



## Social Development Planning in Strandfontein 7de Laan Informal Settlement

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### **Cape Town Project Centre**

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- Sept 8<sup>th</sup>:
  - Created outline
  - Drafted four main research questions
  - Drafted liaison email
  - Started annotated bibliography
  - Began background research
  - Met with infrastructure team
  - CTPC Context page: wrote basic draft, covering how previous projects would relate to our own
- Sept 15<sup>th</sup>:
  - Began cast of characters
  - Began sponsor page
  - Reviewed and edited email
  - Planned interview
  - Reviewed context pages
  - Developed research questions
  - Expanded annotated bibliography
  - Met with librarian to discuss approach to research
- Sept 22<sup>nd</sup>:
  - Created a mission statement with objectives
  - Emailed sponsors
  - Created “Big Questions” to ask while in Cape Town
  - Second draft of context pages
  - Updated cast of characters with descriptions
  - Continued sponsor page

- Organized Monday's workshop for Cape Town groups
- Updated annotated bibliography
- Meet with 2012 Langrug Cape Town group
- Sept 30<sup>th</sup>:
  - Updated mission statement and expanded on objectives
  - Outlined first week objectives
  - Re emailed sponsors- Still no response
  - Introduction for Context pages
  - Created interview page for different groups
  - Updated annotated bibliography
  - Did write up on workshop
  - Continued write-ups on "Big Questions" to ask while in Cape Town
  - Meet with Infrastructure group
  - Expanded on context pages through background information
- Oct 7<sup>th</sup>
  - Wrote Introduction for the project
  - Wrapped up context pages
  - Drafted IRB Application
  - Developed Ethics Page
  - Simplified cast of characters
  - Updated interview page
  - Updated methodology pages
  - Created visuals to enhance content

- Oct 14<sup>th</sup>
  - Added missed introductions to context, planning and methodology pages
  - Edited planning and methodology pages
  - Finished IRB Application
  - Created acronyms page
  - Added table of figures

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## Introduction

More than 800 million people reside in slums worldwide, primarily in Sub-Saharan Africa, Asia, and Latin America (Centre, 2010). These people often live under threat of eviction, without permanent housing, sufficient living space, or access to clean water (UN-Habitat, 2007). In South Africa, decades of legal and social inequity have led to a large population living in informal slums near urban areas. Apartheid legislation forced nonwhites from urban centres into underdeveloped townships, whose severe lack of housing forced many to build their own improvised shacks. A dependence on urban areas for jobs also contributed to the growth of slums, as the nonwhites forced out of the city flocked back to overpopulated areas to find work.

Even twenty years after the end of Apartheid, the rift between formal and informal housing remains significant. One tenth of South African households are located in informal settlements, with Cape Town alone containing 200,000 informal households (HDA 2012). The South African government has been working to provide basic infrastructure and services to informal communities for decades, a task that has proven difficult to adequately complete. This has been done both through the provision of public housing and the upgrading of settlements.

The primary approach for informal settlement upgrading is an 'in situ' upgrade centred on improving existing sites rather than complete relocation. These projects provide security of tenure to residents as well as infrastructure and housing improvements, allowing them to continue upgrading their homes without fear of eviction. It is also generally accepted that Community Driven Development, in which community members are involved in the planning and execution of the upgrading process, is the most appropriate approach to upgrading (Abbot, 2002b). Organisations like CORC have embraced this idea, and piloted an 'asset-based' development method that prioritizes identifying and using the unique strengths and assets of a community.

Despite this increased focus in community participation, there are still tensions in the upgrading process that hinder such projects. The relationship between the community and the upgrading party are often strained by conflicts of interest, creating a relationship of tactical exploitation rather than mutual respect (Buire, 2011). Fractured interests among community members also obstruct community driven development, causing infighting between groups and allowing non-representative agendas to drive the project (Botes & van Rensburg, 2000). Many ostensibly 'community driven' development projects also only involve residents in a cursory manner, which leads to decisions that don't necessarily suit the settlement they are applied to (Lizarralde & Massyn, 2008). In order for these problems to be resolved there must be a greater focus on communication strategies between stakeholders, and on how to ensure that 'community participation' is a driving force in projects rather than a marketing term.

It is the goal of our project to facilitate a sustainable relationship between stakeholders in the 7de Laan consolidation project, as a means to ensure that the needs of affected community members are reflected in the upgraded settlement. Our first priority will be to build trust with the communities, through cultural exchange and collaboration on a shared project in the first week. We will focus on the use of photography by asking community members to describe their

homes using cameras that we provide. Once we have built a trusting relationship with the community we will be able to start determining what they want out of the upgrading process, and work with them to develop a relationship with local government and NGOs. This will be done through a Project Steering Committee consisting of community members, as well as a Public Participation plan that will outline the relationship between stakeholders. By creating a communication structure between settlement residents and the organisations carrying out the upgrade process, this project will allow residents a more active role in the realisation of their future housing.

## Context Pages

The purpose of this section, Context Pages, is to inform the reader about the background of the project. To begin, a brief history of informal settlements will be discussed, followed by a brief history of South Africa and the Cape Town area. Following this regional background will be a history of similar projects completed in the area, which may be applied to the upgrading of the informal settlements in the Spine Road area. In conclusion will be a study of various methods of community social development as they relate to this project.

### Cape Town Project Centre Context

The Cape Town Project Centre (CTPC) has been operating since 2007, with most projects centred on working with stakeholders to facilitate a sustainable upgrading process. While our project is somewhat unique due to the elements of relocation and reblocking, the core principles of how to build relationships and collaborate with stakeholders are shared between our project and those of past years. As such, the following sections will explore the past projects done by the CTPC and the lessons which we can take from them going forward.

#### 2007 Projects

In 2007, the Cape Town Project Centre group aimed to establish a basic understanding of how to best work in Cape Town's informal settlements since it was the site's first year of operation. The Communicating Housing Redevelopment Practices in the City of Cape Town Housing Directorate in Order to Build Healthy Communities group incorporated many practices that apply to our consolidation project in 7de Laan. Their approach focuses on four central practices of community participation: mixed-use development, community facilities, sustainable efforts, and interdepartmental collaboration.

The group concluded that establishing the healthiest communities meant involving the community members in all aspects of the process. This conclusion and the group's process for its achievement are most related to our project. To involve the community, the team established steering committees, encouraged people to help build their own houses, implemented education and training programs, and opened the prototyping process to participation. The steering committees gave community members a voice in the planning process. Involving community members in the building process invested them in the project and gave them more control over the outcome. Finally, by educating and training community members, the residents were able to make more informed decisions related to their housing.

The team also recognized the need to bridge the gap between different organisations, both governmental and non-governmental. They worked to establish a connection between these groups primarily through combined meetings and focus groups. The group also created a knowledge management system to share their findings with NGOs, government departments, and community members and benefit future community redevelopment projects (Becker, Fitzell, & Royer, 2007).

## **2008-2009: Communication Efforts at Monwabisi Park Redevelopment**

During 2008 and 2009, all of the Cape Town Project Centre teams collaborated with the community to plan redevelopment efforts in Monwabisi Park. In both years, students worked on different projects related to diverse aspects of the community such as mapping and planning, water and sanitation, economy, energy, gardening, buildings and communications. The communications project in particular can provide very important lessons and insight to help develop our project.

### ***2008: Communication in Upgrading of the Informal Settlements of Monwabisi Park through the Indlovu Project***

In the first year of work in Monwabisi, the Communications team's task was to engage community involvement in the redevelopment of Monwabisi Park. Previous redevelopment efforts at other informal settlements in South Africa had little success due to the lack of community input. To succeed in Monwabisi Park's redevelopment, the team worked to improve communications between the community, the WPI teams, and the sponsors.

The team started a co-researcher program with members of the community to increase its engagement throughout the redevelopment process. By working alongside six co-researchers, the WPI students interacted with the community more and earned the community's trust more easily and fully. Co-researchers not only assisted with the language barrier, but also made the community feel more comfortable with the presence of foreign students in their home. The co-researchers brought the WPI students useful insight by gathering more information on demographics, showing them around the area and obtaining a more honest and full picture of the community's opinion on the redevelopment project through interviews and surveys.

Through EndloviniTV (a series of videos recorded and produced with the co-researchers), the project succeeded in providing the community with a way to communicate their opinions, concerns and insights to all of Monwabisi Park. This provided a more successful way for the team to observe, collect data and take in the community's true emotions. When tragedy struck the community and a fire destroyed the four Indlovu Project buildings, the WPI students felt the significance of their project as they watched the co-researchers begin filming without any guidance or instruction. They documented the situation and the community's reaction through interview on film, proving their ability to utilize the skills and resources the WPI students had worked to provide them with. The students witnessed the true impact their project had on the community and had a stronger hope that the co-researchers would continue EndloviniTV and contribute to further community development.

This project provides immense insight into community development for us to utilize in 7de Laan. It proves the importance of establishing community leaders and developing their skills to sustain the community's development after our group leaves. The closely related backgrounds (Monwabisi was also undergoing infrastructure change during the time of this project) also give us hope that this group's approaches would be successful in 7de Laan (Angulo, Jenkins, & Perrone, 2008).

### ***2009: Sustainable Community Involvement in the Indlovu Project***

During the Cape Town Project Centre's second year in Monwabisi Park, students continued to explore ways to engage the community in the Indlovu Project. These students worked closely with co-researchers to improve communication as the 2008 Communications team did. As in the previous years, co-researchers were shy at the first, but were eventually able to inform the team about the community challenges such as the lack of knowledge for educational opportunities, the lack of employment opportunities and the high crime rates.

Much like the co-researchers from 2008, the 2009 co-researchers aided in interviews with community members and provided a means for the community's insight and feedback to reach the WPI students. Students became aware of the lack of knowledge community members had regarding the changes to and plans for their community. Also, the team learned the community's desire to pursue further education. With this information, the team reached out to outside organisations and involved False Bay College in the community. False Bay College provided assessment tests for the community members interested in education. Even though only a few community members pursued this opportunity, it was a great way to show the community that they can establish connections and involve new organisations in Monwabisi Park.

The project also established new employment opportunities by setting up and implementing a community photo shop. Besides the obvious benefit of creating job opportunities in Monwabisi Park, it provided a creative outlet for community members (Carey, Johnson, Merefhe, & Tata, 2009).

### ***2010: Profiling Community Assets in Monwabisi Park***

In this project, a group of four WPI students sought to aid an organisation in profiling a community based on its assets. For the project purposes, the team defined an asset as "a resource that constructs livelihoods and allows one to cope with life's setbacks by providing a sense of identity and meaningful engagement with the world." In essence and practice this meant determining the skills and abilities of the community. By analyzing the community, its strengths and weaknesses are determined, plans of training and education may be created, and grassroots community improvement projects may be implemented.

The group went further than simple interviews – they created both a physical catalogue of assets and a virtual catalogue, which could be shared, maintained, and updated. The group faced many challenges at first when they attempted to determine and document community assets through interviews. They discovered that visiting community members a number of times and forming relationships with them provided insight into the information they had searched for and lead to success. In our social development project, understanding the people and their abilities will take on vital importance. By focusing on social development, we hope to unify the community, through networking within it and out of it, and to empower the people there to act – whether that is to be an entrepreneurship scheme, a community improvement project or the building of the crèche. Within our first weeks on site, our group plans on implementing a simple assets study of the community 7de Laan and the three remaining

communities. By studying this project's methodology and understanding which approaches proved to be successful, we have gained practical information on how to best determine a community's assets. Once we begin to understand the strengths within the communities, we will be able to make more informed decisions on how to work with the community to develop it socially (Coleman, Minor, Seed, & Wakeman, 2010).

## 2011: Projects

### *Supporting Asset-Based Community Development in Maitland Garden Village.*

This group facilitated the creation of the Green Light Project, a sustainable project aimed at developing the Maitland Garden Village (MGV) community by building on the community's strengths and assets. By using the community's ideas and goals and allowing community members to lead the project, it succeeded in being a sustainable project. The group also repaired the crèche's playground in the village and formed nine committees under the Green Light Project. The team's strategy was to help MGV identify their assets and develop and use them to realize the community's potential. Asset Based Community Development (ABCD) was chosen as their approach to build up this community because of its empowering nature, unlike many other needs based community development approaches that leave the community dependent on other groups and feeling discouraged. ABCD takes the assets from all community members even the young, old or disabled and puts them to use in realizing collective goals. ABCD is difficult in the sense that communities tend to lack the ability to see their own assets and potential, but once the community realizes its strengths, its people need only the drive to strengthen their existing skills and put their assets to use to develop sustainably and improve.

The team used MGV's annual Village Day to their advantage and introduced themselves and their hopes for the community through ABCD at the celebration. The group used interviews with residents to determine what already existed in the community in terms of youth programs and their functions and to help them develop feasible ideas for a project in MGV. These ideas were presented to their sponsors who determined the team should upgrade the crèche and develop a youth program geared towards residents ages 13 to 21. More extensive interviews, focus groups and discussions led to the formation of the youth development program. To determine how to best introduce the new program and ensure its success, a focus group consisting of the WPI team, the principal of the primary school, 11 of the schools teachers and the sponsors met and brainstormed together.

The renovation of the crèche served as a representation of what the community can accomplish together using ABCD. It also showed the community that completing small tasks can go a long way and it taught them to persevere and follow through to reach their goals. Working on something for the community's use in an area in which everyone could witness its day to day progress got the residents of MGV interested in working together on collective goals. The residents also realized the sincerity of the WPI group in following through with facilitating the development of their community.

The team gained support from the City of Cape Town through a presentation they did for the city's youth development committee. In the presentation, they presented MGV using the SLOT

analysis (Strengths, Limitations, Opportunities and Threats) to give the government a better idea of MGv's strengths, limitations, and situation. Finally, to increase participation from MGv's residents and gain enough support to ensure the sustainability of the Green Light Project, the WPI group passed out flyers to announce a community development meeting. The group chose to facilitate the meeting by having the meeting's subject known, but letting the attendees make an agenda. This approach is called the Harrison Owen's Open-Spaced Technology Approach. From this meeting, the nine committees under the Green Light Project were born, based on interests and self-organizing of residents.

This project is closely related to ours by definition; the mission of both is to develop a community sustainably. This team's successful approach and many of their tactics can be utilized in our project in 7de Laan. The difference lies in the conditions of the communities. MGv was considered and described as close-knit, while 7de Laan is a new community. People who may have never met will be neighbours in a new area and living in a new home. This means that our project may be more focused on facilitating the development of bonds within the community, something that had already existed in MGv when the WPI team arrived. Nonetheless, our project can research and attempt to use this team's approach and the lessons they learned in 7de Laan to develop a sustainable community there. Their timeline of events is sound and was extremely successful in MGv. Setting goals similar to this, but more geared toward the situation and limitations in 7de Laan could be a good place for our group to start when it comes to planning our action (Baker, Karsky, Kaufman, Laboissonniere, & Sarapas, 2011).

#### *WaSHUp: Innovating Water Sanitation and Hygiene Upgrading in Langrug*

The WPI team for this project worked to provide water, sanitation, and hygiene (WaSH) to the Langrug informal settlement located in Franschhoek. Government is primarily responsible for providing these services in South Africa, but often does not have the means to do so. As a result, people living in informal settlements often become sick and many children die from the unsanitary conditions in informal settlements. The team developed three principles to abide by in tackling this problem in Langrug: (1) Multi-stakeholder involvement, (2) All WaSH spaces must be multipurpose, (3) WaSH upgrading should be community-driven. Some stakeholders the team identified as able to and known to positively contribute resources that help systems in which they are involved include private businesses, non-governmental organisations (NGOs), and communities. To address the issue of vandalized actions which is the fate of many WaSH spaces since they are not valued by the community, the team tried to incorporate another use that addresses a collective issue such as unemployment, education or communal space. The third principle identifies that the community be consulted and involved in WaSH upgrading to ensure the facilities are used for their intended purpose.

These principles are concepts we should consider when planning our action in 7de Laan. We have already begun research on NGO's such as CORC and DAG, but further research to identify other stakeholders could help us find other resources when working in 7de Laan. If (with the community's input) decide to facilitate building a space for the community, such as a community room for meetings, it may be beneficial to consider making the space multipurpose

to satisfy more residents and ensure its value within the community. The last principle is obvious in terms of our project, but we must remember to use the SAL approach and make sure that the decisions we make and projects we work on for 7de Laan is truly what the community wants since it will become their project once we leave and it is their home.

Also through their work, this group realized that there were three major steps that were helpful in order to improve the relationship between students and co-researchers. First, they found that it was important to let the co-researchers know that they will be working along with them, rather than the co-researchers or the community working for the team. Second, they made sure to keep co-researchers participating by taking into account the ideas they felt would work in the community. At last, they realized that collaborating on the labour work throughout the construction process also seemed to help develop a better relationship (Kenney, Sheppard, Shooshan, & Siemian, 2011).

## 2012: Projects

### *Capacity Building of a Community Based Organisation in Maitland Garden Village*

In 2012 the Maitland Garden Village (MGV) group strived to work alongside the Green Light Project (GLP) to create a plan for the Community Help Centre- a place to address major community problems such as substance abuse and teen pregnancy. During their first weeks at the village, they focused on building a relationship with their sponsors and members of the GLP. They went through guided tours of the community, attended the MGV's 90<sup>th</sup> annual Village Day, and met with community leaders to understand the GLP's status. Through these encounters, they realized the community's need and will for building a Help Centre.

The team decided to analyze the possible venues of the Help Centre and assess its feasibility by meeting with and interviewing GLP leaders. They also assessed possible venues by organizing two community meetings with members of other organisations in MGV. Through these meetings, they also discussed the different organisations that would be involved in the Help Centre and began to understand the complex connection between the community members. After this meeting the group determined that the Help Centre was a long-term project, but they were able to identify and see firsthand the disagreements present in MGV.

During the following weeks, the team worked on other ways to provide activities to the community. They realized that the Community Centre could still serve as a great resource for some activities to be held. The WPI students had witnessed the passion and talent for dance present in MGV after watching the performances at Village Day. Therefore, the MGV team began a Youth Music Programme to build upon this asset. The team also developed a resource book for GLP, consisting of the goals for programme development, the venue analysis performed, financial management strategies, and future programme ideas. The WPI students intended for these resources to be utilized in the later stages of planning for the Community Centre.

Our team has gained insight from this project because our main goal is to have a cohesive area developed with community involvement. To do this we need to first gain community members'

respect. The 2012 project team did this by having a variety of tours, meetings with the sponsors, conversing with locals, and attending the 90<sup>th</sup> Village Day event. The Village Day event was most effective because of the connections the team made with the community. The students were able to see the skills and passion the community had, and also bond on a personal level. This step is key to the success of our project, because we need to first develop effective working relationships with the community members. By recognizing and complimenting the community's assets and participating in events such as the Village Day, we can create a relationship that will foster community collaboration. We can also learn from this team's Help Centre venue assessment and search process, since we expect to help establish a Community Centre and it would be essential for us to understand the activities that might be held in the facility. This team's composure when dealing with complex relationships between organisations is something we also need to grasp in preparation for working with stakeholders in 7de Laan (DiGioia, Eduah, Fekete, & Lamb, 2012).

#### *Supporting Reblocking and Community Development in Mtshini Wam:*

This project's main goal was to support community development and the reblocking efforts in Mtshini Wam. Through a community driven approach they were able to develop two main aspects that seem very helpful to our project. The first one is a guidebook they created in collaboration with the Langrug team, named "Reblocking: A Partnership Guide". Through this guide they suggest the steps that community members can take to effectively reblock their community. Even though part of the guidebook focuses on issues specific to reblocking processes, some of the strategies can be implemented in a variety of projects.

This guidebook mainly suggests effective communication strategies for the community. The book outlines ideas for engaging all stakeholders. One strategy to improve communication involves posting meeting agendas and minutes online through sites such as Facebook or Dropbox. The guidebook also stresses the importance of defining goals and project objectives in the first meeting. The guidebook also reiterates defining the roles all stakeholders will play in the first meeting to ensure all parties understand their expectations and lessen confusion. These suggestions are applicable to our project work in 7de Laan and our team plans to keep this advice in mind. The team may even develop new insights and tips for aiding in the social development of communities undergoing upgrading to add to this guidebook.

The 2012 Mtshini Wam team also worked on various community development projects, such as gardening, carpentry, litre of light and the certificates program. Through the gardening and carpentry initiatives, the team assessed the skills and needs of the community and provided entrepreneurial opportunities to its members. This was one way the team worked alongside the community members and developed a sustainable project by ensuring the work could be continued by community leaders after the team left. The team also recognized community members for their hard work through the Certificates Program. One of the important aspects of this program was that it was also supported by the City of Cape Town, the Informal Settlement Network, and the Community Organisation Resource Centre (CORC). This provided the community members a great opportunity for future job applications and resulted in a self-improvement mentality for the members. These solutions will be kept in mind during our time

in 7de Laan. Even though the work at both communities may differ, the ideas of how to develop a sustainable project, discover and build upon assets and involve the community could prove to be very useful.

One of the great things about this project is that the team worked on the infrastructure development, but made sure to account for the social aspects of development as well. Some of the challenges they encountered could be applicable to the ones we find at 7de Laan, and after researching this project, we have found feasible solutions to the common challenge of community engagement in informal settlement upgrading efforts. Also this group worked with CORC and the City of Cape Town and the Informal Settlement Network (ISN), both of whom are possible stakeholders in 7de Laan (Hennings, Mollard, Moreschi, Sawatzki, & Young, 2012).

### *Laying the Foundation for a Resilient Partnership: Innovative Upgrading in the Informal Settlement of Langrug*

The main goal of this project was to strengthen the partnership between the community of the informal settlement of Langrug, the municipality of Stellenbosch and the Community Organisation Resource Centre (CORC) by focusing their efforts on community driven upgrading efforts. A year before the team had started their project, a partnership between the Municipality, CORC, the Langrug Community, and later WPI emerged. This partnership established the Lanngrug Working Team - a group of active leaders involved in the community upgrading efforts.

Two WPI teams were assigned to work in the Langrug community during the preparation term: WaSH and Communications. The WaSH team planned the design of a new WaSH facility. Meanwhile, the communications team was preparing to assist in strengthening the Langrug partnership and the Working Team relationships. However, as they arrived to the site, they realized that the partnership and the Working Team had lost their initial momentum and have not been making progress for some time. There was an urgency to not only improve communication but to also have some sort of infrastructure implemented. Therefore, they decided to merge the WPI teams and combine their efforts with the Working Team in order to assist and revitalize the partnership.

To achieve their goals, they worked on four main projects. The first one included exploring the previously proposed reblocking project in Langrug. Through their research they discovered areas of the report that could be improved and helped the Working Team understand the Municipality's concerns and importance of accurately collecting data. At the end they developed a guidebook introducing a systematic approach for future reblocking efforts.

Also through their interaction with the Working Team, they realized the importance of implementing a multi-purpose centre (MPC) in Langrug. They hoped it would not only serve as a benefit for the community, but also help establish the community's trust and confidence in the partnership. The group assessed the community's needs before proposing a design which proved to be key to the community's acceptance of the facility. They took into account the

areas that faced the most problems and ways in which the facility could address these issues. They also kept the community involved throughout the project. Not only did the entire Working Team participate throughout the whole process, but a general community meeting was held to explain the design and obtain the community's approval of the facility plans. Unfortunately the group faced challenges regarding the project's funding. Due to the lack of trust and misconception that the Municipality would be paying for the facility, it was hard for the Working Team to collect the funding and continue with the project by the time the WPI students left.

The team also discovered some problems regarding the Greywater channels and communication between the Working Team and the Municipality. Even though the Government had been funding the Working Team to achieve this task, the team did not fulfill goals due to health concerns. Therefore, the WPI students approached the Municipality and mediated between these two parties. Subsequently, the correct apparel was provided to the Working Team and they helped them learn the importance of effectively reporting to communicate.

Due to the MPC's downturn and the WPI group having only two weeks left on site, the group needed a project to work on during the remainder of their stay. They decided to focus on the WASH facility aspect of the project. Their design consisted of five hand-washing sinks, two of which were lowered for children, four laundry basins in a central area so mothers could watch their children while washing laundry, urinals, two showers, and a total of nine toilet stalls. It was designed to be well lit and include multifunctional areas, such as a children's learning area, a hair salon, benches, and gardens. Also the facility was designed to easily be incorporated into the MPC if it was built in the future, keeping the community-driven approach they worked on since the beginning. With only two weeks of work, the WPI students and the Working Team were able to erect the main structure of the facility and develop plans for continuing it after the team left. They faced many challenges in obtaining materials on time and had issues with stolen tools. However, they considered it a great learning experience as they were able to learn from the community members, as well as leave a sense of responsibility for the facility in the community that hopefully will result in the good maintenance of the facility.

There are many lessons to learn from this group's work. First of all, to expect the unexpected. This team went through a lot of changes, starting with the fact that they had to merge due to the particular situation they found when they arrived to the site, to the change of project goals with only two weeks left on site. However, through constant communication with the community they were able to adapt and always find new areas in which they could assist. Also, their experience teaches us the importance of establishing meaningful communication between the government and the community. This proved extremely important and influential to the group's project when the relationship between government and community deteriorated. At last, one of the greatest approaches used by this group was the Multi Stakeholder Involvement. They kept the Municipality, CORC and the Working Team involved throughout project stages. They tried to combine the assets from each organisation in order to provide the best solution, and always kept the communication between them open (Brooks et al., 2012).

## Context of Informal Settlements in South Africa

This project will be done in the context of several informal settlements, so it is important to establish a working knowledge of these settlements and their place in Cape Town. The following sections will serve as an overview of what an 'informal settlement' really is, the historical reasons for their existence, and their meaning in modern South Africa.

## The Origin of Informal Settlements in South Africa

Informal settlements in South Africa are directly linked with Apartheid, and the way in which non-whites were systematically removed from their homes in cities and forced to live elsewhere. Even though the legislation may now be gone, the lasting effects of forced separation are visible in the existence of informal settlements.

The legislated segregation of non-whites existed as early as the beginning of the 20th century with the Natives' Land act of 1913, which limited the property that could be owned by nonwhites to a small fraction of the country's land (Findley & Ogbu, 2011). Later legislation would act further to remove nonwhites from white areas, often under other guises. One example is the 1934 Slums Act, which allowed for the removal of 'slums' from city areas. In practice it was used to remove black communities, putting them in overcrowded townships, and make space for whites (Maylam, 1995).

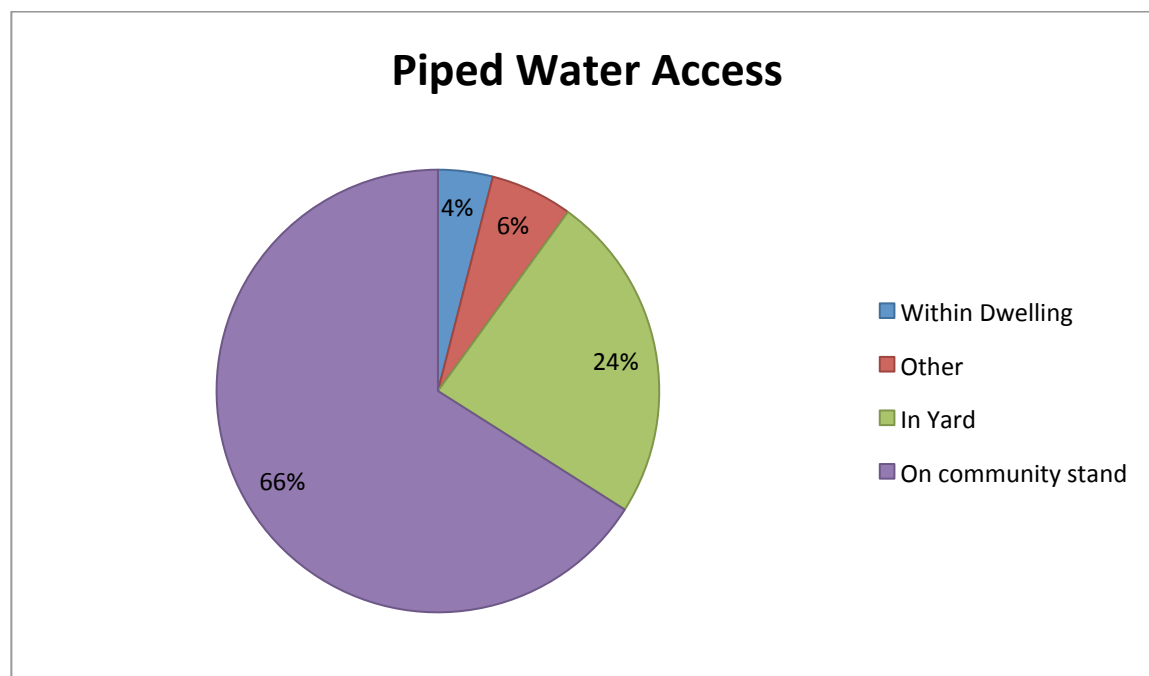
In 1950, the most relevant piece of Apartheid legislations was passed. The Group Areas Act designated zones where people of different races were able to live, and led to the destruction of mixed-race settlements across the country (Findley & Ogbu, 2011). One of the best-known applications of this law was the leveling of District Six, which was once a vibrant multiracial neighborhood - 60,000 people were relocated out of the city, and only began to move back more than 30 years later. The relocation served little purpose, since most of the land was left undeveloped (Cauvin, 2000). The inequity of this policy was exacerbated by the limited use of funds to develop the segregated townships, which led to widespread housing shortages (Maylam, 1995).

Even though nonwhites were not able to live in the cities themselves, they still often relied on the city for work. As described by Paul Maylam, professor of History at Rhodes University, the core of Apartheid property legislation was "that whites during apartheid wanted to keep blacks away from themselves (due to a combination of seeing them as 'unclean' as well as a desire to use the land for themselves), but not so far that they could not be exploited for labor ". This meant that a large proportion of jobs were still located in white areas, so that many nonwhites had to be close by to make a living. The need of relocated nonwhites to find work in cities, combined with poverty and overcrowding in the places they had been moved to, created an influx of people into informal settlements at the city limits (Maylam, 1995).

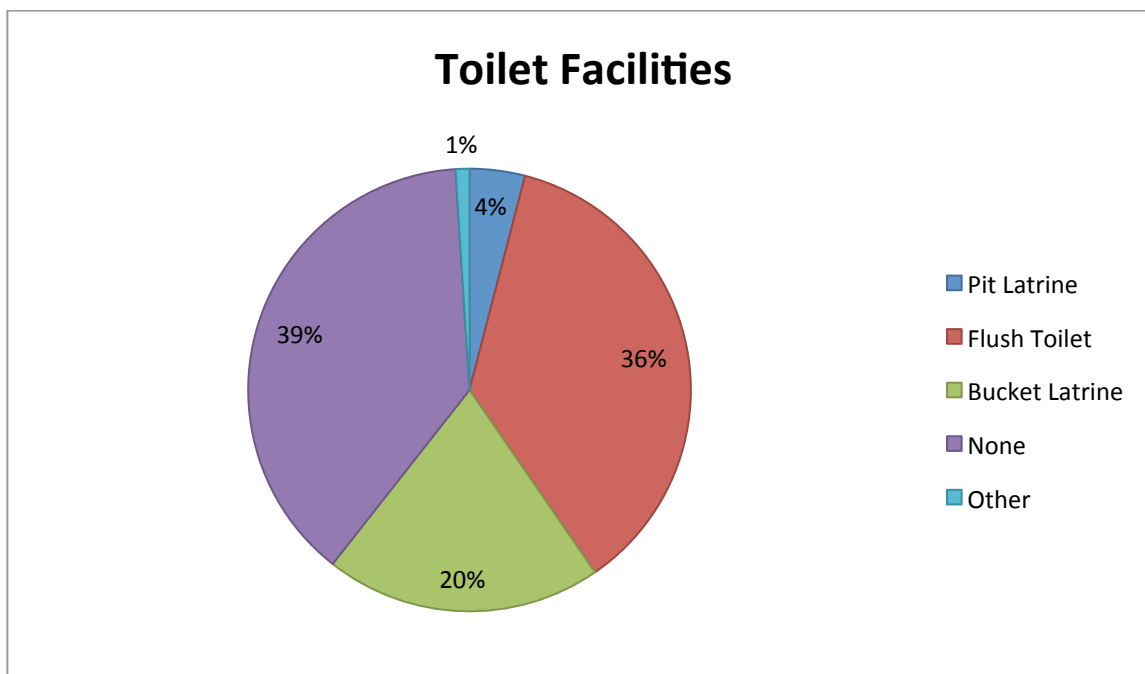
## Informal Settlements in South Africa Today

Today many South Africans live in informal settlements, with about 9% of its households spread across 1000-2700 informal settlements in 2001 according to a study done by the Housing Development Association. These settlements are populated by improvised shacks made of found materials, built on private or government-owned land. In many cases residents do not have secure tenure, meaning that they could potentially be evicted at any time. In 2009, 38% of those households were on the waiting list for a subsidized house (HDA, 2012a). Cape Town itself has as many as 193,000 households living in informal settlements, with 400,000 people on the waiting list for government-provided housing (Gontsana, 2013).

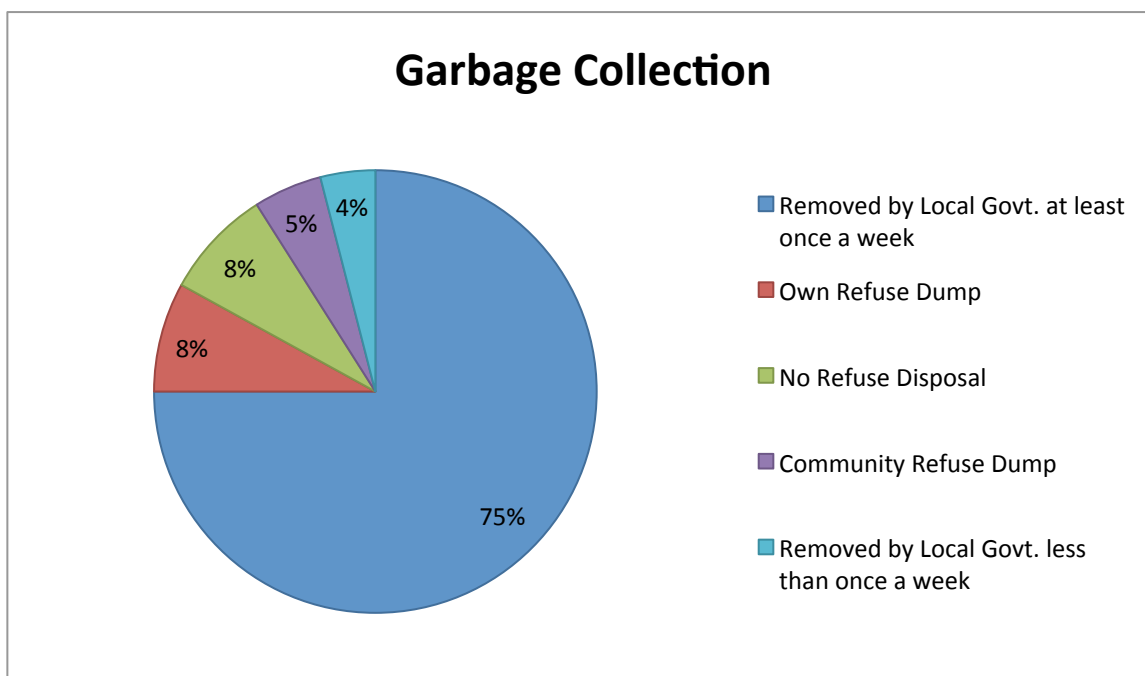
Informal settlements generally have poor facilities, as well as low incomes compared to others, as can be seen in the data below taken from the same survey. Most of this data is for 'shacks not in backyards', of which 65% are located in informal settlements, with most of the rest being located in urban areas. 'Shacks not in backyards' account for 79% of informal settlement housing in the Western Cape region. That means that while 'shacks not in backyards' is not synonymous with 'informal settlement', the conditions of such shacks are a good approximation for those of informal settlements (HDA, 2012b).



**Figure 1: Clean water access for shacks not in backyards (Western Cape) (HDA 2012 Western Cape)**



**Figure 2: Type of toilet facilities for shacks not in backyards (Western Cape) (HDA 2012 Western Cape)**



**Figure 3: Mode of garbage collection for shacks not in backyards (Western Cape) (HDA 2012 Western Cape)**

This data shows how limited basic services are for people in informal settlements. Only 4% of households having access to clean water from within their home, and nearly 40% have no toilet facilities. Garbage collection is in somewhat better condition in the Western Cape, but still leaves 21% of households without any municipal waste pickup.

### Informal Settlement Upgrading

Informal Settlement upgrading refers to any process undergone to improve the living conditions of residents of an informal settlement. There are many different approaches to this, ranging from complete demolition and construction of new housing to simply providing basic services and supplies. In the following sections we will try to provide a background of informal settlement upgrading and its approaches, and introduce the upgrading principles that will inform our project. We will also introduce problems with the accepted methods of upgrading, in order to set the stage for our own work.

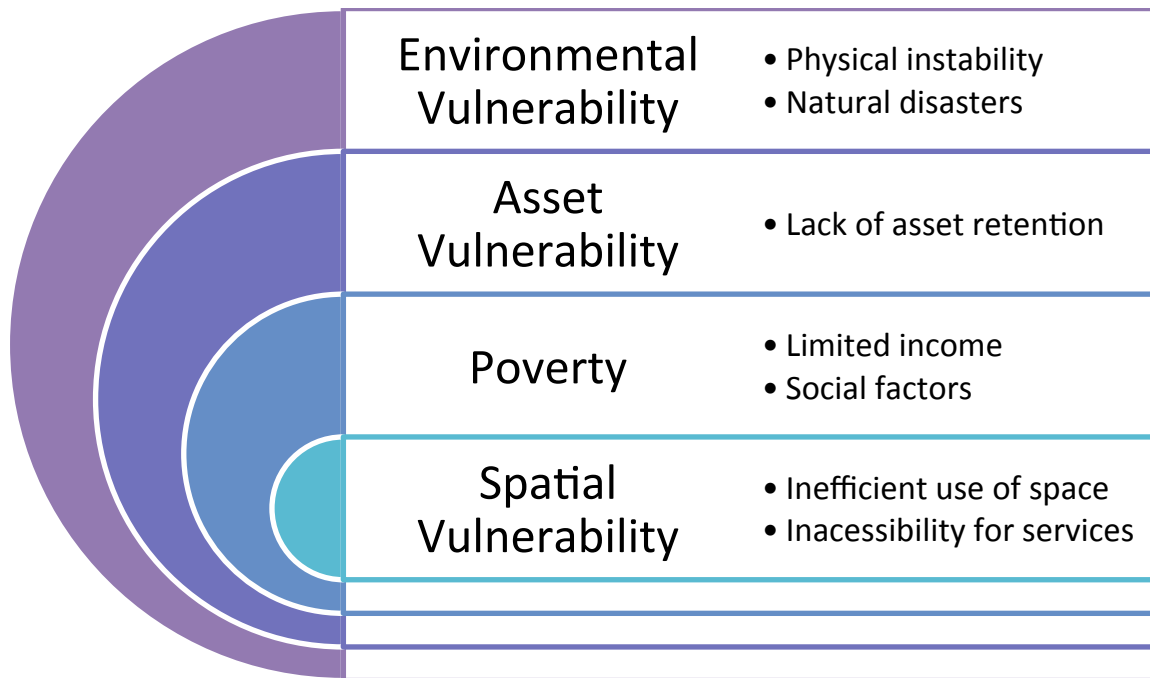
### A History of Informal Settlement Upgrading Approaches

In the 1950's and 60's the primary approach for improving the housing situation of slum residents was through government-provided public housing. This was achieved through the demolition of existing settlements, the goal of which was to remove the disorderly influence of those settlements on urban areas as much as it was to better the lives of their residents. Unfortunately this approach was not effective in halting the growth of informal settlements, so in the 1970's academics began to call for a new approach that focused on more independent development of settlements by their residents (Abbot, 2002b).

The World Bank answered the call for a new approach, agreeing to begin investing in housing development only if it was undertaken via a 'sites and services' model (Abbot, 2002b). This model was based on the provision of land and basic services for community members, and allowing them to upgrade their own dwellings. This approach was largely ineffective, because it did not facilitate proper housing delivery and only considered 'hard problems' with infrastructure (Abbot, 2002a). Where the sites and services proved useful was in the idea of 'in situ' upgrading, which is based on working within existing settlements rather than bulldozing and replacing them. That idea has been an integral part of the more holistic and community-based approaches that are seen today, which will be covered in more detail in the next section (Abbot, 2002b).

### Addressing Vulnerabilities of Informal Settlements

One of the main goals of upgrading informal settlements is reducing the vulnerabilities of the community. According to John Abbot, a professor at the University of Cape Town vulnerabilities at both the community and larger regional levels must be addressed for an upgrade to be successful. In the case of internal vulnerabilities, there are four main elements of vulnerability that the author believes should be considered during an intervention process.



**Figure 4: Elements of Vulnerability**

The first element, **Environmental Vulnerability**, is the physical environment in which these settlements reside. Informal settlements are usually built on unsuitable land, susceptible to environmental threats such as landslides and flooding. An important aspect of this situation is the constant insecurity from the community in the risk of evacuation and lack of stability, as well as an increase in epidemics and sickness.

The second element, **Asset Vulnerability**, is characterized by the absence of asset retention and growth. In his paper, Abbot names between some assets considered in this category the income capacity of the community members, the infrastructure (housing, water, and electricity), the cohesion of the family, the trust in the community, the social networks of the people, the stores and resources in the community. He states that the “more assets people have, the less vulnerable they are.”

The third element, **Poverty**, refers to the poverty of many informal settlement residents. Abbot argues that the perception of poverty by theorists and policymakers is too dominated by economic definitions, preventing them from adequately addressing this vulnerability. He argues that poverty is as much a social issue as an economic issue, and that existing methodologies for informal settlement upgrading and poverty alleviation must be adjusted to recognize that fact.

The last element, **Spatial Vulnerability**, considers the use of space in an informal settlement. Most informal settlements do not use space effectively, making it more difficult for municipal or emergency services to access the space. This separates the settlement from the benefits of the outside world, and makes the improvement and maintenance of basic infrastructure much more difficult.

Abbot suggests that it is very important to consider the balance of these vulnerabilities rather than looking at them individually. Any decision is likely to affect more than one, and potential downsides must be carefully evaluated for improvements to be significant and sustainable (Abbot, 2002a). In order to do this the community must be considered at several different levels, which we will describe in the following section.

### Levels of Decision Making in Informal Settlement Upgrading

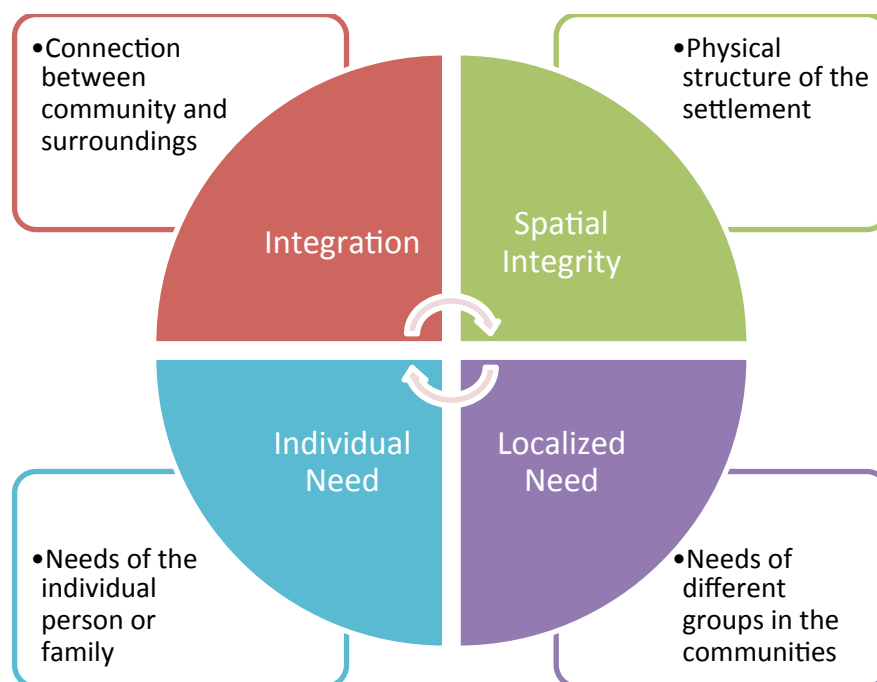
We have already established that there is a complex balance of vulnerabilities and interests within informal settlements, which leaves the question of how to properly consider them in making decisions. Abbot has identified four different levels of decision-making within a settlement, each with a different approach that should be considered. In a few words this means that variable relationships are needed, not only between the community and the government, but also within the community itself (Abbot, 2002a).

Abbot provides a great example of the different levels of decision making through his experience in “New Rest”, an informal settlement in South Africa. The first level, **Integration**, refers to the connection between the community and its surroundings. At this level it was determined that New Rest had a strained relationship with its neighbors due to a perception of being dangerous, and a forum was created to help mediate these issues.

The second level, **Spatial Integrity**, dealt with the physical structure of the settlement. Through this level, a partnership between the community and the local authority was formed, and as a result a Project Steering Committee was created. This committee made it easier for the government to cooperate with the community since the ideas they discussed had already been approved by members of different governmental departments through council meetings. Once these communication structures were in place, issues with "physical risk, communal facilities, social services and movement corridors" could be addressed.

The third level, **Localized Need**, starts to address the local community needs. At this level, the project worked with people in small groups. Through this way they tried to address the needs of the different groups or spaces in the community in a more effective way through participatory planning. Also through this level, the government started being a supporter rather than just a partner.

Lastly, **Individual Need** considers the needs of the individual person or family unit rather than the larger community. Through this level a social support team was developed in order to reach out to the individuals, and a number of surveys (Abbot, 2002a).



**Figure 5: Levels of Decision Making**

Through the use of these different levels of decision-making, those working in New Rest were able to consider issues in the context in which they were most significant. The perspective of neighbors was important when dealing with the integration of New Rest within its region, but unimportant when deciding on the more specific details of housing or community structures. The individual family unit was similarly significant at a micro-level, but coalesced into the localized need when making decisions that would affect the larger community. The balance between these different interests, as with the different vulnerabilities mentioned previously, is important for a sustainable improvement to be found.

### **The Role of Community-Based Development in Informal Settlement Upgrading**

According to Huchzermeyer, a respected academic and expert on informal settlement policy, many of the most successful upgrading efforts in the last years have been achieved through community-based development (Huchzermeyer, 1999). As suggested by its name, community-based development is an approach that prioritizes the active participation of community members in the upgrading process. The core idea of this participation is to integrate community voices into the decision-making process, the execution of which can occur on several different levels. Supporters of this approach believe that it not only leads to a more successful physical upgrade, but also empowers the very poor with greater agency (Mansuri & Rao, 2004).

Community empowerment is one of the main advantages of community-based development, since it involves the community directly in the decision-making process rather than having decisions made for them. This involvement can lead to a better final product for upgrades because community members have a clearer idea of what they want and need. It also has the

potential to increase the capability and confidence of residents (Mansuri & Rao, 2004) By giving responsibilities and leadership to some community members it seeks to create a sense of responsibility that will allow these members to take initiatives in the future, as was seen in the 2008 and 2009 CTPC projects in Monwabisi Park.

One important aspect of this approach is that it is not exclusively driven by the community, instead depending on support received by other parties. These parties are a combination of governmental and non-governmental organisations, with some cases including the support of several. In South Africa, organisations such as CORC, DAG and ISN are some of the most prevalent NGOs for this kind of work.

### **Asset Based Community Development**

Asset-based community development is the policy where upgrading or improving a settlement is driven by the skills and abilities – assets – of the settlement in which the development occurs. This process is generally advantageous as it is directly linked to the engagement of the public – those that live in the settlement. In the first step of the process, the assets of the settlement are determined, either by those in the settlement or an external body. Techniques for determining these skills range from surveys, to interviews, to workshops (Green, 2012). In the latter part of the process projects are planned based on the assets determined.

One example the ABCD method can be seen in a previous project at the Cape Town Project Centre. In 2010, a group of students focused their project on profiling the assets of the community in Monwabisi Park. In order to achieve this goal, they analyzed the community to determine the skills and abilities that were present in it. They carried interviews with several community leaders, focusing on the churches and spaza shops in the Monwabisi Park. With the information gathered, they developed a Profile of Assets book where each asset found was explained through one or two profile pages. Another main part of the project was the skills checklist developed. This checklist included nine categories of skills: communication, leadership, entrepreneurial, cultural knowledge, caring, building, crafting, musical, and engineering/automotive skills. Through this categories, the team of students was able to indicate the skills present on each asset profile (Coleman et al., 2010)

On the next year, 2011, another group from the Cape Town Project Centre also used this strategy for their project. Through their project at Maitland Garden Village (MGV), the group used interviews with residents to determine what already existed in the community in terms of youth programs and their functions and to help them develop feasible ideas for a project in MGV. These ideas were presented to their sponsors. Through this assessment it was later determined that the team should upgrade the crèche present in the group and develop a youth program geared towards residents ages 13 to 21. This helped the team develop a better action plan for their project (Baker et al., 2011).

## Guidelines for Successful Settlement Upgrading

Now that some vulnerabilities and problems to assess have been explained, it is important to summarize the elements that should be considered for a successful upgrading process. Authors, Botes & van Resburg, developed a list of “Nine plagues and twelve commandments” for community-based development. Through their paper they emphasize the fact of acting as facilitators and provide 12 guideline to help through the process. They state that these guidelines are not rules and can change from community to community. However the main purpose of helping people from the outside to connect in all of them is very valuable. The commandments, as stated by Botes & van Resburg, are the following:

1. *“Demonstrate an awareness of their status as outsiders to the beneficiary community and the potential impact of their involvement.*
2. *Respect the community’s indigenous contribution as manifested in their knowledge, skills and potential.*
3. *Become good facilitators and catalysts of development that assist and stimulate community based initiatives and challenge practices which hinders people releasing their own initiatives and realize their own ideals.*
4. *Promote co-decision-making in defining needs, goal-setting, and formulating policies and plans in the implementation of these decisions.*
5. *Communicate both programme/project successes and failures – sometimes failures are more informative.*
6. *Believe in the spirit of ‘Ubuntu’ – a South African concept encompassing key values such as solidarity, conformity, compassion, respect, human dignity and collective unity.*
7. *Listen to community members, especially the more vulnerable, less vocal and marginalized groups.*
8. *Guard against the domination of some interest groups or a small unrepresentative leadership clique.*
9. *Involve a cross-section of interest groups to collaborate as partners in jointly defining development needs and goals, and designing appropriate processes to reach these goals.*
10. *Acknowledge that process-related soft issues are as important as product related hard issues.*
11. *Aim at releasing the energy within a community without exploiting or exhausting them.*

12. *Empower communities to share equitably in the fruits of development through active processes.*" (Botes & van Rensburg, 2000)

### Shortfalls of Community-Based Development

For as much potential as it seems to hold, community-based development does have its flaws. These flaws manifest both in the theory of CBD and in its practical application. For one it is very dependent on a good working relationships between the community and all involved agencies, something that proves very problematic in real-world situations (Abbot, 2002b).

One example can be found in the upgrading of Netreg, an informal settlement in Cape Town. The upgrade started in 1986, but due to a lack of integration between the community and the government, residents were not able to collect enough subsidies to take the project forward. After ten years without making progress the community sought the help of outside organisations, namely the Development Action Group (DAG) and the Niall Mellon Foundation (NMF) (Lizarralde & Massyn, 2008).

After nearly twenty years had passed DAG facilitated the creation of a project steering committee, but the project still diverged from its intention. One of the main deviations was that most of the work and design was hired out to contractors outside of the settlement. The housing designs were also changed to a new kind of unit by the NMF, composed of both detached and semi-detached units. Once built these structures proved to make poor use of the given space - they left open areas where additions were generally built, but the design of the houses made fitting an addition unnecessarily difficult. Considering the long-standing tradition of incremental expansion of informal settlement housing by its residents, these more static units were a clear mismatch to the needs of the community (Lizarralde & Massyn, 2008).

Beyond the practical issues seen in cases like Netreg, the basic concept of community members alone leading development can cause problems (Abbot, 2002b). While community members know their situation and needs better than outside sources, the lack of a larger perspective means that their decisions aren't always best for the integration of the settlement within the larger community. A great example of this situation was seen in the upgrading of Freedom Park, a low-income settlement located in Mitchell's Plain (Lizarralde & Massyn, 2008). Freedom Park was surrounded by two rival communities that often caused violent conflicts in the area, so the community members decided to form an enclosed settlement. This decision isolated the settlement from its larger area and left it with limited access roads. By prioritizing the short term goal of guarding against those settlements, they created a settlement plan that was less suited to long-term growth and prosperity (Lizarralde & Massyn, 2008).

### Strategies for Building Effective Work Relationships

Our team's first objective upon arrival on site will be to begin building cooperative relationships with our co-researchers and the Strandfontein informal settlement communities. Developing effective working relationships will enable our team to be seen as unbiased, trustworthy facilitators between stakeholders. To accomplish this, we plan to introduce ourselves and our

perspective on our role within the upgrading process to our sponsors, our co-researchers, the community and other stakeholders. Developing effective work relations will transfer to better communication between all stakeholders and enable genuine discussion. The upgrading process is complicated and personal. Our team's ability to show the community our genuine interest in assisting them and learning together as well as our investment in the project and therefore the development of the Strandfontein Informal Settlement community plays a part in our project outcome. Past Cape Town projects prove to be an invaluable resource in exemplifying ways to connect with the communities of informal settlements. The common themes in past projects for establishing effective working relationships with informal settlement communities include cultural exchange, working with co-researchers and visiting and conversing with community members regularly.

### Co-Researchers

Various projects have found the insights and ideas co-researchers bring to a project helpful in the community development process. In 2008, a WPI team worked in Monwabisi Park to first develop a co-researchers program and then work together on the Indlovu Project. In 2009, another project team worked with co-researchers in Monwabisi Park to develop project ideas and conduct surveys and interviews with community members. Both project teams attested to the vital help they found in co-researchers. Though the co-researchers initially tended to be shy, they quickly brought great insights to the WPI team and bridged a deeper connection between the students and the Monwabisi community. In 2008, the co-researchers not only helped diminish language barriers, but also made the community feel more comfortable with the presence of foreign students in their home. The following year, co-researchers aided in interviews with community members and provided a means for the community's insight and feedback to reach the WPI students. They informed the WPI team about community challenges such as the lack of knowledge for educational opportunities, the lack of employment opportunities and the high crime rates. This allowed the WPI students to help the community find new organisations to work with for further community development. The key to project success in Monwabisi lied in the opportunities made available through collaboration with co-researchers. Through these co-researchers, students came to understand and effectively communicate with the community, better enabling them to realize and build upon their strengths and acknowledge and create new opportunities in areas of limitation (Carey et al., 2009).

### Cultural Exchange

Our team met with the 2012 Langrug Communications Project Team and focused much of our conversation on their strategies for connecting and developing effective relationships with the community they worked in. They advised us to exchange cultures with the 7de Laan community upon arrival through photographs and language. The team reminded our group that the 7de Laan community will be just as interested in our culture and lives as we are in theirs and by sharing photographs of our families, homes, friends and the other meaningful people and places in our lives, the community members will be more willing to let us know and see their

lives. They also advised us to rent a camera from the ATC office and leave it with the community for a weekend. Their team used this strategy and not only did it allow them to see the community from the eyes of the community members, but it also proved to be useful in documenting important events that otherwise may have gone unseen by the WPI students. The team also stressed the importance for us to use language as a bridge instead of seeing it as a barrier. One student from last year's group spoke Spanish fluently and told us to use these types of skills to connect with the community and take advantage of the opportunities that arise from their curiosity in other cultures. The team also advised us to learn some Afrikaans, the first language of many coloured people. Even if our team can only try to pronounce a few words, they assured us the community would value our effort and find humour in our attempts.

### Numerous Visits

Another successful strategy for building effective working relationships used in past Cape Town projects focuses simply on spending time with community members in their settlement and making an effort to converse with the residents and show interest in their lives. The 2010 Profiling Community Assets in Monwabisi Park gave great advice on this strategy. In their project summary, they wrote, "Through multiple visits, we bridged the language barrier by not just visiting the site of an asset once and conducting an impersonal interview, but rather getting to know people in the community, visiting them a number of times, and forming personal relationships with them. This process helped us to learn a great deal about assets in Monwabisi Park, and was a meaningful experience on a personal level" (Coleman et al., 2010). This was another point stressed by the 2012 Langrug Communications project team in our meeting; they emphasized the importance of working hard to understand the community members' lives and strengths through genuine conversation.

### Communication Techniques

Without understanding the means of communication in the Strandfontein informal settlement communities, our team's ability to connect with community members may not transfer to success. The 2012 Langrug Communications team stressed this concept in their proposal by sharing a case study on an informal settlement located in the township Khayelitsha in Cape Town called Nkanini. The community had a number of ways to spread news including through their local radio station broadcasts, through local newspapers and the most widely used and important – through word of mouth. Newspapers played a smaller role in communication since many informal settlement community members have not learned to read or write. For the most part, Nkanini's primary form of communication succeeded in keeping the community members informed and united, but word of mouth may not have been sufficient because problems still arose.

When police arrived to tear down a few shacks in the settlement, one of the community's committees began protesting and fighting with another committee from another part of the settlement. The protesting and fighting escalated to riots and the police tear gassed the crowds. Word of mouth communication had broken down between the two separate committees which had serious effects on the entire community. The existence of separate

committees within the community also contributed to the communication breakdown. The government negotiated with both committees and a power struggle formed between them. The settlement also relied heavily on one community leader and in his absence, order and communication in the community crumbled. To avoid these verbal communication limitations during their project in Langrug, the team researched and recommended innovative ways to improve communication (Brooks et al., 2012).

### Verbal Communication Techniques

In informal settlements, community members' primarily communicate verbally. This mode of communication, though common, can be improved by actively listening and practicing committed speaking. This means it is helpful for the speaker to fully understand the idea he or she is verbally communicating and to then be committed to its execution. The listener then focuses on completely understanding the speaker's message. As a speaker, being self aware also plays a role in good communication. Self aware speakers are conscious of their strengths and can therefore utilize them to improve communication with others (Brooks et al., 2012).

Our team learned firsthand in a Project Site workshop the importance of committed speaking and active listening when communicating verbally, as well as the importance of asking questions when a speaker is unclear. We discovered that the speaker can take responsibility to ensure effective verbal communication by asking the listener to summarize or repeat important points made during presentations or meetings. This ensures the audience or listener has grasped the speaker's concepts and instructions and can even lead to new interpretations being realized and discussed.

### Focus Group Interviews

Focus group interviews are, as the name says, a type of formal interview. In this method, generally six to ten individuals are selected to discuss the ideas and thoughts of other people, whether they be from within the community or from a third party. This method is useful because it embodies the spirit of the sum is greater than the parts. The interviewees have opportunities to talk amongst each other and help each other reach conclusions about the topic, issue, or discussion at hand (*Citizen participation certification for community development : a reader on the citizen participation process*). They are also useful because they facilitate inter-community dialogue between individuals who otherwise might not communicate with each other.

### Surveys

Surveys are generally done in three methods, face-to-face, mail, and telephone. When used properly they help groups determine the thoughts and feelings of communities towards specific projects or ideas. They are helpful in community engagement because all individuals – or at least a broad spectrum of individuals – are contacted. There are flaws to this technique however. There is a monetary cost or time cost associated with performing surveys, and language barriers are not all together uncommon. Another common problem is the timing of

the survey. Should the survey ask for thoughts and ideas about a project too early than people will not have their thoughts fully formed and are apt to forget important thoughts and ideas (Green, 2012).

### *Talking Circles*

Talking circles are a communication technique adopted from the Native Americans. In this technique, individuals sit in a circle. This represents equality amongst all the members – there is no hierarchy and all people and thoughts have equal importance. Either a topic is proposed for the circle or someone proposes a thought, topic, or idea for discussion. A single individual then hold a talking stick – or some other object. Only that individual holding the stick may speak. This allows one to speak his or her thoughts free from judgment or interruption by others in the community. Rather than a power system, a system of harmony amongst the participants is established. It promotes teaching, listening, and learning amongst those involved (Franzen, 2009).

### *Visual Communication Techniques*

Past Cape Town projects have consistently used visuals to not only connect with informal settlement residents and bridge culture gaps, but also to aid in communicating effectively. The Langrug 2012 Project proposal identified four types of effective visual communication – drawing it out, participatory photography, participatory videography and digital storytelling (Brooks et al., 2012).

### *Draw it Out*

Previous Langrug groups improved communication with co-researchers by visually representing ideas before discussing them. By drawing out and visually articulating ideas first, groups were much more successful in communicating with each other and sharing their ideas verbally. It provided a deeper understanding for both the speaker and listeners (Brooks et al., 2012). During our meeting with the team, the Langrug Communications Team informed us that likewise, recording meetings in some manner, usually on a whiteboard in their case, can aid in effective communication as well and take it a step further by encouraging better accountability from all parties involved. Their community leaders also enjoyed using papers they wrote minutes on during meetings as decoration by displaying them on the walls.

### *Participatory Photography*

Photography as a form of communication facilitates deep thinking which transfers to genuine and effective communication. In participatory photography, the photographer contemplates how to clearly identify the message they desire to communicate and then he or she determines the best photograph to visually depict this message. The photographer then has the opportunity to speak to the image they captured and communicate their idea to a group. The effort and thought necessary to produce this communicative photograph allows for serious and difficult topics to be brought up and discussed. Participatory photography can build more

effective relationships between participants, but in order for it to be successful; the parties must have established some level of trust beforehand as well (Brooks et al., 2012).

In the 2009 Sustainable Community Involvement in the Indlovu Project, pictures not only served as a communication strategy, but the team also introduced photography as a way for the community to become involved in the settlement redevelopment process. Photography also functioned as a community run tourist business that provided income and job opportunity in the community, successfully alleviating some of the community members from the high unemployment rates (Carey et al., 2009). Our team expects photography to be a useful tool in developing effective relationships on site, improving communication and in aiding in the social development of the community in other unforeseen ways.

### *Participatory Videography*

Participatory videography has a similar outcome to participatory photography in that the process requires meaningful thought and the intention is to reach a new level of understanding and open more opportunity for meaningful conversation. However, Photography leaves more to interpretation by the viewer once hung up or presented, while a video can present the viewer with a stronger message from the producer's point of view. Participatory videography also empowers community members when they see themselves on screen. Once edited, the final product can serve as a tool to unite the community by depicting collective concerns and aspirations. It also may serve as a tool in acquiring stakeholders' and government parties' understanding and support. Another significant piece in both participatory videography and photography is that community members participate and learn to use equipment on their own and therefore develop new skills (Brooks et al., 2012).

In 2008, the Monwabisi Park Indlovu Project team facilitated, with powerful input and effort from co-researchers, the creation and production of endlouviniTV. Co-researchers and WPI students worked together to produce recorded interviews of community members voicing their opinions, concerns and insights throughout the Monwabisi Park redevelopment process. To provide more comfort and ease for community members, the interviews that focused on how to make the Indlovu Project's sandbag homes more accepted were done in Xhosa. By recording community members during interviews in their native tongue, the empowered community members spoke more openly about their collective hopes and fears and involved parties felt united and proud of their finished product (Angulo et al., 2008).

### *Digital Storytelling*

Digital storytelling combines elements from participatory photography and videography by integrating pictures and audio to create a video. While the viewer still has their own interpretation of the pictures, the audio introduces more of the speaker's perspective. Usually a digital story is about a person's life so a number of community members can have their own digital story. As the community members partake in the process, they often realize collective concerns, opinions and aspirations and discover a stronger sense of community. The participants also often develop the useful skill of being concise without undermining their story,

something that can easily catch listeners' attention and respect. For a final product, the group connects the individual digital stories for a collective message. This process facilitates and encourages community development and communication. Again, it is important for our team to remember how important a factor trust is in this form and every form of communication; community members will have more difficulty opening up if they don't trust the people they are working alongside (Brooks et al., 2012).

### Community Engagement Policies

Committee structure is very important in any division of authority and responsibility. For the creation of a public steering committee, the WPI Maitland Garden Village 2011 group created nine sub-committees, dividing the responsibility of the overall committee into smaller responsibilities. They worked with a large settlement. For the current project based in Spine Road, the total population is much smaller; nonetheless subcommittees will still be examined. The three main categories of committees are health, social, and financial committees. When creating a committee it is important to structure the committee such that it reflects the breakdown of those it works for – in terms of gender, racial, and other divides. Committees should also meet on a regular basis so that issues are resolved regularly and action may be taken when needed and not delayed. A common feature of successful committees is the initial training of new members, and more importantly the continued retraining of those same members.

To prevent the loss of focus for a committee, it must be created and governed by a set of internal rules and regulations. These rules vary between function and location but nonetheless are needed to create order and organisation within the group. A committee must also be held accountable for its actions. This means there should be a means for public recommendations to reach the committee. When received, the committee must take a stance and act. The results must then be documented for the public, for both transparency and accountability.

Despite the means of communication and transparency from the people to committees, there are many external pressures that weaken community support for projects. A lack of political support – where the regional ruling party is second to another party in a locality, generally causes the ruling party to put little care and support into the community, for fear of losing power. Similarly, in communities that have a gender divide, women tend to be the underrepresented party for both the lack of rights for them and also the generally lower literacy of women in lower income areas. Branching off of this, many communities have a paternalistic view of the national government, meaning people distrust the government, viewing it as a decision making body that does little to nothing to help the community. This problem also goes the other way. When people distrust the government, the government usually distrusts those individuals too. In governments with a strong centralized authority, local governments and wards tend to be given little power. This creates a large distance between the community and government, again leading to a lack of transparency and action to by the involved government and non-government parties.

A final problem facing committees and community engagement is the economy. In a weak national or global economy, workers face financial difficulties. Consequently they seek to save as much time and money and therefore invest less in their communities. At the same time, the rich get richer and an increasing divide is seen between what one would call the elite class and the worker class. Going hand in hand with a depression is a lack of skilled labor. This results in a lack of skilled volunteers for community improvement projects.

To combat these issues with community engagement, these issues, if present must be confronted head on. Women must be involved in the future of their community. Transparency from amongst the government and the community must be stimulated. Even something as simple as speaking the native language can build trust with a community.

The main reason to establish a committee is to act as the facilitators for community action, whether it is amongst themselves or with an external group. As such, public support is integral to all aspects of a project, from the planning of it to the execution of it. The aspects are identified by the various American federal agencies as (1) identifying and resolving problems, (2) assessing needs, (3) planning strategies and developing work plans, (4) gathering data, (5) formulating alternatives and estimating their consequences, and (6) analyzing, evaluating, and comparing tradeoffs among alternatives.

Once the planning process is established, the action plan must be created, that is the process to get from the current state to the selected alternative. First a specific set of goals and activities must be created. These goals must be realistic, clearly stated, attainable, measurable, and flexible. Most goals have multiple means to accomplish them. Generally the best method is to look at the intensity, the level of public interest, for each of the methods and select the highest. Along with intensity however is duration, the length of time a community is interested in a public project. Using the duration and intensity, the activity to accomplish the goal is selected. Following this tasks are assigned, generally using an asset-based approach. Upon completion, the accomplishments must be verified, and if need be the process repeated until success has been achieved.

The key to communication with the public is understanding the nature of the communication networks present. They are of two types – formal and informal. Formal networks are official channels and communication methods – television, radio, newspapers, et cetera, whereas informal are the more one-on-one and face-to-face communications. To analyze a network one must first analyze the people within the network and any leadership present. The nature of the communication must then be noted. Finally the involvement of the network, both between the members and outside the network, must be determined, as must their motivation for communicating.

To explain this clearly I use an example. There is a group of businessmen who go to Main Street every Thursday to sell their stock. The network under study is the businessmen network. It is definitely an informal network – there is not central body, means, or authority. Looking at the people, they would be classified as businessmen with no central authority. The nature of the communication is business, rivalry, town news, gossip, or likely a mix of the four. The

involvement amongst them businessmen is a regular weekly occurrence with almost all participating. The involvement outside the group is towards the customers and potential customers again on a regular weekly basis. Their motivation for communication is purely monetary – to make a profit.

The importance of analyzing these networks is it allows for one to better communicate to larger groups and analyze the dynamics of a community. Thus it allows for better community engagement and participation in projects.

Upon the completion of a project, the process is still not completed. First it must be presented to the public. The public then must be allowed to comment on it. This input is then taken back and along with the project itself, is analyzed, summarized, and reported back to the public. The cycle will thus end here if successful or may repeat until success.

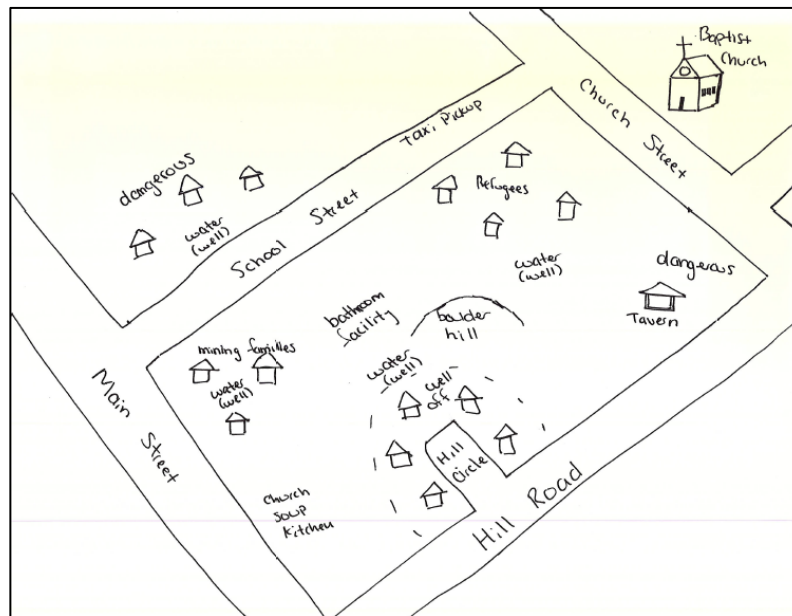
### *Public Steering Committee*

Often times in re-blocking plans, a government will help a settlement through monetary support, the bringing in of professionals, and the altering of land rights. However, the sheer size of a government such as that of Cape Town or South Africa will have little ground knowledge of the individual settlements whose developments it supports. To supplement this many times a local committee will be established within the settlement. The sizes, structures, and natures of these committees changes between settlements, but they do share common features and general rules. Common to most re-blocking efforts are the three goals of poverty eradication, vulnerability reduction, and political inclusion (*Informal settlements : a perpetual challenge?*, 2006). Looking from a positive light that is strengthening the economic stability, promoting regular and consistent lifestyles and routines, and getting the views and opinions of residents voiced.

Beyond common goals, most committees, henceforth referred to as the public steering committees (PSC's), have common structure and organisation. PSCs generally have no more than a fourth of the members being employed by the government, to reduce the influence of the government over the local views of the community. In determining who should serve on the committees, the rule is they should each represent a different civic-purpose organisation, such as a church or school. This is to ensure all areas of civil life are represented. Additionally, some community members are very important to decision processes, but are not always connected to an organisation. In these cases co-opted members may be appointed, either as full (voting) or associate (non-voting) members. To prevent inaction on the part of those on PSCs, terms are generally less than a year long and there is usually a maximum terms one may serve consecutively, typically three. Like any committee, there should be a secretary and a chair. The purpose of the secretary is to record the thoughts and actions of the PSC for accountability purposes while the chair is for organisational and structural purposes (Morgan, 1984).

The type of work done by these committees should be focused on all community life, not a single group or aspect. The projects selected also should not be already planned by another group, as the purpose of this body is to create new projects and ideas for the community. One

helpful method to deciding projects to investigate and undertake is through the use and analysis of a social map of the area. They typically include landmarks in the area, access to services, areas of risk and danger, and in the South African setting these will include shebeens, spaza shops, clinic, and soup kitchens. These maps are visually based and analysis for unskilled or untrained people is easier, especially when a committee is based in an informal settlement (*Informal settlements : a perpetual challenge?*, 2006).



**Figure 6: A social map**

Another common type of initiative taken by these PSCs is the creation of a directory of community interests. This consists of a book, document, or webpage detailing the interests of both community members and community organisations, both formal and informal. The purpose of this is networking – connecting people with similar interests, and project steering – knowing the interests and needs of the community at a deeper level (Morgan, 1984).

### **Public Participation Plan**

While PSCs determine community action, the level of public participation determines its success. In practice, the level of participation is classified, in order of increasing citizen involvement, as staff dominance, staff influence, parity, resident influence, and resident dominance (Washnis, 1974). Generally the higher the public participation, the more grassroots the project is and the higher chance of both initial success and sustainability (Green, 2012).



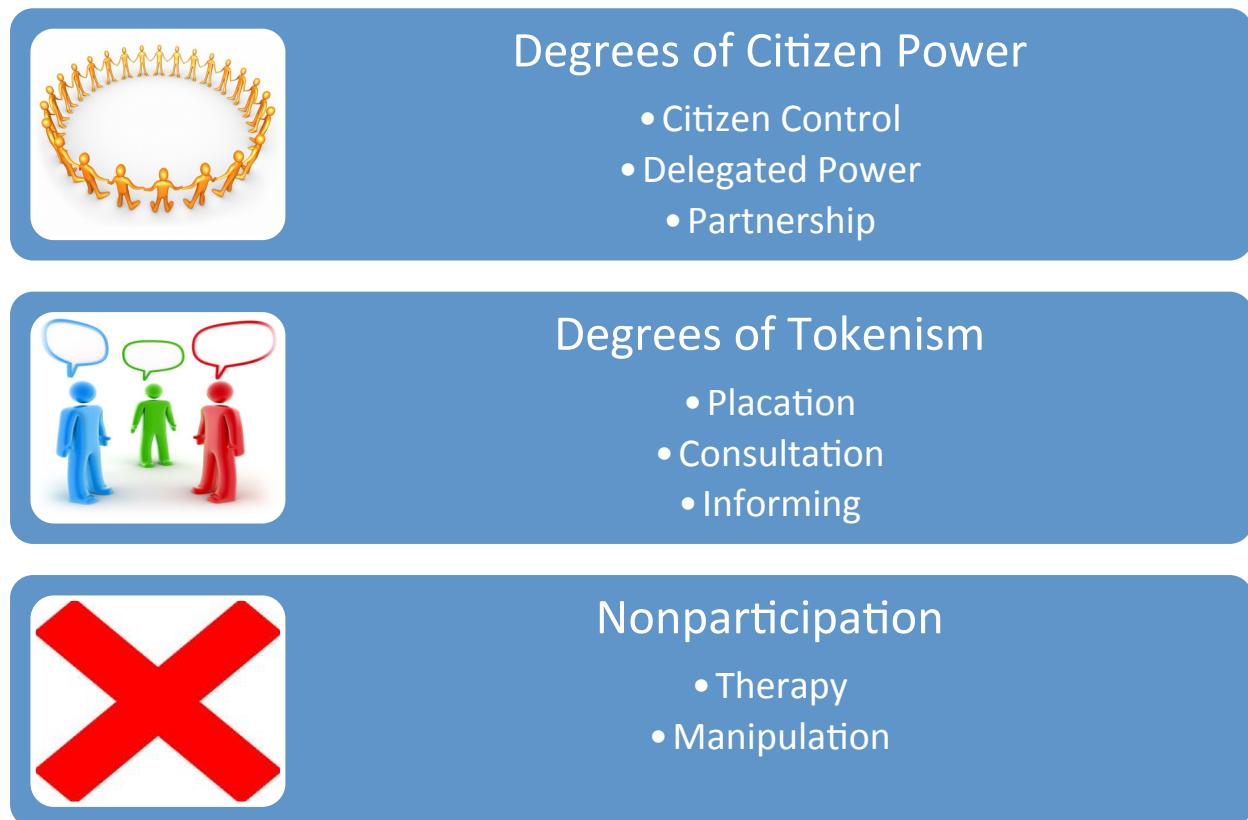
**Figure 7 : Public Participation is central to all steps of the community development process.  
Adapted from Asset Building and Community Development (Green, 2012)**

Methods for community involvement range greatly from between setting. Some communities see involvement as holding a civil or public office. Others see it as assisting the government through professional service. Some see the democratic method of voting as public participation. And all these are indeed methods of participation. For the context of this project, the most applicable methods appear to be connection to the government, either through office or voting, or serving on local advisory committees (Edwards, 1976). In this capacity, the community as whole is involved in the government and improvement processes. However community involvement however is half the problem.

The people of the community must also be active in participation as individuals for community improvement and daily life. When a PSC designs a project, many communities, especially informal settlements, lack the necessary funds and support to implement the project. This is where having high citizen involvement can have a beneficial impact. They can work together to complete the project for the betterment of the community.

Historically citizen participation has had many difficulties. As people are added to the planning process, more voices are heard, and action tends to become slowed and more difficult. Furthermore, while many governments and organisations include citizens, the citizens

themselves hold no real power (Green, 2012). This power structure is termed as the hollow power structure model, while full participation, the goal, is termed the community power structure (Bernard, 1973). Another further difficulty of participation is the centralisation of programs. When there is a centralized program or policy, local and specific methodologies are lost. Finally, governments argue about the level of information locals need to know to become involved. The trend tends to be toward less knowledge. The direct result of this is the lack of properly informed citizens who are biased towards the information the government reveals (Green, 2012).



**Figure 8: The Ladder of Citizen Participation. Adapted from Citizen Participation Certification for Community Development (Citizen participation certification for community development : a reader on the citizen participation process)**

In analyzing the participation level of a community, a ladder (**Error! Reference source not found.** is frequently used. The top of the ladder demonstrates active engagement by the community, while the bottom represents a lack of community engagement. For the goals of this project, and most improvement projects, the higher on the ladder, the more involved in the community the people in it are, and conversely the less power outside organisations hold within the community. Boosting public participation is therefore key to building a strong community, and in this case, the successful re-blocking of a settlement. One method for

boosting public participation is educating the community members about the problem and issue at hand, both bringing the issue to light, and the potential role of the community members in resolving the issue. A second reason people get involved with the community and community organisations is through social relationships. Take the example of churches. If your parents both attend church, then you are likely to attend that church too because of your relationship to your parents and their impact on your personal beliefs and values. Additionally, others become involved in organisations as a means of reaching out to new people or groups.

### **Resources Available for 7de Laan**

The resources available to us for this project are of four main types. They are governmental, community-based, organisational, and externally based.

#### **Governmental**

The government will be working alongside the WPI project groups, through monetary funding, [function pending interview or email]

#### **Community-Based**

The people in the community itself (7de Laan) will serve as a source of local knowledge and information about the assets and need of the community, in addition to manpower.

#### **Organisational**

This category consists of the local organisations in and near the settlements (nearby Strandfontein Village). Include a number of churches of numerous denominations, a large mosque, three public schools, two private schools, and a bible college. (Specifics are pending arrival in Cape Town)

#### **External**

This category consists of the non-government groups working in the area. Among these is CORC (Community Organisation Resource Centre). (Pending sponsor communication or contact from Scott)

Demographics of 7de Laan

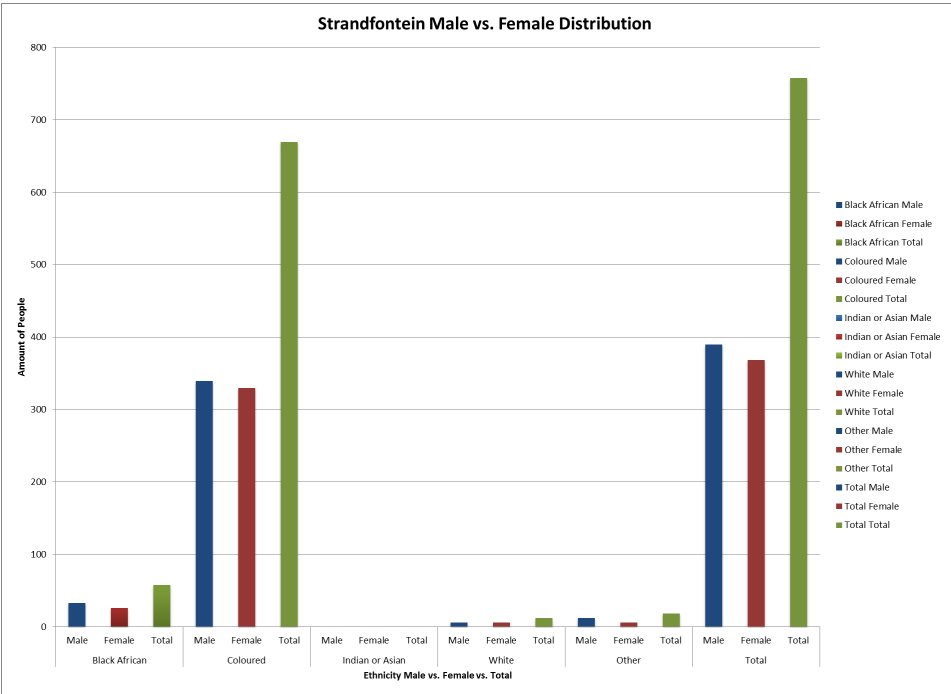


Figure 9: Strandfontein Gender Distribution

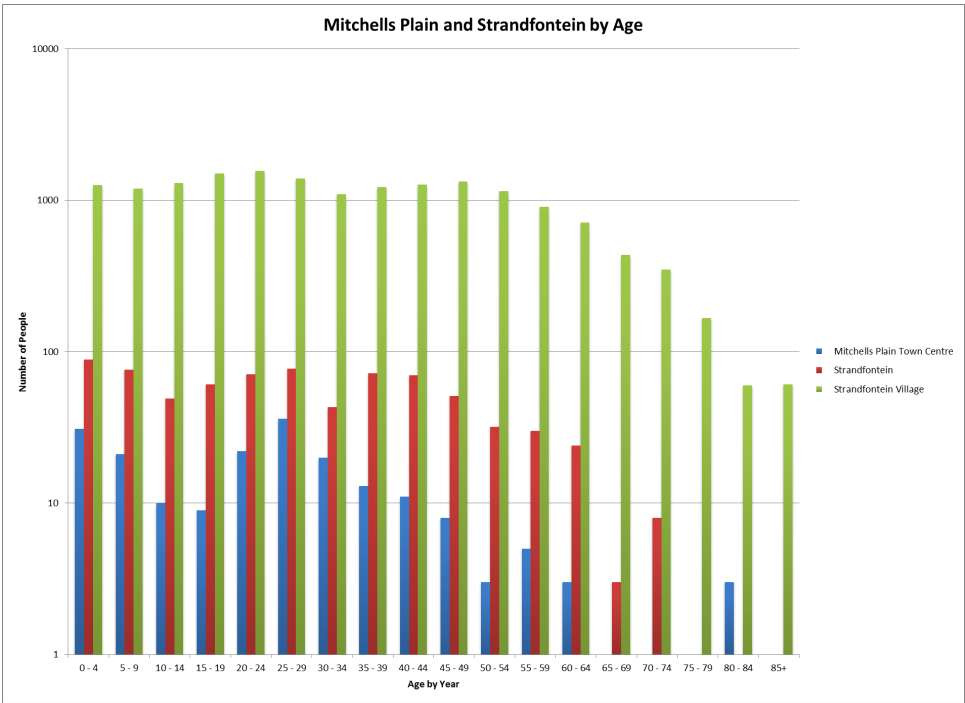


Figure 10: Strandfontein Age Distribution

## Connecting Pages

### Cast of Characters

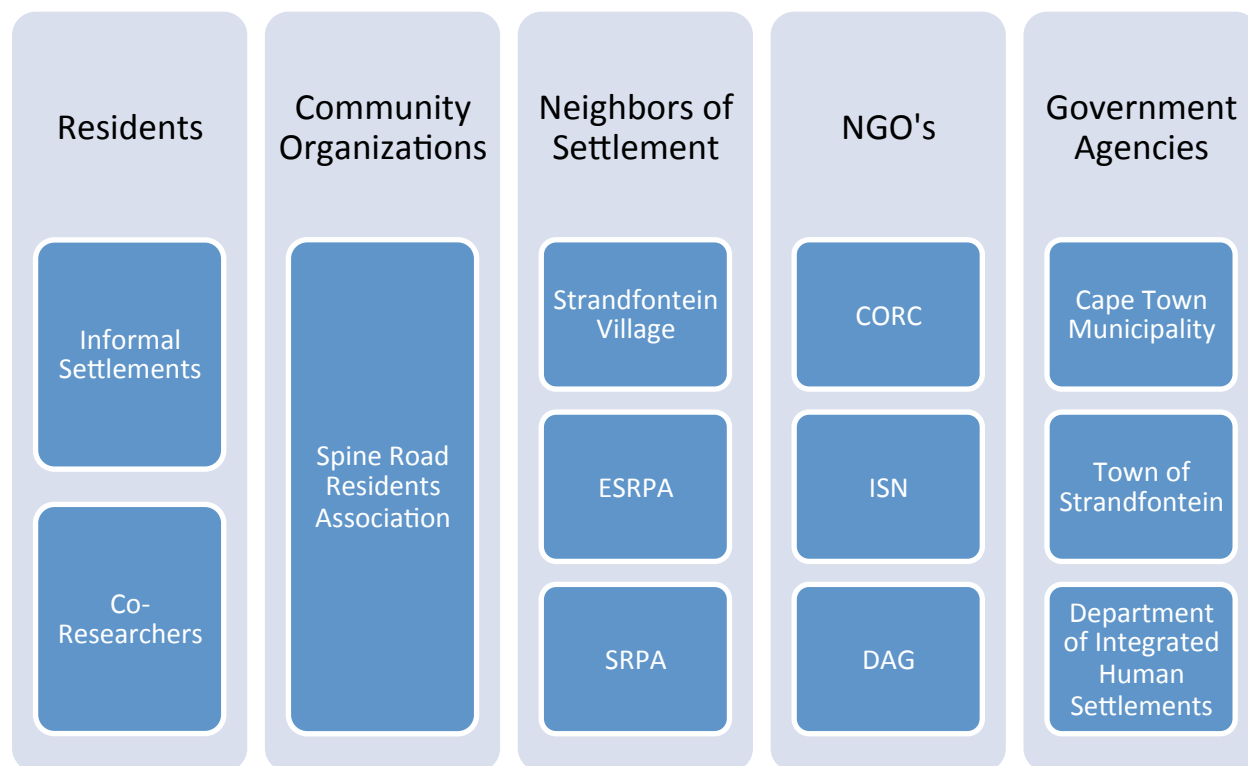


Figure 11: Cast of Characters - at a glance

### City of Cape Town

#### **Overview:**

The City of Cape Town is the municipality which governs the Cape Town region of South Africa. It is headed by the mayor of Cape Town, Patricia de Lille alongside her mayoral committee made up of eleven city councilors. In addition to the executive branch, there is also a city manager, Achmat Ebrahim and deputy city manager, Mike Marsden. Under the city manager fall all of the departments and directorates of the City of Cape Town, including the Utility Service Directorate, Social and Early Childhood Development Directorate, and the Human Settlements Directorate ("City management," 2013). There is also a town council with councilors being assigned to a specific ward, of which there are 111. There are also 24 sub councils in Cape Town, serving underneath the town council. The town councilor for 7de Laan is Irma Jackson, while the chair of the sub-council is Felicity Purchase.

The Human Settlements Directorate is directed Seth Maqetuka and contains five departments. They are: the informal settlements department, the existing settlements department, the new

settlements department, the housing and land forward planning department, and the strategy, support and co-ordination department. The focus of this directorate is to provide housing and basic services to the public in Cape Town("City management," 2013).

The Informal Settlement Department focuses on providing basic services to informal settlements, permanent services to settlements, and progressive housing to settlements when possible.

#### **Role:**

The government of Cape Town will be the sponsor for this project. They will be providing the funding for the implementation of our project in addition to providing guidance for local re-blocking strategies and policies within the Cape Town area.

#### **Contacts:**

We currently have two contacts, Levona Powell and Johan Gerber. Both of them work for the Informal Settlement Department of the Human Settlements Directorate of the City of Cape Town.

**Levona Powell** is the primary field officer for the Public Participation Process (PPP) for the Human Settlement Directorate, aimed at informing the residents of informal settlements of the government policy for upgrading and re-blocking the many informal settlements in the greater Cape Town area. Furthermore she is involved with the informal settlement control for the reporting of unlawful structures.

**Johan Gerber** is the head of Engineering Services for the Informal Settlements Department. He tours settlements and attempts to analyze if they meet certain government standards. He is very skilled in the engineering services and environmental services in the area.

### **Slum Dwellers International**

#### **Overview:**

SDI (Shack/Slum Dwellers International) is a international organisation for the urban poor across Africa, Asia, and Latin America. Their main focus as an organisation is to protect the status of informal settlements against eviction and to promote the upgrading and positive development of said settlements ("SDI South African Alliance History," 2013).

Within South Africa, SDI is known as the SDI South African Alliance. They run on the same platform as their umbrella organisation and work alongside many NGO's in the area.

### **CORC**

#### **Overview:**

CORC (Community Organisation Resource Centre) is a NGO (non-governmental organisation) within South Africa. They are a network of local activists and experienced professionals who seek to motivate communities to improve themselves based on their assets and abilities ("CORC," 2013).

**Role:**

CORC seeks to improve informal settlements by focusing on the land usage, urban planning, upgrading, and re-blocking of settlements. (The exact involvement is not yet determined).

**Informal Settlement Network**

**Overview:**

The Informal Settlement Network (ISN) is an entity consisting of numerous organisations aimed at helping improve the lives of the urban poor. These organisations range in size from local settlement level groups to national organisations. To accomplish its goal of community based development planning, it has three objectives. First is organizing and unifying the people of the community and second is getting the community represented in both local and national government – whether it is through direct elected representatives or lobbying around government workers. The third and final goal of this group is to improve the urban planning process to both include and involve all people regardless of socio-economic status ("ISN," 2013).

**Role:**

For our project, our plan of action is to incorporate the 7de Laan community into the ISN of South Africa.

**Development Action Group**

Cannot find information – website is being constructed... will do in Cape Town

**Co-researchers**

**Overview:**

This project will include the use of two community members, called co-researchers. (Description, function, and bio to follow in Cape Town)

**WPI Social Development and Infrastructure Groups**

**Overview:**

This group consists of two bodies, a social development group and an infrastructure group. The social development group is Molly Lellman, Chiana Montesi, Charles Plummer, Veronica Rivero,

and Jason Whitehouse. The infrastructure group consists of Sarah Antolick, Alison Brasser, Gaetana D'Alesio-Spina, Zach Demers, and Michael Enko.

**Role:**

These two groups are working alongside the Cape Town Informal Settlements Department and CORC to plan the relocation and consolidation of Masincedane, Plot 9, and City Mission into 7de Laan. Their goal is to engage the community to improve and re-block 7de Laan by using a community based asset approach. Furthermore, before leaving Cape Town, a plan for sustainability to settlement improving in 7de Laan is to be developed by the groups, through a public participation plan and public steering committee.

**WPI Cape Town Project Centre**

**Overview:**

There are six groups going to Cape Town for project work. The first two are described above under *WPI Social Development and Infrastructure Groups*, while the remaining four deal with park redevelopment, expanding a crèche, a recycling program, and water, sanitation, and health improvement.

**Role:**

While in Cape Town, park redevelopment may be contacted for insight into the creation and aspects of open space and its social implications. The crèche team may also be contacted for insight into how to plan a crèche or how to contact a pre-existing crèche in the formal settlement near 7de Laan. The recycling team may also be contacted for dealing with garbage and sanitation, in conjunction with the water, sanitation, and health team, who may also give insight into improving the services available to the people there.

**Sponsor Page**

From our communications with our sponsor, the project goal is to consolidate three informal settlements, City Mission, Plot 9, and Masincedane, into a fourth settlement, 7de Laan. During this process, the settlement will be re-blocked and upgraded both in terms of the infrastructure of the settlement and the social development of its people. To accomplish this task, we will be working with our sponsor's organisation, The City of Cape Town (COCT) Informal Settlements Department (ISD). Our first liaison, Levona Powell, specializes in policy, and our second liaison, Johan Gerber, specializes in engineering.

This project is of interest to our sponsor for multiple reasons. Firstly, this settlement depreciates the home value of the formal settlement nearby. Secondly the people living in the settlement are living on lands illegally. Thirdly, this settlement has been associated with other issues like prostitution, natural disasters, and drug use. As a government, Cape Town is required to provide certain standards of living to all citizens, which this settlement lacks.

Beyond our sponsor, there are also a number of small NGO's (non-governmental organisation) in the area. We will be working with an organisation called CORC (Community Organisation Resource Centre) which has been to 7de Laan in the past. CORC has also worked with our liaison, Levona Powell, and worked with WPI project teams in the past also.

## Planning Pages

In the next few sections you will understand our project's missions and objectives that we have defined through our research. Not only will we walk you through the first week plan when we are working in the informal settlements, but we also explain the methodologies that support these plans. The methodologies are founded by the definitions written in the Shared Action Learning Plan, and the ethical considerations ensure that we are being responsible and respectful towards the members of the community in 7de Laan.

## Shared Action Learning

SAL stands for Shared Action Learning, and has six basic principles of connecting, planning, acting, observing, reporting, and reflecting. This tool is very helpful in helping the growth of the community and partners. In Cape Town one of the central issues for our project is that of trust and transparency. In upgrading an informal settlement, there must be clear communication between the community, the government, the NGO's involved, and of course ourselves. This tool is a way of making our project not just another solution for the community, but to take it beyond into a learning experience. It is a way to progressively learn from the success and mistakes that you experience through your work, and keep finding ways to improve it. This idea is especially applicable to our project since it is new and extremely open-ended. Our group will have to look at different options for how to best assist the social development of 7de Laan and plan accordingly; all the while we must be open to the fact that we may face the challenge of changing those plans to better suit stakeholders and the community later on. By continuously asking questions, understanding the context of our project and building connections with different people, the project is no longer the work of just five students from WPI, but it is built upon many people's ideas and questions which with research, planning, acting and observing will hopefully lead to a more widely accepted and useful final outcome and bring new light to the lives of everyone involved. . The overall goal of shared action learning, is to make sense of what is going on, find the problem, create a solution, and successfully communicate to others our observations through reports so that they can repeat the process. Being able to question our own thinking, and others, while being ethical is the main goal of our project.

## Mission Statement

The goal of this project is to assist the City of Cape Town Informal Settlements Department to unite and upgrade several informal settlements located in Strandfontein, Cape Town in a way that advances the aspirations of the affected communities. The team intends to involve and

work alongside a range of stakeholders to help socially develop and sustainably upgrade the consolidated community.

## Objectives

After thorough research on informal settlements, upgrading approaches, resources for the upgrading process and communication techniques, the team has succeeded in understanding better the mission of our project and in drafting the processes to achieve this mission. The team understands that by nature, the best preparation for our project involves planning communication and networking strategies. The concrete outcome of our project depends on the aspirations and involvement of the Strandfontein communities, the government of Cape Town and other organisations. Thus far our approach focuses first on developing cooperative relationships between ourselves, the co-researchers, the community, and stakeholders. Through the combined perspectives of these groups, we will assist in the facilitation of the planning and execution of the Strandfontein informal settlement upgrade. Listed below are our project objectives:

1. Develop effective working relationships with co-researchers, community members, and other stakeholders.
2. Gather and document community members' and other stakeholders' insights and opinions through various interactions such as interviews, surveys, conversation and video.
3. Support and assist the Spine Road Informal Settlements Community Project Steering Committee.
4. Engage the community in the upgrading process and form a Public Participation Plan.
5. Assist the community in networking with the government, NGOs, and other stakeholders.
6. Investigate the implementation of a sustainable multipurpose community gathering space and with the infrastructure team, create the layout plan for the consolidated community, complete with community approval and a finalized comprehensive Project Implementation Plan

### **1. Develop effective working relationships with co-researchers, community leaders, and other stakeholders.**

The intention of this objective is to lay the groundwork to enable our team to be seen as unbiased, trustworthy collaborators with stakeholders. To accomplish this, we plan to introduce ourselves and our perspective on our role within the upgrading process to our sponsors, co-researchers, other community leaders and other stakeholders. We also understand a key part in successfully developing effective working relationships lies in asking for input from these groups. The important questions for us to ask them will be what big opportunities exist in this upgrading process and how can our team help them take these opportunities and reach their goals. Much of our time during the first week on site will be dedicated to achieving this

objective. We hope that success in developing effective working relationships will transfer to better communication between all stakeholders and enable genuine discussion.

## **2. Gather and document community members' and other stakeholders' insights and opinions through various interactions such as interviews, surveys, conversation and video.**

Through this objective, the team intends to understand the stakeholders' ideas and hopes for the upgrading process. Important questions for us to ask stakeholders include: what are the opportunities for upgrading that you see? What do you want to accomplish through this process? How do you want to work together? By gathering the answers to these big questions, we will begin to develop a strategy that with compromise and negotiation will satisfy all stakeholders. After understanding the strengths and limitations of the community, its members' hopes for their upgraded residence and the aid the government and NGOs can offer, we hope that a sustainable plan for the future will take form.

## **3. Support and assist the Spine Road Informal Settlements Community Project Steering Committee.**

The Cape Town Project Centre has a tradition of working closely with community co-researchers and other community leadership groups to mutually learn. The idea is for WPI teams to facilitate and support the leaders' work in the community by asking how we can help them, while they help us understand the community. In this objective we hope to learn from the Project Steering Committee members' insights and provide them assistance in understanding upgrading processes and effectively participating. Ultimately, when we engage more broadly with the community, these leaders will take the lead. Once we have mutually determined our plan of action, they will be the main drivers in community engagement.

## **4. Engage the community in the upgrading process and form a Public Participation Plan.**

Our project description defines this objective as an important part of the social development component to the Strandfontein informal settlement upgrade. This plan will serve as a means for negotiating and defining the responsibilities of community members and the stakeholders working on the upgrade and holding all parties accountable to upholding these negotiations. It will serve as a tool to hold community members responsible for contributing to the upgrade, develop a means for community members to communicate their concerns and hopes with other stakeholders and hold the organisations working in 7de Laan accountable to making room for input from the community in their plans.

## **5. Assist the community in networking with the government, NGOs, and other stakeholders.**

This objective focuses on expanding communication within the community to communication and planning between the community and other stakeholders. Our team has heard that networking has already begun in 7de Laan and that the organisations DAG and CORC have been working in the settlements for some time. After consulting with our sponsor, we expect to meet with representatives from these organisations early on to discuss their past work, insights and

future plans. We hope to strengthen ties between these organisations and the community's Project Steering Committee to provide optimal aid in the informal settlements and build sustainable partnerships between all stakeholders.

**6. Investigate the implementation of a sustainable multipurpose community gathering space and with the infrastructure team, create the layout plan for the consolidated community, complete with community approval and a finalized comprehensive Project Implementation Plan.**

The final objective of our project is to utilize the tools, skills and insights developed by accomplishing the five previous objectives to collaboratively design and approve a layout plan for the consolidated settlement. The planning process will be undergone with not only the stakeholders mentioned previously, but also the Infrastructure team. Our groups will combine the other group's knowledge of infrastructure planning and our team's insights into sustainable, multipurpose community gathering spaces and stakeholder involvement to design the settlement's layout plan, obtain the community's approval, finalize it and present it.

### **Methodologies**

Due to the level of uncertainty inherent to our project, we have chosen to focus on our first week in Cape Town when describing our methodologies, along with more general practices that are not dependent on specific knowledge of our plans. This first week will be a crucial opportunity for us to begin developing relationships with stakeholders, and what we learn in this period will determine the direction of the project going forward. The following sections will explain our methods for interviewing, the ethics of our project, and our specific plans for the first week in Strandfontein. It will also briefly consider how we expect to extrapolate our plan over the course of the project.

### **First Week Plan**

The team's goal for the first week will involve familiarizing ourselves with the site and introducing ourselves, our perception of our team's role and our Shared Action Learning approach to the project.

### ***Introductions – Setting and Main Characters***

To adjust to and familiarize ourselves with the areas we will work in, we plan to take a tour of the informal settlements. We also expect to officially meet our sponsors in the beginning of the first week. We will offer our expectations of what our role will be in the upgrading project and our approach to accomplishing this role. Then, we will ask for their feedback and thoughts. We hope to have a similar discussion with our co-researchers. We've acknowledged the importance of communicating our perception of the part we play within the upgrade process as facilitators, lessen any confusion, and establish our inability to make any promises other than that we will do our best. We also expect to be introduced to a CORC and DAG representative early on in the

project to get an idea of the work they've accomplished thus far and readily open lines of communication.

### *Name Tags*

The first activity to further introductions will involve creating nametags. We will distribute materials such as paper, scissors, glue and markers to make creative nametags that in some way define an aspect of ourselves. This will make learning names easier and allow the team and co-researchers to get to know each other.

After introductions, our next step will be to establish a level of comfort to encourage cooperative relationships between ourselves and community leaders. To do this, we plan to implement the trust building and communication strategies we researched during the preparation period.

### *Social Mapping*

Through research, the team discovered the innovative social map. Social maps represent the features of an area not to direct the viewer to a specific location, but to represent a region's infrastructure, assets, strengths and limitations. In the first week, the team plans to create a social map of the Spine Road Informal Settlements Community with the valuable insight of our co-researchers. This activity will enable the co-researchers to visually communicate their perspective on the community. It will also allow the team to collaborate with co-researchers to create a useful finished product through mutual learning. Finally, this social map will further the team's understanding of our project site and hopefully depict the strengths and assets our project will be built upon.

### *Photographs*

We also plan to use photographs to connect with the co-researchers. Members of our team will bring photographs of the meaningful people and places in our lives with us and share them with co-researchers on site. Our hope is to allow the photographs to facilitate cultural exchange and develop friendly relationships with community leaders that will transfer to effective working relationships. Our team will also rent cameras from the ATC office to share with co-researchers and other community members. We plan to leave the cameras behind for a night or two and ask the community members to take pictures of the meaningful things in their lives or the things they want to communicate to us. Our vision is to allow the photographs to begin conversation about people's daily lives, strengths, concerns and aspirations through a storytelling 'show and tell' presentation approach. This will begin conversation about the people's current living situations and teach us some of their strengths as well as their hopes for future living conditions.

## **Language Bridge**

Although most people refer to the different languages spoken across nations as a barrier, our hope is to use language as a bridge between ours and the community member's cultures. The Langrug 2012 Communications team anticipated the Strandfontein informal settlement members to have an appreciation for language much like the Xhosa people they worked with in Langrug. They advised us to learn a few words in Afrikaans to impress community members or to at least humour them. They also encouraged us to teach them any other languages that our team members speak, since in their experience, many people were curious and excited to learn Spanish from one of their group members.

## **Materials**

The materials we plan to bring with us to accomplish these first week goals include: poster paper, maps, ATC cameras, markers, scissors, glue, and name tags.

## **Beyond the First Week**

Due to the unpredictable nature of our project and the Shared Action Learning approach our team has adopted, we decided not to restrict our project by developing detailed plans beyond our first week on site. We have established that the goal of the first week is to make introductions and nurture relationships with the people we will work alongside. After accomplishing this, the next steps will be to gather feedback and insights and begin implementing our communication techniques to develop the community's relationships with stakeholders. The Shared Action Learning approach thrives through the involvement of all parties and acknowledging our need to learn from each other. By planning only our first week, we will be utilizing this approach and taking an important step in establishing that our role is to facilitate and empower, not to control.

## **Interviewing Pages**

As we continue to move along in the development stages of the project, we have found the key stakeholders that we need to target. The quickest and most efficient way in obtaining information from such individuals is by interviewing them and having group discussions among community members. In order to understand how each group may be able to help and influence the growing community we first need to develop a trusting relationship. These interviews are used to gain insight on the parties, and also help them understand one another in the forward progression of creating a plan of action for the community. We also hope that they give us insight and advice for the upcoming weeks on the project site.

As we look at our cast of characters there are three main groups that we would like to focus on when conducting interviews. The first group deals with meeting our Liaisons. When interviewing our Liaisons we will hopefully figure out what their goal for us is on the project. These interviews will be conducted with the Infrastructure team. We will learn more about their personal background, and history with the department they are currently working with.

The second and third party that we will be interviewing focuses on the members of the community and the plan for its development. When interviewing people in the community we will try to figure out who are the emerging leaders in the community, and what different types of organisations are involved in the informal settlement. We want to know what community members are most involved in and what they want in the development of the informal settlement. To conduct these interviews we plan on holding group discussions along with individual interviews. The main purpose of interviewing this party is to find out what the community is interested in and what their opinions are.

The fourth group consists of NGOs that are non-profit organisations. With this group we hope to discover what type of work they are doing in 7de Laan and what other informal settlement projects they have worked on. Through these interviews we hope to discover resources community members can utilize, and what the group has to offer to the community. We will also encourage NGO group leaders to create a network with members of the informal settlement. When interviewing these parties we will try to figure out who the main leaders are in each organisation, and how they affect informal settlements, specifically 7de Laan. Not only we will determine how they directly and indirectly affect informal settlements, but we will also figure out whom they are connected to in the community.

Below you can see our outline for each group that we plan on interviewing. Each group has a variety of questions that we will hopefully get to ask upon our arrival to the 7de Laan community. It is likely that we will focus more on our sponsors and community members, until we get enough information and input to bring to the NGOs.

### Liaisons

Our liaisons, Johan Gerber and Levona Powell, are our connection to this project and will assist us through our work with the community. Even though we could not successfully contact them prior to our arrival to Cape Town, they will be the first people we contact upon our arrival. When working with our liaisons we want to know how involved they are in our project and in the community, as well as knowing their expectations for this project. We will work very closely with them and their feedback will help us to define and achieve our goals. We will first introduce ourselves, before carrying on with the following questions:

- What department do you work for and what is your role?
- How did you get involved and what motivates you about this project?
- What opportunities do you see in these upgrading process?
- What is the status of the upgrading process in 7de Laan area?
- What are the reasons for relocating the other settlements?
- Why was 7de Laan chosen for the upgrade?

- What are some problems currently been faced in 7de Laan?
- What is the community's opinion about the project?
- Who is taking the lead in the community?
- What do you think is our role in this project?
- Have you previously work in similar projects, and what advice could you give us?
- Do you have anyone you believe we should contact?

### Community Leaders

For this group we plan on first focusing on the community leaders such as the co-researchers and members from the Public Steering Committee. By interviewing them first we want them to know that we plan on working closely with them, and explain that we are there to facilitate and support their work in the community while they help us understand the community. By doing this we hope to constitute a working relationship with them. Within the first few days we plan to get a tour of the community, before interviewing individual community members. After introducing ourselves and our project and asking them to fill out the informed consent we will proceed to the following questions:

- What is your passion, hobby or any favorite thing?
- What is your role in the community?
- How did you get involved as a community leader and what is your motivation behind it?
- What have you heard about the upgrading process of the Strandfontein informal settlements?
- What are some problems you see the community is currently facing?
- What are the opportunities for upgrading that you see?
- What do you think could get accomplished in the short and long term?
- In which ways do you think you could assist the community?
- What do you think is our role and ways in which we can assist you?
- What are some assets and strengths present in the community that could assist through the upgrading process?

## Community Members

After we are familiar with the area and have gained a better understanding of the settlement's situation, we plan to engage with community members. These members could include recently relocated individuals or others already living in the community. They will be a great resource in providing us with the understanding and expectations of the community in through this process. These interviews will also provide a great insight on the areas where there are opportunities for improvement. After a very brief introduction and explanation of our project and filling out any documentation needed, we will ask the following questions:

- What is your current housing situation and do you like it?
- Do you feel safe in the community?
- How long have you lived in the current settlement?
- Do you believe the government is providing substantial housing for you?
- What have you heard about the upgrading process of the Strandfontein informal settlements?
- What is your opinion about the relocation and upgrading process?
- Have you been relocated and was it your decision?
- What are the pros and cons of moving into the informal settlement of 7de Laan?
- What are some problems you see the community is currently facing?
- What are some opportunities for improvement in the settlement?
- Would you like to become more involved in the development of this community?

## Non Governmental Organisation (NGO)

There are various NGOs that could assist through this upgrading process. Some of them are the following: Community Organisation Resource Centre (CORC), Informal Settlements Network (ISN), Rate Payers Association (RPA), and East Rate Payers Association (ERPA) For this group we plan on first knowing background knowledge on each NGO. We will plan to conduct these interviews with individual leaders heading the projects in 7de Laan. We will not only find out their involvement in the community, but we will also work with these groups to see how they can empower community members to improve their settlement. Hopefully, these stakeholders will provide resources to assist community members in their endeavor. For the interview, we will introduce ourselves and our project, and will ask the following questions:

- What is your affiliation with the City of Cape Town?

- What is the role of your organisation?
- What different types of organisations are you partnered with?
- Is there any political motivation behind your organisation?
- Where does your funding come from?
- How did you get involved in this community and what were your motivations?
- What is your knowledge regarding the upgrading of the informal settlements located in Strandfontein?
- What is your vision for upgrading in this community?
- What do you think is our role and ways in which we can assist these upgrading?
- Do you know of any leaders of the project in 7de Laan and the work they have done?
- What is your current level of involvement of your organisation in the Spine Rd. informal settlements?
- Why are you invested in the outcome of the Spine Rd. informal settlements?
- Have you previously worked in other informal settlement upgrading projects?
- Do you have any advice or resources you could share with us?

### Ethical Considerations

As is the case in all Cape Town IQPs we will be working with human subjects, and as such need to consider how our project and the information we collect will affect those people. Since our project is based around social development within multiple informal settlements, we will interact on a daily basis with residents of those communities. It is very important that we recognize the agency of these people, and their right to understand the nature of their participation and decide to what extent they want to be involved.

In the course of our project we will be conversing and working with several different types of people, from government officials to settlement residents. It will be important that the people we talk to understand what it is they are participating in, how the information they disclose is going to be used, and how it will eventually be represented. It is also important that all participants know whom to contact if they change their mind about participating in the project. This option will be allowed at any point during their involvement. We also need to be aware

that we do not present their information in an incorrect or derogatory way, because the gathered information we collect can affect the participants if represented the wrong way.

We plan to document much of our work through photos and videos, so it will be important for all participants to know how the media we create will be used. It will also be required for all participants to give written/oral consent for any media involving them, without which we will not be able to use it. In preparation for this we will use the attached informed consent form.

In light of the language barrier that will be present between our project team and many of the subjects, it is our duty to make sure that all information is properly translated and understood. We need to feel confident that the contributors understand the goal of our project, and how their actions will be documented within our report, in order to accept their consent. To accomplish this goal we can use the help of our sponsors, co-researchers, and other members of the community that are strong English speakers. As a project team we will need to be sure that any collaborators uphold the same level of ethical consideration as ourselves.

An Institutional Review Board (IRB) application will also be submitted and reviewed by the faculty members of WPI. This application includes sample questions we will use during the interview process of the community, our mission statement, objectives, and our first week plans for the project centre. This process ensures that we know how to confidentially handle participants' information, and that our procedure shows that we are treating our subjects properly and with the utmost respect.

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## Appendices

### List of Acronyms

CORC - Community Organisation Resource Centre

ISN - Informal Settlement Network

DAG - Development Action Group

CDD - Community Driven Development

SDI - Slum/ Shack Dwellers international

COCT - City of Cape Town

ERPA - East Rate Payers Association

RPA - Rate Payers Association

CTPC - Cape Town Project Centre

NPO - Non Profit Organisation

NGO - Non-Governmental Organisation

WPI - Worcester Polytechnic Institute

IQP - Interdisciplinary Qualifying Project

DIHS - Department of Integrated Human Settlements

ABCD - Asset Based Community Development

PSC - Project Steering Committee

PPP - Public Participation Plan