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A VIEW OF COMMUNITY PARTICIPATION AND UPGRADING IN THE INFORMAL SETTLEMENTS.

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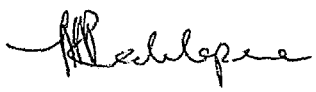
A DISSERTATION SUBMITTED TO THE FACULTY OF ARCHITECTURE, DEPARTMENT OF TOWN AND REGIONAL PLANNING, UNIVERSITY OF THE WITWATERSRAND, JOHANNESBURG, IN PARTIAL FULFILMENT OF THE REQUIREMENTS OF THE DEGREE OF MASTERS OF SCIENCE IN DEVELOPMENT PLANNING

DECLARATION

I declare that this discourse is my own unaided work. It is submitted for the degree of Masters of Planning in the Town and Regional Planning in the University of the Witwatersrand. It has not been submitted before for any other degree or examination in any University.

8th
----------/ October / 1999



DEDICATION

This Discourse is dedicated to my family for their unconditional support throughout my years of study.

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SECTION 1

INTRODUCTION

1.1. INTRODUCTION

Upgrading in its comprehensive form is used to embrace the improvement to service and social infrastructure in existing settlements and in addition the consequential improvement of the building themselves by those who live in them. In the context of the approach to housing strategy where the maximisation of available resources ,the existing housing stock however poor ,must essentially be regarded as an asset to be conserved and improved-not to be destroyed.

Of the fundamental human needs for food, clothing ,health and shelter ,the last item has traditionally ranked lowest in the priorities of most African countries. Extensive urbanisation and housing of the masses in the urban agglomeration of Africa is one of the major problem in this century.

It is estimated that there are approximately more than 200 informal settlements in Gauteng. Conditions in these Informal Settlements vary. Some Informal Settlements are located on Governmnet-owned land and are either in product of transit areas or "Shack farming" operations by land owners. Some informal settlements have been established as part of the defiance campaigns against government whilst others simply reflect the desperation of people who merely wish to access land to live on.

Many Informal Settlements are fairly old (i.e. over 5 years) whilst others have been established relatively recently i.e. since 1994. Some informal settlements have access to emergency services, which are provided by the relevant authority. Others have limited access to services, which are provided with the consent of owners or neighbours.

It must however be emphasised that the Upgrading process cannot be an outright success without the actual participation of the beneficiaries themselves. This has been the major shortcoming of most of the planning which took place during the previous years. The projects where/ progressed without the involvement of the community for which planning was aimed at.
It was by then assumed that the people would just have to live with the development which the planners thought were suitable for them. The whole process led to the failures and hence the waste of the money which was used for those developments. An example of this kind of developments is the failures of the projects in the KwaZulu-Natal Province with the examples being the Illinge Township.

In these townships people where never consulted and informed on what was to happen and why. People did not appreciate what was imposed to them by the planners of the day. Community Participation is the vehicle towards the upgrading process.

The upgrading process is an attempt to reverse the trend of deterioration or at least to overcome inertia. Outside agencies action on an environment developed and controlled by the residents should arise from the fact needs and priorities of the residents themselves.

Thus the concept of upgrading through self-help has little support in logic if it cannot significantly improve the market position of most of the residents. Though many projects of upgrading have been successful for the households directly involved ,their contribution to overall housing conditions has been quite small in relation to the money, expertise and time devoted to them.

In these work there is going to be a discussion of the international experiences with the problem of the informal settlements and in there ,there is going to be an analysis of the provision of infrastructure and basic services. Questions like what is upgrading?, what are the elements of upgrading?, how we measure the success or failures of the upgrading process, needs to be addressed. There is also a need to indicate as to whether the community participation is of any importance when it comes to the upgrading of the informal settlements.
There is also a need to review as to whether the process of self-help is of any significant in the upgrading of informal settlements or not. In the community participation, there will be issues like the acceptance and conflicts within the community. There will be lessons from international experience on community participation. The international experience is going to be compared to the situation in the Case study which is the Winnie Mandela Informal Settlement Informal Settlement.

1.2.Problem Statement

A vast number of the population in urban Africa live in housing that is among the world's worst , and housing

conditions are steadily deteriorating. Typical of poor housing in the Third Word countries, access to basic services and infrastructure is problematic. Where ccess is available, the facilities are often poor. In this respect ,both social and environmental decay occurs, and the consequences of which are directly related to the problem. Important work needs to be done in order to improve the quality of the informal settlements. It is therefore important that the participation and self-reliance of the squatter are harnessed in co-operation with national government and international organisations to help satisfy this housing need.

It must however be emphasised that modes of planning which did not involve the beneficiaries always failed to improve the livelihood of the poor. The transition period has resulted in the public calling for direct involvement in matters affecting their lives; seeing this as their democratic right. Communities can be trained and made responsible for their development projects; making them self-reliant and lifting them out of the culture of poverty and dependency.

1.3. Aim of the Study

The purpose of this study is to indicate how the community participation can lead towards the process of effective upgrading in the informal settlements. This is in line with the measures which must be taken to try and solve/alleviate the problems in the informal settlements.

1.4. Objectvives

- To explore ways in which the low-income earners can be able to have access to services.

- To promote community participation by mapping out ways in which the community have a say in decision-making.
- To provide with the measures of precautions and guidelines which the planner has to take in order to avoid repeating the same mistakes which were done by the previous planned by using the international experience as a guideline.

1.5. Argument

Community participation can lead towards the process of upgrading of the informal settlements. The involvement of the community is very crucial as it makes them to feel as part and parcel of the whole process and it helps them to contribute in the alleviation of the housing problems which they would otherwise have neglected if not consulted.

The community need to be involved in the upgrading projects from the beginning right up to the end of the project. The project is likely to experience very few problems from the community because they will be feeling appreciated by the planning officials. If the community become part of the decision-making process and their decision are respected, then the project will succeed. If the community is not consulted and involved, the process of upgrading failure will be unavoidable.

1.6. Methodology

Firstly there is going to be study of the available literature on the upgrading of the informal settlements.

This will consists of both the local and international literature.

The method of researching this problem will be done by site visit to the area of study. Experts in the field of housing (mostly the informal settlements) will be contacted and in this case the people of the Khayalami Metropolitan Council who are responsible for any progress which may be taking place at Winnie Mandela Informal Settlement. This will be done in the form of the interviews and also the higher organs in the community i.e. the people responsible for the successes of the process of upgrading.

Questions in the form of the Questionnaire will be given to some members of the community in order to get their feeling about the whole upgrading process. Where necessary there will be verbal interviewing to the members who cannot fill the questioners

The method used in the preparation of this discourse will be divided into three phases which are:

Data Collection
Synthesis
Recommendations

1.7. Data Collection and Analysis

Both the international literature and the literature on the case study will be used. The international literature will help in comparison and giving lessons to the situation in the case study. There will be many examples of the upgrading of the informal settlements in the international literature

which will show as to whether the upgrading process did lead to a progress or failures and also to show the constraints which may hinder the process of upgrading.

Interviews with professionals in the field of housing and authority in other relevant parastatals will also be contacted to provide a range of different perspectives on the issue of housing and challenges that faces the South African government. Primary information will be collected in the form of questioners.

1.8. Synthesis

Here there will be an evaluation of the practical cases against the criteria developed from the theory base.

1.9. Recommendations

This is the phase in which guidance will be given in as much as upgrading is concerned. This include the steps which must be avoided when upgrading the informal settlements which will be taken from the lessons learned through the international literature and cases in the upgrading of the informal settlements. This indicate the road which must be taken in future to avoid many obstacles and towards effective planning for the informal settlements in South Africa

SECTION 2

THE PROBLEM IN INFORMAL SETTLEMENTS: CHALLENGE FOR UPGRADING

2.1 Introduction

Informal settlements have generally been established outside of the formal land location system and this has had the effect of criminalising many thousands of desperate people who are forced to live in peripheral areas where they are generally denied access to services such as education and health care.

The criminal activities in the informal settlements are not linked to the income levels of the inhabitants but is rather as a result of the inaccessibility of these settlements which makes formal policing activities extremely difficult. Some of those problems are the following:

2.2.High Urbanisation Rate

The population in South Africa is increasing at the rate of 4% p.a. and this means there are so many people with very little resources available to counter the increase. Most of the people are migrating to the urban areas from the rural areas in search of better living lifestyles and job opportunities.

The result of these is a very large population in the urban areas ,most of whom live in the informal settlements . Poverty often result because these people are jobless also overcrowded and the job market cannot absorb these masses. However it must be acknowledged that there is a slight decrease in the population in the informal settlements as indicated by the new census. This is likely to be move in the right direction.

Higher population growth rates are also attributed to lack of education in the poor communities. Many people in these poor communities are not exposed or conscious about the birth control and implication of higher population rates in the country. The growth has many social and planning implications.

The other factor is the increase of population against the provision of basic services and infrastructure which is a very challenging issue. The other factor is that the higher the population growth the higher is the risk of encountering the diseases and pollution of the environment.

High population also means that the available resources are used up very quickly. This makes it a problem when Informal Settlements are to be upgraded since the process involve the use of more amount of money. The ur an system has a problem of absorbing the migrant quickly enough. This needs to be solved as a matter of urgency because the present situation then can be very worse.

2.3. Inappropriate housing policy dealing with Informal Settlements.

A country with inappropriate housing policy dealing with informal settlements is likely to experience many problems.

These housing framework needs to be very much effective in order to avoid chaotic and damaging consequences of housing. With the housing policy in place it will be possible to put the upgrading of informal settlements as a priority for development.

In South Africa there has been a shift in the policy from what was done in the past where Informal Settlements upgrading was not accommodated. Since the 1994 democratic elections more attention has been given to the improvement of the informal settlements as one means of resolving the housing problems.

The government has made shifts which can be witnessed by the presents of lights, water taps as part of the upgrading process in the informal settlements and also the relocation of some of the informal settlements in order to provide better housing for the people.

The White paper provides that it is government policy to assist provincial and local authorities to develop procedures for tenure related activities. Experience in the upgrading of informal settlements is limited within Gauteng, but it is proposed that specific policy and regulatory support is required in relation to tenure-related issues which may be identified from time to time.

There should be an emphasis on the quality of the houses which are to be provided within the housing policy itself. It is very much important that the quality of the houses provided or upgraded Informal Settlements be very much convenient. This can be done by the provision of long term services rather than those for a very short period of time.

2.4. Lack of basic services and infrastructure

The government has found it difficult to supply the basic services and infrastructure due to the mushrooming of most of the Informal Settlements. The other reason being that most of these settlements took place through land invasion.

The basic services and infrastructure in this study refers to the safe and clean water, proper sanitation ,electricity and the construction of roads within the settlement. Though is a human right and need to stay alive ,there are however cases in the informal settlements were there is a very lack of water or if it is available it is insufficient for the people to utilise. In other situations the water is very much polluted for human consumption.

This situation has a tendency of resulting in the many diseases contacted by the inhabitants of this settlements like diarrhoea. Typical of many low-income communities, access to basic services and infrastructure is very much limited or not available at all.
Recognising the importance to public health and well being of an adequate water supply for drinking ,personal hygiene and other domestic purpose and adequate means of waste disposal, the United Nations declared the 1980's as the International Drinking Water Supply and Sanitation Decade(IDWSSA).The major goal was that by 1990 all inhabitants of the world would have access to safe drinking water.

Many of the informal settlements lack the infrastructure capability in the form of the taps and dams to deliver the water to these settlements. There are shortages sanitary facilities to sustain these people and in other situations the conditions are so worse that the people resort to the nearby bushes as a means of relieving themselves. The chopping of wood in the forests lead to further problems of environmental degradation.

This lack of basic services however has its own positive effects. People are likely to organise themselves in order to propose to the relevant authority for the provision of these services. This leads to empowerment since the people will be in a good position to even guide the authorities about the services which can be provided first.

2.5. Lack of financing

This is in terms of the availability of the subsidies and accessibility of the credit for people living in Informal Settlements. Most of the situations in the informal settlements are worsening because of the lack of money to carry out any type of upgrading in those settlements. As indicated above ,the people who occupy those settlements are too poor to afford proper housing. The existence and accessibility to banking institutions by the poor is problematic in many Third World Countries.
Most of the people do not have access to credit in order that they can upgrade their settlements through self-help housing/buy better houses. This is a very great challenge for the government to make sure that more subsidies become available so that people can improve the standards of the Informal Settlements were they are living in.

However this situation has led to the emergence of the small loans sectors which can be very helpful when people are to carry on the upgrading through self-help. Informal servings also exist by means of stokvels which can also help with the upgrading process. This leads to a situation where one can argue that the lack of financing though is very much a disadvantage ,it also makes the people to realise their potential.

2.6.Cost of Upgrading

It must be emphasised that even though upgrading is seen as a very good way of improving the state of the Informal settlements, there are lots of money involved in the whole process. South Africa is one of the Third World Countries with lower economic growth rates and this makes it difficult for funds to be provided.

There is also fear in the project failures because this result in very great loss of money. Some of the factors which contribute to this failure are land claims and community conflicts. On the contrary it can be argued that the upgrading process is a very useful process of dealing with the informal settlements rather than the bulldozing, demolition which used to be done in the past. Even though it costs lots of money it is important to note that this is the most human way of trying to solve the problem of informal settlements.

2.6. Poverty

One of the major elements which signifies the conditions in the informal settlements is the level of poverty in these

places. These (the poor) are the people who are mostly hard hit when it comes to the problems in the informal settlements. Poverty can be defined as the lack of basic needs to maintain and sustain a healthy state of life. The level of poverty is further worsened by the high unemployment rate which is forever increasing in the country and this lead to people being unable to afford even a meal a day.

When the people are very much poor, it is often very much difficult for them to afford the services which have been upgrading. In most cases the people do not have enough money to maintain the dwellings which they live in on a sustainable basis and secondly to pay for the services and infrastructure once they are provided .

In essence, the affordability problem remain to be the major constraint in the provision of housing. This is a problem because after the upgrading process, there is a very crucial need for the services to be maintained or else they are going to deteriorate and therefore poor upgrading. Poverty, like unemployment makes the people to become more initiative. People mobilise private savings in order to deal with this problem of poverty.

2.8.Densification

This is a very major problem in the Third World Countries were there are so many people and less job opportunities resulting in the poverty of the people in those areas. Most of the dwellings in these countries are low-income types which are very much congested in one area. Often the health conditions in these places leaves much to be desired

resulting in higher infant mortality and various other diseases.

When the shacks are stuck together this makes it difficult for the authorities when the upgrading is to take place. This is because some shacks are too close that it is very difficult for the numbering to take place. The other problem is that during the process of upgrading (e.g. streets layout) people may be forced to vacate their shacks. This also has an impact on the provision of services which are suppose to be overloaded. The situation also leads to the lack of privacy in the households.

2.9. Unemployment

South Africa experiences one of the higher unemployment rates in the world. Instead of the people getting employed, more and more people are getting retrenched from their respective jobs. The irritating fact about these is that the more the people lack jobs the more they run short of money which is important if the services provided are to be conveniently maintained.
The availability of crime is highly associated with a higher unemployment rate. This means that if there is going to be any form of self-help, the people ware going to need more financial support to fulfil their dreams of upgrading because they cannot afford to buy the materials needed. Unemployment can be a major constraint to upgrading in the informal settlements.

There are so many informal sectors in the informal settlements through which the people in those areas area able to survive. Most of the people are doing their own

small businesses as part of the employment options. There are people who sell vegetables, sweets and also groceries for survival since it is difficult for one to live without money over a long period in the urban areas. This in a way is countering the ever-increasing unemployment rate in the country.

2.10. Safety and security

The two factors mentioned above ,which are unemployment and overcrowding are mostly associated with the decrease in safety and security in the Informal Settlements. There is likely to be more problems experienced when there are more people staying in a crowded area. Their properties are most at risk because housebreakers can easily gain access into the shacks as compared to the proper houses. There are even stories of people stealing shacks in the informal settlements as was the case with the Chris Hani informal settlement near Kliptown.

The people involved in these housebreaking and killing activities may not be only those living in Informal Settlements but even outsiders (mostly people from the neighbouring townships)can be involved. According to the Housing policy document (1998) "informal settlements have been identified as a key source of criminal activity in Gauteng."

2.10. Conclusion

The future of informal settlements poses difficult development questions, which means that local authorities

are to play a role in the identification and prioritisation of informal settlements because they (authority) have the ultimate responsibility for the provision and maintenance of services in these settlements. The challenges in the informal settlements have a positive way of promoting community participation. This can be in the form of the community identifying the priority areas for development thereby making the planner's r work to be appli i with ease. The challenges also lead to the people to be more initiative and to depend more on themselves through the informal servings and businesses.

SECTION 3

COMMUNITY PARTICIPATION

3.1 Introduction

It has been proved by various authors that the absence of community participation has resulted in most of the problems encountered in planning today. Most of the informal settlements were demolished rather than upgraded during the previous years because the authorities by then did not consider the people as having positive impact on development.

Community participation in the decision making process ensures that the communities are provided with what they want and not what the authorities think is good for them. It fosters a sense of responsibility and belonging to the residents. It is increasingly being recognised that this top-down approach has been the reason for the failure of many initiatives and that the community know their needs and should be consulted during the decision-making process (UN Settlement Report 19996:311)

3.2 What is the Community

The need for community participation in the provision of urban infrastructure in South Africa is a direct consequence of the failure of the socio-political structure of apartheid to provide services in the period after 1970. The result of

this are urban crisis which are similar to the rest of the African countries.

Community Participation, as defined by the United Nations Conference for Human Settlements(UNCHS)(1984, in Moser,1989:82) is" the voluntary and democratic involvement of the urban poor in carrying out the project activities". From this definition ,it is clear that the voluntary nature of participation implies that the decision to active in the process, as well as content and forms of organisation should principally be determined by the individuals taking part in the development process. The individuals taking part in such processes should be the ones who establish the project's agenda and tone.

It can be emphasised in this point that even though the individuals are suppose to establish the project's agenda, the planner should be the one to provide with the guidelines and risks of taking a particular action. He/she should be able to draw the line in terms of decisions or otherwise the project is likely to circulate around one point with little progress.

Moser defines participation as a process that aims " to increase control over resources and regulative institutions in given social situations, on the part of groups and movements of those hitherto excluded from such control". The meaning of this definition is that community participation is a means towards realising the democratic ideas by establishing a new power base(Chekki,1979:11).
These definition raises many arguments such as the one that members of the local community on an established common front, may look towards regaining control of those

institutions which they have been told were designed to serve them anyway. At the same time the desire by project donors to maintain control of decision-making powers presents a hurdle towards realisation of this democratic ideal of local political control and decision making.

3.3 Why Community Particiaption?

In these era of democracy people have the right to know about the developments which are taking or are about to take place in their areas of living. This is so done because in the previous years there was believe that the beliefs of the communities were not understood. This was emphasised by Muller J,1984 who argued that" There is little believe to suggest that decision-makers and planners have sought to understand the beliefs held by members of deprived communities".

Participation makes it easy for the collection of the information which is most believed to be accurate and representative of the needs ,priorities and capabilities of local people. It allows for the delivery of better quality and demand responsible needs, for example the community must on an appropriate level of housing that they need. The other major reason for community participation is to avoid the community conflicts within a certain settlement, which may lead to the project's deadlock.

3.4 Advantages of Community Participation

- Community participation creates for the decision to be based on people's needs, priorities and affordability.

- It contributes to achieving the best use of the limited financial resources.
- It forms a great part in the consensus building where the views of different participants can be weighed against each other in order to avoid the misunderstanding and conflicts in the process.

3.5 Disadvantages of Community Participation

- It may lead to the prolonging of the project and disillusionment of the people due to the many new ideas of problems which are introduced leading to a stop-start process.
- The prolonging of the project usually leads to the cost increases of the project.
- It may lead to the project sabotage.
- People may undermine participation if they feel that they do not have power.

3.6 Characteristics of Participation

- Participation is considered as a voluntary contribution by the people to one or another of the public programme, supposed to contribute to National development, but the people are not expected to take part in shaping the programme.

- Participation includes people involvement in decision-making processes, in implementing programmes their sharing in the development programmes and their involvement in efforts to evaluate such programmes.

- Community participation in planning should be broadly understood as the active involvement of the people in the decision-making process in so far as it affects them.

- Community involvement means that people who have both the right and the duty to participate in solving their problems , have a greater responsibilities in assessing the needs, mobilising local resources and suggesting new solutions, as well as creating and maintaining local organisations.

- Participation is considered to be an active process, meaning that the person or group in question takes initiatives and asserts him/her on its autonomy to do so.

3.7 Community and Participation

Community can be defined in various ways. If community is to be defined in terms of membership, it is clearly obvious that some possibility of participation in community life should be required. Membership involves the idea of identification which seems to pre-suppose some kind of involvement. There is a link between the three concepts community, participation and membership. Any community development programme aimed at increased and better participation of the people in community affairs. Efficient participation involves democratic principles. "A democratic society exist to enable all its citizens to develop the various talents and interests to the fullest possible extent. The concern is with the whole man and his ultimate value by virtue of his humanity and it is from participation

and sharing in social, economic, occupational, political and religious activity that individuals gain their friendships, find their identity and are able to give as well to take from the society" (Ackof,1974:)

The community work theory look at particular justification of participation of community which falls into two categories.

3.8 Who can Participate

This is a very important question because whenever one talks about community participation there should knowledge of who should be involved in the process. It can be emphasised that virtually all the people who are going to be affected in the development process should be involved in the participation process. This is to avoid some small sections which may arise from the community with their different agendas and claim that they were not consulted on what was to take place in their area.

In practicality the people need to participate through the community structures like the elected representatives from the community itself and housing forums which includes churches, political parties and civics. The steering committee is another community structure which can be used to communicate with the people thereby giving them report backs about the meetings which were held.

3.9 Participation as a Tool Towards Efficiency

It is a known fact that people who actually belong to the groups know their own needs best. For this reason the

community worker in trying to make articulate these needs from within the group which he serves in serving both the course of the community development by encouraging people to come forward and actively say what they need and thus efficient administration (Sewell and Coppock:1977). Participation happen to maximise efficiency.

3.10 Community Participation and Self-reliance

Another major justification is in terms of some notion of human self-realisation or self-fulfilment. "Most agencies have as their primary aim the development of people in the sense that they want to help them both individually and in groups to develop the will and confidence to manage their own affairs. They value this not only because it enables people to meet more of their own needs for themselves but also in so doing they can increase their own status and self respect"(Sewell and Coppock,1977).

There is considerable debate about the exact meaning of the phrase "community participation", in that, it represents different views, needs, implications and priorities. However, there is general agreement that basically community participation is an activity in which the community takes part in aspects and in decision making regarding issues affecting their living environment.

Community participation is seen as a process that seeks to address and ensure that the right of individuals are respected. On the other hand it is a concept based on the first observation of individual rights but with own additional factors of empowerment of individual(Daw:1998).

According to Paul(1987)"community participation" refers to an active process whereby beneficiaries influences the direction and execution of development projects rather than merely receive a share of project benefits". Wilcox(1993:p50) amplifies Paul's definition by noting that community participation is a process during which individuals, groups and organisations...have the opportunity to become actively involved in a project".

Here the emphasis is on participation as an active process where communities have real power to influence the direction and implementation of projects. As an active process, Paul suggest that participation aims to address the following objectives: Project cost sharing, improving project efficiency; increasing project effectiveness and building beneficiary capacity

With regard to these objectives, the sharing of project costs can be achieved by the involvement of various legitimate stakeholders who have unique skills, knowledge attitudes and expertise to invest in the process. Since community participation is based on the premises that in a community there is knowledge, skills, attitudes and resources on which people can build (Ymker:1991), the role of development professionals or agencies involved in participation should, according to Watermeyer(1995), be to empower people to make better use of these human resources and to assist them to improve their quality of life.

It is therefore through community participation that communities can be assisted by being enabled to initiate a process of development that meets their needs and

aspirations, rather than being provided with ready-made development packages.

The primary aim of the participation process can be seen to be the satisfaction of a clearly defined need carried out in a way that contributes to the long-term growth of the beneficiary group(Abbott,1996:p120). Community participation needs to be viewed as a process than a product. Thus community involvement ought to occur throughout the planning process through thinking, planning, deciding, acting and evaluation, by that making it both a physical and mental involvement(White:1982).

3.11 The Application of Community participation

In the Third world development planning, community participation is effective if applied in a conducive environment. Paul(1987) gives three lessons to be considered in the application of community participation.

(a) Through experience, it has been shown that community participation is appropriate when one or more of the following conditions are present:

- The objective of the project is to empower the people and improve capacity building
- That, the design of the project services calls for the interaction among beneficiaries as a basis for identifying their needs and preferences
- That, the implementation of the project demands frequent dialogue and negotiations among beneficiaries.
- Users rather than a week bureaucracy are better able to manage a part the project operations

(b) Secondly, it is difficult to incorporate community participation into project strategies and enthuse beneficiaries so they are active in community, when one or more of these conditioned prevails:

- The country does not have a social tradition supportive of community participation
- The market/government is perceived by the beneficiaries as a satisfactory medium for project implementation because they are participating directly
- Project authorities are reluctant to build community participation into project design because they are afraid that resources (money and time) would be inadequate.

(c) Thirdly, in projects which deals with vast masses of beneficiaries for services delivery(people-oriented), there is considerable potential for the use of community participation.

Much has been said about participation in various literature. There are many aspects in which the issue of community participation can be viewed in development planning. For example, questions such as who should participate and at what level and issues to participate?

3.12 Participatory Approaches

There are various approaches stated by many authors about participation. They are sets of tools and techniques that have been developed in order to better realise the high levels of community members involvement in the development projects or to allow the inhabitants of a particular

settlement to design, implement and evaluate their own initiatives (UN Settlements Report,1996:322).

The objectives of these approaches are according to Mitlin and Thompson (1995: 235)" to facilitates the integration of local into such debates and, in some cases, to enhance community control of resources allocation and planning processes. They include a range of activities designed to:

- Increase the awareness and understanding about the key actors and groups at the local level.
- Identify viable local development options.
- Mobilise local and external resources for such options.
- Enable the people to identify constraints,
- set priorities and take action.
- Strengthen the self-confidence and capacity of local organisations.
- develop and support mechanism to resolve conflicts.

A number of some of the participation approaches are discussed below.

3.12.1 ARNSTEIN (1969)

In his theory of citizen participation Arnstein illustrates the eight different levels at which the citizen may participate **(see Fig 1)**. The levels varies in that they start where there is non-participation to the level where there is full managerial power. This levels are divided into three categories which are: non-participation, tokenism and citizen power.

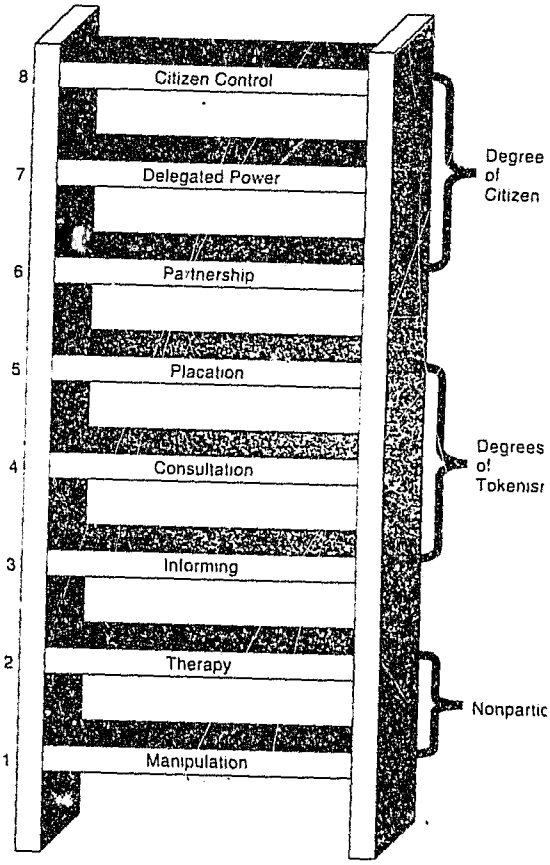


FIGURE 8 Eight Rungs on a Ladder of Citizen Participation.

3.12.1.1 Non-Participation

In these level the community is not participating at all but they are being educated by the power holders. This category has two rungs . The first one is the manipulation where the process is controlled with no participation from the side of the community. The second one is the Therapy. In this therapy the officials still controls the process and major issues are avoided with no negotiations and ideas from the community.

This is the step which should be avoided at all costs if the planners and authorities want to reduce the problem of the informal settlements in the country. It can be argued that this is one of the steps which may have or have been of use by the previous planning systems.

3.12.1.2 Tokenism

In these level there is very little involvement of the participants. They (participants) are not involved in the decision-making process and even if they do their input is not considered. This category is divided into three rungs. The first one is Informing in which the community does not have the power to influence the information and decision-making. The communication is one-way through the media, posters, and pamphlets informing the community options. The second one is Consultation which takes place through public meetings and the opinion of the community is invited. The last level in these category is Placation where the community members are represented by community boards or

committees which gives opinion and reservations. This marks the beginning of community influence.

The fact that the decision-making is only reserved for the authorities in this rung only proves its ineffectiveness. This shows that most of the decisions are going to be imposed on the community which may lead to the community being against such type of development.

3.12.1.3 Citizen power

This is the category where the citizen has more influence on the decision-making process and it is divided into three rungs: Partnership-here the community exercise their influence in the decision making. The community has more influence and can emphasise the particular points of interest.

The final control is reserved to the officials; Delegated power- the community has an increased influence in that they may even question the accountability of the officials. The community is in dominance even though the officials still retain the final decisions ;and lastly Citizen Control-thie is the highest level of participation where the community have control over the development programmes through the guidance of the planners. This category may be of good use in the informal settlements since one cannot let the community to have the final decisions in the projects because the community itself is not homogeneous. However it is important for the officials to listen to the wishes of the community.

3.12.2 PAUL(1987)

Paul maintains that there are four levels of community participation. Theses leaves are in ascending order and they are the following:

- Information Sharing
- consultation Decision -making
- initiating action

3.12.2.1 Information Sharing

In these level there is a sharing of data collection and more information on the project. This is very important because it will help the planner to mutual understand the problems of the people through sharing. They can also assist the planner in the prioritisation of some problems in their informal settlement. However it must be emphasised that the community should be involved throughout and not be limited to information sharing stage.

3.12.2.2 Consultation

In these level the members of the community are not only involved in the information sharing but are consulted in key issues of the planning process. This consultation can lead to the empowerment of the community itself. It is a learning process for the community.

3.12.2.3 Decision - making

The community is involved in the decision-making process involving them. This leads to greater empowerment of the community and have greater control over the projects than in the previous one. Even though the community is involved in the decision making process it can be emphasised that the decision that they are making be under the careful guidance of the planner or authorities responsible. He/she should be able to let them make responsible decisions and to advise them about the possible consequences of some of the decisions.

3.12.2.4 Initiating action

Paul describe initiatives as " a capacity and the confidence to get going on one's own". This is the level where the community can initiate actions and procedures.

This procedure may not be very much suitable for the people in the informal settlements because most of those people may lack the necessary skills to undertake certain developments. This can be suitable for people in which there is a high literacy rate. However this may have practical implications in the informal settlements when self-help-housing programmes are to be carried out.

3.12.3 WHITE(1996)

White maintains that the community should be involved in the managerial levels and decision-making processes. He identifies four levels of participation namely:

- Nominal participation- this is where participation is very much limited i.e. it is in a blueprint form.
- Instrumental Participation-this level of participation involves the activities of the community itself like in the construction process. It is aiming at achieving cost-effectiveness and local facilities.
- Representative Participation-this is were the people are represented in terms of expressing their views on certain matters.
- Transactive participation-Community members are involved in the decision making process of the projects. In this form ,participation is therefore a means to empowerment and an end in itself. This process never stops but is a continuing dynamic process that transforms people's reality and their sense of it (White,1996,9).

This approach by White does seem to be applicable as far as the informal settlements are concerned. There is a need for more rather than nominal participation in order to avoid the deadlocks in the project. This approach may however be useful through the representative participation via the community structures in the informal settlements. The final level which is identified by White is the most important of all the levels since the primary role of the planner in development projects should be in the empowerment of the community.

3.13. The role of the Planner

Before various roles of the planner can be clarified ,it will be necessary to have an explanation of what planning

actually is. According to Friedman(1967,p346)"planning may be regarded as reason acting on a network of ongoing activities through the intervention of certain decision structures and process or planning may be considered as a guidance of change within a social system".

Muller(1992) argues that planning should be able to modify its methods in order that it can accommodate the changes that occur in society from time to time.

3.13.1 The Transactive Planner

This is the planning approach which was formulated by Friedman who believed that transactive planning is suitable to resolving the crisis of both knowing and that of valuing. Transactive planning is a response to the widening gap in communication between planners and their clients-communities. The barrier of effective communication between those who have access to processed knowledge and those whose knowledge rest on personal experience.
Transactive planning has two aspects. Firstly those relating to dialogue and those relating to matual learning. According to Friedman (1973) dialogue is a form person centred communication generally requiring face to face interaction. Dialoque between the community and the planner makes the planner to realise the needs of the community from experience. The planner's interaction with the community helps him or her with knowing the needs of the community.

This is the role that the planner can play as far as the informal settlements are concerned. This is because there are in most cases community conflicts in the informal

settlements which may be due to the political affiliation of the members of the community who may try to sabotage the project. The planner can facilitate the whole project progress and try to bring the residents to have the common aim of upgrading their settlement.

3.13.2 Promotive Planner

The promotive planning approach was first introduced by Muller(1980). This approach is targeted at the disadvantaged groups in the society in which the planner tries to provide some guidance to the community. The planner listens to the problems of the people and thereafter he/she uses their knowledge to find the solutions. The decisions of the community is appreciated. In this approach the people's wishes and priorities receives more attention and this ultimately leads to the empowerment of those communities.

This is the most important role which the planner can play when one considers the situation in the informal settlements since some people may lack the necessary understanding to carry out the project on their own. The people can in this case provide the planner with valuable information in terms of the emergency services which they feel deserves more attention. The planner should however be able to draw the line for the project and also be instrumental in making decisions to avoid the likely prolongation of the project hence the cost of that project.

3.13.3 Planner as Community Server

The goal of planning is primarily that of promoting social justice and environmental integrity(Brickenbach and Hendle:

(1994). This statement shows the important of the planner in ensuring that the voices of the disadvantaged groups are heard and to promote citizen participation. The role of the planner as a community server also involves planner's duty to educate the community about the planning process. An example of this can be the technical assistance in relation to land-use planning which is a very important component of development. Effective self-help housing can be established through the involvement of the planner as a community server.

This is the role which is very much important because previously the people in the informal settlement's voices were not heard but instead they were countered by the forceful removal of the residents.

3.14. Conclusion

The section on community participation illustrates the fact that most of the project in South Africa can be very much successful if this concept is practised. Although the community participation is very much important there are some caution to taken when doing this process. The community should not be left alone to take unguided decisions because this can be very costly to the project as a whole. This is in the view that the community itself is not homogeneous but a heterogeneous organisation where some people may try to achieve their hidden agendas and ultimately disturb the whole project.

The approaches mentioned above can be very much useful in dealing with the problems in the informal settlements affected people will feel more appreciated and empowered though their involvement. The section also shows the various

roles that the planner can play in the development process together or within the community.

SECTION 4

INTERNATIONAL UPGRADING

4.1.Introduction

The following chapter is going to concentrate on the international experience in upgrading of informal settlements and this is going to be compared to the local experience. This will also help in indicating the lessons which may be learned by South Africa in order to try and lessen the problems of the informal settlements. There will be some sections on the basic principles and steps which must followed when the upgrading process is carried out. This steps will try and show how the community can involved. As a means of providing the guidelines to South African upgrading ,an example of the successful upgrading process internationally will be provided .

Upgrading in this discourse is used in its comprehensive sense to embrace the improvement to services and social infrastructure in existing settlements and in addition the consequential improvement of the building themselves by those who live in them.

Due to the present situation of the housing approach more attention should be placed at the maximisation of the available resources i.e. the conservation of the present housing stock rather than the destroying of it. The stock also represent the accumulation of individual house making initiatives where dwellers are encouraged to improve their

own houses and this can be done through the self-help housing schemes.

In a number of the Africa Countries there has been some lending for the upgrading to complement the site and service and self-help schemes to improve the urban housing and the environmental qualities of the urban poor. This was done due the escalating number or rate of the housing problems in these countries.

During the improvement of the informal settlements care is taken not to relocate the squatters far away from the employment opportunities which can be a very great difficult situation since these people (squatters) do live in these places to be as nearer to the employment as possible. It (relocation) should also provide the squatters with low-cost housing so that they can be able to afford and maintain as well as low -cost access to the employment, especially for the slum settlement located next to the central business district. Upgrading of the informal settlements maintains access to employment's and social services in a relatively central location for low-income residents. As the situation applies in the site and service and aided self-help schemes, a primary goal of community upgrading is the security of tenure to protect the slum dwellers and squatters.

The construction of the public utilities and roads can be done with minimum disruption. The upgrading of the slum settlements in most of the African countries such as the one on Zambia and Tanzania, where the schemes has been used to a great extend , has succeeded in both the urban fringe and the low-cost areas of the inner Central Business District

(CBD). In some cases in these countries some squatter settlement dwellers had to be resettled in the city.

Following the objective of not relocating people far away from their places of work, the households in Lusaka in Zambia have been relocated to the places not far away from their original squatter or slum communities in order not to disrupt the employment, access to the basic services and also community life. Mhlanga et al argues that upgrading is only for the slum and squatter settlers who have stayed in the urban areas for a long period of time, since social and political instability will arise with any attempt to relocate them(1988). They also argue that the upgrading does not only relates to the physical environment but also the mobilization and the stimulation of the population.

An example of these can be indicated in the resettlements projects in Rabat ,Morocco, Sudan Senegal, Dar-Es-Salaam, Tanzania, Kenya , Nairobi and Lusaka Zambia. Beside the provision of the security of tenure to the residents or squatters in these countries the upgrading projects have also included the improvement of the sanitary equipments, infrastructure , social services and also education.

It is also argued that the government should provide organisation and squatter training in order to enable them to participate fully in the improvement process. This should be so because the squatter participation is viewed as very much important if not critical in the upgrading process. The improvement (through self help schemes) and renewal of the slum and squatter settlements rather than their clearing and relocating the households elsewhere as an alternative is

seen as a best way of planning the informal urban sector of the African countries.
This strategy can be successful through the use of the two ingredients which are the Local government co-operation in the program as well as the community participation in all the projects. The argument by Martin R.J, is that in order for the upgrading to succeed " it must come from below: this is both more effective and makes better use of the resources.

The implementation phase require a genuine dialoque between the parties so that people can plan that will happen for themselves and understand fully the options that are open to them. In order for these to work effectively, the bureaucracy must restructure itself both in terms of the institutional arrangements and the mechanism it uses in the implementation process" (Mhlanga, 1988, p 343).

4.2 Basic Principles of Upgrading

According to Cox et al the following are principles underlying an upgrading programme:

- To maximise the use of existing housing and infrastructure
- To provide levels of services that government and the people can afford.
- To provide assistance and incentives for the people in these areas to improve their own housing through their own effort over time.

The above principles have been implemented in Jakarta in Indonesia where the objective was to retain all housing,

even the poorest, by providing the type of modern sector services which urban people need. The following are the factors mentioned by Cox et al taken from the experience in Jarkata which indicate that well planned and implemented upgrading projects:

- Do not deplete the housing stock
- Provide a breathing space whilst new housing is provided for the increasing population
- Protect and perhaps enhance the delicate community relationship
- Can be carried out on a scale which makes a major impact on the problems
- Can be carried out on a cost which is affordable to even the poorest households
- Can be carried out at a cost which the government can afford
- Can be carried out with a relatively simple technology
- Can be carried out very quickly and lastly
- Can be staged over time to give a basic level of service initially with the promise of gradual improvement in the future.

4.3 When to Upgrade and When to Clear

It has already been mentioned that there are cases where the clearance and the relocations have been unavoidable. Those circumstances are summarised by Cox and Partnership as follows:

- Where there is multi-household occupancy of unsound multi-storey buildings

- Where the land is urgently needed for non-housing uses such as the schools or roads.
- Where the scale of the problem is too small and redevelopment can be carried out at a reasonable cost to the government and the people.
- And where physical conditions would make the cost of upgrading prohibitively high and the technical problems insurmountable at a reasonable cost. An example of these is an area liable to regular flooding , where the soil is saturated with sewerage and areas exposed to typhoons.

It should however be added that even under these circumstances , political or social or economic factors such as the need to create employment within the locality may require the introduction of upgrading to very poor areas indeed at high cost. A disadvantage of the upgrading is that it does not make any initial reduction in the density in overcrowded areas but can lead towards de-densification which is part of the upgrading process. These(reduction of density) can be anticipated over time when self-help housing has followed infrastructure upgrading. It must be cautioned however that the high density on its own cannot be a justification of the clearance scheme.

4.4 Selecting the Priority Areas

Shankland Cox and Partnership emphasise the following as factors to be considered when selecting the priority areas, even though the objectives will vary from city to city:

- To improve the worst settlement first i.e. the settlement where there is a greater need for facilities because they are unavailable.

- To attack the problems closer to the city centre first
- To take advantages of any circumstances which would ease implementation
- To provide a reasonable spread of improvement so that a city wide impact is made

There are two stages for the preparation of selection criteria for choosing priorities between sub-standard housing areas. The first one is the compilation of the full list of substandard housing together with a survey of the main characteristics of the area and the second one is the application of an analytical method in order to determine the priority areas for improvement in accordance with the objectives.

4.5 Steps of the Upgrading Process

The following are the components which could be followed during the upgrading process. They are as follows:

4.5.1 Feasibility Studies

These studies can be carried out by starting with the environmental impact assessment in order to check the whole environment's suitability for upgrading. The geotechnical study is carried out in order to check the suitability of the soil in the area for development.

If the soil is suitable then the upgrading can begin but if the soil is found not suitable for development then the people in the area can be advised to be relocated at a suitable place. After the geotechnical studies the

engineering design may follow and this tries to find the possibility of providing engineering services to the area like electricity, sanitation and water.

4.5.2 Public Participation/Mobilization

Turner (1980:225) states that "there can be no possibility of successful upgrading if the participation process is not taken too seriously. If it is not , there is a danger that the community may be antagonised to the extent that they will not co-operate and may even sabotage the project." The beneficiaries are also likely to neglect the maintenance of those services because they will not be feeling as part of the whole project.

When the community is mobilised it becomes easy even for the planners to carry out the upgrading process since they can be able to inform the planner about the priority problems. They can also indicate the services which are emergent to them since they are living in the area. The community can do the mobilisation through the formulation of the community structures (by election of representatives) within the informal settlement.

4.5.3 Identification of the eligible Households

It is very much important that before any upgrading process can take place, to identify the eligible dwellers. They will need to be registered in order that they can be known. This is done in part to avoid situation where many people will just flock into the informal settlement in view that it is about to be upgraded. This problem can be solved by means of

short-listing of those new arrivals so that they can be accommodated in future upgrading. The community should be consulted in order to have their views heard about the problem of the new arrivals. They can also identify who the new arrivals are in their informal settlement.

The identification of eligible households helps in the situations where there are subsidies which must be filled for the upgrading of that settlement. Even in this case the community involvement is very crucial because they can help the authorities to identify eligible households.

4.5.4 Application for Subsidies

After the identification of the eligible households it is necessary that the relevant Authority be consulted for the provision of subsidies. The subsidies can be applied by the individual households and then handed to the relevant local authority . The Authority will view the application and check whatever information is missing from the application. The local authority should try to verify the average income provided by the person concerned. The community should be involved in order for their views to be listened to in regard to these subsidies. This involvement of the community is done in order to avoid the situation like those which happened in Etwatwa Extension 26 where there was confusion over the provision of the subsidies. The local authority will then take all the application forms and hand them to the provincial authority for their consideration.

4.5.5 Township Establishment

This is the process which involves the preparation of application containing the legal issues, geotech survey and layout plans. The above mentioned are submitted to the council after completion. During these process the community is also involved which is also the case in a situation of public notification about the developments which are about to be made. From the public notification the application Should be circulated through various departments for comments and objections.

The council then makes the decision about the layout plan and conditions of establishment. The calculation of layout and opening of register is done through the surveyor general. In terms of the above process surety should be made in terms of the compliance of the register with conditions of establishments.

4.5.6 Selecting a layout plan

When the layout plan is to be selected it is important that the community be fully involved in the process. In this procedure it is very much important that a common ground be reached. If there is no clear agreement there is a risk that the people may feel unappreciated. It is in this kind of a situation that the planner should act as a both a facilitator and advisor.

4.5.7 Plot Size:

It is very crucial that During the decision making process as to the length of the plot sizes, that the community also gets to know in order to avoid a situation where it is found that the plot sizes are far too large for the residents.

The community can guide the authorities about the sizes which they would prefer to have in their new yards. They may also be too small for the beneficiaries which may lead to a situation where the provision of services such as the sanitary facilities, may be difficult because of the space within the plot.

4.5.8 Provision of Basic Services

The following basic services needs to be improved during the upgrading of the informal settlements i.e , potable water, toilets, surface drainage, garbage collection and disposal, electricity supply, schools, streets and footpaths, and community centres are introduced or provided in the settlement.

In cases where this services are in existence , they need to be improved. During the upgrading process there must be attempts to try and rationalise the site , location and alignment of these settlements, usually following a grid pattern of the streets or footpaths, since most of the informal settlements are build without any plans at all .

4.6 Tranfer of Tenure

This land tenure is usually in the form of outright sale with the legal definition of the boundaries of the residential plots. The importance of the security of tenure is in the house improvement and reconsolidation because one has the sense of ownership of the house. One of the main objectives of the upgrading process or improvement is to avoid the discrimination between the residents during the construction of roads and public utilities in low- density settlements of most African urban centres.

This is also emphasised by the Development Facilitation Act,1995 which states that" Land development should result in the security of land tenure, provide for the widest possible range of tenure alternatives, including individual and communal tenure, and in cases where land development takes the form of existing settlements, not deprive beneficial occupier of homes or land or, where it is necessary for land or home occupied by them to be utilised for other purposes, their interest in such land or homes should be reasonably accommodated in some other manner."

4.7 Challenges Facing the Upgrading Process

Even though the upgrading process is very much helpful and appreciated, it also experiences some problems. One of the problems that the upgrading process often faces is that of the constraints of the budget from the provincial authorities. There is also insufficient funds to top up the projects once they have started. The political situations in the informal settlements through the rift between

communities have a way of delaying the process. This are situations where the community sometimes sideline with certain ward councillors by virtue of his/her political alignment. This is a situations where the authority act as facilitators.

The process of upgrading does not make any initial impact in reducing the density in overcrowded area. This can be done through the self-help process where people can also improve their own living. The upgrading process offers no solution to the ever-increasing problem of the housing shortage and because it does not add to the existing housing stock, it is not viewed as a housing delivery process.

4.8 Example of the Squatter Settlement Upgrading Programme, Rio De Jeneiro

There were several squatter settlement upgrading projects which were launched in the main urban centres of Brazil as from the late 1970s. The upgrading project in the Rio De Janeiro was undertaken by the Municipal Department of Social Development together with other public service agencies. The most important thing about this upgrading is that the upgrading process was done with the involvement of the communities. The community formed an association within which the priorities of the community were tabled out. The aim of the programme was retain the favelas in their original locations.

The upgrading process took place through the provision of the following services:

- Basic services (water ,sewerage, electricity, access roads footpaths, stormwater drainage and collection of garbage)
- Basic community facilities(Creches and community halls)
- Technical and social assistance to the families and
- Security of land tenure.

It was realised during the upgrading process that the security of land tenure was one of the most crucial issues if the whole process is to be successful. The people (squatters) needed to be certain that they were going to be allowed to remain were they were and there is also a great deal of empirical evidence which support this view.

The upgrading process which is referred above was of an incremental nature where self-help efforts were used over a period of time. The financing of the projects during this upgrading programme was done through personal servings, informal small loans from relatives and friends.

The empowerment of the community was done through recruitment of the unskilled labour from the community. This labour was supervised and paid for by the municipality. One of the most striking features of the 'favelas' was the large number of houses that are being improved through the use of durable material. The households are given the freedom to continue improving their own homes through the spontaneous upgrading process according to their own resources.

4.9 Relevance to South Africa Situation

The example of upgrading mentioned above can be related to the South African conditions through the involvement of the

community based organisations and NGO's in the implementation process and programming. This example is one way of proving that the community participation is very much effective in dealing with the problem of informal settlements. South Africa can improve the situation it find itself in right now through the use of the procedures /planning which was done in Latin America.

The other relevance to the South African condition is the allocation of small loans to the beneficiary families and local entrepreneurs. This has been seen as a major constraint in trying to solve the problems of low- income sector in South Africa.

4.10 Conclusion

Upgrading is a very useful tool in dealing with the problems of Informal Settlements. The government should make sure that the available resources are used as a means of upgrading.

It is important to note however that certain precautions needs to be taken into account when the upgrading process is to take place. This will help to avoid the problems and failures that the other projects had experienced before. One other important factor is the way in which the projects are recommended to include the communities to which the upgrading is done for. This was also experienced in the summarised example of the upgrading process in Brazil. This makes the community to have a feeling of ownership of the project. The following section will concentrate on the community participation in full and also on how it can bring about successful upgrading.

SECTION 5

CASE STUDY

Winnie Mandela Park Informal Settlement

5.1 Introduction

The case study serves as a means of viewing the situation in a practical sense. It indicate the practicality of involving the community in the upgrading projects and also serves as a good basis for the comparison of the theory base which is written about the topic. It tries to indicate the level of community participation in the upgrading projects and as to whether this is practically possible or not.

The Winnie Mandela Informal Settlement is a settlement where more has been written about and also where the level of community participation is said to be very high but this still remain to be seen from the interviews which will be contacted with the community and the officials.

5.2 Reasons for Choosing the Case Study

The case study on Winnie Mandela Informal Settlement is chosen because it is the informal settlement were there is a great degree of community participation in the upgrading process. This was also confirmed by the people from the provincial government who confirmed that this is the only settlement were the community is involved in the project. It

is said on the documents on general information that the community was involved in the project from the onset of the project.

It is the case study which can help to emphasise the importance of involving the community in the upgrading of projects. This is again because it can in future be used as a an example to show the measures to be taken when upgrading.

5.3 Historical Background

The Winnie Mandela Informal Settlement is an established and thriving community of shack dwellers who invaded the areas during the 1994 and has subsequently grown to between 50 000 and 60 000 people **(Source:** Khayalami Metroplitan Council General Information Document) . the Settlement forms part of the new informl residential area extending towards from Tembisa and Ivory Park. It is almost entirely surrounded by the existing residential areas, which are all occupied by low income and underprivileged communities. The existing informal settlement currently occupies approximately 400 hectares.

Winnie Mandela Park In Situ Project developed as an informal residential area in close proximity of the Olifantsfontein/Clayville industrial area. The settlement consists of approximately 11 500 structures with no access to basic services. The Khayalami Metropolitan Council is the developer responsible for the upgrading of Winnie Informal Settlement.

The VBGD Town Planners and Terraplan were appointed by the Khayalami Metropolitan Council (KMC) to undertake the

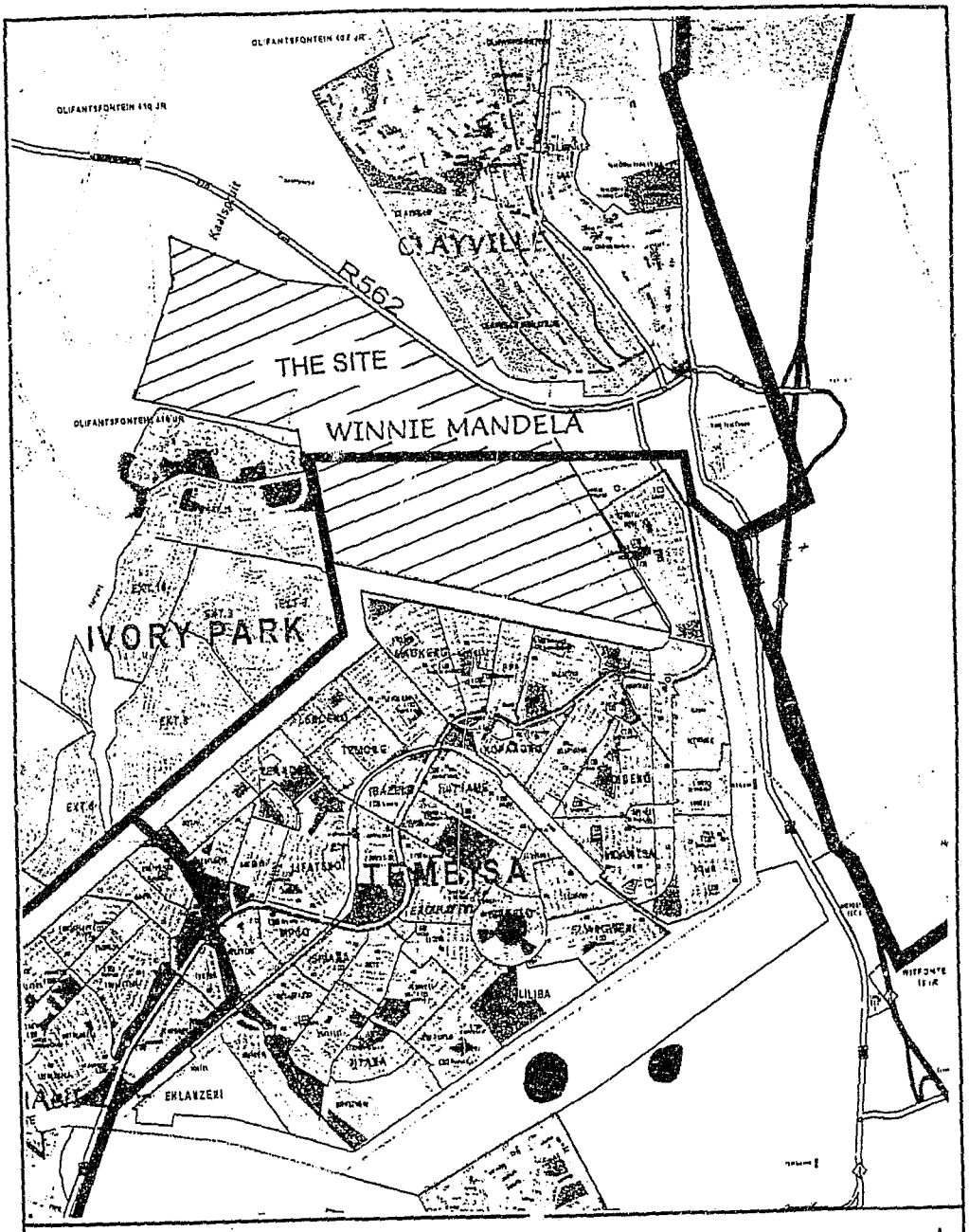
development of a layout plan for the area which would ensure the least amount of disturbance to the existing community while ensuring the provision of basic services. The constraints to development in the area are the geology of the site.

The SRK Consulting was appointed by KMC to provide a dolomite risk assessment of the development area. The Council for Geoscience ,whose approval is required for the financing of housing development by the National Home Builders Registration Council (NHBRC), was convinced by the KMC that the settlement be regarded as permanent, and that solutions had to be found which would accommodate most of the residents in the area.

The council invited three land surveying practices to submit proposals for the cadastral survey of the area. The three land surveying practices, which are William Greef and du Preez, WD Roth and Associates and RR Renier ,decided on a joint venture in order to expedite the survey. The installation of services is underway and services trench excavations, as well as the installation of the services, are being carefully monitored by a SRK geotechnician to confirm the zoning, to report zones of water accumulation in trenches and to ensure compliance with the stringiest drainage requirements for development in dolomite area.

5.4 Location of the Land

The Winnie Mandela settlement forms part of the new informal residential areas extending northwards of Tembisa **(See Map 1 Overleaf)**.It is almost surrounded by the existing



WINNIE MANDELA INFORMAL SETTLEMENT
ENVIRONMENTAL ASSESSMENT

PLAN 3
SURROUNDNING LAND USES

residential developments. Ivory Park Extension 12 and a squatter settlement known as 'Ivory Park Extension' situated on the portion of the Remaining Extent of Portion 58 adjoins the western boundary of portion 60, and the southern boundary of the western portion of portion 73. Maokeng and Tlamatlama (Tembisa) Adjoins the southern boundary of the site and Tembisa Extension/Tembisa Hospital its eastern boundary. The Clayville industrial area (Clayville Proper and Extension 11 and 19) are situated northeast of the site. Tembisa Extension 6, Portion 60 and Portion 65 forms part of the Kempton Park/Tembisa area of jurisdiction, and potion 73 falls under Midrand. All these Portions are shown on **Plan 2** of the Site location (**see Plan 2**).

5.5 Project Funding

The Winnie Mandela Informal Settlement has an expenditure of about R8 million planned over 24 month period for the first phase of the Winnie Mandela Housing Project. For Budget Estimate **(See Anneture B)**. The Khayalami Metropolitan Council as developer recognized the need for assistance in the management of some key financial aspects of the project.

The expenditure of the first phase, which deals with the provision of services and toilet structures to approximately 7000 beneficiaries, is expected to be completed by the end of 1999. The Project which has experience on large scale housing delivery won the tender and financial management of the project and assumed their duties in March 1998. The subsidies for the project were obtained from the provincial Housing Board.

The progress payment amount per site of the project is indicated in the **Annexure A**. All this information was provided by the provincial government of Gauteng who are responsible for funding the project.

5.6 Level of Services

There is a tarred road which is being erected within the settlement. The road is planned to run through the settlement through to the Olifantsfontein road,R562. Water supply in the settlement is through the tap water which have been put into the household's yards. There are about taps for every household in area.

Sanitary services have been provided through the toilets which have been erected in this settlement. There is presently about 7118 toilets in the area with about 152 still on the way of completion. There is only one satellite clinic in the area and this clinic services the whole area comprising of about 11 5000 shacks. There is a primary school which starts from grade 1 up to grade 8. This Schools also serves as a community centre for the community when there suppose to be meetings.

5.7 Hypothesis

I think that the upgrading process is facing a great challenge of making it possible that the community involved fully participate in the process. This is because people in most of the settlements tend to have different agendas beside those of development. The people may tend to side

with a particular individual or councillor by virtue of that person being a member of a particular organisation.

The people who are illiterate are likely to be ignored during the consultation process since they may be viewed as being powerless. The same can be said about those who are not working who are not unemployed because these are the people who are likely to be intimidated during the participation process. I think that the voices of the women are not given enough hearing by virtue of them being viewed as inferior to the men.

New arrivals cannot be listen to that great extent because it is believed that they know very little about the problems in the Informal Settlement and the same can be said about those people living in the back-shacks. These people are not seen as the real members of the community. These above-mentioned people are the ones likely to be short-listed during the upgrading process.

The upgrading is likely to benefit the members of the community through the training that is provided to them from the project.

5.8 Objectives

- To look at the importance of community participation in the upgrading of informal settlements.
- To check at the level to which the community was involved in the upgrading process.

5.9 Sample Framework

The first sets of questionnaires which will be about ten are going to be distributed to the people who were involved in the upgrading process. Where possible they will also be interviewed. The other questionnaires which are twenty will be used to interview the community members of the Winnie Mandela Informal Settlement.

5.10 Framework Technique

The interviews in the community is going to be in a manner in which I think will try to cover most views from the residents of Winnie Mandela Settlement. There is going to be an interview of the people living in shacks which are in poor conditions, like shacks made of corrugated iron mixed with boxes. The other interview will be done to those who seem to be earning well. This will be done by targeting those shacks which are painted, having some lawn outside if any or in general good conditions.

This will be done in order to compare the amount of participation of both residents since in the hypothesis I mentioned that those people living in poor looking shacks are likely to be ignored during the upgrading process.

5.11 Community Participation

The community and its leaders were directly involved in the training process, from the planning stage to a point where

the students who were trained were given employment in the construction project itself. The community 's role was that of support and control, ensuring that their members got first class training. The other involvement was the supply of security ensuring a peaceful learning environment and the Reagile Primary School made their premises as a training centre for the students.

Further empowerment was done through the skills training. Since December 1997 Promaned Training (PTY) trained 345 unemployed members of the community equipping them with specific skills that would be needed on one of the largest housing projects of its kink in South Africa. About 72 of the skilled students were trained in project management techniques, preparing a way for the members to become emerging contractors. These potential managers can in future maintain the developed infrastructure and grow into employers themselves creating job opportunity with their community.

There are various community structures in the community which are playing a very important role in community participation. These are the structures which makes it simple for the community to be involved in the upgrading process because not every member of the community can be consulted during the process except in the mass zonal meetings and mass meetings. This in return helps in the smooth running of the project.

5.11.1 Community Structures

The structures are as follows:

5.11.1.1 Steering Committee

The steering committee is the highest decision making body. It is responsible for developmental decision pertaining to Winnie Mandela Park. The Committee comprises of the Winnie Mandela Park Executive Committee Members, Zonal Committee Members , Metropolitan and Local Council Officials, Councilors and consultants.

5.11.1.2 Winne Mandela Park Executive

The executive comprises of eleven elected members. The main function of the executive is to oversee the development process and to ensure that the community remain informed at all facets of the development process. They are also responsible for ensuring that the community inputs where required are included in the development process.

5.11.1.3 Zonal Committee

Winnie Mandela Park comprises of 12 zones. Each zone has an elected committee that serves on the Steering Committee as well as the executive committee.

5.11.1.4 Technical Committee

This committee provides advice and technical information to the steering committee. It is also responsible for the technical and implementation process of the development.

5.11.1.5 Project Co-ordination and Community Liaison

A project Co-Ordination forms the interface between the

community structures and the technical /implementation process, i.e. the installation of services, registratio process and the allocation. The interface is done through the 12 Community Liaison Officers (CLO'S),i.e. one CLO per zone.

The CLO's have a direct relationship with the zones in which they serve as well as the constructors installing the services in that zone. They are employed on a full time basis by the community, thus ensuring their accountability to the community. This structure has proven invaluable and has ensured that the development of Winnie Mandela Park has remained on schedule and trouble free.

5.12 Findings:

The findings from the interviews which were conducted at Winnie Mandela Informal Settlement will be divided into positive and negative findings.

5.12.1 Negative Findings

From the questionnaires given to the people it was found out that 40% did not attend the meetings because they say the meetings are doing nothing to correct the situation. 60% of the people said they attend the meetings even though there was no appreciation of their inputs. They argued that decisions are just imposed upon them and that they have little powers to reverse those decisions. It was found out that in Winnie Mandela Informal Settlement most of the people are not consulted during the decision making process.

About 75% of the people in this settlement were more worried about the relocation which is taking place in the area, like when one is removed from their shack and told that the toilet installed in the yard actually belongs to someone else. They claim that whatever they try to say during the meetings is not listened to. The people also complained that the area is difficult to walk in during raining periods.

The people complain about having to pay for the services which are not convenient. Some of the people are expected to pay for the services they do not have. One man even confessed that he was no longer going to pay any money because he did not have either a toilet or a tap of water. Some people were even fearful of the fact that there is a possibility of war breaking out because other people are saying they will never be relocated from their stands. The community is claiming that the leaders are corrupt and that they should be removed from office.

5.12.2 Positive Findings

There are some positive findings, which came out from the interviews. One of the findings is that the people appreciate the fact that they were able to receive training from the project itself. The fact that there was no payment during training is something that some people appreciated. 10% of the people interviewed said that those who complain are the people who were not attending the meetings and also that people were asked if they are having problems with the use of Northern Sotho during the meetings. This were people who were more literate.

The leaders in the are were saying that people are ignorant and that before any development is done people are consulted. However the leaders argued that not everything is suppose to be told to the people as some things were obvious like relocation.

5.13 Synthesis

Winnie Mandela Informal Settlement is one of the settlements where there is a considerable amount of community participation. There has been much written about the amount of involvement of the community in the project. However the situation seem to be confused when one tries to get a feeling from the people concerning the upgrading process. There is more than what is said in the papers about the Upgrading in the Winnie Mandela Informal Settlement. More people in this area are very much concerned about the tranfer of tenure which they claim has not yet been done to them. People complain about having to pay for services without having the insurance that the shacks belongs to them.

They are living under the constant fear of being removed from the settlement because they say that some people are presently being moved from their sites with services (e.g. toilets) and relocated at the other site of the settlement. This is the problem which the authorities claim that has resulted from the numbering system where a person may find themselves living in the shack where the registration is not theirs. This is greatly confusing the people of Winnie Mandela Park Informal Settlement.

The people are complaining about having to pay for the services and paying the rent without getting the best out of those services. Some of the services like phone points are said to be out of operation for a while and also the locking of their toilets by the authorities. While the authority claim that the community are enjoying the services provided to them this seem to be opposite because the people are saying that they are in fact not much satisfied with the services provided. They however argued that they would not complain if they were paying for the best of the services rather than paying for ineffective servicing.

As argued in the hypothesis, the people are concerned about the use of the Northern Sotho language as a medium of communication because this makes it hard for the people speaking other languages to feel both intimidated and inferior. However some of the people argues that the issue has been addressed during the meetings. The young people who were trained in the skills programs seem to appreciate the level of training they received from the project itself. The only problem is a situation were some of those who were trained are not working at the present moment because they feel confused about what the future holds for them.

From most of the people interviewed there is a feeling that the authorities do not appreciate their involvement in the projects because they say that even though they may complain ,their complains seem to fall on deaf ears. The executives, they claim are ruling with an iron fist. However the people think that if the authorities can appreciate and take their complains seriously and also involve them in decision-making, the situation can be reversed. This they claim that

will ensure that they benefit more from the project.

5.14 Conclusion

Winnie Mandela Informal Settlement has a great potential of becoming a model from which other project can be related to and be used as an example for future upgrading. The willingness of the Council to providing services to the settlements is one of the factors which indicate that there is a bright future in store for the settlement. The most important thing which needs urgent attention in the settlement is the security of tenure which the people claim that is it is their most basic need.

5.15 Recommendations

From the above mentioned findings and synthesis, it shows that something needs to be done in the Winnie Mandela Informal Settlement. The leaders in the community seem to be using the planning approach which was formulated by White(1996) because it shows that there is very much minimal participation. The planners and the leaders should use the Arnstein's leader of participation where there is much more participation.

There is suppose to be citizen power in the project where the community is fully involved in the development process and the final control reserved to the officials of the project. Arnstein (1969) emphasise the fact that the community should have more influence in the project and this is what should be done at Winnie. Citizen power should be applied more than the tokenism which is presently applied in the area by the leaders and officials of the project.

The leaders should arrange frequent meetings with the community so that any arising problem can be heard. People need to be well informed in time about the development in their area and their concerns be taken in cognisance in connection with the relocation which is taking place in the area.

The officials and the leaders need to appreciate the involvement of the community and their input should be encouraged. This can be done through the implementation of some of the ideas which the community come up with during the meetings. This will ensure the smooth running of the project. Like in Arnstein's Citizen power, the final control should be reserved to the officials.

Good services should be provided to the community, this is because the community is complaining about poor service offered to them. For example, they say that they run out of water most of the times but are expected to pay for water. The leaders should have meetings with the community in order to clarify them as to why that is taking place because it leads to the frustration of the households.

The planner should act as a mediator, facilitator, educator to the community. He/she should appreciate the involvement of the community in the project. There is suppose to be a face to face interaction between the planner and the community and this will help the planner to understand the situation in more detail. This mutual learning can also help the planner in targeting the problem of relocation and tenure which are the two basic issues which the people are complaining about in Winnie Mandela Informal Settlement.

During the meetings people who do not understand the Northern Sotho at Winnie should be allowed to talk with less intimidation. There should be a meeting to address this issue in order to hear the views of different parties.

The roads in this area need to be graded because people are complaining that during raining times, it is hard to walk in the area. Even though the grading may demand lot of money, this is one of the major complains from the community.

SECTION 6

6.1 Conclusion

The discourse has tried to look at the various aspects of the upgrading process through community participation. The first section was mostly concerned with the introduction of the topic and aims and objectives of the project. The second section was on the problems encountered in the informal settlements and this helped in showing the areas, which need more attention in the future upgrading.

The third section was on community participation and this section was showing the importance of participation and how it can be carried out and there was discussion of the relevance of those issues to the upgrading of informal settlements. The fourth section tried to give a view of the upgrading process as it takes place internationally and this helped in giving guidelines of how the process can be successful.

The case study in section five provided the study with the practicality of what is said by most authors about upgrading. The argument of this discourse seem to have been proved right that there was minimal participation, even though community participation was through representatives who are not accountable for the community. This is proved by the problems arising at the Winnie Mandela Informal

Settlement. The discourse has been able to achieve the objectives which were set out in the first section of this discourse. This is because there are many ways of how the community can participate in the project in section 3 and 4. The guidelines to the planner, which is one of the objectives, have provided in section 4. The empowerment in the projects is best indicated by the example from the case study where more people were trained for skills through the project.

The discourse has examined a number of issues pertaining to the ideas of community participation in upgrading of informal settlements. However, the central idea has been that community participation in development processes, not only has potential to provide effective and sustainable results in the upgrading of informal settlements, but also the potential to uplift, empower and provide capacity building for the poor and disadvantaged in communities.

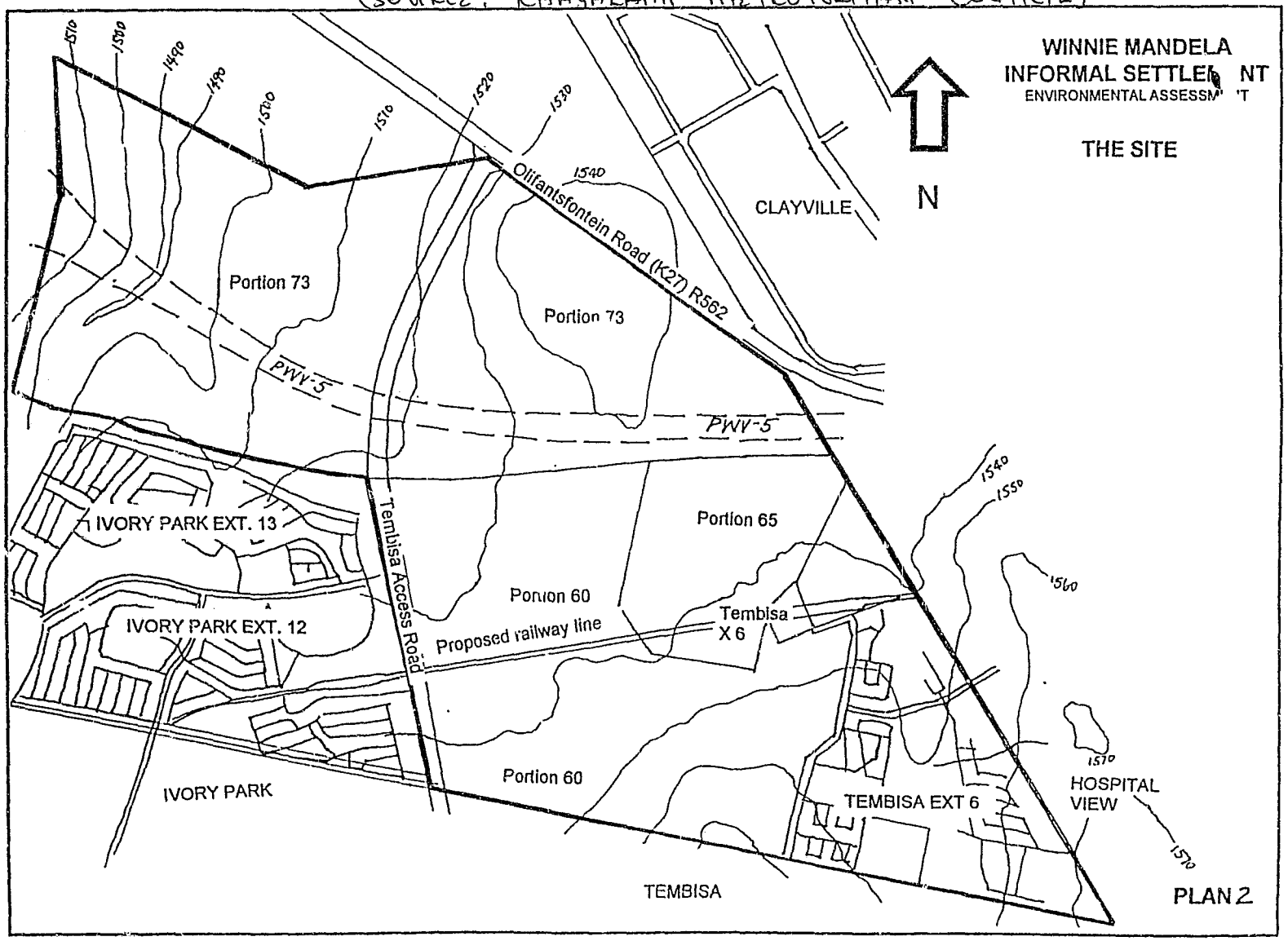
It ensures that people have a sense of belonging and this make the community to be fully involved in the development of their area. It fosters a sense of commitment and responsibility from the community, resulting in effective developmental projects, empowerment of communities and self-reliance.

The participatory process which illustrated by most of the American authors still need to be applied with more caution when one is planning for the third world countries. These approaches ,like that by Arnstein's(1969) non-participation and tokenism and White (1996), cannot help too much in trying to deal with the problem in the Informal Settlements.

The people used to be manipulated in the past through these planning approaches. In this era of democracy it is no longer necessary to inform the people in the informal settlements about development without involving them. The people ,like those at Winnie Mandela Informal Settlement need to be involved in the project from its inception up to the end of the project. This involvement was also shown in the example in section 4 of this discourse that more participation leads to empowerment and interest in the project.

The problems in the informal settlements, as described on section 2, can be easily resolved through the direct involvement and information sharing between the community and the officials. The officials will gain more experience through this interaction and this is going to help them when they will be involved in future upgrading.

(SOURCE: KHAYALAMI METROPOLITAN COUNCIL)



ANNEXURE A

PROGRESS PAYMENT AMOUNTS (PER SITE)

PROGRESS PAYMENT	DESCRIPTION	AMOUNT (R)	GEOTECH-NICAL ALLOW-ANCE (R)	TOTAL (R)	LESS INFORMAL UPGRA-DING (R)	TOTAL PAYMENT (R)
1	**Approval of Engineering Design**					
	1a Water & Sanitation	624,25	0,00	624,25	109,25	515,00
	1b Streets & Stormwater	55,00	0,00	55,00	0,00	55,00
2	Approval of General Plan	375,62	0,00	375,62	375,62	0,00
3	**Handover of Engineering Services**					
	3a Water & Sanitation	4 442,60	1 500,00	5 942,00	107,60	5 835,00
	3b Streets & Stormwater	535,00	0,00	535,00	0,00	535,00
4	Transfer of Site	969,22	0,00	969,22	969,22	0,00
5	Top Structure					
	R15 000,00 subsidy category	7 998,31	750,00	8 748,31	0,00	8 748,31
	R 9 500,00 subsidy category	2 498,31	0,00	2 498,31	0,00	2 498,31

(SOURCE: KHAYALAMI METROPOLITAN COUNCIL) SG1.69

ANNEXURE B

BUDGET ESTIMATES

PROJECT NAME : *Winnie Mandela Park – 11 500 Units*

LAND COST

DESCRIPTION	COSTS APPROVED (excl VAT)	COST PER STAND
A. FUNDED UNDER UPGRADING OF INFORMAL SETTLEMENTS		
1. Land Purchase & Preliminary Tasks (11 500 Units)		
Land Cost	R 7 811 025,00	R 679,22
Environmental Study	R 20 000,00	R 1,74
Geological Investigation	R 250 000,00	R 21,74
Aerial Photos & DTM	R 145 350,00	R 12,64
Metro Railway & PWV 5 Study	R 131 000,00	R 11,39
Constraints Preplanning Investigation	R 120 000,00	R 10,43
Walk-up Apartment Study	R 50 000,00	R 4,35
Development Framework :		
- Town Planning	R 250 000,00	R 21,74
- Township Establishment	R 500 000,00	R 43,48
- Relocation Allowance	R 375 715,00	R 32,67
- Training	R 250 000,00	R 21,74
- Preliminary Engineering Design	R 200 000,00	R 17,39
TOTAL 1	**R10 103 090,00**	**R 878,53**
2. Professional Fees & Operational Costs (7 100 Units)		
Town Planning Layouts	R 617 400,00	R 86,96
Basic Planning Design	R 142 000,00	R 20,00
Land Surveying	R 1 500 000,00	R 211,27
Co-ordinating Functions :		
- Community Liaison	R 532 000,00	R 74,93
Tenure Upgrading :		
- Subsidy Administration	R 958 500,00	R 135,00
- Conveyancing	R 1 100 500,00	R 155,00
TOTAL 2	**R 4 850 400,00**	**R 683,16**

(SOURCE : ICHAYALAMI METROPOLITAN COUNCIL)

QUESTIONNAIRE

Community Participation in Informal Settlement Upgrading

1. Personal Information (To be completed by the community)

- Gender : Male / Female
- Marital Status : Married / Single / Divorced
- Age : 15-25 / 25-35 / 35-45 / 45 +
- Family : Mother / Father / or Specify
- Education : Primary / High School / Tertiary
- Level of Income : R 500- R 1000 / R 1000-R1500 / R 1500-R2000 / R2000+

2. Where were you born ? .....
3. When did you arrive at this Settlenment ? .....
4. Tenure Status : Occupant / Tenant

Community Participation

1. Are there meeting in this settlement regarding the upgrading project?.....
2. When was the last meeting held? .....
3. How often do you hold meetings?.....
4. Do you have any community structures ? Yes / No

   If yes who are they.?

   .....

   If not how do you organize yourselves for the meentings and projects?.....

5. Did you or any member of this shack attend the meeting? .....

   If not then why was did you not

   attend?.....

6. What were the main topics in that meeting? .....

7. Which Language do you normally use during meetings? .....

8. Are you in some way involved in the upgrading process itself?.....

   If not who is involved in those project? .....

9. What role do you play in the whole upgrading process?.....

10. Who initiated this project?.....

11. What types of services do you presently have? ....

12. What do you think needs argent attention as far as your problems are

    concerned.?.....

13. Do you think that the Authorities appreciate you involvement in the

    project?.....

A VIEW OF COMMUNITY PARTICIPATION AND UPGRADING IN THE INFORMAL SETTLEMENTS

Tot be completed by officers involved in the project. Please provide answers for the following questions. You may use a separate sheet were desirable.

- What is your position in the workplace? .....
- What role do you play in relation to the upgrading project?.....
- Do you have any meetings with the community ?.....
- At which stage did the community involvement starts?.....
- How do you hold such meetings ?.....
- Who represent the community during the meetings?.....
- When did you start the upgrading process?.....
- Where do / did you obtain funding for the project?.....
- How long have you been involved in the upgrading project?.....
- Did you encounter problems in relation to community involvement?.....
  If yes what type of problems did you encounter?.....
  .....

5. Did you or any member of this shack attend the meeting? .....

   If not then why was did you not

   attend?.....

6. What were the main topics in that meeting? .....

7. Which Language do you normally use during meetings? .....

8. Are you in some way involved in the upgrading process itself?.....

   If not who is involved in those project? .....

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12. What do you think needs argent attention as far as your problems are

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13. Do you think that the Authorities appreciate you involvement in the

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