



**UNIVERSITY OF  
KWAZULU-NATAL**

---

**INYUVESI  
YAKWAZULU-NATALI**

**Evaluating the socio-economic impact of relocating residents from informal settlements with the purpose of creating sustainable human settlements. Case Study of Philani Valley, uMlazi.**

**Lethukuthula Magubane**

**Submitted in partial fulfilment of the requirements for the Masters of Housing  
Degree School of Built Environment and Development Studies  
2016**

**COLLEGE OF HUMANITIES**

**DECLARATION - PLAGIARISM**

I, .....declare that

1. The research reported in this thesis, except where otherwise indicated, is my original research.
2. This thesis has not been submitted for any degree or examination at any other university.
3. This thesis does not contain other persons' data, pictures, graphs or other information, unless specifically acknowledged as being sourced from other persons.
4. This thesis does not contain other persons' writing, unless specifically acknowledged as being sourced from other researchers. Where other written sources have been quoted, then:
  - a. Their words have been re-written but the general information attributed to them has been referenced
  - b. Where their exact words have been used, then their writing has been placed in italics and inside quotation marks, and referenced.
5. This thesis does not contain text, graphics or tables copied and pasted from the Internet, unless specifically acknowledged, and the source being detailed in the thesis and in the References sections.

**Signed:**

.....

**Date:**

.....

## Acknowledgements

First and foremost I would like to thank God for giving me the opportunity, strength and guidance to complete this dissertation.

I would also like to thank the following people for their support, guidance and contribution in making it possible for me to complete my dissertation:

My sincere gratitude to my supervisor, Mr Vincent Myeni (*Mnguni!!*) thank you very much for your tireless support, constructive advices and contribution to ensure I complete this dissertation.

I would also like thank the Philani Valley Ward Councilor, Project Manager and beneficiaries for their willingness to participate in the study- thank you very much.

## **Dedication**

This study is dedicated to my parents Mr Mthandeni and Zandile Magubane. No words can explain how blessed I am to have you both by my side throughout this journey. I thank God every day for the support you have given me.

## Table of Contents

<b>Chapter One: Introduction and Research Methodology</b> .....	<b>1</b>
1.1 Introduction .....	1
1.2 Research Problem .....	2
1.3 Objectives .....	4
1.4 Main Research Question.....	4
1.5 Sub-Questions .....	4
1.6 Hypothesis .....	5
1.7 Conceptual framework .....	5
1.7.1 Informal Settlements.....	5
1.7.2 Informal settlements upgrading.....	6
1.7.3 Socio-Economic Impact.....	6
1.7.4 Sustainable Human Settlements.....	7
1.8 Justification for the Study .....	7
1.9 Research Methodology .....	7
1.9.1 Primary Sources of Data.....	9
1.9.2 Case Study .....	9
1.9.3 Sampling Method.....	10
1.9.4 Questionnaires.....	11
1.9.5 Interviews.....	11
1.9.6 Secondary Sources of Data .....	12
1.10 Data Analysis .....	12
1.11 Limitations of the Study.....	13
1.12 Structure of Dissertation.....	13
<b>Chapter Two: Theoretical Framework and Literature Review</b> .....	<b>15</b>
2.1 Introduction .....	15
2.2 Modernisation Theory .....	15
2.3 Sustainable Livelihood Approach.....	17
2.4 Enabling Approach.....	18
2.5 Literature Review .....	19
2.5.1 The causes of informal settlements .....	19

2.5.2 Characteristics of Informal settlements .....	21
2.5.3 History of Informal Settlement Upgrading in South Africa .....	22
2.5.4 The concept of relocation and its implications for social, economic and educational aspects of residents' lives.....	25
2.5.6 Characteristics of Sustainable Human Settlements .....	28
2.6 Legislative Framework .....	33
2.6.1 The 1996 Constitution of the Republic of South Africa .....	33
2.6.2 The 1994 White Paper .....	34
2.6.3 The Housing Act of 1997 (Act No.107 of 1997) .....	35
2.6.4 The Breaking New Ground Housing Policy (BNG).....	36
2.6.5 The Upgrading Informal Settlements Programme.....	38
2.7 Informal settlements upgrading precedent studies.....	39
2.7.1 Case Study of Welbedacht East Project, South Africa.....	39
2.7.2 Informal settlement upgrading in the Repelita, Indonesia .....	40
<b>Chapter Three: Historical Background of the study area Philani Valley, uMlazi ...</b>	<b>43</b>
3.1 Introduction .....	43
3.2 Details of the Objectives of Philani Valley Project.....	43
3.3 Contextual background of Philani Valley, uMlazi .....	45
3.3 uMlazi Demographics.....	47
3.4 Integration of Social and Economic Activities.....	48
3.5 Actors involved in the Philani Valley Housing Project .....	50
3.6 Conclusion .....	50
<b>Chapter Four: Research findings, data analysis and interpretation.....</b>	<b>51</b>
4.1 Introduction .....	51
4.2 Data collected from Beneficiaries.....	51
4.3 Economic benefits for relocation .....	53
4.3.1 Household Expenditure .....	54
4.3.2 Transportation mode used by beneficiaries .....	55
4.3.3 Economic Activities.....	56
4.3.4 Educational Facilities .....	57
4.4 Social benefits for relocation .....	58

4.4.1 Access to social amenities.....	58
4.5 Beneficiaries perception of Philani Valley Housing Project .....	60
4.6 Interviews with Philani Valley Project Manager and Philani Valley Councilor .....	62
4.6.1 Interview with the Councilor of Philani Valley indicated the following: .....	62
4.6.2 Interview with the Project Manager of Philani Valley indicated the following: .....	64
4.7 Conclusion .....	64
<b>Chapter Five: Summary of findings, Conclusion and Recommendations .....</b>	<b>66</b>
5.1 Introduction .....	66
5.2 Summary of findings .....	66
5.3 Recommendations .....	68
5.4 Conclusion .....	71
<b>References .....</b>	<b>73</b>

## **List of Tables:**

Table 1: Factors of sustainable human settlements.....	30
Table 2: Gender of respondents.....	51
Table 3: Types of Respondents.....	52
Table 4: Employment Status.....	53
Table 5: Transport mode.....	55
Table 6: Has the project improved standard of living?.....	62

## **List of Figures:**

Figure 1: Bird-eye view of the Philani Valley Housing Project.....	43
Figure 2: Philani Valley Semi-detach units 1.....	44
Figure 3: Philani Valley Semi-detached Units 2.....	45
Figure 4 and 5: Location of Philani Valley.....	46
Figure 6: uMlazi Employment Status, Census 2011.....	48
Figure 7: Philani Mall.....	49
Figure 8: Education Facilities.....	57
Figure 9: uMlazi (U-section) Clinic.....	59
Figure 10: Informal house extension.....	61
Figure 11: Access point.....	61

## List of Abbreviations:

ANC	: African National Congress
BNG	: Breaking New Ground
BUDP	: Bandung Urban Development Program
CA	: Cities Alliance
COHRE	: Centre on Housing Rights and Evictions
DFID	: Department for International Development
DHS	: Department of Human Settlements
DOH	: Department of Housing
IMF	: International Monetary Fund
ISUP	: Informal Settlements Upgrading Programme
KZN	: KwaZulu-Natal
NHC	: National Housing Code
PIE	: Prevention of Illegal Eviction Act
RDP	: Reconstruction and Development Programme
RSA	: Republic of South Africa
RTPP	: Regional and Town Planning Program
SACN	: South African Cities Network
UISP	: Upgrading Informal Settlements Programme
UK	: United Kingdom
UN	: United Nations
UNCED	: United Nations Conference on Environment and Development
UNDP	: United Nations Development Programme
USA	: United States of America

## Abstract

The study was conducted in Philani Valley (also known as Y-section) in uMlazi. The area falls under eThekweni Municipality (Ward 86). It is located in the South of Durban inland of the N2 highway. Philani Valley is 24.3 Km away from Durban and is 6.8 km away from Isipingo. The Embokodweni River forms the western and southern boundaries of the study area. The study area is one of the Informal Settlement Upgrading: Relocation programmes implemented in uMlazi to eradicate informal settlements in order to create sustainable human settlements. A sample of 30 households was drawn from 329 beneficiaries of Philani Valley Housing Project.

The study was aimed at evaluating the socio-economic impact of relocating residents from informal settlements with the purpose of creating sustainable settlements. The study focused on evaluating the experiences of the residents before and after the relocation, by exploring if whether the economic and social opportunities of the residents relocated to Philani Valley improved or not. The study utilised quantitative and qualitative techniques to collect primary data. The theoretical framework for the study was based on Modernisation theory, Sustainable Livelihoods and Enabling approach. The findings of the study indicated that the relocation of informal settlement residents to a new location without doing proper assessments on the social and economic opportunities, can not only disrupt social and economic networks but also undermine the aim of creating sustainable human settlements in South Africa. The study made a number of recommendations, which highlight the importance of the location of beneficiaries of Informal Settlement Upgrading: Relocation Programmes. One of the study's recommendations stated that, the government needs to make sure that the location of the project is closer to the social amenities and economic nodes, in order to eliminate transport costs which the poor cannot afford. Therefore it is important that the South Africa's housing policies highlight the importance of providing low income houses in order to accomplish the socio-economic and education needs of the beneficiaries.

The study concluded that, the upgrading of informal settlements should not be the sole responsibility of Department of Human Settlements and local municipality housing units,

but instead a responsibility of multi-sectoral stakeholders working collectively in eradicating informal settlements and creating sustainable human settlements.



# Chapter One: Introduction and Research Methodology

## 1.1 Introduction

Informal settlements are a major challenge for housing practitioners and planners in developing countries. Failure to address residents' needs may result in political and social unrest (Barry and Ruther, 2005: 1). There is a huge housing backlog in South African urban areas. Wilkinson (2014) states that the housing backlog is currently 2.1 million and is increasing at a rate of 178 000 units per year. The existence of informal settlements is one of the main reasons for this problem. According to Misslehorn (2008), informal settlement dwellers in South Africa confront challenges such as poor infrastructure, limited access to basic services and insecure tenure. It is estimated that 28% of households in South Africa have insecure tenure.

The problem of informal settlements is not unique to South Africa. Countries in Latin America and Asia and other nations on the African continent are also challenged to address this issue (Misslehorn, 2008). Maasdorp (1977:1) notes that these settlements are synonymous with urbanisation and urban growth in Third World urban areas. They present various common characteristics. For example, they offer refuge to the poor, are located on land of low value, are often on the fringes of cities, are physically overwhelmed by poor quality houses and are created spontaneously in urban areas (Maasdorp, 1977).

According to Mashabela (1990:23), informal settlements in South Africa date back to the early 1980s. One of the reasons for the mushrooming of informal settlements was the establishment of Black municipalities that took control of townships from the then Administration Boards during this decade. These municipalities did not have the financial capacity to provide housing. Moreover, Mashabela (1990:23) notes that the abolition of influx control in 1986 enabled migrants to bring their families to live with them in urban areas. This resulted in the problem of homelessness and hence the massive growth of informal settlements (Mashabela, 1990).

However, Malinga (2000: 40) argues that the growth of informal settlements is not directly attributable to the abolition of influx control and rural migrants moving to the cities. Malinga

argues that residents of informal settlements were generally urban residents who were forced to create such settlements due to the shortage of housing. Sapire (1996) cited in Malinga (2000:40 ) points out that “informal settlements residents are not a marginal underclass living at the periphery of the urban areas, rather they are integrated into the social and economic structure of the cities and towns in which they are located” (Sapire,1996 cited in Malinga, 2000:40).

The dawn of democracy in South Africa in 1994 brought about changes in housing delivery. According to Khan and Thring (2003:17), this included the transformation of housing provision to provide a sustainable solution to the problem of informal settlements. South African housing policy has aimed to address informal settlements through programmes such as *in situ* upgrading and the relocation of residents to formal housing (Department of Housing, 1994: 4-10; Khan and Thring, 2003: 17).

The Department of Human Settlements (then known as the Department of Housing) launched a new housing strategy in September 2004, called Breaking New Ground (BNG). This five-year plan aimed to provide direction to the upgrading of informal settlements. Breaking New Ground was followed by the Department of Human Settlements Strategic Plan, 2009 - 2014. According to the Department of Housing (2004: 17), the BNG involves the formalisation of informal settlements in their original location. The BNG Housing Plan recommended *in situ* upgrading of informal settlements located on land suitable for human settlement. However, relocation is considered in circumstances where upgrading is impossible (DoH, 2004). This research study evaluated the socio-economic impact of relocating informal settlement residents to Philani Valley with the aim of creating sustainable human settlements.

## **1.2 Research Problem**

"The number of informal settlements is growing uncontrollably. Likewise, the populations inside these ghettos is increasing rapidly..." (Sexwale, 2013). According to the United Nations Department of Economic and Social Affairs (2014) the world's population is estimated at about 7.2 billion. More than half of the global population live in urban areas and a shocking 1.06 billion of urban dwellers live in slums. In the next 30 years this

number is set to double. According to the South African Cities Network (2004) cited in Misslehorn (2008) almost 50% of South Africa's population live in urban centers and a quarter of those in the major urban centers live in informal settlements.

Housing was a key challenge for South Africa post-apartheid. The government argued that the most effective solution was to establish several intervention programmes aimed at improving the living environment for disadvantaged communities. These interventions remain the most common means by which disadvantaged households access shelter in the country. They include incremental housing intervention through the Informal Settlements Upgrading Programme (ISUP), which aims to improve the lives of informal settlement dwellers by 2020 (National Housing Code, NHC; 2009).

Knight (2001) states that, due to high levels of unemployment and low wages, many South Africans are finding it hard to provide for their own housing and basic needs. The rapid increase in the number of informal settlements and land invasions are further indications of these pressing housing problems (Knight, 2001). Moreover, unemployment and poverty push many people to relocate to urban areas such as Durban for employment opportunities in order to improve their living conditions. However, Nhlapho (2013) notes that not all migrants access jobs. Some do not have relatives in urban areas with whom they can stay while seeking employment and thus opt to live in informal settlements that lack proper amenities such as sanitation, water and waste removal. Informal settlements are mostly overcrowded and untidy and there are insufficient public spaces. This is the case in townships such as uMlazi where the government has made efforts to upgrade informal settlements (Nhlapho, 2013:17).

Approximately 2 000 informal settlement households were earmarked for upgrading in uMlazi. However, due to the fact that the settlements were too densely developed to allow for the installation of an adequate level of services, some families were earmarked for removal to Philani Valley. The question is whether the relocation of families to Philani Valley with the purpose of creating sustainable human settlements had a positive or negative impact on their socio-economic situation.

### **1.3 Objectives**

The study was conducted to accomplish the following objectives:

1.3.1. To evaluate the socio-economic impact of relocating residents from informal settlements to Philani Valley.

1.3.2. To determine the extent to which the relocation of informal settlement residents to Philani Valley created sustainable human settlements.

1.3.3. To explore the factors that contributed to the success or failure of the relocation approach.

1.3.4. To evaluate the experiences of the residents before and after the relocation.

1.3.5. To outline the characteristics of a sustainable human settlement.

1.3.6. To explore whether or not economic and social opportunities available to the residents relocated to Philani Valley improved.

1.3.7. To explore the challenges associated with relocation and the creation of sustainable human settlements.

### **1.4 Main Research Question**

To what extent did the relocation of informal settlement residents to Philani Valley with the purpose of creating sustainable human settlements impact their socio-economic situation?

### **1.5 Sub-Questions**

The following questions were used to unpack the main research question:

1.5.1. What is the socio-economic impact of relocating residents from informal settlements to Philani Valley?

1.5.2. To what extent did the relocation of informal settlement residents to Philani Valley create sustainable human settlements?

1.5.3. What factors contributed to the success or failure of the relocation approach?

1.5.4. What are the experiences of the residents before and after the relocation?

1.5.5. What are the characteristics of a sustainable human settlement?

1.5.6. Did the economic and social opportunities of residents relocated to Philani Valley improve or not?

1.5.7. What challenges are associated with the relocation of residents and the creation of sustainable human settlements?

## **1.6 Hypothesis**

A well thought out and effectively implemented programme to relocate residents of informal settlements can result in sustainable human settlements.

## **1.7 Conceptual framework**

In order to fully understand the research topic, it was important to define terms and concepts that were used in this study.

### **1.7.1 Informal Settlements**

According to Staff (1993: 235), an informal settlement is a compact settlement which consists of communities that have constructed their own houses under traditional or formal land tenure. Staff adds that these types of settlements are common in Third World countries and are the urban poor's solution to housing shortages.

However, Srivinas (2005) notes that the definition of informal settlements can vary from country to country based on its legal and planning framework. For the purpose of this study, informal settlements refer to residential units constructed in "planned" and

“unplanned” areas which do not have formal planning approval. In essence, they are settlements that are characterised by inadequate housing, social services and infrastructure (Todaro, 1994).

### **1.7.2 Informal settlements upgrading**

According to the Cities Alliance informal settlements upgrading is a process in which informal settlements, mainly in urban areas are upgraded and improved. This formalizes and integrates these settlements with the city by providing citizenship, social services and secure land tenure. This definition is used for the purpose of this study The Cities Alliance adds that two main approaches are applied to the upgrading of informal settlements: “relocation” and “in situ” upgrading. Mistro and Hensher (2009) cited in Ziblim (2013) state that in situ upgrading involves upgrading an informal settlement where it situated or on site by progressively extending infrastructure, land tenure and social services, including electricity, water and sanitation to residents. The relocation approach involves the demolition of the informal settlement, with residents being moved to a suitable location elsewhere, often on the periphery of the urban area. This study focuses on ‘relocation’ as it was applied when residents of different informal settlements around uMlazi were relocated to Philani Valley.

### **1.7.3 Socio-Economic Impact**

Socio-economic impact is measured by different variables in different studies. Sirin (2005) notes that this makes it difficult to arrive at a precise definition. However Sirin (2005) adds that it is a field of study that examines social and economic factors to better understand how the combination of both influences something. According to White (1982), socio economic impact emerged as a concept due to observations that students with parents that earn a low income, have low educational attainment, or work in low-status jobs performed more poorly in school. One of the earliest conceptualizations of socio-economic impact was Taussig’s (1920) classification, which was based solely on the father’s occupational status, classified into seven categories. For the purpose of this study

socio-economic impact is defined broadly as access to financial, social, cultural, and human capital resources.

#### **1.7.4 Sustainable Human Settlements**

The Vancouver Declaration on Human Settlements (1976) states that “Human settlements mean the totality of the human community – whether city, town or village – with all the social, economic, environmental, spiritual and cultural elements that sustain it”. According to Du Plessis and Landman (2002), sustainable human settlements are places such as villages, town, cities and their communities which enable inhabitants to live a way that promotes the principles of sustainable development and sustainability. Furthermore, they are characterized by social, institutional, environmental and economic systems that guarantee the sustainability and existence of these settlements. For the purpose of this study, Du Plessis and Landman’s definition was used to evaluate the extent to which the relocation of residents of informal settlements around uMlazi to Philani Valley enabled them to live in a manner that supports sustainability and creates sustainable human settlements.

#### **1.8 Justification for the Study**

The aim of the study was to evaluate the socio-economic impact of relocating informal settlement residents to Philani Valley, and to determine the extent to which this created sustainable human settlements. The study was undertaken using a case study model to determine the extent to which the approach adopted created sustainable human settlements. It makes a contribution to the body of knowledge on housing in terms of understanding policy implementation and creating sustainable human settlements.

#### **1.9 Research Methodology**

Quantitative and qualitative techniques were used to collect primary data. Thus, the researcher gathered numerical data and gained an understanding of individuals’ perspectives and evaluation of their own circumstances in the field.

Creswell (1994) defines quantitative research as research that collects numerical information that is analyzed using statistics. Cohen (1980) states that quantitative research utilizes observational methods and experimental statements. Cohen further defines an observational method as a distinct explanation about what the situation “is” in reality, as opposed to what should be the case. According to Creswell (2012), in qualitative research, the researcher relies on the views of participants; asks broad, general questions; collects data consisting largely of words (or text) from participants; describes and analyzes these words for themes; and conducts the inquiry in a subjective, biased manner. Thus type of research generally involves listening to the participants and finding common themes in the data (Creswell, 2012). Patton (1990) argues that qualitative research tends to utilize inductive investigation, implying that the important themes arise from the information. Patton adds that this requires a degree of inventiveness, as the researcher needs to arrange the raw data in coherent, significant categories; analyze them in an all-encompassing manner; and figure out how to interpret it to other people (Patton, 1990).

The study was conducted in the participants’ natural settings (i.e., in their residential area) in order to address the research question in an optimal manner. Denzin and Lincoln (2005) state that a qualitative research paradigm enables the researcher to engage with the participants in their natural setting in an effort to make sense of phenomena in terms of the meaning people give to them. Qualitative research is often used to interpret community experiences and produce a better understanding of the social factors which play a role in their specific social environment (Denzin and Lincoln, 1998). Conducting the research in the respondents’ natural setting allowed the researcher to undertake a deep investigation into the themes under discussion. Qualitative research thus develops and broadens the power of ordinary language and expression, allowing the researcher to gain a more in-depth understanding of the social world in which we live (Terre Blanche and Durrheim, 2002).

### **1.9.1 Primary Sources of Data**

According to Yale (2008), primary sources of data are sources that provide first-hand evidence in relation to the specific topic under investigation. They are provided by witnesses who have experienced the conditions or events being documented. In most cases, primary sources of data are gathered at the time when events are occurring, but these sources can also consist of memoirs, autobiographies and recorded oral history. These sources are characterized by their unique content, irrespective of whether they are in original, published, digital or microfilm format (Yale, 2008). Primary data collection included the use of various tools such as interviews and questionnaires to obtain information from stakeholders in the project, including the beneficiary community, the ward councilor and eThekweni Municipality's Housing Unit.

### **1.9.2 Case Study**

This study utilised a case study approach to determine the impact of the relocation of residents of informal settlements with the aim of creating sustainable human settlements. Philani Valley in uMlazi was selected as a case study. The area was identified as suitable for the relocation of informal settlement residents that were moved from different parts of uMlazi as part of the Department of Human Settlements informal settlement upgrading programme. A case study refers to both the process and the consequences of an inquiry (Stake, 2005). According to Yin (2012: 4), the uniqueness of a case study, which is referred to as "an empirical inquiry about the contemporary phenomenon", [is] set within its real world environment specifically when the boundaries between context and phenomenon are not openly evident

Among other features, a case study investigates both the context and multifaceted conditions concerning the case(s) under investigation, which are both important in order to fully understand the case(s). Case study research goes beyond the study of isolated variables. It favours the collection of data in natural settings and emphasises the need to study the phenomenon in its real world context. The benefit of a case study is that it produces a good case report because various data sources are used as evidence. This

was one of the aims of the current study (Yin, 2012). Furthermore, Yin (2012) notes that a case study must be related to a regular or daily event; therefore, the chosen case must be an influential structure in order to ensure that the study contributes to the current literature.

Various types of data collection methods were used to address the research question. In-depth interviews were conducted with relocated residents and other stakeholders in the project, including the ward councilor and the Philani Valley's Project Manager. Both primary and secondary sources of data were used.

### **1.9.3 Sampling Method**

According to Webster (1985), sampling is a technique or process to select an appropriate sample, or to represent a population with the aim of determining the characteristics of the entire population (Webster, 1985). For the purpose of this study, random sampling was used to select residents of Philani Valley, while purposive sampling was used to select the ward councilor and municipal officials. Frerichs (2008) states that, in random sampling, subjects in the population are sampled by a random process, using either a random number generator or a random number table, so that each person remaining in the population has the same probability of being selected for the sample (Frerichs, 2008). Of the 329 units built in Philani Valley, 30 respondents were chosen randomly, the criteria being that respondents had to be heads of household or spouses and be 18 or older.

The purposive sampling technique is also known as judgment sampling. Bernard (2002) and Lewis and Sheppard (2006) define purposive sampling as the deliberate or planned choice of a witness or informant because of their qualities. It is a non-random method that does not require basic hypotheses or a set number of witnesses. The researcher determines what should be known and sets out to identify individuals who are willing and able to provide the data by virtue of their knowledge or experience.

This technique was applied to select Philani Valley's ward councilor and eThekweni Municipality's Project Manager for interviews. The Philani Valley Housing Project

Manager was managing the project and had all the necessary information regarding the project's implementation.

#### **1.9.4 Questionnaires**

According to Oppenheim (1992), questionnaires are used to gather and record data on a specific issue of interest. They mainly comprise of a list of questions, but should also incorporate clear directions or instructions and space for answers. The questions posed should have a clear connection to the objectives of the research, and it should be clear from the start how the findings will be used. Respondents should be made mindful of the aim of the research and should be informed how and when they will receive feedback on the findings. For this study closed- and open-ended questions were posed to the beneficiaries of the Philani Valley project, with more emphasis on the latter as they provided answers longer than a single word or two and also facilitated enhanced cooperation and understanding. Beneficiaries were given the opportunity to express themselves more openly on how moving to Philani Valley affected their access to employment and facilities like social services, health and education as well as the challenges confronting them in Philani Valley (Oppenheim, 1992).

#### **1.9.5 Interviews**

According to Seidman (1998), an interview is a discussion between two or more people where questions are posed by the interviewer to produce statements or facts from the person or people interviewed. Seidman adds that interviews are a standard component of qualitative research (Seidman, 1998). McNamara (1999) states that interviews are useful in getting the story behind an interviewee's experiences; they also allow the interviewer to probe further (McNamara, 1999). Kvale (1996) observes that interviews enable a researcher to define and make sense of the main themes in the subjects' surroundings. The main task of the interviewer is to comprehend the significance of what the interviewees say (Kvale, 1996). For the purpose of this study, in-depth interviews were conducted to collect data from beneficiaries, the ward councilor and the eThekweni Municipality Project Manager.

### **1.9.6 Secondary Sources of Data**

Wood (1991) defines secondary sources of data as second-hand accounts of events, people, places or topics which are based on the researchers or writer's experience. These sources include books, newspapers, pamphlets, encyclopedias, and other material. When one uses primary data sources, such as eyewitness accounts to help write a story, book or paper, one is creating a secondary source. Secondary sources of data include evaluation, interpretation or analyses of the original information (Wood, 1991). For this study, secondary sources of data included books, journal articles, dissertations, government publications, Department of Human Settlements documents, Internet sources and newspaper articles.

### **1.10 Data Analysis**

According to Judd et al. (1989), data analysis is a method of reviewing, editing, changing, and modeling information with the aim of identifying appropriate information to support decision-making and propose conclusions. There are numerous approaches to data collection (Judd et al., 1989). To understand the participants' experiences and answer the main research question, the data was interpreted by applying a code or framework analysis. According to Srivastava and Thomson (2009), these methods are appropriate in qualitative research that uses semi-structured interviews.

Cresswell (2009) identifies the first step in data analysis as organising and preparation; this involves sorting and arranging field notes. Srivastava and Thomson (2009) refer to the first step as familiarisation which implies that the researcher "immerses" himself or herself in the data by reading and reviewing the transcribed interviews. Key ideas and recurrent themes are noted and jotted down. The researcher reads the written text several times so as to make sense of it. In this study, recorded interviews had to be translated into English since the participants were interviewed in IsiZulu.

Thematic analysis is a qualitative analytic method which is used to identify, analyse and report patterns (themes) within the information collected. This type of analysis describes and organises the information gathered. However, thematic analyses often goes further

and interprets several aspects of the research study (Braun and Clarke, 2006:79). To construct a thematic framework, the researcher allows the data to dictate the emergent themes, issues, and concepts. Thereafter, using the notes taken during the familiarisation stage, the researcher develops a framework comprising the key issues, concepts, and themes expressed by the participants.

Creswell (2009) recommends the Tech (1990) detailed coding process, which provides a useful process comprising eight steps to obtain a sense of the whole by reading the transcriptions carefully and jotting down ideas as they come to mind. Creswell (2009) adds that coding is used to create a number of themes which normally range from four to six. The themes should be supported by diverse quotations and specific evidence. They are analysed for each individual case and across different cases in a case study.

### **1.11 Limitations of the Study**

The most significant limitation of this research study was time and financial constraints. Furthermore, the researcher faced the challenge of getting hold of key informants such as the ward councilor and Project Manager, as they both kept changing interview dates because of their busy schedules. Nonetheless, the researcher successfully conducted the study and is confident that it provides accurate information on the socio-economic impact of relocating informal settlements residents to Philani Valley with the purpose of creating sustainable human settlements.

### **1.12 Structure of Dissertation**

#### **Chapter 1**

This introductory chapter outlines the research topic, problem statement, the study's objectives, and the main research question and subsidiary questions, followed by the hypothesis. It includes the definition of key concepts, the justification for the study, the research methodology and data analysis and the limitations of the study.

## **Chapter 2**

This chapter focuses on the theoretical framework adopted for this study and explores relevant South African and international literature on informal settlements upgrading and sustainable human settlements.

## **Chapter 3**

This chapter presents the historical background on Philani Valley in uMlazi and demographic information relating to uMlazi, including statistics relating to employment. The objectives of the Philani Valley Housing Project and the provision of social and economic facilities are also explored.

## **Chapter 4**

This chapter present the research findings, the themes that emerged from the data analysis and an interpretation of the findings.

## **Chapter 5**

This chapter presents a summary of the findings and a conclusion based on the study's objectives and research questions. It also presents recommendations which flow from the study's findings.

## **Chapter Two: Theoretical Framework and Literature Review**

### **2.1 Introduction**

This chapter presents the theoretical framework employed for this study and a review of the relevant literature. This chapter is divided into four sections. With the first section presenting the theoretical framework which was based on Modernisation theory, the Sustainable Livelihood approach and the Enabling approach. The second section reviews the literature, which begins with discussing the causes of informal settlements in South Africa. Furthermore giving more insight on the characteristics of informal settlements and sustainable human settlements. The literature presented in the second section also focuses on the history and evolution of informal settlement upgrading in South Africa. This discussion is necessary to provide an overall understanding of informal settlement upgrading and its socio-economic impact. The third section presents the legislative framework that guides the study. Finally, the last section presents a local and international precedent studies that demonstrate how relocation approaches in other projects were implemented and lessons learnt.

### **2.2 Modernisation Theory**

According to Hoebink (1997), the origins of Modernisation Theory can be traced to the United States in the late 1940s and early 1950s. The theory is distinctive in the body of development theory which came into being as part of the larger ideological battle of the Cold War. It was quickly adopted by most Western governments as the basis for development planning. Hoebink (1997) suggests that Modernisation Theory's roots lie in President Harry Truman's inaugural address in 1949 which was part of what was known as the Truman Doctrine. In his address, Truman called for "...a bold new programme for making the benefits of scientific advances and growth of underdeveloped areas" (Hoebink, 1997:1).

Govender (2011:52) notes that Modernisation Theory has its basis in functionalist thought that conceptualises urban life as compartmentalised into broad categories of activity (for

example, live, work, play and means of transport) which dictates that all these activities need to be integrated in order to promote sustainable human settlements. According to Burkey (1993), Modernisation Theory promoted development based on the capitalistic definition of economic growth. Growth was perceived as part of a natural process. Development was associated with economic growth, progress and higher levels of civilisation (Burkey, 1993).

Govender (2011) observes that this ideology has led to the development of mono-functional activities, often fragmented and environmentally sterile, characterised by high levels of inconvenience and low levels of service. Govender adds that they create huge amount of movement which is very costly in terms of finances, time, energy and pollution. There is little evidence of a cohesive locational environment which integrates both urban activities and structures (Govender, 2011:52). Approaches to development and planning based on this theory arose from assumptions made by Modernisation researchers and specific concepts formulated by theorists from the European evolutionary school of thought (Alvin, 1990).

In terms of housing, the Modernisation approach supported the adoption of a western culture and standards, resulting in shelter comprising conventional housing units, which ultimately led to the bulldozing of slums and re-housing in public housing schemes (Burgess, 1992). However, by the 1970s, it became clear that the Modernisation Theory had failed. Alvin (1990) notes that Modernisation theorists advocated a top-down approach to housing development programmes, in which the state played a central role with little or no involvement of beneficiaries (Alvin, 1990).

The modernisation of housing by eradicating informal settlements and the construction of sustainable human settlements benefits the people of South Africa. The upgrading of informal settlements in this context formed part of the comprehensive perspective adopted to evaluate the extent to which the relocation of residents of informal settlements to Philani Valley created sustainable human settlements.

## 2.3 Sustainable Livelihood Approach

According to the UNDP (1997), the sustainable livelihoods approach was first introduced by the Brundtland Commission on Environment and Development as a way of linking socio-economic and ecological considerations in a cohesive, policy-relevant structure. The 1992 United Nations Conference on Environment and Development (UNCED) expanded the concept, especially in the context of Agenda 21, and advocated for the achievement of sustainable livelihoods as a broad goal for poverty eradication. It stated that sustainable livelihoods could serve as an integrating factor that allows policies to address development, sustainable resources management, and poverty eradication simultaneously (UNDP, 1997). Chambers and Conway (1992) state that livelihoods comprise(s) the capabilities, assets (including both material and social resources) and activities required for a means of living. They add that a livelihood is sustainable when it can cope with and recover from stresses and shocks and enhance its capabilities and assets both now and in the future, while not undermining the natural resource base (Chambers and Conway, 1992).

Dianga (2011) states that livelihoods connote the activities, entitlements and assets whereby people make a living. In essence, sustainable livelihoods describe the links between all levels that affect households, starting from how households secure assets, to what they do with them, what gets in their way whilst obtaining them and who controls the resources on which assets are based. It recognises that households need access to assets so as to provide for their basic needs and to gradually increase them over time. These assets help buffer households against various forms of vulnerability.

Moreover, this approach puts people at the centre of development. It focuses on individuals, households and community at the micro level of neighbourhoods and the macro level of the city. It is argued that it is at these levels thinking about the achievement of objectives such as poverty reduction, economic reform or sustainable development becomes effective (Moser, 1996). According to DFID (2001), at a practical level the approach:

- starts with an analysis of people's livelihoods and how these have changed over time;
- fully involves people and respects their views;
- focuses on the impact of different policy and institutional arrangements on people / households and on the dimensions of poverty they define (rather than on resources or overall output *per se*);
- stresses the importance of influencing these policies and institutional arrangements so they promote the agenda of the poor (a key step is political participation by poor people themselves);
- works to support people to achieve their own livelihood goals (though taking into account considerations regarding sustainability).

This corresponds well with informal settlement upgrading programmes that shift the focus beyond improving shelter and incorporate overall improvement of residents' well-being. The sustainable livelihoods approach assumes that sustainable poverty reduction will only be achieved if external support (i.e., support from outside the household) works with people in a way that is congruent with their current livelihood strategies, social environment and ability to adapt. For the purpose of this study, this approach was used to evaluate the socio-economic impact of relocating residents from informal settlements to Philani Valley and evaluating residents' experiences before and after the relocation. In essence, this involved exploring dwellers' access to social and economic opportunities that contribute to their well-being.

## **2.4 The Enabling Approach**

According to Umoh (2009:13), the Enabling approach to housing has its origins in the neoliberal movement that began in the USA and the UK in the 1970s. One of the characteristics of neoliberalism was the change in policies advocated by international institutions like the World Bank and the International Monetary Fund (IMF). They shifted from promoting the "development project" (i.e., supporting 'statist' and "inward-looking" strategies launched between 1945 and 1955) to promoting a neoliberal agenda that

amongst other things stressed decreased government intervention in most sectors of the economy (Arrighi et al., 2009).

The Enabling approach was introduced by the Global Report on Human Settlements of 1986 as an improvement on the project-based approach to settlements. It aimed to decrease the ring-fenced effects of previous projects and allow everyone to enjoy better housing conditions. The World Bank (1993) states that the Enabling approach addresses the housing system, not just projects. Thus, it is not government's job to provide housing, but to set up an environment which enables the housing market to work effectively.

According to the Global Report on Human Settlements (2005), there was an inevitable need to scale up activities to address the large number of people living in poverty. The Enabling approach regards housing and urban development as a multi-sectoral issue. The construction sector is subject to the same level of by efficiencies and inefficiencies as finance. The Enabling approach calls for a housing policy that regulates and oversees the development of housing, in the sense that the government should not be the direct supplier of housing but rather leave construction and delivery to the housing market (Global Report on Human Settlements, 2005). Moreover Hassan (2011) states that government intervention can be effective by enabling the housing markets Set up the regulatory framework needed and reform government institutions, focusing them on different goals and retooling them accordingly. This approach was therefore used to evaluate the role of the government in the Philani Valley project, in terms of analysing how eThekweni Municipality implemented the project and the extent to which it was involved in the process and ensuring the availability of components of housing supply.

## **2.5 Literature Review**

### **2.5.1 The causes of informal settlements**

In order to fully understand informal settlements in South Africa one needs to know what causes them. According to the Department of Human Settlements (2009), today, more South Africans live in urban areas than in rural areas. The population in the urban areas

is increasing at a drastic rate and a large number of these households live in impoverished and insecure conditions. Municipalities do not have the capacity to meet the growing demands created by urban growth. This is the case in uMlazi where many poor people resort to informal settlements for shelter (Department of Human Settlements, 2009). Migration and poverty are major causes of informal settlements. Kramer (2006 cited in Tshikotshi, 2009) states that most informal settlements residents migrate from rural areas to escape rural poverty, and pursue the greener pastures seemingly offered by metropolitan areas. According to Lai (1995), “migrants are attracted mainly to the cities by socio-economic conditions such as the considerable rural-urban gap of living standards instead of the collectivisation in rural areas” (Lai, 1995). “The pull factor of better access to socio-economic opportunities contributed to the establishment, if not the permanence, of informal settlements in South Africa” (Tshikotshi, 2009: 7).

Wekesa et al. (2011) note that some people are forced to live in informal settlements due to poverty and unemployment. Indeed, some consider such settlements a practical solution for a developing country (Wekesa et al., 2011). According to Mutisya and Yarime (2011), this phenomenon is also regarded as economically viable as residents cannot afford to build or buy their own houses or to access formal shelter through proper channels for various reasons such as low wages or unemployment. Mutisya and Yarime add that the existence of informal settlements demonstrates the poverty and poor conditions in which people live, which call for multiple interventions from various governmental sectors in order to provide easy access to essential social services. Conditions in informal settlements predispose residents to diseases which could have a harmful effect later in life (Mutisya and Yarime, 2011).

Scholars have also noted that informal settlements present their own unique problems. One of the important factors that policy makers need to consider before formulating policies and programmes to eradicate informal settlements is to understand the causes of these settlements. Misslehorn (2008) emphasises that “it is important to analyze why informal settlements exist and what functionality they afford to those who reside in them”. Furthermore, whilst informal settlements are all different, Misslehorn (2008) states that “one frequent factor in the formation of informal settlements is that they typically provide

an initial point of access into the urban environment for incoming migrants, or for those moving from other parts of the city. More importantly, they afford such access at a very low financial cost and the barriers to entry are low” (Misslehorn, 2008:5).

Misslehorn (2008) highlights some of the elements that explain the nature of this access. These include access to employment and other economic / livelihood opportunities (which are often modest or survivalist in nature); access to social facilities (e.g., education and health care) and potential access to housing and infrastructure. Thus, informal settlements play a critical role as ‘holding places’ where people can access the urban environment at low financial cost in search of a better life (Misslehorn, 2008:6).

### **2.5.2 Characteristics of Informal settlements**

According to Ackelman and Andersson (2008:6), “since the 1960s, cities in developing countries around the world have faced a high rate of urbanisation and increasing poverty. The result is uncontrolled development of non-planned urban settlements, through illegal invasion of land and construction of shelter, where people live in poor housing and living conditions”. Over time, different terms have been used to describe such settlements. Common expressions include slums, shantytowns and squatter settlements, but the most appropriate concept is ‘informal settlement’ (Ackelman and Andersson, 2008:6).

Staff (1993: 235) notes that informal settlements are dense settlements comprising of communities housed in self-constructed shelters under formal or traditional land tenure. Staff (1993) adds that such settlements are a common feature in developing countries and that they are typically the product of an urgent need for shelter by the urban poor. However, Srivinas (2005) states that informal settlements are defined in various ways depending on the planning and legal framework of the country where they exist. UN Habitat (2003) defines informal settlements as:

- i) Residential areas where a group of housing units have been constructed on land to which the occupants have no legal claim, or which they occupy illegally;
- ii) Unplanned settlements and areas where housing is not in compliance with current planning and building regulations (UN Habitat, 2003).

According to Alim and Sulaiman (2006), informal settlements are residential housing units built in planned and unplanned areas without formal approval from the appropriate authority. According to Huchzermeyer and Karam (2006), informal settlements are settlements of the urban poor which are developed through unauthorised occupation of land. They are regarded as unhealthy and overcrowded blights on the urban landscape. They add that these settlements contain shelters made of non-durable materials such as plastic, wood, and scrap metal, are progressively becoming an ordinary form of accommodation for millions of people and are mainly found on the outer edges of larger cities (Huchzermeyer and Karam, 2006). Saane (2005: 47) states that informal settlement areas are not surveyed and thus do not have property boundaries, and are located in townships that have not been proclaimed. Saane (2005) adds that this makes it difficult for residents to develop their settlement due to the lack of security of tenure as such areas cannot be registered in the Surveyor General's office (Saane, 2005:47).

South Africa's 2004 National Housing Programme notes that an informal settlement typically manifests the following characteristics: illegal and informal dwellings, poor or dangerous location of settlement, restricted public and private investment due to its illegality, poverty and vulnerability due to a lack of demarcated roads, poor lighting and underdeveloped public open space. An informal settlement is also often characterised by crime and social stress. Mokoena and Marais (2007:320) add that such settlements are not situated on well-located land. Abbot (2003:2) notes that residents of informal settlements do not have legal tenure to the land they occupy, and that these settlements fall outside the formal planning process and as a result usually lack or have a very low level of basic services such as water and sanitation (Abbot, 2003:2). Overall, these settlements lack security of tenure, are overcrowded and are exposed to various social, economic and environmental risks (UN-Habitat 2003).

### **2.5.3 History of Informal Settlement Upgrading in South Africa**

According to Maylam and Edwards (1996), the notion that informal settlements were a key urban problem, and that the solution was 'clearance' or 'eradication', first emerged under nineteenth century British colonialism and was central to stance adopted by

successive governments until the late 1970s. However, Massey (2013; 14) notes that scholars like Turner (1968; 1977) opposed to the eradication approach and regarded informal settlements as part of the solution to the challenge of housing provision. Massey (2013) observes that Turner (1967) and Abrams (1966) were the first to promote the concept of 'self-help' housing and the need for autonomy within settlements. Scholars like Turner (1967) and Turner and Fichter (1972) advocated for a move away from marginalising the poor.

Ley (2009) notes that informal settlement upgrading gained momentum in the 1980s amidst growing global concern over poverty levels. Poverty was seen as a process rather than a physical condition. *In situ* upgrading was regarded as the new magic bullet; a way of maintaining social ties, avoiding relocation and protecting social capital. According to Gilbert (2007), *in situ* upgrading involved a comprehensive approach to housing, with the state acting as an enabler and maximum community self-management being encouraged.

Payne (1989) notes that African cities reacted to the marked increase in the number of informal settlements during the 1950s and 1960s with increased regulation, administration and enforcement. Such settlements were regarded as areas of poverty, illegality, crime and disease and were a direct contradiction of the modernist direction that African governments were aiming for (Payne, 1989).

Macharia (1992) states that the Kenyan government implemented informal settlements clearance policies in Nairobi during the 1970s as well as campaigns to discourage urbanisation such as *Turudimashambani* ("Let's return to the rural areas"). Many governments also attempted to provide housing through national housing corporations. However, Macoloo (1994) that these state-built, high-rise settlements proved unsuitable for those who occupied them.

Massey (2013; 18) adds that shifts in policy and attitudes began to take root in the 1970s and informal settlements were recognised as an active part of the city and a legitimate response to housing shortages. Planners began providing residents of informal settlements with security of tenure and basic services and infrastructure. This meant that African governments no longer directly built and delivered houses, but focused on

settlement improvement through infrastructure, land tenure and technical and financial/credit services (Keare and Parris, 1982). Solo (1991) points out that, initially, most projects were based on overly ambitious plans that covered large areas and had multiple foci (water, sanitation, electricity, community development, economic opportunities, etc.). Such projects were implemented in Zambia, Kenya, Botswana, Tanzania and Senegal, often funded and supported by the World Bank.

The upgrading of informal settlements in South Africa was complicated by apartheid policies. Kenney (2011) notes that the apartheid regime intensified discrimination against blacks, Indian and colored people. According to DeMoss-Norman (2015), forced displacement and resettlement were part of South African history both during and after the apartheid years. The apartheid regime used resettlement to control Africans' movement into the cities. During the 1980s, as government officials became increasingly concerned about the country's image, they began referring to these removals as "voluntary relocations".

According to Platzky and Walker (1985), removal tactics shifted from coercive methods reliant on police, guns, and dogs to more indirect strategies based on "generous compensation" packages that promised affected Africans a better quality of life. Black Africans' movement was strenuously restricted and enforced. Schools were often located miles from relocated settlements, and as a result many children could not attend classes. Municipal services were also sparse in resettlement areas due to government neglect and infrastructure deficiencies in water pipes, sewage systems, telephone and electrical services, and roads. The apartheid government did not seriously consider how the forced relocation of black South Africans to segregated areas would affect communities. Those relocated previously lived in over-crowded substandard housing or makeshift informal settlements with poor sanitation. The promise of better health and improved sanitary conditions was one way officials convinced black South Africans to move to outlying areas (DeMoss-Norman, 2015).

In 1994 the African National Congress (ANC) won the elections and became the first democratic government to govern the country. This drastically transformed the South African government, as well as the demographics of South African settlements. New

economic opportunities which were now open to all prompted migration from rural areas to urban informal settlements (Kenney, 2011). Furthermore, strict laws protecting the rights of the residents of informal settlements such as the Prevention of Illegal Eviction (PIE) Act, promoted the growth of informal settlements (Mels et al., 2009). DeMoss-Norman (2015) points out that the PIE Act gave additional rights to informal settlement residents in the face of displacement.

The Act highlights that local officials must provide prior notification to squatters of pending relocation and, in certain cases, provide an opportunity for resettlement. Thus, while forced relocation became more common in light of new urban development plans, the government tried to protect the residents of informal settlements from complete dislocation. More specifically, a resettlement plan was meant to differentiate these relocations from their apartheid predecessors. While though South Africa is now governed by a democratically-elected government, it is still struggling to meet the demands created by urban-rural migration, leaving many, especially the poor that are seeking jobs in urban areas with no choice but to reside in informal settlements (Kenney, 2011).

#### **2.5.4 The concept of relocation and its implications for social, economic and educational aspects of residents' lives**

According to Ziblim (2013:4), there are two dominant approaches to the upgrading of informal settlements, "relocation," and "in situ" upgrading. Relocation occurs when the existing informal settlement is demolished and the inhabitants are relocated to suitable greenfields elsewhere, normally on the periphery of cities. On the other hand, *in situ* upgrading entails developing the existing informal settlement by gradually extending land tenure, infrastructure and social services, such as water, sanitation and electricity to residents (Mistro and Hensher, 2009).

Franklin (2009) states that complete relocation of informal settlement residents to greenfields has a tendency to disrupt "fragile community networks" and "livelihood opportunities" (Franklin, 2011). Scholars cite location as an important factor to take into account. Sokhela (2006; 31) notes that the location of settlements should be considered in relation to 'higher order' facilities and amenities in an urban area, such as hospitals,

tertiary institutions and sporting and leisure facilities, and crucially, the location of work opportunities. In this regard, Sokhela (2006) notes that travel and transportation are critical in terms of the convenience, safety and affordability of the means of moving from home to work or other facilities. However, he notes that formal jobs are playing less of a role in the lives of the poor, while a range of income generation and survival strategies are becoming more important. The link between these activities and the home environment therefore needs to be taken into account. Thus, location is an extremely important consideration and has a substantial impact on the success of upgrading projects. One of the most difficult issues to be addressed in the South African context is the poor location of many informal settlements. The upgrading of these settlements addresses constitutional imperatives, but does little for the structure of South African cities which are already deeply dysfunctional (Sokhela, 2006:31).

According to Firman (1997:58), projects that are well positioned within the structure of cities are able to take advantage of locational opportunities, and may be the subject of rapid transformation. Firman adds that, internationally, some areas have been converted into shopping centres, offices and business spaces, high-rise apartments and middle-income housing, yet this was not the purpose of the upgrading the informal settlements, and this transformation has had exclusionary consequences (Firman, 1997:58). Moreover, Charlton (2003:265) states that in some cases, residential areas have been developed without the necessary social and other amenities; this undermines the intention to establish habitable, viable and sustainable human settlements. Likewise DeMoss-Norman (2015:226) states that government officials and development planners that support development-motivated forced resettlement argue that new economic development can generate higher municipal revenue, create local employment opportunities, and improve the living conditions of those in poor communities and informal settlements by offering new services and improved livelihoods.

According to Mansuri and Rao (2013), since 1997 the South African government has sought to implement programmes designed to integrate cities through “sound urban planning, land, transport and environmental management critical to enhance the generative capacity and ease of access to socioeconomic opportunities” (South African

Department of Housing, 1997:12) and correspondingly to promote poverty alleviation and the reduction of urban inequalities. They add that many of these development goals, such as new employment opportunities, rarely benefit the poor. Newly created jobs are primarily filled by those with special skills or connections with planners, business owners, or government officials. Development planners argue that the poor cannot obtain employment in these new enterprises because they lack appropriate training and expertise (Mansuri and Rao, 2013). DeMoss-Norman (2015:227) points out that residents of informal settlements are not only displaced from their long-established homes but lack real employment prospects once they move to new areas. The promised services are sometimes delayed or are not fully functional at the time of their arrival.

One of the main arguments put forward by DeMoss-Norman is that the forced relocation and resettlement of informal settlement dwellers to planned townships can, albeit often unintentionally, negatively impact community sentiments. The spatial landscape of squatter settlements is markedly different from the landscapes of formal urban communities. It can be difficult for new arrivals to adjust to these unfamiliar and highly planned surroundings. Moreover, Oliver-Smith (2009) states that many new resettlement areas are inadequately financed and poorly designed. Even when they are decently planned, they are not always competently implemented. The authors add that urban planners often fail to consult dwellers on the design of new settlements. Schaug (2003:150) argues that “urban designers need to be careful in such cases that they do not try to improve matters without taking into account those who might suffer the consequences.” If the needs of arriving community members are not taken into account, the new area’s spatial and structural layout can easily work against the people. In contrast, local participation in development planning can create something that new residents can make their own. It could also avoid dilemmas that developers face in working with resettled populations (Schaug, 2003:150).

According to the revised Global Report on Human Settlement (2010) a well-administered upgrading of an informal settlement has significant linkages with the socio-economic well-being of the poor in every society. It can help to combat poverty and vulnerability, achieve sustainable human development, and promote environmental sustainability. Moreover a

relocation process that incorporates international lessons can prevent avoidable human suffering.

### **2.5.6 Characteristics of Sustainable Human Settlements**

In its 2005/6 budget expenditure review, the South African government stated that it is a challenge for public housing programmes to not only provide a physical structure, but for the structure to be part of a sustainable environment where communities can be part of economic life. According to Du Plessis, addressing the individual and the community's social needs will be determined by the way they go about everyday living, learning (not only through schools) and finding employment opportunities. The way the settlement functions and is managed links to the social array. The way the community members relate to the settlement and the opportunities provided by the settlement should also be taken into account (Du Plessis, 2002).

The concept of human settlements has evolved over the years. According to Nkambule (2012), it has become a strategy for socioeconomic development within the framework of global shelter strategies. There is consensus that human settlements are not only about spatial issues but are the physical manifestation of economic and social activity (Nkambule, 2012:10). According to the United Nations Environment Programme (2003), human settlements define people's existence. They are places – large and small, urban and rural, formal and informal – where people live, learn, work and create. According to the Vancouver Declaration on Human Settlements (1976), "human settlements means the totality of the human community – whether city, town or village – with all the social, economic, environmental, spiritual and cultural elements that sustain it". On the other hand, according to Scheepers (2014), sustainability is a multi-faceted issue. Furthermore, it is widely accepted that sustainability involves meeting current needs in a way that will not affect future generations' ability to meet their needs.

According to Agenda 21(1992), the overall objective is to improve the social, economic and environmental quality of human settlements and the living and working environments of all people, particularly the urban and rural poor. Such improvements should be based

on technical cooperation,, partnerships among the public, private and community sectors and participation in the decision making process by community groups and special interest groups such as women, indigenous people, the elderly and the disabled. These should be the core principles of national settlement strategies. Agenda 21 states that, in developing such strategies, countries need to set priorities among the following eight programme areas in accordance with their national plans and objectives, taking into account their social and cultural capabilities:

- Providing adequate shelter for all;
- Improving human settlement management;
- Promoting sustainable land use planning and management;
- Promoting the integrated provision of environmental infrastructure: water, sanitation, drainage, and hazardous and solid waste management;
- Promoting sustainable energy and transport systems in human settlements;
- Promoting human settlement planning and management in disaster-prone areas;
- Promoting sustainable construction industry activities;
- Promoting human resource development and capacity-building for human settlement development.

Du Plessis and Landman (2002:12) state that sustainable human settlements are those cities, towns, villages and their communities which enable societies to live in a manner that supports the state of sustainability and the principles of sustainable development. Institutional, social and economic systems are in place that will ensure the continued existence of these settlements. According to Olotuah and Bobadoye (2009:59), sustainable human settlements are “the gradual, continual and replicable process of meeting the housing needs of the populace, the vast majority of who are poor and are incapable of providing adequately for themselves”.Scheepers (2014:105) notes that apartheid planning that led to housing backlogs and spatial anomalies received a great amount of attention with the election of the new government in 1994. Active efforts were made to eradicate the housing backlog through subsidised housing.

However, Scheepers (2014) states that, despite on-going housing delivery by the state, the country’s cities are challenged by severe housing backlogs and ongoing spatial segregation. He recommended that active efforts need to be made to redress the effects of apartheid planning in order to ensure well-integrated, sustainable human settlements. In order to achieve this, it is crucial to understand the different elements that contribute to sustainable human settlements (Scheepers, 2014:105).Scheepers (2014:105) states that, with the demise of apartheid, a new planning approach was required that aimed to improve the quality of life of the urban poor who had previously been disadvantaged. Several factors contribute to the provision of adequate housing, and ultimately the creation of sustainable human settlements.

The factors identified by Scheepers (2014) are presented in Table 1 below.

**Table 1: Factors of sustainable human settlements**

Sustainability	Sustainable development occurs when social, economic and environmental development is encouraged, without these factors negatively influencing one another. Cohesion between these three factors is important to ensure the longevity of housing projects and the protection of the environment.
Location	Location plays a vital role in housing provision. It is important that housing projects are well located, with regards to economic opportunities and social facilities. Projects located on the urban periphery tend to be removed from employment opportunities and usually increase living expenses for residents

	<p>who are forced to travel great distances to access amenities.</p>
Density	<p>Increased residential densities have proven benefits with regard to infrastructure provision, the provision of social facilities and viable public transport. Furthermore, increased densities optimally utilise available land, decrease urban sprawl and create vibrant communities.</p>
Basic infrastructure	<p>Access to potable water and decent sanitation facilities are considered basic human rights in accordance with the South African Constitution. Provision of these basic services is therefore crucial with regard to housing provision.</p>
Affordability	<p>Affordability is extremely important when discussing housing provision for the urban poor. Two aspects of affordability (capital variables and operational variables) are discussed. Operational costs (such as maintenance) should not be disregarded in subsidised housing</p>

	schemes as beneficiaries often cannot afford these long term costs.
Right to tenure	Legal tenure of a property (be it in the form of ownership or a binding lease agreement) is very important in housing provision as it protects the resident of the property from illegal eviction and creates a certain level of security.
Range of Household Types	Community members' housing need are extremely varied due to differences in culture, household size and socioeconomic conditions. As such, a standardised method of housing provision is not viable. Housing provision needs to flexible and varied in order to adapt to the ever-changing needs of the community.

The table clearly indicates that housing provision is a complex issue. It is therefore important that these elements are considered when implementing housing projects to ensure sustainability.

On the other hand, Du Plessis and Landman (2002) explain that, whether or not a settlement can be declared sustainable depends on the interaction of four different patterns:

- The physical structure – how the settlement sits within the natural environment and therefore responds to the topography, the spatial relationship between the different parts of the city, and the form of the built environment.
- The use patterns – which are formed by the way the settlement uses its resources and are described by the infrastructure and services provided.

- The social patterns – how people live, learn and work in, and relate to, their settlement, and the opportunities provided by the settlement for meeting these social needs.
- The operational patterns – how the settlement functions and is managed (Du Plessis and Landman, 2002:13).

## **2.6 Legislative Framework**

The persistence of informal settlements in South Africa, and their continued growth despite extensive government subsidised housing delivery since 1994, has been the focus of increased attention. Launched in 2004, the Informal Settlement Upgrading Programme has a dedicated subsidy mechanism and is part of the refinement of the National Housing Policy in the form of 'Breaking New Ground': A Comprehensive Plan for the Development of Sustainable Human Settlements. The Informal Settlement Upgrading Programme calls for a paradigm shift in relation to informal settlement intervention (Huchzermeyer and Karam, 2006:41). The programme is guided by a set of legislation that is discussed in this section.

### **2.6.1 The 1996 Constitution of the Republic of South Africa**

The most important piece of legislation that governs the upgrading of informal settlements in South Africa is the 1996 Constitution. The Constitution aimed to redress the racial divisions imposed by apartheid. Currie and de Waal (2006) note that the Constitution should be read together with the Bill of Rights in its context of 'constitutional supremacy, justiciability and entrenchment'. Mubangizi (2005) states that the Bill of Rights is the basis of democracy in South Africa as it affirms that the government must respect, protect, promote and fulfill the rights of all South Africans (Mubangizi, 2005; RSA, 1996). Section 26 (1) of the Constitution states that, "everyone has the right to have access to adequate housing" and Section (2) of the same Article enjoins the State to "take reasonable legislative and other measures, within its available resources to achieve the progressive realisation of this right." Scholars such as Tshikotshi (2009) and Huchzermeyer (2003) have argued that the realisation of the right to housing is inextricably linked to the right to land. However, the right to land is habitually constrained by constitutional protection of

the exceptionally lopsided existing rights to land (Tshikotshi, 2009; Huchzermeyer, 2003). Huchzermeyer (2003) observes that land invasions by the urban poor are an indication that access to housing for urban indigents is connected to inequitable access to land.

Furthermore, Section (3) of the Constitution states that “no one may be evicted from their home, or have their home demolished, without an order of court made after considering all the relevant circumstances. No legislation may permit arbitrary evictions.” In effect, Section 26 of the Constitution provides the primary legislative framework from which all national programmes and policies on adequate housing including informal settlement upgrading derive their support and legitimacy in South Africa.

### **2.6.2 The 1994 White Paper**

This White Paper was the first post-apartheid housing policy to be adopted by the new democratic government (African National Congress). It sought to “create viable, integrated settlements where households could access opportunities, infrastructure and services, within which all South African people will have access on a progressive basis, to: (a) a permanent residential structure with secure tenure, ensuring privacy and providing adequate protection against the elements; (b) portable water, sanitary facilities including waste disposal and domestic electricity supply” (Tissington, 2010, 33).

The White Paper further stipulates that despite environmental constraints and limitations on the fiscus, every effort will be made to realise this vision for all South Africans whilst recognising the need for general economic growth and employment as well as the efforts and contributions of individuals themselves and the providers of housing credit, as prerequisites for the realisation thereof (White Paper on Housing, 1994). Since 1994, several housing programmes have been implemented in pursuit of the ideals of the of this landmark policy document, culminating in a significant policy shift in 2004, with the launch of BNG (Ziblim, 2013).

### **2.6.3 The Housing Act of 1997 (Act No. 107 of 1997)**

South Africa's housing policy arose from an unusual process. From 1992 until the elections in 1994 a multi-party negotiating body, the National Housing Forum, made up of representatives from political groups, the business community, the building industry, financial institutions, unions, civics and development organisations thrashed out a housing policy in response to the then government's racially based policy (Tomlinson, 1999:283).

The Housing Act of 1997 together with the revised Housing Code of 2009 was enacted to give effect to Article 26 (1) of the Constitution. Tissington (2011) states that the Act provides for a sustainable housing development process by laying down the general principles that should govern such processes in all spheres of government. Among other things, it spells out the functions and relationships between the various tiers of government and individuals and communities with regard to housing development (Tissington, 2011). The Act further contains relevant provisions under Section 2, which oblige municipalities to ensure a non-discriminatory, pro-poor, racially integrated, and participatory process to upgrade informal settlements based on the principles of good governance. Section 2 (1) states that the national, provincial and local spheres of government must: (a) Give priority to the needs of the poor with respect to housing development; and (b) Consult meaningfully with individuals and communities affected by housing development. Section 2(1) further enjoins all spheres of government to ensure that housing development: (i) Provides as wide a choice of housing and tenure options as is reasonably possible; (ii) Is economically, fiscally, socially and financially affordable and sustainable; (iii) Is based on integrated development, and (iv) is administered in a transparent, accountable and equitable manner, and upholds the practice of good governance.

Furthermore, Section 2(1) (e) (iii) provides for "the establishment, development, and maintenance of socially and economically viable communities, and of safe and healthy living conditions to ensure the elimination and prevention of slums and slum conditions."

Section 2 (1) (e) (vi), provides for “measures to prohibit unfair discrimination on grounds of gender, and other forms of unfair discrimination by all actors in the housing development process.” According to Ziblim (2013:22), these general principles in the Housing Act are instructive for the processes and modalities of the upgrading of informal settlements, which aims to facilitate the creation of integrated urban cities and to reduce, if not eliminate social exclusion in South Africa. However, according to Tshikotshi (2009), the 1997 Housing Act has serious weaknesses including the failure to direct housing policy on whether delivery should be through project-linked grants or settlement-wide developments, or whether individual ownership should be given precedence over communal ownership or rental alternatives (Tshikotshi, 2009). Miraftab (2003) adds that the Act does not uphold the spirit of democracy as it provides that the Housing Code is the preserve of the Housing Minister and, that the minister has the right not to engage in any consultative process in deciding national housing policy (Miraftab, 2003).

Huchzermeyer (2003) observes that this thinking is based on the misconception that informal settlement interventions are simply a form of housing delivery and that the role of communities is therefore not important. The result is that subsidies have often been offered in top-down housing projects for large-scale housing settlements (COHRE, 2005). Huchzermeyer (2003) points to the many problems associated with project-linked subsidised housing, including, *inter alia*, poor quality and peripheral locations that lack commercial and social services. However Ziblim points out that the Upgrading of Informal Settlement Programme derives its policy context from the BNG policy document of 2004 (Ziblim, 2013:22).

#### **2.6.4 The Breaking New Ground Housing Policy (BNG)**

From 2002 to 2003, the Department of Housing (now the Department of Human Settlements) undertook a comprehensive review of the housing programme after recognising a number of ‘unintended consequences’ of the existing programme. These included peripheral residential development, and poor quality products and settlements, just to name but a few (Tissington, 2010). The Upgrading of Informal Settlements Programme (UISP) was a result of the BNG policy document which was adopted in 2004

by the South African government. According to Tissington (2011), the aim of BNG was to augment the delivery of well-located housing of suitable quality through various innovative, demand-driven housing programmes and projects. The policy sought to achieve the following specific objectives:

- Accelerate the delivery of housing as a key strategy for poverty alleviation;
- Utilise the provision of housing as a major job creation strategy;
- Leverage growth in the economy;
- Combat crime, promote social cohesion and improve the quality of life of the poor;
- Support the functioning of the entire residential property market to reduce duality within the sector by breaking the barriers between the first economy residential property boom and the second economy slump;
- More importantly, utilise housing as a tool for the development of sustainable human settlements, in support of urban restructuring. For the purpose of this study, the focus area was this objective, as the study evaluated the extent to which Philani Valley Housing project has been used as a tool for the development of sustainable human settlements (Department of Human Settlements, 2004: 7).

Ziblim (2013:24) states that these objectives reflect a revolutionary approach to the challenge of informal settlements, in the sense that, for the first time, the issue of informal settlements was conceptualised not merely as a housing problem but as the product of an underlying socio-economic predicament that needs to be addressed. Hence, the policy saw housing as a catalyst to achieve broader socio-economic goals, including economic growth, job creation, poverty alleviation, and social cohesion.

However Charlton and Kihato (2006) note that BNG has been criticised for not fully addressing the key weaknesses in the previous policy identified by the department, or offering clear direction on the difficult political issues of land ownership, the land market and rights around property values. Although the programme strives for broader outcomes, key indicators of performance appear to remain largely quantitative, and focus on the number of houses produced and budgets spent (Charlton and Kihato, 2006).

Furthermore, while BNG built on the basic principles of the 1994 White Paper on Housing, Ziblim (2013) points out that it diverges in a number of ways from previous national housing programmes, including the importance it places on informal settlement upgrading as part of efforts to deliver adequate housing to the poor in South Africa (Ziblim,2013:24). Huchzermeyer (2008) and COHRE (2005) note with concern the use of the term ‘eradication’ of informal settlements in the BNG policy document. Eradication or elimination connotes some use of force to wipe out all informal settlements in South African cities. McLean (2006) maintains that despite the adoption of BNG, the urban poor are still being housed in project-linked housing developments located on the urban outskirts. However, according to Tissington (2011), the UISP seeks to supplement pre-existing mechanisms and housing instruments to facilitate a housing delivery system that is more responsive, flexible, and effective.

### **2.6.5 The Upgrading Informal Settlements Programme**

The UISP offers grants to accredited municipalities to undertake sustainable housing development projects aimed at improving the conditions of slum communities. The main idea is to facilitate phased *in situ* upgrading of informal settlements as the strategy of choice where possible (Housing Code Part 3, 2009). The approach also considers social cohesion, security of tenure and economic development. In an additional break from the past, the programme seeks to provide phased upgrading, beginning with basic services and possibly ending with the provision of a top structure (Tissington, 2010:55).

According to Chapter 13 of the National Housing Code “[t]he challenge of informal settlements upgrading must be approached from a pragmatic perspective in the face of changing realities and many uncertainties”, meaning that it should not be seen as simply a “housing problem.” Instead, it should be recognised as the quintessence of underlying social change, a solution which calls for a “multi-sectoral partnership, long-term commitment, and political endurance” (Ziblim, 2013). However, it is important to note that while the programme prioritises *in situ* upgrading, the Housing Code also provides for informal settlement dwellers to be relocated only as a “last resort.” According to the Department of Human Settlements (2009), this should be considered in a situation where

the existing terrain is not suitable for upgrading (Department of Human Settlements, 2009). Where relocation appears inevitable, the policy provides that implementation should be based on the “principle of minimal disruption” (Tissington, 2011).

## **2.7 Informal settlements upgrading precedent studies**

### **2.7.1 Case Study of Welbedacht East Project, South Africa**

The Welbedacht East Project was one of the largest informal settlement clearance projects in eThekweni Municipality (Durban). It is located in the extreme south of the wider Pinetown area. According to Sokhela (2006:58), the settlement was considered badly located from a transportation point of view and in terms of job opportunities. There were very few, if any, employment opportunities in the area. The whole area of Demat was designated in terms of the Group Areas Act and thereby declared an Indian community area. Black people were not allowed to settle on this land. It was only after 1994 that the area was released to all people, irrespective of race. By then, Welbedacht East had already been established as a project area by the then Welbedacht Development Trust (Sokhela, 2006).

Sokhela (2006) adds that progress was considered very slow due to construction related issues. However, when it was declared an Informal Settlement Clearance Project, the process was accelerated. Welbedacht East was earmarked to spearhead the very ambitious programme of the then Minister of Housing. R50 million was made available by the Department of Housing, with a further R150 million being released from the Municipal Housing Fund in order to speed up the housing delivery process. The township designation commenced, and was completed in terms of the Development Facilitation Act of 1995. The Old Phase 1A, which was to be designated in terms of the Ordinance Act through the Private Township Board was cancelled, and was included in the new project (Sokhela, 2006:59).

According to Sokhela (2006:59), the initial intention was to use the project primarily as a destination for relocated residents of informal settlements. However, after negotiations with the then Welbedacht Development Committee, the end result was a 50/50 split between people to be relocated from other informal settlements within eThekweni, and those already informally settled in the area (Clinton Morck, Welbedacht East Project Manager). Based on the detailed town planning, approximately 4 900 households were accommodated, although Sokhela (2006) states that the original submission made provision for 5 200 units.

There were mixed feelings about the location of project. Officials from eThekweni Municipality argued that the project was close enough to potential employment and major transportation routes and was therefore, within what would be considered the urban core, which was defined by the then Durban Metro boundary with the Inner West City Council. This boundary now separates Welbedacht East from Welbedacht West (Sokhela, 2006:59). The lesson that can be learned from the Welbedacht East Project is the importance of location when upgrading informal settlements through relocation. Undermining this principle may contribute to the new settlement being unsustainable. The challenges created by poor settlement location are enhanced by the unavailability of affordable transport facilities which in turn limit accessibility and further constrain livelihoods as working beneficiaries often have to rent housing or set up temporary shacks closer to their place of work. This has tremendous adverse effects with the possibility of the perverse effect of increasing the housing backlog (Huchzermeyer, 2003).

### **2.7.2 Informal settlement upgrading in the Repelita, Indonesia**

In every Repelita (National Development Plan) since the mid-1960s informal settlements upgrading has been a key part of Indonesia's strategy for poverty alleviation. Thus, informal settlements upgrading in Indonesia has a long history, with three 'generations' of these policies. The Kampung Improvement Program initiated in Jakarta in 1969 has been dubbed "the world's first informal settlements upgrading programme" (Juliman and Durrendon, 2006). Funded by the Jakarta City Administration and the World Bank, the

KIP focused on improving physical conditions by providing basic infrastructure and upgrading housing (Tunas and Peresthu, 2010). It became a model for informal settlements improvement in other parts of Indonesia, including the city of Bandung.

The second generation approaches ran from the late 1980s to the early 1990s. They attempted to integrate physical, social and economic improvements. The Asian financial crisis of 1997 forced the government into a third generation of programmes to deal with the sudden escalation in levels of poverty (Minnery, 2013). Bandung City became a municipality in 1906. By 1987 its administrative area had expanded to twice its original size. In 2001 the wider Bandung Metropolitan Area was created. The rapid expansion of the BMA mirrored the dynamic industrialisation of Indonesia at the national and regional levels (Winarso and Firman, 2002).

Kelurahan Cikutra was a target of the first generation approach, the UNEP-Experiment (1980). This project focused on improving sanitation and waste disposal management with social and economic improvements piggy-backing on these. The community was consulted during the planning phase and community labour was used during construction and for the maintenance of physical infrastructure (Minnery et al., 2013). Kelurahan Padasuka, a flood-prone area, was a second generation project and was part of the Bandung Urban Development Program. While focusing on physical infrastructure provision (roads, drainage, waste collection and particularly flood control), it also stressed social and economic components and attempted to involve the community (Minnery et al., 2013).

Industri Dalam was an informal settlement in the center of Bandung on partly vacant and partly industrial land with no water supply or sanitation. Most of the migrants living in the settlement were engaged in the informal economy. The community was the target of the Urban Revitalization and Housing Development, part of the second generation of informal settlement upgrading that began in 1990. It focused on building temporary shelter on government land to accommodate informal settlement residents. The programme did not engage the community in the planning stage and the community's role was thus unclear (Minnery et al., 2013).

The lesson from the Bandung projects is that the projects were generally favorable. However, according to Tampubolon (2007), longer-term assessment showed that the positive gains were not enduring. However, there were longer-lasting physical and social legacies from the earlier physical upgrades. In essence, the early UNEP-experiment in Bandung successfully promoted the building of social assets in the community through the establishment of cooperatives and integrating construction with 'on the job' training. According to Minnery et al. (2013), a possible reason for its lasting legacy is that there was no ambiguity in how funds had to be spent. All funds were focused on physical upgrading, including training efforts. Minnery et al. state that, while later programmes tried to address physical, economic and social conditions, the available funding was not commensurate with the expanded purpose. Furthermore, the top-down approach meant that community participation was poorly developed; the lack of a clear community purpose hindered the retention of both social cohesion and economic opportunities (RTPP, 2008).

## Chapter Three: Historical Background of the study area Philani Valley, uMlazi

### 3.1 Introduction

This chapter presents the context within which the case study exists and overall population statistics on uMlazi including employment status. The chapter also discusses the objectives of Philani Valley Housing Project and its integration of social and economic activities.

### 3.2 Details of the Objectives of Philani Valley Project

According to Department of Human Settlements (2010), the primary objective of the Philani Valley Project was to tackle the issue of informal settlements in uMlazi. Relocation was identified as the only viable approach. Philani Valley was identified as suitable land to which to relocate people from some of the informal settlements to allow for the provision of services.

**Figure 1: Bird-eye view of the Philani Valley Housing Project**



Source: Google Maps (2015)

Due to its location, there is very high demand for housing in the area. According to the Department of Human Settlements (2010) traditional detached housing on individual plots would have rendered a fairly low yield. To maximize the use of the land and provide bulk services, a medium to high density solution was therefore proposed and an appropriate design concept was investigated. It was concluded that semi-detached single storey units would be the most appropriate. The units comprise of a 40 m<sup>2</sup> top structure unit with two bedrooms, a bathroom and lounge/kitchen area. The project area yielded 329 housing units and individual freehold title was given to the beneficiaries.

**Figure 2: Philani Valley Semi-detach units 1**



Source: Author (2015)

**Figure 3: Philani Valley Semi-detached Units 2**

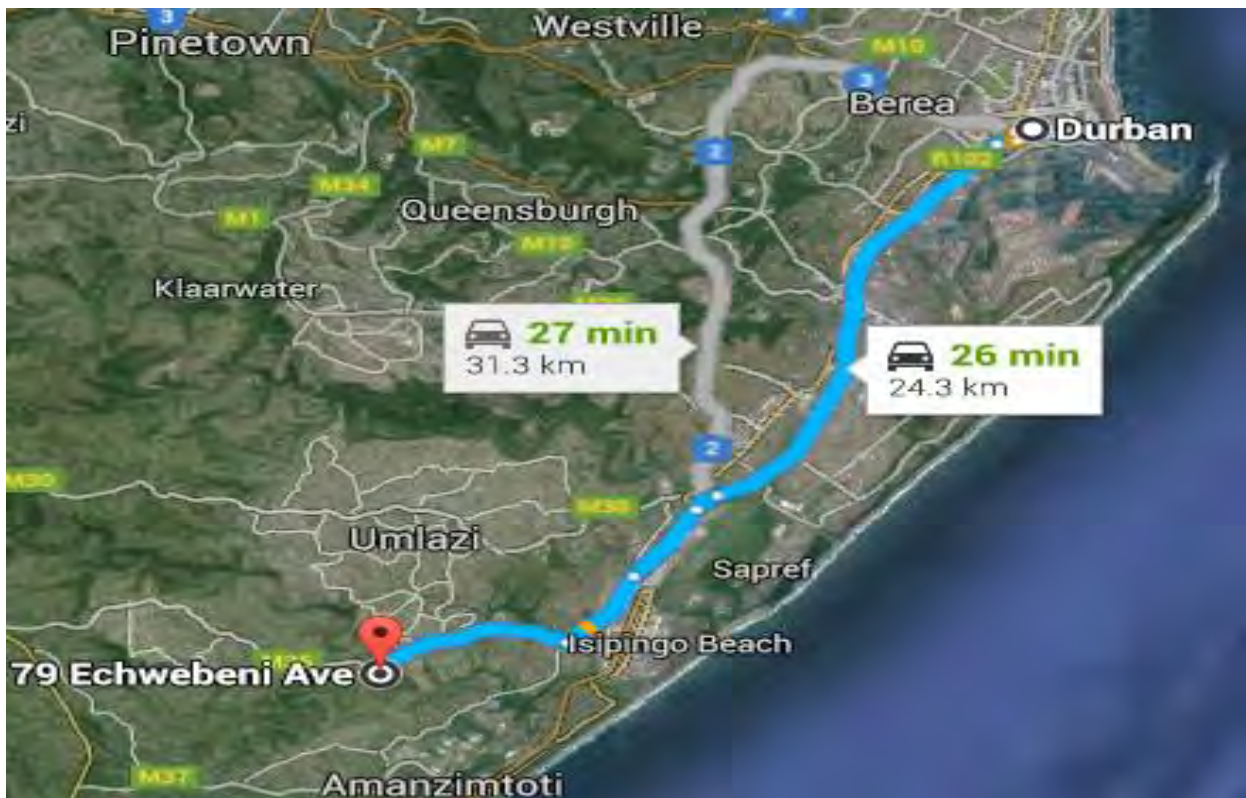
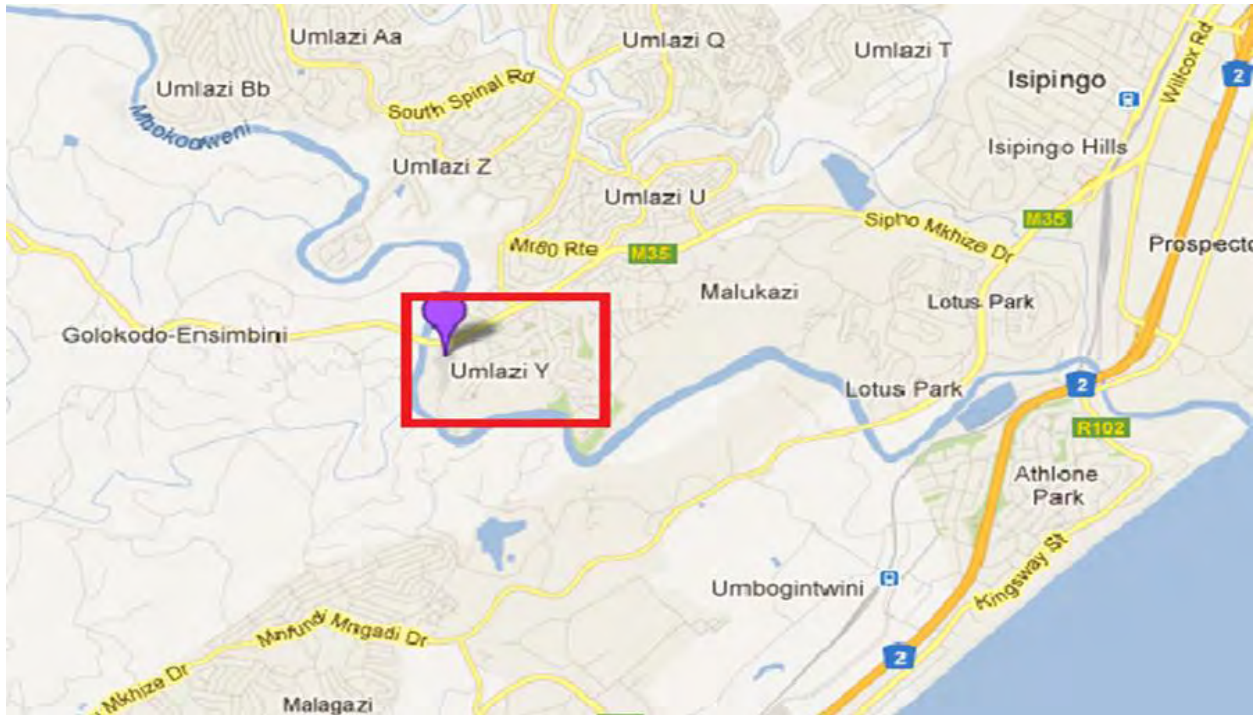


Source: Author (2015)

### **3.3 Contextual background of Philani Valley, uMlazi**

Philani Valley (also known as uMlazi Y section) is situated adjacent to Umbumbulu Road (MR 80). The Embokodweni River forms the western and southern boundaries of the study area which is within eThekweni Municipality (Ward 86). The study area is located in the south of Durban inland of the N2 highway, and is 24.3 km from Durban. Umlazi is one of the biggest townships in South Africa, and the largest in KwaZulu-Natal (Department of Human Settlements, 2010).

Figure 4 and 5: Location of Philani Valley



Source: Google Maps (2015)

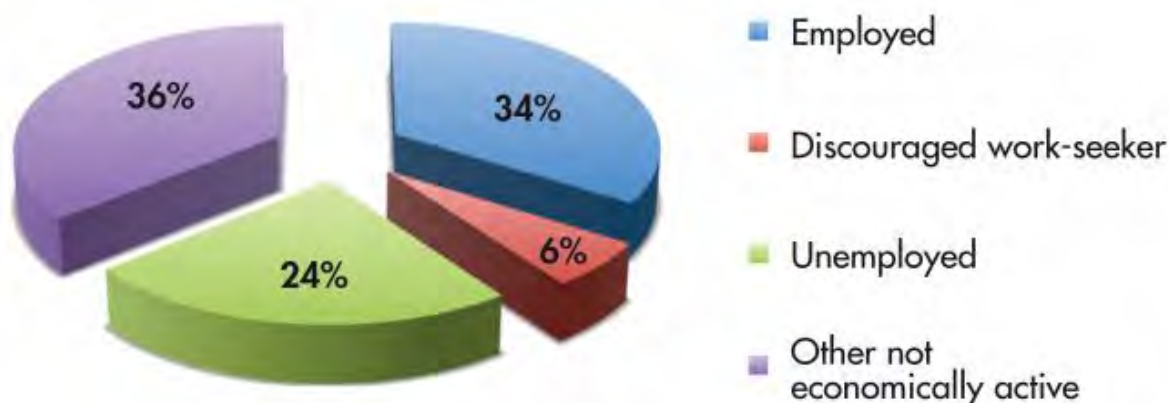
According to Townsend (1991:33) uMlazi was designed to be the largest township to be built by the apartheid government inside one of South Africa's 'bantustans'. uMlazi Township was originally a mission reserve which was created by Deed of Grant in favour of the Church of England (Durban Housing Survey, 1952: 478). 192.63 hectares were allocated to the church authorities, as Glebe Land and 3043.64 hectares constituted a mission reserve for the settlement of 'natives' under the guidance of the trustees. The land where the Mission was created belonged to the Cele Tribal area, including the strip of land between the uMlazi and Mbokodweni Rivers, and the Makhanya Tribal area to the south (Durban Housing Survey, 1952).

Townsend (1991) states that in the early 1940s the government proposed converting uMlazi mission reserve into a township. According to the Iyer Rothang Collaborative Report (1998: 23), the significance of the urbanisation of uMlazi reserve did not only lie in its far-reaching contribution to Durban's housing problem and its influence on the future development of the city, but in its main purpose, to serve as a dormitory town for people relocated from central areas, such as Cato Manor, in the government's forging of the apartheid city. In 1967 uMlazi was established as a township. Townsend (1991:33) notes that, like most African townships in South Africa, in the original design, no names were given to the sections or roads. Instead, a system of sections (starting with the first letter of the alphabet and using all the letters except 'I' and 'O' before going on AA, BB, CC, etc.) or Units (using numbers) was used to refer to various parts of the huge township. However, this has changed in recent times, with sections such as Y-section now also known as Philani Valley.

### **3.3 uMlazi Demographics**

According to Census Statistics (2011) uMlazi has a population of 404,808 with a slight majority of females over males (50, 1: 49.5). Since the area is located in KwaZulu-Natal province, 91.4% of the population speaks isiZulu. IsiXhosa is the home language of 3% of the population while other languages account for less than one percent each. The statistics relating to employment below clearly shows that the majority of residents of uMlazi are unemployed.

**Figure 6: uMlazi Employment Status, Census 2011**



Source: Census Statistics (2011)

### **3.4 Integration of Social and Economic Activities**

According to the Housing Code (2009), funding for the development of certain basic community and economic facilities is facilitated through the National Housing Programme: Provision of Social and Economic Amenities. The provision of such facilities is determined by consultation between the local authority and settlement inhabitants. The following factors are taken into consideration (Housing Code, 2009):

- An assessment of community needs must be undertaken prior to the determination of community preferences;
- Special care must be taken to ensure that the needs of vulnerable groups are taken into consideration during the process;
- Amenities that are typically financed include sport fields, community centers etc., and
- Funding for the maintenance and operation of facilities must be provided from non-housing sources by the municipality.

According to the Department of Human Settlements (2010), Philani Valley is well integrated and close to the already existing residential developments of uMlazi and Isipingo and to educational, health and recreational facilities. In terms of holistic development the town planning layout makes provision for two primary schools and one

secondary school sites, four sites for worship/crèche facilities, seven for community/health facilities and sixteen for mixed use/commercial use. There are also 21 open spaces that can be used for sports or play lots (Department of Human Settlements, 2010).

The department (2010) also notes that ample and sufficient provision was been made in the planning process to provide for sustained physical and social development of the beneficiary community. Furthermore, the development is well supplied with community facilities that have already been constructed, especially the recent development of three major shopping centers, viz., Philani Mall (adjacent to the study area), Galleria and Mega City. The project's close proximity to these major shopping centres increases potential employment opportunities for the resident community (Department of Human Settlements, 2010).

**Figure 7: Philani Mall**



Source: Author (2015)

### **3.5 Actors involved in the Philani Valley Housing Project**

The actors that were involved in the Philani Valley Housing Project were eThekweni Municipality and the Department of Human Settlements. The project was undertaken on the basis of a co-operative governance partnership between the municipality and the department. The municipality fulfilled the developer role with assistance from the Department of Human Settlements. It should be noted however, that according to the National Housing Code (2009), where a municipality lacks the expertise and capacity to undertake a project, the provincial department will assist and augment the municipality's capabilities. Thus, where a municipality is not able to take on the developer role, the provincial department may decide to take over and execute the project on behalf of the municipality. In such cases there must be a structured agreement, which, amongst others issues, must address the matter of the municipality taking the developed township over, delivering the required services and assuming full responsibility for the administration of the town and the application of by-laws upon completion of the project (National Housing Code, 2009). All professionals were appointed in terms of the municipality's supply chain management procurement policy and processes (Department of Human Settlements, 2010).

### **3.6 Conclusion**

This chapter presented the historical background of Philani Valley in uMlazi and detailed the objectives of the project. It also highlighted the employment status of uMlazi residents according to the recent Census. The chapter showed that Philani Valley is well integrated and close to already existing residential developments and social infrastructure. Finally, the major stakeholders involved in the project (eThekweni Municipality and the Department of Human Settlements) were discussed, detailing their partnership in the Philani Valley project.

## Chapter Four: Research findings, data analysis and interpretation

### 4.1 Introduction

This chapter presents and analyses data obtained from the questionnaires prepared for the study. The findings discussed in this chapter evaluated the socio-economic impact of relocating informal settlement residents to Philani Valley with the purpose of creating sustainable human settlements. This chapter is necessary as it will try assert the research findings with a specific end goal to come up with strong recommendations and conclusions on the social and economic benefits of the relocated informal settlement residents. The following are findings which were obtained from the questionnaires administered to 30 beneficiary households of Philani Valley Housing Project, the Ward Councilor of Philani Valley and Philani Valley's Housing Project Manager. The findings will be used to attempt to answer the main research question (i.e. To what extent did the relocation of informal settlement residents to Philani Valley with the purpose of creating sustainable human settlements impacted the socio-economic benefits of the residents?) using the responses from the questionnaires.

### 4.2 Data collected from Beneficiaries

This section presents the information of the respondents interviewed in Philani Valley.

**Table 2: Gender of respondents**

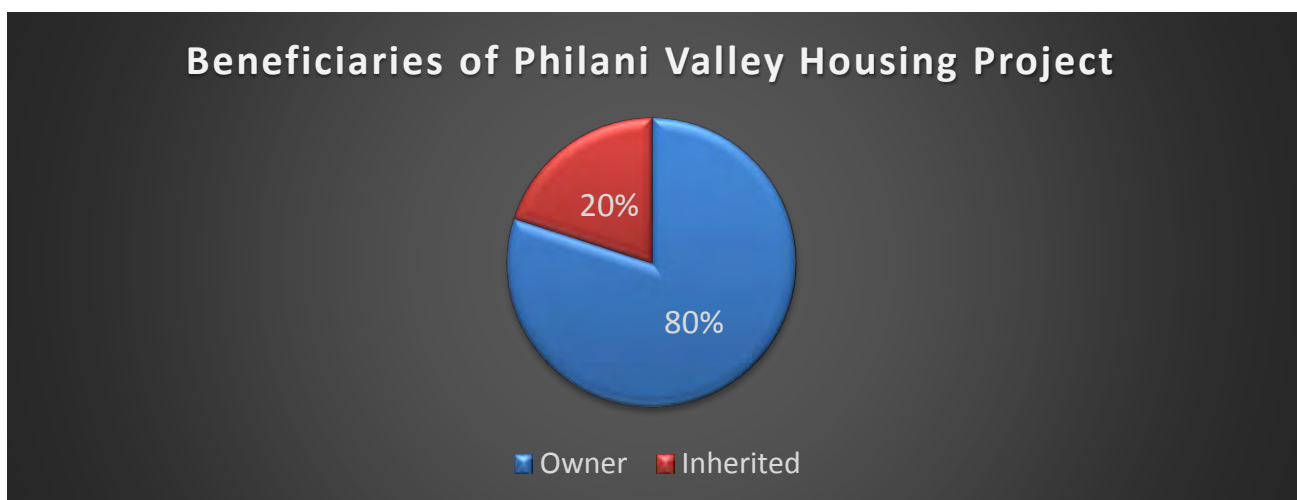
<b>Gender</b>	<b>Interval</b>	<b>Percentage</b>
Male	13	43 %
Female	17	57 %



Table 2 shows that out of the 30 respondents 13 (43%) were males, and 17 (57%) were females. This demonstrates that the majority of beneficiaries of the Philani Valley Housing Project are female headed households rather than male. Moreover it shows that the relocation programme did not discriminate against individuals because of their gender.

**Table 3: Types of Respondents**

Respondents	Intervals	Percentage
Beneficiaries	24	80%
Those who inherited the houses.	6	20 %



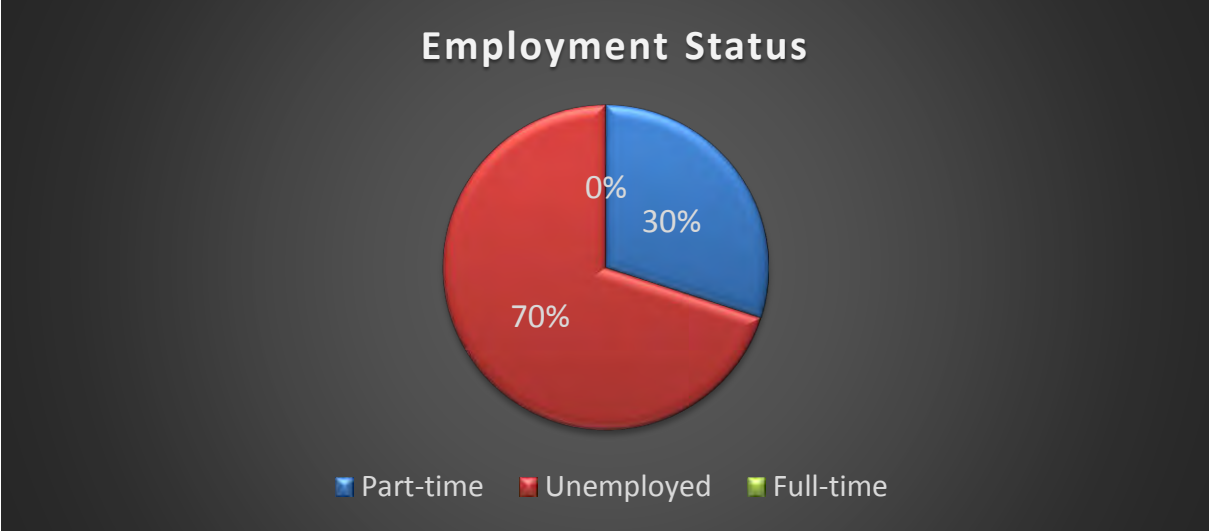
The above table shows that out of the 30 people who were interviewed, 24 (80%) of them were the original beneficiaries of the houses that were given to them at Philani Valley relocation programme. The 6 (20%) other respondents according to the information they provided, stated that they inherited the properties. With 4 out of the 6 stating that they inherited the property from their late parents. The remaining 2 out of the 6 stating that they inherited them from their family members. However all of the 6 (20%) respondents, stated that they do not have any paperwork that gives them full ownership of the property. Then again it can likewise imply that the houses were sold by the original beneficiaries.

### 4.3 Economic benefits for relocation

According to Misselhorn (2008) “It is important that any analysis of the current situation is premised on an appreciation for why informal settlements exist and what functionality they afford to those who reside in them” (Misselhorn, 2008:5). By the Government viewing the issue of informal settlements in the country by considering Misselhorn’s point could make the response to informal settlements more conducive not only to the government mission in eradicating informal settlements and housing people but also to informal settlements residents. Though the government has formed policies and implemented programmes to eradicate informal settlements in the country, it can be said that approaches such as the relocation of informal settlement residents to new locations can have a huge impact on the beneficiaries. This theme presents the findings on the economic benefits of relocating informal settlement residents to Philani Valley.

**Table 4: Employment Status**

<b>Employment Status</b>	<b>Intervals</b>	<b>Percentage</b>
Full - time	0	0 %
Part - time	9	30%
Unemployed	21	70%



The above table demonstrates that out of the 30 people that took part in the study 21 (70%) are unemployed. The table further shows that 30% of the respondents are part-time employees. This may simply mean that majority of the people that were relocated to Philani Valley are unemployed and only a few have part-time jobs. This table also shows that none of the respondents that participated in the study are full-time employed.

**4.3.1 Household Expenditure**

In the quest to evaluate the difference in the cost of living of the beneficiaries in Philani Valley as opposed to where they were relocated from. The researcher asked the beneficiaries the impact the relocation has had in their household expenditure. With the evidence that majority of the people that participated in the study being unemployed the responses from the respondents revealed that the relocation had increased their expenditure. In a sense that the majority of the beneficiaries complained about how the municipality expects them to pay for services such as water and electricity knowing that they are unemployed. Some stated that coming from a place where they used communal taps and weren't expected to pay for water, it was a hard transition as they cannot afford to pay for services. Furthermore stressing that they would go for as long as a month without running water.

### 4.3.2 Transportation mode used by beneficiaries

Table 5: Transport mode

Mode	Intervals	Percentage
Taxi	18	60%
Bus	12	40%
Train	0	0%

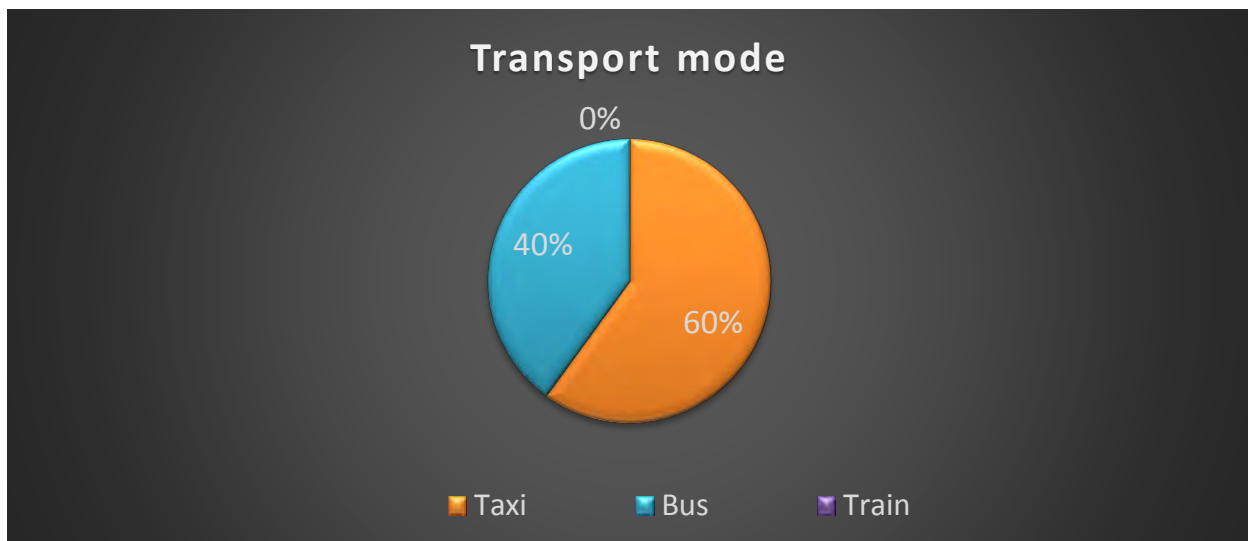


Table 5 demonstrates that out of the 30 beneficiaries that participated in the study 60 % utilise taxis, with 40% utilising bus and none using trains. Firstly this indicates that even though there are train stations in uMlazi and that it is the most common mode of transport used by the poor, however the researcher found that train stations are too far for the beneficiaries of Philani Valley to utilise. This shows that as a substitute, taxis are preferred as the mode of transportation, which could indicate that there that they are more efficient than buses in terms of getting people to their preferred destination on time.

With further investigation of the transportation mode used by the respondents, the researcher found the part-time employees that were beneficiaries of the houses in Philani

Valley stated the increase in transport cost to get to work , as majority of them work in Isipingo and Jacobs Industrial park. Moreover the respondents expressed the difficulties of now needing to take two taxis as opposed to one that they used to take when they resided in informal settlements. The researcher likewise further got that some of the respondents before being relocated to Philani Valley used the train as their mode of transport to get them where they needed to go, since it was more affordable than taxis and bus fares. However in the wake of being relocated to Philani Valley were the researcher found that there are no train stations nearby the expenses of traveling had increase for beneficiaries and have made it even more difficult for those that are still seeking employment opportunities.

This demonstrates that Philani Valley is relatively far from industrial and other amenities. It is therefore important to note that even though there are taxis and buses operating within the area, one cannot conclude by stating that there is good access to transport systems. With the Government's aim of creating sustainable human settlements, it is important that people have access to sufficient affordable range of transport modes. Not a system that will make people spend more than half of their earnings on transportation alone.

#### **4.3.3 Economic Activities**

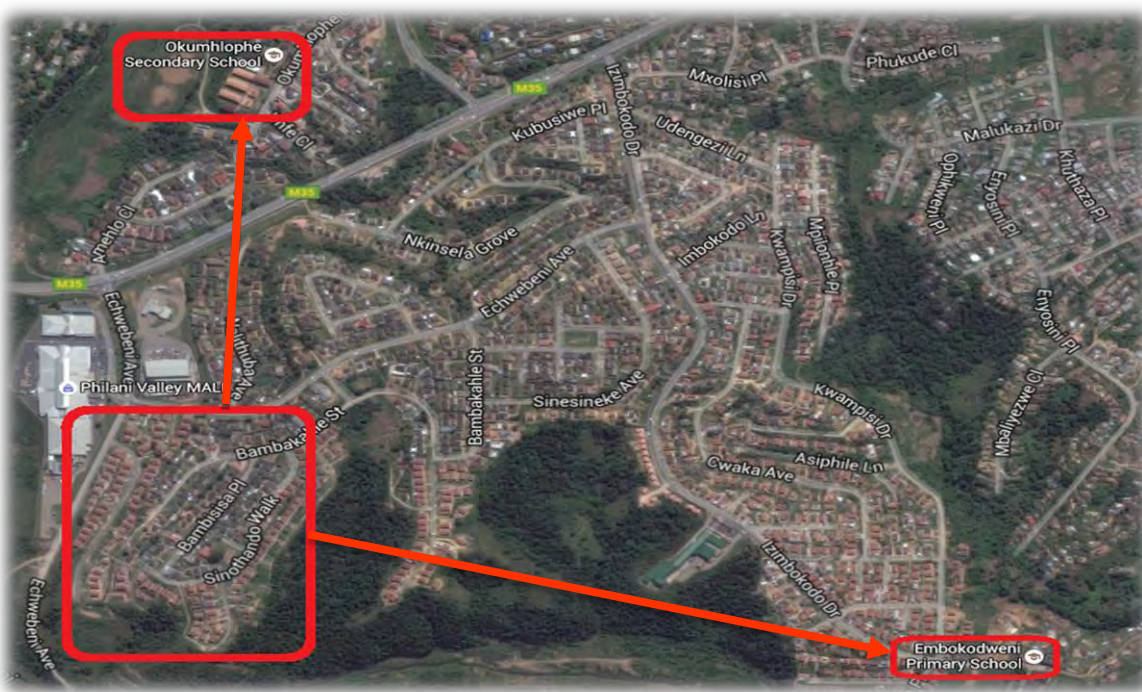
Majority of the beneficiaries that participated in the study expressed how the relocation disrupted their economic activities. In sense that some of the beneficiaries that were relocated, resided next train stations and taxi ranks which was where there would sell goods to commuters as well as people from the informal settlements. One of the respondents stated that before his family was relocated to Philani Valley he used to have a vegetable garden in which assisted in feeding his family with food and also money that he got from selling. This unfortunately has not been the case in Philani Valley as there is lack of space to establish a vegetable garden, furthermore the plot sizes are too small and the soil according the respondents is not fertile enough for people to establish good vegetable gardens. This clearly indicates the negative impact the relocation programme

had on the residents economic activities, as the activities that the residents had while they were residing in informal settlements stopped when they were relocated to Philani Valley.

#### 4.3.4 Educational Facilities

Philani Valley as a community only has a Primary school (Embokodweni Primary School) in which they share with Malukazi, since it located in the middle of the two locations. Respondents when comparing access to education facilities of Philani Valley and where they come from, majority expressed their dissatisfaction of Embokodweni Primary School being a bit far for their children to walk. Some of the respondents stating that the location of the Primary school had given them no choice but make their children take taxis, especially those in the lower grades because of the distance. Moreover, the closest high school the community has access too is located in uMlazi (Z-section), which is opposite Philani Valley, Okumhlophe Secondary School (Both schools are shown in figure 8 below in relation to the households).

**Figure 8: Education Facilities**



Source: Google Maps (2015).

#### **4.4 Social benefits for relocation**

Even when a well-planned and managed informal settlement upgrading programme is implemented, the relocation of informal settlement residents to greenfields or new location is more likely to disrupt the social networks on which informal settlement residents depend on. The findings and data analysis of the Philani Valley housing project demonstrate that the relocation of residents from different informal settlements in uMlazi had a negative impact on the social lives of the beneficiaries. Though majority of the respondents showed appreciation in getting houses, however it cannot be ignored that social networks were disrupted. As most of the respondents had resided in informal settlements for a long period and had built networks with the people in their immediate surroundings. These networks play an important role to residents especially in informal settlements as neighbours are considered as “family” because of the trust that has been built over the years. These types of relationships are demonstrated as some of the respondents stated in how they used to be comfortable with letting their neighbours watch over their house. Going to the extent to even leaving their kids (baby-sitting) in cases where they needed to be away for e.g. employment, job-seeking, shopping etc.

##### **4.4.1 Access to social amenities**

Access to social amenities is important in order to create a sustainable human settlement. Majority of beneficiaries of the households in Philani Valley are unsatisfied with lack of social amenities in the area. When comparing their access to social amenities in Philani Valley and were they used to reside before, majority stated there were better in informal settlements as social amenities such as clinics and police stations were in a walking distance. Even though some respondents stated that crime rate was high in informal settlements, however the advantage was that police would respond fast as they were close, which is not the case in Philani Valley. However as a new community in Philani Valley, after discovering the crime issues they faced when they were relocated, the beneficiaries formed a Crime Community Forum. Which one cannot not say has eliminated crime however has kept it under control.

The study found that Philani Valley does not have any health care facility. The only clinic that residents have access to 3.8km away from the area as it is located at uMlazi (U-section) next to the Councilor's office. The respondents indicated that it becomes a problem when they sick as their have to take transport and with the clinic being off the main road, respondents stated that they have to take two taxis to get there. When the Councilor was asked about not having any health care facility to accommodate Philani Valley. He stated that Philani Valley must not be looked in isolation as it is just a section under his ward, stressing that every household under his Ward (86) should have equal access to facilities and no section should be given special treatment.

**Figure 9: uMlazi (U-section) Clinic**



Source: Author (2015).

#### **4.5 Beneficiaries perception of Philani Valley Housing Project**

The study found that the beneficiaries general perception of the overall Philani Valley Housing Project was unsatisfactory and more could have been done. Majority of the respondents were not happy with the houses provided for them, in sense that they state that the municipality did not take all their needs to consideration. One of the common points raised by the respondents was that the houses were too small to accommodate their families as the houses are 3 room semi-detached dwellings. This has forced some of the residents to build informal rooms as extension to their houses (see Figure 10). Lack of privacy and space the houses was another point raised by households, in sense that most the plots do not have direct access to the road. The researcher found a case of about 3 to 4 households sharing an access point (see Figure 11). One of the main objectives of sustainable human settlements is providing access to safe and healthy shelter. As it is essential to a person's physical, psychological, social and economic well-being. This should be a fundamental part in the upgrading of informal settlement programmes if the Government aims to create sustainable human settlements.

Respondents were also asked if they were to choose between staying at Philani valley and going back to their informal settlements. Majority of them stated that even though they face challenges in Philani socially and economically in terms of the disruption of social and economic networks, they stated that they would stay. As for a long time while staying at informal settlements they always prepared for the worse when there would be bad weather (heavy rain, hail storm etc.) as in most cases informal settlements cannot stand heavy rains. Respondents also pointed out lack of infrastructure in informal settlements in sense that it had negative impact environmentally, as there were no drainage systems and no specific place to dispose their household waste.

**Figure 10: Informal house extension**



Source: Author (2015).

**Figure 11: Access point**



Source: Author (2015).

**Table 6: Has the project improved standard of living?**

Value	Intervals	Percentage
Yes	19	63%
No	11	37%

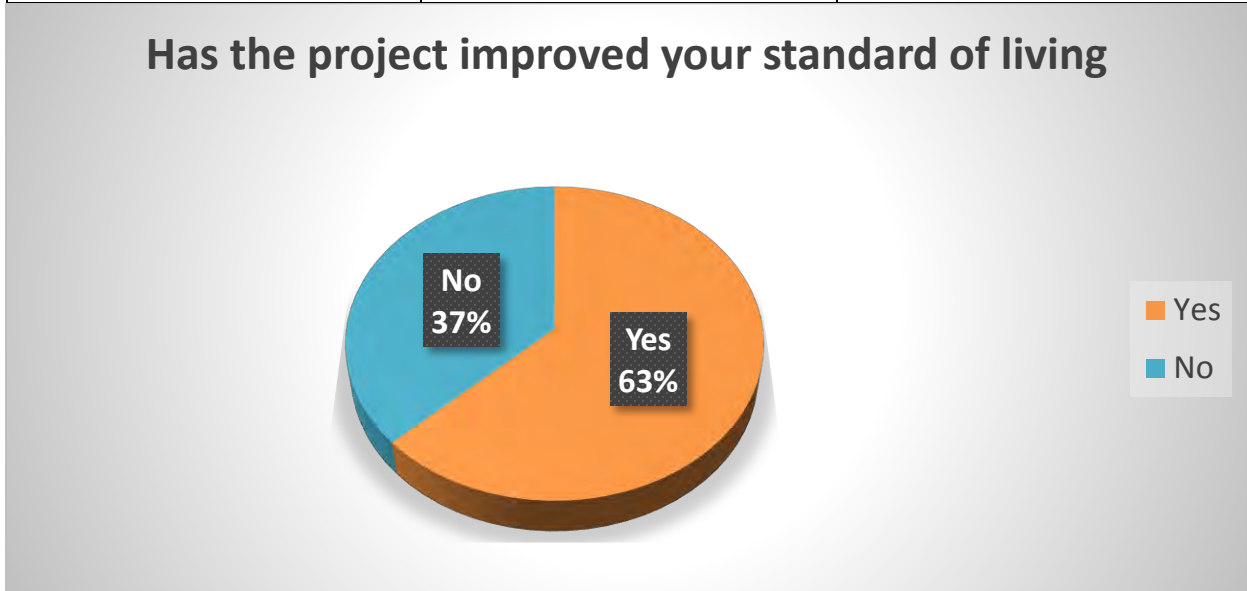


Table 6 demonstrates that 19 (63%) of the respondents stated that the project did improve their standard of living, highlighting the fact that they now have adequate house that is safe for them to live in. Overall appreciating the effort the government is making in housing the poor. Only 11 (37%) indicated that the project has not improved their standard of living, stating that not much has changed since they were relocated to Philani Valley from informal settlements as there are still unemployed and still facing the challenge of providing for their families.

#### **4.6 Interviews with Philani Valley Project Manager and Philani Valley Councilor**

##### **4.6.1 Interview with the Councilor of Philani Valley indicated the following:**

When the researcher asked the Councilor to give a background on the Philani Valley Housing project, the Ward Councilor responded by stating that this project initially began

in 2002 when the eThekweni Municipality launched its first Informal settlements clearance programme in Umlazi and was declared as a Greenfield project. Which meant that people would be relocated to Philani Valley from different informal settlements in Umlazi.

According to the Councilor the programme was divided into 3 phases, but due to unforeseen circumstances the project's phase 2 was at a halt from 2005 to 2008. It later on resumed in 2009 with phase 2, which was finished and allocated to beneficiaries in 2010-11. Furthermore the Councilor stated that after allocations were made for phase 1 and 2, phase 3 began at the end of 2011 and was completed in 2013. The Councilor then pointed out that some of the houses completed under phase 3 were unfortunately invaded by *Umkonto Wesizwe* Veterans (ANC struggle soldiers) that were not shortlisted as beneficiaries and stated that a case was opened and presented to the municipality who he states are handling it.

Besides the provision of housing the Councilor was asked what other programmes were implemented as part of making Philani Valley a sustainable settlement. The Councilor responded by stating that the programmes that were implemented by the municipality in partnership with private sector was the construction of the Philani Valley Mall, in which he states that it was constructed to help the community in different ways such as providing employment opportunities and also making sure that people do not travel to places like CBD and Isipingo just to buy household goods. Moreover he further stated that another programme of planting trees in Philani Valley was launched by the Municipality Parks unit in partnership with Department of Agriculture, Forestry and Fisheries.

When asked if the aim of the project was achieved the Councilor responded by stating one could say to a certain extent the project achieved its aim to provide sustainable human settlements and housing the poor. However pointed out that the project had its shortcomings such as the invasions, which the municipality seeks to rectify and improve in the area and when implementing such projects in the future.

#### **4.6.2 Interview with the Project Manager of Philani Valley indicated the following:**

When the Project Manager was asked how was Philani Valley identified as suitable land for the relocation of informal settlement residents. The Project Manager responded by stating that Philani Valley was the suitable available land for people that were being moved from informal settlements in uMlazi. However he also indicated that this project was not only aimed at residents coming from informal settlements but also those that had been staying at hostels and had applied for housing subsidy. So in a nutshell stating that the project meant to house poor as per Department of Human settlements mandate.

The researcher asked if whether economic and social opportunities were considered when Philani Valley was established as suitable area for the provision of housing. The Project Manager stated that economic and social opportunities were considered, as Philani Valley Mall was constructed in 2008 for the people of Philani and surrounding areas for them to buy household goods and also seek employment. Further stating that access to social facilities such as schools are available in the area and immediate surroundings, mentioning Okumhlophe High School and Embokodweni Primary School. However when asked about health facilities the Project manager stated that one would rarely find a clinic that is specifically provided for a settlement of Philani Valley magnitude. In essence stated that people in Philani are served by the clinic in uMlazi (U-section) which serves that whole Ward 86 which consists of section U, Z, Malukazi and Philani Valley. When further asked if Philani Valley Housing project accomplished its aim. The Project Manager responded by stating that , though there were few challenges such as invasion of houses, the project did accomplish its aim of creating sustainable human settlements. In sense that it not only provided houses for people but also created an environment which is livable and safe for people.

#### **4.7 Conclusion**

Chapter four has presented the of findings and analysis of the data collected from the study area Philani Valley, in which was collected through questionnaires with project

beneficiaries and interviews with Municipality officials. The study revealed that a lot should have been done by the municipality in looking at the aspirations and needs of the relocated informal settlement residents. The Philani Valley Housing project case study suggests that municipality needs to put more effort and resources in engaging communities on the upgrading of informal settlements especially when the relocation approach is applied. Secondly the identification of land should not be based on its availability alone, careful assessments and research should be conducted on the pros and cons on the possible location of informal settlement upgrading programmes. While it is evident that provision of housing alone does not solve the problems faced by the poor. Access to economic and social opportunities when people are relocated to a new settlement make a huge contribution in ensuring the creation of sustainable human settlements. Thus it is not only the responsibility of the Department of Human settlements but all departments (Education, Transport, Agriculture etc.) need to work together in ensuring that new settlements are sustainable for people to settle in.

## **Chapter Five: Summary of findings, Conclusion and Recommendations**

### **5.1 Introduction**

The main purpose of this chapter is to summarise findings made in chapter four which were necessary to evaluate the socio-economic impact of the relocating residents from informal settlement to Philani Valley with the purpose of creating sustainable human settlements. In essence it further makes a conclusion of the entire study and make recommendations in how to make the relocation of informal settlement residents to new locations more conducive and sustainable to both the government and beneficiaries.

### **5.2 Summary of findings**

The conceptualisation of this study was formed from its hypothesis, that a well thought out and effectively implemented programme of relocating informal settlements residents can result in sustainable human settlements. In order to accomplish the study's aim, a quantitative and qualitative methods were employed, the researcher also adopted a case study approach and with a theoretical framework directing the study. In-depth and semi structured interviews were conducted with Philani Valley Housing Project beneficiaries along with Ward Councillor and Municipality Project Manager.

The information collected from the respondents was analysed with two main themes emerging from the data. The first theme being presented the economic benefits and second presented findings on the social benefits.

With the purpose of seeking the experiences of the residence before and after relocation. Under economic benefits theme the researcher evaluated the employment status of the beneficiaries and found that majority (70%) of the beneficiaries that took part in the study are unemployed and 30% are part-time employees.

On the aspect of evaluating difference of the housing expenditure of the residents of Philani Valley as compared to the informal settlements. The study found that there was an increase, as residents had to now pay for municipality services such as water and electricity which was not the case previously when they resided in informal settlements.

On the point of the transportation mode used by the residents, the study found that majority of the people utilised taxis with others using buses. One of the points made was that the taxis were most efficient transport mode in the area. However the study found that relocation had increased the residents transportation cost as previously most of them used the train, which is affordable mode of transport as compared to taxis and buses.

Regarding the issue of evaluating if the relocation of informal settlement residents disrupted the economic networks. The study found most of the beneficiaries were economically active when they resided in informal settlements. As they resided next to economic and transport nodes, which allowed most of the residents especially those that had vegetable gardens to sell their goods on the streets. This is not the case in Philani Valley as the area does not allow for such activities especially with the Philani Mall opposite the residents.

On the aspect of the education facilities the study found that Philani Valley as a community only has one Primary School (Embokodweni Primary School), however this school located 2km away from where the residents were relocated too. The only Secondary school nearby is located at uMlazi Z-section which is opposite Philani Valley. Access to these facilities is unsatisfactory as some beneficiaries stated making their children take public transport because of the distance.

The second theme that emerged from the findings was the social benefits. With regards to access to social amenities, the study found that access was inadequate. In essence the study found that beneficiaries of the households in Philani Valley were unsatisfied with lack of social amenities in the area. When comparing their access to social amenities in Philani Valley and were they used to reside before, majority stated there were better in

informal settlements as social amenities such as clinics and police stations were in a walking distance. However in Philani Valley it is not the case as amenities such as the clinic is located 4kms away, this has also made the new community to take initiative and by forming a community forum to fight crime since there isn't a Police station close-by. Social amenities are crucial to creating sustainable settlements.

To sum up the findings, the study found that the perception of the beneficiaries that on the overall Philani Valley Housing Project was that the project was unsatisfactory. Majority of the respondents thought a lot more could have been done with the implementation of the project. It was evident that beneficiaries were not satisfied with houses built for them, as the 3 room semi-detached houses were small for the beneficiaries. Most of the households had built informal extensions (known as “backroom shacks”) to accommodate their large families to their houses.

### **5.3 Recommendations**

Section 26 (1) of the Constitution of South Africa states that, “everyone has the right to have access to adequate housing” in essence the State has to “take reasonable legislative and other measures, within its available resources to achieve the progressive realisation of this right” (RSA,1996). This right was realised by the informal settlements residents with the implementation of the relocation programme as part of upgrading informal settlements in uMlazi. However a lot could have been achieved with such interventions from the government .The following are recommendations that seek to help improve the relocation of informal settlement residents to a new location with the purpose of creating sustainable human settlements.

Nhlapho (2013) states that the relocation of informal settlement residents to a new location should be avoided, as in most cases, new relocation sites are in the peripheries of the city and are often poorly located than original location. He expresses that most of the time relocation does not only displace informal settlement residents but also interrupts their livelihoods. Looking at the case of Philani Valley, it was evident that the relocation

of informal settlement residents to Philani Valley had an impact on the residents in a number of ways. The location of the project had an impact on the residents in terms of an increase in household expenditure. The Department of Human Settlements in partnership with municipalities need to ensure that before people are relocated land is suitable and well located for housing and their needs. It was evident that government officials' perception on the location of Philani Valley project differed to the informal settlement residents that were relocated there. Therefore it is recommended that Greenfield housing projects need to be located closer to economic and social opportunities. This can be achieved with the government doing thorough assessments of community needs prior to the implementation of any upgrading programme. By doing this the government will not only create a sustainable settlement but also ensure that beneficiaries of relocation projects do not go back to where they resided before and create more informal settlement which could cause a burden for the government (Nhlapho,2013).

This is supported by Du Plessis and Landman (2002:81) in which they state that the South African government needs to apply strong sustainability approach principals and furthermore assess its Constitutional mandate so that it enables sustainable access to adequate housing. In a sense that the government needs to accept that people live in a mobile society. So by implementing a solution that in a way keeps them in one place, does not only disempowers them but also reduces their options to access educational and employment opportunities (Du Plessis and Landman,2002:81).

In essence the Human Settlements Reference Group (2005) state that “applying one-size-fits-all approach to informal settlement upgrading ignores the differences between and within informal settlements”. Which goes to show the importance of taking into account the location, size and the reasons of why people reside in them. Moreover not ignore issues such as the ‘*physical form of informal settlements*’ as in most cases informal settlements are linked to requirements of livelihoods for those that reside in them, and also social and economic support networks (Human Settlements Reference Group, 2005:29).

To decrease the challenges of invasions and wrongful allocations of houses, government should put in place policies that will have proper systems that will administer housing allocation subsidies. Moreover the study recommends that in order to ensure that the new settlement is sustainable and is not at a risk of turning into another informal settlement. It would be necessary that houses accommodate or cater the size of a family. In a sense that most of informal settlement households have large families, so by the government providing people with standard sized houses e.g. 3 room house semi-detached houses which were provided in Philani Valley, problems of overcrowding arise. So without taking into consideration the size of the household the risk of an increase in informal backroom shacks are high. This is supported by Du Plessis and Landman (2002:81) in which they state that the government needs to investigate a broad range of housing designs and options. They elaborated on this point by stating that such can be achieved by the government by providing houses in a form co-housing units for single-parent and small households, to row-housing option for large households. Housing designs that can actually allow for an extension on the rooftop (Du Plessis and Landman, 2002:81).

With regards to the integration of socio - economic status into housing projects with the purpose of creating of sustainable human settlements. Ngonyama (2012) states that there is a need for Department of Human Settlements provide houses that will cater according to the size household. Therefore there is a need for an increase in the size of public houses, in a sense that the Department needs to construct 3 bedroom houses according to the needs of the beneficiaries. Ngonyama (2012) further states that the provision of houses should be based on the community's needs. In essence Thwala et.al (2010) state that it is important that the government ensures that the Informal Settlement Upgrading Programme improves the lives of the beneficiaries of the upgrading programme in terms of it creating jobs for the beneficiaries. Thwala et.al (2010) further stresses that if that is not made a priority, beneficiaries will struggle to maintain their houses because of not getting any income, which will result in the new settlement becoming a slum.

Moreover the Mecer Human Resource Consulting LCC (2007) state that the criteria that is used to define the quality of dwellers living standard consists of transport infrastructure, housing, security, schools, recreation and health facilities. This shows that there is certainly a need for the socio-economic status to be incorporated in government policy. Wekesa et al (2007) also support the statement, as they state that the main purpose of providing houses for informal settlement residents, is to produce a socio-economic integrated communities, which can also provide education and health to beneficiaries.

#### **5.4 Conclusion**

The study has critically evaluated the socio-economic impact of relocating residents from informal settlement residents to Philani Valley with the aim of creating sustainable human settlements. The study has explored the factors that contributes to the success or failure of the relocation approach by not only looking at the policy and guidelines of the informal settlement upgrading but by investigating the experiences of the residents before and after the relocation process. Furthermore the study also explored the relocated residents' economic and social opportunities in Philani Valley and how the relocation impacted these opportunities. It is without a doubt that South Africa has come a long way in the struggle of eradicating informal settlement and providing adequate housing for the poor. However the challenge of creating sustainable human settlements that respond to the needs of the people still needs a lot of work.

This study concludes by stating that, Informal settlement upgrading is not a mere implementation of projects that aim to improve the quality of life for informal settlement residents, but it needs to be the outcome of a good preparation whereby there has to be an understanding of the complexity of the urban poor's livelihoods, the meaning of the 'community' in a settlement, and many other elements that influences the lives of people in informal settlements. Only if one understands the real needs of them, upgrading initiatives can be successful. It is therefore important that South African government looks at informal settlement upgrading and human settlements on a broader scale. Meaning the upgrading of informal settlements should not be the sole responsibility of Department of

Human Settlements and local municipality housing units. Instead a responsibility of multi-sectoral stakeholders (Public and Private sectors) working collectively in eradicating informal settlements and creating sustainable human settlements (Holder, 2012).

## References

- Abbot (2003) *South Africa's city stitcher*. UNESCO Courier. Vol. 53. Issue 3
- Abbott (2001) *An Analysis of Informal Settlement Upgrading and Critique Of Existing Methodological Approaches*. Department Of Civil Engineering, University Of Cape Town
- Ackelman , H And Andersson , M (2008) *Methods to Solve the Problem of Informal Settlements- The Case Of Hangberg*, South Africa. Stockholm
- Agenda 21 (1992) *Promoting Sustainable Human Settlements:Chapter 7*.United Nations.
- Alim M. Sulaiman S (2006) *The Causes and Consequences of the Informal Settlements in Zanziba*. Tanzania.
- Alvin, S (1990) *Social change and development*. California, Sage
- Arrighi, Giovanni, and Lu Zhang (2009) *Beyond the Washington Consensus: A New Bandung?*.Penn State University Press.
- Barry , M and Ruther, H (2005) *Data Collection Techniques for Informal Settlement Upgrades in Cape Town*, South Africa.
- Bernard, H.R. (2002) *Research Methods in Anthropology: Qualitative and quantitative methods*. 3rd edition. AltaMiraPress,Walnut Creek, California.
- Burgess, R (1992) *Helping Some Help Themselves*. In K. MAthey (ed), *Beyond Self Help Housing*. London: Mansell.
- Burkey, S (1993) *People First: A guide to participatory rural development*. London: Zed books.
- Charlton ,S (2003)*Integrated Delivery of Housing: A Local Government Perspective from Durban*: In Harrison, P., Huchzermeyer, M., and Mayekiso, M. (eds). *Confronting Fragmentation: Housing andUrban Development in a DemocratisingSociety*.Cape Town: UCT Press

Charlton and Kihato (2006) *“Reaching the Poor: An analysis of the influences on the evolution of South Africa's housing programme”* in Udesch Pillay et al (eds.), *Democracy and Delivery: Urban Policy in South Africa*.

Cities Alliance. *About Slum Upgrading*. Available At [Http://Www.Citiesalliance.Org/Sites/Citiesalliance.Org/Files/CA\\_Images/Sufactsheet\\_english\\_0.Pdf](http://www.citiesalliance.org/sites/citiesalliance.org/files/CA_images/sufactsheet_english_0.pdf) (Accessed On 11/05/2015).

Cities Alliance. *About Slum Upgrading*. Available at: Currie, I., and De Waal, J., (2005) *The Bill of Rights Handbook: in association with Lawyers for Human Rights and the Law Society of South Africa* (5th edition). Juta and Company: Wetton.

Centre on Housing Rights and Evictions (COHRE). (2005). *Any Room for the Poor? Forced Evictions in Johannesburg, South Africa*. Draft for Discussion, February. Geneva: COHRE.

Chambers, R. and R. Conway (1992) *Sustainable rural livelihoods: Practical concepts for 21st century*. Brighton, I.D.S.

Clinton OhlsAigbavboa Wellington D. Thwala, (2010), *“Lessons learned from in situ upgrading and eradication of informal settlement in Gauteng Province in South Africa”*, *International Journal of Housing Markets and Analysis*, Vol. 3 Iss 3 pp. 233 – 244

Creswell, J.W. (1994) *Research Design: Qualitative and Quantitative Approaches*, London: SAGE Publications.

Creswell, J. W. (2009). *Research Design: Qualitative, Quantitative And Mixed Methods Approach* (3rd Ed.). Thousand Oaks, CA: Sage.

Creswell, J. W. (2012). *Educational research: Planning, conducting, and evaluating quantitative and qualitative research*. (4th ed.). Upper Saddle River, NJ: Pearson E

Cohen, L. (1980) *Research Methods in Education*. London: Groom Helm Ltd.

DFID (2001) *Changing thinking: sustainable livelihoods. Poverty Elimination: The role of Economic and Social Research*. Economic and Social Research Unit (ESCOR), Department for International Development (DFID), London.

DeMoss-Norman (2015) *From Informal Settlements to Formality: A Resettlement Group's Adaptation to a Newly Planned Community in Port Elizabeth, South Africa*. Independent Researcher, Washington, USA

Denzin, N. K., and Lincoln, Y. S. (2005). *The Sage Handbook Of Qualitative Research* (3rd Ed.). Thousand Oaks, CA: Sage.

Department of Housing (2009) *National Upgrading Support Programme: Key Issues and Suggested Actions*. Workshop 25-26 March.

Department of Housing, (2004) *Breaking New Ground: A Comprehensive Plan for the Development of Sustainable Human Settlements*, Department Of Housing, Pretoria.

Department of Human Settlements (2009) *The National Housing Code: The Policy Context*. The National Housing Code Volume 1, Part 2. DHS, Republic of South Africa.

Department of Human Settlements. 2004. *"Breaking New Ground," Comprehensive Plan for Housing Delivery*, Department of Human Settlements, South Africa. DHS, Republic of South Africa

Departments of Human Settlements (2009) *A Simplified Guide to the National Housing Code 2009*, Vol. 1, Part 1 of the Housing Code, 2009.

Departments of Human Settlements (2009) *Upgrading of Informal Settlements*, A Simplified Guide to the National Housing Code, Vol. 4, Part 3.

Department of Human Settlements (2010) *Approval of Philani Valley Housing Project*. KwaZulu-Natal

Dianga S (2011) *Regularizing Informal Settlements for Sustainable Housing Development for the Urban Poor: The Case of Nairobi, Kenya*. University of KwaZulu-Natal. Durban

Du Plessis, CandLandman,K(2002) *Sustainability Analysis Of Human Settlements In South Africa*.CSIR Building And Construction Technology Programme For Sustainable Human Settlement .

Finnegan, R (2006) *"Using Documents." Data Collection and Analysis*, 2nd ed., edited by Roger Sapsford and Victor Jupp. SAGE.

Franklin, S (2011) *Enabled to Work? The Impact of Housing Subsidies on Slum Dwellers in South Africa*.

Frerichs, R.R (2008) Rapid Surveys.

Frey, Lawrence R., Carl H. Botan, and Gary L. Kreps (2000) *Investigating Communication: An Introduction to Research Methods*. 2nd ed. Boston: Allyn and Bacon, 2000.

Gilbert A (2007) *The return of the slum: does language matter?*International Journal of Urban and Regional Research31(4): 697-713.

Global Report On Human Settlements (2003 revised in 2010) *The Challenges of Slums*. United Nations Programme.

Global Report on Human Settlements (2005) *Financing Urban Shelter*.UN-Habitat.

Govender (2011) *an Evaluation Of Housing Strategy In South Africa For The Creation Of Sustainable Human Settlements: A Case Study Of The EThekwini Region*. School of Built Development Studies.University of Kwazulu Natal.

Heinemann.[http://www.yale.edu/collections\\_collaborative/primarysources/primarysources.html](http://www.yale.edu/collections_collaborative/primarysources/primarysources.html) (accessed 20/05/2015)

Hassan (2011) *The enabling approach for housing supply Drawbacks & prerequisites – Egyptian experiences*. Urban Planning Department, Faculty of Engineering, Ain Shams University, 1st Abdoubasha Square, Abbassiyah District, Cairo, Egypt.

Hoebink, P (1997) *Theorising Invention. Development Theory and Development Co-operation in a Globalising Context*. Van Gorcum.

[http://www.citiesalliance.org/sites/citiesalliance.org/files/CA\\_Images/SUFac](http://www.citiesalliance.org/sites/citiesalliance.org/files/CA_Images/SUFac)

Holder (2012) *Informal Settlement Upgrading in South Africa :The effects of state led upgrading in Cato Crest, Durban, and the possibilities for a people centered approach*. Department of Human Geography.Nijmegen School of Management. Radboud University Nijmegen.

Hornby, A.S., (2005) *Oxford Advanced Learner's Dictionary of Current English*, 7<sup>th</sup> Edition. Oxford University Press, Cape

Town.<http://www.richardknight.homestead.com>, 13/05 2015.

Human Settlements Reference Group (2005) *Discussion document to inform the development of a Strategy and Implementation Plan in the Western Cape for 'Breaking New Ground': A Comprehensive Plan for the Development of Sustainable Human Settlements*. Department of Local Government and Housing. Western Cape

Huchzermeyer, M. (2003). *A Legacy of Control? The Capital Subsidy for Housing, and Informal Settlement Intervention in South Africa*. International Journal of Urban and Regional Research, Vol. 27, No. 3, 591-612.

Huchzermeyer, MandKaram, A (2006) *The Continuing challenge of informal settlements: An introduction*, In Huchzermeyer, M, and A. Karam (ed) *Informal settlements, A perpetual challenges*. Cape Town, University of Cape Town.in South Africa. Master thesis. University of KwaZulu Natal, Pietermaritzburg

Huchzermeyer, M., (2008) *Housing in informal settlements: A disjuncture between policy and implementation*. In Hofmeyr, J. *Risk and Opportunity*. Pp. 94-108, Transformation Audit. Institute of Justice and Reconciliation.

IyerRothang Collaborative Report. (1998). *Umlazi Integrated Development Framework Comprehensive Report*.

John Minnery , Teti Argo, Haryo Winarso , Do Hau , Cynthia C. Veneracion , Dean Forbes, Iraphne Childs (2013) *Slum upgrading and urban governance: Case studies in three South East Asian cities*. Habitat International 39,162-169

Juliman, D., and Durrendon. (2006). *The world's first slum upgrading programme*. World Urban Forum III, Feature 4/06, Vancouver.

Judd, Charles and, McClelland, Gary (1989). *Data Analysis*. Harcourt Brace Jovanovich

Keare D and Parris S (1982) *Evaluation of shelter programs for the urban poor: principle findings*. Washington, DC, The World Bank.

Khan, F. and Thring, P (2003) *Housing Policy and Practice in Post-Apartheid South Africa*. Cape Town:

Knight, R. (2001). *Housing in South Africa*. Accessed from: <http://www.richardknight.homestead.com>, 13/05 2015.

Kramer, M (2006) *Dispossessed: Life in Our World's Urban Slums*. Orbis Books: New York.

Kvale, Steinar (1996) *Interviews an Introduction to Qualitative Research Interviewing*, Sage Publications

Lewis, J.L. and S.R.J. Sheppard (2006) *Culture and communication: can landscape visualization improve forest management consultation with indigenous communities?* Landscape and Urban Planning 77:291–313.

Ley A (2009) *Housing as governance: interfaces between local government and civic society countries*. Journal of the American Institute of Planners 34(6): 354-363.

Maasdrop, G (1977) *Alternative To The Bulldozer*. University of Natal, Durban.

Macharia K (1992) *Slum clearance and the informal economy in Nairobi*. The Journal of Modern.

- Macoloo G (1994) *The changing nature of financing low-income housing development in Kenya*. Housing Studies 9(2): 281-299.
- Mahanga, M.M., (2002) *Urban Housing and Poverty Alleviation in Tanzania*. Dar EsSalaam University Press Limited: Uvumbuzi Road.
- Malinga,SS(2000) *The Development Of Informal Settlements In South Africa, With Particular Reference To Informal Settlements Around Daveyton On The East Rand*.University Of Johannesburg
- Mansuri, G., and Rao, V. (2013) *Localizing Development: Does Participation Work?* Washington, DC: The World Bank
- Mashabela, H (1990) *Mekhukhu: Urban African Cities ofthe Future*. SAIRR, Johannesburg.
- Massey (2013) *Informal Settlement Upgrading And The Effect Of Governmentality On Women's Social Networks: A Case Study Of New Rest And Makhaza, Cape Town*. Faculty of Arts and Social Sciences at Stellenbosch University
- Maylam P and Edwards I (1996) *The people's city: African life in twentieth century Durban*. Pietermaritzburg: University of Natal Press.
- McNamara (1999) *General Guidelines for Conducting Interviews*, Minnesota.Carter,
- Mercer Human Resource Consulting LLC. (2007). *Defining quality of living*. Retrieved from <http://www.imercer.com/uploads/common/pdfs.windows> (accessed 22/12/2015)
- Mels A, Castellano D, Braadbaart O, Veenstra S, Dijkstra I, Meulman B, Singels A And Wilsenach Ja (2009) *Sanitation services for the informal settlements of Cape Town*, South Africa. Desalination 248 (1) 330–337.
- McLean, K. (2006). *Housing*. In S. Woolman, T. Roux, J. Klaaren, A. Stein, M. Chasklason, and M. Bishop, (Eds.) *Constitutional Law of South Africa*, 2nd Edition. Juta: Cape Town.
- Miraftab, F. (2003). *The Perils of Participatory Discourse: Housing Policy in Post-apartheid South Africa*. Journal of Planning Education and Research, Vol. 22, 226-239.

Misselhorn( 2008) *Position Paper On Informal Settlement Upgrading*.Urban Landmark

Mistro, R. D., and Hensher. A.D (2009) *Upgrading informal settlements in South Africa: policy, rhetoric, and what residents really value*. Housing Studies, 24 (3):333–354.

Mistro, R. D., and Hensher. A.D (2009) *Upgrading Informal Settlements In South Africa: Policy, Rhetoric, And What Residents Really Value*. Housing Studies, 24 (3):333–354.

Mogale City Local Municipality (2013) *Management and Control of Informal SettlementsinMogale City Local Municipality*.Economic Services. Krugersdrop

Mokoena ,Mand Marais, L (2007) *The missing link in Cooperative Governance and Housing delivery: Lesson from Mangaung Local Municipality*. Urban Forum

Mubangizi, J.C., (2005) *The Protection of Human Rights in South Africa: A Legal and Practical Guide*. Juta and Company Limited, Landsdowne.

Mutisya, E., andYarime, M. (2011). *Understanding the grassroots dynamics of slums in Nairobi: The dilemma of Kibera informal settlements*. International Transaction of Engineering, Management and Applied Science and Technologies, 2(2), 197–213.

Moser, C. (1996) *Confronting Crisis: A Comparative of Household Responses in Four Poor Urban Communities Environmentally Sustainable Development Studies and Monograph Series No 8*. New York, The World Bank.

*National Housing Code (2009)* Human Settlements. South Africa.

Newman, S. J., and Harkness, J. M. (2002). *The long term effects of public housing on self sufficiency*. Journal of Policy Analysis and Management, 21(1), 21–43.

Ngonyama (2012) *Urbanisation and the development of informal settlements in the city of Johannesburg*.University of South Africa.Pretoria

Nhlapho, M. (2013) *The Experience Of Moving From An Informal Settlement To A Secure Stable Home*. University Of South Africa

Njamwea, M. (2003) *Upgrading Informal Settlements by Securing Public Space*. International Institute.

Nkambule (2012) *A Critical Analysis of Sustainable Human Settlement in Housing – The Case of Hlalani, South Africa*. Department of Sociology. Rhodes University

Olotuah, A. O., and Bobadoye, S. A. (2009) *Sustainable Housing Provision for the Urban Poor: A Review of Public Sector Intervention in Nigeria*. *The Built and Human Environment Review*. 2(1):51-63.

Oliver-Smith, A. (2009) *Development and Dispossession: The Crisis of Forced Displacement and Resettlement*. Santa Fe, NM: School for Advanced Research Press.

Oppenheim, A. N. (1992) *Questionnaire design, interviewing and attitude measurement*. London: Pinter Publishers.

Patton, M. Q. (1990). *Qualitative Evaluation and Research Methods* (2nd ed.). Newbury Park, CA: Sage Publications, Inc.

Platzky, L. and Walker, C. (1985) *The surplus people: Forced removals in South Africa*. Johannesburg, South Africa: Ravan Press.

Republic of South Africa, (1996) *The Constitution of the Republic of South Africa*, Act 108.

Republic of South Africa, (1997) *Housing Act 107*. Government Gazette, Pretoria.

Republic of South Africa, (1998) *Prevention of Illegal Eviction from and Unlawful Occupation of Land Act 19*. Government Gazette, Pretoria.

Regional and Town Planning Program (RTPP), Institute of Technology Bandung (2008) *Bandung sustainable livelihood in slum upgrading programme and the urban governance in Indonesia: lessons from Bandung Metropolitan area*. RTPP

Saane, B (2005) *The impact of informal settlements areas on the land reform programme in South Africa*. Master thesis. University of KwaZulu Natal, Pietermaritzburg

SACN (South African Cities Network) (2006): *State of the Cities 2006*. Johannesburg: South African Cities Network

Sapire, H (1996) *Monitor of public and selected private sector actions in the field of informal settlement in the PWV region*. Research Report No.17, University of Witwatersrand

Schaug, E. (2003) *Urban design in black South African settlements*. Urban Design International, 8, 147–159.

Scheepers (2014) *Sustainable subsidy housing provision: A planning approach*. University of North West.

Seidman, I (1998). *Technique isn't everything, but it is a lot. In Interviewing as qualitative research: A guide for researchers in education and the social sciences*. New York, NY: Teachers College Press

Sexwale (2013) *Informal settlements a problem – Sexwale*. News24. [www.news24.com](http://www.news24.com)(accessed: 25/08/2015)

Sokhela L (2006) *The Impact Of Peripherally Located Low Income Housing Projects In EThekweni Municipality:-A Case Study Of Slum Clearance Project*, Welbedacht East. University of KwaZulu-Natal. South Africa. Provincial Budgets and Expenditure Review: 2005/06 – 2011/12

Solo T (1991) *The Bank's experience in urban projects in Africa: an overview*. Washington, DC: The World Bank.

South African Department of Housing (1997) *Urban Development Framework Report*. Pretoria: South African Department of Housing.

Srivastava, A., and Thomson, S. B (2009). *Framework analysis: A qualitative methodology for applied policy research*. *JOAAG*, 4(2), 72–79.

Srivinas, H (2005), *Urban Squatters and Slums*. GDRC Organisation.

Staff, G (1993) *Claiming a space in a changing South Africa: The “squatters” of Marconi Beam, Cape Town*. *Annals of the Association of American Geographers*, 86(2), 235-255. Blackwell, Cambridge, Massachusetts.

Stake, R. E. (2005). “*Qualitative case studies*.” In Denzin, Norman K. and Lincoln, Yvonna S. eds. *The sage*

Statistics South Africa (2011) *Census Statistics*. [www.statssa.gov.za/publications](http://www.statssa.gov.za/publications) (accessed 02/09/2015)

Sirin, S. R. (2005) *Socio-economic status and academic achievement: A meta-analytic review of research*. *Review of Educational Research*, 75, 417–453.

Tampubolon, R. (2007). *The experience of slum upgrading programs in Bandung City and their attention on communities' productive assets*. City and Regional Planning Department, Institute of Technology Bandung, Bandung,

Taussig, F. W. (1920). *Principles of economics*. Newcastle: Cambridge Scholars Publishing.

*The Durban Housing Survey* (1952). Pietermaritzburg, University of Natal Press.

Tissington, K. (2010) *A Review of Housing Policy and Development in South Africa since 1994: Towards an SER Matrix: Monitoring the Progressive Realisation of Socio-Economic Rights in South Africa*. Paper prepared for the Studies in Poverty and Inequality Institute (SPII). Socio-Economic Rights Institute (SERI), South Africa.

Tissington, K. (2011) *Legislation, Policy, Programmes and Practice: A Resource Guide to Housing in South Africa 1994-2010*. Socio-Economic Rights Institute

Tissington, K (2011) *Legislation, Policy, Programmes and Practice: A Resource Guide to Housing in South Africa 1994-2010*. Socio-Economic Rights Institute (SERI), South Africa.

Todaro M (1994) *Economic Development*; New York: Longman

Tomlinson, M.R., (1999) *South Africa's Housing Policy: Lessons from Four Years of the New Housing Subsidy Scheme*. TWPR, 21 (3).tsheet\_English\_0.pdf

Townsend, M. (1991). *The Rebounding Wave: Umlazi Land Invasions. 1987-90*. Thesis (M.T.R.P.) University of Natal.

Tshikotshi ,V(2009) *The Challenges Of Eradicating Informal Settlements In South Africa By 2014. The Case of Seraleng Sustainable Human Settlement*, Rustenburg Local Municipality, North West Province.

Tunas, D., and Peresthu, A. (2010). *The self-help housing in Indonesia: the only option for the poor?* Habitat International, 34, 315e322.

Turner J and Fichter R (1972) *Freedom to build: dweller control of the housing process*. New York: Macmillan Company.

Turner J (1967) *Barriers and channels for housing development in modernizing countries*. Journal of the American Institute of Planners 33(3): 167-181.

Turner J (1977) *Housing by people: Towards autonomy in building environments*. New York: Pantheon Books.

Umoh (2009) *Exploring The Enabling Approach to Housing Through The Abuja Mass Housing Scheme*. Massachusetts Institute of Technology

UN Global Report, 2007.

UN-Habitat (2003) *The challenge of slums: global report on human settlements*. Nairobi: United Nations Human Settlement Programme (UN-Habitat).

United Nations Conference on Human Settlements (1976). *"The Vancouver Declaration on Human Settlements - A/CONF.70/15 Chapter I - UN Documents: Gathering a body of global agreements"*. UN Documents (accessed 15/05/15).

United Nations Department of Economic and Social Affairs (2014). *Population Division*. United Nations

United Nations Environment Programme (2003). *Africa Environment Outlook: Past, present and future perspectives*. UNEP, Nairobi.

UNDP (1997) *Promoting Sustainable Livelihoods: A Briefing Note Submitted to the Executive Committee* (mimeo). (Accessed 23/12/2015)

Webster, M. (1985). *Webster's ninth new collegiate dictionary*. Meriam - Webster Inc.

Wekesa, B. W., Steyn, G. S., and Otieno, F. A. O. (2011). *A review of physical and socioeconomic characteristics and intervention approaches of informal settlements*. Habitat International, 35, 238–245.

White, K. R. (1982) *The relation between socioeconomic status and academic achievement*. Psychological Bulletin, 91, 461–481.

Wilhelmus Hofstede Consultants. (1980). *UNEP marginal settlement improvement projects in Bandung and Surabaya: Final report of the consultant for monitoring and evaluation*. Bandung, Indonesia.

Winarso, H., and Firman, T. (2002) *Residential land development in Jabotabek, Indonesia: triggering economic crisis?* Habitat International, 26, 487e506.

Wilkinson, K (2014) *Fact Sheet and Guide: The Housing Situation in South Africa*. Press Africa

Wood, G (1991) *Historian's Handbook: A Key to the Study and Writing of History*. 2nd ed. Waveland Press.

World Bank (1993) *Housing: Enabling Markets to Work*. Washington DC. The World Bank.

Yale University Library (2008) *Primary Source*.

[http://www.yale.edu/collections\\_collaborative/primarysources/primarysources.html](http://www.yale.edu/collections_collaborative/primarysources/primarysources.html)(accessed 20/05/2015)

Yin, R. K. (2012). *Application of case study research*. Thousand Oaks, CA: Sage

Ziblim (2013) *The Dynamics of Informal Settlements Upgrading in South Africa: Legislative and Policy Context, Problems, Tensions, and Contradictions*. Habitat for Humanity International.

**APPENDIX 1**

**QUESTIONNAIRE FOR PHILANI VALLEY BENEFICIARY HOUSEHOLDS**

1. Gender of household head (Tick)

Male	
Female	

2. Are you a beneficiary of the Philani Valley Housing Project?

.....

3. Employment Status (Tick)

Full-time	
Part-time	
Unemployed	

4. What transport mode do you use? (Tick)

Taxi	
Bus	
Train	
Other	

5. Where were you living before moving to Philani Valley?

.....

6. Do you have any form of security for your property, where you issued title deeds?

.....

7. Does the cost of living here differ from where you previously lived? Explain

.....

.....

8. Has moving to Philani Valley improved your standard of living or not?  
.....  
.....

9. What are the social challenges you experienced in your previous place?  
.....  
.....

10. What were the social challenges that you are experiencing now?  
.....  
.....

11. What are the economic challenges you experienced in your previous place?  
.....  
.....

12. What are the economic challenges that you are experiencing now?  
.....  
.....

13. In your previous place what were your financial challenges?  
.....  
.....

14. What are your financial challenges now?  
.....  
.....

15. What were the environmental challenges that you experienced in your previous location?  
.....  
.....  
.....  
.....

16. What are the environmental challenges that you are experiencing now?  
.....  
.....  
.....

17. How were your housing conditions in your previous location?

.....  
.....  
.....

18. How are your housing conditions now?

.....  
.....  
.....  
.....

19. Before you moved to Philani Valley how close were you in relation to areas of employment opportunities?

.....  
.....  
.....  
.....

20. How close are you now to areas of employment opportunities?

.....  
.....  
.....  
.....

21. How has moving to Philani Valley affected access to employment and income?

.....  
.....  
.....  
.....

22. Has relocation to Philani Valley affected your access to facilities such as social services health and education?

.....  
.....  
.....  
.....

23. What would you say are the challenges that affect your stay in Philani Valley?

.....  
.....  
.....  
.....

24. If you were to choose between staying here and going back to where you come from, what would you choose? Explain your answer

.....  
.....  
.....  
.....

25. What is it that you do here that you couldn't do in your previous place of stay?

.....  
.....  
.....  
.....

26. Would you say that the Philani Valley project succeeded in improving your housing, economic, educational conditions? Why you say so?

.....  
.....  
.....  
.....

27. Did this project improve your life, Yes or No?

.....

25 .Are the following Facilities and services available (tick)

Schools	
Clinics	
Church	
Recreation	
Shops	
Roads	
Water	
Electricity	
Sewer	

**APPENDIX 2**

**Interview questions for Philani Valley Ward Councillor**

1. When did you become a councillor of Ward 86 Philani Valley?

.....

2. What is the background of Philani Valley Housing Project?

.....  
.....  
.....

3. Where do most people who stay in Philani Valley come from?

.....  
.....

4. What was the aim behind the relocation of people to Philani Valley?

.....  
.....

5. Was this aim achieved? Explain.

.....  
.....  
.....

6. Where do most of the people who live in Philani Valley work?

.....  
.....  
.....

7. Besides the provision of housing which other programmes have been implemented in Philani Valley which were aimed at the creation of sustainable human settlements?

.....  
.....  
.....

8. If there are any who funded those programmes?

.....  
.....  
.....

9. How have such programmes assisted the community?

.....  
.....  
.....

### APPENDIX 3

#### Interview questions for Philani Valley Project Manager

1. How was Philani Valley identified as suitable land for the relocation of informal settlements residents?

.....  
.....

2. What was Philani Valley housing project aimed to achieve?

.....  
.....

3. Was the purpose accomplished in Philani Valley? Support your answer.

.....  
.....

4. Where the economic and social opportunities of beneficiaries considered?

.....  
.....  
.....

5. Are the following Facilities and services available (tick)

Schools	
Clinics	
Church	
Recreation	
Shops	
Roads	
Water	
Electricity	
Sewer	

6. What challenges did you encounter during the Philani Valley Relocation programme?

.....  
.....

7. How were those challenges solved?

.....  
.....

8. Besides the provision of housing, what other programmes were implemented along just to enhance the principle of sustainable human settlements?

.....  
.....

9. Who funded those programmes?

.....  
.....

10. How do people in Philani Valley benefit from these programmes?

.....  
.....