R E Q U E S T   F O R   P R O P O S A L S

SERVICE PROVIDER TO ASSIST WITH THE SOCIAL PROFILING AND ENUMERATION OF 7 INFORMAL SETTLEMENTS FOR THE DEVELOPMENT OF SETTLEMENT UPGRADING PLANS WITHIN MOGALE CITY MUNICIPALITY

GAUTENG PROVINCE

RFP/JHB/2016/033

PROPOSALS TO BE SUBMITTED BY

NOT LATER THAN

12H00 ON 08TH MARCH 2016

1. INTRODUCTION AND BAKGROUND

Mogale City Municipality (MCM) has already received Phase 1 NUSP technical support in 2014 from the National Department of Human Settlements (NDHS) wherein 87 informal settlements were assessed and categorized for future upgrading.

The Municipal Upgrading Strategy report produced in the first phase of technical assistance is a comprehensive document that consists of basic response plans for each informal settlement per category. The response plans included the following:

- programmed activities of the upgrading process,
- interventions in response of identified need,
- required steps to increase community participation during development process,
- activities, projects and programmes that aim to increase integrated planning and multi-sector delivery,
- linked proposed activities, projects and programmes to existing municipal projects and initiatives.

The Assessment and Categorisation report produced in the first phase of technical assistance indicated that a total of 87 informal settlements were assessed and categorised into the following categories:

A - *Full upgrade in terms of services, top structures and tenure is appropriate, affordable, and viable, where full upgrading can take place in the short term.*

B1 - *Interim basic services as a precursor to an eventual full upgrade. These settlements are those which are viable for full upgrading in longer term but where it is not imminent.*

B2 - *This refers to settlements where long term upgrading is not appropriate or viable but relocation is not urgent or possible.*

C- *Informal settlements which face significant risks (health, environmental or any associated harmful situations) in their current location.*

Together, these documents provide a comprehensive picture of informal settlements numbers, locations and dynamics within the municipality and are essential background information to the next phase of technical assistance sought under the current terms of reference.

As part of phase 2 NUSP support to Mogale City, the HDA intends to utilise the services of well experienced social facilitators with experience in community engagement, and household enumeration through the use of electronic systems and electronic devices for the collection of the data. The social profiling and physical enumeration is to be conducted within 7 selected informal settlements in Mogale City LM.

2. OBJECTIVE OF THE PROJECT

The municipality has the important responsibility of ensuring that citizens reside in developable, formalised, safe and sustainable human settlements, and to the extent possible, within close proximity to employment opportunities that would improve the quality of life of all citizens.

Post the assessment and categorisation phase, the municipality has identified priority areas where upgrading plans for the prioritized informal settlements will be produced. The technical studies will assist with the provision of basic services in each of the informal settlements, in line with national directives and imperatives. In order for this objective to be realised, social facilitators need to facilitate community participation and enumeration in such settlements so as to produce reports with settlement data, demographics, socio-economic analysis, and livelihoods programme, which will ultimately inform and form part of the technical upgrading plans.

3. SCOPE OF WORK

Participatory based planning support will be undertaken in producing settlement upgrading plans with recommendations on best servicing options providing various scenarios for upgrading as well as preliminary design layouts based on the participatory planning processes with the communities.

Therefore the service provider will work hand in hand with another service provider, also appointed by the HDA to produce the technical upgrading plans for the identified informal settlements.

The main activities for this contract will be:

Activity 1: Participatory Planning Process
The overall objective of this assignment is to encourage a participatory planning process for the production of relocation plans and conduct detailed household enumerations (socio-economic surveys) in the informal settlements in order to establish the actual number of structures, the actual households and to develop a programme based on accurate information. This would help ascertain the appropriate resettlement strategy for all the settlements prioritized for relocation.

Activity 2: Brief Desktop review
The brief desktop review will be undertaken for purpose of analyzing available data at the different spheres of government. This will include basic settlement profiles, IDP review, Housing sector plan and any other relevant documents.

Activity 3: Community consultation plan and engagement processes
The service provider will be expected to work directly with HDA representatives as well as Mogale City Municipality and develop an agreed community consultation approach which will assist with engaging with the community prior to the enumeration process upfront and immediate implementation and will report on it at the end. This will be guided by existing dynamics in each settlement to be addressed which we expect the service provider to identify and indicate from the first interactions with the relevant officials. This plan will be the guiding tool for encouraging the participatory planning process for settlements upgrading.

Activity 4: Data collection and analysis
This would entail door-to-door administration of data collection using an electronic enumeration tool such as **SurveyToGo** or similar system which allows for use of electronic devices for collection of real time data and for tracking data inputs throughout the process. Data to be collected includes verifying number of residents, profiling of all households, number of structures, living arrangements, community livelihoods, LED initiatives, and access to social amenities, tenure arrangements, etc.

Activity 5: Sustainable Livelihoods Programme for the 13 informal settlements – *See Annexure*

Activity 6: Database of households
Data to be collected includes verifying number of residents, profiling of all households, number of structures and living arrangements.

Activity 7: Produce close out report
At the end of the assignment the service provider will produce a close-out report on outputs and outcomes of the listed activities.

The List of Settlements to be profiled and enumerated is attached as Annexure A.

3. METHODOLOGY

The service provider must supply a detailed methodology with this proposal. This must include:
- A statement on how the service provider understands the requirements of this assignment
- An indicative plan of the service provider's approach, referring to the assignment milestones and timeframe, with emphasis on community involvement, enumeration approach, etc.
- A clear statement of available expertise and capacity to match the requirements of this assignment as highlighted in scope of work above.
- An indication of any innovative approaches and 'value-add' that the service provider may think appropriate.

5. DELIVERABLES & OUTPUTS

The service provider is expected to submit the final report in a soft copy in its original format including **enumerated household spread sheets**, PDF format and an additional 3 hard copies of the final report in a file with the following deliverables:

5.1 Desktop report/inception report.
5.2 Community consultation plan and report on engagement processes.
5.3 Socio-economic analysis-situational analysis report/settlement status and conditions.
5.4 Demographic profile of households per settlement.
5.5 Accessible database indicating number of structures, households, settlement conditions including maps demonstrating the different variables.
5.6 Sustainable Livelihoods Programme for the 13 informal settlements – *See Annexure B*

6. TIMEFRAMES

MILESTONE	TIMEFRAME
1: Submission of assignment implementation plan	1 week
2. Community Engagement based on agreed plan	1 weeks
3: Socio economic survey/counting of structures/settlements and households profiling	11 weeks
4. Sustainable Livelihoods Programme for the 13 informal settlements – *See Annexure B*	2 weeks
5. Final consolidated report	1 week
Total estimated timeframe	**4 Months**

7. REQUIRED SKILLS

The submission of the service provider must demonstrate the following characteristics as an indication of its capacity and readiness to implement the assignment:

1. At least 8 years' experience in social facilitation with emphasis on community engagements and consultations.
2. Experience of working in informal settlements projects is a key requirement.
3. Ability to conduct enumeration using electronic devices and system to allow for collection of real time data, mapping of settlements and profiling of households and settlements based on changing trends.
4. Experience in undertaking socio-economic/situational analysis in informal settlements
5. Experience in Community empowerment, skills facilitation and capacity building within
6. vulnerable communities such as informal settlements
7. Proven ability in effective written and oral communication.
8. Proficiency in the use of standard word processing, web browsers, spreadsheets and
9. presentation software, database systems

10.   Institutional capacity to successfully carry out an assignment of this nature.

8.   EVALUATION PROCESS

8.1.   The HDA needs to be satisfied, in all respects, that the organisation selected has the necessary resources, qualifications and abilities for this project, and that all submissions are regarded in a fair manner in terms of evaluation criteria and   process.

8.2.   The general methodology of selection will be that proposals will first be evaluated on their technical ability to perform the task. Any proposals scoring below 70% of the points noted in the table below will be disqualified for the second evaluation. The second evaluation of technically competent proposals will be evaluated against Price and B-BBEE using 80/20 formula.

Table 1 – Evaluation Criteria

Functionality

CRITERIA	SUB-CRITERIA	WEIGHTING/ POINTS
Lead Company profile (Attach Organogram)	Company profile (s) to be submitted (in case of a joint Venture, all companies must submit separate profiles) indicating the Lead Company. (Profiles to be appropriate to tender subject matter).	10
CVs of team members proposed to do the work	Demonstrable Skills and Capacity, Level of Relevant Knowledge and Experience in related field/s. Adequacy and completeness of skills of team presented and fit for task. Related Qualifications to be provided	30
	Related work of the lead company and experience. Preference will be given to service providers who are familiar with the area and dynamics.	20
Approach, Methodology , Work Plan and Process	Work programme, plan and allocation of resources and tasks. Meeting deliverables and timeframes. Proposed methodology.	20 10 10
TOTAL		**100**

The following criteria will be used for point's allocation for price and B-BBEE compliance on **80/20** point system:

Table 2 – Price and B-BBEE

CRITERIA	SUB-CRITERIA	WEIGHTING/ POINTS
Price	Detailed budget breakdown	80
B-BBEE Status Level Verification Certificate from accredited verification agencies.	B-BBEE Level Contributor	20
Total		**100**

The HDI proposal will be evaluated as per PPPFA regulations**.**

9.   REQUIREMENTS

9.1   Below are compulsory requirements for this service

9.2   It is important to note that the successful person will work under the supervision of an HDA representative, abide by HDA's Code of Conduct, and other organizational guidelines.

9.3   Kindly submit the following documents:

- SBD Forms (SBD4, SBD6.1, SBD8 and SBD9) obtainable from HDA Website: www.thehda.co.za/tenders under compliance checklist.
- Price proposals on all work to be done.
- Valid and Original or Certified B-BBEE Status Level Verification Certificates issued by the following agencies SANAS, IRBA or CCA.

9.4   Further information regarding technical matters can be sent via an email to: Thando.madonsela@thehda.co.za or tel: 011 544-1000

9.5   Further information regarding supply chain matters and queries can be send via email   to: Jane.Mahlangu@thehda.co.za or tel: 011 544-1000

10.   SUBMISSION OF PROPOSAL

Proposals should be submitted on or before the 08TH March 2017 by no later than 12h00 to the following address:

The Procurement Specialist
The Housing Development Agency,
Block A, 6-10 Riviera Road, Killarney, Johannesburg 2193,
Tel: 011 544 1000

11.   GENERAL

The selection of the qualifying proposal will be at the HDA's sole discretion.
The HDA does not bind itself to accept any particular bid/proposal, and the HDA reserves the right not to appoint the service provider.

The HDA expresses that in an event of any service provider being appointed on this job, there is no expectation that any follow up work on this project will be granted to the same service provider

ANNEXURE A

Settlement Name	Estimated Households
Plot 4 Rietfontein	10
Plot 79 Rietvlei	93
Pongoville	1 251
Vlakdrift 163 Portion 4 (Thabong Community)	75
Vlakplaats 160 IQ Plot 6 (Seroba)	773
Lindley Plot 84 (Joe Slovo)	110
Portion 83 and 90 Rietfontein	1850
Total Households	**4162**

NB: it is possible that in doing site visits, the information relating to the number of structures and settlements may be different from the estimated numbers from the initial assessment and categorisation (the number may be higher or lower). There will be several stakeholder progress meetings and hence the proposals need to consider this risk. The proposal to be submitted must bear this condition in mind as there will be no post-award and contracting negotiations.

ANNEXURE B

SUSTAINABLE LIVELIHOODS AND INCREMENTAL UPGRADING OF INFORMAL SETTLEMENTS

1. Sustainable livelihoods framework

The NUSP promotes a sustainable livelihoods-based approach to incremental upgrading (See Figure 1). This is based on the core principles that upgrading should be people-centred, responsive and sustainable, and is in line with the Upgrading of Informal Settlement Programme (UISP) and Part 3 National Housing Code 2009. The sustainable livelihoods framework presents the main factors that influence people's livelihoods and the relationships between these factors. It helps government identify which interventions can assist in creating livelihoods that are productive, fulfilling and sustainable. Improving access to livelihoods then assists households in climbing out of the poverty trap.

Figure 1: The sustainable livelihoods framework
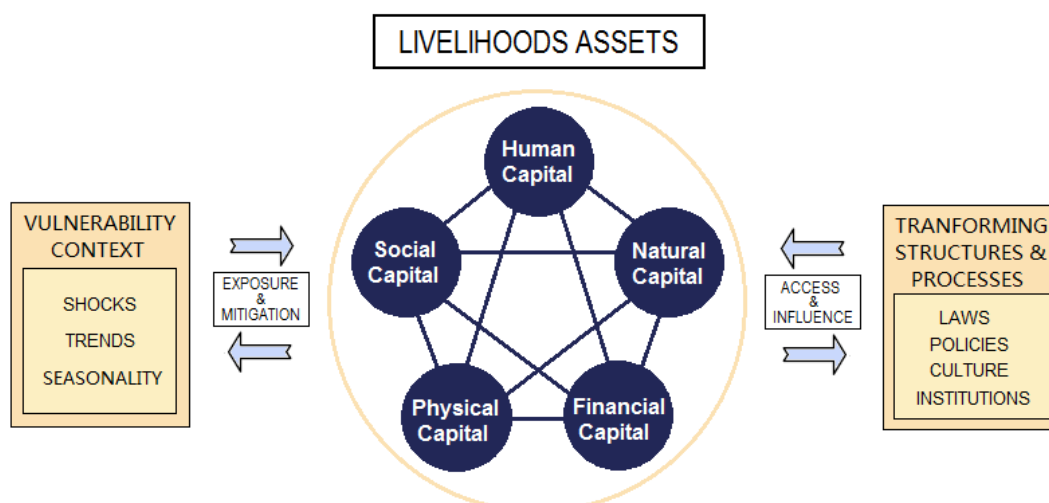
Adapted from the UK Department for International Development livelihoods framework

The framework demonstrates that livelihoods are the result of access to **five capital assets:**

- **Human Capital:** Human capital represents good health, skills, knowledge and the ability to engage in productive labour. These may be an end in themselves, or could be used to increase access to other types of assets, such as financial capital through a higher-paid job. The poor in informal settlements typically have low levels of formal education, low levels of employment skills, and are exposed to a range of serious health hazards. So their access to human capital assets is reduced.

- **Social Capital:** Social capital represents a person's ability to draw on social resources such as networks, mutual interest groups and other relationships of trust, reciprocity and exchange. This can be viewed as a good in itself providing a sense of community or identity, but can also be employed to increase access to other assets, for example human capital through knowledge exchange. This is important to the poor as social networks act as 'insurance' against external shocks and can provide access to opportunities for work, education or savings groups.

- **Natural Capital:** Natural capital represents the natural resources from which goods and services can be drawn. This includes tangible resources such as foodstuffs or clean water, as well as hidden resources like good air quality or resilient ecosystems. These are also closely linked to human capital, in particular health. Informal settlements generally have weak access to natural capital, with insufficient clean water, inadequate sanitation, air and industrial pollution, and dirty environments.

- **Physical Capital:** Physical capital represents infrastructure, services, and basic goods, such as secure shelter, affordable transport, reliable energy supplies, water and sanitation systems, and access to information via communication channels. These strongly affect health, education and employment and business opportunities, as well as influencing the time people spend engaged in non-productive activities. Informal settlements have generally limited access to these kinds of services.

- **Financial Capital:** Financial capital represents the financial resources people command. This includes both available stores of wealth, such as savings, and reliable flows of formal and informal income, such as wages. This is the most easily convertible of assets. Its value lies in allowing access to other forms of assets and providing greater control over livelihoods decisions. In informal settlements formal employment opportunities are limited, informal opportunities are often casual, and access to formal loans and secure savings facilities are limited.

There are two external factors that influence access to livelihoods assets:

- **Vulnerability:** The vulnerability context represents trends, shocks and seasonality over which people have limited control. This might include population trends such as migration, shocks like floods or economic crises, seasonality in prices, and disease. Households in informal settlements are particularly vulnerable to fires and floods, economic instability and infectious diseases.

- **Transforming Structures and Processes:** Transforming structures and processes are the institutions, policies, organisations and legislation that influence access to livelihoods assets. This could include property laws, policies for wealth redistribution, the presence and effectiveness of markets, or social norms. These determine not only people's access to particular assets but also their ability to convert one type of asset into another. Official attitudes towards the urban poor are often ambivalent – informal dwellings are not viewed as a legitimate shelter solution, the poor are treated as dependent beneficiaries, and informal settlements are targets for removal.

2. Improving access to livelihood assets

Informal settlements in South Africa are characterised by illegality and informality, restricted public and private sector investment, poverty and vulnerability, social stress, and in some cases, inappropriate locations. The effect of this is to restrict access to livelihoods assets across the board, locking households in informal settlements in a cycle of poverty. Incremental upgrading is intended to influence the sustainable livelihoods framework holistically: increasing access to assets, facilitating circulation of these assets and allowing people to devise strategies that best meet their livelihoods objectives. In practice this means a much greater emphasis on building human and social capital, combining tenure, services and empowerment, crowding in support services and affecting a lasting

change in official and professional attitudes. The sections below illustrate how the core elements of upgrading can have a positive effect on livelihoods.

2.1   Provision of Secure Tenure

Upgrading can be used increase security of tenure at an earlier stage in development. It can be introduced through administrative recognition of the settlement and the use of participatory enumeration and community registers. The UISP allows for progressive improvement of tenure, as an alternative to the lengthier alternative of freehold title.

Security of tenure has a positive impact on livelihoods (Figure 2):

- Recognition of tenure provides access to physical capital – land, which can be used as a focus for investment allowing financial capital to be converted more easily.
- Having a recognised address can improve access to:
  - Social capital by increasing the sense of belonging to a neighbourhood.
  - Improving access to financial capital when proof of address is required for access to banking facilities.
  - Physical capital by allowing greater access to municipal services.
- Security of tenure also influences the vulnerability context by improving resilience to certain shocks such as forced eviction or by having a recognised claim for land after a fire or flood.

Figure 2: Tenure and livelihoods
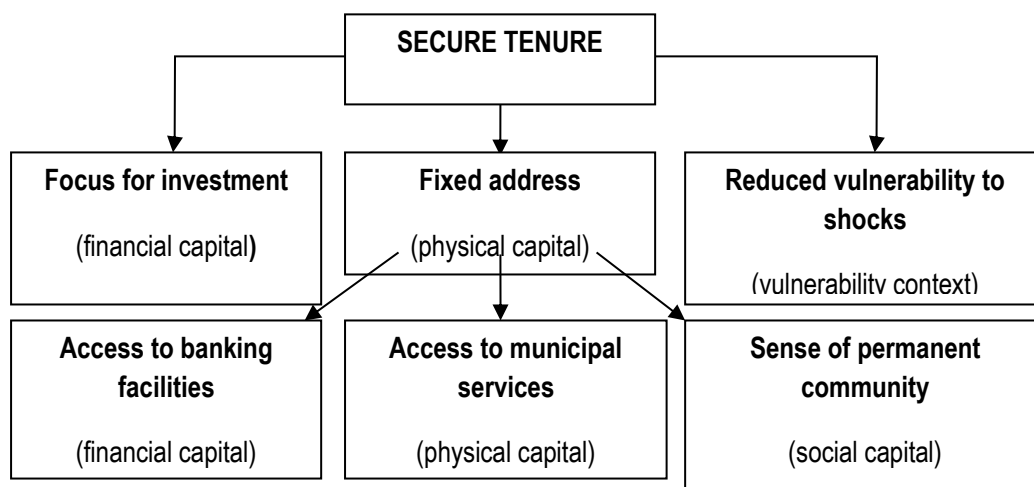
2.2   Provision of Basic Services

Provision of basic services has an immediate impact on health and well-being, but also cascades into positive benefits on access to other capital assets. The UISP provides for the installation of upgradeable basic services (water and sanitation). When integrated with improved municipal waste collection, social amenities, public open space, public transport and electricity (as specified in the July 2011 Cabinet Lekgotla decision), there is a tangible improvement across all five forms of capital.

Provision of basic services has a positive impact on livelihoods (Figure 3)

- Human capital through health improvements (or reductions in health risks) from water and sanitation services and electrification (as an alternative to other fuels), which can in turn increase employment potential (financial capital)

- Financial capital through access to employment or business opportunities from improved transport and social amenities.

- Natural capital through improvements in natural environment from waste collection, sanitation services, and provision of public open space.

- Community input into planning and design processes can also increase access to human capital through knowledge, skills and experience, as well as social capital through engagement in community processes with officials, community groups and human settlements professionals.

- Crowding in of support services such as HIV/AIDS support or early-learning support would increase access to human capital through health and education and social capital through strengthened networks.

Figure 3: Basic services and livelihoods
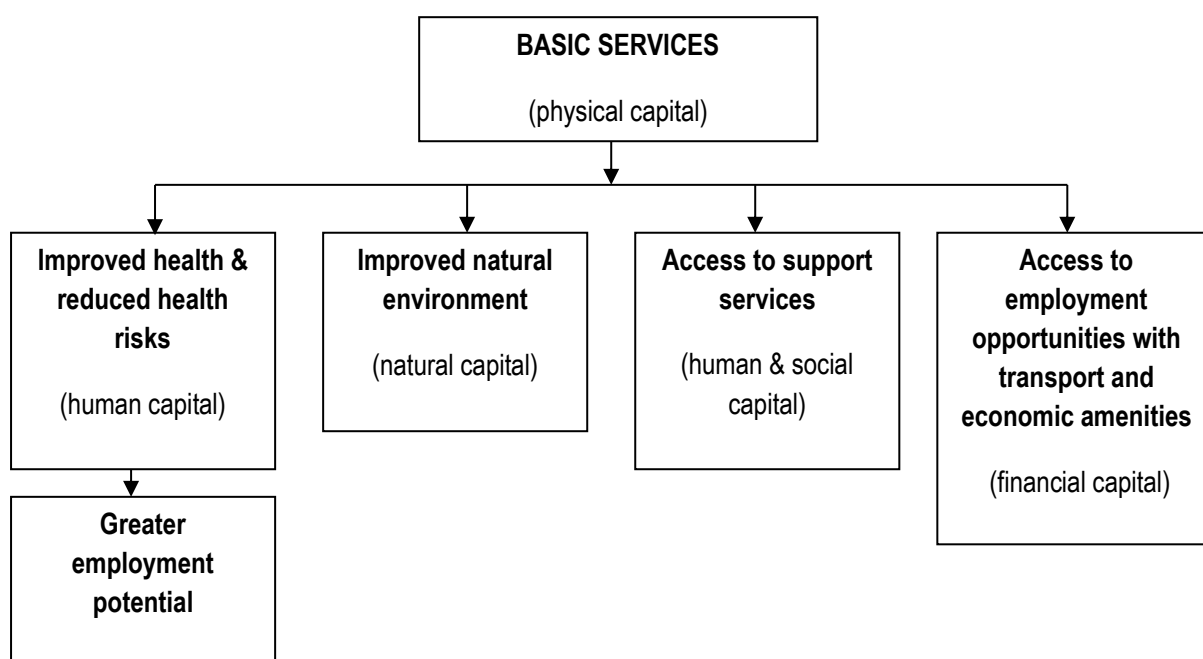
2.3   Community Empowerment

The National Housing Code stresses the importance of community empowerment in the process of incremental upgrading of informal settlements. Despite its proven value, this aspect is often ignored or minimised in orthodox top-structure projects.

Community empowerment activities include:

- Joint socio-economic surveys of the settlement
- Participatory planning and project design
- Participatory involvement and joint decision-making in implementation
- Building the capacity of communities to take an active part in these processes

Community empowerment activities have a positive impact on livelihoods (Figure 4)

- Participation and capacity building allows greater access to human capital through increases in skills, knowledge and experience, which in turn can increase employment potential (financial capital).

- Engaging in capacity building workshops and project processes provides access to social capital through building networks and trust relationships within the community and with officials and professionals, which can increase employment potential (financial capital)

- More integrated and cohesive communities may also be more resilient to shocks and trends such as disasters or in-migration, so reducing vulnerability.

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Figure 4: Community empowerment and livelihoods
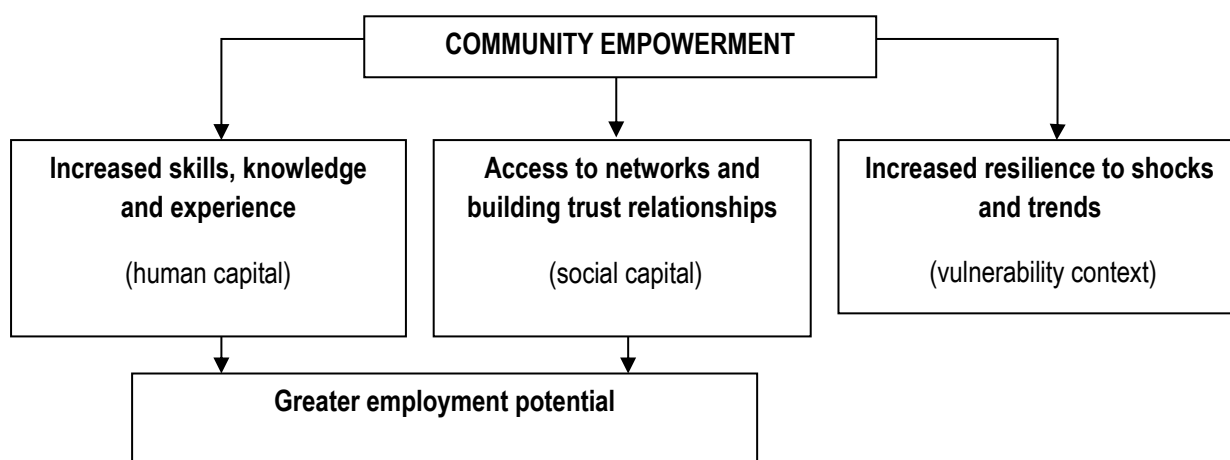
2.4   Capacitating officials, professionals and politicians

The NUSP intends to provide specific capacity building, technical assistance and knowledge sharing to officials, professionals and politicians. This will help deepen their understanding of incremental upgrading, livelihoods-based approaches in informal settlements and experience engaging with communities in participatory processes.

Capacitating officials, professionals and politicians has a positive impact on external factors that influence access to livelihoods assets (Figure 5):

- Capacitated and responsive officials can influence transforming structures and processes in a way that facilitates access to assets through development of pro-poor policies, and greater institutional understanding of informal settlements and livelihoods-based approaches.

- Changes in officials and professional mind-sets can also influence the vulnerability context through more careful consideration of alternatives before making development decisions that could impact negatively on community livelihoods strategies.

Figure 5: Capacitating officials, professionals and politicians

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│   CAPACITATING OFFICIALS, PROFESSIONALS & POLITICIANS │
└─────────────────────────────────────────────────────┘
            │                           │
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┌───────────────────────┐   ┌───────────────────────┐
│   Pro-poor attitudes   │   │  Reduced risk of disruptive │
│                        │   │      interventions      │
│ (transforming structures│   │                        │
│     and processes)     │   │  (vulnerability context) │
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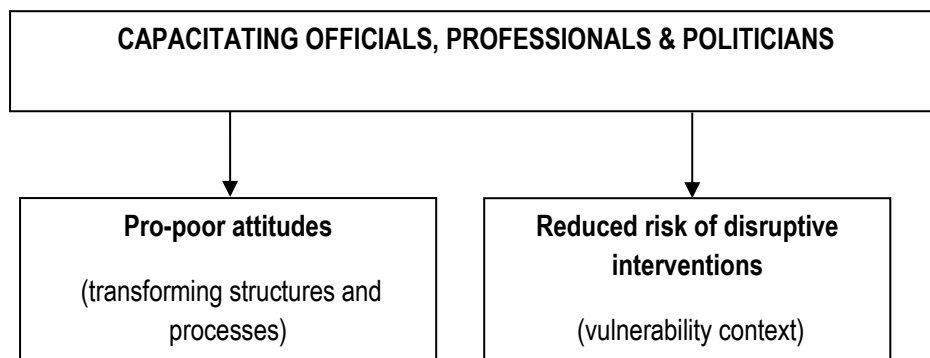
3 Sustainable livelihoods and informal settlements upgrading

The sustainable livelihoods framework is an important tool in developing interventions for upgrading informal settlements. In particular, it supports the key components of security of tenure, providing basic services, capacity building and community empowerment. However, the components need to be supplemented at settlement level with the identification of specific actions based on its socio-economic and demographic characteristics. Examples of such actions include:

- Improving access to information, such as welfare rights;
- Increasing access to social grants;
- Improving social capital, through strengthening of and promoting linkages between community groups;
- Ensuring the gender and youth perspective and that of other marginalised groups is built into each upgrading project;
- Improving Early Childhood Development services in each settlement,
- Promoting savings and micro-credit groups within each settlement,
- Directly addressing food insecurity through community gardens and household food gardens,
- Improving the economic performance of local micro- and small enterprises;
- Increasing access to vocational training opportunities.

A settlement-level livelihoods programme will:

- Be based on the socio-economic analysis of that settlement;
- Be developed through engagement with relevant stakeholders in the community;
- Link community viewpoints and community-identified opportunities with external service providers or sources of support, where necessary;
- Design interventions in detail, paying to attention to target groups, key partners and actions required for implementation, and human and resource implications.