



“iQhaza Lethu”
*An informal settlement upgrading partnership
initiative co-funded by the European Union*

Social and Participative Processes, Innovations and Achievements of iQhaza Lethu in eThekweni (Feb. 2021)

More effective community engagement, participation, partnerships and social processes constitute a foundation element of the iQhaza Lethu Incremental Upgrading Partnership Programme (IL). It is recognized that inadequate social process has been a major factor which has constrained more effective incremental upgrading and its scaling up. The Programme has therefore instituted a range of social process measures and innovations as outlined below in order to strengthen the City’s upgrading endeavours.

Community Development Coordinators

Community Development Coordinators (CDCs) were appointed in each of the 10 pilot settlements. These residents were selected through engagement with community leadership. The role of CDCs includes:

- 1) Local stakeholder identification: Assist in identifying those who may need to be involved in the upgrading planning process including: a) people or groupings from the local community; b) local organisations (e.g. ECD centres, businesses); c) government departments (e.g. eThekweni solid waste, Department of Social Development or Health; d) other organisations (e.g. local NPOs, faith-based organisations etc.).
- 2) Local meetings/workshops: Assist in organizing, setting up and running community meetings and workshops including assisting with finding suitable local venues, helping with logistics, promoting good attendance/participation and playing a facilitation or co-facilitation role in meetings/workshops.
- 3) Site visits: Assist with setting up site visits by members of the project team, municipal line departments or professionals.
- 4) Community involvement and empowerment: Assist with ‘mobilising’ the community to engage and participate more effectively in developmental processes including with the project team and relevant municipal line departments. Assist the project team in building the capacity, knowledge and understanding of the community.

- 5) Information gathering: Assist with understanding and documenting community issues and local assets as part of the planning process. This may include local 'mapping'.
- 6) Household surveys: Where required, assist in organizing and coordinating 'enumeration' or household surveys.
- 7) Ongoing communications and awareness: Assist with ongoing communication relating to any project planning or implementation issues. Assist with information disseminating and awareness promotion within the community. Assist with ensuring effective two-way communication within the settlement relating to developmental and planning issues including potentially assisting community leadership structures with information dissemination and collection.
- 8) Community leadership and organisation: Assist and support community leadership structures with upgrading development processes.
- 9) Planning and implementation for upgrading: By means of the above, to assist with the effective and participative planning of incremental upgrading as well as assisting with implementing upgrading interventions.
- 10) Coordinate community team activities as and when necessary e.g. collecting information, mapping of structures or household surveys / enumeration by teams made up of local residents.
- 11) Project team meetings: Where required, participate in project team meetings.
- 12) Training and induction: Participate in induction and training sessions to build own skills and understanding of upgrading and participative planning.

CDCs have proved themselves an essential part of the project. During the initial stages of hard lockdown due to covid-19, working telephonically with CDCs was the only way to engage the communities in the pilot settlements about their access to water and sanitation, experience of covid in their settlements, or to coordinate food drops. CDCs worked with community leaders to identify the most vulnerable families in their settlements to receive food parcels, and coordinated the safe distribution of these parcels.

CDCs have been able to work with a variety of municipal departments to identify assets and faults in the settlements. For example, a site visit with eThekweni Fire Department to Parkington and Havelock illustrated the communities' concerns that they are extremely vulnerable to fire. CDCs could point out the location and condition of fire hydrants within the settlement, some of which are not easily identified by fire teams arriving on site as some are poorly protected, surrounded by parked vehicles, or the access valves are blocked or covered. CDCs have been able to consult with their neighbors to provide a narrative

of how many fires there have been on the past 3 years, and how many structures and lives were lost in each incident. Being located inside the settlement during extreme weather events, CDCs have been on hand to observe non-functioning stormwater drainage systems and to note and map the high water mark during flooding.

Once the project is closed, the CDCs will remain as asset in their communities. They are empowered to report and trace faults in municipal infrastructure, to facilitate community engagement, and to interact with municipal officials, processes and plans.

Community-led structure/household mapping

Community-led mapping of structures is a key tool in informal upgrading. It enables a better understanding of who lives where in the community and what structures are used for. It also builds local knowledge and skills, empowers residents and community leadership, and builds better collaboration between the community and external parties such as the municipality and support organizations.

The activity provides answers to questions like: How many shacks/structures are in their community? How many households make up their community? How many people are in their community? How many Toilets are in their community, municipal provided and self-made? Are there shops, community halls, church and/or crèches in the community? They also highlight solid waste dumping areas in their community and display common play or gathering spaces in the community.

The process:

The process starts with a 3 day training workshop with the team. On the ground capturing of information takes around 14 days, 3-4 days for information consolidation. Complete maps are then and presented to community leaders and other stakeholders

Training

Training is a critical part of the process because community members at first struggle to read maps, so the first task is to make sure that everyone can read and understand the aerial photograph and map.

Some of the excises that are done on training are to make sure the community can identify their homes on the overall map and also can navigate their settlement by drawing main movement patterns on the plans.

They are also challenged to recognize on the map the CABS (Communal Ablution Blocks) and parks or play areas in their area. The main goal for day one is to introduce the mapping team, the reason why we would like them to do mapping and how it connects to their community development interests.

On day two, teams are divided they start drawing the shape of each shack in their section. This is done with a pencil. Depending on how long the drawing takes, the teams can start to capture data on the ground.

On day three the team learns how to capture data as required in the process, this is done with the community-based planner and the area coordinator.

Groundwork:

During the groundwork process, the mapping teams go around the community to map each structure and engage with community members around the importance of building data. It's very important to note that during this period it's very important that team members don't talk politics and make promises to the community but all they do is to explain the process.

Information consolidation

Once the teams are done with mapping all the shacks/ structures on the ground, they then get back to their working space as one group to collectively tally and consolidate the data collected. This is also the time when the community-based planner gets to check all the information and the structure numbers to see everything is correct. At this stage, the mapping team findings are then presented to the leadership.

Capturing onto GIS

When the community mapping data collected is collected from the community team it is captured at the office by the GIS technician into Arc-GIS. This process involves a lot of back and forth process between Community based-planner, GIS technician and the Community Development Coordinator until the data is clean and can be easily shared with other iQhaza Lethu team members, municipality departments and other stakeholders.

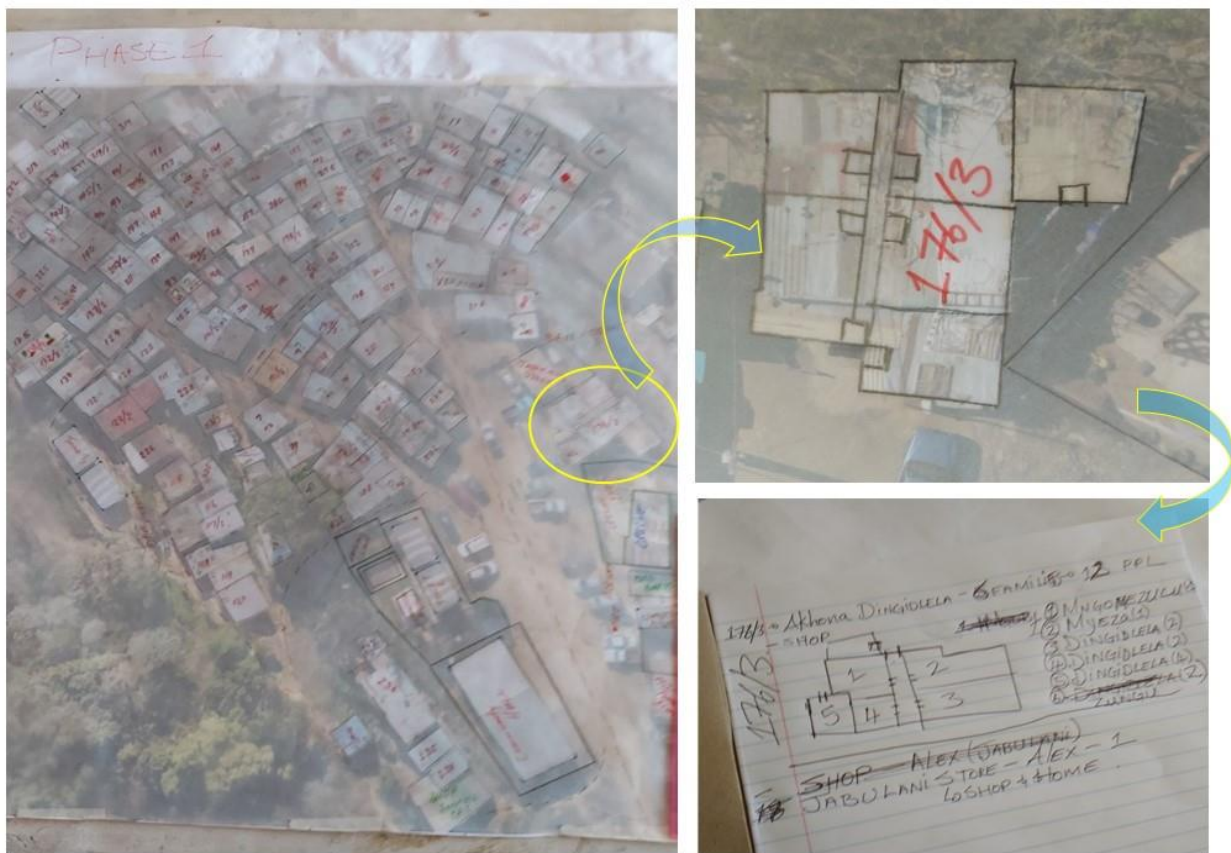
Results to date

Results of the mapping process clearly indicate the need for such a process to help community leaders and members in general to get know their community better. During the community mapping session people were surprised with findings on the ground, most mapping team members were surprised by number of empty structures not being used at all in their community. The other surprising factor for mapping team was the total number of structures vs the total number of households in their community. In Parkington when this information was shared with the leadership, they started to understand why in the settlement there is always a challenge with people wanting to invade land and build new structures.

Case study: multiple households in Parkington / Thandanani

The story of house 176/3. This unit in Parkington is a house used multiple families. The municipal number written in red, 176 is the shack number and the 3 highlights that there are 3 families sharing the shack.

When the community mapping team visits the house they recognise the number, but they discover that there is about 5 families sharing the structure, with 3 of the families renting to the main household that stays at the shack at room number 1.



Socio-economic surveys

The Socio Economic Survey and enumeration through mapping enables us to understanding site conditions and allows us to adapt the upgrading plans to suit these conditions, priorities and developmental direction the community has indicated through its responses to the survey questions. Furthermore the survey and mapping exercises help to build social capital, mobilise local capacity support in the upgrading partnership and is the first step in developing social capital, leadership capacitation and implementing training workshops.

1. Progress

The initial process relating to the socio survey was the development of a set of survey questionnaires. As the project brings together a range of different developmental stakeholders including locally interested stakeholders, Communities, NPOs and Municipality, this proved to be a lengthy comprehensive but ultimately a fruitful process.

Thereafter communities identified a set of potential survey field workers focusing especially on the youth and women from their areas, those initially chosen were then trained in batches, evaluated and finally selected by the survey team and community to work in each area. The training of survey fieldworkers from participating settlements commenced in September 2019. To date Iqhaza Lethu have trained and employed over 80 local people, in all settlements:

Nine settlements were surveyed by the Iqhaza Lethu survey team while Havelock was surveyed by SASDI as they had existing community relationships through working in the area for some time. Fieldworkers were managed by PPT through two community based survey managers who were on site during the data capturing stage, and assisted in training, logistics and trouble-shooting. The Havelock data is not included in the snapshot results below.

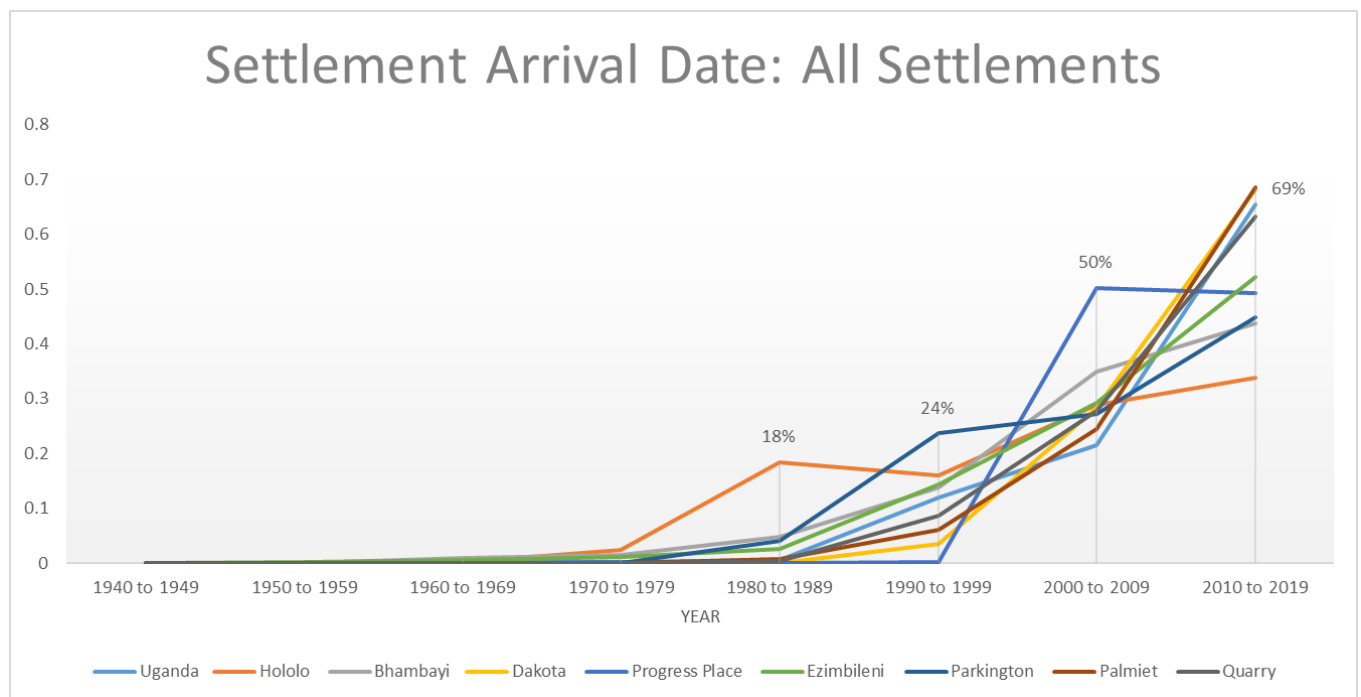
The survey was captured both on a hand-held android tablet that enabled GPS locations capture and through a backup paper based questionnaire. Survey data was then automatically transferred, via the cloud to a central database location to enable data cleaning and analysis.

While the survey team reached a significant portion of the total targeted households, a number of incomplete, spoiled or incorrectly filled in survey questionnaires resulted in an average sample size of over 70% which is still extremely high for a sample survey.

Snapshot results

Detailed reports are being generated for each settlement. Below are some key observations from analysis of data collected across 9 pilot settlements.

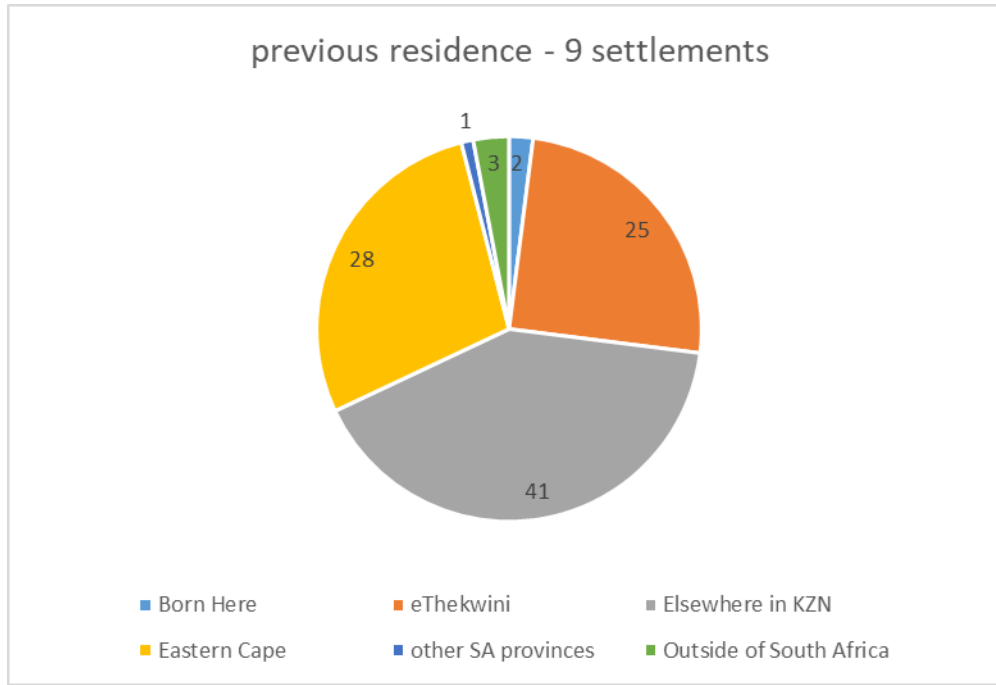
Why here?



Significant:

- In 4 settlements, the majority of residents have been in occupation for more than 10 years (Hololo City – 66%, Bhambayi – 56%, Progress Place – 51% and Parkington / Thandanani – 55%).

- In 4 settlements, 20 % or more of residents reported living in the settlement for 20 or more years (Hololo City – 37%, Bhambayi – 22%, Ezimbileni – 19% and Parkington/Thandanani – 28%).

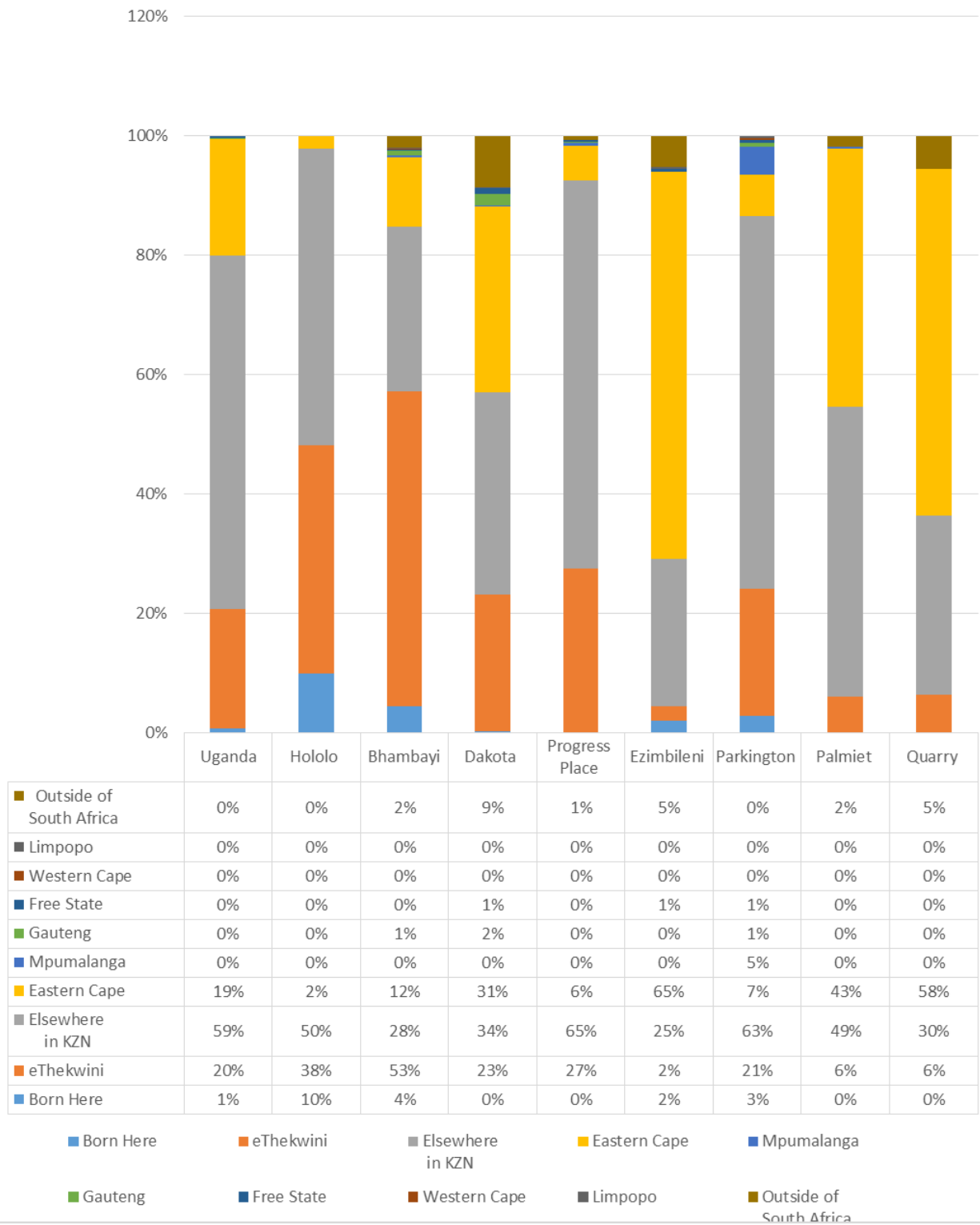


68% of all respondents in the 9 pilot settlements relocated to their current residence from within KZN, including 2% (121 respondents) who were born in the settlement. Only 149 respondents (3%) are from outside of South Africa, and only 69 respondents (1.24%) come from Mpumalanga, Limpopo, Gauteng, Western Cape or the Free State.

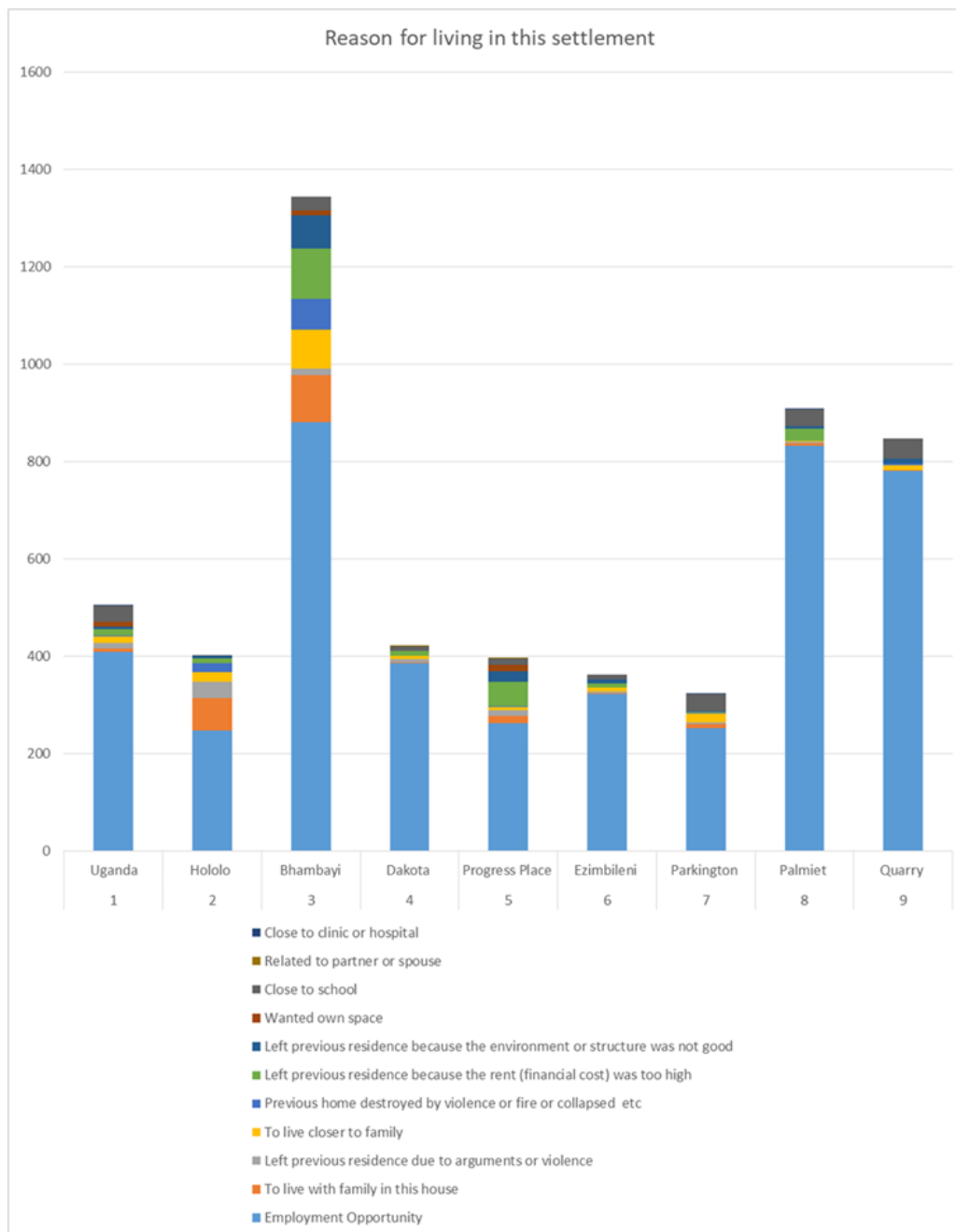
As the following graph and table illustrate, there is significant variation across settlements.

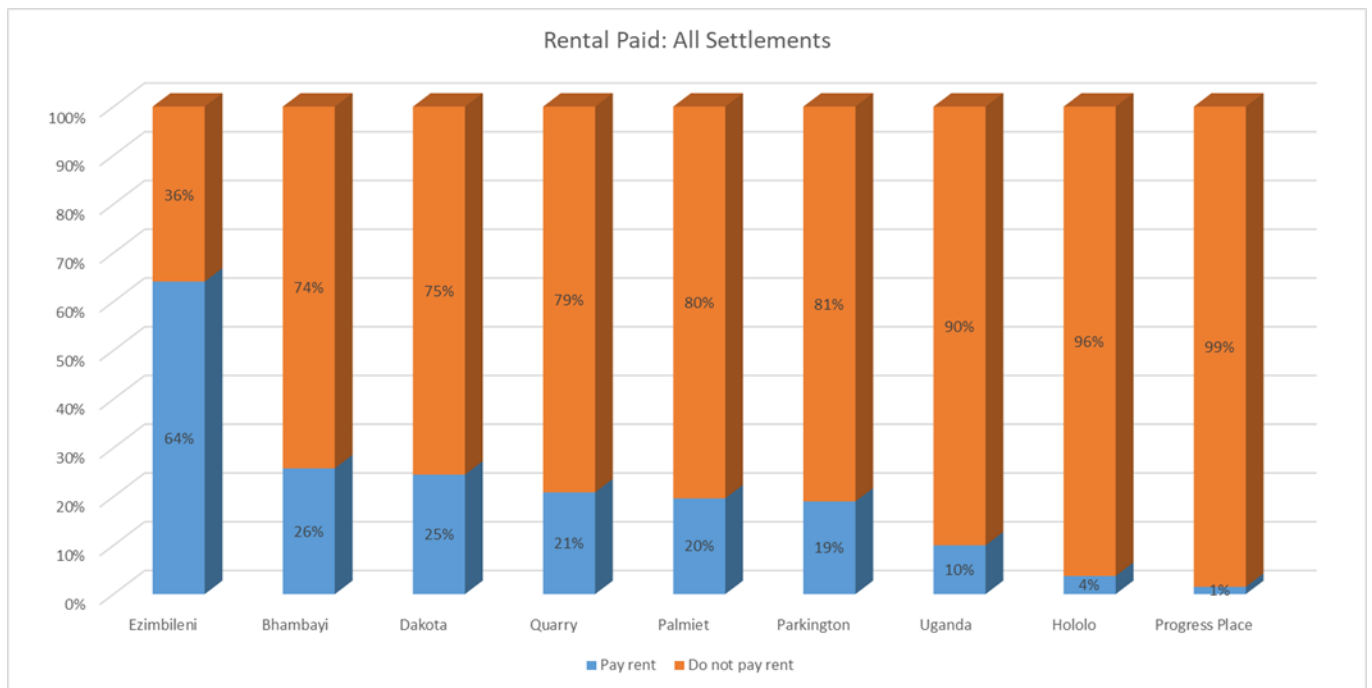
There is a correlation between those settlements with higher employment rate and those with a larger percentage of residents hailing from the Eastern Cape (Dakota, Ezimbileni, Palmiet and Quarry Road).

Previous residence - each settlement



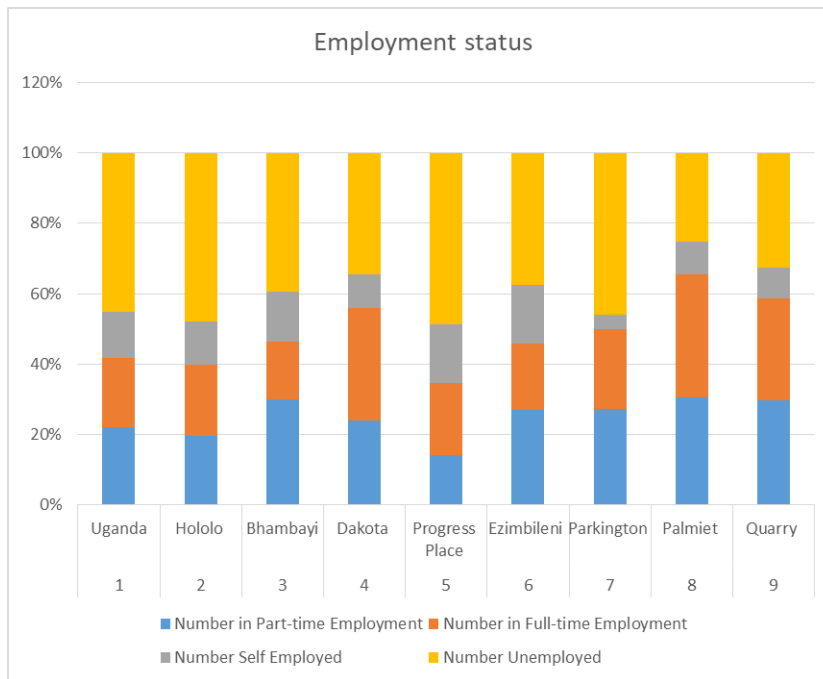
When asked directly the reason for living in this settlement, 1 clear response dominated across all settlements: access to job opportunities.



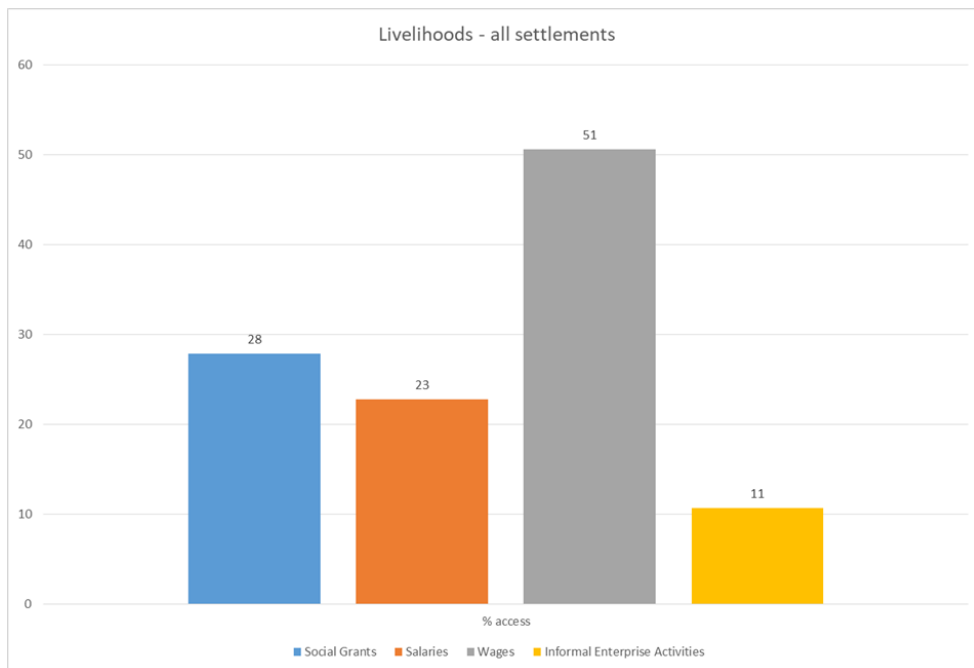


Overall, across the 9 settlements, 1169 (21%) respondents reported paying rent for the structure in which they live. There is significant variation across settlements, with 64% of residents in Ezimbileni paying rent, and only 1% in Progress Place.

Livelihoods



Unemployment levels are high with an average unemployment of 40%: Progress Place (49%) and Hololo City (48%), have the highest levels of unemployment. The average for part time employment is 25% while the average for self-employment is 12%. However, in well-located settlements like Dakota Beach (35%), Palmiet (25%) and Quarry Road, unemployment is much in line with or below the national average of 30%, as estimated by Stats SA in the Quarterly Labour Force Surveys for 2020.



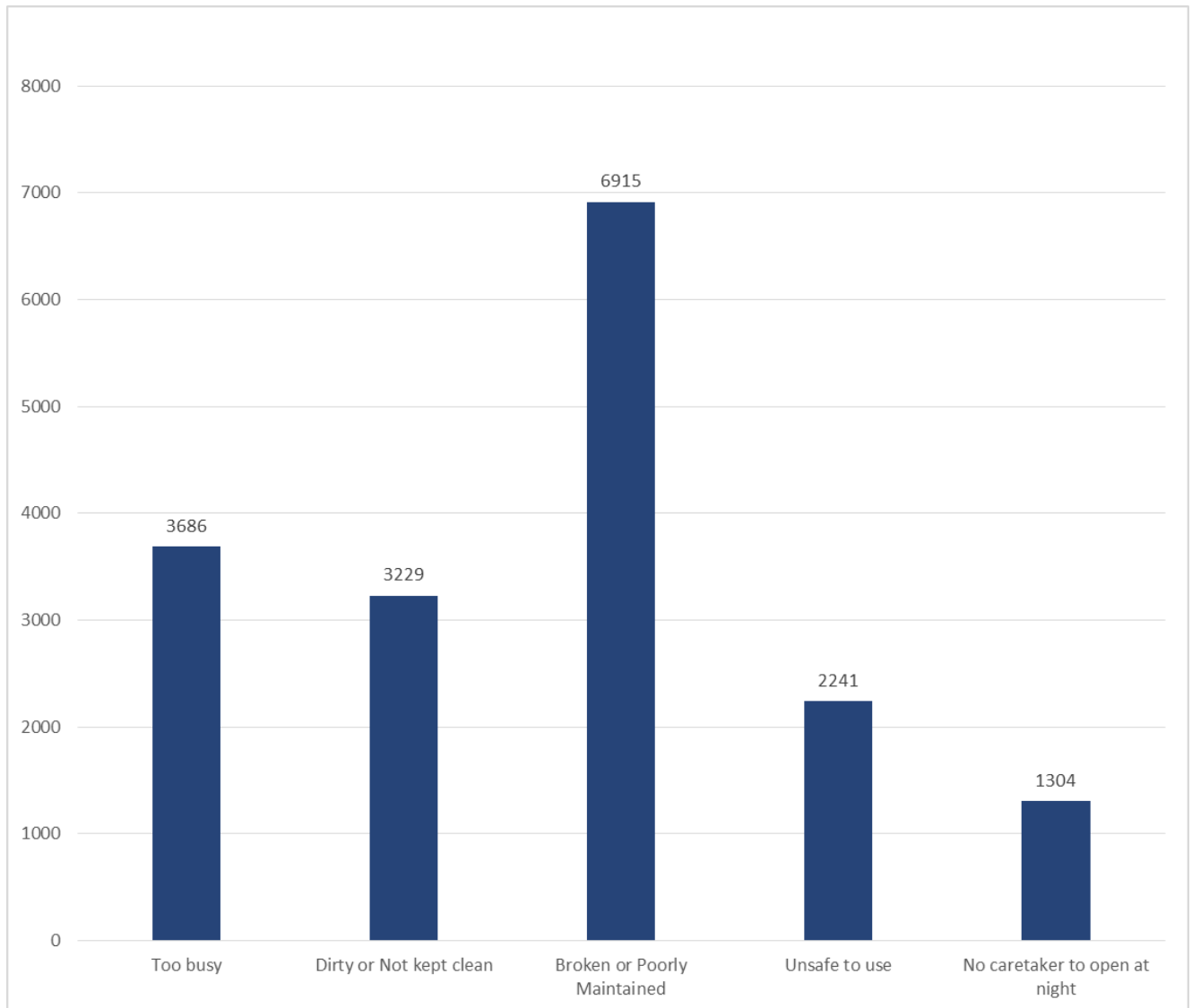
28 % of respondents across all settlements have access to social grants. The General Household Survey conducted by Stats SA indicates that 30.9% of individuals, and 45% of households across South Africa receive a social grant.

More than 74% receive income from a wage or salary, and only 11% receive income from informal enterprise activities.

Dakota is settlement with the highest percentage of salaries as a source of income. Dakota's location with in an industrial area with a greater pool of potential jobs is reflected in their sources of income. Dependency on social grants is highest in Hololo (39%), Progress Place (35%), Uganda (31%) and Bhambayi (31%).

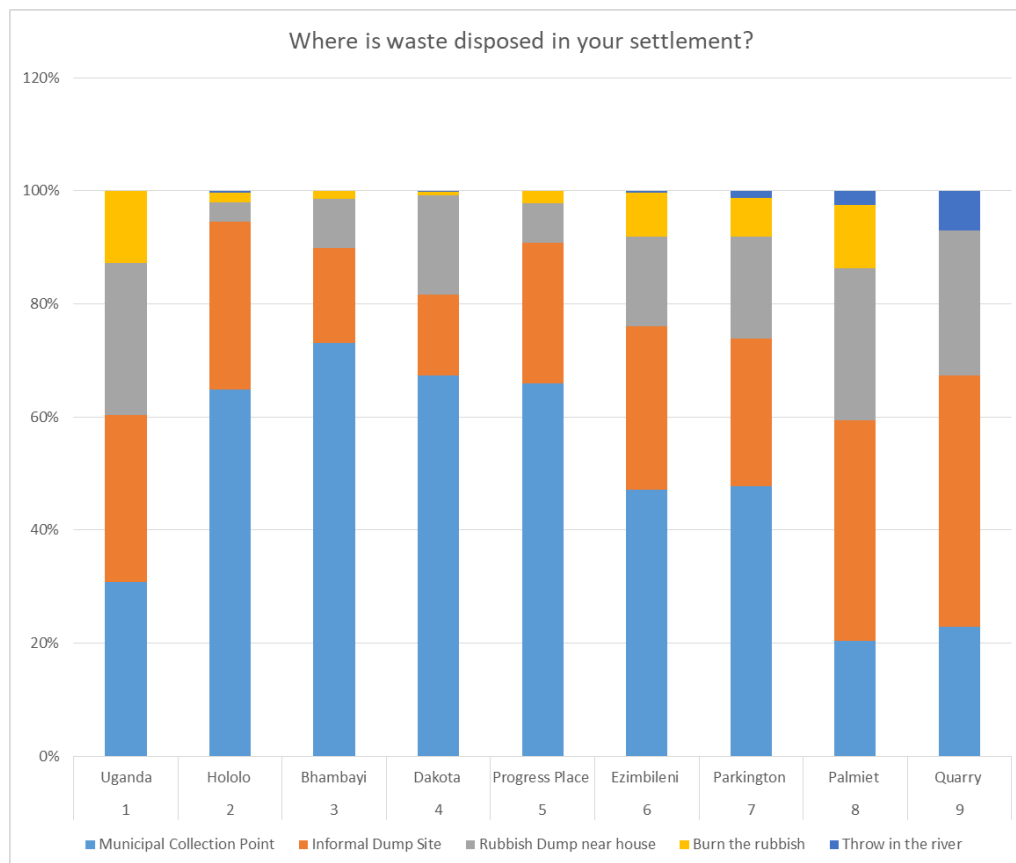
Service delivery feedback:

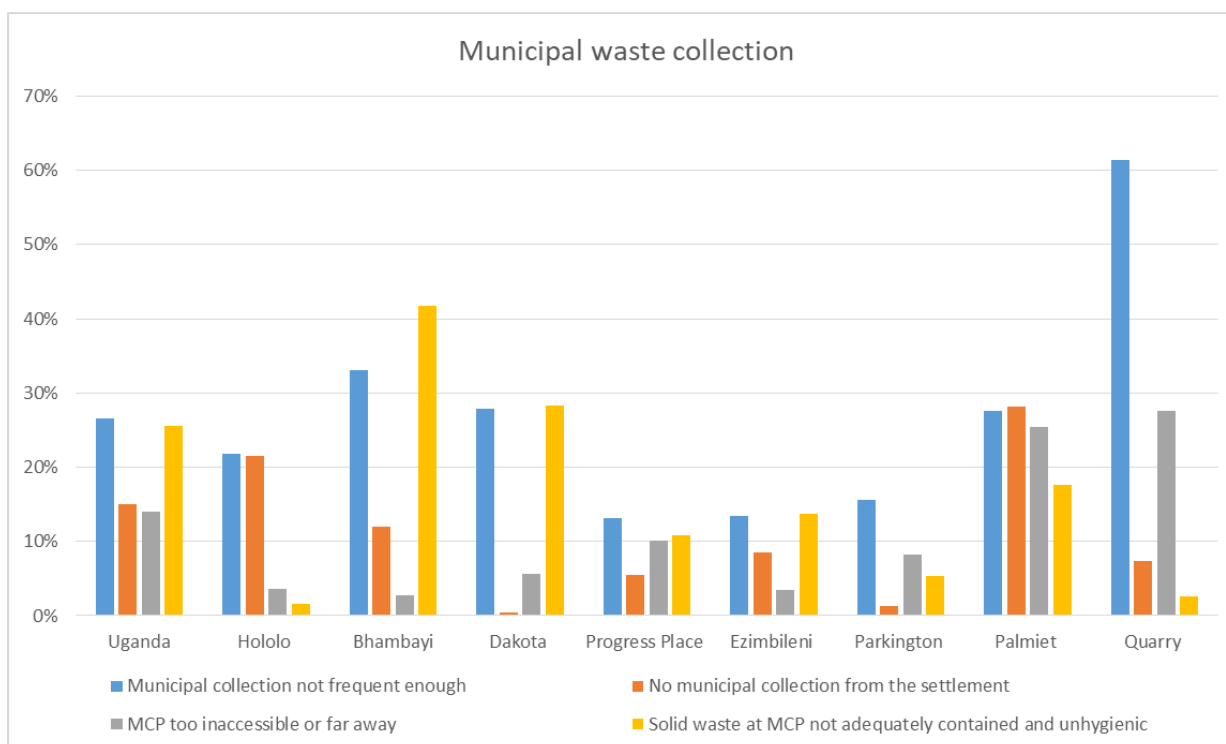
Progress Place is the only settlement to report that there are no Communal Ablution Blocks (CABs) in the settlement. More than 1/3 of residents in Bhambayi also reported having no access to a CAB, or that the CAB is too far away for them to use. All settlements in which CABS are present, significant operating and maintenance problems were reported.



Waste management and waste collection is a visible problem in many of these settlements. This is a problem which will require substantial agreement and participation from both the municipality and

residents to resolve. This is illustrated by the following graphs, which show that informal dump sites are in some settlements (Uganda, Palmiet and Quarry Road) the primary location for disposal of solid waste. Most settlements report that municipal collection is too seldom for the volume of solid waste that is being generated, and that infrastructure at municipal collection points (MCPs) is insufficient.



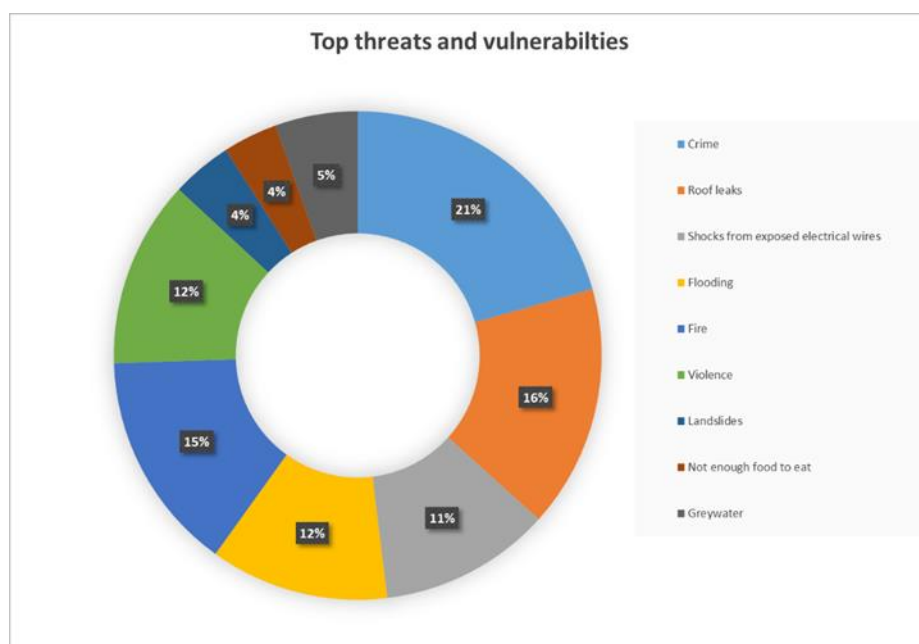


Exposure to vulnerability

Residents were asked to identify the critical threats to their person and property. The top result for each settlement is highlighted in red below.

Community Threats and Vulnerabilities									
	Uganda	Hololo	Bhambayi	Dakota	Progress Place	Ezimbileni	Parkington	Palmiet	Quarry
Crime	410	269	1298	334	254	255	218	517	646
Roof leaks	310	297	1045	268	336	222	141	259	396
Shocks from exposed electrical wires	275	20	54	238	162	36	241	640	652
Flooding	192	275	620	344	216	249	90	428	
Fire	112	171	234	280	280	128	269	784	713
Violence	85	199	1038	260	147	96	106	223	373

Landslides	73	111	97	95	82	49	21	84	204
Not enough food to eat	72	9	258	93	123	13	13	9	147
Threat of eviction from land	6	3	14	79	10	5	54	7	21
Unsafe drinking water	5	3	15	6	10	3	3	12	88
Greywater		147	548	18		4		289	110



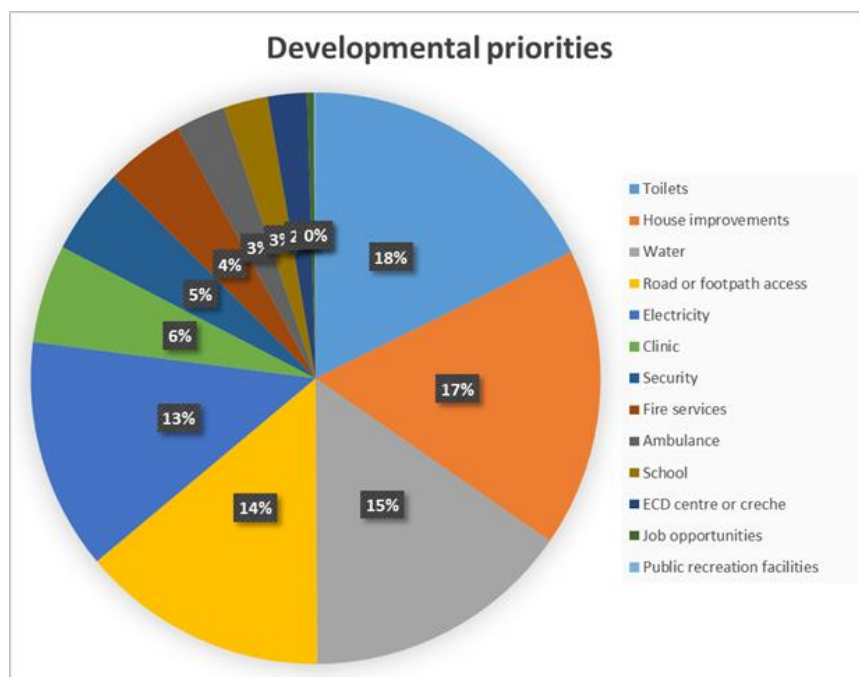
During the project period, the team has observed 15 fires, causing 10 deaths and the destruction of 461 structures. Residents have highlighted that fire, along with roof leaks and crime, are the issues which most concern them.

Service delivery priorities

	1	2	3	4	5	6	7	8	9
	Uganda	Hololo	Bhambayi	Dakota	Progress Place	Ezimbileni	Parkington	Palmiet	Quarry
Toilets	394	393	1284	348	371	340	85	742	809

House improvements	427	335	1282	400	345	301	305	634	524
Water	429	369	1100	61	302	319	124	676	729
Road or footpath access	204	369	1282	178	309	302	287	739	100
Electricity	472	327	567	128	78	273	175	778	727
Clinic	243	44	354	349	83	126	98	158	39
Security	122	24	392	168	147	45	41	137	237
Fire services	33	16	85	141	178	25		441	291
Ambulance	84	51	218	85	41	48		39	190
School	38	51	125	179	57	38	14	126	47
ECD centre or creche	22	14	64	14	90	9	63	22	300
Job opportunities	12		21	51				17	4
Public recreation facilities		4	17	5					

Residents of 5 out of 9 settlements reported that improved sanitation in the form of toilets is their top developmental priority. Electricity, water, roads and footpaths and home improvements were also noted as key priorities.



Some observations

Socio-economic surveying (also known in upgrading jargon as enumeration) is a valuable tool for understanding the community and the environment in which they live. However, it is a resource intensive process, both in terms of costs and time. Socio-economic surveying and enumeration are recommended activities for the development of impactful, participatory projects and should be done in preparation for detailed project design and planning.

4. Social compacts

A draft social compact agreement for an integrated, incremental, in-situ upgrade (with partial relocations/re-blocking) has been developed in consultation with multiple stakeholders. It is the first time that such social compacts will be utilized on incremental upgrade projects. Comment from eThekweni's legal department is awaited where after the social compacts will be finalised and signed. They have already been circulated to most stakeholders as drafts. The social process for this will start soon. This social compact will serve as a proforma going forward for incremental upgrade projects, in particular those where services are being provided in a comprehensive and/or integrated fashion.

The social compact defines the roles and responsibilities of the municipality and community and sets out the overall incremental upgrading approach to be adopted. Amongst other things it seeks to:

- Encourage and promote the involvement of all members of the community in the upgrading and development of their living environment to improve the quality of their lives;
- Promote the provision of improved basic services for members of the community and to assist them to acquire such improved services
- Encourage co-driven planning, development, and the implementation of such planning and development in all its facets;
- Enhance the quality of life of members of the community, and enable them to sustain such quality of life;
- Secure funding in terms of the guidelines issued by the funding authorities and ensure that the project is implemented within the parameters of such guidelines.

The broad types of service which are envisaged are described as well as emergency housing (in the case of the relocation site). The issue of allocations on the emergency relocation site are also dealt with in some detail.