

## Contact details of the CRO Team

**Dr Debra Roberts**

Chief Resilience Officer  
debra.roberts@durban.gov.za

**Mrs Jo Douwes**

Deputy Chief Resilience Officer  
joanne.douwes@durban.gov.za

**Mrs Manisha Hassan**

Second Deputy Chief Resilience Officer  
manisha.maganlal@durban.gov.za



**Resilience Strategy 2017**  
Approved by eThekweni Municipality Council

[www.durban.gov.za/100RC](http://www.durban.gov.za/100RC)







2013

PHASE 1 • 2013 - 2015

PHASE 2 • 2016 - 2017

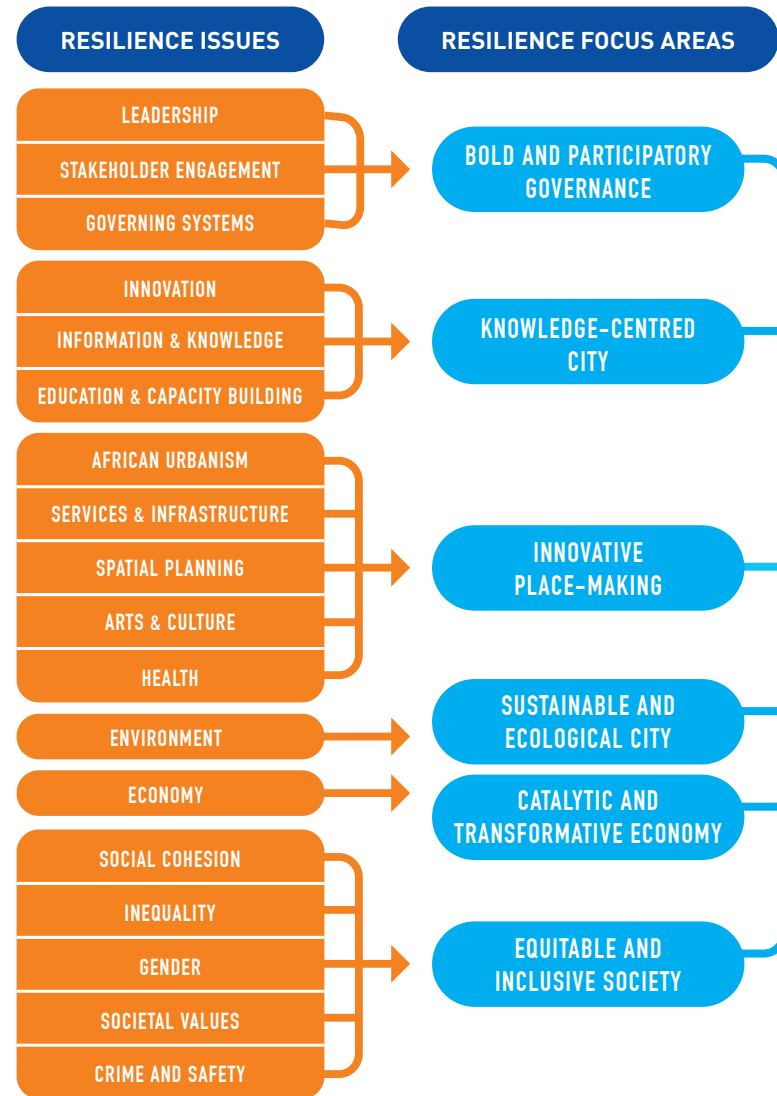
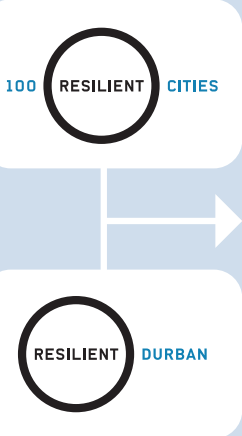
START POINT

RESILIENCE ISSUES AND FOCUS AREAS

SYSTEMS ANALYSIS

RESILIENCE BUILDING OPTIONS (RBOs)

FINALISING THE RESILIENCE STRATEGY



## SYSTEMS ANALYSIS OF THE 6 RESILIENCE FOCUS AREAS

## 6 LEVERS FOR CHANGE

- 1 Strengthen local communities and build social cohesion
- 2 Improve effectiveness of education and skills development
- 3 Promote economic growth in line with 21st century trends and opportunities
- 4 Manage environmental assets more effectively
- 5 Create a more inclusive and integrated spatial plan
- 6 Improve municipal effectiveness

## COLLABORATIVE INFORMAL SETTLEMENT ACTION

### RESILIENCE STRATEGY OUTCOMES

- EThekweni Municipality has a committed team of champions that are supported by co-ordinating institutional structures to ensure collaborative informal settlement action.
- Consolidated quantitative and qualitative community and municipal-collected data, information and knowledge on all informal settlements in Durban is accessible to all and updated regularly.
- EThekweni Municipality facilitates the establishment of proactive, innovative and municipal-wide partnerships to develop and execute collaborative, climate-smart and sustainable informal settlement upgrading.
- EThekweni Municipality secures the human and financial resources required to undertake collaborative, municipal-wide informal settlement upgrading.
- EThekweni Municipality has enabling and integrated administrative systems and simplified regulatory procedures that facilitate the accelerated implementation of municipal-wide, collaborative informal settlement upgrading and partnerships.
- Collaborative monitoring and evaluation of informal settlement upgrading interventions is institutionalized in eThekweni Municipality.
- The use of land for informal settlements is proactively managed in Durban.
- All informal settlements in Durban exhibit improved social, economic and environmental well-being, which in turn enhances Durban's resilience.

## INTEGRATED AND INNOVATIVE PLANNING AT THE INTERFACE BETWEEN MUNICIPAL AND TRADITIONAL GOVERNANCE SYSTEMS

### RESILIENCE STRATEGY OUTCOMES

- Secure institutional support for the process of integrating planning between municipal and traditional governance systems.

## DURBAN'S RESILIENCE STRATEGY

### DURBAN'S RESILIENCE STRATEGY IS DIVIDED INTO FOUR SECTIONS:

- 1 Resilience Building Option 1: Collaborative informal settlement action.
- 2 Resilience Building Option 2: Integrated and innovative planning at the interface between municipal and traditional governance systems.
- 3 Exploring potential 'bridging links' which focus on additional considerations for further expansion of the resilience work.
- 4 Institutionalising resilience in eThekweni Municipality.

Prior to the application to 100RC, the Durban Team convened a number of local government technical departments to secure support for Durban's potential participation in 100RC. This process also helped to build administrative support for 100RC in Durban.

The Durban Team engaged a broad range of Durban stakeholders, which included a cross-sectoral Municipal Technical Team, city and political leadership, a group of 'critical thinkers' from within and outside the Municipality as well as a range of stakeholders such as tertiary institutions, NGOs, business and members of the public to ensure that the resilience strategy development process was representative of the challenges facing Durban.

Consultation process in January 2016 with the Municipal Technical Team, City Planning Commission, and the public for the systems analysis process.

Consultation and Feedback process in March 2016 with the Municipal Technical Team, City Planning Commission and the public on the systems analysis "levers for change."

Consultation process in April 2016 with critical thinkers, cross-sectoral Municipal Technical Team and the Environmental sectors to share outcomes of the systems analysis and to identify the RBOs.

Consultation process in June 2016 with the public to share final outcomes of the systems analysis and to confirm the RBOs.

Consultation process in June 2016 with a cross-section of stakeholders to explore the RBOs.

Consultation process in September 2016 with a cross-section of stakeholders to confirm the issues and to identify interventions for the RBOs.

Consultation process in November 2016 with the Municipal Technical Team to refine the outcomes and interventions for the RBOs.

Consultation process in January 2017 with a Multi-Stakeholder Working Group and the public to refine the outcomes and interventions for the RBOs.

Consultation process in February 2017 with the Reference Group for RBO 1 and the public to finalise outcomes and interventions for the RBOs.

Consultation process in February 2017 with the Reference Group for RBO 1 and cross sectoral stakeholders to apply the Human Benefit Analysis to outcomes for RBO 1.

Consultation process in March and April 2017 with the Municipal Technical Team, public, city and political leadership on Durban's draft Resilience Strategy.

DURBAN TIMELINE

25 MONTHS

19 MONTHS

100RC TIMELINE

2 - 3 MONTHS

6 - 8 MONTHS

**DECEMBER 2013**  
Durban was selected as one of the first 32 cities to be included in the Rockefeller Foundation's international 100 Resilient Cities Programme.

**DECEMBER 2013 - DECEMBER 2015**  
**Understanding resilience in Durban:** Durban's resilience journey began with a scoping phase in 2014 to understand some of the key resilience challenges in Durban. Eighteen resilience issues were identified. Given the interconnectedness of the resilience issues, it was decided that all eighteen resilience issues, grouped into six focus areas, would be taken forward into the next phase of the strategy development process. The resilience focus areas were: Bold and Participatory Governance, Knowledge-centred City, Innovative Place-making, Sustainable and Ecological City, Catalytic and Transformative Economy, and Equitable and Inclusive Society. Phase 1 of 100RC culminated in the development of Durban's Preliminary Resilience Assessment (PRA).



**JANUARY 2016 - APRIL 2016**  
**Undertaking a systems analysis of the resilience focus areas:** Phase 2 began with a 'Systems Analysis' of the resilience focus areas to identify systemic intervention points that could have catalytic impact across multiple resilience focus areas. Six cross-cutting resilience "levers for change" were identified: Lever 1: Strengthen local communities and build social cohesion; Lever 2: Improve effectiveness of education and skills development; Lever 3: Promote economic growth in line with 21st century trends and opportunities; Lever 4: Manage environmental assets more effectively; Lever 5: Create a more inclusive and integrated spatial plan; and Lever 6: Improve municipal effectiveness.

**APRIL 2016 - JUNE 2016**

**Identifying Resilience Building Options for Durban:** Given the breadth of the 'levers for change' stakeholders were asked to identify more specific 'resilience building options' (RBOs) that could address multiple levers simultaneously, be transformative in their impact and be practically implemented. Two priority resilience building options were identified: RBO 1: Collaborative informal settlement action and RBO 2: Integrated and innovative planning at the interface between municipal and traditional governance systems. These were endorsed by stakeholders.

**JUNE - SEPTEMBER 2016**

**Understanding the Resilience Building Options in Durban:** In order to explore and understand these RBOs more comprehensively, a series of conversations with a cross-section of stakeholders was convened to understand the key actors and issues for each of the RBOs and to understand potential intervention points for each. The outcome of this work was the development of an actor map for each of the RBOs, a narrative capturing the key issues relating to the RBOs, and possible interventions for each.

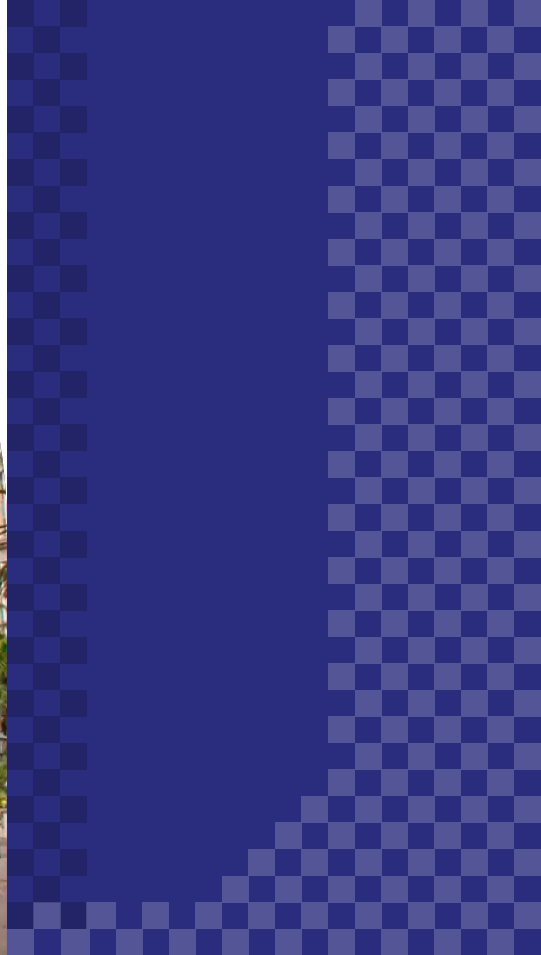
**OCTOBER 2016 - MARCH 2017**

**Refining the proposed interventions for the Resilience Building Options:** The preliminary outcomes and interventions for each of the RBOs were consolidated and refined through further local government and multi-stakeholder engagement. Climate change was also considered in the framing of interventions. Public meetings were held to confirm the outcomes and interventions and a multi-stakeholder Reference Group was established to work with the 100RC team to finalise the RBO 1 outcomes and interventions for Durban's Resilience Strategy. In a parallel workstream, a Human Benefit Analysis methodology was developed to assess the human benefit of the RBO outcomes and interventions.

**MARCH - MAY 2017**

**Finalising Durban's Resilience Strategy:** Durban's draft Resilience Strategy was presented to the Municipal Technical Team, Strategic Management Executive Team, political leadership and members of the public in order to gather feedback on the outcomes and interventions proposed, before Durban's Resilience Strategy was finalised and approved by full Council.





# Foreword

## Message from the Mayor

The key strategic question for the 21<sup>st</sup> Century is “how can cities survive and thrive in an increasingly unpredictable world and respond effectively to the unprecedented challenges associated with inter-related social, economic, political and environmental risks?” In a world where the majority of people now live in cities, it is necessary to think about how we all contribute to sustainable, resilient and equitable urban development. African cities in particular face multiple challenges in a context of persistently high levels of poverty and unemployment, and these are further complicated by emergent risks such as climate change and the fact that the current unsustainable development pathway is approaching, and in some sectors exceeding, the planetary boundaries of life sustaining earth systems.



Mayor Zandile Gumede

Given this complex, and often unpredictable state, building urban resilience in an African city such as Durban will need to focus on preparing our city for both current and future change, and ensuring that the required partnerships and institutional flexibility are in place to respond more effectively to these challenges. In Durban, the resilience discussion amongst a broad range of stakeholders over the last 3 years has identified six ‘levers for change’ that provide important focal points for determining where we should act in order to build a more resilient, sustainable and equitable Durban: Strengthening local communities and building social cohesion; Improving the effectiveness of education and skills development; Promoting economic growth in line with 21st century trends and opportunities; Managing environmental assets more effectively; Creating a more inclusive and integrated spatial plan; and Improving municipal effectiveness. Using these ‘levers for change’ as a diagnostic filter, two initial resilience building options have been identified where focused action could have broader catalytic impact and help transform our city. These two resilience building options are focused on: ‘Collaborative informal settlement’ action<sup>1</sup> and ‘Integrated and innovative planning at the interface between municipal and traditional governance systems’.

Addressing these two issues however, requires that we think differently about what role we as local government might play in: promoting genuine participatory engagement with a range of stakeholders; and actively facilitating the development of more innovative responses that are informed by appropriate knowledge and implemented through new partnerships. We must also remain responsive to emerging global trends such as the need to address climate change and increase sustainability. This represents a significant challenge for local government, but also a major opportunity to forge alternative development pathways that will promote wellbeing, inclusivity, equity and sustainability. At the beginning of my term of office, as part of my 100 day pledge, I committed to a specific focus on rural development and human settlements.

<sup>1</sup> For the purposes of Durban’s Resilience Strategy, an informal settlement is regarded as: a collection of structures, that are made out of basic materials, without local government approval (illegal), lacking basic services, often built on marginal land, and without tenure agreements or complying with planning or building regulations.



I am therefore particularly encouraged that Durban is focusing on issues of informal settlements and the dual governance system as the two pillars of the city's first Resilience Strategy. In many ways, these two issues lie at the heart of many of the developmental and resilience challenges facing Durban, and they characterise the complex mix of issues facing most African cities: from the high level of informality that is increasingly part of the fabric of our cities, to the complexities of politics and governance that can hamper our ability to plan effectively for the future of our cities. These challenges prompt us to question the old model of African urbanism based on western ideals, and to build powerful new partnerships that drive transformative change and decolonise our thinking about the African city. In my position as Vice President of the African Region for C40 (a network of global cities committed to addressing climate change), I also support the idea that only climate-smart cities can be truly resilient, reducing vulnerability and risk for local communities and infrastructure, and reducing the impact on life supporting planetary systems.

The critical challenge that lies ahead of us is the translation of these bold ideas into action, and the difficult process of transforming people and institutional structures in a way that creates new partnership opportunities. I look forward to working with all stakeholders in Durban to ensure that we realise the ideals captured in Durban's first Resilience Strategy.



## Message from the City Manager

In 2013, Durban began its '100 Resilient Cities (100RC)' journey in order to better understand what resilience means in our complex and diverse city, and to unpack some of the most significant social, environmental, economic and governance challenges facing our communities, using new tools and approaches.

Our 100RC journey has now reached a key milestone with the development of the city's first Resilience Strategy. Importantly, this strategy captures the views of the many individuals, experts and communities in Durban who have helped inform, shape and guide the way in which resilience is being framed and understood in our local context. The two resilience building priorities identified in Durban's Resilience Strategy, 'Collaborative informal settlement action' and 'Integrated and innovative planning at the interface between municipal and traditional governance systems' provide the opportunity for bold and transformative areas of action. They speak to the complex and fundamental development challenges facing our city and provide an authentic and appropriate starting point for local level resilience action.

At the same time, Durban's Resilience Strategy also provides an opportunity to highlight the challenges facing many other African cities and many other cities globally. As a result, we look forward to sharing our resilience journey and the many lessons learnt with the 100RC African cohort of cities and the broader 100RC network.

It is important to note that the delivery of the Resilience Strategy does not mark the end of our city's resilience journey, but rather the start of a discussion around a new development agenda for the city. The implementation of the Resilience Strategy is likely to be both challenging and unpredictable, but we look forward to creating new partnerships with Durban's stakeholders to build a more equitable, just, sustainable and climate safe city and world.



Sipho Nzuza

A handwritten signature of Sipho Nzuza.

SIPHO NZUZA, CITY MANAGER  
Ethekwini Municipality, Durban, South Africa



# Message from the Chief Resilience Officer (CRO) Team<sup>2</sup>



Jo Douwes, Debra Roberts and Manisha Hassan

From the outset of Durban's resilience journey, it was clear that this exploratory and exciting process would require more than a single individual! Realising there was strength in numbers, a resilience team was created composed of Dr Debra Roberts, Jo Douwes and Manisha Hassan. Since then, it has taken the insights and skills of all three individuals to navigate the complex journey of stakeholder engagement, conceptual development, pilot initiatives and learning that have helped deepen the understanding of what resilience means in Durban and highlight the critical issues that form the basis of the city's first Resilience Strategy.

This journey has been a fascinating one, and one where we have been amazed and humbled by the willingness of so many Durbanites to contribute their knowledge and time to the process. The two resilience building options (RBOs) that have emerged from this process and that form the foundation of Durban's first Resilience Strategy are testament to this "business unusual" process, with their focus on 'Collaborative informal settlement action' and 'Integrated and innovative planning at the interface between municipal and traditional governance systems'. The inherent message in these two RBOs is that in cities like Durban, the resilience challenges are predominantly developmental in nature, and may often be issues that remain invisible, ignored or sanctioned by the formal local government processes, given their complex and systemic nature, and their roots in issues of politics and governance. Stakeholders have often commented that Durban's Resilience Strategy has emerged with a focus on two of the most difficult issues in the city.

<sup>2</sup> This term refers to the CRO and two local government officials from eThekweni Municipality who assist Durban's CRO with the development and implementation of the Resilience Strategy in Durban. These local government officials are currently employed in the Environmental Planning and Climate Protection Department. In the PRA, the term 'Project Management Team' was used to refer to the two officials supporting the CRO.

But for us, it is critical that local government learns to work and engage in these complex spaces if we are to build truly resilient cities. Durban's specific focus on these two RBOs, rather than on multiple macro-level challenges, reflects our emerging understanding that in complex contexts where a range of systemic resilience challenges need to be addressed simultaneously, a useful starting point for transformative change might lie in 'focusing in' on specific areas or issues where these challenges manifest most clearly and immediately. It is proposed that this more focused approach to resilience building will ultimately have a catalytic impact across the broader local government system.

We also have a sense that our work tells a very particular story about what it means to be an African city in a rapidly urbanising world; constantly balancing issues of social vulnerability, informality, ecological degradation, politics and governance as local leaders try to determine the most appropriate and sustainable development path for the city. Durban's Resilience Strategy represents an important contribution to this debate, and we imagine that as the strategy continues to develop, it will ultimately extend far beyond the current RBOs.

In an effort to ensure that our work moves quickly from strategy to implementation, we have already implemented a number of pilot projects that have provided important learnings for future work. We have also worked hard to build the networks that will help leverage new partnerships and funding for implementation. In order to mainstream the work and effectively institutionalise it, we have also worked closely with the City Planning Commission that is responsible for producing the city's new Development Plan, in order to ensure that the Resilience Strategy and the Development Plan are appropriately aligned.

As a city that is constantly learning, it is important for us to ensure that this 100RC experience becomes the basis for learning and sharing with other cities, and with the New York 100RC team who have spearheaded the international programme. We have therefore developed two documents: a longer and more comprehensive strategy document that details each step of the process we have followed in Phase 2, outlining the lessons learnt along the way, as well as a shorter strategy document which focuses only on the resilience strategy itself and the supporting contextual information. We hope that our resilience story will be useful to other cities and that it may contribute to the debate and literature about what 'resilience' means in the context of African cities. We are very grateful to those who have worked with us on this journey and who will be key to the successful implementation of Durban's first Resilience Strategy. We look forward to the next steps!



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# Exploratory 'Non-Paper'



## Introduction

Durban's Preliminary Resilience Assessment was introduced with a non-paper<sup>3</sup> which made explicit our (the CRO team's) early understanding of the term resilience, and the role it might play in influencing the city's development path. In a similar fashion, Durban's first resilience strategy is introduced by a non-paper which further clarifies Durban's contribution to the broader resilience debate. It is our position that the sort of conceptual exploration recorded in these two non-papers is a critical part of the city's resilience journey. Efforts to foster and support such enquiries should be central to the 100RC process if its aim is to be influential across the full science-policy-practice spectrum in cities. Given Durban's similarities to other African cities, sharing our learnings is important to help shape how resilience emerges in such contexts. This non-paper has been developed together with our academic partners in order to ensure that the strategy reflects the critical debates in the prevailing resilience literature.

The non-paper first presents a brief review of both the resilience and contemporary urban development literature and then reflects on the different approaches adopted by 100RC and Durban in building resilience at the city scale. It describes the context and reasons for the selection of the two Resilience Building Options (RBOs) that are the central elements of Durban's first Resilience Strategy, namely: 1) *Collaborative informal settlement action* and 2) *Integrated and innovative planning at the interface between municipal and traditional governance systems* and how these relate to the 'levers for change' identified in the city's 100RC journey. Finally the non-paper reflects on Durban's contribution to the broader resilience debate.



<sup>3</sup> A non-paper is a discussion paper which does not form part of formal business. It is a way of introducing new ideas for discussion.



# Resilience and its framing in the Durban context

The concept of resilience is shaping science, policy and practice in cities across the world, through programmes such as the 100 Resilient Cities programme (100RC); the UN Office for Disaster Risk Reduction (UNISDR)'s Making Cities Resilient Campaign; UN Habitat's City Resilience Profiling Programme; and the United Nations' Sustainable Development Goals (SDGs). However, the definitions and approaches adopted vary and therefore it is useful to explore how resilience is being framed.

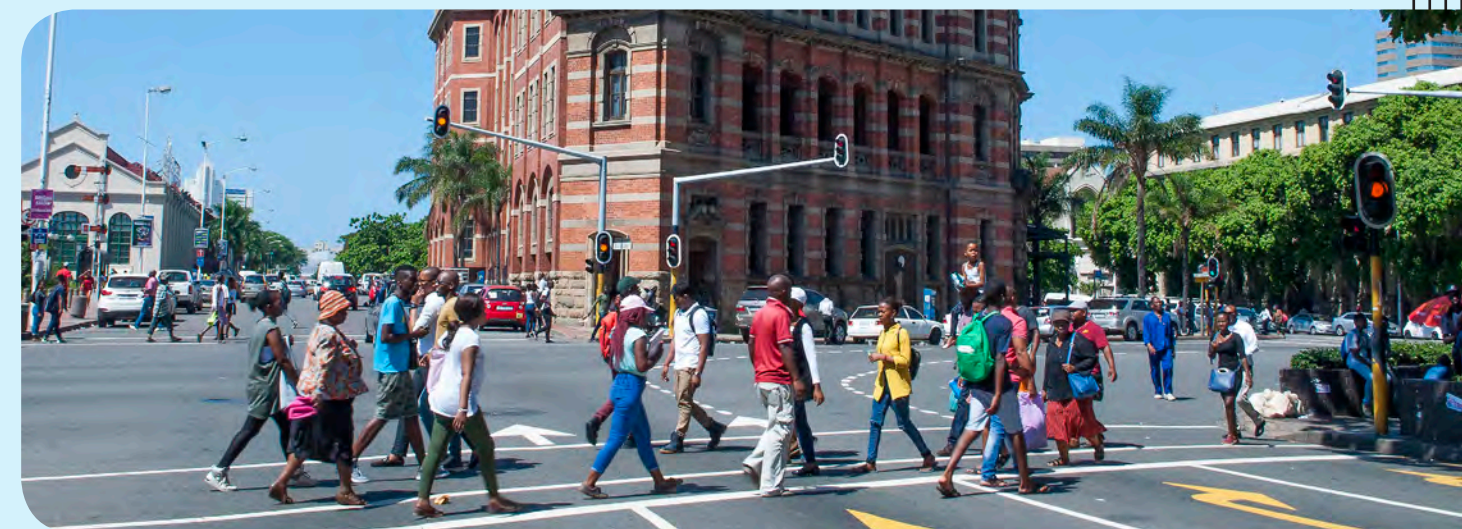
The origins of resilience can be traced back to two main fields of inquiry: nature-society disciplines including ecology (Holling, 1996) and disaster risk management (Wisner et al, 1994; Cutter *et al*, 2008); and body-society disciplines, namely psychology (Rutter, 1987). Resilience has recently re-emerged as an approach to addressing environmental, socio-economic and political uncertainty, complexity and change. Cities, as a result of their concentration of the world's population, resource consumption, environmental risks and ability to be innovative, have become sites of experimentation for building resilience in both theory and practice (Meerow *et al*, 2016). Consequently, knowledge and understanding about resilience is being built from a number of different disciplines and sites, resulting in diverse and contested definitions of, and approaches to it, as the global and local struggle for control over the concept of resilience plays out.

Resilience is defined by 100RC as "the capacity of individuals, communities, institutions, businesses, and systems within a city to survive, adapt, and grow, no matter what kinds of chronic stresses and acute shocks they experience" ([www.100resilientcities.org](http://www.100resilientcities.org), accessed 15/02/2017). Resilience is also defined in terms of ensuring that humanity operates within a safe space (defined by planetary boundaries), producing adaptive spatial, social and institutional forms that can deal with stress and withstand shocks in a context of uncertainty and unpredictability (Steffen *et al*, 2015; Braun, 2014; Rockström *et al*, 2009). In the socio-ecological systems (SES) literature, resilience is defined as the capability of a system to bounce back from a stress or a shock "such that it resumes its original configuration, shape, functional relationships or trajectory afterwards" (Welsh, 2014, p 1). This is determined by its responsiveness, ability to cope and learn, and its level of vulnerability and self-organisation (Welsh, 2014; Folke, 2006). Many now argue that resilience is not only about bouncing back, but that it is also about adaptation and transformation, so that systems 'bounce forward' to a new and more resilient state (Shaw, 2012; Pisano, 2012; Meerow and Newell, 2016). The SES literature argues that there are three aspects that are central to these discussions: resilience, adaptability and transformability (Pelling, 2011; Pisano, 2012). Resilience is when a socio-ecological system changes, but reverts back to its original critical thresholds. This stable trajectory is shifted through adaptability which is the capacity of the system to adjust responses to different internal and external stressors and processes. Finally transformability is the ability of the system to cross thresholds producing new development trajectories, often through novelty and innovation at points of crisis (Pisano, 2012).

Durban's Resilience  
'Non-Paper'

An alternate view to the SES literature is put forward by the socio-ecological relations (SER) approach to resilience which explores the relations between society and the environment and reflects on the role of power in these relations and how they are constructed. From this perspective, power and politics impact on how resilience is defined and experienced in different contexts. Politics is a process whereby people have the right and the opportunity, as individuals or groups, to participate and deliberate in, and make judgements about, for example the resilience or sustainability of the city (Miller, 1980). This means that citizens can decide on the values and rules of society. However inequality is ever present. Authority is always assigned to some more than others, and some are able to exercise power more than others.

Politics is therefore the process through which people construct, defend and change the rules and frameworks which inform how they live (Miller, 1980). It is about who gets what, when and how, and by whose knowledge and power. It also can lead to the resolution of conflict and contestation through negotiation and deliberation. Resilience invokes politics as it provides opportunities for critical engagement around, and negotiation about, the material changes, processes and pathways that lead to more sustainable societies. It therefore has the potential to develop more inclusive governance processes which produce more sustainable resilience programmes (Biermann *et al*, 2015).



According to the SER literature, representations of resilience need to be identified and deliberated by multiple actors to ensure that the form of resilience that emerges in any particular city reflects the context, multiple voices, concerns and challenges of that city so as to enable transformation to a better world, rather than a life of constant adaptation (Duffield, 2011; Welsh, 2014; Swyngedouw, 2005). Exploitative systems can be extremely resilient, favouring certain social groups at the expense of others, implying that resilience is not always a desired state (Welsh, 2014). Resilience therefore needs to be considered in terms of who benefits, by whom and for what reasons or purposes (Friend and Moench, 2013; Meerow and Newell, 2016).



Deliberate efforts to encourage resilience building ‘from below’ present opportunities to produce new relations between citizens and the state through the development of skills, new forms of engagement and the sharing of resources (Joseph, 2013 and Neocleous, 2013, cited in Wakefield and Braun, 2014). The SER approach to resilience requires flexibility, innovation, partnerships and the co-construction of knowledge. It has as its focus social and environmental justice, local embeddedness and participatory governance.

Both an SES and SER approach identify and analyse the relationships between society and the environment. An SES approach focuses on the components of a socio-ecological system, the causal relationships between them and how these relationships are connected to and influence each other. However, it does not explicitly focus on the politics or power relations in the system or how these components are produced or negotiated. An SER approach identifies and analyses socio-ecological relations as they emerge in a particular context, by focusing on how they construct and shape each other. It hence reveals the power and politics in the relationships between society and the environment.

#### *Situating the Durban 100RC process within these dominant approaches to resilience*

The current framing of resilience has largely been as result of its conceptualisation by northern academic communities and the practices and experiences of cities in the north. Ziervogel *et al* (2017) call for a much deeper and more critical engagement with resilience in the global south, with a focus on African cities. This non-paper supports this approach as it identifies, and argues for different constructions of resilience which are relevant and meaningful to different socio-political and economic contexts, as reflected in the SER approach. It proposes that resilience for transformation, which takes into account “endogenous, locally situated processes, knowledges and norms” (Ziervogel *et al*, 2017), needs to be adopted in the South African and Durban context. This supports the approach suggested in the first exploratory non-paper in Durban’s PRA. The 100RC City Resilience Framework (CRF) was designed as a universal framework that provides the lens and drivers of change to guide the development of resilience in the 100RC cities, enabling them to build their strategies, and to compare and share knowledge. The CRF contains four critical dimensions of urban resilience: health and well-being; economy and society; infrastructure and environment; and leadership and strategy, with each dimension underpinned by three drivers. It identifies seven qualities of resilience as critical to achieving greater resilience in cities across the world (Arup and Rockefeller Foundation, 2013). An analysis of the CRF reveals that it has been shaped by a systems (SES) approach to resilience. While politics and power are implied in a few of the drivers, they are not explicitly recognised and addressed. The CRF is therefore more systems-based than political and participatory.

Only two of the drivers of the CRF address politics, namely the *empowerment of a broad range of stakeholders and to promote cohesive and engaged communities*, but in each of these drivers, politics and power are not the major focus. In empowering multiple stakeholders, the CRF states that stakeholders should be well informed, capable and have access to information and education, that there must be communication between the state and its citizens and that knowledge transfer should take place. However, this driver does not reflect on who produces resilience knowledge and who decides on what resilience means. It rather states that the empowerment of stakeholders will take place through information sharing and knowledge transfer, implying that knowledge on resilience will travel



from experts to stakeholders. It does not argue for ‘knowledge for resilience’ to be built through negotiation, deliberation and from the bottom up. It therefore does not embody politics in its approach to empowering stakeholders. In building cohesive communities, the CRF argues for the need to build a collective identity and social networks, which will invoke politics. However, it again does not explicitly address the question of how and by whom this collective identity and social networks will be built. It therefore does not foreground politics in the construction of resilience, reflecting rather a technical and systems based approach to resilience.

The Durban 100RC team argues that while this SES informed framework may be suitable for certain cities, it does not adequately address the particular socio-economic and political contexts within which resilience will be embedded in more complex or diverse cities such as Durban, where transformation is the end goal (see Figure 1). In such cities, a resilience framework should be constructed from below, adopting participatory approaches, rather than being imposed as a framework from above. In this way resilience should be defined by multiple actors in relation to each city’s particular geographical and historical context. Moench (2014) supports this approach as he argues that resilience should be built through decentralised, multi-actor governance regimes, which recognise local system characteristics. Understanding the local context in terms of its geography (physical, social, economic, environmental, spatial and political characteristics) helps to reveal the relations between the different elements of a system thereby identifying factors that contribute to emergent patterns of vulnerability and resilience (Moench, 2014). This approach contrasts with that of other cities, where an SES approach may be more relevant. Within the context of a programme such as 100RC, it is important to acknowledge this variance across cities, and to accommodate it. Figure 1 reflects the way in which Durban differs from the mainstream 100RC approach to developing a Resilience Strategy.



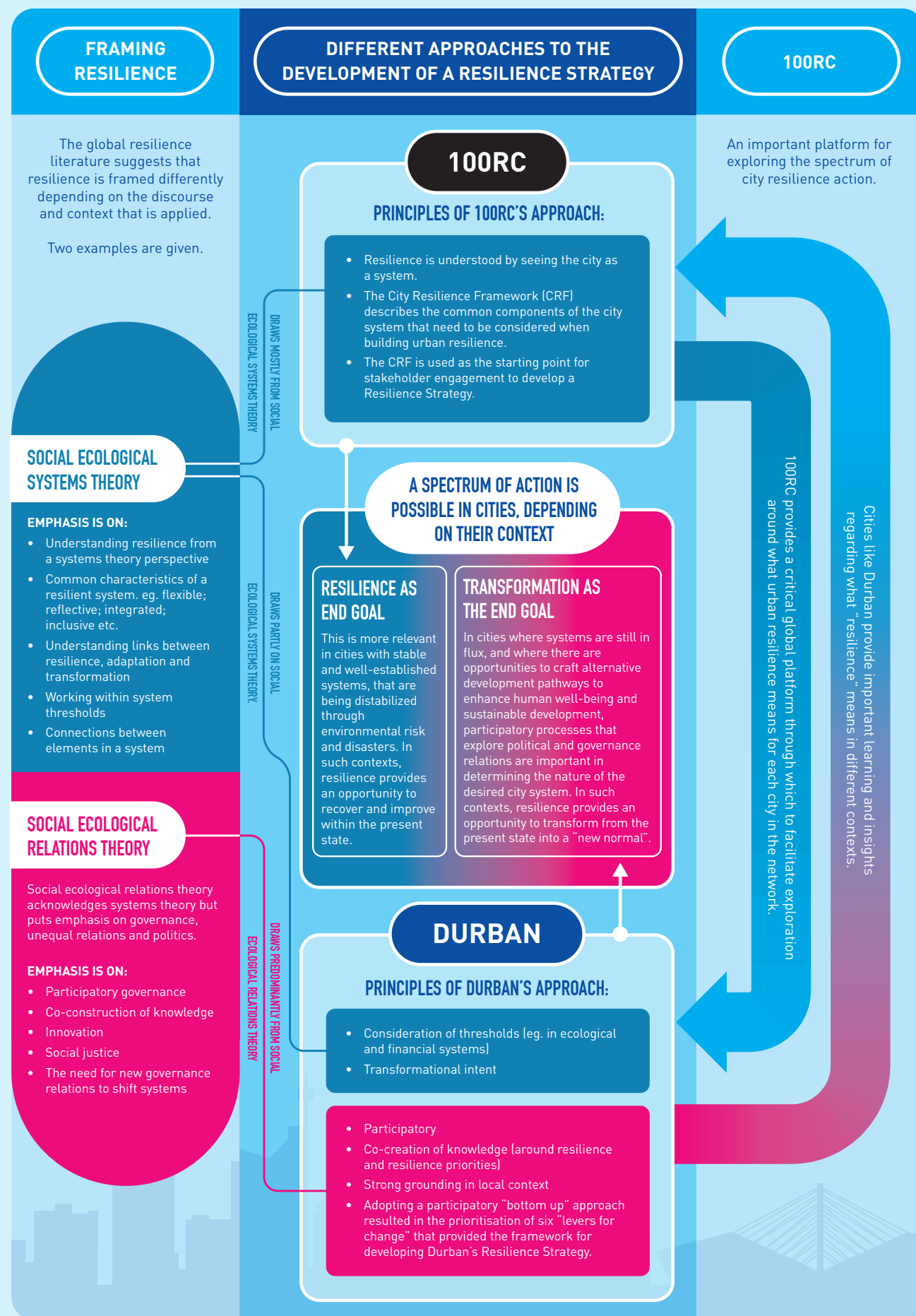


Figure 1: Depending on the city context, different approaches may be needed to build resilience. The 100RC programme provides an important platform for this spectrum of responses to be shared.

Durban's Preliminary Resilience Assessment (PRA), the first major output of Durban's Resilience Strategy, contains an exploratory non-paper which argued for a form of resilience which is open, flexible and transformative. Resilience is cross cutting and it is not neutral or apolitical. It therefore requires an innovative and participatory approach which questions 'for whom', 'through whose knowledge and understanding' and 'by whom' resilience should be built. The PRA also argued that the construction of risk and resilience varies across communities and societies. Recognition of the multiple social constructions of resilience, its political nature, the importance of the local context and the need for transformation have therefore shaped Durban's resilience journey from the outset.

Consequently, Durban's process to develop its resilience strategy is far more reflective of a critical SER approach than the SES approach adopted by 100RC. This is because Durban has used a participatory process of building the resilience strategy, drawing on the experience, struggles, contestations, insights and knowledge of multiple stakeholders in the city and connecting them to, and embedding them in, the resilience process to ensure its longer term traction and sustainability. Rather than building a strategy through the direct transfer of the dimensions and drivers of the CRF into Durban's Resilience Strategy, Durban's process has been to construct its resilience strategy from within, reflecting on the socio-ecological and power relations in the city. Knowledge and understanding developed through an SES approach has been useful to, and has informed Durban's resilience journey, such as the value of Rockström *et al* (2009) and Steffen *et al's* (2015) environmental thresholds in shaping the early framing of resilience in the city. Reflecting on the definitions of and differences between an SES or SER approach has also been extremely helpful in the construction of Durban's Resilience Strategy.

## Contemporary urban development

New ways of understanding and responding to urban development are required in a world of uncertainty and change where more than half of humanity, over 3.5 billion people, live in cities. This will increase to 60% by 2030 (United Nations, 2016). Most of this urban growth will take place in the developing world at a pace much faster than the urbanisation of the developed world. Although the Cities Alliance and many other global and national organisations have promoted a vision of 'slum free cities', 828 million people still live in slums (United Nations, 2016). With this number increasing every year, the need for resilience is becoming more critical.

The rapid growth of urban areas is placing pressure on land, energy and water resources; on housing, water and sanitation services; on quality of life and social facilities; and is increasing global carbon emissions. However, cities also offer an opportunity for transformation as a result of their capacity to be innovative, govern for change and create more sustainable and just ways of living as a result of efficiency gains, human creativity, adaptability and technological innovation (United Nations, 2016). Most cities in the world are vulnerable to at least one natural disaster and so they become important sites for finding new ways of dealing with environmental risk and addressing vulnerability. Floods, droughts and cyclones are the major risks facing cities and these have a strong climate change connection. However it is the insidious, less obvious creeping risk or chronic risk, characterised by poverty and the loading of environmental stress in poor and un-serviced living environments which undermines the improvement of quality of life. Chronic risk therefore needs greater attention in creating a more resilient urban world.



Cities can be defined according to their boundaries, population size, function and form, and their position in the global hierarchy of cities, or city-systems. However these more traditional definitions do not adequately reflect the complexity and dynamic nature of contemporary cities. Cities are now defined as a nexus of multiple economic, social, environmental and political relations which constitute urban life. Cities are seen as the growth engines of the global economy, as social and political spaces for human development, as innovative spaces for resolving global environmental challenges and more recently as experimental and critical spaces of building resilience. Cities now assume multiple roles, often shaping development, policy and practice in ways that extend way beyond the power and influence of their own nation states.



At the same time that cities have shifted their focus and role, the ways of managing cities and making decisions has changed. The traditional approach of top-down hierarchical government has given way to governance. Multiple state and non-state actors govern both within and outside the state, shaping decision making (Hajer and Wagenaar, 2003; Swyngedouw, 2005). Social learning, adaptability and flexibility is required so that governing can take place horizontally rather than vertically, reflecting local contexts and conditions (Pike, 2004; Sowman *et al*, 2016). Those supporting the transformation of the city argue for the co-construction of knowledge to ensure that both expert and local, or tacit knowledge shape policy and practice. Often it is the processes of participation and engagement which lead to real change, rather than the interventions that result from information exchange. Through deliberative dialogue, both power and cities are re-ordered and the state and citizens are empowered in decision making (Patel, 2014). Durban's 100RC journey has included stakeholder engagement, the co-production of knowledge and deliberation to ensure that a more grounded and context appropriate resilience strategy is developed.

Building resilience in cities in the south also contributes to the development of new ways of understanding southern and African urbanism. Cities in the south are growing rapidly within their own urban context, which reflects high levels of poverty, complex politics, informality, dual governance systems, low levels of services and in some cases high levels of environmental services that are under threat. As cities in the north face their own challenges due to the changing economic and political conditions in the developed world, their power on the global stage in shaping what a city should be, is being brought into question (Roy, 2014). Meanwhile, the economic powerhouses of the south, including India and China, are experimenting with new forms of urban development and social welfare, producing cities that are reshaping urban theory (Roy, 2014).

The first non-paper outlined the challenges of urbanism in Africa reflecting rapid urbanisation combined with poverty (the highest percentage of urban slum dwellers in the world), rising informality, weak governance and limited proactive planning. This is creating underfunded and poorly managed urban spaces with complex interconnected challenges or 'wicked problems' which are difficult to address (Pieterse and Parnell, 2014; eThekweni Municipality, 2015). This form of urbanism, which is often socially unjust and unsustainable, produces and is reproduced by environmental degradation. Rapid urban growth in Africa is also occurring in the context of an unprecedented global environmental crisis whereby human actions have modified four out of nine critical earth system processes to the extent that they exceed proposed planetary boundaries, risking the destabilisation of the earth system at a planetary scale and endangering human well-being and development opportunities (Steffen *et al*, 2015).

However African cities also offer hope and opportunity for change as it is in these cities, over decades, that resilience has been built from the bottom up. Here the urban poor, in their efforts to ensure their 'right to the city', are continually adapting and building their resilience as they experience poverty, inequality and environmental risk. They find and navigate new pathways, some of which are resilient and transformative, through the daily challenges they face. In some cities they are supported by progressive and innovative local authority officials and civil society organisations who through their 'will to govern' help to build resilience. However, it is the loading of these challenges and environmental risks on the urban poor, and the ongoing structural socio-economic inequality they experience, which increases their vulnerability and reduces their resilience. Wilkinson and Pickett (2009) argue that addressing inequality leads to an improved quality of life for all, not just the urban poor and hence it is central to building resilience.

Cities of the south are therefore beginning to define the future of cities (Oldfield and Parnell, 2014). This means that new ways of understanding cities need to be developed that reflect both southern and northern urbanism to reveal the complex ways that cities across the world are changing. Durban's 100RC journey has begun to do this by constructing its Resilience Strategy from its own context, rather than applying the 100RC resilience framework developed from a northern, global perspective.

There are multiple scales at which action and intervention can take place and this makes resilience building complex and challenging. While many 100RC cities have opted to develop city-wide resilience interventions, Durban has chosen to embed its first resilience interventions in two city spaces which represent the resilience challenges facing the city: informal settlements and areas under both municipal and traditional governance. The city is therefore focusing its resilience building at a local scale within the city, recognising that lessons learnt in these spaces, with their intense political struggles, environmental and social risk and new forms of governance and urbanism, can be up-scaled and used to develop resilience more broadly in the city in the future. The city has selected two resilience building options (RBOs) which reflect the complexity, politics, challenges and elements of risk and resilience in their most intense and profound form in the city, rather than attempting to address the CRF dimensions and drivers across the city scale. The following section presents the two RBOs for Durban, reflecting on why and how they have been used to "do things differently" and to "re-assemble resilience" in the construction of Durban's resilience strategy (Oldfield, 2014, p 7).



# Overview of Durban' Resilience Building Options

The city of Durban represents a particularly valuable site to explore, define and enhance resilience due to its combination of high value environmental resources which are under pressure, rising climate change impacts, low economic growth, high levels of informality, inequality and poverty, low levels of citizen participation in decision making, high levels of social capital, already existing resilience and adaptation, and a dual governance system.

These characteristics mean that, increasingly, Durban has more in common with other African cities than with South African cities such as Johannesburg and Cape Town. Durban also has a strong and well capacitated local government. It is a global leader in innovative governance and experimental learning, particularly in environmental planning and climate adaptation, water and sanitation delivery and the upgrading of informal settlements. The city therefore provides an excellent point of departure for deliberating and building resilience in cities in the south, and particularly cities in Africa.

Rather than applying the CRF across the city to address the drivers of resilience (as defined in the CRF), Durban has chosen two pillars, or resilience building options (RBOs), around which to develop its resilience strategy, based on the way in which these RBOs address the resilience focus areas and 'levers for change' that emerged in the city's resilience journey. The six levers are: strengthen local communities and build social cohesion; improve effectiveness of education and skills development; promote economic growth in line with 21st century trends and opportunities; manage environmental assets more effectively; create a more inclusive and integrated spatial plan; and improve municipal effectiveness. These two RBOs have emerged from multiple stakeholder engagements and a systems analysis as being two 'spaces' in Durban which offer the best opportunities and benefits for defining, building and enhancing resilience. This section of the non-paper provides the context and background to RBO 1, collaborative informal settlement action, and RBO 2, integrated and innovative planning at the interface between municipal and traditional governance systems.

## Understanding the context of RBO 1: Informal settlements in Durban

Urban development in the global south is both uneven and unequal. Urban planning processes and capacity in these cities cannot keep up with the pace and intensity of urbanisation and the decompression of existing crowded settlements within cities. As a result 'slums' or informal settlements have become 'home' to the urban poor, with 33% of urban residents in the developing world living under such conditions (UN-Habitat, 2012). In South Africa informal settlements<sup>4</sup> are defined according to their "lack of security of tenure; informality; poor and sub-standard building materials; lack of access to services, although many informal settlements in South Africa are provided with basic services such as communal tap points and rudimentary sanitation" (Sutherland, 2016, p 18). The distinctions between formality and informality are not always clear (Roy, 2011), generating considerable conflict between the state and its citizens, but also providing opportunities for building resilience at the formal/informal interface.

<sup>4</sup> According to the South African National Housing Code informal settlements are identified according to their inappropriate locations, limited public and private sector investment, illegality and informality, poverty, vulnerability and social stress.

Informal settlements are often located on marginal sites exposed to high environmental risk and have limited social facilities. However they also offer opportunities for the urban poor to claim their 'right to the city' as they are often well located in terms of job seeking opportunities, are affordable and flexible, enable self-development, and exist as a result of well-established social networks that provide a buffer to reduce risk and vulnerability. As argued by Roy (2011, p 223) the slum should be viewed not in an apocalyptic way, but rather as a place of "habitation, livelihood, self-organisation and politics". The innovative spaces that are produced by the urban poor in cities should be viewed in light of the "flexibility, pragmatism, negotiation, as well as the constant struggle for survival and self-development" of the slum citizens (Bayat, 2007, p 579). These processes of 'life in a slum' reflect many aspects that resilience strategies hope to build. Informality can be seen as a failure, a lack of development or a problem in cities by those tasked with managing them, but from the perspective of those who live and survive through informality, it creates social, economic and political opportunity when the formal system has failed to provide such options. Informal settlements therefore already reflect high levels of adaptive capacity and resilience. However the loading and combination of risk, a poor living environment with limited services, a lack of knowledge, resources and technical capacity and insufficient municipal support around critical issues undermine this capacity, resulting in ongoing struggle and poverty. Local government has both a regulatory and management role and is mandated to improve the quality of life and reduce risk in the city. It therefore has to balance a more open, innovative and flexible response to informality with the need to implement legislation and maintain 'order' and 'rights' in the city. Durban's Resilience Strategy has therefore selected informal settlements as the focus of RBO 1 as they offer significant opportunity for addressing the 'levers for change' identified during Durban's resilience journey.

*"As argued by Roy (2011, p 223) the slum should be viewed not in an apocalyptic way, but rather as a place of "habitation, livelihood, self-organisation and politics". "*

Under the 1994 Housing White Paper the dominant approach to housing the urban poor in South Africa has been through state-provided 'free basic housing' for the poor. One of the critiques of South Africa and Durban's mass delivery of RDP<sup>5</sup> houses since 1994 is that this approach has not produced sustainable and integrated human settlements for the urban poor. In 2004 the Breaking New Ground (BNG) policy was developed to address the shortcomings of the 1994 Housing White Paper. The BNG supported the upgrading of informal settlements, although the political will and commitment needed to support this approach was not realised (Huchzermeyer, 2011). This was followed by the introduction of the KwaZulu-Natal Elimination and Prevention of Re-Emergence of Slums Act (2007).

<sup>5</sup> RDP houses are named as such as the state driven housing programme was associated with the national state's Reconstruction and Development Programme which was developed in 1994 to guide transformation in South Africa.



This was later taken up by national government and enables court orders to be issued to legitimise the demolition of informal houses. The Land Invasion Control Branch in eThekweni Municipality continues to remove new informal houses in existing settlements and in places where informal dwellers try to occupy land illegally. However, this is often a case of ‘stemming the tide’, as the Branch cannot keep up with monitoring the growth of informal settlements. However, more recently the national Department of Housing has recognised that it cannot continue to deliver RDP housing at the pace and scale that is required and has issued statements, supported at the highest political level, that informal settlements will be upgraded in South Africa, forming part of the housing solution for the urban poor.

Durban has adopted a progressive approach to informal settlements, in many ways shaping national government responses to informality and upgrading. The city accepts informal houses as part of the urban fabric and has developed innovative processes to deal with informal housing. It has engaged in different levels of informal settlement upgrades in partnership with organisations such as Slum Dwellers International (SDI) and Project Preparation Trust (PPT). The Incremental Services Programme, which is implemented by the Municipality’s Human Settlements Unit, with the support of Engineering Services in eThekweni Municipality, provides community ablution blocks, pathways and, more recently, electricity to informal settlements that will not be relocated in the near future.



The official housing backlog of informal settlements in Durban is 238 000 households, which means that just over 800 000<sup>6</sup>, or approximately 22.4% of the city’s population, live in informal settlements (eThekweni Municipality, 2017). The Resilience Strategy therefore has the potential to address the risk and resilience of almost a quarter of the population of Durban supporting the choice of RBO 1 as a pillar of the strategy. Informal settlements are a critical element of housing for the urban poor in Durban and therefore need to form part of the solution to the city’s housing challenges. They also reveal in their most intense form, the multiple socio-ecological and political relations and risks that constitute the city, providing a highly relevant and important space within which to understand, enhance and build resilience. If resilience can be enhanced in informal settlements in the city with their multiple connections to other parts of the city, then it can be built in other areas facing resilience challenges.

The resilience and adaptive capacity of Durban’s citizens is also reflected in RBO 2 through the efforts and strategic decisions of residents across the income spectrum who access land through the traditional land allocation system. The next section contextualises traditional authority land in Durban and hence RBO 2.

<sup>6</sup> This assumes a household size of 3.4 people

## Understanding the context of RBO 2: Integrated and innovative planning at the interface between municipal and traditional governance systems

City management in Durban is made more complex than other South African metropolitan municipalities as a result of its dual governance system. The Municipality shares the governance of 38% of the municipal area (97 000 hectares), located predominantly in its rural periphery, with 21 traditional councils (TCs). This municipal-traditional dynamic originated in 2000 with the national municipal demarcation process that led to the extension of the municipal boundary over traditional or Ingonyama Trust (IT) land. The institution of traditional leadership is enshrined in the Constitution and governed by national and provincial legislation, operating in parallel to the democratic political system. This dual system is typical of the African context. In many African cities customary land tenure regimes operate alongside democratic local government structures due to the elevated or formalised status of traditional leaders (Ubink, 2007). The respective governance roles of traditional councils, the Municipality and other governance actors at provincial and national level within the IT landscape have resulted in a complex web of governance. While these roles are relatively separate in some areas, in others they overlap creating governance challenges, particularly with respect to the relationship between the Municipality and traditional councils at a local level.

The Municipality’s efficient delivery of infrastructure services in IT areas, where a predominantly rural level of service is being provided in terms of the Municipality’s differentiated services model (Sutherland, *et al*, 2014), is uncontested by traditional leadership. Meanwhile, traditional leaders’ role in upholding traditional values and promoting peace, stability and social cohesion in traditional communities (KZN, 2005) is of value to the Municipality and its residents. However, distinct, challenges between traditional and municipal governance are being experienced in the sphere of customary land tenure practices (traditional land allocation and leases) resulting in development that is largely unaligned with municipal spatial plans and not subject to conventional land use planning control. Traditional land allocations on IT land, mainly for residential use, have rapidly increased in recent years driven by a reverse migration of lower and middle income households, with citizens choosing to leave the townships and central urban areas in favour of the traditional land tenure system and way of life (Sutherland *et al*, 2016). Densification ‘hot spots’ have emerged that present the Municipality with considerable servicing and other challenges and which threaten the long term resilience of the city and its communities in these areas of the city.

Customary law provides for traditional councils to allocate land to individuals for residential and subsistence purposes, resulting in a customary land right although the state retains ownership (ITB, 2014). While land allocations occur without any municipal consultation, lease applications are reviewed by the Municipality. These customary land management practices are problematic for the Municipality because they are largely unaligned with its strategic spatial plans that provide development density, environmental and other guidelines to promote order, safety, efficient service delivery and the protection of the environmental resources within the city’s boundaries. The exclusion of most residential development from planning assessment in the absence of layout plans and/or land use schemes means that the Municipality is unable to direct and manage this rapid growth to strategically plan for infrastructure services delivery. Land allocation practices ignore road reserves and servitudes leading to bulk service provision challenges, and do not make adequate provision for pedestrian and vehicular access to individual sites.



At least 50% of IT land is of high biodiversity value and plays a critical role in providing environmental services to the whole city area. As land pressures grow, the allocation of marginal and environmentally sensitive land, such as floodplains, wetlands, steep slopes and the coastal zone, has increased, putting households at risk from flooding and heavy rainfall events, especially in the context of climate change. The frequent allocation of land within important biodiversity areas that are critical to the long term sustainability of the city, is leading to the loss of indigenous forest and grassland areas and alien plant invasion. These changes have already had a considerable negative impact on the environmental services on which many residents depend (Sutherland *et al*, 2016). Widespread illegal sand mining to support the increased building activity on IT land is damaging river banks, speeding up soil erosion and putting communities at risk. The installation of sanitation solutions by new households also presents a potential health risk for traditional communities, due to installation problems and the high density of development in some areas. Water provision in the traditional communities is already a challenge with frequent water shortages being experienced. A further risk is the loss of land previously allocated for agricultural and grazing purposes that could lead to food insecurity for the poor in traditional communities. Despite these very real risks and challenges, the IT areas provide a range of opportunities and benefits to new households (Sim and Sutherland, 2017). The traditional system enables households to legally gain access to land for a minimal cost compared with the private property market. Currently these households are not required to pay municipal rates or to abide by the costly building plan submission process. Access to free basic services that are efficiently provided by the Municipality is another drawback.

Beyond the financial benefits of moving to IT land, the traditional, rural lifestyle is also very attractive to new residents. For traditional leaders, and existing residents who ‘sell’ portions of their land allocation, this residential migration also offers financial benefits. All of these benefits, at least in the short term, can contribute to increased household resilience. Households are skilfully negotiating the traditional land tenure system and the municipal service provision system to secure their own serviced housing. Many households find themselves in the gap between eligibility for RDP housing and having the means to access the formal property market. The traditional land tenure system provides an opportunity for citizens to build and ‘own’ a decent home in a short period time if they are able to fund the building costs without requiring a bond, as this would trigger the application of a formal lease through the IT. Nonetheless, these opportunities come with a range of risks, including increasing inequality and class differentiation in some IT areas, the development of residential areas with no land use plans, the building of houses with no building plan approvals or controls, the development of housing on land which has been allocated for services or as servitudes, and a lack of grey and storm water management.

National planning legislation<sup>7</sup> provides an opportunity for better land use management in IT areas through its requirement that municipalities prepare ‘wall to wall’ land use schemes by 2020. However, this has been delayed in Durban due to poor cooperative governance, engagement and understanding between the Municipality (at both political and administration levels) and traditional leadership. Traditional leaders are concerned that a scheme will undermine their customary powers and lead to municipal rates payment requirements. The Municipality is legally entitled to charge rates on IT land, in order to recoup some of its service provision investment in these areas. However, it is hamstrung by the lack of cadastral information, street addresses and details on land rights beneficiaries, as well as lacking a model for fair property valuation in this context. Other legal challenges and the complexities of introducing conventional planning in a traditional context have all delayed the scheme requirement.

<sup>7</sup> The Spatial Planning and Land Use Management Act, 2013.

While the resilience challenges and risks in IT areas in Durban are wide-ranging, the underlying cause is predominantly governance related requiring the integration of governance across the municipal and traditional systems. This will require political will, sensitive engagement and a mutual willingness for shared learning and knowledge creation that may result in a new and hybrid form of land use management that respects and incorporates indigenous knowledge and local context. Recent research with a range of governance stakeholders in relation to the dual governance dynamics in traditional areas points to the need for a new governance approach that works with the traditional land tenure system, rather than imposing conventional land use management in this context (Sim and Sutherland, 2017). High level political support from city leadership is critical to ensure that the city engages with traditional leadership in a new way that moves beyond the binary of these two power systems to shared and integrated governance. Likewise the high level support of traditional leadership at Ingonyama<sup>8</sup> and ITB level along with the local TC level is very important if meaningful integration is to be achieved. A greater level of coordination and alignment between the activities of the different line departments involved in traditional areas will also be required, along with sufficient human and financial resources committed to integrate the municipal and traditional systems in Durban.

Durban’s resilience strategy, through RBO 2, will therefore begin the process of addressing these challenges, opening up the space to negotiate and deliberate over new ways of planning and managing these areas. Given the politics and newly emerging understanding of these challenges, the Resilience Strategy has argued for integrated and innovative planning at the interface between municipal and traditional governance systems. Interventions and actions in this space can only be developed once a political process to engage around RBO 2 has been established at the highest levels of municipal and traditional governance.

Examples include the peri-urban areas of cities in Ghana and Cameroon where land falling under customary tenure is increasingly being allocated to ‘outsiders’ for residential use with detrimental results, including landlessness, food insecurity, increased poverty and social unrest (Ubink, 2007; Fisiy, 1992; Kasanga and Kotey, 2001). While unlike Durban, planning systems are already in place, these are unevenly applied and tensions between the traditional and municipal systems persist (Owusu-Ansah and Braimah, 2013). If successful in promoting an integrated partnership approach between the two systems, Durban could offer useful lessons to similar African cities that enhance resilience towards transformation rather than misguided attempts to enforce conventional planning in these contexts.

<sup>8</sup> The Ingonyama is the king of the Zulu nation.





## Summary

Durban's 100RC journey has identified six levers for change to frame its Resilience Strategy. Informal settlements and areas under dual governance are spaces where these levers come together in interesting and powerful ways, such as through building partnerships (which includes both the levers of building social cohesion and ensuring municipal effectiveness), or through protecting and enhancing ecological infrastructure (as a result of education and skills development, promoting green economic growth in line with global trends and managing environmental assets more effectively). There are also strong connections and similarities between the two RBOs that can strengthen learning between and across these different spaces in the city. These include access to land outside of the formal property market; access to and use of free basic services; self-determination or self-development; their location in the city in relation to the history of the city; the need for the regulation and management of these spaces to protect the quality of life and health of their inhabitants, and the way that they disrupt the binaries of formality and informality. The Resilience Strategy in its outcomes and interventions reveals how working in the two RBOs will enable the greatest traction for, and transformation through, the levers for change.

*“Approaching land use management in traditional areas through a partnership approach based on shared knowledge production presents an alternative that can benefit other African cities facing similar challenges.”*

## The contribution of Durban's experience to the resilience debate

Participating in 100RC has provided Durban with the opportunity of being innovative within its own city space, learning from other cities, engaging with its politicians, officials and citizens around resilience to build the strategy from below, sharing and co-producing knowledge, challenging existing modes of thinking and developing a pathway into the relatively new, untested and complex field of urban resilience. Given that this is a relatively new conceptual space, as well as Durban's similarities to other African cities, it is important to share learnings about how resilience emerges in such contexts. African cities present a unique opportunity to advance the resilience debate at the global level. Their 'sticky systems' and 'wicked problems' require unconventional and 'clumsy solutions' reflected in "policies that creatively combine all opposing perspectives on what the problems are and how they should be resolved" (Verweij *et al*, 2006). As such, they will act as a reality check within the 100RC programme and provide lessons applicable and relevant to the vast majority of the world's urban residents.

Durban's approach to developing its Resilience Strategy has differed from many of the other cities participating in 100RC. The city has attempted to construct an African conceptualisation of resilience which is embedded in the

particular context, history and geography of Durban. Twenty three years after democracy, the city of Durban is taking on a new 'form', as African urbanism begins to profoundly shape the city in contrast to the neo-liberal, urban entrepreneurial model which emerged and has become well established since the 1990s. The city is both being built from above and below. As a result, Durban is beginning to reflect and become more relevant to other African cities, most particularly because of its informal settlements and its dual governance system in the periphery of the city. The two RBOs that have been developed as the pillars of Durban's resilience strategy will therefore be applicable and relevant to many other African cities.

Africa's development path will have a ripple effect on the globe, given the extent of the development and urbanisation that is still required for the continent. Patterns of urban change in Africa are beginning to appear in the north as inequality increases and as migration continues, particularly across Europe. A review of some of the northern cities' resilience strategies reveals that Africa's resilience challenges are not only present in Africa. Although the extent and depth of the problems are not the same, increasing homelessness and housing shortages are addressed in a number of northern resilience strategies. In northern cities too, inequality is identified as a contributor to risk, and informality is beginning to emerge as a coping strategy for those who cannot access the formal system. These cities have well-established and entrenched development paths that will need to adapt to the new challenges associated with informality and inequality. The opportunity in Africa is that African cities still have the potential to choose an alternative development path that leads to transformation and just sustainability.

It is also acknowledged that implementing these two initial RBOs will not ensure a transformed future for Durban. As the city's resilience work progresses, it is likely that further RBOs will need to be added to create the critical mass of change required to drive Durban from a resilient to a transformed state. Resilience thus requires a long-term commitment from all stakeholders in the city and the establishment of appropriate knowledge management systems to ensure that this journey is recorded and analysed in a way that contributes to building resilience in Africa.

Durban's resilience strategy also makes a contribution to the global debate on resilience as the city's approach, which has focused on socio-ecological and political relations, has greater potential for transformation than the SES approach proposed by the CRF. Through Durban's resilience strategy, traditional planning and development paths are being challenged and reconceptualised as the city attempts to reduce risk and vulnerability in informal settlements and dual governance areas. This will require hybrid and informal planning thereby building a new form of urbanism reflective of the New Urban Agenda and SDGs (UN-Habitat, 2016)

Swyngedouw (2009, p 601) argues that "proper urban politics fosters dissent, creates disagreement and triggers the debating of, and experimentation with more egalitarian and inclusive urban futures". The RBOs chosen for Durban's Resilience Strategy trigger politics in multiple ways and therefore will produce the kind of debates and disagreements that will be challenging and contested, but which also have the potential to transform the city. If these deliberations are led by political leaders with the will to produce a resilient and sustainable city for all, Durban may just be able to cross the threshold into a new development path. Resilience is not socially, ecologically or politically neutral and the particular themes which are identified and constructed as critical to the city's Resilience Strategy will determine which social groups and which environments will be undermined, and which will be protected or enhanced (Swyngedouw, 2009). It is therefore critical that the participatory governance approach to resilience which has been established in Durban's 100RC journey is further developed and enhanced as the Strategy is implemented.

The non-paper has been prepared by: Dr Catherine Sutherland (School of Built Environment and Development Studies, University of KwaZulu-Natal) and Miss Vicky Sim (Victoria Sim Planning and Environmental Consultant); Dr Debra Roberts, eThekweni Municipality; and Mrs Jo Douwes, eThekweni Municipality



## Chapter 1

## Executive Summary

Durban's resilience journey<sup>9</sup> began in 2013 when the city was selected to be amongst the first 33 cities to join 100 Resilient Cities (100RC). 100RC (pioneered by the Rockefeller Foundation) is dedicated to helping cities around the world become more resilient to the physical, social and economic challenges facing urban communities in the 21st century. 100RC supports the adoption and incorporation of a view of resilience<sup>10</sup> that includes not just the shocks (such as earthquakes, fires, floods etc) but also the stresses that weaken the fabric of a city on a day to day or cyclical basis.

The first phase of 100RC in Durban was initiated with a scoping exercise aimed at better understanding the perspectives of local stakeholders regarding the meaning and relevance of 'resilience'. This included the development of a community perspectives snapshot, interviews with experts, and a resilience 'agenda setting workshop' involving a range of stakeholders. What emerged from these diverse sources was a local understanding of 'resilience' focused on the need to respond to current and future change in a way that helps address existing, endemic and pervasive social, environmental and economic challenges. Informed by this local understanding of resilience (which continues to evolve as the resilience process in Durban develops), the eighteen resilience issues identified by local stakeholders were clustered, culminating in the production of a 'Preliminary Resilience Assessment' (PRA) which identified six 'Resilience Focus Areas' (each comprising a number of resilience issues). These were: *Bold and Participatory Governance; Knowledge-centred City; Catalytic and Transformative Economy; Innovative Place-making; Sustainable and Ecological City*<sup>11</sup>; and *Equitable and Inclusive Society*. *Durban's PRA and its six Resilience Focus Areas represented the culmination of an 18-month process of stakeholder engagement, risk assessment and research.*

Given the breadth and interconnectedness of the Resilience Focus Areas identified during Phase 1, Dalberg<sup>12</sup> was appointed at the beginning of Phase 2 to undertake a 'systems analysis' (January to April 2016) in order to identify catalytic and systemic intervention points that would address the barriers to resilience underpinning the Resilience Focus Areas identified in Phase 1. It was proposed that these so-called 'levers for change' could have catalytic and systemic impacts across multiple focus areas if addressed appropriately. The six 'levers for change' identified through the Systems Analysis were: *Lever 1: Strengthen local communities and build social cohesion; Lever 2: Improve the effectiveness of education and skills development; Lever 3: Promote economic growth in line with 21st century trends and opportunities; Lever 4: Manage environmental assets more effectively; Lever 5: Create a more inclusive and integrated spatial plan; and Lever 6: Improve municipal effectiveness.*

<sup>9</sup> A graphic summary of Durban's 100RC journey can be found on the inside front cover of this document.

<sup>10</sup> In the Durban context, 'resilience' refers to the capacity of the city to respond to current and future change, regardless of whether this is social, political, economic or environmental, by initiating and strengthening areas of work that enhance the ability to respond to change, as well as transforming systems that exacerbate risk of all kinds.

<sup>11</sup> It is important to note that the importance of this lever as a prerequisite for urban resilience, was reiterated at the Melbourne Network Exchange (06-08 February 2017) between the 100RC cities of Melbourne, Durban, New Orleans, Boulder and Semarang, which focused on 'Urban Biodiversity and City Resilience'

<sup>12</sup> Dalberg is a development consulting company and was allocated by 100RC to Durban as the city's 'Global Strategy Partner'.



Although the outcomes from the systems analysis were useful in confirming and reinforcing the original findings of the PRA, the ‘levers for change’ did not sufficiently refine or prioritise the resilience challenges facing Durban and as a result actionable areas for intervention could not be easily identified using the ‘levers for change’ alone. Additional focused engagements were therefore undertaken with a variety of stakeholder groups from April to June 2016 in order to identify specific areas or issues where the ‘levers’ could be addressed simultaneously in order to reduce risk and enhance resilience in the city. Through these engagements, two resilience building options (RBOs) were identified by a range of different stakeholder groups: RBO 1 ‘Collaborative Informal Settlement Action’ and RBO 2 ‘Integrated and innovative planning at the interface between municipal and traditional governance systems’. Addressing the ‘levers for change’ through a specific focus on these two RBOs was seen by stakeholders to be potentially catalytic in achieving greater resilience and transformation in Durban, not only in the immediate spaces and communities affected by informal settlements and issues of traditional and municipal governance, but for all Durban residents, given the wide-ranging impacts of the two RBOs on broader city resilience. Importantly, these two RBOs were seen to be strategic entry points into the complex resilience landscape in Durban that could facilitate a focused testing of what is required in these two specific contexts to address the six resilience levers for change in a systemic way. The two RBOs represent issues that are urgent priorities for people in Durban, where addressing the levers for change could have broader and more catalytic impact across the city.



A series of focused conversations were then held with local government officials, non-governmental organisations (NGOs), community-based organisations (CBOs) and research institutions to understand: the key actors linked to the RBOs; the major challenges and issues associated with each of the RBOs; and potential areas for intervention in each RBO that should be included in the Resilience Strategy. These conversations determined the outcomes and interventions identified for each RBO and form the foundation of Durban’s first Resilience Strategy. Given the focus of the RBOs, Durban’s Resilience Strategy captures a complex mix of issues associated with social vulnerability, informality, ecological degradation, politics and governance that will have to be addressed as part of the city’s resilience building efforts, and points to the need for a new form of African urbanism characterised by: new partnerships; transformative change; and an ability to build on and enhance the existing strengths in Africa’s human and natural systems. The process of developing a Resilience Strategy in Durban has also highlighted the spectrum of resilience action that is required in cities and emphasises the need for every city to be able to determine the course of its own resilience journey in order to increase the likelihood that the outcomes are accepted and actioned by local stakeholders.

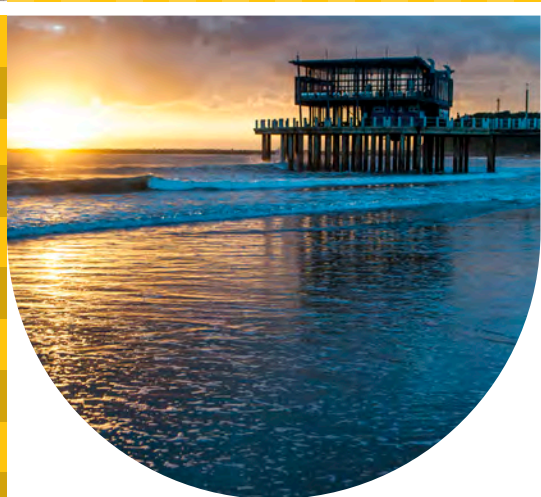






## Chapter 2

# Context for Durban's Resilience Strategy



## Background to Durban

Durban is an African city situated in the province of KwaZulu-Natal on South Africa’s east coast (See Figure 2). It is managed and governed by the local government of eThekweni Municipality<sup>13</sup>. As of 2017, Durban is home to approximately 3.64 million people and has a land area of 2 556 square kilometres. Durban’s apartheid past has played a significant role in creating and shaping many of the challenges being experienced by the city and its residents. These are further exacerbated by global drivers of change such as rapid urbanisation, globalisation and climate change. Three distinctive characteristics are important in understanding Durban and its complex challenges. Firstly, approximately 38% of the municipal area is rural in nature and governed by Traditional Authorities. Secondly, Durban is unusual in that it is located in a global biodiversity<sup>14</sup> hotspot (one of only thirty-six worldwide), making the protection and management of natural ecosystems a priority. Thirdly, due to apartheid Durban has a legacy of structural and social inequity which is apparent in all aspects of city life and functions. Durban has a Gini coefficient (measuring the level of inequality) of 0.63, which is amongst the highest in the world (Statistics South Africa 2011), with an estimated 41% of the population experiencing conditions of poverty (EThekweni Municipality 2016) and a current housing backlog of approximately 389 000 units. For additional information on Durban’s context please refer to Durban’s Preliminary Resilience Assessment or PRA (EThekweni Municipality, 2015), finalised in September 2015.



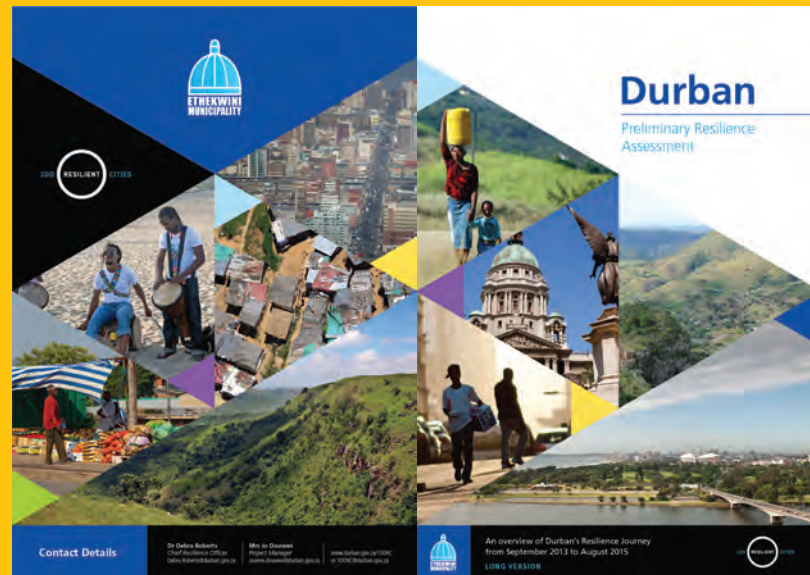
Figure 2: The location of eThekweni Municipality in South Africa.

<sup>13</sup> EThekweni Municipality is the local government responsible for the management of Durban.

<sup>14</sup> Biodiversity is the term used to describe the variety of life on Earth and all natural processes. This includes ecosystems, genetic and cultural diversity, and the connections between these and all species including humans. Ecosystem services are the benefits provided by health biodiversity to all living things. There is a growing recognition of the value of ecosystem services to human well-being in terms of health, social, cultural and economic needs.



The sections below provide an overview of the critical ideas that emerged from Durban's PRA which have helped to frame the approach taken in developing Durban's Resilience Strategy. In addition, changes that have been experienced in the global and local context that have had a bearing on the development of the Resilience Strategy are also summarised.



## Critical Ideas emerging from Durban's Preliminary Resilience Assessment

### An evolving understanding of 'resilience'

In Phase 1, early discussions in Durban showed that there are multiple ways in which 'resilience' can be understood. Key ideas that have been highlighted during the course of Durban's 100RC process are that urban resilience is about how cities prepare for current and future change, and that preparing for this change requires the integration of agendas such as climate change adaptation, climate change mitigation, disaster risk reduction, biodiversity, equity, sustainable development and poverty reduction. Issues of politics and governance are also central to the resilience narrative. Given the chronic developmental and governance challenges facing cities like Durban, this evolving understanding of resilience suggests that resilience needs to be seen not as an end point, but as a step in a broader journey towards transformation. Transformation may also require that resilience is increased in some systems, and reduced in others. Such a systemic approach will require that multiple connected resilience issues are addressed simultaneously if meaningful and effective outcomes are to be produced.

## Focus areas for Durban's Resilience Strategy

During the course of Phase 1, Durban's citizens identified eighteen issues important to enhancing resilience in Durban. Given the interconnectedness of these resilience issues, it was decided that all eighteen should be taken forward into the next phase of the strategy development process and in order to facilitate this process they were consolidated into six Resilience Focus Areas: Bold and Participatory Governance, Knowledge-centred City, Innovative Place-making, Sustainable and Ecological City, Catalytic and Transformative Economy, and Equitable and Inclusive Society (Figure 3).

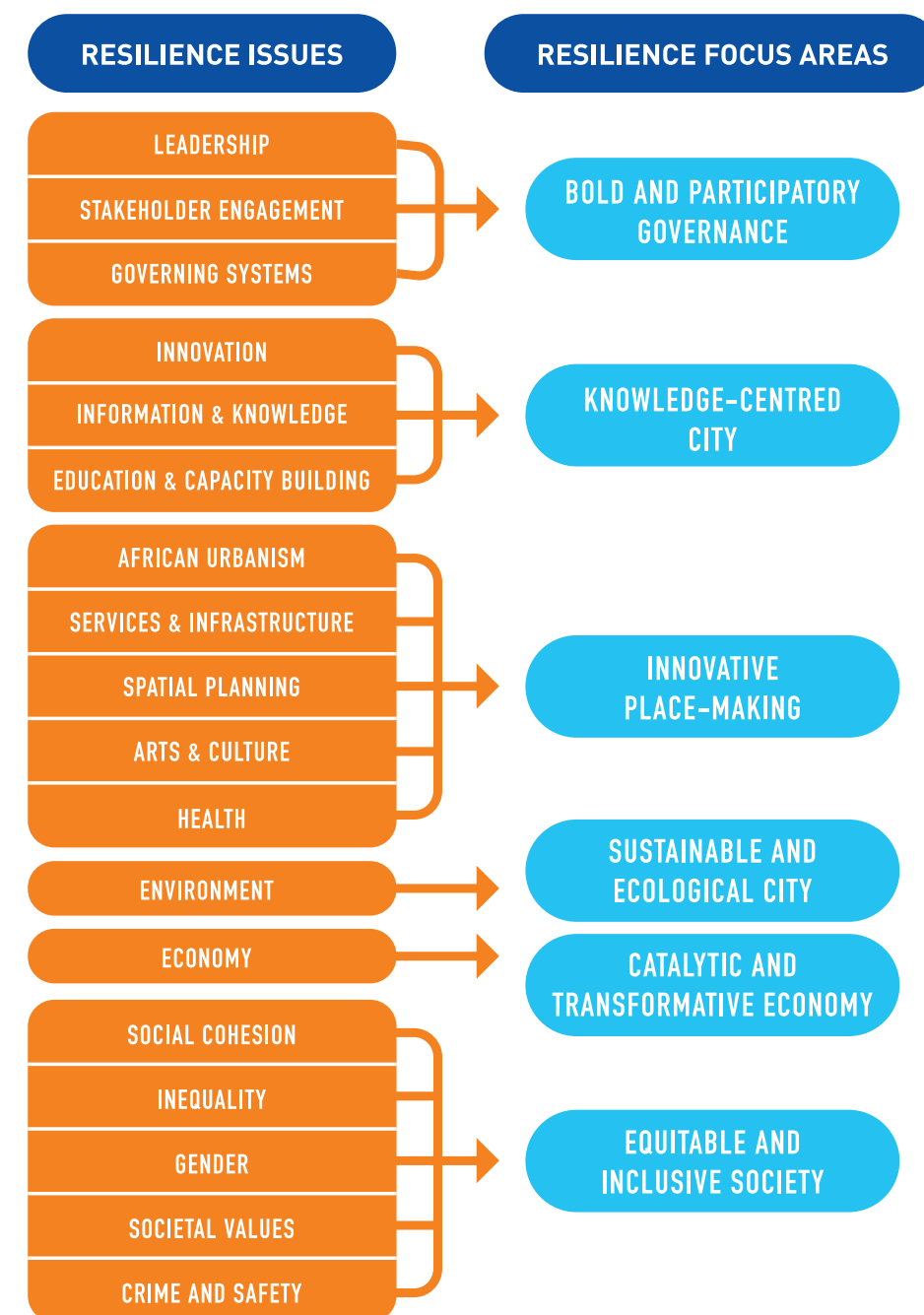


Figure 3: A summary of the Resilience Focus Areas and resilience issues emerging for Durban.



The Resilience Focus Areas and issues identified during Phase 1 provided important insights into the context specific meaning of resilience in Durban:

- Resilience is about multiple issues that are interconnected.
- In evolving socio-institutional contexts, chronic systemic challenges are likely to emerge more strongly as resilience issues than shocks or extreme events.
- Developmental issues are a critical part of resilience.
- Systemic challenges will require systemic solutions, and there is a need to understand the connections that exist between resilience issues in order to understand where interventions will be most effective.
- Considering the ‘entry point’ for resilience action will be important in maximising the catalytic impact of interventions. Investment needs to maximise the ability of the city to respond to the broadest range of resilience issues in locally appropriate and innovative ways and in ways that generate the greatest good for the greatest number of people.

# Local and global shifts that have influenced the development of Durban’s Resilience Strategy

Given the understanding of resilience emerging in Durban, that is the ability to respond appropriately to change, it has been important to identify changes at the local and global level that might be relevant to the development of Durban’s Resilient Strategy. A number of significant shifts have taken place locally and internationally since Durban’s PRA was completed, and these have affected the manner in which Durban’s resilience work has evolved, and will affect the implementation of the Resilience Strategy in subsequent phases of work. These include:

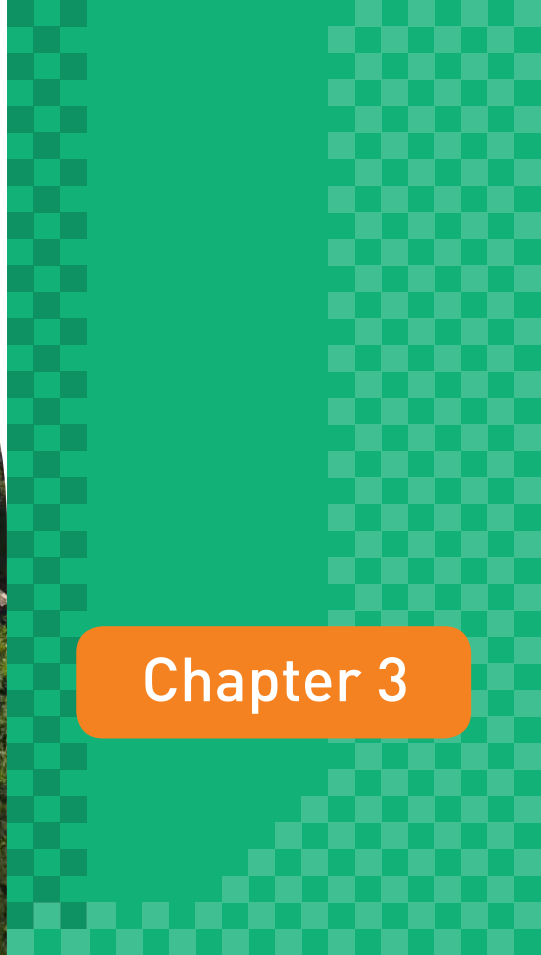
- *Changes in political leadership and municipal boundaries:* South African local government elections were held on 3 August 2016, and resulted in the election of a number of new councillors and a new Mayor. Given that strong political leadership is needed to guide and facilitate the implementation of Durban’s Resilience Strategy, alignment of the Resilience Strategy with the electoral vision and mandate of the new leadership is critical. The central elements of Durban’s Resilience Strategy align well with two of the Mayor’s stated priority areas, that is, human settlements and rural development. During 2016 the planned expansion of the municipal area to include four wards that were previously part of the neighbouring (and now dis-established) Vulamehlo Local Municipality was also completed. This has increased the size of Durban, its population and the demands for service provision.

- *Change in administrative leadership:* The changes in political leadership have been accompanied by changes in the administrative leadership of the city. The new City Manager took up his position at the beginning of May 2017, and will now take over from the previous incumbent as the administrative head of 100RC in Durban. As someone new to local government and new to 100RC, the Durban Team<sup>15</sup> will need to prioritise the briefing of the new City Manager.
- *Prioritising climate change action:* The first ever universal and legally binding global climate agreement – known as the Paris Agreement - was adopted at the 21st Conference of the Parties to the United Nations Framework Convention on Climate Change (also known as the UNFCCC’s COP 21) held in 2015 in Paris, France (United Nations 2015). The Paris Agreement entered into force on 4th November 2016, and requires all countries to submit their climate response efforts (both mitigation and adaptation) in the form of Nationally Determined Contributions (NDCs). Cities will play an important role in helping national governments meet these commitments and it is therefore critical that climate change considerations inform the development and implementation of Durban’s Resilience Strategy, particularly given that climate change poses a significant risk to the city and its human and natural communities, both now and in the future (Roberts and O’Donoghue, 2013).
- *Building sustainable and resilient cities:* The Sustainable Development Goals (SDGs) were adopted in September 2015 and address a broad range of social, economic and environmental challenges. SDG 11 is focused on how to ‘Make cities and human settlements inclusive, safe, resilient and sustainable’. The inclusion of SDG 11 in the 2030 Sustainable Development Agenda reflects the growing global realisation that cities lie at the heart of the resilience and sustainability debate, and as such Durban’s Resilience Strategy must be informed by sustainability principles. In addition to the adoption of the SDGs, the United Nations Conference on Housing and Sustainable Urban Development (also known as Habitat III) was held in October 2016 in Quito, Ecuador (Citiscope, 2016). The resulting ‘New Urban Agenda’ (NUA) aims to make cities sustainable, safer and resilient (including to climate change), as well as increasing the availability of amenities to all. Of particular relevance to Durban’s Resilience Strategy is the fact that the NUA recognises that informality needs to be acknowledged and that an enabling environment should be created in all informal settlements, and that ecological infrastructure is central to building sustainable cities. As such Durban’s Resilience Strategy must seek out new models of African urbanism that can better address the needs and enhance the wellbeing of people and the natural systems that support them.



<sup>15</sup> A summary of the Resilience Focus Areas and resilience issues emerging for Durban.





# Durban's Resilience Strategy

## Chapter 3

Durban's Resilience Strategy is divided into four sections. The first two focus on the Resilience Building Options (RBOs) that emerged from Phase 2 of the stakeholder engagement process; the context within which these RBOs has emerged, and the supporting outcomes and interventions that will inform action in these areas. The third touches briefly on possible further expansion of the resilience work, while the fourth provides an update on the work currently being undertaken by the Durban Team to ensure that the resilience function is appropriately institutionalised within eThekweni Municipality. A consolidated strategy overview is presented at the end of this section in the form of a provisional workplan.



## Critical principles that inform the RBOs and Resilience Strategy

As previously indicated, the selection of the two RBOs was informed by the six 'levers for change' that were prioritised through the systems analysis process at the beginning of Phase 2. The systems analysis built off the eighteen resilience issues and six resilience focus areas that emerged as part of Durban's Preliminary Resilience Assessment at the end of Phase 1. Its purpose was to identify systemic and catalytic intervention points that would address the barriers to resilience identified in Phase 1, in a comprehensive way. The following resilience 'levers for change' emerged from the systems analysis process:



# 6 LEVERS FOR CHANGE

## 1 Strengthen local communities and build social cohesion

This lever underscores the need to empower individuals to make relevant changes, and to promote participatory processes that facilitate social cohesion.

## 2 Improve the effectiveness of education and skills development

This lever prioritises increasing access to knowledge (for example through education and data collection), promoting skills development opportunities that help to align existing skills with the needs of the economy, and engaging all citizens in the process of decision-making.

## 3 Promote economic growth in line with 21st century trends and opportunities

This lever highlights the need to orient the city's economy to facilitate inclusivity, sustainability and access to a range of economic opportunities.

## 4 Manage environmental assets<sup>16</sup> more effectively

This lever addresses the need to more effectively manage Durban's natural capital assets in order to preserve the city's rich biodiversity and the valuable services that these ecosystems provide to citizens. This involves working and developing within ecological thresholds in order to reduce human risk, as well as being responsive to the challenges posed by climate change.

## 5 Create a more inclusive and integrated spatial plan

This lever focusses on building urban resilience through the creation of an inclusive and integrated spatial plan aimed at overcoming the legacies of apartheid and providing greater access to opportunities for all citizens across the city (especially the marginalized and previously disadvantaged). This includes the need to be responsive to increasing levels of informality in the city and to plan accordingly.

## 6 Improve municipal effectiveness

This lever identifies the need to improve overall effectiveness of the eThekweni Municipality, including co-ordinating planning, making decisions that are informed by appropriate data and knowledge, and ensuring that partnerships for implementation are strengthened across scales.

<sup>16</sup> 'Environmental asset' refers to a natural asset (e.g. air, water, land). This term includes biodiversity and the ecosystem services and value ('natural capital') derived from these natural assets which are essential for human wellbeing.

Principles that are shared across these 'levers for change' include: increased inclusivity; informed decision-making; working in integrated ways and facilitating new forms of partnership. These principles have informed the development of Durban's Resilience Strategy. However, given that the 'levers for change' did not sufficiently refine or prioritise the resilience challenges facing Durban, additional focused engagements were undertaken with a variety of stakeholder groups in order to identify specific areas or issues where the 'levers' could be addressed simultaneously in order to reduce risk and enhance resilience in the city. Through these engagements, two resilience building options (RBOs) were identified: RBO 1 'Collaborative Informal Settlement Action' and RBO 2 'Integrated and innovative planning at the interface between municipal and traditional governance systems'. Durban's intention in selecting two specific RBOs as the foundations for the Resilience Strategy, is to use these as focused spaces in which to address all six levers for change, and to use the outcomes and learning from the RBOs to help inform and catalyse broader resilience action in Durban. The conceptual links between the original resilience issues and focus areas (identified in Durban's Preliminary Resilience Assessment), the 'levers for change' that emerged from the systems analysis at the beginning of Phase 2, and the RBOs that form the pillars of Durban's Resilience Strategy, are shown in Figure 4.





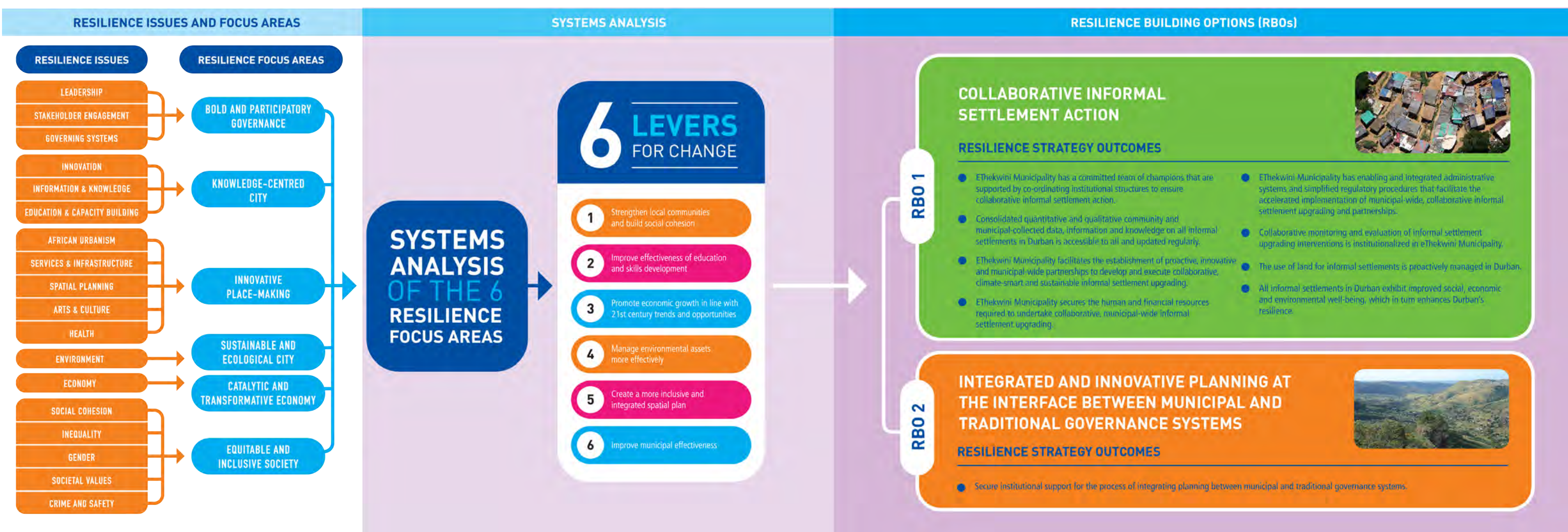


Figure 4: Conceptually linking Durban's resilience issues and focus areas, with 'levers for change' and RBOs - The systems analysis at the beginning of Phase 2 used the resilience issues and focus areas from Durban's Preliminary Resilience Assessment as the starting point to identify systemic and catalytic intervention points that could address barriers to resilience. The six 'levers for change' that emerged from

the systems analysis were then used as the framework for prioritising two critical issues (RBO 1 and RBO 2) where all six levers for change need to be addressed simultaneously in order to reduce risk and enhance resilience in the city.

The selection of two very specific RBOs suggests an alternative approach to building resilience; one of drilling deep into core barriers to resilience that, if overcome, could have far-reaching resilience-enhancing consequences for all citizens in Durban. This contrasts with a broader range of resilience issues, and potentially a shallower level of engagement in addressing those issues. The following points are important to consider in this regard:

- **The two RBOs are entry points for building resilience in Durban:** All six levers for change need to be addressed to achieve resilience in Durban. However, this is a complex and significant task. The two selected RBOs - 'Collaborative informal settlement action' and 'Integrated and innovative planning at the interface between municipal and traditional governance systems' - represent strategic entry points into this complexity, and facilitate a focussed testing of what is required in these two specific contexts to address the six levers for change in a systemic way. The two RBOs thus are significant starting points from which to begin building a clearer understanding of what is required to enhance resilience in Durban at a structural and strategic level.

- **Advancing work in the two RBOs will have significant direct and indirect benefits for all Durban's citizens:** Approximately 22.4% of Durban's population live in informal settlements and would benefit directly from more efficient and collaborative action to address their needs. In addition, given the impacts of informal settlements on the natural environment and on land values, actions that improve the location and quality of these living environments would have far-reaching consequences for all of Durban's residents. The same can be said of RBO 2, given the significant benefits that would flow from more integrated governance across the municipal and traditional systems. Direct benefits would likely accrue to those living in traditional authority areas (given that integrated planning could facilitate more effective service delivery), while indirect benefits would be felt through, for example, increased water security (given that the traditional authority areas are located in critical biodiversity areas) and improved municipal effectiveness. It is therefore argued that addressing these two RBOs through a specific focus on the six 'levers for change' will help in building broader city resilience beyond just the immediate RBO beneficiaries.



- **‘Human benefit’ is an important metric for assessing resilience in the Durban context:** In Phase 2, the CRO Team contracted a service provider to further develop an existing methodology (developed for a previous piece of climate change adaptation work) to evaluate the outcomes of the two RBOs in terms of their potential human benefit relative to implementation cost. The human benefit emphasis of the methodology is particularly important in cities like Durban, where levels of poverty, unemployment and vulnerability are all high, and where investments that prioritise human wellbeing are critical to enhancing resilience.

- **The importance of ‘resilience towards transformation’:** Durban has consistently argued that, in contexts where factors such as high levels of poverty and inequity, ecological degradation and inappropriate economic development models prevail, resilience needs to be seen as a step in the journey towards transforming the systems, people, institutions and regimes that perpetuate these challenges. A critical question in this context is ‘resilience for whom’ and ‘resilience for what’? If the end goal is transformation, then the resilience journey should focus on areas where inequity and injustice prevail, and should focus on these as priorities. Durban’s selection of the two RBOs as a starting point is important as they are both elements of the city where extreme socio-economic and ecological vulnerability are concentrated. These ideas are summarised in Figure 5 which shows the potential contribution of Durban’s focused RBOs in driving broader systemic transformation. It is the intention of the CRO team to explore additional resilience priorities in the city in due course that continue to build towards a transformed urban state.

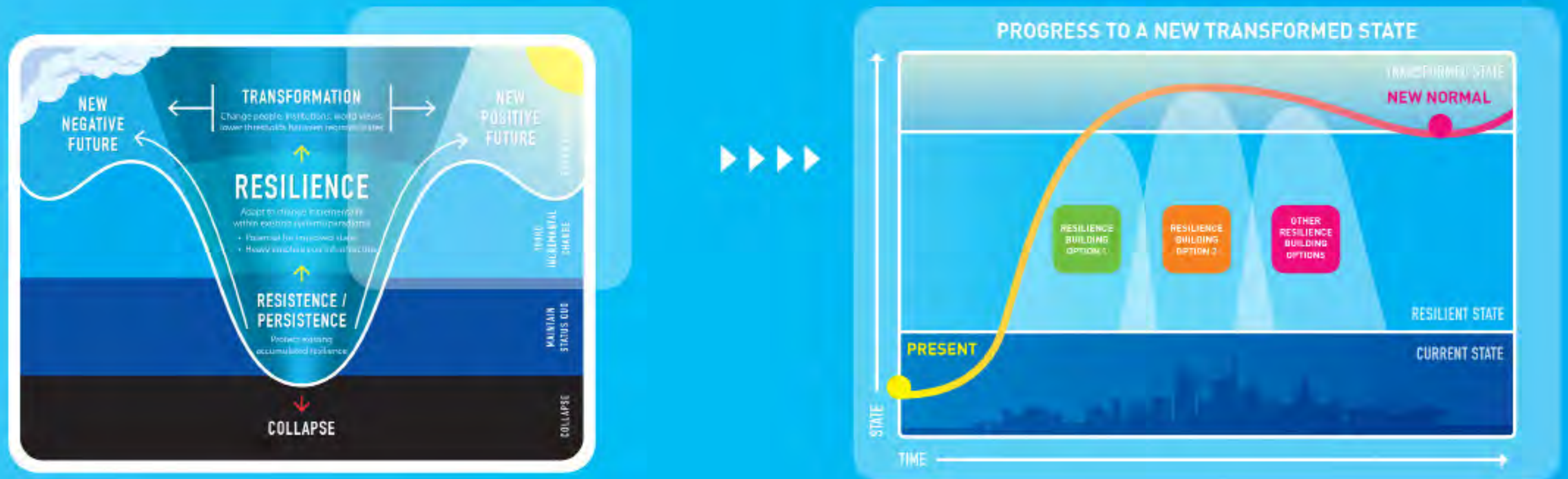


Figure 5: Resilience is not an end goal but it a progression towards a new transformed state.



# Resilience Building Option 1: Collaborative informal settlement action

## Background to the informal settlement challenge

### *Informal settlement in Durban*

As is the case in all major cities in South Africa, informal settlements have become an increasing part of the urban fabric in Durban, despite an aggressive housing programme. This is due to the continued legacy of apartheid planning, continued endogenous growth of the city's population, the ongoing migration of people to urban areas and the lack of suitable stocks of affordable housing in Durban. Although it is acknowledged that there are a number of definitions used for 'informal settlements' in South Africa, in the context of Durban's Resilience Strategy informal settlements are referred to as: a collection of structures, that are made out of basic materials, without local government approval (illegal), lacking basic services, often built on marginal land, and without tenure agreements or complying with (planning or building) regulations (Housing Development Agency 2013).

Informal settlements face service delivery challenges, poor living conditions and high levels of vulnerability. They also contribute to, and are impacted by a range of environmental and health challenges, usually related to: their location in environmentally sensitive areas; their lack of services; and the impacts of wastewater and pollution runoff into adjacent rivers. As of March 2017, there were 569 informal settlements in Durban made up of an estimated 238,000 households, representing almost a quarter of the city's population. (Figure 6 indicates the current location of informal settlements). As is the case many other major cities, eThekweni Municipality does not have the resources to provide all people with formal housing and moving people to alternative areas is not regarded as best practice. Therefore, eThekweni Municipality, like many other local governments around the world, has shifted its focus to upgrading existing informal settlements (*'in situ'* upgrades) in order to improve the living conditions of people living in these spaces. This approach is also aligned with shifts in informal settlement policy and legislation in South Africa.

### *Shifts in informal settlement policy and legislation in South Africa*

The Housing Act, No 107 of 1997 (Republic of South Africa 1997) recognises the constitutional rights of South African citizens to access to adequate housing, and aims to facilitate the development of sustainable housing. The 'Breaking New Ground' Policy (Department of Housing 2004) was introduced in response to the shortcomings of the 1994 Housing White Paper, which focused its attention on state-subsidised provision of low-cost housing. The Breaking New Ground Policy supported the upgrading of informal settlements as one of the ways of housing the urban poor. In 2009, informal settlements were officially included in South Africa's housing policy when the Upgrading of Informal Settlements Programme (UISP) was incorporated into the National Housing Code (Bolnick 2010). The housing code represented a major shift in policy as it advocates for the facilitation of *in situ* upgrading of informal settlements in a holistic manner rather than focusing on the removal of people (Department of Human Settlements 2009). The Housing Code also details the implementation of an Urban Settlements Development Grant (USDG) which municipalities can apply for in order to provide basic services and amenities in informal settlements (Department of Human Settlements 2009).

The National Department of Human Settlements designed the National Upgrading Support Programme (National Upgrading Support Programme 2016a) to facilitate the implementation of the Upgrading of Informal Settlements Programme. The National Upgrading Support Programme (NUSP) has developed a resource kit that provides guidance on the upgrading of informal settlements and includes resources on accessing finances, planning the upgrade, involving communities in the process, and securing land (National Upgrade Support Programme 2016a, 2016b).

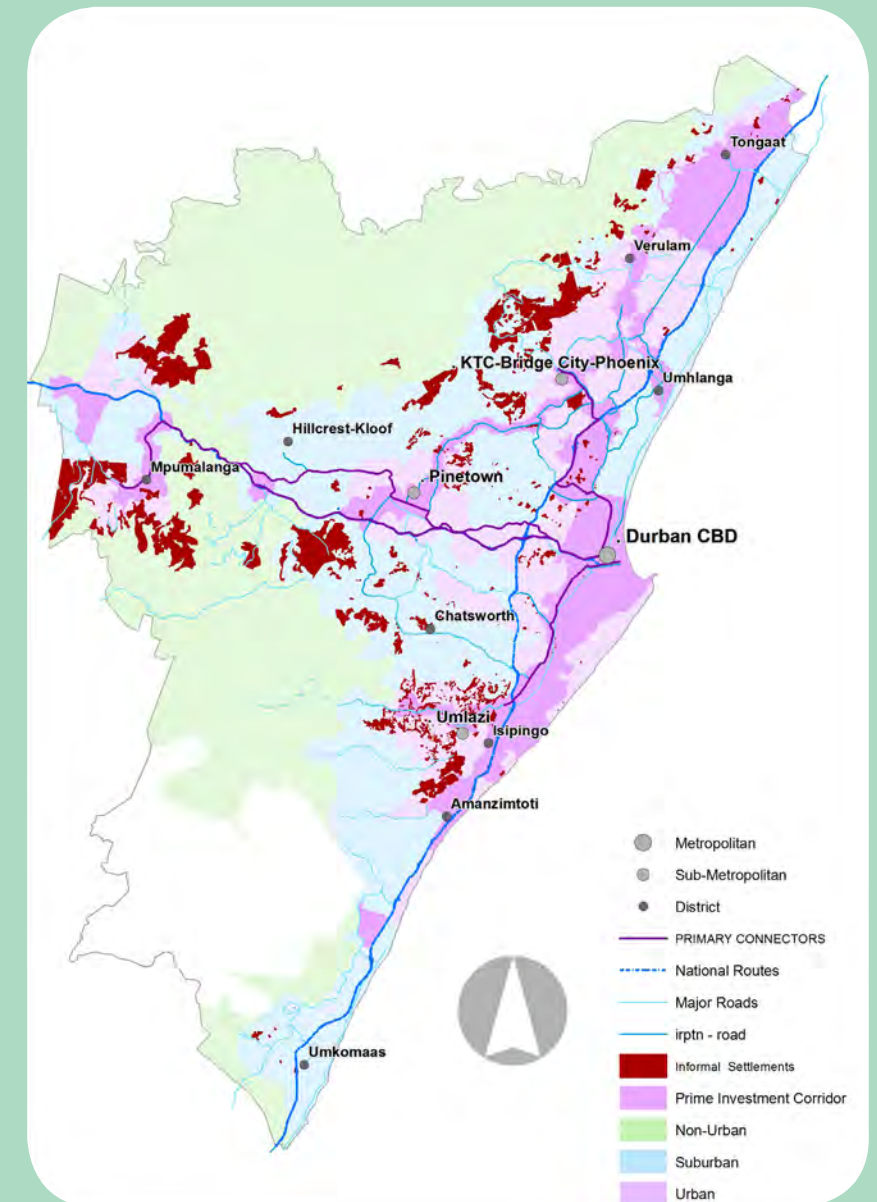


Figure 6: The location of informal settlements in Durban (Source: Human Settlements Unit, eThekweni Municipality, March 2017)



It also advocates for the creation of healthy environments and social and economic integration. Subsequent to this, the Pretoria Declaration on Informal Settlements was developed and includes, amongst others, an emphasis on the upgrading of informal settlements using an integrated approach that takes into account national and local policy, strategy and planning, and includes multiple stakeholders (UN Habitat 2016). Despite this progressive policy and legislative environment, however, translating these principles into practical action remains a critical challenge.

# Current issues and challenges in addressing the informal settlement challenge in Durban

Durban stakeholders recognised the difficulties associated with translating progressive human settlements policies into practical resilience focused action and identified a number of key challenges (outlined below). These issues and challenges provided the basis for identifying appropriate resilience building interventions that could address these.

## Alternative models for human settlements delivery need to be explored: provision of housing or provision of liveable communities?

Post-1994 the predominant method of assisting informal communities in South Africa has been to relocate them (where possible) to state-subsidised, formal housing projects. Many informal communities therefore have an expectation that they will receive ‘Reconstruction and Development Programme’<sup>17</sup> (RDP) housing over the longer term. Unfortunately, the provision of formal housing has not resulted in a significant reduction in the housing backlog and many residents of informal communities are unlikely to be provided with a formal house within their lifetime. In addition, the provision of a house does not necessarily address the broader set of challenges experienced by residents in informal communities, which are primarily related to low income levels. An alternative and more resilient approach to the delivery of housing would shift the focus away from the provision of formal housing to facilitating a better living experience for informal communities, through concerted investment in the public realm (such as improved services, formal roads, formal pedestrian paths, street lighting, waste management facilities and storm water infrastructure) and social facilities (such as schools and clinics). This spreads expenditure across a broader number of people and provides flexibility in terms of informal settlement residents self-investing in their own housing (as and when possible) within a context of secure tenure.

## New perspectives on informality are required

This new approach is driven by evolving views on the role of informality in the cities of the 21st Century. In South Africa, as in many places around the world, a common past response to informality (informed by a modernist, pro-growth state ideology) has been to consider informality as a sign of a lack of development and hence to try and eradicate it. In Durban, however, a large portion of the city’s residents rely on informal systems for income,

housing and other services. As a result, informality is a critical contributor to the economic and social welfare of residents in a situation where government does not have the resources to provide formal alternatives. The approach of trying to remove informality (in terms of housing, the economy etc.), and replacing it with formal systems thus limits creativity in addressing the resilience and sustainability challenges faced in Durban. New perspectives are required that acknowledge the importance of informality within urban systems (especially in African cities), and consider ways of actively integrating it to ensure its continued and increased contribution to resilience in Durban. This applies both to individual mindset changes and the need for the existing legislative and policy environment (which is based predominantly on formal systems) to become more flexible and responsive to informality.

## There is a lack of understanding regarding the dynamics of informal settlements

Several drivers of informal settlements (e.g. poverty and the need to access employment in urban areas) are generally recognised as being important in determining how and where informal settlements are established. However, detailed data and knowledge around the role of informal settlements within the urbanisation process and the specific needs of people living in these spaces are limited, and data are often inconsistent. As a result, there is a risk of making assumptions about the most appropriate responses to addressing challenges associated with informal settlements. More detailed knowledge of informal settlement communities (such as the number of residents, the profile of the residents, the local economy of the community, the environmental context, and the leadership structures) is often either not available, or resides within specific local government departments. Improved knowledge of these communities is required, as well as improved methods of making this knowledge available to the range of people and organisations working with informal settlement communities, if local level resilience is to be enhanced.



## No two communities are the same

No two informal settlement communities are the same and there is a need to assess each on a case- by-case basis in relation to: potential partnerships; capacity for engagement; forms of appropriate upgrading or resettlement etc. In some settlements control of the settlement has been captured by ‘elites’, whereas in others decision-making is highly organised and democratic. The relationship between owners and tenants in informal settlements also varies from one informal settlement to the next. Understanding this diversity will be key in determining how best to improve the resilience of these communities.

<sup>17</sup> The Reconstruction and Development Programme (RDP) is a South African socio-economic policy framework implemented by the African National Congress (ANC) government of Nelson Mandela in 1994. The ANC’s primary aim in developing and implementing the RDP, was to address the immense socioeconomic problems brought about by the pre-1994 Apartheid regime. Specifically, the RDP set its sights on alleviating poverty and addressing the massive shortfalls in social services across the country, including housing.



**The involvement of communities in the planning process is generally poor**

Stakeholder engagement during the planning process for informal settlement upgrading is generally weak and there are few real partnerships between informal settlement communities and eThekwin Municipality in improving the way in which settlements are located and upgraded. Linked to this there are few opportunities for informal settlement communities to be involved in developing their own responses to the housing challenge, or to inform the way in which settlement upgrades take place. This lack of involvement will undermine long-term resilience in the city.



**High levels of mistrust exist between many informal settlement communities and eThekwin Municipality**

Service delivery challenges and difficulties associated with stakeholder engagement and partnership development between eThekwin Municipality and informal settlers have resulted in mistrust between these groups. In some cases this undermines the ability to foster new relationships in some projects, and as a result third parties (such as research institutions) have been more effective in engaging with informal settlement communities. Improving the trust between key stakeholders will be central to enhancing the resilience opportunities available to informal settlement communities and eThekwin Municipality.

**Interventions to address service delivery and socio-economic challenges are not being effectively coordinated**

There is a lack of coordination within eThekwin Municipality between local government departments regarding informal settlement upgrades and the provision of incremental services and social services. Part of this challenge relates to the fact that the delivery of housing is often perceived to be the responsibility of the eThekwin Municipality's Human Settlements Unit, when in reality this falls to several local government departments. In addition, the focus of local government efforts on housing provision overshadows the broader delivery of a functional living environment within informal settlement communities (many of which are expected to persist for decades). There is also a lack of coordination between eThekwin Municipality and the various NGOs, CBOs and research organisations that work in the informal settlements arena, which further undermines attempts to improve resilience and sustainability.

**Progressive and integrated human settlement policies can be undermined by a focus on housing targets**

Many of the national human settlement policies relating to housing provision are progressive, for example, promoting the engagement of communities in the development of settlements. Delivery is still, however, linked primarily to targets (e.g. the number of housing units built) and this limits the opportunities to consider alternative, and potentially more innovative and resilient approaches for making informal settlements more liveable. This 'numbers-driven' approach can also limit opportunities to consider human settlements in a holistic way, for example, through the inclusion of supporting infrastructure and services, such as those focused on social and economic needs (e.g. Early Childhood Development and Sustainable Livelihoods Programmes). There is a need for higher-level conversations at the level of administrative and political leadership, in order to agree on more appropriate human settlement objectives and the way in which these can be addressed in the most sustainable and resilient manner.

**Long-term funding is a challenge**

Funding (in most cases inadequate) is often limited to housing and infrastructure provision (and in most cases it is inadequate) rather than being allocated to the processes of coordination, community engagement and capacity building that should accompany this. There are many instances where funding has been accessed for pilot projects focused on upgrading and service provision, but maintaining coordinated efforts beyond the scope and time horizon of the funding is extremely challenging and likely to undermine long-term resilience.

**New professional skills and partnerships are required for implementation**

Local government staff working with informal settlers require a new set of professional skills in order to be able to deliver services and infrastructure to these communities in a way that meets their needs. The skills that are required include the ability to: actively listen to, and facilitate conversations with informal settlement communities; understand their priority needs, and identify the contributions informal settlement communities themselves can make to the process of upgrading. Additionally, professionals need to have the skills to integrate the efforts of multiple departments, as well as the ability to design bespoke intervention for the needs of specific informal settlement communities.



## Framing Resilience Building Option 1: Collaborative informal settlement action

Durban's decision to concentrate on informal settlements and the issues associated with them as a central part of its Resilience Strategy reflects emerging international and national consensus that these settlements – where over a billion people globally now reside (a number that is expected to at least double by 2050) - will be where global struggles for poverty reduction, climate change adaptation, sustainability and resilience will be anchored.

As indicated previously, since at least 2009, when South Africa's national Upgrading of Informal Settlements Programme was established, there has been an acceptance that conventional approaches to upgrading premised on RDP-type housing delivery and formalisation are inadequate in addressing the informal settlement challenge in South Africa. The messages that emerged from stakeholders during the 100RC engagement process echo this fact and begin to suggest alternative approaches that focus more on incremental, holistic and sustained improvements to informal settlements that prioritise partnerships and community participation. However, such alternative approaches require a radical rethink of the present top-down, technocratic implementation processes, as well as a recognition by local government that informal settlement dwellers are partners in the planning and implementation of resilience-building and city development more broadly. This can only be achieved through the fostering of a different and more functional relationship between the state and the urban poor which focuses not only on state service delivery, but which also leverages the partnerships necessary for more effective social capital formation, collaboration and 'self-help'. It will also require upgrading to be more holistic in terms of facilitating access not only to basic services and incremental housing, but also to key social services (e.g. Early Childhood Development, schools and clinics), public transport and economic opportunities, if the resilience dividend of this approach is to be realised.

Adopting such an approach will be a challenge for local government in cities such as Durban and will require new forms of governance that engage informal settlement communities and facilitate partnerships and collaboration. A critical challenge lies in local government's primary regulatory and management role, which requires it to balance the need to be facilitatory and collaborative on one hand, with the need to implement legislation on the other, (for example, if informal settlements are illegally located on privately owned land). The cross-sectoral nature of what is required to upgrade informal settlements effectively also suggests that new institutional structures might be required to coordinate the city-wide rollout of such an approach. As part of this more holistic approach to upgrading, it is also necessary to consider emerging global trends around climate change and sustainability to ensure that informal settlement communities are assisted to become climate-smart and that they are designed, serviced and located in a way that minimises their overall environmental impact. Durban is well placed to explore how these new opportunities can be created to bridge the persistent implementation gaps between South Africa's progressive informal settlement upgrading policy and the on the ground practice, in order to mainstream sustainable and climate-smart approaches within informal settlement upgrading, and to help shape the resilience agenda in African cities.



## Strategy outcomes and interventions for RBO 1: Collaborative informal settlement action

RBO 1 has been organized around a vision for *Collaborative Informal Settlement Action* and Durban's Resilience Strategy incorporates eight mutually reinforcing outcomes that support implementation of this vision through three proposed stages. Interventions that could support delivery of these outcomes are also detailed, with explanatory notes that provide the rationale for each intervention and current thoughts on existing initiatives that could support these. It is, however, acknowledged that these outcomes and interventions are not necessarily discrete. A workplan that summarises outcomes, interventions, timeframes and responsibilities is also included. It is important to note that a range of work areas and initiatives are already underway, and the role of eThekweni Municipality's Human Settlements Unit, Engineering Unit, Architecture Department and Economic Development and Investment Promotions Unit is acknowledged in this regard, as is the role of a number of NGOs, CBOs and research institutions. These initiatives are not always specifically listed, but Durban's Resilience Strategy has been designed in a way that aims to build on and enhance existing efforts. It is also acknowledged that, although Durban's context is unique in many respects, there will be great similarity with the resilience challenges being experienced in other African cities. It is therefore the intention of Durban's CRO team to use the experience of other African cities in the 100RC network and beyond to advance this work.



## Collaborative Informal Settlement Action: An overview of RBO 1 outcomes

### STAGE 1

#### Outcome 1

EThekweni Municipality has a committed team of champions that are supported by coordinating institutional structures to ensure collaborative informal settlement action.

#### Outcome 2

Consolidated quantitative and qualitative community and municipal-collected data, information and knowledge on all informal settlements in Durban are accessible to all and updated regularly.

### STAGE 2

#### Outcome 3

EThekweni Municipality facilitates the establishment of proactive, innovative and city-wide partnerships to develop and execute collaborative, climate-smart and sustainable informal settlement upgrading.

#### Outcome 4

EThekweni Municipality secures the human and financial resources required to undertake collaborative, city-wide informal settlement upgrading.

#### Outcome 5

EThekweni Municipality has enabling and integrated administrative systems and simplified regulatory procedures that facilitate the accelerated implementation of city-wide, collaborative informal settlement upgrading and partnerships.

### STAGE 3

#### Outcome 6

Collaborative monitoring and evaluation of informal settlement upgrading interventions is institutionalized in eThekweni Municipality.

#### Outcome 7

The use of land for informal settlements is proactively managed in Durban.

#### Outcome 8

All informal settlements in Durban exhibit improved social, economic and environmental well-being, which in turn enhances Durban's resilience.

### Outcome 1

EThekweni Municipality has a committed team of champions that are supported by coordinating institutional structures to ensure collaborative informal settlement action

Throughout the stakeholder engagement process, there was consensus that in order to drive the transformative change that is required, eThekweni Municipality needs to have appropriate political and administrative champions for RBO 1. It was also acknowledged that champions are needed amongst NGOs, CBOs, research organisations and the private sector, in order to help formulate and implement the alternative policy position for informal settlement upgrading that is reflected in RBO 1. Existing national legislative obligations for *in situ* informal settlement upgrading, social, spatial and environmental justice as well as global commitments relating to climate change adaptation, mitigation and environmental sustainability<sup>18</sup> should inform the thinking and interventions by these champions. A transversal local government working group that is able to work across a range of departmental functions was suggested to coordinate the implementation of the champions' vision.



<sup>18</sup> In the context of the two RBOs, the term 'sustainability' is used to refer to development that meets the needs of the present without compromising the ability of future generations to meet their own needs. These needs include social, economic and environmental sustainability needs.



## STAGE 1 - OUTCOME 1

| Interventions   | Explanatory notes  |
|---|--|
| Identify and secure a political champion and relevant administrative champions within eThekweni Municipality.   | A champion is needed to ensure clear political leadership of RBO 1. It is likely that the Mayor will need to play this role. Relevant administrative champions are also required to ensure strong administrative leadership. It is likely that the Deputy City Managers, Chief Strategy Officer and specific Unit Heads (e.g. Human Settlements and Engineering Units) will need to play a central role.   |
| Undertake a review of existing eThekweni Municipality coordinating structures and establish new structures or expand existing structures as required. | A number of local government structures exist, or are being planned, in relation to the coordination of informal settlement action. However, gaps do exist in coordinating work across local government departments and these need to be appropriately addressed. An important consideration in this process, is the fact that coordinating structures (and the line departments that contribute to these) need to be appropriately resourced to ensure their sustainability. An example of an existing coordination structure is the Incremental Services Technical Forum (ISTF). This, however, focuses predominantly on infrastructure delivery and as a result a more comprehensive structure is needed that includes the Treasury Cluster, Architecture Department, Economic Development and Investment Promotions Unit, Disaster Management and Emergency Control Unit and other relevant line functions. This might be an expanded version of the existing forum (for example through additional workstreams that are coordinated by the ISTF), or something new. In addition, relevant structures are required at a smaller geographic scale to co-ordinate the action of departments in specific areas. The existing Area Based Management structures could be used, however, currently Area Based Management structures do not cover all areas where informal settlements are located. In addition, these structures do not have a specific focus on informal settlements, area structures where these departments and relevant non-government stakeholders for an area can meet and undertake collaborative planning are required. Further discussion is needed regarding appropriate institutional coordination across all these levels. |

## STAGE 1 - OUTCOME 1 (cont.)

| Interventions   | Explanatory notes  |
|---|--|
| Establish a multi-sectoral advisory forum that can lead the debate regarding informal settlement upgrading.   | This forum will advise on informal settlements upgrading but will not play a role in resource allocation. The following sectors should be represented in the forum: NGO and CBO Sector, Research Sector, Private Sector, Local Government, Provincial Government and National Government. There is no such forum currently in existence, but initial ideas around a Community Stakeholder Forum are being explored by eThekweni Municipality's Human Settlements Unit. |
| Establish a clear policy statement regarding collaborative informal settlement action.  | There are difficulties with, and different interpretations of, the terminology associated with informal settlements. Clear policy and position statements with explanations of terminology could assist in developing a common vision and understanding. In addition, policy positions need to align with provincial and national policy and there should be engagement with provincial and national government regarding this.  |
| Develop an appropriate brand for the 'Collaborative Informal Settlement Action' work and a range of appropriate communication materials explaining policy positions and statements. | Given the various perspectives on informal settlements, there is a need to develop an appropriate brand that can help communicate around the intentions of eThekweni Municipality's work in promoting 'Collaborative Informal Settlement Action'. All communication materials should be available in isiZulu and English and informal settlement communities should be engaged as part of this process.  |





## Outcome 2

Consolidated quantitative and qualitative community and municipal-collected data, information and knowledge on all informal settlements in Durban are accessible to all and updated regularly

Once political and administrative champions have been identified it will be essential that widespread local action follows in order to consolidate and build trust in the vision of collaboration. Throughout the 100RC process in Durban, the issue of creating a knowledge-centred city has been prioritised by stakeholders and this has emerged as a particularly important need in relation to RBO 1. Opportunities exist for eThekweni Municipality to facilitate data collection by local informal settlement communities and data are also available through eThekweni Municipality itself and through NGOs, CBOs and research organisations working in the city. These data alone won't catalyse immediate change, but the process of collection and use could provide an important starting point for more collaborative action. The data could also provide the basis for an informed dialogue between informal settlement communities, relevant organisations and eThekweni Municipality that moves beyond a cataloguing of needs by the community, to a joint exercise in priority-setting and action planning. A city-wide informal settlement profile developed through the integration of the self-assessments undertaken by the residents of each informal settlement in Durban will address multiple levers for change simultaneously: strengthening the local community and building cohesion; building skills in informal settlement communities; promoting economic livelihoods for the poor; and laying the foundation for inclusive city planning. This approach will facilitate the identification of targeted resilience-building interventions and is in line with global and national precedents, which suggest that this sort of collaborative knowledge development has the potential to shift the way communities and governments engage. Given the scale of the work required, however, careful consideration needs to be given to the manner in which such a city-wide approach is implemented and what mechanisms need to be put in place to ensure that information is updated regularly. It will also be important to align the updating of data with other data collection processes. This might include, for example, the Municipal Services and Living Conditions Survey or the National Population Census.

## STAGE 1 - OUTCOME 2

| Interventions  | Explanatory notes  |
|--|--|
| Review and understand existing information sources and other initiatives to collect information.   | The National Housing Needs Register is a national database to register households and informal settlements and completion of this register will become a national requirement for all local governments. However, the current survey questions that need to be completed for the National Housing Needs Register would need to be modified to include questions about access to, and the need for, social amenities, as well as other needs that may not already be covered by the survey. Community-collected data could feed into this process. Other processes exist in eThekweni Municipality that may be useful in assisting with the data collection process (e.g. the Municipal Services and Living Conditions Survey). |
| Collaboratively prioritise the type of data and knowledge required from informal settlements.  | To secure buy-in from communities, it is important to gather the information that matters to them. It will also be important to ensure that the data collected are relevant in informing the work of eThekweni Municipality officials and other processes such as the Housing Needs Register described above.  |
| Support the development of a city-wide informal settlement profile and mapping exercise in which residents of each informal settlement develop their own profile and undertake digital mapping of boundaries and services, with appropriate support. | Apart from generating new and comprehensive data for informal settlements, the intention would be for the process to begin driving transformation e.g. by establishing new partnerships for data gathering. There are precedents of successful programmes having been undertaken at scale in Ghana, Uganda and Liberia. Appropriate mechanisms for data collection (e.g. focus groups/community surveys) need to be agreed on in order to maximise data accuracy.  |
| Undertake community and local government dialogues to jointly co-produce knowledge to identify development priorities for each settlement.   | It is essential that interventions in informal settlements are linked to jointly identified priorities that are co-developed between eThekweni Municipality and informal settlement communities through a participatory planning process. This creates demand and ownership among local communities and also ensures that implementation plans are informed by what is possible for eThekweni Municipality.  |



STAGE 1 - OUTCOME 2 (cont.)

| Interventions   | Explanatory notes  |
|---|--|
| Establish a relevant platform to consolidate and share information regarding informal settlements.  | There is currently very limited information on informal settlement communities and the information that exists is often not accessible to all stakeholders. The challenge of lack of accessible information has been consistently raised by stakeholders as an obstacle to collaborative informal settlement action. |
| Develop, in collaboration with communities, a range of accessible communication products in both English and IsiZulu to share the results of the data collection process. | One example would be to create livelihood opportunities for youth in informal settlements to produce video and multimedia content on life in informal settlements to assist with the communication of the results.   |



Outcome 3

EThekwin Municipality facilitates the establishment of proactive, innovative and city-wide partnerships to develop and execute collaborative, climate-smart and sustainable informal settlement upgrading.

It will also be critical to establish partnerships to support the implementation of the priorities jointly identified by the local informal settlement communities and other relevant stakeholders. Importantly, a mindset change is required that sees communities identified as partners – not just beneficiaries – in order to support and promote community ownership of projects, economic development of the most vulnerable and broad-based skill building. This idea is already embedded in the UISP, which requires municipalities to work in partnership with informal settlement residents during the upgrading process. Technical and financial support is available to municipalities through the National Upgrading Support Programme (NUSP), the Urban Settlement Development Grant (USDG) and the City Support Programme (CSP). During the consultations around RBO 1, stakeholders in Durban identified the transformative power of peer-to-peer experiential exchange for city officials, communities and partners with their counterparts in other cities. These exchanges – to other relevant national and international sites – can serve to build trust between the local collaborating partners and can enhance practical, results-based capacity building. Tools such as Memoranda of Agreement (MOAs), Memoranda of Understanding (MOUs) and Social Compacts were also suggested by stakeholders to be effective for guiding these partnerships. The challenge of sustaining such partnerships, for example through ongoing engagement and funding, was also highlighted during the discussions.





## STAGE 2 - OUTCOME 3

| Interventions   | Explanatory notes  |
|---|--|
| Research relevant best practice in Durban and internationally, promote the management and dissemination of knowledge, and use this to inform implementation.  | Project Preparation Trust (PPT) and the University of KwaZulu-Natal (UKZN) are already involved in several research initiatives, and the Slum Dwellers International (SDI) Secretariat can provide guidance regarding international research sources. However, it is important to be clear on what the focus of research needs to be, and how this is used as a tool to build new knowledge about informal settlements.  |
| Explore innovative climate-smart approaches to informal settlement upgrading.   | Informal settlements in Durban are at high risk from extreme weather. Climate changes that have been projected for Durban include increased temperatures and more variability in rainfall, with associated implications for human health, safety and wellbeing. Innovative, climate-smart, approaches to upgrading informal settlements are required.  |
| Identify where city-wide partnerships are needed and the potential for various partners to contribute to implementation priorities. Possible partners include NGOs, CBOs, communities, researchers, private sector and neighbouring formal communities. | This would require that informal settlement communities identify the role they can play in the upgrading process, and the capacities and resources they can contribute to partnerships with eThekwin Municipality. This process helps to shift the narrative from "delivery" to "partnerships" and from "demands" to "suggestions". Similarly, eThekwin Municipality will need to identify the resources and capacity it can bring to these partnerships. In addition, other potential partners should be drawn into the process from civil society, non-governmental organisations, research institutions and the private sector. |
| Establish partnerships, using relevant mechanisms, to co-produce and execute interventions that respond to the priorities identified by informal settlement communities.  | Several mechanisms exist (e.g. social compacts, MOU's, Section 67 of the Municipal Finance Management Act etc.) to facilitate the development of partnerships and to structure the collaboration required. These need to be assessed for their suitability and used in appropriate ways. It should also be noted that eThekwin Municipality's Human Settlements Unit has City-Community Partnership Arrangements (CCPA's) for 42 informal settlements.   |

## STAGE 2 - OUTCOME 3 (cont.)

| Interventions   | Explanatory notes  |
|---|--|
| Establish systems and funding to support and finance relevant partnerships.   | Once partnerships have been established, there will be a need to proactively invest in and maintain these. Although funding is an important element in sustaining partnerships, stakeholders also acknowledged that a level of volunteerism is also still critical.  |
| Create public spaces that allow for the convening of community and local government meetings  | Many informal settlement communities do not have appropriate spaces for residents of the informal settlement to convene discussions regarding the upgrading of their informal settlement. It is important to ensure these spaces are kept available for this purpose.  |
| Explore relevant mechanisms to facilitate mutual learning and improved relationships between eThekwin Municipality and informal settlement communities. | In order to facilitate productive partnerships, there is a need for informal settlement communities to understand how eThekwin Municipality functions and for the Municipality to better understand the informal settlement communities in which they work. This is important in helping to find common ground regarding the appropriate approach to service delivery in informal settlements. Possible mechanisms that were suggested by stakeholders to facilitate this learning, included peer-to-peer experiential exchanges between teams of local government, community and other partners from Durban and a range of partners in other cities/institutions to encourage joint learning. |







#### Outcome 4

eThekweni Municipality secures the human and financial resources required to undertake collaborative, city-wide informal settlement upgrading

It is anticipated that the collaborative approach described above could open up opportunities to secure funding from both national and international sources. As a result Stage 1 should be well documented in order to create a strong evidence base that can be used to make a compelling case for international financial support. Durban stakeholders indicated that although eThekweni Municipality has a critical role to play in coordinating the resourcing of this RBO, the partnership approach also needs to be used to leverage the financial contribution of multiple partners – including informal settlement communities themselves. Community finance facilities are innovative mechanisms that offer affordable finance and/or grants to organized informal settlement communities for the purpose of community managed interventions for upgrading informal settlements. Community finance facilities can be supported by local partners such as National Treasury's City Support Programme (CSP) and Slum Dwellers International, for example through providing support to community groups around project preparation and loan management where appropriate, or through providing technical support for fund design and management.

### STAGE 2 - OUTCOME 4

| Interventions   | Explanatory notes  |
|---|--|
| Identify the specific skills and human resources needed to implement and sustain priority interventions   | A key challenge that has been identified is the lack of human resources with appropriate skills to facilitate collaborative informal settlement action. The first step in securing sufficient human resources is understanding what is required in this regard.  |
| Develop programmes to build the skills of local government and other stakeholders to execute collaborative, climate-smart and sustainable informal settlement upgrading.  | This would complement and support the peer-to-peer experiential exchanges proposed in Outcome 3 by promoting the development of key skills for successful partnerships. Examples include capacitating residents of informal settlements to engage with local government and empower local government officials in participatory planning.  |
| Estimate the financial costs associated with the implementation of priority interventions   | A key challenge to the implementation of collaborative informal settlement action is the inadequacy of financial resources to implement a comprehensive programme across all informal settlements in Durban. The first step in securing sufficient financial resources is understanding the costs associated with implementation.  |
| Review the existing resources of eThekweni Municipality, informal settlement communities, civil society, non-governmental organisations, the private sector and research institutions and how these could be more effectively utilised, and then identify critical resource gaps. | This would involve reviewing existing resources (such as approved budgets), how these could be more effectively utilised and the potential to redirect budgets if required. Understanding the potential 'in kind' contributions from informal settlement communities (for example "sweat equity" potential) is also important. A comparison between what is needed, and what is available from eThekweni Municipality and partners, can be used to highlight critical resource gaps. |



## STAGE 2 - OUTCOME 4 (cont.)

| Interventions  | Explanatory notes   |
|--|---|
| Identify opportunities for funding and work to secure these funds.   | Opportunities to secure additional funding could include approaching donors, or considering specific taxes or levies. Part of this work should include exploring the potential within existing grants (e.g. Urban Settlements Development Grant) to facilitate implementation that is in line with the principles of RBO 1 and to leverage innovative partnerships for funding from a diverse cross-section of national and international development partners. Existing proposals and partnerships should be assessed as part of this intervention, in order to avoid duplication. |
| Facilitate the introduction of a range of community finance facilities to leverage resources from informal settlement communities and development partners | Community finance facilities offer affordable finance and/or grants to organized informal settlement communities for the purpose of community managed interventions for upgrading informal settlements. National Treasury is spearheading an initiative to pilot such funds in South Africa's metropolitan areas. Financial facilities should not be limited to loan financing but could also include initiatives such as community saving schemes.   |



## Outcome 5

EThekweni Municipality has enabling and integrated administrative systems and simplified regulatory procedures that facilitate the accelerated implementation of city-wide, collaborative informal settlement upgrading and partnerships

As implementation of RBO 1 progresses, it is anticipated that the transversal local government working group will need to make specific recommendations regarding the simplification of regulatory procedures and policy that can accelerate the informal settlement upgrading process in responsible and sustainable ways. This would need to include a review of associated institutional systems, such as eThekweni Municipality's Performance Management System which is currently perceived to constrain integrative and exploratory action because of its punitive focus on quantifiable targets. This assessment of the full 'value chain' of action is critical if alternative approaches to informal settlement upgrading are to be delivered at the scale and pace that is required. From a regulatory perspective, it will be important to consider that provincial and national legislation will also be applicable in the context of RBO 1, but that eThekweni Municipality may have a more direct impact in relation to local government by-laws and policies.





## STAGE 2 - OUTCOME 5

| Interventions   | Explanatory notes  |
|---|--|
| Create a transversal local government working group that promotes appropriate statutory and regulatory flexibility and revision.                                    | This may be undertaken by the transversal local government working mentioned in Outcome 1, or it may be a sub-group within that larger body.   |
| Identify current or potential bottlenecks created by the existing statutory and regulatory context and undertake steps to address these.                            | Collaboratively identify whether blockages are related to policy intention (for example is the policy intention to prevent development in unsafe areas such as floodplains?) or application (for example understanding the process that needs to be followed to apply the policy) and address accordingly. |
| Identify innovative procedures to upgrading and service delivery for informal settlements within the existing legislative and policy context.                       | Further work will be needed to understand the available options in this regard.  |
| Identify local government systems that may need to change in order to facilitate alternative and innovative approaches to collaborative informal settlement action. | For example, changes to the Performance Management System, which is perceived as a system that does not incentivise exploratory and integrative work, may need to be considered.   |



## Outcome 6

Collaborative monitoring and evaluation of informal settlement upgrading interventions is institutionalized in eThekweni Municipality

Joint monitoring and evaluation of progress toward the eight outcomes by eThekweni Municipality, NGOs, CBOs, research organizations, the private sector and informal settlement communities will be required to build trust and ensure mutual accountability. The process and approach to monitoring and evaluation will need to be designed at the outset to ensure maximum learning throughout implementation and should be kept simple enough to promote genuine dialogue and reflection amongst the stakeholders. The city-wide profile developed as part of Outcome 2 could serve as a baseline against which the effectiveness of interventions could be measured. In addition to specific settlement-related data collection and monitoring, it will also be important to develop relevant mechanisms to monitor the implementation of RBO 1 in relation to the six resilience 'levers for change' that were the filters used to identify collaborative informal settlement action as a critical opportunity to enhance broader city resilience in Durban. This monitoring and evaluation is important not only in order to advance collaborative informal settlement action, but also to influence and shape wider strategy, policy, investment and implementation of the city resilience agenda in Africa.

## STAGE 3 - OUTCOME 6

| Interventions   | Explanatory notes  |
|---|--|
| Establish a collaborative monitoring and evaluation system for the 'Collaborative informal settlement action' resilience building option.   | The evaluation system should incorporate the original 'levers for change' that were identified as critical in building resilience in Durban, in order to assess the extent to which RBO 1 is contributing towards achieving these goals and building broader resilience. Communities should be involved in the feedback of information and how the information they provide is used. |
| Develop and implement a collaborative monitoring and evaluation system that involves eThekweni Municipality, communities, civil society, private sector, non-governmental organisations and research organisations. | Oversight and implementation of the collaborative monitoring system would be through relevant institutional structures (to be developed as part of Outcome 1 following the institutional review).  |



## Outcome 7

The use of land for informal settlements is proactively managed in Durban

eThekweni Municipality has a critical management and regulatory role to play in guiding a sustainable and resilient development path for the city. There is therefore a need to ensure that the emergence and location of new informal settlements is appropriately and proactively managed within legislative frameworks, in order to minimise human risk and to maximise the potential impact of the inclusive and partnership-based approach that is articulated in RBO 1.

## STAGE 3 - OUTCOME 7

| Interventions   | Explanatory notes  |
|---|--|
| Explore and develop appropriate governance approaches to proactively manage the emergence and location of new informal settlements in Durban. | There is a need to proactively manage the emergence of new informal settlements so that they do not put existing informal settlement residents at risk, undermine existing development plans for areas that appear to be open, or undermine important natural environment assets. This intervention may require engaging with existing legislation and associated processes, related for example to land invasion.   |
| Develop and support appropriate community approaches to proactively manage the expansion of informal settlements in Durban.                   | There is a need for communities to assist in the proactive management of the expansion of informal settlements. Examples of the types of proactive management steps already taking place are: surveying of informal settlement communities (often by the communities themselves) to understand current residential status of residents; formal re-blocking of communities (which can facilitate easier monitoring of existing and new dwellings); and the establishment of representative community structures that can engage more readily with eThekweni Municipality. |



## Outcome 8

All informal settlements in Durban exhibit improved social, economic and environmental well-being, which in turn enhances Durban's resilience

It is anticipated that the well-being of informal settlement communities will be improved through the implementation of climate-smart, sustainable and resilient informal settlement upgrading policies and pilot projects. The upgrading pilot projects should respond to the needs identified and prioritised jointly by communities, relevant organisations and eThekweni Municipality. Interventions are likely to be diverse, spanning the provision of housing, infrastructural improvements, basic services and sustainable livelihoods. Consideration also needs to be given to the provision of social amenities such as schools and clinics, and how eThekweni Municipality can facilitate improved engagement with the other spheres of government responsible for their provision. It is intended that the impact of the pilot projects will be greater than the sum of the parts, catalysing new ways of engaging with communities, building new partnerships, and generating renewed vigour around issues of urban transformation, in ways that translate the resilience 'levers for change' into practical actions that generate new learning and facilitate replication throughout the city. Importantly, stakeholders emphasized that pilot initiatives are not sufficient and that they must be accompanied over the longer-term by a city-wide rollout of appropriate informal settlement upgrading.



### STAGE 3 - OUTCOME 8

| Interventions   | Explanatory notes   |
|---|---|
| Co-production by eThekweni Municipality, informal settlement communities, civil society, non-governmental organisations, private sector and research institutions of climate-smart and sustainable settlement upgrading plans at an area level. | This will build on the area-level dialogue on local government and community collected data (Outcome 2) and should facilitate more detailed co-production of community level upgrading plans. Appropriate institutional structures where these plans can be co-produced will be identified and created/expanded following the institutional review proposed in Outcome 1.   |
| Strengthen partnerships with other spheres of government to facilitate improved access to services that support more holistic human wellbeing e.g. health care and education.   | Most of the current investment focus in informal settlement upgrading processes is on the delivery of services such as water, sanitation and electricity. However, attention also needs to be given to a broader range of services that are critical in enabling the ability of informal settlement communities to access improved economic and livelihood opportunities. Services such as education and health care are not always within the mandate of local government, and therefore partnerships with other spheres of government will be needed. |
| Implement collaborative, climate-smart and sustainable pilot upgrading approaches to address priorities raised in community-led profiling.  | This refers to the implementation of pilot upgrading of selected informal settlements throughout Durban. This upgrading should be climate-smart to ensure informal settlements are resilient and responsive to climate change impacts.  |
| Upscale the implementation of pilot projects to ensure city-wide coverage.  | Although pilot projects have a role to play in testing new approaches, interventions ultimately need to be introduced in all informal settlements in Durban.  |
| Create employment opportunities and skills development in informal settlements linked to upgrading.   | Wherever possible, the processes associated with upgrading should create employment and skills development opportunities for informal settlement communities. This could include facilitating access to Wi-Fi in informal settlements and the creation of job link centres.   |

## RBO 1 workplan

A summary workplan for the implementation of RBO 1 is provided below. Given the range of organisations that may be involved in implementation, and the fact that these may vary from one informal settlement community to the next, no names of organisations (other than eThekweni Municipality) have been specified. Similarly, the timeframes given are a high level indication only: 'Short-term' indicates 0-3 years; 'Medium-term' indicates 4-7 years and 'Long-term' indicates a likely implementation period of more than 8 years.

|                       |  |
|-----------------------|--|
| <b>Outcome 1</b>      | EThekweni Municipality has a committed team of champions that are supported by coordinating institutional structures to ensure collaborative informal settlement action.   |
| <b>Overview</b>       | Throughout the stakeholder engagement process, there was consensus that in order to drive the transformative change that is required, eThekweni Municipality needs to have appropriate political and administrative champions for RBO 1, and that champions are also needed amongst NGOs, CBOs, research organisations and the private sector. Appropriate institutional coordination mechanisms also need to be put in place to oversee implementation.   |
| <b>Responsibility</b> | Local Government   |
| <b>Timeframe</b>      | Short Term (0 to 3 Years)  |
| <b>Interventions</b>  | <ul style="list-style-type: none"> <li>Identify and secure a political champion and relevant administrative champions within eThekweni Municipality.</li> <li>Undertake a review of existing eThekweni Municipality coordinating structures and establish new structures or expand existing structures as required.</li> <li>Establish a multi-sectoral advisory forum that can lead the debate regarding informal settlement upgrading.</li> <li>Establish a clear policy statement regarding collaborative informal settlement action.</li> <li>Develop an appropriate brand for the 'Collaborative Informal Settlement Action' work and a range of appropriate communication materials explaining policy positions and statements.</li> </ul> |



|                |  |
|----------------|--|
| Outcome 2      | Consolidated quantitative and qualitative community and municipal-collected data, information and knowledge on all informal settlements in Durban are accessible to all and updated regularly  |
| Overview       | Appropriate data are critical in facilitating improved understanding of informal settlements and the process of data collection could act as a starting point for collaborative informal settlement action. Opportunities exist for eThekwin Municipality to facilitate data collection by local informal settlement communities. Data are also available through the Municipality itself and through NGOs, CBOs and research organisations. The data could also provide the basis for an informed dialogue between communities, relevant organisations and eThekwin Municipality to inform appropriate implementation actions.  |
| Responsibility | Local Government, NGO/CBO Sector, Research Sector  |
| Timeframe      | Short Term (0 to 3 Years)  |
| Interventions  | <ul style="list-style-type: none"> <li>Review and understand existing information sources and other initiatives to collect information.</li> <li>Collaboratively prioritise the type of data and knowledge required from informal settlements.</li> <li>Support the development of a city-wide informal settlement profile and mapping exercise in which residents of each informal settlement develop their own profile and undertake digital mapping of boundaries and services, with appropriate support.</li> <li>Undertake community and local government dialogues to jointly co-produce knowledge to identify development priorities for each settlement.</li> <li>Establish a relevant platform to consolidate and share information regarding informal settlements.</li> <li>Develop, in collaboration with communities, a range of accessible communication products in both English and isiZulu to share the results of the data collection process.</li> </ul> |

|                |   |
|----------------|---|
| Outcome 3      | EThekwin Municipality facilitates the establishment of proactive, innovative and city-wide partnerships to develop and execute collaborative, climate-smart and sustainable informal settlement upgrading.  |
| Overview       | Partnerships will need to be established to support the implementation of the priorities jointly identified by the local informal settlement communities and other stakeholders. Importantly, a mindset change is required that sees communities identified as partners – not just beneficiaries – in order to support community ownership of projects, economic development of the most vulnerable and broad-based skill building. Appropriate mechanisms and resources need to be found to support and sustain critical partnerships.   |
| Responsibility | Local Government, NGO/CBO Sector, and Research Sector. Provincial and National government departments may also have a role to play.   |
| Timeframe      | Medium Term (3 to 7 Years)  |
| Interventions  | <ul style="list-style-type: none"> <li>Research relevant best practice in Durban and internationally, promote the management and dissemination of knowledge, and use this to inform implementation.</li> <li>Explore innovative climate-smart approaches to informal settlement upgrading.</li> <li>Identify where city-wide partnerships are needed and the potential for various partners to contribute to implementation priorities. Possible partners include NGOs, CBOs, communities, researchers, private sector and neighbouring formal communities.</li> <li>Establish partnerships, using relevant mechanisms, to co-produce and execute interventions that respond to the priorities identified by informal settlement communities.</li> <li>Establish systems and funding to support and finance relevant partnerships.</li> <li>Create public spaces that allow for the convening of community and local government meetings.</li> <li>Explore relevant mechanisms to facilitate mutual learning and improved relationships between eThekwin Municipality and informal settlement communities.</li> </ul> |



|                |   |
|----------------|---|
| Outcome 4      | EThekwin Municipality secures the human and financial resources required to undertake collaborative, city-wide informal settlement upgrading  |
| Overview       | Appropriate human and financial resources will be needed to support the implementation of RBO 1. EThekwin Municipality has a critical role to play in coordinating the resourcing of this RBO, but financial contributions from multiple partners – including communities themselves – must also be considered.   |
| Responsibility | Local, Provincial and National government, NGO/CBO Sector, Research Sector.   |
| Timeframe      | Medium Term (3 to 7 Years)  |
| Interventions  | <ul style="list-style-type: none"> <li>Identify the specific skills and human resources needed to implement and sustain priority interventions.</li> <li>Develop programmes to build the skills of local government and other stakeholders to execute collaborative, climate-smart and sustainable informal settlement upgrading.</li> <li>Estimate the financial costs associated with the implementation of priority interventions.</li> <li>Review the existing resources of eThekwin Municipality, informal settlement communities, civil society, non-governmental organisations, the private sector and research institutions and how these could be more effectively utilised, and then identify critical resource gaps.</li> <li>Identify opportunities for funding and work to secure these funds.</li> <li>Facilitate the introduction of a range of community finance facilities to leverage resources from informal settlement communities and development partners.</li> </ul> |

|                |  |
|----------------|--|
| Outcome 5      | EThekwin Municipality has enabling and integrated administrative systems and simplified regulatory procedures that facilitate the accelerated implementation of city-wide, collaborative informal settlement upgrading and partnerships  |
| Overview       | As implementation of RBO 1 progresses, it is anticipated that specific recommendations regarding the simplification of regulatory procedures and policy may be needed, that can accelerate the informal settlement upgrading process in responsible and sustainable ways.  |
| Responsibility | Local, Provincial and National government, NGO/CBO Sector, Research Sector   |
| Timeframe      | Short Term - 0 to 3 Years (it should be noted that, although this work will be initiated in the short term, the outcome is likely to only be achieved in the medium term)  |
| Interventions  | <ul style="list-style-type: none"> <li>Create a transversal local government working group that promotes appropriate statutory and regulatory flexibility and revision.</li> <li>Identify current or potential bottlenecks created by the existing statutory and regulatory context and undertake steps to address these.</li> <li>Identify innovative procedures to upgrading and service delivery for informal settlements within the existing legislative and policy context.</li> <li>Identify local government systems that may need to change in order to facilitate alternative and innovative approaches to collaborative informal settlement action.</li> </ul> |



**Outcome 6**

Collaborative monitoring and evaluation of informal settlement upgrading interventions is institutionalized in eThekweni Municipality

**Overview**

Joint monitoring and evaluation of progress toward the eight outcomes by eThekweni Municipality, NGOs, CBOs, research organizations, the private sector and informal settlement communities will be required to build trust and ensure mutual accountability. This monitoring should include a focus on the extent to which implementation of RBO 1 contributes towards addressing the 6 'levers for change' that are needed for resilience in Durban. This monitoring and evaluation is important not only in order to advance collaborative informal settlement action but also to influence and shape wider strategy, policy, investment and implementation of the city resilience agenda in Africa.

**Responsibility**

Local Government, NGO/CBO Sector, Research Sector. Provincial and National government departments may also have a role to play.

**Timeframe**

Ongoing (to be initiated in the short-term)

**Interventions**

- Establish a collaborative monitoring and evaluation system for the 'Collaborative informal settlement action' resilience building option.
- Develop and implement a collaborative monitoring and evaluation system that involves eThekweni Municipality, communities, civil society, private sector, non-governmental organisations and research organisations.

**Outcome 7**

The use of land for informal settlements is proactively managed in Durban

**Overview**

EtheKwini Municipality has a critical management and regulatory role to play in guiding a sustainable and resilient development path for the city. There is therefore a need to ensure that the emergence and location of new informal settlements is appropriately and proactively managed within legislative frameworks, in order to minimise human risk and to maximise the potential impact of the inclusive and partnership-based approach that is articulated in RBO 1.

**Responsibility**

Local Government, NGO/CBO Sector, Research Sector. Provincial and National government departments may also have a role to play.

**Timeframe**

Short Term (0 to 3 Years)

**Interventions**

- Explore and develop appropriate governance approaches to proactively manage the emergence and location of new informal settlements in Durban.
- Develop and support appropriate community approaches to proactively manage the expansion of informal settlements in Durban.



**Outcome 8**

All informal settlements in Durban exhibit improved social, economic and environmental well-being, which in turn enhances Durban's resilience

**Overview**

It is anticipated that the well-being of informal settlement communities will be improved through the implementation of climate-smart, sustainable and resilient informal settlement upgrading policies and pilot projects, and that these pilot projects are ultimately expanded to ensure city-wide coverage.

**Responsibility**

Local Government, NGO/CBO Sector, Research Sector

**Timeframe**

Long Term - More than 7 Years

**Interventions**

- Co-production by eThekweni Municipality, informal settlement communities, civil society, non-governmental organisations, private sector and research institutions of climate-smart and sustainable settlement upgrading plans at an area level.
- Strengthen partnerships with other spheres of government to facilitate improved access to services that support more holistic human wellbeing e.g. health care and education.
- Implement collaborative, climate-smart and sustainable pilot upgrading approaches to address priorities raised in community-led profiling
- Upscale the implementation of pilot projects to ensure city-wide coverage.
- Create employment opportunities and skills development in informal settlements linked to upgrading.

## Addressing the resilience 'levers for change' through 'Collaborative informal settlement action'

Although collaborative informal settlement action does not address all of the resilience challenges facing Durban, it does provide a critical opportunity to test the ability of eThekweni Municipality and partners to use new approaches in order to address the 'levers for change' that are seen to be central to building broad scale urban resilience in the city. The scale of the informal settlement challenge also means that if progress can be made in this area, this will be a significant step forward in enhancing the resilience of Durban as a whole.



Stakeholder consultations around the collaborative approach that is articulated in RBO 1 have highlighted for example, the potential for action in informal settlements to: enhance the effectiveness of skills development (e.g. through artisanal training and the involvement of communities in work areas such as data collection); manage environmental assets more effectively (through the improved location of settlements and the exploration of innovative approaches to enhance ecological infrastructure and address storm water and wastewater management issues); improve municipal effectiveness (e.g. through improved facilitation of partnerships, improved communication between eThekweni Municipality, communities and NGO's involved in housing development, and improved coordination of upgrading interventions in Durban); build social cohesion; and explore new forms of economy within these spaces. Facilitating improved social and economic wellbeing and access to services in the spaces where informal settlements already exist also maintains and enhances the ability of communities to access job opportunities more easily. However, this will require new thinking, theory and tools to assist in planning for and managing informal settlements in the context of a new African urban spatial form which embraces and works with informality to create equity, sustainability and a good quality of life for all of the city's residents. Working effectively across these issues, under clear and coordinated leadership, has the potential to have broader transformative impacts in Durban, beyond simply the issue of collaborative informal settlement action.



# Insiders Perspective Project

16th - 29th March 2017

An Insider Perspectives Project was undertaken. The goal of the project was to give local informal settlement residents a platform to voice their concerns about life. At the heart of the project lay the desire to see informal settlements through the eyes of their residents, without an imposed filter, and by giving them a chance to share their own view of reality. Three informal settlements were engaged: Havelock, Boxwood and Emalandeni.

Two approaches were used to achieve the desired outcome. The first was to involve people within each of the informal settlement communities in capturing their lives and the issues they face within the informal settlement through a series of photographs taken on their smart phone devices. The second was to take a team on a guided tour of each of the informal settlements and to capture photographs from an outsider's perspective. The photos collected through both approaches were used throughout this document. Consent to use the photographs and accompanying narratives, was provided by the informal settlement residents.



**Thobile Nokwethemba Mkhize**  
Malandeni



*"Glass bottle recycling project helps to keep our community clean as well as educate our children about littering"*



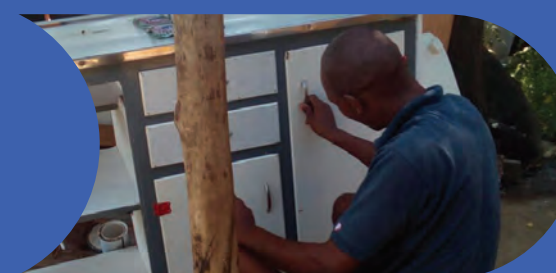
*"Children playing after school. They are the most happiest kids even though they have nothing"*



**Emmanuel Mabandla Malinga**  
Havelock



**Nothando Nene**  
Boxwood



*"One of the local ladies runs a daycare center. The first child arrives at 5:00 am and the last one leaves at 19:00"*



*"One of the community mothers fetching drinking water to keep in her house"*



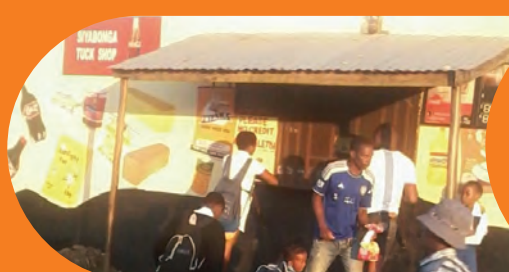
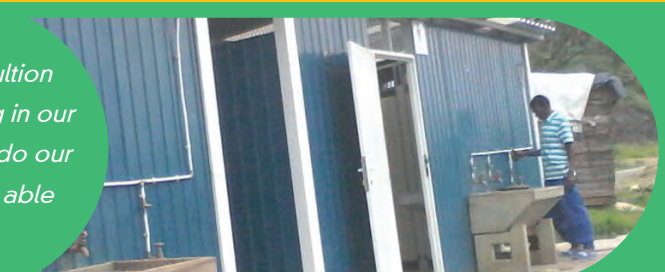
**Nosisa Madinga**  
Havelock



**Richard Vusumuzi Buthelezi**  
Boxwood



*"The community ablution block was a blessing in our community. We can do our washing and we are able to shower"*



*"This is where we do our shopping. The best thing about this shop is the owner gives credit and allows you to pay month end"*



**Yanga Somdizela**  
Malandeni





# Resilience Building Option 2: Integrated and innovative planning at the interface between municipal and traditional governance systems

## Background to the challenge of the dual governance system in Durban

Approximately 38% of Durban is rural or semi-rural in nature and communally owned by 21 traditional authorities (Figure 7) through the administration of the Ingonyama Trust Board (ITB). The ITB oversees the affairs of the Ingonyama Trust - established in 1994 by the KwaZulu Ingonyama Trust Act, No. 3 of 1994 (KwaZulu-Natal Provincial Government 1994) - to hold all the land that was owned by the former KwaZulu Government. His Majesty, King Goodwill Zwelithini kaBhekuzulu is the Trustee of the land. The primary role of the ITB is to administer the leases on Ingonyama Trust land. The establishment of institutional structures for traditional leadership was provided for through the Traditional Leadership and Governance Framework Amendment Act, No. 41 of 2003 (Republic of South Africa 2003). This Act established the National, Provincial Local and local houses of traditional leaders, and also recognised traditional communities and the need to establish a Traditional Council for each community (Republic of South Africa 2003).

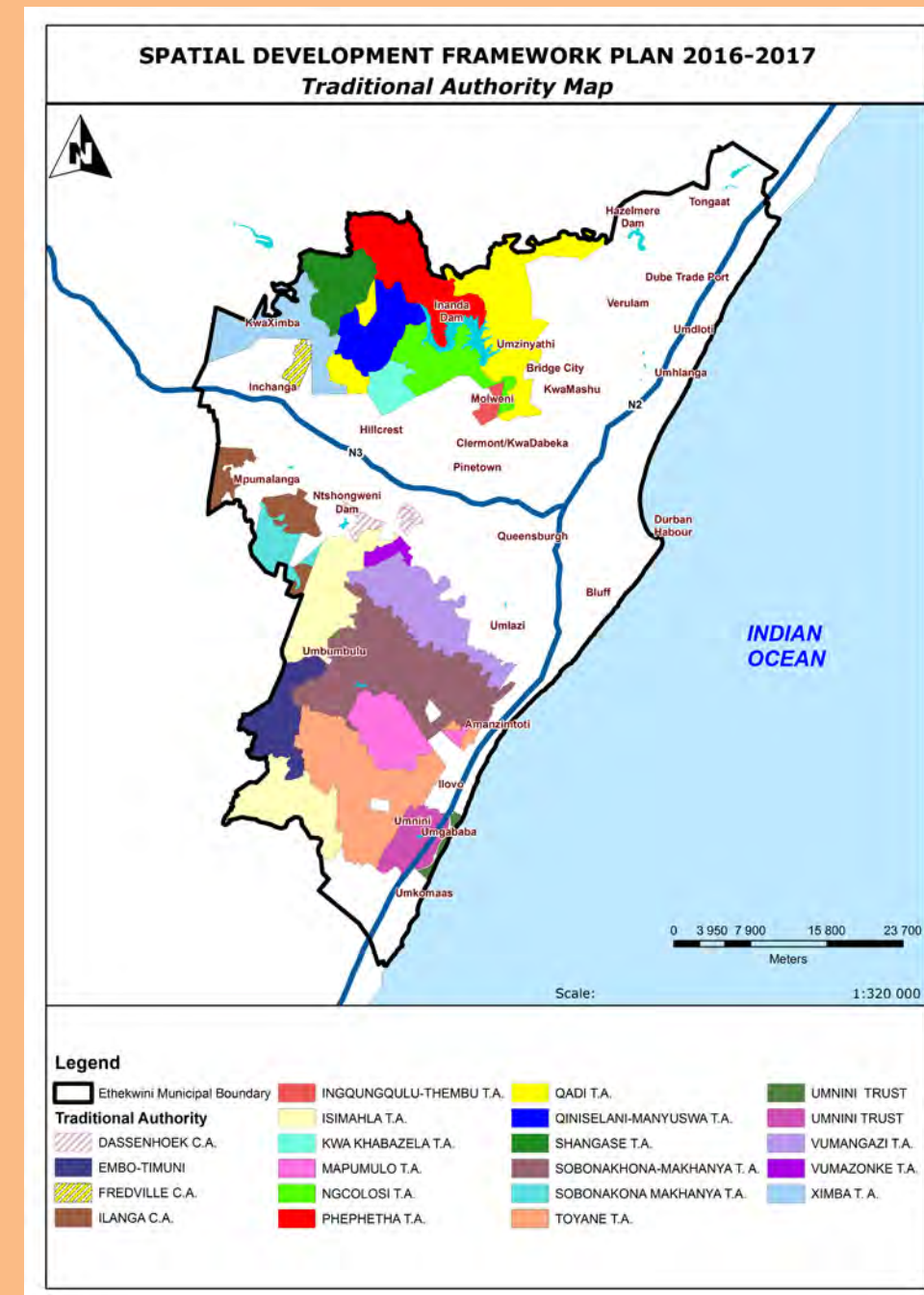


Figure 7: The location of the 21 Traditional Authority areas in Durban

The Amakhosi are the traditional leaders and cultural custodians within areas under traditional authority. They are supported by Izinduna (their technical advisors). The Inkosi, Izinduna and selected community members form a Traditional Council. The Amakhosi and Izinduna, with the consent of Traditional Councils and the ITB, have the authority to issue tenure rights and lease Trust land, and hence play a major role in land allocation in Durban. Although eThekweni Municipality provides some support to traditional authorities and people living in traditional areas (mainly through the Amakhosi Support Department and the Amakhosi Forum), there is currently very little coordination between eThekweni Municipality, the ITB and traditional authorities around land use planning and management, which has resulted in a dual governance system operating in Durban. This complex governance landscape is represented in Figure 8.



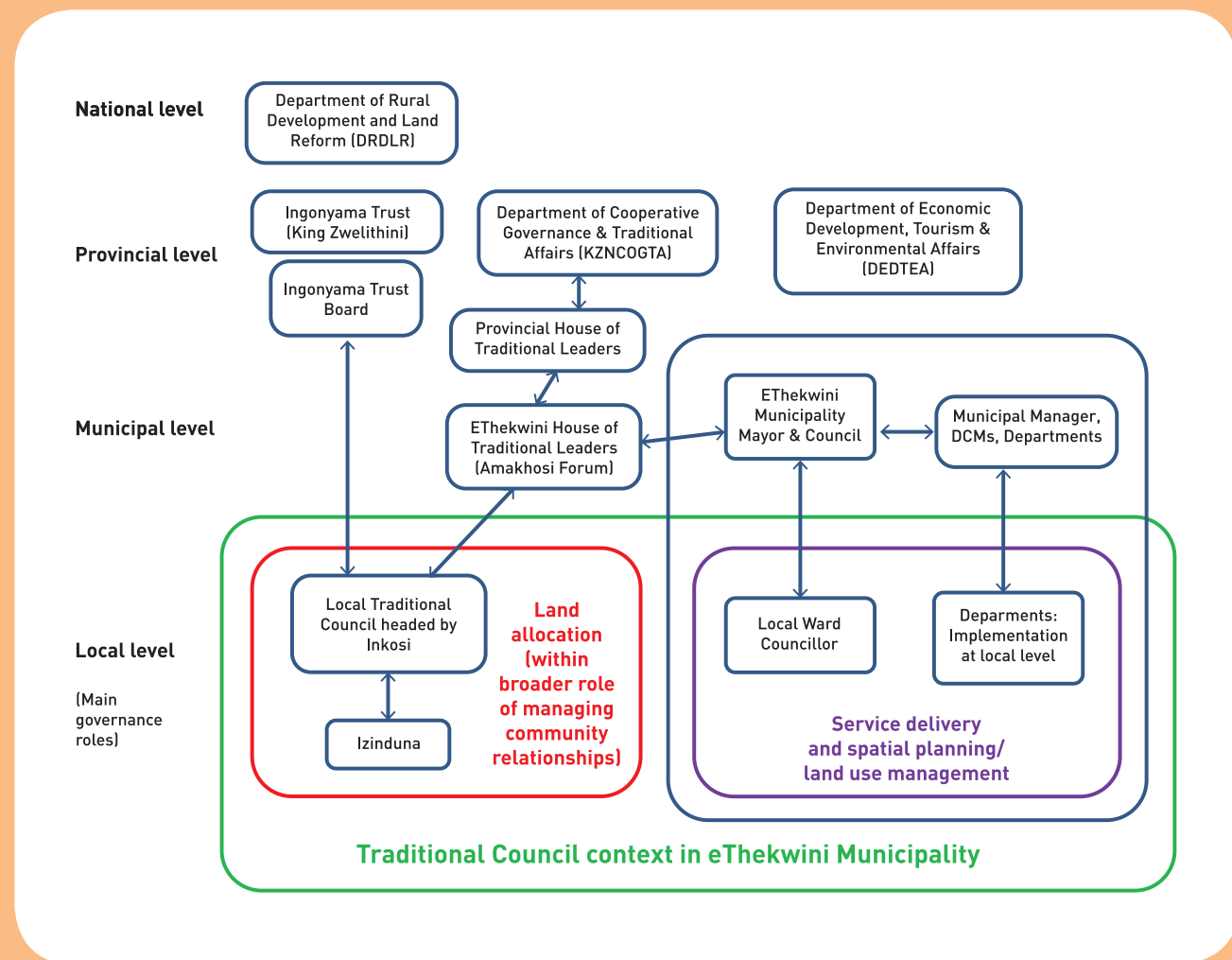


Figure 8: The municipal and traditional governance landscape in Durban (Sutherland and Sim, 2017)

An estimated 50% of the critical environmental assets in Durban fall within these communal rural areas and are under the management of the ITB and Traditional Authorities. These areas are of high biodiversity value and deliver key ecosystem services (e.g. water supply, flood attenuation and water purification) that support human wellbeing and provide basic services, particularly to poor rural communities. The relative absence of integrated governance relationships between the two systems (municipal and traditional) in Durban therefore has the potential to undermine planning processes, environmental protection and effective service delivery in rural areas and has implications for the achievement of sustainable development and resilience at the city level. An opportunity exists through the Resilience Strategy to explore whether there are mechanisms available that could improve decision-making across these governance systems, in order to ensure integrated planning and the protection of key environmental assets in Durban.

There are a number of similarities between RBO 1 and RBO 2. For example, both touch on: access to land outside of the formal property market; access to free basic services; issues relating to self-determination and self-development; environmental and social risk; their location in the city in relation to the city's history; and the way in which both disrupt the clear lines that distinguish formality and informality. Both are also politically complex spaces where questions are being raised around new forms of governance and urbanism. Key points of intersection include the fact that: (a) some of Durban's informal settlements are located in traditional authority areas and (b) migration from rural to urban areas for work opportunities can be a contributor to the informal settlements challenge. However, it is important to note that, despite these similarities and points of intersection, these RBOs have been framed as very distinct issues by stakeholders, and will require different resilience building responses.

## Current issues and challenges relating to the lack of integration of planning across municipal and traditional governance systems in Durban

During consultation, stakeholders highlighted the absence of integrated planning across the municipal and traditional governance systems in Durban as a major risk, given the rapid and unplanned development taking place in the rural areas of the city. This has implications for the protection and management of critical environmental assets and also for the way in which services are delivered to peri-urban and rural areas. The specific issues raised are outlined below.

### There is a lack of understanding between traditional and municipal governance systems

There is a mutual lack of understanding between traditional governance systems and municipal governance systems. Neither system fully understands the role and functioning of the other, and thus no clear process guidelines exist to guide the manner in which the two systems engage one another. This mutual lack of understanding has resulted in significant confusion and a tendency for the two systems to engage with each other either in an inappropriate way or simply too late to provide meaningful input. Some structures have been established to attempt to address this lack of co-ordination and understanding, such as the Amakhosi Forum (a local government function that was set up specifically to facilitate interactions between eThekweni Municipality and traditional leaders). At the local scale the Amakhosi, Izinduna and Councillors of each traditional authority area and ward<sup>19</sup> interact with each other, but these interactions do not always influence the debates occurring within the broader municipal system. Additional efforts to enhance mutual understanding are therefore required if a more resilient city is to be achieved.

<sup>19</sup> A 'ward' is a spatial division within the city, for administrative and political purposes. In eThekweni Municipality, a ward councillor is elected for each ward. Thus, in traditional authority areas, both traditional authorities and ward councillors play a role in governing these areas.



### No two traditional authority areas are the same

A further challenge in improving the level of understanding between the two governance systems is that no two traditional authority areas are the same. These areas vary in terms of size, number of residents, profile of residents and development needs. In addition, although there are similar governance structures within each traditional authority area, the governance approach in each varies. A nuanced understanding of each traditional authority area and its leadership is therefore required in order to facilitate effective engagement. A mechanism is also needed to make this knowledge available to the range of people working on issues related to these traditional areas in order to enhance resilience promoting opportunities.

### Indigenous knowledge needs to be incorporated into governance processes

Traditional authorities are custodians of indigenous knowledge. This knowledge is critical in supporting good decision-making in traditional authority areas, but is not currently accessible or understood by the municipal systems and structures. Methods of incorporating indigenous knowledge into municipal decision-making needs to be investigated and implemented wherever possible as parts of efforts to enhance resilience.

### EThekwin Municipality lacks understanding regarding its legislated planning powers in traditional authority areas

There is a lack of understanding about eThekwin Municipality’s legislated planning powers and how to use these effectively within the context of traditional authorities. This has resulted in eThekwin Municipality only playing the role of a commenting authority, for example, in the case of lease approval in ITB areas, instead of exercising its full legal mandate in relation to planning, land-use management and enforcement. As a result, eThekwin Municipality receives no feedback on the comments it provides to the ITB on lease applications and is therefore unable to monitor the impacts of development. An additional consideration is that the ITB only reviews large scale lease applications, with most land-use decisions being made at the level of the Traditional Councils. There is no clear



direction as to how eThekwin Municipality might engage with the decision making at the level of the Traditional Councils in a structured way. An additional challenge is that, if eThekwin Municipality’s planning powers are not understood and implemented, this creates difficulties in enforcing legislation in these areas and will undermine attempts at increasing resilience.

### There are significant challenges in implementing the rollout of town planning schemes in traditional authority areas

In order for eThekwin Municipality to be able to exercise its legal planning mandate, town planning schemes will need to be developed for all traditional authority areas. This has currently only been possible in a few instances where there has been no contestation around land-use. The situation is further exacerbated by the fact that the Rural Development Strategy (which should inform the scheme rollout process) was approved by Council in June 2016 but is not fully supported by traditional leaders. Past attempts at scheme rollout have faced significant challenges including: the need for eThekwin Municipality to be delegated authority in terms of the KwaZulu Land Affairs Act, No. 11 of 1992 (KwaZulu-Natal Provincial Government 1992) to undertake this, and delays in this process; delays related to the required approvals in terms of the Subdivision of Agricultural Land Act, No. 70 of 1970 (Republic of South Africa 1970) and the National Environmental Management Act, No. 107 of 1998 (Republic of South Africa 1998), given that land that is not regulated is regarded as ‘agricultural’ and thus development requires approvals under these acts; the lack of cadastral information in traditional areas; political tensions between municipal and traditional governance systems; a lack of support for the changes that are needed to regularise planning in traditional areas; and the unresolved rates payment issue, which results in traditional leaders being reluctant to engage in formal planning processes as this might result in the need to pay rates<sup>20</sup> for the services provided. Additional challenges include the lack of understanding and consensus around what a ‘rural scheme’ should look like (given that a conventional town planning scheme will not be relevant in a rural context) and a policy environment where there is still little guidance regarding the development of rural schemes, despite indications that national guidelines will eventually be developed for this purpose.

<sup>20</sup> In this context ‘rates’ refers to property taxes.



The current contestation of the Spatial Planning and Land Use Management Act, No. 16 of 2013 (Republic of South Africa 2013) by traditional authorities (because of its requirement for a ‘wall to wall’ scheme rollout across Durban), is also a challenge in facilitating improved and integrated governance between the municipal and traditional systems. An additional confounding factor is the fact that the spatial planning and land use management functions at national and provincial government levels are separated, which makes it difficult to tackle issues such as scheme rollout in a comprehensive and integrated manner. Current initiatives being undertaken by eThekweni Municipality in relation to scheme rollout, include the: rationalisation of schemes (from 32 to 5 regional schemes); standardisation of schemes across previously separate local government council areas (which have been amalgamated to form the Durban municipal area); and the implementation of pilot projects (e.g. in the preparation of a rural scheme for the Umnini area) in order to better understand the process of developing and implementing a rural scheme.



Lack of clarity around a number of ‘boundary issues’

A common theme at the heart of discussions focused on integrated governance relates to ‘boundaries’ of different forms, and the way in which these hamper attempts to improve interactions between municipal and traditional governance systems. Some of these ‘boundary issues’ include:

- *Institutional boundaries:* There is a lack of clarity regarding the distinct roles and responsibilities of the ITB, the Provincial Department of Co-operative Governance and Traditional Affairs (COGTA) and traditional authorities in relation to decision-making and influence.
- *Geographic boundaries:* There is a lack of clarity regarding what constitutes ITB land. Over time, many areas have become vested with eThekweni Municipality and there is no clear indication of where the boundaries of ITB land lie. This contributes to the unresolved rates issue.

- *Ownership boundaries:* In ITB areas where there is a communal land tenure system which connects the traditional authority with communities it is difficult to determine who is responsible for non-compliance, for example, in relation to building regulations, and who bears the responsibility and costs of poor land allocation decisions.

There is a lack of coordination within eThekweni Municipality regarding delivery of infrastructure and services to traditional authority areas

Within eThekweni Municipality there is a need for better coordination of the planning and delivery of infrastructure and services. Traditional authorities currently receive municipal proposals in a relatively *ad hoc* manner, on a project-by-project basis. Closely linked to this is the unresolved rates issue, as the provision of services is accompanied by the expectation on the part of eThekweni Municipality that the rates received will cover these costs. Traditional authorities do not believe that they should have to pay rates on the land that they own.

The quality of engagement between eThekweni Municipality and traditional authorities will be key in facilitating integrated planning and governance

The current engagement processes with traditional authorities are not sufficiently consultative and often do not happen at appropriate times during the project planning phase. As a result, the engagement of local government officials with the Amakhosi, via the Amakhosi Forum or House of Traditional Leaders, tends to be reactive rather than proactive. A significant challenge in engaging more effectively is in the lack of capacity on both sides. On the side of eThekweni Municipality there are very few officials who understand the role of the traditional authorities and the way in which they function, and this limits the extent to which new conversations can be brokered. On the side of the Amakhosi, many traditional leaders are not sufficiently capacitated to engage with the formal planning processes required by eThekweni Municipality. In some instances COGTA has played a role in trying to facilitate improved engagement between the traditional leaders and legislated planning processes, but the additional time and financial resources required to undertake such engagement processes are generally not catered for in project planning and funding.

This will not be the first time that attempts have been made to integrate municipal and traditional governance systems

There have been previous attempts to facilitate integrated planning, scheme rollout and engagement with traditional authority leaders, and the tools and experience that resulted still exist to help guide current efforts. Various challenges were, however, encountered which prevented these processes from moving forward and some of these were discussed under the section dealing with ‘scheme rollout’. In addition to the efforts of Provincial Government, the Rural Area Based Management (ABM) team in eThekweni Municipality was established to facilitate improved planning across municipal and traditional governance systems, and in some cases spatial plans were developed jointly with the Amakhosi in pilot areas. These projects were not sustainable given the lack of capacity on the part of the Amakhosi to utilise the spatial plans in their decision making, and on the part of the Rural ABM team to sustain the programme, given that the international funding supporting the programme came to an end.



Identification and prioritisation of ‘hotspots’ are required

Many areas under the management of the ITB are of high biodiversity value. These areas deliver critical ecosystem services (e.g. water supply, flood attenuation and water purification) that support human wellbeing and help manage a variety of potential risks in Durban. There is therefore a need to prioritise ‘hotspots’ within ITB areas, which are particularly vulnerable to uncontrolled development pressure and yet are critical providers of these essential ecosystem services. To ensure the protection of these ‘hotspots’, mechanisms are needed that place an appropriate value on these areas and incentivise their protection and management while at the same time ensuring societal upliftment.

Framing RBO 2: Integrated and innovative planning at the interface between municipal and traditional governance systems

The issues raised by stakeholders relating to RBO 2 are extremely complex and have deep roots within the political history of the country, province and Durban. As a result, it is critical to ensure that there is appropriate and high level political support for RBO 2 before proceeding. Appropriate resourcing will also be required as this will require a dedicated coordination and facilitation effort focused on RBO 2, over and above the existing local government line functions. For these reasons only one outcome has been identified by stakeholders and clear and continuous political guidance will be required in order to advance further work on RBO 2. It is also important to note that the challenges associated with the lack of integration of the two governance systems in Durban are relatively new compared to the challenges associated with informal settlements.

Informal settlements have formed part of the urban fabric of Durban since the early 1950s and hence the city has a long history of addressing the challenges associated with inadequate housing. RBO 1 therefore focuses on a resilience challenge in Durban that is well established and which has long been part of the city’s history and geography. RBO 2 is a more recent resilience challenge and opportunity in the city. The dual (i.e. municipal and traditional) governance system has only been in place since 2000 as a result of the national municipal demarcation process which increased the land area that was planned and managed by eThekweni Municipality by 68%. This included the incorporation of large areas of traditional authority land into the newly formed eThekweni Municipality. The challenges associated with this dual governance system in relation to the resilience and sustainability of the city have only begun to emerge in a form which has demanded significant attention since 2008, when officials from different departments within eThekweni Municipality began to reflect on the challenges associated with the rapid densification of the traditional authority areas, particularly in certain ‘hotspot’ areas

Experience, knowledge and understanding around RBO 2 have therefore only recently begun to be advanced, and this has impacted on the extent to which RBO 2 can be developed in the resilience strategy. It is also important

to note that the very particular nature and context of Durban’s municipal-traditional governance challenge, means. that there is little similar experience to draw from in other cities and Durban will therefore need to craft its own way forward in this component of the city’s Resilience Strategy.

Strategy outcomes and interventions for RBO 2: Integrated and innovative planning at the interface between municipal and traditional governance systems

Integrated and innovative planning at the interface between municipal and traditional governance systems: An overview of RBO 2 outcomes

STAGE 1

Outcome 1

Secure institutional support for the process of integrating planning between municipal and traditional governance systems





## Outcome 1

Secure institutional support for the process of integrating planning between municipal and traditional governance systems

## STAGE 1 - OUTCOME 1

| Interventions  | Explanatory notes  |
|--|--|
| Secure a political champion.   | Given the political tensions around the dual governance system, high level political support from local government leaders is needed in order to engage with the appropriate traditional leaders. It is likely that such leadership would need to come from the Mayor.   |
| Convene the political committee proposed by the Mayor, to provide advice on the way forward in this RBO. | The Mayor proposed the establishment of a committee comprising two Amakhosi, two Izinduna and two proportional representation councillors, to work with the CRO Team to determine the way forward for RBO 2.   |
| Departments working in the area of integrated planning between municipal and traditional systems.        | Given the range of strategy development, service delivery and infrastructure investment that is currently underway in traditional authority areas, improved coordination across local government line departments is needed in order to ensure that interventions are aligned and that appropriate processes are followed. |
| Secure support from traditional authorities in Durban.   | High level support for, and endorsement of, a more integrated approach to governance is needed from traditional leadership. This may involve the Ingonyama himself.  |
| Secure dedicated human resources for implementation.   | Better integration of municipal and traditional governance systems will require additional resources to ensure more proactive and consultative engagement with traditional leaders in planning processes. Existing resources do not allow for the time required to make advances in this regard.                           |

## RBO 2 workplan

| Outcome 1      | Secure institutional support for the process of integrating planning between municipal and traditional governance systems  |
|----------------|--|
| Overview       | Given the political and governance complexities related to integrated planning across the municipal and traditional governance systems, strong institutional and political support, on both the part of eThekweni Municipality and the traditional authorities, will be needed in order to advance the work that is needed in this RBO.  |
| Responsibility | Local Government   |
| Timeframe      | Short Term (0 to 3 Years)  |
| Interventions  | <ul style="list-style-type: none"> <li>Secure a political champion.</li> <li>Convene the political committee proposed by the Mayor, to provide advice on the way forward in this RBO.</li> <li>Secure support from eThekweni Municipality departments working in the area of integrated planning between municipal and traditional systems.</li> <li>Secure support from traditional authorities in Durban.</li> <li>Secure dedicated human resources for implementation.</li> </ul> |





## Addressing the resilience 'levers for change' through 'Integrated and innovative planning at the interface between municipal and traditional governance systems'

Although RBO 2 poses a different type and scale of governance challenge than RBO 1, there is significant potential for this RBO to address multiple of the levers for change that are critical for building resilience in Durban. Stakeholders highlighted for example, the opportunities that more integrated and innovative planning at the interface between municipal and traditional governance systems would create in terms of improving municipal effectiveness, spatial planning and service delivery, and in providing opportunities to explore initiatives to incentivise environmental protection and open up alternative financial flows and new forms of economy for those living in rural areas.

## Exploring potential 'bridging links'

As previously indicated, Durban's decision to focus on only two RBOs in its first Resilience Strategy was a deliberate one – the intention being to bring the resilience thinking to bear in areas and on issues that are urgent priorities for people, and where addressing the six resilience 'levers for change' could have broader and more catalytic impact. It has always been clear, however, that this initial focus is in no way exhaustive and that there are additional resilience challenges that will need to be addressed through time. The most immediate of these is likely to be the informal economy which has strong links to both RBO 1 and 2. The intention is therefore to begin by exploring these additional issues in the context of the existing RBOs and then to expand the strategy as appropriate over time.





# Institutionalising resilience in eThekweni Municipality

Although Durban's Resilience Strategy will provide an important starting point for encouraging resilience focused action, appropriate institutionalisation of the resilience function is also required if implementation is to be coordinated and mainstreamed. This has been pursued in two ways: firstly through the establishment of a dedicated 'Sustainable and Resilient City Initiatives Unit' in the Office of the City Manager, and secondly by aligning the development of the Resilience Strategy with the work being done by the City Planning Commission<sup>21</sup> in producing the city's new Development Plan



The proposal for the creation of a dedicated sustainability function was first proposed by the (then) City Manager in 2012 and resulted in the creation of a new strategic post (Head: Sustainable City Initiatives) with a view to improving the coordination and communication amongst the environmental and sustainability related sectors in eThekweni Municipality and to advice city leadership on these issues.

<sup>21</sup> The City Planning Commission (CPC) is an external body endorsed by the City leadership and has been established to provide strategic guidance in planning Durban's future.



However, this position was not filled immediately and remained vacant for 4 years. Over time Durban's application to participate in 100RC, the appointment of an internal CRO, and the growing influence of the evolving global resilience debate, all contributed to the mandate of this post being expanded to include a resilience component (i.e. Head: Sustainable and Resilient City Initiatives). In June 2016, Durban's CRO was seconded to act in this position in the Office of Strategic Management which is located in the Office of the City Manager. The role of the new sustainability and resilience function is to plan, manage and coordinate the implementation of all strategic sustainability and resilience initiatives for eThekweni Municipality, and the secondment of the CRO to this position provides an important opportunity to strategically integrate the Resilience Strategy into local government planning processes. An expanded organogram has been developed to ensure that this new sustainability and resilience function is appropriately resourced going forward. One of the key roles of the Sustainable and Resilient City Initiatives Unit will be to oversee the implementation and further development of Durban's Resilience Strategy.



# Summarising Durban's Resilience Strategy

| Focus of the Resilience Strategy   | Outcome  | Roles/ Responsibilities                            | Estimated timeframe       | Interventions  |
|--|--|--|---------------------------|--|
| <b>Resilience Building Option 1: Collaborative informal settlement action.</b> | <b>Outcome 1:</b><br>EThekwin Municipality has a committed team of champions that are supported by coordinating institutional structures to ensure collaborative informal settlement action                        | Local Government                                   | Short Term (0 to 3 Years) | <ul style="list-style-type: none"> <li>Identify and secure a political champion and relevant administrative champions within eThekwin Municipality.</li> <li>Undertake a review of existing eThekwin Municipality co-ordinating structures and establish new structures or expand existing structures as required.</li> <li>Establish a multi-sectoral advisory forum that can lead the debate regarding informal settlement upgrading.</li> <li>Establish a clear policy statement regarding collaborative informal settlement action.</li> <li>Develop an appropriate brand for the 'Collaborative Informal Settlements Action' work and a range of appropriate communication materials explaining policy positions and statements.</li> </ul>   |
|  | <b>Outcome 2:</b><br>Consolidated quantitative and qualitative community and municipal-collected data, information and knowledge on all informal settlements in Durban are accessible to all and updated regularly | Local Government, NGO/ CBO Sector, Research Sector | Short Term (0 to 3 Years) | <ul style="list-style-type: none"> <li>Review and understand existing information sources and other initiatives to collect information.</li> <li>Collaboratively prioritise the type of data and knowledge required from informal settlements.</li> <li>Support the development of a city-wide informal settlement profile and mapping exercise in which residents of each informal settlement develop their own profile and undertake digital mapping of boundaries and services, with appropriate support.</li> <li>Undertake community and local government dialogues to jointly co-produce knowledge to identify development priorities for each settlement.</li> <li>Establish a relevant platform to consolidate and share information regarding informal settlements.</li> <li>Develop, in collaboration with communities, a range of accessible communication products in both English and IsiZulu to share the results of the data collection process.</li> </ul> |



| Focus of the Resilience Strategy   | Outcome   | Roles/ Responsibilities  | Estimated timeframe        | Interventions   |
|--|---|--|----------------------------|---|
| <b>Resilience Building Option 1: Collaborative informal settlement action. (cont.)</b> | <b>Outcome 3:</b><br><br>EThekwini Municipality facilitates the establishment of proactive, innovative and city-wide partnerships to develop and execute collaborative, climate-smart and sustainable informal settlement upgrading.                              | Local Government, NGO/ CBO Sector, and Research Sector. Provincial and National government departments may also have a role to play. | Medium Term (3 to 7 Years) | <ul style="list-style-type: none"> <li>Research relevant best practice in Durban and internationally, promote the management and dissemination of knowledge and use this to inform implementation.</li> <li>Explore innovative climate-smart approaches to informal settlement upgrading.</li> <li>Identify where city-wide partnerships are needed and the potential for various partners to contribute to implementation priorities. Possible partners include NGOs, CBOs, communities, researchers, private sector and neighbouring formal communities.</li> <li>Establish partnerships, using relevant mechanisms, to co-produce and execute interventions that respond to the priorities identified by informal settlement communities.</li> <li>Establish systems and funding to support and finance relevant partnerships.</li> <li>Create public spaces that allow for the convening of community and local government meetings.</li> <li>Explore relevant mechanisms to facilitate mutual learning and improved relationships between eThekwini Municipality and informal settlement communities.</li> </ul> |
|  | <b>Outcome 4:</b><br><br>EThekwini Municipality secures the human and financial resources required to undertake collaborative, city-wide informal settlement upgrading  | Local, Provincial and National Government, NGO/CBO Sector, Research Sector   | Medium Term (3 to 7 Years) | <ul style="list-style-type: none"> <li>Identify the specific skills and human resources needed to implement and sustain priority interventions.</li> <li>Develop programmes to build the skills of local government and other stakeholders to execute collaborative, climate-smart and sustainable informal settlement upgrading.</li> <li>Estimate the financial costs associated with the implementation of priority interventions.</li> <li>Review the existing resources of eThekwini Municipality, informal settlement communities, civil society, non-governmental organisations, the private sector and research institutions and how these could be more effectively utilised, and then identify critical resource gaps.</li> <li>Identify opportunities for funding and work to secure these funds.</li> <li>Facilitate the introduction of a range of community finance facilities to leverage resources from communities and development partners.</li> </ul>  |
|  | <b>Outcome 5:</b><br><br>EThekwini Municipality has enabling and integrated administrative systems and simplified regulatory procedures that facilitate the accelerated implementation of city-wide, collaborative informal settlement upgrading and partnerships | Local, Provincial and National Government, NGO/CBO Sector, Research Sector   | Short Term (0 to 3 Years)  | <ul style="list-style-type: none"> <li>Create a transversal local government working group that promotes appropriate statutory and regulatory flexibility and revision.</li> <li>Identify current or potential bottlenecks created by the existing statutory and regulatory context and undertake steps to address these.</li> <li>Identify innovative procedures to upgrading and service delivery for informal settlements within the existing legislative and policy context.</li> <li>Identify local government systems that may need to change in order to facilitate alternative and innovative approaches to collaborative informal settlement action.</li> </ul>  |



| Focus of the Resilience Strategy   | Outcome  | Roles/ Responsibilities  | Estimated timeframe                         | Interventions  |
|--|--|--|---|--|
| <b>Resilience Building Option 1: Collaborative informal settlement action. (cont.)</b> | <b>Outcome 6:</b><br>Collaborative monitoring and evaluation of informal settlement upgrading interventions is institutionalized in eThekweni Municipality         | Local Government, NGO/ CBO Sector, Research Sector. Provincial and National government departments may also have a role to play. | Ongoing (to be initiated in the short term) | <ul style="list-style-type: none"> <li>Establish a collaborative monitoring and evaluation system for the ‘Collaborative informal settlement action’ resilience building option.</li> <li>Develop and implement a collaborative monitoring and evaluation system that involves eThekweni Municipality, communities, civil society, private sector, non-governmental organisations and research organisations.</li> </ul>   |
|  | <b>Outcome 7:</b><br>The use of land for informal settlements is proactively managed in Durban   | Local Government, NGO/ CBO Sector, Research Sector. Provincial and National government departments may also have a role to play. | Short Term (0 to 3 Years)                   | <ul style="list-style-type: none"> <li>Explore and develop appropriate governance approaches to proactively manage the emergence and location of new informal settlements in Durban.</li> <li>Develop and support appropriate community approaches to proactively manage the expansion of informal settlements in Durban.</li> </ul>   |
|  | <b>Outcome 8:</b><br>All informal settlements in Durban exhibit improved social, economic and environmental well-being, which in turn enhances Durban’s resilience | Local Government, NGO/ CBO Sector, Research Sector   | Long Term (More than 7 Years)               | <ul style="list-style-type: none"> <li>Co-production by eThekweni Municipality, communities, civil society, non-governmental organisations, private sector and research institutions of climate-smart and sustainable settlement upgrading plans at an area level.</li> <li>Strengthen partnerships with other spheres of government to facilitate improved access to services that support more holistic human wellbeing e.g. health care and education.</li> <li>Implement collaborative, climate-smart and sustainable pilot upgrading approaches to address priorities raised in community-led profiling</li> <li>Upscale the implementation of pilot projects to ensure city-wide coverage.</li> <li>Create employment opportunities and skills development in informal settlements linked to upgrading.</li> </ul> |



| Focus of the Resilience Strategy   | Outcome   | Roles/ Responsibilities  | Estimated timeframe   | Interventions   |
|--|---|--|---|---|
| <b>Resilience Building Option 2: Integrated and Innovative Planning at the interface between municipal and traditional governance systems.</b> | <b>Outcome 1:</b><br>Secure institutional support for the process of integrating planning between municipal and traditional governance systems              | Local Government   | Short Term (0 to 3 Years)   | <ul style="list-style-type: none"> <li>Secure a political champion.</li> <li>Convene the political committee proposed by the Mayor to provide advice on the way forward in this RBO.</li> <li>Secure support from eThekweni Municipality departments working in the area of integrated planning between municipal and traditional systems.</li> <li>Secure support from traditional authorities in Durban.</li> <li>Secure dedicated human resources for implementation.</li> </ul> |
| <b>Exploring bridging links</b>  | <b>Outcome 1:</b><br>Additional resilience challenges (e.g. the informal economy) are explored.   | Local government and relevant NGOs, CBOs, research organisations and the private sector. | Short term (0-3 years) for exploratory work and medium term (4-7 years) to revise and update Durban's Resilience Strategy | <ul style="list-style-type: none"> <li>Explore additional resilience issues in the context of the existing RBOs.</li> <li>Explore relevant ways to expand Durban's Resilience Strategy in future iterations.</li> </ul>   |
| <b>Institutionalising resilience in eThekweni Municipality</b>   | <b>Outcome 1:</b><br>Appropriate institutionalisation of the resilience function in eThekweni Municipality in order to coordinate and mainstream this work. | Local government (100RC team)  | Short term  | <ul style="list-style-type: none"> <li>Institutionalisation of the resilience function in eThekweni Municipality.</li> </ul>  |





## Chapter 4



# Monitoring & evaluating the implementation of Durban's Resilience Strategy

The implementation of Durban's Resilience Strategy will need to be monitored and evaluated at two levels: firstly at a strategic level, in terms of whether the implementation of actions within each of the RBOs contributes to broader city progress in relation to the six 'levers for change' that provide the framework for resilience action in Durban; and secondly at an RBO level, in terms of whether there has been successful implementation of the interventions identified for each RBO and the realisation of the related outcomes.

Work that was undertaken as part of the 'Human Benefit Analysis' provides early pointers to the sorts of indicators that may be appropriate for monitoring RBO implementation at the strategic level. For example: to assess the contribution of the RBOs towards addressing the 'lever for change': 'Create a more inclusive and integrated spatial plan', monitoring would need to assess the extent to which the RBO outcomes reduce the historic spatial distribution of risk, in favour of inclusion. Alternatively, the 'lever for change' focused on 'Strengthening communities and building social cohesion', would require an assessment of the extent to which the RBO outcomes contribute to closing the income and resource inequality gap; while the 'Manage environmental assets more effectively' 'lever for change' highlights the need to assess the extent to which the RBO outcomes contribute to reducing ecological degradation and known environmental risks. These early ideas will be developed further as the more detailed implementation plan for the Strategy is created.







## Chapter 5

# Reflections on the 100RC Programme



Durban's 100RC process has been characterised by a desire to build the Resilience Strategy through extensive stakeholder engagement and co-production of knowledge, in the belief that changing governance systems (by creating new forms of interaction between the state and civil society and other stakeholders around resilience focused issues) has the potential to transform systems in ways that will have positive sustainability, social justice and equity outcomes, thereby creating a significant meaningful resilience dividend. As a result Durban's 100RC journey has been both challenging and provocative. An additional challenge has been that, although Durban's initial proposal to 100RC focused on exploring resilience at the climate-biodiversity-water nexus, the 'bottom-up' participatory stakeholder engagement process that has been undertaken has expanded this to highlight additional resilience priorities for Durban. This has required the CRO Team to learn and adapt quickly and to find ways to draw on the skills of others to navigate these new fields. The platform provided by the 100RC opportunity has thus helped to elevate these critical resilience issues that may otherwise not have received the necessary attention in the city. It has also provided access to a network of global cities with which to interact and learn. However Durban, with its still-evolving governance structures: its large scale development challenges, and its complex stakeholder dynamics and politics, has at times struggled to work within the frameworks and strategy development timelines required by 100RC.

Experience in Durban suggests that there is no easy recipe for achieving resilience and that a spectrum of resilience responses, with different starting points and points of emphasis, are possible depending on the local context and how it changes through time. In Durban for example, a significant change in local government leadership meant that the Durban Team had to 'pause' their mainstream work in order to allow sufficient time to socialise the concept of resilience and the 100RC programme with new political leaders. In general, Durban has also found that it has taken far more time than indicated in the prescribed 100RC timelines, to develop the strategy and undertake the processes of stakeholder engagement that are critical in ensuring support for the final product. Given the broad ranging implications of the work that is being done in cities as part of 100RC, and the urgent need to ensure institutionalisation of and support for resilience, the Durban experience suggests that 100RC needs to be sufficiently flexible to allow cities to establish context specific strategy development processes in order to maximise the opportunities for embedding resilience priorities into city planning and decision-making. The input from Durban stakeholders also suggests that there is value in going deeper rather than broader in understanding the city's resilience priorities, which may mean that the scope of city resilience strategies will be different. Facilitating such flexibility within an international programme on the scale of 100RC is admittedly a significant challenge, but will provide more accurate, interesting and nuanced lessons for building global urban resilience across a diversity of contexts.





## Chapter 6

# CONCLUDING COMMENTS



Durban's resilience journey has demonstrated that building urban resilience will require a new mindset and a willingness to rethink the identity of the African city. It also suggests, that as we increase resilience in some systems, we may need to reduce the resilience of old systems that limit change and innovation. The resilience conversation in Durban has pointed to the fact that the city's primary resilience challenges are developmental in nature, and that these are deeply rooted in complex and often still evolving governance and political systems. Such fluid and fragile contexts demand that a number of important factors be considered when developing resilience interventions. In this regard, it is important to:

- *Ensure that processes are consultative in order to develop a full understanding of the local context and to build the support that will be needed for implementation.* This takes a significant amount of time. In Durban's case, it has taken almost four years from the time eThekweni Municipality considered participating in the 100RC process to production of the first Resilience Strategy.
- *Acknowledge that increasing resilience requires systemic interventions that focus on areas of greatest vulnerability and risk in the human and natural systems that make up our cities.* In an African urban context, where even the most basic services are often not available, all issues of multidimensional need and degradation are important and interconnected, and therefore creative ways need to be found to achieve systemic change with limited resources. This underscores the importance of building partnerships for resilience. Again this takes time.
- *Focus on meaningful implementation that begins to visibly change lives in order to ensure success.* For Durban this has meant developing a Resilience Strategy that is focused on a limited and specific set of priority resilience outcomes and interventions. This means that issues have to be prioritised and that a level of trust has to be built with stakeholders to ensure that such prioritisation is not contested, and that additional resilience issues that are not immediately addressed will be addressed over time.

As a result of adopting this approach Durban's Resilience Strategy is different to many of the others produced under the 100RC umbrella, having gone deeper into a more limited number of issues, rather than broader and covering a greater range of resilience issues. But this is simply a reflection of the fact that the challenges of ensuring resilient and sustainable urbanisation on the African continent will pose different challenges to those encountered elsewhere in the world. Durban's 100RC experience has framed some of the most urgent and critical questions that need to be answered in understanding how Africans might 'do resilience' differently and in a way that speaks to the post-colonial urban discourse emerging on the continent. The critical challenge that lies ahead is in determining where and how to start translating the answers to these questions into large scale and replicable action.



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# Glossary of terms

- Chief Resilience Officer (CRO)** Each 100RC member city receives funding for a CRO who is responsible for leading the development and implementation of the city's Resilience Strategy. In Durban, this position is fulfilled by Dr Debra Roberts, the Acting Head: Sustainable and Resilient City Initiatives Unit (SRCI). Given that this is an internal appointment, the CRO funds have been re-directed to facilitate the strategy development process.
- Climate Smart** Climate-smart activities minimise exposure to climate risk and reduce greenhouse gas emissions. This includes, but is not limited to, the promotion of clean energy, low-carbon building materials, compact spatial form, water conservation, waste management, improved basic service provision and ecosystem protection.
- Durban** Durban is an African city located on the east coast of South Africa in the province of KwaZulu-Natal (KZN). For the purposes of this document, which will also be read by international audiences, 'Durban' is used to represent the entire local government area, and not just the urban core. Durban is managed by the local government of eThekweni Municipality.
- CRO Team** This term refers to the CRO and two local government officials from eThekweni Municipality who assist Durban's CRO with the development and implementation of the resilience strategy in Durban. These local government officials are currently employed in the Environmental Planning and Climate Protection Department.
- The Durban Team** The Durban Team comprises the CRO Team and the Secretariat. The Secretariat function for 100RC in Durban is currently fulfilled by a local consultancy.
- eThekweni Municipality** The local government responsible for the management of Durban.
- Informal Settlements** For the purposes of Durban's Resilience Strategy, an informal settlement is regarded as: a collection of structures, that are made out of basic materials, without local government approval (illegal), lacking basic services, often built on marginal land, and without tenure agreements or complying with (planning or building) regulations (Housing Development Agency 2013).
- Informal Settlement Upgrading** Step-by-step improvements to the housing, infrastructure, services, and livelihoods of informal settlements in their existing locations – also referred to as 'in situ upgrading'.
- Resilience** In the Durban context 'resilience' refers to the capacity of the city to respond to current and future change, regardless of whether this is social, political, economic or environmental, by strengthening areas of work that enhance the ability to respond to change, as well as fundamentally transforming systems that exacerbate risk.
- Sustainability** In the context of the two RBOs the term 'sustainability' is used to refer to development that meets the needs of the present without compromising the ability of future generations to meet their own needs. These needs include social, economic and environmental sustainability needs.



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# List of supporting reports and documents

Durban's Preliminary Resilience Assessment

Durban's 100 Resilient Cities Programme:  
Documentation of the Phase One Journey

Durban's 100 Resilient Cities Programme:  
Documentation of the Phase Two Journey

Resilience Building Options for Durban (The Narrative)

Resilience Building Option (RBO) Implementation  
Options (Proposed Outcomes)

Durban's 100RC Programme – Human Benefit Analysis  
Workshop minutes (23rd February 2017)

