearly defines: a) key community roles and responsibilities (i.e. what local people can do to support / enable / maximize these investments⁴ as well as what additional community actions independent from government investment can be taken); b) key external actions or support by government or other actions which could assist (e.g. investment, training, information and knowledge resources, extension officers, infrastructure etc). One of these sector plans needs to identify (potential) priority basic infrastructure interventions for further assessment and consideration. It is desirable that personnel from the Municipality's infrastructure department participate in the participative sector workshop on infrastructure.

4.8.4. **FOLLOW UP SUPPORT ON ACTION PLANS:** Where necessary facilitate meetings / interactions with key Municipal or other Government Departments / officials in respect of the plans and where necessary / appropriate amend / update the plans. Undertake follow up interactions / mini workshops to support local people in following through on plans, identifying and resolving obstacles, and implementing them.

4.9. **Outputs:** Short process report on the above stages. Practical action plans for identified sectors, including one focusing on (potential) basic infrastructure. Attendance registers.

4.10. **Human resource requirements:** Experienced facilitator with livelihoods experience.

4.11. **Budgetary requirements:** R40,000 to R50,000 per settlement (between 10 and 20 days of the facilitator's time - presumed daily rate ranging from R2,400 to R4,000).

5. **Scope of Work**

Please note that, in executing the scope of work outlined below, the appointed service provider is required to:

- *Work in consultation with the Project Manager and any other members of the project team.*
- *Work closely with local community structures and representatives of the local municipalities and relevant government departments where required.*
- *Ensure that project activities strengthen and support existing grassroots organizations and local institutions where they exist.*
- *Attend project team meetings when required (these will usually occur every two months).*
- *Ensure that EU Gijima and NDA requirements are addressed in respect of a) branding and visibility; b) procurement – information in this regard must be obtained from PPT.*

Annexure A: PPT-Prepared Preliminary Concept in Powerpoint Format

Participative Local Economic Development Plans:

eThekwini Municipality

April 2011

Main Objectives

Facilitate empowering LED plans which:

- build on local assets and resources
- can be implemented locally with limited outside intervention and support
- create a more enabling environment for both formal and informal economies
- do not rely primarily on the City to drive and fund (avoid dependency)
- maximize local enterprise & employment opportunities arising from public sector investments
- build local LED professional expertise and capacity
- are a replicable and scale-able approach not just for eThekwini but elsewhere

A Ground-Breaking Opportunity

- Ground-breaking opportunity for eThekwini to demonstrate for the 1st time via a substantial and systematic City-wide programme how good LED practice can be successfully applied.
- Given the positioning and credibility of eThekwini, the potential for this to bring about a significant change in the national change approach should be appreciated (refer to recent 'replicating' success of Interim Services Programme)

International Good Practice & Pre-requisites

- Move to a different 'mode' of LED which is not primarily about projects and government funding but about creating a more enabling environment for local LED actors to 'do it for themselves'
- Strong focus on local participation and locally driven processes
- Local actors are empowered to make decisions through a facilitated process
- Ongoing process over a year or more (vs a once off intervention)

Detailed Scope: Sub-Zone level - development of participative local economic development plans

- Inception workshop(s) to create understanding of the purpose of the participative LED planning process, roles and responsibilities, what it is not
- Sector / issue / group definition workshop(s) to identify key groups of stakeholders who can be engaged in more detail around specific issues or 'sectors' (e.g. small scale informal retail; fresh produce producers; local contractors etc)
- Participative sector / theme planning workshops - usually at least two required:
 - First for probing issues, role-players, and possibilities (people discover and understand local assets and opportunities for themselves through a facilitated process)
 - Second to define practical actions which can be taken; define roles and responsibilities (chiefly focusing on what local actors can do for themselves and in concert with each other - but also potentially helping to guide eThekweni and other strategic investments and how to include local enterprise / skills / labor in related procurements)

Detailed Scope: Sub-Zone level - development of participative local economic development plans (continued)

- Follow through support / mentorship / coaching for local stakeholders in implementing plans (monitor progress, local actors understand problems and solve them, feedback, where appropriate play facilitative role in overcoming challenges)
- Local empowerment – capacitate and empower local people / actors (formal and informal) – essential as part of the above

Detailed Scope: Zone Level – Building LED Capacity

- Identify and capacitate local 'champions' as part of the process; build their capacity through mix of training and mentorship / coaching to play active local co-ordinating and problem solving role
- Build local institutional support – e.g. association of informal traders or local small veg. growers etc
- Capacitate and empower people in existing leadership positions (e.g. Tourism Association, informal trader etc)
- Build municipal LED capacity - identify a few existing municipal personnel or if none available then recruit from local areas to learn to become LED facilitators – bear in mind that this is an ongoing process

Detailed Scope: Learning & Feedback Loop

- Review
- Make improvements
- Disseminate learning / precedent including to other Metros and Municipalities

Precedent for the Approach

- S.A – growing precedent:
 - PPT– successful Participative Action Plans and LED extension work in many localities
 - LED Network (SALGA-hosted)
 - Aspire Amatola Development Agency (E London)
 - Inner city PE
 - International:
 - New Zealand example – Community Employment Group successful in 80's and into 90's in reducing unemployment
 - ABCD Institute in US;
 - SEWA in India;
 - Coady Institute approach applied in India.
- ...Yet in SA we often persist in doing LED the 'wrong way'

Detailed Scope: Programme level - Setup

- Orientation workshops with key municipal personnel and selected LED practitioners to build consensus on the approach, exchange ideas, better understand such key issues as 'what is LED' and 'how does one work with and support the informal economy
- Establish municipal level Steering Committee – high level structure (e.g. meets every two months to monitor progress)
- Assign municipal project manager with access to advisory support
- Consider establishing a reference group
- Develop procurement and human resource strategy (e.g. one team per zone vs panel of LED practitioners; in house existing eThekweni personnel and / or local community facilitators who can be mentored and capacitated)
- Consider donor co-funding potential
- Procure for 6 pilot zones

Detailed Scope: Programme Level – Knowledge Exchange

- International - bring in experts / practitioners from outside for knowledge exchanges (see above)
- SA LED network now hosted by SALGA
- Durban Chamber of Business
- etc

Detailed Scope: Zone Level – Desktop Appraisals & Identification of Optimal 'Points of Entry'

- Desktop appraisal and site visits to map: existing economic activities; economic hubs; key elements of IDP / local strategies and spatial plans which are relevant
- Division of each zone into workable / functional / manageable geographic LED planning units / pre-cincts based on local economies / where people have things in common (a zone is too big as a single LED planning unit)
- Local stakeholder identification - main sectors, local actors
- Identify starting points for initiation (those LED planning units most 'ready' / opportune).

International Good Practice & Prerequisites (continued)

- Move away from supply orientated top down approach to demand orientated bottom up approach
- Respect local decisions / choices even when unexpected
- Resist historical expectations for the City to 'just do it for us'
- Avoid offers of public investment early in the process as it creates 'distortions'

Key International Tools & Frameworks

- ABCD = Asset Based Community Development
- PACA = Participative Appraisal of Competitive Advantage
- SL = Sustainable Livelihoods

Summary Scope – Main Elements

- Programme level - setup including knowledge exchanges
- Zone level - desktop appraisals & identification of optimal 'points of entry'
- Sub-Zone / precinct level - development of participative LED plans focusing on both formal and informal economy
- Zone level – building LED capacity
- Learning and feedback loop

Time-frames

Ideal to programme over two to three years with bulk of work in phase 1, limited follow through in subsequent years.

- Year 1: Programme setup, zone level assessments and 'entry', precinct level participative LED action plans, commence with implementation of plans, active follow through, build local LED capacity
- Year 2 / 3: Mentoring and problem solving w.r.t. implementation of plans, monitoring, impact evaluation, learning & feedback

Annexure B: Summary PPT Profile

For more information please refer to www.pptrust.org.za or to PPT's Organisational Brochure

Core Function

Project Preparation Trust of KwaZulu Natal is an independent public interest organization with more than 17 years experience in the preparation of a range of developmental projects for disadvantaged communities and in mobilizing capital funding and other resources for them. PPT has a particular focus on the poorest of the poor and those in special need such as people residing in highly marginalized rural communities or urban informal settlements, vulnerable children, or those affected by HIV/AIDS. In many instances the projects with which PPT is involved are innovative pilots, which test new and improved development solutions and approaches. PPT was registered with the Master of High Court in 1993, the year before the election of South Africa's first democratic government. PPT is a registered not-for-profit organization.

Programme Focus

PPT is involved in a range of mutually supporting developmental programmes and wherever possible pursues a holistic and integrated approach:

- *Economic development, sustainable livelihoods and poverty alleviation* - including training and support for micro-entrepreneurs, participative local economic action planning, food gardens, and fruit tree planting.
- *Low income housing* – at scale and including settlement planning and related infrastructure.
- *Infrastructure* - basic infrastructure (e.g. water supply, sanitation, road access) as well as bulk infrastructure (e.g. water & sewer mains, sewer & water treatment upgrades)
- *Informal settlement upgrading* – full upgrading (full services, housing & title) or interim basic services (e.g. rudimentary water supply, sanitation, access roads, solid waste disposal).
- *Special needs housing and HIV/AIDS relief* – such as community care homes for orphans and vulnerable children and accommodation for the chronically ill or those with disabilities.
- *Integrated development planning* at the local level.
- *Sustainable energies* – appropriate energy products for poor households such as small photovoltaic systems, solar water heaters, gel fuel, small wind turbines and solar cookers.
- *Skills transfer and capacity building* - including the transfer of project preparation skills to government and the capacitation of grassroots organizations.

- *Policy and strategy work* – typically provided to various spheres of government to create more conducive conditions for development and informed by PPT’s extensive project-level experience.

Impact and Achievements

Capital leveraged: The projects PPT has prepared have resulted in R1.24 billion in capital funding being leveraged for over 65,000 disadvantaged households in 140 pro-poor development projects. The projects include housing and infrastructure, special needs housing and HIV/AIDS relief, pro-poor local economic development, sustainable energies and capacity building and skills transfer.

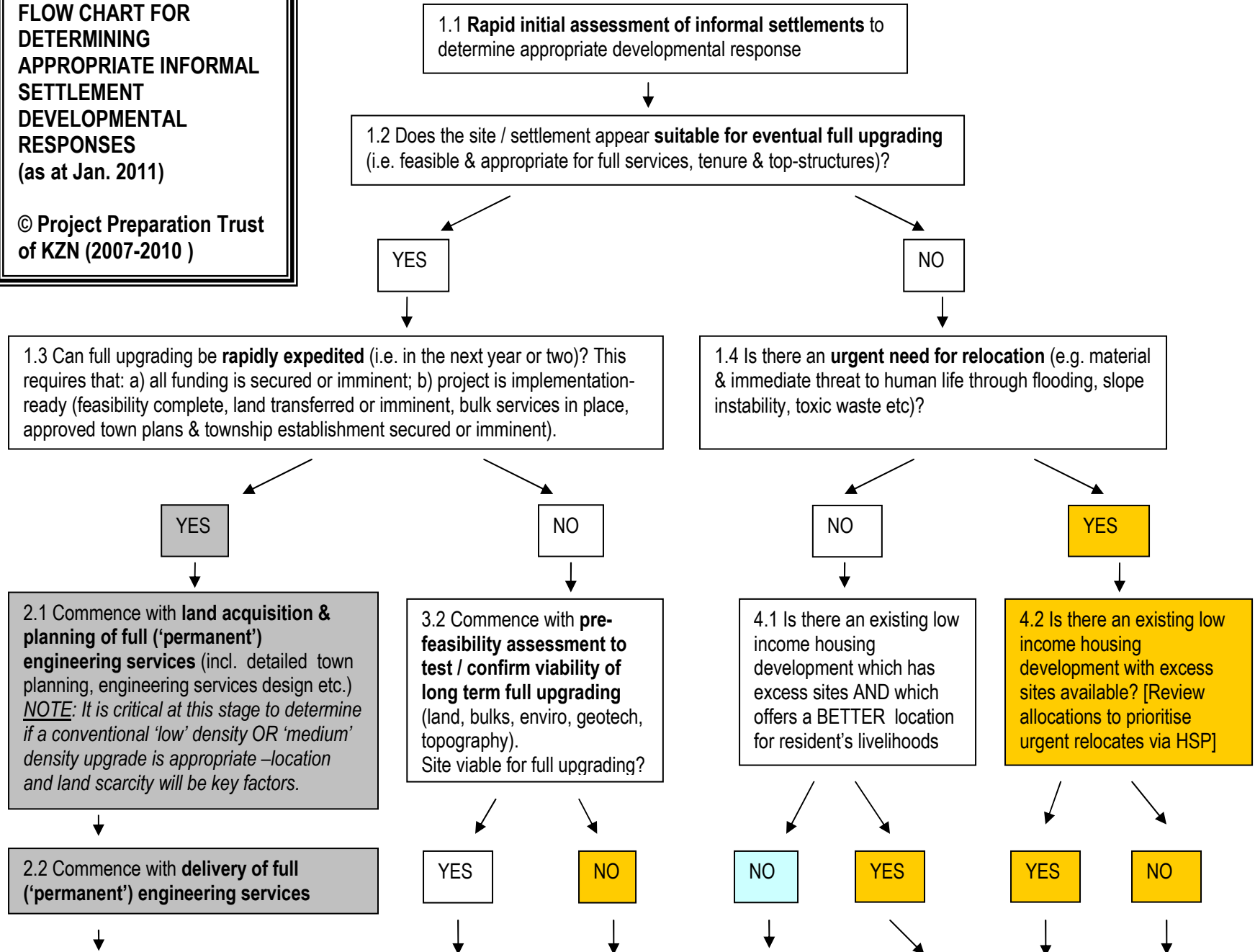
Projects under preparation: PPT is currently preparing 160 projects benefiting over 220,000 households with a projected capital value of R1.68 billion.

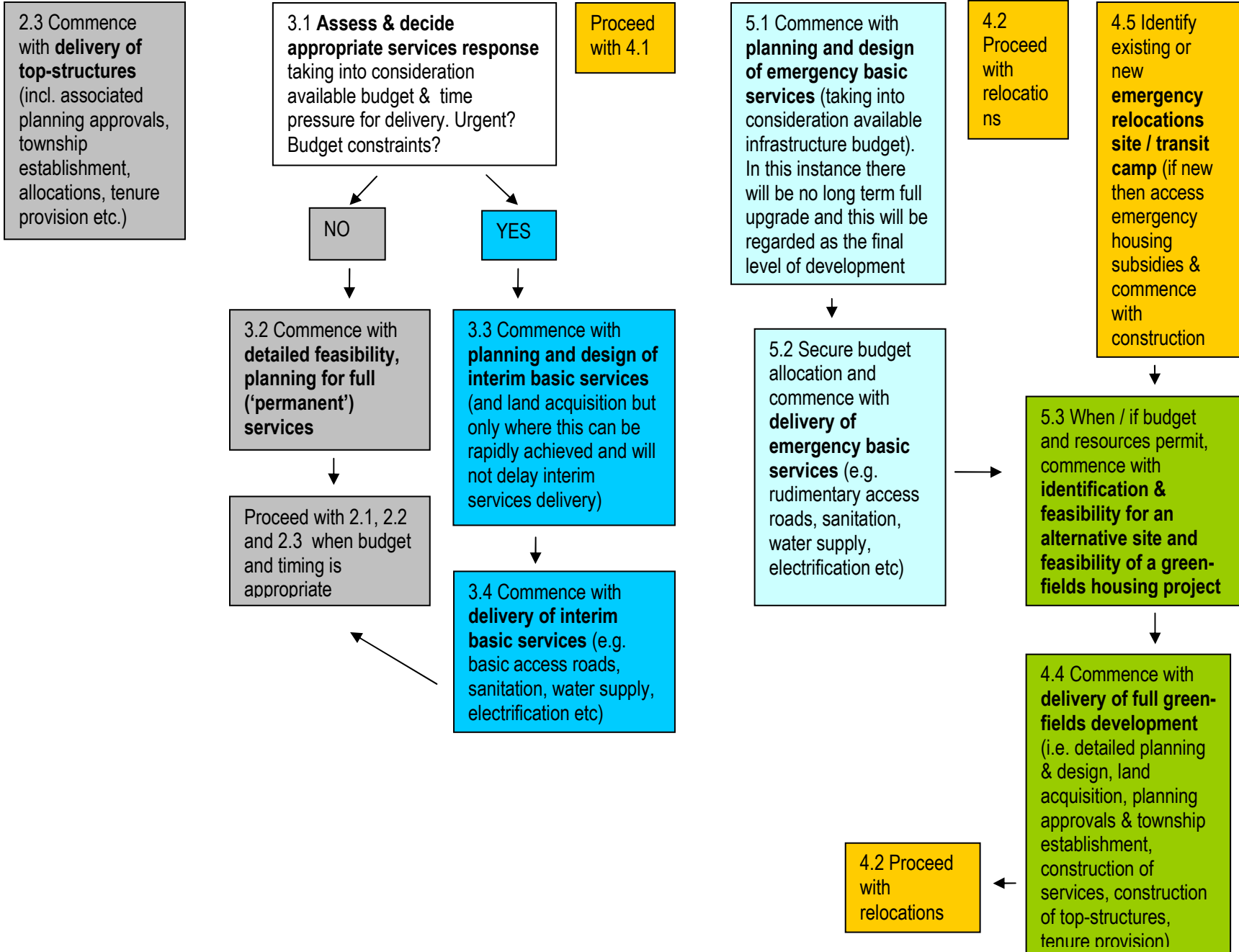
Gearing: The effectiveness of PPT's focus on project preparation is evident in the high gearing it achieves on both its operating overheads and the preparation funds utilized when measured against the capital leveraged. There is also additional and un-quantified gearing which relates to such benefits as improvements in people's quality of life, livelihoods, income generation and operating funds flowing into projects.

Services

PPT operates primarily as a management core which assists its community, government and donor clients in managing project preparation in an effective, systematic and participative manner. This typically includes managing project funding, assessing and pre-screening candidate projects, briefing and managing professional project teams (whether private sector or NGO based), ensuring broad stakeholder participation and troubleshooting to resolve challenges. In capital intensive projects this typically also includes managing pre-feasibility and feasibility studies and submitting and following through on applications for implementation funding. In executing these services, PPT ensures the support and participation of all key stakeholders including the beneficiary community, local municipality, key government departments, and project funders. PPT also provides selective training, capacity building and policy services.

FLOW CHART FOR DETERMINING APPROPRIATE INFORMAL SETTLEMENT DEVELOPMENTAL RESPONSES (as at Jan. 2011)
 © Project Preparation Trust of KZN (2007-2010)







FULL UPGRADING & PERMANENT ENGINEERING SERVICES	INTERIM BASIC SERVICES	EMERGENCY BASIC SERVICES	RELOCATIONS &
			GREENFIELDS PROJECTS
APPROX. 10% OF DELIVERY RESPONSE BY HH	APPROX. 30% OF DELIVERY RESPONSE BY HH	APPROX. 50% OF DELIVERY RESPONSE BY HH	APPROX. 10% OF DELIVERY RESPONSE BY HH
APPROX. 30% OF DELIVERY RESPONSE BY BUDGET	APPROX 30% OF DELIVERY RESPONSE BY BUDGET	APPROX 30% OF DELIVERY RESPONSE BY BUDGET	APPROX 10% OF DELIVERY RESPONSE BY BUDGET
DEPTH RESPONSE (QUALITATIVE & COSTLY)	BREADTH RESPONSE WHICH LAYS PLATFORM FOR LATER DEPTH RESPONSE	BREADTH RESPONSE	DEPTH RESPONSE

S:\PPT CURRENT FILES\PROGRAMS\REPLICABLE MODELS\Informal Settlement Responses\PPT INFORMAL PACKS COPYRIGHT OF PPT\6. PPT Inf Settlement Responses Flow Chart r1.doc

Informal Settlement Developmental Responses: Project Classification Guideline



© Project Preparation Trust of KZN (2010)

It is emphasized that effective categorization and the selection of an appropriate developmental response can only occur once adequate up-front preliminary assessment work has been completed in order to obtain an adequate profile of the settlement and site in question. It is noted that, in some instances, follow up technical feasibility work may expose a previously unforeseen obstacle (e.g. unstable geotech) at which time a re-classification of such a settlement may be necessary.

	Category	Criteria	Developmental Response	Tenure	
A	<u>Imminent full upgrade</u>	<ul style="list-style-type: none"> ➤ <i>Site viable and appropriate</i> for long term upgrading (land, bulk services, topography, environmental, geotech etc. all in place). ➤ <i>Project is implementation-ready</i> (land secured or imminent, town planning approvals / township establishment secured or imminent, all project funding secured) 	Full upgrading including delivery of full infrastructural services, top-structures and tenure (including formal township establishment). Where land is scarce, promote densification. It is critical to ensure that there is integrated local spatial planning and action to enable access to key social services such as education and health care.	Individual & formal (either a title deed or locally administered alternative which is up-grade-able to full title)	<i>DEPTH RESPONSE:</i> (approx. 10% of total medium term delivery by hh ¹)
B1	<u>Interim basic services</u> (eventual full upgrade when resources and timing permit)	<ul style="list-style-type: none"> ➤ <i>Site viable and appropriate</i> for long term upgrading (land, bulk services, topography, environmental, geotech all 'Ok'). <p><i>BUT:</i></p> <ul style="list-style-type: none"> ➤ <i>Project NOT implementation ready</i> (i.e. cannot be expedited in the next year or two e.g. due to lack of available funding, land not yet secured, bulk services not yet in place). 	Interim basic engineering services appropriate to the basic needs of the settlement and conforming with long term upgrading plans / layout to avoid wasted expenditure where possible (e.g. standpipes, communal sanitation or on site sanitation, basic road access or footpaths). It is critical that this goes hand in hand with other critical service interventions such as: fire protection, solid waste removal, access to basic health and education services etc.	Collective, informal & functional (via Municipal classification & recognition)	<i>BREADTH RESPONSE:</i> (approx. 40% of total medium term delivery by hh)

B2	<u>Emergency basic services</u> (eventual relocation when time and resources permit)	<ul style="list-style-type: none"> ➤ <i>Site <u>NOT</u> viable and appropriate</i> for long term upgrading <p><i>BUT:</i></p> <ul style="list-style-type: none"> ➤ <i><u>NO</u> urgent need for relocation</i> (e.g. material and immediate threat to safety through flooding, slope instability, toxic waste exposure etc). 	Emergency basic engineering services appropriate to the basic needs of the settlement but typically to a lower level than for B1 and not needing to conform with long term upgrade layout (e.g. standpipes, on-site sanitation or 'portaloo's'). It is critical that this goes hand in hand with other critical service interventions such as: fire protection, solid waste removal, access to basic health and education services etc.	Collective & functional (via Municipal classification & recognition) – However - residents	<i>BREADTH RESPONSE:</i> (approx. 40% of total medium term delivery by hh)
C	<u>Imminent relocation</u>	<ul style="list-style-type: none"> ➤ <i>Site <u>NOT</u> viable and appropriate</i> for long term upgrading <p><i>AND:</i></p> <ul style="list-style-type: none"> ➤ <i>Urgent need for relocation</i> (e.g. material and immediate threat to safety through flooding, slope instability, toxic waste exposure etc). ➤ <i>Relocations destination available</i> (either in situ upgrade or green-fields project with unallocated sites OR site for emergency transit camp and emergency funding available from DoHS) 	No action on the site in question. Participative and consultative process required with residents including site visits to potential relocations destinations. Where the relocations destination is a temporary transit facility then a site feasibility conducted, emergency DoHS funding secured. Temporary transit facilities should only be utilized where this is unavoidable as they often pose major challenges to relocates and tend to become permanent or semi-permanent.	Not applicable – If relocations destination a housing project then as for category A; if a transit camp then or functional tenure only.	<i>DEPTH RESPONSE:</i> (approx. 10% of total medium term delivery by hh)

Factors affecting the selection of developmental responses:

The decisions that municipalities take in selecting which course of action to take in addressing the challenge posed by a particular settlement will be informed by a number of factors including:

- the availability of *budget* for housing, land and infrastructure and how soon such budget will become availability²;
- the *locational suitability* of the settlement (e.g. access to public transport, social facilities, employment etc);
- the *developability of the site* (e.g. slope, land availability, bulk service availability, geotechnical and environmental constraints etc);
- the *level of need* (poverty and relative deprivation) within the settlement.



January 2011

S:\PPT CURRENT FILES\PROGRAMS\REPLICABLE MODELS\Informal Settlement Responses\PPT INFORMAL PACKS COPYRIGHT OF PPT\8. PPT Inf Settlement Responses Tenure & Land Acquisition r2.doc

Informal Settlement Developmental Responses: Tenure & Land Acquisition

© Project Preparation Trust of KZN (2010)

1. Overview of Tenure Responses

Whilst there are a range of potential tenure options and there has been much debate on the use of alternative forms of tenure, in reality the work-able options available for a municipality are somewhat limited. The following table however provides an overview of different tenure options and their potential relevance and usefulness for informal settlement developmental responses:

Tenure 'Continuum': Relationship between Different Tenure Forms and the Developmental Responses / benefits they Could Enable:				
Form of tenure	Characteristics	Benefits conferred & appropriate developmental responses	Commentary	Viable for Delivery at Scale
1. Municipal statement of recognition ¹ (e.g. Council resolution adopting certain settlements as being 'informal settlement development areas').	'Collective' (settlement level) & unregulated ²	<ul style="list-style-type: none"> ○ <i>Confers</i>: Functional security of tenure / freedom from fear of eviction ○ <i>Enables</i>: Basic / emergency infrastructure (e.g. water, sanitation, road access). Other basic services (e.g. solid waste collection, fire protection, primary health care, education, public transport). Livelihoods responses (e.g. food security, micro enterprise development, LED, job creation). 	Enabling, cost effective and streamlined. Lays a good foundation for further tenure responses	Yes. Interim and emergency basic services
2. Informal Settlement special zone	'Collective' (settlement level) & unregulated	<ul style="list-style-type: none"> ○ <i>Confers</i>: As for '1' (Functional security of tenure / freedom from fear of eviction) ○ <i>Enables</i>: As for '1'. In addition it would provide additional security for the municipality to acquire the land in question and provide full services (provided full upgrading for the settlement is on its short term plans). 	Being piloted by City of Johannesburg. Adds an additional level of planning regularisation at additional effort and costs	No. But consider testing via pilot projects.

Increasing tenure security, difficulty, complexity & cost

¹ Such a statement would need to be informed by an assessment and categorization of informal settlements. It would need to communicate: a) that the municipality recognizes the settlements in question; b) that residents will not be relocated unless there is another housing solution provided; c) that the municipality commits to work together with the settlements in question regarding the provision of certain basic services.

² This means that the community has a right to remain in the settlement, and indeed may have the right to the provision of certain emergency services. However, no attempt is made to intervene or control at the individual tenure level, nor would such intervention be realistic or advisable at this stage.

<p>3. Community administered register³</p> <p><i>(does not require an IS zone as a pre-requisite)</i></p>	<p>Individual & informally regulated</p>	<ul style="list-style-type: none"> ○ <i>Confers:</i> Some level of tenure security to residents <u>PROVIDED</u> the local administering structure is relatively accountable and free from partisan influence ○ <i>Enables:</i> A community register may assist in various ways: <ul style="list-style-type: none"> ○ regulating uncontrolled additional influx into a settlement; ○ limiting increasing and problematic densification; ○ facilitating the allocation and re-allocation of sites. ○ enabling residents to get a letter from the municipality / ward councilor confirming their de-facto residence in the settlement, which can in turn assist in gaining access to employment, schools, and health care. 	<p>Has limited enforceability. Unlikely to be significantly supported by Municipalities. Could however be a pre-cursor to a Municipal register.</p>	<p>No. But consider testing via pilot projects where municipalities have interest.</p>
<p>4. Municipal / state administered register⁴</p> <p><i>(does not require an IS zone as a pre-requisite – but municipalities may regard this as preferable)</i></p>	<p>Individual & formally regulated</p>	<ul style="list-style-type: none"> ○ <i>Confers:</i> A high level of tenure security to residents. ○ <i>Enables:</i> A municipal register may be considered in a sufficient form of tenure for the delivery of top-structures, in which case the provision of a certificate may be provided upon request / as and when the need arises. In this case the register is a pre-cursor / intermediate step to a locally administered tenure certificate. 	<p>Has significant potential in the long term as a more flexible, cost effective and appropriate alternative to title deeds.</p>	<p>No. But consider testing via pilot projects where municipalities have interest.</p>
<p>5. Locally administered tenure certificate (e.g. Municipal certificate of</p>	<p>Individual & formally regulated</p>	<ul style="list-style-type: none"> ○ <i>Confers:</i> A very high level of tenure security to residents. ○ <i>Enables:</i> <ul style="list-style-type: none"> ○ <i>Top-structures:</i> If related DoHS policy issues can 	<p>Has significant potential in the long term as a more flexible, cost effective and appropriate</p>	<p>Yes. But needs to be tested via pilot</p>

³ NOTES: 1) In this scenario, the state does not attempt to record, regulate or control individual tenure, nor does it regard this as being necessary or functional (e.g. due to the risks of disrupting or threatening local power bases). In the event that the Municipality feels that it needs to exert such control, then a municipal register would probably be a better means of achieving this. 2) It may be an option for a municipality to recognize such a register where it and the local community structure has general community recognition (and perhaps also recognition by the ward councillor). It would however probably be unwise for the municipality to take the additional step of obtaining or utilizing the community's register because: a) this would expose the identities of residents, including illegal migrants or those involved in illegal activities, and therefore have the potential for generating conflict and fear; b) this may create the expectation of a higher level of government response (e.g. provision of a housing subsidy); c) this would tend to confer an unintended level of legitimacy or authority on the community register. 4) In cases where no register exists it may be inadvisable for the municipality to initiate or facilitate a community administered register for a range of reasons.

⁴ NOTES: 1) A key issue which the municipality needs to consider is whether or not it is functional, necessary or realistic to either: a) have a record of residents (e.g. a community register); b) go further and exercise regulation and control over individual tenure. This decision will no doubt be in large part determined by specific circumstances (both within a settlement as well as in respect of particular municipal dynamics and aspirations). 2) Locally administered" means that there is a local / area level person / office that is accessible to residents on a day-to-day basis. 3) Reasons for a municipality considering this form of individual tenure might include: a) situations where there are obvious and problematic abuses of people's functional tenure rights which cannot be tolerated; b) instances where the municipality needs to know more about individual residents (e.g. their immigrant status; whether or not they have received / are receiving other grants; gender and age profile etc); c) instances where the municipality considers it unacceptable or problematic to provide basic service delivery to non-citizens or illegal immigrants.

occupation / PTO / Deed of grant) ⁵		<p>be addressed, this should be sufficient for the delivery of top-structures (although it is considered that a local register may also suffice). It is important that certificates can be generated quickly and accurately for residents as and when necessary). This naturally imposes an additional administrative burden on the municipality.</p> <ul style="list-style-type: none"> ○ <i>Transactions</i>: More streamlined and cost effective local property transactions. May help reduce informal transactions. ○ <i>Upgrade-able</i> to full title 	alternative to title deeds.	projects where municipalities have interest.
5. Title deed	Individual & formally regulated	<ul style="list-style-type: none"> ○ <i>Confers</i>: A very high level of tenure security to residents. ○ <i>Enables</i>: Residents to raise bond finance for consolidation / extension of top-structures. Property transactions via deeds office. ○ Residents want to use their house as collateral or security. 	Poses major problems in low income communities & low income housing projects. Owners typically sell sites illegally - part due to the 5yr moratorium on selling an 'RDP' house but may also because a title deed is out of 'sync' with traditional property transactions which are undocumented but locally witnessed.	Yes – but only for full / conventional upgrading and until a more streamlined form of form tenure is in place

2. Achieving Secure Tenure

The nature of tenure provision needs to be appropriate to the level of investment and nature of the developmental response being promoted. Two broad forms of tenure are thus necessary and appropriate for the achievement of this Strategy:

2.1. Secure tenure for interim basic services

The appropriate form of minimum tenure for the delivery of interim basic services should be that of functional, settlement-level (collective) tenure (as opposed to formal and individual tenure) and specifically in the form of a municipal recognition of the settlement in question. Such recognition needs to be based on the rapid up-front assessment of settlements outlined section 1 'Overview' above. It would typically take the form of an approved municipal schedule of projects which would need to be included in the municipality's housing sector plan. This recognition means that the municipality has assessed the settlement as potentially suitable for medium to long term upgrading and that in

⁵ Consideration could be given to the local tenure registration office charging a small handling fee for formalizing property transactions.

the interim, it does will not pursue any actions aimed at eviction or relocation. Although the municipality will in most instances not (yet) own the land in question, it is implicit that it has an intention to do so and that such acquisition will take place when the timing is appropriate. Such recognition means that a settlement is no longer regarded as 'illegal' in the eyes of the municipality, even if the area has not yet been formalized. The very act of categorizing and classifying informal settlements confers a significant level of tenure security mainly through increasing the transparency of future developmental plans and reducing uncertainty over potential relocation. For example, residents of settlements categorized for full upgrading or interim services are assured that they will not be relocated except in the case of those who cannot be accommodated on the site, in which case they will be provided for on another housing project.

2.2. Secure tenure for full upgrading

The appropriate form of tenure for the delivery of a full upgrade should be that individual, formal tenure. Whilst a title deed should be regarded as the 'default' form of tenure, in the absence of any proven alternatives, efforts should nonetheless be made to encourage the testing of other more streamlined forms of individual, formal tenure via pilot alternative tenure projects. The performance criteria for such alternative tenure forms should be as follows:

- upgradeable to full title as and when the need arises,
- locally administered (e.g. by the Municipality),
- easily accessible to residents / owners,
- low or nil transaction cost,
- low administrative cost,
- provides a locally authorized certificate of ownership to the owner.

3. Land Acquisition and its Timing

As with tenure, the need for greater flexibility with respect to land acquisition and its timing is critical for the success of this Strategy. The timing of land acquisition will likewise vary depending on the nature of developmental response being promoted.

3.1. Land acquisition timing for interim basic services

Land acquisition is seldom a rapid or straightforward process and it typically a protracted process. With the exception of land which is already owned by the Municipality or where there is a private owner willing to sell (scenarios only prevailing for a small number of de-facto informal settlements), the process may take anywhere between a year and four years. This includes cases where land is owned by other spheres of government or multiple private land-owners, where there are deceased estates, where expropriation is required, or where land is the subject of restitution. In addition, land acquisition is often very costly, especially where the land in question is well located and developable. Land acquisition in many projects is so complex that it is best regarded as a project in its own right and requires dedicated

funding for the necessary professional land legal and facilitation work which is often necessary. In the case of delivering interim basic services, such protracted delays entirely undermine the core objective of providing rapid relief on the ground.

Consequently land acquisition can and should not be made an essential pre-requisite for delivering interim basic or emergency services and such flexibility becomes a critical success factor for the Strategy given that these responses are the main ones which will enable delivery at scale.

This flexibility is thus central to the overall success of informal settlement responses and without it the delivery of interim and emergency basic services will cease to be achievable rapidly and at scale, a factor which is essential in meeting the targets arising from Outcome 8.

Importantly there is established precedent in this regard in terms of eThekweni's interim services programme. eThekweni has considered the legal implications and has determined that the Municipal Ordinance confers on it the right to intercede on private land where there are health and safety imperatives, as constituted by the typical living conditions within informal settlement. There is also longstanding precedent of MIG investments in infrastructure on non-Municipal land (e.g. land owned by the Ingonyama Trust Board).

The typical concerns raised over the approach arise from the following factors: A) Legislation such as the MFMA which constrains state-funded improvements on private or non-municipal land; B) The traditional housing approach which requires land acquisition before development occurs.

Municipalities will obviously need to consider each settlement and situation on its merits but should have the flexibility to pursue a strategy which works within a particular local context.

3.2. Land acquisition timing for full upgrading

Land acquisition should remain a pre-requisite for full upgrading given the high capital investment and formal nature of the development. However, where interim services are an intermediate step towards a full upgrade, then there should be flexibility to delay land acquisition until the installation of permanent / full services and township establishment is imminent.



Last updated August 2012

S:\PPT CURRENT FILES\PROGRAMS\REPLICABLE MODELS\Informal Settlement Responses\PPT INFORMAL PACKS COPYRIGHT OF PPT9. PPT Inf Settlement Responses Appropriate Grant Instruments r4.doc

Informal Settlement Developmental Responses: Appropriate Grant Instruments (Summary)

© Project Preparation Trust of KZN (2010)

The following have emerged as being the main grant instruments which are relevant and useful in providing infrastructure, tenure and housing for informal settlements.

	Type of grant	Developmental Application	Comments
Grants which are relevant and critical for success	Upgrading of Informal Settlements Programme (UISP) grant ¹	<ul style="list-style-type: none"> ➤ Interim basic services ➤ Land acquisition ➤ Permanent services ➤ Potentially also for emergency basic services 	Problems with subsidy formula: a) interim basic services often needs to be provided <i>prior</i> to land acquisition; b) value for ph1 infrastructure insufficient. In addition its unclear if emergency basic services can be funded on sites where long term formalization is uncertain or not possible.
	Urban Settlements Development Grant (USDG)	<ul style="list-style-type: none"> ➤ Interim basic services ➤ Emergency basic services (<i>over and above other municipal infrastructure</i>) 	Grant active from early 2011. Currently available only to Metro's.
	Project Linked Subsidy (PLS) grant (IRDP ²)	<ul style="list-style-type: none"> ➤ Top-structures 	Required for top-structure delivery
	Emergency Housing (EH) grant	<ul style="list-style-type: none"> ➤ Emergency (temporary) housing and basic infrastructure 	Necessary for: a) temporary transit / relocation facilities; b) rapid temporary on site assistance (e.g. temp. top-structures & emergency basic services). E.H. Guidelines released by the HDA in 2012 re-inforce this upgrading relevance. However subsidy formula requires correction: a) to include land acquisition (as per policy); b) provide sufficient funding for basic services insufficient.
Grants which are potentially relevant	New People's Housing Process grant (PHP)	<ul style="list-style-type: none"> ➤ Top-structures and associated PHP social, planning and capacitation processes 	Policy not yet activated due to implementation guidelines not yet being released - it appears that the approach in the new guidelines will be in-compatible with informal settlement upgrading (e.g. excessive top-structure focus, insufficient community involvement in project preparation/planning).
Grants which are not relevant or appropriate	Municipal Infrastructure Grant	<ul style="list-style-type: none"> ➤ Non urban infrastructure 	Not suitable
	DRLDR grants e.g. Settlement Land Acquisition Grant	<ul style="list-style-type: none"> ➤ Principally utilized for non urban land and rural projects, even though there is a theoretical alignment 	Not suitable in practice given DRLDR rural orientation and very slow release of funding

¹ Provided to Municipalities by Provincial DoHS's as well as directly from the National DoHS to accredited municipalities

² Integrated Residential Development Programme of the DoHS

Detailed Assessment of Grant Instruments for Informal Settlement Responses

© Project Preparation Trust of KZN



Informal settlement response	Potential Grants	Utilization of grant	Source	Appropriate for Informal Settlement Responses?	Comments / assessment
Full upgrading	UISP	Services, land, top-structures	DoHS / NDoHS**	Yes (specifically designed for flexible, incremental responses)	UISP is effectively a sub-type / variation of a PLS which is incremental in nature. It should be regarded as the preferred instrument for full upgrading. Whilst the policy includes housing as phase 3, the subsidy formula does not. Most upgrades in KZN are currently being assigned as 'PLS'.
	PLS/IRDP		DoHS	Yes (but UISP better for early phases and incremental approach)	PLS/IRDP funding may be required for the top-structure delivery phase of UISP if the subsidy formula does not include it as part of the UISP. In the case of densified formal informal settlement upgrading is required and especially where this is part of a precinct redevelopment project, the IRDP may be as effective as the UISP as an incremental approach is typically not viable. This instrument also becomes relevant where there is a relocations site associated with an IRDP project (for 'spillover'). Where it is an incremental upgrade (led by basic services provision) then the UISP is more appropriate.
	PHP		DoHS	Potentially	New PHP policy framework not yet finalized.
Temporary top-structures	EH	Temporary housing	DoHS	Yes	Temporary housing can be provided both where shacks have already been destroyed (e.g. by fire) and also pro-actively in the event that there is a circumstance of severe risk. In addition it can be provided as assistance on a new site (e.g. permanent re-settlement to an incremental development area). However, the use of EH for transitional relocation areas (TRA's) is discouraged due to these becoming permanent settlements which pose an operating and management challenge to municipalities). Refer to the HDA's EH Guidelines at http://www.thehda.co.za/resources/entry/hda_-_implementing_emergency_housing_guidelines/ .
Interim basic services	USDG		DoHS/ Treasury	Yes (most appropriate instrument)	Most appropriate instrument because it can be utilised at a programme as opposed to only a project level and is more rapid and more flexible. It has

					monitor.
	EH		DoHS	Yes (especially for sites not suitable for eventual formalization)	EH can be utilised for the provision of a range of emergency basic services. Refer to the HDA's EH Guidelines at http://www.thehda.co.za/resources/entry/hda_-_implementing_emergency_housing_guidelines/ .
	UISP		DoHS / DoHS	Yes (but currently likely to be slow and inflexible)	Additional flexibility required in order to remove land acquisition as a pre-requisite and to increase the value of funding available for 'phase 1'. It is also implicit in the policy that the incremental approach is moving towards eventual formalisation and where this is not possible it is uncertain if this instrument is relevant – USDG or EH may then be required as an alternative.
Emergency basic services	UISP	Basic infrastructure	KZN DoHS / NDoHS	Uncertain (KZN DoHS action required)	Additional flexibility required within the UISP in order to utilize it for emergency basic services given that they will not usually lead to a full upgrade
	USDG		NDoHS/ Treasury	Yes	This appears to be the only viable mechanism available – yet apparently will only be available to accredited municipalities
	EH		DoHS	Yes	The provision of interim basic services can be included as part of 'temporary on-site assistance' in terms of EH Policy (both on the site currently settled as well as on a potentially new site e.g. IDA).
	MIG		CoGTA	No	Refer to comments for MIG under 'Release of serviced land' above
Relocation to TRA	EH	Temporary housing & infrastructure (land uncertain)	DoHS	Yes	Only to be utilized where a relocation is unavoidable and there is no other option available (last resort). TRA's are seldom temporary and face a range of challenges (e.g. usually become a permanent feature + place an operating and maintenance burden on the Municipality). There are problems with the current subsidy formula: requires correction to include land acquisition (as per policy); provision for basic services insufficient.
Relocation to IDA	EH,USDG, UISP		DoHS	Yes	Where a relocation is unavoidable, then a permanent resettlement is a better option than a temporary one.
Relocation to green-fields project	PLS/IRDP		DoHS	Yes	A long lead in time is required for this – usually at least 2-4 years from the commencement of feasibility and preliminary planning until top-structures are complete.
Land acquisition³	All of the	Land acquisition &	DoHS	Uncertain (KZN DoHS action	The KZN DoHS currently do not release funding for land separately from full

	DoHS subsidy mechanisms	planning			occur.
	SLAG		DRDLR	No (last resort)	DRDLR currently prioritizing rural development. DRDLR historically very slow to release funding for human settlements projects and have done so relatively infrequently. DRDLR heavily under-capacitated.
Release serviced land****	UISP	Land & basic services	DoHS	Yes	Additional flexibility required in terms of increasing the value of funding available for phase 1 of the UISP
	SLAG		DRDLR	No	See above comment for SLAG on 'Land acquisition'
	USDG	Basic infrastructure	DoHS/ Treasury	Yes	Refer to comments on USDG under 'Interim basic services' above

Abbreviations: EH = Emergency Housing; IDA = Incremental Development Area (managed land settlement); DoHS = Dept. Human Settlements; DRDLR = Dept Rural Development and Land Reform; UISP=Upgrading of Informal Settlements Programme; IRDP=Integrated Residential Suburbs Programme; PLS=Project Linked Subsidy; PHP=People's Housing Process; SLAG=Settlement Land Acquisition Grant; DRDLR=Department of Rural Development and Land Reform; MIG=Municipal Infrastructure Grant; DORA=Division of Revenue Act.; TRA = temporary relocation area (to be relocated again)

NOTES:

- ** USDG: According to the NUSP⁴, from FY2011/12, the USDG will reportedly be funded from a 'top-sliced' 10% of the National Housing Development Grant (NHDG) and is specifically intended to address basic infrastructure within informal settlements. This is a new grant arising from deliberations at the City Budget Forum dating back to October 2010. This grant will apparently only be made available to accredited Metro's and other 'performing' municipalities and will be transferred in terms of DORA.*
- ***UISP: According to the NUSP⁵, from FY2011/12, 20% of National Housing Development Grant (NHDG) will be top-sliced for informal settlement upgrading / UISP grant and will be made available directly to accredited Metro's and other performing municipalities in terms of DORA.*
- ****PHP: The new (draft) PHP policy has been a work in progress for several years and is potentially very relevant to people driven in-situ upgrading. The National PHP Directorate), working closely with a National PHP Reference Group, has been working on implementation guidelines since mid 2010. Refer also to section 5 (Policy Context) in section 1 (Introduction) of this Strategy.*
- *****Serviced land release: This is a not yet an operational programme of government, although its intention is manifest in the DRDLR's SLAG grant mechanism. There is also a national 'Land First' movement facilitated by Afesis Corplan which is actively promoting this as an necessary developmental response – refer to <http://www.afesis.org.za/About-LANDfirst/> for more information. This is similar if not identical to the idea of an incremental development area.*



02nd February 2011

S:\PPT CURRENT FILES\PROGRAMS\REPLICABLE MODELS\Informal Settlement Responses\PPT INFORMAL PACKS COPYRIGHT OF PPT\10. PPT Inf Settlement Responses Summary Scopes Work & Cost Norms.xls\summary.sow

Summary Scopes of Work & Cost Norms for Informal Settlement Responses

© Project Preparation Trust of KwaZulu Natal (1997-2011)

Whilst this document and related methodology has been made generally available by PPT for developmental purposes, they remain PPT's intellectual property and copyright and may not be sold or utilized for commercial purposes without PPT's prior and express consent in which case PPT should receive suitable acknowledgement. They may however be utilized by spheres of government and development practitioners in directly preparing and implementing projects.

Module 1: Rapid Preliminary Assessment & Categorisation of all Informal Settlements in Municipality

Work package	Min. Budget per hh*	Min. Budget for 500 sites	Max Budget per hh	Max Budget for 500 sites	Source of Budget
List of all informal settlements in municipality*	0	0	5	2,500	DoHS HSP; DoHS
Locality plan of settlements at Municipal Scale*	0	0	5	2,500	Preparation
Preliminary profile & assessment of each settlement	25	12,500	25	12,500	Funding;
Categorisation of all settlements by appropriate developmental response*	0	0	5	2,500	Municipality
Total	25	12,500	40	20,000	

Suggested contribution from KZN DoHS	16 DoH prep or HSP funds	28 DoH prep or HSP funds
Balance required from other sources (e.g. Municipality / USDG / MIG)	9	12

* The municipality may in some cases have the necessary capacity to compile this information in-house

Module 2: Planning and Delivery of Interim Services (UISP Ph/USDG)

Work package	Min. Budget per hh	Min. Budget for 500 sites	Max Budget per hh	Max Budget for 500 sites	Source of Budget
1) Pre-feasibility & feasibility:					
Social facilitation	24	12,000	60	30,000	DoHS Informal Settlement Upgrading Programme, ph1 & ph2
Participative multi-sectoral action plans to address priority issues	24	12,000	60	30,000	
Bulk services assessment	24	12,000	40	20,000	
Preliminary (desktop) geotechnical investigation	24	12,000	40	20,000	
Preliminary environmental assessment	24	12,000	40	20,000	
Land legal assessment	24	12,000	40	20,000	
Enumeration & socio-survey	20	10,000	40	20,000	
Planning issues, preliminary block layout, and yield estimate	40	20,000	60	30,000	
Schedule of priority interim basic services intended (preliminary)	10	5,000	20	10,000	
Subtotal for pre-feasibility / feasibility of interim services	214	107,000	400	200,000	
Project Management at 15%	32	16,050	60	30,000	
Subtotal for pre-feasibility / feasibility incl. PM	246	123,050	460	230,000	
2) Planning & design:					
Topographic survey**	0	0	100	50,000	
Strip geotechnical survey**	0	0	92	45,965	
EIA / environmental authorisations / ROD (where applicable)	75	37,500	150	75,000	
Design of interim services & cost estimates at 5% capital value	250	125,000	1,000	500,000	
Application for implementation funding	10	5,000	20	10,000	
Subtotal for planning & design of interim services	335	167,500	1,362	680,965	
Project Management at 15%	50	25,125	204	102,145	
Subtotal for planning & design of interim services incl. PM	385	192,625	1,566	783,110	
3) Construction:					
Construction / delivery of interim services***	5,000	2,500,000	20,000	10,000,000	
Site supervision fees at 3% (range is prob. 2%-5%)	150	75,000	600	300,000	
Project Management (client side) at 7.5%	375	187,500	1,500	750,000	
Subtotal for delivery of interim services	5,525	2,762,500	22,100	11,050,000	DoHS ISUP; USDG
Total for feasibility, planning & delivery of interim services	6,156	3,078,175	24,126	12,063,110	
<i>total project management</i>	<i>457</i>	<i>228,675</i>	<i>1,764</i>	<i>882,145</i>	
<i>% of capital value</i>	<i>9.1%</i>	<i>9.1%</i>	<i>8.8%</i>	<i>8.8%</i>	
<i>% of total project cost</i>	<i>7.4%</i>	<i>7.4%</i>	<i>7.3%</i>	<i>7.3%</i>	
<i>total other professional fees (incl. social process & site sup.)</i>	<i>699</i>	<i>349,500</i>	<i>2,362</i>	<i>1,180,965</i>	

	% of capital value	14.0%	14.0%	11.8%	11.8%
	% of total project cost	11.4%	11.4%	9.8%	9.8%
Land acquisition (where rapid)****	0	0	5,000	2,500,000	DoHS UISP
Project Management at 10%	0	0	500	250,000	
Subtotal for delivery of land acquisition	0	0	5,500	2,750,000	
Total for planning & delivery of interim services + land acquisition	6,156	3,078,175	29,626	14,813,110	

Contribution from KZN DoHS	7,289	<small>current UISP ph1 alloc</small>	15,233	<small>50% current total UISP ph1,2&3</small>
Balance required from other sources such as MIG/USDG	0		14,394	

** These will only be required where interim roads, stormwater controls, water pipelines or sewer pipelines are to be delivered

***These may include: roads, footpaths & associated stormwater controls, on site sanitaiton, sewer reticulation and connections, water reticulation & standpipes, electrification.

**** Given that land acquisition is typically a slow and costly process, it is suggested that Municipalities only include this as part of interim services phase where this a high level of certainty that it can be rapidly achieved and where commencement with full upgrading is envisaged in the short term

Module 3: Planning and Delivery of Emergency Basic Services (UISP Ph/USDG)

Work package	Min. Budget per hh	Min. Budget for 500 sites	Max Budget per hh	Max Budget for 500 sites	Source of Budget
Social facilitation	24	12,000	60	30,000	DoHS UISP USDG
Participative multi-sectoral action plans to address priority issues	24	12,000	60	30,000	
Bulk services assessment	0	0	40	20,000	
Preliminary (desktop) geotechnical investigation	0	0	40	20,000	
Preliminary environmental assessment	24	12,000	40	20,000	
Land legal assessment	0	0	40	20,000	
Enumeration & socio-survey	0	0	40	20,000	
Topographic survey**	0	0	50	25,000	
Strip geotechnical survey**	0	0	50	25,000	
EIA / environmental authorisations / ROD (where applicable)	0	0	150	75,000	
Design of interim services & cost estimates at 5% capital value	125	62,500	375	187,500	
Application for implementation funding	8	4,000	8	4,000	
Subtotal for planning & design of interim services	205	102,500	953	476,500	
Project Management at 15%	31	15,375	143	71,475	
Subtotal for planning & design of interim services incl. PM	236	117,875	1,096	547,975	
Construction / delivery of interim services***	2,500	1,250,000	7,500	3,750,000	
Site supervision fees at 3%	75	37,500	225	112,500	
Project Management at 7.5%	188	93,750	563	281,250	
Subtotal for delivery of interim services	2,763	1,381,250	8,288	4,143,750	
Total for planning & delivery of interim services	2,998	1,499,125	9,383	4,691,725	
<i>total project management</i>	<i>218</i>	<i>109,125</i>	<i>705</i>	<i>352,725</i>	
<i>% of capital value</i>	<i>8.7%</i>	<i>8.7%</i>	<i>9.4%</i>	<i>9.4%</i>	
<i>% of total project cost</i>	<i>7.3%</i>	<i>7.3%</i>	<i>7.5%</i>	<i>7.5%</i>	
<i>total other professional fees (incl. social process & site sup.)</i>	<i>205</i>	<i>102,500</i>	<i>953</i>	<i>476,500</i>	
<i>% of capital value</i>	<i>8.2%</i>	<i>8.2%</i>	<i>12.7%</i>	<i>12.7%</i>	
<i>% of total project cost</i>	<i>6.8%</i>	<i>6.8%</i>	<i>10.2%</i>	<i>10.2%</i>	
Land acquisition (where rapid)	0	0	0	0	DoHS UISP
Project Management at 10%	0	0	0	0	
Subtotal for delivery of land acquisition	0	0	0	0	
Total for planning & delivery of interim services + land acquisition	2,998	1,499,125	9,383	4,691,725	

Suggested contribution from KZN DoHS	3,000	5,000 <small>50% current total UISP ph1.2.83</small>
Balance required from other sources such as MIG/USDG	0	4,383

** These will only be required where interim roads, stormwater controls, water pipelines or sewer pipelines are to be delivered

***These may include: roads, footpaths & associated stormwater controls, on site sanitation, sewer reticulation and connections, water reticulation & standpipes, electrification.

Module 4: Planning and Delivery of a Full Upgrade (UISP Ph1/PLS/USDG)

Work package	Min. Budget per hh	Min. Budget for 500 sites	Max Budget per hh	Max Budget for 500 sites	Source of Budget	
1) Pre-feasibility:						
Social facilitation and community participation	24	12,000	60	30,000	DoH UISP PLS	
Participative multi-sectoral action plans to address priority issues	24	12,000	60	30,000		
Bulk services assessment	24	12,000	40	20,000		
Preliminary (desktop) geotechnical investigation	24	12,000	40	20,000		
Preliminary environmental assessment	24	12,000	40	20,000		
Land legal audit / assessment	24	12,000	40	20,000		
Land availability assessment	10	5,000	15	7,500		
Enumeration & socio-survey	20	10,000	60	30,000		
Planning issues, preliminary block layout, and yield estimate	40	20,000	60	30,000		
Subtotal for pre-feasibility	214	107,000	415	207,500		
Project Management at 15%	32	16,050	62	31,125		
Subtotal pre-feasibility including project management	246	123,050	477	238,625		
2) Feasibility & preliminary design:						
Community participation & consultation	30	15,000	75	37,500	DoH UISP PLS	
GFSH2 geotech including variance calculator**	80	40,000	150	75,000		
Topographic survey*	50	25,000	200	100,000		
Land availability: sale agreements / expropriation / intragovernmental transfer etc.	20	10,000	200	100,000		
Preliminary town planning layout & planning report	50	25,000	150	75,000		
Preliminary urban design (esp. for densification)	30	15,000	60	30,000		
Participative local spatial plan	30	15,000	60	30,000		
Municipal multi sector engagement (e.g. education, health care etc)	0	0	0	0		
Architectural design and housing delivery method	50	25,000	100	50,000		
Preliminary services layout, design report, estimates	50	25,000	150	75,000		
Implementation programme and cashflow	10	5,000	15	7,500		
Subsidy application form & pack (and other funding applications e.g. USDG)	10	5,000	15	7,500		
Subtotal for feasibility & preliminary design	410	205,000	1,175	587,500		
Project Management at 15%	62	30,750	176	88,125		
Subtotal for feasibility & preliminary design including project management	472	235,750	1,351	675,625		
3) Land acquisition, detailed design, township establishment & survey						
Land acquisition / transfers	2,000	1,000,000	5,000	2,500,000	DoH UISP PLS	
<i>NOTE: In the case of an Expropriation additional fees will be required for a land legal expert + facilitator - approx. R180 to R220 per site (R90k to R110k)</i>						
Social facilitation	246	122,815	246	122,815		
EIA / environmental authorisations / ROD	75	37,500	150	75,000		
Floodline determination	20	10,000	40	20,000		
Detailed town planning incl town planning approvals & township establishment	404	202,230	500	250,000		
Detailed engineering design & layouts	849	424,425	1,000	500,000		
Survey: calculate and submit GP, obtain approval, beacon sites, submit final GP and obtain approval	393	196,255	393	196,255		
NHBRC enrolment	0	0	0	0		
Application for DoHS tranche 2 for infrastructural services	10	5,000	20	10,000		
Subtotal for land acquisition, detailed design, township est., survey	3,996	1,998,225	7,348	3,674,070		
Project Management at 15%	599	299,734	1,102	551,111		
Subtotal for land acquisition, detailed design, township est., survey incl. project management	4,596	2,297,959	8,450	4,225,181		
4) Construction of services:						
Contract documentation	10	5,000	20	10,000		DoH UISP PLS USDG / MIG
Procurement of contractors	0	0	0	0		
Construction / delivery of internal infrastructural services	18,531	9,265,625	30,000	15,000,000		
Construction of bulk infrastructure	0	0	15,000	7,500,000		
Site supervision fees at 3% capital cost	556	277,969	1,350	675,000		
Application for DoHS tranche 3 for topstructures	10	5,000	20	10,000		
Subtotal for delivery of infrastructural services	19,107	9,553,594	46,390	23,195,000		

Project Management at 10% capital cost	1,853	926,563	4,500	2,250,000	
Subtotal for infrastructure delivery including project management	20,960	10,480,156	50,890	25,445,000	
5) Construction of topstructures & tenure delivery (assuming contractor and not PHP driven)					
Contract documentation	10	5,000	20	10,000	
Procurement of contractors	0	0	0	0	
Construction / delivery of topstructures	55,706	27,853,000	55,706	27,853,000	DoH UISP PLS
Transfers and conveyencing					
Site supervision fees at 1.5% capital cost	836	417,795	836	417,795	
Subtotal for delivery of topstructures	56,552	28,275,795	56,562	28,280,795	
Project Management at 8% capital cost	4,456	2,228,240	4,456	2,228,240	
Subtotal for topstructures including project management	61,008	30,504,035	61,018	30,509,035	
Total for planning & delivery of topstructures	87,282	43,640,950	122,187	61,093,466	
<i>total project management</i>	<i>6,971</i>	<i>3,485,286</i>	<i>10,235</i>	<i>5,117,476</i>	
<i>% of housing subsidy capital value (excl. land, bulks)</i>	<i>9.4%</i>	<i>9.4%</i>	<i>11.9%</i>	<i>11.9%</i>	
<i>% of total project cost</i>	<i>8.0%</i>	<i>8.0%</i>	<i>8.4%</i>	<i>8.4%</i>	
<i>total other professional fees (incl. social process & site sup.)</i>	<i>4,074</i>	<i>2,037,039</i>	<i>6,246</i>	<i>3,122,990</i>	
<i>% of housing subsidy capital value (excl. land, bulks)</i>	<i>5.5%</i>	<i>5.5%</i>	<i>7.3%</i>	<i>7.3%</i>	
<i>% of total project cost</i>	<i>4.7%</i>	<i>4.7%</i>	<i>5.1%</i>	<i>5.1%</i>	

Contribution from KZN DoHS	77,869	<small>current PLS total infr + topstr</small>	89,549	<small>add 15% for approx value of special allowances</small>
Balance required from other sources such as MIG/USDG	9,413		32,638	

*The costs of topographic survey are determined by hectare and not number of households / yield. The indicative range for an in-situ upgrade depending on slope, vegetation density, extent of permanent topstructures which require survey is between R3500 and R5000 per hectare. Topo survey is included at this stage for the same reasons as GFSH2 geotech - see below. However, if a lower level of planning & budgetary certainty can be tolerated and the site is not too technically challenging (e.g. due to slope), then both topo survey and GFSH2 level geotech can be delayed until the detailed design phase. This does however typically also result in a slight increase in the timeframes for the project.

**GFSH2 geotech included at this stage since most sites are technically challenging and meaningful preliminary planning and design is not possible without this information

FEBRUARY 2011

S:\PPT CURRENT FILES\PROGRAMS\REPLICABLE MODELS\INFORMAL SETTLEMENT RESPONSES\PPT INFORMAL PACKS COPYRIGHT OF PPT111. PPT INF SETTLEMENT RESPONSES DETAILED SCOPES OF WORK R2.DOC

DETAILED SCOPES OF WORK FOR INFORMAL SETTLEMENT RESPONSES

© PROJECT PREPARATION TRUST OF KZN (1997-2011)

Whilst this document and related informal settlement methodologies have been made generally available by PPT for developmental purposes, they remain PPT's intellectual property and copyright and may not be sold or utilized for commercial purposes without PPT's prior and express consent in which case PPT should receive suitable acknowledgement. They may however be utilized by spheres of government and development practitioners (whether NGO or private sector) in directly preparing and implementing projects.

Notes:

- 1) *This document is a work-in-progress and should not be regarded as prescriptive, since the requirements for projects may vary depending on specific local circumstances (e.g. the extent of community participation and the timing of land acquisition may vary). However, all of the work packages outlined in this document are regarded as being critical to project success and if they are to be omitted or their scope significantly changed, then this should first be given careful consideration and the downside risks evaluated.*
- 2) *These scopes of work should be read in conjunction with: a) the document 'Summary Scopes of Work and Cost Norms for Informal Settlement Responses' (; b) the Classification Guideline for Informal Settlement Responses (these are available on PPT's website and are also contained in Annexure G and Part 3, Section 5 of the KZN 'Informal Settlement Eradication Strategy').*
- 3) *Over and above any specific duties of professionals, the following general duties for all professionals apply: a) work closely with project manager and other members of the team; b) attend team meetings as required; c) assess and familiarize themselves with base information provided by the project manager and other members of the team.*
- 4) *Cost estimates assume settlements of approximately 500 households. Costs may decrease slightly for smaller settlements or increase for larger ones or where there are particular complexities and challenges (including those relating to community dynamics).*
- 5) *All budgetary estimates should be regarded as a benchmark only. Actual costs may vary significantly across different project depending on such factors as project complexity, local skills scarcity, the experience of professional team members with similar projects, and the 'intensity' of work undertaken.*
- 6) *Where permanent engineering services are to be delivered as a separate stand alone stage, with top-structure delivery to only follow later, then it is recommended that the feasibility and preliminary design work for a full upgrade be undertaken in order to ensure that the provision of services is appropriately informed by adequate town planning, urban design, spatial planning and top-structure design input.*

MODULE 1: RAPID PRELIMINARY ASSESSMENT & CATEGORISATION OF ALL INFORMAL SETTLEMENTS IN MUNICIPALITY

OBJECTIVES

- To obtain a **rapid overview** of the scale and nature of informal settlement in a Municipality.
- To obtain an initial **categorization** of all informal settlements in a Municipality indicating the **appropriate type of developmental response** for each one (it being noted that, as a result of more detailed subsequent investigations, that this categorization may need to be reviewed and changed later).
- To enable strategic **prioritization** of informal settlements for different developmental responses.
- To strengthen and / or update the **Municipality's Housing Sector Plan** in respect of informal settlements.

SCOPE OF WORK

Inputs:

- Review of recent census data for the Municipality (as at January 2010, 2001 Census data is generally regarded as most suitable).
- Access available GIS information (e.g. orthophotos, land data, bulk services etc).
- Site visit to all informal settlements (visual inspection by means of a drive by or walk through).
- Interview / meeting with community leadership.
- Source additional information available at desktop level (e.g. land ownership, existing bulk services).
- Identify any prior work undertaken (e.g. planning, community facilitation, specialist reports such as geotechnical investigations).

Outputs:

- **List showing categorization of all informal settlements.** This needs the name of each settlement, the estimated number of households and categorization which indicates appropriate informal settlement response:
 - A) for *current / imminent full upgrade* (i.e. full services, top-structures, and tenure);
 - B1) for *interim services* (interim basic services as a precursor to an eventual full upgrade);
 - B2) for *emergency services* (basic emergency services with limited or no prospects for a full upgrade);
 - C) for relocations.
- **Base-plan showing locality of all informal settlements** in the Municipality and clearly referenced to the list.
- **Preliminary assessment for each informal settlement** (based on the above-mentioned inputs). This should consist of a short report for each settlement including / indicating the following (it being noted that there may be gaps depending on the level of available information):
 - *Name, location, scale* (estimated number of households / structures) and approximate *age* of settlement
 - *Topography* (including estimated % site steeper than 1:3 and between 1:3 and 1:6 and flatter than 1:10)
 - *Contact details:* name and contact details of: a) community leadership; b) ward councilor; c) ward development committee.
 - *Top-structures:* nature of existing top-structures and materials used
 - Existing visible *infrastructural services* (water supply, sanitation, road access, electrification) – also noting any informal services such as on-site sanitation.
 - Existing visible *social services* (schools, health care, recreation).
 - Estimated *density*
 - Immediate *challenges / needs*
 - Imminent and obvious *emergency threats* and estimated proportion of settlement affected (e.g. flooding, landslides, toxic waste exposure etc)
 - *Land ownership* and number of properties

- *Bulk services availability.*
- List of any *prior professional work / investigations* (e.g. geotechnical report, preliminary town planning layout) and summary of main findings.
- Attaching an *aerial photo* or orthophoto showing settlement boundary
- Only where desktop information permits or there is an existing investigation: Identification of any **available vacant land** (or buildings) within the Municipality for potential relocations.
- **List showing prioritization of informal settlements:** Where available budget (housing subsidies, MIG grants etc) is insufficient to undertake all projects immediately, then a process of prioritization will also be required. Planning and community engagement work on a settlement should not commence unless budget is potentially available as this raises expectations and creates unnecessary pressure at grassroots level. The process of prioritization entails defining prioritization criteria (e.g. level of need, scale of settlement, etc) and evaluating (scoring) each settlement against these criteria to determine which should be undertaken first.
- **Multi year expenditure framework for informal settlements:** This should be developed by the Municipality for the delivery of its informal settlement development programme as part of its budgeting processes. Generic per household cost projects should be utilized based on historical precedent until actual costs from project specific work are available at which time the framework should be updated. The framework needs to indicate which grant funding sources are intended for different project or work streams.

HUMAN RESOURCE REQUIREMENTS:

This may be done in house or outsourced depending on municipal capacity. If outsourced, then an experienced housing professional (e.g. town planner or civil engineer) with experience in planning or designing low income housing projects would be suitable.

BUDGETARY REQUIREMENTS:

Variable depending on the scale and complexity of informal settlement. A budget of approximately R12,500 to R20,000 per informal settlement is probably adequate (i.e. between two and four days per settlement with the cost depending on the complexity of the settlements, the available information, the available in-house municipal capacity, and the charge our rates of an outsourced specialist).

HOUSING POLICY AND SUBSIDY ALIGNMENT:

This is aligned with existing housing policy as contained in the Housing Code and specifically should form of Housing Sector Plans and is provided for in such plans. Where it has not been undertaken (which is typically the case) then it should be done as rapidly as possible by the Municipality.

FUNDING SOURCES:

Municipalities should utilize their existing Housing Sector Plan budget where this has been made available by the KZN DoHS. Where this is not available or has already been utilized, then they should alternatively either utilize their own reserves or submit a special motivation to the KZN DoHS.

SECTOR ALIGNMENT / INTEGRATION:

Attention should be given to: a) the presence or lack of the necessary social facilities (e.g. education, health care, recreation etc) and the implications for future development; b) the need for local level spatial planning within follow up preparation and settlement planning.

MODULE 2: PLANNING & DELIVERY OF INTERIM SERVICES

OBJECTIVES

To rapidly address basic health, safety and servicing problems by means of planning for and rapidly delivering appropriate interim basic services (in line with phase 1 of the Housing Code's Upgrading of Informal Settlement Programme) as a precursor to future delivery of final ('permanent') services, tenure and top-structures.

IMPORTANT NOTES:

A) *The work packages (WP's) outlined below need to be undertaken for each informal settlement which has been classified as 'B1' but only where it is expected that sufficient budget can be readily accessed to delivery interim services: Planning and community engagement work on a settlement should not commence unless such budget is potentially available as this would otherwise raise expectations and create unnecessary pressure at grassroots level. (refer also to the output 'Multi year expenditure framework for informal settlements' under 'UPFRONT PRELIMINARY ASSESSMENT AND CATEGORIZATION OF ALL INFORMAL SETTLEMENTS IN A MUNICIPALITY' above).*

B) *Land acquisition should not be regarded as an essential pre-requisite to proceeding with the delivery of interim services for the following reasons: A) The motivation for the installation of the services at this stage is that of addressing basic health and safety imperatives and the Municipal Ordinance permits Municipalities to make such interventions on land which they do not yet own such as private land. eThekweni's large scale interim services programme targeting over 77,000 in 166 informal settlements is precedent for such an approach. B) The settlements are existing / de-facto and those in this category have been assessed as viable for potential long term upgrading. In the event of opposition by a private land owner, the State has recourse to expropriation (at a fair market value) in order to acquire the land in question. C) Land acquisition is typically an extremely slow and resource intensive process which would in many cases significantly delay the delivery of interim services and therefore defeat the objective of delivering a rapid interim solution; D) Land acquisition is costly and should only be acquired at an appropriate time when full services, tenure and top-structure delivery are envisaged.*

Phase 1: Pre-feasibility / Feasibility

WP1: PREPARATION MANAGEMENT

Notes: 1) It is assumed this may be done in-house by the municipality or else outsourced; 2) The time requirement for this work will vary considerably depending on project complexity.

Inputs / outputs:

- Ensure participation and support of all key stakeholders (i.e. beneficiary community, community leadership / community based partner (CBP), ward councilor, municipality, and relevant government departments, bulk service providers / DM etc)
- Compile and maintain a budget (and expenditure against budget)
- Co-ordinate and manage the professional team including: a) determining / confirming appropriate scope of work required for various professionals; b) assistance with procurement of team; c) monitor progress of team; d) receive products / reports from the team, evaluate them, and get amendments if required; e) authorise / certify / facilitate payments; f) ensure that the professional team communicate with each other and work closely together (e.g. facilitate team meetings).
- Ensure that all project risks are identified and investigated.
- Ensure that a clear project concept is defined and that key stakeholder support is obtained
- Ensure that all requirements of capital funders (e.g. KZN DoHS) are met including provisions of Chapter. 3 of the Housing Code.
- Ensure that the preparation process is adequately phased to manage risk (e.g. feasibility work such as preliminary design does not precede pre-feasibility work such as bulk services assessment and preliminary geotech)

- Compile an executive summary and submit pre-feasibility report with attachments to key stakeholders
- Ensure that the NHBRC is made aware of the project and determine if the project will fall under their jurisdiction / administration. If it does, then ensure NHBRC in-principle enrolment according to NHBRC guideline document (including geotech)– it is noted that the NHBRC typically do not want to be involved with PHP and in-situ upgrade projects)
- If applicable, follow through with municipality and capital funders and obtain their approval / support to proceed to feasibility phase (full subsidy application) [in the case of eThekweni – obtain conceptual approval from the Working Group)
- Obtain conditional approval from capital funders.

Human resource requirements: Experienced project manager with housing experience.

Budgetary requirements: R16,000 to R28,000 per settlement (between 4 and 7 days).

WP2: SOCIAL FACILITATION

Inputs: Meetings with community leadership and mass meetings to identify most important basic services needs, indicate proposed development approach and to obtain feedback and buyin. Identify key issues. Address concerns and any disputes. Assist other professionals (e.g. engineers) at meetings with the community (play facilitative role).

Outputs: Short report on the above.

Human resource requirements: Experienced facilitator with housing and infrastructure experience.

Budgetary requirements: Approximately R12,000 to R30,000 per settlement (between 3 and 7.5 days).

WP3: PARTICIPATIVE ACTION PLANS ('LIVELIHOODS' AND INFRASTRUCTURE FOCUS)

Inputs / scope of work:

- **SETUP:** Establish communications with local community leadership. By means of an initial community meeting / workshop: a) sensitize the community as to the objectives and nature of the livelihoods approach, the participative action plans, and the intended delivery of interim services b) obtain community buyin; c) identify key issues in terms of needs, vulnerabilities, local assets (especially human capital), and existing activities.
- **PARTICIPATIVE WORKSHOP TO IDENTIFY KEY SECTORS:** By means of an initial participative workshop, assist local residents to identify key 'sectors' / areas of need such as basic infrastructure, fire protection, special needs, small business, infrastructure and urban agriculture. Typically there will be local groupings with particular interests in these 'sectors'.
- **PARTICIPATIVE ACTION PLANNING WORKSHOPS:** By means of a series of follow up participative workshops / mini-workshops in the prioritized 'sectors' (typically one mini-workshop per 'sector'), assist participants to define a simple plan of action which clearly defines: a) key community roles and responsibilities (i.e. what local people can do to support / enable / maximize these investments¹ as well as what additional community actions independent from government investment can be taken); b) key external actions or support by government or other actions which could assist (e.g. investment, training, information and knowledge resources, extension officers etc). One of these sector plans needs to identify (potential) priority basic infrastructure interventions for further assessment and consideration. It is desirable that personnel from the Municipality's infrastructure department participate in the participative sector workshop on infrastructure.

¹ It is noted that there may be particular opportunities, issues and linkages with eThekweni's interim services programme (e.g. O&M of sanitation blocks; evaluation of impact, including learning how to make improvements going forward; fire protection, including ensuring no tampering or illegal connections to hydrants)

- FOLLOW UP SUPPORT ON ACTION PLANS: Where necessary facilitate meetings / interactions with key Municipal or other Government Departments / officials in respect of the plans and where necessary / appropriate amend / update the plans. Undertake follow up interactions / mini workshops to support local people in following through on plans, identifying and resolving obstacles, and implementing them.

Outputs: Short process report on the above stages. Practical action plans for identified sectors, including one focusing on (potential) basic infrastructure. Attendance registers.

Human resource requirements: Experienced facilitator with livelihoods experience.

Budgetary requirements: Between R25,000 and R50,000 per settlement (between 6.25 and 12.5 days).

WP4: BULK SERVICES ASSESSMENT

Inputs:

- 1) Acquire and assess existing base information (e.g. recent orthophotos, available GIS information).
- 2) Interact with relevant municipal personnel in respect of existing and proposed bulk infrastructure.
- 3) Assess adequacy of existing and proposed bulk services to enable delivery of both interim and possible future full servicing.

Outputs: Preliminary environmental report addressing / including the following:

Report:

- Distance to and capacity / adequacy of nearest water mains, sewers, road access, storm water control, and electricity.
- Adequacy of raw water supply and, where applicable, sewer treatment works / outfall sewers.
- Adequacy of existing bulk services & rough (indicative) estimates for additional bulks that may be required (water, sewer, road, storm water / culverts, electricity).
- Identify any planned bulk services for the area (e.g. as budgeted by the local or district municipality)
- 1:100 year floodlines (based on existing plans / base information from relevant government departments / DM)
- Written confirmation from responsible local and / or district Municipality as to adequacy of bulks to meet the needs of the project or commitment to fund required bulk service requirements

Drawings:

(Note: all plans must include a legend, scale and orientation).

- Locality
- Project boundary
- Position of existing and planned water mains, sewers, access roads and bus routes / main roads, storm-water control measures, electricity

Human resource requirements: Civil engineer preferably with low income and / or municipal infrastructure experience.

Budgetary requirements: Between R12,000 and R20,000 per settlement.

WP5: PRELIMINARY ('DESKTOP') GEOTECHNICAL INVESTIGATION

Inputs:

- Source and review existing geotechnical information (desktop)
- Walkover of site, including inspection of any existing exposed soil profiles / cuttings
- Where necessary dig occasional inspection pits to view soil profile

Outputs: Geotechnical report addressing / including the following:

- Description of geotechnical conditions on the identified sites, likely geotechnical constraints, and implications for development, specifically with respect to: slope stability, roads and other services, platforms and founding conditions, storm-water control, cut & fill, on-site sanitation.

- Constraints and viability associated with: a) delivery of proposed interim services; b) full upgrading and delivery of low income housing (i.e. single or double story units).
- Drawings (an annotation of locality plans provided is sufficient) and showing: project boundary; distribution of rock & soil types; inferred geotechnically undevelopable areas (due to such factors as slope instability, soil creep, seepage, shallow soil, boulders / rock outcrops, poor drainage, etc).

Human resource requirements: Experienced geotechnical specialist (e.g. geotechnical engineer), preferably with housing experience.

Budgetary requirements: Between R12,000 and R20,000 per settlement

WP6: PRELIMINARY ENVIRONMENTAL ASSESSMENT

Inputs:

- 1) Conduct a preliminary environmental assessment sufficient to identify any potential key environmental issues or constraints which may need to be subjected to more detailed investigations in respect of: a) the delivery of interim basic services; b) the delivery of a full upgrade including a low income housing development.
- 2) Source and review existing environmental information (desktop).
- 3) Interact with relevant municipal personnel in respect of planning issues.
- 4) Conduct walkover of the site.
- 5) Engage with relevant stakeholders.

Outputs: Preliminary environmental report addressing / including the following:

- On a preliminary basis, **identify and comment on any apparent environmental risks** or constraints arising from the proposed development of interim services and subsequent full upgrading in the light of: A) The pre-scripts of the National Environment Management, the new Regulations of 2010 and any relevant subsidiary acts (e.g. The Waste Act, Biodiversity Act and Air Pollution Act); B) Relevant planning regulations such as the DFA or PDA whichever is applicable. It is noted that the commentary should address the usual requirements of a scoping report but on a *preliminary* basis (i.e. not at the level of a full scoping report – a paragraph for each item will suffice). Unless otherwise agreed or specified, the following DFA extracted requirements shall apply: “The scoping report must indicate the extent to which the proposed activity or development will impact on the environment, and where appropriate deal with the following specific aspects of the environmental impact:
 - The physical and landscape characteristics of the land development area and its surroundings;
 - The ecological characteristics of the land development area and its surroundings;
 - The current and potential land – uses of the land development area;
 - Existing significant archaeological, historical and cultural sites in the land development area and its surroundings;
 - The social and economic impact on communities in the land development area and its surroundings;
 - The existing infrastructure and/or services in or around the land development area and surroundings;
 - The existing social and community structures, services and facilities in and around the land development area;
 - The levels of present and possible pollution, including noise pollution, in the future as a result of the proposed development;
 - Any risks or hazards to the environment posed by the development;
 - The health and safety of the public;
 - The social costs of the proposed development;
 - The effect of the proposed development on different groups or individuals;
 - The medium and long term sustainability of the proposed development;
 - What mitigating measures could be implemented to reduce negative impacts and enhance positive impacts of the aspects described in paragraphs a) to m) and, where appropriate, to what extent alternative sites for the development were investigated.”
- Identify any areas, which are **environmentally sensitive** or zoned as such (e.g. areas proclaimed as wilderness or for conservation, metropolitan open space)

and comment on the implications.

- Identify the proximity to any **hazardous installations** (e.g. Petro Chemical Industry) which may pose a risk for human settlement. If they exist, please describe the nature of the installations, the impacts they might have, and comment on the risk to the project's viability.
- Identify **wetland delineation** (refer to drawings below).
- Describe any **drainage lines** on the site as either primary, secondary, tertiary or quaternary and identify the municipality's recommended buffer size for the drainage lines. Are there any alternatives to creating a buffer?
- Identify any **environmental regulations or laws which may apply** to the proposed development of housing and related infrastructure on the identified sites and what obligations they impose on the project.
- Based on your assessment, identify whether or not there appear to be any **material barriers to the proposed development** from an environmental impact perspective, what the barriers are, and the viability of overcoming them.
- If **further environmental assessment or planning** (e.g. EMP, Scoping Report, EIA) may be needed, how would this be decided, what would it consist of, at what indicative cost, and at what stage in the project cycle the work would need to be done relative to township establishment and / or the commencement of development.
- **Drawings:** Compile the drawings which define the following (an annotation of locality plans provided is sufficient):
 - Project boundary.
 - Wetland delineation and drainage lines (primary, secondary, tertiary).
 - Location of any environmental sensitivities and any areas which are undevelopable from an environmental perspective.

Note: all plans must include a legend, scale and orientation.

Human resource requirements: Experienced environmental specialist preferably with housing and infrastructure experience.

Budgetary requirements: Between 12,000 and R20,000 per settlement

WP7: LAND LEGAL ASSESSMENT

Inputs: Acquire and assess available land legal information at a desktop level (see below). Interact with relevant municipal personnel in respect of land legal issues.

Outputs: A Preliminary Land Legal Assessment Report including / attaching the following:

- **Schedule of properties**, registered owner(s), extent, title deed number, **servitudes and restrictive conditions** of title that might affect the project.
- Copies of **title deeds**, 'aktex' or 'windeed' printouts.
- Copies of SG diagram and GP (if in existence and available).
- Identification of any gazetted **land claims** that affect the project area and where necessary letter of request to the Regional Land Claims Commission (RLCC) for any additional information regarding the status / relevance of any claims.
- Where applicable, comments on relevant **boundaries** which intersect with or otherwise affect the project area (e.g. municipal boundaries, township boundaries).
- Where applicable, a list of any deeds of grant or permission to occupy certificates and whether or not these are registered in the Deeds Office.
- Identification of any obvious barriers to the **consolidation of properties** and township establishment (assuming properties can be successfully acquired).
- Recommendations on process for consolidation of properties (if required)
- Viability of **township establishment**, possible township establishment routes and recommended route (outline of process and costs required)
- Assessment of **prospects of land assembly** and possible land assembly routes (outline of process and costs required – e.g. for private treaty versus expropriation versus
- **Plan(s):**
 - Project / site boundary.
 - Cadastral / property boundaries.

- Property descriptions.
- Other relevant boundaries (e.g. municipal, township).
- Preliminary outside figure diagram for project area.

(note: all plans must include a legend, scale and orientation)

Human resource requirements: Land legal expert preferably with housing experience (e.g. conveyancing attorney, land surveyer)

Budgetary requirements: Between R12,000 and R20,000 per settlement. It is however noted that the budget required for this item will vary significantly depending on the number of properties and complexity of land legal issues. The budget will increase when there is a large number of properties or if there are special circumstances such as deceased estates / the need for a deeds office search for registered deeds of grant.

WP8: ENUMERATION & SOCIO-ECONOMIC SURVEY

NOTE: Whilst in many cases this is desirable, there may be instances where it could be risky or create tensions (e.g. where there is a high level of 'illegal' immigrants or where there is high level of illegal activity or where there is a high incidence of 'shack-lords' operating. The appropriateness of this work package therefore needs to be decided on a case by case basis.

Inputs: Door to door survey of either a sample of households (e.g. 20%) or else the entire settlement. The process requires professional oversight (e.g. to design survey questionnaires and collate main findings) but work on the ground is usually undertaken by local residents or enumerators who typically receive a basic stipend.

Outputs:

➤ **Household register / data-base indicating:**

- Household composition:
 - Name of household head and gender
 - Citizenship (but only if this is regarded as being an 'unthreatening' issue)
 - Total number living in house including outbuilding
 - Number of dependents and ages
- Settlement dynamics:
 - Duration living in settlement
 - Prior place of residence
- Top-structure: number of rooms, type of top-structure materials
- Ownership: Resident owns or rents shack. Are there subtenants?
- Existing infrastructural services: sanitation used, water sourced, road / footpath access
- Existing social services: which schools, clinics, etc are accessed
- Income:
 - Current sources of income / employment
 - Estimated per household income
- Any special needs within the household
- Main household challenges experienced on a day to day basis
- Any additional information considered relevant

➤ **Socio-survey report: short report summarizing the main issues and trends in respect of the survey**

Human resource requirements: Land legal expert preferably with housing experience (e.g. conveyancing attorney, land surveyer)

Budgetary requirements: Between R10,000 and R20,000 per settlement. It is however noted that the budget required for this item will vary significantly depending on the number of properties and complexity of land legal issues. The budget will increase when there is a large number of properties or if there are special circumstances such as deceased estates / the need for a deeds office search for registered deeds of grant.

WP9: PLANNING ISSUES, PRELIMINARY BLOCK LAYOUT & YIELD ESTIMATE

Inputs:

- 1) Obtain and review of existing base information (e.g. recent orthophotos, GIS information, IDP, Housing Sector Plan, SDF, any other relevant local spatial plans) and make these available to other members of the professional team.
- 2) Interact with relevant municipal personnel in respect of planning issues.
- 3) Review reports from other professionals (see above – land legal, bulk services, environmental, geotech, social).
- 4) Site visit.
- 5) Preliminary slope analysis.
- 6) Assess logic of proposed project boundary.
- 7) Assessment of main developmental constraints.
- 8) Assessment of need for potential densification (e.g. via more pedestrianised layout, double story low cost housing typologies).
- 9) likely
- 10) Initial meetings with the community together with the social facilitator with respect to the project concept and key issues / constraints.

Outputs:

- Revised **project boundary** taking into consideration planning and site constraint issues.
- **Preliminary slope analysis** – based on existing contours
- **Site constraints** map showing land which is undevelopable for housing due to slope, land legal issues (e.g. powerline servitudes), bulk services availability, environmental issues etc.
- **Block layout** showing reserves for roads, stormwater controls and any other services; blocks for residential or other uses (excluding undevelopable land).
- **Contextual plan** showing locality of site relative to neighbouring precincts, main transport routes, key social facilities (e.g. education and healthcare); transport hubs
- **Housing / site yield estimate** based on assumed densities per hectare and developable area.
- Short (preliminary) report indicating:
 - Viability of proposed project in terms of site constraints and yield
 - Main planning considerations for : a) the delivery of interim services; b) future full upgrading.
 - Existing land use
 - Existing social facilities & adequacy thereof (especially schools, health, telephones, transport)
 - Congruency with existing Integrated Development Plans / housing plans/ Land Development Objectives / other spatial plans
 - Comment on current level of service and top structures
 - Comment on preliminary block layout, yield estimate, site sizes.
 - Comment on possible relocations (both current for interim services as well as potential future relocations when full upgrading occurs).
 - Comment on need for project to promote densification and implications if any for the preliminary block layout.
 - Comment on required future changes in zoning when full upgrading occurs.

Human resource requirements: Town planner with low income housing and layout experience. Some input from the Engineer responsible for the design of interim engineering services will also be required.

Budgetary requirements: Between R20,000 and R30,000 per settlement.

WP10: SCHEDULE OF INTENDED INTERIM BASIC SERVICES

Inputs and outputs: Based on the pre-ceding work, a schedule of intended interim basic services along with a broad (intended) design specification (e.g. road width or pipe diameter) as well as an assumed budgetary allocation which the Municipality feels is affordable and sustainable. It is emphasized that these intended broad specifications and budgetary targets will need to be reviewed after the engineer's preliminary design work has been undertaken.

Human resource requirements: Experience Municipal Engineer or other personnel assisted by the project engineer.

Budgetary requirements: Between R5,000 and R10,000 per settlement.

Phase 2: Planning & Design of Interim Services

PROJECT MANAGEMENT

As for Phase 1 'Preparation Management': budget increases to between 25,000 and 100,000

W11: TOPOGRAPHIC SURVEY

NOTE: This will probably only be necessary where substantial infrastructure is intended such as roads & associated storm-water controls, water mains or sewer mains and will need to focus mainly on the areas or 'strips' where such services are to be provided..

Inputs:

- 1) Source recent mapping and cadastral information (including geo-referenced true scale images from available photography).
- 2) Undertake on-the ground topographic survey (see below) sufficient for the detailed design of the intended basic engineers services [specify those to be provided e.g. roads & associated storm-water controls, water mains or sewer mains].
- 3) Work closely with other members of the team including the engineer, town planner and project manager and provide information to them as required. Attend team meetings as required.

Outputs: Topographic survey plan showing the following:

- Contours at 1m intervals for all of the site or else those portions indicated by the engineer (unless otherwise indicated: x and y accurate to within 0.05m and height to 0.1m).
- Within the defined 'strips' where serviced are intended, ensure that the survey, amongst other things, identifies and / or defines the following:
 - Outside figure diagram(s)
 - Contours at 1m interval (approx 10m grid spacing)
 - Any existing services (e.g. manholes, roads, telephone lines, power lines etc)
 - Existing top-structures / buildings – code the buildings – tin shack, block, formal,
 - Significant trees
 - Any historical buildings or religious sites
 - To ensure that all existing and proposed servitudes are indicated to the required degree of accuracy required by the engineers or planners;
- Liaise with the project planner as well as the various service authorities within the Ethekwini Municipality and obtain all related survey information.
- Obtain / confirm base cadastral information and contour information relating to the defined services 'strips'.

- Obtain all survey related data of existing power line, rail, and water and road servitudes which may affect the defined services 'strips'.
- Survey any unregistered servitudes and map the data for onward submission to the Town planner.
- Survey building lines and any restrictive conditions found on the relevant title deeds.
- Provide outside figure for project in discussion with Town Planner / Municipality.

Human resource requirements: Registered surveyor.

Budgetary requirements: To be determined by quotations / tenders. Might not always be required. Where required, approximately R50,000 (but could be more in some terrain or for expansive sites or where a high level of service is intended)

WP12: STRIP GEOTECHNICAL SURVEY (GFSH2 LEVEL)

NOTES: 1) This will probably only be necessary where substantial infrastructure is intended such as roads & associated storm-water controls, water mains or sewer mains and will need to focus mainly on the areas or 'strips' where such services are to be provided. 2) It is recommended that, where possible, this survey be extended to the entire site, as the additional cost premium is likely to be relatively small and a full GFSH2 level geotech is then 'bankable' for the time when the planning for full upgrading commences. Please refer to 'Module 4: Full Upgrading', 'Feasibility and Preliminary Design' stage for the slightly increased definition for this full GFSH2 Geotech work package.

Inputs: GFSH2 level Geotechnical Survey sufficient for the design of specified interim engineering services including site inspections, collection of samples, inspection pits, penetrometer tests, and laboratory tests. Source existing surveys from municipality and other sources.

Outputs: Refer to standard DoHS GFSH2 form and criteria. Includes but not necessarily confined to:

- Assessment of slope stability
- Engineering assessment and the preparation of recommendations and specifications to guide the Principal Consulting Engineer designer in the design of the infrastructure and housing foundations by terms of the following aspects:
 - Any bulk earthworks required;
 - Material excavatability/rippability classification for road construction and installation of shallow buried services;
 - Material suitability for bulk earthworks, service trenches and road sub-grade construction. To this end, costing is based on the hire of a backacter (TLB) and appointment of a commercial materials testing laboratory to test and analyse bulk samples for sieve analysis, Atterberg limits, Moisture-Density (Mod. A.A.S.H.T.O.) and California Bearing Ratio (C.B.R.) characteristics.
 - Site drainage pertaining to general subsoil drainage and stormwater management, and guidelines for the siting;
 - Evaluation of founding conditions and recommendations for constructing lightly loaded single storey housing foundations (even though topstructure delivery will only occur later, this information will be valuable to assist with later work in this regard).
 - National Home Builder's Registration Company (NHBRC) Requirements: Work and documentation sufficient to meet NHBRC specification for a housing project at the detailed town planning, design and township establishment phase.
 - Analysis and Preparation of Geotechnical Report which includes:
 - Description of geology, subsoil and groundwater conditions including results of insitu testing (Inspection pits and DCP tests);
 - Slope stability assessment in terms of proposed urban plan scheme (if available);
 - Road subgrade evaluation classification as per TRH 14 criteria based on the laboratory findings;
 - Evaluation of material excavatability / rippability characteristics;
 - Founding conditions and founding options / recommendations for lightly loaded single storey structures (even though housing is only intended for a later phase of development);;
 - Recommendations for suitability of insitu materials for use in housing platforms, as backfill in service trenches and in road bed/layerworks (even though housing is only intended for a later phase of development);

- Geotechnical Layout Plan showing: the positions of the insitu testing and laboratory testing on a plan supplied by Principal Engineer/ Surveyor; any unsuitable development slopes including Poor Founding Areas; and any other geotechnical features ie hard rock, seepage zones etc, if applicable.

Note: Report to be prepared in MS Word and MS Excel format, with Geotechnical Layout Plan to be drafted in AutoCad. All plans must include a legend, scale and orientation.

Human resource requirements: Experienced geotechnical specialist (e.g. geotechnical engineer), preferably with housing experience.

Budgetary requirements: To be determined by a quotation. Might not always be required. Where required, approximately R46,000 (but could be more in some terrain or for expansive sites or where a high level of service is intended).

WP13: DESIGN OF INTERIM SERVICES AND COST ESTIMATES

NOTE: The level of engineering input may vary significantly depending on the level and intensity of interim basic services envisaged. The scope may be significantly less if the level of service is limited (e.g. on site sanitation only).

Input and outputs:

- Confirmation with Municipality (who must ensure engagement with the community) in respect of the intended level of service and assumed budgetary allocation (i.e. preliminary design and budget target).
- Determination of 1:50 and 1:100 year flood-lines (and accommodation within design and layout).
- Preliminary basic services layout and preliminary estimates for specified interim engineering services.
- Engagement with municipality in respect of the acceptability in respect of cost and level of service.
- Acquisition from municipal client of a directive in respect of any adjustments required to the level of service.
- Final layout for basic engineering services.
- Detailed design drawings and cost estimates for the construction / delivery of the specified interim engineering services.
- Draft tender documentation.

Human resource requirements: Civil engineer with extensive experience in the design and delivery of municipal services such as water, roads and sewers.

Budgetary requirements: Highly variable. R125,000 to R500,000 (R250toR1,000 per site / 5% of capital budget).

WP14: ENVIRONMENTAL AUTHORISATIONS

NOTE: This will only be necessary where there are particular sensitivities or where a listed activity in terms of the new environmental regulations has been 'triggered'.

Input and outputs: Where this is required, this may take various forms: Either: a) A full **Environmental Impact Assessment** (often supported by one of more specialist reports) and resulting in a 'record of decision' or b) in some cases a **Basic Assessment** and / or c) in some cases an **Environmental Management Plan** (for the construction stage). The specific scope will be determined in part by the preliminary environmental assessment conducted earlier in the preparation process (see above) and in part by the tenders / proposals received.

Human resource requirements: Experienced and registered environmental consultant / practitioner, preferably with infrastructure experience.

Budgetary requirements: High variable. Between R37,500 and R75,000 per project.

WP15: APPLICATION FOR FUNDING

(to the DoHS and / or MIG)

Input and outputs: Applications to the KZN DoHS for UISP funding or else inclusion in accredited Municipality's application for USDG funding.

Human resource requirements: Experienced municipal personnel, typically assisted by Civil Engineer responsible for design.

Budgetary requirements: R5,000 to 10,000

Phase 3: Construction of Interim Basic Services

As per municipal tender.

MODULE 3: PLANNING & DELIVERY OF EMERGENCY SERVICES

OBJECTIVES

To rapidly address basic health, safety and servicing problems by means of planning for and rapidly delivering appropriate emergency basic services and to thereby improve the quality of life and livelihoods of residents and include them more fully into the town / city, even though full upgrading (delivery of full services, tenure and top-structures) does not appear viable on the site in question.

SCOPE OF WORK, HUMAN RESOURCES AND BUDGET

The scope of work for this module is almost identical to that for Module 2 (Interim Basic Services) with the main exceptions that:

- A. The level of services to be provided will typically be lower and more 'basic' in nature.
- B. There may also be cases where some of the work packages (e.g. environmental, bulk services and geotechnical) may not be required if the level of services is extremely rudimentary and the level of investment is low (e.g. in the even that only on-site sanitation and occasional standpipes are to be provided).

Considerable flexibility should therefore be maintained in undertaking this module / response in respect of which work packages are undertaken.

MODULE 4: PLANNING & DELIVERY OF A FULL UPGRADE

OBJECTIVES

- To plan and delivery a full upgrade (i.e. full services, tenure and top-structures) as one continuous developmental process.
- To improve the quality of life and livelihoods of residents and include them more fully into the town / city.
- To promote greater urban efficiency and spatial restructuring.

Stage 1: Pre-feasibility

As for Stage 1 for Interim Basic Services with the following additional work packages:

LAND AVAILABILITY ASSESSMENT

Inputs:

- 1) As a follow up to the Land Audit and Preliminary Block Layout and Yield Estimates, preliminary engagement with landowners or their representatives and make other investigations in order to determine their willingness to consider selling their land for purposes of a low income housing development. This is done at a desktop / pre-screening level and is not at the level of negotiating land availability agreements or selling price.

Outputs:

- Schedule of properties making up the project area, with the following information for each property (including information already provided through the land legal assessment:
 - property description
 - owner
 - extent (ha)
 - current land use-age
 - description of interactions which took place,
 - assessment of the potential for land acquisition either through private treaty or else by means of expropriation,

Human resource requirements: Person with experience in land acquisitions for housing (e.g. project manager, attorney, surveyor).

Budgetary requirements: Highly variable depending on the number of properties and accessibility of landowners and property information. A budget of between R5,000 and R7,500 would usually be sufficient for a desktop screening exercise of this nature.

Stage 2: Feasibility & Preliminary Design

COMMUNITY PARTICIPATION & CONSULTATION

Inputs and outputs: Similar to the pre-feasibility phase and including ongoing liaison with community leadership and assisting the professional team in interacting with the community.

Human resource requirements: Experienced social facilitator preferably with housing and infrastructure experience and with some level of understanding of technical issues such as town planning, engineering design, geotechnical and environment issues etc.

Budgetary requirements: R15,000 to R37,500

GFSH2 GEOTECH (incl. VARIANCE CALCULATOR)

NOTES: This work package is almost identical to that for Interim Basic Services except that it covers the entire project area and includes a small amount of additional assessment with respect to topstructure foundations and possible retainings (given that a design team will be working concurrently on these which is not the case for interim services planning and delivery).

Inputs: GFSH2 level Geotechnical Survey sufficient for the design of specified engineering services and top-structures and including site inspections, collection of samples, inspection pits, penetrometer tests, and laboratory tests. Source existing surveys from municipality and other sources.

Outputs: Refer to standard DoHS GFSH2 form and criteria. Includes but not necessarily confined to:

- Assessment of slope stability
- Engineering assessment and the preparation of recommendations and specifications to guide the Principal Consulting Engineer designer in the design of the infrastructure and housing foundations by terms of the following aspects:
 - Any **bulk earthworks** required;
 - Material **excavatability/rippability** classification for road construction and installation of shallow buried services;
 - **Material suitability** for bulk earthworks, service trenches and road sub-grade construction. To this end, costing is based on the hire of a backacter (TLB) and appointment of a commercial materials testing laboratory to test and analyse bulk samples for sieve analysis, Atterberg limits, Moisture-Density (Mod. A.A.S.H.T.O.) and California Bearing Ratio (C.B.R.) characteristics.
 - Site **drainage** pertaining to general subsoil drainage and stormwater management, and guidelines for the siting;
 - Evaluation of **founding conditions** and recommendations for constructing lightly loaded single storey housing foundations (even though top-structure delivery will only occur later, this information will be valuable to assist with later work in this regard).
 - **National Home Builder's Registration Company (NHBRC)** Requirements: Work and documentation sufficient to meet NHBRC specification for a housing project at the detailed town planning, design and township establishment phase.
 - Analysis and Preparation of Geotechnical Report which includes:
 - Description of geology, subsoil and groundwater conditions including results of insitu testing (Inspection pits and DCP tests);
 - **Slope stability** assessment in terms of proposed urban plan scheme (if available);
 - Road subgrade evaluation classification as per TRH 14 criteria based on the laboratory findings;
 - Evaluation of material excavatability / rippability characteristics;
 - Founding conditions and founding options / recommendations for **top-structures** (i.e. lightly loaded single storey or or double storey structures), it being noted that interaction with the Civil Engineer and Architect are critical in order to determine the intended top-structure types as well as any special foundations or retaining wall requirements.
 - Recommendations for suitability of insitu materials for use in housing platforms, as backfill in service trenches and in road bed/layerworks (even though housing is only intended for a later phase of development);
 - Geotechnical Layout Plan showing: the positions of the insitu testing and laboratory testing on a plan supplied by Principal Engineer/ Surveyor; any unsuitable development slopes including Poor Founding Areas; and any other geotechnical features ie hard rock, seepage zones etc, if applicable.
 - Completed and signed off GFSH2 variance calculator.

Note: Report to be prepared in MS Word and MS Excel format, with Geotechnical Layout Plan to be drafted in AutoCad. All plans must include a legend, scale and orientation.

Human resource requirements: Experienced geotechnical specialist (e.g. geotechnical engineer), preferably with housing experience.

Budgetary requirements: Typically R40,000 to R75,000 (it being noted that the actual cost will be determine principally by the extent of the land in question and not the number of planned sites).

TOPOGRAPHIC SURVEY

NOTE: This work packages is identical to that for Interim Basic Services except that I covers the entire project area.

LAND ACQUISITION

Notes: 1) The budget for this item will vary significantly depending on the nature of the land assembly acquisition required; 2) The nature of the work required will be informed in large part by the preliminary land audit undertaken in the pre-feasibility stage); 3) As mentioned above, where the land assembly process is complex and risky it may be advisable that this be undertaken as a separate process before the commencement of the feasibility stage; 4) Most land that is easy to acquire for low income housing has already been acquired and developed and most of the remaining land faces a range of developmental difficulties, including those relating to land legal and land assembly issues.

Generic scope of work:

- ❖ Utilise information from Land Audit (completed during pre-feasibility) to determine ownership status and key land legal issues.
- ❖ Assess land / property owners' willingness to sell land (or otherwise make it available on the basis of fair and reasonable compensation)
- ❖ Reach agreement on selling / compensation price
- ❖ Get agreements of sale signed (subject to DoHS subsidies and other funding being approved) ALTERNATIVELY enter into land availability agreements which specify the landowner's willingness to sell their land ALTERNATIVELY embark on expropriation process in accordance with relevant legislation (see below for more information)

Variation 1: Small number of private land-owners willing to sell land (R10,000-R20,000): As per the generic scope of work. Expropriation can be considered in special cases (e.g. landowners unwilling to sell or asking unrealistic, non market related prices).

Variation 2: Private landowners who are deceased (deceased estates) (R10,000-R20,000 excluding expropriation process if required): Scope heirs of deceased estates to determine their willingness to sell their land. If significant progress is not underway in terms of winding up all estates, consider expropriation process (see below).

Variation 3: Ingonyama land (R10,000-R20,000): The Ingonyama Trust is the registered owner of most land falling under traditional authorities (Amakhosi) in KwaZulu Natal, as well as some land which has subsequently been included into urban areas / R293 townships. In all cases the Ingonyama Trust must be contacted via its Secretary (currently Chris Aitken) and authorisation obtained from the ITB, with the ultimate purpose of entering into a land agreement between the Municipality and ITB. Land is usually sold at a nominal price. Any submission should be supported by the relevant Inkosi, for the relevant area (in writing). In the case of eThekweni Municipality, it is noted that the Municipality has authority over all Ingonyama land within an R293 boundary and no agreement with the ITB is required in these cases. The same status is in the process of being conferred on all land within the Metro boundary, even when it is outside R293 boundaries.

Variation 4: State Land (R10,000-R20,000): Similar to private land except that the relevant government department must be dealt with.

Variation 5: Absentee deed of grant holders on an established GP (R10,000-R20,000 excl. disbursements for deed of grant search and assuming support from Municipality's estate's department): This a common scenario in township areas in KZN such as Umlazi, often resulting from old IDT / RKDP projects. Where beneficiaries or other residents are residing in or near the area, ensure that the socio-survey captures information on who either has evidence of holding deed of grant (and record the number) or claims to hold one. Do a search in the Deeds Office (cost is approx. R10 per property / deed of grant) to determine how many and which DoG's were

registered. A check is required to determine if the existing GP is practical or if it needs to be amended either for more efficient town planning (refer to town planner) or because substantial houses or services have been constructed across cadastral boundaries. A process for expropriation of sites for absentee DoG holders may be required (see below) as well as a process for allocating or re-allocating existing DoG holders sites in the development. A process for amending or replacing the existing GP may also be required. The services of an experience land legal professional / surveyor will be required to execute this brief

Variation 6: Properties under liquidation, repossession, or in default of bank repayments: In all cases the bank or relevant financial institution must be involved.

Variation 7: Expropriation

Private treaty may not be a practical land acquisition process in some cases and in these cases expropriation may need to be considered. The reasons for this might include the following:

- ❖ The existence of multiple deceased estates where significant delays will result if private treaty is utilised since all estates will first need to be wound up and this process can be extremely time consuming.
- ❖ Absentee landlords who cannot be located.
- ❖ Informal tenure transfers such as 'old' deeds of grant or even title deeds which have been informally transferred over the years but never registered in the deeds office.
- ❖ Landowners not willing to sell their land or asking unrealistic prices not in line with the market value.

Legislative processes for expropriation:

There are two main legislative processes in terms of which expropriation can take place for low income housing projects. In all cases expropriation must be undertaken in terms of the SA Constitution and balancing the rights of landowners with the rights of people to basic services and housing for which land is usually a pre-requisite:

- ❖ Municipal Ordinance in combination with the Expropriation Act: this is the usual mechanism.
- ❖ Housing Act: however this can only be utilised for projects which are already approved by the Department of Housing and is therefore unlikely to benefit most projects.

Scope of work for expropriation (summary)

(R90,000-R110,000 excluding costs of land purchase)

Notes: 1) It is critical that throughout the process that all the specified legal and legislative processes are followed and correctly documented. 2) It is critical that timeframes be adhered to and that negotiations with landowners are not open-ended (otherwise landowners can delay and frustrate the development process). 3) Three professionals are required for the process: a land legal consultant, a land negotiator / facilitator, and a registered land valuer. 4) It is essential that at least the project pre-feasibility is complete and has indicated project viability and project yield / scale, prior to commencing with the expropriation process outlined below, in order to avert a situation where non viable, marginal or unsuitable land is unnecessarily expropriated.

- ❖ PHASE 1: SCOPING (R10,000-R20,000):
 - Land audit: This is already complete from the pre-feasibility stage and includes verification of title deed conditions, servitudes and other restrictive conditions of title, rates arrears, land claims, mineral rights, zoning.
 - Initial engagement with landowners This should also already be completed from the pre-feasibility stage in order to confirm key issues (e.g.: extent of deceased estates) and to assess owners' willingness to dispose of their land on the basis of market related compensation.
- ❖ PHASE 2: VALUATIONS (R20,000-R30,000 assuming no valuation of improvements and assuming the state only pays for one valuation and expects landowners to pay for a second valuation if they desire one to be done): This entails the valuation of land (and improvements if applicable) by an independent and qualified valuer.

In the case of informal settlement upgrades the improvements are not usually valued due to their informal nature (and the fact that they were often not erected by the landowner but their tenants). The value of the land is therefore usually informed by the intended land use (i.e.: low income housing) and is therefore informed in part by the preliminary town plan or block layout and yield estimates. An overlay of the prelim layout on the cadastral plan for the area assists the valuer in determining the expected housing yield for each property and also assists the municipality and project team in eliminating land which is un-developable. In some cases the valuer may request the services of a professional land surveyor to verify planning and other considerations.

- ❖ **PHASE 3: EXPROPRIATION** (Approximately R60,000: R30,000 for a land legal consultant and R30,000 for a land negotiator) - the process below assumes utilisation of the Municipal Ordinance and Expropriation Act (as opposed to the Housing Act (see above):
 - **3a) Further engagement with landowners:** explanation of need for expropriation to expedite delivery, results of land valuations and principle of fair compensation, where possible signature by landowners of land availability agreement (consent to make land available)
 - **3b) Council resolution to expropriate:** Report to Council recommending expropriation and including: a) purpose and motivation for expropriation (including public interest being served); b) results of valuations; c) level of support from landowners; d) how any rates arrears should be dealt with (e.g.: write off or deduct from property value). Acquisition of Council decision to expropriate in terms of Municipal Ordinance. This resolution is typically a blanket resolution to acquire for the project by means of private treaty and / or expropriation and / or a mixture of both. In some cases this resolution is obtained earlier in the process, but this depends on the preference of the municipality.
 - **3c) Line up required land funding:** Lodge applications from the Municipality for the acquisition of land funding (e.g.: from the Department of Land Affairs, the Department of Housing's Human Settlement Redevelopment Program (in terms of the new Breaking New Ground Policy). Once there are reasonable indications that land funding is available, then:
 - **3d) Municipal Ordinance expropriation process:** Serve notice on landowners of intention to expropriate in terms of Municipal Ordinance, obtain objections (at this stage on the issue of process not value) and process within 30 day period. Address objections raised to the extent possible and practical. Compile report motivating expropriation to be sent from the Municipality to the Premier (or equivalent department), follow through with the Premier's office to address any specific queries.
 - **3e) Expropriation Act process:** Acquisition of approval from Premier. Serve notice of expropriation on landowners or their executors. Transfer land to Municipality. Deal with any disputes or objections from landowners on the issue of compensation value by means of legal (court) processes (note that this can be minimised through correct engagement with landowners under phases 2 and 3 above).

PRELIMINARY TOWN PLANNING LAYOUT & REPORT

NOTE: The intensity and budget for this will vary depending on the nature of the settlement as well as the level of available topographic and geotechnical survey information.

Inputs:

- 1) Workshops with community and Municipality on layout and acquisition of support
- 2) Obtain sufficient input from the civil engineer to ensure that the layout concept is efficient from a servicing perspective and is likely to meet the Dept Housing's and Municipality's service standards.

Outputs:

- 3) **Drawings** (note: all plans must include a legend, scale and orientation)
 - Locality plan, project and phase boundaries
 - Contextual plans: any relevant contextual plans such as extracts from IDP or other spatial plans
 - Slope analysis: (completed in the pre-feasibility stage - >1:3, 1:3 – 1:10, <1:10)
 - Preliminary town plan layout: (at least A1 size):

- boundary and agreed phasing of the project
- number of sites and site sizes (ensuring sufficient space for top-structure extensions)
- sites allocated for key social services (e.g.: education, health, police stations), LED, recreation, public open space etc (this needs to take into consideration an assessment of the facilities available in adjacent settlements / areas to avoid unnecessary duplication)
- 1:100 yr floodlines
- informally settled portion of project area where applicable
- areas for which there is an established General Plan where applicable
- undevelopable areas (based on site visit, slope analysis, risk of flooding, report on bulk services, geotechnical appraisal, land audit report) – (already produced in the pre-feasibility stage)
- Preliminary town plan overlay on existing cadastral
- **Report** (*Note: this report should include the information from the planning report completed in the pre-feasibility stage*)
 - comment on IDP / housing plan alignment
 - comment on: layout, estimated yield, site sizes, proposed level of service, proposed top-structures, land use pattern, the agreed phasing, geo-technical conditions and flooding, sites set aside for social services / LED / recreation etc
 - meetings or workshops held with the beneficiary community and municipality, at least two or three focused workshops / meetings on town plan options and constraints.
 - community facility requirements, especially health, education, telephones, recreation, and service centers
 - how the planning supports economic development, agriculture, special needs / HIV AIDS relief
 - proposed township establishment route (inputs from land legal consultant) – including comment on discussions / meetings with the provincial planning department (DLGTA)
 - proposed zoning, process and time frame for any zoning changes required
 - re-locations into or out of the area (if applicable)
 - logic of the project boundary defined – specify how it was defined
 - in cases where expropriation is required, a property schedule (based on the land audit and preliminary town plan overlay on cadastral) showing the following information for each property: description, extent, registered owner, title deed number, projected yield, comments on proposed use
- Completed Department of Housing variance calculators (formerly 'GE2) for special allowances relating to locational, topographic or other factors.

Human resource requirements: Experienced town planner with low income housing layout and informal settlement upgrading experience.

Budgetary requirements: R25,000 to R75,000.

PRELIMINARY URBAN DESIGN

Note: This may not always be required, but is desirable in cases where a high density needs to be achieved or where the project is being undertaken at a significant / precinct level.

Input:

- 1) Assessment of different options for utilization of public space (pedestrian walkways, roads, parks, gardens etc) and public realm investment and especially how such public spaces and residential units can best be spatially configured to promote a more efficient and habitable urban form which maximizes scarce land use whilst maximizing 'sense of place', functionality and aesthetic considerations.
- 2) Close interaction with project architect and civil engineer in order to assess layout / urban design / topstructure options.
- 3) This should be undertaken as part of and as an extension to / expansion of the above town planning layout work.

Outputs:

- Preliminary urban design elevations and sketches.
- Enhanced town planning layout.

Human resource requirements: Town planner or architect with urban design experience as well as low income housing experience.

Budgetary requirements: R15,000 to R30,000 (over and above town planning and architectural work outlined above).

PARTICIPATIVE (PRELIMINARY) LOCAL SPATIAL PLAN

NOTE: This work should be undertaken as an extension of the preliminary town planning work outlined above.:

Inputs:

- Obtain / review existing base maps and relevant plans including: a) extracts of the municipality's IDP, sector plans and sub-regional plans; b) Provincial Growth and Development Strategy.
- Liaise with professionals who have worked in the area such as engineers, geotechnical and environmental consultants
- Facilitate meetings / workshops with key stakeholders including the local community, municipality, key government departments (e.g. Education, Health) in order to identify key issues, needs and plans in order to inform and guide the local spatial plan.
- The main objectives of the plan is to: a) inform future development and investment including investment in key infrastructure such as roads, key social facilities and social services; b) promote integration of the settlement / project into neighboring communities; c) promote greater spatial efficiency.

Outputs:

- **Plan**, preferably at A0 scale to enable presentation at workshops. The format must make them easily accessible by stakeholders who do not have technical development expertise. The plan needs to show both the status quo as well as key spatial developmental priorities to guide future investment.

- Existing and proposed nodes or sub-nodes of commercial activity / social services / transport hubs
- Existing and proposed main movement corridors (preferably primary, secondary and tertiary movement corridors)
- Existing and proposed land uses
- Existing and proposed /planned key social facilities such as:
 - Schools
 - Hospitals
 - Clinics
 - Pre-schools
 - Education
 - Sport and recreation
 - Fire stations
 - Police stations
 - Open space
- Existing economic / commercial / agricultural activities (and if applicable those proposed).
- Key boundaries including project boundary, ward boundaries, municipal boundary.
- Key natural features (e.g. rivers / wetlands).
- Any relevant features / elements / constraints arising from the pre-existing work such as the environmental assessment, bulk services assessment, town planning layout, and preliminary engineering services layout.
- **Report** (short) providing a short overview including the following:
 - Key informants of the plan (e.g. movement corridors, de-facto nodes, key economic activity).
 - Process followed for formation of the plan (including participation).
 - Overview of spatial planning context (de-facto conditions as well as reference to IDP and other key plans).
 - Existing and proposed land use.
 - Adequacy of existing social services / facilities and implications / recommendations.
 - Main developmental and investment priorities.

Human resource requirements: Experienced town planner with spatial and participative planning experience.

Budgetary requirements: Variable but between R15,000 and R30,000 should be sufficient to augment the existing planning budget.

MUNICIPAL MULTI SECTOR ENGAGEMENT

Inputs: Interactions / meetings involving various responsible services providers / Departments (e.g. Dept. Health, Dept. Education, relevant local NPO's, NGO's and grassroots organizations, municipal fire protection services etc). The town planning work and preliminary local spatial plans should be utilized as a key input.

Outputs: Record of discussions including key decisions relating to investment plans or undertaking to provide / expand specific services.

Human resource requirements: Municipal official

Budgetary requirements: Nil

ARCHITECTURAL DESIGN & HOUSING DELIVERY METHOD

Inputs:

- 1) Site visit with key community representatives, municipal officials, and team members (especially town planner and engineer).
- 2) Workshops / meetings with municipality, community and professional team to assess different housing options and delivery options.

- 3) Definition of criteria (e.g. achieving a high density and minimizing or eliminating relocations; maximizing local labor; ePHP) that need to be taken into consideration in selecting a housing approach as well as the applicable constraints.
- 4) Assessment of different housing options (e.g. one house one plot vs attached double storey units) and delivery options against defined criteria.
- 5) Recommendations on most appropriate design and delivery solution.
- 6) Confirmation via meetings / workshops with community and municipality as to preferred housing option and delivery method..
- 7) Workshop tenure options.

Outputs:

- Preliminary architectural floor plans and elevations sketches.
- Preliminary bill of quantities.
- Preliminary cost estimate based on either an analogous estimate or else utilizing the input of a QS on the preliminary bill of quantities.
- Delivery method decision (e.g. incremental in situ upgrade vs roll-over upgrade involving temporary relocations).
- Involvement of owners and local contractors in housing delivery.
- Specify if People's Housing Process is applicable / has been selected.

Human resource requirements: Architect with low income housing experience (input from a QS may be required).

Budgetary requirements: R25,000 to R50,000

PRELIMINARY SERVICES DESIGN & LAYOUT

Inputs:

- Work closely with professional team members (especially geotechnical consultant, town planner and architect).
- 8) Liaise with the key Municipal or DM departments (including those which deal with water supply, traffic / transport, sanitation / waste water, electricity).

Outputs:

Drawings

(note: all plans must include a legend, scale and orientation)

- ❖ Locality plan showing project area
- ❖ Preliminary services layout (at least A1 in size):
 - NOTES:
 - ❖ *Where the municipality requires a higher level of service than the DoHS minimum standard and there is insufficient DoHS subsidy budget to fund the higher standard, and where such 'top up' funding is not readily available, then a second preliminary design may be required to the higher, municipal level of service (the DoHS will fund the costs of the first design and the Municipality must fund the balance).*
 - ❖ *In all cases the existing services must be specified and clearly distinguished from those which are planned for construction.*
 - ❖ *Wherever possible, the size (diameter) and peak flow capacity of pipes / facilities (e.g. pump stations) should be specified.*
 - INTERNAL SERVICES:
 - ❖ Road network including any pedestrian walkways (including width);
 - ❖ Storm-water reticulation.
 - ❖ Water reticulation
 - ❖ Sewer reticulation (if applicable);
 - ❖ 1:100 year floodlines
 - BULK SERVICES (the existing services must be specified and clearly distinguished from those which are planned for construction):
 - ❖ Proposed bus routes and taxi collectors

- ❖ Water mains and bulk connectors including pump stations and reservoirs
- ❖ Sewer mains and connectors including pump stations, outfall sewers and sewer treatment works

Preliminary design report:

❖ INTERNAL SERVICES:

- Cost estimates, specifications and lengths for all services to be provided (this must correlate with the above layout).
- The design must meet the minimum DoHS requirements (refer to DoHS norms and standards).
- Where the municipality requires / is funding a higher level of service (e.g. eThekweni), then cost estimates must be provided in both the DoHS and Municipal formats. Cost estimates must include Engineer's fees for design and supervision for project implementation.
- Comment on the proposed internal services, specification, materials, and any special issues or development controls required. Specify and comment on Municipal standards if they differ from DoHS minimum standards.
- Written confirmation of any top-up funding for internal services (if required).
- Notes on your meetings held with the beneficiary community with regard to proposed level of services;
- Rough valuation of existing services (if applicable) - previously funded by the state including formal / gravel roads, standpipes, pit latrines etc.

❖ BULK SERVICES:

- Rough cost estimates and specifications for any bulk services that are required and as outlined under services layout above.
- Written confirmation of any bulk services funding (if required).
- Comments on bulk services required

❖ Project budget, programme and cash-flow in Dept of Housing format (i.e.: P1 to P5 drawdowns).

Human resource requirements: Civil Engineer (registered professional engineer), preferably with infrastructure experience on low income housing projects.

Budgetary requirements: R25,000 to R75,000

Note: this report should include the information from the report on bulk services completed in the pre-feasibility stage.

IMPLEMENTATION PROGRAMME & CASHFLOW

Covered under preliminary engineering design work package above.

SUBSIDY APPLICATION

Inputs: All of the above-mentioned work.

Outputs: Completed UISP or other subsidy application pack including all appendixes. This application is for tranche 2 – infrastructural services, with the balance of funding for top-structures to come later on.

Human resource requirements: Project Manager or other suitable member of team (e.g. civil engineer / town planner)

Budgetary requirements: R5,000 to R7,000.

Stage 3: Detailed Design & Planning Approvals

As per municipal tender and terms of subsidy agreement between KZN DoHS and Municipality.

Stage 4: Services Construction

As per municipal tender and terms of subsidy agreement between KZN DoHS and Municipality.

Stage 5: Top-structure Delivery

As per municipal tender and terms of subsidy agreement between KZN DoHS and Municipality.

MODULE 5: PLANNING & DELIVERY OF RELOCATIONS

A relocation project consists of three main elements. In each case the applicable work packages described in previously defined modules are utilised. In the event that an existing greenfields project already has sites available, then no temporary relocations destination will be required. On the other hand, where municipal funding does not permit the planning and development of a greenfields housing project, then the temporary relocations destination may need to suffice for an extended interim period, and the selected site should therefore be appropriate (e.g. in respect of adequate access to public transport, education, health care, employment opportunities etc).

- A. A process of **engagement with the community** to be relocated in order to better understand the community and to obtain their involvement in the relocations process and associated choices (e.g. selection of an alternative site which is suitable and which disrupts their livelihoods and survivalist activities to the smallest extent; deciding the best timing for relocations etc). The applicable work packages for this element (subject to minor amendment and adaption) are the following as taken from Module 2 'Planning and Delivery of Interim Services':
 - I. Social facilitation
 - II. Participative multi sectoral action plans to address priority issues
 - III. Enumeration and socio-survey.

- B. The **planning and delivery of a temporary relocations destination** / transit camp (if one does not already exist). The applicable work packages for this element are all of the work packages (subject to minor amendment and adaption) as per Module 2 'Planning and Delivery of Interim Services', with the following additions:
 - I. Land acquisition will be required (refer to Module 4).
 - II. Possible rezoning (where the land is not zoned residential).
 - III. Possible environmental authorizations (Basic Assessment or EIA).

- C. The **planning and delivery of a new green-fields housing development**. The applicable work packages for this element (subject to minor amendment and adaption) are all of the work packages contained in Module 4 'Planning and Delivery of a Full Upgrade.

MODULE 6: IDENTIFICATION AND ACQUISITION OF SUITABLE LAND

The identification and acquisition of land which is suitable for human settlement and infrastructure and housing development may be undertaken as a stand alone process. One reason municipalities may do this is in order to 'get ahead' of housing backlogs, given the typically extended timeframes associated with land acquisition. It may also be split into two sub-modules: a) the identification of suitable land; b) the acquisition of suitable land. These two stages need not follow immediately one after the other (i.e. the first stage is a 'bankable' stage in its own right). Once land has been acquired, this stage may also be 'banked' until such time as there is a demand for its further planning and utilization. Some level of planning and the acquisition of development approvals (even to the level of township establishment) may be undertaken as a subsequent 'bankable' stage after land acquisition in order to make the site more readily available for development. A further incremental step of servicing the land (as per MODULE 2) could also then be considered. Municipality's must however bear in mind the inherent risks of land invasions once land has been acquired by them and once this information becomes public knowledge.

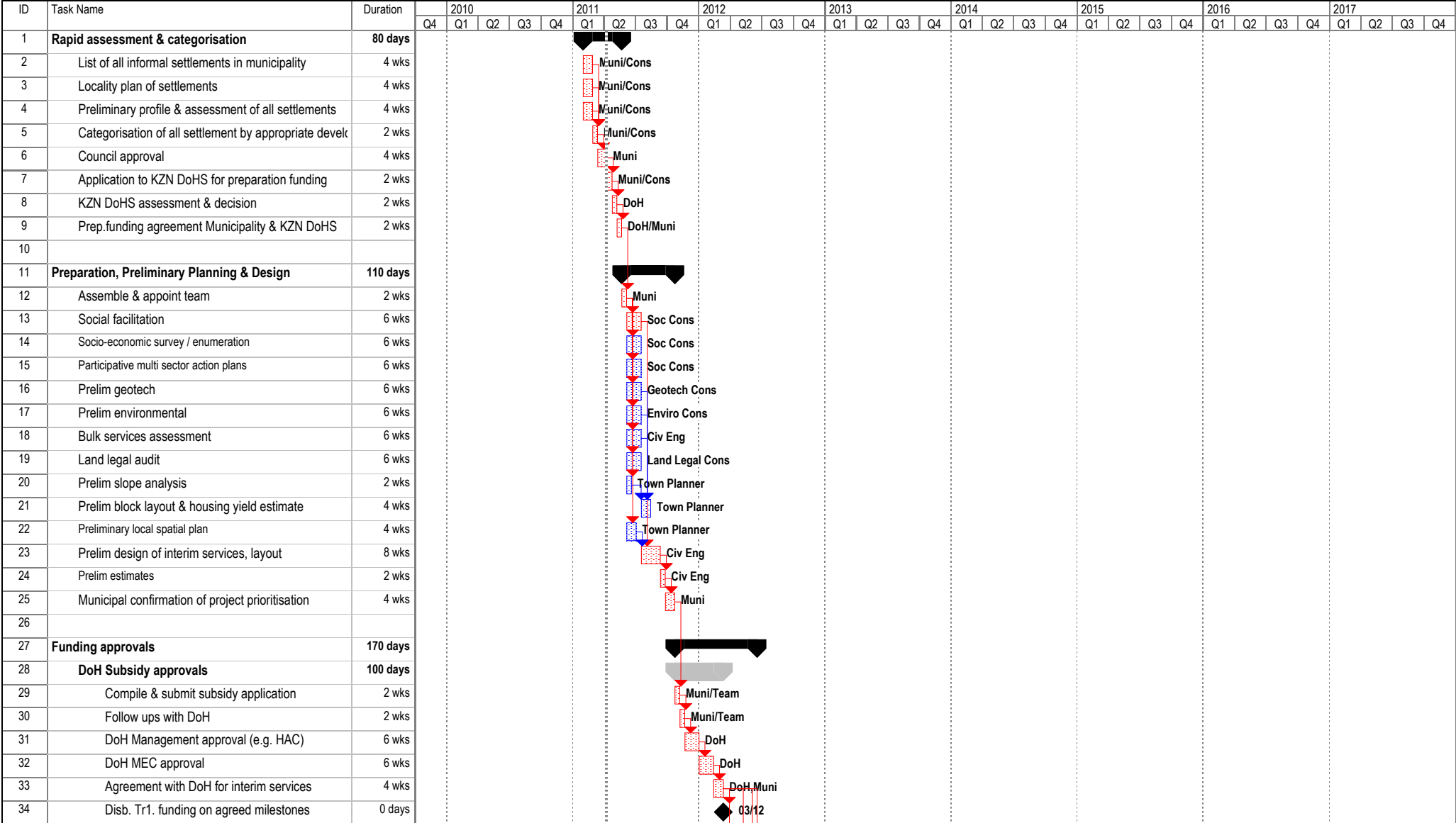
A. IDENTIFICATION OF SUITABLE LAND

This involves the following main activities:

- The definition of 'essential' criteria, which would typically be fairly standard and would relate to such key factors as access to requisite bulk services (water, road access, electricity, sewer mains where applicable etc) as well as to essential social services (schools, health care, public transport etc) OR the realistic potential for these to be provided within existing resource constraints (principally funding and human capacity).
- The definition of relevant 'desirable' criteria which need to be fulfilled for land parcels to qualify as being suitable (e.g. proximity to economic opportunities, site size / yield potential, ease of acquisition / current ownership, likely land cost etc).
- The identification of potential land parcels based on a desktop exercise and possible 'drive-through'.
- Site inspections of identified land parcels.
- Collection of desktop information on identified land parcels (i.e. at the same level of a preliminary assessment – i.e. MODULE 1) including assessment of ownership, topography, access to bulk services, obvious environmental issues, geotechnical conditions etc. It is emphasized that at this stage no dedicated professional work packages would usually be commissioned.
- Assessment / evaluation of land parcels against both 'essential' and elimination of those which do not meet these criteria.
- Assessment / scoring of land parcels against 'desirable' criteria.
- Recommendations on land parcels to be subjected to more detailed pre-feasibility level assessment and subsequent acquisition (i.e. priority list for land acquisitions).

B. ACQUISITION OF SUITABLE LAND

- Undertake the bulk of pre-feasibility investigations as per Module 4 (Full Upgrade). Included are: bulk services assessment, preliminary (desktop) geotechnical investigation, preliminary environmental assessment, land legal assessment, land availability assessment, planning constraints and preliminary block layout / yield estimate. Excluded are: social facilitation, participative action plans, enumeration and a schedule of interim basic services.
- In the event that the site is proven as NOT being viable, then the next site on the priority list should be subjected to a fresh pre-feasibility.
- Once pre-feasibility investigations demonstrate that a site is viable / developable, then land acquisition should commence (refer to the relevant work package under Module 4 (Full Upgrade)).



PPT Toolkits: Indicative Programme for the Preparation, Planning & Implementation of a Interim Basic Services for a Typical Informal Settlement



ID	Task Name	Duration	2010				2011				2012				2013				2014				2015				2016				2017			
			Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
35	Municipal infrastructure funding	70 days																																
36	Municipal submission: USDG/internal	4 wks																																
37	Assessment / approval	4 wks																																
38	Exco consideration & approval	4 wks																																
39	Municipal budget allocation	2 wks																																
40																																		
41	Land Acquisition (non-essential)	170 days																																
42	Assemble and appoint team	2 wks																																
43	Negotiations & valuations	12 wks																																
44	Applications for land funding (assume in place)	0 wks																																
45	Secure land funding (assume in place)	0 wks																																
46	Expropriation (assume not required)	0 wks																																
47	Land transfers & payments	20 wks																																
48																																		
49	Detailed Design, Contracting & Construction	280 days																																
50	Assemble and appoint team	2 wks																																
51	Detailed design interim services	8 wks																																
52	Estimates	2 wks																																
53	EIA / enviro authorisations / ROD (where applicable)	24 wks																																
54	Contract documentation	4 wks																																
55	Procurement of contractors	6 wks																																
56	Construction of interim services	24 wks																																
57																																		
58	Closeout	115 days																																
59	In house financial audit	4 wks																																
60	In house developmental audit	4 wks																																
61	External financial & developmental audit	4 wks																																
62	Draft project closeout report	1 wk																																
63	DoH financial audit	8 wks																																
64	DoH developmental audit	8 wks																																
65	Final Muni-DoH reconciliation	4 wks																																
66	Municipal closeout report	2 wks																																
67	DoH closeout report	2 wks																																

PPT Toolkits: Indicative Programme for the Preparation, Planning & Implementation of a Interim Basic Services for a Typical Informal Settlement



ID	Task Name	Duration	2010				2011				2012				2013				2014				2015				2016				2017						
			Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4		
1	Rapid assessment & categorisation	80 days																																			
2	List of all informal settlements in municipality	4 wks																																			
3	Locality plan of settlements	4 wks																																			
4	Preliminary profile & assessment of all settlements	4 wks																																			
5	Categorisation of all settlement by appropriate level	2 wks																																			
6	Council approval	4 wks																																			
7	Application to KZN DoHS for preparation funding	2 wks																																			
8	KZN DoHS assessment & decision	2 wks																																			
9	Prep.funding agreement Municipality & KZN DoHS	2 wks																																			
10																																					
11	Preparation, Preliminary Planning & Design	100 days																																			
12	Assemble & appoint team	2 wks																																			
13	Social facilitation	4 wks																																			
14	Socio-economic survey / enumeration	4 wks																																			
15	Participative multi sector action plans	4 wks																																			
16	Prelim geotech	4 wks																																			
17	Prelim environmental	4 wks																																			
18	Bulk services assessment	4 wks																																			
19	Prelim slope analysis	2 wks																																			
20	Prelim design of emergency basic services, layout	8 wks																																			
21	Prelim estimates	2 wks																																			
22	Municipal confirmation of project prioritisation	4 wks																																			
23																																					
24	Funding approvals	170 days																																			
25	DoH Subsidy approvals	100 days																																			
26	Compile & submit subsidy application	2 wks																																			
27	Follow ups with DoH	2 wks																																			
28	DoH Management approval (e.g. HAC)	6 wks																																			

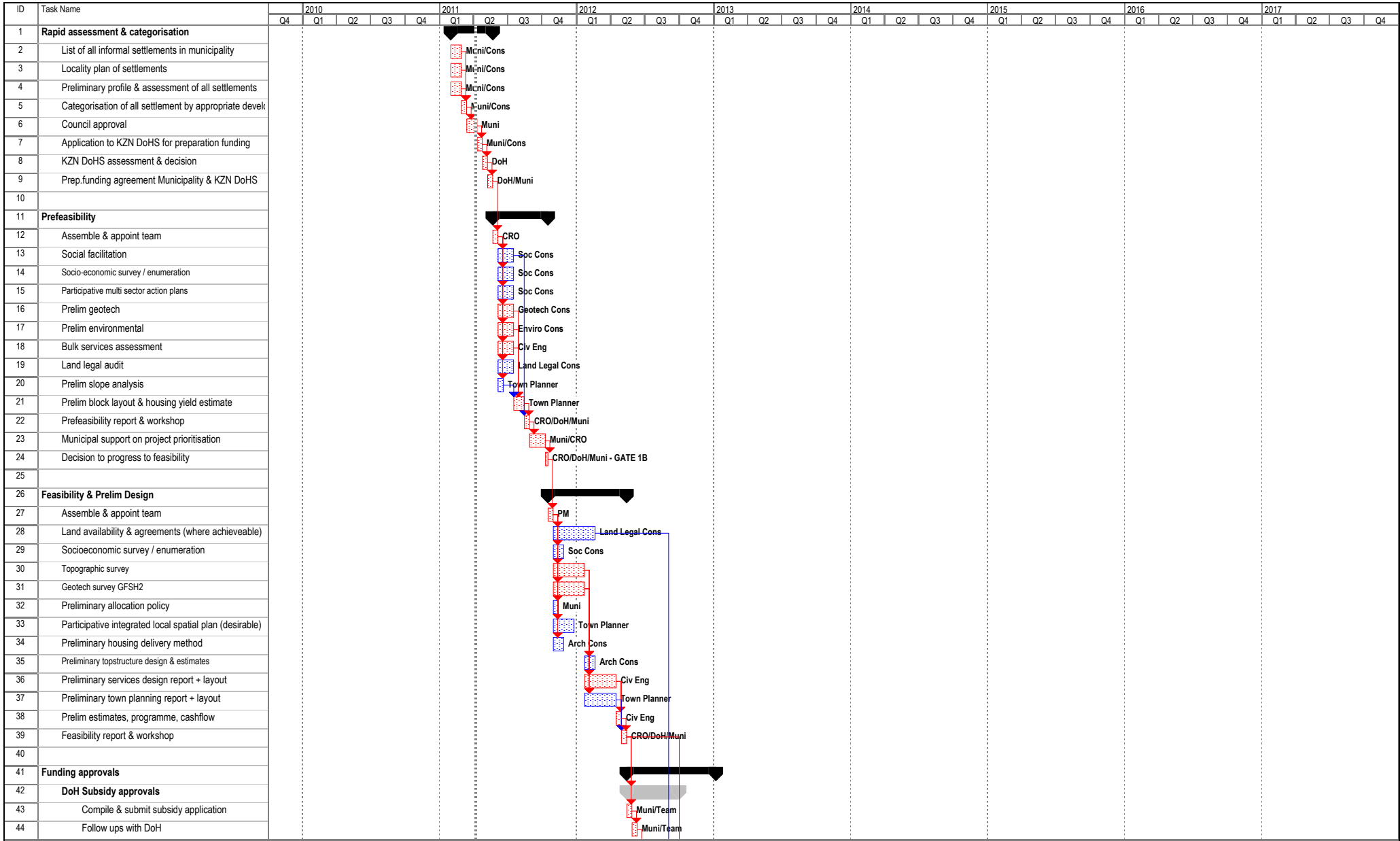
Indicative Programme for the Preparation, Planning & Implementation of Emergency Basic Services for a Typical Informal Settlement



ID	Task Name	Duration	2010				2011				2012				2013				2014				2015				2016				2017				
			Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
29	DoH MEC approval	6 wks																																	
30	Agreement with DoH for interim services	4 wks																																	
31	Disb. Tr1. funding on agreed milestones	0 days																																	
32	Municipal infrastructure funding	70 days																																	
33	Municipal submission: USDG/internal	4 wks																																	
34	Assessment / approval	4 wks																																	
35	Exco consideration & approval	4 wks																																	
36	Municipal budget allocation	2 wks																																	
37																																			
38	Detailed Design, Contracting & Construction	230 days																																	
39	Assemble and appoint team	2 wks																																	
40	Detailed design interim services	8 wks																																	
41	Estimates	2 wks																																	
42	EIA / enviro authorisations / ROD (usually not applicable)	0 wks																																	
43	Contract documentation	4 wks																																	
44	Procurement of contractors	6 wks																																	
45	Construction of interim services	24 wks																																	
46																																			
47	Closeout	115 days																																	
48	In house financial audit	4 wks																																	
49	In house developmental audit	4 wks																																	
50	External financial & developmental audit	4 wks																																	
51	Draft project closeout report	1 wk																																	
52	DoH financial audit	8 wks																																	
53	DoH developmental audit	8 wks																																	
54	Final Muni-DoH reconciliation	4 wks																																	
55	Municipal closeout report	2 wks																																	
56	DoH closeout report	2 wks																																	

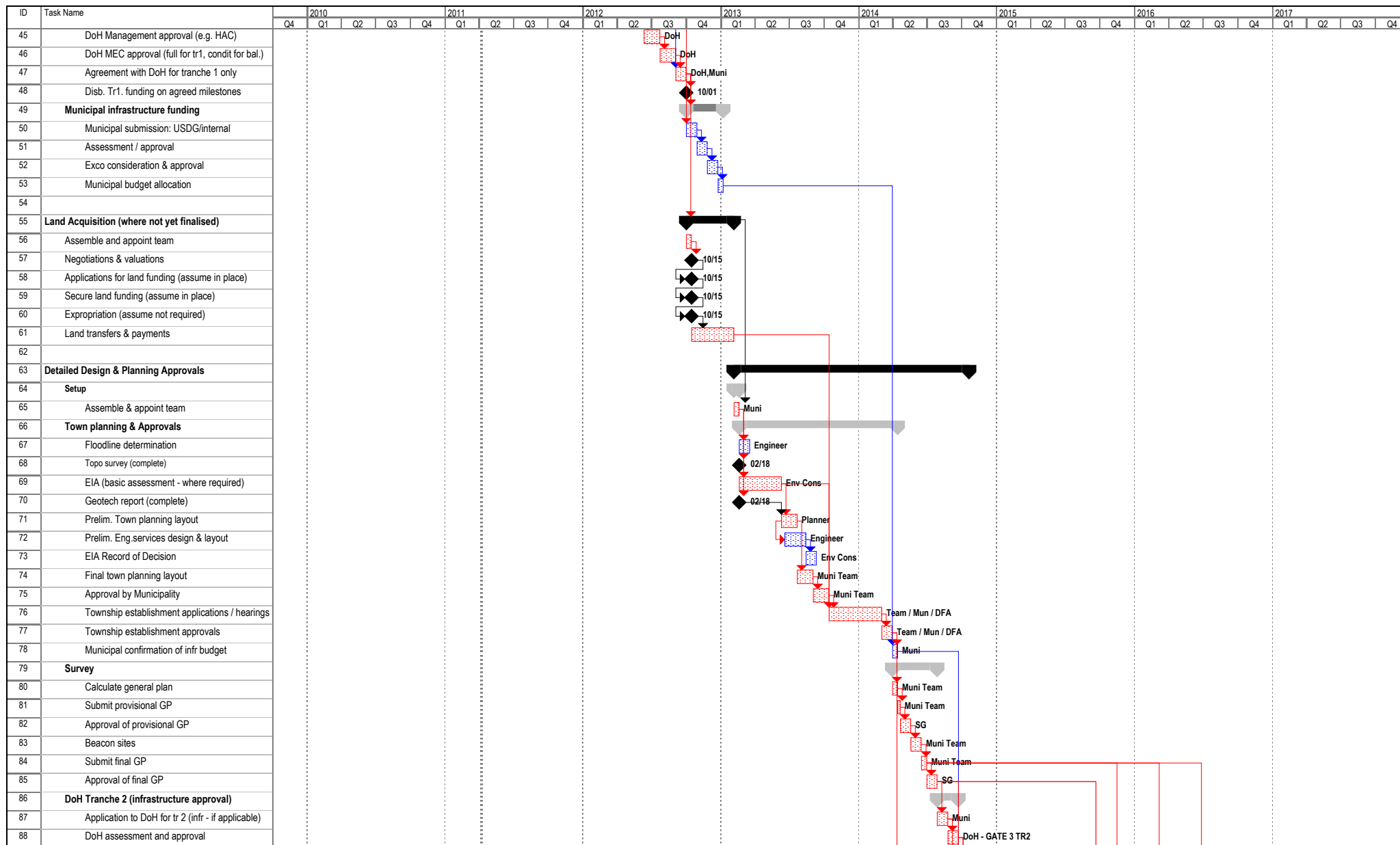
Indicative Programme for the Preparation, Planning & Implementation of Emergency Basic Services for a Typical Informal Settlement





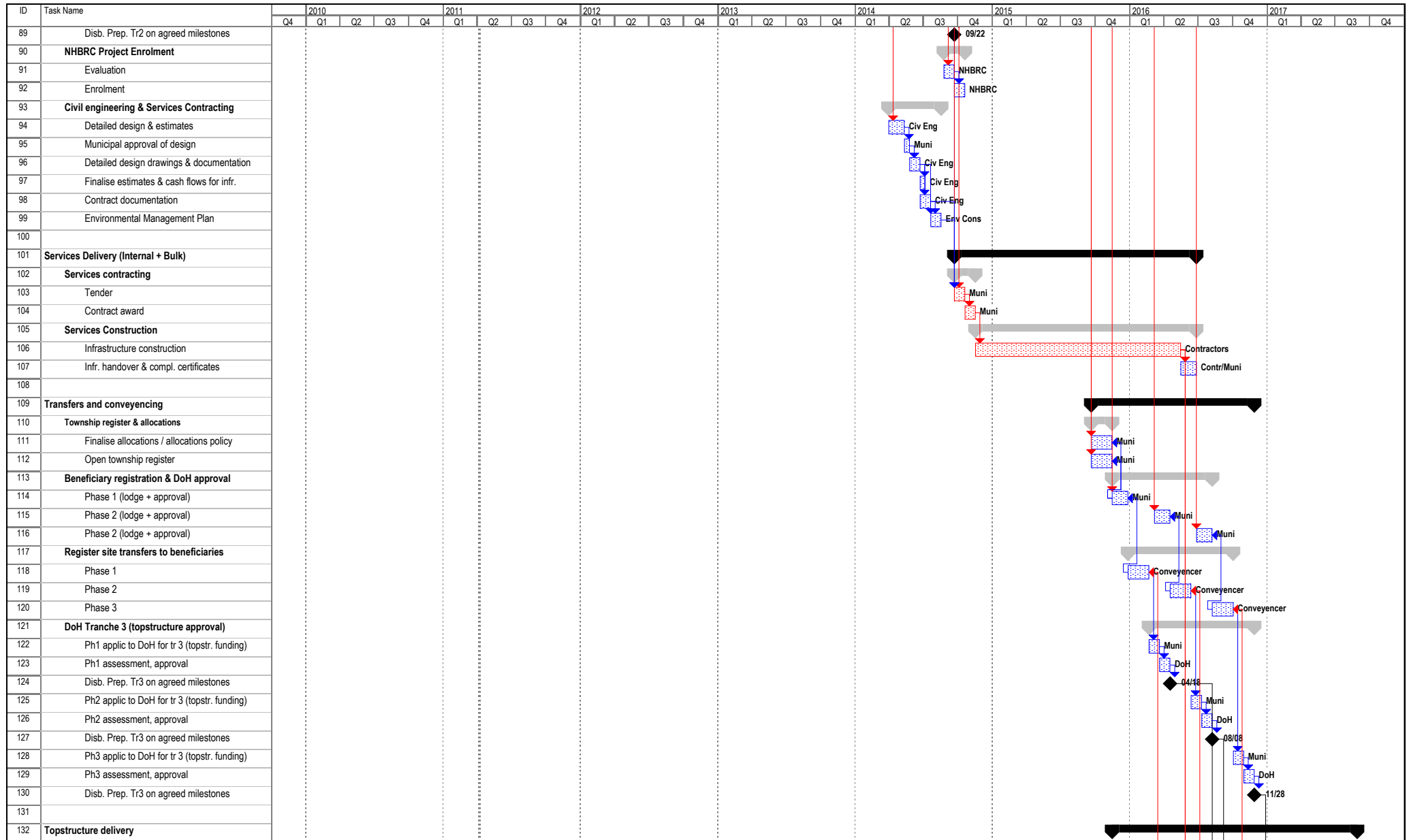
PPT Toolkits: Indicative Programme for the Preparation, Planning & Implementation of a Typical Full In-Situ Upgrade Project (Services, Topstructures, Tenure)





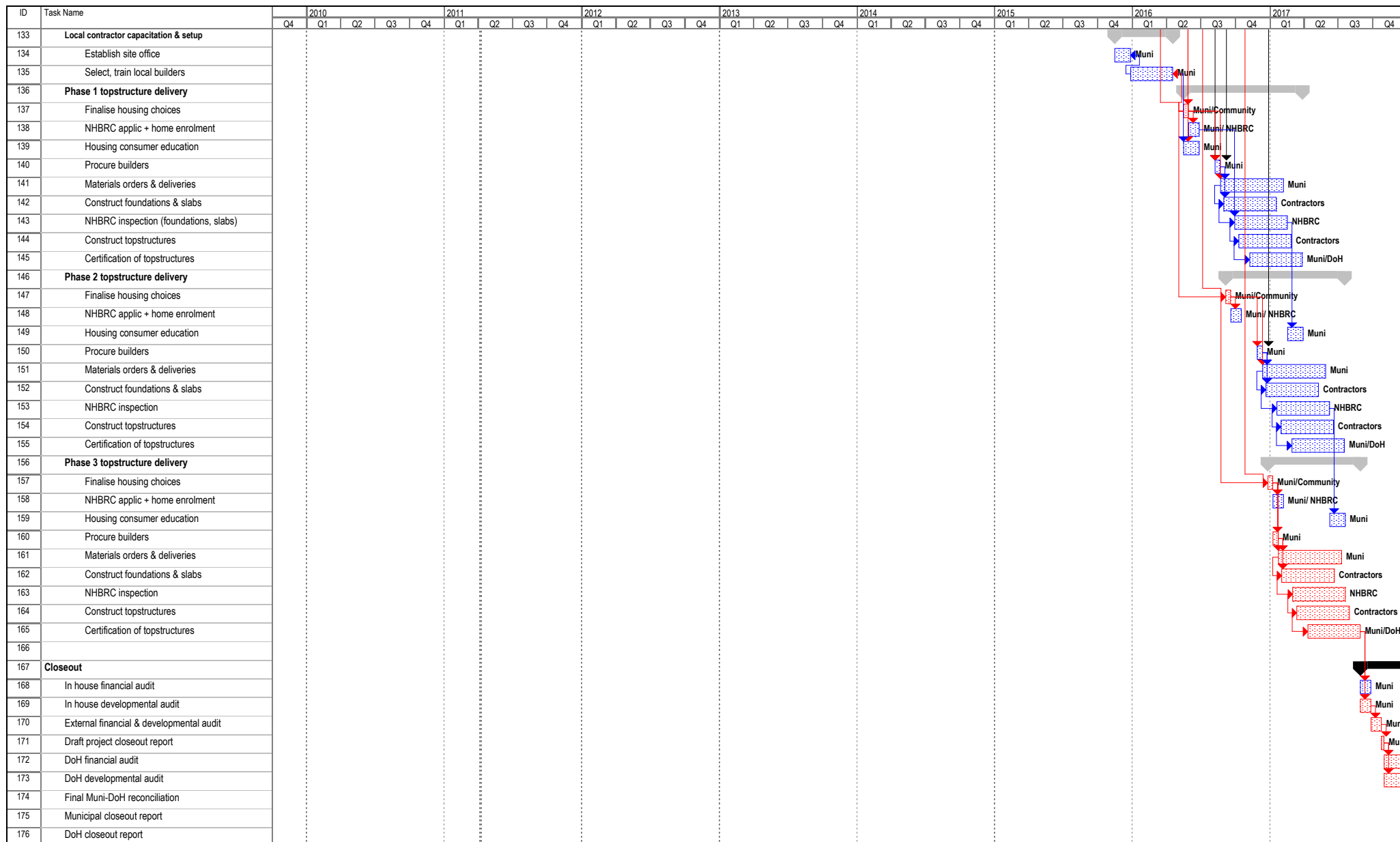
**PPT Toolkits: Indicative Programme for the Preparation, Planning & Implementation of a Typical Full In-Situ Upgrade Project
(Services, Topstructures, Tenure)**





PPT Toolkits: Indicative Programme for the Preparation, Planning & Implementation of a Typical Full In-Situ Upgrade Project
 (Services, Topstructures, Tenure)





PPT Toolkits: Indicative Programme for the Preparation, Planning & Implementation of a Typical Full In-Situ Upgrade Project
 (Services, Topstructures, Tenure)

