



PARTICIPANTS

Section 13

Sustaining Improvements



Summary

Planning for sustainability

In general terms sustainability is the endurance of systems and processes. It refers to being able to keep a particular state in play. Sustainability also seeks to ensure a state that is both capable of

For more details see Section 13, item 1.1 & 1.2

being maintained in the long-term, and at the same time resilient i.e. able to withstand shocks. Within the context of South African policy, Breaking New Ground states that sustainable human settlements should be safe, secure developments with reliable and affordable basic services, adequate housing, and access to welfare, police, education, and health services.

Development is not a one-off activity, it is a process that extends over time. It also does not end when the last house is delivered and the ongoing sustainability and development of an informal settlement does not start when the upgrading process ends. Sustainability must be an integral part of the planning of the upgrading of the settlement and the implementation. Accordingly the key elements of sustainability and ongoing development must be incorporated into the informal settlement upgrading strategy and programme and the individual informal settlement upgrading plans.

The improvements that come about with a successful informal settlement upgrade are not merely physical, but provide the basis for living a life of dignity. The infrastructure services and social facilities that are promised must actually be delivered and such delivery must extend, and be sustained, into the future. The development interventions made in an in situ upgrade must include active measures to ensure continuous service delivery and ongoing physical, social and economic improvements to promote sustainable human settlements. There are three key measures required:

- Measures to ensure the new settlement is **formally included in the operation and maintenance responsibilities of the municipality.**
- Measures to ensure that facilities such as **health and education which are produced and managed by provincial administrations are delivered** to the settlements citizens and provide the expected service.
- Measures to **engage the residents in actively undertaking improvements** which support the community's social life and build social capital, as well as those which advance economic development and livelihoods.

From the point of view of the upgrading process, sustainability requires that the services and facilities are not only built, but fully inducted into the day-to-day operations of the municipality or provincial administration concerned. Ensuring that this happens should be a specific work stream in the institutional arrangements of the upgrade process.

The role of people in the use and ongoing operation of infrastructure is also important. The sustainability of the upgrade is thus improved by ensuring the residents understand their responsibilities in respect of the proper use of facilities.

Sustainability in the wider (more long-term) sense is illustrated in three components: efficiency, economic sustainability, and financial sustainability. Environmental sustainability is also a key concern, but is not dealt with here.

For more details see Section 13, item 1.3

- **Efficiency components** are directed at sustainability and seek to ensure the best use of resources to secure the best development outcomes.
- **Economic sustainability** is crucial, but not easily achieved at a settlement level. Nevertheless given the high incidence of poverty and unemployment that generally occurs in informal settlements, economic interventions are essential.
- **Financial sustainability** focuses on ensuring that the municipality has the financial resources to meet its mandates.

The concept of active citizenship is an important one for sustaining improvements in informal settlement upgrading. It means residents taking an active role in constructing their future and recognises the need to reduce dependency on government. In almost every community, associations are working to improve living conditions for themselves and for specific target populations such as:

For more details see Section 13, item 1.4

Voluntary associations providing support	Associations focusing on economic development	Social activities
<ul style="list-style-type: none"> • The terminally ill • Children and youth • The elderly • The very poor 	<ul style="list-style-type: none"> • Business associations • Co-operatives • Stokvels • Community gardens 	<ul style="list-style-type: none"> • Sports clubs • Cultural associations • Choral/music groups • Dancing clubs

The activities of such groups contribute directly to citizen well-being, but also create the linkages that support social capital formation. These voluntary associations contribute to the richness of social life. They also foster inclusion, identity formation and build individual's self-confidence. Drawing all these groups into the development project facilitates the process of creating a common vision for the settlement.

For more details see Section 13, item 2.1

Developing the transformation plan

The term *transformation plan* should be understood as the outcome of a number of processes or activities directed at securing the long-term future of the informal settlement.

[Introduction to Informal Settlement Upgrading](#)

These processes and activities may be drafted into a single document called a transformation plan or may be included in the settlement upgrading plan.

The transformation plan becomes a part of the municipal response to informal settlement upgrading and is built into wider municipal planning processes. It is particularly useful in ensuring that the operation and maintenance requirements that derive from the production of settlement infrastructure and facilities are fully inducted into both municipal and provincial financing and management arrangements.

The role of the community as primary recipients of upgrading benefits is crucial for ongoing sustainability and ongoing community participation must be built into the transformation plan. Municipalities carry the primary responsibility as development agents in informal settlement upgrading, so they are the architects and owners of the transformation plan.

For more details see Section 13, item 2.2 & 2.3

The settlement must be recognised and included in the full spectrum of the municipality's administration. There are a number of planning and budgeting instruments through which inclusion is obtained including the Integrated Development Plan, the Spatial Development Framework (SDF), the Medium-Term Expenditure Framework (MTEF), the municipal annual budget the Service Delivery Budget Implementation Plan (SDBIP) and asset management procedures.

For more details see Section 13, item 2.4 & 2.5

See video on the IDP

Facilities such as education and health are provided by the provincial administration. Securing these services is not tied into the municipality and falls into other lines of authority. Good communication between the municipality and the province is essential. The process of inclusion must begin early on and may need to occur at programme level.

The transformation plan can be located at different levels. It should be expressed in the housing chapter of the IDP giving at least an indication of intent.

At a **programme level** it should appear as a specific work stream in the informal settlements programme steering committee through which questions of sustainability are raised and urban efficiency is addressed. At a **project level** it should appear as a dedicated work stream in the project steering committee focused on project level interventions.

Consideration should be given to maintaining the existence of the project steering committee after the settlement upgrading has been completed to facilitate and enable ongoing development. Institutional arrangements for ongoing sustainability will be different for different settlement categories.

Examples of institutional arrangements include: Area-based Management (ABM), Organisational clustering/department clusters and dedicated work groups.

For more details see Section 13, item 2.6

Issues to be addressed in the transformation plan include:

- The management of facilities such as recreational facilities

For more details see Section 13, item 3

and community halls. Central to achieving good use of these facilities is identification and partnerships with NGOs, community-based organisations and individual community members.

- Ensuring residents understand what will be expected of them in terms of properly using the infrastructure and facilities provided and paying for municipal services.
- Housing support after the consolidation phase so as to assist in maintaining momentum in improving housing over time.
- Livelihoods support and economic interventions including encouraging home-based enterprises and enabling food security.
- Enabling and supporting social capital formation

Overall transformation planning should start early on in the process and transformation thinking (the long-term view) should be mainstreamed. The incremental nature of upgrading will show up potential advantages and keeping an eye out for these may be particularly advantageous. Local circumstances frequently provide opportunities for sustainability and ongoing development that cannot be predicted at higher levels.

The National Development Plan talks about writing a new story for South Africa:

For more details see
Section 13, item 4

The country must write a different story in the years ahead. In this new story, every citizen is concerned about the well-being of all other citizens, and the development of South Africa means the development of each and every one of us who lives here. We must build on our social solidarity, which through history and heritage has demonstrated our aspiration to create a caring South African society.

For references and
resources click here

1. Planning for sustainability

1.1 Developing sustainable human settlements

In general terms sustainability is the endurance of systems and processes. It refers to being able to keep a particular state in play. Sustainable development includes four interconnected domains: ecology, economics, politics and culture.

Sustainability also seeks to ensure a state that is both capable of being maintained in the long-term, and at the same time resilient i.e. able to withstand shocks.

Within the context of South African policy, Breaking New Ground states that sustainable human settlements should be safe, secure developments with reliable and affordable basic services, adequate housing, and access to welfare, police, education, and health services.

Development is not a one-off activity, it is a process that extends over time. It also does not end when the last house is delivered and the ongoing sustainability and development of an informal settlement does not start when the upgrading process ends.

Programme level	✓
Settlement level	✓

Sustainability must be an integral part of the planning of the upgrading of the settlement and the implementation. Accordingly the key elements of sustainability and ongoing development must be incorporated into the informal settlement upgrading strategy and programme and the individual informal settlement upgrading plans.

The improvements that come about with a successful informal settlement upgrade are not merely physical, but provide the basis for living a life of dignity. The infrastructure services that are promised must actually be delivered and such delivery must extend, and be sustained, into the future.

Capital investments must be complemented by ongoing operational expenditure to fund actual service delivery, the manpower and materials, as well as covering maintenance and depreciation/replacement costs.

The top-structures too must be considered as starter houses for residents to further improve their existing accommodation. This should be done in a manner that assists people out of poverty.

The development interventions made in an in situ upgrade must include active measures to ensure continuous service delivery and ongoing physical, social and economic improvements to promote sustainable human settlements. There are three key measures required:

- Measures to ensure the new settlement is **formally included in the operation and maintenance responsibilities of the municipality**. This includes taking steps to ensure that social facilities such as parks, libraries and recreation facilities are progressively delivered;

- Measures to ensure that facilities such as **health and education which are produced and managed by provincial administrations are delivered** to the settlements citizens and provide the expected service;
- Measures to **engage the residents in actively undertaking improvements** which support the community's social life and build social capital, as well as those which advance economic development and livelihoods.

1.2 Sustaining physical assets

The most immediate improvement delivered by an informal settlement upgrade is the installation of infrastructure services and community facilities, such as schools and health facilities.

However the presence of these is only part of the story; what is essential is the actual delivery of the services and amenity they promise. In the case of infrastructure it is the responsibility of the municipality to ensure their ongoing operation. There is clearly a connection between the quality of infrastructure provided and the cost of the maintenance.

The role of the municipality

Sustaining the infrastructure requires the municipality to:

- Put the assets onto their books;
- Assign or employ staff to manage and run them;
- Fund their operational expenditure;
- Make arrangements to maintain the assets; and
- Plan for their replacement when they are worn out.

The role of the province

A similar set of arrangements applies to community facilities such as schools and health facilities where the responsible authority is usually the provincial administration. Here the province must hire teachers, nurses and doctors to provide the education and health services on offer.

From the point of view of the upgrading process, sustainability requires that these facilities and amenities are not only built, but fully inducted into the day-to-day operations of the municipality or provincial administration concerned. Ensuring that this happens should be a specific work stream in the institutional arrangements of the upgrade process.

The role of residents

The role of people in the use and ongoing operation of infrastructure is important. For example all infrastructure is built to specific design specifications, which permit their use in normal circumstances. Waterborne sewers are designed with specific pipe diameters, which permit the passage of normal bodily waste. If, however, an object which is not designed to be flushed (such as a disposable nappy) is flushed it will block the pipe and will require

someone to clear it. Such unnecessary maintenance creates unnecessary costs, which impact on the sustainability of the services. The sustainability of the upgrade is thus improved by ensuring the residents understand their responsibilities in respect of the proper use of facilities.

The introduction of services changes many things in an informal settlement including the way things get done and the roles individuals play. The upgrade process must include informing residents in the proper use of infrastructure to ensure that it works efficiently and to prevent actions or behaviour that results in service interruptions or avoidable maintenance.

1.3 The components of sustainability

Sustainability in the wider (more long-term) sense is illustrated in three components: efficiency, economic sustainability, and financial sustainability. Environmental sustainability is also a key concern, but is not dealt with here.

- **Efficiency components** are directed at sustainability and seek to ensure the best use of resources to secure the best development outcomes. Efficiency is sought in the design of the upgrade through:
 - Minimising the use of resources or maximizing reuse;
 - Creating opportunities for dual use and joint management of facilities;
 - Efficient layouts minimize the length of service run (such as pipe lengths or length of roadway) per house served. This not only reduces installation costs, but also reduces operational and maintenance costs. These latter savings are realized for as long as the settlement exists and are always cumulatively far more than the initial installation costs;
 - Energy savings are another field where efficiency improves living standards and reduces the cost of living. An important means to achieve energy savings is to appropriate solar energy to heat water in rooftop water heaters, but also by achieving passive solar gain/loss through correct orientation of the house;
 - At a settlement level, designs that make the use of public transport more convenient and safer, reduce the cost of transport and deliver other advantages such as less noise and air pollution.
- **Economic sustainability** is crucial, but not easily achieved at a settlement level. Nevertheless given the high incidence of poverty and unemployment that generally occur in informal settlements, economic interventions are essential. This will be dealt with in more detail below, but in summary include:
 - Efforts to increase the number of jobs available during upgrading implementation;
 - Access to employment outside the settlement in the longer term;
 - Attention to improving short-term conditions around livelihoods;
 - Providing support such as food security.
- **Financial sustainability** focuses on ensuring that the municipality has the financial resources to meet its mandates. This refers to:

- The capacity to secure payment for services;
- The capacity to levy and collect rates against the value of properties;
- Securing state funding;
- Ensuring a balance between cost and quality to reduce maintenance costs.

These issues are of concern to the long-term sustainability of the municipality itself, but also concern the poor who live in dwellings that are exempt from rates and are frequently unable to afford service payments.

The effort to improve economic well-being clearly impacts in the longer term on the municipality’s own financial sustainability. Improving incomes within an informal settlement improves the ability of the residents to pay service charges and as house prices increase so too does the potential to earn municipal revenue from rates.

1.4 Active citizenship

The National Development Plan, Chapter 8 states that: *Active citizenship in the field of spatial development will be supported and incentivized through a range of interventions including properly funded, citizen-led neighbourhood vision and planning processes and the introduction of social compacts from neighbourhood to city level.*

The concept of active citizenship is an important one for sustaining improvements in informal settlement upgrading. It means residents taking an active role in constructing their future and recognises the need to reduce dependency on government.

In almost every community, associations are working to improve living conditions for themselves and for specific target populations such as:

Voluntary associations providing support	Associations focusing on economic development	Social activities
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The activities of such groups contribute directly to citizen well-being, but also create the linkages that support social capital formation. These voluntary associations contribute to the richness of social life.

They also foster inclusion, identity formation and build individual’s self-confidence. In some instances they create diversions from the general harshness of life in an informal settlement.

Drawing all these groups into the development project facilitates the process of creating a common vision of what the settlement should look like and should do. This common purpose can then provide the vehicle for directing those many pairs of hands.

2. Developing the transformation plan

2.1 What is a transformation plan?

The term *transformation plan* should be understood as the outcome of a number of processes or activities directed at securing the long-term future of the informal settlement. These processes and activities may be drafted into a single document called a transformation plan or may be included in the settlement upgrading plan. The latter approach is suggested so that the transformation plan is presented as a chapter of the settlement upgrading plan and can focus on defining long-term interventions and who is responsible for their execution.

The advantage of developing a transformation plan (on its own or as a section/chapter in the settlement upgrading plan) lies in ensuring that:

- Development is seen as an ongoing process which can be influenced and directed;
- The long-term is examined;
- All development is sustainable;
- Each element is as efficient as possible.

The transformation plan becomes a part of the municipal response to informal settlement upgrading and is built into wider municipal planning processes. It is particularly useful in ensuring that the operation and maintenance requirements that derive from the production of settlement infrastructure and facilities are fully inducted into both municipal and provincial financing and management arrangements.

Developing the transformation plan must extend the community participation undertaken when developing initial upgrading agreements.

While there are some common elements to planning transformation across settlements, the transformation plan must identify the specific context for intervention, which is at the settlement level, and try to work to produce/support advantages and potential specific to the community.

2.2 The role of the community

The role of the community as primary recipients of upgrading benefits is crucial for ongoing sustainability and ongoing community participation must be built into the transformation plan. Community participation was dealt with in detail in Section 4. Communicating agreements reached between the community and the municipality in respect of planning and providing information goes a long way to avoiding disputes or conflict. In addition the community response to upgraded environments is improved through developing an understanding of mutual roles and responsibilities and of the actual best use of infrastructure and facilities provided in the process.

2.3 The role of the municipality

Municipalities carry the primary responsibility as development agents in informal settlement upgrading, so they are the architects and owners of the transformation plan. Municipalities should ensure that long-term transformation thinking is built into the settlement response plan, with a particular focus on urban and settlement efficiency.

The municipality is also responsible for the production of strategic planning documents such as the integrated development plan and the spatial development plan, and must ensure that transformation thinking and planning become part of the processes used to formulate these documents. In addition sector plans (including those on housing and infrastructure in particular) must address the inclusion of informal settlement upgraded settlements into operation and maintenance plans and budgets.

The municipality can use a number of tools to facilitate ongoing improvement and the full integration of informal settlements into municipal operations.

2.4 Including informal settlements in municipal planning

The settlement must be recognised and included in the full spectrum of the municipality's administration. There are a number of planning and budgeting instruments through which inclusion is obtained.

The Integrated Development Plan (IDP)

The IDP is the municipality's primary statement of development intention and the means to ensure such intentions are addressed in an integrated manner.

- The IDP is a medium-term strategic plan covering a five year period. It sets out all the programmes of the municipality so that all departments can align their activities.
- It is reviewed annually to keep it updated.
- It is produced with a well-structured community participation process so is considered to be an expression of public will.
- For the purposes of this discussion the most important section is the housing chapter which sets out the intention of the housing programme.
- The housing chapter provides the means for other sections such as engineering infrastructure (water, sanitation, electricity), social services, libraries, recreation facilities, community halls and the like to align their activities to support housing activities.
- The IDP is particularly important in ensuring that the delivery of bulk services meet individual project needs.
- It is essential for each housing/upgrade project to ensure that their requirements per sector are properly addressed and included in the IDP during the revision process.

See video on the IDP

The Spatial Development Framework (SDF)

The SDF is an adjunct to the IDP and sets out the spatial development intention of the municipality. As such:

- It locates housing/upgrade projects spatially, with their possible development timelines;
- This provides further information to other departments thus ensuring that the roll-out of services is unhindered by bulk service unavailability for example.

The Medium-Term Expenditure Framework (MTEF)

The MTEF is a multi-year budget that extends over a three year period. The MTEF is particularly important for upgrading projects as they usually run over a number of years and the MTEF provides the means to get project budgets onto the books early. It is, however, essential to ensure that such budgets are advanced onto the annual budget cycle to meet project timeframes.

The municipal annual budget

This budget accommodates the financial means to implement the IDP and SDF on an annual basis. The annual budget also allocates funds for operational expenditure to cover the day-to-day delivery of services. The operating budget rarely breaks down to project-by-project expenditure. It is important to ensure that each department has actually made provision for the operating expenditure required to deliver services into the particular project under consideration.

Service Delivery Budget Implementation Plan (SDBIP)

Along with the annual budget, the municipality produces a SDBIP which details service delivery budgets and ties them to particular projects. This document provides a useful means to cross-check the allocation of budgets to specific projects to ensure service delivery targets are framed for a particular project.

Asset management procedures

Newly created assets, such as infrastructure and facilities, are added to the municipality's asset register. This increases the municipality's net worth and can influence borrowing costs. In addition the municipality is required to maintain all assets on its register.

2.5 Integrating with provincial planning to secure facilities

Facilities such as education and health are provided by the provincial administration. Securing these services is not tied into the municipality and falls into other lines of authority. These facilities are, however, essential components of a normal community and are provided at regulated standards of provision.

While the province carries the responsibility for the production and operation of education and health facilities, it is essential that the need for these facilities is measured at municipal level and conveyed to provincial authorities for planning and action. While this is generally a programme level response, some large upgrades may trigger the need to accommodate facilities within the project area and this will require a response at the level of the settlement layout. Good communication between the municipality and the province is essential in this regard.

The process of inclusion must begin early on and may need to occur at programme level to:

- Ensure the allocation of sufficient space. Schools in particular require extensive grounds;
- Ensure their development is funded, programmed and timely.

2.6 Institutional arrangements and the transformation plan

Institutional arrangements at project and programme levels

The transformation plan can be located at different levels. It should be expressed in the housing chapter of the IDP giving at least an indication of intent.

At a **programme level** it should appear as a specific work stream in the informal settlements programme steering committee through which questions of sustainability are raised and urban efficiency is addressed.

At a **project level** it should appear as a dedicated work stream in the project steering committee focused on project level interventions. Key elements are:

- Focus on overall sustainability;
- Targeting overall efficiency;
- Assessments of layout performance;
- Infrastructure efficiency assessments;
- Tracking social amenity provision;
- Keeping the long-term view;
- Social programmes/support for community initiatives and enterprise;
- Economic programmes/livelihood support;
- Mainstreaming community participation at multiple levels/instances;
- Monitoring and evaluating are key activities to ensure progress.

Consideration should be given to maintaining the existence of the project steering committee after the settlement upgrading has been completed to facilitate and enable ongoing development.

Institutional arrangements for different settlement categories

The declaration of township establishment creates the legal context for the transfer of public land (including land for facilities and land required for services) to the municipality

and the transfer of residential land to beneficiaries. The execution of land transfer then permits the public assets to enter the municipality's asset register and creates the obligation for the municipality to make provision for their operation, maintenance and care.

In a conventional formal full upgrading settlement the declaration of township establishment sets out the conditions of establishment. This primarily includes:

- The township layout;
- Service infrastructure for roads, sanitation, water supply, storm water and electricity;
- Land use;
- Reservation of land for public purposes (schools, clinics).

In upgrading projects that fall short of the township being declared, the installation of services (such as interim or emergency services) does not carry such clear-cut legal imperatives. This is particularly true if the land is not yet in municipal ownership. In such cases the induction of services must be by agreement with the relevant municipal department.

This places more responsibility on the programme or project steering committee (depending on the number of projects and project scale) to ensure that a **specific work stream is created to address the issue of infrastructure and facilities provision at both municipal and provincial level.**

Examples of institutional arrangements

Area-based Management (ABM)

ABM creates multi-sectorial teams based in a specific geographic area. This tool may be directed at meeting different needs, but seeks to:

- Improve governance in a particular area;
- Bring government closer to the people;
- Create an additional avenue for focused community participation;
- Gain efficiency by integrating the planning of different sectors;
- Co-ordinate activities and timelines across sectors;
- Bring a more focused approach via geographic specialisation;
- Work with the local context and circumstances.

ABM may work at different scales, but if it is focused on the upgrading and development of informal settlements, then the number and geographic disposition should inform its scale of operation.

Organisational clustering/department clusters

Creating departmental clusters creates the opportunity to achieve the integration necessary in informal settlement upgrading. This may be done at the level of the whole municipality or at the level of the informal settlement upgrading programme or individual settlements.

Dedicated work groups

These are multi-sectorial groups dedicated to specific outcomes. The eThekweni Interim Services Steering Committee (eISSC) is an example of a municipality-wide structure set up to plan, enable and manage a municipality-wide informal settlement intervention programme.

It should be noted that such multi-stakeholder processes are:

- Complex;
- Require particular facilitation skills;
- Require capacity to be built at all levels.

3. Issues to be addressed in the transformation plan

3.1 Facilities management

Attention should be paid to the management of facilities such as recreational facilities and community halls. For these to deliver services they need to be supported by community-based organisations which are empowered to make use of them.

- **Community halls** are frequently locked up instead of being managed to provide service to numerous groups such as arts and drama, ballroom dancing and indoor sports organisers.
- **Sports fields** need organised clubs to organise training and competitions. Management should seek to make more sports codes accessible to residents.
- **Libraries and clinics** need to be stocked, staffed and operational.

The management of the facilities must thus extend beyond caretaking to the active promotion of community pursuits.

Central to achieving good use of these facilities is identification and partnerships with NGOs, community-based organisations and individual community members. Participatory processes during the upgrade process are useful mechanisms to establish these partnerships.

3.2 Ensuring residents understand what will be expected of them

Upgrading brings with it the need to alter behaviour to ensure residents:

- Properly use the infrastructure and facilities provided;
- Maintain the facilities provided on their own sites and in their own houses;
- Pay for municipal services.

Participation was discussed in Section 4.

This reinforces the need to effectively communicate with residents as:

- Community participation may not extend beyond the designated committee;
- Communicating essential operating procedures will reduce maintenance;
- Communicating intentions can arrest impatience and resulting protest.

Tools for communication include:

- Social media/use of mass SMS;
- Mass meetings;
- Community newspapers;
- Community radio;
- Community noticeboards.

3.3 Housing support

Housing support after the consolidation phase can assist to maintain momentum in improving housing over time. If the consolidation phase has supported self-build approaches then building support will probably already form part of the package of services offered to residents. If a contractor approach has been adopted, support services may be more difficult to offer. The support function may include:

- Design support;
- Building advice;
- Building materials yards;
- Credit.

Housing support was discussed in Section 9.

3.4 Livelihoods support/economic interventions

The poverty and unemployment that characterize the circumstances of informal settlement residents constitute the greatest obstacle to advancement. South Africa's record of promoting job growth and economic advancement is poor and informal settlements are difficult environments to target. Nevertheless the upgrading process results in fairly large sums of money being spent in the informal settlement and so if possible it should be used to maximize work opportunities for residents.

Livelihoods support was discussed in Section 2.

Accordingly the design of the upgrade programme should be tailored to these ends by:

- Adopting labour-based approaches;
- Splitting work into small packages suitable for lower level CDIB contractors;
- Providing support for contractors to build their CIDB rating;
- Business support for small contractors.

The incremental nature of in situ projects increases the viability of these approaches, but they are countered by the increased cost attached to managing them so scale becomes a vital matter.

Economic imperatives obviously extend well beyond the upgrade itself and some interventions that hold promise are:

- The creation of space for economic activities in the layout;

- Creating concentrations or clusters of social and economic activities (taxi ranks, clinic, shops);
- Business support and business linkage schemes;
- Job shops;
- Skills development;
- Co-operative development.

The scale of these projects is important as most need to be operated at the programme rather than project level.

Home-based enterprises

Home-based enterprise offers an opportunity for income generation from individual houses. The types of enterprises that are appropriate include:

- **Service:** including hair salons, mechanics, traditional healers, taxi owners and shebeen operators;
- **Retail:** including spaza shops and frozen food retailers;
- **Production:** including fence and gate manufacturers, clothes makers and prepared food providers;
- **Rental:** including renting out a room in the main dwelling or space on the site for a dwelling to be erected.

A house provides a critical platform for enterprise/business activities. There is value in supporting existing home-based enterprises, so that they can operate more effectively and expand, as well as promoting the use of the house to assist the emergence of new entrepreneurs. In order for this to occur there is a need to change the way in which enterprises are regulated and supported. Factors to consider include:

- Providing information on how a home-based enterprise can be established;
- Promoting linkages to the formal sector within the vicinity of the informal settlement;
- Ensuring sites and house consolidation incorporates space for enterprise activities.

3.5 Food security

Despite best intentions it is clear that poverty will be with us for a long time. One means of offsetting the many negative components of poverty is by enabling food security. Most informal settlements have groups of residents who establish their own community vegetable gardens. This urban agriculture has been seen in a positive light and is supported in most municipalities.

It should be noted that income diverted by own consumption increases income available for other uses. Income earned from local production increases monetary circulation within the settlement area.

The potential for intensive small scale food production is supported by a growing body of knowledge which incorporates ecological principals. Examples of cultivation systems are:

- Permanent agriculture (permaculture);
- Hydroponic production/aquaponic systems (co-production of vegetables and fish);
- Organic production;
- Vertical gardens;
- Food forests.

Efforts to jump-start urban agriculture have a poor success rate with many examples of significant investments standing idle. It is well to remember that:

- Agricultural work is commonly viewed as a low status occupation;
- Community gardens frequently exhibit high participation rates of poor uneducated women.

This constitutes a significant contradiction between what is happening on the ground and the potential for modern intensive practices discussed above. The importance of a well-designed approach that targets those who are currently involved or who demonstrate significant commitment is illustrated by the different fortunes of two projects.

One NGO that operates in this area is *Trees and Food for Africa*.

Example: Successes and failures of food security projects

The first of our two food security case study projects was championed by a local councillor who managed to secure a large area of land and funding through the municipality's local economic development programme. The selection of participants was managed via a local committee and training provided in a classroom setting by a local tertiary institution. Land preparation took the form of the creation of allotments and municipal water and access roads were development. The project started off well, but participation declined rapidly and the project was considered a failure.

The second project was initiated by a support organisation which worked with existing groups using parts of school sites. Training was provided in a hands-on manner and support was received from the school administrations as the projects were tied to the schools via participant parents. The small scale meant that the gardens were easily accessible and the large roof areas created the potential for rainwater harvesting. The fenced school sites provided security for the crops. The success of this project saw interest developing from other areas.

These case studies are used as examples only to highlight a specific aspect or issue.

A key success factor appears to be **start from where you are and build on success**. There are a large number of support organisations which can add value to these projects.

One major impediment to urban agriculture projects is the cost of municipal water. eThekweni Municipality conducted a study on the implications of using grey water, which is

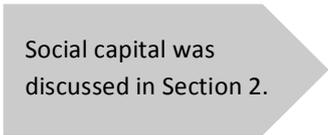
water from showers and hand-basins. It found that it was safe to use and did not pose any health risks. Plumbing new houses to facilitate access to this resource could assist residents to grow at least part of their vegetable requirements.

Municipal food security programmes should seek partnerships with service providers to work with existing community gardening groups to provide support and technology transfer. The process itself is important as the development of skills must be accompanied by the focus and dedication of individuals to the task. This cannot be imposed from outside and needs to be nurtured. There is a pressing need to change perceptions about urban agriculture so that it becomes a significant part of the economy of informal settlements. This could include:

- The creation of outlets for production such as local markets (occasional or permanent);
- Marketing local produce to supermarkets.

3.6 Social capital formation

Social capital is in a sense a rather intangible set of benefits that result from heightened social interaction and trust. There is no theory of social capital formation and the concept itself tends to defy measurement. The concept is, however, considered useful as communities where trust is manifest are clearly better able to come together to achieve communal goals.



Social capital was discussed in Section 2.

In the Inanda Ntuzuma KwaMashu (INK) urban renewal programme a survey found that there were over 500 community-based organisations (CBOs). These covered a wide range of activities including childcare, early childhood development, afterschool care, care for HIV/AIDS affected people, care for the terminally ill, co-operatives and community gardens amongst a number of others. These were all voluntary organisations and their existence demonstrates the desire of people to be active in the pursuit of improved conditions for themselves and their communities.

INK established a stakeholder forum of these organisations, which proved a useful conduit for the transmission of development information directly into the communities, but also served to facilitate links between groups on both a sector and geographic basis. Given that improved links are a characteristic of the existence of social capital, similar social forums may be one means to increase it.

The usefulness of community-based organisations lies in their voluntary nature:

- They capture people's desire to do good;
- They build up self-esteem;
- They build organisational capacity and individual experience;
- They are unthreatening to political processes due to their narrow focus.

If local conditions permit such CBOs could provide a useful resource and improving their capacity would increase their usefulness. This could be done by providing organisation development support to assist them to be effective. Such support could focus on improving management and accessing funding through writing business plans and funding proposals.

If successful such an intervention could improve the capacity of these organisations to deliver on their particular mandates thus improving the lives of the people they touch.

4. Writing a new story for South Africa

Overall transformation planning should start early on in the process and transformation thinking (the long-term view) should be mainstreamed. The incremental nature of upgrading will show up potential advantages and keeping an eye out for these may be particularly advantageous. Local circumstances frequently provide opportunities for sustainability and ongoing development that cannot be predicted at higher levels.

The National Development Plan talks about writing a new story for South Africa:

The country must write a different story in the years ahead. In this new story, every citizen is concerned about the well-being of all other citizens, and the development of South Africa means the development of each and every one of us who lives here. We must build on our social solidarity, which through history and heritage has demonstrated our aspiration to create a caring South African society.

In this new story, our nation's energies are focused both on attacking poverty and on expanding a robust, entrepreneurial and innovative economy. Over the next two decades and beyond, communities will need the resources and capabilities to become their own engines of development, and government must support this. We have to ensure that poor people have the environment, service and skills to improve their lives. At the same time, government must create the conditions and environment for higher levels of public and private investment to create jobs and ensure rising incomes.

Toolkit:

You will find the following resources on the Toolkit CD:

- Video: The IDP Explained
- The National Development Plan

References and Resources

- Integrated Urban Development Framework 2014 – DRAFT For Discussion – see Policy Lever 7: Empowered Active Communities
<http://www.pps.org/wp-content/uploads/2012/09/PPS-Placemaking-and-the-Future-of-Cities.pdf>