

SCALING UP URBAN UPGRADING INFORMAL SETTLEMENTS AS PART OF THE CITIES SUPPORT PROGRAMME

Workshop Discussion Document

Introduction and Context

The Pretoria Declaration for Habitat III has declared the informal settlements challenge as a global phenomenon. It is reported that whilst approximately 320 million people were lifted out of unsatisfactory informal settlement conditions globally between 2000 and 2014, absolute numbers of informal settlements continue to grow. To this end, it is estimated there are around one billion slum dwellers (or people living in informal settlements with adverse conditions), compared to three quarters of a billion in 1996. In South Africa, whilst impressive milestones were achieved in delivering more than 3 million low cost public houses since 1994, the number of informal settlements has continued to grow. There are an estimated 2 600 informal settlements in South Africa compared to around 300 in 1994, with an estimated total of 1,25 million households living in these settlements (StatsSA 2012). Informal settlements are characterised by poverty, inequality, exclusion and vulnerability, leading to negative impacts on developing sustainable, integrated and inclusive cities. With a worsening situation, it is imperative that the upgrading of informal settlements be pursued with vigour and activities to scale up their upgrading need to be supported.

Arising out of the Breaking New Ground policy in 2004 which brought a fundamental shift towards developing sustainable human settlements, the Upgrading of Informal Settlements Programme (UISP) was initiated by the National Department of Human Settlements (NDHS). To support this Programme, the National Upgrading Support Programme was established to provide support to 48 municipalities, now 51, with over 700 informal settlements. The NUSP is aimed at strengthening the capacity of provincial and local government to effectively facilitate a participatory, *in situ* and incremental approach to the upgrading of informal settlements.

National Treasury (NT) established a City Support Programme (CSP) to support and strengthen service delivery and management capacity and systems in cities, to reduce poverty and inequality and build more inclusive, productive and sustainable cities in large urban centres in South Africa. The CSP programme related sustainable human settlements is aimed at supporting the NDHS to expand and institutionalise its capacity to support the NUSP and work directly with cities to implement their upgrading strategies (CSP Framework, January 2012). This process is also aimed critically at contributing to the achievement of the Built Environment Programme Outcomes, particular the targeting of improvement of marginsaed neighbourhoods and informal settlements, and Integrated Sustainable Human Settlements with regard to Medium Strategy Framework.

Under the CSP's housing and land pillar, the "Scaling up Upgrading" component has four work streams including building stakeholder collaboration and alliances, building consensus on upgrading practices, enhancing programme management through learning modules and piloting programme support in Metros.

This workshop is therefore part of the broader Scaling up of Urban Upgrading Informal Settlements Programme which is initiated by National Treasury Cities Support Programme (CSP) with technical support from the World Bank and SALGA. It is the start of a process to build consensus on upgrading practices. Within this workstream, the CSP has commissioned a scoping report on good practices and innovations in informal settlement upgrading and scaling up delivery, both in South Africa and internationally. This Scoping Report, which is a discussion document, will inform a workshop with national and metropolitan government to initiate a process to build consensus around the support required to scale up upgrading and contribute to sustainable, inclusive and productive cities.

Overall Aim of the Workshop

To initiate sustainable collaboration within government, and especially metros and other key stakeholders, based on a consensus on the challenges of informal settlement development in SA, innovative good practices in the participatory and people led upgrading of informal settlements, and relevant approaches to transversal programme management, that will enable a rapid scaling-up of integrated, *in-situ* informal settlement development programmes in large urban municipalities.

Workshop Objectives and Outcomes

Objectives	Outcomes
To discuss and confirm the scale of the challenge of informal settlement development in South Africa	Common understanding of the scale of the challenge and responsibilities to address it
To confirm the importance of <i>in situ</i> , integrated informal settlement upgrading (ISU) in Metros	Consensus on the institutional, policy, fiscal and legal context and requirements of informal settlement upgrading (particularly in the light of the Slovo Park judgement) and Habitat 3 Theme of Leading Change In The City : From Slums (Informal Settlements) to Integrated, Safe, Resilient and Sustainable Human Settlements.
To share findings on ISU innovative practices and their potential for up-scaling, based on the Scoping Report and obtain responses (on what could work, what will not work and what could be up-scaled) based on participants' experiences	Receive input on the Scoping Report from attendees that identifies: <ul style="list-style-type: none"> a) Gaps in the research and where we could obtain the additional inputs b) Promising approaches, practices and mechanisms by attendees (and why) c) Issues that are a challenge to up-scaling (and why) d) Potential mechanisms that could be up-scaled (and why) <p>To achieve a level of consensus on the innovations and best practice findings in the report</p>
To sketch a clear picture of a programme and to structure a way to engage in future to ensure good practices are shared	Agreement on the way forward to engage in a structured and sustainable way after the

Objectives	Outcomes
	workshop – e.g. Peer Learning, Exchange programme and learning platform
To discuss the potential to implement an approach/some mechanisms/ institutional arrangements in a metro that supports up scaling	Agreement on the mechanisms for identifying, nominating and implementing innovative project(s) with a view to demonstrate up-scaling in metros.

Provisional Workshop Programme

Day 1				
Item	Presenter	Time	Start time	
1.	Welcome & Introductions		5 mins	10h00
	<ul style="list-style-type: none"> - CEO, SALGA - Facilitator's welcome and group introductions - Purpose and Outcomes of workshop 	<p>CEO, SALGA</p> <p>Facilitator</p>	10 mins	
2.	Realities of informal Settlements in SA and aligning support for address the upgrading realities.	Facilitator introduces panel	40 mins	10h15
	Panel Presentations and Discussion			
	NDHS: UISP and NUSP and new shifts in upgrading approaches	Neville Chainee (NDHS DDG)	(10 mins or less per presentation)	
	CSP: Approach and role of the NT CSP and the need for scaling up upgrading	Dave Savage (NT, CSP)		
	Strengthening support for Upgrading through CSP's ISU programme.	Seth Maqetuka (CSP)		
	World Bank Support and introduction of international experiences of scaling up	Yan F Zhang (WB)		
	Discussion from the Floor	Facilitator	20 mins	10h55
3.	Innovations in Informal Settlement Upgrading and Upscaling and reflections on international perspectives			11h15
	<ul style="list-style-type: none"> a) Presentation of Report b) Questions of clarity 	<p>Liza Cirolia & Gemey Abrahams</p> <p>Facilitator</p>	<p>40 mins</p> <p>20 mins</p>	
4.	Instructions for breakaway groups	Facilitator	10 mins	12h15
	LUNCH	All	60 mins	12h30 – 13h30
5.	Breakaway Group (3) Discussions: Innovations in Upgrading in SA	Breakaway facilitators (3)	60 mins	13h30
	<p>Group 1: Planning, Regulation and Land Tenure</p> <p>Group 2: Engineering Services</p> <p>Group 3: Consolidation, facilities and livelihood support.</p> <p>Questions to focus on:</p>			

Day 1

Item	Presenter	Time	Start time	
<ol style="list-style-type: none"> 1. From your experience are there additional innovations you would add to the Report? 2. Within this topic, what are the main constraints you experience with implementation? 3. Are there innovative practices in this topic area that have potential to be implemented at scale in your municipality? 4. Cross cutting aspects for all 3 Groups to discuss for their topic: <ul style="list-style-type: none"> • How best would one include institutionalisation of this topic? • How best would one incorporate community participation within this topic? • What are the key financial aspects relating to this issue? 5. Within this group, is there a level of consensus on the innovative practices that could be implemented? Which ones? 				
6.	Plenary Feedback from Breakaway groups	Rapporteur per Breakaway group	30 mins (10 mins per group)	14h30
7.	Plenary discussion on implementation of innovations	Facilitator	20 mins	15h15
8.	Closure of Day 1			15h35
	a) Plenary or summing up of Day 1 inputs and discussions	Facilitator	15 mins	
	b) Purpose and Programme for tomorrow	Facilitator	5 mins	
	c) Closure of Day 1	Seth Maqetuka (NT, CSP)	5 mins	16h00
	Tea?			16h00

Day 2

1.	Welcome and objectives of Day 2 a) Welcome and Opening remarks b) Purpose of today a) Brief recap of yesterday	Seth Maqetuka (NT, CSP) Facilitator Facilitator	5 mins 10 mins 15 mins	09h30
2.	International experience in Scaling up informal settlement upgrading in relation to national opportunities for scaling up a) Introduction b) Presentation on international experiences c) Questions of clarity	Yan F Zhang (WB) Somsook Boonyabanha: Director of CODI Facilitator	20 mins 60 mins 15 mins	10h00
3.	Instructions for breakaway groups	Facilitator	10 mins	11h35
	Tea	All	15 mins	11h45
4.	Breakaway Group (3) Discussions: Learning from international examples , with a focus on scaling up delivery (use same groups as Day 1) For your area of interest discuss the following questions: <ol style="list-style-type: none"> 1. What aspects do South Africa and your municipality have in place to build on for scaling up implementation? 2. What, in your experience, are the main challenges in South Africa and your municipality to scaling up in your interest area and generally? 3. What are possible solutions to scaling up in your area of concern and generally? 4. Also include issues and solutions for more cross-cutting issues such as: <ul style="list-style-type: none"> • policies, • programmes, • funding, • institutional arrangements, • capacity/capabilities and • community involvement; 5. Is there a level of consensus on the challenges and solutions for scaling up in the group? 	Breakaway facilitators	60 mins	12h00
	LUNCH		60 mins	13h00
5.	Plenary Session to report back on Breakaway groups	Facilitator	15 mins	14h00

	Plenary discussion on Scaling up implementation	Facilitator	15 mins	14h15
6.	Summing up of innovative practices and scaling up	Facilitator	20 mins	14h35
7.	The Way Forward a) SALGA and future collaboration b) CSP on Scaling up Programme c) Inputs from participants on further collaboration d) Summing up of way forward	Alison Tshangana (SALGA) Seth Maqetuka (NT, CSP) Facilitator Seth Maqetuka (NT, CSP)	10 mins 10 mins 15 mins 5 mins	14h55
8.	Closure and thank you	Facilitator	5 mins	15h30

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Political will on in situ upgrading

Review of sessions