# TRAINING MANUALS

**Section 12**
## Instiutional Arrangments

# MODULE 12: INSTITUTIONAL ARRANGEMENTS

## Module purpose

The purpose of this module is to enable you to understand the core institutional requirements for effective informal settlement upgrading programme and project implementation, so that you can contribute to effective organisation structuring for informal settlement upgrading.

## Learning outcomes

After completing this module you should be able to:

- Distinguish between the core functions of organisation structures at the programme level and the project level of informal settlement upgrading initiatives;
- Identify the actors that need to be mobilised to perform informal settlement upgrading related functions at the programme and project level and their roles;
- Provide suggestions on appropriate organisation structures at the programme level and the project level for implementing different informal settlement upgrading plans;
- Review and make recommendations regarding the terms of reference for institutional arrangements.

## Module duration

4 hours

## Resources that will be used in the module

- Participant manual
- Case Study: Violence Protection through Urban Upgrading: Emthonjeni
- Handouts of examples

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# 1. Institutional arrangements: Programmes and projects

***ACTIVITY 12.1: KNOW WHAT YOU KNOW***

***Type of activity:*** *Pair work*

***Timing:*** *5 minutes*

***Purpose:*** *To share experience of the challenges of working in institutional structures.*

***Instruction:*** *Discuss the following question with your partner.*

*From you own experience of working in structures and committees within the informal settlement context, what can go wrong with the structure or committee and cause them to be less effective?*

## 1.1. Why are institutional arrangements important?

An informal settlement upgrading initiative at a municipal level needs to involve and organise a number of different actors, each doing different things at different times. Effective organisation and management of these actors is needed to ensure that the initiative achieves its purpose on time, within budget, and delivers the service to the standard agreed. Institutional arrangements are particularly important because provincial governments and municipalities are structured in departments such as human settlements, health, education, social services, etc. Each of these departments has their own processes and systems. Very often these departments do not communicate with each other – this is often called working in 'silos'. Institutional arrangements are important to encourage and enable these departments to work co-operatively with each other to upgrade an informal settlement.

In larger municipalities, with a number of informal settlements to upgrade, and where new informal settlements can be expected to emerge over time, it is more efficient and effective to tackle the management of an informal settlement upgrading initiative at two levels simultaneously, namely at the municipality-wide programme level (informal settlement upgrading strategy and programme) and at the individual project level (municipal informal settlement upgrading plan).

> Upgrading strategy and programmes was covered in Module 5 and settlement upgrading plans in Module 10.

In smaller municipalities, where only a small number of settlements require upgrading and these settlements can be tackled at the same time, and new informal settlements are not expected to emerge, it may not be necessary to adopt a two tiered approach.

| Programme level | √ |
| Settlement level | √ |

In this module we will look at organising informal settlement upgrading at both the Informal **settlement upgrading strategy and programme level** and the **municipal informal settlement upgrading plan level.**

## 1.2. The difference between a programme and a project

*ACTIVITY 12.2: REVISING PROGRAMMES AND WORK STREAMS*

*Type of activity: Pair work*

*Timing: 15 minutes*

*Purpose: To re-cap on what was learnt in Module 5 about work streams.*

*Instructions: With your partner, find the answers to the following questions:*

*1.    What are the nine work streams that typically make up an informal settlement upgrading programme or full upgrading project? You can refer to Module 5.*

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_____

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*2.    What is the difference between the activities performed at the informal settlement upgrading **programme level** and at informal settlement upgrading **response level (project)**? You can refer to Module 5.*

_____

_____

_____

_____

*3.    Give an example of a programme and a project that you are aware of in your municipality.*

_____

_____

_____

## Key points

A **project** can be defined as being *"a series of activities, aimed at bringing about clearly specified objectives within a defined time-period and a defined budget."* In the context of municipal informal settlement upgrading, a **project** will:

This was covered in Modules 5 and 10.

- Address one or more of the streams that constitute informal settlement upgrading, and the related actions (which could be sub-projects), such as water provision, sanitation provision, tenure rights provision, and housing support;
- Have a specified location – either one spatially defined settlement area (or a spatially defined set of settlements); and
- Have a defined period of time (have a specified end date).

**A programme** can mean either a **set of projects** put together under the overall framework of a common overall objective or goal and/ or an **ongoing** set of initiatives that support common objectives (for example a primary health care programme). At the municipal level an informal settlement upgrading **programme** would have both of these elements namely:

- A number of individual settlement upgrading projects that have a common feature or are located in a specific geographic area. These are grouped together and implementation is undertaken across all of the settlements simultaneously and in the same way. Funding and management is undertaken for all of the settlements and is co-ordinated to achieve the programme strategy; and
- Activities that can be implemented in the municipality and will apply to all informal settlement upgrading projects (for example accessing bulk infrastructure, making interim social services available, or developing an approach to dealing with shack fires). These activities will support the upgrading of all of the informal settlements within the municipality.

## 1.3.   The role of the programme-level organisational structure

At the informal settlement upgrading strategy and programme level an organisational structure will be needed to:

- Compile the informal settlements upgrading strategy you learnt about in Module 5, including:
  - o Assessing and categorising the informal settlements within a municipality and assigning them to different upgrading pathways;
  - o Prioritising and sequencing component informal settlement projects within the municipality;
  - o Securing the necessary approvals for the upgrading strategy formulated;
  - o Mobilising and allocating the funding necessary to achieve the informal settlement upgrading strategy and programme.
- Mobilise and involve the organisations/departments who need to execute functions associated with the implementation of the strategy at the programme level;

- Enable the implementation of the individual informal settlement upgrading plans;
- Co-ordinate the implementation of the informal settlement upgrading plans and projects and help them to share learning and resources;
- Make the implementation of the various informal settlement upgrading plans easier and more efficient through activities such as:
  - Getting the support and participation of organisations and departments who need to do things in the various informal settlement upgrading plans, such as attend to the education needs in the settlements, and address the need for waste removal;
  - Changing policies, by-laws, etc that get in the way of efficiently implementing the informal settlement upgrading plans;
    - Formulating, researching and developing new ways of doing things in informal settlement upgrading, where they are needed in a number of the settlements. Examples of this are developing a way of collecting refuse in dense informal settlements where the access ways are too small for the standard municipal refuse trucks, or developing systems of fire prevention suited to dense settlements which are inaccessible to the municipal fire engines.

Building an effective organisation structure at the informal settlement upgrading strategy and programme level requires that the following questions be answered:

- Who should be involved and what should be their function be?
- In what kind of structure?
- How should this structure be managed?

## 1.4. Identifying the actors at programme level

### Refer to handout Example 1: The eThekwini Interim Services Programme: Organisation Structure

*NOTE: Your facilitator will give you a handout as an example of a programme level organisation structure. This example is provided to illustrate the topic. It is not presented as a model.*

1. Which of the nine activity streams in informal settlement upgrading does the programme incorporate?

2. What actors need to be mobilised and co-ordinated to undertake these activities and implement the programme, at the municipality-wide level? What are their roles?

3. Which actors are responsible for formulating the programme, securing approval thereof, funding and co-ordinating the implementation?

## Case study: Violence Prevention through Urban Upgrading Emthonjeni Programme



There are 24 000 residents of Monwabisi Park, located in Khayalitsha on the Cape flats. Water is accessed through standpipes, and sanitation is through communal toilets. With its twisting paths and walkways between the shacks, and lack of street lights, Monwabisi Park has high levels of violent crime. Only 15% of children under six years old are looked after in early childhood development (ECD) centres so children are vulnerable to crime during the day when parents or caregivers are at work or otherwise occupied.

One of the key aims of the Emthonjeni programme is to identify water collection points that can be developed into safe nodes. The idea is that water points can become places where children who are not in school can play safely whilst caregivers do laundry. At the same time, trained parents and caregivers will provide toys to engage the children in early childhood development activities. These toys will be stored locally in the homes of the trained parents or caregivers.

These small public spaces are known by the community as Emthonjeni.

This concept was developed through a series of workshops and meetings with the local stakeholders. It involves a number of City of Cape Town line departments in the design, implementation and maintenance of the space, in agreement with a community contract that provides local ownership. Development support is provided by Sustainable Urban Neighbourhood (SUN) Development, an NGO that has been providing development support in Monwabisi Park since 2010. The development support is based on the violence protection through urban upgrading (VPUU) approach, which addresses crime prevention through an integrated programme.

The intention is to employ a small construction team to work with SUN Development, the VPUU and the community in building and implementing a network of public spaces like this.

## 1.5. Getting organised at the programme level

It should be clear from the previous exercise that the formulation and implementation of an informal settlement upgrading strategy and programme requires the involvement of an array of actors from different departments. Hence some form of organisation structure will be necessary to co-ordinate and integrate the activities of these different actors.

In this section we will look at ways in which this can be done. The most common form of organisation for the achievement of this purpose is through the formulation of a **programme steering committee** which steers the process and usually addresses policy issues required by the operational actors. Programme steering committees typically provide the framework within which informal settlement upgrading work proceeds and is monitored. The functioning of a programme steering committee can be supported by-sub structures, these can include:

- **Technical committee:** This comprises only technicians and specialists and acts as a sub-committee of the steering committee. The technical committee may be asked to investigate a technical issue and report back with findings
- **Sub-committee/task team:** This comprises small structures with specific and often short-term responsibilities. These committees can be useful for focusing on specific tasks and can be dissolved upon completion.
- **Co-ordination committee:** Such a structure is established to keep a variety of actors in touch with each other and well-informed. It is a networking structure, not a decision-making body. A co-ordinating committee is essential in a complex project that involves participation by many actors.

## Refer to handout: Example 2: The N2 Cape Gateway Programme Level Organisation Structure

*NOTE: This example is provided to illustrate the topic. It is not presented as a model.*

The N2 Gateway currently comprises five housing/upgrading projects. The five projects report into a programme level structure comprising a programme steering committee which is supported by a technical task team, communications committee and an allocation committee. The functions of these committees are outlined in handout 2.



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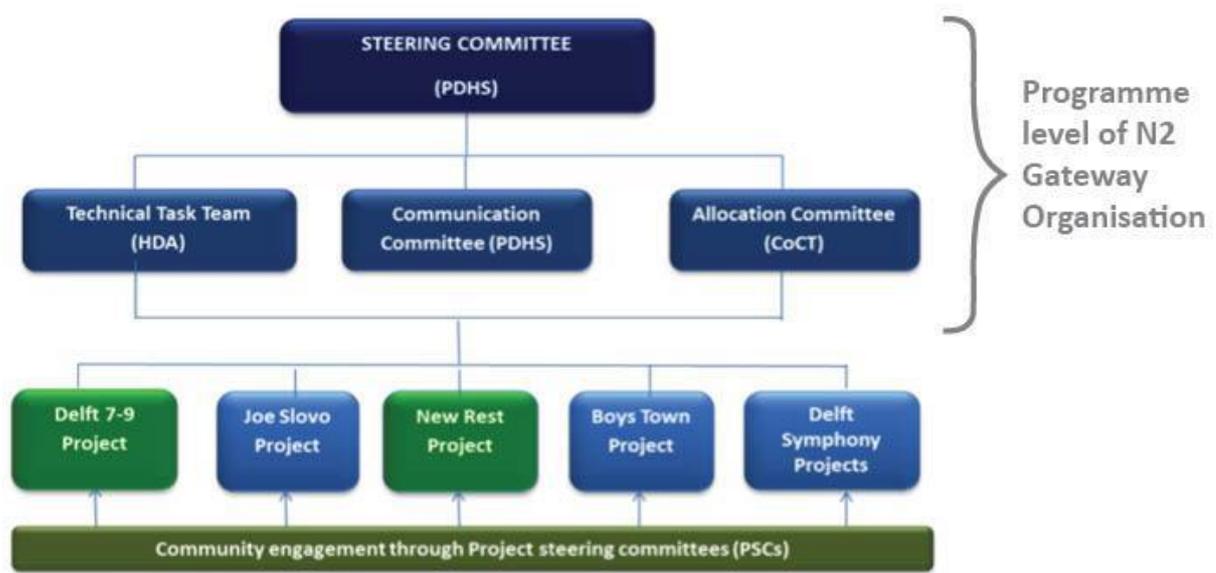
### ACTIVITY 12.4: PROGRAMME STEERING COMMITTEES

**Type of activity:** *Group work*

**Timing:** *20 minutes*

**Purpose:** *To apply your knowledge of structuring the institutional arrangements for a municipal informal settlement upgrading programme.*

**Instruction:** *On a piece of flipchart paper, draw an organisation structure (organogram) for the VPUU Emthonjeni Programme, at the municipal programme level. Show what sub-committees are required at programme level and how the programme level structures will interact with the project level structures.*

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*Answer the following questions:*

1. *Who will chair the programme steering committee?*

2. *Where will the programme be housed ie in which department/unit?*

3. *Who will act as the secretariat (calling meetings, taking minutes, etc)?*

4. *How often will meetings be held?*

*5.	To whom will the programme steering committee report?*

*6.	Who will approve decisions/budgets/monitor progress?*

*You will compare and contrast the structures you recommend after the group work.*

## 1.6. Terms of reference

It is advisable that an informal settlement upgrading strategy and programme steering committee has a terms of reference. These terms of reference should be recorded in writing and have the requisite approval of senior management in the municipality.

These terms of reference should contain:

- Some explanation of the background or context to the establishment of the structure. This is often called a "preamble".
- A statement of the "purpose" of the structure.
- A description of the "composition" of the structure – details of how the membership of the structure will be selected. This could include provisions for other people to attend meetings.
- Details of how the "proceedings" must be managed – how often it will meet, who will be the chairperson, how will decisions be made and implemented and who will fulfil the secretarial functions.
- Details of when and how the committee will be terminated.

### Refer to handout Example 3: Terms of Reference for Drakenstein Committee

## 2. Organising to implement a settlement upgrading plan

Institutionally the implementation of settlement upgrading plans can be based on a single informal settlement (particularly if the settlement is big) or a group of separate settlements tackled simultaneously by the same project team.

| | |
|---|---|
| **Programme level** | |
| **Settlement level** | √ |

Building an effective organisation structure at the informal settlement upgrading plan level requires that the same questions be asked as at the programme level:

- Who should be involved and what should their function be?
- In what kind of structure?
- How should this structure be institutionalised and managed?

### 2.1. Project-level actors and their functions

Typically the implementation of an informal settlement upgrading plan will require the mobilisation and integration of inputs and consent from actors within five constituencies:

1. **Officials** from the organisations or departments who:
   a. Provide the resources (personnel, equipment, or budgets); or
   b. Provide statutory approvals required in the implementation of the settlement upgrading plan;
2. **Representatives** in the political representational system whose support is needed to implement the response plan, typically the ward councillor, ward committee representatives and the ward community development worker;
3. **Community counterparts** including the beneficiary community/householders, local community structures for example a residents' committee, women's groups, savings groups, faith-based groups;

> This is discussed in Module 4.

4. **Specialists and technicians** who have the technical expertise required to implement the settlement upgrading plan, for example engineers and town planners. These can include non-governmental organisations (NGOs) with resources that can contribute to the settlement upgrading plan implementation;
5. **Interested and affected parties.** This would include individuals or groups who would like to be involved in decision-making because they must live with the process and the products, such as neighbouring communities that will not benefit directly, but could be affected by the process.

## 2.2. Roles and responsibilities in a UISP project

As you learnt in previous modules, the UISP is the funding instrument in the National Housing Code that has been specifically designed for in situ upgrading projects. The UISP provides funding for the various processes and construction needed to develop serviced sites and, limited housing consolidation support, but it does not provide housing subsidies for top-structures.

EXAMPLE OF THE STRUCTURE OF AN UISP PROJECT
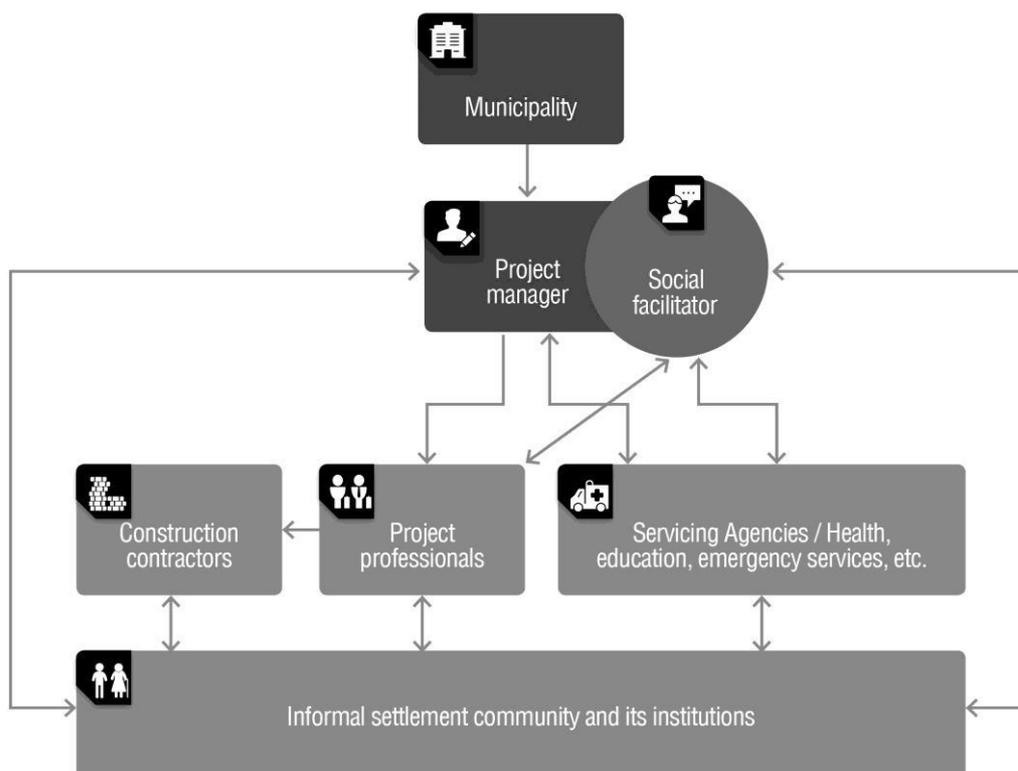
## Municipality

In the UISP the municipality, as the developer, is responsible for:

- Submitting the UISP application or allocating UISP programme funds;
- Providing the bulk services;
- Ensuring implementation of the UISP project including financial control;
- Procuring and managing the project team;
- Monitoring and reporting on progress;
- Taking over the installed services and maintaining and running them.

If the municipality does not have the capacity to execute these functions itself, it can either request assistance from the province, or it can procure the services of a suitably capacitated implementation agent to perform these functions.

## Project manager

The UISP makes provision for a project manager who is responsible for:

- Scheduling/co-ordinating and integrating the various work streams at project level;
- Management of the project professional team, including the social facilitation team, the project town planners, engineers and the land surveyor;
- Reporting/communicating with programme level of the municipal ISU (if there is one);
- Compiling the various business plans;
- Assisting and co-ordinating agencies implementing ISU activities in the project;
- Ensuring that community participation in the project occurs successfully.

## Social facilitator

In UISP upgrading projects the social facilitator (or team) is responsible for:

- Socio-economic surveying of households in the settlement;
- Facilitating community participation;
- Project information sharing and progress reporting within the community;
- Conflict resolution, where applicable;
- Housing support services comprising:
    o Training and education on housing rights and obligations;
    o Capacity building of housing beneficiaries;
    o Assistance with the selection of housing options;
    o Management of building materials;
- Relocation assistance.

## Project professionals

**Town planner:**

- Works with the community to compile a land use plan for the settlement;
- Works with the community to compile the layout plan which shows the boundaries of the various plots.

**Engineer:**

- Designs the infrastructure services to be installed in the settlement (water, access, storm water, sanitation);
- Manages the procurement of the contractors that build the engineering services;
- Supervises the construction of the infrastructure.

**Land surveyor:**

- Pegs the layout out on the ground;
- Records the positioning of the pegs on a plan.

## Servicing agencies

A number of servicing agencies need to become involved in project-level ISU. These include:

- Emergency Services – particularly fire and policing;
- Health;
- Social Services;
- Education.

## Community structures

All of the actors listed here need to work together with the residents of the settlement in planning and executing their work. Module 4 on participatory approaches also looked at : some structures and techniques for doing this.

The National Housing Code states that ward committees must play a central part in the facilitating participation, planning and implementation of the process. Approval of the project at UISP Phase 2 initiation requires a resolution from the relevant ward committee.

## 2.3. Structuring the actors in a settlement-level response plan

It should be evident from our previous exercises that a number of different actors need to play different roles in the implementation of a municipal informal settlement upgrading plan. This is particularly the case in conventional formal full upgrading, incremental full upgrading and interim arrangements projects, because the plan will cover all nine work streams, and actors from all of those will need to be mobilised and co-ordinated over the full timeframe of the project. How then does one proceed to structure the involvement of the different stakeholders in a way that secures their involvement, but does not result in chaos?

As discussed above, one of the roles of the programme steering committee is to manage and co-ordinate the actors involved in upgrading at the settlement level. The settlement level organisation structures report in to the programme steering committee which has the authority to make decisions within the limits of approvals granted by a higher body for implementation and financing. The focus of this committee is on delivery and resolving related problems, so it makes sense that the settlement level structures should report into and be guided by the programme level structure.

The types of structure that apply at the settlement level vary depending on the size of the project and its complexity. The different types of structures include:

- Community committee;
- Co-ordination committee;
- Project/development committee.

In larger upgrading projects a project/development committee, which includes all the parties involved in implementing the project, is the most appropriate. Smaller projects may only require a co-ordination committee. In complex settlement environments which involve a multiplicity of community level actors within the community a community committee is important and should be consulted consistently and as a whole. This committee should be nurtured and capacitated to be as effective as possible particularly in understanding issues and communication.

## Refer to handout Example 4: Boystown Project Level Actors and Structures

*NOTE: This example is provided to illustrate a specific topic. It is not presented as a model.*

## 2.4. Terms of reference

In most cases it is advisable to negotiate and formalise the settlement-level roles and responsibilities in a written form. This can be done through compiling a terms of reference for a settlement committee or to establish a partnership agreement.

## Refer to handout Example 5: Project Level ToR Social Compact Boystown

*NOTE: This example is provided to illustrate a specific topic. It is not presented as a model.*

1.      Who is the developer in this project?

_____

2.      Who is the project manager?

_____

3.      What is the role of the municipality in this project?

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4.      What is the purpose of the project steering committee?

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5.      What is the composition of the steering committee?

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6.      How often do they meet?

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7.      Who chairs the meeting?

_____

8.      Who acts as the secretariat?

_____

9.      What are the community partners responsible for?

_____

## 3. Making institutional structures work

There are a number of factors that could significantly improve the effectiveness of any institutional structure established in respect of informal settlement upgrading whether it is at programme or project level or in respect of community representation. Some of these are described below.

- **Having a champion:** Having a person who is passionate and committed to implementing the programme or project in a leadership position (either as the chairperson of the committee or driving the project team) is an extremely positive factor. The energy and drive to solve problems that the champion brings often influences other participants in the committee and creates a positive operating environment.

- **Testing:** If there are sensitive or important issues to be agreed on at a committee meeting it is often useful to test these separately with different stakeholders or individuals prior to committee meetings. This enables their views to be taken into consideration prior to the decision being made and reduces conflict and eases the decision-making process.

- **Regularity:** Meetings should happen on a consistent basis. Often it is useful to reserve meeting times over a period (for example six months) so that participants are well informed of the dates and can plan around them. If possible individuals representing key stakeholders such as the municipality and the community should be encouraged to attend themselves and avoid delegating to more junior staff without the decision-making authority. This ensures consistency and enables individuals to make decisions from a body of knowledge and understanding rather than having new uninformed individuals attending meetings.

- **Conflict:** Conflict should be reduced as much as possible. The operating procedures of committees should enable all participants to give their opinions and to then make a decision on the basis of consensus. If consensus seems impossible, a majority decision can be taken. The strength of the individual chairing the committee is critical to reducing conflict and enabling a consensual basis of decision-making. Conflict can be reduced if facts and data are provided as a basis for making a decision.

- **Conflict is about people** and often becomes a pattern between individuals. In the next exercise, you will explore your own conflict handling skills

- **Preparation and purpose:** Agendas should be well structured and should be prioritised to deal with the most important issues first.

- **Records:** All meetings should be minuted and the minutes should be circulated prior to the next meeting. Minutes should reflect decisions taken and commitments made. These should always indicate who will do an action and in what time frame. Minutes should be reviewed at the start of each meeting to ensure that what was agreed and committed to, has been fulfilled.

*ACTIVITY 12.7: EVALUATE YOUR OWN CONFLICT HANDLING SKILLS*

**Type of activity:** *Individual*

**Timing:** *5 minutes*

**Purpose:** *To reflect on your own conflict handing behaviour.*

**Instruction:** *Complete the assessment that the facilitator will give you.*

**Note:** *This exercise is confidential. You will not be required to reveal your secrets in plenary, unless you choose to!*

*ACTIVITY 12.8: WHAT DID YOU GAIN?*

**Type of activity:** *Facilitated group discussion*

**Timing:** *15 minutes*

**Purpose:** *To share tips on how to address the challenges presented by working with institutional structures.*

**Instruction:** *Referring to the issues identified at the start of this module, what tips do you have for how to avoid stumbling blocks or how to deal with challenges?*

# Toolkit

You will find the following resources on the Toolkit CD:

- Proforma Terms of Reference for a Programme Steering Committee, City of Cape Town Informal Settlement Department.
- Proforma Project Agreement, City of Cape Town Informal Settlement Department.
- Cape Gateway Informal Settlements Handbook Chapter 3: Institutional Arrangements.