# University of KwaZulu-Natal

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**AN EVALUATION OF THE EXTENT OF COMMUNITY PARTICIPATION IN THE UPGRADING OF INFORMAL SETTLEMENTS: THE CASE STUDY OF JOE SLOVO SETTLEMENT UPGRADING PROJECT IN LAMONTVILLE**

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# COLLEGE OF HUMANITIES

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# ABSTRACT

This research study evaluates the extent of community participation in the upgrading of informal settlements using the case study of the Joe Slovo settlement in Lamontville, KwaZulu-Natal. The study used mixed methods to evaluate the extent of community participation. Primary and secondary sources of information were used to ascertain the views and opinions of community members regarding participation in the upgrading process and to measure the extent of such participation. Semi-structured and structured questionnaires were administered and interviews were conducted with informants. The findings reveal that the Joe Slovo community has partially participated in the project.

The study found that the Joe Slovo community partially participated in the management of the project at the execution phase. It is noted that effective participation in an upgrading project ensures the sustainability and maintenance of such a project. Community members noted that the lack of ownership and responsibility, which should have been facilitated by capacity building and empowerment programmes, had led to maintenance problems. The findings reveal differences between the training programme provided and beneficiaries' expectations. The study recommends communicative, collaborative and partnerships approaches to encourage involvement and create a sense of ownership and responsibility within communities.

# ACKNOWLEDGMENTS

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**LIST OF ABBREVIATIONS:**

BNG         :         Breaking New Ground

CA          :         Cities Alliance

CAP         :         Community Action Planning

CWs         :         Cities without Slums

DAG         :         Development Action Group

GIS         :         Geographic Information System

KZN         :         KwaZulu-Natal

MEC         :         Member of Executive Committee

NGOs        :         Non-Governmental Organizations

PHP         :         People's Housing Process

RDP         :         Reconstruction and Development Programme

SUF         :         Slums Upgrading Facility

UN          :         United Nations

UN Habitat  :         United Nations Centre for Human Settlements

USN         :         Urban Sector Network

## CHAPTER ONE: INTRODUCTION

## 1.1    INTRODUCTION AND BACKGROUND TO THE STUDY

South Africa's post-apartheid government inherited a huge housing backlog of approximately 1.3 million units when it came to power in 1994 (Goebel, 2007 and Knight, 2001). As a result, informal settlements have continued to grow and land invasions take place daily in and around the country's metropolitan cities. Many households reside in informal settlements, usually illegally and without security, since they often settle on land without the consent of the owners.  Informal settlements are commonly located on marginal land subject to environmental degradation, and their relatively unplanned nature, design and incremental growth complicate conventional basic service delivery (Ephraim, 2005).

Apart from the housing backlog, many South Africans, particularly in the urban areas, cannot afford formal housing and hence resort to informal settlements.  However, section 26 of the South African Constitution states that every South African has the right to adequate housing (The Constitution of the Republic of South Africa, 1996:12). Adequate housing is measured in terms of certain core factors including security of tenure, the availability of rent or building costs, clean water, sanitation, cooking facilities, safe buildings, and access to jobs, health care and others services (Haki, 2010:13). Access to adequate housing is a major concern locally and internationally. Peter (2009:28) defines adequate housing as one that is appropriate for the needs of a range of low and moderate income households; and priced so that households are able to meet other essential basic living costs. UN-Habitat (2011:12) notes that affordable

housing is adequate in quality and location and does not cost so much that it prohibits its occupants from meeting other basic living costs or threatens their enjoyment of basic human rights. These definitions reveal that being able to afford adequate housing requires an income or other source of revenue. This is not available to the unemployed.

Many contemporary international planning and urban design movements advocate for the proximity of new housing developments to a variety of socio-economic opportunities (Karina, 2012). In contrast, neo-liberal policies limited the funds available for public, welfare-oriented programmes, meaning that the low-cost housing programme is underfunded, imposing delays on delivery and resulting in poor quality housing that is built on cheap land on the urban peripheries (Huchzermeyer, 2003).

Although housing is a national and provincial government competence in terms of schedule 4 of the Constitution of the Republic of South Africa (1996), local government has an important role to play, since this sphere of government is closest to communities. Section 9 of the Housing Act of the Republic of South Africa (Act 107 of 1997) requires that municipalities ensure that communities falling under their jurisdiction have access to adequate housing on a progressive basis. Solving problems in informal settlements requires that decision-making be informed by the underlying issues facing affected communities. This suggests that communities should be involved in the planning, implementation, monitoring and management of an informal settlement upgrading project.

Community participation in the upgrading of informal settlements can be enhanced by addressing the barriers to participation whilst at the same time taking the necessary steps to promote sustainable participation. Theron (2005a:104) holds the view that community participation is a process whereby community residents are given a voice and a choice to participate in issues affecting their lives. He regards community participation as an essential part of human growth, and argues that through community participation people can establish dignity, self-esteem and own their development process (Theron, 2005b:121).

This study highlights the community participation aspects of informal settlements upgrading and establishes the extent and level of success of community participation in a selected case study, with a view to providing recommendations to improve community participation in informal settlements upgrading. The roles the community can play range from more passive positions to a more pro-active response, where community members are the key development players. These roles will be discussed in order to establish whether or not community participation in the selected case study was effective. Establishing the link between participation and empowerment to engage in decision making would build a common understanding of community participation in the upgrading of informal settlements.

## 1.2    RESEARCH PROBLEM

During the apartheid period, most South Africans were totally excluded from issues pertaining to housing development. Buccus and Mathekga (2006) highlight that citizens

could not question the power of the state; as a result they were regarded as recipients of government rather than participants. They further argue that while there is poor service delivery at local government level, this could be perpetuated by lack of community participation and engagement. In support of the above, Mathekga and Buccus (2006) argue that although the democratic government has made community participation an integral part of housing development processes, it is still overlooked in many development projects (Mathekga & Buccus, 2006).   As a result, many communities have been left on the side-lines of the local government system, instead of playing an active role (Ibid, 2006:14).

Williams (2006:12) is of the view that as much as the legislation makes provision for public participation, many projects tend to carry out the process for the sake of formality. He also argues that communities do not participate in decision making for development because they are simply told what to do. Consequently, the issues raised at community level are often ignored and the implementing agencies, including professionals, developers and project managers who come into the housing upgrade projects with technical skills, often leave the community on the periphery of development.

Thwala observes that community participation is generally more successful when the community takes on much of the responsibility than when higher level public agencies attempt to assess consumer preferences through surveys or meetings (Thwala, 2001). Massyn (2008) argues that the level of local involvement is circumstantial, since there are no rules that prescribe such levels.

Emphasizing the importance of community participation, Hauptmann (2001:398) argues that community participation gives people a better understanding of their own interests and the interests of others, and, in some cases, enables them to see what would be best for the entire group. Therefore, communities should not be viewed as passive participants but as active agents of change and development. Participation should develop people to become more resourceful and should aim to ensure that service and infrastructure delivery is enhanced through community participation. Ballard et al (2008) contend that current debates on participation have highlighted that participation as formally outlined in policy is not working in practice.

According to the Local Government Municipal Systems Act (Act 32 of 2000), the community should participate in drafting a municipality's Integrated Development Plan (IDP); the IDP is required to incorporate a housing chapter. In support of this, the Act requires municipalities to establish appropriate community participatory processes and procedures. With regard to community participation in settlements upgrading, the Housing Act (Act 107 of 1997) indicates that the three spheres of government are required to give priority to the needs of the poor in respect of housing development and to ensure that community participation occurs in development initiatives. However, community participation has continued to be a topic for debate because its implementation is often distorted; therefore, corrective action is required.

The National Housing Code (2009) notes that, in order to ensure that community members assume ownership of their own development and projects, community involvement should be the key from the onset. Hence, community participation should

be undertaken within the context of a structured agreement between the community and the municipality. The Housing Code further observes that community involvement is of the utmost importance in all aspects of settlement upgrading processes because the community has deep-rooted knowledge of its development needs and preferences (National Housing Code, 2009:30).

This research study uses a selected case study to ascertain whether community participation occurred to a level where community members became involved in decision-making during the planning and execution of the upgrading of an informal settlement. The study also aims to examine community participation with a view to deriving lessons as well as making suggestions to improve the level of participation in future informal settlements upgrading projects.

## 1.3    AIMS AND OBJECTIVES OF THE STUDY

### 1.3.1  Aim of the Study

The research study's ultimate aim is to ascertain whether community participation occurred to a level where community members became involved in decision-making during the planning and execution of the upgrading process at Joe Slovo informal settlement in Lamontville. It examines community participation under full participation, partial participation and no participation with a view to deriving lessons as well as making recommendations to improve the level of participation in future informal settlements upgrading projects.

### 1.3.2  Research Objectives

This research study aims to find a practical and workable approach to involve communities in the upgrading of informal settlements. The following objectives are therefore addressed:

- To evaluate the level of community participation in the upgrading of the Joe Slovo settlement in Lamontville.

- To evaluate the standard of services or outcomes provided by the Joe Slovo settlement upgrading project

- To determine the level of success and challenges of community participation in the selected case study.

- To make recommendations for the improvement of community participation in informal settlements upgrading projects.

### 1.4  RESEARCH QUESTION

What is the extent and level of success of community participation in the selected informal settlement upgrading project and what are the challenges faced in the informal settlement upgrading project?

### 1.4.1  Subsidiary Questions

This research study aims to establish the level and success of community participation in the upgrading of informal settlements. The study, therefore, hopes to answer the following questions:

- To what extent has the community participated in the Joe Slovo informal settlement upgrading project?
- What were the benefits after the completion of the Joe Slovo informal settlement upgrading project?
- What were the successes and challenges of community participation in the selected case study?
- What were the experiences of community participation in the informal settlement upgrading project in the selected case study?
- How effective was community participation in the selected informal settlement upgrading project?
- What recommendations can be made to improve community participation in informal settlements upgrading projects?

### 1.5  HYPOTHESIS

The objectives of informal settlements upgrading are better realized when communities participate in the process.

## 1.6    DEFINITIONS OF TERMS

Understanding this topic demands an overview of concepts relating to community participation; informal settlements and finally informal settlement upgrading. The following meanings have been ascribed to the following important concepts as used by different scholars (Michael, 2004; De Beer, 1998; Oakley et al, 1991; Williams, 2006; Shatkin, 2004; Potsiou, 2006; Abbott, 2002).

### 1.6.1   Community Participation

According to Williams (2006:197), community participation is the direct involvement/engagement of ordinary people in planning, governance and overall development programmes at local or grassroots level. Brown (2000:173 cited in Theron) states that community participation is the active process by which beneficiary groups influence the direction and execution of the project rather than merely being consulted or receiving a share of the project benefits. In this study, community participation will be examined to ascertain the extent to which participation occurred in the upgrading of an informal settlement.

Williams (2006:199) states that the nature of community participation depends to a great extent on the nature of organization and mobilization at the grassroots level as well as the programmatic purpose of such participation. He emphasizes that, "Community participation is quite clearly not an unproblematic engagement of contestatory power relations". On the contrary, he points out that community

participation is often driven by specific socio-economic goals that seek to ensure a 'better life for all', especially for those who were historically marginalized during successive colonial-cum-apartheid regimes in South Africa.

In this regard, participation leads to improved project design and effectiveness through (1) organizing the expression of demand, which allows a project to provide what people want at a price they are willing to pay; and (2) accessing local knowledge, which helps take all relevant factors into account in the solutions proposed by a project (Improve and Juff, 2003). From the above definitions, one can divide community participation into three sub-categories: full participation; partial participation and no involvement of a community in a given project. The concept of participation is best defined by Arnstein (1969) Lehman (1999) and Annegret et al (2012).

## 1.6.2  Full Participation

Full participation of a community in a given project implies an intimate linkage to the identification of people with their community (Annegret et al, 2012). This enables a community to negotiate and engage in trade-offs with traditional power holders; it also delegates managerial power (Arnstein, 1969). Karen (1999) adds that full participation means that the activities and supervision of these activities are the responsibility of community-based leadership.

### 1.6.3  Partial Participation

Partial participation refers to consultation, being informed and having some say in community projects (Arnstein, 1969). Community-based leadership is involved to some extent in the management of activities, but does not control them (Karen, 1999). Furthermore, collaboration is managed by an outside expert.

### 1.6.4  No Involvement

Clearly, this means that the community does not participate at all. Arnstein defined no involvement as "nonparticipation", where some community members substitute for genuine participation. The emphasis here is not to enable people to participate in planning or conducting programmes, but to enable power holders to 'educate' or 'cure' the participants (Arnstein, 1969). These reflect manipulation and therapy at the same time. According to Karen (1999), no involvement means that community members or leadership do not decide on resources allocation or supervise activities. In other words, the community remains inactive.

### 1.6.5  Informal Settlements

According to Shatkin (2004), an informal settlement is a shelter crisis, as the number of people who cannot afford legal housing and consequently settle illegally in informal settlements has increased in both absolute and percentage terms. He adds that informal settlements are 'forgotten places' in the global era.

Potsiou (2006) summarizes the most common forms of informal settlements as:

- "Squatting on state-owned land and shanty construction, which is the case in many countries of Africa, Latin America, and Asia. This type of housing is extralegal from the beginning and is constructed in violation of a variety of laws. It creates slums and frequently the state authorities are in conflict with the occupiers whenever they attempt to establish controls.

- Purchase of agricultural land, subdivision of it into smaller parcels, and illegal conversion of the land use from agricultural into housing or industrial settlements or conversion from industrial into housing.

- Construction without permission on legally owned land parcels; making "semi-legal" or illegal transactions mostly without a formal registration (especially those related to inheritance) at the cadastre or the land registry.

- Constructing illegal building extensions, such as to add more stories on a legal one-storey building, which is common, for example, in Egypt due to the high taxation and bureaucracy.

- Illegally subdividing apartments and renting or leasing them at high market prices, which may be the case in some countries in transition, but also occurs in major cities in developed countries where the illegally subdivided apartments are rented to immigrants."

In the South African context, the KwaZulu-Natal Elimination and Prevention of Re-Emergence of Slums Bill (2006:5) defines informal settlements as areas of unplanned and unapproved informal settlements of predominantly indigent or poor persons with poor or non-existent infrastructure or sanitation.

## 1.6.6  Informal Settlements Upgrading

The term 'informal settlements upgrading' does not have a clear and concise definition. According to Abbott (2002), it applies to any sector-based intervention in the settlement that results in a quantifiable improvement in the quality of life of the affected residents. This means that there are a range of potential interventions and, as a result, a number of different approaches have emerged. However, this term is used to describe measures to improve the quality of housing and the provision of housing-related infrastructure and services, including water and sanitation, to settlements that are considered to be or are officially designated as slums, including those that developed illegally.

## 1.7    MOTIVATION FOR THE STUDY

Misselhorn (2008:3) observes that the principles of alternative upgrade approaches that are participative, flexible and integrated are enshrined in key policies such as Chapter 13 of the National Housing Code and 'Breaking New Ground'. For example, section 4 1(b) of Act 4 of 2001 part 1 of the Housing Code stipulates that consultation with communities as well as other community-based bodies should take place before development projects commence. However, these principles have not been put into practice to any meaningful extent in South Africa.

In light of the above, the researcher decided to assess the level of community participation in the upgrading of informal settlements so as to derive possible solutions to the challenges that are being faced by communities in this regard. The experiences of the Joe Slovo informal settlement upgrading project in Lamontville will offer the opportunity to establish the extent to which the community has participated in order to predict the replicability of the approaches. In so doing this research study develops and assesses overall participation in upgrading the informal settlement in Lamontville. With regard to improved living conditions and standards, the dissertation evaluates the extent to which the community itself has been active in the upgrading of the Joe Slovo informal settlement. With regard to the objectives of the project, this research study aims to assist policymakers, officials, and practitioners to identify policies and procedures that are appropriate at the local level as they design and manage the upgrading of informal settlements.

## 1.8    STUDY AREA

The Joe Slovo Informal Settlements is an area within the township of Lamontville, south of Durban, next to Mobeni. Lamontville was laid out in 1930 and named after the Reverend Archibald Lamont, then Mayor of Durban. It is an oldest Durban African township. According to Makhathini (2013), Lamontville was built with an intention to accommodate members of the aspiring African middle class and thousands of people working in the nearby south Durban industrial areas.

Stephen Lane and Faizal Khan (2006) argued that the Joe Slovo Informal Settlements in Lamontville was founded by a group of women in 1993 which most of them were renting in the area but couldn't afford to pay the rent after having lost their domestic worker jobs. In 1998 those women applied for the Reconstruction and Development Programme (RDP) houses and they were promised decent housing for year 2000 by the late Mec for Housing Mr Dumisani Makhaye.

In 2002 half of the people that resided in Joe Slovo had to be relocated to Welbedacht which left their renters homeless and they eventually started to build new shacks in 2003 which were all torn down. In the same year 2003; 200 houses were built, however there was a lot of corruption and malpractices around the issue of housing allocation in a sense that most houses were allocated to outsiders.  In addition to that, the houses were also smaller than the shacks and had some leaks. After a period of time the people were eventually given official site numbers as occupants; and during that time of official allocation of sites, the residents of Joe Slovo Informal Settlements thereafter

gained the right to upgrade on their own land and the municipality contracted out 236 in-situ upgrades for one-roomed houses.

In essence, the Joe Slovo Informal Settlement Upgrading project emerged through the Slums Clearance Project. The KwaZulu-Natal provincial Housing Department, which administers funding for housing development, established a Slums Clearance Programme, and made funds available for the development of informal settlements. The programme aimed at the following:

- Accelerating the clearance of informal settlements by providing formal houses to informal settlements dwellers,

- Rehabilitating informal settlements by undertaking an in-situ upgrade,

- Upgrading slums to acceptable levels, and

- Resettling excess families to Greenfields projects (Department of Housing, KwaZulu-Natal, 2002).

The eThekwini Municipality's informal settlements programme consists of both upgrading existing settlements, through the provision of services and tenure, and the development of new 'Greenfield' land which will provide relocation opportunities for those having to move from settlements which are considered technically unviable for upgrading. The attached map shows the Locality of Lamontville and the location of Joe Slovo Informal Settlements in Ward 75:

**Figure 1: Lamontville Contextual Map depicting Joe Slovo Settlements**

**Source:** Department of Cooperative Governance and Traditional Affairs: GIS Section, 2012

## 1.9    OUTLINE OF THE STUDY

This study is divided into five chapters. **Chapter One** is an introductory chapter that describes the research problem, aims and objectives, research questions, research hypothesis, definition of terms, motivation for the research study, and the study area.

**Chapter Two** provides a literature review to establish a conceptual and theoretical framework for the study, and local and international perspectives on community participation and upgrading informal settlements in order to assess the extent to which the Joe Slovo community has participated in the informal settlement upgrading project that aims to improve their standard of living. This chapter provides a comprehensive survey of prior research on community participation in the upgrading of informal settlements. In so doing, it examines local and international experiences of participatory approaches in upgrading informal settlements.

**Chapter Three** covers the methodology of the study, the data collection process and instruments used to analyze the data.

**Chapter Four** provides an analysis of the primary and secondary data and discusses the study findings.

**Chapter Five**, which is the final chapter, presents a summary of the key findings and recommendations emanating from the study and provides a conclusion to this study.

## CHAPTER TWO:
## LITERATURE REVIEW AND THEORETICAL FRAMEWORK

## 2.1    INTRODUCTION

This chapter examines local and international literature on community participation in the upgrading of informal settlements in order to provide a conceptual framework for the study. It also examines bottom-up and people-centred approaches and theories to the upgrading of informal settlements.

According to Arimah (2010), the developing countries have adopted several strategies to tackle the problem of slums and informal settlements. These include benign neglect; forced evictions and demolition; resettlement or relocation; programmes to upgrade slums; and, most recently, the adoption of enabling strategies. This dissertation examines the last-mentioned strategy – i.e. upgrading an informal settlement in South Africa.

Urban development and planning initiatives in developing countries that emphasize collaborative planning are changing the morphology of our cities. Collaborative urban service provision and development approaches, based on community participation, in municipalities, agencies and non-governmental organizations (NGOs) have changed the face of the upgrading of informal settlements (Abbott, 2002; Imparato and Ruster, 2003; UN-Habitat, 2003; DAS & Takahashi, 2009).

Fifty percent of the estimated world population of 6.6 billion (UN-Habitat, 2007) lives in cities and 1.06 billion people (approximately 32% of urban dwellers) live in informal settlements

(Andrea, 2010). The top-down approach, alongside centralized planning, has failed to upgrade basic living conditions in informal settlements (Cities Alliance, 1999; World Bank Group, 2001). In this case stakeholders have not achieved the desired results, despite harnessing the skills of non-governmental actors (Mitchell-Weaver and Manning 1991, Plummer 2002).

The 1980s witnessed an important shift from centralization to the decentralization of the upgrading of informal settlements, with an emphasis on the participatory approach which puts people at the centre of their own destiny. With the help of NGOs, communities began to participate at different levels in the identification, design, financing, construction and maintenance of development projects (Imparato and Ruster, 2003; Mangin and Turner, 1968; Plummer, 2000, DAS and Takahashi, 2009).

Arimah (2010) argues that upgrading projects involves employing locality-based improvement strategies, to address obsolescence and decay in slum areas through the provision or improvement of basic services and physical infrastructure. These programmes are not without their critics. Arimah (2010) pinpoints low levels of investment, failure to follow up maintenance, little or no input from beneficiaries, lack of ownership on the part of beneficiaries, reluctance to pay for improved services, lack of collaborative planning and a failure to improve living conditions as some of the pitfalls of upgrading projects.

To respond to these challenges the World Bank and UN-Habitat initiated two major programmes: the Cities without Slums (CWS) action plan and the Slums Upgrading Facility (SUF) (The Cities Alliance, 2008). CWS is designed to upgrade informal settlements in

order to reduce urban poverty and forestall the growth of future slums. The SUF (UN-Habitat, 2004) has the key objective of mobilizing funding to upgrade informal settlements. Both programmes emphasize the need to build stakeholder relationships to manage the projects.

Community participation occurs differently at different stages of upgrading projects. During the planning and design of a project, there is little community involvement, while such participation increases during implementation and post-implementation. With the help of NGOs, communities are empowered to participate effectively in such projects.

Africa has the highest number of people living in urban informal settlements in the world. It is estimated that 70% of Africa's urban population lives in informal settlements (Arimah, 2010). Mulama (2009) estimated that 62% of the population in sub-Saharan Africa live in informal settlements without basics services. The UN notes that 400 million people in Africa live in urban areas; this figure is expected to exceed 750 million by 2030 (Pieterse, 2009 cited in Andrea, 2010). In Asia, 41% of the urban population lives in informal settlements; while the corresponding figure for Latin America and the Caribbean is 37% (Arimah, 2010).

Informal settlement in Africa can be categorized into four types of countries. The first is characterized by low levels of income, spiralling poverty and the rapid pace of urbanization (Arimah, 2010).The second group consists of countries that have a high rate of informal settlement, while the third is characterized by a moderate rate of informal settlement (40-59%). Finally, and interestingly, the fourth group, consisting of Algeria, Egypt, Libya, Morocco, South Africa, and Tunisia, has a less than 40% rate of informal settlement, at the

same time as exhibiting higher income levels, more stable economies, lower rates of poverty, and moderate to low urban growth rates (Arimah, 2010). According to *State of the World Cities* (2011) Morocco has moved 2.4 million people out of slums over the past 10 years, a 45.8% reduction in slum prevalence, due to strong political leadership, clear targets and adequate budgetary allocations. In turn, Egypt reduced its proportion of slum dwellers by 39%; slum prevalence fell from 28.1% of the urban population in 2000 to some 17.1% in 2010.

In Egypt, the government initiated programmes to resolve and reduce the prevalence of informal settlements. The strategy adopted by the government is to construct mass public housing. However, due to its inability to satisfy the demand for housing (Cities Alliance, 2008), the gap between demand for and supply of houses has widened year after year.

In most developing countries, public housing programmes have proven unable to deliver the number of houses needed to match the growth of the urban population and the increase in rural-urban migration by the rural poor. The result has been the proliferation of uncontrolled slums around the cities.

The World Bank Group (1999-2001) defines slums or informal settlements as "neglected parts of cities where housing and living conditions are appallingly lacking. Slums range from high density, squalid central city tenements to spontaneous squatter settlements without legal recognition or rights sprawling at the edge of the cities. Some are more than fifty years old; some are land invasions just underway".

The World Bank Group notes that a lack of basic physical infrastructure such as potable water, wastewater, solid waste systems, electricity, roads and emergency access; as well as a lack of basic community services such as educational, health and social facilities are features of informal settlements. Fundamental to the upgrading of these settlements are a "clean water supply and adequate sewage disposal to improve the well-being of the community. But fundamental is legalizing and regularizing the properties in situations of insecure or unclear tenure. But this physical improvement is only the beginning: health issues need to be addressed, school facilities, and programs to increase income-earning opportunities. Upgrading is the start to becoming a recognized citizen" (the World Bank Group, 1999-2001).

Given that the people who are beneficiaries of upgrading projects know best what their needs are, the bottom-up approach is appropriate. In their collaborative work over a 15 year period, Hamdi and Goethert (1997) developed a participatory approach known as "Community Action Planning". This approach has become an internationally recognized model for community participation. Gonzalo and Massyn (2008:3) point out that community participation is usually associated with the bottom-up approach; it targets 'grass roots' development and is said to help build self-reliance in beneficiary communities. Community Action Planning allows communities to decide on the level of services they want. As the World Bank Group (1999-2001) notes, communities know their area and the problems they face better than development practitioners. Community participation allows beneficiaries to make inputs and helps to determine the nature of a project as well as create a sense of ownership of a project to improve living conditions.

## 2.2    COMMUNITY PARTICIPATION APPROACH

The participatory approach represents a rejection of the top-down approach, which vests power and decision-making in the hands of external development professionals. In the participatory approach, all stakeholders share ownership of decision-making. Based on the above, Bassett et al (2003:27) identify three important characteristics of community participation; while effective community participation is a critical ingredient for the success of upgrading projects, it is also necessary to ensure the sustainability of project interventions as communities will be keenly interested in maintaining services and facilities that they helped to plan and pay for.

Finally, participation is seen as contributing to processes of democratization and empowerment. Herbert Werlin (1999:1530) observes that without substantial community support and initiative, slum upgrading is difficult, if not impossible. Community co-operation is particularly important when it comes to resolving questions of tenure, mutual help, relocation, compensation, the type or quality of services, charges, tax or fee collection and enforcement of requirements. Bassett et al (2003:27) maintain that ethnicity is one of the fault lines for 'community' within African settlements. This refers to immigrant communities who have settled on land that is not customarily theirs. Another fault line relates to how best to configure participatory opportunities so that they are acceptable to all parties. Participatory approaches have also been criticized for their failure to empower stakeholders to engage with planning and decision-making as well as their inability to gain consensus on the part of all stakeholders (Bassett et al, 2003).

Cities Alliance's (2008) case study of Manila in the Philippines notes that the vision was to influence socio-economic opportunities in areas beyond the city's political and administrative boundaries.   However, Manila's affordable housing policy and programmes were not able to socialize housing on their own. Capacity building among all stakeholders, including national government agencies, local government and community associations is required to ensure continuity and the replication of viable housing projects. Herbert Werlin (1999) makes the same point with regard to public sanitation facilities.

A case study of Tegucigalpa in Honduras revealed a partnership between government and the community; the government planned and provided technical support while the community organized a work force to build, maintain and administer a water supply project (Choguil, 1996).  Government's role in providing a legislative framework was an important factor in minimizing failure. There are a variety of ways to encourage community participation in upgrading informal settlements; these are, however, dependent on adequate government support and on the rejection of top-down approaches that are insensitive to community opinion.

In Mumbai, India, the vision was to dramatically increase housing availability and affordability; to upgrade slums through an equitable slum redevelopment strategy, and to upgrade other infrastructure. The programme had limited success because of the high density of settlements and the reservation of land for different uses (Cities Alliance, 2008).

In São Paulo, Brazil, the municipality's housing policy has prioritized the upgrading and titling (tenure) regularization of slums (Cities Alliance, 2008). This programme was

characterized by a sense of commitment as well as a partnership between the government and the community. Choguil (1996) points out that support from the São Paulo municipality and the willingness of community to be trained to purchase and construct housing added to the positive achievements of the projects.

There are many spatial differences between the informal settlements in Mumbai and São Paulo.  In Mumbai, the informal settlements are spread all over the city; while in São Paulo they are concentrated in seemingly predetermined localities. In addition, the quality of housing in the informal settlements in Sao Paulo is superior to what one finds in Mumbai (Cities Alliance, 2008).

The upgrading of informal settlements is not restricted to housing construction or the upgrading of existing buildings; but aims to improve the social conditions of communities, improve access to life skills and to upgrade living conditions (Cities Alliance, 2008). Michael (2008) observes that  a community driven participatory planning process, supported by NGOs and agencies, enabled beneficiaries to be actively involved in the transformation of their living conditions in Kitale, Kenya. Michael adds that cities needed a bigger forum and a louder voice to bring their issues to the fore of public life, for example, a dedicated cable channel to promote key messages and good news about cities such as São Paulo (Cities Alliance, 2008).

In Lagos, Nigeria, informal housing tends to occupy marginal land. However, Lagos aims to be an organized, liveable, business and tourism-friendly and sustainable city (Cities Alliance, 2008). It therefore launched a programme to upgrade the informal settlements.

The project was stymied by the fact that government officials assumed that they knew the needs of communities. UN-Habitat (2009) argues that participation and public–private partnerships are innovative approaches to solving problems in informal settlements. Participation in planning processes can empower communities and build social capital; this can lead to ownership of improved urban strategies.

In Ekurhuleni Municipality in South Africa, informal settlements suffer a range of environmental problems associated with a lack of basic services, such as unhygienic conditions, the risk of fire, smoke pollution, and health problems (Cities Alliance, 2008). The municipality adopted the "Upgrading for Growth" programme, aimed at uplifting informal settlements, and incorporating the development of the community's socio-economic capital as part of a housing plan. The programme was initiated in partnership with the Cities Alliance and was based on a sustainable livelihoods approach which regards people as the centre of all activities. The outcome revealed satisfactory community participation but limited capacity and unemployment in the deprived communities (Cities Alliance, 2008).

Both the Ekurhuleni and eThekwini Municipalities (2011) have pointed to the importance of community participation, which enhances the understanding of the complexities within informal settlements. Since informal settlements continue to grow, the municipalities are charged with providing appropriate services to particular settlements.

Community participation in development projects is important because, generally, people take responsibility when they feel a sense of ownership. According to Reitbergen-McCracken (1996), participation in practice is a process through which stakeholders

"influence and share control over development initiatives, decisions, and resources that affect them." Schmidt (1996), points out that participation is a process whereby people, especially disadvantaged people, influence policy formulation and control design alternatives, investment choices, management and monitoring of development interventions in their communities. Some communities are able to organize themselves without any outside help (e.g. from government, NGOs etc). These communities have the power to ask for assistance from the government and secure better services (Choguil, 1996). On the other hand, some community organizations depend fully on help from government and other agencies; these communities are in a weaker position.

Choguil (1996) used Arnstein's rungs to present the ladder of participation in the underdeveloped world as a progressive improvement on infrastructure models. These rungs have eight levels, expressing people's participation in development projects. The following steps are suggested to improve community participation for underdeveloped countries: empowerment; partnership; conciliation; dissimulation; diplomacy; informing; conspiracy and self-management.

Choguil (1996) suggests that empowerment and self-management are the core levels of community participation in development for underdeveloped countries. These two levels give communities more influence in decision-making in a project, and promote successful results, especially when the government is unwillingly to respond to their needs (Choguil, 1996).

A case study of a low income neighbourhood association in Brazil shows that community empowerment has had a remarkable impact on upgrading living conditions in certain communities (Cities Alliance, 2008). As noted earlier, in Honduras (Tegucigalpa) a stakeholder partnership focuses on training for construction, administration, and maintenance during the project process as well as financial responsibility based on an agreement with all stakeholders. This has had a positive impact on the project. However, when it came to reconstruction following the tsunami, community participation in reconstructing the city was dependant on the commitment of NGOs as well as the affected community (Chang et al, 2011).

Community participation can therefore be seen to play a critical role in any development project. Participation aims to make people embedded in three aspects of their lives; the socio-economic, environmental and political aspects. Imparato and Ruster (2003) are of the view that the participatory approach to urban upgrading and shelter projects ensures that communities' basic needs are addressed, as people take ownership of their living conditions during planning and decision making (Mohammad, 2009).

Imparato and Ruster, (2003:20) define participation as a process in which people, especially disadvantaged people, influence resource allocation and policy and programme formulation and implementation, and are involved at different levels and degrees of intensity in the identification, timing, planning, design, implementation, evaluation, and post-implementation stages of development projects. However, the application of this definition in a case study of the Tijuana community illustrates fairly small-scale as well as relatively simple public-private partnerships for community support. Huchzermeyer (2006) argues that

such partnerships have the potential to create new informal settlements upgrading programmes that could prevent the exclusion of beneficiaries on the basis of their ability to access a capital subsidy under the housing scheme.

In summary, in order for a community participation approach to be successful, certain preconditions are necessary. According to UN-Habitat (2009) some of these relate to the political context, including a legal basis for participation and the availability of resources for upgrading projects.

## 2.3    UPGRADING APPROACH

Scholars have defined upgrading in different ways and attached different meanings to it. Some refer to the upgrading approach in informal settlements as consisting of physical, social, economic, and environmental improvements carried out in partnership with citizens, community groups, businesses, and local authorities (Cities Alliance, 1999; Rolalisasi, 2007; Michael, 2008). Thus, it is considered a process of improving the living conditions of the beneficiaries.

The upgrading approach adopted in the first generation of slum improvement during the 1970s and 1980s was based on John F. C. Turner's inputs (Herbert Werlin, 1999). Turner argued that government prerogatives are limited to providing basic environmental improvements and public goods to citizens; this enables slum dwellers to progressively upgrade their living conditions. It was found that this led to positive improvements in Calcutta, Jakarta and Manila even though these were uneven (Herbert Werlin, 1999). A

solution to the government's limitations in providing basic needs and public services is providing secure tenure through legal and administrative procedures.

The Cities Alliance (2003) observes that during the 1970s, state intervention programmes dominated public housing, while in their development processes NGOs combined official policy and informal practice. With support from NGOs, people in informal settlements succeeded in developing and building themselves houses. At this time controversy raged among international agencies regarding the best approach to upgrade informal settlements.

During this period, especially in Africa (Gulyani and Basset, 2007:489), there was a shift in the conceptualization of upgrading as an intervention focusing on housing to one that is quintessentially about infrastructure, that is, the focus is on improving access to basic urban infrastructure and services. It was observed that the upgrading approach is a viable, low cost and effective way of helping beneficiaries with regard to their need for shelter, land and services.

The 1980s were characterized by the first large scale upgrading, integrated projects. Land tenure emerged as a major issue and local NGOs started to take the lead. The decentralized approach to upgrading also came to the fore (Gulyani, 2002). Two types of approaches prevailed during this period. The first was the provision of sites and services, and the second, in-situ slum upgrading. Banks were the predominant funders of upgrading projects (Genevieve and Gulyani, 2002).

During this period, Indonesia's Kampung Improvement Programme adopted a city-wide approach, while El Salvador and Madras' (Chennai, India) Sites and Services projects focused on slum mitigation by supplying land and services (Gulyani and Basset, 2007). The informal settlement beneficiaries and NGOs pointed to the benefits of including communities in decision-making and adding broader development objectives. At the same time, international agencies increased, but subsequently decreased, support for upgrading informal settlements.

In Africa, countries characterized by stable economies and higher levels of income managed to retain the assistance of international agencies in upgrading informal settlements. Countries such as Ghana, Tunisia, Senegal, and Morocco asked aid agencies to continue their support for slum upgrading (Gulyani and Basset, 2007, Arimah, 2010). The focus during this period was the shift in government intervention to public infrastructure, while housing development was allocated to the private sector (Gulyani and Basset, 2007). In addition, most of the projects were managed by NGOs at small scale level, with communities participating in improving living conditions.

The lessons learnt during this period include that upgrading informal settlements is a process and that the beneficiaries of such projects should be involved in decision-making based on the fact that they know their communities and the issues confronting them (Gulyani, 2002). An evaluation of past upgrading projects reveals both negative and positive outcomes for beneficiaries. On one hand, the projects had a significant impact on housing and improvements in the living conditions of beneficiaries. On the other hand, upgrading was negatively impacted by policies and procedures (Genevieve and Gulyani, 2002).

During the 1990s, the upgrading approach was characterized by a strong civil society, NGOs and an increase in community participation. Security of tenure was widely recognized as key in upgrading informal settlements. However, according to Genevieve and Gulyani (2002), one of the challenges was for urban policy makers to integrate projects and planning at local level with input from different stakeholders. In addition, international agencies and governments moved to large-scale upgrading. Programmes in Jordan, Morocco, and Tunisia began to assume a national scope, but land and local government issues persisted in slowing progress (Gulyani and Bassett, 2007). During this period, there was also a shift by the World Bank from funding small slum upgrading and sites and services loans that served low income communities to large-scale policy-related loans in housing finance, adjustment loans, and privatization of public services (IHC, 2008).

In parallel with local government development initiatives, the 1990s also witnessed the emergence of 'community-oriented' programmes that aim to deliver services directly to communities in response to their priorities (Mansuri and Rao, 2004). These programmes aimed to involve beneficiaries in implementation and maintenance.

Turner's theory points to three interrelated viewpoints based on the bottom-up development approach. The first is the benevolent viewpoint, which is based on the understanding that community members will help one another by any means. The second is of hostility on the part of bureaucracies and the third is participatory and humanistic management as against scientific and coercive administration (Werlin, 1999). Bassett et al (2003:24) note that during the application of this approach in the 1990s, projects did not simply focus on physical improvement of settlements; they also worked to build communities through

support of community-based organizations and facilities, facilitated the economic expansion of the informal sector through providing facilities, training, and financial support; and even reworked on a piecemeal basis key urban institutions, such as regulatory and tax frameworks.

Gulyani and Basset (2007:496) add that, in order to be successful, upgrading projects in Africa should emphasize security of tenure. Furthermore, upgrading initiatives need to improve infrastructure, which extends to ownership as well as living conditions (Gulyani and Basset, 2007). While implementation experiences in African projects vary from project to project, projects often experience time and cost overruns due to their complexity (Bassett et al, 2003). Civil works and infrastructure projects were generally completed within time, but the soft components of the projects such as land titling, loan programmes, and effecting cost recovery take time to be completed (Bassett et al, 2003). The following section reviews experiences using the bottom-up approach.

## 2.4    BOTTOM-UP APPROACH

The bottom-up or participatory approach suggests that the beneficiaries should be at the centre of any project. According to Choguil (1996) there are two main objectives of community participation: one is to build or upgrade, by mutual help, physical or social infrastructure or houses in their neighbourhood, the other is to influence decisions in the political arena. Based on the above definition, it is important to evaluate the extent to which the Joe Slovo community in Lamontville has participated in the upgrading of the informal settlement. Gonzalo and Massyn (2008:3) note that the bottom-up approach is associated

with community participation. As such, it starts at the grass roots and helps to build self-reliance in beneficiary communities. The bottom-up approach is the opposite of the top-down approach, where decisions are made at the top without consulting the beneficiaries. Gonzalo and Massyn add that, in South Africa, the bottom-up approach has taken the form of the People's Housing Process (PHP). National government explicitly promotes the active participation of beneficiaries in the development of housing.

The bottom-up approach is referred to as 'demand-driven by communities' rather than supply-driven, as it supports communities who are ready to implement improvement projects and allows a great variety of responses, tailored to each community's needs, priorities and possibilities (Somsook, 2005). The recent land policy reforms to improve informal settlements in sub-Saharan Africa used innovative tools in order to, amongst other things improve tenure security for the poor. This is in accordance with the bottom-up approach (Paul and Zevenbergen, 2007).

## 2.5    THE JOHN TURNER APPROACH TO SELF-HELP HOUSING

The relationship between this study of community participation and the John Turner approach to self-help housing is that they both relate to the participation of the residents of human settlements. Turner views security of tenure as playing a crucial role in the improvement of human settlements. For him, communities participate in self-help projects in order to improve their financial status. He regards these programmes as of great benefit to poor communities as they provide beneficiaries with technical skills and to some extent, the use of family labour makes projects cheaper and more affordable to low-income groups.

Turner does not however, take the wider economic context into account when describing informal and/or illegal settlements and their inhabitants (Mathey, 1992:383). Rather, he is concerned with the value of housing for the individual resident; his ideas on community participation are linked to a theory of two-step intra-urban migration (Marcussen, 1990:1). In this sense, Turner is concerned that urban communities should engage in ways to overcome their disadvantages so that they have decent housing.

Turner's argument is based on user control. The use of family labour makes the improvement of housing cheaper and more affordable for low income groups because improvements are spread over time and only made if the household can afford them. Turner notes that the importance of housing lies not in what it is, but what its effects are on people's lives. He observes that deficiencies and imperfections in people's housing are infinitely more tolerable if they are their own responsibility, rather than somebody else's.

When dwellers control major decisions around housing and are free to contribute to the design, construction and management of their settlements, both the process and the environment produced stimulate individual and social well-being. Conversely, when people neither have control over, nor responsibility for key decisions in the upgrading process, the dwelling environment may become a barrier to personal fulfillment and a burden on the economy. Turner consequently concludes that good results in housing improvements are more common when the process is locally produced through local network structures.

## 2.6 THE MONITORING AND EVALUATION APPROACH

This section examines monitoring and evaluation of development projects. The World Bank (2002:5) states that monitoring and evaluation (M&E) of development activities provide different organizations with the opportunity to learn from past experience, improve service delivery, planning and the allocation of resources, and demonstrate results as part of accountability to key stakeholders. In this regard, participatory methods, which allow for all project stakeholders to be involved in decision-making, produce better results and generate a sense of ownership (World Bank, 2002). The main purpose of monitoring and evaluation is therefore project improvement (Sanong, 2003). This study of community participation in the upgrading of the Joe Slovo informal settlement in Lamontville also assesses the monitoring and evaluation mechanisms used.

Sanong (2003) defines evaluation as a field of applied science that seeks to understand how successful projects are and the extent to which they fulfill their objectives. Sanong (2003) defines monitoring as a crucial part of project management that is carried out to observe the progress of project implementation and to ensure that all activities and external factors are proceeding according to plan. Since monitoring takes place during project implementation, and this research study was conducted post-implementation, evaluation will be used as a tool to establish the impact of the project on the beneficiaries and the site.

Evaluation comprises three functions to measure the effects of a project (Sanong, 2003). The first distills lessons learned for future operations and disseminates them internally and externally. In this regard, this research study evaluates the upgrading of the Joe Slovo

informal settlement in Lamontville in order to assist decision-makers to adopt appropriate approaches and processes in changing the living conditions of the beneficiaries of such projects. The second function ensures accountability in the allocation and use of resources in order to improve development effectiveness. The third function relates to sustaining the project's benefits. Recommendations will be made in this regard.

Based on the above evaluation functions, any decision maker is accountable for planning, designing and implementing projects. Projects can be evaluated by estimating the magnitude and distribution of positive outcomes and impact indicators among different segments of the target population and assessing the extent to which these changes can be attributed to the intervention (World Bank, 2009). It is essential that a well-designed monitoring and evaluation system is established both during the implementation of a project and on its completion in order to determine whether or not it has achieved its objectives (Roy Brockman, 2009)

The evaluation impact approach systematically identifies the positive or negative effects of a project, intended or not, on individuals, households, institutions, and the environment (World Bank, 2002). The Joe Slovo informal settlement upgrading project aimed to change the living conditions of the inhabitants of the settlement. The fundamental objective of this research study is to assess and monitor the impacts of the Joe Slovo project to determine whether the project reached its intended beneficiaries and whether resources were used efficiently in order to suggest changes in the design of such projects to achieve improved outcomes. Monitoring and evaluation provide feedback, allowing policy makers and

practitioners to design more effective interventions that yield more successful results and use scarce resources more efficiently (Deniz and Christine, 2001).

In monitoring and evaluating projects such as upgrading informal settlements, several key factors need to be taken into account. The first concerns the objectives of the project (Deniz and Christine, 2001). The second is how well the target groups were identified and reached. This involves an examination of the specific needs of the intended beneficiaries.  A third factor is the use of indicators to evaluate effectiveness; i.e. the impact of the project.

## 2.7    EXPERIENCES OF PARTICIPATION IN UPGRADING INFORMALSETTLEMENTS IN SOUTH AFRICA

The community participation approach emerged as a reaction to the top-down approach. It advocates that all the beneficiaries of development projects should be involved in decisions that affect their lives. Williams (2006:199) states that the nature of community participation depends to a large extent on the nature of organization and mobilization at the grassroots level as well as the programmatic purpose of such participation. In light of the above, he emphasizes, "Community participation is quite clearly not an unproblematic engagement of contestatory power relations". Rather, he points out that community participation is often driven by specific socio-economic goals that seek to ensure a 'better life for all', especially for those who were historically marginalized during successive colonial-cum-apartheid regimes in South Africa. In this regard, participation has benefited beneficiaries by improving project design and effectiveness through organizing expression of demand, which allows a project to provide what people want at a price they are willing to pay; and to

access local knowledge, which ensures that all the relevant factors are taken into account in the solutions proposed by a project (Improve and Juff, 2003).

The bottom-up or participatory approach suggests that the beneficiaries should be at the centre of any project. According to Choguil (1996) community organizations have two main objectives: one is to build or upgrade, by mutual help, physical or social infrastructure or houses in their neighbourhood; the other is to influence decisions in the political arena.

In South Africa the government is "constituted as national, provincial and local, spheres which are distinctive, interdependent and interrelated" (Constitution of the Republic of South Africa, section 40(1) (eThekwini Municipality, 2007:33). In this regard, the local sphere, namely municipalities, has the responsibility to play an important role in housing development. Therefore, the eThekwini Municipality has been proactive in its efforts to remove slums. A set of programmes has been put in place which draws on international as well as national and provincial experiences. This includes an informal settlement programme, as well as slum clearance and housing plans (eThekwini Municipality, 2007).

The research on urban planning paints a picture of South African cities as extremely fragmented as a result of apartheid policies of segregation and compartmentalization, as well as the low densities of suburban areas (Lizarralde and Mark, 2008). In the post-apartheid period, this has led to liberal and humanist interventions (Huchzermeyer, 2003) to ameliorate conditions in informal settlements. The right of all South Africans to adequate housing is enshrined in the Constitution of the Republic of South Africa, adopted in 1996. In 1994 South Africa introduced a capital subsidy-based housing programme. This is designed

as a response to land tenure issues, the lack of basic services such as water and sanitation and more importantly, to provide formal housing units (Mistro & Hensher, 2009). In 1994 the government developed the Housing White Paper that aimed to redress the inequities of the apartheid system. The White Paper provided for targeted housing subsidies to qualifying beneficiaries in the form of grants (Imparato and Rustter, 2003).

The backlog in housing units and the persistence and mushrooming of informal settlements prompted the Department of Housing to take responsibility for facilitating the provision of shelter for the poor, using a housing subsidy as the key mechanism (Department of Housing, 2004). With regard to informal settlements upgrading Mistro & Hensher (2009) identified two approaches. The first is based on redevelopment; this involves demolishing shacks and relocating their inhabitants to Greenfield sites. However, this has a negative impact on social networks and also leads to negative socio-economic consequences (such as relocating workers far away from their place of work). Greenberg (2004) argues that forced removals from shack to shack is not only a sideways move, it represents ten steps backwards, because it removes individuals from social and economic networks that were painstakingly constructed against all odds in the most trying circumstances.

The second approach is in-situ upgrading, which aims to minimize disruptions to social and economic networks as well as the relocation of households. In-situ upgrading enables continued owner occupation of existing dwelling structures and their incremental improvement over time (Huchzermeyer, 2006). As a result, a progressive improvement is effected in terms of housing units as well as living conditions. However, a holistic approach is required that not only prioritizes housing and infrastructure, but also integrates socio-

economic aspects in improving the living conditions of the beneficiaries (eThekwini Municipality, 2007). In this regard, the government's 2004 "Breaking New Ground" (BNG) plan is a comprehensive plan for the development of sustainable human settlements. This plan involved a series of successful pilot projects; encouraging higher densities of housing development; making funding available for land rehabilitation; encouraging beneficiaries to participate and identify available land for building; making provision for household support; encouraging various forms of tenure; creating social and economic facilities and infrastructure development (Huchzermeyer & Karam, 2006; Huchzermeyer, 2006; Andrea, 2010).

The upgrading of informal settlements has enabled many affected slum dwellers to participate in improving their living conditions (Mark Miselhorn, 2008). Andrea (2010) notes that in 2005 and 2007, land and services were separated from the housing subsidy and became the responsibility of municipalities. Municipalities have been identified as being the key to improved human settlement management as stipulated in the demarcation of 284 new local governments (Municipal Structures Act 17 of 1998). However, the upgrading of informal settlements has not had a major impact on slums and the improvement of living standards (Andrea, 2010). The following table illustrates the results of the upgrading approach in South Africa.

**Table 1:** Formal and Informal Settlements in South Africa (Statistics from 1994 – 2008)

| SHELTER DELIVERY | DEVELOPER BUILT | PEOPLE BUILT | TOTAL |
|---|---|---|---|
| **Formal housing** | 2,260,000.00 | 40,000.00 | 2,300,000.00 |
| **Informal housing** | 0 | 2,200,000.00 | 2,200,000.00 |

**Source:** Andrea (2010)

The above table illustrates the increase in formal as well as informal settlements, with the large majority of people building their own dwellings. Relative inflexibility has been noted in designing Greenfields with a view to upgrading slums. This resulted in "Breaking New Ground", which adopts a more creative and flexible approach (eThekwini Municipality, 2007). Mistro and Hensher, (2009:350) note that the literature and most governments support the view that the process of upgrading informal settlements should include public participation. Public participation is about process and beneficiaries, rather than allowing a choice between alternative upgrade options.

A major component of settlement development in South Africa is service delivery. One of the critical issues is to ensure that local government has the necessary funds to carry out the service and infrastructure projects within its Integrated Development Plan (Department of Housing, 2004). Sites and services and squatter upgrading projects are part of the national strategy for managing the growth of unplanned, informal settlements. The World Bank supported the project to provide basic infrastructure and services, together with community facilities (Basil van Horen, 2000).

The model can be used to estimate the utility of sequentially upgrading areas to fully serviced houses or incrementally upgrading all the areas through cycles of improving service and housing levels (Mistro & Hensher, 2009:348). However, Huchzermeyer's (2009) analysis of different case studies in South Africa with regard to state intervention in terms of the relocation process, uncovered contradictory understandings of this approach. According to Huchzermeyer, (2009), this reveals the dominant understanding and interpretation of informal settlements, and indicates important aspects of reskilling or mindset change that

need to be addressed in order for the Informal Settlement Upgrading Programme to be rolled out.

The upgrading process should comprise a gradation of strategies that legitimize and integrate aspects of settlements as *de facto* institutions in the planning process. In so doing, it is possible to contribute to legal regulatory frameworks that are more appropriate to informal settlements (Basil van Horen, 2000).

The eThekwini and Ekurhuleni Municipalities (2011) emphasize the importance of community participation in enhancing the understanding of complexities within informal settlements. Informal settlements persist at high level and are difficult to respond to. It has been suggested that municipalities need to provide appropriate services for particular locations. Furthermore, one of the main reasons for the partial failure of many upgrading initiatives is the lack of a reliable monitoring and evaluation system that may sound an alarm when things are not going well.  It is for this reason that this research study adopts a monitoring and evaluation approach to assess the extent to which the community has participated in the upgrading of the Joe Slovo informal settlement. Failure to adopt an effective monitoring and evaluation system can prevent a project from delivering the expected results.

## 2.8    THEORIES OF COMMUNITY PARTICIPATION

### 2.8.0   Introduction

Some theories that build up this study have been put forward in order to understand community participation practices in the upgrading of informal Settlements. This provides a theoretical context in which the level of community participation in informal settlements upgrading can be assessed.  This section explores theories and frameworks that build up this study which entails the Dependency, Radical and the Marxist theories.

### 2.8.1   Dependency Theory

The Dependency Theory does not seek to justify the revolutionary action in terms of rectifying the past wrongs, but it uses the historical development of society that views the worlds dualistically as a developed centre with a dependent periphery as the theoretical basis for a more radical transformation of society. This study has used dependency theory due to the analysis of society in terms of a dualistic model which contends that a minority termed oppressors controlled the majority who were oppressed (Abbott, 1996:19). In this case education was seen as the key to affecting the transformation of society by overcoming the fear of freedom and building self-respect. There is a conviction that every human being; no matter how ignorant or submerged in the culture of silence he or she may be, is capable of looking critically at this world in a dialogical encounter with others.

The Dependency Theory emphasizes the issue of participation amongst the minorities since development is in their hands. Therefore, with regards to settlements upgrading, it is imperative for the communities who wish to improve their existing settlements to do that independently because the efforts of people are united to those of government authorities to improve economic, social, and cultural conditions of communities.

## 2.8.2  Radical Theory

With regards to Radical Theory, planning is most effective when it is performed by non-professional neighbourhood planning committees that empower citizens to experiment with solving their own problems because that can result to collective actions to promote self-reliance. This theory regards development as a progression from primitive to modern kind of life.

There is a belief that through community participation, people become able to the self-balancing process and self-correcting. For the radicals, there is equilibrium in the price of factors of production and living standards and therefore it is assumed that in the development process; there is a need for a traditional sector to incorporate to the modern sector. Dewar (1996) highlights some areas like motivational models, demographic models and process models which he believes they symbolise that there is an unequal distribution in the issue of land, labour and capital. Therefore, the low income people do not have to fear in taking decisions in the development process. In this case the community approach to self-help housing is based on the more radical view that local development is primarily community self-reliance so as to enable the community to improve their living conditions

themselves. According to Midgley et al (1986:20) more radical approaches to community work are influential instead of seeking to help the deprived communities to improve their social and environmental circumstances.

### 2.8.3 Marxist Theory

An understanding of a Marxist theory is essential in order to cut out the through propaganda of the ruling class and come to a class perspective and class solution for the problems. This section deals with the major aspects of Marxist theory in relation to community participation.

According to Gilbert (1981), the Marxist theory provides the thinking of understanding a thread which is capable of leading people through the labyrinth of events of the complex processes of society, economics, the struggle of classes and politics. This study adopts the Marxist thinking since it shows that if individual owners that are working class, land developers or state officials do not come together, the project becomes a failure. For the Marxists, community participation is of double exploitation; and they view participation of people in the upgrading of informal settlements as favouring the interests of the capitalists by exploiting communities since participants from local community projects are not well equipped which results to the waste of material and building failures.

### 2.9    CONCLUSION

Upgrading informal settlements ameliorates the living conditions of beneficiaries. Upgrading as a process is centered on people at grass roots level; it changes communities' living

standards as they begin to participate in solving their own problems, believing in their own power, energy and ability. The community approach to self-help housing is based on the view that local development is primarily about community self-reliance so as to enable the community to improve their living conditions themselves. Whilst 'participation' may be a vague term, its advocates often rely on two key arguments to underline its value; it allows for justice in decision-making, because people have a say in, and influence collective decisions; and it also has an educational value. Therefore, community participation in upgrading ensures that people contribute to their own development as they appropriate empowerment opportunities. The impact of empowerment and opportunities is assessed through monitoring and evaluating whether a project has achieved its objectives.

Furthermore, it is worth noting that enabling the communities to participate in the upgrading of informal settlements process can bear positive results for the projects. It is of utmost importance to note that Community Participation is successful if the stakeholders and community members come together in joint decision-making. On the other hand, community participation can be compromised if there is instability in the participatory process which comprises of labour instability, lack of collective attitudes, dependency on institutions, lack of involvement from government as well as the lack of public interest. Above all, community participation in the upgrading of informal settlements can be regarded as an essential element for empowering the communities to be self-reliant and make the upgrading process more effective.

Community participation also broadens the base of development by providing lower cost of physical and welfare needs of the community as perceived by the residents. The

approaches and theoretical frameworks on community participation points out the notion that in the facilitation of community participation and development need not be a top down approach, where planners and developers are expected to make meaningful contributions. This entails that all residents, regardless of their gender, ethnicity, religion and tenure should be involved in the development projects.

The key to achieving significant community participation in the upgrading of informal settlements lies in an understanding of the interaction between the activity and the involvement of people in that activity. It is also based on two different indicators such as the degree to which the prioritizing of the needs is achieved through consensus. What was evaluated from a community participation perspective is the success of the intervention strategies in achieving the objectives outlined in the conceptual framework which is measured through the intensity of the participation process and the satisfaction of the community.

## CHAPTER THREE: METHODOLOGY OF THE STUDY

### 3.1 INTRODUCTION

This chapter presents the research method used in this study. Research refers to a way of thinking (Kumar, 1999). Kumar argues that it critically examines different aspects of a profession, understands, and formulates guidelines to govern a particular procedure. This research study is based on housing discourse as field or profession and adopted qualitative and qualitative methods. The aim is to describe and understand social action undertaken during the Joe Slovo informal settlement upgrading in Lamontville and the outcome thereof. This chapter therefore presents the qualitative and quantitative methods used in the research; sampling techniques; data collection instruments; data sources and data analysis.

### 3.2 QUALITATIVE AND QUANTITATIVE METHODS

According to Baddie and Mouton (2009:270), the qualitative method is a broad methodological approach to the study of social action. In contrast, Field and Kremer (2006) note that the quantitative method is a systematic empirical investigation of social phenomena using statistical, mathematical or computational techniques.This study used qualitative and quantitative methods to measure the extent to which the Joe Slovo community participated in the informal settlement upgrading project. The qualitative approach is useful in studying societal issues and provides insight into people's views, opinions, attitudes, behaviour, concerns, motivation and aspirations. In the present study, it facilitates an evaluation of the level of community participation in the Joe Slovo Informal

Settlement Upgrading as well as the level of services provided. Community members' concerns and opinions are revealed through the answers to the questions presented to the respondents. Quilgars et al (2009:20) emphasize that qualitative research provides an opportunity to gain a deeper understanding of behaviour, attitudes and experiences across countries; however, it also confronts challenges with respect to interpreting data. On the other hand, the quantitative method enabled the researcher to quantify and evaluate the extent of community participation in the Joe Slovo informal settlement upgrading project. This was achieved by administrating questionnaires in a community survey. The combination of qualitative and quantitative methods provided in-depth understanding of the successes and challenges of community participation in the selected case study.

## 3.3    SAMPLING TECHNIQUES

Sampling is the process of selecting a few people from a bigger group in order to estimate or predict a fact, situation or outcome regarding the bigger group (Kumar, 1999:148). According to Baddie and Mouton (2009: 166), probability sampling remains the primary method for selecting large, representative samples for social science research. The selected population is called the sample; this represents a fraction of a population in a particular study area.  While sampling saves money, time and energy, the disadvantages include difficulties in obtaining a representative sample and the absence of informants.

A number of sampling techniques are available to researchers, including random sampling; purposive sampling and mixed sampling. This study used purposive sampling as the researcher has knowledge of the population under study. Judgmental sampling was used to

select key informants. Baddie and Mouton (2009:166) suggest that researchers select a sample based on their own knowledge of the population, its elements, and the aim of the research. Purposive sampling can then be carried out based on one's judgment and the purpose of the study. This view is supported by Kumar (1999:162), who notes that the primary consideration in purposing sampling is the researcher's judgement as to who can provide the best information to achieve the objectives of the study.

To achieve the objective of this study, a total of 100 households were selected in the Joe Slovo informal settlement. Eight (8) household representatives declined to respond in some questions of the study, resulting to a difference of eight (08) questions not being addressed. However, the same households had responded to the rest of other questions which makes the total of one hundred (100) households of this study. The sampled population is representative of the population of the Joe Slovo study area since the total number of households is approximately two hundred (200). In addition, a questionnaire was administered to the team of managers represented by the Project Manager of Development Interface; in an in-depth interview to gauge their perceptions of the extent to which the Joe Slovo community participated in the Informal Settlement Upgrading project.

## 3.4    DATA SOURCES

Both primary and secondary sources of data were used. A literature review was conducted based on secondary data. The literature review focuses on debates on the issue of community participation in urban development projects, especially its conceptualization, objectives and opportunities, in periodicals, project documents and eThekwini Municipality

reports on the upgrading of informal settlements. The purpose of this review was to reveal the extent of participation as well as people's perceptions of the challenges and successes associated with community participation in housing delivery and the importance of such participation in the upgrading of informal settlements, with special reference to the levels and methods of participation.

Primary data also played an important role in framing this research. The primary sources of data for this study are derived from beneficiaries and non-beneficiaries as well as project managers at the Joe Slovo informal settlement upgrading project. This information was collected from the team of projects managers and community members as well as project facilitators. Different questionnaires were administered to beneficiaries and non-beneficiaries because they played different roles in the project. Based on the sampling process, approximately 101 observations of respondents connected with the Joe Slovo informal settlement grading were selected. These comprised different stakeholders who had been involved in the project as well as the Project Manager.

The purpose was to solicit the respondents' views on what was and what was not accomplished by this informal settlement upgrading project. These views are presented in order to enable recommendations to be formulated to guide policy makers. Further primary data were gathered by visiting the site, studying the existing situation, meeting the respondents and requesting information on how they participated in the project, and taking photographs. All of these methods facilitated an evaluation of the extent to which the community participated in the upgrading of the informal settlement. The next section presents the data analysis methods used.

## 3.5    INTERVIEWS

Interviews are conversations that focus on the researcher's need for data or answers. According to Kajornboon (2011), interviews are a systematic way of talking and listening to people and enable the collection of data from individuals through conversations. This research study used structured and semi-structured interviews to collect the required information. The researcher visited the site (the Joe Slovo settlement) many times to ensure a representative sample and collect data.

## 3.6    DATA COLLECTION

The population for this study was households in the Joe Slovo Informal Settlement in Lamontville, eThekwini Municipality, as well as a representative team of Informal Settlement Upgrading Managers and Developers represented by Development Interface Project Manager. The study samples were purposively selected. A total of 100 households constituted the population of the study, plus a team of managers and developers involved in the upgrading project. The researcher began by contacting Joe Slovo community leaders to set up an appointment to collect the data. After meeting with community leaders, the researcher developed and organized 110 questionnaires.

This research comprises a case study that examines the extent of community participation in the Joe Slovo informal settlement upgrading with the aim of evaluating its impact and making recommendations regarding a policy framework for informal settlements interventions in South Africa. It focuses on four main objectives. The first objective is to

evaluate the level of community participation in the Joe Slovo informal settlement upgrading. This objective is addressed in chapter four. The second objective, to determine the standard of basic services provided to the community after the informal settlement upgrading project, is also addressed in chapter four. The third objective of this research study is to determine the successes and challenges of community participation in the selected case study. The final objective is to provide recommendations for the improvement of community participation in informal settlement upgrading projects.

Based on the above objectives, the researcher engaged with informal settlement residents in three phases. The first phase involved 30 face-to-face interviews facilitated by the community leader. During the second and third phases, 40 and 30 questionnaires, respectively, were administered. As indicated above, 100 residents were approached to participate in the study and 92 agreed to do so. With the assistance of the community leader, second appointments were made with residents who were absent at the time of the interviews.

The researcher also engaged with local eThekwini Municipality officials to obtain the contact details of informal settlement upgrading project developers and managers in order to ascertain their view and opinions on the project. Ten questionnaires were administered to this group and a team representative was interviewed regarding the objectives and outcomes of the informal settlement upgrading project. The questionnaires administered to both households and managers used structured and semi-structured questions. Baddie and Mouton, (2009:233) state that a researcher has two options with regards to the form of questions to use; open-ended questions which allow respondents to provide their own

answer to the question, and closed-ended questions, where respondents select their answers from a list provided by researcher.

This study used both types of questions in order to evaluate the extent to which the community participated in the Joe Slovo informal settlement upgrading project based on the project's components. Special emphasis was placed on community participation and the identification of the beneficiaries. In this study, community participation is assessed in terms of both objectives and accomplishments. Burton (2000) notes that questionnaires are easy to analyze, and that data entry and tabulation for nearly all surveys can be easily accomplished using computer software packages. Franklin and Osborne (1971) define a questionnaire as, "An instrument consisting of a series of questions and/or attitude opinion statements designed to elicit responses which can be converted into measures of the variable under investigation". Questionnaires were therefore a useful data collection method for this study. The following section examines the interview instrument.

## 3.7    DATA ANALYSIS

A number of techniques are available to researchers to analyze data.  According to Eysenck (2004:2), qualitative research is not expressed in a numerical form.  The emphasis is on the stated experiences of the participants and the stated meanings they attach to themselves, to other people, and to their environment. The experiences and meanings attached to the information collected are analyzed through the impact evaluation method. Impact evaluation allows for the systematic identification of both positive and negative effects. Whether intended or not, a given development activity such as the Joe Slovo

informal settlement upgrading project impacts individuals, households, institutions, and the environment. An independent appraisal and evaluation of the Joe Slovo project helped to identify the failures and/or successes of this project and establish its replicability. In this regard, a number of questions arose, including: Did the implementation of the Joe Slovo upgrading project achieve its objectives in terms of community participation? A second question is whether the project responded to the needs of beneficiaries in achieving the basic goal of improved living conditions.

The responses provided by each respondent are analyzed for the purpose of establishing the contribution of community participation to facilitating the upgrading of informal settlements. The information provided is analyzed using descriptive statistics and the community participation index (CPI). The main purpose is to assess whether the residents were involved in the project and the benefits such involvement brought to the upgrading project. The description approach used in this study entails what is and what the data shows. Thematic analysis was used to analyze the qualitative data.

The themes used for the data analysis include the level of participation; basic services provided; success and challenges; renovation of the houses and participation in the informal settlement upgrading. Therefore, the impact evaluation was the core of the analysis that enabled systematic identification of the effects of the upgrading project, positive or negative, intended or unintended, on individuals, households, institutions, and the environment in the Joe Slovo informal settlement. This evaluation facilitates an understanding of the extent to which the informal settlement upgrading project activities reached the poor and the magnitude of their effects on people's lives. Since all scientific

work has limitations; the next section presents the limitations encountered during the research process.

## 3.8    LIMITATIONS

The biggest limitation of the qualitative approach is that the findings that are reported tend to be unreliable and hard to replicate (Eysenck, 2004:2). However, in this research study, time and financial constraints were the most significant limitations. Furthermore, the study was limited in the sense of being a case study of 100 household units. Some key informants declined to be interviewed. Visiting the site on a regular basis to cover the population sample was also a challenge.   Nonetheless, the researcher is confident that the study provides accurate information on the extent of community participation in the Joe Slovo informal settlement upgrading project.

## 3.9    SUMMARY OF THE CHAPTER

This chapter discussed the methods used to collect and analyze data. The researcher used purposive sampling techniques. Data collection involved semi-structured and structured interviews and data analysis was based on thematic and impact evaluation.  The limitations of the methodology were also discussed.

# CHAPTER FOUR: RESEARCH FINDINGS

## 4.1    INTRODUCTION

This chapter presents and discusses the study's findings on the extent of community participation in the Joe Slovo informal settlement upgrading project in Lamontville. The researcher administered structured and semi-structured questionnaires to community members and the team of project managers. Data analysis is based on the objectives of the study, which include an evaluation of the Joe Slovo community's participation in the upgrading of the informal settlement; determining the successes and challenges encountered and providing recommendations. This chapter discusses the results of the descriptive statistics; a thematic analysis framed around basic services; successes and challenges; the community participation index and impact evaluation. The following table summarises the settlement profile:

**Table 2:** Summary of the Settlement Profile

| SETTLEMENT NAME | JOE SLOVO IN LAMONTVILLE |
|---|---|
| **Approved No. of Dwelling Units** | 350 Units |
| **No. of Existing Dwelling Units** | 200 Units |
| **Commencement of Upgrading Process** | 2004 |
| **Actors Involved** | Beneficiaries,   Municipality   and   Project Managers |
| **Ownership** | City Owned Land |
| **Urgent Needs** | Housing  Rehabilitation  and  Upgrading  of Road Infrastructure |
| **No. of Relocated Households** | About  150  relocated  to  Welbedacht  and Mount Moriah |

**Source:** Field Survey, 2013

## 4.2    DESCRIPTIVE STATISTICS

The descriptive statistics present the data on basic services and service utilities provided to households in the Joe Slovo informal settlement. The researcher interviewed 100 households, plus the team of project managers. This section presents the findings on the services provided to the community. It also examines the extent of community participation in the informal settlement upgrading project. The analysis begins with descriptive statistics that describe residents' views and opinions on the services provided, including housing units. Tables 1 and 2 outline basic services and service utilities, respectively.

**Table 3:** Basic Services

| Joe Slovo  Basic services | Households with access to basic services | Households with no access to basic services | Total households |
|---|---|---|---|
| Access to water | 100 | 0 | 100 |
| Access to sanitation | 90 | 10 | 100 |
| Access to electricity | 88 | 12 | 100 |
| **TOTAL** | **278 (92.6%)** | **22 (4.4%)** | **300 (100%)** |

**Source:** Field Survey (2013)

**Table 4:** Service Utilities available to Households

| Joe Slovo services utilities | Households with access to service utilities | Households with no access to basic services | Total households |
|---|---|---|---|
| Access    to    sewer connection | 8 | 92 | 100 |
| Access to refuse removal | 16 | 84 | 100 |
| Public transport | 0 | 100 | 100 |
| Storm water | 02 | 98 | 100 |
| Waste collection | 100 | 0 | 100 |
| Support eg black bags | 100 | 0 | 100 |
| **TOTAL** | **226 (37.7%)** | **374 (62.3)** | **600 (100%)** |

**Source:** Field Survey (2013)

In qualitative research the responses are normally either presented verbatim or are organised under certain themes (Kumar, 1999-2012). As noted in the previous chapter, in this section the data are organised based on themes and are analyzed in order to determine the extent of community participation in the Joe Slovo informal settlement upgrading project.

## 4.3    COMMUNITY PARTICIPATION

### 4.3.1  Level of Community Participation

As noted in chapter one, community participation is defined as the direct involvement or engagement of grassroots people in planning, governance and development processes at local level (Williams, 2006).  This study employs the community participation Index (CPI) to assess the level of community participation in the Joe Slovo informal settlement upgrading project.  The next section focuses on CPI, its meaning, application and the manner in which it is applied in the current study.

#### 4.3.1.1        Community Participation Index (CPI)

In order to indicate the level of participation, a Community Participation Index has been developed to indicate the level of participation. The CPI as used in this dissertation infers how the Joe Slovo community participation in informal settlement upgrading project has been measured. The CPI establishes the degree of contribution to control and participation of community members in the informal settlement upgrading process. In order to display the

level of participation in the study area, this study has assigned 1 – 4 score or CPI Rating Criteria where '1' means 'no participation' and '4' means 'full participation'. If the participants fully participated in the community project, the scale will capture their level of participation through this score method. Therefore, each respondent's activity in community participation in the Joe Slovo Informal Settlement Upgrading Project would be captured through the CPI. Table 4 illustrates the levels at which respondents were asked to rate participation and a description of each level of community participation.

**Table 5:** Level and Description of Participation

| LEVEL | DESCRIPTION |
|---|---|
| 1 | No Participation **(Not Consulted At All)** |
| 2 | Involvement **(Just Informed)** |
| 3 | Partial Participation **(Participation in Some Decisions)** |
| 4 | Full (high) Participation **(Participation in All Decisions)** |

**Source:** Field Survey (2013)

Full participation is rated at four points; partial participation at three points; involvement is rated at two points and no participation is rated at one point. The following table illustrates how households rated the level of community participation.

**Table 6:** Extent of Community Participation & Extent of No Community Participation

| JOE-SLOVO CPI | EXTENT OF COMMUNITY PARTICIPATION | EXTENT OF NO COMMUNITY PARTICIPATION | TOTAL |
|---|---|---|---|
| Full Participation | 11 | 89 | 100 |
| Partial Participation | 37 | 63 | 100 |
| Involvement (Just Involvement) | 48 | 52 | 100 |
| No Participation | 4 | 96 | 100 |
| TOTAL | 100 (20%) | 400 (80%) | 500 (100%) |

**Source:** Field Survey (2013)

Two points emerge from the above table and its figures. The first is that the CPI shows that the majority of the respondents indicated that there was some level of involvement. This suggests that there was a measure of joint decision making in the Joe Slovo informal settlement upgrading project. However, the second point is that the overwhelming majority of the respondents indicated the level of no participation in the project.

The following figure displays the extent of participation in terms of the number of households.

**Figure 2:** Community Participation Index Level of Participation



| | No Participation | Involvement | Partial Participation | Full Participation |
|---|---|---|---|---|
| Score | 4 | 48 | 37 | 11 |
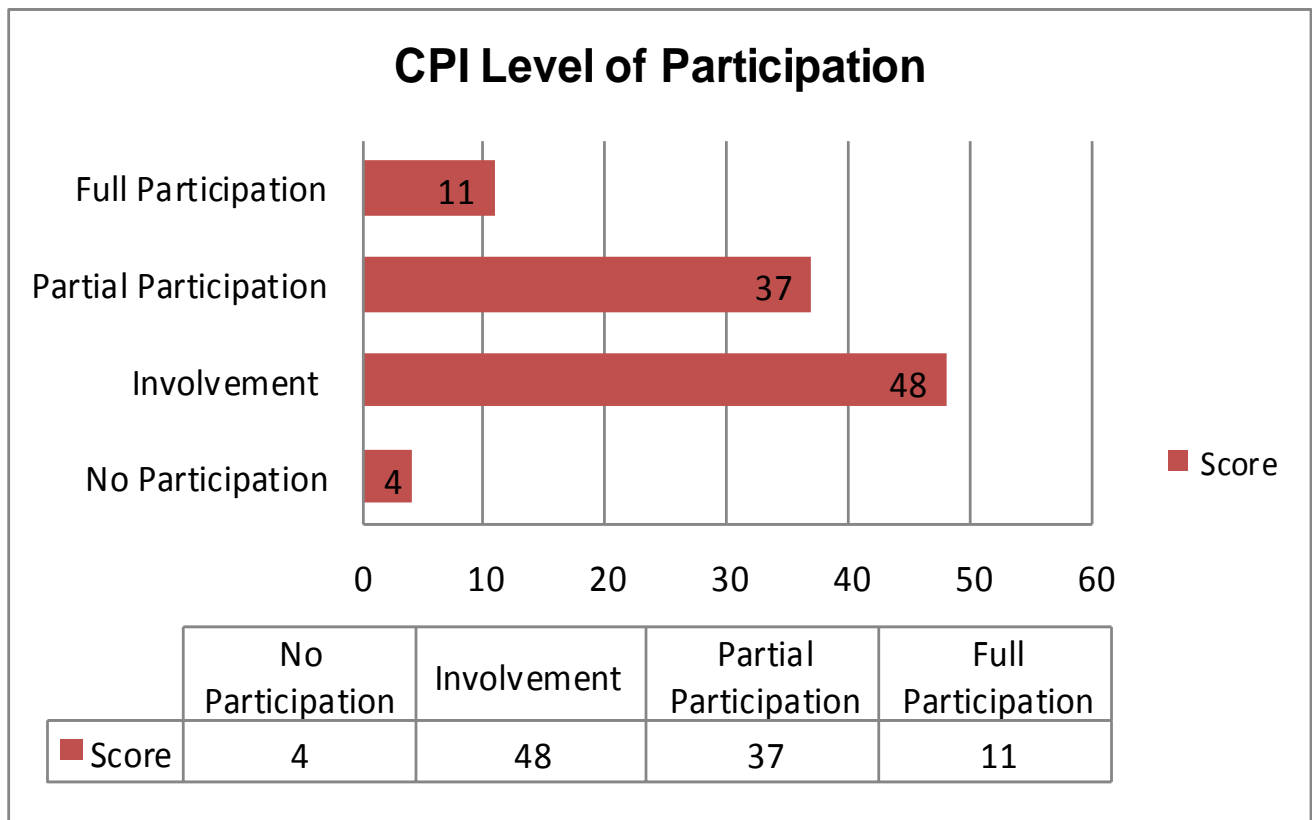
**Source:** Field Survey (2013)

Figure 3 below presents the percentage contribution of each category to the total.

**Figure 3:** Community Participation Index (CPI) Chart
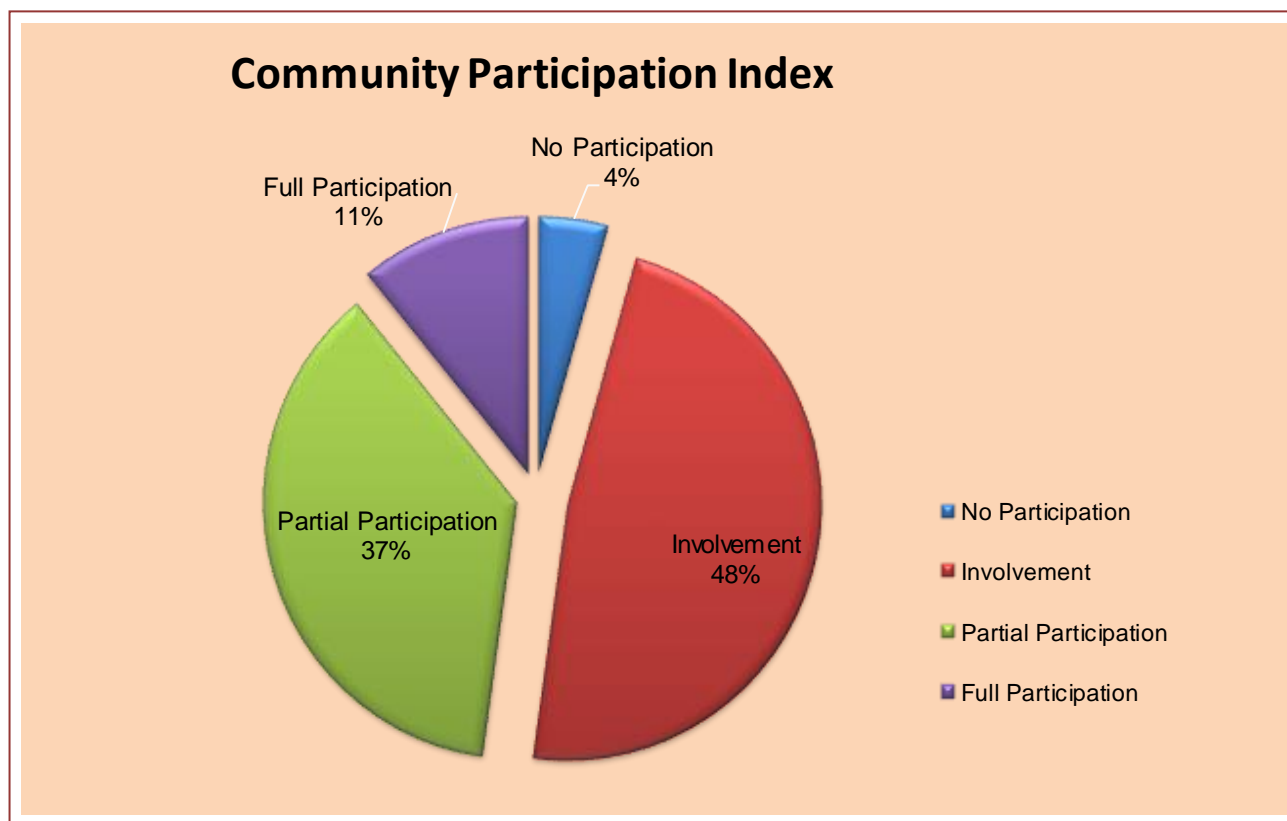


**Source:** Field Survey (2013)

Figure 3 shows that 48% of the respondents indicated involvement, while 37% stated that there was partial involvement, 11% indicated full participation and 4% said that there was no participation.

It should be noted that effective participation a determinant of the success of an informal settlement upgrading project, as it ensures the sustainability and maintenance of the project. The fact that 48% of the respondents indicated simple involvement suggests that the sustainability and maintenance of the project may be compromised, as the responsibility

for maintenance and the ownership of the services provided rests with beneficiaries. Furthermore, the fact that only 11% of the respondents stated that there was full community participation in the upgrading project suggests that the Joe Slovo community has not taken ownership of the project for their own benefit. Full participation implies that people are at the centre of community activities rather than having little or no influence. Choguil (1996) maintains that beneficiaries should be at the centre of any project. The low rate of full participation in the Joe Slovo informal settlement upgrading project indicates that the community does not appear not have participated in decisions regarding the activities undertaken during the execution of the project.

The findings further suggest that the Joe Slovo community lacks the experience necessary to participate fully in the project. Furthermore, the community did not have the knowledge and skills to participate in the different phases of the project. Therefore, it is suggested that training should be integrated into the different project phases to empower the beneficiaries to participate. If community members are to take ownership of their own development, community involvement and participation from the onset and in all subsequent stages is key (National Housing Code, 2009:30).

Thirty seven percent of the respondents indicated that the community was partially involved in the Joe Slovo informal settlement upgrading project. The majority of the respondents indicated that they had not been invited to participate in the project design phase, but were involved in the management phase to a certain degree. This indicates that the community participated in some decision making. However, the literature on the bottom-up approach notes that the community should be involved in each phase of the project. These include

initiation, planning and design, execution, monitoring and evaluation and finally closing. Regardless of the procedures and methodology adopted in the accomplishment of a project, these phases remain the same. The Joe Slovo community only participated at a rate of 52% in the execution of the upgrading project. This reflects a state of simple involvement in the project. It demonstrates that the top-down approach is not appropriate in development interventions at grassroots level. The fact that 4% of the respondents indicated no involvement at all suggests that a fraction of a community was unwilling to participate due to lack of time or information. Furthermore, consultation and participation may not have appealed to them.

## 4.3.1.2 Community input in managing the Joe Slovo Project

This section presents the findings on the involvement of the Joe Slovo community in managing the upgrading project. The focus is on decision making, elaboration of the project; execution and management of the project.

**Table 7:** Involvement in Project Management

| IMPLEMENTATION ACTIVITIES | EXTENT OF HOUSEHOLD INVOLVEMENT IN MANAGING THE PROJECT | EXTENT OF NO INVOLVEMENT IN MANAGING THE PROJECT | TOTAL HOUSEHOLDS |
|---|---|---|---|
| Decision making | 2 | 98 | 100 |
| Elaboration of the project | 32 | 68 | 100 |
| Execution of the project | 44 | 56 | 100 |
| Management of the project | 10 | 90 | 100 |
| TOTAL | 88 (22%) | 312 (78%) | 400 (100%) |

**Source:** Field Survey (2013)

**Figure 4:** Management of the Project



**MANAGEMENT OF THE PROJECT**

(Bar chart showing Total No. of Households by Implementation Activities:
Decision making = 2; Elaboration of the project = 32; Execution of the project = 44; Management of the project = 10)

**IMPLEMENTATION ACTIVITIES**
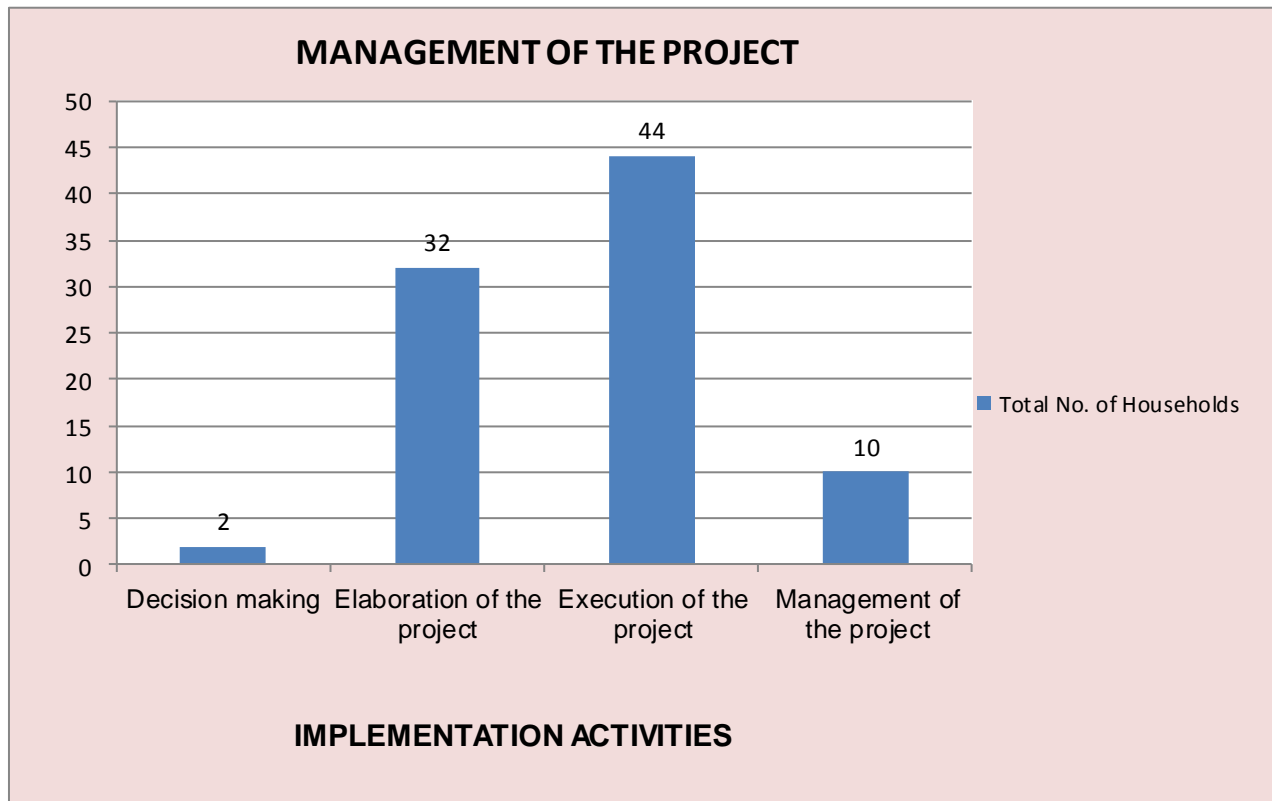
**Source:** Field Survey (2013)

Figure 4 shows the extent of community participation in the management of the Joe Slovo informal settlement upgrading project. Forty four (44) percent of the respondents indicated that the community participated in the execution of the project, whilst thirty two (32%) stated that it participated in the elaboration or design of the project, and ten (10)% stated that the community participated in the management of the project and two (2%) stated that the community participated in decision making, respectively.

Since only 44% of the respondents indicated that the community participated in the execution of the project. This suggests a failure to integrate all stakeholders in the different stages of the project. The execution of the project refers to the process of defining the tasks

for the project's completion. In the Joe Slovo informal settlement upgrading project, tasks, plans and objectives were defined by decision makers and put into action by community members.

The literature on the participatory approach stresses the need to secure ownership and commitment on the part of the communities involved. In the Joe Slovo informal settlement upgrading project, local community members do not appear to have actively participated in order to enhance both the quality and the relevance of the suggested interventions. The community was only involved in the execution stage and did not take ownership and responsibility for the assets provided to them. The active participation of all stakeholders requires active involvement in the decision-making process, where decisions are taken on how best to achieve the project.

Furthermore, the respondents complained that the houses provided were poor quality; this suggests that they were not part of the decision making process. The poor quality of the houses might have been tolerated had community members participated fully in the upgrading project. Thirty two percent of the respondents indicated that the community participated in the elaboration or design of the project. They further indicated that such participation was simply at the level of being involved in the project.

Furthermore, only 10% of the respondents stated that the community participated in the management of the project. Managing a project requires managers to have the necessary knowledge, skills and techniques to execute it. The findings suggest that the members of the Joe Slovo community had minimal influence in the management of the project

### 4.3.1.3    Project Management Team

The project management team comprised of managers and developers with experience in housing discourse. The representative of this team who was interviewed pointed out that they were appointed to manage the informal settlement upgrading project through the public tender system. As project manager, their role was to co-ordinate the work of professionals and contractors; budget and allocate funds, control quality and costs and transfer skills.

The team representative reported that they had played a major role in consultation, public participation and reporting community inputs. The team managers' representative reported to municipal councillors, interested parties and affected communities on the progress of the informal settlement upgrading project.

The team representative cited community leadership challenges and the unreliability of community input as impacting on community participation. These statements reinforce the finding that the Joe Slovo community only participated partially in the informal settlement upgrading project. With regard to capacity building, the representative stated that training was provided in bricklaying, management, minute taking, plumbing, etc. with a view to encouraging direct community participation in the project and strengthening their capacity.

According to the representative of the managers' team, this training enhanced the community's earning capacity and employment opportunities. The objectives of the project were to develop physical amenities as well as the capacity of the community. These

objectives were fulfilled by providing important services to the community e.g. a reliable water supply on site, on site sanitation, electricity and housing.

While this respondent cited leadership challenges, none of the community respondents mentioned such challenges. The following section assesses the validity of this respondent's assertion that the objectives of Joe Slovo informal settlement upgrading project were met by means of provision of basic services and housing units.

### 4.3.2 Basic Services

This section describes the extent of basic services provided in the Joe Slovo informal settlement through the upgrading project. One of Government's key priorities is speeding up the provision of community infrastructure in order to ensure universal access to water, sanitation and electricity (Department of Cooperative Governance and Traditional Affairs 2009:11). A target has been set for decent human settlements and access by all households to basic services by 2014. For the purposes of this research study, basic services comprise water, electricity, sanitation, a sewer connection; refuse removal, and services utilities.

It is noteworthy that all the respondents (100%) indicated that the Joe Slovo community has access to water at a basic level of service which is a household stand pipe. A higher level of this service involves piped water inside the dwelling. In addition, 88% of the respondents stated that the Joe Slovo community has access to electricity. This represents the number of households connected to the grid network. The respondents indicated that more than

30% of the community has access to basic sanitation. This is far below the national average and respondents revealed that toilets are outside dwelling units and are thus unsafe and deteriorate quickly.

Table 2 presented earlier in this chapter shows a breakdown of services utilities available to the Joe Slovo community. None of the respondents stated that the Joe Slovo community has access to public transport, 92% indicated that the community has sewer connections, 100% agreed that there was waste collection, 98% said that there was no storm water infrastructure and 100% stated that refuse bags were supplied to households. However, it should be noticed that respondents were of the opinion that access roads should be renovated and that humps and a bridge should be built to protect children on their way to and from school.

It is clear that while some basic services have been provided in the Joe Slovo informal settlement, there remains a need for the delivery and maintenance of storm water pipes and sewer connections. This again raises the question of ownership and responsibility on the part of the beneficiaries. Baddie and Mouton (2009:336) argue that the interventions that human beings make in their social world aim to improve the human condition.

### 4.3.3  Successes and Challenges

### 4.3.3.1 Successes

The successes or benefits of the Joe Slovo informal settlement upgrading project are measured in terms of the improved standard of living of the grassroots community. These

beneficiaries have benefited from basic services and housing units. Their perceptions of the standard of these services will determine the beneficiaries' attitudes towards maintaining them. This study found that 58% of the respondents were satisfied with the housing units and basic services provided by the informal settlement upgrading project, while 32% felt that they were unsatisfactory and 2% did not respond to this question. Table 7 below presents the responses to this question.

**Table 8:** Satisfaction Levels with the Project

| SATISFACTION LEVEL | TOTAL HOUSEHOLD | PERCENTAGE OF SATISFACTION |
|---|---|---|
| Happy about the project | 58 | 58% |
| Unhappy about the project | 32 | 32% |
| No response to question | 2 | 2% |
| Declined to be interviewed | 8 | 8% |
| TOTAL | 100 | 100% |

**Source:** Field Survey (2013)

### 4.3.3.2   Challenges

The managers' team representative indicated that a lack of community leadership hindered the progress of the informal settlement upgrading.  Challenges in communicating with local committees often delayed the work schedule.  The study further found that the challenges confronting the Joe Slovo community included being unable to afford to renovate their houses, unemployment, and the safety of the children in crossing roads. However, the community did not identify any real challenges to upgrading the settlement.  The following section examines the maintenance and renovation of houses, and living conditions.

### 4.3.4  Maintenance / Renovation

The unsatisfactory results of the Joe Slovo informal settlement upgrading project led some community members to maintain and renovate their own houses.  Twenty eight percent (28%) of the respondents indicated that they had maintained and renovated their houses to improve their standard of living.  As stated earlier, the most significant challenge to maintenance of the houses in the Joe Slovo informal settlement is the lack of a sense of ownership of the upgrading project on the part of community members. Forty eight percent (48%) of the respondents stated that the community's participation was restricted to mere involvement.

The upgrading of informal settlements produces better results if it is based on collaborative planning. Planning here refers to a process of mediating between stakeholders to build consensus *via* communication. The study also found that 28% of the respondents were dissatisfied with the results of the informal settlement upgrading project.  Their main concerns were leaking roofs, broken windows and cracks in the walls of the houses. The figure below illustrates the state of the houses in the settlement.

**Figure 5:** Illustration of Houses and House Rehabilitation need in Joe Slovo

The researcher noted that there was a misunderstanding among community members as to who is responsible for the maintenance of the houses; this is due to the fact that the community did not take ownership and responsibility during the process of the project. On

the other hand, it should be noted that the housing units are built from the cheapest materials available, which results in rapid deterioration if they are not maintained. While home owners are responsible for maintaining their house in good condition, the material used to build the houses depends on the limited resources available to the state. The design of the houses also depends on the budget allocated.

The literature on collaborative planning reveals that a lack of investment leads to the cheapest building options being employed, while the failure to maintain houses leads to the deterioration of recently upgraded homes and the failure to ensure community participation inhibits beneficiaries from taking ownership of the project. In other words a lack of collaborative planning leads to a failure to improve living conditions. The following section examines capacity building and community empowerment to improve living conditions.

### 4.3.5  Capacity Building and Community Empowerment

This section analyses the extent to which the Joe Slovo community has been capacitated and empowered through the informal resettlement upgrading project.  Eighteen percent of the study respondents indicated that they had participated in capacity building and empowerment training, while 72% had not and 10% of the respondents did not answer this question.

The training programme provided by the project management team included plumbing, building and a safety programme. The training was provided by Stardom Construction Company, and according to the team of managers it was intended to facilitate direct

participation and strengthen community capacity. This reveals a misunderstanding of both the programme itself and its outcome. This is no doubt the reason why most of the respondents indicated that they had not been informed about the training.

The literature on the participatory approach argues that effective participation is determined by the training and development of communities. For the Joe Slovo informal settlement upgrading project to have been effective, the beneficiaries should have received proper training in housing development. This would have developed the beneficiaries' skills in housing policy, house design, housing finance, measurement, costing and basic construction, block-making etc. in order to strengthen their capacity to maintain their homes and improve their living conditions. As is stood, only 18% of the respondents indicated that they received training; this is insufficient to create a sense of ownership of the project.

## 4.4 ASSESSMENT OF JOE SLOVO INFORMAL SETTLEMENT UPGRADING PROJECT

This section evaluates the Joe Slovo informal settlement upgrading project. The evaluation entails an assessment of the objectives of the project and its outcomes. As indicated in the previous section, an informal settlement upgrading project has specific objectives. The objectives of Joe Slovo informal settlement upgrading project are outlined in the following section.

### 4.4.1  Project Objectives

The upgrading of informal settlements is consistent with the primary objective of the Informal Settlements Programme to cater for the spatial development requirements of informal settlements. The Programme has set a target of significantly improving the lives of at least a one million slum dwellers by 2020 (National Housing Code (2009:9).

As the name of the programme suggests, the intention is to upgrade informal settlements. This includes improving the quality of life and the standard of living and the provision of adequate housing. The team managers' representative pointed out that the objectives of the Joe Slovo informal settlement upgrading project were to develop physical amenities and reliable basic services, enhance capacity of the community in relation to skills development and empowerment to decision-making.  This study assesses the extent to which these objectives were achieved.

### 4.4.2  Project Outcomes

The project outcomes enable an evaluation of the Joe Slovo informal settlement upgrading project. The study examined community involvement in different activities. Forty eight percent (48%) of the respondents stated that the community was involved in the project, whilst thirty seven (37%) stated that there was partial participation.  This is a simple form of participation that reveals weaknesses in the participatory approach adopted in the Joe Slovo informal settlement upgrading project and thus suggests a low level of community empowerment to take ownership of the project. The literature on the participatory approach

identifies potential deficiencies in community participation and advocates that both project managers and beneficiaries are at the centre of decision making in upgrading projects.

David et al (2013:4) state that, "without an active participation from informal dwellers, upgrading initiatives do not only violate the principles enshrined in the World Charter for the Right to the City, but they are also likely to become submersed in political contestation and potentially entrenched legal battles". There can be no doubt that the Joe Slovo informal settlement beneficiaries now have access to basic services that were not previously available. A number of housing units have been built. However, the standard of these houses and their maintenance and sustainability pose problems.

The Government aimed to achieve universal access to basic services for all households by 2014 (Cogta, 2009). In terms of water, electricity and sanitation, the Joe Slovo community has access to a basic level of service. However, when it comes to utilities, 71% of the community has no access to basic services. There are variations in the level of access to services such as public transport, storm water drains, waste collection, and refuse removal and support. The impact and sustainability of the Joe Slovo informal settlement upgrading project is assessed in terms of the willingness and ability of the municipality to maintain and operate the public infrastructure developed through upgrading. In this regard, the community has expressed unhappiness concerning the level of utilities services.

Finally, the Joe Slovo community is dissatisfied with the physical structure of the houses, which impacts negatively on their households. The study respondents cited cracked walls, broken windows and leaking roofs which are costly for them to repair.

## 4.5    SUMMARY OF THE CHAPTER

The fundamental objectives of upgrading the Joe Slovo informal settlement have been achieved in terms of basic services including access to water, electricity, a sewer connection, refuse removal and sanitation. The maintenance of the infrastructure provided depends, on the one hand, on the community taking ownership of and responsibility for their houses and their surrounding living conditions. On the other hand, it depends on the municipality's willingness to maintain utilities services.

In terms of community participation, the study revealed that the Joe Slovo community participated in the upgrading project at a very simple level of involvement.  The obstacles to community participation include, amongst other factors, the reluctance of community members to become involved, misinformation, and a lack of skills development.

Fifty two percent of the respondents stated that the community had participated in the management of the project, while 48% said that the community was involved in the project and 37% stated that there was partial involvement.  Only eleven (11%) had a view that there was full participation in the project whilst the four (4%) felt that there was no participation at all.

**CHAPTER FIVE:**

**SUMMARY OF FINDINGS, CONCLUSION AND RECOMMENDATIONS**

## 5.1    INTRODUCTION

This research study set out to evaluate the extent of community participation in the upgrading of the Joe Slovo informal settlement in Lamontville, KwaZulu-Natal. In response to living conditions in the settlement, the eThekwini Municipality intervened to upgrade the settlement. Mixed methods were used to evaluate the extent to which the Joe Slovo community participated in this upgrading project. Primary and secondary data were used to collect information. The data were analyzed using descriptive statistics and thematic analysis. The results are presented in the following section based on the aims and objective of the study.

## 5.2    SUMMARY OF FINDINGS

This research study examined the extent of community participation in the upgrading of the Joe Slovo informal settlement. Qualitative and quantitative methods were used in the form of survey questionnaires, structured and semi-structured interviews and a review of existing documents. The target groups were the Joe Slovo community in Lamontville and the project managers' team. The sample consisted of 100 individuals and one interview with a representative of the managers and developers' team.

The hypothesis was that the objectives of informal settlements upgrading are better realized when communities participate in the process. This hypothesis was tested by posing the following questions:

- To what extent did community members participate in the Joe Slovo informal settlement upgrading project?
- What were the benefits after the completion of the upgrading project?
- What were the successes and challenges of community participation in the selected case study?
- What were the experiences of community participation in the selected informal settlement upgrading project case study?
- How effective was community participation in the selected informal settlement upgrading project?
- What recommendations can be made to improve community participation in informal settlement upgrading projects?

The results presented in this section are regrouped around the level of community participation in the informal settlement upgrading project and level of community managing the informal settlements project. In this respect, the results revealed in terms of community participation that the Joe Slovo community had a 48% level of involvement in the implementation of the upgrading of their informal settlements. Partial participation was found to be at the level of 37% and only 11% of the respondents indicated that there was full participation whilst four (04%) portrayed no participation at all.

The study also found that in terms of community participation in managing the informal settlement upgrading project at the execution of the project, forty four (44%) of the respondents were of the opinion that the community had participated in the execution of the project, while thirty two (32%) stated that community members had taken part in the elaboration or design of the project; ten (10%) stated that the community was involved in the management of the project and only two (2%) indicated that the community was involved in decision making.

## 5.3    CONCLUSION

The research findings suggest that the Joe Slovo community participated in the upgrading project at the level of not only simple, but partial involvement. While there were discrepancies in the perceptions of the representative of the managers' team and the Joe Slovo community with regard to the training programme, it is concluded that proper capacity building and community empowerment was lacking. This resulted in a lack of sense of ownership of the project and responsibility for maintaining the houses and living conditions as the Joe Slovo community did not participate significantly in either decision making or the design of the project. The respondents made some suggestions to improve their living conditions, including building bridges and erecting humps in access roads.

The conclusion that can be drawn on the issue of community participation in the upgrading of informal settlements is that community participation is worthwhile; and can help improve the living conditions of low-income communities. It is important that participation be seen as a qualitative change that cannot necessarily be predicted. The experience in community

participation process at Joe Slovo revealed that the main source of user satisfaction is not the degree to which people's needs were met but the feeling of having influenced the decisions. The research therefore identified the following lessons for improving the level of community participation in the upgrading of informal settlements:

- As the community participates in their settlements upgrading, the role of the community becomes clearly articulated.
- Structures remain transparent and open to increasing participation over the lifetime
- Participation process should consult a wide spectrum of community views including excluded groups and pursue participation at different levels simultaneously.
- Community Participation requires supporting infrastructure and resources
- Measures of success should be built into monitoring and evaluation frameworks relating to community capacity building, confidence building, skills development and training and the increasing levels of housing improvement.

The study also identified that the objective of the project was defined as a failure around the issues of improving the living conditions and the expansion of employment opportunities for the community of Joe Slovo settlements. Therefore, in this case the objectives were not met. This is evident when looking at the issue of poor accessibility which has thus been unable to promote commercial activities in the area for micro-enterprise activities. In addition to that; the environmental conditions have not increased to improved land values and housing market.

## 5.3    RECOMMENDATIONS

Due to the lack of skills, techniques, and knowledge regarding the upgrading informal settlements, the community concerned can interact with independent planners to express their concerns at different phases of the project. It is recommended that a collaborative approach be at the centre of such projects so as to empower beneficiaries and encourage a sense of ownership of the project.

Furthermore, it is recommended that the Department of Housing adopt a communicative, collaborative process and partnership approaches which encourage the involvement of all beneficiaries. Such approaches would recognize differences and diversity and strive to achieve integration. Participation would ensure joint decision making and responsibility.

It is further recommended that the supply of houses be community driven rather than supply driven as communities know what their needs are. There is also a need to identify genuine representatives who can represent the community at a formal level. Finally, it is recommended that beneficiaries undergo training at all phases of the project and that suitable training programmes related to housing development and living conditions be developed.

In addition to the above, it is also recommended that the supply of houses in informal settlements should be demand-driven and that effective, cost-saving mechanisms should be put in place to ensure that the community has the ability to participate in different phases of the upgrading of informal settlements.

## 5.4   LIMITATIONS

As far as the success of community participation is concerned; this study identified some constraints and limitations that could deprive the project success. In some cases, factors such as culture, history, government policy as well as social, political and economic structures could influence community participation. In many cases the technical expertise seemed to be a constraint on the issue of the involvement of the community in the Joe Slovo Informal Settlement Upgrade Project.

Labour instability was also another problem that could generate difficulties and paralyzed execution of the upgrading process. The project also experienced time and financial constraints that led to the entire operation close-off.  In addition to that; the Data Collection in this study presented main challenges and as a result it limited the researcher to collect information needed. The respondents also postponed interview and key interviewees were difficult to be met.

Furthermore, it is noticed that project managers had failed to offer capacity building opportunities; which left communities lacking skills and knowledge on sub-mentioned project. It is essential that the practice of effective participation should be based on transferring skills to community members. The community of Joe Slovo indicated that they did not get training during the upgrading process and in review of that, the people of Joe Slovo did not get adequate skills to utilise advancely even when the development agency had left. Therefore the project did not make them fully equipped to take initiatives for further improvement of their settlements.

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# ANNEXURES

# ANNEXURE 1

## QUESTIONNAIRE FOR THE COMMUNITY OF JOE-SLOVO

**SECTION A**

**Please tick (√) the appropriate and elaborate where necessary**

*1.* After the Joe-Slovo project completion, did you have:

| | |
|---|---|
| *A. Access to "improved water"* | |
| *B. Access to "improved sanitation"* | |
| *C. Access to connection to sewer connection* | |

2. Level of Water Supply

| | |
|---|---|
| A. Piped water into dwelling | |
| B. Public tap / stand pipe | |
| C. Rainwater collection | |

3. Type of sanitation used

| | |
|---|---|
| A. Piped water system | |
| B. Septic Tank | |
| C. Pit latrine | |
| D. Going to the bush | |

4. Have you received any assistance to improve your house?

| Yes | | No | |
|---|---|---|---|

5. Have you done any alterations or improvements to your house?

| Yes | | No | |
|---|---|---|---|

If yes, please provide details e.g. what kind of improvements and how much did the cost?

………………………………………………………………………………………………………
……………………………..…..……………………………………………………………………
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……………………………………………………………………………………………………
……………………………………………………………………………………………………

6. What services utilities are accessible to your house?

| | | | |
|---|---|---|---|
| A. Roads | | Waste collection | |
| B.  water+ | | Support.eg Black bags(sanitation) | |
| C. Public Transport | | roads | |
| D. Electricity | | Public transport | |
| E. Other | | Storm water | |

7.  Are you happy with the services provided?

| Yes | | No | |
|---|---|---|---|

If not, what are the reasons?
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……………………………………………………………………………………………………………
……………………………………………………………………………………………………………
……………………………………………………………………………………………………………

8.  Do you feel that this area needs further improvements?

| Yes | | No | |
|---|---|---|---|

If so, what is your prioritized list?
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……………………………………………………………………………………………………………
……………………………………………………………………………………………………………
……………………………………………………………………………………………………………

## SECTION B: EXPERIENCE OF COMMUNITY PARTICIPATION IN THIS PROJECT

9.  Did the community participate in this project?

| Yes | | No | |
|---|---|---|---|

If yes, please provide ways in which the community participated eg:

| | |
|---|---|
| A. Decision Making( at the plan) | |
| B. Elaboration or designing of the project options | |
| C. Execution of the project(effective contribution) | |
| D. Management of the project | |

10. Based on the participation above, how would you rate the level of participation in this project?

| | |
|---|---|
| A. Full Participation( having a say in all stages) | |
| B. Partial Participation( having a say in most stages) | |
| C. Just Community Involvement( Being involved only) | |
| D. No Participation( not involved at all) | |

11. Why important do you think it is for the community to participate in the upgrading process?
……………………………………………………………………………………………………………
……………………………………………………………………………………………………………
…………………………………………………………………………………………………………….

13. Do you consider community participation to be effective in sustaining housing improvements?

| Yes | | No | |
|---|---|---|---|

## SECTION C: CAPACITY BUILDING AND COMMUNITY EMPOWEREMENT

14.  Did you undergo training programmes before and during the project?

| Yes | | No | |
|-----|-----|-----|-----|

If yes, which programmes did you attend?.

………………………………………………………………………………………………………
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………………………………………………………………………………………………………
………………………………………………………………………………………………………

15  Who provided the training programmes?

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16.  Did you benefit from the training programmes?

| Yes | | No | |
|-----|-----|-----|-----|

If not, please give reasons…

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## SECTION D: GENERAL

17.  Based on your experiences, do you think that community participation was achieved in this project?

| Yes | | No | |
|-----|-----|-----|-----|

If the answer is no, what were the reasons and what do you think should be done in order to enhance or to improve community participation in the upgrading of informal settlements?

# ANNEXURE 2

## QUESTIONNAIRE FOR THE PROJECT MANAGER / DEVELOPER

1.    How were you appointed to be the Manager of this project?

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      ……………………………………………………………………………………………………………

2.    What role did you play as a Project Manager?

      ……………………………………………………………………………………………………………
      ……………………………………………………………………………………………………………

3.    What was expected of you as a Project Manager?

      …………………………………………………………………………………………………….…
      ……………………………………………………………………………………………………….

4.    What significant role did the community play in the project implementation?
      …………………………………………………………………………………………………………...
      …………………………………………………………………………………………………………...

5.    Did you consider the needs of the community before formulating the project?

      | Yes | |                                                        | No | |

6.    Who were the stakeholders of the project other than beneficiaries (e.g NGOs, CBOs, Community Leaders etc.?

      ……………………………………………………………………………………………………………
      ……………………………………………………………………………………………………………
      ……………………………………………………………………………………………………………

7.    What was their role in the project?
      ……………………………………………………………………………………………………………
      ……………………………………………………………………………………………………………
      ……………………………………………………………………………………………………………

8.    Did you consider the needs of the community before implementing the project?

      | Yes | |                                                        | No | |

8.1   If so, in what ways?
      ……………………………………………………………………………………………………………
      ……………………………………………………………………………………………………………
      ……………………………………………………………………………………………………………

9.   What problems did you encounter when consulting the community?

……………………………………………………………………………………………………………………
……………………………………………………………………………………………………………………
……………………………………………………………………………………………………………………

10.  Were there training programmes offered to the community?

| Yes | |

| No | |

10.1 If yes, what trainings were provided for the community?

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……………………………………………………………………………………………………………………
……………………………………………………………………………………………………………………

10.2 If training programmes were provided to the community, in what ways did the communty benefit from the training programmes?

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11.  Who performed the task of training people?

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**GENERAL**

12.  In your opinion do you think the community has continued to utilize the skills acquired in this project?

……………………………………………………………………………………………………………………
……………………………………………………………………………………………………………………

13.  Did the project take longer to complete than it was expected?

| Yes | |

| No | |

13.1 If so, what do you think was the cause of the delay?

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……………………………………………………………………………………………………………………

14.  What was the proposed duration of completion?

……………………………………………………………………………………………………………………
……………………………………………………………………………………………………………………

15. What were the objectives of the project?

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16. Did this project succeed in achieving its goals/objectives?

| Yes | | | No | |
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16.1 Please motivate your answer

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