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TO - AID/W

FROM GABORONE
E.O. 12065 I/A

SUBJECT - Project Evaluation Summary - Project 633-0092
Self-Help Housing Agency

REFERENCE -

We are enclosing a Project Evaluation Summary (PES) on the subject project.

HORLAND file

Attach to be run as part of airgram

PAGE 1 OF 1 PAGES

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CLASSIFICATION
PROJECT EVALUATION SUMMARY (PES) - PART I

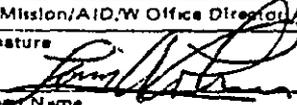
Report Symbol U-447

1. PROJECT TITLE Self-Help Housing Agency (SHEA) (OPG (Foundation for Cooperative Housing))	2. PROJECT NUMBER 633-0092	3. MISSION/AID/W OFFICE USAID/Botswana							
4. EVALUATION NUMBER (Enter the number maintained by the reporting unit e.g., Country, or AID/W Administrative Code, Fiscal Year, Serial No. beginning with No. 1 each FY) No. 4 FY79									
<input checked="" type="checkbox"/> REGULAR EVALUATION <input type="checkbox"/> SPECIAL EVALUATION									
5. KEY PROJECT IMPLEMENTATION DATES <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%;">A. First PRO AG or Equivalent FY 78</td> <td style="width: 33%;">B. Final Obligation Expected FY 80</td> <td style="width: 33%;">C. Final Input Delivery FY 80</td> </tr> </table>	A. First PRO AG or Equivalent FY 78	B. Final Obligation Expected FY 80	C. Final Input Delivery FY 80	6. ESTIMATED PROJECT FUNDING <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">A. Total</td> <td style="width: 50%;">\$ 266,000</td> </tr> <tr> <td>B. U.S.</td> <td>\$ 266,000</td> </tr> </table>	A. Total	\$ 266,000	B. U.S.	\$ 266,000	7. PERIOD COVERED BY EVALUATION From (month/yr.) December, 1977 To (month/yr.) April, 1979 Date of Evaluation Review March-April, 1979
A. First PRO AG or Equivalent FY 78	B. Final Obligation Expected FY 80	C. Final Input Delivery FY 80							
A. Total	\$ 266,000								
B. U.S.	\$ 266,000								

8. ACTION DECISIONS APPROVED BY MISSION OR AID/W OFFICE DIRECTOR

A. List decisions and/or unresolved issues; cite those items needing further study. (NOTE: Mission decisions which anticipate AID/W or regional office action should specify type of document, e.g., program, SPAR, PIO, which will present detailed request.)	B. NAME OF OFFICER RESPONSIBLE FOR ACTION	C. DATE ACTION TO BE COMPLETED
3. ACTION DECISIONS: <ol style="list-style-type: none"> 1. Determine if building Materials Loan Agreement form needs to be revised to conform to revised Certificate of Rights. 2. Increase limit on building materials loan to P800 from P600 (to \$960 from \$720). 3. Increase training of Botswana housing and urban development personnel (both pre-training and on-the-job training) and refrain from reassigning these individuals to other sectors. 4. Provide short-term technical assistance to Gaborone Town Council re: management of Town engineering, training of ward office workers and revenue collectors, and updating of community development materials. 5. Consider extending services of FCH Advisor to Gaborone SHHA to at least two years from now to better train SHHA staff. 	MLGL Under Secretary - Urban MLGL Under Secretary - Urban ULGS FCH GOB, FCH	5-79 7-79 continuing various, 1979 6-79

9. INVENTORY OF DOCUMENTS TO BE REVISED PER ABOVE DECISIONS <table style="width: 100%; border-collapse: collapse;"> <tr> <td><input type="checkbox"/> Project Paper</td> <td><input type="checkbox"/> Implementation Plan e.g., CPI Network</td> <td><input type="checkbox"/> Other (Specify) _____</td> </tr> <tr> <td><input type="checkbox"/> Financial Plan</td> <td><input type="checkbox"/> PIO:1</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> Logical Framework</td> <td><input type="checkbox"/> PIO:C</td> <td><input type="checkbox"/> Other (Specify) _____</td> </tr> <tr> <td><input type="checkbox"/> Project Agreement</td> <td><input type="checkbox"/> PIO:P</td> <td>_____</td> </tr> </table>	<input type="checkbox"/> Project Paper	<input type="checkbox"/> Implementation Plan e.g., CPI Network	<input type="checkbox"/> Other (Specify) _____	<input type="checkbox"/> Financial Plan	<input type="checkbox"/> PIO:1	_____	<input type="checkbox"/> Logical Framework	<input type="checkbox"/> PIO:C	<input type="checkbox"/> Other (Specify) _____	<input type="checkbox"/> Project Agreement	<input type="checkbox"/> PIO:P	_____	10. ALTERNATIVE DECISIONS ON FUTURE OF PROJECT A. <input checked="" type="checkbox"/> Continue Project Without Change B. <input type="checkbox"/> Change Project Design and/or <input type="checkbox"/> Change Implementation Plan C. <input type="checkbox"/> Discontinue Project
<input type="checkbox"/> Project Paper	<input type="checkbox"/> Implementation Plan e.g., CPI Network	<input type="checkbox"/> Other (Specify) _____											
<input type="checkbox"/> Financial Plan	<input type="checkbox"/> PIO:1	_____											
<input type="checkbox"/> Logical Framework	<input type="checkbox"/> PIO:C	<input type="checkbox"/> Other (Specify) _____											
<input type="checkbox"/> Project Agreement	<input type="checkbox"/> PIO:P	_____											

11. PROJECT OFFICER AND HOST COUNTRY OR OTHER RANKING PARTICIPANTS AS APPROPRIATE (Name and Title) Jim Stanford, USAID/Botswana Don Gardner, RHUDO/Nairobi Gordon Trigg, Min. of Local Government and Lands James Upchurch, Gaborone Town Council (SHHA)	12. Mission/AID/W Office Director Approval Signature  Typed Name Louis A. Cohen Date 31 July 1979
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CLASSIFICATION
PROJECT EVALUATION SUMMARY (PES) - PART I

Report Symbol U-447

1. PROJECT TITLE	2. PROJECT NUMBER	3. MISSION/AID/W OFFICE
4. EVALUATION NUMBER - Enter the number maintained by the reporting unit e.g., Country or AID/W Administrative Code, Fiscal Year, Serial No., beginning with No. 1 each FY		
<input type="checkbox"/> REGULAR EVALUATION <input type="checkbox"/> SPECIAL EVALUATION		

6. KEY PROJECT IMPLEMENTATION DATA	5. ESTIMATED PROJECT FUNDING	7. PERIOD COVERED BY EVALUATION							
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A. First PRO-AG or Equivalent FY	B. Final Obligation Expected FY	C. First to Last Defects FY							
A. Total \$	\$								
B. U.S. \$	\$								

8. ACTION DECISIONS APPROVED BY MISSION OR AID/W OFFICE DIRECTOR		
A. List decisions and/or unresolved issues (note those items needing further study (NOTE: Mission decisions which anticipate AID/W or regional office action should specify type of document, e.g., telegram, SAR, PIO, which will present detailed request.)	B. NAME OF OFFICER RESPONSIBLE FOR ACTION	C. DATE ACTION TO BE COMPLETED
6. Have present FCH Advisor provide orientation, training and coordination for at least one year to FCH technical advisors to Lobatse, Francistown and Selebi-Pikwe (if ICH proposal is implemented).	FCH	8-79
7. Amend HG Implementation Agreement, as necessary, to take account of changes in Certificate of Rights, Building Materials Loan Agreement and increase in maximum amount of individual building material loan.	RHUDO/Nairobi	8-79
8. Town Treasurer's Department and SHHA should continue to improve procedures and staff training in order to increase collection of monthly service charges and building material loan repayments.	Gaborone Town Council's Treasurer's Department and SHHA	continuing
9. Sites and services improvements and self-help houses should be designed and implemented at costs which are affordable to the majority of lower-income households without Government and Town Council subsidies (consistent with COB present policy).	COB	continuing

9. INVENTORY OF DOCUMENTS TO BE RECEIVED PER ABOVE DECISIONS	10. ALTERNATIVE DECISIONS ON FUTURE OF PROJECT												
<table style="width: 100%; border-collapse: collapse;"> <tr> <td><input type="checkbox"/> Project Charter</td> <td><input type="checkbox"/> Implementation Plan (e.g., to Network)</td> <td><input type="checkbox"/> Other Specify _____</td> </tr> <tr> <td><input type="checkbox"/> Financial Plan</td> <td><input type="checkbox"/> _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> Logical Framework</td> <td><input type="checkbox"/> _____</td> <td><input type="checkbox"/> Other Specify _____</td> </tr> <tr> <td><input type="checkbox"/> Project Agreement</td> <td><input type="checkbox"/> _____</td> <td>_____</td> </tr> </table>	<input type="checkbox"/> Project Charter	<input type="checkbox"/> Implementation Plan (e.g., to Network)	<input type="checkbox"/> Other Specify _____	<input type="checkbox"/> Financial Plan	<input type="checkbox"/> _____	_____	<input type="checkbox"/> Logical Framework	<input type="checkbox"/> _____	<input type="checkbox"/> Other Specify _____	<input type="checkbox"/> Project Agreement	<input type="checkbox"/> _____	_____	A. <input type="checkbox"/> Continue Project Without Change B. <input type="checkbox"/> Change Project Design and/or <input type="checkbox"/> Change Implementation Plan C. <input type="checkbox"/> Discontinue Project
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<input type="checkbox"/> Project Agreement	<input type="checkbox"/> _____	_____											

11. PROJECT OFFICER AND AS APPROPRIATE (Name and Title)	12. Mission/AID/W Office Director Approval
13. OFFICER RANK NO. PARTICIPANTS	Signature _____
_____	Typed Name _____
_____	Date _____

13. SUMMARY

The OPG of 1,266,000 is for technical assistance to Self Help Housing Agency of the Gaborone Town Council. The Foundation for Cooperative Housing (FCH) is providing a full-time advisor to the SHHA for 30 months plus other short-term technical assistance by FCH staff and consultants. This OPG complements the \$2.4 million Housing Guaranty Loan to the GOB which includes \$200,000 for SHHA equipment as well as \$900,000 in building material loans and \$1,300,000 for infrastructure in the Gaborone Broadhurst II sites and services project.

The FCH Advisor started in December 1977, thus his consultancy is more than one-half complete. The GTC agreed to increase the SHHA staff to 60 from approximately 10 in 1977. This has been done, but slower than planned -- particularly with management-level Botswana. However, the staff is young, inexperienced and most had no previous training in housing. Therefore, the FCH Advisor has had to concentrate on training all the staff in all facets of SHHA activities.

Formal criteria and procedures were devised by the FCH Advisor for plot allocations which have expedited this process and ensured that lower-income households would have priority. Also, accounting systems have been designed and put into operation (including programmable accounting machines) which greatly facilitate SHHA plots allocations, building materials inventory, making material loans, and collecting payments.

Also, the SHHA has developed a transport policy and operation which the Town Clerk says is the best in the GTC (the trucks and tractors were purchased with the HG loan).

A total of 1,685 plots have been allocated (including Certificates of Rights) and 326 material loans have been made. With 1,500 more plots to allocate in Broadhurst II, this work is 50 percent complete (not counting future projects, of course). There are 1,750 more potential building material loans to be made in Broadhurst II, so this aspect of the SHHA's work is only 15 percent complete. Despite formidable start-up problems with staff, equipment, lack of office space, etc., the SHHA generally has been able to keep pace with household growth in Gaborone. The limiting factor now is the availability of serviced plots, which could become a serious constraint. Also, changes in the Certificate of Rights and possible changes in the Building Materials Loan Agreement could cause delays if these items are not available soon.

Because concrete blocks and other concrete materials are available from the local Brigades, the SHHA has not needed to create a building materials capability.

Community development efforts have been modest but useful. In Old Maledi a "Village Development Committee" was created (and is active) with representatives from each of the nine "wards". A similar organization has just been started in Broadhurst.

One persistent problem facing the SHHA is the high rate of plotholder service charges in arrears. Although the default rate reached 50% in Gaborone last year, a concerted effort has brought it down to 33%. The SHHA is doing what it can to make plotholders understand their obligations, but the Treasurer's Department lacks the trained staff and procedures to collect the payments as efficiently and effectively as desirable. Also, the Town Engineer's Department has been ineffective in maintaining the roads, water standpipes, drainageways, and providing fire protection, etc., thus many plot-holders are reluctant to pay for services they are not receiving satisfactorily.

The GOB determined a few years ago that the maximum building material loan would be P600 (\$720). At this time, that will not purchase all the materials for a 20-22 M² house with a detached toilet building. An increase to P800 (\$960) is proposed by the SHHA. The P600 loan appears adequate to cover such an increase.

Without question the FCH Advisor is doing an outstanding job. However, the big question in the attainment of project purposes is the ability of the SHHA to function efficiently and effectively once the FCH Advisor's consultancy is complete. Because of frequent staffing turnover (including a vacancy of several months between Housing Officers (head of SHHA) until December 1978) the prospects are not promising. This issue warrants consideration given to extending the FCH Advisor's consultancy.

- iv. availability of shopping/market areas within project areas B, C, and D,
- v. role of the donors,
- vi. and other matters as identified by the RHUDO."

15. EXTERNAL FACTORS

One assumption stated in the GPC Logical Framework under Sector Goal was: "Continuing GOB commitment to provision of services to urban poor." GOB housing goals, policies and programs continue to focus on the urban poor. However, in the broader context of GOB priorities, rural development, employment creation programs and defense preparation far outweigh social programs and housing. Should budget cuts be necessary, housing and urban development expenditures probably would be substantially reduced -- according to a preliminary paper setting guidelines for the preparation of national development Plan V. However were the GOB and Town Councils to design and create housing affordable by all households, no subsidies would be required, thus major domestic expenditures for housing would be unnecessary. (No housing subsidy is present policy, but not present practice.)

A key assumption in GOB planning for the next five-year period is that town councils will bear more of the burden of providing housing, urban infrastructure and social services; however, it would seem that town councils are likely to continue to be inadequately managed, staffed and financed. Thus, it would seem that the GOB will need to continue to provide both technical assistance and funding to the town councils, or significant problems will arise in meeting urban growth requirements.

In providing urban services to the poor it is the policy of Government to have self-help plottolders pay monthly service charges to cover infrastructure debt service and recurring costs of road maintenance, water, refuse collection, and a portion of street lighting. Also, SHHA operating costs are partly financed by these service charges. For several reasons -- including party politics, lack of plottolder understanding, inadequate delivery of services, and inadequate collection procedures -- a large share (now 30 percent overall in Gaborone compared to 50% last year and 50% now in Francistown), of plottolders are in arrears in making these payments. Thus, this self-financing policy is undermined with the consequences that SHHA revenues are reduced and the capability of the GOB and Town Councils to provide housing for more poor is hindered. Since the monthly services charges are a maximum of P4.50 (\$5.40) per month (in Gaborone) while median household monthly income is P125 (\$150), ability to pay is not a major reason for this poor payment record. P6.60, or \$7.92, was the full cost of the facilities and services a year ago, thus the GOB and GTC are providing substantial subsidies. While increasing these charges is not politically attractive, increases are necessary if the GOB is to comply with its own policy of not subsidizing housing.

Another key assumption in the Logical Framework is: "Sites and services and squatter improvement projects in Gaborone implemented as planned." Project implementation has been faithful to the plans, except for the delays caused principally by:

(a) inadequate early staffing of the SHHA with Batswana; (b) the slow, cumbersome process of Government tendering; (c) shortage of surveyors in MLGL; (d) infeasibility of surveying plot lines on dense squatter area of Old Naledi; (e) slowness of EDF in approving South African tendering; (f) disruptions in contractor work schedules caused by their having too many jobs at once for their limited supervisory personnel.

The above external factors have not so much affected the goals and purposes of the OPC per se, as they have the potential to adversely affect the continuation and replication of these self-help housing programs.

16. INPUTS

An AID OPG in amount of \$266,000 was provided to fund FCH technical assistance to an expanded Self Help Housing Agency in the Gaborone Town Council. This monetary input is being used to finance thirty months of technical assistance by James Upchurch, FCH Advisor to the Gaborone SHHA, as well as FCH short-term technical assistance, consultants, and FCH Washington office staff support. Also included in the OPG is \$10,000 for community development seed capital. The GTC committed to increase the SHHA staff to 60 from only a few two years ago.

Other related inputs to Gaborone SHHA include \$200,000 from the HG loan to purchase four trucks, two tractors and five trailers as well as programmable calculators for the processing of plot allocations, building materials inventory and monthly payments of plothead service charges and material loan repayments. These capital investments have enabled substantial expansion and improvement of the SHHA's transport and accounting activities.

Staff inputs have been mixed. FCH Advisor to the SHHA commenced his 30-months consultancy in December, 1977, which was just in time to organize SHHA systems and procedures for the SHHA's involvement in the Old Naledi squatter upgrading project and the Broadhurst sites and services projects. Moreover, Mr. Upchurch is well suited to his responsibilities, is strongly committed to the successful implementation of this project and low-cost housing in general, and he works well with the Urban Coordinator, CIDA Project Manager and Town Council. On the other hand, the GOB (through its Unified Local Government Services) has not been able to supply Botswana as needed, in the numbers needed with the appropriate skills. For example, as of June 30, 1978, the SHHA staff numbered 42, but three of four senior staff had not been appointed. As late as September 30, 1978, only nine of twenty assistant works foremen were hired. Only since December 1978, when the Housing Officer began work, has the SHHA staff been close to its full strength. Moreover, the Unified Local Government Services (ULGS) continues to frequently reassign personnel, thus disrupting and impairing SHHA training, management and technical assistance activities.

One of the principal functions of the FCH Advisor is to train local staff. Without suitable staff in place, this input cannot be provided satisfactorily. While the GOB staff shortages are understandable, more priority must be given to staffing the Town Council housing departments, or future self-help housing projects will suffer greatly.

The Town Treasurer's Department lacks the experienced staff to efficiently and effectively collect payments for monthly levies and repayment of building material loans. Therefore, the SHHA Advisor has helped by preparing record keeping programs and systematic procedures for the Treasurer's staff assigned to make these collections.

While there is still some procedural and coordination difficulties with the SHHA needing to rely on the Treasurer's staff, this input now is adequate. However, the Treasurer's Department continues to be slow and uneven in processing payments to contractors and reimbursements from the GOB, thus hindering the financial stability of the SHHA. Presently, the SHHA is assisting the Town Treasurer's Department with programs and systems intended to expedite SHHA and other housing accounts money flows. Although this task is outside the SHHA organizationally, it is crucial to the success of the SHHA.

The SHHA is dependent upon the Town Engineer's Department to provide services such as road maintenance, trash collection, fire protection, and maintenance of water standpipes. Unfortunately, the Engineer's Department is inadequately staffed and under-equipped to provide these services satisfactorily. In fact, dissatisfaction with these services is a major reason for plotters not paying the monthly service charges. The GTC just decided to purchase needed equipment, but a reorganization of the Engineer's Department and institution of improved procedures is necessary also.

It would be desirable to provide short-term technical assistance to the GTC under this OPG to: (1) further assist the Treasurer with revenue collection and expenditure disbursement procedures related to SHHA operations; (2) help reorganize the Engineer's Department and devise more efficient and effective management procedures; (3) train SHHA office staff (many are new since Ruth Senior was here in November-December 1978); and (4) prepare new communication materials (existing ones have been effective, but they are out of date because of various changes, e.g., Certificate of Rights).

While building materials are funded by the HG loan and not this OPG, it is important to note that the GOB limit of P600 (\$720) per plotter is no longer adequate to purchase all the materials for a basic two-room house (20-22 M²) and toilet building. Accordingly, it is proposed that this maximum be increased to P800 (\$960).

17. OUTPUTS

The Logical Framework for the OPG states three principal outputs:

- "1. All serviced lots in initial projects are allocated and 75 percent of building material loans made.
2. Self-help construction organized and underway on most lots.
3. Community associations organized and functioning."

Regarding these planned outputs, the following have been achieved to date:

- "1. All serviced lots in initial projects are allocated and 75 percent of building material loans made."

Refer to following table for quantitative summary of progress on SHHA projects.

The Project Schedule (revised March 30, 1979) for Naledi upgrading is included in the Annex. The arrowheads indicate actual past and projected future completion dates. Note that in the Resettlement Area, where infrastructure is nearly complete, the SHHA is expected to complete the issuing of Certificates of Rights and Building Material Loans by June, 1979. Roads, drainage and toilets are now expected to be completed in Old Naledi by April 1980, while the water supply is projected for October 1979 completion. Basic roads have been created in Old Naledi, entailing the relocation of some households. Plot areas are being rationalized by the use of aerial photos since Survey and Lands is unable to survey the area. Plot boundary maps are just being completed so it has just become possible for the SHHA to begin to negotiate plot disputes and issue Certificates of Rights to plotters. The SHHA projects that this will be completed December 1980, with Building Material Loans all issued by April 1981.

All the Broadhurst I plots were allocated by mid-1978, however Certificates of Rights were not processed along with allocations for a large share of these plots. Therefore, the SHHA has endeavored to correct this past mistake -- with considerable difficulty, since plotters are reluctant to agree to pay monthly levies for services after they already occupy the plots. As of March 31, 1979, 85 percent of all plotters had signed and accepted the Certificate of Rights. The new procedure of the SHHA requires that the Certificate of Rights be signed as a condition of the plot allocation.

TABLE I
PROGRESS IN ALLOCATION OF SELF-HELP PLOTS
AND BUILDING MATERIAL LOANS, MARCH 31, 1979

Project Area	Total Plots	Plots Serviced		Plots Allocated			Material Loans Made			
		No.	% of Total	No.	% of Total	% of Serviced Plots	No.	% of Total	% of Plots Allocated	
Bentley	390	390	100%	390	100%	100%	None Available			
White City	223	223	100	197	88	88				
Extension 14	315	315	100	315	100	100	70	22	22	
<u>Old Naledi</u>										
Squatter	2000	<u>1</u>		0	0		0			
Resettlement	150	150	100	105	70	70	57	38	54	
Total				105			57		54	
<u>Broadhurst I</u>	538	538	100	538	100	100	99	18	18	
<u>Broadhurst II</u>										
Area A	561	561	100	337	60	60	100	18	30	
Areas B,C,D	1287	579 ^{2/}	45	0			0			
Total	1848	1130	61	337	18	30	100	5	30	
TOTAL	5464	2746	50%	1685	31%	61%	326	6%	19%	

^{1/} roads and drainage nearly complete; water standpipes about 50% complete; work on toilets just starting.

^{2/} Assumes Area B infrastructure is complete; in fact, it nearly is and areas C and D are partially serviced.

As can be seen by the table, relatively few building material loans have been made (18%) since finished plots are not available.

Broadhurst 11 Area A roads and drainage are being completed now (April 1979), while the permanent water reticulation system should be completed in May 1979. A temporary water system was installed so that plot allocations and housing construction could begin sooner. The SHHA started allocating plots and issuing Certificates of Rights in September 1978 and Building Material Loans in November 1978.

As shown on the revised (April 1979) Planned Performance Tracking Chart (Annex), plot allocations for Areas B, C and D are held up until roads and water reticulation systems are nearly complete in each area. Thus, plot allocations should begin by June 1979 and be completed by July 1980, with building material loans following -- these dates assume completion of infrastructure as shown on the Chart. Should water pressure not be adequate, it may become necessary to delay plot allocations until the pumping plant is complete, December 1979 -- thus resulting in a total delay in completion of this project of at least ten months.

"2. Self-help construction organized and underway on most lots."

While there has been relatively little progress in the construction of self-help houses since allocations of plots only recently began, the SHHA has devised systems, procedures and techniques for making building material loans and providing construction assistance which appear exceptionally well suited for this type of project.* Also, the SHHA staff is nearly at full complement and internal training activities are substantially improving staff capabilities. While there have been delays in providing staff and staff turnovers are a serious problem, but the delays now are caused by the lack of serviced plots. With the current long waiting list of applicants and systems operating smoothly, the SHHA is capable of allocating plots almost immediately, issuing Certificates of Rights within a few weeks and promptly thereafter working with each household on house design, materials required and arranging the materials loan.

"3. Community associations organized and operating."

The community development section of the SHHA staff is young and inexperienced, thus the FCH Advisor has had to devote

* Experiences in Old Naledi and Broadhurst have demonstrated that the SHHA is capable in this regard; with more experience, this capability should increase.

considerable time in training them on all aspects of their work. Most of their time thus far has been spent on plot allocations, including the issuing of Certificates of Rights. They are now proficient in this task.

The SHHA helped create a "Village Development Committee" in Old Naledi which is comprised of representatives from each of nine "wards". It meets monthly to work out solutions to local problems and seek unified assistance from the GTC through the resident Town Councillor and the SHHA.

In Broadhurst, two existing organizations were recently combined into one Development Committee similar to that in Old Naledi. Such organizations are common in the rural villages of Botswana.

The PCH Advisor says that the SHHA has not contributed as much toward community development as it would like and more emphasis will be on this area in the future.

18. PURPOSE

As expressed in the Logical Framework, the project purpose is:

"To create a permanent, self-sustaining shelter development, production and management organization and to expand its capacity to meet the continuing shelter requirements of Gaborone's poorest majority using local resources."

In order to assess the nature and extent to which this purpose has been achieved to date, it is useful to divide the statement into its substantive parts and address each part separately.

"To create a permanent, self-sustaining shelter ... organization"

The Gaborone SHHA was small, inexperienced, poorly funded, and ineffective before this OPG funded technical assistance. Concomitant with the OPG, both the GOB and GTC agreed to greatly increase recurring funding of the SHHA and to increase its staff to 60 from approximately 13. Also, the SHHA recurring revenues were to be derived from the monthly levies paid by ploholders in projects assisted by the SHHA. At times the funding source has been shaky and the staff commitment less than agreed, but in general this part of the purpose has been realized and should continue to be as the SHHA staff grows and gains experience. Nevertheless, the SHHA undoubtedly will need to continually fight for adequate financing and staff as other priorities of the GOB and GTC continue to seek the limited available resources.

"To create a ... shelter development, production and management organization"

It would be excessive to claim that the SHHA develops and produces shelter at this time. In fact, at issue is whether these should be among its principal purposes. Infrastructure primarily is a function of MLGL's various departments, including Town and Regional Planning (general design), Surveys and Lands (physical survey), and the Urban Coordinator (implementation). Thus far, building materials are purchased by the SHHA, not produced by it. However, the SHHA does provide technical assistance to ploholders in house design, selection of materials, and self-help construction. But the primary function of the SHHA is management of plot allocations and building material loans and -- in cooperation with the Town Treasurer -- collection of monthly service fees and loan repayments. It is this management function which the SHHA has focused on and which it now performs efficiently and effectively. Another facet of shelter management, fostering community development organizations, includes establishing the active Naledi Development Committee and creating a similar new organization in Broadhurst.

The management emphasis of the SHHA to date appears well considered since other agencies can better take the lead (with SHHA involvement) in housing development and production, while the SHHA clearly is best suited to manage self-help housing projects.

"To ... expand its capacity to meet the continuing shelter requirements of Gaborone's poorest majority."

The SHHA's capacity has been expanded substantially in terms of number of staff, staff housing capabilities, plot allocation and Certificate of Rights procedures, financial accounting, and processing of building materials. Moreover, this expanded capacity has been fully directed to the housing needs of lower income households. The SHHA has been diligent in ensuring that plot allocation priority goes to the poorest households able to afford to build a self-help house and pay the monthly levies and loan payments. Moreover, the SHHA is working with other agencies in planning future projects and the SHHA itself is planning to meet its future obligations. Since the GOB is planning an accelerated pace of self-help housing projects in Gaborone, the SHHA probably will need additional staff and financing. This growth will not be easy to achieve, thus the SHHA must prepare for it now. Continuing long-term and short-term consultants will be needed, as proposed under part 8, Decision Actions. Of course, this accelerated pace is dependent upon future financing of self-help housing projects; while the monies are committed through Broadhurst III, the project funding beyond that is unknown at this time.

"To ... meet the continuing shelter requirements ... using local resources."

The expansion of the SHHA has been financed by the GTC and the GOB using domestic funds; including GOB grants to the GTC of P90 (\$108) for each plot allocated. Since costs of infrastructure improvements, Town Council services and the SHHA's operations are intended to be recaptured by monthly levies paid by plottolders, it would seem that the GOB could continue to advance the needed capital in the future without subsidy -- as long as the levy collections are adequate to recapture the capital cost plus a reasonable interest charge. The same reasoning applies to building construction loans. However, the SHHA is not yet able to function adequately without an expatriate advisor and it may not be even a year from now. Also, Botswana produces little in the way of modern building materials so continuing reliance on South Africa seems inevitable for many years. Traditional materials (mud, poles and thatch) are declining in both acceptance and supply (especially thatch) in urban areas, so their prospects are limited. Nevertheless, the

SHHA as well as other Botswana agencies need to continue to search for and foster the use of local materials, techniques and construction firms in order to strengthen Botswana's housing capabilities and guard against future increases in material costs and potential supply shortages.

In summary, the SHHA is achieving the purpose of the OPG in creating "a permanent, self-sustaining shelter ... management organization and ..." is expanding "... its capacity to meet the continuing shelter requirements of Gaborone's poorest majority using local revenues." Nevertheless, the SHHA probably will have difficulty maintaining adequate funding and staffing; and the GOB is not doing enough to produce local building materials, techniques and contractors. Most importantly, the OPG statement of purpose assigns shelter development and production functions to the SHHA -- thus functions have not been the primary functions of the SHHA, nor should they be.

19. GOAL/SUBGOAL

The sector goal for this OPG project is:

"To raise living standards of the urban poor through improved housing and community facilities."

This goal is verifiable by the following indicators as expressed in the Logical Framework:

"Increase in the number and percentage of low income households living in permanent housing and/or areas with access to community facilities and basic services."

In the past 16-17 months, the SHHA has allocated 1,685 plots and made 326 building material loans. Since Gaborone is growing by nearly 1,000 households per year (mostly lower income) the share of households with registered plots is higher, but a larger share of the total lower-income households are living in temporary houses now than when the OPG became effective.

According to a March 1979 study by the Department of Town and Regional Planning, Gaborone population increased from 17,700 in 1971 to 44,500 in 1978, or 26,800 people -- at four persons per household, 6,700 households; at 5 persons per household, 5,400 households; thus, 800 - 1,000 households per year. Between 1978 and 1982 growth of at least 1,000 households per year is projected. Over the next 12 months approximately 1,000 households should be allocated plots and material loans in Naledi and Broadhurst -- somewhat more than the projected growth of lower-income households. Also, most of the 2,000 households in the settled Old Naledi will benefit by upgraded public facilities and services and at least one-half should have building material loans (financed by Canada). Thus, over its 30-month term, OPG funds for SHHA technical assistance will have made a significant contribution to the sector housing goal. In fact, keeping abreast of housing needs in a town with such a high growth rate (about 10 percent now) is no mean achievement -- especially considering the limited SHHA capacity only one year ago.

20. BENEFICIARIES

More than 5,000 lower-income households in Gaborone are intended to benefit directly by the provision of self-help housing assistance by the SHHA -- one-half in upgrading projects (i.e., Bontlenq, White City, Extension 14, and Old Naledi) and one-half in new developments (i.e., Naledi resettlement, Broadhurst I and II). As Table 1 (above) indicates, to date 1,685 households have been allocated plots and 326 have received building material loans. Also, the SHHA is serving as an effective agent for all its constituency in seeking improved services (road maintenance, trash collection, maintenance of water standpipes, acceptable and affordable low-cost sanitation) from the Town Council and Botswana Government.

The SHHA's progress in serving its large constituency (nearly 50 percent of the present population of Gaborone) has been delayed by shortages of trained staff, the need to devise various systems and procedures and the shortfalls in the completion of serviced plots. However, these delays measure only a few months and should be largely made up in 1979.

It seems possible that the beneficiaries will at least equal the numbers estimated in the OPG Logical Framework by the completion of the OPG period (May 1980): "1. 3,700 serviced lots. 2. 1,400 building material loans made. 3. 50 percent of all self-help construction underway. 4. Two community associations organized." However, the SHHA itself is not providing services to the plots. Also, there may be some slippage in the number of material loans and houses under construction unless infrastructure provision strictly meets the present schedules (i.e., Naledi and Broadhurst II, see Annex). In any event, any slippage is unlikely to be caused by the SHHA itself as long as it is adequately staffed and financed.

To the extent that the OPG monies are effective in increasing the overall capabilities of the GTC SHHA to deliver housing and housing services, the indirect beneficiaries will be manifold the direct beneficiaries. The population of Gaborone is projected to grow by 33,000 to 59,000 persons (i.e., perhaps 8,000 to 12,000 households) between 1978 and 1986 (population was 44,500 in 1978). Most of these households will be migrating from rural areas in search of education and employment, thus most will be lower-income -- at least until they are trained and find suitable employment. These in-migrants tend to be young, they usually come alone, their families remain in the rural villages (temporarily, anyway). Relatives tend to live together in an "extended family" manner. It is not uncommon for them to have a house in town, in their village and at their cattle post.

It is likely that a large share of future urban residents will need assistance of the SHHA in Gaborone in order to have even the most basic type of housing. The implications for expanding GTC

SHHA capabilities are apparent, but the prospects for meeting these needs are uncertain given the limits of GOB finances, Town Council finances and, most importantly, trained Batswana.

The expanded Gaborone SHHA is highly regarded in Botswana and is considered a model for future housing efforts in Gaborone, the three other towns and some of the larger villages. Since the urban population of Botswana is projected to increase by at least 100,000 persons by 1986, i.e., 20,000 plus households, the spread effect of the OPG investment could be of considerable magnitude. Again, this potential is dependent on the GOB providing an adequate number of reasonably trained and trainable people to gain experience and training from the expatriates now managing Botswana housing programs. Without this crucial immediate investment of personnel by the GOB, new urban migrants may find that squatter housing is all that is available to them.

21. UNPLANNED EFFECTS

One effect which was planned but nevertheless has been greater than expected is the overall improvement of the Gaborone SHHA, largely attributable to the efforts of the SHHA Advisor. The GOB now considers such SHHA improvements to be indispensable in the implementation of lower-income housing programs. This positive effect may have a negative side as well: some officials in the GOB seem to feel that advisors can replicate such attainments, so they need not commit scarce educated Batswana to housing and urban development.

The SHHA in Gaborone has been demonstrating that by educating households as to their rights and responsibilities as well as by instituting good management practices it is possible to collect monthly payments for services from the households much more effectively than had been the case in Gaborone and continues to be the case in other towns. Also, the SHHA has created and instituted financial accounting systems and transport systems which are superior to those in all other departments of the GTC. As a result, the Town Council would like the FCH Advisor to help upgrade management systems in the other departments. To some extent, Mr. Upchurch has provided such assistance (i.e., contractor invoice processing by Town Treasurer), however he recognizes that the SHHA cannot afford to have his efforts diverted at this time.

The three other town councils are well aware of the Gaborone SHHA's performance and each would like somewhat similar technical assistance -- essentially as proposed by FCH.

22. LESSONS LEARNED

1. Require commitment of local personnel on timely basis, reasonably trained and trainable as a condition of assistance -- cannot achieve purpose of improving local capability without local staff.

2. Plan on substantial initial training of local staff as well as continuing on-the-job training and training of new personnel (as inevitable turnovers occur).

3. Write specific terms of references as best perceived at outset, but also allow for flexibility in the terms so that the technical assistance can address other crucial issues which materialize.

4. Provide for substantial amount of short-term technical assistance to be used at the discretion of full-time consultant, within established guidelines.

5. Make sure that supporting facilities and services (e.g., office space, furniture, telephones, transport, housing, clerical staff) will be available as needed (or the project will suffer substantial delays and distractions).

6. Even if English is the official language of the host country, the majority of the poor speak only their native language; therefore, provide for basic conversational language training at the outset for the full-time consultant and continuing language training for the consultant and family. The Peace Corp language and cultural training programs would be of considerable benefit.

7. It matters greatly which agency the consultant is attached to and the officials to whom the consultant reports. The FCH Advisor found that the SHHA was under the Town Engineer, in order to make the SHHA more effective, it was necessary to reorganize the GTC to have the SHHA assume departmental status. In considering future similar technical assistance it is crucial that advisors be placed where they can be most effective and that their terms of reference be flexible enough to enable them to focus on priority needs as circumstances change.

8. The value of technical assistance is determined mostly by the talents, commitment and personality of the individual consultant(s). This OPG enjoys the benefits of an excellent FCH consultant. Such persons are scarce, so adequate time and considerable care is needed to find comparably qualified people.

9. The FCH consultant's talents and experiences ought to be leveraged by enabling him to (1) expand his training of Batswana and (2) provide initial orientation and continuing supervision of the other potential housing consultants to the other towns.

10. All parties to this OPG and similar projects should fully understand and agree to their monitoring and evaluation responsibilities from the outset to minimize the uncertainty and confusion which has attended this OPG and the related HG.

23. SPECIAL COMMENTS OR REMARKS

The following documents are attached as an Annex to this Project Evaluation Summary regarding the OPG funding of the FCH technical assistance to the SHHA:

1. Logical Framework (from 1977 FCH Proposal).
2. Draft Work Plan, Botswana OPG (by FCH Consultant, 1977).
3. Naledi Upgrading, Project Schedule (from CIDA Project Manager, March 1979).
4. Gaborone SHHA Planned Performance Tracking Chart
5. Summary Description of Plot Allocation Criteria and Procedures
6. Summary Descriptions of Building Material Inventory and Loan Procedures

PROJECT ON LOGICAL FRAMEWORK

Date Prepared: _____

Project Title & Number: _____

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
<p>Program or Sector Goal: The broader objective to which this project contributes: (A-1) To raise living standards of the urban poor through improved housing and community facilities</p>	<p>Measures of Goal Achievement (A-2) Increase in the number and percentage of low income households living in permanent housing and/or areas with access to community facilities and basic services.</p>	<p>(A-3) 1. Household sample surveys 2. Census data 3. Reports of public works and social service agencies</p>	<p>Assumptions for achieving goal targets (A-4) 1. Sites and services and so improvement projects in (implemented as planned. 2. Continuing GDS commitment provision of services to poor.</p>
<p>Project Purpose: (B-1) To create a permanent, self-sustaining shelter development production and management organization and to expand its capacity to meet the continuing shelter requirements of Gaborone's poorest majority using local resources.</p>	<p>Conditions that will indicate purpose has been achieved: End-of-Project status (B-2) 1. Self Help Housing Agency fully staffed and functioning 2. Two shelter projects underway and further projects planned.</p>	<p>(B-3) 1. Reports of SHHA 2. FCH DPG evaluations 3. Project Progress Reports</p>	<p>Assumptions for achieving purpose (B-4) 1. SHHA staff with appropriate skills can be recruited & trained. 2. Town Council revenues are sufficient to support SHHA 3. Foreign finances for self housing projects will be coming.</p>
<p>Project Outputs: (C-1) All serviced lots in initial projects are allocated and 75% of building materials loans made. Self-help construction organized and underway on most lots Community associations organized and functioning.</p>	<p>Magnitude of Outputs: (C-2) 1. 3,700 serviced lots 2. 1,400 building materials loans made 3. 50% of all self-help construction underway. 4. 2 community associations organized.</p>	<p>(C-3) 1. FCH Progress Reports 2. Field Surveys 3. SHHA Reports</p>	<p>Assumptions for achieving outputs (C-4) 1. Infrastructure completed serviced lots handed over to as planned. 2. Demand for serviced lots building materials loans as projected. 3. Lot recipients will participate in SHHA community development help construction efforts</p>
<p>Project Inputs: (D-1) HG allocation for SHHA support HG building materials loan funding GTC SHHA funds and staff SIDA volunteer FCH technical assistance Community development seed capital (AID grant)</p>	<p>Implementation Target (Type and Quantity) (D-2) 1. \$150,000 2. \$900,000 3. 60 staff, \$201,000 4. 1 volunteer for 1 year (\$10,200) 5. 1 full-time technician for 2 1/2 years and 3 m/m consultants (\$191,000) 6. \$10,000 seed capital grant</p>	<p>(D-3) 1. Lender and borrower reports 2. Lender and borrower reports 3. Reports of SHHA 4. Reports of SIDA 5. Reports of FCH</p>	<p>Assumptions for providing inputs (D-4) 1. HG Loan Approved and drawn on schedule 2. " " " " " " 3. Town Council funds are drawn on schedule and staff is available 4. SIDA volunteer completes service. 5. FCH provides technical assistance as planned. 6. Community development seed capital made as proposed.</p>

GOALS

ACTIVITIES

First quarter of 1978

1. Design new organization and gain GTC approval.
2. Plan new SHHA financial base and gain GTC approval.

1. Study projects assigned to SHHA.
2. Determine type of organization needed.
3. Determine staff required.
4. Write job descriptions.
5. Attend Council meetings.
6. Study costs of SHHA and services to SHHA areas.
7. Suggest new levy rates.

Second quarter of 1978

1. Improve SHHA management.
2. Train new staff.
3. Help organize offices and equipment for staff.
4. Improve accounting system.
5. Help set up evaluation.

1. Develop new management systems.
2. Set up a communications system.
3. Help management list goals.
4. Begin staff meetings for junior staff.
5. Design new accounting system.
6. Train new accounting staff.
7. Design new stores system.
8. Train new community development staff.
9. Help organize building new ward offices and SHHA headquarters.
10. Plan evaluation.

Third quarter of 1978

1. Assist staff to organize construction program.
2. Find a means of reducing construction costs.
3. Improve community development section.

1. Development of construction scheduling systems.
2. Assist management to set construction goals.
3. Organize production of new designs and cost studies.
4. Train community development workers.

Fourth quarter of 1978

1. Improve construction training.
2. Organize transport section.
3. Study development of local building materials production.
4. Improve community development program.

1. Supervise classes in const. skills.
2. Supervise classes for truck and front end loader drivers.
3. Conduct feasibility study of local building material production.
4. Organize training classes for community development workers.

TIME PERIOD	GOALS	ACTIVITIES
First quarter of 1979	Improve debt management program.	<ol style="list-style-type: none"> 1. Develop system to inform management of default status. 2. Develop guidelines for collection follow-up. 3. Study reasons for defaults. 4. Encourage GTC to enforce TCP/CCR.
Second quarter of 1979	<ol style="list-style-type: none"> 1. Improve office management. 2. Train stores managers. 	<ol style="list-style-type: none"> 1. Organize filing system. 2. Teach basic office management. 3. Audit stores program. 4. Refine stores management.
Third quarter of 1979	Prepare senior SHHA management for independent leadership.	Set up classes to help management learn how to set objectives, forecast, analyse problems, and make decisions.
Fourth quarter of 1979	Study SHHA financial base.	Study income and expenses for SHHA site and service areas to determine if policy changes are needed.
First quarter of 1980	Set up planning unit within SHHA for Broadhurst III	Study decisions of Gaborone Growth Committee and begin planning for SHHA work in DR III.
Second quarter of 1980	Write evaluation of SHHA as the major urban housing program.	Use SHHA records and evaluation reports to write report.

GABORONE SHHA PLANNED PERFORMANCE TRACKING CHART

	1977												1978												1979												1980												1981				
	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M
TERM OF FCH ADVISOR	[ACTUAL]												[PLANNED]																																								
<u>ALLOCATION OF PLOTS</u>																																																					
BONTLENG (390 Plots)	[ACTUAL]												[PLANNED]																																								
EXTENSION 14 (315)	[ACTUAL]												[PLANNED]																																								
OLD NALEDI (2150)	[ACTUAL]												[PLANNED]																																								
BROADHURST I (538)	[ACTUAL]												[PLANNED]																																								
BROADHURST II A (561)	[ACTUAL]												[PLANNED]																																								
BROADHURST II B,C,D (1287)	[ACTUAL]												[PLANNED]																																								
<u>BUILDING MATERIAL LOANS</u>																																																					
EXTENSION 14 (133)	[ACTUAL]												[PLANNED]																																								
OLD NALEDI (2150)	[ACTUAL]												[PLANNED]																																								
BROADHURST I (538)	[ACTUAL]												[PLANNED]																																								
BROADHURST II A (561)	[ACTUAL]												[PLANNED]																																								
BROADHURST II B,C,D (1287)	[ACTUAL]												[PLANNED]																																								

CONCENTRATED ACTIVITY

CONTINUING ACTIVITY

R. DeVoy
25 April 7

SUMMARY DESCRIPTION OF PLOT ALLOCATION
CRITERIA AND PROCEDURES

One of the more troublesome aspects of sites and services housing programs in developing countries is the allocation of plots to the lower income households on a fair, efficient basis. The Gaborone SHHA has instituted plot allocation criteria, procedures and education efforts which are worthy of replication elsewhere.

The following two-page illustration shows the Gaborone SHHA Plot Allocation System which was devised by the FCH Advisor, approved by the Town Council and has proven to be effective.

Applications are made at the SHHA central and ward offices. Assistance is provided in completing the simple application form. The staff processes the allocation in a matter of days (including household income check) and forwards it to the Town Council's allocation committee. The applicant must be a citizen of Botswana and resident of Gaborone for six months (new arrivals are discouraged because of policy favoring rural development rather than urbanization). Also, applicants must be at least 21 years of age (there are large numbers of younger household heads) and the applicant must not have a self-help plot or adequate housing.

Household income is limited to a maximum of P1,500 per year (\$1,800), except that 5% may have incomes up to P2,500 (\$3,000). The approximate median income in Gaborone is P1,500. Also, households with little or no incomes are excluded because qualified applicants must be able to afford the monthly service charge of P4.50 (\$5.40).

Priority is given to households living in Old Naledi, the largest squatter area, and other substandard housing areas. Within each of these classifications, households are ranked based on the point system shown on the illustration.

Eligible households are assigned plots as plots become available -- presently there is a substantial waiting list. Before 1978, plots were allocated without the households signing the Certificate of Rights. However, this proved unworkable because many refused to sign this agreement -- including the payment of monthly service charges and building a permanent house -- once they occupied the plot. Now they must sign the Certificate of Rights before they are authorized to occupy the plot. Not only does this document specify plotholder obligations, it is the leasehold title to the plot.

Before households sign the Certificate of Rights, the SHHA community development workers make sure that they understand the plotholder rights and responsibilities. Each applicant listens to a tape-recording (in Setswana) and is given a "comic book" entitled "Family Molefi's Housing Problems and How They Were Solved." Moreover, the community development workers provide individual counsel.

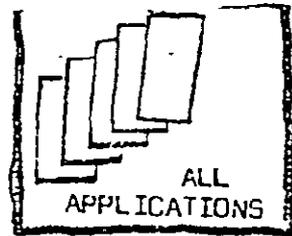
One of the more important areas of instruction is the responsibility of the plotholder to pay monthly service charges to finance secondary infrastructure development, low-cost sanitation, road and water supply maintenance and operation, trash collection, and SHHA operations. While the present charge of P4.50 (\$5.40) per month is readily affordable by most lower-income households, many do not pay because they feel they are not getting adequate services, they feel that they should not pay (i.e., Government should subsidize), or they think they can get away with not paying. A year ago, more than 50% of Gaborone plotholders were in arrears on their payments; now the rate is nearly 30%. The improvement largely is attributable to SHHA education efforts and improved collection procedures -- including systematic follow-up letters and actions for those who do not pay within 30 days. Also, the SHHA has greatly improved its record-keeping on plotowners by the use of programmable accounting machines with programs and procedures prepared by the FCH Advisor.

The Government of Botswana official policy is no subsidy of housing. However, the established charges do not meet present cost levels so both the GOB and the Town Council are providing subsidies. To eliminate these subsidies will require higher service charges and greatly improved collection rates -- both politically difficult, thus demanding effective education efforts by the SHHA and improved collection efforts by the SHHA and Town Treasurer's Department.

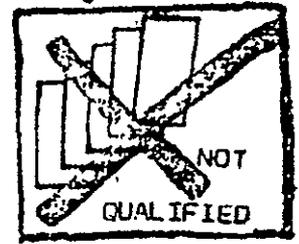
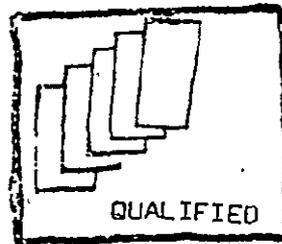
Another problem with the collection of service charges is that defaulting plotholders have not been forced to pay. The Certificate of Rights provided for the repossession of the plot, but this was considered too severe to be enforceable, thus no action was taken. The Certificate of Rights has just been changed to eliminate this repossession provision, thus allowing regular established debtor laws to apply. Since there is no experience with this change, its effects are unknown.

Botswana's ability to adequately house its rapidly growing urban poor largely depends upon self-help housing programs and affordable serviced plots. Central to these efforts are the effective allocation of plots and collection of service charges from plotholders. The Gaborone SHHA has made substantial progress on both counts, although more remains to be done to create adequate amounts of self-help housing on a non-subsidized basis.

Step 1 Take applications



Step 2 Reject those not qualified for reasons like under age or not citizen, etc.



Step 3 Calculate how many points the applicant has....

POINT SYSTEM INFORMATION

Spouse	20.
Children	X 5
Sharing accommodation with rent.....	40.
Sharing accommodation without rent....	20.
Existing house scrap tin/wood/poly	50.
Existing house mud bricks	20.
Years in Gaborone	X 5.
Live 200M to 500M from water	5.
Live 501M to 1000M from water	20.
No sanitation at current home	40.
Pit latrine or similar	10.
Blind, crippled or missing limb	50.
Age greater than 65 years	30.
Second application for plot	20.
No. of persons in family	(A)
No. of rooms in house	(B)
(A)..... + (B)..... =	X 10.

POINTS ARE DETERMINED BY FACTORS TO THE LEFT AND INCOME

Step 4 Sort the applicants into 4 groups according to priorities



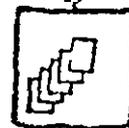
First priority is Old Naledi displacees



Second priority is displacees from thinning out process in Bontleng and White City.

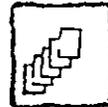
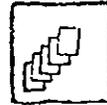
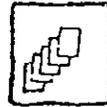
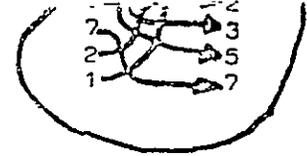


Third priority is squatters from anywhere in Gaborone



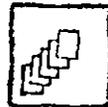
Last priority is any other person in Gaborone who qualifies.

Step 5 Working with the first priority, sort the applications according to the number of points.



Above is an example of how the numbers on the left might be put into order on the right according to their value

Step 6,7,8 Take each priority in turn, sort the applications according to the number of points.

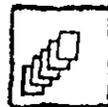


Repeat step 5 for the other three priorities.

Step 9 Begin allocating plots starting with the highest number of points in the first priority and work toward the lowest number points in the last priority.



Starting with the highest points, allocate to first priority until plots are finished or...



If plots remain, starting with the highest points in priority 2, allocate until plots are finished or ...



If plots remain after above, starting with highest points in priority 3, allocate until plots are finished or



If plots remain after the above, starting with the highest points in priority 4, allocate balance.

SUMMARY DESCRIPTION OF BUILDING
MATERIAL INVENTORY AND LOAN PROCEDURES

The Certificate of Rights provides that the plotholder must have a permanent house plan approved by the SHHA and at least one complete room must be finished within 12 months of the plot allocation date. To facilitate house construction, the SHHA offers technical assistance and building material loans.

The SHHA uses "do-it-yourself" scale models of houses so that people can design the house they prefer. Charts are designed to quickly indicate what size house the household can afford. The quantities and costs of building materials are calculated by disc slide rule charts as well. SHHA staff assist households with these determinations. (Also, SHHA staff provides advice during the construction process.)

Once an acceptable, affordable house design has been selected, a Building Material Loan Agreement is arranged and signed. Like the Certificate of Rights, this is a standard form prepared by the Government of Botswana. The Agreement provides for repayment by equal monthly payments over 15 years at 9% interest.

In recent years, the maximum building material loan has been P600 (\$720). However, this amount no longer is adequate to finance materials for a basic house of 20 M² plus separate toilet building. An increase to P800 (\$960) is proposed by the SHHA.

Households can only borrow as much as they can afford to repay, i.e., no more than 25% of monthly income for the service charge and loan repayment. To date 60-65% of borrowers have been eligible for the maximum loan.

Loans are made in building materials, not money. The SHHA stockpiles building materials at its project ward office depots and delivers the purchased materials to the plot using its trucks and tractors-trailers. For large bulk deliveries, the trailers are left for the purchaser to unload in the evening or on the weekend.

With the potential for thousands of building material loans outstanding, it is essential that the SHHA have the capability to maintain large inventories, process material purchases, and collect loan payments efficiently and effectively. To this end, the FCH Advisor has devoted a large share of his time in the past year devising systems, writing procedure instructions and training staff. His efforts have been augmented by short-term technical assistance and the purchase of programmable accounting machines and transport vehicles.

The material inventory and loan record keeping, processing and analysis programs which he has devised and implemented enable an accurate day-to-day monitoring of building material stocks and transactions, thus facilitating inventory control. Further, complete accessible accounts are maintained

on each loan, thus insuring that both the SHHA and the plotholder are aware of what has been borrowed and what remains of the loan.

These machines are usable in keeping track of loan repayments as well. However, revenue collections are the responsibility of the Treasurer's Department, not the SHHA. Nevertheless, the SHHA and the Town Treasurer's Department work together on revenue collections because the SHHA is involved with the building material loans and works closely with the plot plotholders.

The success of the SHHA's housing assistance programs depends upon: (1) adequate funds for building material loans; (2) availability of building materials; (3) efficient procedures for processing loans and materials; (4) trained staff in the ward offices for processing loans, handling building materials, providing construction advice, collecting loan repayments and providing community development services.

Because loan demand is likely to increase more rapidly than loan repayments, additional GOB and donor funds will be required for building material loans. Eventually, it may be possible to establish a revolving fund program.

Building materials mostly come from South Africa. While the potential to produce local materials seems limited, more attention to this potential might reduce the costs and supply uncertainty inherent in relying so heavily on imports.

The SHHA appears to have adequate procedures for handling building materials and loans but there is the major need for continuing training of Botswana in all facets of this program. This will be especially necessary if the workload increases much above 1,000 self-help houses per year -- as it is planned to do with Broadhurst III and Gaborone West overlapping one another and following Broadhurst II.

dup

Goody

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SUBJECT - Project Evaluation Summary - Project 633-0092
Self-Help Housing Agency

REFERENCE -

We are enclosing a Project Evaluation Summary (PES) on the subject project.

HORLAND *f1c*

attach to be run as part of airgram

PAGE 1 OF 1 PAGES

DRAFTED BY <i>ALarent:ala</i>	OFFICE <i>DIR</i>	PHONE NO.	DATE <i>8/1/79</i>	APPROVED BY <i>Louis A. ...</i> Chief, Director
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CLASSIFICATION
PROJECT EVALUATION SUMMARY (PES) - PART I

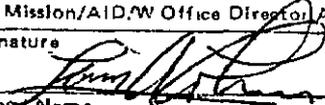
Report Symbol U-447

1. PROJECT TITLE Self-Help Housing Agency (SHHA) OPG (Foundation for Cooperative Housing)	2. PROJECT NUMBER 633-0092	3. MISSION/AID/W OFFICE USAID/Botswana							
4. EVALUATION NUMBER (Enter the number maintained by the reporting unit e.g., Country, or AID/W Administrative Code, Fiscal Year, Serial No. beginning with No. 1 each FY) No. 4 FY79 <input checked="" type="checkbox"/> REGULAR EVALUATION <input type="checkbox"/> SPECIAL EVALUATION									
5. KEY PROJECT IMPLEMENTATION DATES <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%;">A. First PRO-AG or Equivalent FY <u>78</u></td> <td style="width: 33%;">B. Final Obligation Expected FY <u>80</u></td> <td style="width: 33%;">C. Final Input Delivery FY <u>80</u></td> </tr> </table>	A. First PRO-AG or Equivalent FY <u>78</u>	B. Final Obligation Expected FY <u>80</u>	C. Final Input Delivery FY <u>80</u>	6. ESTIMATED PROJECT FUNDING <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">A. Total</td> <td style="width: 50%;">\$ <u>266,000</u></td> </tr> <tr> <td>B. U.S.</td> <td>\$ <u>266,000</u></td> </tr> </table>	A. Total	\$ <u>266,000</u>	B. U.S.	\$ <u>266,000</u>	7. PERIOD COVERED BY EVALUATION From (month/yr.) <u>December, 1977</u> To (month/yr.) <u>April, 1979</u> Date of Evaluation Review <u>March-April, 1979</u>
A. First PRO-AG or Equivalent FY <u>78</u>	B. Final Obligation Expected FY <u>80</u>	C. Final Input Delivery FY <u>80</u>							
A. Total	\$ <u>266,000</u>								
B. U.S.	\$ <u>266,000</u>								

B. ACTION DECISIONS APPROVED BY MISSION OR AID/W OFFICE DIRECTOR

A. List decisions and/or unresolved issues, cite those items needing further study. (NOTE: Mission decisions which anticipate AID/W or regional office action should specify type of document, e.g., algram, SPAR, PIO, which will present detailed request.)	B. NAME OF OFFICER RESPONSIBLE FOR ACTION	C. DATE ACTION TO BE COMPLETED
8. ACTION DECISIONS 1. Determine if Building Materials Loan Agreement form needs to be revised to conform to revised Certificate of Rights.	MLGL Under Secretary - Urban	5-79
2. Increase limit on building materials loan to P800 from P600 (to \$960 from \$720).	MLGL Under Secretary - Urban	7-79
3. Increase training of Botswana housing and urban development personnel (both pre-training and on-the-job training) and refrain from reassigning these individuals to other sectors.	ULGS	continuing
4. Provide short-term technical assistance to Gaborone Town Council re: management of Town engineering, training of ward office workers and revenue collectors, and updating of community development materials.	FCH	various, 1979
5. Consider extending services of FCH Advisor to Gaborone SHHA to at least two years from now to better train SHHA staff.	GOB, FCH	6-79

9. INVENTORY OF DOCUMENTS TO BE REVISED PER ABOVE DECISIONS <table style="width: 100%;"> <tr> <td><input type="checkbox"/> Project Paper</td> <td><input type="checkbox"/> Implementation Plan (e.g., CPI Network)</td> <td><input type="checkbox"/> Other (Specify) _____</td> </tr> <tr> <td><input type="checkbox"/> Financial Plan</td> <td><input type="checkbox"/> PIO/T</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> Logical Framework</td> <td><input type="checkbox"/> PIO/C</td> <td><input type="checkbox"/> Other (Specify) _____</td> </tr> <tr> <td><input type="checkbox"/> Project Agreement</td> <td><input type="checkbox"/> PIO/P</td> <td>_____</td> </tr> </table>	<input type="checkbox"/> Project Paper	<input type="checkbox"/> Implementation Plan (e.g., CPI Network)	<input type="checkbox"/> Other (Specify) _____	<input type="checkbox"/> Financial Plan	<input type="checkbox"/> PIO/T	_____	<input type="checkbox"/> Logical Framework	<input type="checkbox"/> PIO/C	<input type="checkbox"/> Other (Specify) _____	<input type="checkbox"/> Project Agreement	<input type="checkbox"/> PIO/P	_____	10. ALTERNATIVE DECISIONS ON FUTURE OF PROJECT A. <input checked="" type="checkbox"/> Continue Project Without Change B. <input type="checkbox"/> Change Project Design and/or <input type="checkbox"/> Change Implementation Plan C. <input type="checkbox"/> Discontinue Project
<input type="checkbox"/> Project Paper	<input type="checkbox"/> Implementation Plan (e.g., CPI Network)	<input type="checkbox"/> Other (Specify) _____											
<input type="checkbox"/> Financial Plan	<input type="checkbox"/> PIO/T	_____											
<input type="checkbox"/> Logical Framework	<input type="checkbox"/> PIO/C	<input type="checkbox"/> Other (Specify) _____											
<input type="checkbox"/> Project Agreement	<input type="checkbox"/> PIO/P	_____											

11. PROJECT OFFICER AND HOST COUNTRY OR OTHER RANKING PARTICIPANTS AS APPROPRIATE (Names and Titles) Jim Stanford, USAID/Botswana Don Gardner, RHUDO/Nairobi Gordon Trigg, Min. of Local Government and Lands James Upchurch, Gaborone Town Council (SHHA)	12. Mission/AID/W Office Director Approval Signature  Typed Name <u>Louis A. Cohen</u> Date <u>31 July 1979</u>
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CLASSIFICATION
PROJECT EVALUATION SUMMARY (PES) -- PART I

Report Symbol U-447

1. PROJECT TITLE	2. PROJECT NUMBER	3. MISSION/AID/W OFFICE
4. EVALUATION NUMBER (Enter the number maintained by the reporting unit e.g., Country or AID/W Administrative Code, Fiscal Year, Serial No. beginning with No. 1 each FY)		
<input type="checkbox"/> REGULAR EVALUATION <input type="checkbox"/> SPECIAL EVALUATION		

6. KEY PROJECT IMPLEMENTATION DATES A. First PRO-AG or Equivalent FY _____ B. Final Obligation Expected FY _____ C. First Input Delivery FY _____	E. ESTIMATED PROJECT FUNDING A. Total \$ _____ B. U.S \$ _____	7. PERIOD COVERED BY EVALUATION From (month/yr.) _____ To (month/yr.) _____ Date of Evaluation Review _____
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8. ACTION DECISIONS APPROVED BY MISSION OR AID/W OFFICE DIRECTOR

A. List decisions and/or unresolved issues cite those items needing further study. (NOTE: Mission decisions which anticipate AID/W or regional-office action should specify type of document, e.g. telegram, SAR, PIO, which will present detailed request)	B. NAME OF OFFICER RESPONSIBLE FOR ACTION	C. DATE ACTION TO BE COMPLETED
6. Have present FCH Advisor provide orientation, training and coordination for at least one year to FCH technical advisors to Lobatse, Francistown and Selebi-Pikwe (if FCH proposal is implemented).	FCH	8-79
7. Amend HG Implementation Agreement, as necessary, to take account of changes in Certificate of Rights, Building Materials Loan Agreement and increase in maximum amount of individual building material loan.	RHUDO/Nairobi	8-79
8. Town Treasurer's Department and SHHA should continue to improve procedures and staff training in order to increase collection of monthly service charges and building material loan repayments.	Gaborone Town Council's Treasurer's Department and SHHA	continuing
9. Sites and services improvements and self-help houses should be designed and implemented at costs which are affordable to the majority of lower-income households without Government and Town Council subsidies (consistent with COB present policy).	COB	continuing

9. INVENTORY OF DOCUMENTS TO BE RECEIVED PER ABOVE DECISIONS <input type="checkbox"/> Project Charter <input type="checkbox"/> Implementation Plan (eg. S/P Network) <input type="checkbox"/> Other (Specify) _____ <input type="checkbox"/> Financial Plan <input type="checkbox"/> Risk _____ <input type="checkbox"/> Logical Framework <input type="checkbox"/> _____ <input type="checkbox"/> Other (Specify) _____ <input type="checkbox"/> Project Agreement <input type="checkbox"/> PIR _____	10. ALTERNATIVE DECISIONS ON FUTURE OF PROJECT A. <input type="checkbox"/> Continue Project Without Change B. <input type="checkbox"/> Change Project Design and/or <input type="checkbox"/> Change Implementation Plan C. <input type="checkbox"/> Discontinue Project
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11. PROJECT OFFICER AND/OR SIGNATURES OF OTHER BANKING PARTICIPANTS AS APPROPRIATE (Name and Title)	12. Mission/AID/W Office Director Approval Signature _____ Typed Name _____ Date _____
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13. SUMMARY

The OPG of \$266,000 is for technical assistance to Self Help Housing Agency of the Gaborone Town Council. The Foundation for Cooperative Housing (FCH) is providing a full-time advisor to the SHHA for 30 months plus other short-term technical assistance by FCH staff and consultants. This OPG complements the \$2.4 million Housing Guaranty loan to the GOB which includes \$200,000 for SHHA equipment as well as \$900,000 in building material loans and \$1,300,000 for infrastructure in the Gaborone Broadhurst II sites and services project.

The FCH Advisor started in December 1977, thus his consultancy is more than one-half complete. The GTC agreed to increase the SHHA staff to 60 from approximately 10 in 1977. This has been done, but slower than planned -- particularly with management-level Batswana. Moreover, the staff is young, inexperienced and most had no previous training in housing. Therefore, the FCH Advisor has had to concentrate on training all the staff in all facets of SHHA activities.

Formal criteria and procedures were devised by the FCH Advisor for plot allocations which have expedited this process and ensured that lower-income households would have priority. Also, accounting systems have been designed and put into operation (including programmable accounting machines) which greatly facilitate SHHA plots allocations, building materials inventory, making material loans, and collecting payments.

Also, the SHHA has developed a transport policy and operation which the Town Clerk says is the best in the GTC (the trucks and tractors were purchased with the HG loan).

A total of 1,685 plots have been allocated (including Certificates of Rights) and 326 material loans have been made. With 1,500 more plots to allocate in Broadhurst II, this work is 50 percent complete (not counting future projects, of course). There are 1,750 more potential building material loans to be made in Broadhurst II, so this aspect of the SHHA's work is only 15 percent complete. Despite formidable start-up problems with staff, equipment, lack of office space, etc., the SHHA generally has been able to keep pace with household growth in Gaborone. The limiting factor now is the availability of serviced plots, which could become a serious constraint. Also, changes in the Certificate of Rights and possible changes in the Building Materials Loan Agreement could cause delays if these forms are not available soon.

Because concrete blocks and other concrete materials are available from the local Brigades, the SHHA has not needed to create a building materials capability.

Community development efforts have been modest but useful. In Old Naledi a "Village Development Committee" was created (and is active) with representatives from each of the nine "wards". A similar organization has just been started in Broadhurst.

One persistent problem facing the SHHA is the high rate of plotholder service charges in arrears. Although the default rate reached 50% in Gaborone last year, a concerted effort has brought it down to 30%. The SHHA is doing what it can to make plotholders understand their obligations, but the Treasurer's Department lacks the trained staff and procedures to collect the payments as efficiently and effectively as desirable. Also, the Town Engineer's Department has been ineffective in maintaining the roads, water standpipes, drainageways, and providing fire protection, etc., thus many plot holders are reluctant to pay for services they are not receiving satisfactorily.

The GOB determined a few years ago that the maximum building material loan would be P600 (\$720). At this time, that will not purchase all the materials for a 20-22 M² house with a detached toilet building. An increase to P800 (\$960) is proposed by the SHHA. The EG loan appears adequate to cover such an increase.

Without question the FCH Advisor is doing an outstanding job. However, the big question in the attainment of project purposes is the ability of the SHHA to function efficiently and effectively once the FCH Advisor's consultancy is complete. Because of frequent staffing turnover (including a vacancy of several months between Housing Officers (head of SHHA) until December 1978) the prospects are not promising. This issue warrants consideration given to extending the FCH Advisor's consultancy.

- iv. availability of shopping/market areas within project areas B, C, and D,
- v. role of the donors,
- vi. and other matters as identified by the RHUDO."

15. EXTERNAL FACTORS

One assumption stated in the OPG Logical Framework under Sector Goal was: "Continuing GOB commitment to provision of services to urban poor." GOB housing goals, policies and programs continue to focus on the urban poor. However, in the broader context of GOB priorities, rural development, employment creation programs and defense preparation far outweigh social programs and housing. Should budget cuts be necessary, housing and urban development expenditures probably would be substantially reduced -- according to a preliminary paper setting guidelines for the preparation of national development Plan V. However were the GOB and Town Councils to design and create housing affordable by all households, no subsidies would be required, thus major domestic expenditures for housing would be unnecessary. (No housing subsidy is present policy, but not present practice.)

A key assumption in GOB planning for the next five-year period is that town councils will bear more of the burden of providing housing, urban infrastructure and social services; however, it would seem that town councils are likely to continue to be inadequately managed, staffed and financed. Thus, it would seem that the GOB will need to continue to provide both technical assistance and funding to the town councils, or significant problems will arise in meeting urban growth requirements.

In providing urban services to the poor it is the policy of Government to have self-help plottolders pay monthly service charges to cover infrastructure debt service and recurring costs of road maintenance, water, refuse collection, and a portion of street lighting. Also, SHHA operating costs are partly financed by these service charges. For several reasons -- including party politics, lack of plottolder understanding, inadequate delivery of services, and inadequate collection procedures -- a large share (now 30 percent overall in Gaborone compared to 50% last year and 50% now in Francistown), of plottolders are in arrears in making these payments. Thus, this self-financing policy is undermined with the consequences that SHHA revenues are reduced and the capability of the GOB and Town Councils to provide housing for more poor is hindered. Since the monthly services charges are a maximum of P4.50 (\$5.40) per month (in Gaborone) while median household monthly income is P125 (\$150), ability to pay is not a major reason for this poor payment record. P6.60, or \$7.92, was the full cost of the facilities and services a year ago, thus the GOB and GTC are providing substantial subsidies. While increasing these charges is not politically attractive, increases are necessary if the GOB is to comply with its own policy of not subsidizing housing.

Another key assumption in the Logical Framework is: "Sites and services and squatter improvement projects in Gaborone implemented as planned." Project implementation has been faithful to the plans, except for the delays caused principally by:

(a) inadequate early staffing of the SHHA with Batswana; (b) the slow, cumbersome process of Government tendering; (c) shortage of surveyors in MLGL; (d) infeasibility of surveying plot lines on dense squatter area of Old Naledi; (e) slowness of EDF in approving South African tendering; (f) disruptions in contractor work schedules caused by their having too many jobs at once for their limited supervisory personnel.

The above external factors have not so much affected the goals and purposes of the OPC per se, as they have the potential to adversely affect the continuation and replication of these self-help housing programs.

16. INPUTS

An AID OPG in amount of \$266,000 was provided to fund FCH technical assistance to an expanded Self Help Housing Agency in the Gaborone Town Council. This monetary input is being used to finance thirty months of technical assistance by James Upchurch, FCH Advisor to the Gaborone SHHA, as well as FCH short-term technical assistance, consultants, and FCH Washington office staff support. Also included in the OPG is \$10,000 for community development seed capital. The GTC committed to increase the SHHA staff to 60 from only a few two years ago.

Other related inputs to Gaborone SHHA include \$200,000 from the HG loan to purchase four trucks, two tractors and five trailers as well as programmable calculators for the processing of plot allocations, building materials inventory and monthly payments of plothead service charges and material loan repayments. These capital investments have enabled substantial expansion and improvement of the SHHA's transport and accounting activities.

Staff inputs have been mixed. FCH Advisor to the SHHA commenced his 30-months consultancy in December, 1977, which was just in time to organize SHHA systems and procedures for the SHHA's involvement in the Old Naledi squatter upgrading project and the Broadhurst sites and services projects. Moreover, Mr. Upchurch is well suited to his responsibilities, is strongly committed to the successful implementation of this project and low-cost housing in general, and he works well with the Urban Coordinator, CIDA Project Manager and Town Council. On the other hand, the GOB (through its Unified Local Government Services) has not been able to supply Botswana as needed, in the numbers needed with the appropriate skills. For example, as of June 30, 1978, the SHHA staff numbered 42, but three of four senior staff had not been appointed. As late as September 30, 1978, only nine of twenty assistant works foremen were hired. Only since December 1978, when the Housing Officer began work, has the SHHA staff been close to its full strength. Moreover, the Unified Local Government Services (ULGS) continues to frequently reassign personnel, thus disrupting and impairing SHHA training, management and technical assistance activities.

One of the principal functions of the FCH Advisor is to train local staff. Without suitable staff in place, this input cannot be provided satisfactorily. While the GOB staff shortages are understandable, more priority must be given to staffing the Town Council housing departments, or future self-help housing projects will suffer greatly.

The Town Treasurer's Department lacks the experienced staff to efficiently and effectively collect payments for monthly levies and repayment of building material loans. Therefore, the SHHA Advisor has helped by preparing record keeping programs and systematic procedures for the Treasurer's staff assigned to make these collections.

While there is still some procedural and coordination difficulties with the SHHA needing to rely on the Treasurer's staff, this input now is adequate. However, the Treasurer's Department continues to be slow and uneven in processing payments to contractors and reimbursements from the GOB, thus hindering the financial stability of the SHHA. Presently, the SHHA is assisting the Town Treasurer's Department with programs and systems intended to expedite SHHA and other housing accounts money flows. Although this task is outside the SHHA organizationally, it is crucial to the success of the SHHA.

The SHHA is dependent upon the Town Engineer's Department to provide services such as road maintenance, trash collection, fire protection, and maintenance of water standpipes. Unfortunately, the Engineer's Department is inadequately staffed and under-equipped to provide these services satisfactorily. In fact, dissatisfaction with these services is a major reason for plotters not paying the monthly service charges. The GTC just decided to purchase needed equipment, but a reorganization of the Engineer's Department and institution of improved procedures is necessary also.

It would be desirable to provide short-term technical assistance to the GTC under this OPG to: (1) further assist the Treasurer with revenue collection and expenditure disbursement procedures related to SHHA operations; (2) help reorganize the Engineer's Department and devise more efficient and effective management procedures; (3) train SHHA office staff (many are new since Ruth Senior was here in November-December 1978); and (4) prepare new communication materials (existing ones have been effective, but they are out of date because of various changes, e.g., Certificate of Rights).

While building materials are funded by the HG loan and not this OPG, it is important to note that the GOD limit of P600 (\$720) per plotter is no longer adequate to purchase all the materials for a basic two-room house (20-22 M²) and toilet building. Accordingly, it is proposed that this maximum be increased to P800 (\$960).

17. OUTPUTS

The Logical Framework for the OPG states three principal outputs:

- "1. All serviced lots in initial projects are allocated and 75 percent of building material loans made.
2. Self-help construction organized and underway on most lots.
3. Community associations organized and functioning."

Regarding these planned outputs, the following have been achieved to date:

- "1. All serviced lots in initial projects are allocated and 75 percent of building material loans made."

Refer to following table for quantitative summary of progress on SHHA projects.

The Project Schedule (revised March 30, 1979) for Naledi upgrading is included in the Annex. The arrowheads indicate actual past and projected future completion dates. Note that in the Resettlement Area, where infrastructure is nearly complete, the SHHA is expected to complete the issuing of Certificates of Rights and Building Material Loans by June, 1979. Roads, drainage and toilets are now expected to be completed in Old Naledi by April 1980, while the water supply is projected for October 1979 completion. Basic roads have been created in Old Naledi, entailing the relocation of some households. Plot areas are being rationalized by the use of aerial photos since Survey and Lands is unable to survey the area. Plot boundary maps are just being completed so it has just become possible for the SHHA to begin to negotiate plot disputes and issue Certificates of Rights to plotters. The SHHA projects that this will be completed December 1980, with Building Material Loans all issued by April 1981.

All the Broadhurst I plots were allocated by mid-1978, however Certificates of Rights were not processed along with allocations for a large share of these plots. Therefore, the SHHA has endeavored to correct this past mistake -- with considerable difficulty, since plotters are reluctant to agree to pay monthly levies for services after they already occupy the plots. As of March 31, 1979, 85 percent of all plotters had signed and accepted the Certificate of Rights. The new procedure of the SHHA requires that the Certificate of Rights be signed as a condition of the plot allocation.

TABLE I

PROGRESS IN ALLOCATION OF SELF-HELP PLOTS
AND BUILDING MATERIAL LOANS, MARCH 31, 1979

<u>Project Area</u>	<u>Total Plots</u>	<u>Plots Serviced</u>		<u>Plots Allocated</u>			<u>Material Loans Made</u>		
		<u>No.</u>	<u>% of Total</u>	<u>No.</u>	<u>% of Total</u>	<u>% of Serviced Plots</u>	<u>No.</u>	<u>% of Total</u>	<u>% of Plots Allocated</u>
Bontleng	390	390	100%	390	100%	100%	None Available		
White City	223	223	100	197	88	88			
Extension 14	315	315	100	315	100	100	70	22	22
<u>Old Naledi</u>									
Squatter	2000	1/		0	0		0		
Resettlement	150	150	100	105	70	70	57	38	54
Total				105			57		54
<u>Broadhurst I</u>	538	538	100	538	100	100	99	18	18
<u>Broadhurst II</u>									
Area A	561	561	100	337	60	60	100	18	30
Areas B,C,D	1287	579 ^{2/}	45	0			0		
Total	1848	1130	61	337	18	30	100	5	30
TOTAL	5464	2746	50%	1685	31%	61%	326	6%	19%

^{1/} Roads and drainage nearly complete; water standpipes about 50% complete; work on toilets just starting.

^{2/} Assumes Area B infrastructure is complete; in fact, it nearly is and areas C and D are partially serviced.

As can be seen by the table, relatively few building material loans have been made (18%) since finished plots are not available.

Broadhurst II Area A roads and drainage are being completed now (April 1979), while the permanent water reticulation system should be completed in May 1979. A temporary water system was installed so that plot allocations and housing construction could begin sooner. The SHHA started allocating plots and issuing Certificates of Rights in September 1978 and Building Material Loans in November 1978.

As shown on the revised (April 1979) Planned Performance Tracking Chart (Annex), plot allocations for Areas B, C and D are held up until roads and water reticulation systems are nearly complete in each area. Thus, plot allocations should begin by June 1979 and be completed by July 1980, with building material loans following -- these dates assume completion of infrastructure as shown on the Chart. Should water pressure not be adequate, it may become necessary to delay plot allocations until the pumping plant is complete, December 1979 -- thus resulting in a total delay in completion of this project of at least ten months.

"2. Self-help construction organized and underway on most lots."

While there has been relatively little progress in the construction of self-help houses since allocations of plots only recently began, the SHHA has devised systems, procedures and techniques for making building material loans and providing construction assistance which appear exceptionally well suited for this type of project.* Also, the SHHA staff is nearly at full complement and internal training activities are substantially improving staff capabilities. While there have been delays in providing staff and staff turnovers are a serious problem, but the delays now are caused by the lack of serviced plots. With the current long waiting list of applicants and systems operating smoothly, the SHHA is capable of allocating plots almost immediately, issuing Certificates of Rights within a few weeks and promptly thereafter working with each household on house design, materials required and arranging the materials loan.

"3. Community associations organized and operating."

The community development section of the SHHA staff is young and inexperienced, thus the FCH Advisor has had to devote

* Experiences in Old Naledi and Broadhurst have demonstrated that the SHHA is capable in this regard; with more experience, this capability should increase.

considerable time in training them on all aspects of their work. Most of their time thus far has been spent on plot allocations, including the issuing of Certificates of Rights. They are now proficient in this task.

The SHHA helped create a "Village Development Committee" in Old Naledi which is comprised of representatives from each of nine "wards". It meets monthly to work out solutions to local problems and seek unified assistance from the GTC through the resident Town Councillor and the SHHA.

In Broadhurst, two existing organizations were recently combined into one Development Committee similar to that in Old Naledi. Such organizations are common in the rural villages of Botswana.

The ICH Advisor says that the SHHA has not contributed as much toward community development as it would like and more emphasis will be on this area in the future.

18. PURPOSE

As expressed in the Logical Framework, the project purpose is:

"To create a permanent, self-sustaining shelter development, production and management organization and to expand its capacity to meet the continuing shelter requirements of Gaborone's poorest majority using local resources."

In order to assess the nature and extent to which this purpose has been achieved to date, it is useful to divide the statement into its substantive parts and address each part separately.

"To create a permanent, self-sustaining shelter ... organization"

The Gaborone SHHA was small, inexperienced, poorly funded, and ineffective before this OPG funded technical assistance. Concomitant with the OPG, both the GOB and GTC agreed to greatly increase recurring funding of the SHHA and to increase its staff to 60 from approximately 13. Also, the SHHA recurring revenues were to be derived from the monthly levies paid by ploholders in projects assisted by the SHHA. At times the funding source has been shaky and the staff commitment less than agreed, but in general this part of the purpose has been realized and should continue to be as the SHHA staff grows and gains experience. Nevertheless, the SHHA undoubtedly will need to continually fight for adequate financing and staff as other priorities of the GOB and GTC continue to seek the limited available resources.

"To create a ... shelter development, production and management organization"

It would be excessive to claim that the SHHA develops and produces shelter at this time. In fact, at issue is whether these should be among its principal purposes. Infrastructure primarily is a function of MLGL's various departments, including Town and Regional Planning (general design), Surveys and Lands (physical survey), and the Urban Coordinator (implementation). Thus far, building materials are purchased by the SHHA, not produced by it. However, the SHHA does provide technical assistance to ploholders in house design, selection of materials, and self-help construction. But the primary function of the SHHA is management of plot allocations and building material loans and -- in cooperation with the Town Treasurer -- collection of monthly service fees and loan repayments. It is this management function which the SHHA has focused on and which it now performs efficiently and effectively. Another facet of shelter management, fostering community development organizations, includes establishing the active Naledi Development Committee and creating a similar new organization in Broadhurst.

The management emphasis of the SHHA to date appears well considered since other agencies can better take the lead (with SHHA involvement) in housing development and production, while the SHHA clearly is best suited to manage self-help housing projects.

"To ... expand its capacity to meet the continuing shelter requirements of Gaborone's poorest majority."

The SHHA's capacity has been expanded substantially in terms of number of staff, staff housing capabilities, plot allocation and Certificate of Rights procedures, financial accounting, and processing of building materials. Moreover, this expanded capacity has been fully directed to the housing needs of lower income households. The SHHA has been diligent in ensuring that plot allocation priority goes to the poorest households able to afford to build a self-help house and pay the monthly levies and loan payments. Moreover, the SHHA is working with other agencies in planning future projects and the SHHA itself is planning to meet its future obligations. Since the GOB is planning an accelerated pace of self-help housing projects in Gaborone, the SHHA probably will need additional staff and financing. This growth will not be easy to achieve, thus the SHHA must prepare for it now. Continuing long-term and short-term consultants will be needed, as proposed under part 8, Decision Actions. Of course, this accelerated pace is dependent upon future financing of self-help housing projects; while the monies are committed through Broadhurst III, the project funding beyond that is unknown at this time.

"To ... meet the continuing shelter requirements ... using local resources."

The expansion of the SHHA has been financed by the GTC and the GOB using domestic funds; including GOB grants to the GTC of P90 (\$108) for each plot allocated. Since costs of infrastructure improvements, Town Council services and the SHHA's operations are intended to be recaptured by monthly levies paid by plotheolders, it would seem that the GOB could continue to advance the needed capital in the future without subsidy -- as long as the levy collections are adequate to recapture the capital cost plus a reasonable interest charge. The same reasoning applies to building construction loans. However, the SHHA is not yet able to function adequately without an expatriate advisor and it may not be even a year from now. Also, Botswana produces little in the way of modern building materials so continuing reliance on South Africa seems inevitable for many years. Traditional materials (mud, poles and thatch) are declining in both acceptance and supply (especially thatch) in urban areas, so their prospects are limited. Nevertheless, the

SHHA as well as other Botswana agencies need to continue to search for and foster the use of local materials, techniques and construction firms in order to strengthen Botswana's housing capabilities and guard against future increases in material costs and potential supply shortages.

In summary, the SHHA is achieving the purpose of the OPG in creating "a permanent, self-sustaining shelter ... management organization and ..." is expanding "... its capacity to meet the continuing shelter requirements of Gaborone's poorest majority using local revenues." Nevertheless, the SHHA probably will have difficulty maintaining adequate funding and staffing; and the GOB is not doing enough to produce local building materials, techniques and contractors. Most importantly, the OPG statement of purpose assigns shelter development and production functions to the SHHA -- thus functions have not been the primary functions of the SHHA, nor should they be.

19. GOAL/SUBGOAL

The sector goal for this OPG project is:

"To raise living standards of the urban poor through improved housing and community facilities."

This goal is verifiable by the following indicators as expressed in the Logical Framework:

"Increase in the number and percentage of low income households living in permanent housing and/or areas with access to community facilities and basic services."

In the past 16-17 months, the SHHA has allocated 1,685 plots and made 326 building material loans. Since Gaborone is growing by nearly 1,000 households per year (mostly lower income) the share of households with registered plots is higher, but a larger share of the total lower-income households are living in temporary houses now than when the OPG became effective.

According to a March 1979 study by the Department of Town and Regional Planning, Gaborone population increased from 17,700 in 1971 to 44,500 in 1978, or 26,800 people -- at four persons per household, 6,700 households; at 5 persons per household, 5,400 households; thus, 800 - 1,000 households per year. Between 1978 and 1982 growth of at least 1,000 households per year is projected. Over the next 12 months approximately 1,000 households should be allocated plots and material loans in Naledi and Broadhurst -- somewhat more than the projected growth of lower-income households. Also, most of the 2,000 households in the settled Old Naledi will benefit by upgraded public facilities and services and at least one-half should have building material loans (financed by Canada). Thus, over its 30-month term, OPG funds for SHHA technical assistance will have made a significant contribution to the sector housing goal. In fact, keeping abreast of housing needs in a town with such a high growth rate (about 10 percent now) is no mean achievement -- especially considering the limited SHHA capacity only one year ago.

20. BENEFICIARIES

More than 5,000 lower-income households in Gaborone are intended to benefit directly by the provision of self-help housing assistance by the SHHA -- one-half in upgrading projects (i.e., Bontleng, White City, Extension 14, and Old Naledi) and one-half in new developments (i.e., Naledi resettlement, Broadhurst I and II). As Table 1 (above) indicates, to date 1,685 households have been allocated plots and 326 have received building material loans. Also, the SHHA is serving as an effective agent for all its constituency in seeking improved services (road maintenance, trash collection, maintenance of water standpipes, acceptable and affordable low-cost sanitation) from the Town Council and Botswana Government.

The SHHA's progress in serving its large constituency (nearly 50 percent of the present population of Gaborone) has been delayed by shortages of trained staff, the need to devise various systems and procedures and the shortfalls in the completion of serviced plots. However, these delays measure only a few months and should be largely made up in 1979.

It seems possible that the beneficiaries will at least equal the numbers estimated in the OPG Logical Framework by the completion of the OPG period (May 1980): "1. 3,700 serviced lots. 2. 1,400 building material loans made. 3. 50 percent of all self-help construction underway. 4. Two community associations organized." However, the SHHA itself is not providing services to the plots. Also, there may be some slippage in the number of material loans and houses under construction unless infrastructure provision strictly meets the present schedules (i.e., Naledi and Broadhurst II, see Annex). In any event, any slippage is unlikely to be caused by the SHHA itself as long as it is adequately staffed and financed.

To the extent that the OPG monies are effective in increasing the overall capabilities of the GTC SHHA to deliver housing and housing services, the indirect beneficiaries will be manifold the direct beneficiaries. The population of Gaborone is projected to grow by 38,000 to 59,000 persons (i.e., perhaps 8,000 to 12,000 households) between 1978 and 1986 (population was 44,500 in 1978). Most of these households will be migrating from rural areas in search of education and employment, thus most will be lower-income -- at least until they are trained and find suitable employment. These in-migrants tend to be young, they usually come alone, their families remain in the rural villages (temporarily, anyway). Relatives tend to live together in an "extended family" manner. It is not uncommon for them to have a house in town, in their village and at their cattle post.

It is likely that a large share of future urban residents will need assistance of the SHHA in Gaborone in order to have even the most basic type of housing. The implications for expanding GTC

SHHA capabilities are apparent, but the prospects for meeting these needs are uncertain given the limits of GOB finances, Town Council finances and, most importantly, trained Batswana.

The expanded Gaborone SHHA is highly regarded in Botswana and is considered a model for future housing efforts in Gaborone, the three other towns and some of the larger villages. Since the urban population of Botswana is projected to increase by at least 100,000 persons by 1986, i.e., 20,000 plus households, the spread effect of the OPG investment could be of considerable magnitude. Again, this potential is dependent on the GOB providing an adequate number of reasonably trained and trainable people to gain experience and training from the expatriates now managing Botswana housing programs. Without this crucial immediate investment of personnel by the GOB, new urban migrants may find that squatter housing is all that is available to them.

21. UNPLANNED EFFECTS

One effect which was planned but nevertheless has been greater than expected is the overall improvement of the Gaborone SHHA, largely attributable to the efforts of the SHHA Advisor. The GOB now considers such SHHA improvements to be indispensable in the implementation of lower-income housing programs. This positive effect may have a negative side as well: some officials in the GOB seem to feel that advisors can replicate such attainments, so they need not commit scarce educated Batswana to housing and urban development.

The SHHA in Gaborone has been demonstrating that by educating households as to their rights and responsibilities as well as by instituting good management practices it is possible to collect monthly payments for services from the households much more effectively than had been the case in Gaborone and continues to be the case in other towns. Also, the SHHA has created and instituted financial accounting systems and transport systems which are superior to those in all other departments of the GTC. As a result, the Town Council would like the FCH Advisor to help upgrade management systems in the other departments. To some extent, Mr. Upchurch has provided such assistance (i.e., contractor invoice processing by Town Treasurer), however he recognizes that the SHHA cannot afford to have his efforts diverted at this time.

The three other town councils are well aware of the Gaborone SHHA's performance and each would like somewhat similar technical assistance -- essentially as proposed by FCH.

22. LESSONS LEARNED

1. Require commitment of local personnel on timely basis, reasonably trained and trainable as a condition of assistance -- cannot achieve purpose of improving local capability without local staff.

2. Plan on substantial initial training of local staff as well as continuing on-the-job training and training of new personnel (as inevitable turnovers occur).

3. Write specific terms of references as best perceived at onset, but also allow for flexibility in the terms so that the technical assistance can address other crucial issues which materialize.

4. Provide for substantial amount of short-term technical assistance to be used at the discretion of full-time consultant, within established guidelines.

5. Make sure that supporting facilities and services (e.g., office space, furniture, telephones, transport, housing, clerical staff) will be available as needed (or the project will suffer substantial delays and distractions).

6. Even if English is the official language of the host country, the majority of the poor speak only their native language; therefore, provide for basic conversational language training at the outset for the full-time consultant and continuing language training for the consultant and family. The Peace Corp language and cultural training programs would be of considerable benefit.

7. It matters greatly which agency the consultant is attached to and the officials to whom the consultant reports. The FCH Advisor found that the SHHA was under the Town Engineer, in order to make the SHHA more effective, it was necessary to reorganize the GTC to have the SHHA assume departmental status. In considering future similar technical assistance it is crucial that advisors be placed where they can be most effective and that their terms of reference be flexible enough to enable them to focus on priority needs as circumstances change.

8. The value of technical assistance is determined mostly by the talents, commitment and personality of the individual consultant(s). This OPG enjoys the benefits of an excellent FCH consultant. Such persons are scarce, so adequate time and considerable care is needed to find comparably qualified people.

9. The FCH consultant's talents and experiences ought to be leveraged by enabling him to (1) expand his training of Batswana and (2) provide initial orientation and continuing supervision of the other potential housing consultants to the other towns.

10. All parties to this OPG and similar projects should fully understand and agree to their monitoring and evaluation responsibilities from the outset to minimize the uncertainty and confusion which has attended this OPG and the related HG.

23. SPECIAL COMMENTS OR REMARKS

The following documents are attached as an Annex to this Project Evaluation Summary regarding the OPG funding of the FCH technical assistance to the SHHA:

1. Logical Framework (from 1977 FCH Proposal).
2. Draft Work Plan, Botswana OPG (by FCH Consultant, 1977).
3. Naledi Upgrading, Project Schedule (from CIDA Project Manager, March 1979).
4. Gaborone SHHA Planned Performance Tracking Chart
5. Summary Description of Plot Allocation Criteria and Procedures
6. Summary Descriptions of Building Material Inventory and Loan Procedures

PROJECT DESIGN SUMMARY
LOGICAL FRAMEWORK

Title of Project: _____
Date Prepared: _____

Project Title & Number: _____

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
<p>Program or Sector Goals: The broad objective to which this project contributes: (A-1) To raise living standards of the urban poor through improved housing and community facilities</p>	<p>Measures of Goal Achievement: (A-2) Increase in the number and percentage of low income households living in permanent housing and/or areas with access to community facilities and basic services.</p>	<p>(A-3) 1. Household sample surveys 2. Census data 3. Reports of public works and social service agencies</p>	<p>Assumptions for achieving goal targets: (A-4) 1. Sites and services and so improvement projects in C implemented as planned. 2. Continuing GOC commitment provision of services to poor.</p>
<p>Project Purpose: (B-1) To create a permanent, self-sustaining shelter development production and management organization and to expand its capacity to meet the continuing shelter requirements of Gaborone's poorest majority using local resources.</p>	<p>Conditions that will indicate purpose has been achieved: End-of-Project status: (B-2) 1. Self Help Housing Agency fully staffed and functioning. 2. Two shelter projects underway and further projects planned.</p>	<p>(B-3) 1. Reports of SHHA 2. FCH DPG evaluations 3. Project Progress Reports</p>	<p>Assumptions for achieving purpose: (B-4) 1. SHHA staff with appropriate skills can be recruited trained. 2. Town Council revenues are sufficient to support SHHA 3. Foreign finances for self housing projects will be coming.</p>
<p>Project Outputs: (C-1) All serviced lots in initial projects are allocated and 75% of building materials loans made. Self-help construction organized and underway on most lots Community associations organized and functioning.</p>	<p>Magnitude of Outputs: (C-2) 1. 3,700 serviced lots 2. 1,400 building materials loans made 3. 50% of all self-help construction underway. 4. 2 community associations organized.</p>	<p>(C-3) 1. FCH Progress Reports 2. Field Surveys 3. SHHA Reports</p>	<p>Assumptions for achieving outputs: (C-4) 1. Infrastructure completed serviced lots handed over to as planned. 2. Demand for serviced lots building materials loans as projected. 3. Lot recipients will participate in SHHA community development help construction efforts.</p>
<p>Project Inputs: (D-1) HG allocation for SHHA support HG building materials loan funding GTC SHHA funds and staff SIDA volunteer FCH technical assistance Community development seed capital (AID grant)</p>	<p>Implementation Target (Type and Quantity) (D-2) 1. \$150,000 2. \$900,000 3. 60 staff, \$201,000 4. 1 volunteer for 1 year (\$10,200) 5. 1 full-time technician for 2 1/2 years and 3 m/m consultants (\$191,000) 6. \$10,000 seed capital grant</p>	<p>(D-3) 1. Lender and borrower reports 2. Lender and borrower reports 3. Reports of SHHA 4. Reports of SIDA 5. Reports of FCH</p>	<p>Assumptions for providing inputs: (D-4) 1. HG Loan Approved and drawn on schedule 2. " " " " " " 3. Town Council funds are on schedule and staff is 4. SIDA volunteer completes service. 5. FCH provides technical assistance as planned. 6. Community development success made as proposed.</p>

First quarter of 1978

- | | |
|---|---|
| <ol style="list-style-type: none"> 1. Design new organization and gain GTC approval. 2. Plan new SHHA financial base and gain GTC approval. | <ol style="list-style-type: none"> 1. Study projects assigned to SHHA. 2. Determine type of organization needed. 3. Determine staff required. 4. Write job descriptions. 5. Attend Council meetings. 6. Study costs of SHHA and services to SHHA areas. 7. Suggest new levy rates. |
|---|---|

Second quarter of 1978

- | | |
|--|---|
| <ol style="list-style-type: none"> 1. Improve SHHA management. 2. Train new staff. 3. Help organize offices and equipment for staff. 4. Improve accounting system. 5. Help set up evaluation. | <ol style="list-style-type: none"> 1. Develop new management systems. 2. Set up a communications system. 3. Help management list goals. 4. Begin staff meetings for junior staff. 5. Design new accounting system. 6. Train new accounting staff. 7. Design new stores system. 8. Train new community development staff. 9. Help organize building new ward offices and SHHA headquarters. 10. Plan evaluation. |
|--|---|

Third quarter of 1978

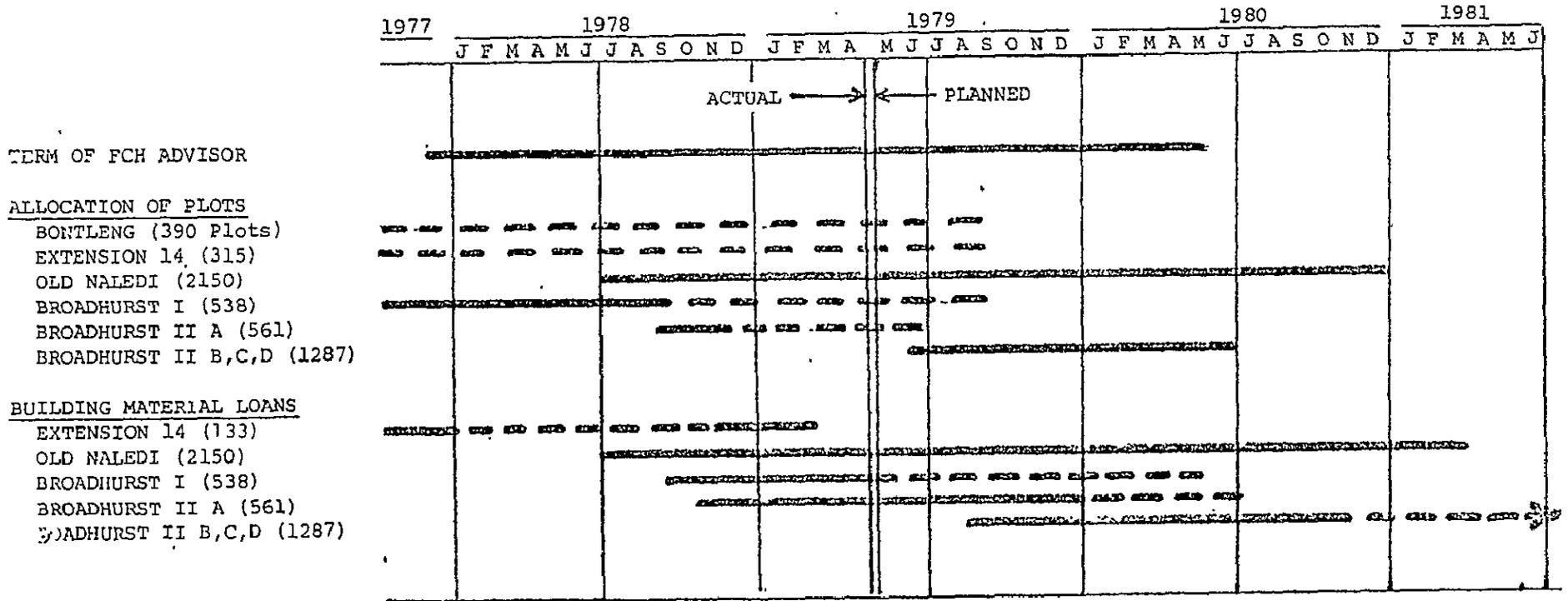
- | | |
|---|---|
| <ol style="list-style-type: none"> 1. Assist staff to organize construction program. 2. Find a means of reducing construction costs. 3. Improve community development section. | <ol style="list-style-type: none"> 1. Development of construction scheduling systems. 2. Assist management to set construction goals. 3. Organize production of new designs and cost studies. 4. Train community development workers. |
|---|---|

Fourth quarter of 1978

- | | |
|--|--|
| <ol style="list-style-type: none"> 1. Improve construction training. 2. Organize transport section. 3. Study development of local building materials production. 4. Improve community development program. | <ol style="list-style-type: none"> 1. Supervise classes in const. skills. 2. Supervise classes for truck and front end loader drivers. 3. Conduct feasibility study of local building material production. 4. Organize training classes for community development workers. |
|--|--|

TIME PERIOD	GOALS	ACTIVITIES
First quarter of 1979	Improve debt management program.	<ol style="list-style-type: none"> 1. Develop system to inform management of default status. 2. Develop guidelines for collection follow-up. 3. Study reasons for defaults. 4. Encourage GTC to enforce TCP/CCR.
Second quarter of 1979	<ol style="list-style-type: none"> 1. Improve office management. 2. Train stores managers. 	<ol style="list-style-type: none"> 1. Organize filing system. 2. Teach basic office management. 3. Audit stores program. 4. Refine stores management.
Third quarter of 1979	Prepare senior SHHA management for independent leadership.	Set up classes to help management learn how to set objectives, forecast, analyse problems, and make decisions.
Fourth quarter of 1979	Study SHHA financial base.	Study income and expenses for SHHA site and service areas to determine if policy changes are needed.
First quarter of 1980	Set up planning unit within SHHA for Broadhurst III	Study decisions of Gaborone Growth Committee and begin planning for SHHA work in BR III.
Second quarter of 1980	Write evaluation of SHHA as the major urban housing program.	Use SHHA records and evaluation reports to write report.

GABORONE SHHA PLANNED PERFORMANCE TRACKING CHART



ACTUAL ← → PLANNED

CONCENTRATED ACTIVITY

CONTINUING ACTIVITY

R. DeVoy
25 April 7

SUMMARY DESCRIPTION OF PLOT ALLOCATION
CRITERIA AND PROCEDURES

One of the more troublesome aspects of sites and services housing programs in developing countries is the allocation of plots to the lower income households on a fair, efficient basis. The Gaborone SHHA has instituted plot allocation criteria, procedures and education efforts which are worthy of replication elsewhere.

The following two-page illustration shows the Gaborone SHHA Plot Allocation System which was devised by the FCH Advisor, approved by the Town Council and has proven to be effective.

Applications are made at the SHHA central and ward offices. Assistance is provided in completing the simple application form. The staff processes the allocation in a matter of days (including household income check) and forwards it to the Town Council's allocation committee. The applicant must be a citizen of Botswana and resident of Gaborone for six months (new arrivals are discouraged because of policy favoring rural development rather than urbanization). Also, applicants must be at least 21 years of age (there are large numbers of younger household heads) and the applicant must not have a self-help plot or adequate housing.

Household income is limited to a maximum of P1,500 per year (\$1,800), except that 5% may have incomes up to P2,500 (\$3,000). The approximate median income in Gaborone is P1,500. Also, households with little or no incomes are excluded because qualified applicants must be able to afford the monthly service charge of P4.50 (\$5.40).

Priority is given to households living in Old Naledi, the largest squatter area, and other substandard housing areas. Within each of these classifications, households are ranked based on the point system shown on the illustration.

Eligible households are assigned plots as plots become available -- presently there is a substantial waiting list. Before 1978, plots were allocated without the households signing the Certificate of Rights. However, this proved unworkable because many refused to sign this agreement -- including the payment of monthly service charges and building a permanent house -- once they occupied the plot. Now they must sign the Certificate of Rights before they are authorized to occupy the plot. Not only does this document specify plotholder obligations, it is the leasehold title to the plot.

Before households sign the Certificate of Rights, the SHHA community development workers make sure that they understand the plotholder rights and responsibilities. Each applicant listens to a tape-recording (in Setswana) and is given a "comic book" entitled "Family Molefi's Housing Problems and How They Were Solved." Moreover, the community development workers provide individual counsel.

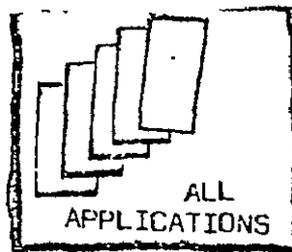
One of the more important areas of instruction is the responsibility of the plotholder to pay monthly service charges to finance secondary infrastructure development, low-cost sanitation, road and water supply maintenance and operation, trash collection, and SHHA operations. While the present charge of P4.50 (\$5.40) per month is readily affordable by most lower-income households, many do not pay because they feel they are not getting adequate services, they feel that they should not pay (i.e., Government should subsidize), or they think they can get away with not paying. A year ago, more than 50% of Gaborone plotholders were in arrears on their payments; now the rate is nearly 30%. The improvement largely is attributable to SHHA education efforts and improved collection procedures -- including systematic follow-up letters and actions for those who do not pay within 30 days. Also, the SHHA has greatly improved its record-keeping on plotowners by the use of programmable accounting machines with programs and procedures prepared by the FCH Advisor.

The Government of Botswana official policy is no subsidy of housing. However, the established charges do not meet present cost levels so both the GOB and the Town Council are providing subsidies. To eliminate these subsidies will require higher service charges and greatly improved collection rates -- both politically difficult, thus demanding effective education efforts by the SHHA and improved collection efforts by the SHHA and Town Treasurer's Department.

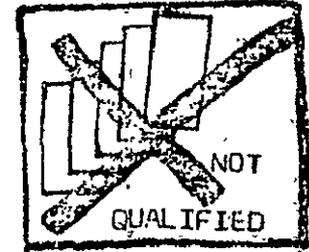
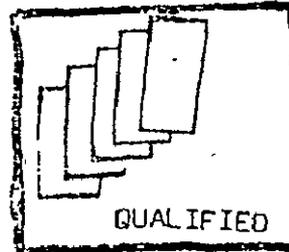
Another problem with the collection of service charges is that defaulting plotholders have not been forced to pay. The Certificate of Rights provided for the repossession of the plot, but this was considered too severe to be enforceable, thus no action was taken. The Certificate of Rights has just been changed to eliminate this repossession provision, thus allowing regular established debtor laws to apply. Since there is no experience with this change, its effects are unknown.

Botswana's ability to adequately house its rapidly growing urban poor largely depends upon self-help housing programs and affordable serviced plots. Central to these efforts are the effective allocation of plots and collection of service charges from plotholders. The Gaborone SHHA has made substantial progress on both counts, although more remains to be done to create adequate amounts of self-help housing on a non-subsidized basis.

Step 1 Take applications



Step 2 Reject those not qualified for reasons like under age or not citizen, etc.



Step 3 Calculate how many points the applicant has....

POINT SYSTEM INFORMATION

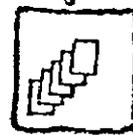
Spouse	20.
Children	5.
Sharing accommodation with rent.....	40.
Sharing accommodation without rent...	20.
Existing house scrap tin/wood/poly	50.
Existing house mud bricks	20.
Years in Gaborone	5.
Live 200M to 500M from water	5.
Live 501M to 1000M from water	20.
No sanitation at current home	40.
Pit latrine or similar	10.
Blind, crippled or missing limb	50.
Age greater than 65 years	30.
Second application for plot	20.
No. of persons in family	(A)
No. of rooms in house	(B)
(A)..... + (B)..... =	X 10.

POINTS ARE DETERMINED BY FACTORS TO THE LEFT AND INCOME

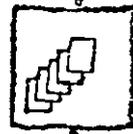
Step 4 Sort the applicants into 4 groups according to priorities



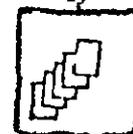
First priority is Old Naledi displacees



Second priority is displacees from thinning out process in Bontleng and White City.



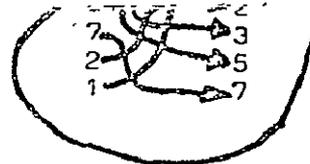
Third priority is squatters from anywhere in Gaborone



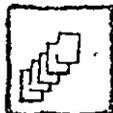
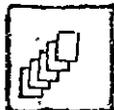
Last priority is any other person in Gaborone who qualifies.

Step 5

Working with the first priority, sort the applications according to the number of points.



Above is an example of how the numbers on the left might be put into order on the right according to their value



Step 6,7,8 Take each priority in turn, sort the applications according to the number of points.



Repeat step 5 for the other three priorities.

Step 9

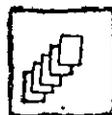
Begin allocating plots starting with the highest number of points in the first priority and work toward the lowest number points in the last priority.



Starting with the highest points, allocate to first priority until plots are finished or...



If plots remain, starting with the highest points in priority 2, allocate until plots are finished or ...



If plots remain after above, starting with highest points in priority 3, allocate until plots are finished or



If plots remain after the above, starting with the highest points in priority 4, allocate balance.

SUMMARY DESCRIPTION OF BUILDING
MATERIAL INVENTORY AND LOAN PROCEDURES

The Certificate of Rights provides that the plotholder must have a permanent house plan approved by the SHHA and at least one complete room must be finished within 12 months of the plot allocation date. To facilitate house construction, the SHHA offers technical assistance and building material loans.

The SHHA uses "do-it-yourself" scale models of houses so that people can design the house they prefer. Charts are designed to quickly indicate what size house the household can afford. The quantities and costs of building materials are calculated by disc slide rule charts as well. SHHA staff assist households with these determinations. (Also, SHHA staff provides advice during the construction process.)

Once an acceptable, affordable house design has been selected, a Building Material Loan Agreement is arranged and signed. Like the Certificate of Rights, this is a standard form prepared by the Government of Botswana. The Agreement provides for repayment by equal monthly payments over 15 years at 9% interest.

In recent years, the maximum building material loan has been P600 (\$720). However, this amount no longer is adequate to finance materials for a basic house of 20 m² plus separate toilet building. An increase to P800 (\$960) is proposed by the SHHA.

Households can only borrow as much as they can afford to repay, i.e., no more than 25% of monthly income for the service charge and loan repayment. To date 60-65% of borrowers have been eligible for the maximum loan.

Loans are made in building materials, not money. The SHHA stockpiles building materials at its project ward office depots and delivers the purchased materials to the plot using its trucks and tractors-trailers. For large bulk deliveries, the trailers are left for the purchaser to unload in the evening or on the weekend.

With the potential for thousands of building material loans outstanding, it is essential that the SHHA have the capability to maintain large inventories, process material purchases, and collect loan payments efficiently and effectively. To this end, the FCH Advisor has devoted a large share of his time in the past year devising systems, writing procedure instructions and training staff. His efforts have been augmented by short-term technical assistance and the purchase of programmable accounting machines and transport vehicles.

The material inventory and loan record keeping, processing and analysis programs which he has devised and implemented enable an accurate day-to-day monitoring of building material stocks and transactions, thus facilitating inventory control. Further, complete accessible accounts are maintained

on each loan, thus insuring that both the SHHA and the plotholder are aware of what has been borrowed and what remains of the loan.

These machines are usable in keeping track of loan repayments as well. However, revenue collections are the responsibility of the Treasurer's Department, not the SHHA. Nevertheless, the SHHA and the Town Treasurer's Department work together on revenue collections because the SHHA is involved with the building material loans and works closely with the plot plotholders.

The success of the SHHA's housing assistance programs depends upon: (1) adequate funds for building material loans; (2) availability of building materials; (3) efficient procedures for processing loans and materials; (4) trained staff in the ward offices for processing loans, handling building materials, providing construction advice, collecting loan repayments and providing community development services.

Because loan demand is likely to increase more rapidly than loan repayments, additional GOB and donor funds will be required for building material loans. Eventually, it may be possible to establish a revolving fund program.

Building materials mostly come from South Africa. While the potential to produce local materials seems limited, more attention to this potential might reduce the costs and supply uncertainty inherent in relying so heavily on imports.

The SHHA appears to have adequate procedures for handling building materials and loans but there is the major need for continuing training of Botswana in all facets of this program. This will be especially necessary if the workload increases much above 1,000 self-help houses per year -- as it is planned to do with Broadhurst III and Gaborone West overlapping one another and following Broadhurst II.

AIRGRAM

DEPARTMENT OF STATE
UNCLASSIFIED

CLASSIFICATION

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DATE SENT August 2, 1979

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TO - AID/W

FROM GABORONE
E.O. 12065 N/A

SUBJECT - Project Evaluation Summary - Project 633-0092
Self-Help Housing Agency

REFERENCE -

We are enclosing a Project Evaluation Summary (PES) on the subject project.

HORLAND

ACTION

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PAGE 1 OF 1 PAGES

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A. S. D. AND OTHER CLEARANCES

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CLASSIFICATION

CLASSIFICATION
PROJECT EVALUATION SUMMARY (PES) - PART I

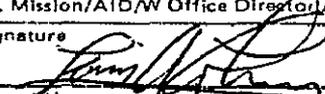
Report Symbol U-447

1. PROJECT TITLE Self-Help Housing Agency (SHHA) OPG (Foundation for Cooperative Housing)			2. PROJECT NUMBER 633-0092	3. MISSION/AID/W OFFICE USAID/Botswana
4. EVALUATION NUMBER (Enter the number maintained by the reporting unit e.g., Country or AID/W Administrative Code, Fiscal Year, Serial No. beginning with No. 1 each FY) No. 4 FY79				
<input checked="" type="checkbox"/> REGULAR EVALUATION <input type="checkbox"/> SPECIAL EVALUATION				
5. KEY PROJECT IMPLEMENTATION DATES A. First PRO-AG or Equivalent FY <u>78</u> B. Final Obligation Expected FY <u>80</u> C. Final Input Delivery FY <u>80</u>	6. ESTIMATED PROJECT FUNDING A. Total \$ <u>266,000</u> B. U.S. \$ <u>266,000</u>	7. PERIOD COVERED BY EVALUATION From (month/yr.) <u>December, 1977</u> To (month/yr.) <u>April, 1979</u> Date of Evaluation Review <u>March-April, 1979</u>		

B. ACTION DECISIONS APPROVED BY MISSION OR AID/W OFFICE DIRECTOR

A. List decisions and/or unresolved issues; cite those items needing further study. (NOTE: Mission decisions which anticipate AID/W or regional office action should specify type of document, e.g., telegram, SPAR, PIO, which will present detailed request.)	B. NAME OF OFFICER RESPONSIBLE FOR ACTION	C. DATE ACTION TO BE COMPLETED
8. ACTION DECISIONS		
1. Determine if Building Materials Loan Agreement form needs to be revised to conform to revised Certificate of Rights.	MLGL Under Secretary - Urban	5-79
2. Increase limit on building materials loan to P800 from P600 (to \$960 from \$720).	MIGL Under Secretary - Urban	7-79
3. Increase training of Botswana housing and urban development personnel (both pre-training and on-the-job training) and refrain from reassigning these individuals to other sectors.	ULGS	continuing
4. Provide short-term technical assistance to Gaborone Town Council re: management of Town engineering, training of ward office workers and revenue collectors, and updating of community development materials.	FCH	various, 1979
5. Consider extending services of FCH Advisor to Gaborone SHHA to at least two years from now to better train SHHA staff.	COB, FCH	6-79

9. INVENTORY OF DOCUMENTS TO BE REVISED PER ABOVE DECISIONS <table style="width: 100%;"> <tr> <td><input type="checkbox"/> Project Paper</td> <td><input type="checkbox"/> Implementation Plan e.g., CPI Network</td> <td><input type="checkbox"/> Other (Specify) _____</td> </tr> <tr> <td><input type="checkbox"/> Financial Plan</td> <td><input type="checkbox"/> PIO/T</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> Logical Framework</td> <td><input type="checkbox"/> PIO/C</td> <td><input type="checkbox"/> Other (Specify) _____</td> </tr> <tr> <td><input type="checkbox"/> Project Agreement</td> <td><input type="checkbox"/> PIO/P</td> <td>_____</td> </tr> </table>	<input type="checkbox"/> Project Paper	<input type="checkbox"/> Implementation Plan e.g., CPI Network	<input type="checkbox"/> Other (Specify) _____	<input type="checkbox"/> Financial Plan	<input type="checkbox"/> PIO/T	_____	<input type="checkbox"/> Logical Framework	<input type="checkbox"/> PIO/C	<input type="checkbox"/> Other (Specify) _____	<input type="checkbox"/> Project Agreement	<input type="checkbox"/> PIO/P	_____	10. ALTERNATIVE DECISIONS ON FUTURE OF PROJECT A. <input checked="" type="checkbox"/> Continue Project Without Change B. <input type="checkbox"/> Change Project Design and/or <input type="checkbox"/> Change Implementation Plan C. <input type="checkbox"/> Discontinue Project
<input type="checkbox"/> Project Paper	<input type="checkbox"/> Implementation Plan e.g., CPI Network	<input type="checkbox"/> Other (Specify) _____											
<input type="checkbox"/> Financial Plan	<input type="checkbox"/> PIO/T	_____											
<input type="checkbox"/> Logical Framework	<input type="checkbox"/> PIO/C	<input type="checkbox"/> Other (Specify) _____											
<input type="checkbox"/> Project Agreement	<input type="checkbox"/> PIO/P	_____											

11. PROJECT OFFICER AND HOST COUNTRY OR OTHER RANKING PARTICIPANTS AS APPROPRIATE (Name and Title) Jim Stanford, USAID/Botswana Don Gardner, RHUDO/Nairobi Gordon Trigg, Min. of Local Government and Lands James Upchurch, Gaborone Town Council (SHHA)	12. Mission/AID/W Office Director Approval Signature  Typed Name Louis A. Cohen Date 31 July 1979
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CLASSIFICATION
PROJECT EVALUATION SUMMARY (PES) - PART I

Report Symbol U-447

1. PROJECT TITLE			2. PROJECT NUMBER	3. MISSION/AID/W OFFICE
4. EVALUATION NUMBER: Enter the number maintained by the reporting unit e.g., Country or AID/W Administrative Code, Fiscal Year, Serial No. beginning with No. 1 each FY				
<input type="checkbox"/> REGULAR EVALUATION <input type="checkbox"/> SPECIAL EVALUATION				
6. KEY PROJECT IMPLEMENTATION DATES			7. PERIOD COVERED BY EVALUATION	
A. First PRO-AG or Equivalent FY _____	B. Final Obligation Expected FY _____	C. First Input Delivery FY _____	From (month/yr.) _____	
6. ESTIMATED PROJECT FUNDING			To (month/yr.) _____	
A. Total \$ _____			Date of Evaluation Review _____	
B. U.S. \$ _____				

8. ACTION DECISIONS APPROVED BY MISSION OR AID/W OFFICE DIRECTOR

A. List decisions and/or unresolved issues cite those items needing further study (NOTE: Mission decisions which anticipate AID/W or regional office action should specify type of document, e.g., program SOPAR, PIO, which will present detailed request)	B. NAME OF OFFICER RESPONSIBLE FOR ACTION	C. DATE ACTION TO BE COMPLETED
6. Have present FCH Advisor provide orientation, training and coordination for at least one year to FCH technical advisors to Lobatse, Francistown and Selebi-Pikwe (if FCH proposal is implemented).	FCH	8-79
7. Amend HG Implementation Agreement, as necessary, to take account of changes in Certificate of Rights, Building Materials Loan Agreement and increase in maximum amount of individual building material loan.	RHUDO/Nairobi	8-79
8. Town Treasurer's Department and SHHA should continue to improve procedures and staff training in order to increase collection of monthly service charges and building material loan repayments.	Gaborone Town Council's Treasurer's Department and SHHA	continuing
9. Sites and services improvements and self-help houses should be designed and implemented at costs which are affordable to the majority of lower-income households without Government and Town Council subsidies (consistent with COB present policy).	COB	continuing

9. INVENTORY OF DOCUMENTS TO BE REVISED PER ABOVE DECISIONS	10. ALTERNATIVE DECISIONS ON FUTURE OF PROJECT
<input type="checkbox"/> Project Charter <input type="checkbox"/> Implementation Plan (e.g. C-3 Network) <input type="checkbox"/> Other (Specify) _____ <input type="checkbox"/> Financial Plan <input type="checkbox"/> MTR _____ <input type="checkbox"/> Logical Framework <input type="checkbox"/> PR <input type="checkbox"/> Other (Specify) _____ <input type="checkbox"/> Project Agreement <input type="checkbox"/> PRO _____	A. <input type="checkbox"/> Continue project Without Change B. <input type="checkbox"/> Change Project Design and/or <input type="checkbox"/> Change Implementation Plan C. <input type="checkbox"/> Discontinue Project

11. PROJECT OFFICER AND OTHER KEY PERSONNEL OR OTHER RANKING PARTICIPANTS AS APPROPRIATE (Names and Titles)	12. Mission/AID/W Office Director Approval
	Signature _____
	Typed Name _____
	Date _____

13. SUMMARY

The OPG of \$266,000 is for technical assistance to Self Help Housing Agency of the Gaborone Town Council. The Foundation for Cooperative Housing (FCH) is providing a full-time advisor to the SHHA for 30 months plus other short-term technical assistance by FCH staff and consultants. This OPG complements the \$2.4 million Housing Guaranty loan to the GOB which includes \$200,000 for SHHA equipment as well as \$900,000 in building material loans and \$1,300,000 for infrastructure in the Gaborone Broadhurst II sites and services project.

The FCH Advisor started in December 1977, thus his consultancy is more than one-half complete. The GTC agreed to increase the SHHA staff to 60 from approximately 10 in 1977. This has been done, but slower than planned -- particularly with management-level, Batswana. Moreover, the staff is young, inexperienced and most had no previous training in housing. Therefore, the FCH Advisor has had to concentrate on training all the staff in all facets of SHHA activities.

Formal criteria and procedures were devised by the FCH Advisor for plot allocations which have expedited this process and ensured that lower-income households would have priority. Also, accounting systems have been designed and put into operation (including programmable accounting machines) which greatly facilitate SHHA plots allocations, building materials inventory, making material loans, and collecting payments.

Also, the SHHA has developed a transport policy and operation which the Town Clerk says is the best in the GTC (the trucks and tractors were purchased with the HG loan).

A total of 1,685 plots have been allocated (including Certificates of Rights) and 326 material loans have been made. With 1,500 more plots to allocate in Broadhurst II, this work is 50 percent complete (not counting future projects, of course). There are 1,750 more potential building material loans to be made in Broadhurst II, so this aspect of the SHHA's work is only 15 percent complete. Despite formidable start-up problems with staff, equipment, lack of office space, etc., the SHHA generally has been able to keep pace with household growth in Gaborone. The limiting factor now is the availability of serviced plots, which could become a serious constraint. Also, changes in the Certificate of Rights and possible changes in the Building Materials Loan Agreement could cause delays if these forms are not available soon.

Because concrete blocks and other concrete materials are available from the local Brigades, the SHHA has not needed to create a building materials capability.

Community development efforts have been modest but useful. In Old Naledi a "Village Development Committee" was created (and is active) with representatives from each of the nine "wards". A similar organization has just been started in Broadhurst.

One persistent problem facing the SHHA is the high rate of plotholder service charges in arrears. Although the default rate reached 50% in Gaborone last year, a concerted effort has brought it down to 30%. The SHHA is doing what it can to make plotholders understand their obligations, but the Treasurer's Department lacks the trained staff and procedures to collect the payments as efficiently and effectively as desirable. Also, the Town Engineer's Department has been ineffective in maintaining the roads, water standpipes, drainageways, and providing fire protection, etc., thus many plot holders are reluctant to pay for services they are not receiving satisfactorily.

The GOB determined a few years ago that the maximum building material loan would be P600 (\$720). At this time, that will not purchase all the materials for a 20-22 M² house with a detached toilet building. An increase to P800 (\$960) is proposed by the SHHA. The IG loan appears adequate to cover such an increase.

Without question the FCH Advisor is doing an outstanding job. However, the big question in the attainment of project purposes is the ability of the SHHA to function efficiently and effectively once the FCH Advisor's consultancy is complete. Because of frequent staffing turnover (including a vacancy of several months between Housing Officers (head of SHHA) until December 1978) the prospects are not promising. This issue warrants consideration given to extending the FCH Advisor's consultancy.

- iv. availability of shopping/market areas within project areas B, C, and D,
- v. role of the donors,
- vi. and other matters as identified by the RHUDO."

15. EXTERNAL FACTORS

One assumption stated in the OPG Logical Framework under Sector Goal was: "Continuing GOB commitment to provision of services to urban poor." GOB housing goals, policies and programs continue to focus on the urban poor. However, in the broader context of GOB priorities, rural development, employment creation programs and defense preparation far outweigh social programs and housing. Should budget cuts be necessary, housing and urban development expenditures probably would be substantially reduced -- according to a preliminary paper setting guidelines for the preparation of national development Plan V. However were the GOB and Town Councils to design and create housing affordable by all households, no subsidies would be required, thus major domestic expenditures for housing would be unnecessary. (No housing subsidy is present policy, but not present practice.)

A key assumption in GOB planning for the next five-year period is that town councils will bear more of the burden of providing housing, urban infrastructure and social services; however, it would seem that town councils are likely to continue to be inadequately managed, staffed and financed. Thus, it would seem that the GOB will need to continue to provide both technical assistance and funding to the town councils, or significant problems will arise in meeting urban growth requirements.

In providing urban services to the poor it is the policy of Government to have self-help plottolders pay monthly service charges to cover infrastructure debt service and recurring costs of road maintenance, water, refuse collection, and a portion of street lighting. Also, SHHA operating costs are partly financed by these service charges. For several reasons -- including party politics, lack of plotholder understanding, inadequate delivery of services; and inadequate collection procedures -- a large share (now 30 percent overall in Gaborone compared to 50% last year and 50% now in Francistown), of plotholders are in arrears in making these payments. Thus, this self-financing policy is undermined with the consequences that SHHA revenues are reduced and the capability of the GOB and Town Councils to provide housing for more poor is hindered. Since the monthly services charges are a maximum of P4.50 (\$5.40) per month (in Gaborone) while median household monthly income is P125 (\$150), ability to pay is not a major reason for this poor payment record. P6.60, or \$7.92, was the full cost of the facilities and services a year ago, thus the GOB and GTC are providing substantial subsidies. While increasing these charges is not politically attractive, increases are necessary if the GOB is to comply with its own policy of not subsidizing housing.

Another key assumption in the Logical Framework is: "Sites and services and squatter improvement projects in Gaborone implemented as planned." Project implementation has been faithful to the plans, except for the delays caused principally by:

(a) inadequate early staffing of the SHHA with Batswana; (b) the slow, cumbersome process of Government tendering; (c) shortage of surveyors in MLGL; (d) infeasibility of surveying plot lines on dense squatter area of Old Naledi; (e) slowness of EDF in approving South African tendering; (f) disruptions in contractor work schedules caused by their having too many jobs at once for their limited supervisory personnel.

The above external factors have not so much affected the goals and purposes of the OPG per se, as they have the potential to adversely affect the continuation and replication of these self-help housing programs.

16. INPUTS

An AID OPG in amount of \$266,000 was provided to fund FCH technical assistance to an expanded Self Help Housing Agency in the Gaborone Town Council. This monetary input is being used to finance thirty months of technical assistance by James Upchurch, FCH Advisor to the Gaborone SHHA, as well as FCH short-term technical assistance, consultants, and FCH Washington office staff support. Also included in the OPG is \$10,000 for community development seed capital. The GTC committed to increase the SHHA staff to 60 from only a few two years ago.

Other related inputs to Gaborone SHHA include \$200,000 from the HG loan to purchase four trucks, two tractors and five trailers as well as programmable calculators for the processing of plot allocations, building materials inventory and monthly payments of plotholder service charges and material loan repayments. These capital investments have enabled substantial expansion and improvement of the SHHA's transport and accounting activities.

Staff inputs have been mixed. FCH Advisor to the SHHA commenced his 30-months consultancy in December, 1977, which was just in time to organize SHHA systems and procedures for the SHHA's involvement in the Old Naledi squatter-upgrading project and the Broadhurst sites and services projects. Moreover, Mr. Upchurch is well suited to his responsibilities, is strongly committed to the successful implementation of this project and low-cost housing in general, and he works well with the Urban Coordinator, CIDA Project Manager and Town Council. On the other hand, the GOB (through its Unified Local Government Services) has not been able to supply Botswana as needed, in the numbers needed with the appropriate skills. For example, as of June 30, 1978, the SHHA staff numbered 42, but three of four senior staff had not been appointed. As late as September 30, 1978, only nine of twenty assistant works foremen were hired. Only since December 1978, when the Housing Officer began work, has the SHHA staff been close to its full strength. Moreover, the Unified Local Government Services (ULGS) continues to frequently reassign personnel, thus disrupting and impairing SHHA training, management and technical assistance activities.

One of the principal functions of the FCH Advisor is to train local staff. Without suitable staff in place, this input cannot be provided satisfactorily. While the GOB staff shortages are understandable, more priority must be given to staffing the Town Council housing departments, or future self-help housing projects will suffer greatly.

The Town Treasurer's Department lacks the experienced staff to efficiently and effectively collect payments for monthly levies and repayment of building material loans. Therefore, the SHHA Advisor has helped by preparing record keeping programs and systematic procedures for the Treasurer's staff assigned to make these collections.

While there is still some procedural and coordination difficulties with the SHHA needing to rely on the Treasurer's staff, this input now is adequate. However, the Treasurer's Department continues to be slow and uneven in processing payments to contractors and reimbursements from the GOB, thus hindering the financial stability of the SHHA. Presently, the SHHA is assisting the Town Treasurer's Department with programs and systems intended to expedite SHHA and other housing accounts money flows. Although this task is outside the SHHA organizationally, it is crucial to the success of the SHHA.

The SHHA is dependent upon the Town Engineer's Department to provide services such as road maintenance, trash collection, fire protection, and maintenance of water standpipes. Unfortunately, the Engineer's Department is unadequately staffed and under-equipped to provide these services satisfactorily. In fact, dissatisfaction with these services is a major reason for plioholders not paying the monthly service charges. The GTC just decided to purchase needed equipment, but a reorganization of the Engineer's Department and institution of improved procedures is necessary also.

It would be desirable to provide short-term technical assistance to the GTC under this OPG to: (1) further assist the Treasurer with revenue collection and expenditure disbursement procedures related to SHHA operations; (2) help reorganize the Engineer's Department and devise more efficient and effective management procedures; (3) train SHHA office staff (many are new since Ruth Senior was here in November-December 1978); and (4) prepare new communication materials (existing ones have been effective, but they are out of date because of various changes, e.g., Certificate of Rights).

While building materials are funded by the HG loan and not this OPG, it is important to note that the GOD limit of P600 (\$720) per plioholder is no longer adequate to purchase all the materials for a basic two-room house (20-22 M²) and toilet building. Accordingly, it is proposed that this maximum be increased to P800 (\$960).

17. OUTPUTS

The Logical Framework for the OPG states three principal outputs:

- "1. All serviced lots in initial projects are allocated and 75 percent of building material loans made.
2. Self-help construction organized and underway on most lots.
3. Community associations organized and functioning."

Regarding these planned outputs, the following have been achieved to date:

- "1. All serviced lots in initial projects are allocated and 75 percent of building material loans made."

Refer to following table for quantitative summary of progress on SHHA projects.

The Project Schedule (revised March 30, 1979) for Naledi upgrading is included in the Annex. The arrowheads indicate actual past and projected future completion dates. Note that in the Resettlement Area, where infrastructure is nearly complete, the SHHA is expected to complete the issuing of Certificates of Rights and Building Material Loans by June, 1979. Roads, drainage and toilets are now expected to be completed in Old Naledi by April 1980, while the water supply is projected for October 1979 completion. Basic roads have been created in Old Naledi, entailing the relocation of some households. Plot areas are being rationalized by the use of aerial photos since Survey and Lands is unable to survey the area. Plot boundary maps are just being completed so it has just become possible for the SHHA to begin to negotiate plot disputes and issue Certificates of Rights to plotters. The SHHA projects that this will be completed December 1980, with Building Material Loans all issued by April 1981.

All the Broadhurst I plots were allocated by mid-1978, however Certificates of Rights were not processed along with allocations for a large share of these plots. Therefore, the SHHA has endeavored to correct this past mistake -- with considerable difficulty, since plotters are reluctant to agree to pay monthly levies for services after they already occupy the plots. As of March 31, 1979, 85 percent of all plotters had signed and accepted the Certificate of Rights. The new procedure of the SHHA requires that the Certificate of Rights be signed as a condition of the plot allocation.

TABLE I

PROGRESS IN ALLOCATION OF SELF-HELP PLOTS
AND BUILDING MATERIAL LOANS, MARCH 31, 1979

Project Area	Total Plots	Plots Serviced		Plots Allocated			Material Loans Made		
		No.	% of Total	No.	% of Total	% of Serviced Plots	No.	% of Total	% of Plots Allocated
Bontleng	390	390	100%	390	100%	100%	None Available		
White City	223	223	100	197	88	88			
Extension 14	315	315	100	315	100	100	70	22	22
<u>Old Naledi</u>									
Squatter	2000	<u>1/</u>		0	0		0		
Resettlement	150	150	100	105	70	70	57	38	54
Total				105			57		54
<u>Broadhurst I</u>	538	538	100	538	100	100	99	18	18
<u>Broadhurst II</u>									
Area A	561	561	100	337	60	60	100	18	30
Areas B,C,D	1287	579 ^{2/}	45	0			0		
Total	1848	1130	61	337	18	30	100	5	30
TOTAL	5464	2746	50%	1685	31%	61%	326	6%	19%

^{1/} Roads and drainage nearly complete; water standpipes about 50% complete; work on toilets just starting.

^{2/} Assumes Area B infrastructure is complete; in fact, it nearly is and areas C and D are partially serviced.

As can be seen by the table, relatively few building material loans have been made (18%) since finished plots are not available.

Broadhurst II Area A roads and drainage are being completed now (April 1979), while the permanent water reticulation system should be completed in May 1979. A temporary water system was installed so that plot allocations and housing construction could begin sooner. The SHHA started allocating plots and issuing Certificates of Rights in September 1978 and Building Material Loans in November 1978.

As shown on the revised (April 1979) Planned Performance Tracking Chart (Annex), plot allocations for Areas B, C and D are held up until roads and water reticulation systems are nearly complete in each area. Thus, plot allocations should begin by June 1979 and be completed by July 1980, with building material loans following -- these dates assume completion of infrastructure as shown on the Chart. Should water pressure not be adequate, it may become necessary to delay plot allocations until the pumping plant is complete, December 1979 -- thus resulting in a total delay in completion of this project of at least ten months.

"2. Self-help construction organized and underway on most lots."

While there has been relatively little progress in the construction of self-help houses since allocations of plots only recently began, the SHHA has devised systems, procedures and techniques for making building material loans and providing construction assistance which appear exceptionally well suited for this type of project.* Also, the SHHA staff is nearly at full complement and internal training activities are substantially improving staff capabilities. While there have been delays in providing staff and staff turnovers are a serious problem, but the delays now are caused by the lack of serviced plots. With the current long waiting list of applicants and systems operating smoothly, the SHHA is capable of allocating plots almost immediately, issuing Certificates of Rights within a few weeks and promptly thereafter working with each household on house design, materials required and arranging the materials loan.

"3. Community associations organized and operating."

The community development section of the SHHA staff is young and inexperienced, thus the FCH Advisor has had to devote

* Experiences in Old Naledi and Broadhurst have demonstrated that the SHHA is capable in this regard; with more experience, this capability should increase.

considerable time in training them on all aspects of their work. Most of their time thus far has been spent on plot allocations, including the issuing of Certificates of Rights. They are now proficient in this task.

The SHHA helped create a "Village Development Committee" in Old Naledi which is comprised of representatives from each of nine "wards". It meets monthly to work out solutions to local problems and seek unified assistance from the GTC through the resident Town Councillor and the SHHA.

In Broadhurst, two existing organizations were recently combined into one Development Committee similar to that in Old Naledi. Such organizations are common in the rural villages of Botswana.

The ICH Advisor says that the SHHA has not contributed as much toward community development as it would like and more emphasis will be on this area in the future.

18. PURPOSE

As expressed in the Logical Framework, the project purpose is:

"To create a permanent, self-sustaining shelter development, production and management organization and to expand its capacity to meet the continuing shelter requirements of Gaborone's poorest majority using local resources."

In order to assess the nature and extent to which this purpose has been achieved to date, it is useful to divide the statement into its substantive parts and address each part separately.

"To create a permanent, self-sustaining shelter ... organization"

The Gaborone SHHA was small, inexperienced, poorly funded, and ineffective before this OPG funded technical assistance. Concomitant with the OPG, both the GOB and GTC agreed to greatly increase recurring funding of the SHHA and to increase its staff to 60 from approximately 13. Also, the SHHA recurring revenues were to be derived from the monthly levies paid by plotheolders in projects assisted by the SHHA. At times the funding source has been shaky and the staff commitment less than agreed, but in general this part of the purpose has been realized and should continue to be as the SHHA staff grows and gains experience. Nevertheless, the SHHA undoubtedly will need to continually fight for adequate financing and staff as other priorities of the GOB and GTC continue to seek the limited available resources.

"To create a ... shelter development, production and management organization"

It would be excessive to claim that the SHHA develops and produces shelter at this time. In fact, at issue is whether these should be among its principal purposes. Infrastructure primarily is a function of MLGL's various departments, including Town and Regional Planning (general design), Surveys and Lands (physical survey), and the Urban Coordinator (implementation). Thus far, building materials are purchased by the SHHA, not produced by it. However, the SHHA does provide technical assistance to plotheolders in house design, selection of materials, and self-help construction. But the primary function of the SHHA is management of plot allocations and building material loans and -- in cooperation with the Town Treasurer -- collection of monthly service fees and loan repayments. It is this management function which the SHHA has focused on and which it now performs efficiently and effectively. Another facet of shelter management, fostering community development organizations, includes establishing the active Naledi Development Committee and creating a similar new organization in Broadhurst.

The management emphasis of the SHHA to date appears well considered since other agencies can better take the lead (with SHHA involvement) in housing development and production, while the SHHA clearly is best suited to manage self-help housing projects.

"To ... expand its capacity to meet the continuing shelter requirements of Gaborone's poorest majority."

The SHHA's capacity has been expanded substantially in terms of number of staff, staff housing capabilities, plot allocation and Certificate of Rights procedures, financial accounting, and processing of building materials. Moreover, this expanded capacity has been fully directed to the housing needs of lower income households. The SHHA has been diligent in ensuring that plot allocation priority goes to the poorest households able to afford to build a self-help house and pay the monthly levies and loan payments. Moreover, the SHHA is working with other agencies in planning future projects and the SHHA itself is planning to meet its future obligations. Since the GOB is planning an accelerated pace of self-help housing projects in Gaborone, the SHHA probably will need additional staff and financing. This growth will not be easy to achieve, thus the SHHA must prepare for it now. Continuing long-term and short-term consultants will be needed, as proposed under part 8, Decision Actions. Of course, this accelerated pace is dependent upon future financing of self-help housing projects; while the monies are committed through Broadhurst III, the project funding beyond that is unknown at this time.

"To ... meet the continuing shelter requirements ... using local resources."

The expansion of the SHHA has been financed by the GTC and the GOB using domestic funds; including GOB grants to the GTC of P90 (\$108) for each plot allocated. Since costs of infrastructure improvements, Town Council services and the SHHA's operations are intended to be recaptured by monthly levies paid by plotters, it would seem that the GOB could continue to advance the needed capital in the future without subsidy -- as long as the levy collections are adequate to recapture the capital cost plus a reasonable interest charge. The same reasoning applies to building construction loans. However, the SHHA is not yet able to function adequately without an expatriate advisor and it may not be even a year from now. Also, Botswana produces little in the way of modern building materials so continuing reliance on South Africa seems inevitable for many years. Traditional materials (mud, poles and thatch) are declining in both acceptance and supply (especially thatch) in urban areas, so their prospects are limited. Nevertheless, the

SHHA as well as other Botswana agencies need to continue to search for and foster the use of local materials, techniques and construction firms in order to strengthen Botswana's housing capabilities and guard against future increases in material costs and potential supply shortages.

In summary, the SHHA is achieving the purpose of the OPG in creating "a permanent, self-sustaining shelter ... management organization and ..." is expanding "... its capacity to meet the continuing shelter requirements of Gaborone's poorest majority using local revenues." Nevertheless, the SHHA probably will have difficulty maintaining adequate funding and staffing; and the GOB is not doing enough to produce local building materials, techniques and contractors. Most importantly, the OPG statement of purpose assigns shelter development and production functions to the SHHA -- thus functions have not been the primary functions of the SHHA, nor should they be.

19. GOAL/SUBGOAL

The sector goal for this OPG project is:

"To raise living standards of the urban poor through improved housing and community facilities."

This goal is verifiable by the following indicators as expressed in the Logical Framework:

"Increase in the number and percentage of low income households living in permanent housing and/or areas with access to community facilities and basic services."

In the past 16-17 months, the SHHA has allocated 1,685 plots and made 326 building material loans. Since Gaborone is growing by nearly 1,000 households per year (mostly lower income) the share of households with registered plots is higher, but a larger share of the total lower-income households are living in temporary houses now than when the OPG became effective.

According to a March 1979 study by the Department of Town and Regional Planning, Gaborone population increased from 17,700 in 1971 to 44,500 in 1978, or 26,800 people -- at four persons per household, 6,700 households; at 5 persons per household, 5,400 households; thus, 800 - 1,000 households per year. Between 1978 and 1982 growth of at least 1,000 households per year is projected. Over the next 12 months approximately 1,000 households should be allocated plots and material loans in Naledi and Broadhurst -- somewhat more than the projected growth of lower-income households. Also, most of the 2,000 households in the settled Old Naledi will benefit by upgraded public facilities and services and at least one-half should have building material loans (financed by Canada). Thus, over its 30-month term, OPG funds for SHHA technical assistance will have made a significant contribution to the sector housing goal. In fact, keeping abreast of housing needs in a town with such a high growth rate (about 10 percent now) is no mean achievement -- especially considering the limited SHHA capacity only one year ago.

20. BENEFICIARIES

More than 5,000 lower-income households in Gaborone are intended to benefit directly by the provision of self-help housing assistance by the SHHA -- one-half in upgrading projects (i.e., Bontleng, White City, Extension 14, and Old Naledi) and one-half in new developments (i.e., Naledi resettlement, Broadhurst I and II). As Table 1 (above) indicates, to date 1,685 households have been allocated plots and 326 have received building material loans. Also, the SHHA is serving as an effective agent for all its constituency in seeking improved services (road maintenance, trash collection, maintenance of water standpipes, acceptable and affordable low-cost sanitation) from the Town Council and Botswana Government.

The SHHA's progress in serving its large constituency (nearly 50 percent of the present population of Gaborone) has been delayed by shortages of trained staff, the need to devise various systems and procedures and the shortfalls in the completion of serviced plots. However, these delays measure only a few months and should be largely made up in 1979.

It seems possible that the beneficiaries will at least equal the numbers estimated in the OPG Logical Framework by the completion of the OPG period (May 1980): "1. 3,700 serviced lots. 2. 1,400 building material loans made. 3. 50 percent of all self-help construction underway. 4. Two community associations organized." However, the SHHA itself is not providing services to the plots. Also, there may be some slippage in the number of material loans and houses under construction unless infrastructure provision strictly meets the present schedules (i.e., Naledi and Broadhurst II, see Annex). In any event, any slippage is unlikely to be caused by the SHHA itself as long as it is adequately staffed and financed.

To the extent that the OPG monies are effective in increasing the overall capabilities of the GTC SHHA to deliver housing and housing services, the indirect beneficiaries will be manifold the direct beneficiaries. The population of Gaborone is projected to grow by 38,000 to 59,000 persons (i.e., perhaps 8,000 to 12,000 households) between 1978 and 1986 (population was 44,500 in 1978). Most of these households will be migrating from rural areas in search of education and employment, thus most will be lower-income -- at least until they are trained and find suitable employment. These in-migrants tend to be young, they usually come alone, their families remain in the rural villages (temporarily, anyway). Relatives tend to live together in an "extended family" manner. It is not uncommon for them to have a house in town, in their village and at their cattle post.

It is likely that a large share of future urban residents will need assistance of the SHHA in Gaborone in order to have even the most basic type of housing. The implications for expanding GTC

SHHA capabilities are apparent, but the prospects for meeting these needs are uncertain given the limits of GOB finances, Town Council finances and, most importantly, trained Batswana.

The expanded Gaborone SHHA is highly regarded in Botswana and is considered a model for future housing efforts in Gaborone, the three other towns and some of the larger villages. Since the urban population of Botswana is projected to increase by at least 100,000 persons by 1986, i.e., 20,000 plus households, the spread effect of the OPG investment could be of considerable magnitude. Again, this potential is dependent on the GOB providing an adequate number of reasonably trained and trainable people to gain experience and training from the expatriates now managing Botswana housing programs. Without this crucial immediate investment of personnel by the GOB, new urban migrants may find that squatter housing is all that is available to them.

21. UNPLANNED EFFECTS

One effect which was planned but nevertheless has been greater than expected is the overall improvement of the Gaborone SHHA, largely attributable to the efforts of the SHHA Advisor. The GOB now considers such SHHA improvements to be indispensable in the implementation of lower-income housing programs. This positive effect may have a negative side as well: some officials in the GOB seem to feel that advisors can replicate such attainments, so they need not commit scarce educated Batswana to housing and urban development.

The SHHA in Gaborone has been demonstrating that by educating households as to their rights and responsibilities as well as by instituting good management practices it is possible to collect monthly payments for services from the households much more effectively than had been the case in Gaborone and continues to be the case in other towns. Also, the SHHA has created and instituted financial accounting systems and transport systems which are superior to those in all other departments of the GTC. As a result, the Town Council would like the FCH Advisor to help upgrade management systems in the other departments. To some extent, Mr. Upchurch has provided such assistance (i.e., contractor invoice processing by Town Treasurer), however he recognizes that the SHHA cannot afford to have his efforts diverted at this time.

The three other town councils are well aware of the Gaborone SHHA's performance and each would like somewhat similar technical assistance -- essentially as proposed by FCH.

22. LESSONS LEARNED

1. Require commitment of local personnel on timely basis, reasonably trained and trainable as a condition of assistance -- cannot achieve purpose of improving local capability without local staff.

2. Plan on substantial initial training of local staff as well as continuing on-the-job training and training of new personnel (as inevitable turnovers occur).

3. Write specific terms of references as best perceived at onset, but also allow for flexibility in the terms so that the technical assistance can address other crucial issues which materialize.

4. Provide for substantial amount of short-term technical assistance to be used at the discretion of full-time consultant, within established guidelines.

5. Make sure that supporting facilities and services (e.g., office space, furniture, telephones, transport, housing, clerical staff) will be available as needed (or the project will suffer substantial delays and distractions).

6. Even if English is the official language of the host country, the majority of the poor speak only their native language; therefore, provide for basic conversational language training at the outset for the full-time consultant and continuing language training for the consultant and family. The Peace Corp language and cultural training programs would be of considerable benefit.

7. It matters greatly which agency the consultant is attached to and the officials to whom the consultant reports. The FCH Advisor found that the SHHA was under the Town Engineer, in order to make the SHHA more effective, it was necessary to reorganize the GTC to have the SHHA assume departmental status. In considering future similar technical assistance it is crucial that advisors be placed where they can be most effective and that their terms of reference be flexible enough to enable them to focus on priority needs as circumstances change.

8. The value of technical assistance is determined mostly by the talents, commitment and personality of the individual consultant(s). This OPG enjoys the benefits of an excellent FCH consultant. Such persons are scarce, so adequate time and considerable care is needed to find comparably qualified people.

9. The FCH consultant's talents and experiences ought to be leveraged by enabling him to (1) expand his training of Batswana and (2) provide initial orientation and continuing supervision of the other potential housing consultants to the other towns.

10. All parties to this OPG and similar projects should fully understand and agree to their monitoring and evaluation responsibilities from the outset to minimize the uncertainty and confusion which has attended this OPG and the related HG.

23. SPECIAL COMMENTS OR REMARKS

The following documents are attached as an Annex to this Project Evaluation Summary regarding the OPG funding of the FCH technical assistance to the SHHA:

1. Logical Framework (from 1977 FCH Proposal).
2. Draft Work Plan, Botswana OPG (by FCH Consultant, 1977).
3. Naledi Upgrading, Project Schedule (from CIDA Project Manager, March 1979).
4. Gaborone SHHA Planned Performance Tracking Chart
5. Summary Description of Plot Allocation Criteria and Procedures
6. Summary Descriptions of Building Material Inventory and Loan Procedures

PROJECT D13 ON 30002
LOGICAL FRAMEWORK

Total U.S. Funding _____
Date Prepared: _____

Project Title & Number _____

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
<p>Program or Sector Goals: The broader objective to which this project contributes: (A-1) To raise living standards of the urban poor through improved housing and community facilities</p>	<p>Measures of Goal Achievement: (A-2) Increase in the number and percentage of low income households living in permanent housing and/or areas with access to community facilities and basic services.</p>	<p>(A-3) 1. Household sample surveys 2. Census data 3. Reports of public works and social service agencies</p>	<p>Assumptions for achieving goal targets: (A-4) 1. Sites and services and so improvement projects in implemented as planned. 2. Continuing GOB commitment provision of services to poor.</p>
<p>Project Purpose: (B-1) To create a permanent, self-sustaining shelter development production and management organization and to expand its capacity to meet the continuing shelter requirements of Gaborone's poorest majority using local resources.</p>	<p>Conditions that will indicate purpose has been achieved: End-of-Project status: (B-2) 1. Self Help Housing Agency fully staffed and functioning 2. Two shelter projects underway and further projects planned.</p>	<p>(B-3) 1. Reports of SHHA 2. FCH DPG evaluations 3. Project Progress Reports</p>	<p>Assumptions for achieving purpose: (B-4) 1. SHHA staff with appropriate skills can be recruited trained. 2. Town Council revenues are sufficient to support SHHA 3. Foreign finances for self housing projects will be available.</p>
<p>Project Outputs: (C-1) All serviced lots in initial projects are allocated and 75% of building materials loans made. Self-help construction organized and underway on most lots Community associations organized and functioning.</p>	<p>Magnitude of Outputs: (C-2) 1. 3,700 serviced lots 2. 1,400 building materials loans made 3. 50% of all self-help construction underway. 4. 2 community associations organized.</p>	<p>(C-3) 1. FCH Progress Reports 2. Field Surveys 3. SHHA Reports</p>	<p>Assumptions for achieving outputs: (C-4) 1. Infrastructure completed serviced lots handed over to as planned. 2. Demand for serviced lots building materials loans as projected. 3. Lot recipients will participate SHHA community development help construction efforts.</p>
<p>Project Inputs: (D-1) HG allocation for SHHA support HG building materials loan funding GTC SHHA funds and staff SIDA volunteer FCH technical assistance Community development seed capital (AID grant)</p>	<p>Implementation Target (Type and Quantity) (D-2) 1. \$150,000 2. \$900,000 3. 60 staff, \$201,000 4. 1 volunteer for 1 year (\$10,200) 5. 1 full-time technician for 2 1/2 years and 3 m/m consultants (\$191,000) 6. \$10,000 seed capital grant</p>	<p>(D-3) 1. Lender and borrower reports 2. Lender and borrower reports 3. Reports of SHHA 4. Reports of SIDA 5. Reports of FCH</p>	<p>Assumptions for providing inputs: (D-4) 1. HG Loan Approved and drawn on schedule 2. " " " " " 3. Town Council funds are available on schedule and staff is available 4. SIDA volunteer completes service. 5. FCH provides technical assistance as planned. 6. Community development success made as proposed.</p>

First quarter of 1978

1. Design new organization and gain GTC approval.
2. Plan new SHHA financial base and gain GTC approval.

1. Study projects assigned to SHHA.
2. Determine type of organization needed.
3. Determine staff required.
4. Write job descriptions.
5. Attend Council meetings.
6. Study costs of SHHA and services to SHHA areas.
7. Suggest new levy rates.

Second quarter of 1978

1. Improve SHHA management.
2. Train new staff.
3. Help organize offices and equipment for staff.
4. Improve accounting system.
5. Help set up evaluation.

1. Develop new management systems.
2. Set up a communications system.
3. Help management list goals.
4. Begin staff meetings for junior staff.
5. Design new accounting system.
6. Train new accounting staff.
7. Design new stores system.
8. Train new community development staff.
9. Help organize building new ward offices and SHHA headquarters.
10. Plan evaluation.

Third quarter of 1978

1. Assist staff to organize construction program.
2. Find a means of reducing construction costs.
3. Improve community development section.

1. Development of construction scheduling systems.
2. Assist management to set construction goals.
3. Organize production of new designs and cost studies.
4. Train community development workers.

Fourth quarter of 1978

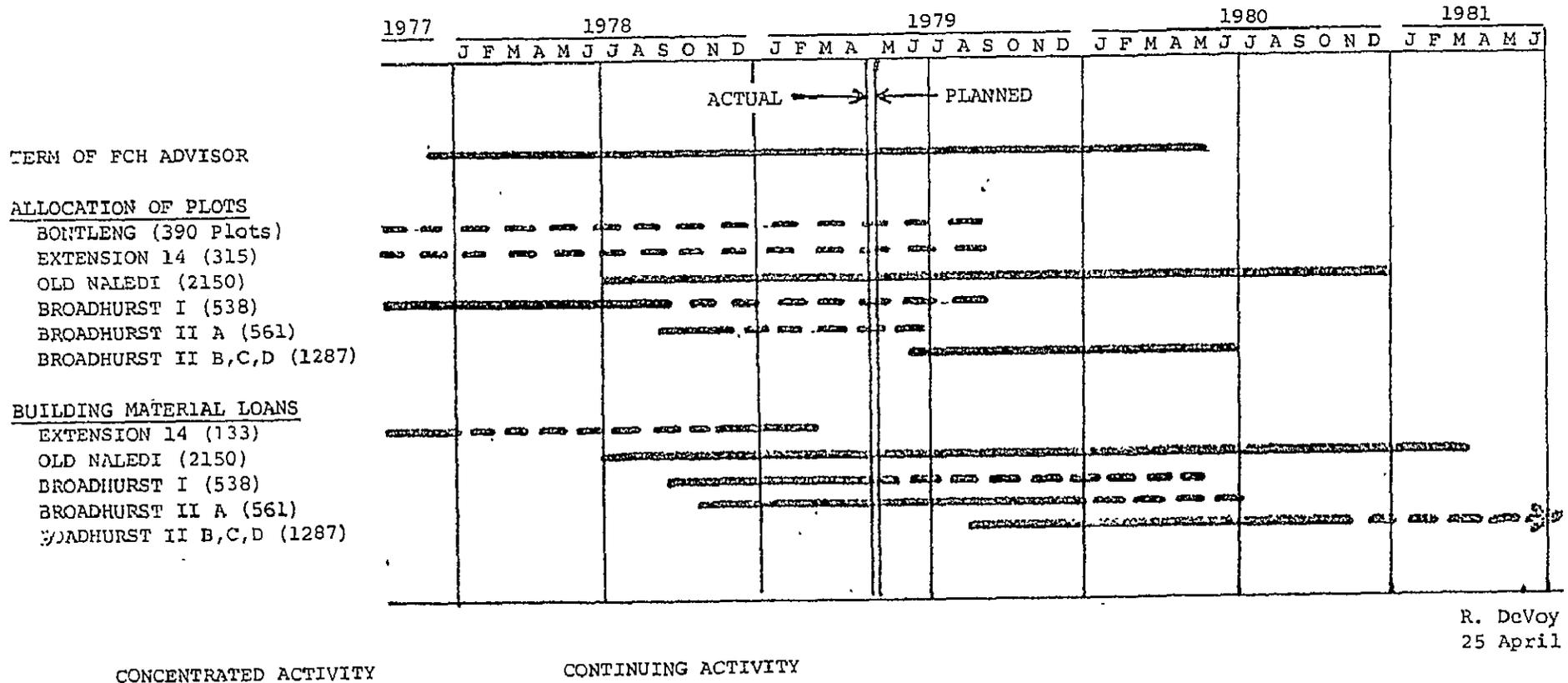
1. Improve construction training.
2. Organize transport section.
3. Study development of local building materials production.
4. Improve community development program.

1. Supervise classes in const. skills.
2. Supervise classes for truck and front end loader drivers.
3. Conduct feasibility study of local building material production.
4. Organize training classes for community development workers.

TIME PERIOD	GOALS	ACTIVITIES
First quarter of 1979	Improve debt management program.	<ol style="list-style-type: none"> 1. Develop system to inform management of default status. 2. Develop guidelines for collection follow-up. 3. Study reasons for defaults. 4. Encourage GTC to enforce TCP/CCR.
Second quarter of 1979	<ol style="list-style-type: none"> 1. Improve office management. 2. Train stores managers. 	<ol style="list-style-type: none"> 1. Organize filing system. 2. Teach basic office management. 3. Audit stores program. 4. Refine stores management.
Third quarter of 1979	Prepare senior SHHA management for independent leadership.	Set up classes to help management learn how to set objectives, forecast, analyse problems, and make decisions.
Fourth quarter of 1979	Study SHHA financial base.	Study income and expenses for SHHA site and service areas to determine if policy changes are needed.
First quarter of 1980	Set up planning unit within SHHA for Broadhurst III	Study decisions of Gaborone Growth Committee and begin planning for SHHA work in BR III.
Second quarter of 1980	write evaluation of SHHA as the major urban housing program.	Use SHHA records and evaluation reports to write report.

YEAR		1978												79												80													
Description		Resp.	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J
0.	BUILD ROADS & DRAINAGE	GTC	[Hatched]												[Hatched]												[Hatched]												
1.	INSTALL WATER SUPPLY	WUC	[Hatched]												Main Completed (June, 1978)												Secondary Standpipes												
2.	INSTALL STREETLIGHTING	BPC	[Hatched]												Completed (October, 1978)																								
3.	INSTALL TOILETS	GTC CONTRACT	[Hatched]												RS Area Completed (October, 1978)												settled Area												
4.	BUILD PRIMARY SCHOOLS	GTC CONTRACT	[Hatched]												South School Completed (May, 1978)												North School Completed (February, 1979)												
5.	BUILD COMMUNITY CENTRE	GTC CONTRACT	[Hatched]												[Hatched]																								
6.	BUILD HEALTH CLINIC	GTC CONTRACT	[Hatched]												Completed (November, 1978)																								
7.	ISSUE CERTIFICATES OF RIGHTS	SHHA	[Hatched]												Resettlement Area												[Hatched]												
8.	ISSUE BUILDING MATERIAL LOANS	SHHA	[Hatched]												Resettlement Area												[Hatched]												
9.	PURCHASE RUBBISH BINS	GTC	[Hatched]												[Hatched]												[Hatched]												
10.	BASELINE SURVEYS	GTC/GOB CIDA	[Hatched]												[Hatched]												[Hatched]												
11.	DEVELOP COMMERCIAL AREAS		[Hatched]												[Hatched]												[Hatched]												

GABORONE SHHA PLANNED PERFORMANCE TRACKING CHART



R. DeVoy
25 April 7

SUMMARY DESCRIPTION OF PLOT ALLOCATION
CRITERIA AND PROCEDURES

One of the more troublesome aspects of sites and services housing programs in developing countries is the allocation of plots to the lower income households on a fair, efficient basis. The Gaborone SHHA has instituted plot allocation criteria, procedures and education efforts which are worthy of replication elsewhere.

The following two-page illustration shows the Gaborone SHHA Plot Allocation System which was devised by the FCH Advisor, approved by the Town Council and has proven to be effective.

Applications are made at the SHHA central and ward offices. Assistance is provided in completing the simple application form. The staff processes the allocation in a matter of days (including household income check) and forwards it to the Town Council's allocation committee. The applicant must be a citizen of Botswana and resident of Gaborone for six months (new arrivals are discouraged because of policy favoring rural development rather than urbanization). Also, applicants must be at least 21 years of age (there are large numbers of younger household heads) and the applicant must not have a self-help plot or adequate housing.

Household income is limited to a maximum of P1,500 per year (\$1,800), except that 5% may have incomes up to P2,500 (\$3,000). The approximate median income in Gaborone is P1,500. Also, households with little or no incomes are excluded because qualified applicants must be able to afford the monthly service charge of P4.50 (\$5.40).

Priority is given to households living in Old Naledi, the largest squatter area, and other substandard housing areas. Within each of these classifications, households are ranked based on the point system shown on the illustration.

Eligible households are assigned plots as plots become available -- presently there is a substantial waiting list. Before 1978, plots were allocated without the households signing the Certificate of Rights. However, this proved unworkable because many refused to sign this agreement -- including the payment of monthly service charges and building a permanent house -- once they occupied the plot. Now they must sign the Certificate of Rights before they are authorized to occupy the plot. Not only does this document specify plotholder obligations, it is the leasehold title to the plot.

Before households sign the Certificate of Rights, the SHHA community development workers make sure that they understand the plotholder rights and responsibilities. Each applicant listens to a tape-recording (in Setswana) and is given a "comic book" entitled "Family Molefi's Housing Problems and How They Were Solved." Moreover, the community development workers provide individual counsel.

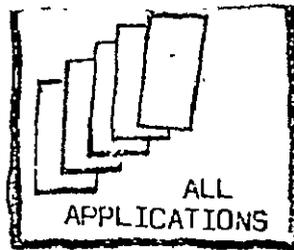
One of the more important areas of instruction is the responsibility of the plotholder to pay monthly service charges to finance secondary infrastructure development, low-cost sanitation, road and water supply maintenance and operation, trash collection, and SHHA operations. While the present charge of P4.50 (\$5.40) per month is readily affordable by most lower-income households, many do not pay because they feel they are not getting adequate services, they feel that they should not pay (i.e., Government should subsidize), or they think they can get away with not paying. A year ago, more than 50% of Gaborone plotholders were in arrears on their payments; now the rate is nearly 30%. The improvement largely is attributable to SHHA education efforts and improved collection procedures -- including systematic follow-up letters and actions for those who do not pay within 30 days. Also, the SHHA has greatly improved its record-keeping on plotowners by the use of programmable accounting machines with programs and procedures prepared by the FCH Advisor.

The Government of Botswana official policy is no subsidy of housing. However, the established charges do not meet present cost levels so both the GOB and the Town Council are providing subsidies. To eliminate these subsidies will require higher service charges and greatly improved collection rates -- both politically difficult, thus demanding effective education efforts by the SHHA and improved collection efforts by the SHHA and Town Treasurer's Department.

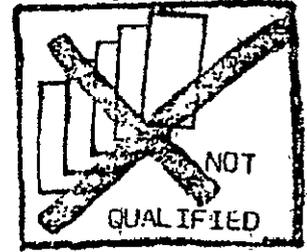
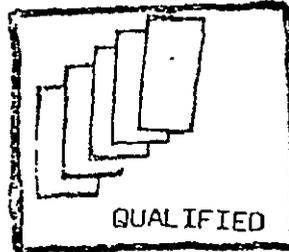
Another problem with the collection of service charges is that defaulting plotholders have not been forced to pay. The Certificate of Rights provided for the repossession of the plot, but this was considered too severe to be enforceable, thus no action was taken. The Certificate of Rights has just been changed to eliminate this repossession provision, thus allowing regular established debtor laws to apply. Since there is no experience with this change, its effects are unknown.

Botswana's ability to adequately house its rapidly growing urban poor largely depends upon self-help housing programs and affordable serviced plots. Central to these efforts are the effective allocation of plots and collection of service charges from plotholders. The Gaborone SHHA has made substantial progress on both counts, although more remains to be done to create adequate amounts of self-help housing on a non-subsidized basis.

Step 1 Take applications



Step 2 Reject those not qualified for reasons like under age or not citizen, etc.



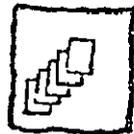
Step 3 Calculate how many points the applicant has....

POINT SYSTEM INFORMATION

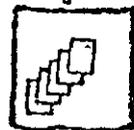
Spouse	20.
Children X	5.
Sharing accommodation with rent.....	40.
Sharing accommodation without rent...	20.
Existing house scrap tin/wood/poly	50.
Existing house mud bricks	20.
Years in Gaborone	X 5.
Live 200M to 500M from water	5.
Live 501M to 1000M from water	20.
No sanitation at current home	40.
Pit latrine or similar	10.
Blind, crippled or missing limb	50.
Age greater than 65 years	30.
Second application for plot	20.
No. of persons in family(A)	
No. of rooms in house	(B)
(A)..... + (B)	X 10.

POINTS ARE DETERMINED BY FACTORS TO THE LEFT AND INCOME

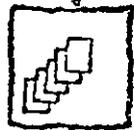
Step 4 Sort the applicants into 4 groups according to priorities



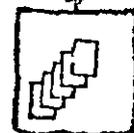
First priority is Old Naledi displacees



Second priority is displacees from thinning out process in Bontleng and White City.



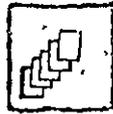
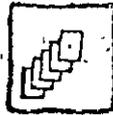
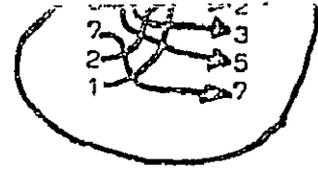
Third priority is squatters from anywhere in Gaborone



Last priority is any other person in Gaborone who qualifies.

Step 5

Working with the first priority, sort the applications according to the number of points.



Above is an example of how the numbers on the left might be put into order on the right according to their value

Step 6,7,8 Take each priority in turn, sort the applications according to the number of points.



Repeat step 5 for the other three priorities.

Step 9

Begin allocating plots starting with the highest number of points in the first priority and work toward the lowest number points in the last priority.



Starting with the highest points, allocate to first priority until plots are finished or...



If plots remain, starting with the highest points in priority 2, allocate until plots are finished or ...



If plots remain after above, starting with highest points in priority 3, allocate until plots are finished or



If plots remain after the above, starting with the highest points in priority 4, allocate balance.

SUMMARY DESCRIPTION OF BUILDING
MATERIAL INVENTORY AND LOAN PROCEDURES

The Certificate of Rights provides that the plotholder must have a permanent house plan approved by the SHHA and at least one complete room must be finished within 12 months of the plot allocation date. To facilitate house construction, the SHHA offers technical assistance and building material loans.

The SHHA uses "do-it-yourself" scale models of houses so that people can design the house they prefer. Charts are designed to quickly indicate what size house the household can afford. The quantities and costs of building materials are calculated by disc slide rule charts as well. SHHA staff assist households with these determinations. (Also, SHHA staff provides advice during the construction process.)

Once an acceptable, affordable house design has been selected, a Building Material Loan Agreement is arranged and signed. Like the Certificate of Rights, this is a standard form prepared by the Government of Botswana. The Agreement provides for repayment by equal monthly payments over 15 years at 9% interest.

In recent years, the maximum building material loan has been P600 (\$720). However, this amount no longer is adequate to finance materials for a basic house of 20 M² plus separate toilet building. An increase to P800 (\$960) is proposed by the SHHA.

Households can only borrow as much as they can afford to repay, i.e., no more than 25% of monthly income for the service charge and loan repayment. To date 60-65% of borrowers have been eligible for the maximum loan.

Loans are made in building materials, not money. The SHHA stockpiles building materials at its project ward office depots and delivers the purchased materials to the plot using its trucks and tractors-trailers. For large bulk deliveries, the trailers are left for the purchaser to unload in the evening or on the weekend.

With the potential for thousands of building material loans outstanding, it is essential that the SHHA have the capability to maintain large inventories, process material purchases, and collect loan payments efficiently and effectively. To this end, the FCH Advisor has devoted a large share of his time in the past year devising systems, writing procedure instructions and training staff. His efforts have been augmented by short-term technical assistance and the purchase of programmable accounting machines and transport vehicles.

The material inventory and loan record keeping, processing and analysis programs which he has devised and implemented enable an accurate day-to-day monitoring of building material stocks and transactions, thus facilitating inventory control. Further, complete accessible accounts are maintained

on each loan, thus insuring that both the SHHA and the plotholder are aware of what has been borrowed and what remains of the loan.

These machines are usable in keeping track of loan repayments as well. However, revenue collections are the responsibility of the Treasurer's Department, not the SHHA. Nevertheless, the SHHA and the Town Treasurer's Department work together on revenue collections because the SHHA is involved with the building material loans and works closely with the plot holders.

The success of the SHHA's housing assistance programs depends upon: (1) adequate funds for building material loans; (2) availability of building materials; (3) efficient procedures for processing loans and materials; (4) trained staff in the ward offices for processing loans, handling building materials, providing construction advice, collecting loan repayments and providing community development services.

Because loan demand is likely to increase more rapidly than loan repayments, additional GOB and donor funds will be required for building material loans. Eventually, it may be possible to establish a revolving fund program.

Building materials mostly come from South Africa. While the potential to produce local materials seems limited, more attention to this potential might reduce the costs and supply uncertainty inherent in relying so heavily on imports.

The SHHA appears to have adequate procedures for handling building materials and loans but there is the major need for continuing training of Botswana in all facets of this program. This will be especially necessary if the workload increases much above 1,000 self-help houses per year -- as it is planned to do with Broadhurst III and Gaborone West overlapping one another and following Broadhurst II.

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AIRGRAM

DEPARTMENT OF STATE
UNCLASSIFIED

CLASSIFICATION

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OFFICE OF INTERNATIONAL AFFAIRS

1979 AUG -8 P 2

DATE August 2, 1979

TO - AID/W

FROM GABOROME
E.O. 12065 N/A

SUBJECT - Project Evaluation Summary - Project 633-0092
Self-Help Housing Agency

REFERENCE -

We are enclosing a Project Evaluation Summary (PES) on the subject project.

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PAGE 1 OF 1 PAGES

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A. I. D. AND OTHER CLEARANCES

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CLASSIFICATION

CLASSIFICATION
PROJECT EVALUATION SUMMARY (PES) - PART I

Report Symbol U-447

1. PROJECT TITLE Self-Help Housing Agency (SHHA) OPG (Foundation for Cooperative Housing)			2. PROJECT NUMBER 633-0092	3. MISSION/AID/W OFFICE USAID/Botswana	
4. EVALUATION NUMBER (Enter the number maintained by the reporting unit e.g., Country or AID/W Administrative Code, Fiscal Year, Serial No. beginning with No. 1 each FY) No. 4 FY79					
<input checked="" type="checkbox"/> REGULAR EVALUATION <input type="checkbox"/> SPECIAL EVALUATION					
5. KEY PROJECT IMPLEMENTATION DATES		6. ESTIMATED PROJECT FUNDING		7. PERIOD COVERED BY EVALUATION	
A. First PRO-AG or Equivalent FY <u>78</u>	B. Final Obligation Expected FY <u>80</u>	C. Final Input Delivery FY <u>80</u>	A. Total \$ <u>266,000</u>	B. U.S. \$ <u>266,000</u>	From (month/yr.) <u>December, 1977</u> To (month/yr.) <u>April, 1979</u> Date of Evaluation Review <u>March-April, 1979</u>

B. ACTION DECISIONS APPROVED BY MISSION OR AID/W OFFICE DIRECTOR

A. List decisions and/or unresolved issues, cite those items needing further study. (NOTE: Mission decisions which anticipate AID/W or regional office action should specify type of document, e.g., airgram, SPAR, PIO, which will present detailed request.)	B. NAME OF OFFICER RESPONSIBLE FOR ACTION	C. DATE ACTION TO BE COMPLETED
8. ACTION DECISIONS		
1. Determine if Building Materials Loan Agreement form needs to be revised to conform to revised Certificate of Rights.	MLGL Under Secretary - Urban	5-79
2. Increase limit on building materials loan to P800 from P600 (to \$960 from \$720).	MIGL Under Secretary - Urban	7-79
3. Increase training of Botswana housing and urban development personnel (both pre-training and on-the-job training) and refrain from reassigning these individuals to other sectors.	ULGS	continuing
4. Provide short-term technical assistance to Gaborone Town Council re: management of Town engineering, training of ward office workers and revenue collectors, and updating of community development materials.	FCH	various, 1979
5. Consider extending services of FCH Advisor to Gaborone SHHA to at least two years from now to better train SHHA staff.	GOB, FCH	6-79

9. INVENTORY OF DOCUMENTS TO BE REVISED PER ABOVE DECISIONS	10. ALTERNATIVE DECISIONS ON FUTURE OF PROJECT												
<table style="width: 100%;"> <tr> <td><input type="checkbox"/> Project Paper</td> <td><input type="checkbox"/> Implementation Plan e.g., CPI Network</td> <td><input type="checkbox"/> Other (Specify) _____</td> </tr> <tr> <td><input type="checkbox"/> Financial Plan</td> <td><input type="checkbox"/> PIO/T</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> Logical Framework</td> <td><input type="checkbox"/> PIO/C</td> <td><input type="checkbox"/> Other (Specify) _____</td> </tr> <tr> <td><input type="checkbox"/> Project Agreement</td> <td><input type="checkbox"/> PIO/P</td> <td>_____</td> </tr> </table>	<input type="checkbox"/> Project Paper	<input type="checkbox"/> Implementation Plan e.g., CPI Network	<input type="checkbox"/> Other (Specify) _____	<input type="checkbox"/> Financial Plan	<input type="checkbox"/> PIO/T	_____	<input type="checkbox"/> Logical Framework	<input type="checkbox"/> PIO/C	<input type="checkbox"/> Other (Specify) _____	<input type="checkbox"/> Project Agreement	<input type="checkbox"/> PIO/P	_____	A. <input checked="" type="checkbox"/> Continue Project Without Change B. <input type="checkbox"/> Change Project Design and/or <input type="checkbox"/> Change Implementation Plan C. <input type="checkbox"/> Discontinue Project
<input type="checkbox"/> Project Paper	<input type="checkbox"/> Implementation Plan e.g., CPI Network	<input type="checkbox"/> Other (Specify) _____											
<input type="checkbox"/> Financial Plan	<input type="checkbox"/> PIO/T	_____											
<input type="checkbox"/> Logical Framework	<input type="checkbox"/> PIO/C	<input type="checkbox"/> Other (Specify) _____											
<input type="checkbox"/> Project Agreement	<input type="checkbox"/> PIO/P	_____											

11. PROJECT OFFICER AND HOST COUNTRY OR OTHER RANKING PARTICIPANTS AS APPROPRIATE (Names and Titles) Jim Stanford, USAID/Botswana Don Gardner, RHUDO/Nairobi Gordon Trigg, Min. of Local Government and Lands James Upchurch, Gaborone Town Council (SHHA)	12. Mission/AID/W Office Director Approval
	Signature  Typed Name Louis A. Cohen Date 31 July 1979

CLASSIFICATION
PROJECT EVALUATION SUMMARY (PES) - PART I

Report Symbol U-447

1. PROJECT TITLE			2. PROJECT NUMBER	3. MISSION/AID/W OFFICE
4. EVALUATION NUMBER (Enter the number maintained by the reporting unit e.g., Country or AID/W Administrative Code, Fiscal Year, Serial No. beginning with No. 1 each FY)				
<input type="checkbox"/> REGULAR EVALUATION <input type="checkbox"/> SPECIAL EVALUATION				
5. KEY PROJECT IMPLEMENTATION DATES			7. PERIOD COVERED BY EVALUATION	
A. First PRO-AG or Equivalent FY ____	B. Final Obligation Expected FY ____	C. First Input Delivery FY ____	From (month/yr.) _____	
			To (month/yr.) _____	
			Date of Evaluation Review _____	

B. ACTION DECISIONS APPROVED BY MISSION OR AID/W OFFICE DIRECTOR

A. List decisions and/or unresolved issues, cite those items needing further study. (NOTE: Mission decisions which anticipate AID/W or regional office action should specify type of document, e.g., program, SAR, PIO, which will present detailed request.)

B. NAME OF OFFICER RESPONSIBLE FOR ACTION

C. DATE ACTION TO BE COMPLETED

6. Have present FCH Advisor provide orientation, training and coordination for at least one-year to FCH technical advisors to Lobatse, Francistown and Selebi-Pikwe (if FCH proposal is implemented).

FCH

8-79

7. Amend HG Implementation Agreement, as necessary, to take account of changes in Certificate of Rights, Building Materials Loan Agreement and increase in maximum amount of individual building material loan.

RHUDO/Nairobi

8-79

8. Town Treasurer's Department and SHHA should continue to improve procedures and staff training in order to increase collection of monthly service charges and building material loan repayments.

Gaborone Town Council's Treasurer's Department and SHHA

continuing

9. Sites and services improvements and self-help houses should be designed and implemented at costs which are affordable to the majority of lower-income households without Government and Town Council subsidies (consistent with COB present policy).

COB

continuing

9. INVENTORY OF DOCUMENTS TO BE REVISED PER ABOVE DECISIONS

<input type="checkbox"/> Project Charter	<input type="checkbox"/> Implementation Plan (e.g. CPE Network)	<input type="checkbox"/> Other (Specify) _____
<input type="checkbox"/> Financial Plan	<input type="checkbox"/> _____	<input type="checkbox"/> Other (Specify) _____
<input type="checkbox"/> Logical Framework	<input type="checkbox"/> _____	<input type="checkbox"/> Other (Specify) _____
<input type="checkbox"/> Project Agreement	<input type="checkbox"/> _____	<input type="checkbox"/> Other (Specify) _____

10. ALTERNATIVE DECISIONS ON FUTURE OF PROJECT

A. Continue Project Without Change

B. Change Project Design and/or

Change Implementation Plan

C. Discontinue Project

11. PROJECT OFFICER AND OTHER PARTICIPANTS AS APPROPRIATE (Name and Title)

12. Mission/AID/W Office Director Approval

Signature _____

Typed Name _____

Date _____

13. SUMMARY

The OPG of \$266,000 is for technical assistance to Self Help Housing Agency of the Gaborone Town Council. The Foundation for Cooperative Housing (FCH) is providing a full-time advisor to the SHHA for 30 months plus other short-term technical assistance by FCH staff and consultants. This OPG complements the \$2.4 million Housing Guaranty loan to the GOB which includes \$200,000 for SHHA equipment as well as \$900,000 in building material loans and \$1,300,000 for infrastructure in the Gaborone Broadhurst II sites and services project.

The FCH Advisor started in December 1977, thus his consultancy is more than one-half complete. The GTC agreed to increase the SHHA staff to 60 from approximately 10 in 1977. This has been done, but slower than planned -- particularly with management-level staff in Botswana. Moreover, the staff is young, inexperienced and most had no previous training in housing. Therefore, the FCH Advisor has had to concentrate on training all the staff in all facets of SHHA activities.

Formal criteria and procedures were devised by the FCH Advisor for plot allocations which have expedited this process and ensured that lower-income households would have priority. Also, accounting systems have been designed and put into operation (including programmable accounting machines) which greatly facilitate SHHA plots allocations, building materials inventory, making material loans, and collecting payments.

Also, the SHHA has developed a transport policy and operation which the Town Clerk says is the best in the GTC (the trucks and tractors were purchased with the HG loan).

A total of 1,685 plots have been allocated (including Certificates of Rights) and 326 material loans have been made. With 1,500 more plots to allocate in Broadhurst II, this work is 50 percent complete (not counting future projects, of course). There are 1,750 more potential building material loans to be made in Broadhurst II, so this aspect of the SHHA's work is only 15 percent complete. Despite formidable start-up problems with staff, equipment, lack of office space, etc., the SHHA generally has been able to keep pace with household growth in Gaborone. The limiting factor now is the availability of serviced plots, which could become a serious constraint. Also, changes in the Certificate of Rights and possible changes in the Building Materials Loan Agreement could cause delays if these forms are not available soon.

Because concrete blocks and other concrete materials are available from the local Brigades, the SHHA has not needed to create a building materials capability.

Community development efforts have been modest but useful. In Old Naledi a "Village Development Committee" was created (and is active) with representatives from each of the nine "wards". A similar organization has just been started in Broadhurst.

One persistent problem facing the SHHA is the high rate of plotholder service charges in arrears. Although the default rate reached 50% in Gaborone last year, a concerted effort has brought it down to 30%. The SHHA is doing what it can to make plotholders understand their obligations, but the Treasurer's Department lacks the trained staff and procedures to collect the payments as efficiently and effectively as desirable. Also, the Town Engineer's Department has been ineffective in maintaining the roads, water standpipes, drainageways, and providing fire protection, etc., thus many plot holders are reluctant to pay for services they are not receiving satisfactorily.

The GOB determined a few years ago that the maximum building material loan would be P600 (\$720). At this time, that will not purchase all the materials for a 20-22 M² house with a detached toilet building. An increase to P800 (\$960) is proposed by the SHHA. The RG loan appears adequate to cover such an increase.

Without question the FCH Advisor is doing an outstanding job. However, the big question in the attainment of project purposes is the ability of the SHHA to function efficiently and effectively once the FCH Advisor's consultancy is complete. Because of frequent staffing turnover (including a vacancy of several months between Housing Officers (head of SHHA) until December 1978) the prospects are not promising. This issue warrants consideration given to extending the FCH Advisor's consultancy.

- iv. availability of shopping/market areas within project areas B, C, and D,
- v. role of the donors,
- vi. and other matters as identified by the RHUDO."

15. EXTERNAL FACTORS

One assumption stated in the OPG Logical Framework under Sector Goal was: "Continuing GOB commitment to provision of services to urban poor." GOB housing goals, policies and programs continue to focus on the urban poor. However, in the broader context of GOB priorities; rural development, employment creation programs and defense preparation far outweigh social programs and housing. Should budget cuts be necessary, housing and urban development expenditures probably would be substantially reduced -- according to a preliminary paper setting guidelines for the preparation of national development Plan V. However were the GOB and Town Councils to design and create housing affordable by all households, no subsidies would be required, thus major domestic expenditures for housing would be unnecessary. (No housing subsidy is present policy, but not present practice.)

A key assumption in GOB planning for the next five-year period is that town councils will bear more of the burden of providing housing, urban infrastructure and social services; however, it would seem that town councils are likely to continue to be inadequately managed, staffed and financed. Thus, it would seem that the GOB will need to continue to provide both technical assistance and funding to the town councils, or significant problems will arise in meeting urban growth requirements.

In providing urban services to the poor it is the policy of Government to have self-help plottolders pay monthly service charges to cover infrastructure debt service and recurring costs of road maintenance, water, refuse collection, and a portion of street lighting. Also, SHHA operating costs are partly financed by these service charges. For several reasons -- including party politics, lack of plotholder understanding, inadequate delivery of services, and inadequate collection procedures -- a large share (now 30 percent overall in Gaborone compared to 50% last year and 50% now in Francistown), of plotholders are in arrears in making these payments. Thus, this self-financing policy is undermined with the consequences that SHHA revenues are reduced and the capability of the GOB and Town Councils to provide housing for more poor is hindered. Since the monthly services charges are a maximum of P4.50 (\$5.40) per month (in Gaborone) while median household monthly income is P125 (\$150), ability to pay is not a major reason for this poor payment record. P6.60, or \$7.92, was the full cost of the facilities and services a year ago, thus the GOB and GTC are providing substantial subsidies. While increasing these charges is not politically attractive, increases are necessary if the GOB is to comply with its own policy of not subsidizing housing.

Another key assumption in the Logical Framework is: "Sites and services and squatter improvement projects in Gaborone implemented as planned." Project implementation has been faithful to the plans, except for the delays caused principally by:

(a) inadequate early staffing of the SHHA with Batswana; (b) the slow, cumbersome process of Government tendering; (c) shortage of surveyors in MLGL; (d) infeasibility of surveying plot lines on dense squatter area of Old Naledi; (e) slowness of EDF in approving South African tendering; (f) disruptions in contractor work schedules caused by their having too many jobs at once for their limited supervisory personnel.

The above external factors have not so much affected the goals and purposes of the OPG per se, as they have the potential to adversely affect the continuation and replication of these self-help housing programs.

16. INPUTS

An AID OPG in amount of \$266,000 was provided to fund FCH technical assistance to an expanded Self Help Housing Agency in the Gaborone Town Council. This monetary input is being used to finance thirty months of technical assistance by James Upchurch, FCH Advisor to the Gaborone SHHA, as well as FCH short-term technical assistance, consultants, and FCH Washington office staff support. Also included in the OPG is \$10,000 for community development seed capital. The GTC committed to increase the SHHA staff to 60 from only a few two years ago.

Other related inputs to Gaborone SHHA include \$200,000 from the HG loan to purchase four trucks, two tractors and five trailers as well as programmable calculators for the processing of plot allocations, building materials inventory and monthly payments of plot holder service charges and material loan repayments. These capital investments have enabled substantial expansion and improvement of the SHHA's transport and accounting activities.

Staff inputs have been mixed. FCH Advisor to the SHHA commenced his 30-months consultancy in December, 1977, which was just in time to organize SHHA systems and procedures for the SHHA's involvement in the Old Naledi squatter upgrading project and the Broadhurst sites and services projects. Moreover, Mr. Upchurch is well suited to his responsibilities, is strongly committed to the successful implementation of this project and low-cost housing in general, and he works well with the Urban Coordinator, CIDA Project Manager and Town Council. On the other hand, the GOB (through its Unified Local Government Services) has not been able to supply Botswana as needed, in the numbers needed with the appropriate skills. For example, as of June 30, 1978, the SHHA staff numbered 42, but three of four senior staff had not been appointed. As late as September 30, 1978, only nine of twenty assistant works foremen were hired. Only since December 1978, when the Housing Officer began work, has the SHHA staff been close to its full strength. Moreover, the Unified Local Government Services (ULGS) continues to frequently reassign personnel, thus disrupting and impairing SHHA training, management and technical assistance activities.

One of the principal functions of the FCH Advisor is to train local staff. Without suitable staff in place, this input cannot be provided satisfactorily. While the GOB staff shortages are understandable, more priority must be given to staffing the Town Council housing departments, or future self-help housing projects will suffer greatly.

The Town Treasurer's Department lacks the experienced staff to efficiently and effectively collect payments for monthly levies and repayment of building material loans. Therefore, the SHHA Advisor has helped by preparing record keeping programs and systematic procedures for the Treasurer's staff assigned to make these collections.

While there is still some procedural and coordination difficulties with the SHHA needing to rely on the Treasurer's staff, this input now is adequate. However, the Treasurer's Department continues to be slow and uneven in processing payments to contractors and reimbursements from the GOB, thus hindering the financial stability of the SHHA. Presently, the SHHA is assisting the Town Treasurer's Department with programs and systems intended to expedite SHHA and other housing accounts money flows. Although this task is outside the SHHA organizationally, it is crucial to the success of the SHHA.

The SHHA is dependent upon the Town Engineer's Department to provide services such as road maintenance, trash collection, fire protection, and maintenance of water standpipes. Unfortunately, the Engineer's Department is inadequately staffed and under-equipped to provide these services satisfactorily. In fact, dissatisfaction with these services is a major reason for plottolders not paying the monthly service charges. The GTC just decided to purchase needed equipment, but a reorganization of the Engineer's Department and institution of improved procedures is necessary also.

It would be desirable to provide short-term technical assistance to the GTC under this OPG to: (1) further assist the Treasurer with revenue collection and expenditure disbursement procedures related to SHHA operations; (2) help reorganize the Engineer's Department and devise more efficient and effective management procedures; (3) train SHHA office staff (many are new since Ruth Senior was here in November-December 1978); and (4) prepare new communication materials (existing ones have been effective, but they are out of date because of various changes, e.g., Certificate of Rights).

While building materials are funded by the HG loan and not this OPG, it is important to note that the GOD limit of P600 (\$720) per plotholder is no longer adequate to purchase all the materials for a basic two-room house (20-22 M²) and toilet building. Accordingly, it is proposed that this maximum be increased to P800 (\$960).

17. OUTPUTS

The Logical Framework for the OPG states three principal outputs:

- "1. All serviced lots in initial projects are allocated and 75 percent of building material loans made.
2. Self-help construction organized and underway on most lots.
3. Community associations organized and functioning."

Regarding these planned outputs, the following have been achieved to date:

- "1. All serviced lots in initial projects are allocated and 75 percent of building material loans made."

Refer to following table for quantitative summary of progress on SHHA projects.

The Project Schedule (revised March 30, 1979) for Naledi upgrading is included in the Annex. The arrowheads indicate actual past and projected future completion dates. Note that in the Resettlement Area, where infrastructure is nearly complete, the SHHA is expected to complete the issuing of Certificates of Rights and Building Material Loans by June, 1979. Roads, drainage and toilets are now expected to be completed in Old Naledi by April 1980, while the water supply is projected for October 1979 completion. Basic roads have been created in Old Naledi, entailing the relocation of some households. Plot areas are being rationalized by the use of aerial photos since Survey and Lands is unable to survey the area. Plot boundary maps are just being completed so it has just become possible for the SHHA to begin to negotiate plot disputes and issue Certificates of Rights to plottolders. The SHHA projects that this will be completed December 1980, with Building Material Loans all issued by April 1981.

All the Broadhurst I plots were allocated by mid-1978, however Certificates of Rights were not processed along with allocations for a large share of these plots. Therefore, the SHHA has endeavored to correct this past mistake -- with considerable difficulty, since plottolders are reluctant to agree to pay monthly levies for services after they already occupy the plots. As of March 31, 1979, 85 percent of all plottolders had signed and accepted the Certificate of Rights. The new procedure of the SHHA requires that the Certificate of Rights be signed as a condition of the plot allocation.

TABLE I
PROGRESS IN ALLOCATION OF SELF-HELP PLOTS
AND BUILDING MATERIAL LOANS, MARCH 31, 1979

Project Area	Total Plots	Plots Serviced		Plots Allocated			Material Loans Made		
		No.	% of Total	No.	% of Total	% of Serviced Plots	No.	% of Total	% of Plots Allocated
Bontleng	390	390	100%	390	100%	100%	None Available		
White City	223	223	100	197	88	88			
Extension 14	315	315	100	315	100	100	70	22	22
<u>Old Naledi</u>									
Squatter	2000	<u>1/</u>		0	0		0		
Resettlement	150	150	100	105	70	70	57	38	54
Total				105			57		54
<u>Broadhurst I</u>	538	538	100	538	100	100	99	18	18
<u>Broadhurst II</u>									
Area A	561	561	100	337	60	60	100	18	30
Areas B,C,D	1287	579 ^{2/}	45	0			0		
Total	1848	1130	61	337	18	30	100	5	30
TOTAL	5464	2746	50%	1685	31%	61%	326	6%	19%

^{1/} loads and drainage nearly complete; water standpipes about 50% complete; work on toilets just starting.

^{2/} Assumes Area B infrastructure is complete; in fact, it nearly is and areas C and D are partially serviced.

As can be seen by the table, relatively few building material loans have been made (18%) since finished plots are not available.

Broadhurst II Area A roads and drainage are being completed now (April 1979), while the permanent water reticulation system should be completed in May 1979. A temporary water system was installed so that plot allocations and housing construction could begin sooner. The SHHA started allocating plots and issuing Certificates of Rights in September 1978 and Building Material Loans in November 1978.

As shown on the revised (April 1979) Planned Performance Tracking Chart (Annex), plot allocations for Areas B, C and D are held up until roads and water reticulation systems are nearly complete in each area. Thus, plot allocations should begin by June 1979 and be completed by July 1980, with building material loans following -- these dates assume completion of infrastructure as shown on the Chart. Should water pressure not be adequate, it may become necessary to delay plot allocations until the pumping plant is complete, December 1979 -- thus resulting in a total delay in completion of this project of at least ten months.

"2. Self-help construction organized and underway on most lots."

While there has been relatively little progress in the construction of self-help houses since allocations of plots only recently began, the SHHA has devised systems, procedures and techniques for making building material loans and providing construction assistance which appear exceptionally well suited for this type of project.* Also, the SHHA staff is nearly at full complement and internal training activities are substantially improving staff capabilities. While there have been delays in providing staff and staff turnovers are a serious problem, but the delays now are caused by the lack of serviced plots. With the current long waiting list of applicants and systems operating smoothly, the SHHA is capable of allocating plots almost immediately, issuing Certificates of Rights within a few weeks and promptly thereafter working with each household on house design, materials required and arranging the materials loan.

"3. Community associations organized and operating."

The community development section of the SHHA staff is young and inexperienced, thus the FCH Advisor has had to devote

* Experiences in Old Naledi and Broadhurst have demonstrated that the SHHA is capable in this regard; with more experience, this capability should increase.

considerable time in training them on all aspects of their work. Most of their time thus far has been spent on plot allocations, including the issuing of Certificates of Rights. They are now proficient in this task.

The SHHA helped create a "Village Development Committee" in Old Naledi which is comprised of representatives from each of nine "wards". It meets monthly to work out solutions to local problems and seek unified assistance from the GTC through the resident Town Councillor and the SHHA.

In Broadhurst, two existing organizations were recently combined into one Development Committee similar to that in Old Naledi. Such organizations are common in the rural villages of Botswana.

The ICH Advisor says that the SHHA has not contributed as much toward community development as it would like and more emphasis will be on this area in the future.

18. PURPOSE

As expressed in the Logical Framework, the project purpose is:

"To create a permanent, self-sustaining shelter development, production and management organization and to expand its capacity to meet the continuing shelter requirements of Gaborone's poorest majority using local resources."

In order to assess the nature and extent to which this purpose has been achieved to date, it is useful to divide the statement into its substantive parts and address each part separately.

"To create a permanent, self-sustaining shelter ... organization"

The Gaborone SHHA was small, inexperienced, poorly funded, and ineffective before this OPG funded technical assistance. Concomitant with the OPG, both the GOB and GTC agreed to greatly increase recurring funding of the SHHA and to increase its staff to 60 from approximately 13. Also, the SHHA recurring revenues were to be derived from the monthly levies paid by ploholders in projects assisted by the SHHA. At times the funding source has been shaky and the staff commitment less than agreed, but in general this part of the purpose has been realized and should continue to be as the SHHA staff grows and gains experience. Nevertheless, the SHHA undoubtedly will need to continually fight for adequate financing and staff as other priorities of the GOB and GTC continue to seek the limited available resources.

"To create a ... shelter development, production and management organization"

It would be excessive to claim that the SHHA develops and produces shelter at this time. In fact, at issue is whether these should be among its principal purposes. Infrastructure primarily is a function of MLGL's various departments, including Town and Regional Planning (general design), Surveys and Lands (physical survey), and the Urban Coordinator (implementation). Thus far, building materials are purchased by the SHHA, not produced by it. However, the SHHA does provide technical assistance to ploholders in house design, selection of materials, and self-help construction. But the primary function of the SHHA is management of plot allocations and building material loans and -- in cooperation with the Town Treasurer -- collection of monthly service fees and loan repayments. It is this management function which the SHHA has focused on and which it now performs efficiently and effectively. Another facet of shelter management, fostering community development organizations, includes establishing the active Naledi Development Committee and creating a similar new organization in Broadhurst.

The management emphasis of the SHHA to date appears well considered since other agencies can better take the lead (with SHHA involvement) in housing development and production, while the SHHA clearly is best suited to manage self-help housing projects.

"To ... expand its capacity to meet the continuing shelter requirements of Gaborone's poorest majority."

The SHHA's capacity has been expanded substantially in terms of number of staff, staff housing capabilities, plot allocation and Certificate of Rights procedures, financial accounting, and processing of building materials. Moreover, this expanded capacity has been fully directed to the housing needs of lower income households. The SHHA has been diligent in ensuring that plot allocation priority goes to the poorest households able to afford to build a self-help house and pay the monthly levies and loan payments. Moreover, the SHHA is working with other agencies in planning future projects and the SHHA itself is planning to meet its future obligations. Since the GOB is planning an accelerated pace of self-help housing projects in Gaborone, the SHHA probably will need additional staff and financing. This growth will not be easy to achieve, thus the SHHA must prepare for it now. Continuing long-term and short-term consultants will be needed, as proposed under part 8, Decision Actions. Of course, this accelerated pace is dependent upon future financing of self-help housing projects; while the monies are committed through Broadhurst III, the project funding beyond that is unknown at this time.

"To ... meet the continuing shelter requirements ... using local resources."

The expansion of the SHHA has been financed by the GTC and the GOB using domestic funds; including GOB grants to the GTC of P90 (\$108) for each plot allocated. Since costs of infrastructure improvements, Town Council services and the SHHA's operations are intended to be recaptured by monthly levies paid by plotheholders, it would seem that the GOB could continue to advance the needed capital in the future without subsidy -- as long as the levy collections are adequate to recapture the capital cost plus a reasonable interest charge. The same reasoning applies to building construction loans. However, the SHHA is not yet able to function adequately without an expatriate advisor and it may not be even a year from now. Also, Botswana produces little in the way of modern building materials so continuing reliance on South Africa seems inevitable for many years. Traditional materials (mud, poles and thatch) are declining in both acceptance and supply (especially thatch) in urban areas, so their prospects are limited. Nevertheless, the

SHHA as well as other Botswana agencies need to continue to search for and foster the use of local materials, techniques and construction firms in order to strengthen Botswana's housing capabilities and guard against future increases in material costs and potential supply shortages.

In summary, the SHHA is achieving the purpose of the OPG in creating "a permanent, self-sustaining shelter ... management organization and ..." is expanding "... its capacity to meet the continuing shelter requirements of Gaborone's poorest majority using local revenues." Nevertheless, the SHHA probably will have difficulty maintaining adequate funding and staffing; and the GOB is not doing enough to produce local building materials, techniques and contractors. Most importantly, the OPG statement of purpose assigns shelter development and production functions to the SHHA -- thus functions have not been the primary functions of the SHHA, nor should they be.

19. GOAL/SUBGOAL.

The sector goal for this OPG project is:

"To raise living standards of the urban poor through improved housing and community facilities."

This goal is verifiable by the following indicators as expressed in the Logical Framework:

"Increase in the number and percentage of low income households living in permanent housing and/or areas with access to community facilities and basic services."

In the past 16-17 months, the SHHA has allocated 1,685 plots and made 326 building material loans. Since Gaborone is growing by nearly 1,000 households per year (mostly lower income) the share of households with registered plots is higher, but a larger share of the total lower-income households are living in temporary houses now than when the OPG became effective.

According to a March 1979 study by the Department of Town and Regional Planning, Gaborone population increased from 17,700 in 1971 to 44,500 in 1978, or 26,800 people -- at four persons per household, 6,700 households; at 5 persons per household, 5,400 households; thus, 800 - 1,000 households per year. Between 1978 and 1982 growth of at least 1,000 households per year is projected. Over the next 12 months approximately 1,000 households should be allocated plots and material loans in Naledi and Broadhurst -- somewhat more than the projected growth of lower-income households. Also, most of the 2,000 households in the settled Old Naledi will benefit by upgraded public facilities and services and at least one-half should have building material loans (financed by Canada). Thus, over its 30-month term, OPG funds for SHHA technical assistance will have made a significant contribution to the sector housing goal. In fact, keeping abreast of housing needs in a town with such a high growth rate (about 10 percent now) is no mean achievement -- especially considering the limited SHHA capacity only one year ago.

20. BENEFICIARIES

More than 5,000 lower-income households in Gaborone are intended to benefit directly by the provision of self-help housing assistance by the SHHA -- one-half in upgrading projects (i.e., Bontleng, White City, Extension 14, and Old Naledi) and one-half in new developments (i.e., Naledi resettlement, Broadhurst I and II). As Table 1 (above) indicates, to date 1,685 households have been allocated plots and 326 have received building material loans. Also, the SHHA is serving as an effective agent for all its constituency in seeking improved services (road maintenance, trash collection, maintenance of water standpipes, acceptable and affordable low-cost sanitation) from the Town Council and Botswana Government.

The SHHA's progress in serving its large constituency (nearly 50 percent of the present population of Gaborone) has been delayed by shortages of trained staff, the need to devise various systems and procedures and the shortfalls in the completion of serviced plots. However, these delays measure only a few months and should be largely made up in 1979.

It seems possible that the beneficiaries will at least equal the numbers estimated in the OPG Logical Framework by the completion of the OPG period (May 1980): "1. 3,700 serviced lots. 2. 1,400 building material loans made. 3. 50 percent of all self-help construction underway. 4. Two community associations organized." However, the SHHA itself is not providing services to the plots. Also, there may be some slippage in the number of material loans and houses under construction unless infrastructure provision strictly meets the present schedules (i.e., Naledi and Broadhurst II, see Annex). In any event, any slippage is unlikely to be caused by the SHHA itself as long as it is adequately staffed and financed.

To the extent that the OPG monies are effective in increasing the overall capabilities of the GTC SHHA to deliver housing and housing services, the indirect beneficiaries will be manifold the direct beneficiaries. The population of Gaborone is projected to grow by 38,000 to 59,000 persons (i.e., perhaps 8,000 to 12,000 households) between 1978 and 1986 (population was 44,500 in 1978). Most of these households will be migrating from rural areas in search of education and employment, thus most will be lower-income -- at least until they are trained and find suitable employment. These in-migrants tend to be young, they usually come alone, their families remain in the rural villages (temporarily, anyway). Relatives tend to live together in an "extended family" manner. It is not uncommon for them to have a house in town, in their village and at their cattle post.

It is likely that a large share of future urban residents will need assistance of the SHHA in Gaborone in order to have even the most basic type of housing. The implications for expanding GTC

SHHA capabilities are apparent, but the prospects for meeting these needs are uncertain given the limits of GOB finances, Town Council finances and, most importantly, trained Batswana.

The expanded Gaborone SHHA is highly regarded in Botswana and is considered a model for future housing efforts in Gaborone, the three other towns and some of the larger villages. Since the urban population of Botswana is projected to increase by at least 100,000 persons by 1986, i.e., 20,000 plus households, the spread effect of the OPG investment could be of considerable magnitude. Again, this potential is dependent on the GOB providing an adequate number of reasonably trained and trainable people to gain experience and training from the expatriates now managing Botswana housing programs. Without this crucial immediate investment of personnel by the GOB, new urban migrants may find that squatter housing is all that is available to them.

21. UNPLANNED EFFECTS

One effect which was planned but nevertheless has been greater than expected is the overall improvement of the Gaborone SHHA, largely attributable to the efforts of the SHHA Advisor. The GOB now considers such SHHA improvements to be indispensable in the implementation of lower-income housing programs. This positive effect may have a negative side as well: some officials in the GOB seem to feel that advisors can replicate such attainments, so they need not commit scarce educated Batswana to housing and urban development.

The SHHA in Gaborone has been demonstrating that by educating households as to their rights and responsibilities as well as by instituting good management practices it is possible to collect monthly payments for services from the households much more effectively than had been the case in Gaborone and continues to be the case in other towns. Also, the SHHA has created and instituted financial accounting systems and transport systems which are superior to those in all other departments of the GTC. As a result, the Town Council would like the FCH Advisor to help upgrade management systems in the other departments. To some extent, Mr. Upchurch has provided such assistance (i.e., contractor invoice processing by Town Treasurer), however he recognizes that the SHHA cannot afford to have his efforts diverted at this time.

The three other town councils are well aware of the Gaborone SHHA's performance and each would like somewhat similar technical assistance -- essentially as proposed by FCH.

22. LESSONS LEARNED

1. Require commitment of local personnel on timely basis, reasonably trained and trainable as a condition of assistance -- cannot achieve purpose of improving local capability without local staff.

2. Plan on substantial initial training of local staff as well as continuing on-the-job training and training of new personnel (as inevitable turnovers occur).

3. Write specific terms of references as best perceived at onset, but also allow for flexibility in the terms so that the technical assistance can address other crucial issues which materialize.

4. Provide for substantial amount of short-term technical assistance to be used at the discretion of full-time consultant, within established guidelines.

5. Make sure that supporting facilities and services (e.g., office space, furniture, telephones, transport, housing, clerical staff) will be available as needed (or the project will suffer substantial delays and distractions).

6. Even if English is the official language of the host country, the majority of the poor speak only their native language; therefore, provide for basic conversational language training at the outset for the full-time consultant and continuing language training for the consultant and family. The Peace Corp language and cultural training programs would be of considerable benefit.

7. It matters greatly which agency the consultant is attached to and the officials to whom the consultant reports. The FCH Advisor found that the SHHA was under the Town Engineer, in order to make the SHHA more effective, it was necessary to reorganize the GTC to have the SHHA assume departmental status. In considering future similar technical assistance it is crucial that advisors be placed where they can be most effective and that their terms of reference be flexible enough to enable them to focus on priority needs as circumstances change.

8. The value of technical assistance is determined mostly by the talents, commitment and personality of the individual consultant(s). This OPG enjoys the benefits of an excellent FCH consultant. Such persons are scarce, so adequate time and considerable care is needed to find comparably qualified people.

9. The FCH consultant's talents and experiences ought to be leveraged by enabling him to (1) expand his training of Batswana and (2) provide initial orientation and continuing supervision of the other potential housing consultants to the other towns.

10. All parties to this OPG and similar projects should fully understand and agree to their monitoring and evaluation responsibilities from the outset to minimize the uncertainty and confusion which has attended this OPG and the related HG.

23. SPECIAL COMMENTS OR REMARKS

The following documents are attached as an Annex to this Project Evaluation Summary regarding the OPG funding of the FCH technical assistance to the SHHA:

1. Logical Framework (from 1977 FCH Proposal).
2. Draft Work Plan, Botswana OPG (by FCH Consultant, 1977).
3. Naledi Upgrading, Project Schedule (from CIDA Project Manager, March 1979).
4. Gaborone SHHA Planned Performance Tracking Chart
5. Summary Description of Plot Allocation Criteria and Procedures
6. Summary Descriptions of Building Material Inventory and Loan Procedures

PROJECT DESIGN SHEET
LOGICAL FRAMEWORK

Title of Funding _____
Date Prepared: _____

Project Title & Number: _____

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
<p>Program or Sector Goal: The broader objective to which this project contributes: (1-1) To raise living standards of the urban poor through improved housing and community facilities</p>	<p>Measures of Goal Achievement: (A-2) Increase in the number and percentage of low income households living in permanent housing and/or areas with access to community facilities and basic services.</p>	<p>(A-3) 1. Household sample surveys 2. Census data 3. Reports of public works and social service agencies</p>	<p>Assumptions for achieving goal targets: (A-4) 1. Sites and services and so improvement projects in C implemented as planned. 2. Continuing GOB commitment provision of services to poor.</p>
<p>Project Purpose: (3-1) To create a permanent, self-sustaining shelter development production and management organization and to expand its capacity to meet the continuing shelter requirements of Gaborone's poorest majority using local resources.</p>	<p>Conditions that will indicate purpose has been achieved: End-of-Project status: (5-2) 1. Self Help Housing Agency fully staffed and functioning 2. Two shelter projects underway and further projects planned.</p>	<p>(B-3) 1. Reports of SHHA 2. FCH DPG evaluations 3. Project Progress Reports</p>	<p>Assumptions for achieving purpose: (5-4) 1. SHHA staff with appropriate skills can be recruited trained. 2. Town Council revenues are sufficient to support SHHA 3. Foreign finances for self housing projects will be coming.</p>
<p>Project Outputs: (C-1) All serviced lots in initial projects are allocated and 75% of building materials loans made. Self-help construction organized and underway on most lots Community associations organized and functioning.</p>	<p>Magnitude of Outputs: (C-2) 1. 3,700 serviced lots 2. 1,400 building materials loans made 3. 50% of all self-help construction underway. 4. 2 community associations organized.</p>	<p>(C-3) 1. FCH Progress Reports 2. Field Surveys 3. SHHA Reports</p>	<p>Assumptions for achieving outputs: (C-4) 1. Infrastructure completed serviced lots handed over to as planned. 2. Demand for serviced lots building materials loans as projected. 3. Lot recipients will participate SHHA community development help construction effort.</p>
<p>Project Inputs: (D-1) HG allocation for SHHA support HG building materials loan funding GTC SHHA funds and staff SIDA volunteer FCH technical assistance Community development seed capital (AID grant)</p>	<p>Implementation Target (Type and Quantity) (D-2) 1. \$150,000 2. \$900,000 3. 60 staff, \$201,000 4. 1 volunteer for 1 year (\$10,200) 5. 1 full-time technician for 2 1/2 years and 3 m/m consultants (\$191,000) 6. \$10,000 seed capital grant</p>	<p>(D-3) 1. Lender and borrower reports 2. Lender and borrower reports 3. Reports of SHHA 4. Reports of SIDA 5. Reports of FCH</p>	<p>Assumptions for providing inputs: (D-4) 1. HG Loan Approved and drawn on schedule 2. " " " " " " 3. Town Council funds are drawn on schedule and staff is on schedule 4. SIDA volunteer completes service. 5. FCH provides technical assistance as planned. 6. Community development success made as proposed.</p>

First quarter of 1978

1. Design new organization and gain GTC approval.
2. Plan new SHHA financial base and gain GTC approval.

1. Study projects assigned to SHHA.
2. Determine type of organization needed.
3. Determine staff required.
4. Write job descriptions.
5. Attend Council meetings.
6. Study costs of SHHA and services to SHHA areas.
7. Suggest new levy rates.

Second quarter of 1978

1. Improve SHHA management.
2. Train new staff.
3. Help organize offices and equipment for staff.
4. Improve accounting system.
5. Help set up evaluation.

1. Develop new management systems.
2. Set up a communications system.
3. Help management list goals.
4. Begin staff meetings for junior staff.
5. Design new accounting system.
6. Train new accounting staff.
7. Design new stores system.
8. Train new community development staff.
9. Help organize building new ward offices and SHHA headquarters.
10. Plan evaluation.

Third quarter of 1978

1. Assist staff to organize construction program.
2. Find a means of reducing construction costs.
3. Improve community development section.

1. Development of construction scheduling systems.
2. Assist management to set construction goals.
3. Organize production of new designs and cost studies.
4. Train community development workers.

Fourth quarter of 1978

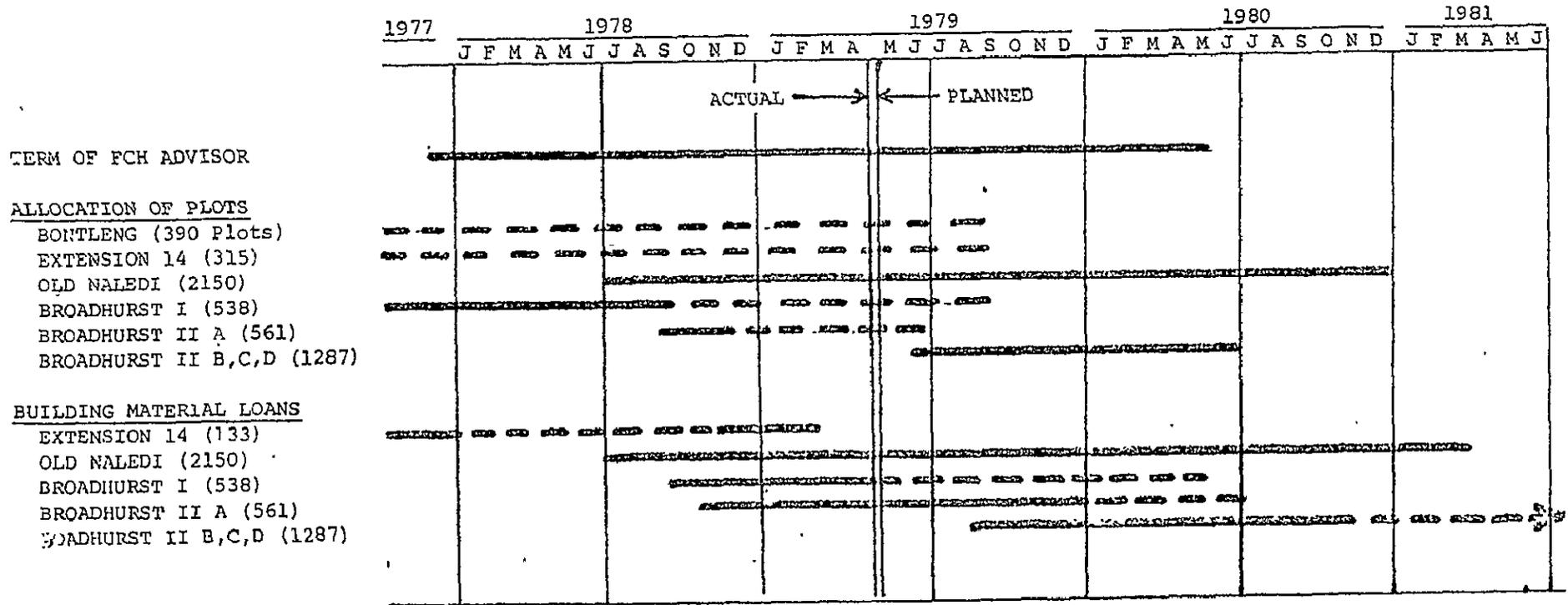
1. Improve construction training.
2. Organize transport section.
3. Study development of local building materials production.
4. Improve community development program.

1. Supervise classes in const. skills.
2. Supervise classes for truck and front end loader drivers.
3. Conduct feasibility study of local building material production.
4. Organize training classes for community development workers.

TIME PERIOD	GOALS	ACTIVITIES
First quarter of 1979	Improve debt management program.	<ol style="list-style-type: none"> 1. Develop system to inform management of default status. 2. Develop guidelines for collection follow-up. 3. Study reasons for defaults. 4. Encourage GTC to enforce TCP/CCR.
Second quarter of 1979	<ol style="list-style-type: none"> 1. Improve office management. 2. Train stores managers. 	<ol style="list-style-type: none"> 1. Organize filing system. 2. Teach basic office management. 3. Audit stores program. 4. Refine stores management.
Third quarter of 1979	Prepare senior SHHA management for independent leadership.	Set up classes to help management learn how to set objectives, forecast, analyse problems, and make decisions.
Fourth quarter of 1979	Study SHHA financial base.	Study income and expenses for SHHA site and service areas to determine if policy changes are needed.
First quarter of 1980	Set up planning unit within SHHA for Broadhurst III	Study decisions of Gaborone Growth Committee and begin planning for SHHA work in BR III.
Second quarter of 1980	Write evaluation of SHHA as the major urban housing program.	Use SHHA records and evaluation reports to write report.

YEAR		1978					78					79					80																						
Description		Resp.	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J
0.	BUILD ROADS & DRAINAGE	GTC	[Hatched]												[Hatched]												[Hatched]												
			[Hatched]												[Hatched]												[Hatched]												
0.	INSTALL WATER SUPPLY	WUC	[Hatched]												Main Completed (June, 1978)												Secondary Standpipes												
0.	INSTALL STREETLIGHTING	BPC	[Hatched]												Completed (October, 1978)												[Hatched]												
0.	INSTALL TOILETS	GTC CONTRACT	[Hatched]												RS Area Completed (October, 1978)												settled Area												
0.	BUILD PRIMARY SCHOOLS	GTC CONTRACT	[Hatched]												South School Completed (May, 1978)												North School Completed (February, 1979)												
0.	BUILD COMMUNITY CENTRE	GTC CONTRACT	[Hatched]												[Hatched]												[Hatched]												
0.	BUILD HEALTH CLINIC	GTC CONTRACT	[Hatched]												Completed (November, 1978)												[Hatched]												
0.	ISSUE CERTIFICATES OF RIGHTS	SHHA	[Hatched]												[Hatched]												Resettlement Area												
0.	ISSUE BUILDING MATERIAL LOANS	SHHA	[Hatched]												[Hatched]												Resettlement Area												
0.	PURCHASE RUBBISH BINS	GTC	[Hatched]												[Hatched]												[Hatched]												
1.	BASELINE SURVEYS	GTC/GOB CIDA	[Hatched]												[Hatched]												[Hatched]												
2.	DEVELOP COMMERCIAL AREAS		[Hatched]												[Hatched]												[Hatched]												

GABORONE SHHA PLANNED PERFORMANCE TRACKING CHART



ACTUAL → ← PLANNED

CONCENTRATED ACTIVITY

CONTINUING ACTIVITY

R. DeVoy
25 April 7

SUMMARY DESCRIPTION OF PLOT ALLOCATION
CRITERIA AND PROCEDURES

One of the more troublesome aspects of sites and services housing programs in developing countries is the allocation of plots to the lower income households on a fair, efficient basis. The Gaborone SHHA has instituted plot allocation criteria, procedures and education efforts which are worthy of replication elsewhere.

The following two-page illustration shows the Gaborone SHHA Plot Allocation System which was devised by the FCH Advisor, approved by the Town Council and has proven to be effective.

Applications are made at the SHHA central and ward offices. Assistance is provided in completing the simple application form. The staff processes the allocation in a matter of days (including household income check) and forwards it to the Town Council's allocation committee. The applicant must be a citizen of Botswana and resident of Gaborone for six months (new arrivals are discouraged because of policy favoring rural development rather than urbanization). Also, applicants must be at least 21 years of age (there are large numbers of younger household heads) and the applicant must not have a self-help plot or adequate housing.

Household income is limited to a maximum of P1,500 per year (\$1,800), except that 5% may have incomes up to P2,500 (\$3,000). The approximate median income in Gaborone is P1,500. Also, households with little or no incomes are excluded because qualified applicants must be able to afford the monthly service charge of P4.50 (\$5.40).

Priority is given to households living in Old Naledi, the largest squatter area, and other substandard housing areas. Within each of these classifications, households are ranked based on the point system shown on the illustration.

Eligible households are assigned plots as plots become available -- presently there is a substantial waiting list. Before 1978, plots were allocated without the households signing the Certificate of Rights. However, this proved unworkable because many refused to sign this agreement -- including the payment of monthly service charges and building a permanent house -- once they occupied the plot. Now they must sign the Certificate of Rights before they are authorized to occupy the plot. Not only does this document specify plotholder obligations, it is the leasehold title to the plot.

Before households sign the Certificate of Rights, the SHHA community development workers make sure that they understand the plotholder rights and responsibilities. Each applicant listens to a tape-recording (in Setswana) and is given a "comic book" entitled "Family Molefi's Housing Problems and How They Were Solved." Moreover, the community development workers provide individual counsel.

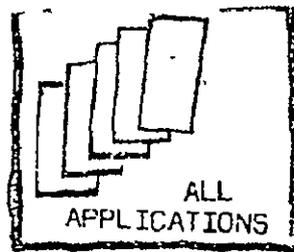
One of the more important areas of instruction is the responsibility of the plotholder to pay monthly service charges to finance secondary infrastructure development, low-cost sanitation, road and water supply maintenance and operation, trash collection, and SHHA operations. While the present charge of P4.50 (\$5.40) per month is readily affordable by most lower-income households, many do not pay because they feel they are not getting adequate services, they feel that they should not pay (i.e., Government should subsidize), or they think they can get away with not paying. A year ago, more than 50% of Gaborone plotholders were in arrears on their payments; now the rate is nearly 30%. The improvement largely is attributable to SHHA education efforts and improved collection procedures -- including systematic follow-up letters and actions for those who do not pay within 30 days. Also, the SHHA has greatly improved its record-keeping on plotowners by the use of programmable accounting machines with programs and procedures prepared by the FCH Advisor.

The Government of Botswana official policy is no subsidy of housing. However, the established charges do not meet present cost levels so both the GOB and the Town Council are providing subsidies. To eliminate these subsidies will require higher service charges and greatly improved collection rates -- both politically difficult, thus demanding effective education efforts by the SHHA and improved collection efforts by the SHHA and Town Treasurer's Department.

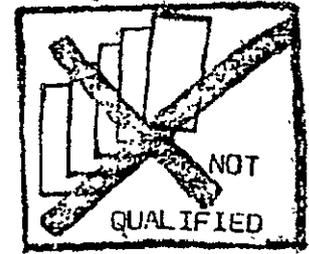
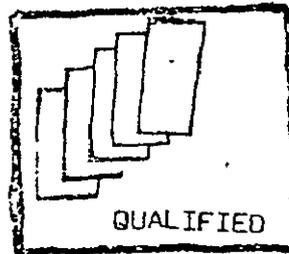
Another problem with the collection of service charges is that defaulting plotholders have not been forced to pay. The Certificate of Rights provided for the repossession of the plot, but this was considered too severe to be enforceable, thus no action was taken. The Certificate of Rights has just been changed to eliminate this repossession provision, thus allowing regular established debtor laws to apply. Since there is no experience with this change, its effects are unknown.

Botswana's ability to adequately house its rapidly growing urban poor largely depends upon self-help housing programs and affordable serviced plots. Central to these efforts are the effective allocation of plots and collection of service charges from plotholders. The Gaborone SHHA has made substantial progress on both counts, although more remains to be done to create adequate amounts of self-help housing on a non-subsidized basis.

Step 1 Take applications



Step 2 Reject those not qualified for reasons like under age or not citizen, etc.



Step 3 Calculate how many points the applicant has....

POINT SYSTEM INFORMATION

Spouse	20.
Children	5.
Sharing accommodation with rent.....	40.
Sharing accommodation without rent...	20.
Existing house scrap tin/wood/poly	50.
Existing house mud bricks	20.
Years in Gaborone	5.
Live 200M to 500M from water	5.
Live 501M to 1000M from water	20.
No sanitation at current home	40.
Pit latrine or similar	10.
Blind, crippled or missing limb	50.
Age greater than 65 years	30.
Second application for plot	20.
No. of persons in family	(A)
No. of rooms in house	(B)
(A)..... + (B).....	X 10.

POINTS ARE DETERMINED BY FACTORS TO THE LEFT AND INCOME.

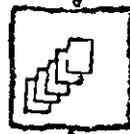
Step 4 Sort the applicants into 4 groups according to priorities



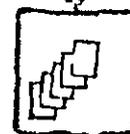
First priority is Old Naledi displacees



Second priority is displacees from thinning out process in Bontleng and White City.

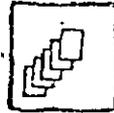
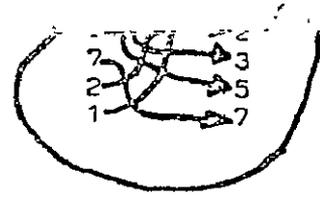


Third priority is squatters from anywhere in Gaborone



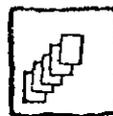
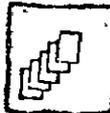
Last priority is any other person in Gaborone who qualifies.

Step 5 Working with the first priority, sort the applications according to the number of points.



Above is an example of how the numbers on the left might be put into order on the right according to their value

Step 6,7,8 Take each priority in turn, sort the applications according to the number of points.



Repeat step 5 for the other three priorities.

Step 9 Begin allocating plots starting with the highest number of points in the first priority and work toward the lowest number points in the last priority.



Starting with the highest points, allocate to first priority until plots are finished or...



If plots remain, starting with the highest points in priority 2, allocate until plots are finished or ...



If plots remain after above, starting with highest points in priority 3, allocate until plots are finished or



If plots remain after the above, starting with the highest points in priority 4, allocate balance.

SUMMARY DESCRIPTION OF BUILDING
MATERIAL INVENTORY AND LOAN PROCEDURES

The Certificate of Rights provides that the plotholder must have a permanent house plan approved by the SHHA and at least one complete room must be finished within 12 months of the plot allocation date. To facilitate house construction, the SHHA offers technical assistance and building material loans.

The SHHA uses "do-it-yourself" scale models of houses so that people can design the house they prefer. Charts are designed to quickly indicate what size house the household can afford. The quantities and costs of building materials are calculated by disc slide rule charts as well. SHHA staff assist households with these determinations. (Also, SHHA staff provides advice during the construction process.)

Once an acceptable, affordable house design has been selected, a Building Material Loan Agreement is arranged and signed. Like the Certificate of Rights, this is a standard form prepared by the Government of Botswana. The Agreement provides for repayment by equal monthly payments over 15 years at 9% interest.

In recent years, the maximum building material loan has been P600 (\$720). However, this amount no longer is adequate to finance materials for a basic house of 20 M² plus separate toilet building. An increase to P800 (\$960) is proposed by the SHHA.

Households can only borrow as much as they can afford to repay, i.e., no more than 25% of monthly income for the service charge and loan repayment. To date 60-65% of borrowers have been eligible for the maximum loan.

Loans are made in building materials, not money. The SHHA stockpiles building materials at its project ward office depots and delivers the purchased materials to the plot using its trucks and tractors-trailers. For large bulk deliveries, the trailers are left for the purchaser to unload in the evening or on the weekend.

With the potential for thousands of building material loans outstanding, it is essential that the SHHA have the capability to maintain large inventories, process material purchases, and collect loan payments efficiently and effectively. To this end, the FCH Advisor has devoted a large share of his time in the past year devising systems, writing procedure instructions and training staff. His efforts have been augmented by short-term technical assistance and the purchase of programmable accounting machines and transport vehicles.

The material inventory and loan record keeping, processing and analysis programs which he has devised and implemented enable an accurate day-to-day monitoring of building material stocks and transactions, thus facilitating inventory control. Further, complete accessible accounts are maintained

on each loan, thus insuring that both the SHHA and the plotholder are aware of what has been borrowed and what remains of the loan.

These machines are usable in keeping track of loan repayments as well. However, revenue collections are the responsibility of the Treasurer's Department, not the SHHA. Nevertheless, the SHHA and the Town Treasurer's Department work together on revenue collections because the SHHA is involved with the building material loans and works closely with the plot holders.

The success of the SHHA's housing assistance programs depends upon: (1) adequate funds for building material loans; (2) availability of building materials; (3) efficient procedures for processing loans and materials; (4) trained staff in the ward offices for processing loans, handling, building materials, providing construction advice, collecting loan repayments and providing community development services.

Because loan demand is likely to increase more rapidly than loan repayments, additional GOB and donor funds will be required for building material loans. Eventually, it may be possible to establish a revolving fund program.

Building materials mostly come from South Africa. While the potential to produce local materials seems limited, more attention to this potential might reduce the costs and supply uncertainty inherent in relying so heavily on imports.

The SHHA appears to have adequate procedures for handling building materials and loans but there is the major need for continuing training of Botswana in all facets of this program. This will be especially necessary if the workload increases much above 1,000 self-help houses per year -- as it is planned to do with Broadhurst III and Gaborone West overlapping one another and following Broadhurst II.