



Urban Agenda Platform

The global platform for sharing progress, action and knowledge on the implementation of the New Urban Agenda to achieve sustainable urban development.

Incremental, Participatory, Programmatic Informal Settlement Upgrading Programme

Region	Sub-Saharan Africa
Award Scheme	Guangzhou Award
Themes	Housing Waste Management Water & Sanitation
Sustainable Development Goals	Goal 6 - Ensure availability and sustainable management of water and sanitation for all Goal 7 - Ensure access to affordable, reliable, sustainable and modern energy for all Goal 11 - Make cities and human settlements inclusive, safe, resilient and sustainable

Summary

The programme has at its core the delivery of infrastructure to informal settlements. This comprises communal ablutions facilities (toilets, showers, sinks and wash-troughs for laundry); individual electrification; improved footpaths, access roads and storm-water controls; refuse collection; and improved facilities for Early Childhood Development Centres.

Background and Objective

More than 220,000 households in eThekweni live in informal settlements. These are characterized by overcrowding; disasters including fires and floods; poor access to basic services including water, sanitation, electricity and emergency access; and high rates of communicable disease. Despite the construction of over 200,000 fully subsidized homes for the poor since 1994, the city is witnessing the perpetuation and spread of these settlements. Addressing the myriad of challenges within informal settlements is a complex and difficult exercise, requiring a coordinated, aligned and integrated approach. Providing a house at no cost to the beneficiary is not sustainable given fiscal constraints and the ever-growing backlog. A solution incorporating social and economic opportunities that transform settlements into truly liveable and sustainable neighbourhoods is required.

The Programme aims to benefit 70,000 households within 6 years. Improved stakeholder engagement is critical for success. The Municipality is undertaking proactive steps to understand the complexities that face informal settlements, and to address this challenge via a number of initiatives with various stakeholders as partners, including: National Department of Human Settlement's National Upgrading Support Programme: Participatory Planning, Sustainable Livelihoods and Facilitation Support to Informal Settlement Upgrading Projects National Treasury's City Support Programme: Technical Support for the Innovative Upscaling and Upgrading of Informal Settlements Infrastructure Improvements for Early Childhood Development (ECD) Centres in Informal Settlements Grassroots Approaches Towards Self-Reliance in South Africa: the Isulabantu Project (Informal Settlements Upgrading Led by the Community) European Union (EU) funded Informal Settlement Incremental Upgrading and Integration Partnership Programme (iQhaza Lethu).

Resilient City Strategy: Resilience Building Option 1: Collaborative Informal Settlement Action Private Sector Social Responsibility: Blackburn Village Social Sustainability and Innovation Program (SSIP) – iThuba Centre MOA with the South African Shack Dwellers International Alliance - providers of expertise in community-driven, participative and incremental programmes in informal settlements. eThekweni chairs the African Forum on Urban Safety and works with UN-Habitat to promote urban safety, with a focus on informal settlements. Current funding sources include: Urban Settlements Development Grant (from National Treasury); Other spheres for some of the social infrastructure, particularly schools and clinics.

Actions and Implementation

The new approach to upgrading needs to foster a different and more functional relationship between the state and the urban poor which is not premised solely on state service delivery but which also leverages the partnerships necessary for more effective social capital formation, collaboration and 'self-help'. There also needs to be a focus on more than just basic services, functional tenure and incremental housing improvements. Key social services are also important as is more effective access to public transport and economic opportunities. Furthermore, it is also important to encourage beneficiaries to



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be more independent. This can be achieved through Local Economic Development Programmes and through cultivating existing skills for future economic sustainability. The initiative was presented to a global audience at the 2018 World Urban Forum, where it was very well received. The City will continue to evaluate our learnings, refine our programme, and share our lessons and experiences at global, regional and national events and through the Municipal Institute of Learning Exchange, which is hosted by eThekwin. Our engagements and collaboration with UN-Habitat are another avenue for sharing our experiences. Through the EU-funded project, several journal articles and national conferences will be held to discuss and evaluate the programme.

Outcomes and Impacts

The positive impact of the Programme can be summarised as follows: Ability to prioritise the rapid delivery of basic services to as many settlements as possible. Acceptable engineering standards established in order to make effective use of the limited budget available. Road and footpath layouts will as far as possible remain in place for final upgrade of settlement avoiding abortive costs. Opportunities for Emerging Contractors and alignment with the Expanded Public Works Programme providing employment. Caretakers employed from the local community for the Ablution Blocks. Livelihoods initiatives, LED and the provision of key social facilities to be addressed through parallel programmes. Enhanced community engagement which empowers residents, creates ownership and improves project outcomes. Improvements to Early Childhood Development (ECD) centres Delivery to date of other related infrastructure as follows:

Sanitation blocks: 1,507 facilities serving approx. 113,000 households in over 370 settlements

Electrical connections: 254 settlements fully electrified and 56 partially electrified serving over 36,000 households (connections)

Water supply (standpipes & via communal ablutions) to most settlements including 'relocation' settlements: at least 148,000 households within approximately 231 settlements Roads: 33 informal settlements / 17,459 households

Spending and delivery are monitored on the municipality's Service Delivery and Budget Implementation Plan. An outcome of the ongoing iQhaza Lethu project is developing an impact assessment framework to better understand the medium to longer term implications.

The initiative is driven by an innovative transversal management structure who drive installation of infrastructure, budget commitments and create alignment between various line departments working in the informal settlement arena. The initiative aims to improve the living conditions of residents of informal settlements. It aims to hinder the spread of communicable diseases through improved access to sanitation, improve emergency response times through improved access, prevent shack fires and improve air quality and reduce dangerous illegal connections through electrification. Upgrading these settlements in-situ (rather than relocating communities to the urban periphery) enables residents to access social amenities like education and health services and contributes to social cohesion, spatial justice and urban integration.

Initiative Contribution

The initiative is aligned to Sustainable Development Goal 11: Make cities and human settlements inclusive, safe, resilient and sustainable. The programme speaks directly to the eThekwin vision of "Durban is Africa's most caring and liveable city by 2030", as well as Plan 3 (Create Quality Living Environments) of the City's 8 point plan as per the Integrated Development Plan. It contributes towards the goals outlined in the Integrated Urban Development Framework as well as the National Development Plan.

Innovative Initiative

The programme is evolutionary in that informal settlement upgrading has long been a priority for eThekwin. More than 200,000 fully subsidised houses were constructed since 1994. The housing backlog has however increased as urbanisation drives people to the city in search of urban opportunities. This programme has been extremely expensive and contributed to urban sprawl. In 2011, Council approved the adoption of interim services in informal settlements which were not part of eThekwin's short term housing delivery programme. Development of a programmatic approach resulted in the selection of informal settlements utilizing the Housing Spatial Prioritisation Model. This type of initiative is a first for any city in the country and has been presented to various municipalities at their request. It has also sparked international interest. The project has been recognised by the National Department of Human Settlements, as a critical intervention in meeting National objectives. The planning, design, implementation, financing and technology were all agreed to upfront by key service units of the Municipality. The transversal nature of this programme has created the need for new institutional structures to develop a joint vision and plan across line departments. The water and sanitation bulks provided, together with the roads and footpaths, stormwater controls and electrical connections, are deemed permanent and in line with layout plans for the eventual implementation of a housing project. There is no



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wasted cost in providing these services as they will be an integral part of a future housing upgrade project when eventually implemented. Job creation is pivotal to the Programme with the employment of local labour and sourcing of materials from local businesses where possible. Caretakers of ablution blocks are identified from the local community and remunerated by the Municipality. Given fiscal constraints, the long lead-times undertaken to implement conventional housing upgrading projects and an ever-growing informal settlement backlog which would take many years to overcome, communities have themselves realized the benefits of the programme and have welcomed the interventions. Communities get to determine and prioritise the services they would like to see constructed and this participatory planning has led to support for the initiative.

Resources devoted to delivery

BASIC CITY DATA

Population size: 3,900,000

Population growth rate (%): 1.40

Surface area (sq.km): 2556.00

Population density (people/sq.km): 1523.00

GDP per capita (USD): 4819.00

Main source of prosperity: Finance sector (26% of GDP), closely followed by manufacturing (25%), trade (21% and transport (18%)