

BASELINE EVALUATION OF INFORMAL SETTLEMENTS

targeted for upgrading in the 2019-2024 MTSF

S U M M A R Y
December 2021



human settlements

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Human Settlements
REPUBLIC OF SOUTH AFRICA

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REPUBLIC OF SOUTH AFRICA



SOUTH AFRICAN
**ECONOMIC
RECONSTRUCTION
AND RECOVERY**
BUILDING A NEW ECONOMY



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SUMMARY REPORT
December 2021

ISBN: 978-0-620-97258-1





Dataworld (Pty) Ltd. has independently prepared this report.
The Evaluation Steering Committee comprised the Department of Human Settlements and the Housing Development Agency.
The Steering Committee oversaw the operation of the evaluation, commented on and approved the reports.

<u>Submitted by:</u>	<u>Submitted to:</u>
Mr. Robert Ndebele	Ms. Mulalo Muthige
Town and Regional Planner	Chief Directorate: Monitoring and Evaluation Director: Impact Evaluation
Data World (Pty) Ltd	National Department of Human Settlements
102 Western Service Road	Govan Mbeki Building
Adcorp Place, Woodlands, Sandton,	240 Justice Mohamed Street, Sunnyside
Johannesburg, 2191, South	Pretoria, 0001, South Africa
Africa Tel: +27 11 024 4451	Tel: +27 12 444 5082
	Fax: +27 86 615 0330
Email: robert@terra.group	Email: Mulalo.Muthige@dhs.gov.za

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How to cite this report:

Department of Human Settlements (2021) "Baseline Evaluation of Informal Settlements Targeted for Upgrading in the 2019-2024 MTSF", Pretoria: Department of Human Settlements.

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GLOSSARY

ABBREVIATION	DESCRIPTION
BNG	Breaking New Ground
DHS	Department of Human Settlements
GIS	Geographic Information System
HDA	Housing Development Agency
HSDG	Human Settlements Development Grant
MTSF	Medium Term Strategic Framework
NDP	National Development Plan
NGOs	Non-Governmental Organisations
NHBRC	National Home Builders Registration Council
NUSP	National Upgrading Support Programme
PDHS	Provincial Departments of Human Settlements
UISP	Upgrading of Informal Settlements Programme
UN	United Nations
USDG	Urban Settlements Development Grant





POLICY SUMMARY

- The majority of the informal settlement dwellers come from the surrounding rural farm areas in search of better economic opportunities in Central Business Districts (CBDs).
- The informal settlements are located in undesirable areas which are prone to hazards such as floods, dolomites, strong winds, hilly topography etc.
- Security of land tenure is a huge challenge in the sampled informal settlements.
- Most of the sampled informal settlements are being upgraded through an in-situ approach.
- 55% of the informal settlements projects in the country are in Phase 3, Implementation. There is only one project that is currently in Phase 4, Consolidation, and it's located in the Western Cape Province.
- The North West Province has the highest number of informal settlements projects from 2019/20 to 2022/23.
- The key financial instruments include the municipal budget, water, electricity and sanitation allocations, social housing grant, housing subsidy scheme, and the municipal infrastructure grant.
- All provinces have allocated budget outputs, albeit to varying degrees, In the KwaZulu-Natal Province, no budget has been indicated concerning allocations for the different expenses.
- The majority of the business plans across provinces and municipalities do not explicitly provide the budgets for the different activities of the pre-planning phase.
- The DHS and respective municipalities must firstly prioritise formalising land ownership and security of tenure, clarify rights of access to basic services and undertake the statutory town planning process as the basis of planned development.
- Early and coordinated infrastructure investments must be created to allow for interlinkages between housing, infrastructure development, and the wide regional context in which these informal settlements are located.
- Incremental provision of urban basic services should be provided on a descending scale: water, sanitation, roads, solid waste management, and electricity.
- Basic services must be prioritized in informal settlement upgrading programmes as they are not readily available in most settlements.
- There are attempts to provide for water, sanitation, electricity, and waste removal services especially in the informal settlements within Free State, Gauteng, KwaZulu-Natal, Northern Cape, and Western Cape.
- The existing infrastructure should be adequately maintained. It should also be designed to be very resilient.
- Innovation in community participation should be encouraged and new methods of engaging with residents considered.
- Community participation has proven to be the greatest contributing factor towards the successful upgrading of the informal settlement programme.
- All the relevant stakeholders involved in the upgrading process need to be effectively consulted, which also includes grassroots organisations within the informal settlements.
- There is a need to establish by-laws of solid waste management for informal settlements.





EXECUTIVE SUMMARY

1. INTRODUCTION

1.1 BACKGROUND TO INTERVENTION

South Africa has a progressive legal and policy framework governing the right to housing, yet the housing crisis has persisted. These challenges are particularly acute in the context of informal settlements and inner-city slum buildings. Therefore, the Upgrading of Informal Settlements Programme (UISP) was instituted in 2004 to deal with the process and procedure for the in situ upgrading of informal settlements. The next phase of this process involves the upgrade of 1 500 Informal Settlements to Phase 3 in the 2019-2024 Medium Term Strategic Framework (MTSF).

1.2 PURPOSE OF EVALUATION

The purpose of the evaluation is to ascertain the profile and status of the informal settlements targeted for upgrading in the 2019-2024 MTSF period.

1.3 OBJECTIVES

The overall aim of the project is to collect baseline data on informal settlements targeted for upgrading and to classify the settlements in terms of the various criteria, which relate to the features of these settlements.

1.4 METHODOLOGY

This baseline evaluation sought to collect and synthesize data through the use of a mixed-methods methodology with a descriptive research design. Data was collected using a questionnaire survey administered electronically via Google Forms. For the sample, a stratified random sampling design was chosen, which involved creating a database of the informal settlements and then stratifying them into their respective subpopulations before random selection takes place.

2. THE UPGRADING OF INFORMAL SETTLEMENTS PROGRAMME (UISP)

2.1 AIMS AND OBJECTIVES

The goal of the programme is to fully upgrade informal settlements over time through an incremental process. The programme aims for in-situ upgrading of the informal settlements and recommends relocation and rehabilitation only if in-situ upgrading is not feasible. Some of the programme's key objectives are providing tenure security to informal settlement residents, improving health and security in the settlement, and empowering communities (DHS, 2009).





2.2 POLICY DIRECTIVES

There are various policies, laws and programmes that support the incremental upgrading of informal settlements. This programme is founded on the Constitution, National Housing Code of 2009, National Development Plan 2030 (NDP), 2019-2024 Medium Term Strategic Framework (MTSF), Breaking New Ground (BNG) policy of 2004, National Norms and Standards of 2007, Priority Human Settlements & Housing Development Areas Programme, Housing Act, Spatial Planning and Land Use Management Act (SPLUMA) and the Prevention of Illegal Eviction from and Unlawful Occupation of Land Act of 1998.

2.3 PROGRAMME IMPLEMENTATION APPROACH

The upgrade of an informal settlement is carried out in four distinct phases and there are also many stakeholders involved in this process. For example, the municipality is responsible for identifying the priority settlements, implementing the upgrading process, and taking ownership of all the services that are installed.

2.4 SELECTION OF INFORMAL SETTLEMENTS

Informal settlements are selected for upgrading based on the extent of their illegality and informality, existing in an improper location, hazardous environmental factors, restricted public sector investment, high levels of poverty and elements of social stress.

2.5 ROLES OF NATIONAL UPGRADING SUPPORT PROGRAMME (NUSP)

The NUSP is an initiative of the Department of Human Settlements (DHS), which is aimed at improving the practice of informal settlement upgrading in South Africa.

2.6 EXISTING BASELINE INFORMATION ESTABLISHMENT PROCESS

The DHS conducted a baseline assessment for the future impact evaluation of informal settlements in 2016, which adopted a cross-sectional baseline study from 119 informal settlements.

2.7 EFFECTIVENESS

South African informal settlement upgrading programs are on par with international best practices.

2.8 UISP FUNDING INSTRUMENTS

The public sector bears informal settlements and housing development costs.

2.9 ROLES OF DIFFERENT AGENCIES

Various agencies have a stake in the UISP programme, namely The National Department of Human Settlements, The Housing Development Agency (HAD, The Provincial Human Settlement Departments, The District and Local Municipalities, ward committees and NGOs.





3. KEY FINDINGS FROM THE LITERATURE REVIEW

3.1 INFORMAL SETTLEMENTS: TERMS AND DEFINITIONS

Many terms and definitions have been devised for informal settlements in various parts of the world, including “slums” and “squatter camps”. While the terms are used interchangeably, they are often distinguished by the context in which they are used.

3.2 CAUSES OF INFORMAL SETTLEMENTS

The emergence of informal settlements in South Africa goes back to the Apartheid era wherein government policies intentionally segregated people according to race when it came to housing, job opportunities, and education. The spread of informal settlements was a manifestation of the urban growth that resulted from more people migrating from rural to urban areas. Another attributing factor to rural-urban migration was employment opportunities.

3.3 INTERNATIONAL POLICY, PRACTICE AND LITERATURE

During the nineteenth century, the central methodology for tackling informal settlements until the late 1970s was eradication. It was only later when the concept of ‘self-help’ housing and the need for autonomy within settlements was recognised. This resulted in the recognition of informal settlements as part of the city and led to project-oriented upgrading. As a result, in situ upgrading became prominent as a way of maintaining social ties, avoiding relocation, and protecting social capital.

3.4 PROBLEMS AND CHALLENGES IN INFORMAL SETTLEMENTS

There are numerous challenges confronting policymakers in their quest to deal with the issue of informal settlements, which include socio-economic challenges, sanitation, water, energy and fire hazards and waste management.

3.5 INFORMAL SETTLEMENT UPGRADING

The development of the Informal Settlement Upgrading Programme as part of the National Housing Policy calls for the informal settlement intervention paradigm to shift, from redevelopment to in-situ upgrading approaches. In situ upgrading solves the problem of redeveloping as an approach, which often creates anxiety amongst beneficiaries as they must move away from the places that they consider their homes.





4. KEY EVALUATION FINDINGS

4.1 OVERALL ANALYSIS OF THE UISP BUSINESS PLANS

All provinces have allocated budget outputs, albeit to varying degrees, in the KwaZulu-Natal Province, no budget has been indicated concerning allocations for the different expenses. Most provinces weren't explicit in terms of their pre-planning budget outputs.

4.2 PROVINCIAL ANALYSIS

Most informal settlement projects are in Phase 3, one project in the Western Cape is in Phase 4. The North West Province has the highest number of informal settlements projects from 2019/20 to 2022/23.

4.3 RESPONSE RATE OF THE QUESTIONNAIRE

SURVEY The present study had a low response rate.

4.4 KEY FINDINGS

The majority of the informal settlement dwellers come from the surrounding rural farm areas in search of better economic opportunities in Central Business Districts (CBDs).

- Basic services such as water, sanitation, roads, waste management and community facilities are not readily available in most of these informal settlements.
- The informal settlements are located in undesirable areas which are prone to hazards such as floods, dolomites, strong winds, hilly topography etc.
- Security of land tenure is a huge challenge in the sampled informal settlements.
- Around 80% of the sampled informal settlements are being upgraded through an in-situ approach.
- The average household size is three, whilst the average number of dwellings per settlement is 1800.
- The key financial instruments include the municipal budget, water, electricity and sanitation allocations, social housing grant, housing subsidy scheme, and the municipal infrastructure grant.
- There is no evidence of intense negative perceptions and attitudes towards foreigners in the sampled informal settlements.





5. MONITORING AND EVALUATION

5.1 MONITORING FRAMEWORK

For this evaluation, a Result-Based Monitoring and Evaluation approach has been used.

5.2 EVALUATION FRAMEWORK

The evaluation framework presented here will be useful in ascertaining whether the informal settlements are being upgraded as planned and efficiently, as well as the impact thereof.

6. CONCLUSIONS

- There is no one-size-fits-all approach to the process of upgrading informal settlements. Each settlement is unique in terms of its challenges, but there are some common themes.
- The UISP is already in place and operational across all provinces, although the extent of its use varies.
- The upgrading follows a four-phase process. Many UISP programmes have been unable to reach projected targets due to the lack of availability of land, slow land release and administration processes as the major factors.
- The other contributing factors include implementation inconsistencies across provinces and municipalities and a lack of prioritisation of the UISP since its inception
- While 1500 informal settlements have been identified for upgrading in the 2019-2014 MTSF period, there are only 1061 projects that have been identified in the submitted business plans by provinces and municipalities. The majority of these projects are currently in Phase 3, which involves the approval of the respective business plans and setting up funding flows for several activities.
- In some cases, the identified UISP projects are greenfield projects, which defeats the purpose of the UISP as per the national mandate.
- The most critical emphasis of upgrading is that this process should happen in situ, where communities already exist. Relocations should always be seen as a last resort.
- South Africa's focus on housing delivery, which was initiated in 1994, has overshadowed incremental approaches; however, in 2004, informal settlement upgrading emerged as a priority for the South African government.
- SPLUMA also takes a clearly supportive stance on the incremental upgrading of informal settlements, which creates a legally binding obligation on government to facilitate this process
- Community participation has proven to be the greatest contributing factor towards the successful upgrading of the informal settlement programme and, therefore, the community's involvement in all aspects of the upgrading process is important.





7. RECOMMENDATIONS

- It is crucial to overcome the prevailing orthodoxy of greenfield site development through a change in mindsets, attitudes and organisational culture of the officials and professionals responsible for housing programs so that an incremental, participatory and livelihoods-based approach is embraced.
- While deprivation is widespread across informal settlements, they have unique living conditions which require improvement efforts through the UISP to be specifically tailored to each settlement.
- Consistency in the implementation and prioritisation of the UISP should be supported by the production of electronic knowledge hubs and resource kits with examples of implementation solutions and good practice, as well as an integrated capacity building programme for provinces, municipalities and beneficiary communities.
- Provincial and local level informal settlement units are generally small and under-staffed. To implement the large-scale programmatic approach required to achieve the UISP targets, it is important to pay sufficient attention to implementation and programme management capacity at these different levels of government.
- A process of identifying, recording and mainstreaming successful informal settlement upgrading approaches in various parts of the country is also urgently required.
- Municipalities should verify the data on their business plans to ensure that the information in the database is up-to-date.
- All the informal settlements within the respective municipalities' jurisdictions should be duly captured and clearly identified for accurate records and reporting.
- It is crucial to consider all factors related to a community before embarking on upgrading. As reiterated previously, a one-size-fits-all approach can't be used in the upgrading of informal settlements as location specific factors such as physical, environmental, and density will dictate the appropriate upgrading strategy, i.e., in-situ or relocation.
- Where relocations are unavoidable, the assistance of the Housing Development Agency should be enlisted for expediting the identification of alternative land for relocation.
- The DHS should continue to monitor the implementation of the programme to ensure accountability in the implementation of projects, which will ultimately lead to the full upgrading of informal settlements over time.
- All the relevant stakeholders involved in the upgrading process need to be effectively consulted, including grassroots organisations within the informal settlements. This should particularly encompass community empowerment by addressing social and economic exclusion through participative processes and addressing broader social needs of the informal settlements' communities.
- Given the novel COVID-19 pandemic, many of the usual mechanisms for community participation may also not be practical. Innovation should therefore be encouraged and new methods of engaging with residents considered.
- Tenure security is a considerable challenge in informal settlements. Therefore, the DHS and respective municipalities must firstly prioritise formalising landownership and security of tenure, clarify rights of access to basic services and undertake the statutory town planning process as the basis of planned development.
- Early and coordinated infrastructure investments should then follow to allow for interlinkages between housing, infrastructure development, and the broad regional context in which these informal settlements are located.





- Incremental provision of basic urban services should be provided on a descending scale: water, sanitation, roads, solid waste management, and electricity. These should be prioritized in informal settlement upgrading plans/programmes.
- The existing infrastructure should be adequately maintained. It should also be designed to be very resilient given the terrain of informal settlements, which is often hilly, steep and rocky and has a limited spatial area for expansion.
- The envisaged change through the UISP should be measurable and have specific timeframes.
- Municipalities should develop monitoring, evaluation and learning frameworks that guide their respective local informal settlement upgrading approaches. This should also include the critical role played by communities in monitoring and evaluation as well as other relevant stakeholders.
- Provinces also play a critical role in terms of providing support to capacity challenged municipalities regarding the collection, use and management of the relevant data.





1. INTRODUCTION

1.1 BACKGROUND TO THE INTERVENTION

Section 26 of South Africa's Constitution proclaims access to housing as a Human Right and places a duty on the state to take reasonable measures to realise access to adequate housing. While South Africa has a progressive legal and policy framework governing these rights, the housing crisis has persisted. These challenges are particularly acute in the context of informal settlements and inner-city slum buildings. People living in informal settlements have inadequate housing, a lack of access to basic services or their maintenance and often face the threat of evictions (Socio-Economic Rights Institute of South Africa, 2018)

The UISP was instituted in 2004 to deal with the process and procedure for the in situ upgrading of informal settlements, especially as it relates to the provision of grants and the municipality's ability to carry out the upgrading process in a structured manner. The 2019-2024 MTSF target is to upgrade 1 500 Informal Settlements to Phase 3

1.2 PURPOSE OF THE EVALUATION

The purpose of the evaluation is to ascertain the profile and status of the informal settlements targeted for upgrading in the 2019-2024 MTSF period. This information will be used to:

- Synthesize the information in the UISP plans in place to upgrade the informal settlements during the MTSF period;
- Strengthen implementation and improve the performance of the UISP in the informal settlements targeted for upgrading;
- Track the performance of the targeted informal settlements;
- Assess the measurable outcomes and impacts on beneficiaries and communities that the Upgrading of Informal Settlements Programme produces; and
- Provide guidance on the selection of prioritised informal settlements.

1.3 OBJECTIVES

The project's overall aim is to collect baseline data on informal settlements targeted for upgrading and to classify the settlements in terms of the various criteria, which relate to the features of these settlements. The broad objectives can be summarised as follows:

- Establish the current status of selected informal settlements;
- Examine what change is triggered by the implementation of the UISP during the 2019-2024 MTSF period;
- Conduct baseline information that will provide for formative programme research and planning, and in the monitoring and evaluation framework;
- Contribute to the existing body of literature on the state of informal settlements in South Africa.





1.4 METHODOLOGY

1.4.1 Baseline Evaluation Framework

A baseline evaluation is defined as “a descriptive cross-sectional survey that mostly provides quantitative information on the current status of a particular situation in a given population. It aims at quantifying the distribution of certain variables in a study population at one point in time (Food and Agriculture Organization, 2013). These studies are a fundamental starting point for all informal settlements upgrading projects because the results serve as a benchmark for planning all future activities and establishing priority areas in the programme's life cycle. This is especially important when considering that some aspects of an informal settlement upgrading programme need more focus than others.

This baseline evaluation sought to collect and synthesize data, which will allow the DHS to assess the implementation process followed and the effectiveness of the UISP in producing the desired change in the selected informal settlements targeted for upgrading. To achieve this, a mixed-methods methodology with a descriptive research design was adopted. In this regard, research refers to the “logical task undertaken to ensure that the evidence collected enables us to answer questions or to test theories as unambiguously as possible” (New York University, n.d:16).

1.4.2 Methods

Research methods refer to “the techniques or procedures used to gather and analyse data related to some research questions or hypotheses” (Crotty, 1998:3). Focus Group Discussions and a questionnaire survey incorporating both qualitative and quantitative research methods were used for this study.

1.4.2.1 Data Collection

This study involved the use of multiple sources of data. Both primary and secondary data sources (e.g., documentation, archival records, and surveys with key sector informants) were used for effective data collection. The collection of primary data was achieved by means of a questionnaire survey and focus group discussions.

1.4.2.2 Sampling

A stratified random sampling design was chosen. This sampling design enabled the division of the informal settlement projects across provinces and municipalities into a homogeneous group. This design involved first creating an MS Excel database of the informal settlements and stratifying them into their respective subpopulations, namely provinces, district municipalities and local municipalities.

After this, informal settlements were chosen based on random selection methods. During the inception phase of this project, it was agreed that a 10% sample size would be used. The Terms of Reference indicated a total of 1500 informal settlements are targeted for upgrading in the MTSF period. A 10% sample size would therefore equate to 150 informal settlements. However, the total number of informal settlements projects captured in the analysed business plans received from provinces and municipalities was 1061, equating to a 106 sample size. The 150 informal settlements sample size was, however, maintained as it had already been firmly agreed upon in the inception phase.

The selection of informal settlements from each province involved applying a random sampling method through MS Excel to form a representative test group of 150 informal settlements. The selection of these informal settlements needed to consider geographic spread across the nine provinces, and emphasise metropolitan municipalities. In this regard, it was necessary to re-run the sampling process several times to reach an optimal result because the initial random sampling runs did not provide a good geographic spread of the informal settlements.





2. THE UISP PROGRAMME

2.1 AIMS AND OBJECTIVES

The goal of the programme is to fully upgrade informal settlements over time through an incremental process. Therefore, the programme aims for in-situ upgrading of the informal settlements and recommends relocation and rehabilitation only if in-situ upgrading is not feasible. Some of the programme's key objectives are providing tenure security to informal settlement residents, improving health and security in the settlement, and empowering communities (DHS, 2009).

2.2 POLICY DIRECTIVES

Many policies and programmes support the incremental upgrading of informal settlements. This is firstly provided for in the Constitution, which provides for the right of access to adequate housing and places a mandate on the state to mobilize resources to realize the provision of housing. The National Housing Code of 2009 also includes a section on the in-situ upgrading of informal settlements, which is supported by the National Development Plan 2030 (NDP) and the 2019-2024 Medium Term Strategic Framework's (MTSF) goals. These objectives involve addressing the triple challenge of unemployment, inequality and poverty and acknowledging the issues with the current settlement patterns.

Incremental upgrading and housing provision derives from the Breaking New Ground (BNG) policy of 2004, which sought to address the failures of the previous low-income housing development projects and provides important guidelines for the provision of housing. In this regard, the quality of houses started to play an increasingly important role in the upgrading of settlements. For example, upgrading must ensure that all houses conform to the building standards as set out by the National Norms and Standards of 2007. This is also echoed by The Priority Human Settlements & Housing Development Areas Programme, which provides an important set of policy guidelines to guide the development of the UISP and the corresponding upgrading processes. The Housing Act also provides for the facilitation of a sustainable housing development process and further lays down the general principles applicable to housing development in all spheres of government.

The process of incremental upgrading also conforms to the Spatial Planning and Land Use Management Act (SPLUMA), which promotes the importance of spatial justice and the close connection between planning, housing and land reform. In addition, the UISP's mandate for upgrading also upholds the Prevention of Illegal Eviction from and Unlawful Occupation of Land Act of 1998, because of its emphasis on in-situ upgrading as opposed to relocation.

2.3 PROGRAMME IMPLEMENTATION APPROACH

The upgrade of an informal settlement is carried out in four phases. **Phase 1, Application:** Municipalities should be invited to apply to the Provincial Government for funding for the upgrading of informal settlements through the submission of Interim Business Plans, which should include relevant details of the municipality's Integrated Development Plan (IDP) and the Housing Development Plan, as well as prefeasibility details of the particular upgrading project. **Phase 2, Project initiation:** During this phase of the upgrading process, municipalities should receive funding to undertake the following activities: acquisition of land where required, undertaking of a clear socio-economic and demographic profile of the settlement, installation of interim services to provide basic water and sanitation services to households within the settlement on an interim basis pending the formalization, conducting of pre-planning studies to determine detailed geotechnical conditions and the undertaking of an environmental impact assessment to support planning processes.

Phase 3, Project implementation: During this phase of the upgrading process, municipalities should receive funding to undertake the following activities: acquisition of land where required, undertaking of a clear socio-economic and demographic profile of the settlement, installation of interim services to provide basic water and sanitation services to households within the settlement on an

interim basis pending the formalization, conducting of pre-planning studies to determine detailed geotechnical conditions and the undertaking of an environmental impact assessment to support planning processes. **Phase 4, Housing consolidation:** Upon completion of the first three phases, the final phase of township establishment finalisation, ownership registration (where appropriate), and house construction will commence. Any outstanding social amenities will also be constructed during the final phase.





There are also many stakeholders involved in this process. For example, the municipality is responsible for identifying the priority settlements, implementing the upgrading process, and taking ownership of all the services that are installed and the provincial departments provide funding and financial assistance and other resources as required. The National Department of Human Settlements aids in project conceptualisation, project applications and evaluations, and project management activities. The department also allocates funds to provinces and provides implementation assistance. Several additional organisations, such as the National Home Builders Registration Council (NHBRC), Housing Development Agency, and Provincial Departments of Human Settlements (PDHS), also contribute to the programme implementation. At the local level, ward committees, councillors and beneficiary communities play important roles in programme implementation.

2.4 SELECTION OF INFORMAL SETTLEMENTS

Informal settlements are selected for upgrading based on the extent of their illegality and informality, existing in an improper location, hazardous environmental factors, restricted public sector investment, high levels of poverty and elements of social stress.

2.5 ROLES OF THE NATIONAL UPGRADING SUPPORT PROGRAMME (NUSP)

The NUSP is an initiative of the DHS, which is aimed at improving the practice of informal settlement upgrading in South Africa. The NUSP plays a critical role in undertaking projects of the UISP in conjunction with beneficiary communities and municipalities. It also assists in the capacity building of municipal staff and trains them on aspects related to technical expertise and knowledge (HDA, 2012).

2.6 EXISTING BASELINE INFORMATION ESTABLISHMENT PROCESS

The DHS conducted a baseline assessment for the future impact evaluation of informal settlements in 2016, which adopted a cross-sectional baseline study from 119 informal settlements. The study employed a stratified sampling approach and selected 119 informal settlements from a given list of 1185 informal settlements. The mixed-methods study involved a quantitative approach of gathering information through a structured questionnaire and an initial environmental scanning, whereas the qualitative approach included documents and literature review, focus group discussions and key informant interviews (DHS, 2016).

From the present assignment's perspective, the restrictions that were imposed due to the COVID-19 pandemic created a challenge in undertaking extensive household surveys and focus group discussions. Hence, a revised methodology, which considers the current project's objectives and context, was drafted.

2.7 EFFECTIVENESS

South African informal settlement upgrading programs are on par with international best practices because they facilitate the in situ upgrading of informal settlements while allowing for the possibility of relocation of people voluntarily as may be appropriate.





2.8 UISP FUNDING INSTRUMENTS

The public sector bears informal settlements and housing development costs. In metropolitan municipalities, the upgrading programmes are funded by the Urban Settlements Development Grant (USDG), which addresses infrastructure issues, the Human Settlements Development Grant (HSDG) allocated to provinces, which aims to create sustainable settlements and the Municipal Equitable Share and Municipal Infrastructure Grant (MIG), which provides free basic services to the households and maintains service delivery etc. From 2021/22 a new standalone Informal settlements upgrading partnership grant (ISUPG) for provinces has been established to upgrade informal settlements. The grant is introduced with an allocation of R3.9 billion in 2021/22, R4.2 billion in 2022/23 and R4.4 billion in 2023/24. The outcomes of the ISUP are to promote integrated sustainable urban settlements and improved quality living environment as per the National Housing Code 2009 which includes tenure security, health and security as well as empowerment.

2.9 ROLES OF DIFFERENT AGENCIES

The National DHS and The Housing Development Agency (HDA) are mandated to assist organs of the state with the upgrading of informal settlements. The Provincial Human Settlement Department is responsible for the funding and implementation of the UISP. The District Municipalities reach out to local municipalities and assist to bring the process to implementation. Additionally, ward committees and NGOs play a role in mobilizing community involvement and monitoring the upgrading process.





3. KEY FINDINGS FROM LITERATURE REVIEW

3.1 INFORMAL SETTLEMENTS: TERMS AND DEFINITIONS

Many terms and definitions have been devised for informal settlements in various parts of the world. Abbot (2001) posits that informal settlements can be seen to have two inter-related sides to them, where “one relates to the physical environment and revolves around the dwelling that families occupy while the other relates to the families themselves, their needs and circumstances” (Abbott, 2001: i).

Another widely used term for describing informal settlements is “slums”. Slums are a cause and a consequence of poverty, social exclusion, and environmental degradation. The UN-Habitat categorises slums as informal settlements that are deprived and excluded, plagued by issues of poverty and have lots of houses located in mostly hazardous urban land. Furthermore, those who lived in slums according to this report lack formal supply of basic services and infrastructure, public open spaces and are exposed to chances of eviction, diseases, and violence (UN-Habitat, 2015).

A further review of the literature indicates that informal settlements are also referred to as squatter camps. Squatters are often defined as residents who have no legal right on a piece of land on which they have erected their shacks (Power, 1993). In the same vein as the other definitions, squatter settlements are built on land that is not desirable because of environmental problems such as flooding and the steepness of slopes (Carter, 1990).

While the terms are used interchangeably, they are often distinguished by the context in which they are used. In other words, these terms refer to the different forms of shelter, with distinctions in the form of land tenure, building type, construction method, and legal status (Taher & Ibrahim, 2014).

3.2 CAUSES OF INFORMAL SETTLEMENTS

The emergence of informal settlements in South Africa goes back to the Apartheid era wherein government policies intentionally segregated people according to race when it came to housing, job opportunities, and education. The UN-Habitat notes that the emergence of informal settlements has been driven by population growth, lack of affordable housing, rural-urban migration, weak governance, marginalisation, displacement caused by conflict and natural disasters as well as economic vulnerability UN-Habitat (2015).

In other parts of Africa, the emergence of informal settlements dates to the colonial era, when colonial urban planning divided the urban space into two distinct zones, namely, a “European” space that enjoyed a high level of urban infrastructure and services and an “indigenous” space that had marginal services (Ono & Kidokoro, 2020:384). Indigenous space, or informal settlements, became a prevailing mode of urban development across Africa in the wave of rapid urbanization after World War II (ibid).

The spread of informal settlements was thus a manifestation of the urban growth that resulted from more people migrating from rural to urban areas. Another attributing factor to rural-urban migration was employment opportunities. With no immediate access to formal housing upon arrival in the cities, these migrants would erect informal structures next to areas of economic opportunities.

Innes, Kentridge & Perold (1992) state that the rapid formation of shanty towns has been facilitated by administrative confusion, institutional restructuring, and the absence of clear policy, which have allowed squatter settlements to be able to flourish.





3.3 INTERNATIONAL POLICY, PRACTICE AND LITERATURE

During the nineteenth century, which was dominated by British colonialism, the central methodology for tackling informal settlements until the late 1970s was 'clearance' or 'eradication' (Maylam & Edwards 1996). Some, including Turner (1968; 1977), were opposed to the eradication approach to informal settlement management and saw the settlements as part of the solution within the challenge of housing provision (Massey, 2013). Turner (1967) and Abrams (1966) was among the first to promote the concept of 'self-help' housing and the need for autonomy within settlements.

This resulted in the recognition of informal settlements as part of the city and led to project-oriented upgrading (tenure regulation and service provision) including the provision of housing through state-provided structures, housing subsidies and self-help housing projects. In the 1980s, informal settlement upgrading gained momentum as the global concern for levels of poverty grew (Massey, 2013:2).

As a result, in situ upgrading also became prominent as a way of maintaining social ties, avoiding relocation and protecting social capital (Massey, 2013:2).

3.4 PROBLEMS AND CHALLENGES IN INFORMAL SETTLEMENTS

There are numerous challenges confronting policymakers in their quest to deal with the issue of informal settlements. These include socio-economic challenges, sanitation, water, energy and fire hazards and waste management. The dire conditions in many informal settlements fuel socio-economic inequities and violence. In addition, these dire conditions are characterized by a lack of access to basic services, which is worsened by the fact that settlements are often located in hazardous areas and contain low-quality houses.

3.5 INFORMAL SETTLEMENT UPGRADING

The development of the Informal Settlement Upgrading Programme as part of the National Housing Policy calls for the informal settlement intervention paradigm to shift. The South African government's policy is based on the Bill of Rights of the Constitution of South Africa which states that "Everyone has the right to have access to adequate housing" and "The state must take reasonable legislative and other measures, within its available resources, to achieve the progressive realisation of this right" (Republic of South Africa, 1996).

Mistro & Hensher (2009) state that informal upgrading can be done through redevelopment or in situ development. What redevelopment means is that the area is demolished resulting in families being relocated to other greenfield sites. These greenfield sites are usually located further from urban opportunities as opposed to informal settlements. On the other hand, in situ upgrading aims to maximise the extent of disruption to economic and social factors by reducing the number of households that are relocated.

In situ upgrading solves the problem of redeveloping as an approach, which often creates anxiety amongst beneficiaries as they must move away from the places that they consider their homes. Redevelopment also has the potential to exacerbate socio-economic injustices as people now have to move to places further away from their workplaces while the in-situ approach emphasises the upgrading of informal settlements without relocation and minimal disruption to beneficiaries' lives.





4. KEY EVALUATION FINDINGS

4.1 OVERALL ANALYSIS OF THE UISP BUSINESS PLANS

4.1.1 Classification

It was necessary to develop a checklist of key features for classifying the identified informal settlements based on several descriptive factors to assess the feasibility of upgrading. This classification is shown in Table 1 and was based on the following categories:

Category A:

Imminent Full Upgrading (Rapid formalisation, full services, formal tenure, township establishment).

Category B 1:

Interim / Incremental basic services – Provision of interim essential services such as water, sanitation, roads, electricity, waste removal, key social facilities leading to eventual formalisation.

Category B 2:

Emergency basic services – Provision of emergency basic services such as water, sanitation, fire protection, solid waste removal but leading to eventual relocation.

Category C:

Rapid relocation to a site which is already available or imminently available [i.e., greenfields housing project, temporary relocation area (TRA), site and service (serviced land release)]

Table 1: National overview of projects per Category

CATEGORY	GT	NW	NC	EC	MP	LIM	FS	KZN	WC	Total	% Share
A	12	7	14	66	31	7	37	11	14	199	32
B1	19	11	0	41	4	20	14	18	16	143	23
B2	17	2	0	20	0	1	3	1	2	46	7
C	2	3	0	16	0	22	20	0	2	65	10
Combination	7	4	0	12	1	1	6	2	18	51	8
No Data	10	74	0	17	0	3	0	19	1	124	20
No. of Projects	67	101	14	172	36	54	80	51	53	628	100
% Share	11	16	2	27	6	9	13	8	8	100	





4.1.2 Phases as per UISP

The UISP is the policy instrument for informal settlement upgrading and facilitates a phased approach to upgrading. Table 2 shows the current phases of informal settlements projects across the 9 provinces.

Table 2: National overview of UISP Phases

UISP Phases	GT	NW	NC	EC	MP	LIM	FS	KZN	WC	Total	% Share
Phase 1: Feasibility	67	5	1	2	0	0	0	0	0	75	12
Phase 2: Initiation	0	13	13	22	1	27	12	1	5	94	15
Phase 3: Implementation	0	83	0	33	35	27	68	50	47	343	55
Phase 4: Consolidation	0	0	0	0	0	0	0	0	1	1	0
No Data	0	0	0	115	0	0	0	0	0	115	18
Total	67	101	14	172	36	54	80	51	53	628	100
% Share	11	16	2	27	6	9	13	8	8	100	

55% of the informal settlements projects in the country are in Phase 3, Implementation. There is only one project that is currently in Phase 4, Consolidation, and it's located in the Western Cape Province. Projects in "Phase 1: Feasibility" and "Phase 2: Initiation" have a percentage share of 12% and 15%, respectively. The remaining 18% of projects had no information.

4.1.3 Budgeted Outputs per Informal Settlement

All provinces have allocated budget outputs, albeit to varying degrees. In the KwaZulu-Natal Province, no budget has been indicated concerning allocations for the different expenses.

4.1.4 Pre-Planning Outputs Budgets

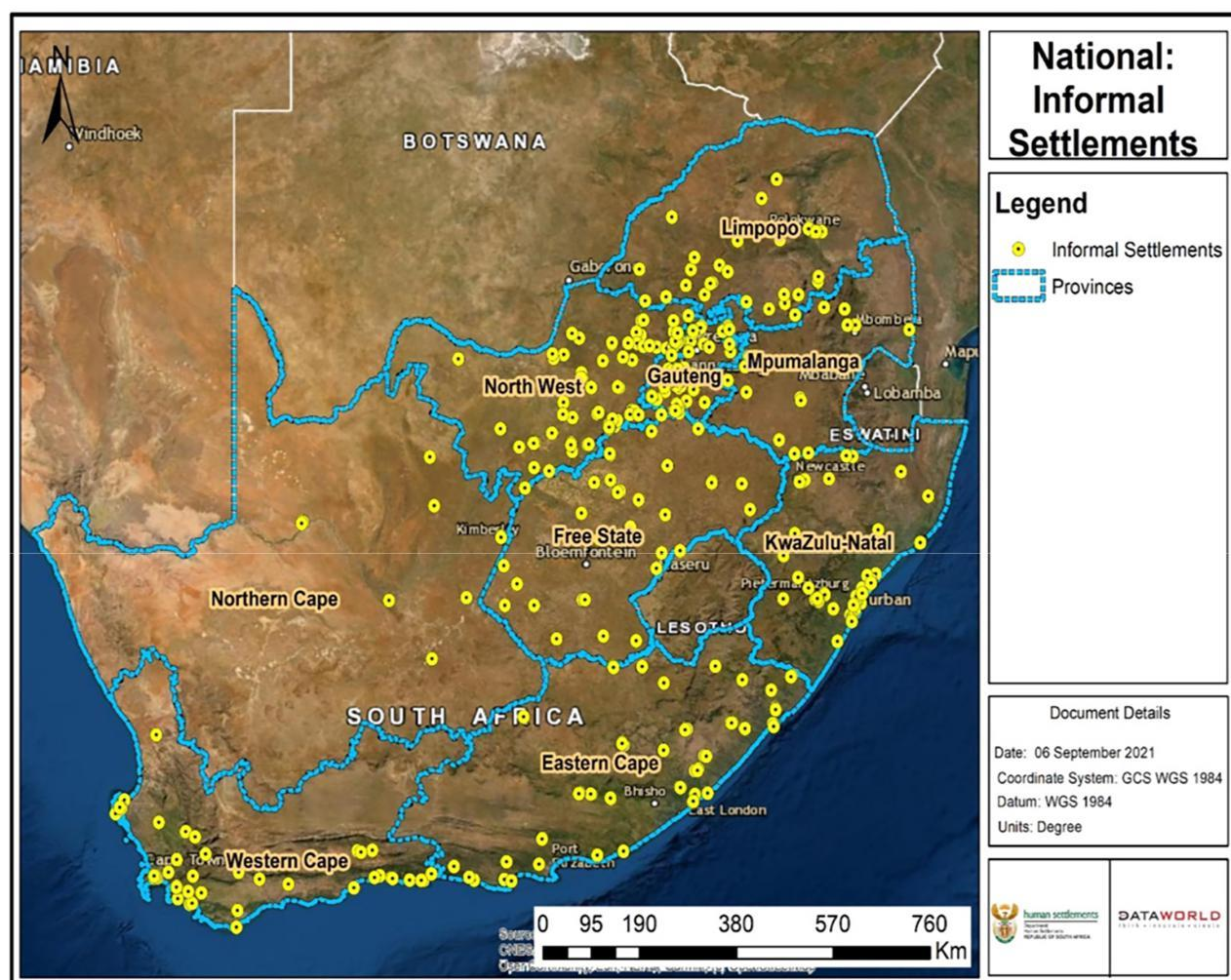
The majority of the business plans across provinces and municipalities do not explicitly provide the budgets for the different activities of the pre-planning phase.





4.2 PROVINCIAL ANALYSIS

A provincial analysis was conducted to determine each province's number of informal settlement projects, their classification and the relevant UISP phase.



Map 1: National Overview of Informal Settlements Projects





Eastern Cape

Number of projects per financial year

In the 2019/20 financial year, there were 79 informal settlements projects. 115 new projects were introduced in the 2020/21 financial year, of which only four carried over to the subsequent financial years.

Multi-Financial Year Projects

As stated in the immediate section above, only four projects were allocated a budget for in the subsequent financial years. Two of the projects were allocated their respective budgets in two subsequent years with no gaps in between the financial years.

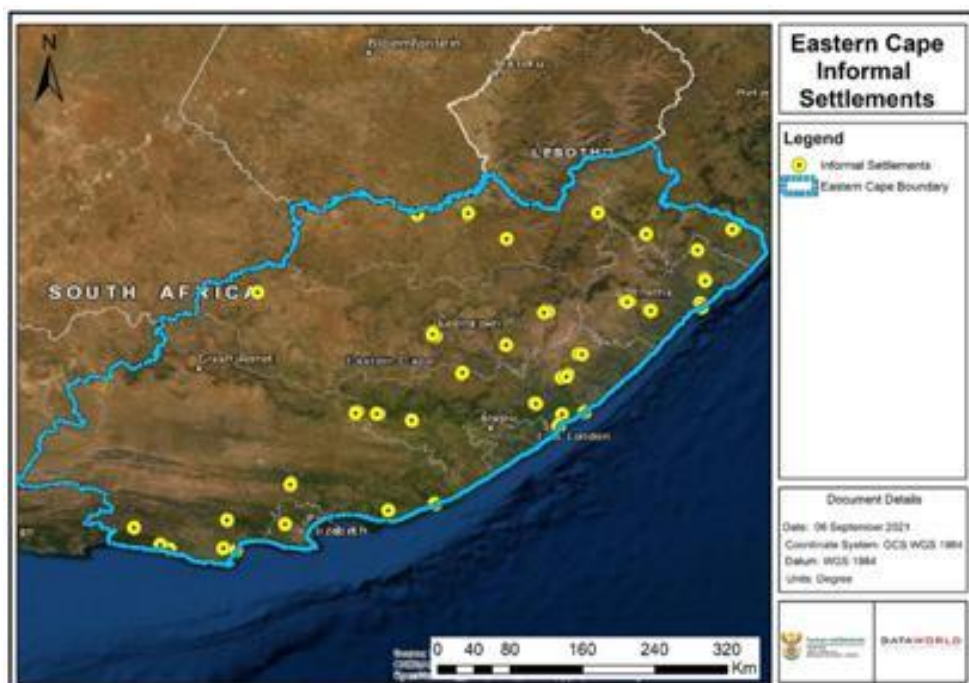
The other two projects are being implemented for 3 financial years (from 2020/21 to 2022/23) with the middle financial year however not budgeted for.

Classification

The majority of the projects are classified as either A or B1 Categories. This implies that most of the projects are already being serviced at an acceptable level, albeit 42% have interim or incremental basic services. 9% of the projects have a combination of Categories such as B1 and B2, A and B1, B1 and C.

UISP Phases

The business plans don't indicate the respective phase of the individual projects.



Map 2: Eastern Cape Informal Settlements Projects





Free State

The Free State Province has 61 Informal settlements projects from the 2019/20 to 2022/23 financial years.

Number of Projects



Figure 1: Free State Number of Projects

Multi Financial Year Projects Per Financial Year

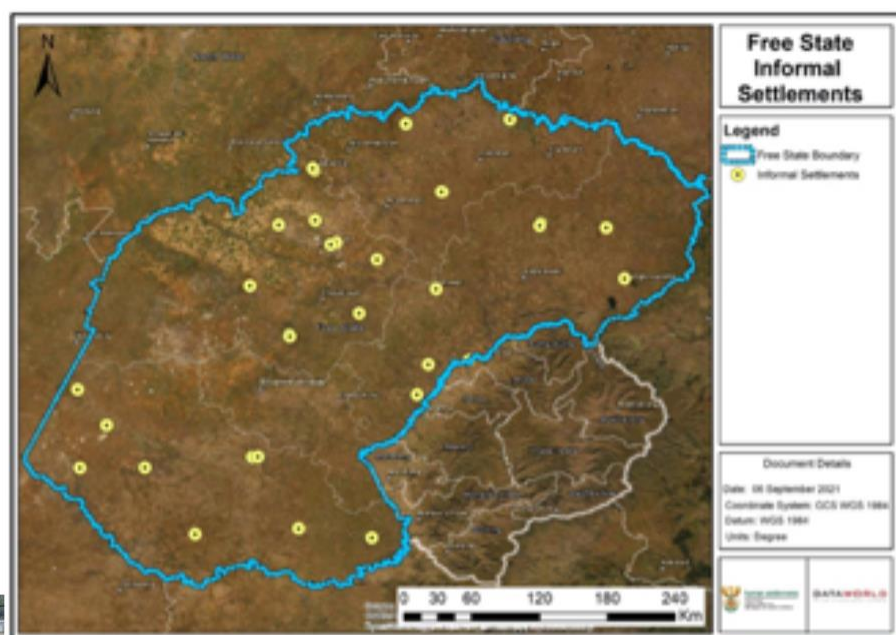
There is a total of 29 multi financial year projects. 45% of these projects have been implemented for four financial years, 28% were implemented in one financial year (2019/20 to 2020/21) while 24% are active projects budgeted for 2020/21 to 2022/23.

Classification

The Free State province has the highest number of Category C projects. The projects are spread across eight local municipalities of the province. There is also 30% of Category A projects and 15% of the projects involve a combination of A and C Categories.

UISP Phases

Twenty of the projects are currently in Phase 3 (implementation) while thirteen are in Phase 2 (initiation).



Map 3: Free State Informal Settlements Projects





Gauteng

Gauteng has a total of 148 informal settlements projects. 57% of these projects were implemented in the 2019/20 financial year.

Number of Projects per financial year

Of the 84 projects implemented in 2019/20, only 3 got budgeted for 2020/21. The remaining 64 projects were new projects and 13 of these carried over to the next financial year. Only 2 projects are budgeted for the 2022/23 financial year.

Multi Financial Year Projects

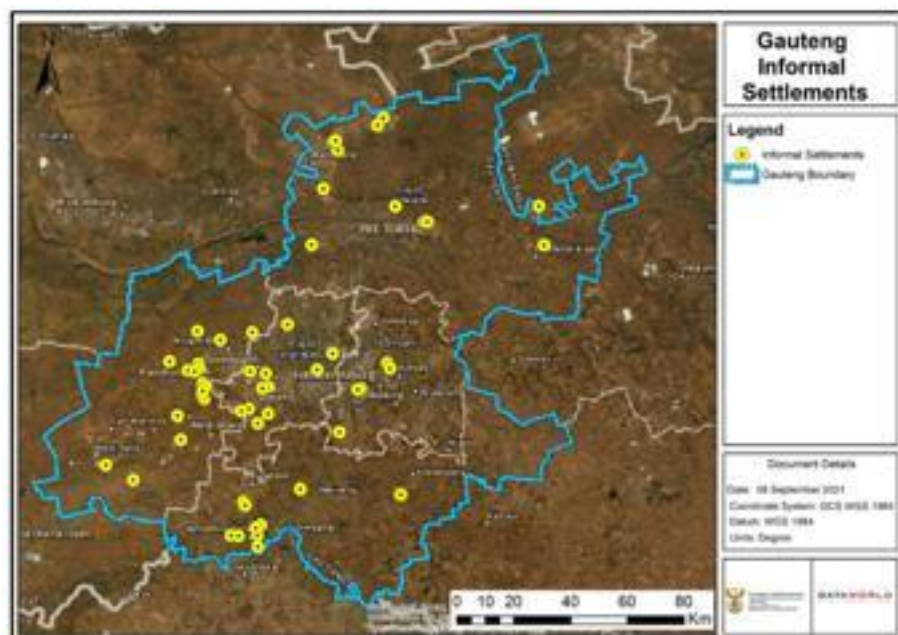
The majority of the multi financial year projects were implemented in the 2020/21 – 2021/22 period.

Classification

28% of the projects are currently classified as B1. Most of these projects are located in the Emfuleni and City of Johannesburg Metropolitan local municipalities. B2 projects account for 25% and are mostly located in Randfontein. Category A projects make up 18% and are mostly in the Mogale City local municipality. The remaining 28% of projects are either Category C, a combination of the designated categories, or their category is not provided in the business plans.

UISP Phases

All projects in the province are in Phase 1: Initiation.



Map 4: Gauteng Informal Settlements Projects





KwaZulu-Natal

The province has a total of 60 informal settlements projects. Ten of these projects were implemented in the 2019/20 financial year and only one carried over to the next financial year, i.e., 2020/21.

Multi Financial Year Projects Per Financial Year

There is only one multi-year project which was implemented in the 2019/20 to 2020/21 financial years. The 50 projects implemented in the 2020/21 financial year never carried over to the subsequent financial years. As per the business plans, there are currently no active projects in the 2021/22 and 2022/23 financial years.

Classification

Eleven of the projects are classified as Category A and ready for imminent full upgrading. The majority are in the eThekweni Metropolitan municipality. Eighteen have a Category B classification which involves the provision of interim essential services such as water, sanitation, roads, electricity, waste removal, key social facilities which will eventually lead to formalization. One project in the Newcastle local municipality is classified as B1 (Provision of emergency basic services). There are also two projects in the Msunduzi local municipality that have a combination of A, B1, B2, and C Categories which involves imminent full upgrading, provision of interim and emergency basic services as well as the rapid relocation of households to a site which is already available or imminently available.

UISP Phases

The business plans indicate that all the projects are in Phase 3, which is implementation.



Map 5: KwaZulu-Natal Informal Settlements Projects





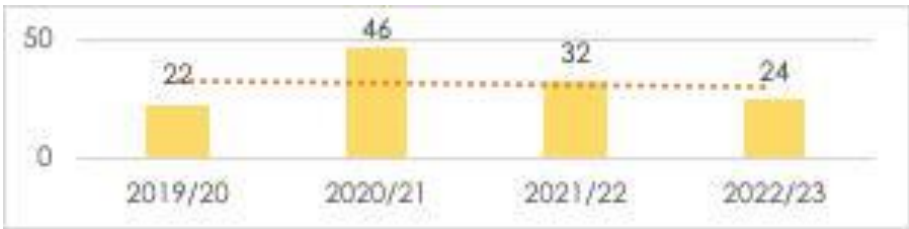
Limpopo

The Limpopo province has a total of 76 projects that are captured in its Business Plans. The spatial representation of the projects is indicated in Map 6. In terms of households, there is an estimated 33 578 households.

Number Of Projects Per Financial Year

An analysis of the projects per financial year indicates that the province's projects peaked during the 2020/21 financial year and gradually decreased over the next two financial years.

Figure 2: Limpopo Multi-Financial Year Projects

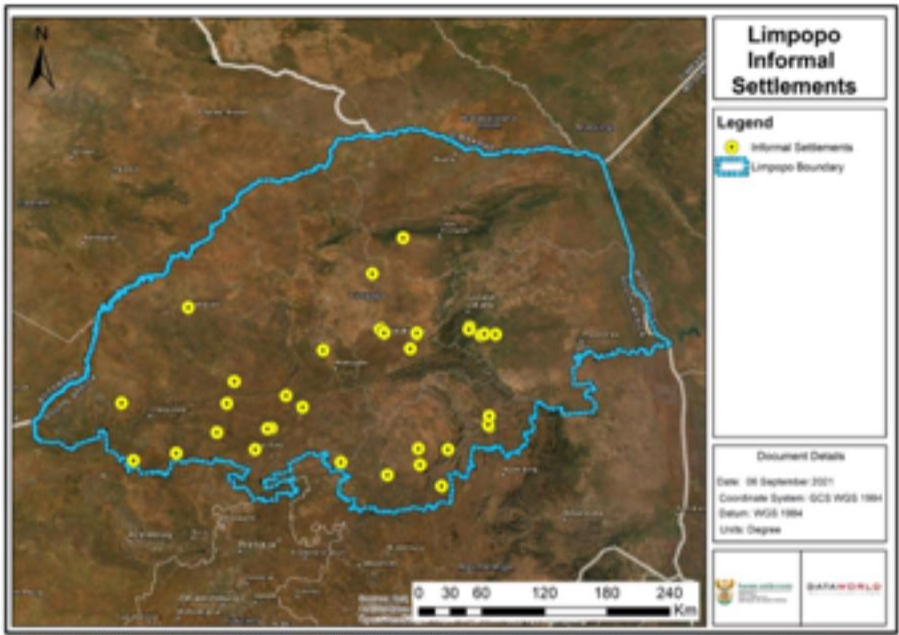


Classification

None of the 2019/20 financial year projects carried over to the next financial year(s) in this province. As such, 54 informal settlements projects were classified. The category of three informal settlement projects could not be ascertained as no corresponding data could be found for them on the business plans.

UISP Phases

The 54 projects are currently in Phase 2 and 3, i.e., Initiation and Implementation, respectively in the 2020/21 financial year.



Map 6: Limpopo Informal Settlements Projects





Mpumalanga

The province has a total of 96 informal settlements projects. Of these projects, 60 were implemented during the 2019/20 financial year and did not carry over to the subsequent financial years. The remaining 36 projects were implemented from the 2020/21 financial year. 26 of the said projects are multi-financial year projects running over two or three financial years. The majority of these projects are located in the Pixley Isaka Ka Seme, Thaba Chewu, and Emalahleni local municipalities.

Number Of Projects Per Financial Year

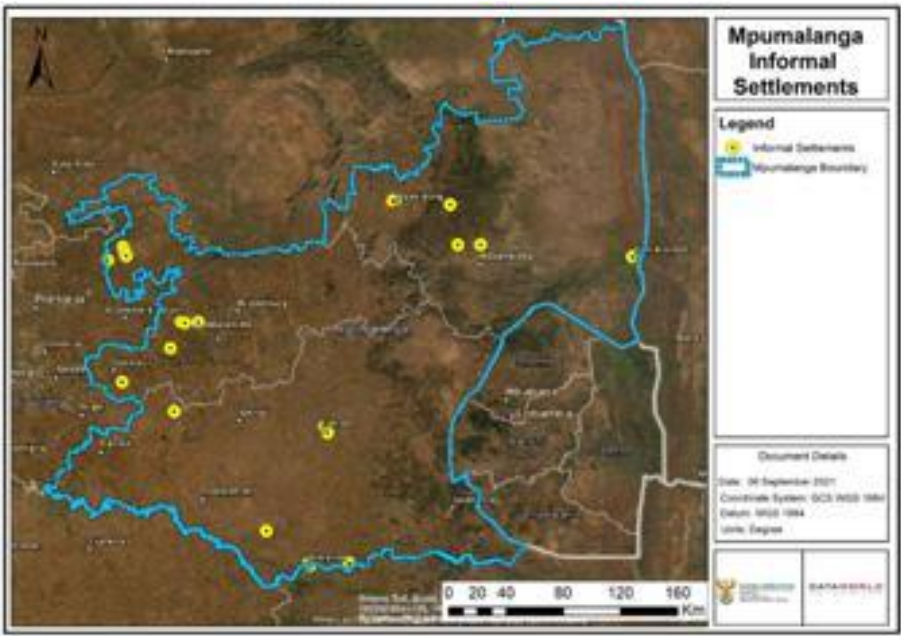
There is a total of 60 projects in the 2019/20 financial year as previously alluded. None of these projects carried over to the next financial years. 36 new projects were subsequently introduced in the 2020/21 financial year and 26 of these were carried over to the next financial year (2021/22). In the 2022/23 financial year, the number of projects carried over from the previous financial year decreased to 15.

Classification

31 of these projects are Category A. One project in the Nkomazi local municipality is classified as both A and C Categories, implying that while ready for imminent full upgrading, there will be a relocation component in the informal settlement upgrading process.

UISP Phases

Two projects in the Msukaligwa local municipality are in Phase 1 while one in the Thaba Chewu local municipality is in the Initiation Phase. The remaining projects are in the Implementation Phase.



Map 7: Mpumalanga Informal Settlements Projects





North West

The North West Province has the highest number of informal settlements projects from 2019/20 to 2022/23, namely 233 projects, most of which were implemented in the 2019/20 financial year (61%).

Number Of Projects Per Financial Year

The number of projects decreases with each financial year. From the 146 projects in the 2019/20 financial year, eight were carried over to the next financial year(s). The 2020/21 financial year had 76 active projects of which 24 carried over and the 2022/23 financial year has 27 active projects, 3 new and 24 from previous financial years.

Classification

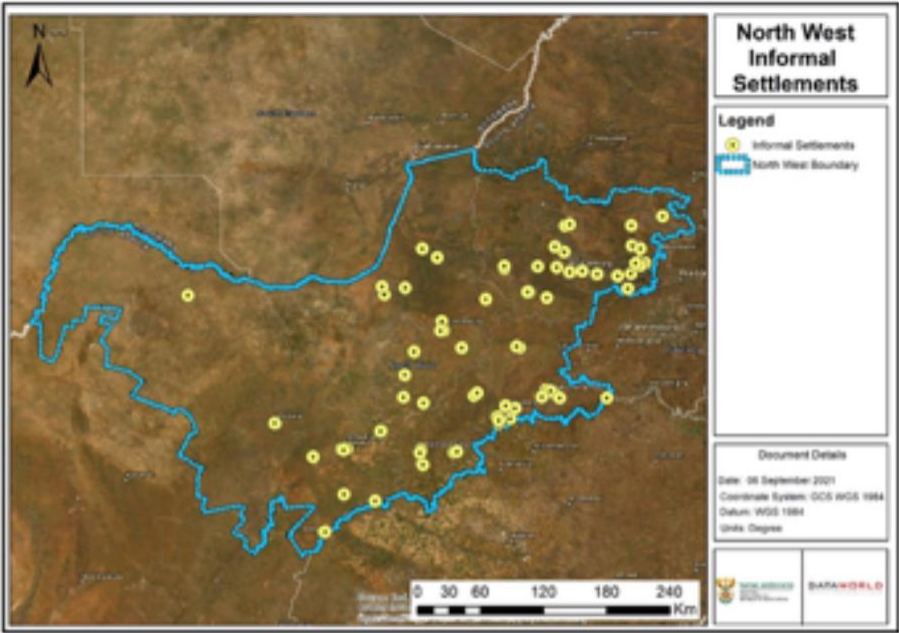
74% of the projects have no information with regards to the Category. 11% of the projects are Category B1. The majority of these projects are located in Rustenburg and Madibeng local municipalities.

UISP Phases

82% of projects are in the implementation stage. These projects are spread across various local municipalities of the province. 13% and 5% are currently in Phase 2: Initiation and Phase 1: Feasibility, respectively.

Table 3: North West Multi-Financial Year Project

Multi-FY Projects	2019/20 2020/21	2019/20 2022/23	2020/21 2022/23	2021/22 2022/23	2020/21 2021/22	2019/20 2021/22 2022/23	2019/20 2020/21 2022/23
	5	2	14	4	3	1	1



Map 8: North West Informal Settlements Projects

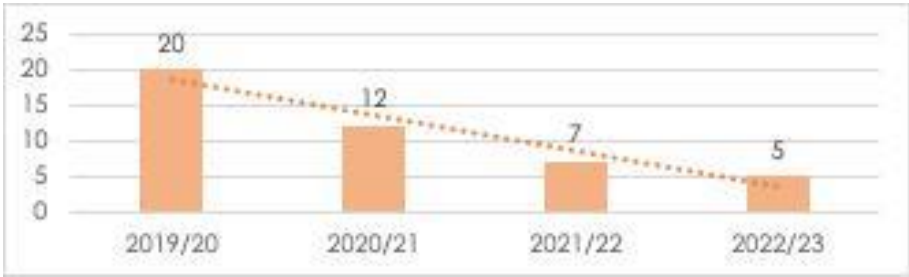




Northern Cape

The Northern Cape Province has a total of 32 informal settlements projects as per its Business Plans from the 2019/20 to 2022/23 financial years. It is also pertinent to mention that only 14 projects were mapped as the remaining 18 ended in the 2019/20 financial year.

Figure 3: Northern Cape Projects Per Year



Multi Financial Year

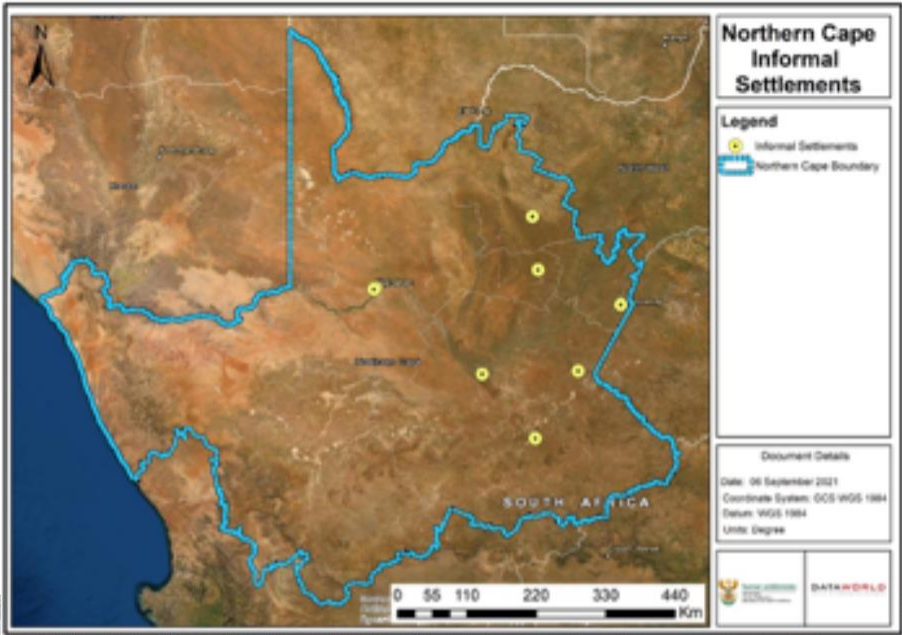
There were more multi financial year projects in the 2020/21 to 2021/22 period.

Classification

All 14 projects have a Category A classification.

UISP Phases

Of the 14 informal settlements projects in the province, 13 are currently in Phase 3, which is implementation. Most of these projects are located in the David Kruiper and Sol Plaatje local municipalities. One project in the Kgatelopele local municipality is in Phase 1: Feasibility.



Map 9: Northern Cape Informal Settlements Projects

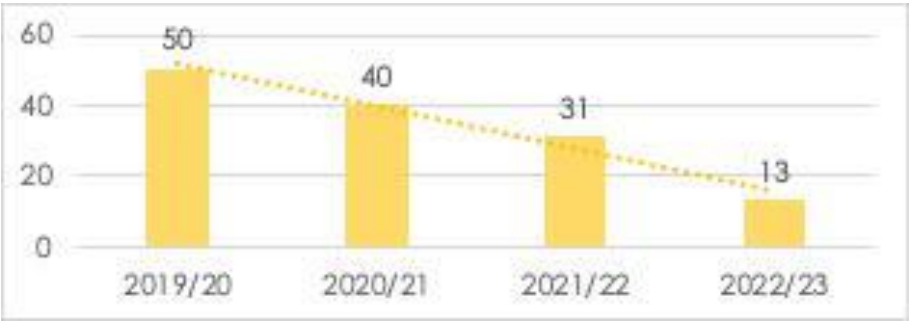




Western Cape

The province has a total of 71 projects captured in its business plans for 4 financial years, i.e., 2019/20 to 2022/23, which is the highest number of projects running over multi financial years.

Figure 4: Western Cape Number of Projects



Classification

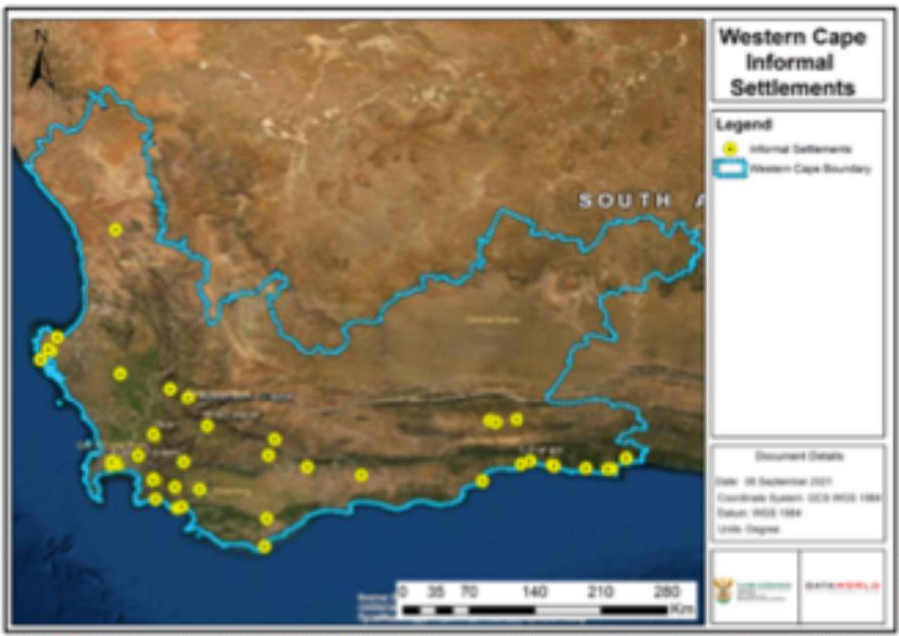
58% of the projects fall under Categories A and B1 while 33% make use of a combination of the four designated Categories.

UISP Phases

46 projects are in Phase 3, which is the implementation stage. One project is in the Consolidation stage.

Table 4: Western Cape Multi-Financial Year Projects

Number of Projects	2019/20 2020/21	2019/20 2021/22	2019/20 2022/23	2020/21 2022/23	2020/21 2021/22	2019/20 2021/22	2019/20 2022/23	2019/20 2020/21 2022/23
	8	9	7	4	4	3	1	1



Map 10: Western Cape Informal Settlement





4.3 RESPONSE RATE OF THE QUESTIONNAIRE SURVEY

A total of 150 emails were sent to the survey respondents in the respective informal settlements, but only 28 were received.

Table 5: Survey Response Rate

	EC	FS	GT	KZN	LIM	MP	NC	NW	WC	TOTAL
Questionnaires Sent	12	18	24	14	17	15	14	16	20	150
Questionnaires Received	1	2	4	4	0	0	4	1	12	28
Response Rate (%)	8	11	17	29	0	0	29	6	60	19

In addition, a total of twelve focus group discussions were originally planned, but only 5 online based focus group discussions were conducted. Therefore, a key limitation is that the study had a very low response rate.

Table 6: Focus Group Discussions Per Province

Province	No. of Originally Planned Focus Group	Focus Groups Conducted
Eastern Cape	2	0
Free State	2	1
Gauteng	2	0
KwaZulu-Natal	1	1
Limpopo	1	1
Mpumalanga	1	0
North West	1	1
Northern Cape	1	1
Western Cape	1	0
Total	12	5

4.4 KEY FINDINGS

4.4.1 Questionnaire Survey

Distribution of Household members: A total of 122 668 household members were recorded in seven of the 9 provinces.

Table 7: Distribution of Household Members

	EC	FS	GT	KZN	LIM	MP	NC	NW	WC	TOTAL
Total (n)	2 800	4 944	21 432	14 916	-	-	13 000	5 000	60 576	122 668





Town Planning: The status of township establishment processes across the nine provinces is shown in the table below.

Table 8: Town Planning

	Number (n)			%Share		
	Established	In Process	Not Established	Established	In Process	Not Established
Eastern Cape	0	0	1	0,0	0,0	7,7
Free State	0	1	1	0,0	11,1	7,7
Gauteng	0	0	4	0,0	0,0	30,8
KwaZulu-Natal	1	1	2	16,7	11,1	15,4
Limpopo	0	0	0	0,0	0,0	0,0
Mpumalanga	0	0	0	0,0	0,0	0,0
North West	1	0	0	16,7	0,0	0,0
Northern Cape	2	2	0	33,3	22,2	0,0
Western Cape	2	5	6	33,3	55,6	46,2
Total	6	9	13	100	100	100

Tenure Arrangements:

The majority of the informal settlements have no formal tenure arrangements. However, It was gathered that most of the households have been surveyed and are registered as beneficiaries of the UISP.

Basic Services:

There are attempts to provide for water, sanitation, electricity, and waste removal services especially in the informal settlements within Free State, Gauteng, KwaZulu-Natal, Northern Cape, and Western Cape.

Risk and Vulnerability:

The respondents indicated that in addition to physical challenges, the location of the informal settlements poses even more risks to people's general health. The other dangers observed in some informal settlements include live electricity wires, heavy rains and flooding water levels.

Community Participation:

The findings indicate good engagement levels between the municipality and residents of the informal settlements. In the Western Cape, there was an indication that community surveys are also conducted, records of community meetings are filed as well as records for infrastructure which reside with Technical services.

Financial Instruments:

Project funding seems to be mostly coming from the municipality budgets. Some municipalities indicated a variety of funding instruments for their USIP projects.

Attitude Towards Foreigners:

Communities are generally accommodating and friendly to foreign nationals as no incidents of violence against them have been reported.





4.4.2 Analysis of Focus Group Discussions

The summary of responses to the focus group questions is found in Table 9 below.

Table 9: Summary of Focus Group Responses

Question 1	Has this settlement been formally proclaimed for registration by the municipality?
	The 25 focus group transcripts indicate that 36% of the informal settlements already have approvals.
Question 2	What is the process/ methodology that was followed in selecting the informal settlements?
	The participants indicated that the first choice is to upgrade the area <i>in-situ</i> .
Question 3	Is the methodology aligned with the NUSP guidelines?
	Only 2 of the responses indicated a deviation in the adopted upgrading approach.
Question 4	What are the institutional arrangements put in place to facilitate the upgrading?
	The majority of the respondents were not explicit with regard to institutional arrangements.
Question 5	Are the settlements going to be upgraded employing an incremental approach?
	The majority of the municipalities are following an incremental approach.
Question 6	What influences the decisions to either upgrade settlements in-situ or through relocations?
	Density, land, illegal electricity connections, servitudes, and land availability.
Question 7	Are there plans to ensure community participation?
	There is a considerable effort by municipalities to actively engage the communities.
Question 8	How are communities engaged in the planning of the project?
	The use of ward committees projects steering committees, community representatives and councilors.
Question 9	What are the funding flows arrangements and how will they affect the implementation?
	Funding occurs via mechanisms such as the UISP grant, HSDG, provincial grants, CRU, and HDA grants.
Question 10	What is the level of current tenure security enjoyed by the residents?
	The majority of the informal settlements have no tenure security.
Question 11	Do the residents have access to basic services?
	There seems to be a lot of effort by municipalities to provide basic services to informal settlements.
Question 12	What is this community's attitude towards foreigners? Has there been violence?

There have been no violent incidents against foreigners other than the occasional crimes.





4.5 SYNTHESIS OF ANALYSIS

These findings provided the current status of informal settlements in various parts of the country and framed their numerous challenges. It was established that about one-third of the informal settlement projects are undergoing imminent full upgrading which involves rapid formalisation, tenure options and township establishments. There is also a large proportion of projects currently in Phase 3 of the UISP process. The evidence from the empirical investigation illustrates that while there are persistent efforts to provide adequate basic services in informal settlements, access is still highly fragmented and this challenge has persisted. The focus group discussions also brought to the fore several aspects of the UISP projects in the relevant municipalities. The results were aligned with the findings of the questionnaire survey and indicated the same challenges and issues in informal settlements.





5. Monitoring and Evaluation

5.1 MONITORING FRAMEWORK

National and provincial governments have adopted a programme-based approach to monitoring and evaluation. This approach involves the formulation of a programme theory as part of the planning of intervention. For this evaluation, a Result-Based Monitoring and Evaluation approach has been used. Results-based monitoring is a continuous process of collecting and analysing information to compare how well a project, program, or policy is being implemented against expected results. Results-Based M&E differs from traditional implementation-focused M&E as it moves beyond emphasising inputs and outputs to a greater focus on outcomes and impacts. The monitoring framework can be found in Table 10 below.

5.2 EVALUATION FRAMEWORK

The evaluation framework will be useful in ascertaining whether the informal settlements are being upgraded as planned and efficiently, as well as the impact thereof.

This baseline evaluation adopted the implementation evaluation approach. This approach assesses whether implementation took place and whether the envisioned results are being realized.

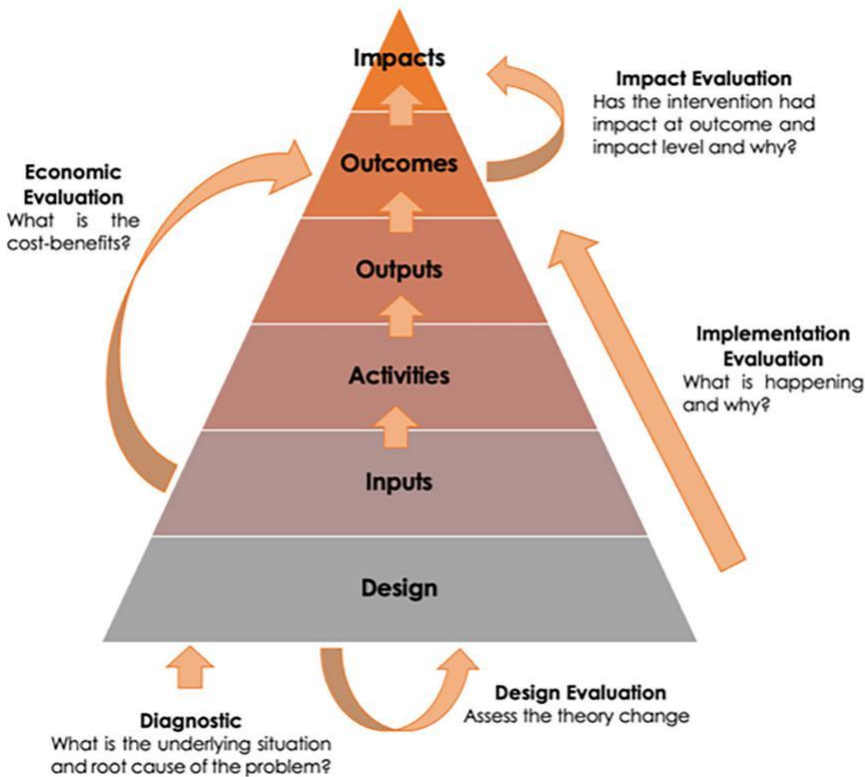


Figure 5: Types of Evaluation





Table 10: Objectives and Strategies for Monitoring

Strategic Objective 1: Upgrade settlements through access to land, services, public infrastructure and incremental housing opportunities				
Strategy	Outcome	Timelines for achieving Outcomes		
		Immediate	Intermediate	Long Term
Prioritise emergency and basic services provision	<ul style="list-style-type: none"> Improved access to basic services, to lower service ratios (interim and permanent - provided with water, sanitation, and electricity). 	X		
Strengthen planning for neighbourhood development	<ul style="list-style-type: none"> Improved community participation and cooperation around municipal planning. Improved (access to) public space and infrastructure in informal settlements. 	X		
Unlock public and private land assets that are suitable for development and serving the livelihood needs of the community	<ul style="list-style-type: none"> More settlements are regularised in situ. Municipalities earmark well located land in established neighbourhoods available for new settlement formation informed by community priorities. 		X	X
Enable alternative forms of tenure security (Formalisation of Land occupation rights)	<ul style="list-style-type: none"> More residents of informal settlements have tenure security. 		X	
Resettle people selectively with appropriate choices within a municipal wide development framework	<ul style="list-style-type: none"> Decision-making around resettlement is transparent and consistent. Fewer relocations because of transparent and consistent decision-making around resettlement. 	X	X	X
Support incremental and affordable housing opportunities for people living in informal settlements	<ul style="list-style-type: none"> More municipalities choose incremental upgrading instead of resorting to greenfield development. Improved shelter conditions through self-build and relevant support programmes. 			X





Strategic Objective 2: Strengthened sector capability, governance and resources				
Strategy	Outcome	Timelines for achieving Outcomes		
		2020/21	2021/22	2022/23
Make adequate and appropriate financial resources available for informal settlement upgrading	<ul style="list-style-type: none"> Various/all aspects of the upgrading process (including maintenance of infrastructure and facilities) are adequately funded resulting in lasting improvements in settlements. 			X
Initiate partnerships between public-private-NGOs and civil society organisations	<ul style="list-style-type: none"> Coordinated informal settlement planning, implementation and M&E between provincial, local government and other state institutions, private sector, NGOs and intermediary organisations. 			X
Improve municipal capability for coordinating and implementing a programmatic approach to informal settlement upgrading	<ul style="list-style-type: none"> Improved relationships between informal settlement communities and municipalities as a result of (the actions of) better capacitated municipalities. 		X	X
Enhance provincial capability for monitoring, oversight, technical guidance, learning and support.	<ul style="list-style-type: none"> Provincial government role players are better coordinated (i.e., better-aligned plans; more optimal use of resources) on work that benefit informal settlements. 	X	X	X



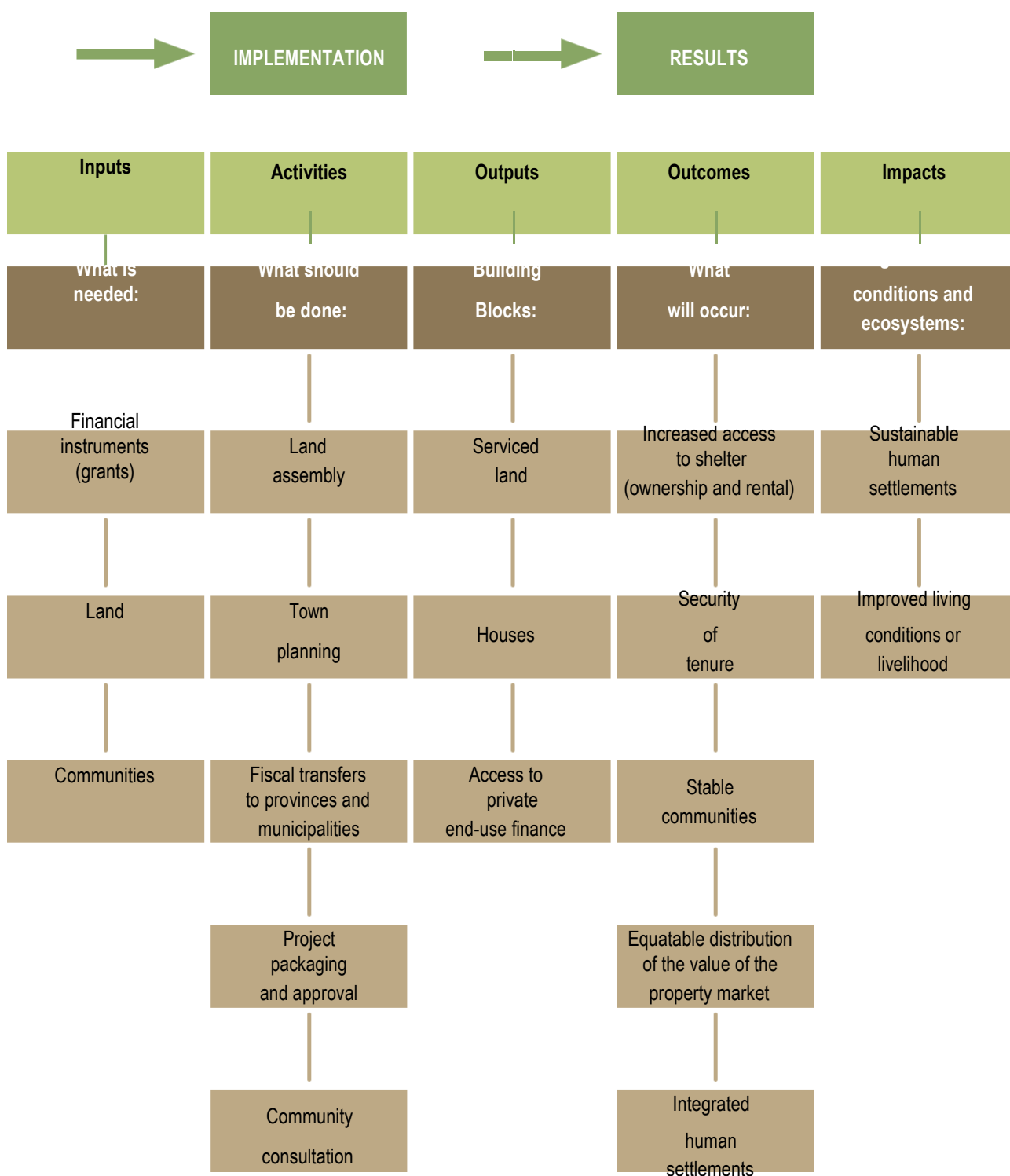


Figure 6: Evaluation Framework





6. CONCLUSIONS

There is no one-size-fits-all approach to the process of upgrading informal settlements. Each settlement is unique in terms of its challenges, but there are some common themes. Informal settlement upgrading is not simply “site and service” or providing a “top structure” house. Instead, upgrading is any intervention that improves the physical conditions of a settlement, enhancing the lives of its inhabitants.

The UISP is already in place and operational across all provinces, although the extent of its use varies. The upgrading follows a four-phase process anchored on community participation, provision of basic services, tenure security, and formalisation through town planning finalisation and housing construction. Many UISP programmes have been unable to reach projected targets due to the lack of availability of land, slow land release and administration processes as the major factors. The other contributing factors include implementation inconsistencies across provinces and municipalities and a lack of prioritisation of the UISP since its inception.

To ensure prioritisation, changes were ultimately made to the national government grants allocated to provinces and municipalities in 2019, placing specific requirements to track money spent on upgrading. The eight metropolitan municipalities are also required to spend a specific share of their respective USDG on individual informal settlement upgrading projects and publish information on how the grant is spent. This is envisaged to allow for robust monitoring of municipal budgets while also ensuring the commitment of municipalities to the provision of adequate housing.

While 1500 informal settlements have been identified for upgrading in the 2019-2014 MTSF period, there are only 1061 projects that have been identified in the submitted business plans by provinces and municipalities. The majority of these informal settlement projects are currently in Phase 3, which involves the approval of the respective business plans and setting up funding flows for several activities such as project management capacity, formalising occupational land rights, relocation assistance, land surveying and pegging, among others. In some cases, the identified UISP projects are greenfield projects, which defeats the purpose of the UISP as per the national mandate.

The most critical emphasis of the upgrading process is that it should happen in situ, where communities already exist. Relocations should always be seen as a last resort. However, in situations in which they are unavoidable, such as in flood plains or along railway lines, the HDA and national, provincial, district and local municipalities work to ensure that decisions are made in conjunction with the community. Informal settlement upgrading projects are not about delivering land, services and incremental houses as ends in themselves but do so as a means to draw in politicians and policy makers to challenge and transform institutional arrangements and policies.

SPLUMA also takes a clearly supportive stance on the incremental upgrading of informal settlements, which creates a legally binding obligation on government to facilitate this process. As a consequence of rapid urbanisation and new household formation, South Africa however faces a significant challenge in providing access to adequate basic services in respect of water, sanitation, refuse removal and electricity. Security of tenure is the first step towards official recognition of informal settlements and addressing these multifaceted challenges. Many opportunities increase once tenure security is in place, viz-a-viz access to the economy, infrastructure services, social facilities, and micro-finance.





South Africa's focus on housing delivery, which was initiated in 1994, has overshadowed incremental approaches to improving tenure, basic services, and social and economic development in informal settlements. However, in 2004, informal settlement upgrading emerged as a priority for the South African government, but the application and implementation of available funding instruments related to upgrading have been poor. As a result, local governments have been compelled to action by introducing municipal performance targets, which was introduced in 2010.

Additionally, relevant departments or municipalities annually develop and maintain housing development plans that form part of the Strategic Planning Framework as required by the National Department of Treasury. This programme is in line with international best practices because it has been designed to address challenges posed by upgrading the informal settlements programme and is flexible enough to address local development needs.

Community participation has proven to be the most significant contributing factor towards the successful upgrading of the informal settlement programme and. Therefore, the community's involvement in all aspects of the upgrading process is essential. In light of this, the UISP also recognises that a community has 'deep rooted [sic] knowledge of its development needs and preferences', and that this knowledge should be 'harnessed to ensure that township design...is targeted at satisfying the actual needs and preferences' (DHS 2009:30).

To this end, monitoring and evaluation are effective tools to enhance the quality of UISP project planning and management. The monitoring and evaluation framework should drive good practice through identified objectives and indicators of achievement over time. This will provide an information base against which to monitor and assess the UISP's progress and effectiveness during implementation.





7. RECOMMENDATIONS

This baseline study has provided an overview of how the residents of informal settlements in various parts of the country live in terms of access to urban basic services and the levels of living conditions. Through this analysis, some recommendations have emerged:

- It is crucial to overcome the prevailing orthodoxy of greenfield site development through a change in mindsets, attitudes and organisational culture of the officials and professionals responsible for housing programs so that an incremental, participatory and livelihoods-based approach is embraced.
- While deprivation is widespread across informal settlements, they have unique living conditions which require improvement efforts through the USIP to be specifically tailored to each settlement.
- Consistency in the implementation and prioritisation of the UISP should be supported by the production of electronic knowledge hubs and resource kits with examples of implementation solutions and good practice, as well as an integrated capacity building programme for provinces, municipalities and beneficiary communities.
- Provincial and local level informal settlement units are generally small and under-staffed. To implement the large-scale programmatic approach required to achieve the UISP targets, it is important to pay sufficient attention to implementation and programme management capacity at these different levels of government.
- A process of identifying, recording and mainstreaming successful informal settlement upgrading approaches in various parts of the country is also urgently required.
- Municipalities should verify the data on their business plans to ensure that the information in the database is up-to-date.
- All the informal settlements within the respective municipalities' jurisdictions should be duly captured and clearly identified for accurate records and reporting.
- It is crucial to consider all factors related to a community before embarking on upgrading. As reiterated previously, a one-size-fits-all approach can't be used in the upgrading of informal settlements as location specific factors such as physical, environmental, and density will dictate the appropriate upgrading strategy, i.e., in-situ or relocation.
- Where relocations are unavoidable, the assistance of the Housing Development Agency should be enlisted for expediting the identification of alternative land for relocation.
- The DHS should continue to monitor the implementation of the programme to ensure accountability in the implementation of projects, which will ultimately lead to the full upgrading of informal settlements over time.
- All the relevant stakeholders involved in the upgrading process need to be effectively consulted, including grassroots organisations within the informal settlements. This should particularly encompass community empowerment by addressing social and economic exclusion through participative processes and addressing broader social needs of the informal settlements' communities.
- Given the novel COVID-19 pandemic, many of the usual mechanisms for community participation may also not be practical. Innovation should therefore be encouraged and new methods of engaging with residents considered.
- Tenure security is a considerable challenge in informal settlements. Therefore, the DHS and respective municipalities must firstly prioritise formalising landownership and security of tenure, clarify rights of access to basic services and undertake the statutory town planning process as the basis of planned development.





- Early and coordinated infrastructure investments should then follow to allow for interlinkages between housing, infrastructure development, and the broad regional context in which these informal settlements are located.
- Incremental provision of basic urban services should be provided on a descending scale: water, sanitation, roads, solid waste management, and electricity. These should be prioritized in informal settlement upgrading plans/programmes.
- The existing infrastructure should be adequately maintained. It should also be designed to be very resilient given the terrain of informal settlements, which is often hilly, steep and rocky and has a limited spatial area for expansion.
- The envisaged change through the UISP should be measurable and have specific timeframes.
- Municipalities should develop monitoring, evaluation and learning frameworks that guide their respective local informal settlement upgrading approaches. This should also include the critical role played by communities in monitoring and evaluation as well as other relevant stakeholders.
- Provinces also play a critical role in terms of providing support to capacity challenged municipalities regarding the collection, use and management of the relevant data.





ANNEXURE 1: REFERENCES

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How to cite this report:

Department of Human Settlements (2021) "Baseline Evaluation of Informal Settlements Targeted for Upgrading in the 2019-2024 MTSF", Pretoria: Department of Human Settlements.

ISBN: 978-0-620-97258-1