



human settlements

Department:
Human Settlements
PROVINCE OF KWAZULU-NATAL

HUMAN SETTLEMENTS POLICY COMMUNIQUÉ

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INDEX

PROJECT APPROVAL AND NHBRC ENROLMENT
PROCEDURE

Page 2

PROJECT APPROVAL AND NHBRC ENROLMENT PROCEDURE

The Policy guidelines for Project Approval and NHBRC enrolment were approved by the MEC for Human Settlements and Public Works on the 9th May 2009. These guidelines aim to create uniformity in the approval process of all projects and ensure that all housing programmes are enrolled with the NHBRC as required in terms of the Breaking New Ground (BNG) Strategy, to enhance the housing product by addressing the quality of housing delivered. It provides a mechanism for retrospective enrolment of projects as proposed in terms of Section 6 of the Housing Consumer Protection Measures Amendment Act, Act 17 of 2007.

1. PROJECT PROCESS

The project process is generally made up of 4 stages. Risk assessment is done in 2 stages. The first is the Project Description Stage (Conditional Approval) and the second is the Project Feasibility stage. The third stage of the project process is the Implementation stage. The final stage is concluded by the project close-out.

1.1 STAGE 1: PROJECT DESCRIPTION (PRE-PLANNING AND CONDITIONAL APPROVAL STAGE)

General Issues

The key risks i.e. Land issues, geotechnical conditions, environmental conditions, social issues, bulk services, planning issues (PSEDS, PGDS, Nodes and Corridors) must be identified and assessed to determine if the project is viable before submission for Stage 1 approval. If approval is granted, NHBRC in project enrolment must take place. Home project enrolment must take place prior to the construction of any house and/or the approval of the subsidy for top structure construction.

The level of detail required at the end of this process will vary depending on the nature of the project. For this reason it is strongly recommended that all authorities (including the NHBRC and Departmental representatives) be contacted upfront to ensure all requirements have been met, details of which are to be summarised in the submission to the decision makers of the Department. This should include the recommended stage for project and/or home enrolment, which should be done prior to the construction of houses.

PLEASE NOTE that:

1) The granting of "conditional approval" does not guarantee final approval of the project. No funds are committed. The budget is indicative only. The aim of granting approval at this stage is to acknowledge that the desktop work has been assessed and that it appears that the project could be supported subject to confirmation through more detailed analysis. In addition to this, obtaining existing technical reports (that serve as the basis for desktop analysis) can indicate some feasibility issues, e.g. historic geotechnical reports that might indicate high water tables, etc.

2) The Housing Code provides for actual expenses incurred in relation to the project description to be paid, once this stage is finalised. Consultants can be paid for the work done, irrespective of whether the project is approved or not. The critical determination is whether the work done was to the required standard. This would be determined by the scope of works. The Department and NHBRC have developed specifications to guide the nature and extent of work to be done, e.g. GHSF2 for geotechnical investigations; GHSF3 for town planning and land assessment work; and GHSF4 for Environmental assessments. These documents are available on www.nhbrc.org.za or on the Department's website at www.kznhousing.gov.za.

1.2 STAGE 2: PROJECT FEASIBILITY

This stage involves more detailed work to address outstanding risks and to finalize the project concept, design and cost. More detailed reports are required in terms of the land, bulks, geotechnical conditions (including topography) environmental conditions and social issues. The specifications should be used to guide the minimum work required at this stage in respect of each of the key activities, see GFSH 2, 3 and 4. The more detailed Phase 1 Geotechnical report is required at this stage and in the context of the variations in respect of rural and insitu upgrade projects. Note also that in most cases where consolidation subsidies are used, the Phase 1 geotechnical investigation might not be required.

The output documents for this stage substantially informs the approval processes in the implementation stage, e.g. development and town planning approvals. Once these issues are clarified and evaluated then submission is made for final project approval. The project is approved in principle, based on a development programme and implementation phases are aligned to the subsidy applicable at the time. The first payment tranche amount for planning and design is aligned to the subsidy applicable at the time of signing the contract, whilst the balance is aligned to the prevailing subsidy applicable at the time of implementation. The project agreement between the relevant parties is signed. NHBRC project enrolment should occur at this stage, alternatively, depending on the nature of the project, the project and home enrolment should occur prior to the approval of building plans by the relevant authority, and approval of funding for top structure construction.

1.3 STAGE 3: IMPLEMENTATION

Project implementation begins after final project approval is granted, and typically construes three phases: town planning and engineering design; services construction; and house construction. The preliminary and Phase 1 geotechnical reports prepared in the preplanning and feasibility stages will substantially inform the town planning and engineering designs. Whereas aspects such as storm water control impact on the NHBRC warranty, engineering designs and layouts should be done in consultation with the NHBRC. In the case of rural projects (Informal Land Rights), the geotechnical requirements may be less stringent, depending on the densities and number of units to be constructed in any particular area.

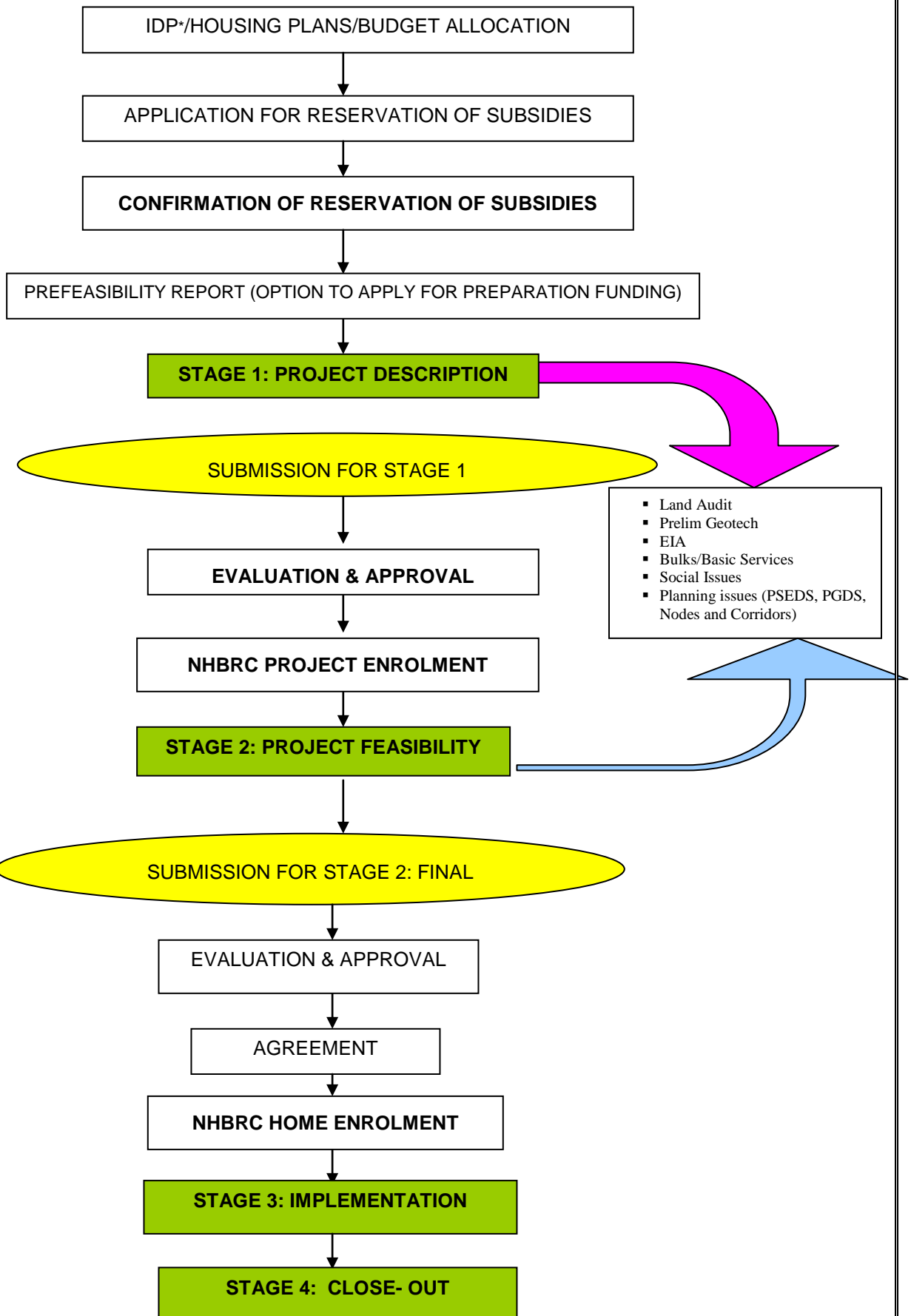
1.4 STAGE 4: CLOSE-OUT

Project close-out is an ongoing administrative process during which compliance, variations and other key aspects are recorded. In the context of this document, it will also include verification that all reports have been received, payments have been made for work done (including NHBRC enrolment fees), and warranty certificates have been issued.

1.5 PROJECT APPROVAL AUTHORITY

All stage 1 and 2 applications must be submitted through the HEAC for approval by the MEC.

KWAZULU-NATAL DEPARTMENT OF HUMAN SETTLEMENTS PROJECT PROCESS



2. CLARITY ON ISSUES RAISED REGARDING NHBRC ENROLMENT PROCESS

A meeting with NHBRC was held on the 28th of February 2012 and a number of issues were raised and the following notes clarifications made by NHBRC:

2.1 GEOTECHNICAL INVESTIGATION

In areas where there are different soil conditions trial pits may have to be done respectively. The NHBRC should be contacted to determine the exact requirements as far as trial pits are concerned to avoid delays with the home enrolment processes. During services infrastructure construction, site by site classification of geotechnical conditions are confirmed (thus concluding the Phase 2 geotechnical investigation report). The home enrolment application and approval of building plans must be submitted at the end of this stage, before top structure construction activities commence.

NB: Checklist forms are attached.

ANNEXURE A1: Phase 1 Project enrolment geotechnical investigation report checklist

ANNEXURE A2: Phase 2 Home enrolment geotechnical investigation report checklist

ANNEXURE A3: Consolidation/infill home enrolment geotechnical report checklist

ANNEXURE A4: Rural home enrolment geotechnical investigation report checklist

2.2 DESKTOP GEOTECHNICAL REPORT FOR EXTRA ORDINARY DEVELOPMENT CONDITIONS

NHBRC noted that for certain soil conditions certain precautionary measures needs to be taken into account in order to mitigate soil conditions and that information should be reflected in the geotechnical report and it is the duty of the regions to verify the report in terms of the obvious facts contained in the report. The report should at least include the following:

- a) Site walk over
- b) General soil classification
- c) Obtain general reports from the geological society e.g. environmental affairs
- d) Visual maps

N.B It was noted that the variation calculator is not intended to enhance the product but to compensate for extra-ordinary conditions that require specific technical intervention.

2.3 APRONS

Aprons are used to mitigate the following:

- Runoff water
- Surface water
- Control soil erosion etc

Aprons are not a requirement in terms of norms and standards but may be required to mitigate one or more of the above mentioned conditions that may compromise the foundation and/ or the structure. The need for aprons has to be identified upfront so that the variation amount could be provided for in the quantum.

N.B For every solution there are precautionary measures (refer to NHBRC technical manual).

2.4 APPROVAL OF BUILDING PLANS

Prior to project approval building plans must be approved by NHBRC and Municipality.

2.5 NHBRC ENROLMENT

The following enrollments need to take place with National Home Builders Registration Council

- Project enrolment
- Home enrolment

-----**END**-----

ANNEXURE A1

NHBRC
TECHNICAL AND OPERATIONS SUBSIDY SECTOR
GEOTECHNICAL EVALUATION

**PHASE 1 PROJECT ENROLMENT GEOTECHNICAL
 INVESTIGATION REPORT CHECKLIST**

1. **Minimum requirements** in accordance with the Geotechnical Site Investigations for Housing Development, Generic Specification (GFSH-2).

Table 1: REPORTING REQUIREMENTS

TABLE 1: REPORT STRUCTURE AND CONTENTS

	YES	NO	N/A
Executive summary			
1. Introduction			
2. Information			
2.1 Description and list of information assimilated and used in the study			
2.2 General location and description of site			
2.2.1 Size of the site investigated & number of test pits excavated			
2.2.2 Locality plan showing extent of site, site boundaries and co-ordinates			
2.2.3 Site description			
2.2.4 Physical description of surface soil conditions (e.g. floodplains, gullies, depressions etc.)			
2.2.5 Comments on prominent water-courses and preferred drainage routes			
2.3 Evaluation procedures used in the investigation			
2.4 Geology and hydrogeology of the site			
2.4.1 Colour Scaled map indicating topographic and geological conditions with legend			
2.5 Geotechnical conditions and constraints including discussion, where relevant, of:			
2.5.1 Ground conditions (outcrops, soil cover etc.)			
2.5.2 Ground water conditions & water table fluctuation			

Name

4. Impact of the geotechnical character of the site on subsidy housing developments				
4.1 Land use				
4.2 Foundations recommendations by site classification units and solutions				
4.3 Installation of services				
4.4 House construction				
4.5 Housing subsidy variations				
4.6 Special precautionary measures				
5. Conclusions and recommendations				
6. Appendices				

Table 4: General

Description	Yes	No	Comments
Were the report and drawings submitted in electronic format?		X	Electronic format required
Does the author (or co-author) appear to fulfill the requirements defined for a Competent Person (Geotechnics) ?	√		

X – Stands for compulsory inclusion (YES/NO)

√ - Stands for NOT compulsory (YES/NO or N/A)

Name

ANNEXURE A2

NHBRC
Technical and Operations Subsidy sector Geotechnical Evaluation

**PHASE 2 HOME ENROLMENT GEOTECHNICAL
INVESTIGATION REPORT CHECKLIST**

Minimum requirements in accordance with the Geotechnical Site Investigations for Housing Development, Generic Specification (GFSH-2 and GFSH-6)

Reporting requirements in accordance with the GFSH-2 document

Table 1: Report Structure and Contents

Description	Included		
	Yes	No	N/A
Executive summary			
1. Introduction			
2. Information			
2.1 Description and list of information assimilated and used in the study			
2.2 General location and description of site			
2.2.1 Size of the site investigated & number of test pits excavated			
2.2.2 Locality plan showing site boundaries with co-ordinates			
2.2.3 Site description			
2.2.4 Physical description of surface soil conditions (e.g. floodplains, gullies, depressions etc.)			
2.2.5 Comments on prominent water-courses and preferred drainage routes			
2.3 Evaluation procedures used in the investigation			
2.4 Colour Geology and hydrogeology maps of the site and legend			
2.5 Geotechnical conditions and constraints including discussion, where relevant, of:			
2.5.1 Ground conditions (outcrops, soil cover etc.)			
2.5.2 Ground water conditions			
2.5.3 Geotechnical conditions of the site			
- Inundation/flooding			

ANNEXURE A3

NHBRC
Technical and Operations Subsidy sector Geotechnical Evaluation

CONSOLIDATION /INFILL HOME ENROLMENT
GEOTECHNICAL

Minimum requirements in accordance with the Geotechnical Site Investigations for Housing Development, Generic Specification (GFSH-2 and GFSH-6) *Part thereof*

Reporting requirements in accordance with the GFSH-2 document

Table 1: Report Structure and Contents

Description	Included		
	Yes	No	N/A
Executive summary			
1. Introduction			
2. Information			
2.1 Description and list of information assimilated and used in the study			
2.2 General location and description of site			
2.2.1 Size of the site investigated, number of test pits excavated & number of Units			
2.2.2 Locality plan showing site boundaries with co-ordinates			
2.2.3 Site description			
2.2.4 Physical description of surface soil conditions (e.g. floodplains, gullies, depressions etc.)			
2.2.5 Comments on prominent water-courses and preferred drainage routes			
2.3 Evaluation procedures used in the investigation			
2.4 Colour Geology and hydrogeology maps of the site and legend			
2.5 Geotechnical conditions and constraints including discussion, where relevant, of:			
2.5.1 Ground conditions (outcrops, soil cover etc.)			
2.5.2 Ground water conditions			
2.5.3 Geotechnical conditions of the site			
- Inundation/flooding			
- Active soils (potentially expansive soils)			
- Excavatibility (excavation to 1,5 m)			

electronic format?				
Does the author (or co-author) fulfill the requirements defined for a Competent Person (Geotechnics) ?				

X – Stands for compulsory inclusion (YES/NO)

√ - Stands for NOT compulsory (YES/NO or N/A)

ANNEXURE A4

NHBRC
Technical and Operations Subsidy sector Geotechnical Evaluation

**RURAL HOME ENROLMENT GEOTECHNICAL
 INVESTIGATION REPORT CHECKLIST**

Minimum requirements in accordance with the Geotechnical Site Investigations for Housing Development, Generic Specification (GFSH-2 and GFSH-6) *Part thereof*

Reporting requirements in accordance with the GFSH-2 document

Table 1: Report Structure and Contents

Description	Included		
	Yes	No	N/A
Executive summary			
1. Introduction			
2. Information			
2.1 Description and list of information assimilated and used in the study			
2.2 General location and description of site			
2.2.1 Size of the site investigated, number of test pits excavated & number of Units			
2.2.2 Locality plan showing site boundaries with co-ordinates			
2.2.3 Site description			
2.2.4 Physical description of surface soil conditions (e.g. floodplains, gullies, depressions etc.)			
2.2.5 Comments on prominent water-courses and preferred drainage routes			
2.3 Evaluation procedures used in the investigation			
2.4 Colour Geology and hydrogeology maps of the site and legend			
2.5 Geotechnical conditions and constraints including discussion, where relevant, of:			
2.5.1 Ground conditions (outcrops, soil cover etc.)			
2.5.2 Ground water conditions			
2.5.3 Geotechnical conditions of the site			
- Inundation/flooding			
- Active soils (potentially expansive soils)			
- Excavatibility (excavation to 1,5 m)			

√ - Stands for NOT compulsory (YES/NO or N/A)