

The UISP journey towards safe, dignified and sustainable neighbourhoods

What is the UISP?

The Upgrading of Informal Settlements Programme (UISP) is a human settlements programme that guides and funds upgrading of informal settlements over time. It divides the work in four phases and allocates funding up to Phase 3. The UISP also provides for ongoing community participation and funding for social facilitation.

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This information will help you understand the UISP and how your community can participate in the upgrading of your settlement.

- Through the UISP, municipalities are required to:
- Work with and listen to communities
 - Support local economic opportunities
 - Focus on the health & safety of residents
 - Include informal settlement plans into municipal plans
 - Be flexible because every informal settlement is different

THE UISP PHASES:

- PHASE 1** **PROJECT APPLICATION (with emergency/interim services)**
The first step in an upgrading project is to know who lives in the settlement and what housing and infrastructure is needed. The municipality should consult your community and make sure that there is meaningful engagement. The municipality can also provide temporary emergency essential services in this phase.
- PHASE 2** **INITIATION (with interim services)**
This phase is focused on the government getting available land (if necessary) and **GEOTECHNICAL INVESTIGATIONS**.
- PHASE 3** **IMPLEMENTATION (with permanent services)**
This phase is focused on detailed planning, project management and township establishment. Streets are aligned and widened, drainage is improved, and homes are connected to water and sanitation grids. Residents **SECURE TENURE**/occupational rights and are provided with relocation assistance, if needed.
- PHASE 4** **HOUSING CONSOLIDATION**
UISP funding is only provided for projects up to phase 3. The final phase of upgrading is about the construction of a top structure and registered ownership of a house.

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WHAT HAPPENS BEFORE UISP PHASE 1?

The UISP phases are based on specific projects in a settlement. Each settlement is different and some processes take a long time in one settlement and a short time in another settlement. But before an upgrading project can begin in a settlement, the municipality has to understand the needs of all the informal settlements and how to best support them.

The municipality takes these steps:

- STEP 1** Rapid Appraisal and Categorisation (RAC) to better understand the informal settlements in a municipality and start planning for what development is possible and appropriate for the settlement.
- STEP 2** Prioritising the more urgent needs in informal settlements to bring benefits to all settlements as quickly as possible and within the available budget.
- STEP 3** Budgeting for interventions using the Medium-Term Expenditure Framework (MTEF).

The **MTEF** is a draft 3-year municipal budget. It is used by municipalities to allocate funds to upgrading interventions from different grants and funding sources. In each phase, community needs will be met according to the municipality's budget.

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UNDERSTANDING RAPID APPRAISAL AND CATEGORISATION (RAC)

The RAC process is the first step that the municipality will take to develop an upgrading plan before Phase 1 of the UISP. It is a municipal planning process which is not funded under the UISP. RAC informs the municipality about the informal settlements in the area and is used to determine if settlements will:

- A** Remain and be upgraded to a formalised area with full services and subsidised housing (**Category A**)
- B1** Remain and be upgraded to a less formalised area with full services over time (**Category B1**)
- B2** Have a mix of households relocating and remaining, depending on its surrounding (e.g. if it is on a steep slope, close to streams or under power lines) (**Category B2**)
- C** Immediately relocate to another site because it is unsafe to develop on the land (**Category C**)

The information collected during the RAC is used to make decisions and influence plans for your settlement. Knowing this information can help you understand what choices you have and how upgrading will affect your community.





DEVELOPING A COMMUNITY ACTION PLAN (CAP)

Community-based planning is an important way for you to get involved in the developments in your community. In this process, you and your community decide on the vision for your settlement, what activities/tasks will need to be done, when these activities will be done and what resources you need to achieve this. This process usually takes place as a number of workshops, assisted by a support organisation.

The CAP is the outcome of this planning process. It identifies WHAT will be done, WHO will do it and HOW it will be done. The CAP can be changed as the project is implemented and with input from all stakeholders.

RELOCATION IS THE LAST OPTION

Here is what you should know

-  Relocation is NOT the same as eviction.
-  The municipality should try all other means to accommodate everyone in the settlement.
-  Sometimes settlements are so dense that there is not enough land for all households to receive services and adequate space. So, some households have to move to another site – for a short or long time.
-  Sometimes the location of the settlement is not safe for the health and lives of the residents, so people have to move. For example, if a settlement is on a slope or sand dune or near a mine.

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Relocation is NOT the same as eviction

An eviction is when someone is removed from their home against his or her will. The Prevention of Illegal Evictions Act (1988) (PIE) protects you and your community against illegal evictions, so that land owners cannot evict you without going through the courts. Evictions often happen when communities occupy privately owned land.

In an upgrading project, relocation is when a household or community moves to another location. This often happens for a safety/health reason and only when it cannot be avoided. You can work with your municipality to relocate in the best way possible.

IF A RELOCATION IS UNAVOIDABLE, THEN:


- Households should be relocated to a suitable site as close as possible to the existing settlement.
- Relocations should not put you at risk.
- The municipality needs to provide relocation food support to households.
- The municipality needs to cover transport and moving costs for households.
- Households should be given as much information as possible about where they will move to and what services they will receive.
- Households should agree to move based on the information they have.
- The municipality can get a court order to relocate households only if the court finds that there is no other option available and relocation will be legal.

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FUNDING AND ALLOCATIONS

What services in a project are covered under the UISP subsidy?

- | | |
|--|---|
|  SOCIAL |  TECHNICAL |
| <ul style="list-style-type: none"> • Community residents survey, registration • Participation • Social facilitation • Dispute resolution • Project information-sharing & progress reporting • Housing support services • Social service support | <ul style="list-style-type: none"> • Geotechnical investigation • Buying or expropriating land • Pre-Planning • Interim engineering services • Detailed town planning • Land surveying and pegging • Civil engineer's fee • Site supervision fees • Permanent engineering services |

 **DID YOU KNOW?** All informal settlement residents qualify for upgrades up to Phase 3 under the UISP. All income levels, nationalities, household sizes, and even those who owned homes in the past are eligible. The UISP is not an individual subsidy, but is provided on a project basis.

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MANAGING CONFLICT IN YOUR COMMUNITY

Upgrading can be a very emotional process, where different people have different needs, priorities and interests. This can lead to disagreements and conflict. Sometimes these conflicts distract the community from the project and can cause delays. We need to learn how to manage conflict and disagreements and come out with solutions that benefit the entire community. Here are a few tips:

- 1 Disagreements cannot be avoided. Accept that everyone has an opinion or idea and that everyone's view is valid.
- 2 Keep the focus on the upgrading journey that will lead to improved living conditions.
- 3 Find solutions together. There might not be a win-win solution, but let's find the best option for the people affected by the project.
- 4 Build trust in your community by speaking to your neighbour about the changes in your settlement.
- 5 We have better chances of achieving something if we work together.
- 6 Share information and reach an agreement with all stakeholders.

The UISP journey towards safe, dignified and sustainable neighbourhoods



The Western Cape Government is responding to your shelter and livelihood needs

Your informal settlement is unique and you know your community best. Work with your municipality in each phase of the upgrading project so that the developments match your needs and **YOUR VISION** for a safe, dignified and sustainable neighbourhood.



EMERGENCY ESSENTIAL SERVICES are the immediate measures and tasks taken by a municipality after a disaster (like fires, floods or wind storms) where homes have been damaged and/or people have been relocated to another site for a short time.

The municipality should provide access to decent, safe, reliable and well-maintained toilets and handwashing facilities near the temporary dwellings as soon as possible and in less than 24hrs of the emergency. These might be shared services.



GEOTECHNICAL INVESTIGATIONS look at how the soil, rocks and groundwater on a site will affect construction and engineering plans.



AN ENVIRONMENTAL IMPACT ASSESSMENT (EIA)

looks at the social, environmental and economic impacts of an upgrading project. It is a process to make sure that the upgrading plans protect valuable natural resources, human health and safety while at the same time addressing the needs of a community.



TENURE is about what rights you have to occupy or own land and housing. Different kinds of tenure can give you permission to stay on the land, build, sell and rent. For example, the municipality can give you an occupation certificate, a shack number linked to a municipal register or a title deed. They can be used as evidence of where you live.



REBLOCKING is used to better organise the informal settlement layout so that emergency vehicles can enter and essential services can be provided. It creates space between shacks in a dense informal settlement and makes it easier for the municipality to begin upgrading.



INCREMENTAL HOUSING OPPORTUNITIES are about making small and important improvements to your shelter over a long period of time. As you save and have more resources, you can make more and more improvements.



MINIMUM ESTIMATED TIMEFRAMES: According to the UISP, it is estimated that an upgrading project will take at least 6 years. In reality, the projects take longer because there are so many processes with different stakeholders involved. You should not be discouraged when things take time to change. Remember, your community and municipality are on a long journey together.

RAPID APPRAISAL AND CATEGORISATION (RAC)

Before an upgrading project begins, the municipality identifies and assesses all informal settlements. This process is used to better understand the informal settlements and start planning for what development is possible and appropriate for the settlement. Category A and B1 are eligible for upgrading beginning at Phase 1.



WHAT YOU CAN DO



DID YOU KNOW?



PHASE 1

PROJECT APPLICATION (with emergency/interim services)



MINIMUM TIMELINE:
YEAR 1 - 2

Using **household surveys and enumerations**, the municipality wants to know:

- Who lives here and their profile (age, gender, employment status, etc.)?
- Who owns the land?
- Is it safe to develop the land?
- What services and facilities do people need?

Register and update your information with your municipality. Volunteer to conduct and take part in surveys.

The municipality produces a **temporary business plan**. This plan puts together the information from the household survey and then shows:

- How the municipality plans to address your informal settlement
- What the upgrading will cost
- What services are needed

A **Project Steering Committee (PSC)** is set up:

- It includes representatives from all stakeholders – the community where the upgrade is taking place, municipal council, private developers, supporting organisations and municipal departments.
- They oversee the project and make sure all stakeholders are involved in decision-making.
- They meet regularly to review the progress of the project, raise issues and give input from the groups they represent.



- Make sure you know who from your community is representing you on the PSC. If there is no PSC or no community representation, mobilise to have community representatives on the PSC.
- Mobilise and organise your community to get ready for your upgrading journey with your municipality.

If your settlement is large, set up different groups in each area. You can then nominate someone to represent your group in meetings and communicate information between your group and other groups.

INTERIM/EMERGENCY ESSENTIAL SERVICES are provided, including waste removal. Access to sanitation should be safe, hygienic and adequate for your community.



Take responsibility for maintaining and monitoring these services so that they last longer. This will also help your municipality solve problems quicker and spend less money on maintenance and more money on installing other new services.

PHASE 2

INITIATION (with interim services)



MINIMUM TIMELINE:
YEAR 3 - 4

The municipality **prepares to implement** the project:

- It can buy, expropriate or negotiate for land if necessary.
- It conducts an **ENVIRONMENTAL IMPACT ASSESSMENT (EIA) AND GEOTECHNICAL INVESTIGATION**.

All EIAs must have a public participation process. Make sure you are given an opportunity to ask questions and express your concerns about the natural resources (air pollution, water/rivers nearby, livestock, land) in and around your settlement.

Residents can receive a **form of TENURE**. Based on the results of the technical reports, the municipality and the community can work together to negotiate which households can be accommodated on the land (sometimes by creating more space through reblocking) and which households will need to relocate:

- Sometimes settlements are so dense that reblocking may still not accommodate all households or create enough space for basic and emergency services to be provided. So, some households have to move to another site – for a short or long time.
- Households cannot be relocated without agreeing to move or without a court order.
- Households that need to relocate should work with the municipality to develop a **strategy for relocation**: Where will we move to? How will we get there? What will be provided on the new site? What is the best option for everyone?

Ask for clear timeframes for relocation and attend meetings with your municipality. Offer your skills and knowledge to the relocation.

Community-based planning is used to determine your needs:

- Where permanent services should be installed
- What the layout and design of your settlement will look like
- What facilities your community needs
- This should result in a community action plan (CAP)

REBLOCKING of settlement for remaining residents:

- Shacks are re-arranged to make space for developments in the next phase, including roads and pathways.

Discuss the benefits and disadvantages of re-blocking in your community, design a layout for your settlements and move your homes according to your design.

Social compacts between the community and municipality are finalised:

- A social compact is a relationship of co-operation and trust built between the community, municipality and other stakeholders.
- A social compact can be formalised as a signed agreement. It should clearly describe how the municipality and the community are going to work together. It is important for all stakeholders to know what their role will be in the project.



Signing an agreement is one step, but the social compact is about how you partner with your municipality. Take every opportunity to meet with your municipality and plan how to work together.

The municipality produces a **finalised upgrading plan**.



Ensure your leaders facilitate and coordinate with the municipality to include community plans in the finalised upgrading plan.



Take part in transforming your community

PHASE 3

IMPLEMENTATION (with permanent services)



MINIMUM TIMELINE:
YEAR 4 - 5



Funding for maintenance and operation of facilities is not covered under the UISP? Discuss with your municipality how the facilities will be managed and maintained and what role the community can play.

- Construction of other **social facilities** can begin, based on what was identified or negotiated earlier in the upgrading plan. Some examples are:



Mobile clinic



Social grant pay point



ECD centre



Community hall



Sports fields



Public parks & open spaces

Some of these facilities are the responsibility of provincial government, not the municipality.



Flexible stand sizes are available under the UISP? Work with the town planners in your municipality to negotiate and plan a layout that works for your community.

- Township establishment** process means that:
 - Land is proclaimed for housing
 - Plots are sub-divided
 - You are given occupation rights/tenure based on this process

- Paved **roads & streets** are developed
- Bulk infrastructure** development includes
 - Drainage & sewerage pipes
 - High-mast lighting
- Permanent services** are provided, including flush toilets and taps, based on service levels and minimum requirements of each municipality.



Different service levels come at different costs? Find out what the service provider can deliver and negotiate with your municipality for the best option for your community.

At the end of this phase, residents should have access to:



Services



Tenure & land rights



Infrastructure



Incremental housing opportunities

PHASE 4

HOUSING CONSOLIDATION



Better livelihoods and better neighbourhoods are possible because we're BETTER TOGETHER

Different housing programme options open up at this phase, depending on what an individual household qualifies for and the household resources available. This could include self-build, the People's Housing Process (PHP), social housing, affordable rental or individual or consolidation subsidies.

Visit your municipal office to find out what options apply to you and what steps you can take.



BETTER TOGETHER.

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