



The role of participatory planning during the upgrading of informal settlements. A case study of Briardale, Newlands West in eThekweni Municipality

By

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## **Declaration**

Submitted in fulfillment / partial fulfillment of the requirements for the degree of Master of Town and Regional Planning, in the School of Built Environment and Development Studies, University of KwaZulu-Natal, Howard College Campus, Durban, South Africa.

I declare that this dissertation is my own work. All citations, references and borrowed ideas have been duly acknowledged. It is being submitted for the degree of Master of Town and Regional Planning in the College of Humanities, University of KwaZulu-Natal, Durban, South Africa. None of the present work has been submitted previously for any degree or examination in any other University.

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## Abstract

In line with its commitment to deepen the democratic processes enshrined in the Constitution, the post-apartheid government in South Africa adopted the concept of participatory planning. This was done to ensure that community members became part of the planning processes taking place in their areas. Planning has always been technical, its focus neglected the needs of the people, especially those living in poor urban environments. This study looks at participatory planning efforts and how they can be used during informal settlement upgrading processes, to make development more people centred.

A study into the Briardale, Newlands West area in the eThekweni Municipality was conducted, with the objective of examining the role of participatory planning in the *in-situ* upgrading of informal settlements in South Africa. The qualitative research method was used as a method of data collection during the study. The study found that participatory planning largely remains a paper commitment that is confined to policy documents, theoretical debates and municipal business plans. Its implementation, which should lead to empowerment is barely realised. There is therefore a need to identify ways to make this concept a reality, particularly in addressing developmental needs.

In 2004 the Department of Human Settlements announced its intention to eradicate informal settlements in South Africa by 2014. These informal settlements are a result of the high rate of urbanisation, increasing housing backlogs, social exclusion, and local governments' inability to provide basic infrastructure to the urban poor. However, planning professionals' failure to engage with communities in an integrated and inclusionary manner has made things even worse when it comes to community empowerment initiatives. The proliferation of informal settlements has deepened poverty and unemployment levels, prevented empowerment and increasing inequality.

Theories such as advocacy planning, collaboration planning, communicative reality, and empowerment theory, were used to support the hypothesis of the study. Both local and international case studies were also used to justify this hypothesis, while answering part of the research question. The background information of the study area was provided, where it helped in terms of understanding the educational, socio-economic, geographical location and survival strategies of the people being studied.

The study came up with interesting findings with regards to the implementation of participatory planning by the eThekweni Municipality. One of the discoveries was that the community was no longer able to communicate effectively with the committee to solve internal issues. Mass meetings that were set to solve beneficiary problems did not produce resolutions, instead they led to further conflict and confusion among stakeholders. The Municipality attempted to engage with beneficiaries, however, this interaction did not bear the desired outcomes.

Therefore, the recommendations put forward by the findings of the study, were to face challenges by opening the line of communication between stakeholders; engaging adequate measures for participation; and developing mechanisms for conflict resolution.

## **List of Acronyms**

CBOs	Community Based Organisations
CDC	Community Development Committee
CORC	Community Organisation Resources Centre
CWC	Community Ward Committee
GIS	Geographic Information System
ISN	Informal Settlement Network
IDP	Integrated Development Planning
NGO	Non-governmental Organisation
RDP	Reconstruction and Development Programme
UISP	Upgrading of Informal Settlements Programme
CDWPs	Community Development Workers Programme
CDWs	Community Development Workers
PONGO	Policy-Oriented Non-Governmental Organisations
SDI	Shack/Sum Dwellers International
MoU	Memorandum of Understanding
SDFN	Shack Dwellers Federation of Namibia
NHAG	Namibia Housing Action Group
BNG	Breaking New Ground
PAR	Participatory Action Research
PRA	Participatory Rural Appraisal
PR&A	Participatory Reflection and Action
DoHS	Department of Human Settlements
DoH	Department of Housing
UN	United Nations
MDGs	Millennium Development Goals
CBD	Central Business District
DMOSS	Durban Metropolitan Open Space System
CHW	Community Health Workers

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## CHAPTER 1: INTRODUCTION AND RESEARCH METHODOLOGY

### 1.1 Introduction

In the past, planning was based on a technocratic approach to development. The planner was believed to have the capacity to set the future discourse of development by using theories, designing blueprints and producing master plans (Todes, et al., 2009). This was usually done without any input from those who would be impacted by the development. Planning was considered an exclusive domain, where a single organisation was responsible for the order and growth of communities (Emund, 1979). Traditional planning practice was founded on the belief that planners and those in power had the ability to predict the future, and therefore make autocratic decisions about what is good and desirable for the people (United Nations Educational Scientific and Cultural Organization, 2010).

The concept of community planning recognised that the future could not always be predicted, and that planners should use their professional expertise and opinions to facilitate the needs and interests of communities. The planning process was therefore open to community involvement (Emund, 1979). This reflected a participatory planning approach that enabled planners to be both technical experts and organisers of a wide range of interest groups.

An example of the traditional technical approach to planning in South Africa is the Group Areas Act of 1950 that enforced racial segregation, ensuring the domination of one race (white) in urban areas. The oppressive apartheid planning legacy rendered cities inefficient and unproductive and led to the mushrooming of informal settlements (Maylam, 1995). The Informal Settlements Status Report (2012: 18) estimates that 1.2 million South African households live in informal settlements.

In the global context, informal settlements are viewed by many as the result of governments' failure to deliver services to the urban poor. The fact that informal settlers have occupied land makes them very visible. This has led to debate on the failure of post-apartheid planning and urban management to restructure South African cities in order to make them more equitable and accommodate the country's diverse social groups (Huchzermeyer, 2006).

The concept of community participation is part of South Africa's policy and legislative framework (Department of Human Settlements, 2009; Republic of South Africa, 2004; Local Government, 2005). While many development organisations have formulated approaches to

implement community participation, the process has not been widely accepted by planners, community organisations, municipalities and communities (Token, 2012).

The reason lies in the fact that communities are still portrayed as external parties in the search for solutions to developmental problems. The idea of communities being part of the decision making process in planning for development has not yet been fully explored (Williams, 2006). Planners and those with authority are also still regarded as unchallengeable structures of control, with the inability to distribute power and therefore effect change amongst community members.

Therefore, this study focuses on how informal settlement upgrading in South Africa can be packaged and implemented in a manner that promotes a successful participatory planning process. It seeks to make the voices of community members heard during the implementation of *in-situ* upgrading processes. The study examines the role of participatory planning and the extent to which it is integrated in all activities during the upgrading of informal settlements. The ways in which municipalities ensure that communities actively participate in the upgrading process are also examined. Finally, the study identifies ways in which participation can be improved so that all South Africans identify with the process.

## **1.2 Problem Statement**

Under the apartheid regime, citizens, especially black communities, had very few opportunities to participate in planning, governance and development programmes. The apartheid political system denied the black majority basic constitutional rights. Its method of participation was centralised and authoritarian and it excluded black people (Williams, 2006).

With the advent of democracy in 1994, South Africa introduced policies, programmes and legislation, such as the Reconstruction and Development Programme (RDP) and the Constitution of the Republic of South Africa, Act 108 of 1996, which promote community participation (Williams, 2006). Community organisations participated in the formulation of the RDP as representatives of civil society (Padraig O'Malley, 1994), while the Constitution granted all citizens the right to participate in local government planning programmes (The Constitutional Assembly, 1997).

Despite these progressive provisions, local government tends to only pay lip service to participation (Mwau, 2013). All too often, it is engaged in merely for the sake of documentation.

Participatory planning exercises in South Africa are managed by a variety of consulting agencies, often representing pre-designed, party-directed planning programmes. These include government officials, councillors and planners who impose their own usually short-cut versions and understanding of community participation. This does not empower local communities in the spirit of the Constitution (Williams, 2006). This way of doing things is confirmed by the following statement in the *Cape Argus* newspaper:

*“Currently the approach to participation could be described as ‘compliance driven’ with Integrated Development Planning (IDP) and other processes designed to meet the needs of legislation and no more. Even municipal officials acknowledge that public participation is implemented without being tied to budgets and that feedback to communities on the outcomes of participation processes is rare”*  
(*Cape Argus*, 02 January 2014).

This suggests that mainstreaming participatory planning in municipal and other government departments’ remains a challenge.

Effective participation requires appropriate channels of organisation, accountability and communication (Tshabalala, 2006). Communities should not simply be considered objects of planning, but should create and shape the environment within which they live (Williams, 2006).

In 2004, the South African government adopted a new direction in housing delivery. The Upgrading of Informal Settlements Programme (UISP) was introduced through the Breaking New Ground (BNG) policy (Mwau, 2013). This aimed to facilitate the structured *in-situ* upgrading of informal settlements as opposed to relocation, in order to achieve a number of policy objectives, including security of tenure, health and security, the provision of basic municipal services, social and economic amenities, and empowerment (Department of Human Settlements, 2009), all based on meaningful community participation.

However, it has been noted that many *in-situ* upgrading projects have involved participatory interventions which have not been regarded as meaningful to the intended beneficiaries (Jordhus-Lier & de Wet, 2013). For example, early *in-situ* upgrading approaches in South Africa included a number of initiatives, particularly in the City of Cape Town. One of these projects, the N2 Gateway project, adopted a top-down approach to upgrading (Worcester Polytechnic Institute, 2012). The City of Cape Town manipulated the upgrading process to cater for its own needs, the 2010 World Cup was underway, and informal settlements in this area were located on the N2, portraying a certain degree of the poverty, which government

did not want to display to foreign visitors. *In-situ* upgrading was not achieved as many residents were moved to areas far from work and important social amenities; the government failed to consider the needs and opinions of the community. Not only was the cost of relocating residents more expensive than the upgrading itself, but the project was regarded as a total failure (Worcester Polytechnic Institute, 2012). Thus the outcome contradicted many policy documents (including the Constitution) which aim to improve the lives of the poor, and is a good example of development that is imposed on communities.

However, as *in-situ* upgrading progressed, the Sheffield Road project, also in the City of Cape Town, represented a different scenario. The project began in 2010 with partnerships between the City of Cape Town, Non-governmental Organisations (NGOs) such as the Community Organisation Resource Centre (CORC), and the Informal Settlement Network (ISN) and the community itself (beneficiaries). The strategic organisation of NGOs and the community resulted in government and associated service providers' compliance; community savings schemes were developed for further empowerment of the community and continued communication in the form of community meetings (that devised a plan to implement a successful participation strategy) was key to ensuring that the community's needs were met. This resulted in one of first successful bottom-up *in-situ* upgrading approaches in South Africa. The success of the project can be attributed to the community driven nature of the upgrading (Worcester Polytechnic Institute, 2012).

Due to the fact that informal settlement upgrading and community participation are still in their infancy in South Africa, it is important to integrate these two concepts for good results. However, there is a problem with the implementation of policy and legislation in South Africa. Local government fails to adhere to the basic principles of *in-situ* upgrading, and continues to undermine community involvement in the decision making process (Mwau, 2013).

The national policy framework for public participation sets out ways in which local government can improve its commitment to deepen democracy through participation that empowers communities (Department of Human Settlements, 2009). However, local government and planners do not follow this plan, and instead use token consultation and manipulation or come to the table with their own politically-driven, pre-conceived agendas.

The blame cannot be placed on officials and planners alone, as communities do not always engage sufficiently in matters that affect them (such as low attendance at community

meetings). They often get involved at later stages of processes and sometimes only engage when things go wrong. This results in an unsatisfactory planning process for all parties involved, with beneficiaries at the lower end of the spectrum.

### **1.3 Research objectives**

The aim of this study was to examine the role that participatory planning could play in the *in-situ* upgrading of informal settlements in South Africa. The study adopted the following set of objectives:

- (a) To discuss the importance of beneficiary participation during the *in-situ* upgrading of informal settlements.
- (b) To assess the degree to which participatory planning is implemented during the *in-situ* upgrading process.
- (c) To explore the literature on the role of participatory planning at both local and international levels.
- (d) To identify and unpack the challenges associated with participatory planning during the *in-situ* upgrading of informal settlements.
- (e) To provide recommendations on ways in which participatory planning can be implemented to improve *in-situ* upgrading initiatives.

### **1.4 Research question**

To what degree has participatory planning been integrated into the *in-situ* upgrading of informal settlements in South Africa?

#### ***1.4.1 Sub-questions***

- (a) Who are the role players that influence the decision making process in the *in-situ* upgrading of informal settlements?
- (b) What is the value of participatory planning during *in-situ* upgrading?
- (c) At what level is participatory planning considered in the *in-situ* upgrading of informal settlements?
- (d) What measures are put in place to enhance participatory planning during the *in-situ* upgrading of informal settlements?
- (e) What are the challenges associated with participatory planning during the *in-situ* upgrading of informal settlements?
- (f) How can these challenges be mitigated?

## **1.5 Hypothesis**

Informal settlements generally represent the poorest and previously marginalised population in South Africa. It is therefore important to address weaknesses in the current participatory planning model, particularly with regard to informal settlement upgrading. Increased commitment from municipalities is required to ensure that community members' voices are heard, and that their input is taken seriously. This could contribute to the empowerment of citizens and provide an opportunity for municipalities to create a "better life for all". Therefore, the study's hypothesis is that if well planned and well implemented, participatory planning could make a positive contribution to the *in-situ* upgrading of informal settlements.

## **1.6 Defining key concepts**

### ***1.6.1 Community participation***

A community usually refers to a particular place; this could be a village, town or neighbourhood, and is generally the geographical area where people live (Heine, 2008). Although a community's physical space is important, it should be thought of in broad terms, for example, the way in which people derive their identity (social identification) and their interactions. This involves human beings coming into contact with one another based on common perspectives, where the type of community created depends on the amount of commitment and loyalty they have (Minar & Greer, 2007). For the purpose of this study, the definition of community is specific to the context of informal settlement areas in South Africa.

According to the National Policy Framework on Public Participation (2007: 4), "a community is a body of persons residing in a municipality, including the residents, rate payers, civil organisations, visitors and especially the poor and disadvantaged". How these people interact with one another determines the nature (sense of place) of the community.

The word participation can be defined as the action of involving oneself in something. This includes the numerous ways in which communities express their opinions, for the purpose of influencing politics, the economy, management and social issues. Participation therefore requires transparency, and all those affected by the decision should have a say (Wates, 2000).

In this study, participation describes the process where communities are able to influence and share control of their needs in the planning process. This requires collective participation in

decisions concerning policy implementation, resource allocation, and access to public goods and services (Tikare, et al., 2001). This definition captures participation in a way that increases people's abilities to contribute to government processes for the purpose of empowering themselves.

Based on these two definitions, community participation can be said to be concerned with involving people with similar needs and goals in decisions that affect their lives. This means that community participation engages people and planners in a mutual learning experience, where they are able to pool local and external resources in order to enhance their well-being. Power relations should therefore be balanced, because the community cannot be developed solely by external power holders, and *vice versa* (Oakley, 1991).

Therefore, this study's definition of community participation is taken from Williams (2006: 197), and is "...the direct involvement or engagement of ordinary people (usually beneficiaries) in the affairs of planning, governance and overall development programmes at local or grassroots level, and is considered to be an integral part of democratic practice".

### ***1.6.2 Participatory planning***

Participatory planning is an urban planning paradigm that enables communities to be involved in planning. This means engaging diverse social and interest groups, for the purpose of reaching consensus on a plan and its implementation (Lefevre, et al., 2000). This process is rooted in the recognition that there will always be conflicts of interests, and differences in power and responsibilities in society. Therefore, there might be a need for third party mediation to resolve conflicts and objections to a plan, which places engagement and negotiation at the heart of the participatory planning process. Participatory planning therefore seeks to ensure that the decisions made do not result in outcomes pre-determined by power holders, thereby encouraging inclusion (Hague, et al., 2003).

### ***1.6.3 In-situ upgrading of informal settlements***

Informal settlement upgrading involves improving housing conditions and the lives of those living in informal settlements (Tshikotshi, 2009). *In-situ* upgrading refers to the incremental formation of settlements in their original location; where the existing population is not relocated (Abbott, 2004). It requires security of tenure, basic municipal services, and social and economic amenities, and that residents are empowered to take control of their own housing development (Department of Human Settlements, 2009).

The word 'slums' is the universal term used to describe informal settlements. A variety of other terms are also used, depending on their location around the world. For the purpose of this study these terms are used interchangeably.

A broad definition of informal settlements provided by the United Nations Human Settlements Programme (2003: 10) is "a contiguous settlement where the inhabitants are characterised as having inadequate housing and basic services, these settlements are often not recognised and addressed by the public authorities as an integral or equal part of the city."

### **1.7 Justification for the Study**

Participatory planning is one of the key components of projects that are earmarked for development. It contributes to the empowerment of communities, and if successfully implemented, may lead to socio-economic improvements in poor and disadvantaged communities.

This study explored the role of participatory planning in informal settlement areas, in order to understand the degree to which it has been integrated in the *in-situ* upgrading of informal settlements in South Africa. It focuses on participation by poor populations, which is regarded as key in the identification of their needs and problems. To address poverty, the poor must be given a chance to voice their concerns and help implement them, and therefore be provided with a platform to do so.

The research study therefore contributes to the formulation of a broader view or definition of participatory planning in South Africa. This could result in an approach that takes the differences among informal settlements into account, and acknowledges that there cannot be a "one size fits all" solution to the informal settlement issue. The literature review helped to unpack this research topic at a local and international level. Both local and international case studies were used; these are presented in the following chapter.

### **1.8 Research Methodology**

Research is a process that involves collecting, analysing, and interpreting information in order to find answers to specific questions. This requires controlled investigations that are rigorous, systematic, verifiable, empirical and critical, and may be undertaken using qualitative and quantitative approaches (Kerlinger, 1986). This study adopted a qualitative

research method, which is based on a case study. Qualitative research is mainly employed to investigate human behaviour, opinion, and experience (Family Health International, 2000).

### ***1.8.1 Case study***

The case study chosen for this research provided a real-life context of participatory planning in South Africa, specifically eThekweni Municipality. A case study can be defined as “an intensive study of a single unit for the purpose of understanding a larger class of similar units” (Gerring, 2004: 341). The single unit for this particular study was the previously informal settlement area of Briardale, while the larger set of similar units are other informal settlement upgrading approaches that utilised a form of participatory planning in eThekweni Municipality.

The selection of the case study was based on the characteristics of the municipality, including its level of resources; its urban and rural nature; and the history of the area with regard to participation. Hence, eThekweni Municipality was chosen as it is a well-resourced municipality, which is considered overwhelmingly urban, and has a tradition of radical politics and social movements.

The criteria used to select the actual study area included that it must have previously been an informal settlement, which was upgraded by the municipality under the Upgrading of Informal Settlements Programme (UISP). There must have been minimal relocations, and if possible, no relocations at all, for the purpose of meeting the requirements of the UISP for *in-situ* upgrading. The study area must have had some sort of representative body for the community, for example, Community Based Organisations (CBOs), Community Development Committees (CDCs), ward or neighbourhood committees and others. This helped to meet the requirements of a participatory planning approach.

### ***1.8.2 Geographical Information System (GIS)***

Spatial data was also collected by means of the Geographical Information System (GIS). This helped to identify the case study (Briardale) within eThekweni Municipality, and provided background information. This software helped identify social amenities such as health facilities, schools, community halls, police stations, and religious spaces. It also provided information on public places such as open spaces, parks, and recreational spaces and infrastructure, including electricity, roads, water supply, sanitation facilities (sewerage

and storm water connections) and so on. Together with on-site observations, the GIS software provided a detailed view on what already existed within the study area.

### ***1.8.3 Primary data sources***

#### *1.8.3.1. Sampling*

Sampling involves taking a sample of the population, using either probability or non-probability methods. If a probability sample is used, every member of the population has an equal chance of being selected (Adler & Clark, 2007). This study used probability (random) sampling; every unit of the population had a chance of being selected. A systematic sampling approach is used that arranges the targeted population according to an ordering scheme, and then selecting elements at regular intervals of the list (Babbie, 2012). This approach was applied to beneficiaries in the Briardale Housing project. There are currently 156 households; 14.7% were covered, meaning every 6<sup>th</sup> house was selected for the study; this resulted in a sample of 23 households. This high percentage was selected because there are few households in the study area; and this allowed the research to cover many people, enhancing the quality of findings. Information collected from these stakeholders included the role they played during the implementation of the Briardale Housing Project, how they were able to participate in the project, any challenges they might have encountered, and how they were able to mitigate or deal with these challenges in order to reach consensus.

#### *1.8.3.2. Interviews*

Interviews were also used as a source of data collection. Several in-depth interviews were conducted over a period of time. These enabled the researcher to gain in-depth information on unique aspects of the study area. Stakeholders interviewed included, among others, the Project Manager in charge of the Briardale Housing Project. This included the role they played in the project; the challenges faced, and how these challenges were dealt with; the empowerment programmes that were implemented and the overall outcome of the project.

The Project Liaison Officer responsible for relaying important information between the municipality and the community and the local councillor was also interviewed. The information included their role in the project; how such interaction was arranged; the measures put in place by the municipality to ensure community participation; the challenges

faced and how these were overcome; and the overall experience of the implementation of the project.

Information was also collected from civil society organisations in the study area, such as the Briardale Ward Committee that voiced concerns on behalf of the Briardale community and dealt with any conflict that arose. This included their role in the project; the measures they put in place to ensure community participation; their interaction with the municipality; challenges experienced with regard to community participation; and the community's overall satisfaction in terms of empowerment and participation.

Data was also collected from ordinary members of the community, including the Briardale beneficiaries. This included socio-economic data and community demographics; their reasons for moving to the settlement; their role in the project in terms of participation (the stages in which they participated, and how they participated); the role of the other stakeholders within the project, and their interaction with these stakeholders; the challenges they faced in terms of participation, and how these challenges were mitigated; how they were empowered and overall improvement in their quality of life.

#### *1.8.3.3. Questionnaires*

A questionnaire is a structured series of written questions, which usually produces written responses (Barker, et al., 2003). Questionnaires include any written instrument that presents respondents with a series of questions or statements, which they react to either by writing their answers or selecting from the answers provided (Dornyei & Taguchi, 2010).

This research study used questionnaires as a data collection method, with both open-ended and closed-ended questions. Closed-ended questions were used to obtain an accurate understanding of what happened, as it is possible for many professionals to provide superficial answers. The questionnaires were completed with the participants to ensure accuracy. This method was cost effective, as it was able to collect large amounts of information, with very little personal investment.

Information on beneficiary participation was assessed, which included the level and value of participation at each stage of the upgrading. This planning process for participation included assessing idea generation; beneficiaries; professionals and representatives' attitudes; the way in which information was communicated and disseminated; whether or not there were any

conflicts and how conflicts were resolved and the forum used to express the general feelings of all stakeholders.

#### *1.8.3.4. Photographic information*

Photography was also used as a data collection method; this took the form of visual representations of the community. Photographs were taken to organise, interpret, and validate what is on the ground (Collier & Collier, 1986).

#### *1.8.4 Secondary data sources*

Available documents in the form of policy and legislation relevant to participatory planning and informal settlement upgrading were reviewed and analysed. The literature on public participation and informal settlement upgrading was also reviewed. This included books, journal articles, newspapers, and research reports as well as use of the internet. The literature on participation elsewhere in the world and in South Africa was also analysed.

### **1.9 Data Analysis**

Data analysis is a way of summarising and analysing data, with the intention of isolating useful information and developing interpretation and conclusions with regard to the information received. There are different ways to analyse data; this study used thematic analysis. This involves identifying, analysing, and reporting certain patterns within the data collected, then organising and describing this data in a detailed manner (Braun & Clarke, 2006). Some of these themes and patterns originated from the study's objectives and research questions.

The data analysed included that from the questionnaires, and the in-depth interviews. Both qualitative and quantitative methods were used to analyse the data. The data collected from interviews was analysed qualitatively, which means that participants' thoughts, opinions and feelings in a particular situation and at a certain point in time were recorded, in order to determine real social experiences.

The quantitative method was used to categorise and code the questionnaires into interpretive data. This mainly involved socio-economic aspects using figures and percentages; this included the population, the number of dwellings and the number of people in a dwelling, income levels, and the overall demographics of the area.

## **1.10 Limitations of the Study**

This research was faced with limitations regarding data collection methods and other external limitations that could not be controlled. However, these limitations did not in any way compromise the results collected. These included language, the questionnaires and interviews were drafted in English, however where there was need for interpretation, questions were clarified in the local language, which was isiZulu. A number of people within the stakeholder list could not be available as some appointments set were dishonoured by participants. The information not gathered from these participants were outsourced from elsewhere. The limitations were kept minimal so that the quality of the study was not compromised. Quality control measures like keeping time for appointments, honesty, patience, and respect for all participants were put in place.

## **1.11 Structure of Dissertation**

### ***1.11.1 Chapter one: Introduction and research methodology***

This chapter introduces the study and highlights its main themes. It outlines the background and evolution of planning as a highly debated subject and traces the link between participation and informal settlement upgrading, and the importance of their integration. The research problem and aims and objectives of the study are presented as well as the main question and sub-questions and the hypothesis. The key concepts are defined and the justification for the study is set out. The research methodology adopted for the study is briefly discussed as well as the limitations that arose while conducting the research.

### ***1.11.2 Chapter two: Conceptual and Theoretical Framework***

This chapter provides the context for the study. It sets out a theoretical framework by examining different theories of participation. While there is an extensive list of theories of participation, this study used advocacy planning, collaborative planning, communicative planning, and empowerment theory.

### ***1.11.3 Chapter three: Literature Review***

The literature review includes various definitions of participatory planning, with the starting point being a discussion on the key pioneers of participatory planning, and their participatory planning methods and tools. Arnstein's ladder of citizen participation is examined in order to

determine the different levels of community participation. The role of key participants in participatory planning, including government, and Non-governmental Organisations (NGOs) is also discussed. The legislative framework guiding participation and informal settlement upgrading in South Africa is also examined, together with a precedent international case study, as well as a local case study of the implementation of *in-situ* informal settlement upgrading focusing extensively on participatory planning.

#### ***1.11.4 Chapter four: Historical Background of the Case study***

This chapter provides a brief historical background of the case study and the reasons for selecting this case study. This includes the geographical location of the project, participation within the study area and some of the area's unique attributes that attracted residents. The demographics of the area and the socio-economic conditions are also presented.

#### ***1.11.5 Chapter five: Research Findings and Data Analysis***

This chapter presents the study's findings and analyses the data collected from the study area. It presents more specific and in-depth observations of the study area measured against the theoretical arguments presented in the secondary data. The results and analysis of the information gathered from the interviews and questionnaires in the study area and the site visits are presented. Despite some limitations with regard to the information obtained, reliable material is used to support these results.

#### ***1.11.6 Chapter six: Summary of Findings, Recommendations and Conclusions***

This chapter concludes the dissertation by reviewing the entire study and makes recommendations based on the findings. The summary of the conclusions and findings determines the degree to which the study successfully answered the research question and met the objectives.

## CHAPTER 2: CONCEPTUAL AND THEORETICAL FRAMEWORK

### 2.1. Introduction

This chapter outlines the theoretical framework for the study, and reviews the literature on participatory planning in order to accomplish one of the objectives of the research, "...to explore the literature on the role of participatory planning at both local and international levels". The theoretical framework encompasses a number of approaches that are used to identify the conceptual foundations for participatory planning. The theories used in the study include the advocacy planning theory by Paul Davidoff; Jürgen Habermas' theory of communicative rationality, which is converted into the communicative planning theory of John Forester for the purpose of planning philosophy; Patsy Healey's collaborative planning theory; and the empowerment theory.

The problem statement noted that local government in South Africa continues to neglect the implementation of policy objectives. These are often overridden by pre-designed politically driven agendas that manipulate communities into meaningless participation. While homes have been constructed for the poor, communities are not being empowered and are unable to make decisions concerning their lives (Williams, 2006). The following theories adopt an ecological approach to human interaction and development, providing a platform for policy objectives for public participation that meet the needs of these vulnerable groups.

#### 2.1.1. *Advocacy planning*

Advocacy planning theory arose as a consequence of urban planners' involvement in the United States' civil rights movement in the 1960s. Based on the perspective of political and social equity, advocacy planning promoted equitable power relations and inclusive public involvement in order to improve planning practice. Paul Davidoff was the pioneer of this planning approach that offers ordinary citizens (usually disadvantaged and/or vulnerable groups) expert advice on planning matters. This approach is based on the notion that these citizens need an advocate to represent them to official bodies in the planning process (Stieglitz, 1999).

The 1960s were characterised by protest movements and political unrest in the United States, racial discrimination and other social injustices, particularly in planning, were the focus of attention. Urban planners promoted the idea of replacing a single plan to represent the public interest with a variety of plans representing diverse interest groups, especially minority

interests (Davidoff, 1965). This gave rise to the advocacy planning approach that promoted plural rather than unitary plans. These plans were produced through debate and discussions, where planners represented the interests of society.

The aim of advocacy planning is to work with the public by providing information, education and communication; it also informs the public of the reasons behind planning proposals by giving them an opportunity to respond in the technical language of planners (Mantysalo, 2005). According to Davidoff (1965: 331), advocacy planning should not lead to the promotion of neutral and value free plans; the choices made by advocacy planners must be based on sound values and citizens should not be pushed into passive, misdirected roles.

Citizen participation programmes should therefore not react to the technical plans produced by neutral bodies, such as the government; instead these programmes should support communities and any other interest groups or associations' right to come up with their own plans for their neighbourhood (Angotti, 2007). The technical approach to planning is therefore dismissed by advocacy planning, and the physical structure, and economic, social, and environmental aspects (sustainability) of city planning are promoted.

For the purpose of this study, advocates can be described as urban planners, interested groups, community activists, associations and professionals within the community that represent the interests of that community.

The advocacy planning theory is the point of departure or foundation for participatory planning. Paul Davidoff is said to have opened the doors to today's progressive planning (Angotti, 2007), and the advocacy planning approach could influence future planning practice.

Although advocacy planning encompasses the idea of representing the needs of the public in a politically-driven and often government-led society, it does not enable the public to influence decision making. For example, Davidoff (1965) describes the planner as the "advocate" responsible for promoting democracy in public planning; the planner is responsible for coming up with alternative plans that compete with or oppose local government's plans. This gives rise to an authoritarian undertone, where the focus is almost solely on the planner and their position of speaking for others. Stieglitz (1999: 58) quotes Bell Hooks, a critic of the advocacy planning approach:

*“...no need to hear your voice when I can talk about you better than you can speak about yourself. No need to hear your voice. Only tell me about your pain. I want to know your story. And then I will tell it back to you in a new way. Tell it to you in such a way that it becomes mine, my own. Rewriting you I rewrite myself anew. I am still the author, authority. I am still coloniser, the speaking subject, and you are now at the centre of my talk.”*

This critique is based on the notion of “speaking for others” and the relationship between the subject and the object. It notes that “...it is impossible to achieve objectivity or neutrality in any profession, based on the fact that there are as many evaluative systems as there are value systems in the planning profession” (Stieglitz, 1999: 58).

The Community Development Workers Programme (CDWP) is a South African government initiative that was implemented in 2004 as a national mandate to fast track service delivery in various local municipalities (Tsheola, 2012). It arose in response to continuing patterns of racism, exclusion and discriminatory practices especially in South Africa’s urban environment in relation to the historically marginalised. Community Development Workers (CDWs) can be regarded as advocacy planners as they bridge the gap between government services and the poor (Williams, 2006).

The purpose of CDWs is to protect the needs of local communities and to deepen participatory democracy, especially public service delivery planning (Tsheola, 2012). They make the poor aware of their constitutional rights and are mandated to develop and transform communities through information sharing and promoting access to government services. As they represent the community, they should determine their needs and communicate these to the government, thereby promoting interaction between community workers and projects for service delivery improvement. They compile reports and documents on progress made, and identify local issues that need to be addressed (Williams, 2006).

Non-governmental Organisations (NGOs) are another form of advocacy planning in South Africa; these organisations provide social services at the local level. They are non-profit in the sense that they undertake activities based on voluntary efforts, through providing labour, materials and financial support (Chechetto-Salles & Geyer, 2006). Although they do not all fall under the advocacy planning umbrella, some NGOs portray significant attributes of advocacy planning.

The Community Organisation Resource Centre (CORC) is a facilitator of Community-based Organisations (CBOs) and is one of the NGOs that fall into the advocacy planning category.

This Policy-Oriented Non-governmental Organisation (PONGO) was established in 2002. It is a member of the South African Shack/Slum Dwellers International (SDI) Alliance that helps strengthen and support communities, and like advocacy planners, it facilitates community engagement with formal actors (South African SDI Alliance, 2012). These NGOs encompass the attributes of advocacy planning by subscribing to principles that represent the poor's willingness and ability to direct their own development interventions.

The CORC supports professionals and grassroots activists, and promotes interactions between development professionals and local project workers that encourage an independent thought process, while upholding collective plans and actions. It supports two different types of community networks, one of which is the focus of this study, the organisation of informal settlement networks in community *in-situ* upgrades. A community network enables community members to mobilise around their own resources and capacities in order to confront issues that are specific to their living environment, through the spread of knowledge and skills. The second focus is women's collectives, where women mobilise through savings schemes (South African SDI Alliance, 2012).

These advocacy planning organisations support disadvantaged and vulnerable groups, such as those living in informal settlements, through participatory practices. However, many initiatives, especially those solely led by government in South Africa, adopt community participation that is largely based on spectator politics. Communities are manipulated, and merely rubber stamp pre-designed planning programmes (Williams, 2006). This explains the problems experienced during implementation. Merten's article in the *Mail & Guardian* of February 2006 reports on the experience of the CDWP:

*"...according to official statistics only about a third of the CDWs (138 out of 378), managed to get jobs in the Western Cape since graduating in December 2005 ...Western Cape community workers have a credible track record, from helping the indigent to gain access to basic services and resolving stalled social grant allocations, to job creation and starting a choir. ...and facilitating community participation in public hearings on property developments ...the workers have frequently found themselves in conflict with councillors. Many elected public representatives and officials feel threatened by, or are uninformed about the initiative"* (Merten, 2006).

This confirms government officials' reluctance to accept and adapt to change, even if that change may benefit communities. It also affirms that the implementation of such programmes is stalled by officials who seek to maintain their power and control of resources. The consequences are continued spatial differences and lack of access to services, reinforcing

the reality of the growth in informal settlements characterised by marginalisation, exclusion and deprivation.

An *in-situ* upgrade in Namibia, Gobabis Municipality, Freedom Square informal settlement, adopted an advocacy approach. A number of stakeholders were involved, and the Shack Dwellers Federation of Namibia (SDFN) and Namibia Housing Action Group (NHAG) were considered the advocacy planners. Facilitation of the project started with the advocacy planner concluding that the settlement need not be relocated, but that it could be upgraded instead. This was the result of an exchange facilitated by the Shack/Slum Dwellers International (SDI) Alliance of Cape Town and Stellenbosch with municipal councillors, officials, and the residents of informal settlements in Namibia. The exchange resulted in two proposals, namely, the re-blocking of the Freedom Square informal settlement in collaboration with the community; and the preparation of a Memorandum of Understanding (MoU) between the Gobabis Municipality and the SDFN-NHAG. This MoU was also signed by the various stakeholders involved (Shack Dwellers Federation of Namibia (SDFN) & Namibia Housing Action Group (NHAG), 2014).

An example of a re-blocking initiative can be found in the City of Cape Town. CORC, an NGO within the SDI, was responsible for the first re-blocking project in Mtshini wam' informal settlement. Re-blocking is an *in-situ* upgrading process that requires the special configuration of shacks in informal settlements (Hennings, et al., 2012). This innovative strategy ensures an improved quality of life for many informal settlers.

Figures 1 and 2 below show the Mtshini wam' project, and the innovative role played by advocacy planner in initiatives such as the litre of light and re-blocking to improve the quality of life and safety of informal dwellers. This is something in which the community can engage independently, gaining access to healthy living conditions, while they wait for government intervention through subsidised housing.

**Figure 1: Litre of light initiative in Mtshini wami' informal settlement**



(Hennings, et al. 2012)

**Figure 2: Re-blocking initiative in Mtshini wam' informal settlement**



(Fieuw, 2013)

In the Freedom Square informal settlement in Namibia, a number of objectives had to be met to facilitate the successful implementation of the project: 1) enumerations - this included knowledge about the settlement; the advocacy planner was to create a platform that enabled the community to come together and discuss their needs and the outcome of the enumeration; 2) exchanges - the advocacy planner explored avenues that would enable it and the community to learn about upgrading from other local authorities and communities; 3) building partnerships - the advocacy planner was also responsible for forming partnerships that enabled participatory planning to take place in Gobabis. This led to active participation by multiple stakeholders at local, regional, national and international levels (Shack Dwellers Federation of Namibia (SDFN) & Namibia Housing Action Group (NHAG), 2014).

With the help of the community, the advocacy planner was also able to identify development needs, which included a lack of basic services, particularly water, and sanitation (toilets) and environmental concerns (such as flooding) (Shack Dwellers Federation of Namibia (SDFN) & Namibia Housing Action Group (NHAG), 2014). They were able to facilitate interaction between the community and the local authority through studios; the strength of these forums was that they took place where the people were located. As Rosalinda Hendricks, one of the members of the Federation, observed:

*“A tree is the most professional office of the community”*

This was an important component of the project, as the advocacy planner was able to provide feedback, which created a platform that brought the key stakeholders together, including the entire community, officials from the local authority, and politicians to discuss the enumeration results and share future development plans (Shack Dwellers Federation of Namibia (SDFN) & Namibia Housing Action Group (NHAG), 2014).

The advocacy planner was therefore able to bridge the gap between the community and the local authorities so that they were able to reach common understanding on the way forward. It is often impossible to engage in community participation without considering the concept of representation; this is because even in the most democratic participatory processes not everyone can be involved at every stage of decision making (Jordhus-Leir & Wet, 2013). Advocacy planners therefore represent that somebody who speaks on behalf of somebody else.

### **2.1.2 Communicative Planning Theory**

Communicative rationality and action is a theory that was developed in 1981 by German sociologist and philosopher Jürgen Habermas (Mohammadi, 2010). This approach is based on the concept of rationality and how it relates to action in solving problems of social action, social and historical change, and the psychological relationships between people. Central to the theory is the role played by language and power in the search for undistorted communication based on consensus and action (Tewdwr-Jones & Allmendinger, 1998).

In this approach, consensus is achieved by means of the “ideal speech situation”, identified by Habermas as a state where communication is no longer distorted by the effects of power, self-interest or ignorance. This means that communicative rationality is based on a democratic process, in which anyone can question the claims of anyone else, provided that each party aims to reaching consensus, where there is no contradiction of opinions (Mohammadi, 2010).

To emphasise the idea of action, Habermas identifies three sociological concepts. The concept of *teleological action*, developed by von Neumann and Morgenstern is concerned with the realisation of an end. This occurs when an actor attains a desired situation that is achieved through selecting the appropriate means (Tewdwr-Jones & Allmendinger, 1998). In

the context of planning, this is where the planner makes decisions using personal ideas learnt over years of education (Mohammadi, 2010).

*Normatively regulated action*, formulated by Durkheim and Parsons, describe how members of a certain social group adjust their actions to fit into a set of pre-defined common values, each individual complies with the group's norms (Tewdwr-Jones & Allmendinger, 1998). In the context of planning, this means a planner trying to protect and achieve the wants and interests of the client (for example, a representative of environmental protection groups) (Mohammadi, 2010).

*Dramaturgical action* is a social concept developed by Goffman to describe the way the actor presents themselves to an audience. This can be through establishing a particular behaviour or image for this audience. However, incorporated in this concept is the possibility of strategic behaviour, where the individual may pose a front for the purpose of concealing their real aims; deceptive means may be employed to achieve a desired outcome (Tewdwr-Jones & Allmendinger, 1998).

Communicative action therefore represents the interaction of at least two subjects that are capable of speech and action, who then establish interpersonal relations. The aim is to reach an understanding of a situation, and how to plan to take action, coordinating their plans to reach consensus (Tewdwr-Jones, et al., 1998; Mohammadi, 2010).

Many authors (Forester, 1989; Healey, 1997; Innes & Booher, 1999) have transformed Habermas' theory of communicative rationality and action into planning philosophy, to be used as planning theory. Communicative planning theory, a term established in 1989, is one example of a participatory planning approach used by planning theorist John Forester (Mohammadi, 2010).

The communicative planning theory focuses on the planner as a progressive practitioner that is able to apply social theory to the study of planning and make sense of the many processes that constitute planning practice (Fischler, 1989). Forester's (1989) main objective was to develop a theory that redefined planning in terms of communicative action, and recognised sources of misinformation. He noted that the problem faced by planners is that citizens are dominated by concentrations of economic power in a society driven by the influence of a private force that has the ability to distort communication in order to gain power. This power is exerted by selectively informing and misinforming citizens, thereby managing their beliefs

and knowledge, consent, trust, and their understanding or definition of the problem (Fischler, 1989).

Forester suggested that planners are able facilitate or hinder this communication process (Foley, 1997) by defining what they do, instead of what planning practice should be (Innes, 1995). Planning is defined as having an anticipatory character, because according to Forester (1989: 207), it is able to “envision a problem situation, manage arguments concerning it, and negotiate strategically on how to intervene.” However, the likelihood of neutrality in power differences between the actors is the main point of debate among critics of this theory.

### ***2.1.3. Collaborative planning theory***

The collaborative planning theory is also used in the study. It was initiated by Patsy Healey and formulated in the mid-1980s; it took her 10 years to grow this participatory planning approach and two years to write it up (Healey, 2003). This planning approach is based on the notion of planning as an interactive process centred on participation, where consensus building and authentic dialogue are essential elements (Innes & Booher, 1999).

Healey (2003) describes the conceptualisation of collaborative planning as a moral commitment to social justice, which was inspired by her interest in the daily lives of people and their local environments. Consequently, the collaborative planning theory is based on an understanding that planning falls under an institutionalised governance process that is shaped by wider economic, social and environmental forces that structure interactions, but do not determine them (Healey, 2003).

The focus is on planning and policy initiatives that are concerned with developing, maintaining and enhancing the quality of space and territory. Collaborative planning thus evaluates the governance process, going beyond manipulative politics, technical processes, and top-down practices. Instead, it suggests ways of evaluating this process, in terms of material consequences and the effect it has on people’s identities (Healey, 2003).

This approach therefore, explores the potential of an interactive process to change the practices, cultures and outcomes of spatial governance. Transformation could take place by paying attention to the design process, and by making it socially just and inclusive (Healey, 1997).

Collaborative planning is founded on the belief that decision making should result from honest discussions with a range of stakeholders (Healey, 2003). Responsibility for planning

is therefore delegated directly to stakeholders and their involvement in the planning process should be more likely to promote the mutual interests of all parties (Gunton & Williams, 2003). Consensus building and dialogue are therefore important elements of collaborative planning.

Innes & Booher (1999) examine collaborative planning using both these elements in dealing with social and political fragmentation, shared power, and conflicting values. They describe consensus building processes as experimentation, learning, change and building shared meaning, instead of merely producing agreements and plans. It refers to the array of practices which stakeholders that are selected to represent different interests encounter; this means coming together for face-to-face, long term dialogue to address a policy issue of common concern. Therefore, the goal is consensus rather than majority rule, and methods are used to ensure that all are heard and respected and that discussion is based on stakeholder interests (Innes & Booher, 1999).

The requirements for authentic dialogue must also be satisfied. This means that if certain conditions are met during dialogue, the consensual conclusions will be rational. Innes & Booher (2000: 6) maintain that these conditions include that, "...each speaker must legitimately represent the interest of people, which they claim to represent; each stakeholder must speak honestly and openly; any statements made when collaborating must be clear and understandable to others; and each stakeholder must provide accurate and reliable information."

Collaborative planning acknowledges that there are competing interests; therefore, to reach a mutually acceptable outcome, the parties should engage in negotiations. This is likely to lead to the development of a plan that satisfies the interests of the public. Consensus is reached before disputes occur; stakeholders that might otherwise attempt to block implementation develop the plan and help to implement it (Gunton & Williams, 2003).

Collaborative planning is therefore regarded as a strategy to deal with conflict when other practices have failed. It is one of the responses to changing conditions available to increasingly networked societies, where power and information are widely distributed, differences in knowledge and values among individuals and communities are growing, and where accomplishing anything significant or innovative requires flexible linkages among many players (Innes & Booher, 1999).

Collaborative planning can be seen in the City of Johannesburg, in a small informal settlement in Ruimsig, an *in-situ* upgrade re-blocking project conceived in 2010. Collaboration was applied to improve the lives of the community in partnership with the state and other stakeholders (such as students from the University of Johannesburg; ISN community architects from the City of Cape Town's Sheffield Road project; community architects from the Ruimsig project itself; the City of Johannesburg (Region C and head office); Ikhayalami; and CORC) around South Africa. The project was implemented through organised networks by the community and the state working collaboratively to co-produce solutions for the upgrading of thousands of well-located households, improving service delivery and incremental tenure security options (Bolnick, et al., 2012).

The case is an insightful example of how collaboration between communities, the state and other stakeholders can transform mind sets, relationships and development outcomes. It took a year of preparation before the first shack was demolished and the first upgraded shelter was built. These preparations included on-going and intense engagements with City of Johannesburg officials; including a community-led household survey supported by CORC, which required counting of shacks and mapping the settlement. As a collaborative process, the surveys provided the community, its leaders, and the local authorities with vital information that was previously unknown; this information informed the design of the new spatial arrangement for blocking-out (an innovative initiative to upgrade the informal settlement area) (Bolnick, et al., 2012).

The University of Johannesburg established an informal studio in Ruimsig so that students and community architects could work closely with the community in designing the new layout of the settlement. A number of challenges and contestations were encountered; however, because this was a collaborative approach these were dealt with in a collaborative manner through the partnerships formed. Materials were also procured and iKhayalami builders came to Ruimsig to support and provide training on how to build the upgraded shacks (Bolnick, et al., 2012). This skills development empowered the community, enabling them to maintain their own homes and offering the chance of employment in other settlements where similar upgrading may occur.

Collaborative planning therefore creates social capital through skills development, knowledge and stakeholder relationships that benefit the community beyond the preparation of specific plans (Gunton & Williams, 2003). Many other outcomes resulted from the Ruimsig project.

It was able to transform people's mind-sets at all levels (individuals, community members, local authorities, and broader social movements) by providing them with spatial, labour-intensive, and problem solving skills; the community gained knowledge of the blocking-out process, which was transferred to other informal settlers; and partnerships were forged between government officials and civil society organisations, which are likely to last a lifetime because of the intense collaboration that took place.

#### ***2.1.4. Empowerment Theory***

Empowerment is related to the word power and refers to the delegation of power or authority, usually through legal or official channels. Empowerment can be interpreted in many ways, and draws inspiration from many disciplines; it is therefore applicable in multidimensional contexts. The empowerment theory is used in this study and is defined as the process of increasing the capacity of individuals, communities, or groups and organisations to make choices that help them take control of their destiny (The World Bank Group, 2011). Empowerment therefore requires positive change in the strengths and capabilities of individuals; enhancing the natural helping systems of a collective (or community) to which they belong; and the professional practice of proactive members that become involved in the situation (Perkins & Zimmerman, 1995).

Empowerment enhances wellness and aims to correct social problems; it provides opportunities for participants to develop knowledge and skills. Professionals act as facilitators rather than authoritative experts (Perkins & Zimmerman, 1995). The process of empowerment is on-going and is centred on the local community to make the transition from powerlessness to control. This involves mutual respect, and learning from past experiences, so that there is an understanding of what works and what does not. Valued resources should be equally shared so that vulnerable groups can gain greater access to and control over these resources, their lives and the environments in which they live (Perkins, et al., 1995; Sadan, 1997).

The early empowerment scholars (Rappaport, 1981; 1984;1985;1987; Solomon, 1976; 1985) examined this concept from different points of view. Solomon emphasised empowerment as a method of social work, focusing on oppressed Afro-Americans (Solomon, 1976). While, Rappaport developed the concept theoretically; he observed it from a world-view perspective, addressing social policy issues and finding solutions to the social problems causing powerlessness (Rappaport, 1987).

Solomon (1976: 19) identified direct and indirect blocks to power and defined empowerment as

*a process whereby the social worker engages in a set of activities with the client ...the aim is to reduce the powerlessness that has been created by indirect power blocks that represent internalised negative valuations (of the oppressor), which are incorporated into the developmental experiences of the individual. It also involves the development and implementation of specific strategies, aimed at reducing the effects of operations coming from direct power blocks that are applied by the agents of society stemming from major social institutions.*

Rappaport (1986: 69) offered a broad-based definition of empowerment, noting that

*empowerment suggests a sense of control over one's life in personality, cognition, and motivation. It expresses itself at the level of feelings, at the level of ideas about self-worth, and at the level of being able to make a difference in the world around us, even at the spiritual level. It is an ability we have, but that needs to be released, in much the same way our bodies can be self-healing when endorphins are released...we all have it as a potential.*

These authors reach similar conclusions on empowerment. For example, they make connections between individuals and the community and encourage a contextual ecological approach to the treatment of social situations. They both discuss the failure of social programmes to offer social solutions; stating that instead they produce destructive by-products and create powerlessness among those in need. They also agree that many social problems arise when local knowledge and resources are ignored in the course of finding and implementing solutions, and that the required resources are provided without consideration of what is already there (Sadan, 1997).

This study therefore constructs the concept of empowerment within the context of planning practice. Empowerment supports an increase in public participation in urban development, and is considered the direct or indirect outcome of participatory planning processes. However, Smith (2009) states that empowerment should not be mistaken for public participation; instead participation itself constitutes empowerment.

The empowerment theory therefore includes processes and outcomes, with processes being the actions, activities and structures that are empowering, and the outcomes of the process resulting in a level of empowerment (Perkins & Zimmerman, 1995). It is for this reason that empowerment is better understood as a potential benefit of the planning process, rather than

the desired outcome. This does not mean that goals are irrelevant, but that the outcome of any planning exercise should be measured based on participation in the process (Smith, 2009).

Thus, empowerment theory encourages a well-structured planning process that benefits all participants and provides vulnerable individuals, communities and organisations with the opportunity to impact their future and effect change despite years of marginalisation, discrimination, disinvestment and neglect by public and private actors (Smith, 2009). This theory aims to fight the forces of disempowerment that stem from social problems, and its goal is to influence those that are oppressed to work with the limitations and possibilities within which they exist and react (Sadan, 1997).

Empowerment moves away from societies that are caught up in blaming the victim, and therefore offers processes and outcomes at three levels: individuals, the community, and professional practitioners or organisations (also known as the professional level) (Perkins, et al., 1995; Sadan, 1997).

Individual empowerment focuses on what happens at the personal level in an individual's life and in their environment. This level measures the individual's ability to make decisions and to act appropriately in order to achieve goals. This shapes the individual's character and influences the degree to which they will be effective actors in their lives (Sadan, 1997). Empowering processes for individuals might include participation in community organisations, while the outcome might include situation-specific perceived control and resource mobilisation skills (Perkins & Zimmerman, 1995).

Community empowerment emphasises collective processes of social change. This level provides increased control by people as a collective to produce outcomes that are important to their lives (Sadan, 1997). Empowering processes at community level might include collective action to access government and other community resources, while the outcome might include pluralism and the existence of organisational coalitions, and accessible community resources (Perkins & Zimmerman, 1995).

Empowerment as a professional practice focuses on professional interventions in order to find solutions to social problems. This level is based on the idea that empowerment occurs in the context of the professional discourse on social problems. It therefore expresses professionals' dissatisfaction with existing social solutions, which are not only an ineffective response to distress, but themselves pose an obstacle in the lives of weak populations (Sadan,

1997). At the professional practice level, empowering processes might include collective decision making and shared leadership, while the outcome might include the development of networks, growth and policy leverage (Perkins & Zimmerman, 1995).

Therefore, to respond to these different levels of empowerment, institutions should be set up in a manner that is effective, responsive, inclusive and subject to accountability. This will enable the poor to develop their own capabilities, increase their assets, and move out of poverty (Narayan, 2002). There are many elements to empowerment that can be applied to informal settlement upgrading for the purposes identified above; these include information sharing; inclusion and participation; accountability; and local organisational capacity.

Merging all these elements, empowerment in informal settlement communities during upgrading can be achieved by providing and improving access to information. This can be achieved by placing information about government performance in the public domain, enabling communities to access relevant information as a basis for developing strategy and negotiating with the state with regard to upgrading. Consequently, communities are able to profile their informal settlements and undertake household surveys. Informal settlement communities can also be empowered to use mechanisms for inclusion and participation, through undergoing training, so that they are able to conduct such surveys (The Housing Development Agency, 2013).

The focus on local organisational capacity is important in these settlements, because this is when all the elements of empowerment act in synergy (Narayan, 2002). This enables people to work together, organise themselves, and mobilise resources to solve problems of common interest. The use of saving schemes is a good example, especially in South Africa, because it is a widespread activity. Communities come together to save, share their resources and strategise to address collective needs. The outcome is an organised community that is more likely to have their voices heard and their needs met.

## **2.2. Local Case Study – Community participation in an *in-situ* slum upgrade in Durban, South Africa, a case study of Zwelisha in eThekweni Municipality**

This case study presents a good practice of participatory planning during the *in-situ* upgrading of informal settlements. It represents an example where theories of participatory planning have been effective in guiding informal settlement upgrading projects in South Africa. The project was implemented in the settlement of Zwelisha, which is 35 kilometres

north of Durban, within eThekweni Municipality. This previously informal settlement area has recently been upgraded. The case study includes an analysis of the upgrading process and the role of community participation in achieving successful outcomes in terms of significant improvement in security of tenure and well-being (Patel, 2013).

Zwelisha is a Zulu word meaning “new land”. According to settlers in the area, the earliest inhabitants were Xhosa speaking and arrived in the mid-1980s from the old Transkei (now part of the Eastern Cape). They established a settlement on the bank of Umngeni River and a leadership structure, which controlled who moved to the settlement and under what terms. Many of these settlers arrived without identity documents (formerly known in the apartheid era as permits) to live in KwaZulu-Natal (Patel, 2013).

In the late 1980s and early 1990s, there was an increase in the number of Zulu-speaking inhabitants. The Zulus were said to resent the influence and power of Xhosa-speaking people in a Zulu province, which resulted in violent confrontations in the settlement. In the mid-1990s the ethnic composition of leadership began to change and the Zulus took control of the settlement. The settlement was therefore made up of two groups, namely, the old settlers (Xhosa-speaking leaders) and the new settlers (Zulu-speaking leaders) (Patel, 2013).

In 1997, the municipality designed a housing plan. However, in Zwelisha there was open tension and disagreement on this issue. The new settlers advocated for the area to be upgraded, while the old settlers were committed to maintaining the shacks. The new settlers argued that the old settlers had larger plots than they did, and that if the settlement was to be upgraded the old settlers, who were believed to be shack lords would have much to lose (Patel, 2013).

Nonetheless, in 1998, a community development committee (CDC) was formed, which lobbied with the local councillor and obtained a commitment to support the upgrading of the settlement. The Zwelisha upgrade began in 2005. A number of resource advantages accompanied the project, and the CDC oversaw the entire upgrade process (Patel, 2013).

However, the old settlers continued to contest leadership positions and to seek a support base amongst those still living in shacks that were not eligible for a low-cost house, without much success. Since 2009 and the completion of all building works, other than a few remaining shacks at the edges of the settlement, Zwelisha appears as neat rows of pastel shaded houses with blue mail boxes lined up alongside the tarred roads. There are no backyard shacks or

outbuildings and extensions that jar with the original building, and any extensions that have occurred are seamless, built in the same style, with the same material, and in the same colour as the original house (Patel, 2013).

### ***2.2.1. Application of Participatory Planning in Zwelisha***

This section analyses the implementation of the upgrading process in Zwelisha focusing on the role of the CDC; its interaction with the municipality and other stakeholders; and its relationship with residents. The CDC was involved in three stages of the upgrading, feasibility, planning and implementation. It was responsible for developing a housing list; facilitating entry, movement and exit of external stakeholders; and attending meetings with the municipality and the local councillor as the representative of Zwelisha residents (Patel, 2013).

The first stage in developing a housing list involved the CDC organising all residents to attend a series of community meetings in the settlement. At these meetings the CDC informed residents about the on-going development of Zwelisha. The CDC alone developed and delivered messages to other residents, and determined the timing of meetings. To reach those residents who did not attend community meetings, the CDC canvassed the settlement to determine the eligibility of all residents (Patel, 2013).

The CDC's task was therefore to ensure that all eligible residents applied for a subsidy. They did this by manoeuvring residents through every stage of the upgrading process, issuing instructions and actively helping residents to comply with these instructions. This micro-managed approach left little room for residents to understand and engage with the upgrading process at large, or make their own decisions regarding their participation (Patel, 2013). For example, residents in the settlement said they did not have any direct communication with the Department of Housing. A resident that had been living in the settlement since 1996 stated:

*I had no involvement in the plans. We first heard about it at a community meeting...that's also when we learnt the house will be two rooms. At that meeting only, before that we knew nothing. (...) The community committee then called people to the office; they listed my name and ID number for a house."*

During the second stage, the CDC facilitated the entry, movement and exit of housing and services professionals. The CDC accompanied engineers, construction workers and utility service providers wherever they went in the settlement in order to ensure their safety in an

unfamiliar place; answer questions; and learn from professionals so that they would be able to communicate this to residents at meetings (Patel, 2013).

The third role of the CDC was attending meetings with the municipality and the local councillor in order to ensure that Zwelisha residents were represented. The CDC therefore acted as a gatekeeper to manage channels of communication between Zwelisha residents and the municipality (Patel, 2013). A common statement made by residents was:

*“The committee reported to us in meetings what was happening.”*

There were no avenues of communication between the municipality and residents apart from the CDC unless there was an issue with a resident’s application for a subsidy. The CDC was well organised; they delivered a complete and accurate housing list, they were available to escort external stakeholders, and they provided continuity in meetings; this meant that the upgrading process went smoothly (Patel, 2013).

### **2.2.2. Results of the Zwelisha project**

There were three main reasons for the successful implementation of the Zwelisha development, which can be credited to the relationship between residents and the CDC before and during the upgrade. The first was that the CDC was instrumental in bringing the upgrade and its benefits to Zwelisha, as they were visible throughout the development and were able to speak constructively about the upgrading process at community meetings. The second was the CDC’s ability not to exclude or discriminate against the marginal group within the settlement because of past experiences, for example the non-isiZulu speaking residents (old settlers) who were also considered part of the community (Patel, 2013). One resident who was delighted with the outcome of the development process stated that:

*“I will stay here until the day I die. It is the first house in my life I’ve ever owned!”*

The third reason was that the CDC was able to create a good working relationship with the municipality, because of their outstanding role as facilitators of the Zwelisha upgrading process. This ensured a close relationship with the municipality even after the implementation of the project (Patel, 2013). After the completion of the project in 2009, the CDC’s role in the settlement evolved. They were able to regulate the use of land and housing use after the upgrade, as they prohibited the building of shacks and poorly constructed extensions (Patel, 2013). As one of the residents explained:

*“Even though we have big yards you can’t build a shack – no one is allowed. Only if you have space and build a proper extension are you allowed. That’s what the committee and the councillor say.”*

Another resident added that:

*“There are housing officers from the municipality who say, ‘you have a two-room house and you can only extend not build other shacks’. They come and pull down the mjongdolo if you’ve built one – even during the day when you’re at work, or at night. It’s happened to many people. They are always looking.”*

The CDC also banned shebeens in the new settlement as they are considered to attract unsavoury characters, encourage excess drinking, can become hubs of violence and aggressive behaviour, and residents in the surrounding areas suffer the consequences. These planning restrictions aim to create a pleasant, unthreatening and aesthetically pleasing environment. The CDC appears to be able to implement such rules because residents believe that the restrictions have positive outcomes and because they risk losing their investment if they fail to comply. Through monitoring adherence to planning rules, the CDC exerts control over elements of residents’ lives (Patel, 2013).

This suggests that when people participate in upgrading their settlements, they have a sense of ownership of their space. This means that they have power over human behaviour, and are able to restrict anything that they consider negative for the community and enhance that which is positive.

### **2.2.3. Reflection and outcome of the Zwelisha project**

Reflecting on the upgrading process from the perspective of all stakeholders, including the residents of Zwelisha, the upgrade was a success. This is based on the fact that basic housing needs were met; the power of meaningful interaction was recognised, especially between the community and the community committee, and the committee and the municipality. The residents have secure tenure, which has resulted in improved well-being as they now have access to a house, utilities on land that is owned by them, paved roads, street lighting and refuse collection throughout much of the settlement, which means a better standard of living (Patel, 2013).

Overall, the settlement has benefited from a reduction in intra-settlement violence, because after years of uncertainty and violent power struggles, the position of the current CDC is indisputable and the efforts of the old settlers have been unsuccessful. The absence of

shebeens and the presence of strong leadership (in the form of the CDC) have reduced violent conflict in the settlement, enabling residents to feel safe in and around their homes (Patel, 2013).

## CHAPTER 3: LITERATURE REVIEW

### 3.1. Introduction and Background

The most influential theorists of modern urban planning are those belonging to the Garden City Movement founded by Ebenezer Howard; and Frederic Osborn, who extended the movement to regional planning. These were the earliest pioneers of planning and they created cities that were planned, self-contained communities surrounded by parks, with proportionate and separate areas for residences, industry, and agriculture (Hardy, 1999).

However, planning was considered a platform to exert power and authority. The process was centred on master planning and the production of blueprints. Maps were produced to depict urban areas at a future point in time; this included the projected density and intensity of various land uses and their spatial distribution. Planning was therefore considered a technocratic, narrow and solely physical practice (Todes, et al., 2009).

Critiques of these planning practices emerged in the early 1960s. These were based on evidence that traditional master planning did not allow for the public to be involved in planning decisions. The concepts of social diversity, public participation, and the political and economic dynamics shaping the city and driving change were neglected. It was noted that too much power was accorded to the plan, and little attention was paid to the process of implementation (Todes, et al., 2009).

An example of this is the heated debate between Robert Moses and Jane Jacobs. Robert Moses was a 'master builder' of New York City following in the footsteps of the traditional technical planner. He was considered to have unlimited power, and because of his political ties, he was able to control the system without having to answer to the general public (Gratz, 2010). His designs focused on the construction of expressways and massive highways, as favoured the accommodation of automobiles and mass transit over pedestrianised transport (Flint, 2011). Indeed, Moses is quoted as saying that, "cities are created by and for traffic; a city without traffic is a ghost town". His way of planning the urban area was therefore autocratic, with no regard for input from other decision makers, especially the black community and poor residents living in these 'redevelopment' areas (Flint, 2011). His mind was constantly on the goal of creating traffic, without acknowledging the effect on the poor.

Jane Jacobs fought against this power. A writer, city activist and self-taught urban philosopher, she believed that the structure of urban life is determined by observation and

insight into people's daily lives. Her observations revealed how things really work, instead of projecting how they should work (Gratz, 2010). She was an advocate for the poor, and fought for a limited government role in planning decisions for the lives of the urban poor.

This debate and many others engaged in by critics of traditional urban planning highlighted that master planning failed to accept and accommodate urban growth and the reality of informality. Advocates of master planning took oppressive action against informal dwellers and traders in the name of planning. Furthermore, they lacked the capacity to implement regulations, because they underestimated future urban growth; this exacerbated the problems relating to informal growth (Todes, et al., 2009).

Some scholars argue that master planning could work in developed countries, where cities are growing relatively slowly. This approach could be used for long-term planning of infrastructure, services and public investment. However, in developing countries, where there is rapid urbanisation and data sources are poor, unavailable and out of date this method is extremely inappropriate (Todes, et al., 2009).

A human-centric and people-centred approach would be more feasible in developing countries. The ultimate goal is interaction among various stakeholders to confront social, economic, environmental and institutional issues (Fisher, 2001), where solutions to problems are addressed within and by affected communities; and where communication in a universal language is a vital tool in expressing the needs of all those affected (Tewdwr-Jones & Allmendinger, 1998). Universal language refers to a space where all stakeholders, professionals, government officials, and individuals within a community are able to understand one another and work collectively to reach consensus and a successful outcome. The participatory planning method can therefore be considered an appropriate approach as it encompasses many principles that could aid the developing world. It enables communities to work effectively through activities that result in collaborative decision making.

### **3.2. The Process of Participatory Planning**

The foundations of participatory planning include effective communication, shared responsibility, conflict resolution, power sharing, teamwork, transparency, and empowerment. It encompasses a wide range of values, techniques and principles involving social, economic, environmental and organisational change. Participatory planning is designed to address a specific issue, opportunity or problem in order to resolve or

successfully exploit it through crucial stakeholders' collaborative efforts. Its principles are therefore based on the belief that local government is an integral part of any participatory planning process that takes place within the community. This means becoming very specific about what is done, to what extent, by whom, and for what purpose (Fisher, 2001).

Participatory planning is based on the belief that improving the quality of life and empowering citizens requires that the planning process is social, interactive and inclusive. This means that various stakeholders, together with the community engage meaningfully for the purpose of dealing with issues that might result in conflict and coming up with solutions to any challenges that might arise during this encounter (Narayan, 2002).

Participatory planning also deals with the issue of the unequal distribution of power, opportunities and resources (Hague, et al., 2003). Therefore, it focuses on poor citizens that have been and are marginalised, impoverished, and vulnerable within the urban environment and ensures that they participate in making decisions in that environment.

Ray (2000) describes this new planning paradigm as a general approach that encompasses the willingness to involve local people in development decisions that affect their lives. Furthermore, participatory planning can only be successful in an environment where the government is open to community involvement in the decision making process, and where a people-friendly, decentralised planning system is in place that brings institutions of governance to the people at grassroots level (Wandera, et al., 2013).

For example, the development of an informal settlement community through *in-situ* upgrading requires people-centred activity; therefore, participatory planning's contribution cannot be ignored. This requires that people are involved in decision making; planning; implementation and management, as post-implementation activity is vital (Wandera, et al., 2013). Some of these stages are contained in South Africa's Upgrading of Informal Settlements Programme (UISP). It is against this background that this study examines participatory planning and its implementation in *in-situ* upgrading.

The decision making process is the first stage where informal settlers begin to influence and share control over development initiatives through the decisions they make; they therefore help determine their own destiny and that of the community at large. The ideal approach is for the bulk of decisions to be made by the community in collaboration with other stakeholders; however, the final decision should always be left to the community (Wandera, et al., 2013).

The second stage is the planning process, which has been considered a professional activity that seeks to solve problems using technical competence, creativity and hard-headed rationality. However, non-professional people or citizens from the community cannot be excluded from this activity if participatory planning is to occur. This is because planning is a collaborative process and local knowledge is an essential input. Planning should therefore be carried out by the informal settlers themselves with technical assistance from professionals. This enhances the link between these groups and encourages effective application of the participatory planning approach (Wandera, et al., 2013).

In the implementation process, which is the third stage in the participatory planning process, the decisions made in stage one are implemented and the plans produced in stage two of the development process are applied. This is the stage where funds are allocated, and progress is continuously monitored and evaluated (Bushati, 2005).

Finally, the management process is a post-implementation activity where the community is left to maintain the project. This is not considered a technical aspect, because most projects have to be handed over to the community to manage, regardless of their ability to execute this task. It is therefore widely accepted that members of the community are part of the management activity. The challenge is that, where community members have not been part of the initial project activities, management is often unsuccessful, with many developments failing to be sustainable and serve their envisaged purpose (Wandera, et al., 2013). Participation in the other activities (decision making, planning and implementation) is therefore crucial for successful management of the project.

Participatory planning is empowering when those participating make their own decisions and choices. This leads to long-term success and social change, where the gap between government initiatives and the initiatives of poor communities can be filled as citizens' voices are heard.

### **3.3. Participatory Planning methods and tools**

The concept of participatory planning has been attributed to a number of key pioneers. The major problem in discussing methods of participatory planning is that implementation approaches tend to be similar and methodological techniques overlap. The context in which the concept is used can also produce different interpretations; a term that has been characterised in a particular way in one situation might be characterised differently in another

situation. This explains the many interpretations of participatory planning. Robert Chambers notes that, in an ever-changing environment this will always be a problem, but there is not much that can be done about it (Beebe, 2001).

### ***3.3.1. The Action Research Method***

The key pioneers of participatory planning include, Kurt Lewin, a German-born social psychologist known for his theory of concepts in topographical psychology (Likert, 1947). Lewin engaged with participatory planning by applying interactive theories of organisational behaviour to his action research method in the 1930s. Lewin's ideas were first set out in 1934, through a series of practical experiences, where the characteristics of action research were developed. The action research method aims to develop social relationships (of groups and between groups) in order to sustain communication and co-operation, where leadership is needed to achieve certain conditions and relationships (Adelman, 1993).

Lewin was particularly concerned with helping minority groups to raise their self-esteem, through seeking independence, equality and co-operation. Through action research, he aimed to assist these groups to overcome their histories, which are dominated by exploitation and colonisation. He therefore used social science to solve social conflicts, and considered that clarifying theoretical questions was fundamental to all social science research (Adelman, 1993). Considering the continued marginalisation experienced by the urban poor living in informal settlements in post-apartheid South Africa, this approach is appropriate in seeking to undo the injustices of the country's segregated and unequal past.

Although there is no universally accepted definition of action research, a number of definitions are useful. Carr & Kemmis (1986) define action research as a systematic form of self-reflective enquiry undertaken by participants, which may be individuals, professionals and educators, in social situations in order to improve their own social or educational practices, by understanding these practices and the situations in which they are carried out.

Winter & Munn-Giddings (2001: 8) offer a similar definition. They define action research as "a study of a social situation carried out by those involved in that situation in order to improve both their practice and the quality of their understanding."

On the other hand, Reason & Bradbury (2008: 4) describe action research as a "participatory process concerned with developing practical knowing in the pursuit of worthwhile human purposes. It seeks to bring together action and reflection, theory and practice, in participation

with others, in pursuit of practical solutions to issues of pressing concern to people, and more generally the flourishing of individual persons and their communities.”

These definitions highlight the unique features of action research. Greenwood & Levin (1998) provide a more in-depth description. They describe action research as social research carried out by a team comprising of a professional action researcher and members of an organisation or community (Greenwood & Levin, 1998). Greenwood & Levin (1998: 4) acknowledge that action research is a democratic process. These stakeholders pool their knowledge and resources in order to improve their situation. They start by defining the problems that need to be examined; collect relevant knowledge about them; learn and execute social research techniques; take appropriate action; and interpret the results of the action based on what they have learnt. Action research therefore promotes participation in the research process and supports action that leads to a fair and more satisfying situation for all involved (Greenwood & Levin, 1998).

The key characteristics of the action research method include research as a social process that involves participation in practical and collaborative activities. It is critical and reflective and enables the researcher to enhance their understanding; its purpose is to find the problem, evaluate it using a step-by-step process, and improve conditions by solving the problem. Most importantly, action research aims to transform theory and practice (Costello, 2003).

In terms of the actual process of action research, according to Lewin (1946: 35), “action research is a comparative research on the conditions and effects of various forms of social action, and research leading to social action. Research that produces nothing but books will not suffice.” This means that action research requires that experiments be conducted; it emphasises a logical problem solving process, which involves making changes and studying the results of social action in a cycle of planning, action, and fact-gathering (Lewin, 1946).

Lewin adds that the first stage of action research, which is planning, usually begins with an idea that has a certain objective. However, at this stage, the objective is not clearly defined; it is a broad objective and it is not clear which strategy should be adopted to achieve it. The purpose of conducting action research is therefore to examine this idea carefully, by, for example, determining the facts, and the available resources that can be used to achieve the objective. If this is successful, an overall plan is developed, which contains directions on how to reach the objective as well as the first action to take (Smith, 1996, 2001, 2007).

The second stage is executing the first step in the action using all the facts and available resources that were found in the first stage, and taking the necessary steps to ensure successful implementation, which will produce the desired outcome (Smith, 1996, 2001, 2007). The final stage is concerned with fact-finding (often referred to as the reconnaissance stage). The outcome has been achieved, and the planner is able to review the execution of the overall plan. This stage has four functions: evaluating the action, learning from the action, correctly planning the next step, and modifying the overall plan (Smith, 1996, 2001, 2007).

Evaluating the action requires an understanding of what has been achieved; the planner can weigh whether what has been achieved exceeded or did not achieve the overall expectations. Learning from the action provides the planner with new general knowledge, such as the strengths and weaknesses of certain techniques when taking action. In correctly planning the next step, the planner is able observe what has occurred thus far and come up with a plan to carry out the second step. Modifying the overall plan involves the planner manipulating the plan, so that it is successfully implemented to achieve its initial objective (Lewin, 1946).

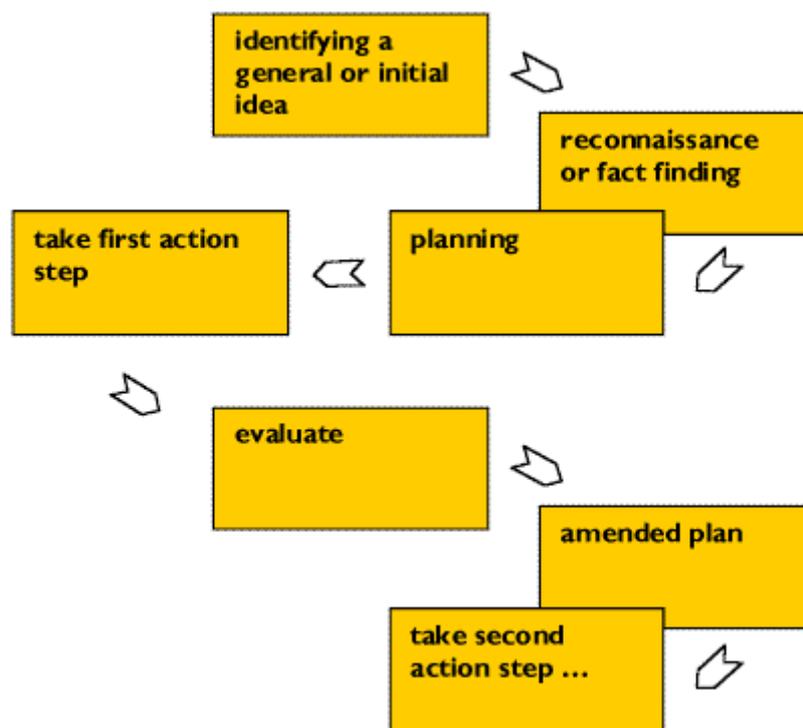
Action research methodology can be adopted in informal settlement upgrading initiatives as it is able to co-produce new and transformational knowledge with the intended beneficiaries. This approach goes beyond multidisciplinary methods, and views participation as an essential component of the co-production of shared outcomes. Action research leads to residents and municipalities coming up with new, workable alternatives that give rise to more efficient delivery of development outcomes (Swilling, et al., 2011).

This method was implemented in the informal settlement of Enkanini (which means, “take by force”) in Stellenbosch. This settlement was made up of 2,400 households, with no electricity, 70 toilets and 12 taps, and infrequent waste collection. While it was located on steep topography, it had no formal drainage system. A group of Stellenbosch University postgraduate students were brought in as researchers to apply the action research method of participatory planning (Swilling, et al., 2011).

The researchers were able to form a relationship with the residents of Enkanini. However, because of the lack of formal leadership in the settlement, the identification of relevant stakeholders was a challenge. Through deep immersion, informal discussions, participant observation, and visible public art campaigns, the researchers were able to identify four interested residents, who were merged into the core group and considered as the co-researchers. An old abandoned church within the settlement became the research centre; this

was the meeting space for engagements. These engagements were instrumental in developing a neutral space, developing a shared language, determining critical service delivery problems, identifying potential community stakeholders and brainstorming creative responses. While a number of challenges were encountered during this process, solutions were found and outcomes were developed consisting of key infrastructure interventions that emerged out of the participatory process with the community co-researchers (Swilling, et al., 2011). Figure 3 below shows some of the stages the researcher's engaged in for the successful implementation of the action research method.

**Figure 3: Kurt Lewin's Initial Cycle of Action Research**



Source: (Smith, 1996, 2001, 2007).

This represents Lewin's initial description of the action research cycle, a spiral of steps composed of planning, action and fact-finding. This cycle has been slightly modified by a number of scholars. While the Enkanini project is on-going, the organised nature of the settlement is likely to produce a successful outcome.

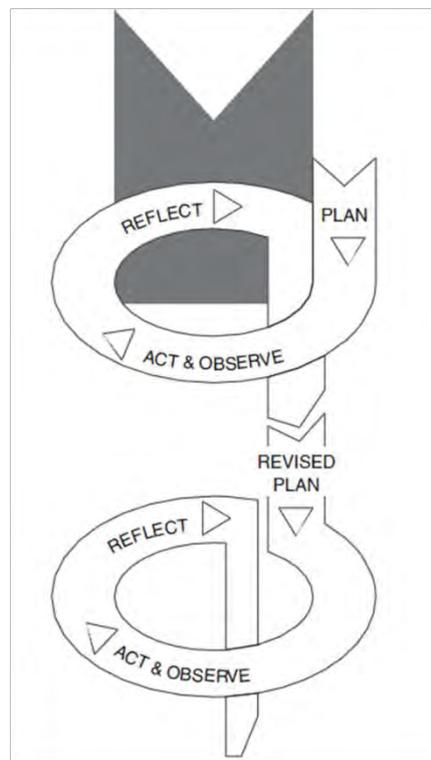
### **3.3.2. Participatory Action Research (PAR) Method**

Paulo Freire; Orlando Fals Borda; Rajesh Tandon; Anisur Rahman and Marija-Liisa Swantz; as well as North American and British scholars dealing with adult literacy, community

development and development studies; such as Budd Hall, Myles Horton and Robert Chambers are some of those influenced by action research. Many scholars influenced by Lewin have engaged with action research using different methods that complement one another and share similar methodological techniques (Donovan, 2008). Participatory Action Research (PAR) is one such approach. This method has been characterised as multidisciplinary and multiform, as no one perspective can claim authority or authenticity. In the opening speech at the World Congress on Participatory Convergence in Knowledge at Cartagena in 1997, Alfredo Molano noted the multiple origins of PAR: “as with all things great, it had no single inventor. Nobody discovered it; it was the result of an atmosphere rarefied (which means different from the lives and concerns of ordinary people or understood only by a small group of people) by the clash between clear-cut scientific explanations and rough reality” (Swantz, 2008: 31).

Two elements make PAR distinct from action research. The first is that researchers were interested in walking together with ordinary citizens rather than being one step ahead. Secondly, the researchers stopped fighting the state; instead, they were participating with it, despite its weaknesses (Molano, 1998: 5). However, PAR is similar to action research in that it contains cycles of self-reflection in the form of a spiral. These include planning a change, acting and observing the process and consequences of the change, reflecting on these processes and consequences, re-planning, acting and observing again, and reflecting again, and so the spiral goes on, until a certain objective is met (Koshy, et al., 2011).

**Figure 4: The Participatory Action Research Spiral of Self-reflective Cycles**



Source: (Kemmis, S. & McTaggart, R. 2007)

This spiral is attractive because it gives planners an opportunity to progress towards a greater understanding each time they undertake a project. This means they are able to make better informed decisions. Local people who use PAR research to obtain local needs are thus empowered (Koshy, et al., 2011). However, Winter & Munn-Giddings (2001) suggest that engaging with the spiral model may take longer, and projects may take from a few months to a couple of years to complete. In reality, participatory processes do take time, because the spiral of cycles is not as neat as is suggested in figure 4. The stages will overlap, and initial plans may become out-dated as new learning experiences emerge. Indeed, PAR aims to be flexible in order to produce unique opportunities for each project; there is therefore no need to rigidly follow the stages and cycles (Koshy, et al., 2011). According to Kemmis & McTaggart (2007), the PAR process is likely to be more fluid, open and responsive than how it is represented.

Kemmis & McTaggart, (2007: 277) describe PAR “as a social process of collaborative learning realised by groups of people who join together in changing the practices through

which they interact in a shared social world in which, for better or worse, we live with the consequences of one another's actions.”

PAR can be effective in urban poor communities, such as those living in informal settlements. This is because it is able to improve communities' situations as it is used to conduct research with the aim of bringing about the desired social change, by linking research and activism (Majale, 2002). In engaging with informal settlements through upgrading, an adaptive strategy is needed to allow for gradual decision making, where the way forward is based on the latest available information. However, a degree of flexibility is also required because new partnerships are formed and a more accurate understanding of the dynamics of the area is achieved. PAR researchers therefore need to start where the people are (Bennett & Osman, 2012).

An example of PAR can be seen in the development of Slovo Park informal settlement in Johannesburg. The Slovo Park project began as a small research initiative in the University of Pretoria's Housing and Urban Environments module for honours architecture students. The first step was to understand the Slovo Park residents' day-to-day socio-economic context. Thereafter, a large urban framework was developed to link Slovo Park to its neighbouring community. The students aimed to contribute to the development of the neighbourhood, while maintaining the existing sense of community that was identified during the research phase (Bennett & Osman, 2012).

Students were then required to present individual theoretical projects on how Slovo Park should develop; these projects were also presented to the community during their on-site meeting with government officials. The projects were able to capture the humble manner in which the inhabitants of the informal settlement exercised their power in building their own homes while also allowing residents to benefit from much-needed technical know-how (Bennett & Osman, 2012). This programme is an on-going process at the University of Pretoria where former students are directing new student groups in similar processes, building on the relationships established during the initial process in 2010. They continue to influence the PAR process, and are a good example of the cyclical reflection spiral to achieve set objectives.

### **3.3.3. *The Participatory Rural Appraisal Method***

Participatory Reflection and Action (PR&A) has been identified as the leading school of participatory planning. The icon of the movement is Robert Chambers, one of the most influential scholars and writers in international development studies since the 1980s (Douglass, 2014).

Questscope (2013: 4) provides an overall definition of the PR&A approach to participatory planning, describing it as

*a study based on a methodology of extensive community participation in all stages, where the outputs of the study are the results of fully participatory work between a large number of organisations, individuals, and institutions in the community. Information and outcomes of the study reflect the perspectives of the local community and the target group, both those who are directly and indirectly affected by the issues addressed by the study.*

In order to achieve a process-driven approach, PR&A has to comply with a number of principles. Robert Chambers identified a number of PR&A methods which are summarised here. The first method involves handing over the stick (or pen or chalk). Local people are given the opportunity to facilitate investigation, analyse, present and learn for themselves, so that they generate and own the produced outcomes. The second method requires self-critical awareness, which involves facilitators being able to continuously and critically examine their own behaviour. The third principle requires personal responsibility, which means that facilitators should take responsibility for what is done, rather than, for instance, relying on the authority of manuals or on rigid rules. The final method is associated with sharing, particularly information sharing; this involves a wide range of techniques, from chatting over the fence to photocopies and emails (Fisher, 2001).

The PR&A school has developed a number of approaches, not all of which are discussed in detail in this study. Participatory Rural Appraisal (PRA) is the main focus. PRA evolved during the 1990s from the Rapid Rural Appraisal (RRA) of the 1980s. RRA is a qualitative survey tool that enables outsiders to learn from communities or to learn about communities; this means that outsiders are able to collect data, and take it away and analyse it, separate from the community. However, when participation entered the vocabulary of RRA, it resulted in the conception of PRA (Chambers, 1994).

PRA is concerned with radical, personal and institutional change. It encourages participation and empowerment, where informal techniques are used to collect the information shared and owned by local people (Chambers, 1994). This means that outsiders are simply facilitators that help communities to conduct their own investigations and analysis; they are able to plan and take action that is appropriate to their circumstances. In the planning process, PRA enables participatory planning, budgeting, implementation, and monitoring of projects to be undertaken by local people through preparing their own plans, budgets and schedules and enabling them to take action by monitoring and evaluating the progress made (Chambers, 1994).

Chambers described two ways in which PRA can be labelled. Firstly, it can be described as “an approach and method for learning about rural and urban life and conditions from, with and by the local people” (Chambers, 1994:953). The second definition is “a family of approaches and methods to enable people to share, enhance, and analyse their knowledge of life and conditions, to plan and act” (Chambers, 1994: 953).

While these methods and tools have been standardised and defined, they have to be tailored to the local context in which they are applied. For example, in informal settlement areas during upgrading, PRA can be very useful in exploring the complexities of security of tenure, by understanding the range of occupation, control and use rights and developing strategies to deal with challenges (United Nations Human Settlements Programme: UN-HABITAT, 2010).

In the initial stages of informal settlement upgrading, PRA activities include discussions, interviews, investigation and research conducted by the community with assistance from experienced facilitators. A historical timeline should be constructed using the settlers’ local knowledge to identify key events, changes and trends in the history of the settlement. The community is also encouraged to draw maps and build models to show landmarks, features, services, boundaries, linkages and other elements that are considered important. Local analysis of secondary sources is also important; official maps, diagrams, statistics and tenure records are analysed and compared with the community’s experiences and knowledge (United Nations Human Settlements Programme: UN-HABITAT, 2010).

During the planning of informal settlement upgrading, institutional diagramming is important; this involves discussing the relationships between individuals, groups and institutions, while analysing and representing them on diagrams. Listing, matrix scoring, and

ranking are developed to share understanding of the settlement, its residents and its priority tasks and challenges (United Nations Human Settlements Programme: UN-HABITAT, 2010).

Finally, during the implementation and post-implementation stages, it is necessary to develop locally relevant indicators to track progress over time. Shared presentations, analysis, and discussions help the community present their results and discuss them, so that they are able to come up with improved plans in the future (United Nations Human Settlements Programme: UN-HABITAT, 2010).

### **3.4. Levels of participatory planning**

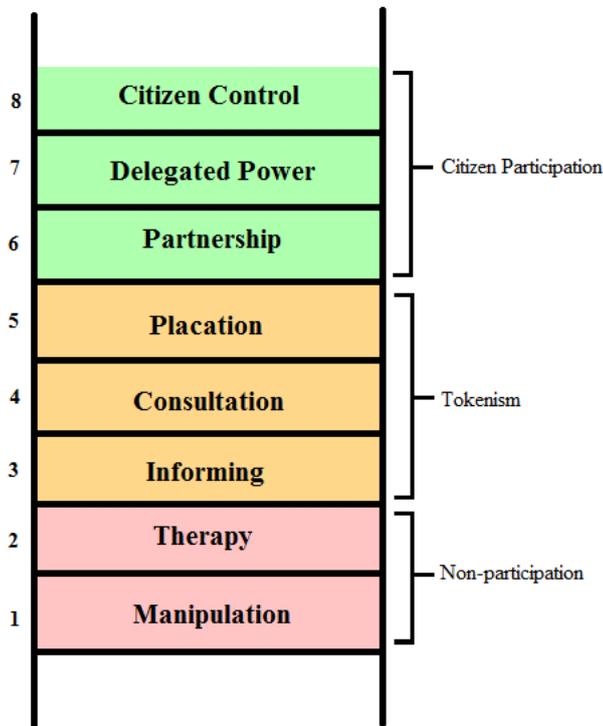
#### ***3.4.1. A Ladder of citizen participation***

The ladder of citizen participation is a typology that encourages dialogue using urban renewal, anti-poverty and model cities in the United States as examples of social programmes. This typology was pioneered by Sherry Arnstein in 1969, and is arranged in a ladder pattern with each rung representing the extent of citizen power. Arnstein clearly states that citizen participation is equated with citizen power, and that if participation does not result in a shift in the power balance between the disadvantaged and those in power, it cannot be considered genuine participation (Arnstein, 1969).

Citizen participation is therefore defined as the means by which disadvantaged citizens bring about significant social reform (such as the redistribution of power, information sharing, set goals and policies, allocation of tax resources, operation of programmes, and parcelled out benefits) enabling them to share in the benefits of the affluent society (Arnstein, 1969). The ladder is therefore a guide to who has power when important decisions are made.

Arnstein's model emerged in response to on-going debate on the issue of citizen participation, which often led to misleading euphemisms of the concept. People's participation in their government is considered the cornerstone of democracy. However, Arnstein observes that when those who are marginalised advocate for democracy and participation to redistribute power, political opposition is inevitable (Arnstein, 1969). This usually results in an empty and frustrating process for the powerless.

**Figure 5: Arnstein's Ladder of Citizen Participation**



The ladder of citizen participation is an eight rung representation of who has the power to determine the end product during the decision making process. Figure 5 shows the ladder and its eight rungs. The bottom rungs (1 and 2) represent manipulation and therapy, which describe non-participation. At these rungs, power-holders seek to cure or educate communities, instead of enabling them to participate in planning (Arnstein, 1969). For example, power-holders in an informal settlement upgrading

process can pretend to engage in participation with the community, through selectively communicating with them about the project according to an existing agenda. They engineer participation as being genuine or meaningful to promote the existing agenda (Department of Provincial and Local Government, 2007). According to Jordhus-Leir & Wet(2013: 2) “what is very often the case in an upgrading situation is that the most of the options and plans are already meticulously defined by various ‘experts’. What is left for the residents is to be included in the consultation at the last stage in the process.”

Advancement to rungs 3 and 4 offers levels of tokenism, where informing and consultation provide a platform for communities to hear and be heard. However, the emphasis is a one-way flow of information, where citizens lack the power to ensure that their views will be heeded by the powerful (Arnstein, 1969). Citizens are told about projects, through various means; however, the power-holders ’proposed plans are considered the best, and the opinions of the community are not taken into consideration (Department of Provincial and Local Government, 2007). There are no channels for feedback or follow through; therefore change in people’s lives is not assured (Arnstein, 1969). Rung 5 represents placation, and is considered a higher level of tokenism. While citizens are able to advise, they are still unable

to determine the outcome and the right to decide remains with the power holders (Department of Provincial and Local Government, 2007).

An example of manipulation, therapy and tokenism (rungs 1 to 5) can be seen in the N2 Gateway project in the City of Cape Town, which was a large national informal settlement upgrading pilot project launched in 2004. The government decided that, in order to speed-up delivery, they had to consciously limit consultation and participation. However, eight years later the N2 gateway project was not complete, mainly due to community protests and protracted legal disputes (Jordhus-Leir & Wet, 2013). This shows that fast-track alternatives without participation may not necessarily be the quicker options.

The last three rungs (6, 7 and 8) represent levels of citizen power where citizens' decision making ability is increased. Rung 6 represents partnerships, which enable power to be redistributed between power-holders and citizens through negotiations and trade-offs; planning and decision making therefore becomes a shared responsibility (Arnstein, 1969). The community has considerable influence in decision making, participation is based on predetermined objectives and citizens participate by contributing resources (Department of Provincial and Local Government, 2007). This is considered rare in informal settlements because in most cases it is initiated by angry citizens and power has to be wrestled by the powerless (Fyhr, 2012).

Rung 7 represents delegated power. While the government ultimately runs the decision making process and funding, communities are given the power to determine how available resources are used to fulfil project objectives. Rung 8 represents citizen control, where communities take responsibility for their own actions; initiatives are conducted independently of external institutions. Provision of resources and technical advice may be external but citizens retain control over how these resources are used (Department of Provincial and Local Government, 2007). When citizen participation is achieved, citizens hold the majority of seats with regard to decision-making, and have full power that assures accountability (Arnstein, 1969).

However, when citizen power does occur, especially in South Africa's informal settlement upgrading initiatives, it is generally instigated by NGOs or civil society organisations in collaboration with the community, who approach local government for support. This is a form of partnership (rung 6) as citizens are able to dominate decision making and make authoritative decisions about specific plans (Mwau, 2013). Power is delegated (rung 7) or

redistributed, enabling those in informal settlements who were previously excluded from political and economic processes to be included, and thereby shaping their future through upgrading processes (Mohamed, 2009). According to Arnstein, there is no citizen control (rung 8) or absolute citizen control in many informal settlement upgrading initiatives, which is the highest extent of citizen power (Fyhr, 2012). This is because residents from informal settlements cannot afford to upgrade their settlements solely through their own means. They lack financial resources; this is why they are located in informal settlement areas in the first place; and they lack efficient resources to help themselves and thereby have full control over changes in their circumstances.

### **3.5. International Case Study – Slum upgrading and environmental protection in São Paulo, Brazil, a case study of Carminha-Detroit, São Bernardo do Campo Municipality**

This case study provides an insight into participatory planning practices implemented through *in-situ* upgrading initiatives in other international countries. The Carminha Project is an example of an urban and socio-environmental rehabilitation of a watershed protection area in São Bernardo do Campo, São Paulo, Brazil. It was one of ten local initiatives financed by the Brazilian Savings Bank (also known as Caixa Econômica Federal) during 2001-2002. It is located in the Alvarenga area, bordering on the Casa, Demarchi, Batistini, and Alvarenga neighbourhoods. The project area is 4.74 hectares, and its focus was to address environmental social problems (Brazilian Institute for Municipal Administration (IBAM), 2003).

In the early 1970s, the Alvarenga area in São Bernardo do Campo Municipality was infested with informal settlements known as the “Carminha-Detroit slum cluster”. This settlement consisted of three groups of slum dwellings, namely, Carminha I, Carminha II, and Jardim Detroit. By 1997, squatting and other forms of illegal land occupation like Carminha-Detroit had reached unprecedented proportions in São Bernardo, but this was not reflected in municipal records (Brazilian Institute for Municipal Administration (IBAM), 2003).

More than 600 families were living in Carminha-Detroit with family incomes ranging from zero to three times the minimum wage (approximately R985/month). The areas occupied by the three communities had merged physically into a dense slum with 582 inhabitants per hectare. However, from a socio-political point of view, the communities in the three clusters were still separate. Nearly 80% of the dwellings were wooden shacks, many of which were

on stilts, packed into a bottomland and halfway up a hill (Brazilian Institute for Municipal Administration (IBAM), 2003).

Housing in Carminha-Detroit lacked basic living conditions and sanitation and was subject to landslides and flooding during the rainy season. In the midst of the garbage and rubble that had accumulated along the creek, residents were exposed to range of vector-borne diseases (such as schistosomiasis and leptospirosis) and others relating to unhealthy environmental conditions (diarrhoea, hepatitis, respiratory infections, and other infectious and contagious diseases). The environmental degradation eventually spread from the area occupied by the slum to the adjoining and downstream areas, thus jeopardizing the protection of the springs and creek (Brazilian Institute for Municipal Administration (IBAM), 2003).

The Carminha Project emerged from the interface between the community's aspirations, and the policy adopted by Mayor Maurício Soares to prioritise slum upgrading and reduce environmental degradation. The Carminha-Detroit communities organised and mobilised themselves with the help of the municipality, to foster a broader approach to an integrated project to serve the interests of all three communities. The demand submitted by the three communities to upgrade the slum, which was accepted by the municipality, marked the beginning of a partnership between the administration and the community through the Carminha and Jardim Detroit Neighbourhood Associations. This was the central driving force behind the formulation and development of the Carminha Project (Brazilian Institute for Municipal Administration (IBAM), 2003).

### ***3.5.1. Application of Community participation in the Carminha Project***

The aim of the Carminha Project was to provide adequate housing and living conditions in the community. A number of aspects were therefore important in the implementation of the project including urban upgrading, infrastructure, housing construction, environmental components, and social and community development (Brazilian Institute for Municipal Administration (IBAM), 2003).

The social and community development activities within the project included a socio-economic survey; mobilisation to shift families from the existing shacks into temporary lodgings; social follow-up of the relocation processes; orientation for collective self-help construction; follow-up on post-utilisation; and training activities under the Minimum

Income, Income Generation, and Young Citizens' Programs; and Health Programs, under Community Health Agents (Brazilian Institute for Municipal Administration (IBAM), 2003).

Through the Vila Carminha I, Vila Carminha II, and Jardim Detroit Community Associations, their leaders, and individual action by community members, the community participated in project design, mobilisation of community resources, construction of housing units through non-paid self-help construction, installation of environmentally-friendly paths, maintenance of the project's works and investments, and activities related to compliance with the project's essential commitments, for example, prohibiting new dwellings, and surveillance to prevent any activities that might degrade the environment (Brazilian Institute for Municipal Administration (IBAM), 2003).

All 624 lots installed by the Carminha Project were occupied by permanent dwellings, and no families failed to complete the housing embryos. The decision-making process was based on constant dialogue between the municipality, through the Secretariat for Housing and the Environment, and the community and other partners (Brazilian Institute for Municipal Administration (IBAM), 2003).

Box 1: A report by the director of urban planning under the Secretariat for Housing and the Environment, in São Bernardo Municipality, Paulo Massoca stated that:



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*There are two series of decisions that need to be made. First, the program as a whole is validated by the community through a dialogue with the community leaders, who weigh and discuss it – and the project absorbs as much as possible. Later, we meet with the broader community, raise the observations and discuss the technically unfeasible issues. Having defined and agreed on the program, the latter is implemented through a second series of decisions. We held weekly meetings with participation by the community, the social, engineering, and the contracting company, under the program's coordination. We set the timetable and the daily work schedules. The social was informed of the construction work scheduled for the subsequent period, and took the appropriate measures ahead of time, like meeting with residents of the next stretch of land that would be directly affected by the work. While planning the intervention, everything is decided at the macro level. When you reach the street, during the implementation, the families with specific names and problems change the conditions: the social needs to keep ahead, organize. This was like fine-tuning between the material implementation of the construction work itself and the social work. Whenever a major change was detected, we had a conversation with the boards of directors of the community associations? Like 'there's going to be such-and-such a delay, it's rained a lot, such-and-such problems have come up'? In order for them to be aware and collaborate to find a solution. Occasionally a general community assembly meeting was necessary when it was impossible to reach a consensus in the meetings between the Municipality and the community leaders. In such cases the issues, possibilities, and constraints were raised for discussion with the community members. A permanent assembly is impossible. It's too much stress.*

(Brazilian Institute for Municipal Administration (IBAM), 2003).

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Throughout the implementation of the Carminha Project, whether in the interaction between the municipality and the community or in the linkage among the institutional partners, there were no predefined strategies, but strategies as work-in-progress (Brazilian Institute for Municipal Administration (IBAM), 2003).

### **3.5.2 Lessons Learnt from the Carminha Project**

The role of community leaders in building, renewing, and consolidating relations of trust between the municipality and the community, especially in situations involving informal commitments, was decisive for both constant community mobilisation and participation and conflict mediation (in the initial implementation stage) between project partners and certain

parties in the area. Through intense interaction with its leaders, the community's activities throughout the project's implementation went beyond pure participation; it extended to the level of efficient dedication, adding value to the work achieved. This resulted from the integration of will, effort, and competence to achieve goals. It was clearly depicted in a number of interviews, including that with Dilma (one of the leaders and representatives of Carminha I) when talking about the self-help construction experience and the world encompassed by it (Brazilian Institute for Municipal Administration (IBAM), 2003).

### **3.5.3. Concluding Remarks**

The vision of Carminha to address people's social interests as well as mitigate environmental challenges through participatory efforts was realised. However, key issues that need to be taken into consideration include gender issues. These are important aspects in any project. There should be interaction between municipalities, civil society organisations, and members of the community; however, there should also be integration across governmental institutions so that projects can be implemented at a faster pace. Follow-up and evaluation of projects is also important; municipalities, civil organisations and citizens should consistently track the progress of the project. Decentralisation should always be the objective, with dispersed functions, powers and people. Community organisation cannot be overemphasised; when communities engage collectively in activities, they gain a sense of ownership and community and are able to function as a unit to respond to any challenge they might face. Any commitments, responsibilities and agreements made by any party should always be available and clearly specified in writing, so that non-compliance can be sanctioned. Finally, effort is required to maintain the gains of the project; this ensures its sustainability and ability to continue to play a positive role in the lives of beneficiaries.

## **3.6. Informal Settlements and their characteristics**

### **3.6.1. Introduction and Background**

Informal settlements are home to many urban poor in developing countries and have become the only viable solution for millions of households (Tshikotshi, 2009). These settlements lack an official definition; therefore describing them is complex. They have different meanings in different parts of the world as well as different parts of the same city (UN-Habitat, 2003). Informal settlements range from *favelas* in Brazil, to *kampung*s in Singapore, *bidonvilles* in France, and *tugurios* in India, and although they may share similar miserable

living conditions, their definitions may vary depending on physical conditions, and socio-political and economic conditions (Cities Alliance, 1999).

The City Alliance Action Plan (1999) offers a similar definition of informal settlements as the universal definition set out in chapter 1. It describes informal settlements as areas in the city that are disregarded, where housing conditions are poor and the people living in them are neglected. These settlements range from high-density, unhealthy central city apartments to unplanned squatter settlements with no legal recognition or rights, sprawling at the edge of cities (Cities Alliance, 1999).

Informal settlements can be divided into two broad categories, slums of despair and slums of hope. Slums of despair refer to declining neighbourhoods or settlements, where environmental conditions and domestic services are degenerating. On the other hand, slums of hope refer to settlements that are progressing, which are characterised by new, normally self-built structures, usually illegal that are in, or have recently been through, the process of development, consolidation and improvement (United Nations Human Settlement Programme, 2003:9).

### **3.6.2 Causes of Informal Settlements**

#### *3.6.2.1. The failure of governance*

The failure of governance refers to the inability of housing policies, laws and delivery systems, and national and urban policies, to provide a platform for a healthy living and working environment for the billions of people living in informal settlements. This failure continues to contribute to the growth of informal settlements (United Nations Human Settlement Programme, 2003). It is seen as an indication that the public sector, the legislative framework, and the economy are unable to provide conditions in which the poor can both be housed appropriately, and provided with adequate services, whether through government programmes or through the private sector (Huchzermeyer & Karam, 2006).

The failure of policy is attributed to all levels; global, national and local. At the global level, policies have made national governments weak; there is a lack of central control, which is leading to unrestricted globalization, resulting in greater inequality and marginalisation. At the national level, liberalisation and sectoral fragmentation of policy and analytical and institutional frameworks have failed to support the urban-rural and cross-sectoral dynamics

that are critical to both sustainable economic growth and the distribution of opportunities. The local level is characterised by a lack of capacity to cope with, and manage healthy urban governance, which has left many slum dwellers in the land of illegality, insecurity and environmental degradation (Amabaye, 2011).

Huchzermeyer & Karam (2006) argue that the reason for the continuing challenge of informal settlements is a lack of understanding on the part of both policies and programmes. Governments fail to recognise the reality of informal settlements and their lack of capacity to implement policies. They seem to think that coming up with policies that propose the demolition of informal settlements will eradicate the continued emergence of such settlements (Huchzermeyer & Karam, 2006).

According to United Nations Human Settlements Programme (2003), the primary goal at all levels (global, national and local) is to address the issue of rapid urbanisation. Their task is to ensure that jobs, shelter and services are provided to urban dwellers. This requires government to recognise that it must have the capacity to act in an intensive and systematic way, ensuring that informal living and the illegality of informal settlements is not the destiny of the majority of urban settlers (UN-Habitat, 2003).

#### 3.6.2.2. *The failure of institutions and legal structures*

Institutional and legal failure refers to informal settlements existing outside the law, with the urban poor trapped in an informal and illegal world. Informal settlements are not reflected on maps, meaning that they do not have a legal physical address. Informal settlers are not provided with municipal and social services and they do not pay taxes. This is because they are considered illegal, even though they form the majority of the population and have been occupying areas for many years (UN-Habitat, 2003). Informal settlers do not have property rights, or security of tenure, but instead make whatever arrangements they can in an informal, unregulated and, in some respects, expensive parallel market (Amabaye, 2011). Government policies do not recognise informal settlements as playing a positive role in shelter provision (Bassett, et al., 2002). Bassett, *et al* (2002) note that, without such recognition there is little that can be done to address these settlements.

However, the institutions that are failing informal settlers are not confined to government and law, but include private and commercial systems. These institutions play a significant role in the development and emergence of informal settlements. Informal settlers are unable to

obtain formal sector jobs as they may lack social capital, appropriate education and support; they are therefore excluded from regular society (Amabaye, 2011).

This puts the urban poor in a position where they are unable to access regular sources of finance for their own businesses. Entrepreneurs in these settlements are forced to use informal sources of finance, such as loan sharks, where they incur expensive rates and short repayment periods. Banks do not usually have branches in informal settlements, and if they do, the lack of legally registered collateral will exclude all but the most well-off slum dwellers from obtaining loans (UN-Habitat, 2003).

### ***3.6.3. Characteristics of Informal Settlements***

Shacks and informal settlements are the starting point for a sustainable construction agenda in Africa. This building type is the most common in many cities in the developing world and Africa in particular. Shacks are considered sustainable because a conventional shack is made up of close to 100% re-used components or materials found close to the site. Since they are self-built, shacks make use of the skills and technology available within the household and community. This enhances resource conservation and affordability and provides households with a means of employment and investment (Irurah, 1999).

However, shacks are also unsustainable in terms of construction and the built environment in Africa. This is because of the lack of tenure; most shack dwellers are squatters who occupy land illegally, often at very high densities. Inadequate shelter, where houses are poorly constructed and too small for the number of occupants, often results in congestion. Poor indoor air quality due to inadequate ventilation and the use of combustible fuels like charcoal, coal or paraffin and inadequate services (water, waste, disposal, electricity, sewage etc.) add to the problem. Shacks are a major contributor to water and outdoor air pollution as well as to man-made disasters such as fire which renders thousands of households homeless every year (Irurah, 1999).

#### ***3.6.3.1. The lack of basic services in informal settlements***

Basic municipal services refer to safe and clean drinking water sources, electricity supply, adequate sewage disposal; the availability of waste collection systems, storm water drainage, street lighting, paved foot paths, and roads for emergency access, all for the purpose of improving the well-being of communities (UN-Habitat, 2003). These basic services are

usually lacking in informal settlements, causing unhealthy living conditions. Furthermore, the continued unplanned growth of these settlements renders conventional service provision complicated (The World Bank Group, 1999-2001).

#### *3.6.3.2. The illegal and inadequate building structures*

Substandard housing refers to houses or structures that pose a risk to the health, safety and physical well-being of their occupants, neighbours and visitors. These structures are associated with disease, crime, social isolation and mental illness, similar to the conditions found in informal settlements. Substandard housing therefore includes illegal and inadequately build structures that do not comply with minimum housing and building standards and requirements (UN-Habitat, 2003). Such structures have earthen floors; mud, and wattle walls; straw roofs; and are constructed from corrugated iron and scavenged materials in violation of bylaws. Informal settlements are usually built using non-permanent materials, which are considered unsuitable for the construction of housing (Vanneste, et al., 1999).

#### *3.6.3.3. Overcrowded conditions and high density in informal settlements*

Overcrowding is a major problem in most urban areas. Cities are unable to keep up with the continuing demand for housing and infrastructure. The urban poor have therefore decided to accommodate themselves by erecting informal settlements. These areas have high densities and occupancy rates; little space per person and are characterized by cohabitation of different families and a large number of single-unit rooms shared by five or more people, with the units used for cooking, sleeping and living (UN-Habitat, 2003). The urban areas become dense because informal settlements are located in areas that are advantageous in terms of employment opportunities, and access to social facilities, even though much of the population and workforce remain poor.

#### *3.6.3.4. Unhealthy living conditions in informal settlements*

Poor housing conditions are associated with a wide range of health conditions, including respiratory infections, asthma, lead poisoning, injuries and mental illness. This is due to unhealthy living conditions such as the lack of basic services resulting in open sewers, uncontrolled dumping of waste, polluted environments, overcrowding, and inadequate ventilation that encourage the spread of infectious diseases and are fire hazards (Krieger &

Higgins, 2002). All these conditions are common in informal settlements. Such settlements may also be built in hazardous locations, where the land is unsuitable for building, such as floodplains; areas close to industrial plants that emit toxic chemicals; waste disposal sites; and areas that are subject to landslides, which are responsible not only for unhealthy living conditions, but also for environmental deterioration (UN-Habitat, 2003).

#### 3.6.3.5. *The insecurity of tenure in informal settlements*

In an increasingly urbanised world, tenure insecurity has become a major crisis for the urban poor. Security of tenure is a central component of the right to adequate housing (Rolnik, 2013). It represents the first step in official recognition of informal settlements, access to the economy, infrastructure, social facilities and micro-finance (Smit & Abrahams, 2010). However, insecure tenure is the reality of many informal settlements, leaving many inhabitants vulnerable to a range of human rights violations (Rolnik, 2013). Insecure tenure therefore, refers to irregular or informal settlements that lack any formal documentation entitling them to occupy land. It also refers to informal or unplanned settlements that are not in compliance with land use plans. These settlements are usually built on land reserved for non-residential purposes, or are part of invasions of non-urban land (UN-Habitat, 2003).

#### 3.6.3.6. *Poverty and social exclusion in informal settlements*

The United Nations' Millennium Development Goals (MDGs) aim to eradicate extreme poverty and hunger in the developing world. A target was set to reduce extreme poverty rates by half by 2015. According to the United Nations, this target was met five years ahead of the 2015 deadline (United Nations, 2014). However, informal settlements are growing at a faster rate than these set targets, and many still display conditions of extreme poverty, with their physical and statutory manifestations creating barriers to human and social development. People living in these settlements experience social, economic, and political exclusion, which prevents them from enjoying society's basic resources (Rashid, 2009).

Informal settlements are also characterised by income or capability poverty, as institutions deny these groups resources, recognition and employment opportunities. This renders them vulnerable and excludes them from participating in social life. These settlements are also associated with immigrant groups who are considered a vulnerable population, and are perceived to contribute to significant problems such as high levels of crime and social dislocation (UN-Habitat, 2003).

### 3.7. Improving Conditions for Informal Settlers

In South Africa, the standard approach to deal with informal settlements has been mass housing provision. This has reduced engagement with the poor, as the government has provided as well as decided on the nature and form of low-income housing. Government has not listened to the concerns of the poor, and has not worked with them to improve their lives. The result is a neglected population of the urban poor, and the inability to provide sustainable human settlements. The critical question is: who provides and who decides, and how are issues of involvement and accountability to be addressed and put into practice? (Kota-Fredericks, 2013)

The participatory planning approach is flexible, creative, and interactive in responding to informal settlements, through upgrading initiatives that maintain communities and the ways in which they live (Anyonge, et al., 2013). There are a number of ways in which participatory planning can improve informal settlement conditions, including institutional and organisational analysis; enhancing grassroots organisations and inclusion; enhancing transparency and accountability; being flexible; addressing risk; promoting change; investing in training; project management and coordination approaches and many others. However, this study focuses on strengthening local institutions and management programmes; strengthening communities through education and training; overall implementation progress; and empowerment of communities.

Based on the characteristics of informal settlements outlined above, participatory planning is able to assist in improving conditions because it offers a development process *supported by local institutions*, with community-based users from self-help groups to religious groups, the youth and women playing the lead role. It ensures that development is rooted in a strong local institution consisting of active members that dominate decision making, thereby absorbing most of the benefits offered by the projects, rather than outsiders solely providing technical services (Jain & Polman, 2003).

Strong local institutions are necessary as support systems, because they increase the participation and inclusion of disadvantaged social groups, developing processes based on confidence and learning. It is therefore important for the people that take decisions at the local level to enjoy the full confidence of the people they represent, rather than to be trained experts. Participatory planning also allows staff from government departments and local government officials to work with local institutions to prepare plans, rather than sit in their

own institutions and prepare their own plans in isolation from the community that they are planning for (Jain & Polman, 2003).

Because communities are able to take part in all activities of the development process, they have the ability to manage the project post-implementation. An efficient *management programme* ensures that the community has knowledge of how to maintain their sense of place and continue to improve their quality of life. Overall participatory planning helps develop local institutions that are capable of planning, executing, and managing development activities to positively impact and empower the community at large.

Strengthening communities through *education, training, skills development, and capacity building* are important components of participatory planning, especially as a form of institutional, organisational, community and individual support. This promotes an environment that has a positive impact on the life of the vulnerable community. These activities can be performed by those representing the interests of the community, including, government officials, CBOs, NGOs and private sector actors. This can occur at organisational, individual and community levels, helping to put policies, rules, and individual competencies in place to deliver better quality services in a more cost-effective manner (Anyonge, et al., 2013).

The benefits of these initiatives for informal settlers are improved access to information about their settlement and surroundings that might not have been previously available to them, thereby increasing their knowledge base. Training provides these communities with leadership skills, and skills in record keeping, financial accountability, proposal writing, fundraising, and reporting, project management, conflict resolution and other similar skills. This promotes the maintenance of projects after completion.

Other benefits of these activities are entrepreneurial skills; people gain other skills during the implementation of the participatory planning project that they are able to apply to improve their lives through self-employment. Local economic development opportunities therefore arise from these efforts, creating business people within informal settlement areas who can be linked to programmes that enhance and possibly formalise their businesses. This could in turn provide continued job placement for those who are unemployed, resulting in community upliftment.

Participatory planning is also able to facilitate overall *progress in implementation* as its mandate is to prepare plans for every step of the development process. This involves identifying local needs through directly engaging with the community, and creating awareness and willingness to participate every step of the way. Collecting basic data with the help of the community is also an important task, including the characteristics of the area, available resources, socio-economic status and other relevant information that will help in setting goals and measuring the change brought about by the project. The formation of working groups is also helpful; local government officials and the community come together to analyse and compare data; draw inferences and identify priority areas for intervention. The formulation of objectives, the first step in any participatory planning initiative, precisely defines the specific objectives to be achieved; these should be stated in very concrete terms. Deciding on the strategy is the most difficult part of participatory planning as it involves assessing and mobilising the required resources and choosing planning methods. The work plan is usually a blueprint for decentralised project management; it specifies the what, who, when, and how of project implementation (Jain & Polman, 2003).

This entire process ensures that implementation of the project is clear and reflects the community's needs. By establishing community support and engaging in consultations and discussions with the community, the benefits of the project are more likely to flow to beneficiaries.

Participatory planning is a democratic process that places decision making in the hands of citizens in informal settlements, to ensure that their needs are met. This therefore *empowers* these citizens, allowing for flexibility, team work, and a role in defining their needs, methods and priorities. The community is able to create plans that they manage and that control and sustain their future needs (El-Shahat & Khateeb, 2013).

The above mentioned strategies, namely, institutional and organisational strength and management; community strength through education and training; and progress in implementation consequently result in an empowered community that is sustainable and self-reliant. The level of empowerment will therefore depend on whether or not the objectives of participatory planning are met.

### **3.8. The Process of Informal Settlement Upgrading**

Upgrading is regarded as an appropriate mechanism to respond to the problem of informal settlements. According to Tshikotshi (2009), upgrading informal settlements means transforming illegal structures into legal ones, thereby improving and integrating the fragmented housing sector. Informal settlement upgrading in South Africa requires the execution of four stages of development; application, project initiation, project implementation, and housing consolidation. Stages one to three focus on community participation, provision of basic services and security of tenure for all residents. Stage four is dealt with separately from the first three, as it deals with those who qualify for government housing assistance, which is determined by the beneficiary profile and status of the household (Department of Human Settlements, 2009).

Approaches to informal settlement upgrading vary. It can take the form of relocating all residents to a Greenfield site. This means the redevelopment of an entire area through demolition. This form of upgrading is said to destroy social and economic networks, and urban opportunities that brought informal settlements to these areas in the first place. Another approach is *in-situ* upgrading, which aims to minimise the extent of social and economic disruption, and reduce the number of households that are relocated to other sites or within the site (Mistro & Hensher, 2009).

Other approaches include upgrading incrementally across many settlements or fully upgrading one settlement at a time. *In-situ* upgrading represents the incremental or progressive improvement of housing delivery (Mistro & Hensher, 2009). Informal settlement upgrading is a challenge for many countries as it requires innovative practices that adapt to the economic profile, needs and requirements of informal settlers and communities (UN-Habitat, 2003).

### **3.9. The Policy and Legislative Framework guiding Informal Settlements**

#### ***3.9.1. Introduction and Background***

Wherever it is based, informal housing is recognised as a more affordable and immediate and accessible solution to the housing deficit. However, while meeting the need for shelter unplanned occupation often leads to conditions that pose a risk to inhabitants. These settlements therefore require technical and socio-economic interventions. Many governments

agree that informal settlements are an indication of a failure of the public sector, the legislative framework and the economy to provide conditions to formally house the poor, whether through government programmes or private means. Therefore, the scale of informal settlements in a country is an indicator of the performance of a number of government and economic sectors. Policy to address informal settlements should therefore reach into these sectors, rather than simply dealing with the symptoms (Huchzermeyer & Karam, 2006).

National policy on informal settlement upgrading has recently been developed in South Africa. To some extent, this represents a response to international campaigns and government's commitment to international agendas. The other reason is the persistent growth of informal settlements in South Africa, despite extensive government subsidised housing delivery since 1994. In 2004 the National Housing Policy introduced an Informal Settlement Upgrading Programme with a dedicated subsidy mechanism, set out in a document called *Breaking New Ground: A Comprehensive Plan for the Development of Sustainable Human Settlements* (Huchzermeyer & Karam, 2006).

### ***3.9.2. The Constitution of the Republic of South Africa***

The South African Constitution provides the overall framework within which laws and regulation are made. It confers rights, freedom, power and protection on all those in the country. Section 152 (1) (e) of the Constitution (Act 108 of 1996) states that, one of the objectives for local government is to encourage communities and community organisations' involvement in matters of local government. Section 195 (1) (e) further states that people's needs must be responded to and that the public must be encouraged to participate in policy making. This suggests continuous interaction between policy makers and those affected by policy.

The heart of the Constitution is the Bill of Rights. Section 7 (1) upholds the rights of all residents and citizens to be treated equally, with dignity and freely regardless of their age, gender, wealth or status. A number of socio-economic rights are enshrined in the Bill of Rights, including the right to live in a healthy environment, and to have access to adequate housing, health care services, and sufficient food and water. It is therefore the responsibility of local government along with other spheres of government, to respect, protect, promote and fulfill these rights (Ferguson, 2007). This means that even though informal settlements are considered illegal, they too are protected by the Constitution. Therefore, should be considered in decisions made by local government.

### **3.9.3. The Breaking New Ground (BNG) of 2004**

Breaking New Ground (BNG) is a plan for the development of sustainable human settlements. It is based on a detailed assessment and understanding of the local context, a review of the performance of the Department of Human Settlements, and the outcome of extensive, ongoing consultations with public and private sector stakeholders. It emphasizes the need to respond positively and pro-actively to informal housing development in order to reduce the growth of informal settlements. The plan is adopted under the Informal Settlement Upgrading Programme Business Plan, and encourages a phased *in-situ* upgrading approach to informal settlements (Department of Human Settlements, 2004).

A number of interventions are required to support this process, one of which is a new funding mechanism for informal settlement upgrading. This approach will maintain fragile community networks, minimise disruption, and most importantly, enhance community participation in all aspects of the development solution (Department of Human Settlements, 2004). The UISP is the outcome of the BNG, and is undertaken through a phased process:

Phase 1 – The first phase involves a community survey to determine the housing and infrastructural needs of the community through a process of consultation as well as the geo-technical and physical suitability of the land for *in-situ* upgrading.

Phase 2 – The second phase focuses on the provision of basic services, social amenities and secure tenure to the entire community.

Phase 3 – During the final phase, housing is developed in response to community demand and may take a variety of forms including medium-density housing and free-standing houses constructed through mutual aid and community self-help or local contractors (Department of Human Settlements, 2004).

#### **3.9.3.1 The Upgrading of Informal Settlements Programme**

The UISP requires community participation as a prerequisite in any upgrading process. Such participation should be undertaken as a structured agreement between the municipality and the community, which ensures that community members have ownership of their own development and project (Department of Human Settlements, 2009).

The UISP also stresses the importance of the community being involved in all aspects of the upgrading process. This is because informal settlements tend to be fragile community networks, surviving in poor communities and should therefore be preserved to ensure the future sustainability of the community and the settlement. The community has deep-rooted knowledge of its development needs and preferences, and therefore its involvement in the process ensures satisfaction with the outcome (Department of Human Settlements, 2009).

It is also important to acknowledge the role of community representatives; this may be in the form of Ward Committees or Community Development Workers (CDWs). This combination is able to facilitate active, meaningful and realistic participation (Department of Human Settlements, 2009).

To achieve all these objectives of participation, a plan of action is prepared. Therefore, the UISP states that:

- A municipality may apply for funding for the appointment of capacity to assist in the processes leading up to the conclusion of the participation agreement with communities;
- Facilitation should include the following tasks:
  - ✓ A socio-economic survey of households;
  - ✓ Facilitating community participation;
  - ✓ Project information sharing and progress reporting;
  - ✓ Conflict resolution, where applicable;
  - ✓ Housing support services comprising:
    - Training and education on housing rights and obligations;
    - Capacity building of housing beneficiaries;
    - Assistance with the selection of housing options;
    - Management of building materials;
    - Relocation assistance.
- The funding available under the project for the appointment of external capacity to undertake the above-mentioned tasks amounts to 3% of the project cost for Phases 1 to 3.

The participation of informal settlement communities forms the central part of the UISP, given that one of the main objectives of the programme is to empower informal settlers

through participatory informal settlement upgrading. Communities are normally represented by Ward Committees or CDWs, together with other stakeholders that support the ward structure. Funding is also made available to facilitate the participatory planning process, and municipalities can apply for external funding for further support if required.

#### **3.9.4. *The Municipal Systems Act 32 of 2000***

The Municipal Systems Act (Act 32 of 2000) states that, members of a local community have the right to participate in a municipality's decision-making processes. It further requires that every municipality develop a culture of municipal governance that complements formal representative government with a system of participatory governance. Municipalities are encouraged to create conditions for local communities to participate in the preparation, implementation and review of mechanisms, processes and procedures provided for in the legislation.

The Municipal Systems Act (Act 32 of 2000) identifies four obligations to ensure that municipalities engage with citizen participation. Municipalities must ensure that they:

- respond to petitions and complaints from community members;
- give notice of public meetings, and allow the public to comment when appropriate;
- hold consultative sessions with locally recognised community organisations and, where appropriate, with traditional authorities; and
- report back to the local community.

Local government is the closest sphere of government to citizens and is therefore critical in driving participatory planning. In South Africa, its role is to achieve integration, participation and partnership-oriented planning and management. Therefore, communities and stakeholders' involvement in developmental programmes is vital.

#### **3.9.5 *Integrated Development Planning (IDP)***

Integrated development planning is a method to plan for future development, it is a key tool used by local government to structure development. It has a legislative requirement and legal status, which supersedes all other plans that guide development at local government level. An Integrated development plan entails participative planning and planning with a range of institutions in civil society (Department of Provincial and Local Government, 2000). The entire municipality and its citizens is involved in finding the best solutions for long term

development. The IDP is a five year plan, section 35 of the Municipal Systems Act (Act 32 of 2000) describes it as a guide that informs all planning, budgeting, management and decision making in a municipality.

Participatory planning is the heart of IDP, which is why it is important for all IDPs to have a plan of interaction among all stakeholders. Ineffective planning through the IDP will always result in poor participation, resulting in planning that does not respond to the needs of the people. For participation to occur it must be planned for. In the context of development, planning and participation are two concepts that reinforce one another, and therefore cannot be separated (Tshabalala, 2006).

### **3.10. Role players in the *in-situ* upgrading of informal settlements**

#### ***3.10.1. The role of Non-governmental Organisations (NGOs) and Community-based Organisations (CBOs)***

*In-situ* upgrading may involve co-operation between private developers and low-income households to provide an affordable means of accessing housing and the services that accompany it (Keivani & Werna, 2001). Non-governmental organisations (NGOs) are one such private developer; the World Bank (2006) defines them as “private organisations characterised primarily by humanitarian or cooperative, rather than commercial, objectives, that pursue activities to relieve suffering, promote the interests of the poor, protect the environment, provide basic social services, or undertake community development” (Werker & Ahmed, 2007: 6).

Community-based Organisations (CBOs) rely on funds and technical support from NGOs and include groups formed within communities, formal and legal entities, or informal registered organisations. Chechetto-Salles & Geyer (2006: 4) therefore define CBOs as “non-profit organisations that provide social services at a local level, whose activities are based primarily on volunteer efforts.” Chilengue (2014) adds that CBOs are the implementing agents of projects within communities that are institutionally independent from NGOs. They are small organisations initiated by local residents and based within the communities they serve, grassroots organisations that are formally or informally established (Chilengue, 2014).

NGOs and CBOs have traditionally been at the forefront of participatory planning processes, where they have contributed significantly to development. These organisations exercise strong national and local leadership and engage in a range of participatory initiatives. Their

efforts range from filling gaps in social and economic safety nets to delivering programmes and services, paving the way for representative democracy. For many poor and disadvantaged people, these institutions have represented the only real hope of addressing their needs. However, it should be noted that some NGOs and CBOs are incompetent, fail to deliver on promises and mandates and serve the greedy ambitions of certain individuals (Fisher, 2001).

### ***3.10.2. The role of the Government***

When it comes to informal settlements, government's role is to determine how best to deal with this issue, and associated urban poverty. Many governments have acknowledged that informal settlement upgrading can be used to address this problem. Working with international agencies, governments have adopted programmes that shift the focus of many informal settlement interventions (Huchzermeyer & Karam, 2006).

Informal settlement upgrading is one of the initiatives supported by government, in terms of service provision, security of tenure, and the provision of government subsidies. Government acknowledges that informal settlement upgrading has the ability to improve the living conditions of the poor; reduce poverty levels; and enable these communities to maintain social networks and livelihood strategies, while also improving their physical living conditions (Development Action Group, 2007).

The aim of government should be to guide informal settlement upgrading towards a pro-poor multi-sectoral approach that is guided by a participatory development environment (Huchzermeyer & Karam, 2006). Therefore, South Africa as a democratic country should be committed to participatory governance that supports meaningful empowerment. Democratic participation gives civil society a voice in policy and governance processes. Participation is therefore a necessary part of good governance, because it allows for a flow of information between citizens and elected leaders, through accountability, giving a voice to those citizens most affected by public policy (Ferguson, 2007).

## CHAPTER 4: HISTORICAL BACKGROUND OF THE CASE STUDY

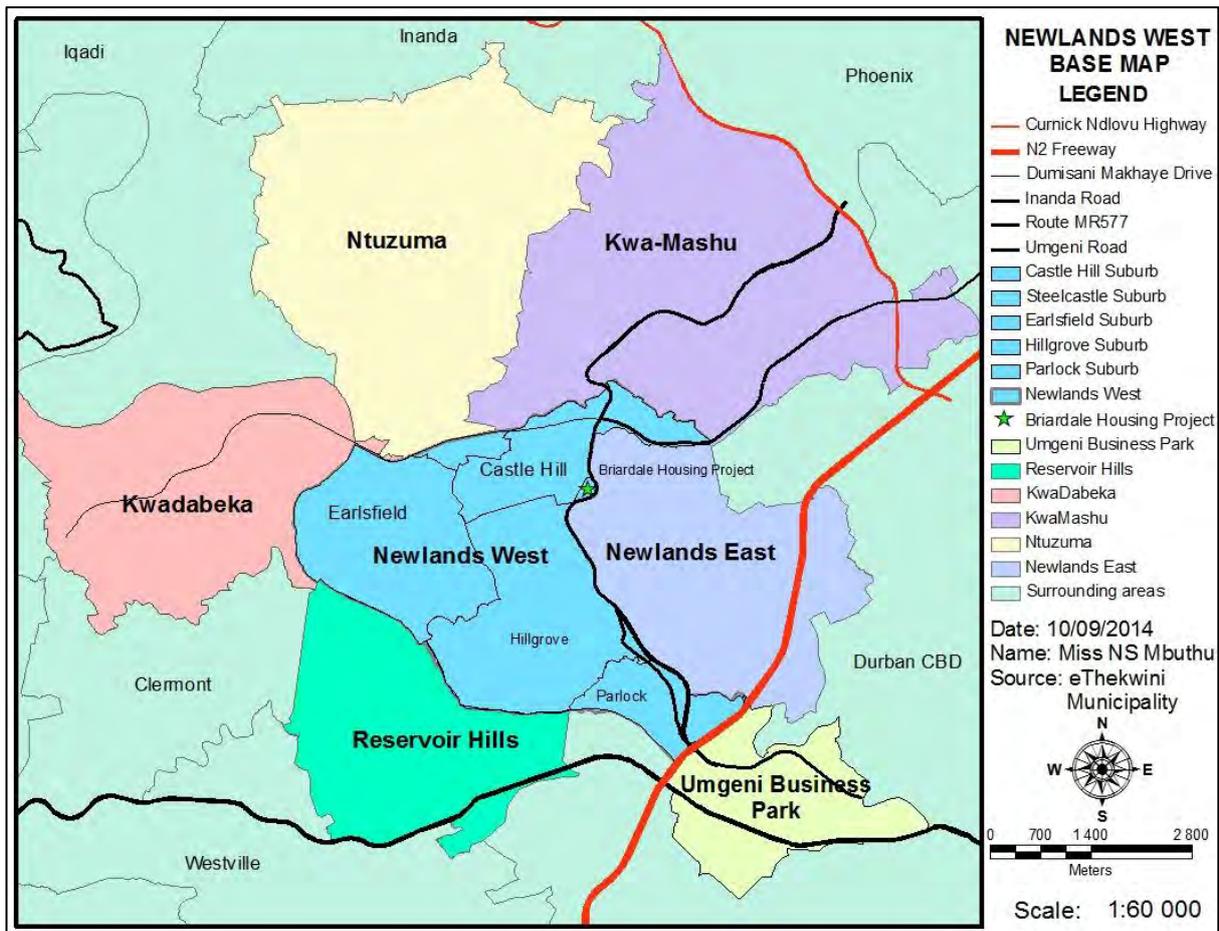
### **4.1. Introduction**

This study employed a qualitative research approach, based on a case study that was researched using narrative information from respondents through interviews, questionnaires and direct observation. This chapter presents a detailed account of the case study including the geographical location, and social, economic, educational and cultural aspects of the study area.

### **4.2. Geographical location of Newlands West**

Newlands West is a district within eThekweni Municipality, located 14 kilometres north of the Durban Central Business District (CBD). This area is 13.33 km<sup>2</sup> in extent with a population density of 3, 798.83 people per kilometre (Census SA, 2011). It is surrounded by a number of other districts, including townships such as KwaMashu and Ntuzuma to the north; Newlands East to the east; and KwaDabeka to the west. Umngeni Business Park, a centre for businesses, industries, and other economic activities is located south east of Newlands West, and the suburb of Reservoir Hills is located in the south. The Briardale Housing Project lies within the boundaries of Newlands West along the M21 Inanda arterial road. It is located within the Castle Hill sub-district, which is surrounded by a number of other suburbs, including Earlsfield to the west; Steelcastle and Hillgrove to the south; and Parlock to the south east.

**Figure 6: Map Showing the Location of Newlands West**



### 4.3. Historical Background of Newlands West

Newlands West was previously registered as sub 696 and 713 of Zeeokei Vallei County of Victoria, Province of Natal. In 1966 the area of Newlands West was established as a suburb by the Durban City Council (currently, eThekweni Municipality) due to a shortfall in housing for the Indian community (Indian Housing Report, 1965). Newlands West was made up of a number of other suburbs, namely Briardale, Castle Hill, Hillgrove, Riverside and Earlsfield. The area was originally designed to accommodate 2,944 dwellings in the form of semi-detached housing, duplex dwellings, and subsidised rental accommodation in flats on a “sectional title” basis (Durban Metropolitan Area: population and housing 1995).

In 1988, the number of people to be accommodated stood at 16, 916. However, by 1996 this had increased to 23, 238 (Durban Metropolitan Area: population and housing, 1995: 13). The number of units built in 1996 totalled 5, 297. Although the municipality was responsible for implementing the housing scheme, it encountered some financial constraints. While the

National Fund provided funding, where plans had been approved by the Department of Community Development, in order to ensure that the scheme was economically viable, contracts were awarded to private property developers. Therefore, only certain sections of Newlands West (particularly Briardale) were constructed by the municipality, with the other residential suburbs developed by private developers (Ramjugerth, 1996).

Increased demand for housing after the 1994 elections led to an influx of people into the Newlands West area, due to its proximity to the urban area and economic activities, such as Umgeni Park. This resulted in the establishment of informal settlements, where intervention was required, through *in-situ* upgrading.

#### **4.4. Social demographics of the study area**

##### **4.4.1. Population**

According to Statistics South Africa (2011), the total population of Newlands West is 50, 627 (3, 798.83 per km<sup>2</sup>), with 12, 222 households (917.09 per km<sup>2</sup>). There are 26, 576 females amounting to 52.49% of the population, and 24, 052 males (47.51%). Table 1 shows the Newlands West population by ethnic group.

**Table 1: The Population of Newlands West by Ethnic Group in 2011**

<b>Population group</b>	<b>People</b>	<b>Percentage (%)</b>
Black/African	33, 574	66.32%
Indian/Asian	15, 751	31.11%
Coloured	847	1.67%
White	145	0.29%
Other	310	0.61%
<i>Total</i>	<i>50, 627</i>	<i>100%</i>

Source: (Frith, A. 2011)

It is clear that Newlands West is densely populated. While there are more females than males, the difference is not sufficiently large to have any significant meaning, except that it might indicate that households are made up of functional homes, where both parents are present.

Table 1 shows that the area is home to diverse ethnic groups. Although the Black/African community constitutes more than 60% of the population, the area can still be considered

multiracial. Unlike some areas where different groups are concentrated in particular areas, in Newlands West, these ethnic groups are more likely to be integrated within one area.

#### 4.4.2. Language Proficiency

Table 2 below shows language proficiency in the area in terms of the official South African languages.

**Table 2: Language Proficiency of Newlands West in 2011**

<b>First Language</b>	<b>Number of People</b>	<b>Percentage (%)</b>
isiZulu	28, 099	55.70%
English	18, 375	36.43%
isiXhosa	1, 483	2.94%
isiNdebele	588	1.17%
Afrikaans	407	0.81%
Sesotho	397	0.79%
Sign language	253	0.50%
Setswana	163	0.32%
Sepedi	67	0.13%
Xitsonga	66	0.13%
SiSwati	32	0.06%
Tshivenda	14	0.03%
Other	498	0.99%
Not applicable	184	0.13%
<i>Total</i>	<i>50, 626</i>	<i>100%</i>

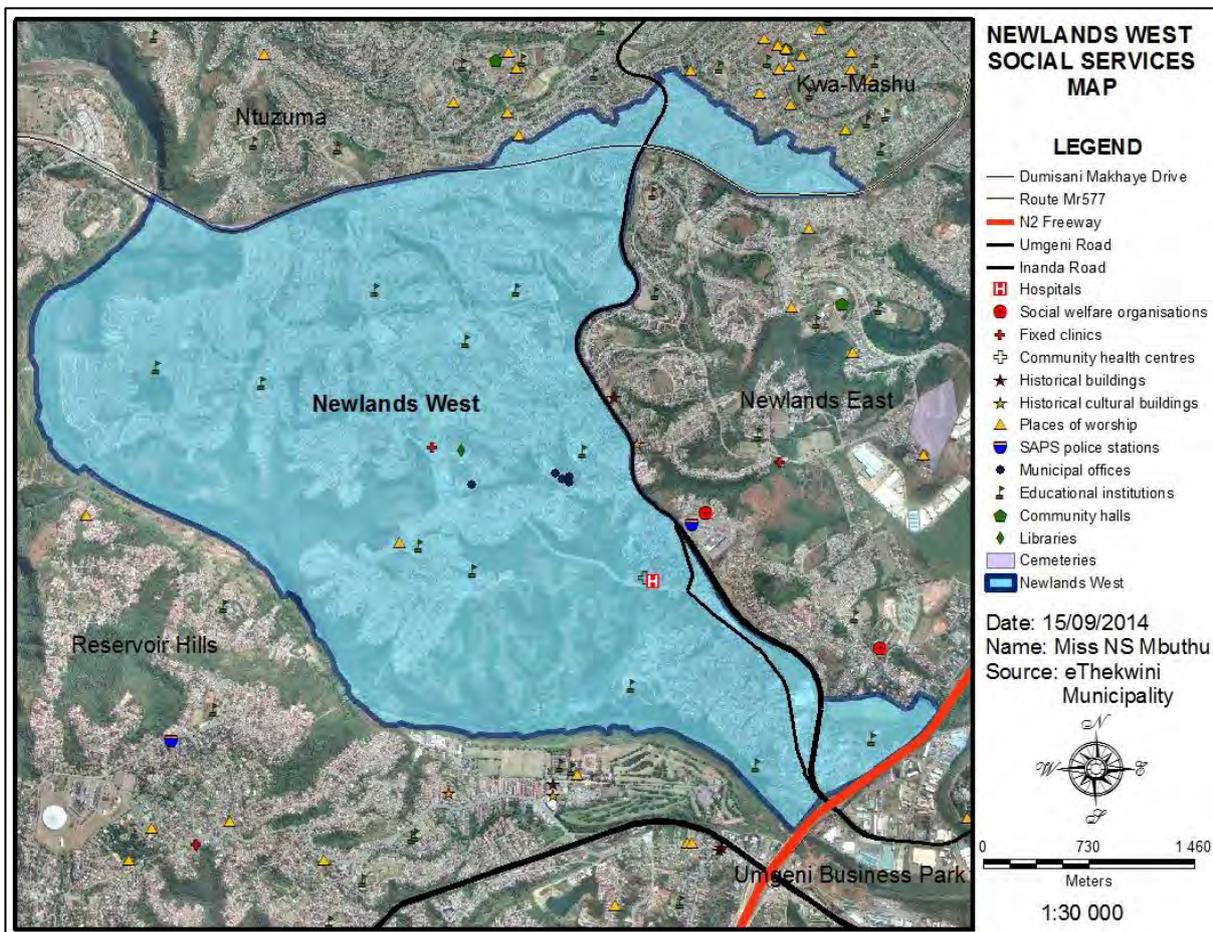
Source: Frith, A. 2011.

All 12 official languages are represented in Newlands West; this means language proficiency in the area is diverse. However, the majority of the population speak isiZulu (more than 50%); this is to be expected as the area is located within KwaZulu-Natal, where the native language is isiZulu. However, this study area is still considered multicultural because all languages are represented.

#### 4.5. Social Amenities

Newlands West encompasses a number of social facilities that span the suburbs in the area, and are used by the community within the Briardale Housing Project.

**Figure 7: Map Showing Social Facilities in Newlands West**



Schools within the area include Briardale Primary School and Newlands West Secondary in the suburb of Steelcastle. Other schools are Riverdene Secondary School in the suburb of Earlsfield; VN Naik School for the deaf, which is adjacent to the Briardale Housing Project, located on Inanda Road; and Castle Hill Primary School, located in Castle Hill suburb. This means that children within the area are able to walk to school, saving on costs, especially for

the Briardale community as it is a poor community. The schools within the area are public schools that are more affordable than private schools, which the urban poor cannot afford.

There is one community library, the Newlands West Library in the suburb of Steelcastle. Other libraries are found in close proximity to Newlands West, which can be accessed by the Briardale community. The lack of library facilities can be attributed to the fact that, as noted above, there are a number of schools within the area, and these schools are usually equipped with library facilities, playgrounds, sports fields and other social amenities that can be used by the community, especially during weekends or school holidays.

There are two health care facilities in Newlands West. The Fosa TB settlement is a hospital located in Castle Hill while the Newlands City Pharmacy and Medicine Depot is a clinic that is easily accessible to the Briardale community. Other health care facilities are located in the areas surrounding Newlands West, including hospitals, clinics, community health centres, and social welfare organisations. This means that overall, the health of the community can be maintained, and those suffering from chronic diseases and other serious illnesses have access to health care in close proximity to their homes.

There are seven places of worship in Newlands West ranging from mosques to chapels and religious organisations and centres. These are located in various suburbs. As shown in tables 1 and 2, the area is culturally diverse and the different places of worship are evidence of this. Figure 7 above also shows the many places of worship in the surrounding areas, indicating that there are deep-rooted cultural and religious traditions within the area.

There is a South African Police Service (SAPS) station and Newlands East police station, both located on Inanda Road. The SAPS is located within the boundaries of Newlands West in the Briardale Housing project; while the Newlands East police station is located within the boundaries of Newlands East. They are both accessible to the communities on their borders, and offer 24-hour protection from criminal activity.

There are also shopping centres, malls, and supermarkets in Newlands West. The Newlands city shopping centre is located on the corner of Inanda Road and Marbleray Drive, while Shoprite Meat Market is located within the Newlands West city shopping centre. Spar Roccas is a supermarket in Parlock suburb, in Newlands West on Inanda Road. This means that communities can access daily services, and shopping is done close to home and necessities are easily available, without having to travel to the CBD.

There are 16 small businesses in Newlands West; these include catering and décor; audio visual equipment suppliers; computer consultants; dentists; plumbers; clothing stores; web designers; weight loss service providers; property estate agents; medical supply stores; and DSTV installation and sound hire businesses. This suggests that people in this area are empowered to open their own businesses to serve the needs of their community. This improves the community's quality of life as residents are not only able to earn an income through these businesses, but offer members of the community employment opportunities. This creates a self-contained and self-sustaining environment where people are able to take care of themselves and their surroundings with very limited intervention from government.

There are also entertainment facilities in Newlands West, including Vibe Tours and Manjra's Travel Services cc, which are tourism entrepreneurs, one in Earlsfield suburb, in Rockrich Close, and the other in Parlock suburb, on Amlock Drive. Restaurants include Myoga and Nandos. These outlets offer the community an opportunity to relax and take part in fun activities, encouraging a family-oriented environment.

There is one petrol station located in Newlands West, Caltex Nu West service station in Steelcastle suburb on the corner of Loopest Crescent and Newlands West Drive. Table 3 below shows the social facilities within Newlands West and surrounding areas.

**Table 3: Social Facilities in Newlands West and Surrounding areas in 2011**

<b>Social Facilities</b>	<b>Number</b>
Schools	8
Hospitals	5
Clinics	4
Libraries	3
Place of Worship	10
Police Stations	5
Shopping Centres	4
Businesses	50+
Entertainment	20+
Petrol Stations	4

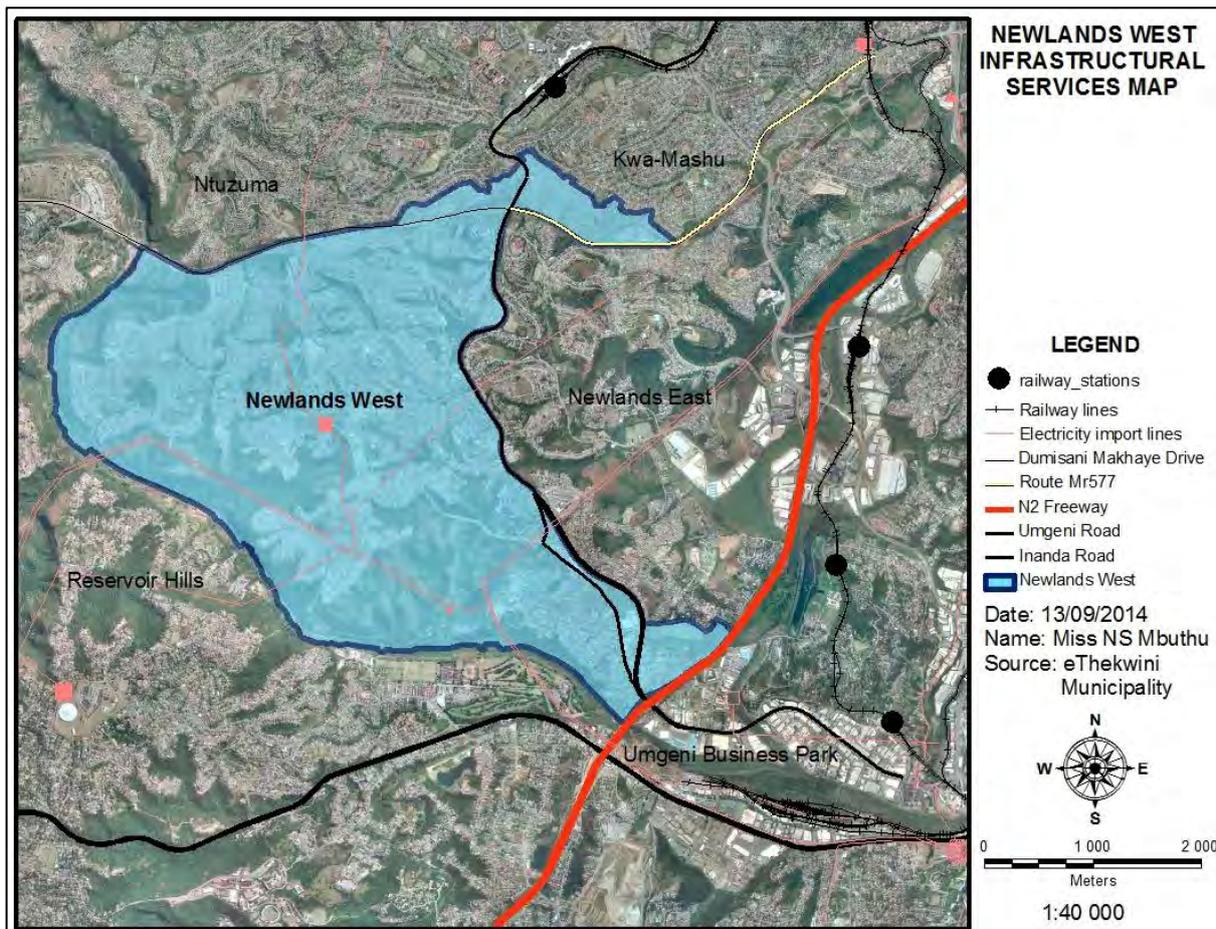
This is a good example of a compact and integrated community, where all facilities are within walking distance of households, encouraging areas of work, sleep and play.

#### 4.6. Physical infrastructural services

In an attempt to improve service delivery, the South African government has prioritised the provision of basic services to those communities that lack access. Service provision is regarded as an essential component of social and economic development. Lack of services has led to protests and social unrest, especially among the urban poor living in informal settlement areas (Fobosi, 2011).

Newlands West is the exception to this rule as all basic services, including housing, water supply (running tap water), electricity, storm water drainage, sanitation and refuse collection exist in the area (see figure 8). This ensures a satisfactory standard of living and enables the community to sustain their livelihoods.

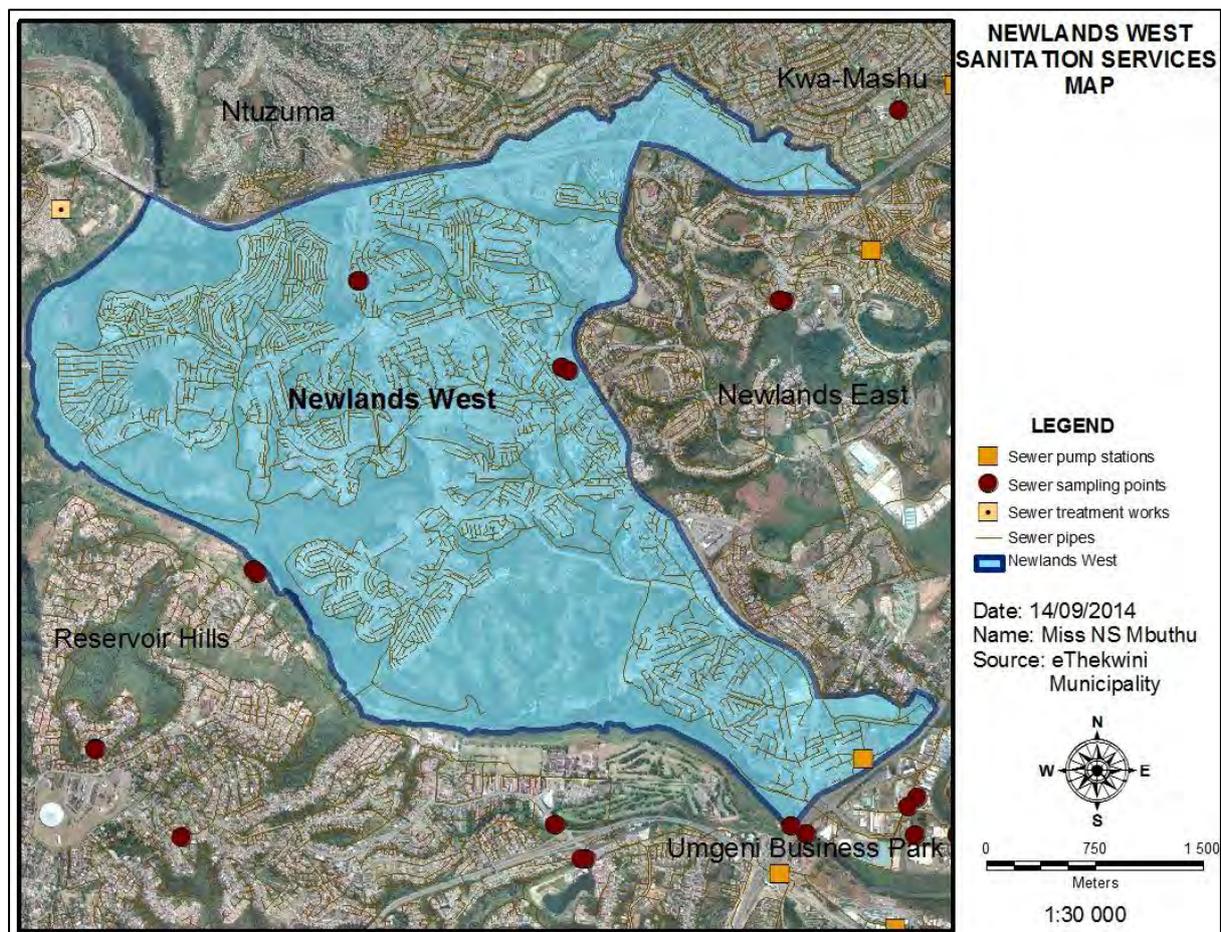
**Figure 8: Map Showing Physical Infrastructural Services in Newlands West**



The apartheid plague of little or no access to services on the part of the majority of South Africans continues to haunt the post-apartheid era. Many Africans were relegated to the peripheries of cities, and could only access services in urban areas. Access to these areas was through a “pass system”, only for the purpose of providing services to the white minority. This resulted in unhealthy living conditions among black people.

Newlands West also fell victim to these conditions and only recently has eThekweni Municipality been able to cater for the needs of this community, especially in the Briardale area, which is the focus of this study. As the maps, especially figure 6, show, the surrounding areas of Newlands West are informal townships, previously known as black areas. Briardale suffers similar condition as these areas that are characterised by informal settlements.

**Figure 9: Map Showing Sanitation Services in Newlands West**

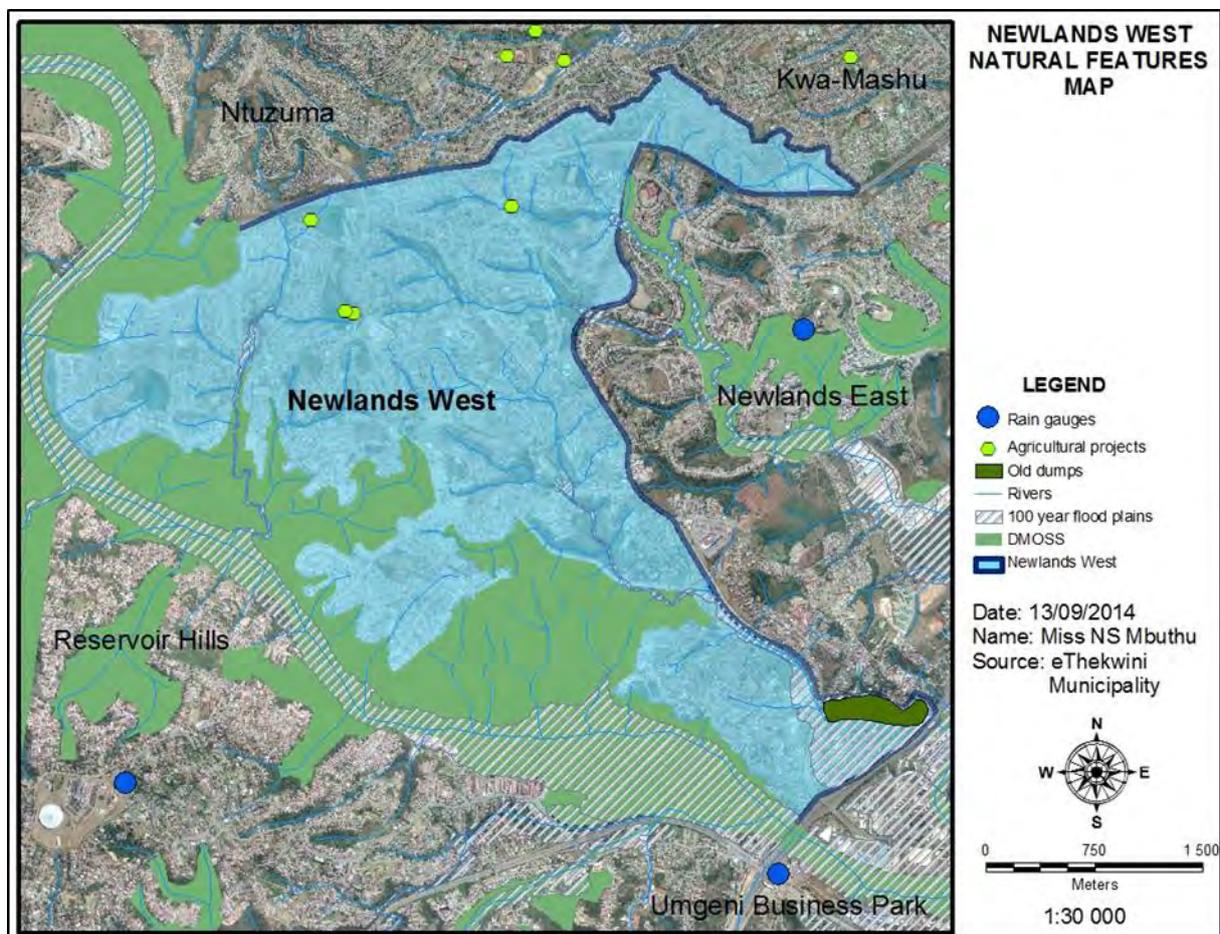


However, service provision in the area has resulted in improved social and economic development. Table 3 above that summarises the availability of businesses, shopping malls, and other employment opportunities, provides evidence of this trend.

#### 4.7. Natural Features

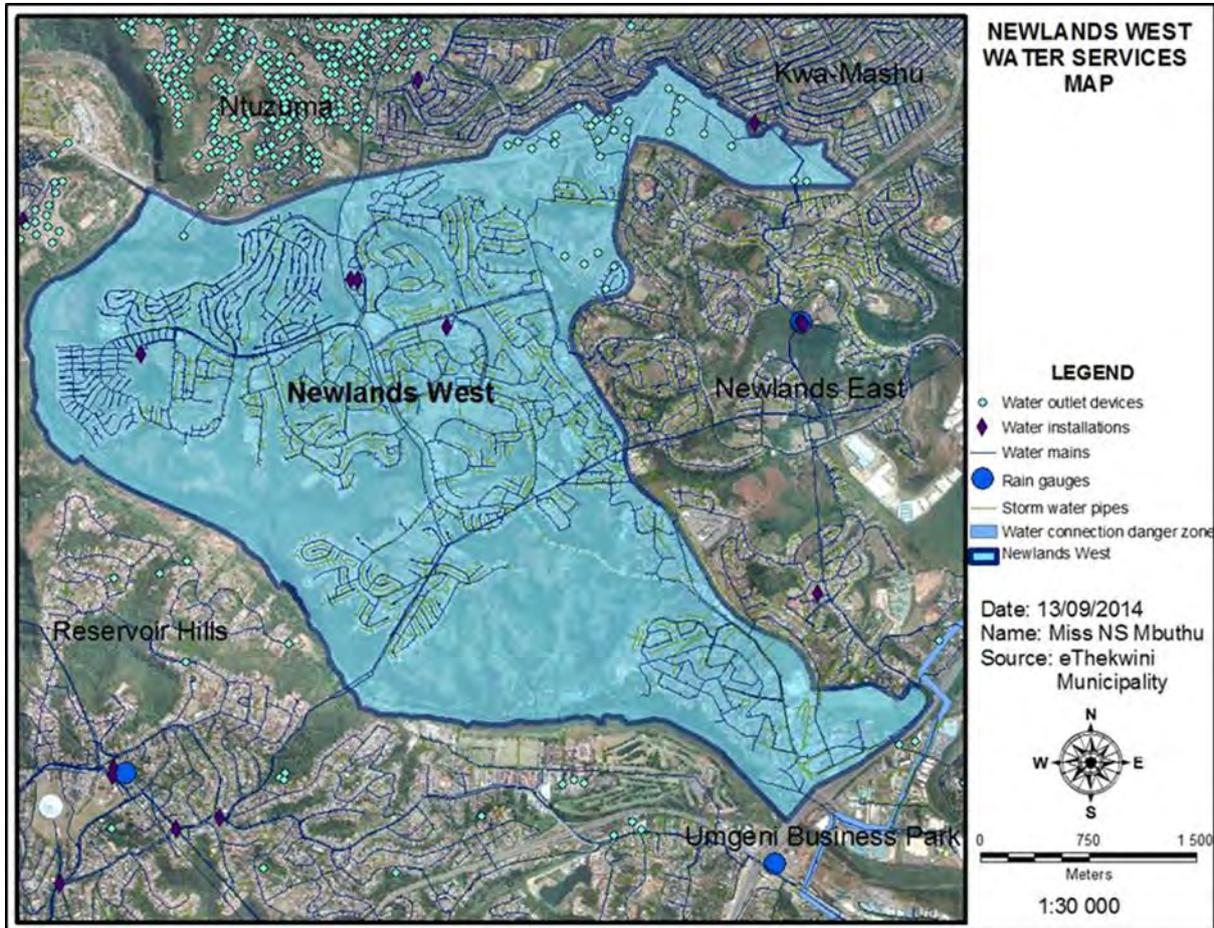
The natural features within Newlands West show both advantages and disadvantages of developing the area. Figure 11 shows that an estimated 30% to 40% of the land is considered a Durban Metropolitan Open Space (DMOSS) System, rendering this land undevelopable. Development cannot occur within the 100 year flood plains; a 30 to 40 metre buffer is required around these areas to ensure that communities are not vulnerable to flooding during the rainy season. Rain gauges collect and measure the amount of rain that falls with Newlands West and surrounding areas. There is also an old dumping ground (usually referred to as a landfill) within the area; this site is not suitable for development as it contains waste material. It is also considered an unstable area because it may experience severe shaking and soil saturation if stress is applied. Other problems that may occur are infrastructure disruption, pollution of the local environment, contamination of groundwater, and soil contamination. Therefore, it is not advisable to develop these areas unless extensive precautionary measures are taken.

**Figure 10: Map Showing Natural Feature in Newlands West**



The Umngeni River also runs through Newlands West and there are a number of agricultural projects within this area.

**Figure 11: Map Showing the Water Services in Newlands West**



Water services within the area include running tap water, and water installations (that allow water to reach people in good quality) that disperse water to the different water mains, and thereby supply water to individual households. Depending on affordability, households within the area are provided with different pressures of water, high pressure for those who can afford it and lower pressure together with a specified amount of water per household. The availability of water within the area promotes overall health, as it is less likely for the community to be affected by water borne and other diseases associated with unhealthy living conditions.

### 5.1 Introduction

This chapter presents an analysis of the empirical data obtained from the use of the four primary data gathering tools, namely, sampling, using the systematic sampling approach; interviews and questionnaires, using both closed-ended and open-ended questions; and photographic information, as a visual representation of the community. The systematic sampling method helped to obtain the required information. Interviews were conducted with a group of residents in the Briardale Housing Project. The questionnaires provided data from two professionals within eThekweni Municipality that were directly involved in the Briardale Housing Project. The photographic information was obtained by walking through the Briardale area and observing it, so as to correlate information provided by the participants with what was happening on the ground.

This study examined the role of participatory planning in the *in-situ* upgrading of informal settlements in South Africa. It included a prefeasibility study for the purpose of preparing a plan of action, laying the foundation for the study. The study sought to determine the steps taken by eThekweni Municipality to ensure the participation of the community and key stakeholders within the project. The anticipated outcome of the project is that the needs of the community are being taken care of by the municipality through participatory efforts, leading to community empowerment. Therefore, the research conducted within the selected study area covered the following:

- Background information on the study area, including its demographic and socio-economic profile; the previous location of the beneficiaries before moving to Briardale; and the reasons why they moved.
- The participation process and how it was implemented within the project area. This included assessing whether beneficiaries benefited from this process in any way, especially in terms of empowerment; job opportunities, including self-employment; training and skills development; and education and information sharing.
- Assessing whether any empowerment programmes were offered by the municipality to the beneficiaries before, during and after the project, and how these have helped to improve their overall quality of life. Quality of life was also measured in order to

determine whether the beneficiaries' quality of life improved when compared with the life they lived before the Briardale Housing Project.

## 5.2 Research Findings

### 5.2.1 Number of Respondents

Twenty interviews were conducted with beneficiaries in the project area, including the ward committee member who is also part of the community. Two questionnaires were distributed to professionals from eThekweni Municipality. These professionals were involved in the implementation of the Briardale Housing Project. Therefore, 22 respondents participated in the research.

**Table 4: Number of Respondents**

<b>Respondents</b>	<b>Response</b>
Beneficiaries	19
Ward Committee Member	1
Professionals	2
<b>Total</b>	<b>22</b>

Source: Field Work, December 2014.

### 5.2.2 Demographic Profile

The demographic information was collected from the 20 interviews with households within the project. It provided information relating to gender; age; the number of household members; home language, employment status; and the numbers of years residents have been living in the area. However, because a very small sample of the entire Briardale, Newlands West area was drawn, this information is not an indicator of the demographics of Newlands West, but provides a sense of the profile of people and households living in the Briardale area.

**Table 5: Gender of respondents**

<b>Gender</b>	<b>No. of Respondents</b>	<b>Percentage</b>
<b>Female</b>	13	65%
<b>Male</b>	7	35%
<b>Total</b>	<b>20</b>	<b>100%</b>

Source: Field Work, December 2014.

Table 5 above shows that 65% of the respondents were female and 35% were male. This means that there could be more females than males in the study area and that households in the area are headed by females. One of the residents stated in an interview that “we were a group of women and children fighting for the right given to us by Mandela to access land, where we would be able to build our homes”. This could be the reason why there are more females than males in the Briardale area.

**Table 6: Age of Respondents**

<b>Age</b>	<b>No. of Respondents</b>	<b>Percentage</b>
<b>Under 18</b>	0	0%
<b>18 – 30</b>	2	10%
<b>30 – 40</b>	5	25%
<b>40 – 60</b>	8	40%
<b>Above 60</b>	5	25%
<b>Total</b>	<i>20</i>	<i>100%</i>

Source: Field Work, December 2014.

Table 6 above show that the dominant age group within the area is 40 – 60 years. This means that the population consists of a large number of older people who were usually heads of households. This does not suggest that younger people do not live in Briardale. It simply reflects that this age group was excluded by the study to ensure that the responses obtained were those of the adult group.

**Table 7: Number of people in the household**

<b>No. of people in the household</b>	<b>No. of Respondents</b>	<b>Percentage</b>
<b>Less than 5</b>	6	30%
<b>5 – 10</b>	11	55%
<b>More than 10</b>	3	15%
<b>Total</b>	<i>20</i>	<i>100%</i>

Source: Field Work, December 2014.

Fifty five per cent of the households had five to ten members. This exceeds the average household size of 3.4 for South Africa and four in KwaZulu-Natal (Lehlohla, 2012).

**Table 8: Home language**

<b>Mother tongue</b>	<b>No. of Respondents</b>	<b>Percentage</b>
<b>English</b>	1	5%
<b>isiZulu</b>	18	90%
<b>isiXhosa</b>	0	0%
<b>Other</b>	1	5%
<b>Total</b>	<i>20</i>	<i>100%</i>

Source: Field Work, December 2014.

The majority of the respondents (90%) were isiZulu speakers; this reflects the South African population as a whole. One respondent spoke isiSotho, and another spoke English.

**Table 9: Employment status**

<b>Employment Status</b>		<b>No. of Respondents</b>	<b>Percentage</b>
<b>Employed</b>	<b>Formally</b>	5	25%
	<b>Informally</b>	7	35%
<b>Unemployed</b>		4	20%
<b>Pensioner</b>		4	20%
<b>Total</b>		<i>20</i>	<i>100%</i>

Source: Field Work, December 2014.

Most of the respondents were employed; 25% had formal jobs and 35% were informally employed. Those with formal jobs were paid through the bank and received pay slips, while those who were informally employed were paid in cash with no pay slips. Most of the older females living in the area were employed by a contractor to the municipality to sweep the roads of Briardale on Tuesdays and Thursday. Twenty per cent of the respondents were pensioners living on pension grants, while one respondent stated that, “I have never worked a day in my life, I have been living off my children’s disability and child grants and my parent’s pension grants”. This suggests that some of the other respondents could also rely on grants.

**Table 10: Number of years residing in Briardale**

No. of years	No. of Respondents	Percentage
<b>Under 5</b>	0	0%
<b>5 – 10</b>	2	10%
<b>10 – 20</b>	18	90%
<b>Above 20</b>	0	0%
<b>Total</b>	<i>20</i>	<i>100%</i>

Source: Field Work, December 2014.

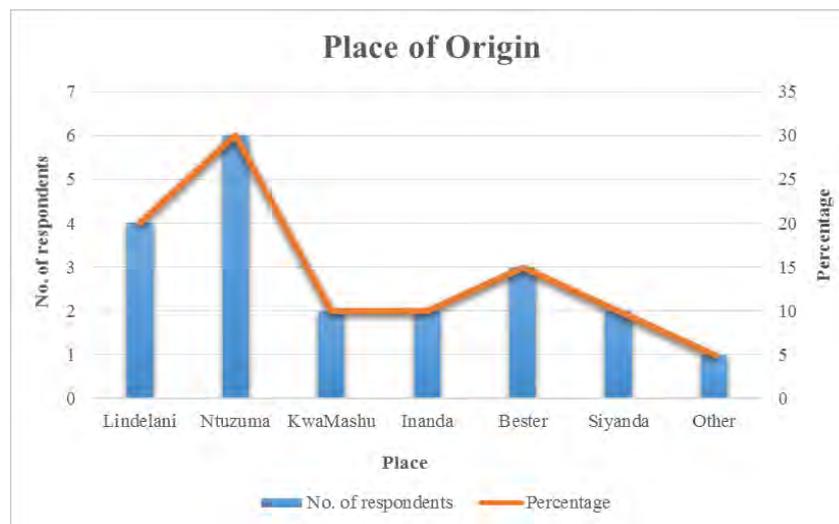
Most of the population moved into Briardale in 1998 when they invaded the land as informal settlers; this explains the fact that 90% of the respondents have been living in the area for 16 years, which falls into the 10 – 20 years category. The remainder moved into houses that were sold by some of the old residents that have since moved away.

### 5.3 The Briardale, Newlands West Housing Project

#### 5.3.1 Background

Most of the people living in Briardale came from different surrounding areas. Thirty per cent of the respondents moved to Briardale from Ntuzuma, 20% from Lindelani, 15% from Bester and 10% from KwaMashu, Inanda, and Siyanda, respectively. The Briardale residents moved from these areas because of political violence and war.

**Figure 12: Bar Graph Showing Place of Origin for Respondents**



Source: Field Work, December 2014.

The majority were fighting to obtain land to re-build their lives. One of the respondents stated that, "I was forced to move from Bhambayi where I lived in a rented house, because of the war and violence. I then stayed in Inanda, and had to move away from there as well because the house I lived in got burnt down. In both circumstances the only thing I left with was my children and the clothes I had on me at the time". A lot of people living in Briardale had similar experiences.

Some decided to move to the market in the Durban CBD in order to show the municipality that they had nowhere else to go and needed land to build their homes. Many of the respondents said that they lost loved ones there because of the poor living conditions. Eventually they found land in Briardale, Newlands West, which they invaded. By the end of 1998, Briardale was an informal settlement area.

The Briardale Newlands West housing project was originally initiated by private organisations representing informal settlers, including the Homeless People's Federation with assistance from the uTshani Fund. Respondents who participated in the project under uTshani stated that they had to put in R1 a day until they reached R500 to show that they were willing to build their own homes. UTshani then loaned them R10 000 per household to buy material to build the structure of the house, including cement, material for the foundations, and bricks for the walls, while the community continued to save money and pay it back to uTshani. The final R2 500 was saved for the roofs. Each house was 50m<sup>2</sup>. Many of the houses in Briardale were built under uTshani; however, some were in need of repairs and improvements.

According to the municipal officials, eThekweni Municipality took over the project in 2003 because the community was dissatisfied with some aspects of the project. This included the sewer reticulation provided by uTshani, which was a shallow sewer and was giving residents problems; they wanted waterborne sewer reticulation. The other reason was that uTshani had provided the community with communal land rights, whereas the community wanted outright security of tenure (ownership of their own homes) (eThekweni Municipality, 2003). However, many of the respondents from the Briardale community did not know why the municipality took over, although the ward committee member identified the same reasons provided by the municipality.

### ***5.3.2 Implementation of the Briardale Housing Project***

The project was approved by the municipality in 2003 because the site selling price did not exceed the maximum permissible amount, and also due to its urgency. The municipality bridge-financed the construction of the remaining houses for those who were not clients of uTshani. It entered into a partnership agreement for the implementation of the project so that the community would obtain assistance to drive and manage the development themselves. The municipality allocated additional funds for the completion and repair of some homes previously built by the uTshani Fund (eThekweni Municipality, 2003).

The Briardale, Newlands West housing project consisted of 156 households under the project linked subsidy mechanism that was approved by the former Minister of Housing, Dullah Omar in 2003. An agreement between the Department of Human Settlements (DoHS) (formerly known as the Department of Housing (DoH)); and the developer, eThekweni Municipality was concluded in 2004 (HEAC - Secretariat, 2008).

The development partnership between the municipality and beneficiaries was therefore structured in such a way that the municipality would fulfill the support function, whilst the beneficiaries would fulfill the role of contractor (eThekweni Municipality, 2003).

### ***5.3.3 Stakeholders involved in the Briardale Housing Project***

There were a number of stakeholders within the Briardale, Newlands West Housing project. These included the Briardale Development Committee (now known as the Briardale Ward Committee) that, according to the ward committee member, was responsible for helping the community to decide how development should take place, eThekweni Municipality, including the project manager, who was responsible for coordinating the project, and ensuring cooperation amongst all stakeholders; and the project liaison officer, who according to the response in the questionnaire, was responsible for “coordinating all activities in the project, ensuring communication between all stakeholders within the Municipality and those that are external, and communicating with the community, including the ward committee”. The other stakeholders included the DoHS, the Newlands West Councilor, and the Briardale community.

### **5.3.4. Standards and Basic Human Services in the Briardale Housing Project**

#### **5.3.4.1 Top Structure**

The minimum top structure size provided to the beneficiaries was 30m<sup>2</sup> as per the DoHS minimum norms and standards at the time. According to the municipality, the beneficiaries were able to decide on the type and extent of the top structure; however, some of the respondents explained that they wanted 50m<sup>2</sup> houses, similar to those under uTshani, which they were told they could not receive. One of the respondents stated, “I wanted a four room big house like the one uTshani provided, but the municipality said they could not give us that”. Another respondent stated that “this house is too small for me and my children, both of my children have left me and moved out, and are living in a nearby informal settlement because we cannot fit in this house”.

The municipality informed the community that the money they put into uTshani would be used (bridge-financed) to build their 30m<sup>2</sup> houses, and make improvements to the old houses built under uTshani. Any funds remaining would be given back to them, and they could choose to extend their homes or use the money for other improvements. However, the respondents stated that they did not receive the money they were promised by the municipality. All noted that they have been waiting on the municipality since the “completion” of the project in 2006. Furthermore, there were mixed responses in relation to the old houses under uTshani being fixed. One respondent claimed that, “Nobody came to do any repairs to my house”, while another stated that “I asked the Municipality not to build me that small three room house; I wanted them to add it as an extra room on the house that I built under uTshani”. It therefore seems that, while some residents had a choice, others did not. Finally, respondents that received low-cost housing claimed that the houses are of poor quality, with one noting that, “Soon after I moved into my house I had to move out because it was falling apart, the construction company did not build my house properly. They came and attempted to fix my house, but there is no difference, because it is still falling apart”.

**Figure 13: 50m<sup>2</sup> houses built under uTshani**



Source: Field Work, December 2014.

**Figure 14: 30m<sup>2</sup> House built by the Municipality**



Source: Field Work, December 2014.

#### *5.3.4.2 Water borne sewerage system and Water Connections*

According to the municipality, all top structures were connected to a waterborne sewerage reticulation system, with semi-pressured water connections. The respondents agreed, but many observed that the sewerage system is giving them problems. One said that, “the sewer

above me was giving me problems because it is leaking, and when it rains it would flood my yard, I had to ask someone to pave around my house with concrete so that the water would flow past my house and not flood it”. Another respondent stated that, “I have to make sure I clean around the sewer drain constantly, because if I do not I fear that one day I will find my entire house flooded with sewer”.

**Figure 15: Sewerage leakage into a resident’s yard**



Source: Field Work, December 2014.

The water connection seemed to be the worst problem as, although water meters were installed for all residents, the respondents complained that the meters were not being connected properly. One respondent stated that, “my water pipes are not connected to the meter, so even though I do have a meter I cannot access the water from it”. A ward committee member noted that, “the municipality came in to install water meters but did not bother to fix the leaking pipes, they came back to fix the leaking pipes, but residents are still complaining about them”.

**Figure 16: Water meter provided to the residents and water connections to the house**



Source: Field Work, December 2014.

Another problem is water pressure. According to the ward committee member, residents had a choice on how much pressure they wanted and could afford, so those that could afford, opted for full water pressure, while those do could not afford opted for semi-pressured water. One of the respondents who said they opted for semi-pressured water as they could not afford the full pressure stated that, “I have been washing since the morning and now it is almost three in the afternoon, the water is not coming out properly, I have to put it in buckets the day before if I want to wash the following day”.

The other problem is high water bills. Many of the respondents complained that, despite the fact that there are problems with water, they are billed each month. One respondent stated that, “I have taken this issue to the ward committee and ward councilor, and they informed me to keep the statements with me as proof because they are still trying to deal with the issue”. The ward committee member confirmed that this was the case.

#### 5.3.4.3 *Electricity*

According to the municipality, all electricity connections were in the form of prepaid credit meters (readi-board), with the connections costs borne by each beneficiary.

**Figure 17: Electricity Connections**



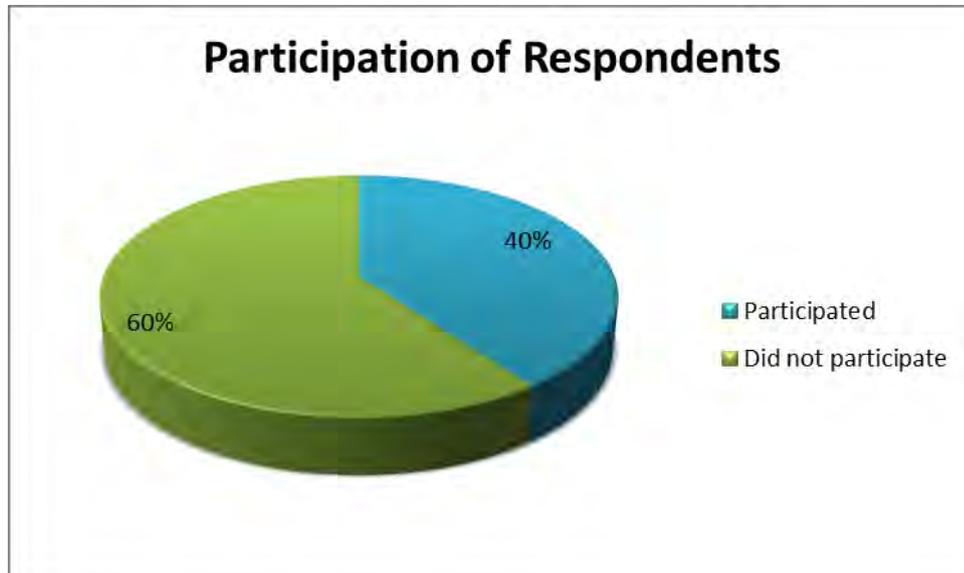
Source: Field Work, December 2014.

#### 5.3.5 *Participatory planning within the Briardale Housing Project*

The first question on participation was concerned with the community and the professionals' understanding of community participation. This aimed to determine whether or not all the parties were on the same page when it came to implementation. A municipal official stated that community participation is “where you ensure that whatever activities that are taking place in the project the affected community are aware and informed from initiation to completion of the project”. Community members offered mixed responses, with one stating that, “community participation was meeting with the ward councilor to discuss problems affecting the community that needed to be dealt with”, and another observing that “community participation is when a community with the help of the ward committee can come together and solve problems that affect the community”. Despite these different

responses, the overall understanding of community participation was consistent among all the respondents.

**Figure 18: Participation of Respondents in the Briardale Housing Project**



Source: Field Work, December 2014.

Figure 18 above shows that 60% (12) respondents did not participate, while 40% (8 respondents) participated. One reason for this low rate of participation might be that most of the houses had already been built under uTshani, and only a small number were built by the municipality. There were also a few people whose homes were fixed by the municipality. However, according to the respondents, most of their homes that were in need of repair were not fixed; therefore they considered themselves as not having participated in the project.

According to the municipality, the construction of the top structure was implemented by utilising the beneficiaries as builders or local builders appointed by the beneficiaries. The respondents concurred and stated that the low-cost houses were built under a construction company and roughly 10 community members were employed to construct some of the homes. It was also established that the community possessed various skills which they had obtained while building their own homes under uTshani. However, these skills were said to be insufficient to cater for all the needs of the community.

Individuals were identified to receive basic construction training so that the existing skills in the community would be supplemented to create sufficient capacity to construct the houses within the specified time frames. This training was provided by organisations such as

Khuphuka (eThekweni Municipality, 2003). A respondent who was one of the 10 people selected stated that, “I did obtain training from the municipality on how to build a house; this has helped me a lot, because I am able to go to other areas and find house construction jobs”. Another respondent noted that, “one of the 10 people chosen was able to start his own small business; he is called by members of the community and recommended by the community to others where he uses his skills to build people’s houses from start to finish”.

The eight respondents that participated in the project were asked at what stage of the process they were required to participate. Table 11 shows their responses. It should be noted that it includes the responses from the two professionals who participated in the project, increasing the number to 10 respondents.

**Table 11: Stages of Participation**

<b>Respondents</b>	<b>Conceptual phase</b>	<b>Feasibility Phase</b>	<b>Implementation Phase</b>	<b>Type of tenure</b>	<b>Layout design</b>	<b>House Design</b>
<b>Res 1</b>			√	√		
<b>Res 2</b>	√	√	√	√		
<b>Res 3</b>			√	√		
<b>Res 4</b>			√	√		
<b>Res 5</b>			√	√		
<b>Res 6</b>			√			
<b>Res 7</b>			√	√		
<b>Res 8</b>			√	√		
<b>Res 9</b>	√	√	√	√		
<b>Res 10</b>			√			
<b>Total</b>	<i>2</i>	<i>2</i>	<i>10</i>	<i>8</i>	<i>0</i>	<i>0</i>
<b>Percentage</b>	<i>20%</i>	<i>20%</i>	<i>100%</i>	<i>80%</i>	<i>0%</i>	<i>0%</i>

Source: Field Work, December 2014.

Table 11 shows that the professionals (respondents 2 and 10) involved in the project did not participate in four stages of the project. They did not participate in the layout design stage of the project because when they took the project over from uTshani, this aspect had already been dealt with by a private town and regional planning sub-contractor. They were also not

involved in the house design, because according to them this is determined by the DoHS as a set of norms and standards that should be followed by all low-cost housing developments.

All of the respondents were involved in the implementation stage of the project; they all stated that this was because they received a low-cost house. However, only 80% of the respondents stated that they were involved in deciding the type of tenure in the project. Two of the respondents from the community stated that they were happy with communal ownership of the site, which was decided upon under uTshani, although they did not state their reasons.

Overall, the community was not involved in the conceptual phase; feasibility phase; layout design; and house design stages. During the conceptual and feasibility phases, the respondents were merely informed about the progress of the project, although they were required to fill in their socio-economic details during the feasibility phase. The layout design of the project was done under uTshani; however it does not seem that the community made an input at that time, as one of the respondents who did not participate when the municipality took over stated that, “small sticks were put in the ground so that we knew where to put our houses, and each of us was told to stand in the plot so that we could be identified”.

This means that overall participation in the planning process was low; the community was merely provided with what was already planned for them. This is why many of the respondents (63%) stated that there was insufficient participation. While 75% of those who did not participate stated that they were keen on participating, the experience of those who did participate persuaded them otherwise. The remaining 25% who did not participate stated that they would have loved to participate because they were in need of adequate water and electricity services; others wanted a low-cost house to be added as another room to their homes, while some wanted the money they were promised by the municipality.

Table 12 below shows the satisfaction levels of the respondents who stated that they participated in the project.

**Table 12: Satisfaction of Respondents who participated**

<b>Satisfied</b>	<b>No. of Respondents</b>	<b>Percentage</b>
Yes	3	37%
No	5	63%
<b>Total</b>	<b>8</b>	<b>100%</b>

Source: Field Work, December 2014.

Table 13 below shows the number of respondents who did not participate; divided into those who wanted to participate, and those who did not want to participate.

**Table 13: Willingness to participate for Respondents who did not participate**

<b>Willingness to participate</b>	<b>No. of Respondents</b>	<b>Percentage</b>
Yes	3	25%
No	9	75%
<b>Total</b>	<b>12</b>	<b>100%</b>

Source: Field Work, December 2014.

### **5.3.6 Interaction with Stakeholders**

According to the Project Liaison Officer from eThekweni Municipality, interaction with the community took place through workshops, seminars, mass meetings and ward committee meetings. The needs of the community were identified and a package was established for them to understand their role as the community. Financial workshops were also held to ensure that the community understood the implications of the project.

#### **5.3.6.1 The role of the Ward Committee and the Community**

According to one of the members of the ward committee, the role of the ward committee is to help the community to decide how development should take place in Briardale, to work with the councilor and the municipality to address any problems encountered by the community, including repairing the houses built under uTshani; help child-headed households to access grants; work with Community Health Workers (CHW) to assist families living in unhealthy conditions to get medical assistance; and ensure the delivery of basic services. This was achieved through community meetings every Sunday; the committee member stated that “the children in the community would be sent out to knock on every house door to ensure that everyone was at the meeting. The community was always well informed about the plans of the municipality”.

The respondents provided three sets of views on the role of the ward committee in terms of participation. The first set, held by 40% of the respondents, mainly emanated from respondents who received houses under uTshani. They stated that the committee under uTshani (known as the development committee) was more effective than the current ward committee. Many expressed the view that the current ward committee is “useless”, with one

respondent stating that, “they are only helping each other and their friends, not the community as a whole, because we were promised things years ago that we have not even received”. Another respondent stated that, “the committee during the uTshani was effective, communication with the government officials was always successful and community members were happy. However, the committee that we have now is not effective in helping the community and it is not confrontational enough when it comes to the municipality. Although they have succeeded in helping certain members with houses and services”.

The second set of views was that the ward committee started off well; it identified the community’s needs, communicated them to the councilor, and providing feed-back to the community. However, as time went by and new ward committee members assumed office, the committee started lagging behind and soon stopped doing its job. One respondent stated that, “the committee only exists by word; they are not doing anything for the community. I had to, and still are reporting issues straight to the councilor, because if I report to the committee, matters do not even reach the councilor, let alone the municipality”. Twenty per cent of the respondents claimed that the ward committee was slacking. According to one of the respondents, this creates conflict between the community and the committee, because the councilor communicates with the ward committee, and when the community takes matters straight to the councilor, the committee has to account for not doing its job. This does not create a favourable environment for the community and the committee to work together.

The third set of views (held by 22% of the respondents) was that the committee was effective and that its role was to hold meetings and identify any issues that the community might have. These are then taken to the councilor, who communicates them to the municipality; the committee then receives feedback from the councilor and, when available, from the municipality. One of the respondents stated that, “the committee would hold meetings and give us the opportunity to voice our needs, and they would take these to the councilor”.

The remaining respondents expressed no views on the role of the ward committee. Eight per cent stated that they did not interact with the committee, while some knew of its existence, but did not attend committee meetings, while others did not even know that the committee existed.

### 5.3.6.2 *The role of the Municipality*

The respondents held very similar views on the role of the municipality. Most stated that the municipality was there to provide the community with low-cost housing; and basic municipal services, such as electricity and water, because uTshani only provided houses. One of the respondents went further by explaining that “the municipality also cleans the roads in the area, using labour from the community, this happens on Monday and Thursday, it also provides refuse collection services for the community every Monday.”

However, the respondents raised different concerns regarding their interaction with the municipality. Thirty per cent stated that the interaction was positive, as the municipality was able to provide them with a house as well as services. Two respondents stated that, while they interacted well with the municipality, certain aspects needed to be dealt with. For example, one respondent stated that they were provided with water, but they have to pay for it and they do not have money to do so.

Fifty per cent of the respondents stated that they did not interact well with the municipality due to various issues, including problems with meters; it was noted that the meters were not installed properly and do not work, but they still have to pay for water every month. Other problems related to the cost of electricity connections and having to pay a certain amount of money to have their prepaid electricity installed. Some respondents claimed that the power is not strong enough and that they have to disconnect certain appliances to use others, while some prepaid meters have burst and have not been fixed. Another group of respondents are not satisfied with the size of the houses provided by the municipality; many stated that the houses are too small and they do not want them. One respondent stated that, “I wanted a big house for my entire family, now they must bring back the money we put in the Federation, so that we can build better houses for ourselves”.

Twenty per cent of the respondents did not interact with the municipality at all. One observed, “I try to fix my problems myself, I went to Bester to get my own electricity, and have tried to fix my house that was damaged by water coming out of the sewer that the municipality connected above my house”.

**Table 14: Satisfaction regarding the interaction with the Municipality**

<b>Satisfied</b>	<b>No. of Respondents</b>	<b>Percentage</b>
<b>Yes</b>	6	30%
<b>No</b>	10	50%
<b>Did not interact with the municipality</b>	4	20%
<b>Total</b>	20	100%

Field Work, December 2014.

### ***5.3.7 Challenges in the Briardale Housing Project***

There were a number of challenges with regard to participation and the implementation of the project as a whole. According to municipal officials, at some stages of the project there was resistance by community members because some demands could not be met. This was due to the municipality's financial constraints as they could not exceed the project's budget. Dissatisfaction centred on the fact that community members had to pay for water services, and that the houses provided could not go beyond the 30m<sup>2</sup> stipulated by the DoHS.

While the challenges identified by the community were similar to those cited by the officials, they were much more extensive. According to the ward committee member, there were few challenges relating to participation except for the normal conflicts between members with different opinions. The challenges faced with the project itself and implementation persist to this day; these mainly relate to incompetence on the part of the municipality, including issues such as water meters not being installed properly and households having to pay large bills.

According to the respondents from the community the challenges in terms of the project were linked to participation and vice versa. The beginning of the project was a challenge in itself as there were tensions between Briardale residents and the surrounding middle-income areas of Newlands West. These residents did not want low-income earners in their neighbourhood as it was felt that this would decrease the value of their homes and increase crime in the area.

People did not always see eye to eye in meetings and in some cases solutions could not be found to the problems confronting community members. Most of these conflicts stemmed from that the community was merely informed about what was going on and were never really involved in decision making. There were also communication challenges; the committee did not seem to communicate well with the community, while the line of communication between the committee, councilor and municipality was weak. Some

households were recorded by the municipality as receiving services when this was not the case.

In terms of the project, a major challenge was that certain monies owing to the community by the municipality were not received as promised. The houses provided by the municipality were 30m<sup>2</sup>, which the respondents stated was too small. Many wanted much larger homes to accommodate all their family members. The municipality installed sewer connections in the area; however, these were leaking. Water meter connections were causing problems, as they were either not connected properly or the taps only yielded a trickle of water, resulting in households spending much time collecting water. The municipality did not provide the community with title deeds for the homes that they built for themselves; this means that even though they own the houses they have no proof. One of the respondents observed, “I built this house myself with my own hands, nobody helped me, and the municipality was not there. It is their responsibility to give us our title deeds, but this has not happened”.

According to the municipality, challenges relating to the payment of water bills have been overcome and arrangements have been made with the community to pay the bills off over time at lower rates.

According to the committee, the community has met with the municipality on a number of occasions; however existing problems have not been addressed and the municipality makes promises they do not keep. It was for this reason that the committee advised community members to keep their water bills.

All the respondents from the community stated that their challenges have not been resolved; one stated that, “the municipality is not finishing, they keep coming here to do things and they do not finish them. When they have not finished one thing, they start something else and do not finish that as well, then they have to go back and fix the things they started before because they are not done properly or not of good quality”.

#### **5.4 Outcomes of the Briardale Housing Project**

Most of the respondents stated that their overall quality of life had improved. However, this was not a result of the participatory processes within the project that were seen to be inadequate, but merely because they now have a roof over their heads, which is one of the reasons many moved to Briardale. These structures enabled them to access services, such as water, electricity, sanitation, waste collection and road cleaning. A few community members

benefitted from skills development, such as construction, but some have not been able to use these skills to empower themselves. Although challenges remain, many of the respondents were comfortable with their quality of life.

## CHAPTER 6: SUMMARY OF FINDINGS, RECOMMENDATIONS & CONCLUSIONS

### 6.1 Summary of Findings

The study examined whether participatory planning can have a positive impact on the lives of beneficiaries involved in the *in-situ* upgrading of informal settlements. It assessed the implementation of the Informal Settlement Upgrading Programme, and whether the participatory planning process has played a role in empowering beneficiaries and improving their lives.

However, under the objective of assessing the degree to which participatory planning was implemented during the *in-situ* upgrading of informal settlements, the study found that this intervention was inadequate. In terms of Arnstein's ladder of citizen participation, one can conclude that the level of participatory planning in the Briardale Housing Project was on the lowest rungs of manipulation and therapy, which involve informing and consultation that are considered tokenism, and thus non-participatory. Beneficiary participation was only evident during the early stages of upgrading, where limited communication took place, in pursuit of an already existing agenda.

This study portrayed an advocacy planning theory, promoting equal power, inclusion and public participation, but was limited in its implementation as one party (the Municipality) was able to influence decision making (Stieglitz, 1999). In the Briardale Housing Project, development was more of a top down approach, although the community was represented by a committee, most of the decisions were taken by the Municipal officials.

Under the objective of discussing the importance of beneficiary participation during the *in-situ* upgrading of informal settlements, the study found that the municipality contracted the services of a construction training centre (Khuphuka) to certain members of the community for construction work. The municipality's participatory planning efforts included skills training and work experience to promote empowerment and to use local people to build their houses. However, the findings show that this was a very minimal initiative, because out of 156 households only 10 people were identified, and only 2 of these benefited from the training. One was able to use the skills gained to become self-employed, while the other is employed by the municipality whenever construction work became available. The other 8 were unable to secure adequate jobs and therefore discontinued utilising their skills to empower themselves.

Beneficiaries were also empowered through other government initiatives, where they cleaned their project area providing them with a source of income. Others opened spaza shops in their homes, building informal structures to function as tuck shops for small scale groceries. This demonstrated that the municipality had made efforts to provide the community with some means to maintain their project and enhance their quality of life, however implementation of these was very minimal.

The successful implementation of a project is based on all stakeholders coming together to determine solutions to problems using a plan to guide development; decisions are therefore made collectively. Under the objective of identifying the measures that were put in place to enhance participatory planning in the *in-situ* upgrading of informal settlements, the study found that this was done solely through mass meetings. There was no conflict resolution plan; which meant that the challenges faced by the community during these meetings could not be resolved.

Therefore, in answering the research question of the study, it is evident that the integration of participatory planning into the *in-situ* upgrading of informal settlements needs to be improved. This is due to the fact that planning and development practitioners focus more on the completion of the project than the participatory process that leads to beneficiary empowerment, and therefore successful project implementation.

These findings also affirm the research hypothesis that a well-planned and well-implemented participatory planning process can make a positive contribution during the *in-situ* upgrading of informal settlements. Although there was inadequate implementation of many of the municipality's participatory initiatives, what the municipality planned in terms of participation was attempted, but was not successful.

## **6.2 Recommendations**

One of the objectives of this study was to recommend ways in which participatory planning can be implemented during the *in-situ* upgrading of informal settlements in order to improve the lives of beneficiaries. These recommendations are based on the inadequacies of participation in the Briardale Housing Project. This includes the lack of open, transparent lines of communication among stakeholders as well as accountability; the fact that the challenges encountered were not resolved; and that the measures put in place for participation represented a one-size-fits-all approach to development.

### ***6.2.1 Opening lines of communication and decision-making for stakeholders***

Stakeholders are involved in the participation process for a number of reasons. They may participate because they have authority; have information for the successful completion of the project; could cause conflict if not involved; or they are the community, or are connected to the community, and have local influence. All these people have an interest in the issues addressed (Sendich, 2006). This means that the successful implementation of any project requires a collaborative process with open, transparent communication and accountability.

The study revealed that the level of participatory planning was inadequate in the Briardale Housing Project and is considered token participation. It is therefore recommended that experts act only as facilitators of development that provide a course of action to resolve community problems. This means that in the Briardale Housing Project stakeholder interaction should have begun under clear roles and responsibilities, from initiation to completion. Agreements entered into by all parties involved, such as the social compact agreement were to be adhered to, and properly implemented. This would have assisted during disputes and conflict, thereby minimizing confusion. Development programmes should have been aimed at strengthen local organisations, where decisions were made to enhance the capacity of the community.

The major challenge in many participatory planning projects is therefore training officials to undertake these projects effectively. This means simplifying technical planning techniques to include communities in the planning process in order to deliver the intended results. Decisions must be made in collaboration, however, keeping in mind the interests of the beneficiaries. As they are the ones that will have to live with what has been implemented, and be responsible for maintaining it. The UISP provides that the Ward Committee or similar structures should adopt a resolution supporting the application for the *in-situ* upgrade, including all the processes that will be followed for successful implementation (Department of Human Settlements, 2009).

In the Briardale Housing Project only a few people benefited from the participation process. The study therefore recommends that accountability must be determined and complied with, and if a breach of any agreement occurs, those responsible must be held accountable. This means that the community must be made aware that it has balanced power relations with the municipality, and that the municipality is not the only participant in the project. They should not simply sit back and complain about all that is going wrong, but must be able to fight for

their voices to be heard. Furthermore, they should not strive to succeed as individuals, but work as a community with the aim of empowering rather than overpowering one another.

### ***6.2.2 Measures put in place for participation***

The findings confirmed that public meetings were used as a measures for participation. Public meetings are considered as an effective method for participatory planning if used appropriately through careful planning and follow-through. A well-organised and executed public meeting can provide information on important issues and foster meaningful input. The primary purpose of public meetings is information sharing, seeking advice, and solving problems (Sendich, 2006). The Briardale Housing Project; adopted this as a common form of participation.

Workshops, informal interviews and consultations are also important in the implementation of projects that seek to fulfill participatory efforts. Such forums are able to monitor the actual level of participation, by identifying obstacles, noting recommendations and making revisions where necessary.

However, it should be noted that participation is a lengthy process, and that those leading this process must be informed and skilled in leading discussions and following an agenda. They must be equipped with specific questions and discussion topics, well-trained in recording and be decision makers that commit themselves to getting results. Above all, they must be patient (Sendich, 2006).

According to the findings the method of public meetings was not effective in the Briardale Housing Project. There were many complaints that consensus could not be reached and resolutions could not be adopted. It is therefore recommended that public meetings in the form of problem solving meetings are a more effective way of communication. These meetings are very effective in solving community problems. For a large group of people, like the Briardale Housing Project, the community should have been divided into smaller discussion groups. This makes it easier to reach consensus because the results reflect the group process rather than any particular advocate or dissenter (Sendich, 2006).

### ***6.2.3 Mechanisms for conflict resolution***

Conflict is usually resolved by reaching consensus on issues being discussed; matters of concern or problems encountered. It is inevitable that competing interests will arise in any participatory process. In the Briardale Housing Project, disputes that arose during mass

meetings were never addressed. This undermined the community's trust and commitment to the project, because even before they attend project meetings they know that their views are not going to be heard, or that disputes will arise and consensus will not be reached.

The study therefore recommends that for disputes to be resolved, consensus building techniques must be in place, this means being aware of the steps to be taken when disputes occur. Having such mechanisms in place is, however, not enough; it is crucial that they are implemented correctly and timeously.

### **6.3 Conclusion**

The study was able to integrate the themes of participatory planning and informal settlement upgrading in the evolution of planning. The degree to which participatory planning been integrated into the *in-situ* upgrading of informal settlements in South Africa, was the main question. The set of objectives identified were able to assess this integration together with implementation during the *in-situ* upgrading process.

The study used a qualitative research method in the form of a case study. Therefore, a brief historical background was able to determine the unique attributes of the area and its residents. In the search for participatory efforts in the case study, the findings were able to present an in-depth observation measured against the theoretical arguments and literature reviewed from the secondary data.

Theories that were used to support participatory planning, included collaborative planning, communicative planning, advocacy planning and empowerment theory. The literature reviewed helped to determine the study in terms of the key pioneers of participatory planning. It also provided a context for the research and the participatory planning methods and tools. In determining levels of participation Arnstein's ladder was able to categorise each level comprehensively.

Recommendations were made based on the findings of the study. These determined the degree to which the study successfully answered the research questions and met the objectives. It was identified through the findings that the common problem was the lack of implementation in participatory efforts. As noted in the research problem, this was the main reason why many *in-situ* upgrading projects are not successful.

Officials and the community become frustrated or are unwilling to engage in a timely participatory planning process. As a result, officials neglect to follow their mandate in terms of participation, and create an environment of pre-designed plans that make it impossible for participation to take place. Furthermore, the community creates a volatile environment that leads to a project being implemented for the sake of completion rather than empowerment. Therefore, for participatory planning to succeed and bear the fruits of empowerment, especially for the poor communities, the implementation process must integrate participatory planning as a driving force for any community development.

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## **Appendices**

## **APPENDIX ONE:**

### ***Informed Consent Form***

My name is Noluthando Samukelisiwe Mbuthu (209515875). I am doing research on a project entitled: The role of participatory planning during the *in-situ* upgrading of informal settlements, a case study of Briardale, Newlands West housing project in the eThekweni Municipality. The aim of the research project is to determine what role participatory planning (which means involving the community in the project cycle or planning process of development) play in the *in-situ* upgrading of informal settlements in the Durban area. This includes the degree at which people are involved in the upgrading process, and some of the challenges experienced by the various stakeholders. Should you have any questions or queries, my contact details are:

School of Built Environment and Development Studies

University of KwaZulu-Natal

8<sup>th</sup> Floor Denis Shepstone Building, Howard College Campus

Durban 4001

This research is supervised by Mr Vincent Myeni in the School of Built Environment and Development Studies (SOBEDS), at the University of KwaZulu-Natal, who is managing the research project, and should you have any questions or queries my contact details are:

School of Built Environment and Development Studies

University of KwaZulu-Natal

8<sup>th</sup> Floor Denis Shepstone Building, Howard College Campus,

Durban 4001

You have been identified to participate in this research project because you were part of the stakeholder list in the Briardale, Newlands West housing project. This means you were considered a great asset within the project, and therefore will help in understanding the content of the project and its undertakings.

You will participate in an interview session with the researcher as well as fill in a questionnaire form. The interview meetings will be set in collaboration with the researcher at times in which we can both be able to avail ourselves. You will be given sufficient time to fill in the questionnaire in the comfort of your own space, without the presence of the researcher. However, you will be given a certain amount of time to return the questionnaire for the purpose of data analysis by the researcher.

Your participation will not affect your employment and personal status in any negative manner, and if you wish to be anonymous your name in the questionnaires, interviews, data analysis and declaration will be specified with a respondent number.

The estimated time for the research project is 10 months. The time in which you are expected to be involved in the data collection process of the research is over a space of 2 months (June to July). This however, does not mean that you will be involved over the entire 2 month span, only on the days which you have chosen to avail yourself.

The potential benefits to be derived from participating in the study are your assistance in making recommendations to policy (both in planning and housing). Not only this, but you will help increase the body of knowledge in academia, contributing to the understanding of the practical reality of policy in South Africa.

There will be the use of transcribed information, audio recordings and photographs taken during this process. This information will be collected and stored safely, where all participants and findings will be anonymous in order to protect the respondents identity, if need be. Data will be stored safely with appropriate back up such as duplicate copies, and contingency plans put in place by the University in the event of loss, damage or unauthorized access to the data. Interview notes and questionnaire responses where possible will be stored in their original form for a period of at least five years from the completion of the research as stipulated by the UKZN institution. After this time data will be destroyed by shredding or incineration so as to ensure that the identities of respondents who may not wish to be made public are protected.

Any expenses incurred by the participant will not be reimbursed. The decision not to participate in the research project will not result in any form of disadvantage.

The information provided will be kept strictly confidential and will be available only to members of the research team. Excerpts from the interview may be made part of the final research report. Do you give your consent for: *(please tick one of the options below)*

Your name, position and organisation, or	
Your position and organisation, or	
Your organisation or type of organisation <i>(please specify)</i> , or	
None of the above	

Thank you for agreeing to take part in the project. Before we start I would like to emphasize that:

- Your participation is entirely voluntary;
- You are free to refuse to answer any question;
- You are free to withdraw at any time.

Please sign this form to show that I have read the contents to you.

----- (signed) ----- (date)

----- (print name)

Write your email address below if you wish to receive a copy of the research report:

DECLARATION

I..... (full name/s of participant) hereby confirm that I understand the contents of this document and the nature of the research project, and I consent to participating in the research project.

I understand that I am at liberty to withdraw from the project at any time, should I so desire.

SIGNATURE OF PARTICIPANT

DATE

.....

NOTE: Potential subjects should be given time to read, understand and question the information given before giving consent. This should include time out of the presence of the investigator and time to consult friends and/or family.

**ALL INFORMATION PROVIDED BY THE PARTICIPANT IS CONFIDENTIAL**

## APPENDIX TWO

### *Questionnaires*

*Questionnaire: To the members of the Briardale Community*

Kindly answer the following questions to the best of your ability.

1. Please tick the appropriate block.

Gender	
Male	
Female	

Age	
< 18 years	
18 – 30 years	
30 – 40 years	
40 – 60 years	
60 years >	

Number of people in the household	
< 5 members	
5 – 10 members	
10 members >	

Mother tongue	
English	
isiZulu	
isiXhosa	
Other (Specify)	

Employment status		
Employed	Formally	
	Informally	
Unemployed		

How long have you stayed in Briardale?	
< 5 years	
5 – 10 years	
10 – 20 years	
20 years >	

2. What is your place of origin?
3. What made you come stay in Briardale?
  - To be closer to employment opportunities
  - To be closer to social facilities
  - To have access to transport facilities (i.e. public transport)
  - All of the above
  - Other (state reasons below)
4. Were you already in the settlement when it was upgraded? Please specify.
5. What do you understand by meaningful community participation?

6. Did you participate in the Briardale project?
7. At what stage of the process did you participate?
  - Conceptual phase
  - Feasibility phase
  - Implementation phase
  - Type of tenure
  - Layout plan phase
  - House design
  - All of the above
  - None of the above
8. How did you participate in the stages you mentioned above (6)?
9. According to you was this participation enough? Please specify.
10. If you did not participate in the project, how would you have loved to have participated?
11. According to you, what was the role of the Community Ward Committee in the Briardale project?
12. How did the Ward Committee participate during the planning and implementation of the Briardale project?
13. What was the role of the eThekweni Municipality in the Briardale project?
14. Did you interact well with the Municipality? Please specify.
15. What were the challenges encountered during your participation in the Briardale project?
16. How were the challenges mentioned above (15) overcome?
17. What sort of empowerment programmes did the project introduce in the Briardale area?
  - Education and information sharing
  - Training and skills development
  - Job opportunities

- Opportunities for self-employment
- Other

18. Has the project been able to improve the quality of your life? Please specify.

*Questionnaire: To the Community Ward Committee in the Briardale project*

Kindly answer the following questions to the best of your ability.

1. What is the role of a Community Ward Committee?
2. What role did you play during the planning and implementation of the Briardale project?
3. Who are the stakeholders involved in the development of Briardale?
4. Are there any reasons why people chose to settle in the Briardale area?
  - To be closer to employment opportunities
  - To be closer to social facilities
  - To have access to transport facilities (i.e. public transport)
  - All of the above
  - Other (state reasons below)
5. What do you understand by meaningful community participation?
6. At what stage of the process were you required to participate in the Briardale project?
  - Conceptual phase
  - Feasibility phase
  - Implementation phase
  - Type of tenure
  - Layout plan phase
  - House design
  - All of the above

- None of the above
- 7. What measures were put in place by the Committee to promote community participation?
- 8. How did you as the Ward Committee ensure that the Briardale community was able to participate in the project?
- 9. Did you interact well with the eThekweni Municipality? Please specify on what basis.
- 10. What were the challenges experienced by the Ward Committee in terms of community participation?
- 11. How were the challenges mentioned above (10) overcome?
- 12. How did the community benefit from the Briardale project?
- 13. Would you say that the community was empowered during and after the Briardale project? Please specify.

*Questionnaire: To the Project manager*

Kindly answer the following questions to the best of your ability.

1. What is your role as a Project Manager?
2. What was your role as the Project Manager in the Briardale project?
3. Seeing as the Briardale project was initially started by an NGO (uTshani Fund) were there any challenges in taking over the project as the eThekweni Municipality? Please specify.
4. What do you think are the reasons why people located in Brairdale area?
  - To be closer to employment opportunities
  - To be closer to social facilities
  - To have access to transport facilities (i.e. public transport)
  - All of the above
  - Other (state reasons below)
5. What do you understand by meaningful community participation?
6. Did the community participate in this project? Please specify.
7. At which stage in the project was the community able to participate?

- Conceptual phase
  - Feasibility phase
  - Implementation phase
  - Type of tenure
  - Layout plan phase
  - House design
  - All of the above
  - None of the above
8. Who were the stakeholders involved in the Briardale project?
9. What were the challenges you experienced in the implementation of the project?
10. What were the challenges you experienced with community participation in the project?
11. How did you deal with the challenges mentioned above (9 and 10)?
12. What sort of empowerment programmes did the Briardale project introduce into the area?
- Education and information sharing
  - Training and skills development
  - Job opportunities
  - Opportunities for self-employment
  - Other (specify below)
13. Would you say community participation must be regarded as an effective tool in getting support from a community? Please specify.
14. From what you have experienced through your involvement with the Briardale project, was this a successful community participation initiative? Please specify.

*Questionnaire: To the Project Liaison Officer*

Kindly answer the following questions to the best of your ability.

15. What is the role of the Liaison officer?

16. What was your role as the Liaison officer in the Briardale project?
17. What do you understand by meaningful community participation?
18. At what stage of the process were you required to participate in the Briardale project?
- Conceptual phase
  - Feasibility phase
  - Implementation phase
  - Type of tenure
  - Layout plan phase
  - House design
  - All of the above
  - None of the above
19. Did the community participate in the project? Please specify.
20. Did you interact well with the community? Please specify on what basis.
21. What measures were put in place by the eThekweni Municipality to promote community participation?
22. What sort of empowerment programmes did the project introduce into the Briardale area?
- Education and information sharing
  - Training and skills development
  - Job opportunities
  - Opportunities for self-employment
  - Other (specify below)
23. What were the challenges experienced by you in terms of community participation?
24. How were the challenges mentioned above (9) overcome?
25. From what you have experienced through your involvement with the Briardale project, was this a successful community participation initiative? Please specify.