



FACILITATORS

Module 1

Facilitation Plan



FACILITATION PLAN: MODULE 1: THE CASE FOR UPGRADING

CONTENT TOPIC/SECTION	METHOD	LEARNING SUPPORT MATERIAL	TIME (minutes)
Introduction to the module	<p>Link: <i>Now that you know a little about each other and you know about the course, let's begin with Module 1: The Case for Upgrading.</i></p> <p>Refer to the Participant Manual (PM), Module 1, Page 1.</p> <p>Presentation: Go through the module purpose, learning outcomes and a brief overview of the module process/agenda.</p> <p>Link forward: Indicate that the module will continue to tomorrow.</p>	<ul style="list-style-type: none"> • PPT Slides: Title, purpose, learning outcomes 	5
1 WHAT ARE INFORMAL SETTLEMENTS?	<p>Transition <i>We'll begin by briefly introducing the topic – informal settlements.</i></p> <p>Facilitated group discussion</p> <p>Show slides of informal settlements.</p> <p>Ask: <i>What do people call these places? What do they call these houses?</i></p> <p>Write words on the flipchart.</p> <p>Comment on the kinds of words used, and what the implications of the words are.</p>	<ul style="list-style-type: none"> • PPT slides – pictures of informal settlements • Flip chart 	5
	<p>Transition: In the next activity, you will answer some questions about informal settlements. This is an individual reflection.</p> <p>The purpose of the activity is to bring to the surface some of your understanding of informal settlements.</p> <p>Conduct Activity 1.1: Know What You Know: Individual Reflection</p> <p>Refer to Participant Manual (PM)</p> <p>Explain the activity.</p> <p>Activity debrief: Ask some participants for their responses; do not ask everyone (too slow). You may check your understanding but but make no comment on their responses. Thank each participant as they share their input.</p> <p>Link forward: Indicate that you will return to these questions later in the module.</p>	<ul style="list-style-type: none"> • PPT: Picture of informal settlement • PM Pg. 3 	10 + 5
TOTAL TIME: SECT 1			25 min

2	WHO LIVES IN INFORMAL SETTLEMENTS?	<p>Transition: <i>In the exercise you just did, one of the questions was “Who lives here?” In this section we will look at some of the information available about who lives in informal settlements.</i></p>	<ul style="list-style-type: none"> • PPT slide – section heading 	
		<p>Conduct this section as an informal quiz: Present the topic, ask question/s, participants to write their answer, show the answer, ask a follow up question to reinforce the information.</p> <ul style="list-style-type: none"> • Income and housing <p>Ask: <i>What % of households in SA earn below R3,200 per month?</i> <i>How many households earn between R3200 and R6,400?</i> <i>What % of these (who earn less that R6,400 p.m.) live in formal towns/townships?</i> <i>What % are living in informal conditions?</i> <i>What % living in informal settlements/backyard rentals/traditional dwellings?</i></p> <p>Show the graph. Direct participants to the graph in their PM, so that they can see clearly.</p> <ul style="list-style-type: none"> • The housing backlog <p><i>How many households are on the waiting list for a government house?</i></p> <ul style="list-style-type: none"> • Kinds of households living in informal settlements <p><i>What % of households in informal settlements consist of single people with no children?</i></p> <ul style="list-style-type: none"> • Children living in informal settlements <p><i>What % of children living in informal settlement attend school?</i></p> <ul style="list-style-type: none"> • Migrants and informal settlements <p><i>What % of people under the age of 35, who moved into the urban areas between 2001 and 2011 were foreigners?</i></p> <p>Summarise: Ask: what surprises did you get from the data?</p>	<ul style="list-style-type: none"> • PPT slides • PM 	20
TOTAL TIME SECT 2				20 min

3 INFORMAL SETTLEMENTS ARE AN EMERGENCY	Transition: <i>In this section we will look at some of the facts about the level of service and the quality of life in informal settlements, which will make it clear that informal settlements are an emergency that must be addressed.</i>	<ul style="list-style-type: none"> • PPT slide section heading 	
3.1 How living in an informal settlement impacts on households	Ask: <i>What would make you say ‘that place is an informal settlement?’</i> Write key points onto the flipchart. Present UISP criteria using PPTs. For each one: Explain what it means. Ask for each one: <i>How can this affect the people who live there?</i> Highlight the effects/key points.	<ul style="list-style-type: none"> • PPT slides 	10
3.2 The negative consequences of living in informal settlements	Conduct this section also as an informal quiz OR present facts and ask questions to highlight the implications: Present the topic, ask question/s, participants to write their answer, show the statistic, ask a follow up question to reinforce the information. <ul style="list-style-type: none"> • Refuse removal/Sanitation/Water/Electricity Ask: <i>What % of households living in informal settlements have:</i> <ul style="list-style-type: none"> • <i>Weekly refuse removal?</i> • <i>Access to at least a pit latrine?</i> • <i>Access to a water tap less than 200m away?</i> • <i>Access to electricity?</i> After showing the slide for each aspect ask questions to highlight the implications: <i>So how many people don’t have access?</i> <i>How does this affect their daily life?</i> <ul style="list-style-type: none"> • Fire <i>How many shack fires a day?</i> <i>How many people die from shack fires annually?</i> Ask questions to the whole group on the implications. <ul style="list-style-type: none"> • Health • Exposure to crime and violence • Limited opportunities 	<ul style="list-style-type: none"> • PPT slides 	20

3.3 Positive aspects of informal settlements	<p>Transition: <i>There are positive aspects to informal settlements; it's important to recognise the good things as well.</i></p> <p>Interactive presentation: For each slide, ask what they see and point out the positive aspects; show participants the small signs so that they can begin to see in a new way and recognise the human spirit that is present.</p>	<ul style="list-style-type: none"> • PPT slides 	10
3.4 The reason for the situation: how did we get here?	<p>Link: <i>So – how did our country reach this situation? In the next activity we will take a look at the factors that have led to the situation.</i></p> <p>Purpose of the activity: to explain the scale of the informal settlement situation in South Africa.</p> <p>Conduct Activity 1.2: Factors leading to informal settlements: Pair work</p> <p>Refer participants to the activity in the PM.</p> <p>Divide people into pairs.</p> <p>Explain the instructions. Hand out a number of blank cards to each pair to write on. Allow 10 minutes for pair work.</p>	<ul style="list-style-type: none"> • PM pg. x • Blank cards 	5 + 10
	<p>Debrief activity: background to informal settlements in SA</p> <p>Facilitated group discussion: sorting cards into themes.</p> <p>Take in the cards. Read them all out.</p> <p>Ask the group if there are any that are similar.</p> <p>Ask what the similarity or theme is.</p> <p>Stick those onto the wall and write the 'heading' onto the Flipchart. Continue until all the factors have been clustered into a theme.</p> <p>Summarise by showing the slide with the causes of informal settlement situation in South Africa.</p> <p>Handout: Activity 1.2 Debrief Key Points</p>	<ul style="list-style-type: none"> • The wall • Prestik • PPT slide • Handout Activity 1.2 Debrief Key Points 	20
TOTAL TIME FOR SECT 3			75

CONTENT TOPIC/SECTION	METHOD	LEARNING SUPPORT MATERIAL	TIME
4 THE RIGHTS OF PEOPLE LIVING IN INFORMAL SETTLEMENTS	Transition: <i>Now that we have a fuller understanding of the informal settlement situation in South Africa, and conditions under which many millions of South Africans live, let's look at what rights those South African citizens have that apply to housing and service provision.</i>	<ul style="list-style-type: none"> PPT slide section heading 	
4.1 Rights in the Constitution	<p>Elicit existing knowledge.</p> <p>Ask: What does the constitution say about rights that affect housing?</p> <p>Present the various pertinent clauses/sections of the Constitution, using the PPT slides.</p> <p>Explain the meaning of each, and the implications.</p> <p>Refer to the notes in the PM for the content of what must be covered.</p> <p>Note: this is an important section as Constitutional rights will be referred to in a number of the modules.</p>	<ul style="list-style-type: none"> PPT slides PM 	10
4.2 Principles arising from Constitutional Court cases: <ul style="list-style-type: none"> Grootboom PE Municipality Abahlali Nokotyana 	<p>Link: <i>because these rights are enshrined in the Constitution, there have been a number of cases taken to the Constitutional Court where residents of informal settlements have felt that their rights were not being applied.</i></p> <p>Explain the role of the Constitutional Court (see notes in the PM), and the impact on establishing principles and driving legislation and policy.</p> <p>Tell the stories of the 4 selected Constitutional Court cases. (Refer to Facilitator Resource Constitutional Court Cases in the Facilitator Manual).</p> <p>Note: it is very important that the facilitator is able to tell the stories in an engaging way, and to make them exciting and interesting. Do not read the stories out, unless you are a very good reader.</p> <p>After each story, ask: <i>What principle do you think this court judgment established? What are the implications for a municipality?</i></p> <p>Highlight the principles that arise: Listen; Care; Upgrade; Act Swiftly.</p> <p>Note: this is an important section as the principles arising from the Constitutional Court cases will be referred to in a number of the modules.</p>	<ul style="list-style-type: none"> PPT slides Stories 	20
TOTAL TIME SECT 4			30

5 INFORMAL SETTLEMENTS AND THE TOWN OR CITY	Link: <i>So the Constitution and the Constitutional Court cases make it very clear that informal settlement residents have rights and government at all levels has responsibilities to apply the principles of the Constitution. But there are also fundamental connections between informal settlements and the formal towns and cities.</i>	<ul style="list-style-type: none"> PPT slide section heading 	
5.1 Relationships between the informal settlement and the town/city <ul style="list-style-type: none"> Socio-economic Environmental Political Legal Budgetary 	Show slide: ways in which informal settlements interact with the town or city. Conduct Activity 1.3: Informal settlements and the town or city: Small groups Purpose of the activity: to describe the range of ways that informal settlements and the city are integrated. Refer to the activity in the PM. Divide participants into triads. Allocate one question to each triad. Allow 10 minutes for small group discussion. Debrief activity: Ask each group to present a summary of their response to the question. After each one, ask other participants if they have anything to add. Summarise: highlight the key points	<ul style="list-style-type: none"> PPT slide s 	10 + 20
5.2 Challenges and opportunities for municipalities	Link: <i>Working with informal settlements can be challenging. There are so many problems.</i> <ul style="list-style-type: none"> Turning problems into opportunities <i>To meet the challenge of informal settlement upgrading and meeting the needs of the poor, it's important to be able to see opportunities. We're going to focus on seeing opportunities.</i> The nature of perception Conduct Activity 1.4: Perception Refer to the PM and give the instructions for the activity. Handout Activity 1.4 Perception OR Show the slide with the 3 people walking in an informal settlement. Ask everyone to make up a story about them: <i>Who are these people? Where are they going? What are they doing? Why? What is happening?</i> Allow just 2 minutes , then ask 3 or 4 people to tell their story. Debrief activity:	<ul style="list-style-type: none"> Handout Activity 1.4 Perception old/young woman OR <ul style="list-style-type: none"> PPT: glass half empty/half full PPT quote on problems and opportunities 	10

	<p>Ask: what does this exercise say about how we see things? Summarise perception – how we see things; everyone is different. Reinforce the point- problems and opportunities are about how we see them. Show slide of glass half empty/half full: Conclude: show slide <i>When you focus on problems</i> <i>You'll have more problems</i> <i>When you focus on possibilities</i> <i>You'll have more opportunities</i></p>		
	<p>Seeing problems as opportunities Demonstration. Ask the group to give you a difficult problem the municipality is facing. Write it on the flipchart. Take a few minutes to discuss the causes of the problem. Transition: "OK, let's flip this into an opportunity. What does the opposite look like?" Write on the flipchart. Then ask: <i>how can we get to that point? What actions will get us there? What can you do to help get us there?</i> Show slide: <i>The pessimist complains about the wind</i> <i>The optimist expects it to change</i> <i>The realist adjusts the sails</i></p>	<ul style="list-style-type: none"> • Flipchart • PPT: Pessimist/ Optimist/Realist 	10

	<p>Conduct Activity 1.5: Problems and Opportunities when developing an informal settlement strategy</p> <p>Group work.</p> <p>Set the scene: the municipality is preparing an informal settlement upgrading strategy and they have done a situational analysis/SWOT. A number of Threats or challenges have been identified. The group has to identify an opportunity which the informal settlements present for municipalities, and which can be used to balance the challenges.</p> <p>Refer to the PM</p> <p>Go through the activity instruction.</p> <p>Before dividing into groups, provide guidance and clarification: Write the following key words on the flipchart; they will help the groups identify actions: Listen, care, upgrade, act swiftly.</p> <p>Additional key words that will help groups identify opportunities (these can also be written on the board): Trust; equality; inclusion; diversity; social interaction; overcome apartheid legacy; new approaches.</p> <p>Remind the groups that their responses are intended for a city-wide strategy for informal settlements.</p> <p>Divide the class into groups of 4.</p> <p>Handout: Activity 1.5 Problems Facing Municipalities. Allocate 2 challenges to each group. Allow 15 minutes for group work.</p> <p>Debrief activity:</p> <p>After 20 minutes, each group has to read out the challenge it was given, the opportunity it identified and the one or two points (actions) it has identified for realizing the opportunity for including in the city-wide strategy.</p> <p>Provide Handout: Activity 1.5 Debrief Key Points Problems Opportunities</p>	<ul style="list-style-type: none"> • PM • Handout: Activity 1.5 Problems Facing Municipalities • Handout: Activity 1.5 Debrief Key Points Problems Opportunities 	<p>20 + 20</p>
TOTAL TIME FOR SECT 5			80

6 THE CASE FOR INCREMENTAL UPGRADING OF INFORMAL SETTLEMENTS	Transition: <i>In this section we will look at the reasons for supporting incremental and in situ informal settlement upgrading.</i>	<ul style="list-style-type: none"> PPT slide section heading 	
6.1 Key features of incremental informal settlement upgrading	<p>Video: A Policy and Strategy for Upgrading Introduce the video. It will illustrate and explain the case for incremental informal settlement upgrading. They should listen and focus on what makes this approach different. Link forward: after the video you will discuss the underlying philosophy, the programmatic approach and the key terms and interventions.</p> <ul style="list-style-type: none"> The underlying philosophy After the video, ask participants: <i>What were the key points you noted from the video? What are the benefits of upgrading?</i> Present the points on the slide, which are largely a summary of what has been discussed so far. The programmatic approach Link: one of the problems with conventional housing developments is that a few people get a lot and most people get nothing, they must wait and some have been waiting for more than 10 years. Ask: <i>Why is that a problem?</i> Link: Rights and principles, obligations of municipalities, frustration in communities. Ask: From the video, what is the programmatic approach and the difference between a programme and a project? Explain: the key points about a programmatic approach. Key terms and Intervention types Link: <i>informal settlement upgrading has a language that is used, need to understand the language</i> Presentation: slides with key concepts. 	<ul style="list-style-type: none"> Video: Buffalo City: A Policy and Strategy for Upgrading PPT slides 	15 + 15

6.2 Constraints of conventional housing delivery	<p>Interactive presentation</p> <ul style="list-style-type: none"> • Concerns relating to the constraints of the state Ask: <i>What are the challenges that the municipality has – why is it so slow to deliver houses through conventional housing developments?</i> List challenges on the flipchart. Summarise: Use PPT to summarise. • Concerns relating to those living in the houses Link: <i>Now let's look at conventional low cost housing developments from the point of view of the people who relocate there.</i> Show slide of typical low cost housing development. Ask: <i>What are the advantage and disadvantages of a development like this?</i> Summarise: Use PPT to summarise. 	<ul style="list-style-type: none"> • PPT slides • Flipchart 	15
6.3 Policy shifts towards informal settlement upgrading	<p>Link: <i>Because of the challenges being faced, the government has recognised the need to promote and support in situ informal settlement upgrading</i></p> <p>Inform participants that policy has changed, beginning with Breaking New Ground and indicate that these and the support programmes will be covered in more detail in Module 3 on Policies and Programmes.</p> <p>Do not cover the policies and programmes in any detail; simply name the key ones. Indicate that progress has been slow.</p>	<ul style="list-style-type: none"> • PPT slides 	5
TOTAL TIME SECT 6			50
7 INFORMAL SETTLEMENTS CANNOT BE IGNORED	<p>Transition: <i>In this section we will look at targets the government has put in place, and the common arguments against upgrading and how to respond.</i></p> <ul style="list-style-type: none"> • Understanding and responding to arguments against upgrading <p>Link: <i>In your work in informal settlement upgrading, you are likely to face many objections. In this activity you will have the opportunity to prepare responses to those objections.</i></p> <p>Conduct Activity 1.6: Making the case for upgrading/responding to common objections Refer to the PM Go through the instructions.</p>	<ul style="list-style-type: none"> • PPT slide section heading • Participant Manual • Handout Activity 1.6 Debrief Key Points Responding to Objections 	45

	<p>Allow 5 minutes for individual work – participants to note down common objections to incremental and/or in situ upgrading.</p> <p>Facilitated group discussion: After the individual work facilitate a group discussion: Ask probing questions to develop an understanding of underlying beliefs and attitudes, and to develop responses that respond to those beliefs and attitude. For example: <i>What objection did you identify?</i> <i>What does the person who says that believe about the situation?</i> <i>Are there any facts you can provide that will clarify the situation?</i> <i>How can you show that you understand his/her concerns, even if you don't agree with them?</i> <i>What can you say to respond to this person in a way that he/she feels they have been heard?</i></p> <p>Conclude the activity: Provide the handout that gives common objections, what may be the source of the objection, and ways to respond.</p>		
	<ul style="list-style-type: none"> • Government's current approach Presentation Explain what the MTEF is and show the slides on the government's commitments and the targets that have been set. • What more will it take ? Ask: <i>What more will it take to get ahead of the informal settlement problem?</i> Reinforce the points made; show the slides. 	<ul style="list-style-type: none"> • PPT 	10
TOTAL TIME SECT 7			55
MODULE CONCLUSION	<p>Conduct Activity 1.7 What Did You Gain? Note: This is a repeat of Activity 1.1. The purpose is for participants to review if and how their understanding has developed. Refer to PM. Explain the exercise; allow 10 minutes for doing it. Debrief the activity</p>	<ul style="list-style-type: none"> • PPT: Picture of informal settlement • Participant Manual (PM) 	10 + 10

	Ask: <i>Has anything changed in your answers? Discuss.</i>		
	Conclude the module. Show video: Lindy's Story Purpose: to provide a vision of what informal settlement upgrading can be.	<ul style="list-style-type: none"> • Video: Informal settlement upgrading: Lindy's story 	15
TOTAL TIME CONCLUSION			35
TOTAL TIME			390 (6.5 hours)