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Department of
Social Development

THE EXPANDED SOCIAL PACKAGE (ESP) POLICY 2021

Prepared by:

Social Development Integrated Social Development Policy, Planning and
Research (IPPR) Unit

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Table of Contents

PREAMBLE	5
1. ACRONYMS AND ABBREVIATIONS	6
2. GLOSARY OF TERMINOLOGY	7
3. INTRODUCTION	9
3.1. Context and Background	10
4. STRATEGIC INTENT AND DESIRED OUTCOMES	11
4.1. Policy Problem Statement	11
4.2. Policy Purpose	12
4.3. Policy Goals and Objectives	13
4.4. Policy Statement of Intent	13
4.5. Scope and Application of Policy	14
4.5.1. Implementation cohort	14
4.5.2. Beneficiaries	14
4.5.3. Qualifying criteria	14
4.5.4. Documentation required	18
5. REGULATORY FRAMEWORK	19
5.1. National and other legislation	19
5.2. Strategic Imperatives	21
6. PUBLIC CONSULTATION	23
7. POLICY INTERVENTIONS AND IMPLEMENTATION (PROVISION & PROCEDURES)	24
7.1. Policy Directives and Interventions	24
7.1.1. Enhancing access to ESP	24
7.1.2. Awareness	25
7.1.3. Skills development and Job opportunities	26
7.1.4. Advocacy	27
The DSD should drive interventions aimed at promoting equity and access to FBS across the City. Additional interventions on advocacy within the ESP may include the following, i.e.:	27
7.1.5. Facilitation of Support Groups	27
7.2. Conditions of Implementation of the Policy	27
7.3. Budget allocations	28
7.4. Governance and reporting	28

8. INSTITUTIONAL ARRANGEMENTS FOR POLICY IMPLEMENTATION – ROLE CLARIFICATION.....	29
8.1. Roles and Responsibility of External Stakeholders.....	29
8.2. The role of departments and entities	29
8.3. The Role of Social Development Department.....	30
8.4. Institutional Structures.....	30
8.4.1. Expanded Social Package Directorate	30
8.4.2. CoJ inter departmental forum on FBS	31
8.4.3. Regional ESP forums (REFs).....	31
8.4.4. Research institutions.....	31
8.4.5. National and provincial government	32
9. MONITORING AND EVALUATION	32
9.1. Monitoring	33
9.2. Evaluation	33
10. CONTRAVENTION OF POLICY	34
11. DELEGATION OF AUTHORITY.....	34
12. POLICY REVIEW.....	35

PREAMBLE

The Republic of South Africa is partisan to various international paradigms and discourses that seek to address poverty and inequality by way of seeking to fulfil the Sustainable Development Goals (SDGs). The country also played a critical role in the development of Agenda 2063 (The Africa We Want) in the context of the African continent.

Whereas, *Sections 7 – 39 of Chapter 2 of the Constitution of the Republic of South Africa, of 1996*, outlines the human rights which will be protected within the Republic's jurisdiction.

Whereas, *Section 153 of the Constitution, 1996* stipulates that local government is obliged to ensure that sustainable services are provided to communities.

Whereas, *Section 151(3) of the Constitution, 1996* stipulates that a municipality has the right to govern the local government affairs of the community, subject to and in terms of national and provincial legislation.

Whereas, the *Municipal Systems Act 4 (1)* stipulates that the council of a municipality has the right to govern on its own initiative the local government affairs of the local community.

Whereas, the City of Johannesburg is a category A Municipality according to the criteria applicable by Section 2 of the Municipal Structures Act; read with Section 155 (1) of the Constitution.

Therefore, the Department of Social Development and all its units adopt the Expanded Social Package Policy as set out in this document.

1. ACRONYMS AND ABBREVIATIONS

In this Policy, unless the context indicates otherwise, the English text prevails in the event of a conflict in meaning with other texts.

COGTA	Department of Corporative Governance and Traditional Affairs
CoJ	City of Johannesburg Metropolitan Municipality
CPI	Consumer Price Index
DSD	Department of Social Development
DWS	Department of Water and Sanitation
EPWP	Expanded Public Works Programme
EH	Executive Head
ESP	Expanded Social Package
FBS	Free Basic Services
GCR	Gauteng City-Region
GDS	Growth Development Strategy
HDS	Human Development Strategy
ID	Identity Document
IDP	Integrated Development Plan
KPI	Performance Indicators
LED	Local Economic Development
ME/MES	Municipal Entity/Municipal Entities
MFMA	Municipal Finance Management Act 56 of 2003
MMC	Member of Mayoral Committee
MSA	Municipal Systems Act (Act 32 of 2000)
NERSA	National Energy Regulator of South Africa
NDP	National Development Plan 2030
NGO's	Non-Governmental Organizations
NGP	New Growth Path
PWDs	Persons With Disabilities
SAPS	South African Police Service
SASSA	South African Social Security Agency
SARS	South African Revenue Service

SFWS	Strategic Framework for Water Services
SDGs	Sustainable Development Goals
UIF	Unemployment Insurance Fund
UN	United Nations

2. GLOSARY OF TERMINOLOGY

Concept	Definition
Accounting Officer	Means the City of Johannesburg Metropolitan Municipality's Municipal Manager, also known as "City Manager".
Basic Municipal Services	Means municipal services that are necessary to ensure an acceptable and reasonable quality of life and, if not provided, would endanger public health or safety of the environment.
Child Headed Family	Means a household where the main caregiver of the household is 21 (twenty one) years of age or younger.
CoJ	City of Johannesburg Metropolitan Municipality
ESP Database	An electronic management system used by the CoJ for the management of the ESP beneficiaries within the City of Johannesburg boundaries. The system is accessible to, and should be updated by, all CoJ Departments and certain external stakeholders.
Exceptions	Accounts that cannot be subsidized on the Financial Management System of the CoJ. Such accounts are identified as closed accounts or property sale accounts.
Free Basic Services	The quantity of services that must be supplied free of charge to an indigent household as specified in this Policy.
Household	For the purpose of this Policy a household is a registered owner, occupier, vulnerable person or tenant. Should a group of people live together, even if not related, they will be regarded as one household linked to one Municipal account.

Indigent	Any household responsible for the payment of services and rates who qualify, according to the Policy, for rebates/remissions or a services subsidy and earn a combined gross income equivalent to or less than 2 (two) times government pension grant (as prescribed by the Department of Social Development or in line with the National Indigence Framework issued by the COGTA). These may include pensioners, the unemployed and child-headed families who are unable to fully meet their obligations for their monthly accounts. Any other Government grant received by such household will not be considered as additional income.
Landlord	A person, Body Corporate, company or organization that owns a building or land where people pay for use thereof and pay for Municipal services.
Occupier	A person who lives on land which does not belong to him/her and who has permission from the owner to be there. This is not limited to the account holder.
Pensioner	Means a person who is 60 (sixty) years of age or older.
Policy	A Policy translates government's political vision into programmes and actions to deliver outcomes, i.e. desired changes in the real world. It outlines the government's decision regarding a particular course of action that will be undertaken or an issue that needs to be addressed and provides a broad framework for decision-making and implementation.
Poverty	A state or condition in which a person or community lacks the financial resources and essentials to enjoy a minimum standard of life and well-being that is considered acceptable in society.
Programme Officer	An official duly authorized by the CoJ, or an employee of a service provider appointed by the CoJ, who is responsible for assessment, screening and site visits, and for recommending applicants for approval/disapproval of indigent support.
Short Term Assistance	Given to a person who is temporarily unemployed or hospitalized without income or receives income that qualifies him/her as indigent for a period to be reviewed every 12 (twelve) months.
Tenant	Registered occupant of a property owned by the CoJ, or an individual/family sharing the same property with the legal owner, who has the responsibility to pay for the Municipal Services consumed.

3. INTRODUCTION

The *Constitution of the Republic of South Africa of 1996 (The Constitution, 1996)* states that everyone has inherent dignity and the right to have their dignity respected and protected. This means that all South Africans have the right to a dignified life and municipalities have certain legal obligations towards ensuring a dignified life for its citizens. A dignified life can be defined as a living standard where one is protected from humiliation and exploitation, is not deprived from the opportunity to develop, and experiences societal conditions that provide relief from the multiple dimensions of poverty.

The Constitution, 1996 places the responsibility on government to ensure that basic services are progressively expanded to all, within the limits of available resources. Government policy on most of these issues thus seeks to progressively move towards universal access. Approximately 9.6% of the total households can be regarded as indigent households who qualify for Free Basic Services (FBS) in the City of Johannesburg (CoJ) (StatsSA, 2018). Improving conditions for human and social development involves the enhancement of the population's well-being in terms of health, nutrition, education, social capital and safety. It also involves the expansion of social assistance programmes as a social safety net to combat poverty. The Expanded Social Package (ESP) programme was introduced with the objective to provide improved relief to the City's indigent and vulnerable households.

As part of its approach to improved quality of life and development-driven resilience for all, the City offers the ESP programme to its most vulnerable citizens such as: the unemployed; displaced persons; senior citizens; persons with disabilities, and women and children. Households accessing the ESP programme receive significant assistance compared to those poor households not accessing the programme. The positive impact on safety nets on poorer households is not only felt by the direct recipient, however, it also has a multiplier effect for other household members.

The ESP programme thus exemplifies the City's pursuit for a policy agenda that acknowledges that CoJ is a place of inclusion and a place where its leadership is prepared to assist those households that are unable to afford certain services as a result of poverty. The ESP programme is thus considered to be the most fundamental intervention the City can make for the benefit of indigent households.

3.1. Context and Background

The ESP programme is a basket of benefits and services which the City allocates to individuals and the households in which they live, based on their level of poverty and vulnerability. This basket of services provided through the ESP programme must be reviewed annually, as informed by the vulnerability/deprivation study. These are subsidies for metered service benefits that is water, electricity, and non-metered services that is: rates, sanitation, and refuse removal. The system also refers citizens who register to a range of other social programmes based on their specific problems and needs such as skills development, social service interventions, food resilience, youth programmes, and intervention programmes for the homeless.

The City of Johannesburg's poor and marginalized residents are most vulnerable to social, economic, and physical challenges, but at the same time, are most likely to experience challenges to access the support they need. The poor struggle to access social support mechanisms designed in their interest. The objective is therefore to link households eligible for assistance with the social safety net that exists within the provincial and local level, the most notable being the CoJ's ESP programme and provincial government's social grants.

The previous ESP programme was directly linked to account holders that qualify for ESP. Non-metered services are directly linked to qualifying property owners, backyard dwellers, tenants etc. who qualify to access metered services. However, households who lived in informal settlements and receive communal essential services, are not on the databases, because they do not have account numbers for individual FBS. Sharing communal facilities therefore makes it difficult for qualifying households to access programmes. Therefore, poor households in informal settlements were often rendered "invisible". It is these poor households that need to make their way to the CoJ's database for the provision of the ESP programme through this policy.

In the past, it was assumed that one account holder unit equals one household, and policy formulation and planning was undertaken on that basis. This is often not the case and there can be more than one household living on one account holder's unit. Many residents in rented flats throughout the City and elsewhere do not have security of tenure because they are not legal tenants. These residents face the vulnerability of lack of access to basic services and the risk of exploitative landlords who do not pay for municipal services. A key challenge is to ensure that rebates are passed on to tenants by landlords and that landlords are held accountable for non-compliance.

Linkages with all CoJ departments and the use of a single database, will allow targeting and managing of social services to generate maximum impact for beneficiaries. Using a one-window approach where all stakeholders capture individuals' information on a shared platform, will assist in collating and verifying available information about individuals and build profiles for individuals who would otherwise be "invisible" to the CoJ.

There currently is no central database in the City that will enable any department to extract information on indigent persons living in the City. Any CoJ Department or entity developing a measure or programme designed to target the poor, currently has no comprehensive pool to draw from for purposes of participation in such interventions. Individuals and households in need of assistance across the City also do not have a portal through which such assistance can be provided.

The ESP programme thus, enjoys priority and is aimed at ensuring that poor and vulnerable households gain access to the package; maintain access to the package, targeting the poor and targeting non-account holders.

4. STRATEGIC INTENT AND DESIRED OUTCOMES

4.1. Policy Problem Statement

High poverty rate is a major challenge in the City of Johannesburg. The poverty rate in the City is estimated at 45.84%, as at December 2020 (CoJ IDP 2020/21). Given the high poverty rate, the number of people receiving pensions, social grants, and/or Free Basic Service has been much lower than the number of people eligible to be receiving these grants and services. The main driver of the high poverty rate in the City is unemployment. According to Statistics South Africa Quarterly Labour Force Survey, the expanded unemployment rate for Johannesburg was at 40.9% compared to the national rate of 30.8% by the end of the third quarter of 2020.

According to Statistics South Africa (2020), the national youth unemployment is recorded at 56.6%, and youth unemployment rate in Johannesburg is at 41.1 (Statistics South Africa, 2020). Poverty is a major problem facing not only the City, but the province of Gauteng, and the country (South Africa) as a whole. At a glance, the poverty rate within the African continent it is at 40% (Institute for Security Studies (ISS) Africa, 2020), in South Africa the rate is at 49.2% (Statistics South Africa, 2020) and within Gauteng province it is rated at 40% (University of Cape Town,

2019). High poverty rate is therefore the major problem facing the City, a problem which the City seeks to address with this policy on ESP.

The United Nations' (UN) Sustainable Development Goals (SDGs), particularly goal 1 (which aims to: *"end poverty in all its forms everywhere in the world"*), and goal 3 (which aims to: *"ensure healthy lives and promote well-being for all at all ages"*), seek to address matters concerning poverty and inequality, through enhancing social protection interventions across the world. South Africa's National Development Plan (NDP), particularly chapter 11, also seeks to promote matters of social protection and fighting to end poverty in all its forms, at all levels. Chapter 11 of the NDP, notes that problems such as poverty, poverty induced hunger, malnutrition, and micronutrient deficiencies need to be addressed.

The Growth & development strategy 2040 (GDS 2040) of the City of Johannesburg notes that the City is going through significant changes, changes that are not unique, but instead, changes that mark a period of global volatility and massive transformation that global cities all over the world are experiencing. The role and purpose of strategies is not only to capture change, but to also include various competing social, economic, political, and environmental imperatives. In hindsight, the strategy making process must be broadened to source multiple opinions, divergent views, and approaches to understanding change, if it is to gain legitimacy.

The GDS 2040 paradigm provides a base for analysis, interpretation, and action. The City's statement of six clear guiding principles, originally articulated in the 2006 GDS, support this framework further. Among others, is: Principle 1, i.e.: Eradicating poverty. With/through this principle, the City seeks to assist the poor to build capacity, thereby supporting them in accessing the City and stepping onto the ladder of prosperity.

4.2. Policy Purpose

The purpose of this policy is to provide a framework for the implementation of the Expanded Social Package (ESP) programme within the City of Johannesburg Metropolitan Municipality. Such a framework as provided for in this policy will outline and define the targeted beneficiaries of this policy as well as define the qualifying criteria for registration and enrolment into the ESP. It also clarifies the type(s) of benefit(s) in accordance with the established criteria.

Through this policy, the City of Johannesburg aims to ensure access to Free Basic Services (FBS) to all citizens who meet the established criteria for inclusion in the ESP. The policy also aims to ensuring exit strategies.

4.3. Policy Goals and Objectives

The objectives of the Policy are to:

- a) Establish the framework for the identification, screening and management of indigent households including an economic rehabilitation plan where possible;
- b) Ensure that the established criteria is applied accurately, without bias, and consistently upon all applicants;
- c) Enable the CoJ and/or its authorised personnel to verify information given during the application and registration process;
- d) Enable the City to maintain the register of names, addresses, and all personal information including, but not limited to: copies of identity documents; proof of address, and proof of income of those registered on the ESP programme;
- e) Ensure the provision of FBS to the approved indigent and/or vulnerable members of the community in a sustainable manner within the means (in terms of applicable resources, i.e.: financial, human, and infrastructure) of the City, and
- f) Ensure that there is an exit strategy, through access to skills development programmes, and subsequently job creation programmes.

4.4. Policy Statement of Intent

The policy intends on achieving the following objectives:

- a) To enhance the quality of life of all indigent persons living within the boundaries of Johannesburg;
- b) To enhance the involvement of indigent persons and households in active citizenship across the City, and
- c) To ensure that provisions for effective implementation of the ESP programme are made in all budgeting processes within the City, its department, and entities.

4.5. Scope and Application of Policy

The Policy is aimed at providing multi-pronged assistance to poor and vulnerable residents and households based in the City of Johannesburg jurisdiction, to support them in escaping the poverty trap and facilitate systems changes required for new compliance mechanisms. The implementation of the policy will utilize the findings of the latest developed deprivation and vulnerability index, to indicate areas, individuals, and programmes within the City, requiring enhanced interventions.

4.5.1. Implementation cohort

Human development is incumbent upon all CoJ departments, entities, and agencies. It is also the responsibility of other spheres of government, the private sector, community-based organisations and non- governmental organisations.

- a) All private sector institutions in Johannesburg that, through their corporate social investment programmes or other such programmes, deliver services to the poor of Johannesburg;
- b) All organised structures and organisations operating in Johannesburg that offers services to the poor;
- c) All other community-based, faith-based, non-government organisations (NGO's) and organisations focused on the poverty alleviation.
- d) All other interested parties, volunteers and stakeholders who participate in the delivery of services to the poor within Johannesburg;
- e) All persons involved actively or indirectly in delivering socio-economic services to the poor.

4.5.2. Beneficiaries

All individuals with income less than R10 000 (to be reviewed annually based on CPI) and individuals with vulnerability attributes such as disability, older persons status, women, child headed households, ex-combatants, pensioners (60 years plus) with property valued at under R2.5million (as at 2021), and working age citizens (18-59 years) with property value under R500 000 (as at 2021).

4.5.3. Qualifying criteria

The criteria for admission to the ESP programme will be based on the individual vulnerability score and on the weighted average of income and individual vulnerability attributes such those mentioned in section 4.5.2. The vulnerability score will indicate the service level benefits applicable for interventions. These interventions will be identified and developed in the annual implementation/action plan.

The criteria will take into consideration vulnerable individuals as stated under section 4.5.2. and the following:

- Must be a South African citizen or a permanent resident;
- Must reside within the City of Johannesburg boundaries, and
- Any application received where the household or any member in the household owns more than one property, will automatically disqualify the household in its entirety from ESP benefits.

The calculation of the vulnerability score will take consideration of the weighted methodology below.

Table 1: Vulnerability Index score based on 4 Income bands as at 1st July 2021

Attribute	Max weight for individuals based on the income ¹			
	Less than R1 100	R1101 - R4200	R4201 - R 6300	R6301- R10000
If income less than R1 100	70	N/A	N/A	N/A
If income is R1101 - R4200	N/A	50	N/A	N/A
If income is R4201 - R 6300	N/A	N/A	15	N/A
If income ¹ R6301 – R10000	0	0	0	10
Ex-combatant	3	3	3	3
Woman	3	3	3	3
Senior citizen	5	5	5	5
PwD	6	6	6	6
Child headed HH	6	6	6	6
Pensioners (60 years plus) with property valued at under R2.5million or working age citizens (18-59 years) with	4	4	4	4

¹ The incomes will be adjusted annually every 1st July based on the May year on year CPI obtained from Statistics South Africa

property value under R500 000 (as at 2021).				
Other vulnerability status proven by letter from social worker	3	3	3	3
Max points per category	100	80	45	40

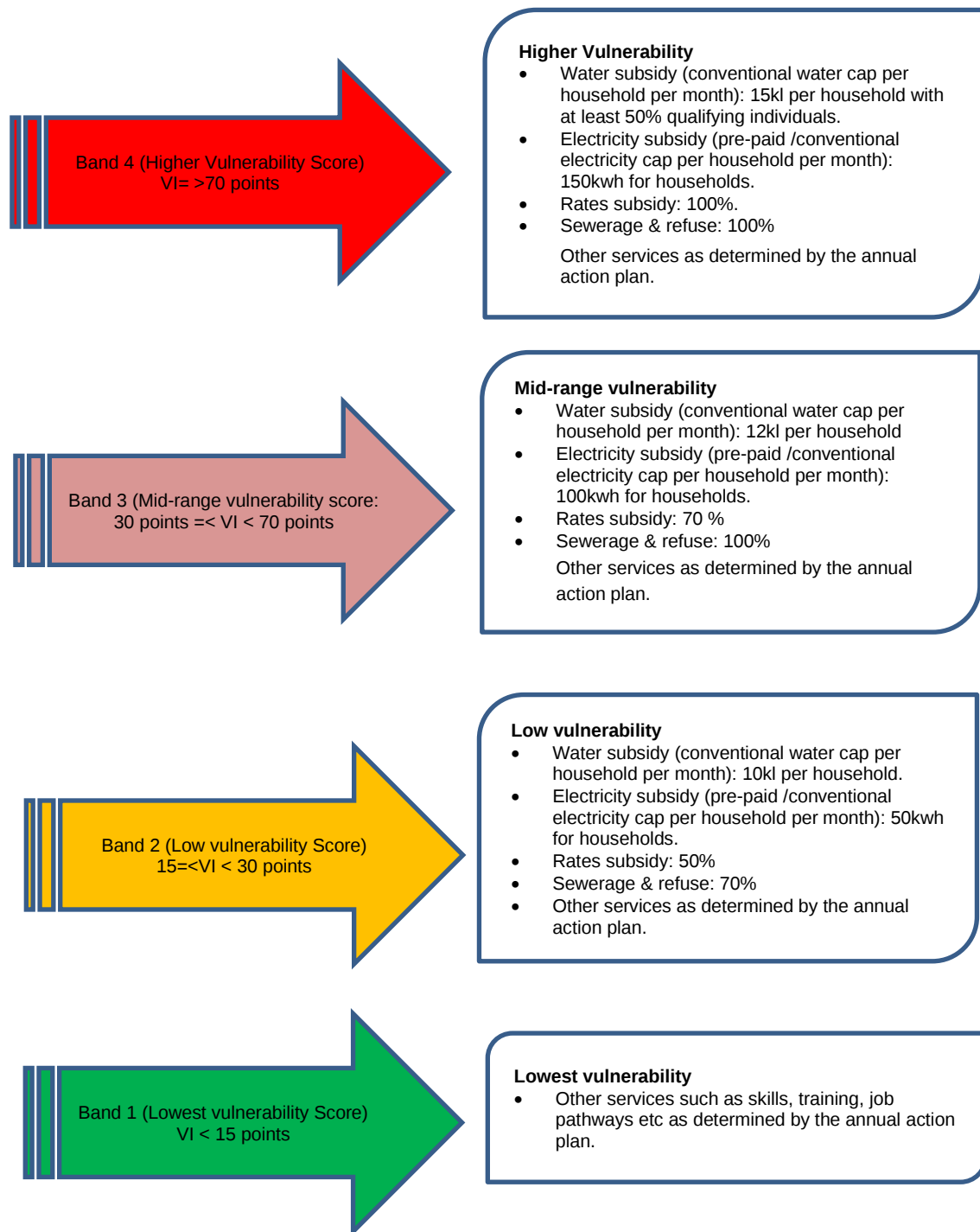
Four income bands as indicated in Table 1 will be used to determine the individual scores and the levels of assistance and intervention as defined below:

Band 4	Higher Vulnerability Score: VI $\geq$ 70 points)
Band 3	Mid-range vulnerability score: 30 points $\leq$ VI < 70 points
Band 2	Low-range vulnerability score: 15 $\leq$ VI < 30 points
Band 1	Lowest-range vulnerability score: VI < 15 points

The baseline household gross income, indicated in Table 1 should not exceed R10 000 (as at 2020/21 financial year) on a monthly basis (this includes pensions, investments and other financial resources available). The maximum income threshold is intended to capture those just above poverty line with higher vulnerability and higher possibility of regressing into poverty in the event of a shock. The income bands will be adjusted on a yearly basis to match the inflation rates. The income threshold shall be adjusted on an annual basis in line with the budgeting process. The income threshold adjustment will be informed by the Consumer Price Index (CPI) as provided by Statistics South Africa. The income threshold adjustment must be reported to the Mayoral Committee for noting annually for implementation effective 1st July of the respective year. Additionally, beneficiaries registered on the ESP will need to ensure that they reregister within a period of 12 months.

The assistance applicable to each band is indicated in Figure 1 below. While the household income can determine the vulnerability band, beneficiaries can move to upper bands based on their score of individual vulnerability. This will take into consideration vulnerable individuals that are more susceptible to shocks.

Figure 1: Levels of assistance applicable based on the vulnerability index score



Individuals are encouraged to register between the 1st and 15th of the month, in order to benefit for FBS in the next month. Registrations from the 16th to the last day of the month will only realize benefits in the subsequent month as aligned to the COJ billing cycle. Registration by beneficiaries will be at designated ESP walk-in centers, and online registrations will also be made available. Automatic benefits will be considered in the event of a disaster where people are unable to verify themselves physically, and/or online.

In terms of rebates on sewerage, refuse and rates, the benefits must be passed in terms of the vulnerability baseline income below:

Rates rebates: The rates benefits are determined by the the schedule of Tariffs, Property Rates Policy and Rates By-law.

4.5.4. Documentation required

The following documentation will be required:

- Proof of household gross income, SASSA Card, all bank statements (for last 3 months) or sworn affidavit confirming that you do not have a bank account. Any other source of income must be declared);
- Proof of residence, City of Johannesburg Rates and Taxes account number or sworn affidavit from your local police station;
- Identity document;
- City of Johannesburg Rates and Taxes Account;
- City Power Pre-Paid Meter Account number;
- Eskom Pre-Paid Electricity Account Number, Conventional Account Number, and
- Joburg Water Account/ Pre-paid Account Number ITU number on the receipt (Interface tag unit number);
- Referral letter from social workers for child headed households or other vulnerability status;
- Bedridden and chronically ill beneficiaries – all above including letter from a medical practitioner, and
- All applicants are required to complete a declaration form on application for benefits.

5. REGULATORY FRAMEWORK

The following aspects are thus noted on matters concerning the regulatory framework of this policy.

5.1. National and other legislation

Local Government is mandated by law to develop a service delivery capacity to meet the basic needs of all South African communities. The following key legislative imperatives provide a mandate to the CoJ to manage, support and regulate activities within the Policy scope:

Act	Relevance
The Constitution of Republic of South Africa, 1996	The Constitution is the supreme law of the country. It entrenches specific rights and responsibilities that apply to everyone. Chapter 2, Section 9(3) states that <i>“the state may not unfairly discriminate directly or indirectly against anyone on one or more grounds, including race, gender, sex, pregnancy, marital status, ethnic or social origin, colour, sexual orientation, age, disability, religion, conscience, belief, culture, language and birth”</i>; In addition, section 10 states that <i>“everyone has inherent dignity and the right to have their dignity respected and protected”</i>. Chapter 7 of the Constitution mandates local government to promote the social and economic development of communities and community participation in matters of local government.
Municipal Structures Act, No. 117 of 1998	The Act inter alia sets out to provide for an appropriate division of functions and powers between categories of municipalities; to regulate the internal systems, structures and office-bearers of municipalities; provide for appropriate electoral systems and provide for matters in connection therewith.
Municipal Systems Act, No. 32 of 2000	The Act inter alia provides for the social and economic upliftment of local communities; universal access to essential services that are affordable to all, the municipality working in partnership with the local community, community participation; an enabling framework for local government, human resource development, empowering the poor and overall social and economic upliftment of communities in harmony with their local natural environment.

The White Paper on Local Government, 1998	The White Paper on Local Government identifies the need for municipalities to ensure that all citizens regardless of race, gender or sexual orientation have access to at least a minimum level of services. The paper further states that accessibility is not only about making services available, but also about making services easy and convenient to access.
Indigent support:	One of the main objectives of local government is to ensure the provision of services to communities in a sustainable manner. The provision of services is thus a cardinal function, if not the most important function, of every municipal government according to Section 152 (1)(b) of The Constitution of Republic of South Africa, Act No. 108 of 1996 (The Constitution). Local Government is mandated by law to develop a service delivery capacity in order to meet the basic needs of all South African communities. The provision of basic services enhances the quality of life of all citizens. Section 27 of the South African Constitution provides that: <i>"Everyone has the right to have access to social security including, if they are unable to support themselves and their dependants, appropriate social assistance. The state must take reasonable legislative and other measures, within its available resources, to achieve the progressive realisation of each of these rights"</i>. The Municipal Systems Act, Act 32 of 2000 further stipulates the following: <i>"Poor households must have access to at least basic services through: (i) tariffs that cover any operating and maintenance costs; (ii) special tariffs or life line tariffs for low levels of use or consumptions of services for basic levels of service; or (iii) any other direct or indirect method of subsidization of tariffs for poor households"</i>.
Further legislation and Policies:	• National Framework for Municipal Indigent Policies, 2005; • Local Government Municipal Property Rates Act, Act 6 of 2004; • Electricity Basic Services Support Tariff (Free Basic Electricity Policy), 2003. • The White Paper for Social Welfare, 1997 • The Code of Good Practice on Employment of Persons with

	Disabilities, 2015 • Education White Paper 6: Special Needs Education - Building an inclusive education and training system, 2001 • National Health Act, No. 61 of 2003
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5.2. Strategic Imperatives

Policy instrument	Description
Sustainable Development Goals	The United Nation's Sustainable Development Goals (SDGs) represent an urgent call for action by all countries across the world to embark on a global partnership. They recognize that ending poverty and other deprivations must go hand-in-hand with strategies that improve health and education, reduce inequality, and spur economic growth. Key among these are: Goal 1: End poverty in all its forms everywhere; Goal 2: Zero Hunger; Goal 3: Ensure healthy lives and promote well-being for all at all ages; Goal 6: Ensure access to water and sanitation for all; Goal 7: Ensure access to affordable, reliable, sustainable and modern energy, and Goal 10: Reduce inequality within and among countries.
National Development Plan, 2012	The National Development Plan (NDP) is designed to enhance sector plans with its fundamental thrust of eliminating poverty and reducing inequality by 2030. It indicates that elimination of poverty and reduction of inequality can be realized by growing an inclusive economy, building capabilities, enhancing the capacity of the state and promoting leadership and partnership within society.

Policy instrument	Description
EPWP	Government at the national and provincial level adopted the Expanded Public Works Programme (EPWP), which originated from the Growth and Development Summit of 2003. The Growth and development Summit had agreed that poverty alleviation and income relief programmes were needed to help the poor.
New Growth Path 2011	The New Growth Path (NGP) places emphasis on the reduction of unemployment, inequality, and poverty in South Africa. The NGP notes that the economy of the country has not sufficiently addressed the challenge of poverty in South Africa, thus, it places job creation and striving for equity at the center of the strategy to fight poverty. It is based on strong, sustained, and inclusive economic growth and the rebuilding of productive sectors of the economy, so that all of society can benefit.
Gauteng 2055	Gauteng 2055 entails a long-term vision for the Gauteng City-Region (GCR) that envisions a better future for the province. Gauteng 2055 seeks to address among others, the challenges of poverty and unemployment through a coherent, integrated, and complementary roadmap for development. The roadmap further seeks to align national, provincial, and local priorities in its quest to address these challenges.
City of Joburg Growth and Development Strategy 2040	Outcome 1 of the GDS 2040: Improved quality of life and development-driven resilience for all, envisages a future that presents significantly improved human and social development realities, through targeted focus on poverty reduction, food security, development initiatives that enable self-sustainability, improved health and life expectancy, and real social inclusivity. Through outcome 1 of the GDS 2040 the City aims to achieve substantially enhanced quality of life for all, with this outcome supported by the establishment of development-driven resilience.
City of Joburg Human Development Strategy	The CoJ has developed a Human Development Strategy (HDS) as a partner to its economic development strategy, Joburg 2030 and Joburg's Growth and Development Strategy 2040. The intention of the HDS is to provide a framework for other CoJ policies to accommodate a human development perspective and address conditions such as poverty, inequality and social exclusion on a city-scale.

6. PUBLIC CONSULTATION

The public consultation conducted for this policy comprised the identification and selection of participants, instruments designed to gather the required data and information, data-gathering processes, data capturing and arrangements, analysis and interpretation, and final presentation of the obtained data. As guided by the interpretive paradigm and its subjectivist epistemology, the public participation process adopted a qualitative methodology. The process employed criterion sampling in the context of purposive sampling strategy to gain an in-depth understanding of the policy phenomenon under review.

The public participation was a three pronged approach across all the 7 seven regions: (a) hybrid data collection sessions comprising virtual and physical focus group sessions (b) the uploading of the draft ESP policies for public access, to the City of Johannesburg website and (c) the creation of a central email to capture the responses from participants who wished to convey their views and rationalities through emailing services. This was done to expand on the sphere of influence to foster broader participation. Public participation sessions commenced during the month of November through to December 2020 in all regions of the City of Johannesburg. The invited stakeholders were beneficiaries and representatives of the community and relevant support organisations in the CoJ regions who formed a specific reference group for consultation.

Qualitative data obtained from public participation were consolidated and prepared for analysis. Inductive reasoning was used in data analysis. This approach enabled the makers of this policy to focus on exploring new phenomena and to look at previously researched phenomena from a different perspective. Obtained field data was organised and analysed thematically, and the analysis was aided by the ATLAS.ti software. The software was used to find and organise ideas and concepts, which highlighted emerging themes. These themes were compiled and used to inform the new ESP policy, as the voice of the public.

The importance of thematic analysis that was used for the purposes of reviewing this policy lies in its ability to afford the makers of this policy an opportunity and flexibility to identify, analyse and report on the patterns (or themes) emerging within and beyond the data obtained. It thus further enabled them to minimally organise and describe the dataset in rich detail. It is worthy to note that qualitative data analysis also required them to carefully scrutinise the content of the data obtained in a systematic manner to ensure that emerging trends, their frequency of occurrence, and the

manner in which they are described and captured is correctly reflected in this policy. The analysis of inputs from stakeholders is, therefore, incorporated to inform this policy document as approved by the Council.

7. POLICY INTERVENTIONS AND IMPLEMENTATION (PROVISION & PROCEDURES)

7.1. Policy Directives and Interventions

The City must address the plight of indigent communities within the City through advocacy and empowerment programmes and ensure that indigent communities' rights are upheld. The following interventions are proposed.

- a) Enhancing access to ESP: Mechanisms to enable all citizens access to FBS (i.e.: water, electricity, property rebates, etc.) offered as part of the ESP programme;
- b) Awareness: Activities that empower and educate communities; families, and individuals on issues related to ESP programme services in order to address challenges of social exclusion and poverty within the City. These must be done through information sessions, workshops or door to door campaigns and through MEs;
- c) Skills Development and Job opportunities: The focus of the programme is to facilitate acquisition of adequate and relevant skills for possible future participation in the economy as well as linking to job opportunities.
- d) Advocacy: interventions to ensure access to FBS and promotion of human rights. This is done through referrals and linkage to various stakeholders for access to services and promotion of the social inclusion of indigent communities;
- e) Facilitation of Support Groups: Activities to expand the richness of human life through implementation and facilitation of various activities. It focuses on enhancing people's opportunities and choices, thereby encouraging self-reliance and self-worth.

7.1.1. Enhancing access to ESP

The DSD needs to ensure that access to the ESP is afforded to more people and communities who were previously excluded from gaining access to the programme. Additional interventions to enhance access may include the following, i.e.:

- a) Ensure that pensioners (60 years plus) who own property valued at under R2.5million (As at 2021) qualify for rates, sewer, and refuse removal rebates - the threshold changes with every General valuation roll, and will be adjusted annually;
- b) Ensure that working age citizens (18-59 years) also qualify for rebates provided that they are registered account holders and their property value does not exceed R500 000 (As at 2021) - the threshold changes with every General valuation roll, and will be adjusted annually;
- c) Incorporate the unique needs of residents, tenants, and backyard dwellers throughout the City;
- d) Incorporate the unique needs of those living informal settlements, for them to be included on the ESP database;
- e) Incorporate the unique needs of people living in back rooms, to ensure that they too are registered on the ESP database;
- f) Regularly, reviewing the documentation required in order to ensure that people living in informal settlements, back rooms, and those living in high-rise buildings are not excluded from the programme;
- g) Ensuring that the most vulnerable individuals, for example the unemployed; Youth; Senior Citizens; Persons with Disabilities (PWDs), and Displaced persons are also registered on the ESP database.

7.1.2. Awareness

The DSD needs to rollout appropriate awareness campaigns with the aim of educating communities and individuals on the various interventions offered through the ESP programme. Additional interventions may include the following, i.e.:

- a) The DSD must embark on outreach and awareness campaigns throughout the City, in order to educate and inform members of the public of the FBS offered through the ESP programme, and to inform communities about registration process, and registration points closest to them;
- b) The DSD needs to utilize existing platforms in order to enhance the dialogue and profile of issues affecting vulnerable groups, to identify practical solutions to guide the planning and implementation of planned interventions on the ESP programme;
- c) DSD to educate and encourage individuals to register on the ESP on or before the 15th

of the month, in order to ensure that they receive the benefits they have applied for in the next month;

- d) The DSD to educate communities on the ESP eligibility criteria, i.e.: that the programme targets South African citizens and permanent residents living within the boundaries of Johannesburg who fall within an income not exceeding R6 281.13 per month (as at 2020/21 financial year);
- e) The DSD to inform communities on the need to reregister every twelve months for continuous benefits from the programme, and
- f) The DSD needs to encourage the private sector to partner with it (ESP programme) on various interventions aimed at empowering communities within the City.

7.1.3. Skills development and Job opportunities

The DSD must implement skills development and job opportunities' programmes offered through the ESP programme. Additional interventions may include the following, i.e.:

- a) The DSD should include skills development interventions in its product offering. This could be done by through a referral system;
- b) The DSD needs to engage other units within the DSD, to ensure that their prospective trainees are also identified from the ESP programme database;
- c) The DSD needs to ensure that registrants are linked with job creation programmes available in other units in the DSD, and in other departments in the City;
- d) The DSD needs to ensure that all those who qualify for any of the social package assistance bands have priority access to the candidate pool for the job creation programme, and all other measures designed to provide an exit strategy from social assistance;
- e) The DSD will ensure that all the qualifying social package recipients are captured in a database that will be refreshed quarterly. A database from which all skills development interventions and job creation programmes in the City must draw at least 75% of their intake, and
- f) The DSD seeks to ensure that every department in the City that is working on a programme aimed at uplifting the City's poor must use this database as the source of their programme participants.

7.1.4. Advocacy

The DSD should drive interventions aimed at promoting equity and access to FBS across the City. Additional interventions on advocacy within the ESP may include the following, i.e.:

- a) Ensuring that matters of human rights and dignity through ESP are promoted;
- b) Ensuring that the time taken from one registering on the ESP database and actually receiving benefits is accelerated, and
- c) Ensuring that access to services, and the social inclusion of indigent communities is promoted across the City.

7.1.5. Facilitation of Support Groups

The DSD needs to facilitate support groups within communities in order to promote access to FBS within the City, additionally:

- a) The DSD needs to establish partnerships with civil society to ensure that people learn about, and are able to access FBS, and
- b) The DSD must involve civil society and other Non-Governmental Organizations (NGOs) across the City to ensure that indigent people within communities are afforded the type and level of support they need (i.e.: early intervention and referrals).

7.2. Conditions of Implementation of the Policy

The successful implementation of this Policy rests on the following critical factors:

- a) Functional and effective institutional arrangements meeting the minimum standards as elaborated in section 8 under institutional arrangement section. That is, the ESP must be established as a fully-fledged directorate and fully staffed within social development.
- b) The ESP directorate must be comprehensively represented across all the seven regions within the City;
- c) Providing training, capacity building and sensitization of the advancement of the ESP, and specifically on the policy. The first level of sensitization is within the CoJ's entities themselves. All departments must be aware of the policy and enabled to support the planning and implementation processes. This would ensure that issues pertaining to support for indigent people are mainstreamed into departmental plans;

- d) Mobilizing support for the implementation of this policy and communication around the policy;
- e) Endorsement of the policy by all partners and buy-in sourced from all stakeholders, both administratively and politically;
- f) Engagements with the private sector, Municipal Entities, and other donors;
- g) Proper monitoring and reporting procedures and mechanisms in place, these are procedures the ESP will adopt in its monthly reports on services rendered. These should be done at the ward level, to enable the monitoring team to establish all interventions from the ESP, per ward across the City;
- h) New Key Performance Indicators must be developed on this policy, upon which work done on ESP will be measured against;
- i) The DSD will report on the above Key Performance Indicators quarterly, to the HSD Cluster;
- j) This Policy will come into effect upon approval by Council and an action plan for implementation must be developed within six months thereafter.

7.3. Budget allocations

The ESP programme needs to make the following provision in its annual budget:

- Capital and operational expenditure for leasing or procurement of equipment for operating Information Communications Technology programmes and Infrastructure; and
- Operational expenditure for training and development programmes, outreach, education, and awareness campaigns (in order to educate the communities of the City, and also to educate other stakeholders internally and externally, on matters pertaining to the ESP programme.

7.4. Governance and reporting

- (a) This policy must be implemented in all the regions across the City, and must be coordinated by the DSD;
- (b) There must be ESP presence in all the regions, in order to serve as a contact or access point for people to register and receive the required support and assistance;
- (c) A scorecard must be developed on the ESP programme in consultation with GSPCR. The scorecard will be applicable to all ESP structures in the regions. The development of the

scorecard must include Key Performance Indicators around the ESP Policy to ensure accountability as follows:

- i. Targets will form part of the City's Performance Management System and thus, the ESP is required to compile specific indicators that are aligned to strategic compliance and priorities, and
- ii. The DSD must submit progress reports to the Health and Social Development (HSD) Cluster on a quarterly basis for subsequent reporting to Council.

8. INSTITUTIONAL ARRANGEMENTS FOR POLICY IMPLEMENTATION – ROLE CLARIFICATION

8.1. Roles and Responsibility of External Stakeholders

- a) Role players and external stakeholders must be identified for purposes of partnering with the department (i.e.: DSD) in the implementation of this policy;
- b) The partnership will help with the mainstreaming and management of the challenges affecting indigent communities in the City, and
- c) The DSD will thus be responsible for monitoring implementation of this policy and ensuring that adequate training and awareness is provided on the interventions noted in the policy.

8.2. The role of departments and entities

Revenue Department, City Power, Pikitup, and Johannesburg Water must ensure the following:

- a) Cooperate with ESP directorate to ensure that services (rebates) are afforded to all qualifying individuals on the ESP database;
- b) Ensure that the rand value of services (rebates) offered to qualifying individuals on the ESP database increases on an annual basis as per the CPI;
- c) Provide ESP with updated information of individuals on their master database of account on a monthly basis;
- d) Ensure that cases of households and/or individuals registered on the ESP database, and not receiving benefits are investigated; and
- e) Relevant systems changes or updates which may impact on FBS to be communicated to DSD as and when required.

8.3. The Role of Social Development Department

The DSD is thus mandated to:

- a) Facilitate the implementation of the ESP Programme;
- b) Fulfil a key role in the development and reporting of indicators and targets to promote the ESP programme;
- c) Facilitate a process to engage with other directorates and departments in order to mainstream the directives of the Policy;
- d) Assist with opportunities to enable indigent communities to manage their many challenges and achieve a dignified standard of living and, where possible, reduce household dependency on the CoJ;
- e) Improve access to FBS (all other support programmes) for indigent households and communities across the City;
- f) Work with indigent families and communities in order to assist them obtain access other City services to enable them to improve their living conditions, and
- g) Encourage the private sector and civil society to act in a positive and transformational manner in alignment with the programmes of the City to address the needs of poorer communities.

8.4. Institutional Structures

This Policy supports the establishment of the following appropriate institutional structures:

8.4.1. Expanded Social Package Directorate

The ESP programme must be established as a fully-fledged unit standing on its own within the Social Development Department. This will ensure that it has permanent representation (offices) across the seven regions of the City. This way, the ESP would ensure that it is closer to the people, and indigent people would need not to travel long distances to obtain the help and support that they so desperately seek from the ESP programme. This would thus ensure accessibility for the ESP programme to all citizens of the City that need it.

The DSD will ensure that the programme assist communities facing changes, whether it be on the re/re-registration aspect of the ESP programme in real time. This will further enhance the communication to all external stakeholders, and communities, on all urgent matters that people need to know about developments within the ESP programme.

8.4.2. CoJ inter departmental forum on FBS

This structure at the level of the CoJ needs to be constituted by representatives of the DSD, along with representatives of other CoJ departments and MEs (i.e.: Revenue Department, City Power, Pikitup, and Johannesburg Water). A Steering Committee led by an Executive Head (EH) or an equivalent should be established, and should seat at least twice a year in order to consider and review ESP programme matters such as the following, i.e.:

- a) Eligibility criteria for inclusion onto the ESP programme;
- b) Minimum documentation required upon registration;
- c) The types of rebates that applicants can apply for, and
- d) Income bands to be considered.
- e) The forum should further provide an opportunity for the following, i.e.:
 - i. Coordination, and implementation of the policy within departments, units, and sub units, across the City;
 - ii. Collection, collation, and packaging of information as it pertains to FBS and other services provided through the ESP programme, and
 - iii. Promotion and monitoring of ESP programme implementation.

8.4.3. Regional ESP forums (REFs)

Regional ESP Forums need to be established across all the seven regions of the City, this should comprise civil society, community organizations, and representatives of the ESP programme in the regions, along with other DSD representatives within the regions. In instances where a similar forum already exists within a region or regions, then such a forum must be incorporated into the regional ESP forum(s). The responsibility of such Regional ESP forum(s) will be to ensure that all regions are constantly kept abreast of all developments of the inter department forum.

8.4.4. Research institutions

In order to ensure that there is a thorough implementation of this policy, the department needs to collaborate with external institutions of research, to complement the research work done internally, and to provide the department an objective assessment of the work done through the implementation of this policy, and others like it. Partnerships between the City and external

research institutions need to be understood for the potential they present the City with, to enhance not only programme outputs, however, programme outcomes and impacts at large.

8.4.5. National and provincial government

The policy on the ESP programme seeks to ensure the promotion of the provisions of *Chapter 3* of the *Constitution, 1996* by among others, cooperating, collaborating, and partnering with other government institutions with the three spheres of government, i.e.: national, provincial, and local government.

9. MONITORING AND EVALUATION

The City of Johannesburg established the “*The City of Johannesburg Monitoring and Evaluation Framework*” in line with the policy framework for the Government-wide Monitoring and Evaluation (GWM&E), and the National Evaluation Policy Framework (NEPF) in 2012. The City of Johannesburg acknowledged that there has been a shift in the City’s policies, procedures, and systems associated with the inter-related areas of performance management, monitoring, evaluation, and reporting. The City has therefore developed its monitoring and evaluation framework aimed specifically at monitoring and evaluating the outcomes of the PWD policy.

The framework notes that at a City level changes to the organization’s institutional model and its long-term strategy (Joburg 2040 Growth and Development Strategy [GDS]) necessitates a complete review of many organizational activities including the way in which the planning, decision-making, monitoring and evaluation occurs. Thus, based on the above, this policy will be monitored and evaluated on a continuous basis in order to ensure that there is greater transparency and accountability based on evidence-based monitoring and evaluation. Service delivery will be significantly improved through the continuous generation of sound information for reporting, communication, and the improvement of service delivery.

The City of Johannesburg shall in its quest to monitor and evaluate this policy, employ the results-based monitoring and evaluation approach. The indispensability of employing the results-based (or outcome-based) monitoring and evaluation approach, lies in that, it goes beyond the counting of the policy outputs, activities and resources to enables the City to measure and evaluate the results of the policy, and then provide information for decision-making. Results-based monitoring

and evaluation of this policy will provide feedback on the actual outcomes and goals of the City's actions. Thus, it further addresses the goals of the policy, how they are being achieved in respect of the budgetary, schedule and quality performance and how corrective actions can be done proactively.

Monitoring and evaluation of this policy shall involve the following ten activities or steps as depicted in sequential form below, i.e.:

9.1. Monitoring

- 1) Step one: conducting a readiness assessment;
- 2) Step two: agreeing on outcomes to monitor and evaluate;
- 3) Step three: selecting key performance indicators to monitor outcomes;
- 4) Step four: setting baselines and gathering data on indicators;
- 5) Step five: planning for improvement – selecting results targets;
- 6) Step six – monitoring for results;

9.2. Evaluation

- 7) Step seven – the evaluation in M&E, using evaluation information to support a results-based management system;
- 8) Step eight – reporting the findings;
- 9) Step nine – using the findings, and
- 10) Step ten – Sustaining the M&E system within the organization.

The monitoring and evaluation function of this policy seeks to address the following aspects regarding the performance of interventions emanating from this policy, i.e.:

- a) Compliance with monthly and quarterly reporting of data;
- b) Supporting the department's interventions through provision of formative feedback on progress towards attainment of targets (monthly and quarterly targets);
- c) Providing recommendations on way forward (possible policy expansion), and
- d) Providing an assessment of possible contributions to long term impacts of the policy, and the department.

The aforementioned M&E process will be an inherent part of the City's IDPs and designed to

enhance accountability. Furthermore, this process will be conducted annually or at any time necessary to keep abreast of best practices and methodological changes, as well as for other corrective actions.

10. CONTRAVENTION OF POLICY

As the custodian of this policy, the City through the powers vested in the Accounting Officer (i.e.: the City Manager) needs to ensure the policy's legitimate implementation. The CoJ reserves the right to act, in cases of breach by any party responsible for the implementation of this policy, and in case of any contravention, the City may:

- a) Evaluate the performance of the government officials involved and reserves the right to suspend and/or re-instate until investigation is completed;
- b) Enforce the law in case of any criminality involved, and
- c) Withdraw partnership agreements in case of stakeholders and beneficiaries breaching the terms of this Policy.

11. DELEGATION OF AUTHORITY

In terms of *Sections 59 to 65 of the Local Government: Municipal Systems Act 32 of 2000*, a municipal council must develop a system of delegations that will maximise administrative and operational efficiency and provide for adequate checks and balances, and, in accordance with that system, may delegate appropriate powers." In terms thereof, Council thus delegates all powers and duties to the Accounting Officer which are necessary to enable the Accounting Officer to, i.e.:

- a) Discharge the Policy responsibilities conferred on Accounting Officers in terms of the Municipal Systems Act 32 of 2000 and this Policy;
- b) Maximize administrative and operational efficiency in the implementation of this Policy; Enforce reasonable cost-effective measures for the implementation of this Policy; and proper monitoring and evaluation; and
- c) Comply with his or her responsibilities in terms of Section 115 and other applicable provisions of the Municipal Systems Act (Act 32 of 2000).

The Act further notes that, the Accounting Officer may in terms of section 79 of the Act sub-delegate any PWD Development powers and duties, including those delegated to the Accounting Officer in terms of this Policy, but any such sub-delegation must be consistent with herein above.

12. POLICY REVIEW

This policy will be reviewed every 5 (five) years or when advised to so by the political principals; and the revised policy will be tabled to Council for approval as part of the budget process. This will ensure that the policy on the ESP programme is always effective at addressing the challenges facing the unemployed; women and children; youth; senior citizens; Persons with Disabilities (PWDs), and displaced persons.