

SCHOOL OF BUILT ENVIRONMENT AND DEVELOPMENT STUDIES



**Assessing the limitations in the implementation of the Enhanced
People's Housing Process (EHP): The case study of the Vulindlela
area in Msunduzi**

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**A dissertation submitted in partial fulfilment of the requirements for admittance to the degree
of Master of Housing in the School of Built Environment and Development Studies: University
of KwaZulu-Natal, Howard College Campus.**

[March, 2021]

DECLARATION

I, Nondumiso Lethukuthula Moseya, hereby confirm that all the information contained in this dissertation is my own work and has not been previously submitted to the School of Built Environment and Development Studies or any other university for any other purposes. Work and ideas taken or adapted from other authors or sources were rightfully acknowledged.

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Abstract

The apartheid system in South Africa created imbalances and this resulted in Black communities facing significant housing issues. The post-apartheid government in South Africa was then responsible for correcting such imbalances. Thus, the Enhanced People's Housing Programme (EHP), which was introduced in 1998, was a product of the post-apartheid government meant to ensure that all South Africans had their own houses, including those groups previously disadvantaged by the apartheid system. This programme involves different stakeholders, including provincial and local authorities, non-governmental organisations, community-based organisations, religious bodies, and others. However, the programme has been marred by challenges thus hindering the timely delivery of housing to the people.

Thus, this research aims at assessing the limitations of the implementation of the EHP in Vulindlela. The study adopted a purposive sampling strategy to select the participants. The qualitative approach was used to collect data through interviews conducted with a sample of 30 participants (20 beneficiaries and 10 stakeholders selected from the Municipality and Vulindlela Development Association (VDA)). The Greater Vulindlela Township located in Pietermaritzburg, Msunduzi Municipality, was selected as the study site for the present study. The study found that limited financial support was one of the significant factors limiting the successful implementation of EHP in Vulindlela. Other limitations included political patronage, little communication about the programme, and limited community participation. The findings indicate the need to educate communities on the implementation of EHP and the roles of relevant stakeholders. Furthermore, incentivising community participation improved community participation in the EHP project.

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GLOSSARY OF ABBREVIATIONS AND ACRONYMS

VDA	Vulindlela Development Association
PHP	People's Housing Programme
EPHP	Enhanced People's Housing Process
DOH	Department of Housing
NHSS	National Housing Subsidy Scheme
UISP	Upgrading of Informal Settlements Projects
EIA	Environmental Impact Assessment
DHS	National Department of Human Settlements
NDoH	National Department of Housing (became DHS in 2009)
RDP	Reconstruction and Development Programme
CRU	Community Residential Unit
LAP	Local Area Plan
NURCHA	National Urban Reconstruction and Housing Agency
BESG	Built Environment Support Group
SDF	Spatial Development Framework

CHAPTER 1: INTRODUCTION AND RESEARCH METHODOLOGY

1.1. Introduction

Housing has long been regarded as one of the fundamental human rights, just like food and water (Gumbo, 2015). However, governments in developing countries have been struggling to provide adequate quality housing at local, provincial and national level. Thus, most of the urban poor take a self-building initiative to solve their housing problems. However, this mostly results in the construction of houses that hardly meet the stipulated quality specifications and legal frameworks. Turner (1976), therefore, posits that the only possible remedy to this challenge is for the government to provide the necessary support to the urban poor, thus preventing them from developing their own solutions to their housing problem through the self-help housing approach. Various housing delivery mechanisms have been developed to minimise the housing backlog; however, the implementation of such mechanisms has not been as successful as envisioned. For this reason, this study assesses the Enhanced People's Housing Programme (EPHP), a form of aided self-help housing programme, to identify the limitations in the implementation of the programme using the case study of Vulindlela in Msunduzi Municipality.

1.2. Background of the study

The Enhanced People's Housing Process (ePHP) Project was initiated in the rural Msunduzi Municipality, near Pietermaritzburg, with a target of building 25.000 housing units within five years. By May 2012, 6.000 units had been completed (Human Settlements, 2013). However, families set to benefit from the Vulindlela Development Association (VDA) housing project in Pietermaritzburg had to wait for four years before their homes were completed (Ngubane, 2017). In 2011, the department of Human settlements approved the R2.1 billion housing project for rural Vulindlela in the Msunduzi Municipality. The beneficiaries of the project believed that the construction of about 700 houses was stopped because the houses were low-quality structures. Most of these houses remained incomplete, without roofs, windows, doors, or cement slabs (Ngubane, 2017).

The Ingonyama Trust Board owns most of the land in Vulindlela. There are five Traditional Councils in and around Vulindlela and these are responsible for land allocation, while the Msunduzi Municipality is responsible for land use management (Msunduzi Municipality, 2016). The history of Vulindlela shows that for many years, a traditional form of land use has been practised in the area. Increased demand for land and the limitations on the available areas have resulted in conventional structures having little option but to allocate agricultural land for the development of new settlements.

This has led to increased loss of land for productive agriculture and urban encroachment into open space areas in Vulindlela (Msunduzi Municipality, 2016).

The community in Vulindlela established the Vulindlela Development Association (VDA), which applied to the KwaZulu-Natal Member of the Executive Council (MEC) of the Department of Human Settlements for approval. The Vulindlela-based EPHP was approved for a total of 25.000 housing units. The project was initially planned to be implemented over five years. The project is undertaking the construction of the 25.000 housing units in all the nine wards within the Vulindlela Traditional Council. The area is under the jurisdiction of five Amakhosi, such as iNkosi NW Zondi, the late iNkosi SG Zondi, iNkosi ES Zuma, iNkosi S Mlaba and iNkosi MSP Ngcobo (Msunduzi Municipality, 2016).

1.3. Justification for the Study

This study was motivated by the need to understand how the extent to which the programme has been practically implemented from the year it was adopted and further identify its shortcomings and their causes. The interest has also been sparked by the government's involvement in the EPHP. The motivation for researching further on EPHP is to determine the community's involvement in the construction of their houses to achieve sustainable housing. The EPHP is a people-centred process in which groups and individuals exercise direct control over housing delivery thus promoting choice over the location, tenure, housing, services, and amenities.

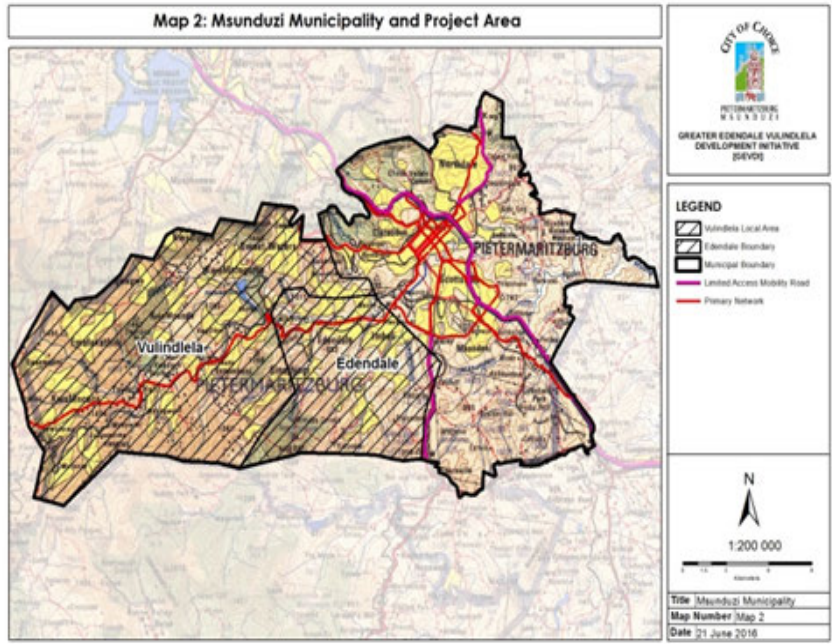
1.4. Location of the study

Situated to the west of Pietermaritzburg and northwest of the Greater Edendale area, Vulindlela is one of four management areas within Msunduzi. The area constitutes 40% of the municipal land, covering approximately 25 000 hectares. It has the second-highest population in KwaZulu Natal and accommodates 85 000 housing structures inhabited by 161 562 people (Vulindlela Local Area Plan, 2016).

Vulindlela comprises nine wards located in a predominantly rural traditional settlement administered by Ingonyama Trust. It is considerably less developed and less economically active than the other management areas in Msunduzi. The land use comprises a scattered settlement pattern, grazing land,

cultivated lands (both large individually managed and farmed areas and smaller irrigated community gardens), pockets of indigenous forest and major timber plantations (Vulindlela Local Area Plan, 2016).

Vulindlela Local Area Plan (2016) indicates that due to its location in this municipality, and the fact that it formed part of the ex-homeland of KwaZulu-Natal, Vulindlela and its people have remained under-developed. This has translated into high unemployment levels, low levels of education, a youthful population profile. Households located in Vulindlela have access to basic utility services such as potable water, Ventilated Improved Pit Latrines (VIP) sewerage, electricity, and roads; nonetheless, there is limited access to a broadband network (Vulindlela Local Area Plan, 2016). Although the area was chosen for EPHP development, the implementation was hampered as many of the houses were left either unfinished or dilapidated (Vulindlela Local Area Plan, 2016).



Pietermaritzburg Map

Figure 1.4.1: Map 1:

Source: (MHP Geomatics: 2018)

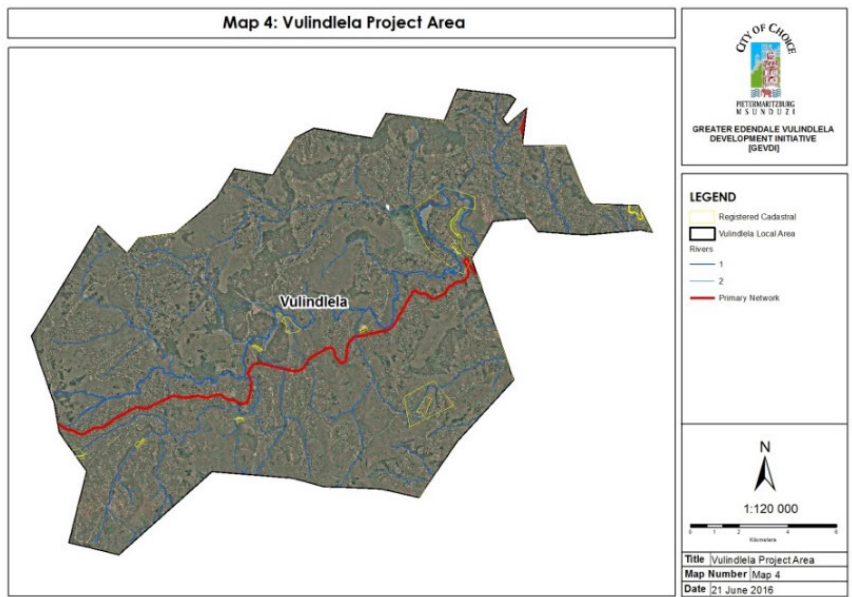


Figure 1.4.2: Map 2: Vulindlela locality map

Source: Msunduzi GIS: 2018

1.5. Aim and objectives

1.5.1. Aim

This dissertation identifies and investigates the challenges and limitations that hinder the implementation of the EPHP. It proposes resolutions and mitigation strategies to resolve these issues. Therefore, the aim of this study is to analyse the limitations hindering the implementation of the EPHP in Vulindlela.

1.5.2. Objectives

1. To assess the actual role and responsibilities of communities within the EPHP;
2. To determine the key stakeholders and assess their involvement in the program;
3. To analyse the limitations in the implementation of EPHP;
4. To analyse the beneficiary's participation in the implementation of the EPHP;
5. To determine if municipalities are aware of households' benefits and expectations.

1.6. The main research question

The overriding research question is: "What are the limitations to the implementation of the EPHP?" For this report, the researcher breaks down the research questions into the following categories:

1.7. Subsidiary questions

1. What are the main responsibilities of the community during the process?
2. Who are the stakeholders that are involved in the EPHP?
3. What have been the limitations in the implementation of the EPHP?
4. To what extent are the beneficiaries involved in the implementation of the EPHP?
5. To what extent are municipalities aware of household benefits and expectations?

1.8. Research approach

Qualitative and quantitative research approaches are mainly used in social sciences. The quantitative research approach mainly seeks to address research questions that inquire into how much or how often a phenomenon occurs. On the other hand, the qualitative research approach seeks to establish a deep understanding of the occurrence of a specific phenomenon (Hancock, Ockleford, & Winridge, 2009). The present study adopted the qualitative research approach as the researcher sought to understand the factors limiting the implementation of the EPHP in Vulindlela. The study questions inquired around

the experiences and primary responsibilities of the community, various stakeholders, and beneficiaries regarding the limitations characterising the implementation of the EPHP in Vulindlela. The research questions were designed to provide an interview guide with questions and questionnaires that assisted the researcher in gathering data on the factors that limit the implementation of the EPHP in Vulindlela.

Further, the research questions for the present study required that data be collected through observations, documents analysis, and interviews. So, the qualitative research approach suited the present study (Sekeran, 2010). With this approach, the researcher could understand the participants' experiences and views on the implementation of the EPHP in Vulindlela (Hennink, 2011).

1.9. Sampling methods

Sampling involves the process of selecting a study sample that represents a larger population for which inferences can be made with the study findings (Kielmann, Cataldo, & Seeley, 2012). Probability and non-probability sampling methods are the two main sampling techniques used by researchers. Probability sampling involves selecting any population member with an equal chance of being part of the sample. The use of probability sampling to select samples from a population is by chance. Probability sampling comprises stratified random samples, simple random samples, cluster samples, and systematic samples (Babbie & Mouton, 2008; Welman Kruger, 2003).

Researchers in qualitative research apply various non-probability sampling strategies that are inclusive of purposive sampling, snowball sampling, convenience sampling, economy sampling, and quota sampling. The objectives of a study govern researcher's selection of a sampling strategy. Snowballing is a sampling strategy that involves the selection of a few people with the required characteristics and knowledge related to the research topic. The few selected participants then make referrals to other possible respondents with similar characteristics. The process continues until the required number of respondents has been interviewed. This sampling method relies on the social networks of participants who can refer the researcher to other prospective participants (Kielmann et al., 2012).

The convenience sampling strategy involves the selection of samples on the basis of their accessibility. However, the sampling strategy is the least demanding as it may yield low-quality data and less credible results. Quota sampling involves the selection of samples with specific characteristics that guide the researcher on the recruitment of study participants from a study population. Such

characteristics include participants' age, sex, and marital status, among others. Quota sampling replicates purposive sampling; however, quota sampling is more specific with sizes and proportions of samples selected for a study than purposive sampling. The present study utilised purposive sampling to select participants. The purposive sampling technique typically uses a predetermined criterion that fits the study's research questions. As some of the objectives of this study included determining the roles of the beneficiaries, stakeholders, and the Msunduzi Municipality in the EPHP, purposive sampling was suitable for selecting the beneficiaries, stakeholders, and municipal informants (Family Health International (FIH), no date).

1.9.1. Interviews: Key informants

In qualitative studies, interviews are used to elicit additional data, clarify vague statements, stimulate further exploration of research topics, expand on the qualitative findings, and yield a more in-depth experiential account of the extent of the mixed-income housing as a mechanism for social integration (Cochran & Patton, 2002). The key informants for this study were interviewed over the telephone and emails detailing their understanding of the backdrop of the EPHP, how it took place from its inception to its implementation thus giving the interviewer a chance to probe further and ask more in-depth questions.

1.9.2. Sample size

The targeted number of houses to be constructed in Vulindlela is 25 000; however, 11 000 have been built across the different wards set to benefit under the EPHP. For purposes of this paper, 200 houses were chosen from a particular ward within the Vulindlela area developed under the EPHP. A total of 30 participants were selected for this study: 20 from the Vulindlela EPHP beneficiaries, 5 from the Msunduzi Municipality and 5 from the Vulindlela Development Agency (NGO). Non-probability or purposive sampling approach was used. The number of participants chosen conformed to the qualitative approach that typically requires a smaller sample size than the quantitative approach. Patton (1990) further stipulates that the time allotted, resources available, and study objectives may best determine the sample size of the quantitative. Semi-structured interviews were conducted with crucial informants and residents. Therefore, 30 respondents were selected for the interviews. The interviews sought to solicit participants' views regarding the main factors that limit the implementation of the EPHP.

1.10. Data collection

The most common data collection methods employed in qualitative research include interviews, focus group discussion, observation, documents like letters, narratives and open-ended questionnaires or surveys. The interview method, as it applies to qualitative studies, fosters a deeper understanding of a social phenomenon through participants' views, experiences, beliefs, and motivations on specific issues. Data collected through interviews are appropriate when participants have some knowledge on the subject area being investigated or when the researcher requires participants' detailed views on a study area. Interviews may either be structured or unstructured (Gil et al., 2008).

A structured interview is in a uniform predetermined format and includes prepared questions the researcher presents to the interviewees. There is usually no variation in the questions asked in a structured interview, and the scope of the questions does not have room for follow-up questions. There is minimal variation in structured interviews, making them easy to administer and to use when there is a need to clarify specific questions and literacy problems with the participants (Gill et al., 2008). On the other hand, an unstructured interview generally does not have predetermined questions, and it is the interviewer that often formulates questions as the interview flows. It allows a free-flowing conversation between the interviewer and the interviewee. Questions for an unstructured interview often build on the preceding responses. An unstructured interview is often time-consuming and can be challenging to manage. It does not use predetermined questions; thus, an unstructured interview is necessary when there is a need for delving into the depth of a known subject or topic (Gill et al., 2008).

Qualitative research also employs the semi-structured interview. This type of interview comprises open-ended questions that allow the researcher to probe further into topic under study. A semi-structured interview permits a detailed discussion of specific topics and prompts the interviewee to think deeply about the questions posed by the researcher. A guide on the researcher's topics of interest is often produced, and this guide is not restricted to the topics to be discussed during the interview as it covers the essential background to the study (Hancock et al., 2009).

The simplicity involved in the preparation of the semi-structured interview renders the interview method the most commonly used data collection method used in qualitative research. Thus, the present study used semi-structured interviews to collect data from 30 respondents, 10 key informants, and 20 residents of Vulindlela. To address the study's main objective, that is, to determine the main factors that limit the implementation of the EPHP in Vulindlela, semi-structured interviews were conducted

with the key informants who included the Municipal informants. To address the second objective, that is, to assess the challenges associated with the implementation of the EPHP in Vulindlela, semi-structured interviews were conducted with both Municipal informants and residents. Secondary data on the roles of various stakeholders in the EPHP were extracted from sources like government policy documents, journal articles, published and unpublished articles, the Internet, and other publications. Literature was also reviewed on the background information on Vulindlela, the study's site.

1.10.1. Data collection tools

Various tools like focus group and semi-structured interviews are used to collect data for qualitative research studies. They are a standard data collection. The structure of an interview is often determined by the objectives of the study (Malinga, 2016). Interviews can be structured, semi-structured or unstructured. A semi-structured interview is often used in research for its flexibility and its ability to keep the discussion focused while extracting as much information as possible from the interviewees (Punch, 2009). As such, the researcher adopted semi-structured interview to collect data from the participants.

During the interviews data collection is often done using various data collection tools like digital voice recorders and video recorders, where an analysis of non-verbal signs is essential. However, interviewees are often uncomfortable with video recordings; hence, they are very unpopular with researchers. It has been reported that interviews can be used conducted through emails and qualitatively different responses can be obtained from participants as they have ample time to think through the interview questions before responding to them. Email communications have special features that are becoming more popular than before. Due to extenuating circumstances, (COVID 19), email communications have been used to conduct interviews with the study participants. Telephonic interviews were another data collection tool that was used to collect data from participants of the study. The interviewer also took down notes from both email and telephonic interviews, simultaneously noting impressions gathered from the interviews (Hancock et al., 2009).

1.11. Data analysis

The data analysis process encompasses the gathering, analysis, and presentation of collected data in a format easily understood by readers (LeCompte & Schensul, 1999; Kawulich, 2004). Processed data can be expressed numerically through tables and graphs, and this applies to the quantitative method.

Contrary to the quantitative data analysis, qualitative methods include narrative and descriptive analyses, which are specifically concerned with meaning (O'Connor & Gibson, 2003). Qualitative data constitute a large amount of data that may vary and comprise a lot of themes.

Thus, huge amounts of make qualitative data hard to organise, transcribe and analyse. However, the thematic analysis helps the researcher to transform the collected data into a meaningful representation of the findings (Braun & Clarke, 2006). The thematic analysis includes a narrative report on the collected data and this allows the researcher to organise data, and search for patterns and draw conclusions. Direct quotes were extracted to support statements made in the study. The research objectives were used to formulate themes, and sub-themes were developed from the main themes.

Braun and Clarke (2006) recommended the steps that can be undertaken to execute the thematic analysis process. The first step involves immersive reading and re-reading of data thus enabling the researcher to fully code the themes. In cases where verbal data were collected, transcription was done. Bailey (2008) further stated that a detailed transcription of data solely rests on the research objectives. These objectives determined the part of verbal data that ought to be included in the transcription, including writing out verbal and non-verbal conversations recorded during the data collection process. The researcher had to be mindful of punctuation and correct notation to ensure that they followed a specific form of transcription. Following the initial coding of semantic and latent themes, the researcher then reviewed the coding and then identified the critical themes. The researcher further reviewed the themes until only the relevant themes remained. Once the final themes, sub-themes where necessary, are noted, the researcher reports on the collected data (Braun & Clarke, 2006).

Other data analysis methods used in qualitative research include descriptive analysis, interpretative analysis, and content analysis. The researcher used descriptive analysis to analyse data collected from the interviews conducted with the municipal informants and residents of Vulindlela. The content analysis involves the counting of the frequency of occurrence of specific words or phrases in a script. Content analysis is often employed in quantitative studies, although it can also be used to analyse documents containing responses to open-ended questions and newspaper texts. This analysis technique utilises special coding rules for decoding themes. In an interpretative analysis, the researcher makes inference of the participants' responses. Descriptive analysis is the basic level of analysis that accounts for the collected data. A descriptive account merely presents what was said, documented or observed without making inference to or assumption of what was meant (Hancock et al., 2009). Thus, as this

study only sought to understand the limits of implementing the EPHP in Vulindlela, descriptive data analysis was used to analyse the data collected for the present study as part of the narrative section of the thematic analysis. The data analysis was conducted by collecting quotations from the interviews to describe the data collected from the interviews. The interview responses were analysed for patterns that guided the response in describing the research findings from the participants' views.

1.12. Validity, reliability, and rigour

Whilst validity is the accuracy with which collected data is represented, reliability incorporates the uniformity of procedures followed when collecting data to ensure that data is eliminated (Noble & Smith, 2015). A pilot study was conducted with five non-participating respondents to ensure that the interview questions were relevant, understandable, and in not in any way uncomfortable with the participants. The pilot study sought to ensure the validity of the study. It was also meant to test the interview schedule. It should be noted that the profiles of the respondents selected for the pilot study were similar to those of the actual participants of the study. Also, the inclusion of both municipal informants and residents of Vulindlela in the study ensured the validity of the study. According to O'Connor and Gibson (2003), conducting interviews with various community members is itself a validation method as it provides varying perspectives on a research subject or topic.

The concepts of validity and rigour are integral to the reviewing of a research process (Kvale, 1996). These concepts require a measure of re-evaluation when they are applied to qualitative research. The proposed study assessed factors limiting the EPHP throughout its implementation process. The study was instrumental in identifying the challenges impeding the implementation of such projects. The proposed research used sound research methods, which considered the participants of this study, in spite of being officials or beneficiaries of social housing projects. The research maintained a level of professionalism during data collection. Further, the reliability of the study was ensured by sending the participants copies of the transcripts to verify the validity and accuracy of data. Besides, the researcher addressed validity and reliability of data by carrying out all telephonic interviews at the same time of the day in the space of one week.

1.13. Ethical considerations

The researcher obtained informed consent from the participants before conducting telephonic and email interviews with them. The researcher clearly explained the details and purpose of the study to

the participants before the commencement of the interviews. The participants were also informed of their right to withdraw from the study at any point if they so wished. Their safety was also guaranteed by ensuring them that their views and opinions would not be broadcasted. Also, the participants were assured of their anonymity and the confidentiality of their responses. The researcher sought the permission to conduct interviews with the employees of the participating company.

1.14. Limitations of the study

Most interviews conducted through emails were done at varying times, as some respondents did not respond promptly. The time of the day an interview may determine an interviewee's responses (O'Connor & Gibson, 2003). Although specific timeframes were allocated for each interview, background noises resulted in some interviews taking longer and the same interview questions and responses had to be repeated.

1.15. Chapter outline

This research study consists of five chapters which are outlined below:

Chapter 1: Introduction and Research Methodology - The chapter introduces the research study and presents the background to Vulindlela community and the Vulindlela EPHP. It also presents the justification for the present study. The chapter research aim and objectives are also presented together with research questions, and chapter summary. The chapter discusses research approach and methodology, sampling strategies, limitations to the study, and ethical considerations.

Chapter 2: Theoretical Framework and Literature Review –This chapter discusses the theoretical framework and literature review of self-help housing. The chapter further discusses EPHP as an aspect of self-housing. Approaches to the programme, together with challenges involved in the implementation of the programme, are also discussed. The chapter outlines the Neo-liberal Theory as the main theory informing this study. The Vulindlela EPHP was used to address the research questions and objectives of the study. Informed sources, including research journals, government documents, online articles, and newspapers, were reviewed as the background literature. The reviewed literature also provided the theoretical framework for the present study.

Chapter 3: Historical background of Vulindlela- This chapter presents a comprehensive discussion of the study site, Vulindlela, and unravels its historical background.

Chapter 4: Research Findings - The chapter describes the findings of the present study. It presents the challenges faced in the implementation of the Vulindlela EPHP. It also outlines the roles played by various stakeholders in the implementation of the Vulindlela EPHP. Findings on community participation in the programme are also presented with a focus on the limitations to the implementation of the Vulindlela EPHP. The data obtained from interviews and observation made on the study site were analysed to determine the limitations to the implementation of the EPHP.

Chapter 5: Discussion and conclusion - The chapter discusses the implications of the findings described in Chapter 4. It highlights previous literature on EPHP that was consulted to reflect on the findings of the present study. The chapter presents recommendations on strategies of addressing the limitations of Vulindlela EPHP and are also based on the collected data. Further, the limitations of implementing the Vulindlela EPHP are also highlighted in this chapter. The chapter concludes by highlighting recommendations for bridging the gaps evident in the research findings.

1.16. Conclusion

This chapter has introduced the research on the limitations of implementing the Vulindlela EPHP. It has highlighted a brief background and introduction to the study. The chapter also presents the justification for undertaking the research and outlines the aim and objectives of the study. The research questions formulated to address the aim and objectives of the study were also presented in this chapter. This chapter then concludes by outlining the chapters that constitute the dissertation.

CHAPTER 2: THEORETICAL FRAMEWORK AND LITERATURE REVIEW

2.1. Introduction

This chapter presents the theoretical and conceptual framework underpinning this study. It also reviews the relevant literature the EPHP in Vulindlela. This chapter comprises two sections; the first section

presents the theoretical framework, which is based on the Neo-liberal Theory and John Turner's Neo-liberal theory. The second section reviews the study's conceptual framework, which discusses self-help housing (with incremental housing) in South Africa. Furthermore, this chapter gives more insights into the characteristics of self-help housing and sustainable human settlements. The chapter defines and explores literature on Neo-liberalism as a development theory and further discusses current research on aided self-help housing in developing countries simultaneously gaining further literature on incremental housing and community participation, which are an integral part of EPHP.

2.2. Theoretical framework

2.2.1. Neoliberal Theory

To get to the basis of the Neoliberal Theory, it is crucial to first define neoliberalism. Neoliberalism is a theory of political and economic practices; it proposes that the well-being of humans can be improved by engendering individual liberty and entrepreneurial freedoms and skills in a framework characterised by substantial private property rights, free trade, and free markets. The role of the State is to develop and preserve a framework appropriate for such practices (Harvey, 2005). This definition depicts neoliberalism as a political-economic practice and not as a political philosophy. Such political-economic theories focus on economic factors when a policy is being analysed and when analysing the relationship between the market and the State.

The Neoliberal Theory was conceived and promoted to redistribute wealth amongst the poor. This redistribution of wealth was done by promoting accumulation of private property and wealth through dispossession and speculation of common rights (Harvey, 2005). This theory proposes the reduction of the State's role in providing social welfare services and managing economic activities (Yengo, 2006). With regard to economic liberalism, the State ought to relinquish intervening and allow individual participation in free and self-regulated markets. The theory advocates a free market, which applies to the economic sphere of life, based on the conviction that humans are likely to do best when they are left to implement their plans without laws (Sithole, 2015).

Mammadov et al. (2016:291) state that "it is the dominant ideology shaping our world today; it is how development is driven". Therefore, neoliberalism contends that the economic market is about adjusting to and accommodating the market rather than changing, controlling, and manipulating the public good. The Neoliberal Theory suggests that the State should not abandon its role in the provision of housing.

The State's role is to organise the housing process, not as the main actor but as a facilitator (Martinez & Garcia, 2005). The process of land purchase, housing finances and construction, must be determined by market forces. Participation of traditional loaning organisations and the construction and building materials sector in the low-income housing market is supported as one typical example of a housing policy disposition inclined towards the neoliberal view. It is argued that in a neoliberal context, the State will encourage rather than coerce individuals to make better housing settings for themselves (Harvey, 2005).

The Neoliberal Theory, which advocates reduction of State intervention to the provision of social services and the distancing of the State from economic activities, maintains that the poor cannot compete in the market, which leaves them without alternatives other than practising unstructured self-building. Thus, in developing countries, socio-economic factors such as poverty have resulted in the development of slums. Without State intervention, only powerful groups can have proper houses (Sithole, 2015). The Neoliberal Theory on the housing process shifts government's role in housing delivery from direct involvement to non-interference. Due to the public sector's failure to deliver sufficient housing solutions to low-income or poor households, supporters of neoliberalism advocate the change of government's role from being a provider to an enabler or supporter, thus permitting a more significant function to be performed by private sector development (Peck & Tickell, 2002). During the 1980s, neoliberal policies were adjusted to challenge several failures and contradictions resulting from the implementation of earlier neoliberal policies (Brenner & Theodore, 2002).

2.2.2. Turner's Neoliberal Approach

John Turner (1976) has emerged as one of the most influential scholars on third world housing and settlement processes. His works in Mexico and Peru critique government policies and 'Western' housing standards. He argued that houses are better managed when built or provided by their occupants. He argued that a person is a better expert in the design of his own house as they know what they want and will be better suited to take care of it, rather than having the government to give them houses without them having any input in the design or construction of the dwelling. Awan et al. (2013:202) state that "In contrast to the 'aided self-help' policies of the World Bank, for which Turner is frequently credited, his vision was far more radical as he not only contended that residents should build their own houses and neighbourhoods, but that they should also have control over their finances and management."

Turner's perception of housing is a long-term process that incorporates such factors as household income, the needs of the members of the household and their lifecycles (Turner, 1976; Marais, Ntema & Venter, 2008). Furthermore, Turner argued that the physical appearance of a housing unit is not what should define the housing as the house can be upgraded. Turner (1976) further argued that the inhabitant-controller should determine the value of the house, not the physical characteristics, the investment of money and the physical effort put by homeowners in the building of their own houses. Hence, he deemed the owner's involvement and role in the construction of the house (owner-design and management) as the main factor in housing. This is what entails self-help in housing. As described by Turner (1976), self-help does not include self-construction; rather, it is about dweller-control. This self-help concept has been attributed to its cost-effectiveness when the homeowners can either build houses for themselves or organise the construction of the houses for themselves (National Department of Human Settlements, 2014).

Furthermore, it has been argued that Turner's self-help concept can result in bigger and better-quality housing being built, with a focus on dweller-control (National Department of Human Settlements, 2009). As indicated in Turner's principles, the government's role in housing should be to provide the people with housing elements that they cannot provide for themselves (Pugh, 2001). However, as highlighted above, Turner's self-help idea was criticised for fostering capitalism due to the possible commodification of housing, which was viewed as a mechanism for disciplining extending the working days of the low-income workforce (Burgess, 1985; Marais et al., 2008).

2.3. Literature Review

2.4. Self-help housing

Ntema (2011) stated that John Turner's (1976) self-help concept entails the involvement of the house owner in the construction of the house through dweller-control. The term self-help has caused a lot of misunderstanding, with some critics arguing that Turner's definition of the term implies the owner's involvement in "self-construction" and not dweller-control, which was the focus of the scholar's perception of self-help housing. There are different types of self-help; the first one is done without any form of government aid. This form of self-help housing has been in effect for centuries and had been practised mainly by both low-income and high-income households (Mahlaba, 2018). The second type is aided self-help housing and that type relies on site-and-service schemes in which the state plays an essential role in the creation of an environment that enables people to build their own houses. It is

argued that these two types of self-help have political-economic arguments that reduce costs for the governments thus leading to affordable housing for the individual households as the most costs are transferred to the individuals (Ward & Maccolloo cited in Marais et al., 2008). The third type of self-help housing is that which is facilitated by institutional organisations in which housing cooperatives are established and commonly practised in developing countries.

Turner's ground-breaking work prospered in the late 1960s as it changed the world's observation with regard to self-help housing programmes as an alternative means of providing housing to low-income earners (Harris, 2003). Ntema (2011) further stated that other advocates of self-help that viewed self-help mechanisms as a possible alternative to the failing government-driven, low-income housing programme have strongly argued in favour of self-help housing initiative.

2.4.1. Incremental housing as a form of self-help housing

The National Upgrading Support Programme (2015: 3) states that "Incremental housing is a step-by-step process of building and upgrading a house. We also refer to it as housing consolidation, and it goes by other, different names, such as starter housing, phased-development housing or owner-driven housing". Thus, incremental housing is a progression whereby households build and extend their houses in response to their needs and the accessibility of resources. Generally, the approach is used by low-income households with limited or no access to credit and loans, who start by building small affordable dwellings. Over time, they expand and improve their small houses based on their needs and resources. This process of extending and modifying houses often takes many years (NUSP, 2015).

Cohen (2009) stated that incremental housing initiatives that emerged in the 1980s assumed that the poor could only afford to spend 15 to 20 per cent of their disposable income on housing and infrastructural costs. Housing projects, therefore, had to adhere to minimum standards, thus striking a balance between affordability and the negative perception of the officially sanctioned construction of the new slums incremental housing, also known as self-help housing, assisted self-help housing or self-managed housing. This standard method of building houses is considered an essential element of housing provision across the globe. By definition, incremental housing is a gradual stepwise process of building houses in which the building process is improved by homeowners, depending on the availability of time, funding, and materials. This has been considered an effective way of constructing valuable, affordable houses, especially for low-income households. Incremental housing does not need

conventional mortgages that are often too expensive; low-income households can get short-term loans to address the current demands of the building process (Cohen, 2007).

2.4.2. Aided self-help housing

The apartheid regime presided over a huge disproportion between the housing built for Africans and that built for Whites. Resultantly, when the ANC-led government came to power, there was only one formal brick house built for every 43 Africans compared to one for every 3.5 Whites. The urban backlog alone was estimated at least 1.3 million units in 1994. The post-apartheid South African government strongly intervened in the housing sector as it sought to correct the previous government's ills through providing citizens with public housing. As a result, government invested in state-owned housing corporations, such as the Reconstruction and Development Programme (RDP) (Magubane, 2016; Mahlaba, 2018).

However, achieving the RDP's objectives was a mammoth task as numerous obstacles were faced. Each expectation could not be realised, and each need could not be met immediately. The RDP provided a framework within which those different choices could be made. The programme involved both government and the people in further identifying people's needs and the obstacles to satisfying those needs. The RDP was an expression of government's confidence in the people's wisdom, organisational abilities, and determination. To ensure reasonable and efficient allocation of land resources the State also intervened in the land market. Public-sector urban development authorities exercised monopolistic control over land and constructed housing colonies that hardly meet even a fraction of demand (Mahlaba, 2018).

The mismatch between housing demand and supply has led to unplanned and unauthorised settlements (squatter camps), and this has not been backed by adequate physical and social infrastructure for a secure and healthy living. However, throughout the years, the South African Government's approach has changed from being a giver to a helper. This means that, rather than handing houses over to people, the government has put in place different approaches that include having individuals more involved in the construction of their houses (Marais et al., 2008). Turner (1976) stated that the concept of self-help requires that the participants invest both money and physical effort. This concurs with John Turner's (1976:28) idea that "it is the user himself who best knows his needs and as such, should be the principal actor in the housing process." In this regard, he emphasises that the self-help concept rests on the personal involvement of individuals.

In 2004, the National Department of Housing released its blueprint: "Breaking New Ground: A Comprehensive Plan for the Development of Sustainable Human Settlements" (BNG), which outlined a five-year plan for the development of sustainable human settlements and embraced the People's Contract as the basis for delivery (Department of Housing (DOH), 2005). In this document, the people's housing programme is developed as a tool for the creation of sustainable human settlements. In selecting People's Contract, there is an apparent need to call in BNG to mobilise communities to collaborate with government in delivering housing to low-income households. Through this new plan, the Department of Housing shifted towards a revived contract with the people and partner organisations for the achievement of sustainable human settlements by stating that "it is essential that communities and beneficiaries of government housing programmes be mobilised to partner in the implementation of the new human settlements plan"(DOH, 2005:8).

The Department of Housing further stated that communities and community-based organisations must be equipped to engage more successfully with the housing programme and ensure that the delivery of housing is not only people-centred but also people-driven. After it was identified that there was a need for improvement in the PHP, EPHP was adopted, which is essentially an improvement on the PHP (DOH, 2005).

2.5. Self-help housing in South Africa

Although self-help has been part of the South African housing policy for over a century, the post-apartheid South African government adopted a version of the aided self-help housing policy in which the State would intervene; however, this caused tensions with the supporters of the neo-liberal approach (Parnell & Hart, 1999; Marais et al., 2008). The contention as regards the South African self-help policy bordered on a policy approach based on a capital aid that avails a serviced stand and a central house facilitated by a contractor-driven approach; that includes a permanent residential structure, which is the standard for housing that identifies itself apart from the site and service schemes (Huchzermeyer, 2001). As indicated in the White Paper on Housing, DOH (1994) argued that the housing process was progressive and that the South African housing policy is mainly aided self-help.

However, the argument for dweller-control in the self-help policy was obscured by the political-economic debate. The neo-liberal nature of the policy has also been a subject of criticism as it has been

identified as being responsible for a small housing product (Tomlinson, 1996). Moreover, macro-economic motivations that are inclusive of national budget constraints have been attributed to the small housing product. There was no specification on the sizes of the houses prescribed in the original White Paper. Still, the national government pegged the minimising housing size with room for increasing housing size through provisions for housing capital focused on the housing unit with other resources set aside to provide infrastructure (Charlton, 2006). Regarding the issue of housing size, which was also included in the Department of Housing's Comprehensive Plan for the Development of Sustainable Human Settlements, was that housing should be of an honourable size that can sustain the morality of both the family and the society (DOH, 2004).

Although the self-help processes were partly elements of the White Paper, a New Housing Policy and Strategy for South Africa was established in 1994, self-help housing was not part of this initiative. With the realisation that the government would not fulfil its promise of providing housing to all South Africans, it was imminent that new approaches that would fast-track the building of houses ought to be established. Thus, the PHP was introduced in 1998 to ensure that the vision of providing homes to all South Africans was realised. The PHP focused on availing land, services, and any other technical and financial assistance to those members who qualified for the housing subsidy (DOH, 2005; Clark, 2011).

2.6. The People's Housing Process (PHP) in South Africa

The People's Housing Process (PHP), a programme for the people and with people, has been in existence since for a long time (Jenkins & Smith, 2001; Gumbo, 2014a, 2014b). According to Harris (2003), several communities, particularly in Asia, South America and Africa, applied the self-help housing concept for centuries before it was ingrained in government housing policies and programmes. The South African self-help housing policy included the adoption of the PHP in 1998, which was aimed at ensuring that all South Africans, including those previously disadvantaged by the apartheid system, had their own houses (Clark, 2011). The PHP was inclusive of diverse stakeholders, ranging from provincial and local authorities to non-governmental organisations, community-based organisations, religious bodies, as well as pro-poor organisations such as Shack/Slum Dwellers International (SDI) and the South African Federation of the Urban Poor (DOH, 2000). The Federation of Urban Poor (FEDUP) has empowered hundreds of communities to start savings schemes, develop

their knowledge and capacities, build houses, and acquire land. In South Africa, the PHP esteems community participation as seen by assisting beneficiaries to satisfy project-based requirements.

The South African government recognised the need to support community-driven, self-build activities when PHP was launched; this assisted communities to make independent decisions, provide voluntary labour and manage project activities. One civil society group that has been pushing for such provision was the South African Homeless People's Federation (also known as uMfelandaWonye WaBantu BaseMjondolo, or "we will die together") (DHS, 2014). The implementation of PHP sought to promote cooperation or foster networks amongst various stakeholders committed to the provision of houses to all beneficiaries. The implementation of PHP with a focus on the self-help concept empowered house owners and exhibited their resilience regarding their housing needs (Housing Code, 2000).

The DOH (2005) defines PHP as a house delivery system that allows its beneficiary households to build or organise the building of their own houses. Self-help, as enshrined in the South African housing policy, has arguably more inclined towards State control than dweller-control. The South African housing policy depicts a close association between the focus of aided self-help concept and the original neo-liberal approach, which raises some controversy around the real drivers of the aided self-help initiative. This argument has been motivated by the fact that donors and community-based groups were the key role players in the development of self-help in South Africa (Huchzermeyer, 2001). The pressure from the community was mainly exerted by the Homeless People's Federation, which had international connections; this pressure led to the establishment of the People's Housing Partnership Trust in 1997. This led to the development of the PHP in 1998 with financial assistance from the United Nations Development Programme.

Although the guidelines on its implementation strategies were not clearly articulated, the self-help concept was at the centre of PHP. At its inception, the PHP's delivery process was both limited and slow, and the contract-driven approach associated with it was the point of controversy with regards to its implementation. Thus, the South African government redefined PHP and introduced new funding mechanisms for the programme. Consequently, PHP assumed a new role of directing private investment into housing, which had been a challenge for the banking sector (DOH, 2004; Marais et al., 2008). Building houses through the PHP, with the government in charge, is a product-driven process that is less concerned with the building process itself. Moreover, by implication, the government can give the homeowners a chance to participate in building their own houses, which

shows that dweller-control is not an accepted principle of PHP's self-help concept enshrined in South Africa's housing policy.

The implementation of PHP was executed via housing support centres that replicated housing cooperatives. These housing support centres were operated through non-governmental organisations (NGOs) and community-based organisations (CBOs) in the absence of NGOs. The housing support centres were expected to observe technical requirements that made them liable to the relevant authorities that were either established or government-controlled or community-driven (DoH, 2000; Marais et al., 2008). The support centres that were linked to the government's influence had arguably obscured the focus of self-help, which is dweller-controlled. The issue of dweller-control in PHP has been a contentious issue as the government stresses State control at the expense of the former.

In terms of funding, the following four housing subsidy types are available for beneficiaries who participate in the PHP delivery mechanism: The consolidation subsidy; the project-linked subsidy; the institutional subsidy; and the rural subsidy (DOH, 2005).

2.7. Breaking New Ground on social housing

The Breaking New Ground (BNG) is a comprehensive plan for the development of sustainable human settlements (DOH, 2004). A range of housing instruments had been developed in response to housing policy imperatives. Additional instruments were meant to provide flexible solutions to demand-side needs which will supplement existing instruments. The PHP is one of the instruments being used to respond positively and proactively to informal housing development processes taking place across the country. Under PHP, there is: Redirecting the People's Housing Process - housing authorities at all levels are embracing the increased use of the People's Housing Process (PHP). The thinking behind this expansion is, however, contradictory.

On the one hand, PHP is encouraged, as it provides residents with a more excellent choice over their subsidy. This has generated positive housing outcomes, increased beneficiary input, and greatly enhanced beneficiary commitment to those outcomes. Thus, the PHP achieves its two main goals of providing 'more for less' and improved beneficiary commitment to housing outcomes by increased productivity through 'intellectual equity' (not primarily cost reduction through 'sweat equity'), and by increasing beneficiary 'ownership' through exercising considered choice (not by forcing beneficiaries to provide free labour). This 'sweat equity' approach to the PHP has tended to undermine the critical

benefits of the approach. The current approach to PHP is thus essentially contradictory (DOH, 2004). The new plan introduces the following under the interventions:

Redefining the Peoples Housing Process:

- There is a need to redefine the nature, focus and content of PHP to build greater consensus amongst stakeholders and an understanding of the focus and intention of PHP. This is intended to address the emerging contradictions in the programme (DOH, 2004).

A new funding mechanism for PHP:

- There is a need to establish a new funding mechanism for PHP, adopting an area-wide or community approach, as opposed to an individual approach. This revision should ensure that resources and support for beneficiary-level capacity building and organisation building are made available to beneficiaries from the local government via CBOs and NGOs per locally constructed social compacts (DOH, 2004).

Institution Building:

- The existing framework for the development of institutional support for PHP is insufficient. This aspect ought to be addressed during the redefinition phase, and consideration will also be on establishment of accreditation and institutional support mechanisms whilst expanding and enhancing the existing facilitation grant to support PHP (DOH, 2004).

It is crucial to interrogate the PHP's policy frameworks to gain further understanding of the EPHP and therefore be able to determine if the issue emanated from the policy or if the challenges being faced are challenges that arouse on the ground.

2.7.1. Enhanced People's Housing Programme (EPHP)

The expansion of the scope of PHP to focus on the outcomes of the housing process rather than just looking at how the housing product is delivered, informed the development of EPHP) (DOH, 2009). The EPHP took effect on 1 April 2009. A growth plan to support the implementation of EPHP was also developed to facilitate the implementation and rollout of the programme at scale (DOH, 2009). The new policy adopted an expanded definition of PHP, allowing for better flexibility and choice while maintaining the central principles of people-centred development. The Department of Human Settlements (DHS) recognised that several community development approaches needed to be

accommodated with community involvement in the decision-making processes, community empowerment and the leveraging of additional resources to determine the factors that make it a project. The EPHP can only be applied when there are approved community resource organisations (CROs) and where communities are prepared to make minimum contributions to purchase materials and assist in the manufacture of materials at local level. CROs can be NGOs, CBOs or a specifically created development consortium. If necessary, the National Department of Human Settlements provides the skills needed for a CRO to work with a community in implementing an EPHP project (DOH, 2009).

The EPHP is applicable in two different scenarios: an organised community that is willing to participate in the housing process approaches the municipality, that is, demand-led approach; or a municipality prioritises and allocates land to the EPHP in its IDP and mobilises communities to participate in the housing process, that is, supply-led approach (Marais et al., 2008). The EPHP provides assistance to all those who qualify under the National Housing Subsidy Scheme (NHSS) and can be applied to greenfields developments, these include IRDP, Upgrading of Informal Settlements (UISP), hostel upgrades, Community Residential Unit (CRU) and rural housing developments. There are four different funding streams for EPHP; these include capital funding, capacity-building funding, community contribution or equity funding and bridging finance.

In terms of capital funding, the standard housing subsidy amount applies for the top structure (unless the municipality cannot cover land and infrastructural costs, the full capital subsidy applies). There is a dedicated subsidy for EPHP. Funding for infrastructure should be provided through the applicable grants if available or, as a last resort, funding can be accessed from the province. The municipality is responsible for all land packaging and town planning or township establishment funding (including environmental impact assessment (EIAs) and rezoning) and could provide land purchase funding or donate land to communities. The municipality is also responsible for funding additional facilities and amenities. Bridging finance may be necessary to ensure programme momentum and to reduce the risks for CROs, and this would be on a project-specific basis and would be mobilised and organised by the CRO and the community with assistance from the DHS, to attract donor funding, encourage the banking sector to provide affordable funding, etcetera (Marais et al., 2008).

Funding for capacity building relates to six aspects of the housing process: funding for pre-project consumer education; funding for project-specific capacity-building and facilitation; funding for building the physical structure to be used as a housing support centre (HSC); funding for facilitation

and capacity building for the sector; and funding for unblocking blocked projects. The EPHP outlines several community contributions or equities that should also be incorporated into an EPHP project, both before and during the implementation of the project (at least four contributions need to be incorporated into the project). Compulsory contributions include time, leadership, participation, and ownership of the community's project; participation implies being involved in community meetings and setting up a project steering committee. Another compulsory contribution is screening CROs that work on the community project. Other contributions include providing land, contributing savings, providing top-up funding through various partnerships forged between the community and other stakeholders, demonstrating knowledge, skills or expertise, labour, materials (for example through setting up of brick-making yards, recycled material or through a donation from a supplier), special community initiatives related and connected to the housing (for example, food gardens, communities) (Marais et al., 2008).

2.8. Limitations of the EPHP in South Africa

The PHP programme in South Africa is more about State control, with the government being involved in the establishment and regulation of the programme. The government's involvement in PHP has shown that there is very minimal self-help in the programme, and the restrictive nature of the PHP policies made it to resemble the traditional contractor-driven approach. The dweller-control principle was thus obscured, which means the concepts of sweat equity, self-construction, quality, and larger housing, are often used to motivate PHP. This sweat equity has been associated with individualism, and cost-recovery principles have been severely criticised (Khan & Pieterse, 2004; Marias et al., 2008). Further, PHP is controversial in that it advocates neoliberal ideas of sweat equity and self-construction, which facilitate the disbursement of transfer costs from the State individuals and the simultaneous promotion of socialist concepts represented by the quality and bigger housing.

Due to limited dweller-control, there is a similarity in the housing structures delivered through EPHP in South Africa. Minimal contribution by the house-owners has resulted in the adoption of a uniform approach like a contract-driven approach which was used to build houses (Marias et al., 2008). In South Africa, another contention with the PHP that was highlighted on informal housing was on the house owners' involvement at the end of the building phase, which completely obscured the self-help concept the process intended to ingrain (DOH, 2004). This also highlights how PHP has mainly

focused on completing the building of the houses and not the process of building the houses embedded in the original policy that motivated the process.

2.9. The Vulindlela rural Enhanced People's Housing Process

The Vulindlela rural EPHP is a rural housing project set up in 2011 to provide 25 000 decent housing to the residents of rural Vulindlela in Msunduzi, KwaZulu-Natal. With people becoming more vocal about and holding the government accountable for the quality of houses built for them, the government has realised the importance of incorporating beneficiaries in the building of their houses. This has been the case with the Vulindlela rural EPHP, as it has guaranteed great benefits for the local economy through skills development and job creation, which is one of the aims of the self-help process in PHP (Mani, 2009; Department of Human Settlements, 2017).

However, EPHP in rural Vulindlela has been a subject to criticism owing to the lack of transparency associated with the project. Some of these concerns included the unfair treatment of employees who were reportedly deprived of formal contracts and alleged salary inconsistencies (Ngobese, 2012; Ellero, 2015). Another main complaint raised against the Vulindlela rural EPHP was corruption that resulted in other people other than the residents benefiting from the project. The project was also reported to have been more beneficial to the rich, thus marginalising the poor who were left without access to the houses that they had been promised (Naidoo, 2012). Another issue with the Vulindlela EPHP was the unsuitable location of the housing, as some of those houses were reportedly located on wetlands (Mbanjwa, 2011).

Rural Vulindlela has been described as a 'front' by the KwaZulu-Natal department of Housing to cover up for their failure to deliver on the province's housing needs. With most of the attention being paid to EPHP, the province has been unable to focus on other housing projects, especially in urban and peri-urban areas. The Vulindlela rural EPHP has been attributed to the massive urban housing backlog in the province. Pietermaritzburg local newsletter stated that Vulindlela has also been attributed to a backlog of about 34 000 rural houses in need of sanitation, as rural houses are often built without proper spatial planning (BESG, 2011).

2.10. Community participation

Community participation can be understood as the citizenry's direct involvement in the planning, governance, and overall development of programmes at the local or grassroots level (Mafukidze, 2009). The EPHP is centred on involving people in building their own homes, having community participation at the centre of development. The Department of Human Settlements (2009) reported that the South African government seeks to create an enabling environment for a people-centred human settlement process. This people-centred process encourages flourishing partnerships, which allow for the establishment of human settlements that improve housing opportunities and realise sustainable housing. It is clear from the onset of democracy in South Africa that community input affected by planning and housing provision is of enormous value (Aigbavboa & Thwala, 2011).

According to Imperato and Ruster (2003), participation of stakeholders is crucial for sustainable development as they are involved in decision making at all stages of a project cycle; thus, development problems and needs will be better understood. Participation must be inclusive of community organisations like labour unions and civic groups, which allows for democratic participation. Communities need to be educated on and be made aware of the existing community projects so as to stimulate participate (Department of Human Settlements SA, 2009). Moreover, community participation must be inclusive of people with disabilities and as such, enough planning and housing solutions should be offered. In that case, the needs of the whole community are catered for. Without sufficient community participation, self-determination cannot be achieved; hence, the sustainability of human settlements is affected in a substantial way (Mafukidze, 2009).

Thus, promoting community's involvement creates housing opportunities and enhances sustainable human settlements. Community participation allows stakeholders to contribute to development through partaking in projects, influencing public choices, and holding public institutions accountable for the services and goods they provide. Participation involves the engagement of affected people in project development. The involved stakeholders may carry out several activities in the development of the project (Aigbavboa & Thwala, 2011).

2.10.1. Key stakeholders in community participation

Stakeholders include groups or individuals in charge of the implementation of development projects. Stakeholders may also include people that might be affected positively or negatively by the development or lack of thereof (Bhuyan et al., 2010). Chen (2006) avers that an organisation responsible for the implementation of a development project is also a stakeholder, as it is responsible

for distributing resources, organising staff, and managing implementation activities. The organisation's ability influences the quality of the execution. It is crucial to ensure that the implementing organisation has the skills to implement the programme. Chen (2012) further states that programme implementers are also part of the stakeholders. Programme implementers include project managers, engineers, housing experts, and administrators who have the expertise to deliver services to clients. Chen (2006) maintains that implementers' qualifications and ability, commitment, enthusiasm, and other qualities are vital as they can openly affect the quality of services being delivered.

Also, the targeted population can be part of the stakeholders as this is the group of people whom the development is expected to serve. The success of the project is a result of the existence of firm eligibility criteria. This includes the possibility of reaching out to qualifying and representing people as well as efficiently serving them. The willingness of potential clients to collaborate with and to be committed to the project (Chen, 2006).

The involvement of stakeholders in development projects depends on several factors: the environment, project and stakeholders' needs and resources, stakeholders' knowledge of the project, and the stakeholders power, and influence. The participation of stakeholders in the implementation of projects can be hard to attain, as it usually needs "joint actions" in response to a new partnership that did not exist previously (Bhuyan et al., 2010). In some cases, stakeholders may be unrelated or not committed to the same results though they reach an agreement to support the project. As the development project continues, extra people may be affected by circumstantial changes; thus, they become stakeholders who seek to affirm themselves in the process (Mzolo, 2016).

The Vulindlela Project was envisioned to be delivered to the Vulindlela community with the inclusion of many different stakeholders, including community-based programmes. Stakeholders include the UMsunduzi Local Municipality, the KwaZulu-Natal Provincial Department of Human Settlements, the National Home Builders Registration Council (NHBRC), National Urban Reconstruction and Housing Agency (NURCHA) as the financial CRO, Dezzo Development Holdings as the Technical CRO and the Ngonyama Trust Board (the landowner). Through a CRO consortium, the Vulindlela Development Agency engaged the services of a technical resource organisation that focuses on the provision of technical and overall project management knowledge; the financial community resource organisation – assuming the role of fund administrators for the project (DOH, 2009).

Municipalities are required to create an enabling environment for the successful implementation of the PHP delivery mechanism. Beneficiaries may choose to appoint a supporting organisation (SO) from

any of the following types of institutions if the supporting organisations (SO) is a legal entity. The SO is required to offer technical assistance, which is the preserve to beneficiaries, that is, all offering the necessary planning related to the project (DOH, 2009).

2.10.2. Barriers to community participation

In South Africa, a major limitation to community participation is a lack of capacity among the disadvantaged groups in terms of access to education and modes of communication. While public participation may be seen as a form of empowerment, it often benefits those who are better equipped to harness its potential (De Villiers, 2001). Communities need to be fully educated about newly-planned developments and changes in government policy. Only when they have been fully equipped with sufficient information and understanding can the public participate in development projects.

With this in mind, the level of education and the ability of the community to understand planning principles and elementary planning tools such as maps and planning language ought to be seriously considered (Aigbavboa & Thwala, 2011). In as much as community participation is essential, there are problems that are involved in this approach. It is essential for leaders to understand the barriers so that they can plan effectively. When stakeholders participate in the housing development, the process becomes time-consuming. This increases the costs since time is directly proportioned to money meant for development (Moatasim, 2005). Besides, the government fears uncontrollable empowerment of people and lack of trust in their ability to make informed decisions.

Furthermore, the lack of feedback on community participation has a significant impact on the success of the project. When people participate and never get feedback on the difference their participation has made in the development process, they feel that they are not being treated as partners. Also, the same occurs when there is an unfair distribution of work among members. In turn, effective community participation is affected when some members feel that they are doing extra work with little financial or social incentives whilst others are not. However, others may think that individuals are doing all the work hence they question their involvement in the development project (Aigbavboa & Thwala, 2011).

2.10.3. Different types of participation

Annamalai et al. (2016) identified different types of participation. The first type is passive participation, which is the participation of poor communities by being told about initiatives already planned or decided upon without eliciting local opinion or knowledge. Secondly, participation through giving information involves poor communities being asked about their needs through surveys or

similar instruments. In this instance, the information is used anonymously in the decision-making process, without the local communities being given feedback. Also, there is participation through consultation, and this involves the consultation of poor communities on what should be done to improve the situation, but there is no obligation to take the residents' views into account. Further, participation through contribution involves poor communities being asked to provide labour or financial contributions towards the provision of services, and residents agree to take primary responsibility for the well-defined components of the project. Further, there is participation through partnership, which involves poor communities and other key actors sharing resources, knowledge, and risks to effect commonly agreed-upon improvements. Partnership implies a long-term, equitable relationship. Lastly, in participation through self-mobilisation, poor communities collaborate to demand or implement improvements in essential services. They develop contacts with experts, who contribute managerial and technical skills, but community groups retain control over how the resources are used (Aigbavboa & Thwala, 2011; Mullins & Moore, 2018).

2.10.4. Approaches used for community participation

The bottom-up and top-down approaches will be explained below. Ward (2012) recognises the bottom-up approach as a disregard for planning at the top, which remains a critical institutional mechanism for initiating change.

2.10.4.1. Bottom-up approach

The bottom-up approach emphasises community participation in development projects. The local community identifies its own goals and ways of achieving them. This approach allows for community accountability and commitment to as well as ownership of the development projects. Projects must be initiated with the participation of the poor as this approach enhances the projects' cost-effectiveness, replicability, and sustainability (Scott, Cotton, Sohail, 2013). Nonetheless, the disadvantages of this approach are that the people at the top in the community mostly dominate projects. This approach is only successful in small, local community projects. The success of these programmes depends on local people's acceptance of them and their willingness to participate in the projects (Snyder et al., 2013; Isidiho & Sabran, 2016).

2.10.4.2. Top-down approach

The top-down approach involves players believing that they can resolve the problem of poverty by stating that they can resolve it as outsiders who know how to provide the solution. This approach looks

for solutions without focusing on the problems of the poor. This approach plans to achieve the same objectives using the same plan every year, even if it has failed many times. However, the players in this approach want to accomplish objectives beyond their capacity and not that which they can achieve (Gumbo, 2014; Isidiho & Sabran, 2016; Semeraro et al., 2020).

2.11. Conclusion

The chapter discussed the study's theoretical framework and explored the self-help housing concept, which is the foundation of EPHP. The chapter also discussed the participation of beneficiaries in self-help housing and the challenges faced in the types of participation. Journal articles, newspapers, and online articles as well as government documents were reviewed to provide a comprehensive spectrum of the prior literature underpinning the study.

CHAPTER 3: HISTORICAL BACKGROUND OF VULINDLELA

3.1. Introduction

The present chapter discusses the historical background of Vulindlela as the study site. This discussion explores the situation and socio-economic status of Vulindlela. A detailed description of the study site fosters an understanding of Vulindlela and the development that the area has been necessitated by EPHP.

3.2. Description of the study site

Vulindlela, formerly known as KwaShange, is a rural area located 30 kilometres from the Msunduzi Municipality. The Msunduzi Municipality, commonly known as Pietermaritzburg or the "City of Choice", is located along the N3 at a junction of an industrial corridor 80 kilometres inland from Durban on the significant road-route between the busiest harbour (Durban Harbour) in Africa and the national economic powerhouses of Johannesburg and Pretoria (Isikhungusethu Environmental Services (Pty) Ltd, 2008). The population of Vulindlela is the poorest in the Msunduzi Municipality. Msunduzi Municipality, traditional councils, and the Ingonyama Trust Board are the critical role players that oversee the future development of the area (Vulindlela IDP, 2016).

The population in Vulindlela is largely traditionalist. The settlement was established in the Nineteenth Century as the Natal Zwartkop Location under the colonial administrator, Sir Theophilus Shepstone's Location Policy (Isikhungusethu Environmental Services (Pty) Ltd, 2008). Around 1975, under the Nationalist Government's homeland policy, the area was renamed KwaVulindlela and made part of greater KwaZulu Province. It was run on a trial basis and the lack of a cohesive administration body in Vulindlela resulted in the lack of streetlights, restricted water supply, tarred and water-borne sewage system, and the resultant failure by most of its residents to pay for such services (de Tolly, 1990). The demarcation of Pietermaritzburg areas by the local government replaced the Indlovu Regional Council and the Pietermaritzburg-Msunduzi Transitional Local Council with uMgungundlovu District Municipality and Msunduzi Municipality, which was much larger. The most recent local government demarcation resulted in Msunduzi Municipality being inclusive of bordering rural areas. The predominantly rural and tribal area around Vulindlela became part of the new Msunduzi Municipality (Mdunge, 2002). The new Msunduzi Municipality incorporated primarily rural traditional authorities. Only 28 per cent of the households have telephones, while 26 per cent totally have no access to the communication system. About sixty per cent have electricity, while the rest rely on candles or paraffin for lighting. Vulindlela area is largely rural, with most of its residents living below the poverty line, as they are unemployed. Most residents rely on welfare or pension pay-outs for their upkeep (Msunduzi IDP, 2000). Vulindlela is an economically depressed area, probably because of the racial policies applied during colonial and nationalist eras (Ngcobo, 2018). Before the first national democratic government assumed power in 1994, Vulindlela was under the administration of the KwaZulu Government.

3.3. Situation analysis of Vulindlela

Vulindlela is a predominantly rural district located in the Midlands area of KwaZulu-Natal; it includes many different communities and informal settlements. Vulindlela comprises nine wards and is a predominantly rural and traditional settlement. It has the second-highest population in the Msunduzi Municipality and accommodates 85 000 housing structures accommodating 161 562 people. It is considerably less developed and less economically active than the other management areas in Msunduzi (Davis, de Lange, & Povall, 2016).

Vulindlela was initially planned and developed in isolation. According to the Isikhungusethu Environmental Services (Pty) Ltd. (2008), Vulindlela area covers a vast area of approximately 28 000 hectares in extent and comprises nine wards. The leadership in these wards consists of ward councillors and Amakhosi for Mafunze TA, Inadi TA, Mpumuza TA, Nxamalala TA, and Andximba TA. Approximately three-quarters of the population in South Africa live in rural areas governed by traditional leadership, whose practice has been the source of controversy in post-apartheid South Africa. Traditional leadership has historically been regarded as the central ruling system closest to and accepted by the people at the grassroots level (Isikhungusethu Environmental Services (Pty) Ltd, 2008). Be that as it may, Vulindlela is in the westernmost management area of Msunduzi, owing to its location in this Msunduzi Municipality and the fact that it formed part of the ex-homeland of KwaZulu. Apparently, the area has remained under-developed. This has translated to high levels of unemployment, low levels of education, a youthful population profile and limited access to opportunities for income-generating projects. Households located in Vulindlela have access to basic utility services such as potable water, VIP sewerage, electricity, and roads in spite of limited access to a broadband network (Isikhungusethu Environmental Services (Pty) Ltd, 2008).

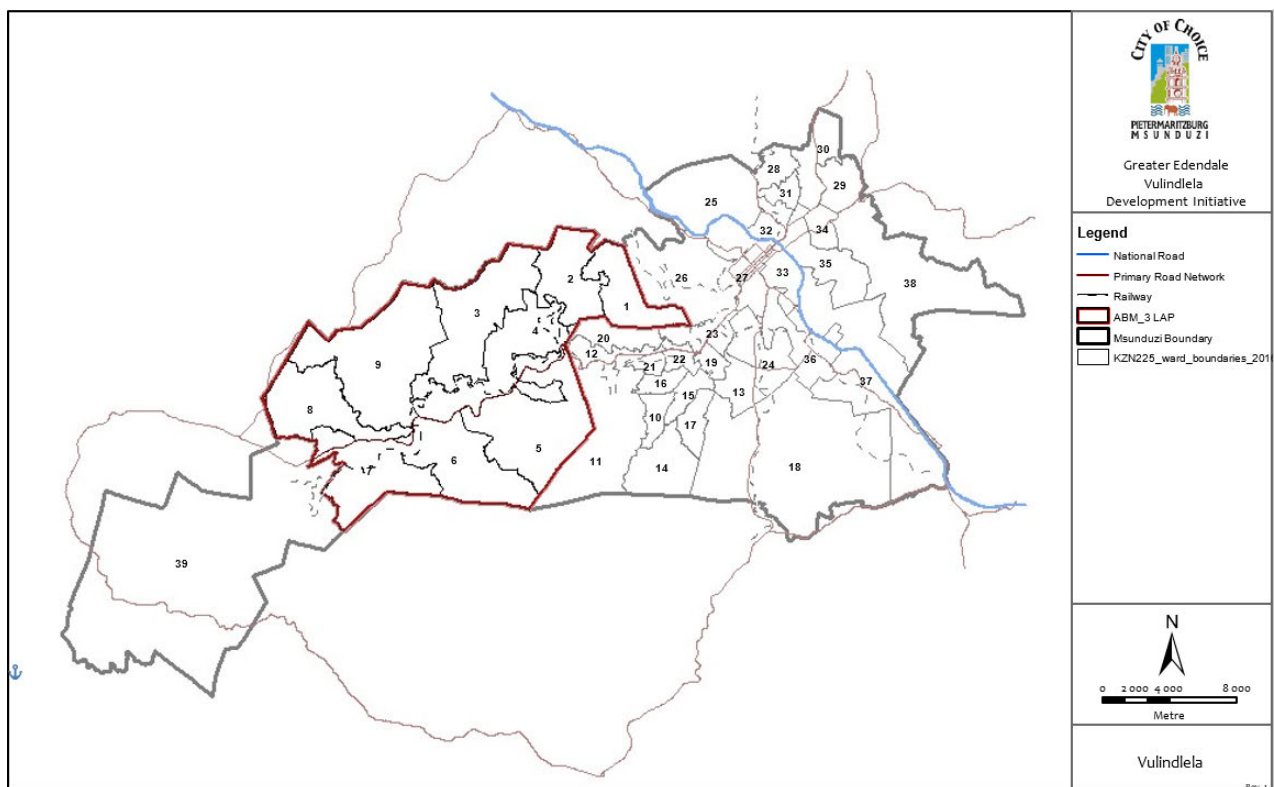


Figure 3.3.1 Map showing Vulindlela and all its wards

Source: Msunduzi Municipality (2019)

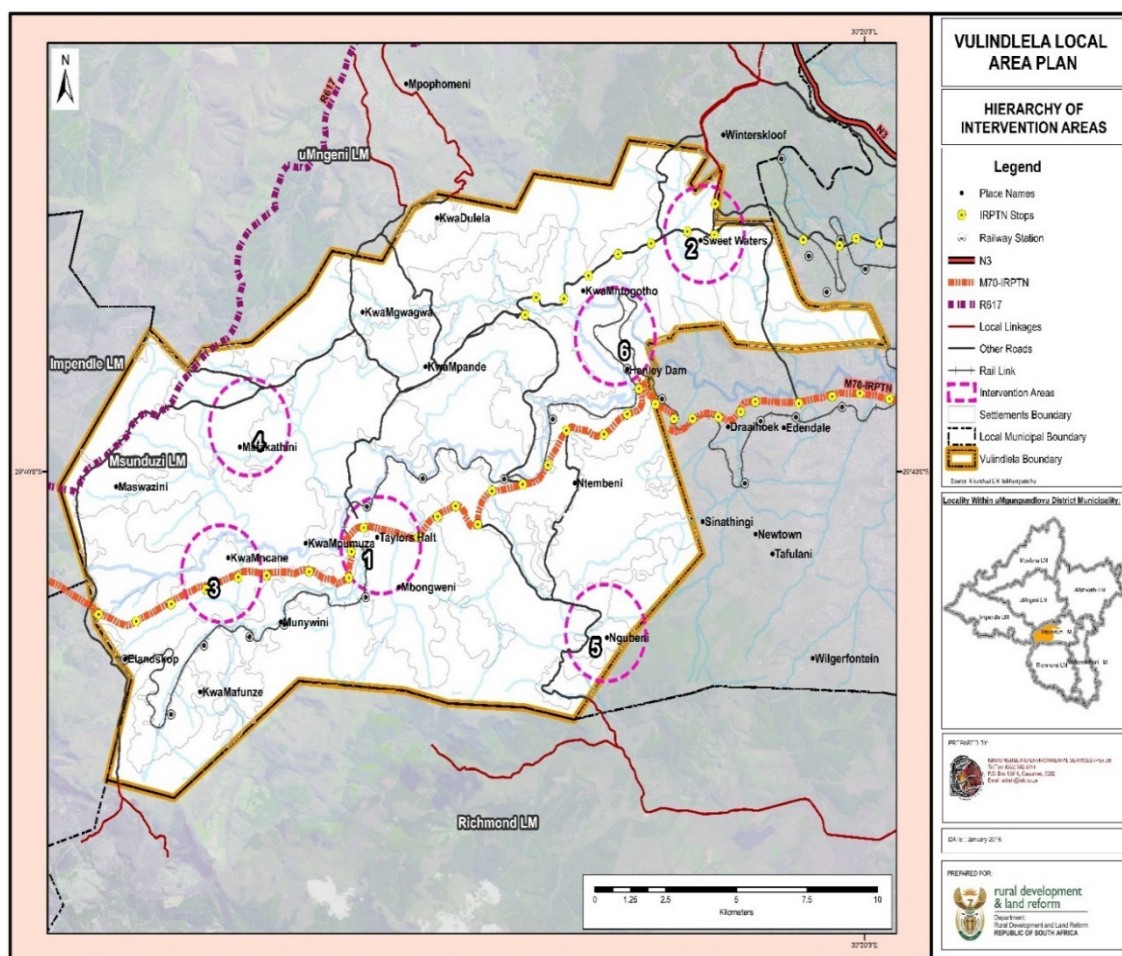


Figure 3.3.2: Map showing the different nodes within Vulindlela

Source: Vulindlela Local Area Plan (2008)

3.4. Socio-economic standing of Vulindlela

As a peri-urban area, Vulindlela is undergoing a high growth rate, mainly in response to the urbanisation trends in the country. It is therefore imperative to accommodate the area's growth in a spatially sustainable and structured manner, simultaneously encouraging the productive use of agricultural land. The Vulindlela Local Area Plan has recorded challenges such as high levels of unemployment, low levels of education, a youthful population profile and limited income-generating opportunities. A population growth rate of 2% per annum represents an increase of 41 321 housing structures or 78 509 people over 20 years. The division of responsibility for land management, administration and allocation has complicated the management of the area. The district comprises many diverse communities and informal settlements. Vulindlela is a rural community with one of the highest teenage infection and pregnancy prevalence rates in South Africa. It is perceived to be the epicentre of the HIV and AIDS epidemic in South Africa.

Due to high unemployment rates, young girls engage in sexual relationships with older men in return for financial support, a phenomenon that is also linked to the high rate of teenage pregnancy in Vulindlela area (Davis et al., 2016).

3.4.1. Housing in Vulindlela

Vulindlela is bordered by three local municipalities that also form part of UMgungundlovu District (Richmond to the south, Impendle to the north-west and Umgeni to the north), and one local municipality (Ingwe) to the west, which forms part of the neighbouring Harry Gwala District Municipality. The area is situated north-west of the Greater Edendale area. In Vulindlela, there are also some places with informal settlements. Being predominantly rural and held under tribal authority, Vulindlela is considerably less developed and less economically active than the other management areas in Msunduzi (Davis et al., 2016).

The Msunduzi Municipality manages land use, whilst the traditional leadership regulates land rights. Increased numbers of households reside in areas with limited land, and that has led to settlement sprawl and the subsequent densification of areas, particularly in and around Sweetwaters, Taylors Halt, KwaMncane, Mafakathini and Henley Dam. High-density settlements do not have building controls or higher-order services and mechanisms that ensure the health and safety of the residents and peri-urban areas, which form the fringes of urban centres, need to be clearly defined to avoid urban sprawl (Davis et al., 2016).

According to Davis et al. (2016), the area's land use consists of a pattern of dispersed settlements, grazing land, cultivated lands (both large, individually managed and farmed areas and smaller irrigated community gardens), pockets of indigenous forest and major timber plantations. Due to an increase in population pressure, some of the former grazing and arable land has been converted into residential use; however, it is necessary to understand the challenges associated with the current form and the planning-development interventions required in terms of addressing these challenges.

3.4.2. Infrastructure of Vulindlela Township

The IDP identified Vulindlela as an area with the most desperate need for services as the area is the hardest hit in this regard. Msunduzi's IDP Review (2014/2015) further identified Vulindlela as a highly under-developed and under-serviced area, with most of its residents being unemployed and dependent on government grants.

While some residents live off the land through subsistence farming, the situation is compounded by scattered educational and health facilities. The area has been planned and developed in isolation; hence, the adoption of an integrated approach to overcoming the negative impacts of separate development policies and preparing a long-term vision to transform and integrate Vulindlela into Msunduzi Municipality socially, economically, and structurally was necessary (Msunduzi's IDP Review 2014/2015). Msunduzi's Spatial Development Framework (SDF) and the Vulindlela Local Area Plan (LAP) recognised the need for the transformation of underdeveloped and uncoordinated neighbourhoods into well-serviced, sustainable, and liveable spaces. However, the following were amongst the identified challenges.

3.4.3. Educational information

Vulindlela experiences high levels of unemployment, low levels of education; a youthful population profile; and limited access to income-generating opportunities, basic levels of utility services in the form of potable water, VIP sewerage, electricity, and roads. The area also grapples with limited access to a broadband network; high population growth rates; a scattered settlement pattern that impedes a viable transport system; lack of an integrated public transport system and poor pedestrian infrastructure; undulating topographical constraints; a broken hilly terrain; and division of responsibilities for land management, administration and allocation, which makes the management of the area complex (Davis et al., 2016).

3.5. Conclusion

This chapter has described the location, the socio-economic status, population, housing, and educational status of Vulindlela. In delineating the historical background of the study site, the chapter presented maps showing the wards and nodes of Vulindlela.

CHAPTER 4: DATA PRESENTATION AND ANALYSIS

4.1. Introduction

This chapter presents the data and findings of the study. This study aimed to assess the limitations in the implementation of projects under the Enhanced People's Housing Programme (EPHP) in Vulindlela rural communities. Community participation is essential in rural development, especially in housing development initiated through EPHP. More important is the need to acquire an in-depth understanding of the principal role and involvement of stakeholders in housing projects undertaken under EPHP.

4.2. Background to the EPHP housing development

The Vulindlela housing project is a rural-based Enhanced People's Housing Process being implemented in the UMgungundlovu District Municipality, within the UMsunduzi Municipality. The Vulindlela community established the Vulindlela Development Association (VDA), which applied to the KwaZulu-Natal MEC of the Department of Human Settlements for approval. On the 10th of March 2011, the KZN Department of Human Settlements signed and approval the largest single project in the history of the national housing subsidy scheme worth R2.1billion earmarked for the construction of 25,000 houses and related work in the rural Vulindlela area of Msunduzi. The initial implementation plan for the Vulindlela EPHP project spanned over 5 years. The project sought to construct the 25, 000 housing units in all the nine wards within the Vulindlela Traditional Council under five traditional leaders or Amakhosi (Davis et al., 2016).

4.3. Demographics of respondents from Vulindlela EPHP

4.3.1. Gender distribution of beneficiaries

The male-to-female ratio of the respondents from Vulindlela was 65% females to 35% males. Figure 4.1 below depicts statistics representing beneficiaries of the Vulindlela rural housing project. Female beneficiaries constituted a larger number of the respondents than their male counterparts.

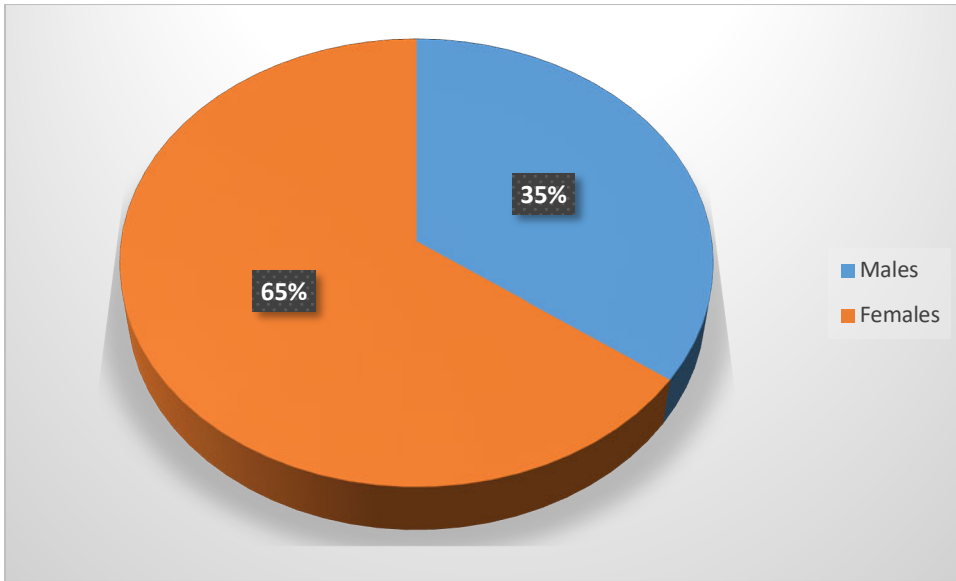


Figure 4.1 : Gender of beneficiaries

Source: Researcher (2020)

4.3.2. Age distribution of beneficiaries

Figure 4.2 indicates that the majority of the people in Vulindlela are middle-aged (39 - 59 years of age); this group comprises 40% of the respondents, while 35% of the respondents were aged between 20 and 39 years and the elderly, aged between 60 years and above, constituted 25% of the population.

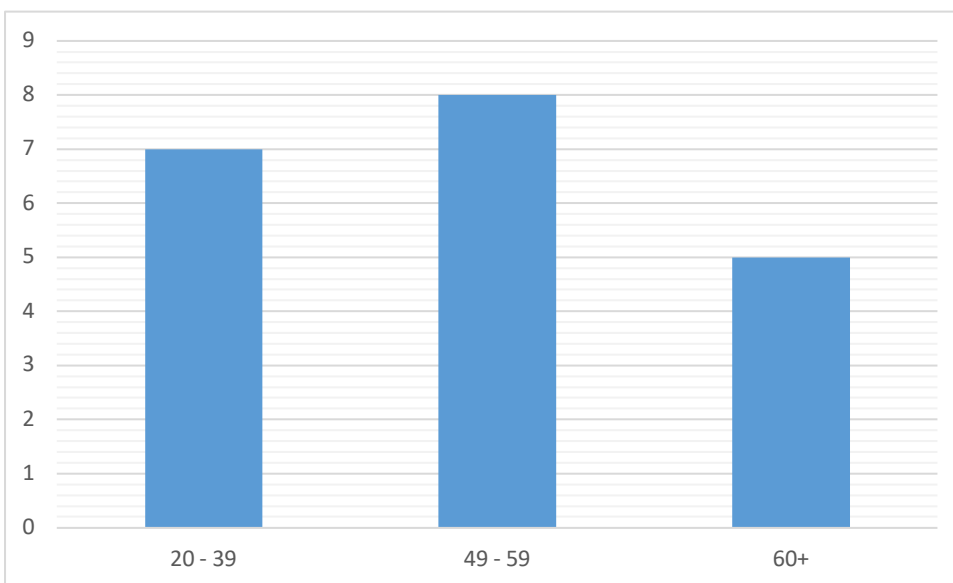


Figure 4.1: Population age group of beneficiaries

Source: Researcher (2020)

4.3.3. Marital status of beneficiaries

Of the population depicted in Figures 4.1 and 4.6, 25% of the beneficiaries are single, 60% are married, and a minimal 10% and 5% are divorced and widowed, respectively. This is further depicted in the graph below.

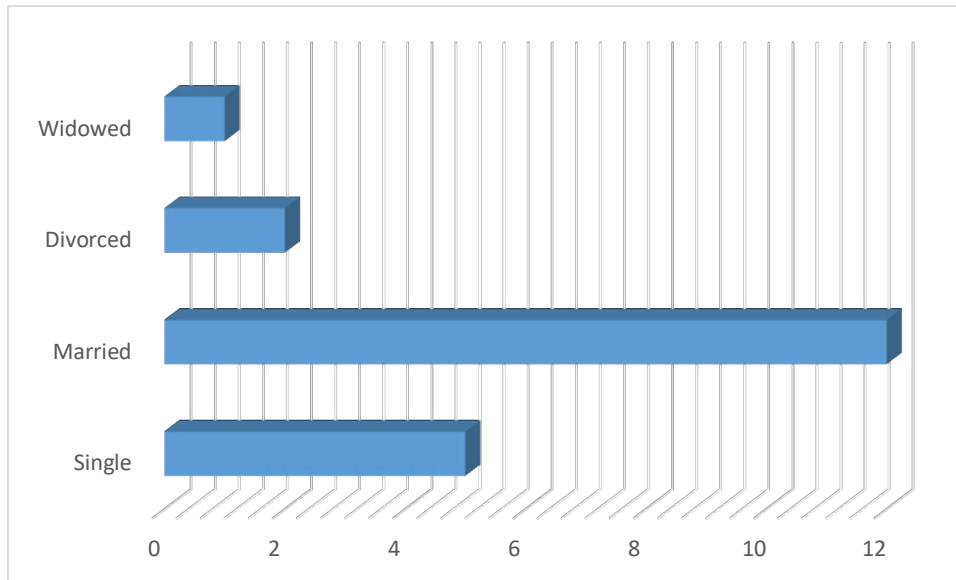


Figure 4.3.: Marital status of beneficiaries

Source: Researcher (2020)

4.3.4. Education level of beneficiaries

Most people in Vulindlela community have some level of education. Figure 4.5 depicts the levels of education attained by residents of Vulindlela. In Vulindlela rural community, the highest average level of education was primary education, with 45% of the community having attained elementary education; 30% of the respondents stated that they had never received any formal education while those who attained secondary education constituted 15%. The final analysis indicates that 20% of the respondents had obtained some form of tertiary training.

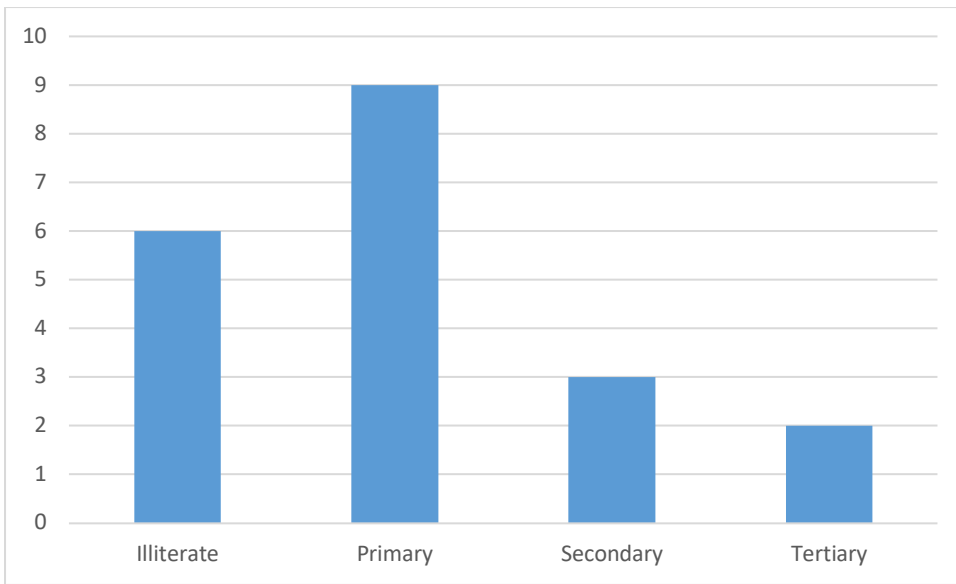


Figure 4.2: Highest level of education of respondents

Source: Researcher (2020)

4.3.5. Employment status of beneficiaries

The education levels depicted in Figure 4.4 above impact the employment status of people in Vulindlela community. Therefore, the employment status is highlighted in Figure 4.5, which indicates that 25% of the population is self-employed, while only 15% is employed, with the remaining 60% being unemployed.

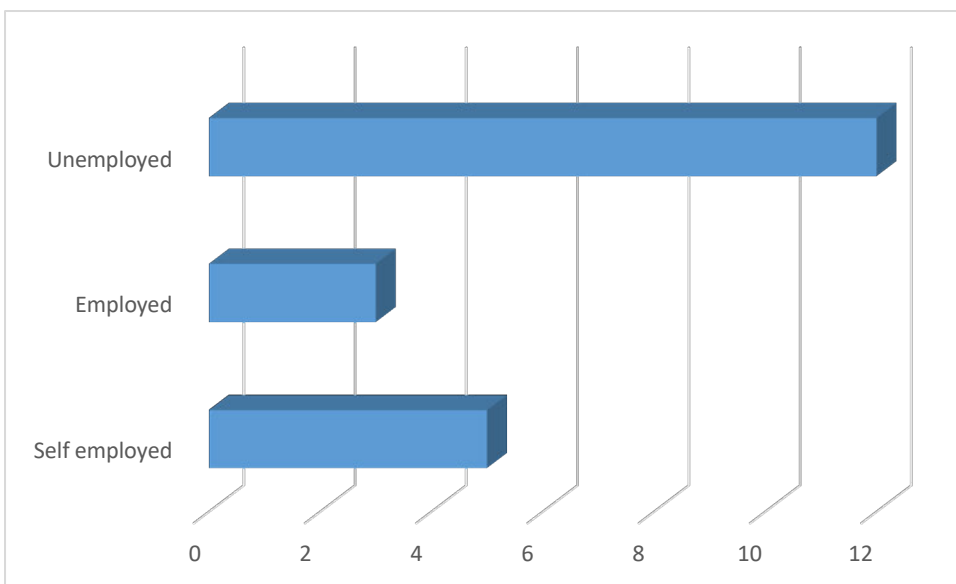


Figure 4.3: Level of employment of beneficiaries

Source: Researcher (2020)

4.3.6. Household source of income

Conversely, the source of income for each household was therefore directly related to the employment levels in the Vulindlela community. Only 15% of the respondents highlighted that they got their income was through employment. Evidently, 40% and 20% of the respondents indicated that they relied primarily on social grants and family support, respectively for income, while 25% reportedly relied on other forms of income.

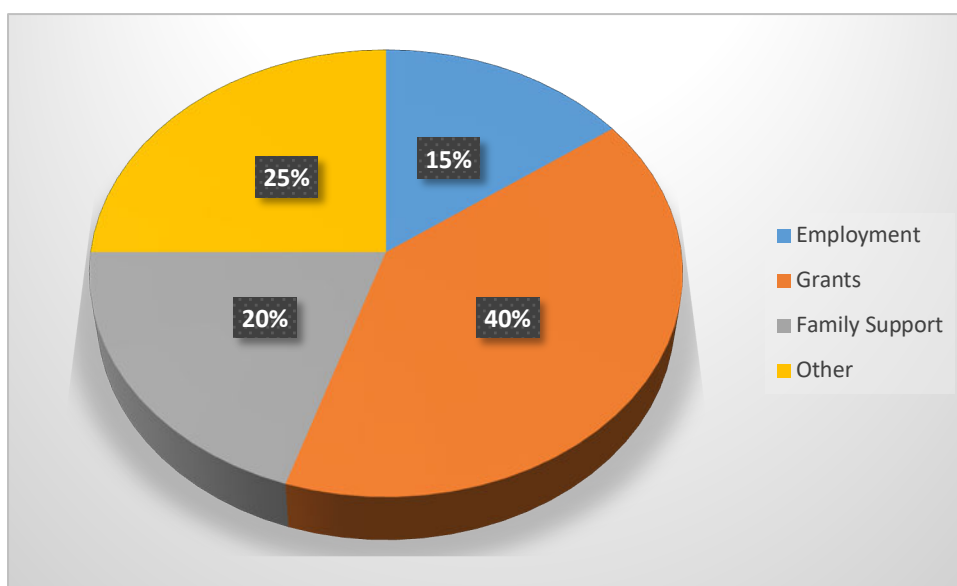


Figure 4.4: Sources of income of beneficiaries

Source: Researcher (2020)

4.4. Community participation and involvement in EPHP

4.4.1. Community member Perception of community participation

The findings of the study depict the different perceptions and understanding of community participation held by Vulindlela community members. Figure 4.7 indicates that 30% reserved their comments. This shows little understanding of community participation in development projects by the community, as most respondents from the community hardly commented on it. Arguably, most community members in Vulindlela community had no clear understanding of what community participation entails.

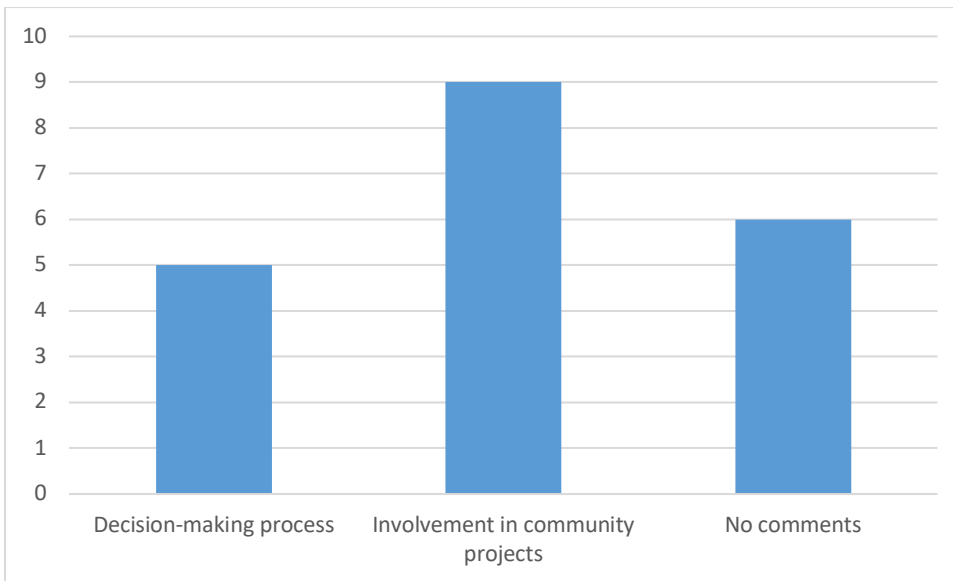


Figure 4.7: Respondents' understanding of community participation

Source: Researcher (2020)

Mzolo (2016) mentioned that the participation of the rural poor in their development projects had been perceived as a critical factor in measuring the success of the projects. The findings attest to mixed feelings about and understanding of community participation amongst the interviewees. Literate people demonstrated a better understanding of community participation than people at the grass-root level. Also, with only about 20 % and 15 % of the respondents having secondary and tertiary education, respectively (Figure 4.4), the low understanding about community participation by the Vulindlela community members is not surprising. It has been reported that having a substantial level of education can assist with better community participation due to the understanding of what community participation entails (Mzolo, 2016). The understanding of community participation exhibited by community members in Vulindlela is reflected in the following responses:

“I think community participation is the involvement of community members in activities that seek to improve the standard of living for the entire community” (Respondent 1).

“It is an input by the community in decision-making and planning processes in developmental activities that are taking place” (Respondent 2).

The above quotations indicate that most community members in Vulindlela do understand the implications of community participation. However, responses from the interview extracts demonstrate that the concept has not been fully implemented in Vulindlela community. One participant said:

“Community participation in development projects is still minimal; a lot still needs to be done” (Respondent 3)

Clearly, there is still need to explain the concept to the community with regards to its participation in the development process and project sustainability and service provision systems. The participants stated that, although the community members had problems insofar as working together is concerned, community participation is still essential because it is only when the whole community participates that the community's goals be achieved.

4.4.2. Capacity building for community members

Capacity building, as a building block for people-centred development in South Africa, illustrates that development is not about delivering service to a passive citizenry (RDP White Paper, 1994). Thus, capacity building entails the involvement of people and providing them with adequate knowledge at the grass-root level. All respondents agreed that community members were not adequately empowered to participate in the community development process. The community members expressed the feeling that they were not capacitated to participate fully in development processes due to the inadequate knowledge that should otherwise prepare them to take on their responsibilities. They highlighted a need to develop workshops and training seminars to educate communities on why it is crucial to partake in development programmes being implemented in their area. It is, therefore, failure on the part of community leaders in Vulindlela to capacitate and empower communities that has impeded the implementation of the EPHP. The respondents claimed that they had never been empowered on the development procedures and project processes. Interview extracts attest to that evidence, thus:

“We have not been told that our contribution is crucial and is needed” (Respondent 4).

“Community members need to be educated about the importance of their involvement in projects taking place in their community” (Respondent 5).

Community members that were also members of ward committees revealed that they did not receive any meaningful training workshops. They reported that they were unaware of their roles and responsibilities as ward committee members. Hence, there was ineffective implementation of ward committees. The respondents indicated that at some point, they regarded ward committees as people commissioned by community leaders to identify members who demanded service delivery. Concerning the level of empowerment exhibited by the ward committees, it also emerged that the community respondents had no understanding of the purpose of community participation. Therefore, little community participation would occur until communities were made aware of their roles and responsibility as stakeholders in the development processes.

4.4.3. Decision-making

Community participation is a process that allows all community stakeholders to decide on development concerns. Figure 4.8 demonstrates that 32% of the respondents hardly participated in development projects, while 26% only participated to a minimum extent. As indicated in Figure 4.8 below, 42% of the total respondents partook in development initiatives. However, community activities are not considered the special preserve of the knowledgeable few, perhaps the same elite leadership that always runs community affairs, but it is the business of everyone in the community (Ngcobo, 2018).

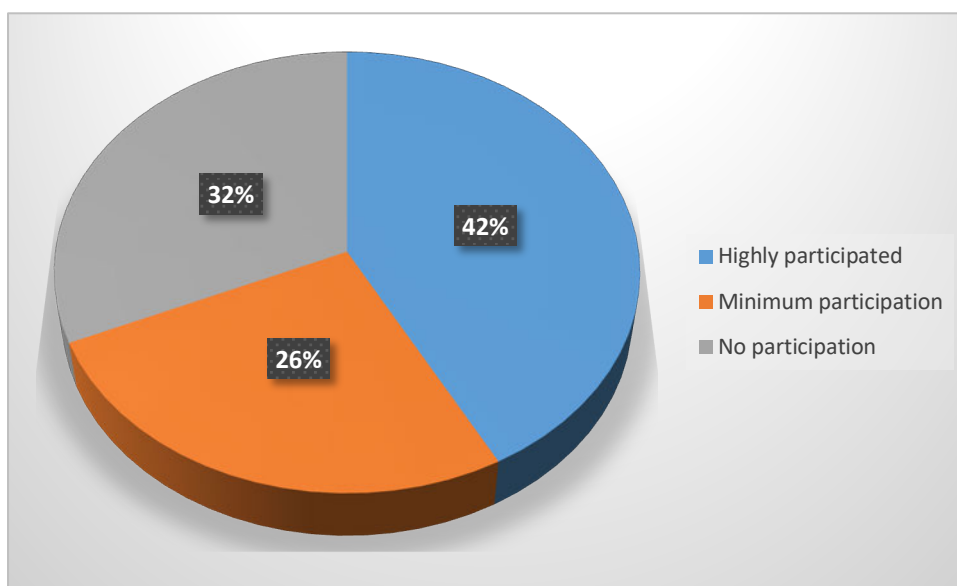


Figure 4.8: Beneficiaries' extent of community participation

Source: Researcher (2020)

The findings of the study indicate that community respondents expressed concerns regarding their participation in the decision-making phase, as they perceived that the municipality was imposing the already made decisions (top-down approach). A community member said there had been no community facilitation meetings, and the community did not nominate the existing project steering committee. The participant said that the community, as a beneficiary, did not participate in the project specification process. He said:

“We were not involved in the designs of the structure of the show houses, which are the only two design options offered for the entire project. There is a conflict of interest for aMakhosi who are acting as both project developers and community leaders” (Respondent 4).

During project implementation, the beneficiaries were not given an opportunity to choose their house plans as promised, but were given a few house plans to choose from (Figure 4.9). Thus, anything that was not included among the few house plans presented to them was not allowed. Some of the project managers and trustees in housing support centres indicated that theirs was not to enter the discussion with beneficiaries regarding the house plans supplied by the Provincial Housing Department, but to implement them without any alteration or further delays. The following response confirms this finding:

“Beneficiaries could neither suggest nor change a given plan. When we asked about such a possibility in one of our meetings with the Provincial Housing Department officials, they disapproved of it, saying accommodating the needs of individual households would cause unnecessary delays and thus prolong the construction period” (Respondent 7).

Project managers and trustees further suggested that their performance was measured in terms of the number of housing units delivered rather than the process followed; they would not risk losing sight of their primary target by accommodating the less valued opinions and views of the beneficiaries. One of the officials explained:

“To avoid delays, we ensure that at the beginning of our project, we call all our beneficiaries to a meeting and state it clearly to them that our plan is final and does not provide for further amendments” (Respondent 8).

This element violates democratic principles and perpetuates the legacy of the past. Community members were deprived of their right to decide on what they want to see happening in their community. Community participation emphasises that people at grass-root level should play a central role in addressing developmental issues in their community. Scott et al. (2013) reiterate that development is people-centred. Thus, people should be at the centre of any development effort that is meaningful to them. Their concerns particularly bordered on the community’s ability to influence decisions.



Figure 4.8: The "box houses" that were constructed for all beneficiaries

Source: Researcher (September 2020)

4.4.4. Needs identification

As highlighted in the literature review section, community participation occurs if the community can determine the direction of their developmental projects. This includes affording the community their right to identify what should be done; this is based on the understanding that people at grass-root level know their needs better than what development agencies do. However, respondents from the community recognised the role of community participation in needs identification processes.

They stated their constitutional right to identify their needs and problems they would want addressed in their area. They said:

“We should identify things we want to see happening” (Respondent 20).

“Community should mention issues that they want to be solved” (Respondent 10).

In addressing community needs and problems, respondents from the community agreed that their role was one of identifying and generating a list of needs in their wards. However, since the contractors were drawing building plans in conjunction with the DoHS, the beneficiaries were left with no plans to choose from since only one plan was availed to all the beneficiaries. One interviewee claimed:

“They consulted me on the kind of a house I would want; however, they came with a different building plan which they used to construct this ‘box house’. This was against my wish to have an eight- cornered house” (Respondent 11).

This extract clearly illustrates stakeholders’ differing interests in the implementation of development projects, where all of them want to benefit. Still, the differing power dynamics seemingly impact the extent of involvement and decision making between project beneficiaries, contractors and the DoHS. Most respondents felt that they were betrayed either by the Msunduzi Municipality or Department of Human Settlements, which decided on the construction of the box houses against the interests and desires of the community members. Community members interpreted this act or decision as undermining their voices and contributions during the consultative and planning processes.

4.5. Limitations of community participation

The findings of the study identified several challenges impeding community participation thus limiting the implementation of EPHP. The community-based respondents outlined common reasons that hinder their participation in development programmes; these are as shown in Figure 4.9.

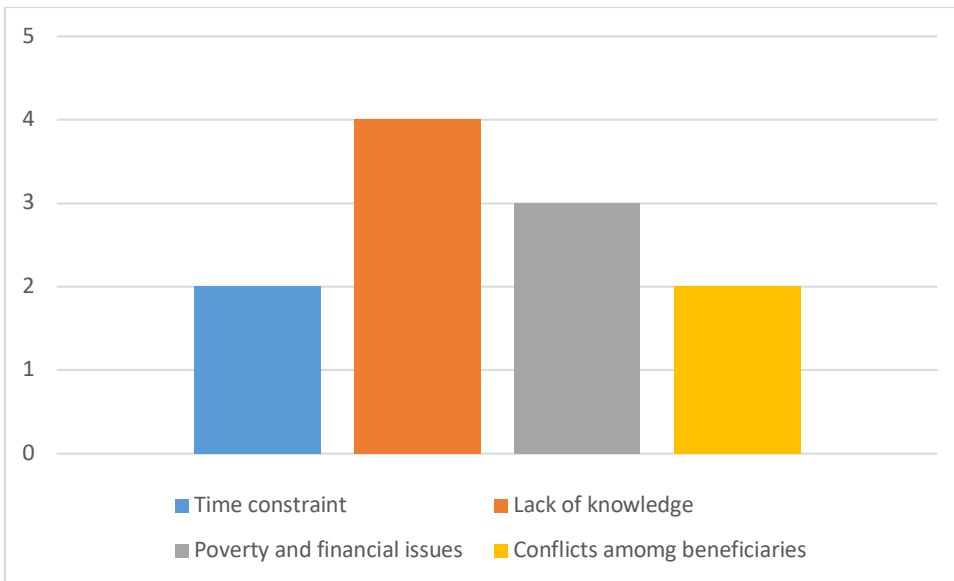


Table 4.1: Reasons for lack of participation among beneficiaries

Source: Researcher (2020)

Table 4.1 indicates that 10% of the respondents stated that they did not have enough time to participate in community projects, while 20% noted that lack of knowledge mainly prevented them from participating in these projects. A further 15% of the respondents stated that poverty and lack of financial support was mainly obstructed their involvement in community projects. Conflict of interest was another pertinent constraint, representing 10% of the respondents. It also emerged that lack of knowledge was another constraint that could be explained by the lack of education resulting in minimum involvement by beneficiaries.

4.5.1. Inadequate financial capacity

Aigbavboa and Thwala (2011) highlighted that for communities to play an active role in community development processes, their members must have access to resources. However, the findings of the study indicated that the weak financial position of Vulindlela communities reduced the capacity of community residents to participate in the EPHP, which affected the whole process of rural development. An interviewed official maintained that inadequate resources hampered the Vulindlela community's ability to effectively influence and develop policy compared to other stakeholders' policymaking process. Further, they illustrated that corporations and professional organisations often have access to large amounts of financial and human resources. This creates an inequity whereby community that may be affected by change may not have the same opportunity to participate in and influence the process.

4.5.2. Lack of general information

Rural citizens experience a lack of access to information on government programmes and services (Mzolo, 2016). Rural dwellers in Canada have also reported that the information available on policy, government programmes and services is difficult to obtain and interpret. This resonates with the findings of this study, which pointed out that ordinary people's lack of awareness of the democratic processes and their ability to be involved in the project implementation had restricted their influence over what happens within the community. The participants from the community also complained that they were not informed about the allocation of subsidies. They said:

“Community members need to be educated about the importance of their involvement in projects taking place in the society” (Respondent 12).

“Yes, we were part of the workshops, but they never told us what was expected of us. It seemed we ought to just sit there and listen to what they only had to say” (Respondent 13).

4.5.3. Absence of rural representation in the decision-making process

Aigbavboa and Thwala (2011) assert that living in a democratic society means citizens elect their representatives at government level. Due to their larger population, urban areas tend to have more excellent representation in the national parliament and provincial legislatures than rural communities. The findings of the study indicate that the weak internal structure of most community-based organisations in Vulindlela, such as non-government organisations, civil society organisations, and lack of broader representation of the people's voice makes them rather superficial. With minimal representation on the part of the beneficiaries, it is difficult for the other stakeholders in the Vulindlela housing project to know the challenges and limitations of beneficiaries' participation in the project. A community representative would assist in relaying information on the challenges and expectations of the communities from the Vulindlela EPHP and that would be an effective way of keeping communication lines open between the community and the EPHP's governing body.

4.5.4. Political patronage

The central government has shown significant lack of commitment to devolution of powers, which is evident in government's continued influence and interference in the functioning of local government units (Bhuyan et al., 2010). The findings indicate that there is still a tradition of inequality in the homelands where, historically, power was concentrated in the hands of a few elites, often labelled 'apartheid collaborators' because they manipulated the apartheid tensions to their advantage. This was

clearly articulated by Former President Thabo Mbeki at the National Council of Provinces in 2005, when he asserted that:

“This unseemly scramble for political power in municipal government appears to be driven by the desire to abuse elected positions to lay hands on the economic resources that the local authorities can access” ((Mbeki, 2005)

Rather than providing opportunities for genuine community engagement with local leaders, community development projects were controlled by political elites trying to assert their power or gain access to State funding for their own benefit. Furthermore, the participants argued that the predominant influence of the aMakhosi, who were not democratically elected, and the incorporation of traditional authorities into new developmental local government, reflected the previous system of indirect rule used by the British to manipulate aMakhosi to subjugate fellow Africans on their behalf. The interviews conducted with the participants also indicated that:

“By giving the aMakhosi a large role in development, the ANC-led government risks undermining the very principle of participatory governance and democracy which community development projects, such as the Vulindlela EPHP, endeavour to promote” (Respondent 15).

“The project can still be regarded as bottom-up because it was orchestrated by a local committee, but I would argue the project itself did not involve the community for it to be regarded as a community project” (Respondent 16).

4.6. Stakeholders involved in the EPHP

The key stakeholders that were involved in the Vulindlela’s rural EPHP include the UMsunduzi Local Municipality, the KZN Provincial Department of Human Settlements, the National Home Builders Registration Council (NHBRC), NURCHA (as the financial CRO), DEZZO Development Holdings (as the Technical CRO) and the Ingonyama Trust Board (the landowner) (Figure 4.10.).

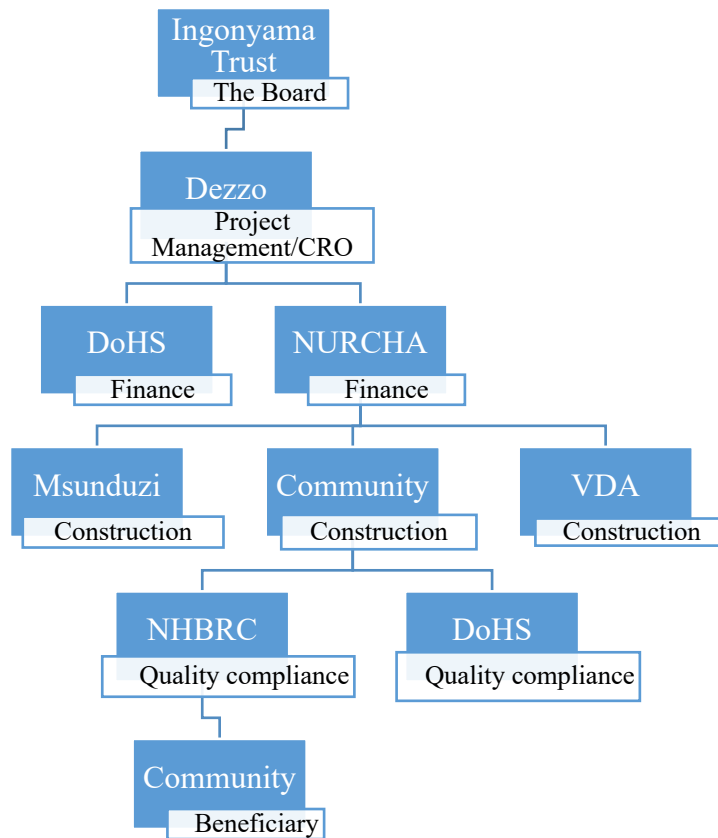


Figure 4.10: Stakeholders of the Vulindlela EPHP

Source: Researcher (2020)

4.7. Stakeholders' participation in and contribution to housing in the EPHP

4.7.1. Government

The project steering committee in Vulindlela comprised representatives from the UMsunduzi Municipality, ward councillors, the Department of Human Settlements and the provincial government, which provided oversight for the whole project. The government plays a vital role in ensuring that the EPHP successfully provides all the necessary support to the targeted households. Baumann (2003) explains that the government of South Africa has, since 1994, supported the delivery of self-built houses built by the people themselves, though with State assistance in the form of subsidies. The government's primary function, besides enacting legislations and policies in the EPHP, is to release funds to cater for those beneficiaries that qualify for subsidies. The Provincial Government, through its departments, approved projects where local authorities are available in certain administrative structures. According to EPHP policy, it is the community groups that are directly involved in the management of the projects, providing a measure of public accountability (National Housing Code,

2009). The primary function of all levels of government is to enable implementation of EPHP projects. Annamalai et al. (2016) argues that the EPHP is not a housing delivery route to be implemented but a housing practice that needs to be supported and facilitated.

4.7.2. The Community Resource Organisation

The Community Resource Organisations (CROs) play an essential and critical role in fostering the successful implementation of the project by assuming the developer status on behalf of the beneficiaries and providing technical assistance and advice to the Vulindlela Development Association. The main CRO that participated in the Vulindlela EPHP included the National Home Builders Registration Council (NHBRC), National Urban Reconstruction and Housing Agency (NURCHA) (as the financial CRO), and the DEZZO Development Holdings (as the Technical CRO) and the project manager. The technical and commercial aspects included planning, construction activities, professional services, while administration and procurements were monitored by DEZZO Development Holdings (Project Managers). The NURCHA undertook the disbursement of the Department of Human Settlement (DoHS) funds and construction performance reporting to DoHS. Furthermore, the CRO also worked with other stakeholders involved in the project implementation, including private sector companies, municipality, and the Department of Human Settlements.

However, one of the interviewees mentioned that in terms of procuring building materials, the actual beneficiaries were not involved in that decision-making process. The CRO also advises the beneficiaries of any changes in the project implementation. The CRO and DoHS order building materials and deliver them to the respective beneficiaries' houses where construction will be taking place. Clearly, the beneficiaries were not involved in the actual procurement of the material for the construction of their housing units. Several non-governmental organisations (NGOs) and community-based organisations have played a meaningful and critical role in rendering technical and administrative assistance to the Vulindlela communities during the implementation of EPHP. The findings indicate that NGOs, together with beneficiary CBOs, ended up acting as developers. Still, local authorities tend to work with NGOs and CBOs who sometimes do not fully understand the process since they tend to develop flexible approaches to EPHP. The lack of well-qualified NGOs saw the rise in the number of fly-by-night NGOs who stepped in in spite of lacked of understanding of EPHP (Sithole, 2015).

4.7.3. Vulindlela Development Association

The rural EPHP meant to involve the community in the decision-making process. The Vulindlela community established the Vulindlela Development Association (VDA), a Section 21 company, to oversee the nine wards within the Vulindlela traditional council under-five aMakhosi (traditional tribal leaders who have been incorporated into government). The Vulindlela Housing Project was intended to be community-based initiative designed to alleviate poverty, enhance community participation, and transfer skills to residents of Vulindlela. The VDA described the project as encapsulating the principles of community participation through the participatory approach meant to deliver integrated human settlements. However, the project fell short of achieving many of its goals, and the level of community involvement was very low.

The VDA primarily sought to achieve maximum economic benefit for the greater Vulindlela community through the creation of a self-sustainable community and ensuring local entrepreneurial and employment opportunities are created through the housing development value chain. This will have further contributed positively to the alleviation of youth unemployment in the community, while preferably meeting targets of improving the semi-skilled employment levels through implementing and managing the project through community structures and community-based organisations.

Whilst community engagement was intended to prevent corruption, the VDA was plagued with accusations of corruption. In Vulindlela, there were protests that a considerable amount of State funding was entrusted to a private company (DEZZO Holdings) without following the relevant tender procedures. Local elites involved in the VDA housing project were shareholders in DEZZO Holdings and could be seen to be acting in their interest by not allowing the project to go to tender. However, though the aMakhosi claimed that the EPHP had a provision that allowed for the project not to go to tender, it emerged that in South Africa, many development decisions have been settled in favour of private-sector profit margins over the residents' needs.

4.7.4. Beneficiaries and volunteers

The beneficiaries revealed that as community members, they were consulted during project planning. Still, there was little or no community involvement in project implementation, as demonstrated by the top-down approach evident in the construction of the box houses, which some respondents ridiculed as a “one-size-fits-all” and does not apply to differing family contexts and setups. Data from interviews

conducted with officials revealed that most of the community members were included during the consultation and planning phases of their housing development. Still, Official 3 reported that only a handful got involved in the implementation of the schemes through labour provision.

During the actual construction phase, some beneficiaries reported that they did not want to volunteer their labour (sweat equity) but would rather opt to be general employees in constructing their own houses (Official 2). One beneficiary said that;

“Since we are not employed, we have to use every chance we have to get employed and get money. This is our chance to get employed and get money” (Respondent 17).

The main argument was that since building contractors are given money to undertake construction projects, community members also wanted a share of the money despite the fact that their houses were actually being constructed. Despite this reality, there were other community beneficiaries who volunteered with their sweaty equity within the private contractors' construction teams. Thus, the beneficiaries, particularly other community members involved in the actual housing construction were paid by the contractors.

4.8. Limitations in the implementation of EPHP

The limitations in the implementation of EPHP are explained under the sub-themes outlined below:

4.8.1. Challenges of accessing housing in this community

The lack of funds was identified as an important challenge impeding access to housing.

“There is lack of funds. This results from the high unemployment rates within the community. Money is required for anyone to access housing, and this affects us leading to lack of funds to build the houses” (Respondent 5).

A lack of order in communities was also highlighted as another factor that compounded the challenges of accessing housing. A participant said:

“Lack of order within the community has negatively affected access to housing. The houses are allocated by traditional leaders, and there is no fair allocation. There is a lot of corruption in the allocation process, thus posing challenges within the community” (Respondent 6).

The reviewed literature revealed that the Vulindlela has been a subject of discussion over the lack of transparency associated with the housing project. Some of these concerns included the alleged unfair treatment of employees who were not given formal contracts and claimed that the salaries they received were inconsistent (Ngobese, 2012).

It was further highlighted that the tedious processes that were involved added to the challenges of accessing housing.

“The process is long, making it difficult to access houses since most people give up in the process. This can also be due to lack of community participation and some stakeholders are not committed to the process” (Respondent 7).

Literature shows that community participation is essential. Mahlaba (2018) highlights that participation is crucial for sustainable development, as stakeholders are involved in decision making at all stages of a project cycle; hence, development problems and needs will be better understood.

4.8.2. Dwelling completed as per the agreement

Respondent 7 stated that the dwelling they occupied was not completed as per their agreement. This also highlights how EPHP has mainly focused on completing the building of the houses and not the process of building the houses, which was embedded in the original policy for the motivation of the process (Marais et al., 2008).

Respondent 9 added that the dwelling was made of poor materials. Department of Housing (2004) stated that there was an inadequate contribution from the financial sector in the financing of low-income housing. This was principally due to the poor repayment record of low-income housing beneficiaries.

Furthermore, Respondent 5 stated that the dwelling was too small and could not accommodate their big family. This was due to budget constraints, which adversely impacted the degree of delivery and the scale of the quality of delivery. As a result, there are increasing numbers of people living in inadequate housing without access to essential services or facilities.

4.8.3. Interruptions impeding the completion of houses

Respondent 14 stated that strikes hampered the completion the houses. Due to limited dweller-control, there is an apparent similarity in the housing structures delivered through EPHP in South Africa. Due to a minimal contribution by the house-owners, a uniform approach, like a contract-driven approach, was used to build houses. This ignited strikes that stalled completion of the housing project (Marias et al., 2008).

Respondents 17 stated that interruptions were caused by a lack of resources. The poor configuration of housing plans and funding streams at all levels of government and the generally poor quality and peripheral position of low-income housing projects delayed the completion of housing projects. Also, insufficient State resources are being availed to ensure housing and urban development proposals advance the urban poor's living conditions. National spending on housing has declined to only 1.2% of total government expenditure (Marais et al., 2008).

Respondent 10 stated that there was a lack of community participation. This observation echoes the lack of collaboration from traditional leaders and the recent implementation of new housing policy measures (Department of Housing, 2004). Lack of involvement of the house owners at the end of the building phase completely obscured the self-help concept intended for the process (DOH, 2004).

4.8.4. Limitations encountered towards the completion of this housing project

Respondent 20 stated that budgetary constraints were one of the key problems as the government has numerous needs but has limited funds. Also, Respondent 25 stated that the economic crisis that arises from the recurring economic recessions negatively affected this housing project, thereby barring its completion. This concurs with literature which states that macro-economic motivations, in conjunction with national budget constraints, have been attributed to the small housing product. There is no specification on the sizes of the houses on the original White Paper. Still, the national government advocated for the change in the minimized housing size with room for increasing housing size through provisions for housing capital focused on the housing unit with other resources set aside to provide infrastructure (Charlton, 2006).

“There are gaps between policy recommendations and their application, thereby excluding community members” (Respondent 10).

Communities need to be fully educated about the newly planned developments and changes in government policy with sufficient and in-depth information. Only when community members are fully equipped with adequate information can they appreciate the real value of public participation. With this in mind, there is a need to seriously consider the community members' level of education and the ability of the community to understand planning principles and elementary planning tools such as maps and planning language (Aigbavboa & Thwala, 2011).

Respondent 5 stated:

“There is insufficient access to suitable land for building houses as the traditional leaders are also fighting for their grazing land.”

Literature also states that the Vulindlela EPHP was the location of the housing for the residents. It was reported that some of those houses were located on wetlands (Mbanjwa, (2011).

4.8.5. Characteristics that make a good and efficient EPHP

The findings of the study suggest that the participation and commitment of all stakeholders are necessary for the efficient execution of EPHP.

“Active participation of all involved parties makes a good and efficient EPHP. When people who are involved play their roles, then it becomes efficient” (Respondent 6).

“Commitment of all the involved people makes a good EPHP. The people involved must be committed to the programme and its outcomes. Most people only want to benefit, but no one is interested in the process” (Respondent 7).

Some participants indicated that transparency was an essential element that facilitates the efficiency of the programme.

“There is a need for transparency in all the activities; this reduces corruption and makes the programme efficient” (Respondent 3).

However, Vulindlela EPHP has been a subject of discussion over the lack of transparency associated with the project. Some of these concerns included the unfair treatment of employees who claimed that they were not given formal contracts and that the salaries they received were inconsistent (Ngobese, 2012; Ellero, 2015). The Vulindlela rural EPHP raised complaints of corruption that resulted in other

people other than the residents benefiting from the project. The project was also reported as being more beneficial to the rich, with the poor being marginalised and without access to the houses that they had been promised (Naidoo, 2012).

Communication was another factor that was highlighted as necessary for the efficient operation of the EPHP.

“Communication is important for a good and efficient programme. When all the stakeholders involved communicate openly, this has a positive impact on the EPHP programme. It gives every stakeholder involved an idea of what will be happening and what needs to be done” (Respondent 5)

Community participation is seen as a way through which stakeholders effect development by contributing to projects, influencing public choices, and holding public institutions accountable for the services and goods that they provide. Participation involves the engagement of people affected by a development project. The involved stakeholders can carry out several activities in the development of the project (Aigbavboa & Thwala, 2011).

4.9. Extent that beneficiaries were involved in project implementation

The results of the study attest to the extent to which beneficiaries were involved in programme implementation.

4.9.1. Involvement and responsibilities during the EPHP

One respondent stated that he was part of the organisation implementing the EPHP. Chen (2006) stated that the implementing organisation is also a stakeholder, being responsible for distributing resources, organising staff, and managing activities to implement the project. The ability of the organisation influences the quality of the programme execution. It is crucial to ensure that the implementing organisation has the skills to implement the programme. Chen (2012) further states that programme implementers are also part of the stakeholders. Programme implementers are project managers, engineers, housing experts, and administrators who have the expertise to deliver housing services to clients.

Respondent 10 stated: *“My role in the programme was to keep checking how far the programme was and making follow-ups on the different stakeholders.”* Respondent 5 added that: *“I was involved as a beneficiary and also participated in the planning committee.”* Literature states that the success of the project is the result of the existence of firm eligibility criteria. There is a possibility of reaching qualifying and representing people and efficiently serving them. The willingness of potential clients to collaborate with and is committed to the project (Chen, 2006).

“As a municipality official, my role was to ensure that the programme is being implemented as specified by the policy. In addition, I also ensured that funds have been released into the programme and are being used for the right process” (Respondent 25).

“As a municipality official, I was involved in the selection of suitable land for the houses” (Responded 27).

The success of the project is a result of the existence of firm eligibility criteria and the possibility of reaching qualifying and representing people and efficiently serving them. Another factor is the willingness of potential clients to collaborate be committed to the project (Chen, 2006).

Furthermore, Respondent 10 stated that they were a representative from the labour union, and their role was to ensure that there was democratic participation within the programme. According to Imperato and Ruster (2003), participation is crucial for sustainable development where stakeholders are involved in decision-making at all stages of a project cycle, development problems and the needs of beneficiaries will be better understood. Participation must focus on community organisations like labour unions and civic groups, which promotes democratic participation. Communities need to be educated and made aware of the community projects for them to participate in them (Department of Human Settlements SA, 2009).

4.9.2. Knowledge on housing process

The findings from the study also showed a lack of familiarity with the procedures involved in the implementation of the housing procedures, as demonstrated by the following responses:

“No, I was not familiar with the procedures that were followed in the implementation of this housing project. We were never updated on what was going on; we were only told that we are beneficiaries of the project” (Respondent 15).

“I was not familiar with the procedures as there was lack of communication. Many times I would just see that the people are no longer on the building sites leaving the structures half done without any explanations given” (Responded 17).

While public participation is seen as a form of empowerment, it often benefits those who are better equipped to harness its potential (De Villiers, 2001). The beneficiaries of the Vulindlela EPHP showed that they were not familiar with the housing process and they were not constantly updated on any developments occurring on the project. So, with limited information, the beneficiaries were incapacitated to fully participate in the project as their roles in this project were not very clear. Communities need to be fully educated about newly planned developments and government policy changes. When beneficiaries are fully equipped with in-depth information and understanding, public participation can be of real value to them (Aigbavboa & Thwala, 2011).

4.10. Communication between the local community, NGO’s, and Municipality

The results, as shown by the sub-theme below, shows that communication must be present between the local community, NGO’s, and the Municipality.

4.10.1. Effective communication in EPHP

Respondent 12 stated that NGOs and Municipality must hold meetings with them, the beneficiaries, to make sure that they are updated on the stages of the programme. Compulsory contributions include time, leadership, participation, and ownership of the community's project by participating in community meetings and in setting up a project steering committee (Marais et al., 2008). This comment by respondent 12 highlights the importance of communication for better community participation. When the municipality and NGOs involve the community members in meetings and update them on the programmes, the communities feel included. This inclusion empowers the participants and assume ownership of the program, which enforces dedication from the beneficiaries (De Villiers, 2001, p. 13; Aigbavboa and Thwala, 2011).

Education of the communities on the implementation of the programme was also highlighted as an instrumental factor in ensuring the success of the programme being implemented.

“I think the NGOs must hold public meetings to educate the community on how the programme is being implemented and how long it is expected to last” (Respondent 15).

Serious attention needs to be paid to the level of education and the ability of the community to understand planning principles and elementary planning tools such as maps and planning language (Aigbavboa & Thwala, 2011). In this view, the lack of effective communication made the Vulindlela community members feel like passengers in the programme and their contribution was not significant. The community members, thus, took a back bench seat to the programme, a major limitation to the implementation of the Vulindlela EPHP, which requires community participation.

The Municipality is responsible for all land packaging and town planning or township establishment, funding and the provision of land purchase funding or donation of land to communities. The Municipality is also responsible for funding additional facilities and amenities. Hence, the Municipality needs to be always accessible, making all the processes easy (Marais et al., 2008).

“I think beneficiaries must be free to the Municipality’s offices as well as the NGO’s offices. These offices must be welcoming to the beneficiaries, and they must be able to answer all the questions asked about the project” (Respondent 8).

Literature states that a leading limitation in housing projects is a lack of capacity among the disadvantaged in access to education and communication. While public participation is seen as a form of empowerment, it often benefits those who are better equipped to harness its potential (De Villiers, 2001).

“The NGOs and municipality must give newsletters every month, updating the beneficiaries about the progress of the project.” Respondent 2

“As the municipality, all the processes must be communicated to everyone involved in the project so that everyone is aware of the position of the project at all times” (Respondent 9)

Lastly, transparency was another factor that was highlighted by some respondents, as shown below.

“I guess the NGOs must give an outline of the budget to all the stakeholders and how it must be used so as to improve transparency and as a way of communicating and involving the stakeholders in the programme” (Respondent 13).

With the municipality not being easily accessible and a lack of transparency on the developments of the programme, the Vulindlela community members could have lost trust in the other stakeholders of the programme, a factor that limited the implementation of the Vulindlela EPHP. This challenge, compounded with low education of the participants for the Vulindlela beneficiaries, were main factors that impeded community participation and represented a great limitation to the implementation of the Vulindlela EPHP.

However, Vulindlela EPHP has been a subject of discussion owing to the lack of transparency characterising its implementation. Some of these concerns included the unfair treatment of employees who were not given formal contracts and claimed the salaries they received were inconsistent (Ngobese, 2012; Ellero, 2015).

4.11. Conclusion

This chapter highlighted the themes on the limitations of the EPHP in Vulindlela. Amongst these challenges were limited funds and resources, which often led to the programme being interrupted. Other challenges were related to lack of community participation and limited knowledge by some stakeholders in the EPHP, particularly on policies related to the programme. Communication breakdown amongst the local community, NGOs and the Municipality were also highlighted as some of the factors that contributed to inefficiency in the implementation of EPHP in Vulindlela. It was also stressed that the Municipality and NGOs lacked transparency, a significant factor limiting the implementation of EPHP. The next chapter discusses the implications of these findings against the backdrop of the available literature.

CHAPTER 5: DISCUSSION, CONCLUSIONS AND RECOMMENDATIONS

5.1. Introduction

This chapter presents a discussion of the findings of the study. The study aimed to analyse the limitations in the implementation of EPHP in Vulindlela. To achieve this aim, researcher formulated the research objectives which assessed the roles and responsibilities of communities and key stakeholders within EPHP in Vulindlela and the involvement of beneficiaries in the implementation of EPHP. A qualitative research approach was adopted to address the following objectives:

1. To assess the actual role and responsibilities of communities within EPHP;
2. To determine the key stakeholders and assess their involvement;
3. To analyse the limitations in the implementation of EPHP;
4. To analyse the beneficiary's involvement in the implementation of EPHP;
5. To provide municipalities with an insight into household benefits and expectations.

A total of 30 participants were selected for participation in the study through purposive sampling. The sample included 20 beneficiaries of Vulindlela EPHP, five from the Municipality and five from the VDA. Data were collected using semi-structured interviews, and the findings of the study were presented in the preceding chapter. Thus, this chapter discusses the study's findings and compares the results with the existing literature on the limitations impeding the implementation of EPHP. Furthermore, a summary of the study's findings (conclusions) and recommendations are presented in this chapter.

5.2. Discussion

5.2.1. Community and beneficiaries' participation and involvement in EPHP

The findings of the study showed that most community members have a basic understanding of community participation and involvement in EPHP. It emerged that literate people have a general understanding of community participation and involvement in EPHP. EPHP is a programme in which the beneficiaries actively partake and contribute to the construction of their houses (The National Housing Code, 2009; Diko, 2015). Although there was a general understanding of community participation and community involvement by the respondents, the findings suggest low community

and beneficiary participation in EPHP. The respondents also highlighted that community participation is impeded by community members failing to work together.

The respondents also highlighted that the community was incapacitated to fully participate in EPHP. The inclusion of communities in EPHP is part of the National Housing Department's Breaking New Ground (BNG) strategy of mobilising communities to participate in the delivery of their own housing (Housing Code, 2009). The EPHP strategy recognises the involvement of the community in decision-making processes and empowers the community to fully participate in EPHP. Through community participation, EPHP addresses the employment needs of Vulindlela community (with a high youth population) that also requires housing programmes (Tongaat Hullet, 2014; Mzolo, 2016). The plan emphasised the importance of including communities and beneficiaries of housing programmes. Thus, the involvement of these stakeholders facilitates a more efficient execution of housing programmes. Therefore, the Vulindlela community must be fully supported and capacitated to participate in EPHP. Similarly, the Labahlali Project reported, in Newton (2013), that the benefits of empowering beneficiaries and the cooperation of various stakeholders are apparent. Constant meetings were conducted with residents to update them on development progress and opportunities. Through these meetings, some residents selected a cooperative model in which the community members were actively involved in the building of their own houses. In this cooperative, the beneficiaries' needs were considered during the building of the houses, which motivated more community members to join and actively participate in the projects (Newton, 2013).

Although EPHP recognises that communities should be involved in decision-making processes at all stages, this study found that there is a gap in the EPHP strategy and its implementation. Some respondents highlighted that although they were included in the decision-making phase, they felt that decisions were already made by the Municipality and were only being imposed on them. It was further observed that the community's inclusion was merely theoretical as no committee was selected and included in a development specification process of EPHP in Vulindlela. Another observation was made on the beneficiaries who were initially assured of their rights to choose house plans but were only allowed to choose from a narrow choice of house plans presented to them. These limitations thus reduced the cooperation and participation of community members as stakeholders in the Vulindlela EPHP.

Furthermore, this finding directly infringes on the purpose of EPHP, community participation, and development which involves people (Scott et al., 2013). A feeling of disappointment was also echoed by the Netreg Housing Project's beneficiaries, who reported that the houses they had received had a different design compared to the ones they had chosen. This observation is different from the Need Camp Housing Project in which beneficiaries partook in deciding on the house of their choice (Diko, 2015). Also, the respondents generally felt excluded from the housing project, a finding that was echoed in both the Vulindlela EPHP and the Netreg Housing Project. The beneficiaries felt they had to settle for what had been provided to them, though they felt they had been robbed of the dream-house experience that the EPHP advocates in its strategy (Newton, 2013). This is not aligned with EPHP's objective of building communities and not just delivering houses to beneficiaries (Ngcobo, 2018).

The EPHP was modelled after the Neoliberal Theory. As Yengo (2006) indicated, the Neoliberal Theory advocates a minimised involvement of the State in the provision of social welfare and management of economic activities. As per the economic liberalism embedded within the Neoliberal Theory, the State should facilitate the tools for humans' free participation in developing their economy. Thus, in ignoring the individual people's choices in the type of housing they wanted and availing only limited choices, the VDA and the Municipality in the Vulindlela EPHP acted against beneficiaries' free individual participation. The result of this contravention was the observed unwillingness by the community members to participate in the construction of their homes. According to Sithole (2015), who highlights the conviction of people to do their best when they are allowed to own their plans without the intervention of the law, maintains that had the community members of Vulindlela been allowed to apply their designs in the construction of their homes, they would have been motivated to fully participate in the programme.

It should be noted that the Neoliberal Theory has been praised by researchers like Adebayo (2011), who emphasised its relevance in propelling development in the modern world. From this observation, the State is supposed to compromise and take its role as a facilitator while letting the community take charge of the building process. Harvey (2005) posits that when neoliberalism is properly executed, it can stimulate willing participation amongst individuals in terms of constructing better housing for themselves without being arm-twisted or coerced.

5.2.2. Limitations of community participation

The present study assessed the limitations of the implementation of EPHP in Vulindlela; thus, the limitations of community participation were also explored. Various limitations were identified, and these include inadequate financial capacity, lack of information, limited representation in the decision-making process, and political patronage. It was found that the successful participation of communities lies in the availability and accessibility of resources to the community members (Aigbavboa & Thwala, 2011). The present study found that financial problems were amongst the main limitations of community participation. The observation was confirmed by an interviewed official who commented that limited financial capacity was a significant constraint in the development of policy in the Vulindlela EPHP.

A similar observation was reported by Newton (2013), who highlighted how financial constraints in the Netreg Housing Project led to the use of limited house plans as opposed to the initial plan of having houses that were specific to the needs of beneficiaries. This observation also resonates with the findings of the present study, which established that the beneficiaries had a limited choice of the house plans presented to them by the Municipality (Cross, 2008; Newton, 2013). The same observation was reported for the Zwart Water and Lubisi EPHP in Eastern Cape, in which beneficiaries attended workshops on EPHP, but during the project implementation, they were forced to choose house plans from those provided to them (Njikelena, 2019). Also, no clear responses were given as to who had made the decisions to avail the house designs to the beneficiaries of EPHP.

Another limitation to the Vulindlela EPHP was the lack of general information. Some of the respondents highlighted that there was a lack of education on the community's specific roles in the Vulindlela EPHP. Community members further highlighted that although there were workshops on the project, they were ignorant of what the workshops entailed. They could only sit and listen, though they could not understand anything. A study conducted by Diko (2015) made similar observations and reported a general lack of understanding of EPHP by the beneficiaries. Well-informed beneficiaries are motivated to fully participate in projects, as witnessed in the Netreg Project (Newton, 2013). Another observation was limited interaction amongst the stakeholders, which resulted in the top-level stakeholders failing to identify the household needs of the community. The houses built for the community members were motivated by political and financial reasons rather than the needs of the beneficiaries.

Also, Njikelena (2019) reported a similar finding and reiterated that inadequate training on what EPHP entails and the specific roles of the beneficiaries led some beneficiaries to view the programme as an employment opportunity. Inadvertently, some beneficiaries of the Zwart Water and Lubisi EPHP projects hardly participated in building their houses if there was no payment. With adequate information availed to the beneficiaries, the aided-self housing aspect of EPHP may be successfully implemented as beneficiaries are fully aware of their roles and can participate accordingly. Also, the participation of community members and beneficiaries assists in developing a sense of ownership and control, which promotes the progress of EPHP (Diko, 2015). Further, the sustainability of EPHP relies on the full participation and commitment of the community members (Swanepoel & De Beer, 2011).

Political patronage was also identified as a limiting factor in the implementation of EPHP in Vulindlela. According to Newton (2013), the government's role in EPHP is critical as it increases the execution and progression of the programme. However, the government's central role in EPHP has presented some politicians with a platform for advancing their political agendas. In the Vulindlela EPHP, the respondents also highlighted the limited democracy that resulted from the incorporation of traditional authorities and the undemocratically elected aMakhosi into the programme implementation. In the Zwart Water Project, it was reported that the decision-making process was more meaningful than in the Lubisi Project due to minimal political patronage from the former (Njikelena, 2019). Political decisions were also reported to have negatively impacted on the housing designs of the Vosloorus Extension 28 and Ivory Park Ward 78 EPHP in the Gauteng Province (Mani, 2009).

5.2.3. Stakeholders' participation and contribution to housing in the Vulindlela EPHP

The Vulindlela EPHP was spearheaded by various stakeholders that include the UMsunduzi Local Municipality, the KZN Provincial Department of Human Settlements, the Ingonyama Trust Board, DEZZO Development Holdings, National Urban Reconstruction and Housing Agency (NHBRC), and NURCHA. The government, represented by the Msunduzi Municipality, the Department of Human Settlements and the provincial government, gave insight into the government's role in EPHP. The study found that the government allocated funds to beneficiaries and enacted the policies and legislation that govern EPHP. Thus, the government's primary function in EPHP is a facilitative role that ensures that beneficiaries have access to land, services, infrastructure, and the regulation of the programme implementation (Development Action Group (DAG), 2016).

Section 26 of The Constitution of the Republic of South Africa (1996) provides that adequate housing is a right for everyone. It is the mandate of the State to employ reasonable legislative and other actions within its means to ensure that such a right is realised. As the government is responsible for identifying beneficiaries in need of housing and the approval of house designs, it needs to work closely with the community in order to understand the needs of the beneficiaries. Choquill (2007) supported this, highlighting that the government could better understand the home needs of the community members when they work together, and the needs of the people are acknowledged. The role of key informants in the Needs Camp Housing Project was ensuring that beneficiaries were allowed to select the contributions they wanted to be included in the building of their houses (Diko, 2015). However, more emphasis was directed towards encouraging all the beneficiaries to partake in the decision-making process.

The Ingonyama Trust Board is mandated to hold land on behalf of community members who are occupying and using it (Msunduzi, 2019). The Ingonyama Trust Act stipulates that the trust's administration should be aligned to benefiting, availing material welfare, and social well-being of trustees living on land belonging to Ingonyama Trust. As traditional authority governs the trust, the leasing, pledging, disposal of the land or the land rights are not permitted without the consent of the traditional authority. Thus, the Ingonyama Trust Board represents a warden for the land in Vulindlela, while the traditional council oversees the land uses to benefit the Vulindlela community.

Other stakeholders of Vulindlela EPHP, particularly the UMsunduzi Municipality and the NHBRC, are responsible for administering and assessing compliance with quality as specified by EPHP like other housing programmes in the UMsunduzi Municipality. On the other hand, NURCHA, which was established in 1995 as a Presidential Lead Project to address housing inequalities and backlog, was found to be responsible for overseeing the financial management of the project. It facilitated the development of low-cost housing, emphasising the needs of households with a monthly income of less than R1 500 (Department of Housing, 2000). The UMsunduzi Municipality officials also serve to advise the Municipality when necessary. The quarterly meeting held by these stakeholders serves to monitor the implementation of EPHP in Vulindlela. Also, these stakeholders must ensure that the services delivered by various government departments respond to the programme requirements.

More importantly, Section 16 of the Municipal Act of 2000 obligates the UMsunduzi Municipality to be responsible for encouraging and creating conditions that complement community participation as

part of the culture of municipal governance (Msunduzi, 2019). Also, the government's role of facilitating or enabling the community to build their own houses dovetails with the tenets of neoliberalism (Peck & Tickell, 2002). However, Turner's Neoliberal Theory also advocates a scenario in which people control and manage their finances, which was not the case in the Vulindlela EPHP. Rather, this study found that the government acquired finances for building houses through the NURCHA. Turner's Neoliberal Theory also deliberates on the household members' needs (Turner, 1976), which were neglected when the Vulindlela community's design choices were ignored in favour of those from the Municipality.

As a way of encouraging community participation, the Municipality is obliged to provide training sessions to the community members and beneficiaries of the Vulindlela EPHP. In turn, the community is responsible for constructing houses with the help of the UMsunduzi Municipality, which is further responsible for developing a constitution that highlights the roles and responsibilities of stakeholders in the Vulindlela EPHP and organising meetings to assess the programme implementation process (Msunduzi, 2019). Thus, the Municipality facilitates the implementation of the EPHP programme, which is the responsibility of the beneficiaries of the programme (Department of Human Settlements, 2009; Ngcobo, 2018).

5.3. Conclusions

The successful implementation of EPHP requires a strategic plan that fully engages relevant stakeholders. The findings of the study answered the first research question of the study: What are the main responsibilities of the community during the process? The findings of study clearly highlight the roles of the community in Vulindlela EPHP. Community participation emerged as the main role of the community members. It was the main conduit to the involvement of the Vulindlela beneficiaries in the decision-making process and the identification of the needs of the community. Community engagement is a critical aspect of EPHP, and the present study observed a slight deviation from this objective. This deviation was a significant factor that constituted the practical challenges impeding the implementation of EPHP in Vulindlela. In the present study, some of the relevant stakeholders, particularly community members, were not fully engaged in the Vulindlela EPHP; thus, the programme faced several challenges that led to the backlog that characterises housing delivery in Vulindlela. Some beneficiaries highlighted that they were not updated on the progress of the housing construction and sometimes they could be surprised to realise that the construction site had been

vacated without explanation. This shows a significant lack of communication within the project. Another problem that confounded the Vulindlela EPHP was failure by the Municipality and other relevant partners to allow beneficiaries to select house plans of their choice due to financial challenges. The decisions of the beneficiaries of the Vulindlela EPHP were not fully considered as most house designs were a result of the decisions of the Municipality which did not cater for the needs and decisions of the beneficiaries.

The next research question was: Who are the main stakeholders involved in the Vulindlela EPHP? The findings of the study highlighted that the Vulindlela community members, the uMshunduzi municipality, NGOs, KZN Provincial Department of Human Settlements, the Ingonyama Trust Board, NURCHA, NHBRC, and DEZZO Development Holdings were the main stakeholders of the programme. The municipality's role as a stakeholder in the programme was mainly centred on providing finances, which were managed by the NURCHA. The Ingonyama Trust Board was identified as the land trustees for the Vulindlela community. Quality assessment of the programme was the mandate of the NHBRC, while the construction was managed by DEZZO Development Holdings.

The findings to the other research questions: What are the main limitations in the implementation of the EPHP? To what extent are beneficiaries involved in implementation of the EPHP? To what extent are municipalities aware of household benefits and expectations? are presented in this section. There was a link to the limitations, community members' involvement and the knowledge of municipalities on household benefits and expectation, thus they are summarised below. The participation of beneficiaries in the Vulindlela EPHP was also observed to be inconsistent with the requirements of EPHP. Most beneficiaries were disgruntled as the choices of their housing designs were not being considered, which, in turn, negatively affected their participation in the project. Financial challenges and general discontentment of the beneficiaries were among the significant challenges that limited the Vulindlela EPHP. A lack of general understanding of Vulindlela EPHP amongst the beneficiaries of the programme was also identified as a significant limitation as some community members believed it was the responsibility of the State and other stakeholders to build houses for them. The study also showed that the needs of households or community members were neglected during the construction of the houses. A general consultation was held before the programme implementation, but when the programme commenced, community members' choices of house designs were limited. A top-level decision was made to provide standard housing for all beneficiaries regardless of the needs of individual household.

5.4. Recommendations

Since the attainment of independence in 1994, the government of South Africa has been committed to ensuring that all residents have access to adequate housing (Republic of South Africa, 1997). This commitment has been evident in the government's adoption of self-housing projects like the Vulindlela EPHP, which has however been derailed by various challenges. Although the Vulindlela EPHP is a big housing project, it is not the first one. The project can thus adopt some strategies used in the implementation of other successfully completed housing projects.

A similar project, the Cape Town Netreg Housing Project, owes its success mainly to the assistance extended to relevant stakeholders, especially beneficiaries (Diko, 2015). The project developed a combination of empowerment and technical training workshops for the community members and other actors. The present study established that inadequate workshops were provided to the community. Therefore, the inclusion of the technical training component in the Vulindlela EPHP may assist in empowering communities with the information and support necessary for a successful programme implementation. There is a need to educating communities about EPHP and its importance, which include job creation, skills development, and poverty alleviation. However, it should be highlighted that the primary purpose of EPHP is empowering the community to oversee housing projects and thus realise their dream houses and therefore strengthen community engagement.

The Vulindlela community should be encouraged to form housing cooperatives in which the community members have more control over the building of their houses. In the Lubisi and Zwart Water EPHP projects in Eastern Cape, most beneficiaries were reported to be reluctant to participate if no payment was involved. Thus, community participation in the Vulindlela EPHP may be improved through incentives. EPHP also advocates skills development and the boosting of the economy; therefore, providing incentives for the participation of beneficiaries in EPHP would assert the achievement of the EPHP objectives. There is also a need for transparent auditing on the senior management of the EPHP stakeholders to ensure strict adherence to the EPHP policies. This follows the observation that senior management level hardly adhered to EPHP policies and objectives of EPHP in promoting community participation and allowing beneficiaries to drive the projects.

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APPENDIX

1. Interview questions

Interview Questions (1)

Questionnaire for the Beneficiaries of the EPHP

1. Demographics:

1.1. Race of beneficiary

1 Black	
2 Indian	

3 Coloured	
4 White	
5 Other	

1.2 For statistical purposes only, and to ensure that we have a representative sample, would you please tell me how old you are?

1.3 How many people reside in your household? _____

1.4 What income bracket does your household fall under? (Combined income)

1.5 Are you the primary bread-winner/provider to your household? Yes ____ No ____

If no, who else is? _____

1.6 What is your marital status?

2. Socio-economic status of Beneficiaries

2.1 Are you currently

Employed?	
student,	
homemaker,	
retired, or	
unemployed	

2.2 Were you born in Vulindlela?

Yes	
No	

2.3 How long have you lived in Vulindlela?

2.4 Were you provided with all the essential basic services in your previous household/area?

Water	
Electricity	
Sanitation	
Tarred roads	

2.5 Did your previous house/area have the following facilities found here?

Community facilities	
Recreational facilities	
Educational facilities	
Retail/shopping facilities	

2.6 How satisfied are you with your house at the level of 1 to 3, as seen below?

(Please elaborate as to your chosen level of satisfaction.)

Level of satisfaction	Meaning	
1 Very satisfied	You are happy with your house/product	
2 Satisfactory	You are happy but could be a little better	
3 Not satisfied	Do not like the housing product	

1.8 What is your involvement in the programme?

2.9 How do you feel about your current housing situation--do you feel very stable and secure, fairly stable and secure, just somewhat stable and secure, fairly unstable and insecure, or very unstable and insecure?

2.10 Have you or has anyone you know have a complete and well-built house since the start of the process?

2.11 How would you describe the area in which you live--a city, a suburb near a city, a small town

that is not near a city, or a rural or country area?

2.12 What were the issues or challenges that you faced as a beneficiary of the EPHP

2.13 Did you feel that as a beneficiary, you were well informed about the process?

2.14 How involved in the implementation phase were you?

2.15 Was your input required from the beginning till the end?

2.16 How did the Department of Human Settlement contribute to the HFH housing project for your house?

2.17 How can the EPHP be improved?

Interview Questions (2)

Municipalities/NGO

1. What was your specific role in the EPHP?

2. How did the community contribute to the EPHP?

3. What policies and measures have been adopted by the Government to provide or regulate such services to meet the needs of the community? Do women and female-headed households enjoy equal access to such services?

4. What are the laws, policies and measures adopted to ensure equitable distribution of land with an emphasis on gender equality and provision of necessary resources for poor households and other marginalized and vulnerable groups?

5. Who is the main implementer in the EPHP?

6. Has the project encapsulated the principles of community participation and the institutionalization of the participatory approach in delivering the integrated human settlements using the Enhanced People's Housing Process Programme as stated By the BNG?

7. What were the challenges experienced in the implementation of the EPHP in Vulindlela

8. What has caused the delay in the delivery?

9. What has been the cause of the dilapidating structures that have been built?

10. Who is responsible for the Construction?

2. Ethical clearance



10 March 2020

Ms Nondumiso Lethukuthula Moseya (213518036)
School of Built Environment & Development Studies
Howard College Campus

Dear Ms Moseya,

Protocol reference number: HSSREC/00000694/2019

Project title: Assessing the limitations in the implementation of the Enhanced People's Housing Process (EPHP): the case study of Vulindlela area of KwaZulu Natal.

Degree : Masters

Approval Notification – Expedited Application

This letter serves to notify you that your response received on 05 March 2020 to our letter of 02 March 2020 in connection with the above, was reviewed by the Humanities and Social Sciences Research Ethics Committee (HSSREC) and the protocol has been granted FULL APPROVAL.

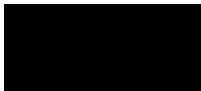
Any alteration/s to the approved research protocol i.e. Questionnaire/Interview Schedule, Informed Consent Form, Title of the Project, Location of the Study, Research Approach and Methods must be reviewed and approved through the amendment/modification prior to its implementation. In case you have further queries, please quote the above reference number. PLEASE NOTE: Research data should be securely stored in the discipline/department for a period of 5 years.

This approval is valid until 10 March 2021.

To ensure uninterrupted approval of this study beyond the approval expiry date, a progress report must be submitted to the Research Office on the appropriate form 2 - 3 months before the expiry date. A close-out report to be submitted when study is finished.

HSSREC is registered with the South African National Research Ethics Council (REC-040414-040).

Yours sincerely,



Professor Urmilla Bob
University Dean of Research


/ms

Humanities & Social Sciences Research Ethics Committee
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Tel: +27 31 260 8350 / 4557 / 3587
Website: <http://research.ukzn.ac.za/Research-Ethics/>

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