

UNIVERSITY OF KWAZULU NATAL



**Critical Analysis of the Livelihood Strategies of Slum Dwellers:
The Case of Jika Joe, Pietermaritzburg**

Submitted by

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ABSTRACT

Service delivery and livelihood strategies in informal settlements are generally below par as communities find it hard to maintain a suitable standard of living. The provision of basic services, and social and economic up-liftment initiatives for the community are very important in transforming Jika Joe informal settlement. The primary objective of this study was to ascertain the livelihood resources and strategies available for achieving a sustainable livelihood for Jika Joe's dwellers. The study analyses the livelihood strategies adopted by residents of the informal settlement of Jika Joe in-order to sustain their livelihoods. The study involved qualitative research using the methods of interviews and observation, to conduct the study.

This study investigated about the livelihood resources and strategies that is available for achieving sustainable livelihood for Jika Joe slum dwellers, and to identify determinant factors influencing strategies that were identified during research which is adopted in the area to improve their welfare. Results from this study outlined that slum dweller from Jika Joe around dairy activities do not rely much on one livelihood pathway but they link multiple strategies together to improve their standard of living. The study, therefore, conclude that their dairy daily activities that are complementing with urban livelihood pathways available can be trusted as a reliable and sustainable livelihood source to reduce poverty in informal settlements.

A purposive sample and Snowballing of 20 participants was selected and field data were collected over a period of one month using in-depth interviews and observations. A combination of data collection methods was employed in order to explore different perspectives. Data collected also highlights a low literacy level within the community which limits people's participation and access economic activities which adversely affects their livelihoods. This methodology was used to explore survival strategies employed by poor urban households in Jika Joe informal settlement within the Sustainable Livelihoods Approach. The framework creates space for local people to explore their own views in relation to the conceptualization of livelihood strategy and its impact, and to examine their survival strategies based on available assets in their community.

The findings further shows that people from the settlement resist top-down development even when it is accompanied by the promise of a better life. Overall, the study indicates that perceptions of poverty in Jika Joe relate to a lack of access to basic needs such as proper housing, security, employment and food. The coping strategies adopted by the community reiterate that, despite

challenges, people have strengths and assets that can be used to improve their lives. The study concludes that policy reforms and people-centered approaches are required to address poverty in informal settlements.

**COLLEGE OF HUMANITIES
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Signed

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ACRONYMS AND ABBREVIATIONS

BNG	Breaking New Ground
CBD	Central Business District
COHRE	Centre on Housing Rights and Evictions
FPL	Food Poverty Line
HWP	Housing White Paper
IDP	Integrated Development Plan
LED	Local Economic Development
LBPL	Power Pound Poverty Line
LS	Livelihood Strategies
MDA	Millennium Development Goals
NDP	National Development Plan
RDP	Reconstruction and Development Program
SDI	Slum Dwellers International
SDFs	Special Development Frameworks
SDGs	United Nation proposed Sustainable Development Goals
SL	Sustainable Livelihood
UISP	Upgrading of Informal Settlements Program
UBPL	Upper Bound Poverty Line
UDHR	Universal Declaration of Human Rights
UDHR	Universal Declaration of Human Rights
UN	United Nations

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CHAPTER ONE

CONTEXUALIZATION OF THE STUDY

1.1 Introduction

This chapter provides an overview of the study as the introduction to the research and what has influenced the research topic. It outlines the background to the emergence of informal settlements in South Africa and presents the challenges that have been encountered by the slum dwellers in trying to earn a living in these settlements. The chapter explains the aims and the objectives that this study seeks to achieve the research problem statement and the justification for the study. The research questions and objectives are also outlined. This chapter also outlines the planned timeline for the completion of the project.

1.2. Background of the Study

Many informal settlements in South Africa are connected to the Apartheid era, when government policies systematically segregated people based on race from housing, education and job opportunities. This in turn led many non-white citizens to leave the cities for informal townships in surrounding areas. In 1994, the Apartheid system was dismantled and a reformed democratic system was adopted. Despite the fact that Apartheid is no longer in existence, extreme barriers still exist in South Africa. Many cities such as Cape Town, Durban, Pietermaritzburg and all other big cities exhibit a clear line between wealth and extreme poverty. For this reason, informal settlements such as Jika Joe continue to exist today Huchzermeyer (2003)

. South Africans, particularly the poor blacks, continue to live in conditions of poverty where they cannot even afford to provide basic household needs and this is normally associated with limited access to formal employment, insecure forms of housing tenure and shelter and inadequate access to sanitation and water as argued by (Huchzermeyer and Karam 2006). When rapid urbanization is increasing, the proportion of the population living in cities increases and, therefore there is more demand for housing than supply which constitutes a challenge for the government and it leads people to themselves find space that suits them. As a result, the challenge of people living in extreme poverty in urban areas becomes more severe. When people move into cities without having formal jobs or formal businesses, they find it very difficult to sustain their existence in urban areas. The livelihoods of the slum dwellers are determined by the context in which they live and the constraints and opportunities available for them to sustain their existence. Many people

within the urban poor or informal settlements earn a living through undertaking a variety of activities which mainly take place in the informal sector. This study has become imperative in the view of the researcher, observing that little or no academic inquiry has been undertaken into livelihood strategies of slum dwellers in communities like Jika Joe situated within the Pietermaritzburg environment.

Some of the development of the informal settlements in Jika Joe resulted in the creation of job opportunities so that the slum dwellers can earn a living and reduce their poverty. Informal settlements have a reputable record of providing people with cheap rents and it brings them closer to where they work. However, they are denied services such as water, electricity, sanitation, and energy. Informal settlements have successfully occupied illegal spaces worldwide, which tend to result in an increase in population within the cities. The implication of this is that growing populations in the cities as a result of the movement of informal settlers poses some challenges for government in the provision of basic facilities.

Due to limited opportunities, the dreams of some people in informal settlements are ruined, as they find themselves exposed to new forms of hardship such as not finding employment, unable to maintain the same standard of living in the city as well as not having the skills to qualify them for better jobs. This leaves them vulnerable to social and economic exclusion.

As part of government's commitment to upgrade the informal settlements, the Informal Housing Upgrade program was established in April 1998 through the Housing Act of 1994. The Department of Housing was established to take charge of housing development and ensure that every citizen is provided with good and stable shelter. In a nutshell, the rationale for establishing the Informal Settlement Upgrade program was to make sure that every citizen is provided with secure housing.

1.3 Problem Statement

All over the world the challenge of living on a planet of slums is being addressed by a number of organizations trying to assist slum dwellers find a way out of poverty and vulnerability. There are programmes at the local, regional, national and international levels. Much has been done and most should be done better. The frequently criticized World Bank's initiative introducing slum upgrading programmes in the early 1970s has brought some lessons learnt. Based on a precondition that informal housing presents a solution rather than a problem, government in developing countries started gradually adopting slum improvement and sites-and-services

schemes. First enthusiasm derived from short-term achievements was replaced by disillusion and scepticism. The self-help housing without greater involvement of the government failed in long-term perspectives (Weiss, 2014). different studies show that the necessity of secure land tenure, proper targeting and community participation was underestimated, there for the programmes that are in place are not securing the livelihoods of slum dwellers (Weiss, 2014).

Slum dwellers form the majority of the population in the cities and are among the vulnerable groups. They are allocated by poverty more unbalanced more than any other urban dweller they are denied all services provided for city people (Huchzermeyer and Karam 2006). The research shows that in practically every country, there are more women than men at the lowest levels of income and in society, and most of the households in the informal settlements are headed by females which confirms that they are the ones who make sure that they provide for their families and are able to sustain their livelihoods (Huchzermeyer and Karam 2006).

Moreover, people living in slum areas such as in Jika Joe are faced with many social, economic and cultural problems. They have a low social status; even their voices cannot reach the attention of the municipality. They lack proper sanitation, they have limited access to justice, information, lack adequate water and security; however, good educational amenities are available to the vulnerable children from informal settlements, because as they reside within the city the children attend schools in town and town is within walking distance from the settlement (UN-HABITAT 2003).

The situation in the slums makes living conditions very hard and expensive and therefore the need for survival strategies to help slum dwellers cope (Huchzermeyer 1999). They engage in activities such as crime, selling drugs, prostitution, hawking, tailoring, construction jobs, while others engage in house help jobs (Huchzermeyer 1999). Since the slum or informal sector consists of semi-organized and unregulated activities, residents may or may not have licenses for carrying out such activities (Weiss 2014). Hence given that the situation of the poor and the fact that they may not receive adequate attention in terms of policies and strategies to raise their living standards, this study looks at the activities the urban poor are engaging in to cope with poverty, with a view to understanding and shedding some light on what activities they are engaged in and what can be promoted to improve their livelihood survival strategies.

1.4. Main Objectives

To ascertain livelihood resources and strategies that is available for achieving sustainable livelihood for Jika Joe's dwellers.

1.4.1 Su-Objectives

- To investigate the rationale for the emergence of Jika Joe as an informal settlement.
- To investigate the legislative framework for sustainable livelihoods in informal settlements.
- To assess livelihood challenges facing the inhabitants of Jika Joe settlement.
- To evaluate the level of government support to the slum dwellers in terms of providing basic facilities to reduce their hardship.
- To assess Msunduzi Municipality and the level of attention that has been devoted to Jika Joe interim of basic services provision.

1.5. Questions to be asked

- What factors led to the emergence of Jika Joe as an informal settlement?
- What are the livelihood challenges facing the inhabitants of the settlement?
- What is the level of government support to the slum dwellers in term of provision of basic facilities to reduce their hardship?
- What livelihood resources and strategies are available for achieving sustainable livelihoods for Jika Joe's dwellers?
- Does the municipality provide Basic services for Slum Dwellers at Jika Joe?

1.6. Study Justification

Much of the literature on livelihood strategies of slum dwellers seems to agree on the need to constantly assess livelihood strategies of these informal settlements inhabitants. This study seeks to investigate the objectives of the slum-upgrading program and how to achieve them in Jika Joe and its adjoining settlements. This study will contribute to the existing body of knowledge on human settlement by examining the informal settlement at Jika Joe, and gaining an in-depth understanding of the issues associated with informal settlements in the study area. The study will identify and explore governance issues at Msunduzi Municipality and the level of government attention that has been devoted to Jika Joe in terms of provision of facilities that could improve the living standards of the slum dwellers.

1.7. Outline of the Dissertation

Chapter one: gives an introduction and the background of the study.

Chapter two: a review of the relevant literature focusing on conceptualization of sustainable livelihoods, poverty eradication strategies and survival strategies.

Chapter three: this chapter focuses on the legislative framework related to livelihood strategies of the slum dwellers.

Chapter four: Research findings, data analysis and interpretation of the data collected in the field. The responses from the questionnaires and interviews will be analyzed using the thematic data analysis method. It will be easy to draw a conclusion once the data collected from the field has been analyzed.

Chapter five: this chapter focuses on the discussion and interpretation of the research findings. This chapter begins with a profile of Jika Joe informal settlement and it discusses the themes related to the study objectives.

Chapter Six- presents a conclusion and recommendations.

1.8. Conclusion

This chapter presented the background to the study in terms of problem statement and background to the problem, objectives and research questions, study justification and thesis outline. Also identified ways in which the research is going to be conducted within the slum dwellers of Jika Joe, The questions and objectives shall all direct the research in order to achieve its goal which is to ascertain livelihood resources and strategies available for achieving sustainable livelihood for Jika Joe's dwellers. The following Chapter presents the literature review and the sustainable livelihood framework.

CHAPTER TWO

THEORETICAL FRAMEWORK AND LITERATURE REVIEW

2.1. Introduction

This chapter presents the theoretical framework for analysing livelihood strategies of slums dwellers. The chapter then conceptualizes livelihoods strategies in relation to informal settlements and their means of survival. This chapter seeks to illustrate some of the difficulties involved with the sustainable livelihood approach, and thus provides a critical perspective on its use in development. It examines the basic assumptions underlying public sustainable livelihoods. The chapter also examines the organizational structures and institutional mechanisms used for the upgrading of informal settlements. It also explores the participation of the slum dwellers in developing sustainable livelihoods.

A lot of literature on urban development in developing countries has focused entirely on the factors that connect the informal settlements to the cities but they do not focus on how people survive when they move to cities without proper or stable income. Little research has been undertaken that demonstrates how this impacts on urban sustainability especially given the increasing slums in rapidly urbanizing African countries. Available research has focused entirely on the increasing poverty levels in urban areas due to the emergence of slums and its mitigation without a clear direction on what this means for slum improvement and urban sustainability. This chapter aims to provide a conceptual analysis that will help to understand the dynamics of urban sustainability and slum development.

2.2 Definition of Concepts

2.2.1 Informal Settlements/ Slums

“Informal settlements, based on the UN Habitat Program definition, are defined as residential areas where a group of housing units has been constructed on land to which the occupants have no legal claim, or which they occupy illegally, they use unplanned settlements and areas where housing is not in compliance with current planning and building regulations, unauthorized housing” (United Nations, 1996). Informal settlements are often formed on land not suitable for development, for example in flood prone areas or sloped terrain, making access difficult for trucks and vehicles Solesbury (2003).

2.2.2 Livelihood Strategies

According to Chambers and Conway (1992) livelihood strategies are the combination of activities that people choose to undertake in order to achieve their livelihood goals. They further argue that the informal economy for income generation activities is one of the survival strategies adopted by households in South Africa and other countries (Chambers and Conway 1992). Livelihood strategies are run mainly through home-based enterprises to support livelihoods. They include productive activities, investment strategies and reproductive choices. Migration, whether seasonal or permanent, is one common livelihood strategy (Neefjes 2000). Livelihood strategies should aim at building and increasing access to the local economic assets and should form an integral part of a poverty reduction strategy for the slum dwellers of Jika Joe.

2.2.3 Urban Poverty

According to Solesbury (2003) poverty is defined as a “human condition where people are unable to achieve essential functions in life, which is determined by a person’s access to and control over commodities they require”. He continues to say that from a broader perspective poverty includes the quality of life that is determined by a person’s access to and control over commodities.

2.3 Theoretical Framework

2.3.1 Sustainable Livelihood Approach

Carney (1998), mentioned that the sustainable livelihood approach (SLA) has, since the 1990s, become the dominant approach to the implementation of development interventions by a number of major international agencies. Scholars such as Scoones (1998), believe that the sustainable livelihood approach is a way of thinking holistically about poverty and development and it is defined in “terms of the ability of a social unit to enhance its assets and capabilities in the face of shocks and stresses over time” (Department for International Development, 1999). The World Commission on Environment and Development 1987, and the 1992 United Nations Conference on Environment and Development expanded the concept, advocating for the achievement of sustainable livelihoods as a broad goal for poverty eradication. The Sustainable Livelihood Approach (SLA) first seeks to identify the important assets in livelihood, their trends over time and space as well as the nature and impact of shocks and stresses (environmental, economic and social) upon these assets (Department for International Development 1999).

The sustainable livelihood concept offers a broader view on poverty. The sustainable livelihoods idea was first introduced by the Brundtland Report of the World Commission on Environment and Development in 1987 (United Nations 1987). The term 'sustainable livelihood' is used very broadly, thus, it has many definitions. However, in the conceptualization of sustainable livelihood, there are some similarities in the various attempted definitions by different scholars. The concept of sustainable livelihood (SL) is an attempt to go beyond the conventional term which addresses poverty eradication, Weiss (2014). Poverty eradication, has been found to be too narrow because it focuses only on certain aspects or manifestations of poverty, such as low income, and does not consider other vital aspects of poverty such as vulnerability and social exclusion. However, more focus should be given to the various factors and concerns that either constrain or enhance poor people's ability to make a living Department for International Development (2000).

In articulating what sustainable development is, Weiss, (2014-101), posited that sustainable development is "development that meets the needs of the future without compromising the ability of the future generations to meet their needs". This implies that the present development must meet the needs of the people without destroying potential and meaningful livelihoods for future generations. Thus, sustainable development entails a balance of development between generations (present and future generations) in order to close the gap of inequalities and marginalization. Scoones (1998) states that the sustainable livelihood framework can support project/program planning livelihood strategies which help to identify groups of poor people according to their main livelihood sources and recognize that households may pursue a range of different livelihood strategies. Livelihoods assets help identify the principal assets needed to support different livelihoods. In (Scoones 1988:120-205) view, the sustainable development framework "looks beyond the normally considered assets such as land, water and forest, and includes economic assets such as employment opportunities, and social assets such as informal safety nets". Sustainable livelihood also concerns itself with creation of livelihood opportunities and strategies of the poor and excluded people.

A deep probe into the existing literature on sustainable livelihoods showed divergent viewpoints; however, a single theme runs through most of the studies. As pointed out by Scoones (1998), the term 'sustainable livelihoods' relates to a wide set of issues which encompass a much broader debate about the relationships between poverty and environment. Carswell et al (1997:89) notes

that “definitions of sustainable livelihoods are often unclear, inconsistent and relatively narrow. Without clarification, there is a risk of simply adding to a conceptual muddle.” Moreover, to avoid being caught in this web of ‘definitional uncertainties,’ a simple way out will be to adopt a thematic exploration of the diverse views and single out the major themes which cut across the various existing conceptualizations.

The International Institute for Sustainable Development (IISD) conceptualizes sustainable livelihoods as being concerned with people’s capacities to generate and maintain their means of living, enhance their well-being, and that of future generations (Hussein and Nelson 1998). In a similar vein, the Institute for Development Studies (IDS) and the British Department of Foreign and International Development (DFID) consider a livelihood as “comprising the capabilities, assets, and activities required for a means of living” to be sustainable when it can “cope with and recover from stresses and shocks, including abilities to enhance its capabilities and assets without undermining the natural base” (Bruckmeier and Tovey 2008: 20). As noted earlier, the obvious theme that is visible across these definitions is that the term sustainable livelihood is, largely, concerned with building capacities that can guarantee means of living for a long period notwithstanding adverse interventions from the environment. “What make a livelihood sustainable are not its increasing capabilities to improve living but its ardent capacity to persist in spite of conditions to the contrary” (Bruckmeier and Tovey 2008-20).

Chambers and Conway (1992) incorporate these sentiments by describing sustainable livelihood as a “livelihood comprising the capabilities, assets and activities required for a means of living, which can cope with and recover from stress and shocks, and can as well provide sustainable livelihood opportunities that benefits other livelihoods at both local and global levels over a considerable period of time” (Chambers, Longhurst and Pacey (1981:102), Davies (1996:120), and Caney (1999:201) also expressed the same view.

Having examined the various definitions and interpretations on the subject matter of sustainable livelihood, it is now important to shift attention to the relevant studies on informal settlements and slums. Existing literature on livelihood strategies of informal settlements and slums emphasized the importance of contextual factors but were largely conducted in first world countries with different cultural backgrounds and established administrative systems and practices (Scoones 1998) from countries in the developing world.

Scoones (1998) contends that the ability to pursue different livelihood strategies is dependent on the basic material and social, as well as tangible and intangible assets that people have in their possession. Drawing inferences from this submission, an assessment of informal settlements or slums within the paradigm of the development approach will seek to identify what combination of livelihood resources (various types of capital) and livelihood strategies (such as agricultural intensification/ intensification, livelihood diversification and migration) are available and required to achieve desired outcomes. At least, it is envisaged if not certain that a dynamic mix of these indicators will make a good start for analysing the livelihood strategies of slum dwellers. Guyer (1987) and Peters (1987), argued that identifying what livelihood resources are required for the different livelihood strategy combinations is a key step in the process of analysis.

Huchzermeyer (1999) queries the conventional definitions and approaches to poverty eradication, which often does not consider more vital aspects of poverty such as vulnerability and social exclusion. He argues that attention must be given to the various factors and processes that either constrain or enhance poor people's ability to making a living in an economically, ecologically, and socially sustainable manner. On the other hand, Abbott's study provides a review of different approaches to informal settlement upgrading and devised three thematic approaches. These include: continuous improvement model of physical infrastructure provision, community micro planning, and physical transformation through a holistic plan (Neefjes 2000). According to Abbott, any meaningful assessment of livelihood

Rennie and Singh (1996) in their study on Danish development strategies discussed how the understanding of poverty and development is necessary to sustainably eradicate poverty. They argue from the psychological point of view that the validity of the basic principle of participation and understanding of culture in the sustainable livelihood framework will make successful sustainable development more likely. Furthermore captured rural communities in Sudan to demonstrate the use of the livelihood framework for measuring the adaptive capacity of local communities to climate impacts, and concluded that while certain environmental measures can increase the community resilience to climate-related shocks such as drought, the framework can be a useful tool to understanding the impact of such measures from local people's point of view.

Of particular empirical importance to this study are the perspectives of Scoones (1998). Scoones work outlines a framework for analysing sustainable livelihoods in different contexts. He averred

that central to the framework is the analysis of the range of formal and informal organizational and institutional factors that influence sustainable livelihood outcomes through the right mix and sequence of livelihood resources and livelihood strategies. Scoones (1998) work stresses the importance of understanding institutions by mapping the institutional framework and linking the micro to the macro and the formal to the informal. It calls for studies that “look at contexts and relationships so that development activities can become more process-oriented.” He suggests a new style of policy on informal settlements that moves from “universal prescriptions to context-specific approaches that allow alternative, local perspectives to reveal themselves in the policy framework” (Serrat 2010-02).

The sustainable livelihood approach shows that the different activities that people partake in are often in combination, to make a living. Different scholars have mentioned that this is particularly significant in the case of the poor, who often rely on a number of different types of economic activities for their livelihoods, and where it is not any that matters (Chambers 1995). Different approaches which tend to fix the areas of economic activity people should focus on, for example coming together as a community and forming a cooperative organization and applying for funding from the government, might lead to some aspects of people’s livelihoods being addressed.

Suggested reports point out that a holistic view on what resources, or combination of resources, are important to the poor, including not only physical and natural resources, but also their social and human capital is necessary. This is in line with findings from recent participatory poverty assessments which show that poverty is a much more complex phenomenon than just low incomes or insufficient food production (Chambers and Conway 1992). Chambers and Conway say that another important part of the sustainable livelihood approach is that it facilitates an understanding of the underlying causes of poverty by focusing on the variety of factors, at different levels, that directly or indirectly determine or constrain poor people’s access to resources/assets of different kinds, and thus their livelihoods (Chambers and Conway 1992). The sustainable livelihood approach makes it possible to see how even the ‘poorest of the poor’ are active decision-makers, not passive victims, in shaping their own livelihoods. This is important for designing support activities that build on the strengths of the poor. Also, it allows for a more dynamic perspective on livelihoods, since people’s strengths may change over time as their strategies change in response to either personal or external circumstances.

Ashley and Carney (1999) argue that the sustainable livelihood approach facilitates an understanding of the linkages between people's livelihood strategies, their asset status, and their way of using available natural resources, and is therefore a useful approach for understanding both the problem and the scope for promoting sustainable development at the local level. Furthermore scholars such as Turton (1999) believe that the concept of livelihood offers a more appropriate basis for evaluating the socio-economic impact of projects or programs which have poverty alleviation as at least one of their overall objectives, since it provides a more realistic framework for assessing the direct and indirect effects on people's living conditions than one-dimensional productivity or income criteria.

This method is linked to the current study because it will be able to capacitate people. The slum dwellers of Jika Joe and ensure coherent community development process facilitation. It would enable the community of Jika Joe to engage effectively in managing their own development. The sustainable livelihood approach will assist Msunduzi municipality to facilitate discussions at community levels on livelihood issues and will assist the community plan and implementation of appropriate activities to enhance and maintain their livelihoods by identifying projects and interventions to improve their livelihoods. The approach will also enable the community to facilitate critical reflection and allow them to learn and share resources and information. Integrating and coordinating activities of different development partners will make the community understand how policies and services that affect livelihoods operate.

2.3.2 Critics of the Sustainable Livelihood Approach

According to Farrington, (2001: 102-114), "the Brundtland Report focused primarily on the needs and interests of humans, and is concerned with securing a global equity for future generations by redistributing resources towards poorer nations to encourage their economic growth in order to enable all human beings to achieve their basic needs". Furthermore, the report expressed the belief that social equity, economic growth and environmental maintenance are simultaneously possible (DFID, 1999). The major critiques of sustainable development were that it did not question the opinion of economic growth and did not adequately challenge the consumer culture, and was thus serving neo-liberal interests (Farrington, Carney, Ashley, and Turton, 1999). Conservative critics interpreted sustainability as stasis, which would not be enough to meet the demands of growing populations (Ravallion 1997). Therefore, the concept sustainable livelihoods need to be reviewed

in order to serve the purpose that accommodates humans and environment equally. Besides the limitations presented above, previous experiences suggest many strengths of the sustainable livelihood approach. Possibly, the most positive strength is that the sustainable livelihood approach provides a useful framework for the better understanding of slum dwellers' livelihood strategies and how interventions can be better adapted to enhance livelihoods (DFID, 1999).

According to the (DFID 1999:7) there are nine principles of sustainable livelihood that serve as a guide towards achieving the concepts and explanations of sustainable livelihood. These principles are:

2.3.2.1 People-Centered - sustainable development and poverty eradication will be achieved only if external support focuses on what matters to people and it requires respect for human freedom and choice. The approach should acknowledge differences between groups of people, and work with them in a way that is congruent with their current livelihood strategies, hence focusing on people rather than sectors and understanding their livelihoods in an integrated way. This puts people at the centre of development whilst using strengths and assets Butler and Mazur (2007: 604).

2.3.2.2 Strength Cased - it is important to recognise and understand people's strengths, including those of poor people, and not just their problems. This shows respect and provides a platform upon which livelihood strategies can be developed (Neefjes 2000).

2.3.2.3 Responsive and Participatory - poor people themselves must be key actors in identifying and addressing livelihood priorities. Outsiders need processes that enable them to listen and respond to the poor. The community must ensure that they take full ownership of programs and projects that are happening in their areas in order for them to guide and protect them. Moreover, participation should be at the heart of the community development which requires active community involvement at all levels and stages of development Butler and Mazur (2007: 604).

2.3.2.4 Multi-Level - poverty elimination is an enormous challenge that will only be overcome by working at multiple levels, ensuring that micro-level activity informs the development of policy and an effective enabling environment, and that macro-level structures and processes support people to build upon their own strengths. There must be a partnership between both the public and the private sector. The implementation of development requires using the strengths of different organizations. Partnership should include people and their organizations, including those for poor

people. Partnership should involve transparent agreements based upon shared objectives (DFID 1999).

2.3.2.5 Sustainable - for the projects to be sustainable four dimensions have to be taken into consideration: economic, institutional, social and environmental sustainability. All are important – a balance must be found between them. All of the four mentioned dimensions needs to work together and create a holistic approach to sustain resources for up-coming generations (Neefjes 2000).

2.3.2.6 Dynamic - external support must recognize the dynamic nature of livelihood strategies, respond flexibly to changes in people’s situations, and develop longer term commitments (Butler and Mazur 2007).

2.3.2.7 Long-Term and Flexible - poverty reduction requires long-term commitments and flexible approaches to providing support and responding to emerging circumstances. Therefore people must be committed to communicating with government for them to get assistance with poverty alleviation programs (Butler and Mazur 2007).

2.4 Development Approach

According to Foster (2002), humans are constantly growing, shifting, developing and transforming. This process begins at conception. Rennie and Singh (1996) state that the development approach is described in terms of a series of crises through which the individual grows and evolves. Each of these crises is due to the conflict between the old self and the new abilities and attitudes that are constantly increasing and expanding. Resolution of conflicts results in the development of a sense of competence with respect to a specific capability. Chinemane (1992) argues that development happens in people’s lives in general where people move from being disadvantaged to advantage and from unskilled to skilled as a way of improvement. Resolution of conflicts is never optimum during one developmental phase but continues through prospering stages. Families and cultures are important and integral to development. Societies play a large role in the development of an individual through life. Therefore this approach is relevant to the study because a series of different tasks need to be progressively developed for slum dwellers at Jika Joe.

2.4.1 Definition of Development

Scholars such as Tissington (2011:250) argue that “development is one of the oldest and powerful of all western ideas”. He continues to say that development is conceived of as an organic imminent, directional, cumulative, irreversible and purposive complexity. Furthermore, the mainstream of development thinking can be analysed along a continuum running between two ideological opposites, socialism versus capitalism Scholars such as Tissington (2011:250). The origins of development theory according to Abrahams (2003), it can be traced to the United States in the late 1940s and early 1950s. Ravallion (1997) states that, during the 20th century, the development approach has emerged as a fairly well-defined approach to addressing poverty - an approach that offers great promise. This strategy reflects a place - and market-based approach that integrates community accountability into projects that result in jobs or housing. Soon after World War II, from the 1950s onwards, an unprecedented economic boom paved the way for renewed optimism about the prospects of rising living standards worldwide. It was, however, during this period of industrial and commercial expansion that the environmental crisis started emerging large on the horizon, forcing people to change their basic assumptions about growth and development.

2.4.3 Development and its Significance as an Approach

Development puts emphasis on people and their basic needs and aspects such as human resources, participation, equality, and empowerment as a learning process. Non-rural areas provide access to capital, technical assistance, diverse markets, and the ability to support projects at a larger scale. Development projects can effectively reflect the sustainable development lens in rural communities (Department for International Development 1999).

In terms of housing, the development approach originally supported the adoption of a western culture and standards, resulting in shelter comprising conventional housing units, which ultimately led to the bulldozing of slums and re-housing in public housing schemes (Helmore, and Singh 2001). However, by the 1970s, it became clear that the development theory had failed Ameyibor (2003.) notes that development theorists advocated a top-down approach to housing development programs, in which the state played a central role with little or no involvement of beneficiaries, Ellis (2000)). The provision of housing by eradicating informal settlements and the construction of sustainable human settlements benefits the people of South Africa. The upgrading of informal settlements in this context formed part of the comprehensive perspective adopted to evaluate the

extent to which the relocation of residents of informal settlements to Jika Joe created sustainable human settlements.

For development to take place there should be an integration of resources (Butler and Mazur 2007). There should be different programs in place to address physical, social and economic development needs. To understand households' existing livelihood strategies, through participatory livelihood assessment, is a critical first step towards achieving a more integrated approach to development. For example, the government institutions must make sure that they govern in cooperation with non-profit organizations which aim at developing communities and creating non dependency on the government and being able to sustain for future generations Butler and Mazur (2007).

2.4.4 Factors that Influence Development

Scholars such as Butler and Mazur (2007) argued that there would be no development without the following factors which influence the development of people.

2.4.4.1 Natural Capital – this focuses on increasing community access to the agricultural, forestry and other natural resources in the region. This is of particular importance as ownership of productive farmland in South Africa is highly skewed, excluding the majority of the local population, that only benefit through supplying low-skilled labour. Also there are more benefits for local communities from sport and recreational activities associated with the local nature reserves. The natural resource stocks (soil, water, air, genetic resources etc.) and environmental elements (hydrological cycle, pollution sinks etc.) are where resources flow from and services useful for livelihoods are derived. Land and natural resources should be accessible to slum dwellers in order for them to make use of them and be able to sustain their livelihoods Butler and Mazur (2007).

2.4.4.2 Economic or Financial Capital – this involves engaging with financial services providers about increasing assistance to poor households as well as facilitate and support community-based initiatives such as micro loan schemes and saving cooperatives. The capital base (cash, credit/debt, savings, and other economic assets, including basic infrastructure and production equipment and technologies) is essential for the pursuit of any livelihood strategy. Access to finance, including wages, savings, pension, credit and items that can be put into the market like cattle, cars, furniture

and reusable materials would provide people with livelihood options. This means anything that can be converted to cash Butler and Mazur (2007).

2.4.4.3 Human Capital – this relates to the human resource development strategy, developing the skills and knowledge base of individuals and the broader community. This should aim at life cycle learning and focus on basic aspects such as adult literacy programs, apprenticeships and mentorship programs. The skills, knowledge, ability to labour and good health and physical capability are important for the successful pursuit of different livelihood strategies (Butler and Mazur 2007).

2.4.4.4 Physical Capital - focuses on developing public sector physical infrastructure such as housing, utility services and community facilities, but in a manner that increases the value of property, in particular within the townships and the rural settlements. This also implies ensuring that public facilities and housing meet the highest possible design and quality criteria, within the context of other budgetary requirements. Machinery, buildings, equipment, and roads are also part of physical capital (Butler and Mazur 2007).

2.4.4.5 Social Capital – is the system of relationships among people or the population who reside and work in a particular society. Social capital enables a society to function effectively (Butler and Mazur 2007). The focus (in terms of this study) should be on building the capacity, resources and social networks of NGO's and CBO's in Msunduzi. Civic-based organisations are well established and actively involved in a wide range of job creation, social welfare and skill development activities within Msunduzi municipality. The municipality could make grants available to assist these NGOs and CBOs. The social resources (networks, social claims, social relations, affiliations, associations) upon which people draw when pursuing different livelihood strategies require coordinated actions.

2.5 Conclusion

This chapter has discussed the concept of informal settlement and looked at the meaning of livelihood strategy as this is the main focus of the study. It has been noted that informal settlements have their own merits for slum dwellers and challenges. The chapter has defined and described the sustainable livelihood and development approaches that underpin the study. The principles applicable to the achievement of sustainable livelihoods were outlined. The chapter looked at the

ways in which livelihood strategies of the slums can be sustained and what the legislative framework is to protect the slum dwellers. This chapter has shown that the sustainable livelihood approach and development approach have and continue to play a key role in both developed and developing countries. It has also highlighted some of the common challenges experienced with the development of housing in informal settlements. It has identified the key arguments in favour of the establishment for and against the establishment of informal settlements. This chapter contends that despite the challenges and pitfalls associated with informal settlement and their ways of survival, they can contribute meaningfully to a country's socio-economic development objectives and meaningful democracy.

CHAPTER 3

LEGISLATIVE FRAMEWORK

3.1. Introduction

This chapter is an analysis of the pieces of South African legislation and policies affecting housing and informal settlement upgrade programs as part of plans for improving the livelihoods of the slum dwellers, with regard to challenges of perpetuating informal settlements through relocation. In 2004, the Department of Housing declared its intent to eradicate informal settlements in South Africa by 2014 following the unprecedented housing backlog, spread of informal settlements, social exclusion and the inability of municipalities to provide basic infrastructure to the urban poor households. In this chapter the study considers the Constitution of the Republic of South Africa of 1996, the Housing Act 107 of 1997, evictions under post-apartheid South African policy and law and, the Informal Settlement Upgrading Program of 2004, and also the Slums Act of 2007. It will further discuss legislation that may have an impact on the upgrading of informal settlements. This study will then specifically focus on how these policies and legislation have impacted on the livelihood strategies of Jika Joe residents.

3.2. Legislative Framework

As a result of the change from apartheid to a democratic South Africa, there was an increase in the development of policy design and legislation for sustainable housing in support of sustainable livelihoods. In 2004 the government launched the Informal Settlement Upgrading Program which has been a dedicated subsidy mechanism and is part of the refinement of the National Housing Policy in the form of 'Breaking New Ground': A Comprehensive Plan for the Development of Sustainable Human Settlements. The Informal Settlement Upgrading Program calls for a paradigm shift in relation to informal settlement intervention (Huchzermeyer and Karam, 2006: 41). The program is guided by a set of legislation that is discussed in this section. Below is a brief discussion of some of the key pieces of legislation and policies that have a direct bearing on informal settlements.

There is not only one Act that regulates housing in South Africa. The operation and management of housing and informal settlements are regulated by different Acts and policy frameworks. Informal settlements are a social responsibility of the government and are therefore dependent on the government to protect them. Moreover, informal settlements are not owned by members of the

society or community, so they are bound by legislation that pertains to the public sector as a whole. Since informal settlements operate in specific areas, often illegally, like in urban areas where they are mostly found, they are further regulated by sector-specific legislation and policies such as the Slum Act. Informal settlements exist in all spheres of government therefore they need to be regulated at government, provincial and local government levels, all of which regulate the operations of such dwellings. Being protected by the Constitution of South Africa, the slum dwellers have to be supported by the government so that government fulfills its statutory mandate and complies with the Constitution of the country.

3.2.1 The 1996 Constitution of the Republic of South Africa

The constitution is defined as “the supreme law of the country of South Africa. It provides the legal foundation for the existence of the republic, sets out the rights and duties of its citizens, and defines the structure of the government” (Constitution of the Republic of South Africa, 1996). Scholars such as Currie and de Waal (2006) believe that the Constitution should be read together with the Bill of Rights in its context of constitutional supremacy, justifiability and entrenchment. Mubangizi (2005) argued that the Bill of Rights includes the rights of all people in our country and affirms the democratic values of human dignity; it also ensures equality and freedom. Furthermore, the basis of democracy in South Africa affirms that the government must respect, protect, promote and attain the rights of all South Africans (Mubangizi, 2005). The Constitution of the Republic of South Africa, 1996 notes that all citizens of South Africa have the right to have “access to adequate housing”. “It is therefore the responsibility of government to continuously and effectively work towards ensuring all citizens can access secure tenure, basic services, materials, facilities and infrastructure” (UN- Habitat , 2004).

Huchzermeyer (2003) mentioned that the realization of the right to housing is linked to the right to land or property ownership. Hence, the right to land is perpetually constrained by constitutional protection of the exceptionally lopsided existing rights to land. Land invasions by the urban poor are an indication that access to housing for urban indigents is connected to unequal access to land and she emphasized that people migrate to the cities to get a better standard of living and upgrade their quality of living (Huchzermeyer 2003). Section (3) of the Constitution states that “no one may be evicted from their home, or have their home demolished, without an order of court made after considering all the relevant circumstances. No legislation may permit arbitrary evictions.” In

effect, Section 26 of the Constitution provides the primary legislative framework from which all national programs and policies on adequate housing including informal settlement upgrading derive their support and legitimacy in South Africa.

3.2.2 The Housing White Paper

This is the first post-apartheid housing policy white paper to be introduced in South Africa. The housing white paper marks the first post-apartheid housing policy in South Africa. One of the objectives of this policy was to achieve socio-economic and environmental integration within all socio-economic classes, the poor and the rich. It aims to contribute to the certainty required by the market, as well as give the provincial and local governments their capacity to fulfill their Constitutional obligations. The policy recognized that the environment within which a house is situated is as important as the house itself in satisfying the needs and requirements of the occupants (Department of Housing, 2009). This required that all houses should be located in areas that are free of environmental hazards and that are safe for the health of the people residing there.

Housing programs have been implemented in an effort to meet the ideal of this landmark policy document. With the launch of *Breaking New Ground* (Ziblim, 2013), The white paper sought to “create viable, integrated settlements where households could access opportunities, infrastructure and services, which all South African people will have access on a progressive basis to: (a) a permanent residential structure with secure tenure, ensuring privacy and providing adequate protection against the elements; (b) portable water, sanitary facilities including waste disposal and domestic electricity supply” (Tissington 2010: 34).

According to the Constitution, section 29, “All South Africans have access to an environment which is not detrimental to his or her health or well-being”. This means that government has a responsibility to ensure environmental justice for all citizens of South Africa. The government fights vigorously for the initiation of viable, socially and economically integrated communities, situated in areas allowing appropriate access to economic opportunities as well as health, educational and social amenities (Department of Housing, 1994). This also means that if people are closer to social amenities they are likely to work closer to their households and be able to sustain their livelihoods through services they offer and job opportunities available to them.

Alongside this objective, the housing white paper aimed to achieve the reduction of the gap between the rich and the poor. Closing the gap between poor and rich could be fulfilled by ensuring that the spatial segregation that was manifested by apartheid laws became a thing of the past. People that were alienated within the middle-class communities were to be integrated with the lower-class communities and ensured of equal access to basic services of equal value. Thus this housing policy aimed at guaranteeing that all South Africans shall have access on a continuous basis, to a permanent residential structure with secure tenure, ensuring privacy and providing adequate protection against the elements (Department of Housing, 1994).

3.2.3 The Housing Act no 107 of 1997

The Housing Act followed the Housing White Paper as a continuation of the guidelines, programs and provisions stipulated in the White Paper. South Africa's housing policy arose from an unusual process. From 1992 until the elections in 1994 a multi-party negotiating body, the National Housing Forum, made up of representatives from political groups, the business community, the building industry, financial institutions, unions, civics and development organizations thrashed out a housing policy in response to the then government's racially based policy (Tomlinson, 1999: 283). In 1994 the Government, in order to redress the inequities of apartheid, developed the Housing White Paper that stipulated the use of targeted housing subsidies to qualifying beneficiaries in the form of a grant. This became the de facto housing policy in 1997 with the tabling of the Housing Act. Subsidized housing was a key element in the Reconstruction and Development Program (1994-2004). The right to housing has been enshrined in the Constitution, which was adopted in 1996 and states that all South African have the right to: 'access to adequate, housing' and the Housing Act aims to offer the facilitation of a sustainable housing development process. This is done through" (Housing Act 107 of 1997).

The Housing Act of 1997 together with the revised Housing Code of 2009 were enacted to give effect to Article 26 (1) of the Constitution. According to Tissington (2011) the Act provides for a sustainable housing development process by laying down the general principles that should govern such processes in all spheres of government. Among other things, it spells out the functions and relationships between the various tiers of government and individuals and communities with regard to housing development (Tissington 2011). The Act further contains relevant provisions under Section 2, which require municipalities to ensure a non-discriminatory, pro-poor, racially

integrated, and participatory process to upgrade informal settlements based on the principles of good governance. Section 2 (1) states that the national, provincial and local spheres of government must: (a) Give priority to the needs of the poor with respect to housing development; and (b) Consult meaningfully with individuals and communities affected by housing development. Section 2(1) further enjoins all spheres of government to ensure that housing development: (i) Provides as wide a choice of housing and tenure options as is reasonably possible; (ii) Is economically, fiscally, socially and financially affordable and sustainable; (iii) Is based on integrated development, and (iv) is administered in a transparent, accountable and equitable manner, and upholds the practice of good governance.

Furthermore, Section 2(1) (e) (iii) provides for “the establishment, development, and maintenance of socially and economically viable communities, and of safe and healthy living conditions to ensure the elimination and prevention of slums and slum conditions”. Section 2 (1) (e) (VI), provides for “measures to prohibit unfair discrimination on grounds of gender, and other forms of unfair discrimination by all actors in the housing development process” Ziblim (2013: 22). These general principles in the Housing Act are instructive for the processes and modalities of the upgrading of informal settlements, which aim to facilitate the creation of integrated urban cities and to reduce, if not eliminate social exclusion in South Africa. However, Tshikotshi (2009) believes that the 1997 Housing Act has serious weaknesses including the failure to direct housing policy as regards whether delivery should be through project-linked grants or settlement-wide developments, or whether individual ownership should be given precedence over communal ownership or rental alternatives. The literature adds that the Act does not uphold the spirit of democracy as it provides that the Housing Code is the preserve of the Housing Minister and, that the minister has the right not to engage in any consultative process in deciding national housing policy (Department of Housing 2004).

Huchzermeyer (2003) perceive that this thinking is based on the misconception that informal settlement interventions are simply a form of housing delivery and that the role of communities is therefore not important. The result is that subsidies have often been offered in top-down housing projects for large-scale housing settlements (Charlton & Kihato 2006). Huchzermeyer (2003) points to the many problems associated with project-linked subsidized housing, including, inter alia, poor quality and peripheral locations that lack commercial and social services. Ziblim points

out that the Upgrading of Informal Settlement Program has derives its policy context from the BNG policy document of 2004 (Ziblim 2013:22).

The Housing Act followed the Housing White Paper as a continuation of guidelines, programs and provisions stipulated in the White Paper. The Housing Act aims to offer the facilitation of a sustainable housing development process. This is done through “establishment and maintenance of habitable, stable and sustainable public and private residential environments to ensure viable households and communities in areas allowing convenient access to economic opportunities, and health, education and social amenities” (Housing Act, 1997:141). The Housing Act, together with the Constitution, further outlines the role of the national, provincial and local governments in relation to the provision of housing (Housing Act, 1997:139). The national department is mandated to set up and facilitate a sustainable national housing development process. However, provinces have proactively developed their own housing policies that push the boundaries of this framework, for instance the Gauteng Investment Partnership for Housing and the Mayibuye Upgrading Program that is intended to improve housing delivery by offering land settlement first before servicing and developing houses (Cities Alliance 2003).

3.2.4 Breaking New Ground policy

The Breaking New Ground is the second phase of the housing policy in the post-apartheid South Africa. It is therefore a product of a comprehensive process undertaken by the National Department of Housing from 2002 to 2003 with the aim of creating a new policy direction for the housing program (Tissington, 2011). The aim of the BNG was to conduct a review of the housing program after identifying a number of shortcomings in the housing program (Tissington 2011). Furthermore, it aimed at building on the existing principles of the Housing White Paper. At the same time it was to strengthen existing mechanisms and instruments of the Housing White Paper to ensure more responsive, flexible and effective housing delivery (Tissington 2011).

The BNG policy argued for the change in the nature of housing demand as it recognized the increased average annual population growth and the drop in average household size (Department of Housing, 2004). The BNG further acknowledged increasing urbanization and the skewed growth of the residential property market (Department of Housing, 2004). During this time there was an increase in unemployment and a growing housing backlog despite extensive delivery over the previous decade (Tissington 2011). The BNG policy also recognized that the lack of affordable

and well-located land for low-cost housing had led to development on the periphery of existing urban areas, resulting in limited integration (Department of Housing, 2004).

3.2.4.1. BNG ways of Reducing Income Poverty

The BNG housing policy outlines the new housing vision and sets out key objectives to which the Department of Human Settlement is committed. According to the vision, the department commits itself to accelerating the delivery of houses as a key strategy for poverty alleviation (Department of Housing 2004). Another commitment of the department is to use the provision of housing as a major job creation strategy and to ensure that property can be accessed by all as an asset for wealth creation and empowerment (Department of Housing 2004). These are supported by the mechanisms that the department will apply in order to achieve such objectives. The mechanisms outline how housing delivery can contribute to reduction of income poverty and achieve sustainable livelihoods.

3.2.4.2. Ensuring Good Quality Houses

The BNG housing policy noted that the 1.6 million houses built in the previous years did not become valuable assets in the hands of the poor (Department of Housing, 2004). Hence the BNG housing policy aimed to move away from the quantity delivery of houses to quality (Tissington 2011). This was going to be achieved through ensuring better and bigger houses than those reflective of the housing white paper (Department of Housing, 2004). Hence, the skills for labour of housing products has also improved; better settlement design was to be achieved and alternative programs and technology for housing delivery was to be considered (Department of Housing, 2004). This was to give value to the housing product built for beneficiaries so it could be considered as an asset by banks and be used by beneficiaries for a loan guarantee. BNG policy states that beneficiaries must have an opportunity to use a house as collateral to have access to a loan in order to start a business or extend their houses (Department of Housing, 2004). This would also help in sustaining their livelihoods if the households are able to make money through housing, hence this also depends on a good quality house.

According to the BNG policy, the Department of Housing was to investigate the introduction of strengthening measures and motivate to include design professionals at the planning and project design stages (Department of Housing, 2004). The Department also developed design guidelines for designers and regulators in order to ensure sustainable and environmentally efficient

settlements (Department of Housing, 2004). The aim of this is to secure the development of houses that are able to support families with dignity and according to the values of society at large (Department of Housing, 2004). This helps to ensure environmental justice and an environment conducive to healthy living. This will further ensure attractive houses that would remove the stigma attached to people living in government subsidized houses. These guidelines would give the government-subsidized houses value that qualified as suitable assets by banks and other financial institutions.

3.2.4.3. Ensuring Well Located and Integrated Settlements

The BNG policy highlights that the housing stock should be located in areas with economic opportunities so as to be close to employment opportunities. This means communities will not have to travel long distances and household beneficiaries and others could even walk to work and to the community amenities. This would also allow members of households to make extra income by working extra paid hours because of being closer to the places of employment. The location of housing stock close to economic opportunities also helps to support home-based enterprises. Households are able to get goods at an affordable price for successful income generation activities like the spaza shops, they can even open up panel beating shops to generate income. The appropriate location of houses does not eliminate the need to incorporate the concept of integration as is anticipated by the policy. The policy further notes that informal settlements must be urgently integrated into the broader urban fabric in order to overcome the spatial, economic and social exclusion of the poor (Department of Housing, 2004).

The policy introduced a new human settlement plan that adopted a phased, in-situ upgrading approach, to informal settlements. This plan supports the eradication of informal settlements in identified locations through in-situ upgrading (Department of Housing, 2004). Hence, the plan discourages the relocation of households to areas where development is not possible or desirable. This helps to avoid relocations where beneficiaries would lose their previous neighborhood relations and survival strategies. Furthermore the policy promotes integration whereby towns and cities are built and wealth is generated and distributed. According to the policy, the key objective is to integrate previously disadvantaged groups into the city and the benefits that this entails. This would ensure the development of more integrated, functional and environmentally integrated human settlements within towns and cities. This initiative helps the poor households to learn and

adopt the survival strategies of the rich middle class located in the urban areas (Department of Housing, 2004).

One of the interventions of the new human settlement plan is to incorporate special conditions into residential development permits (Department of Housing, 2004). These permits follow international examples. They facilitate income integration through requiring developers either to set aside units within residential developments for lower-income groups, or to develop lower-income residential accommodation in adjacent areas (Department of Housing, 2004). According to the BNG policy, it is proposed that twenty per cent of all residential development should constitute low cost, and affordable housing, and this would be prescribed in permit conditions (Department of Housing, 2004). This can be achieved on site during house construction or in alternative locations initially, to overcome negative perceptions about property devaluation, and thus benefit the poor (Department of Housing, 2004).

3.2.4.4. House as an Asset

BNG housing policy was enacted to ensure that property can be accessed by all as an asset for wealth creation and empowerment. Housing becomes an asset in three different ways. There is housing as a social asset, which provides a social safety net for family members. In this way a house is used as a shelter and where household relations are constructed. Housing contributes towards citizenship building in that it offers the resident household an address thus linking them with the systems of local governance. Neighborhoods consolidate around housing units, which provide access to all other social benefits including networks, community support, social security and other things (Gordon, Bertoldi & Nell 2011). This provides suitable conditions under which to establish households and allows other activities to be carried out by the members of households, the success of which depends largely on good household relations (Department of Housing, 2004).

When housing becomes a financial advantage, it can be exchanged for money. When a house is traded, the value of the transaction contributes towards maintaining household issues. This contribution can then be re-invested in better quality or more appropriate housing for the family's individual needs Chambers and Conway¹ (1992). For example the money a household gets from renting housing can be utilized to take care of family needs like buying food, paying school fees as well as sustaining businesses through maintenance of housing. The success of this depends on the value of the house. This value can be affected by many factors, including the quality of the

house and its size. The environment in which the house is located is crucial also in giving or taking away value to a house. For example, a house built close to social amenities and economic centers will have more value than the house located in isolation to such services (Gordon et al 2011). So housing available for rental provides a valuable asset because people want to stay around town close by their working areas.

Another form of housing as an asset is its productive quality. A house can be used to generate income through various activities. Those activities may include renting out a portion of the house or property or through using the house to sell services and goods. For example at Jika Joe residents turn their rooms into tuck-shops and they sell goods to the community in order to be able to sustain their livelihoods. Households can explore different income generation activities and as such can be guided by neighborhood daily needs. Also, different factors determine if a house is to be a productive asset or a wasteful asset. This includes the size of the house or its capacity to accommodate households. A larger house size may ensure that there is space that can be sacrificed for the home-based enterprises.

3.2.4.5. Creating Employment Opportunities

The BNG housing policy also recommended housing delivery that will provide direct and indirect jobs within the construction sector as a means of reducing poverty for local communities (Department of Housing, 2004). According to BNG, job creation opportunities would be increased through the provision of infrastructure. BNG recommended the use of small-scale businesses for construction after big corporations lost interest in housing delivery because of the low profit margins it offered (Department of Housing, 2004). The policy mentioned that provincial housing departments and some accredited municipalities will be required to apply the guidelines for the implementation of labor-intensive infrastructure projects under the Extended Public Works Programs (EPWP) (Department of Housing, 2004). This will make use of local businesses and an opportunity for local people to get employment that will assist in sustaining their livelihoods. It is therefore recommended that labor-intensive construction methods should be integrated into the provision of housing and that technologically intensive methods should be reduced Department of Housing (2009). The management and maintenance of a housing stock has also been identified by the policy as one of the activities that would give jobs to neighborhoods. These programs aim at

creating more job opportunities for the poor through promotion of social services. It also contributes to the upliftment of the poor Department for International Development (2000).

In the Breaking New Ground Housing Policy (BNG) in 2004, government presented its project that is also known as "a comprehensive plan for the development of sustainable human settlements". Breaking New Ground is neither a program nor a policy, so it has no statutory significance. It is a plan that government would like to implement into policy following a series of successful pilot projects (Department of Housing, 2004).

From 2002 to 2003, the Department of Housing undertook a thorough review of the housing program after recognizing a number of 'unintended consequences' of the existing program. These included peripheral residential development, and poor quality products and informal settlement upgrading program.

Program (UISP) was a result of the BNG policy document which was adopted in 2004 by the South African government. According to Tissington (2011), the aim of BNG was to increase the delivery of well-located housing of suitable quality through various innovative, demand-driven housing programs and projects. More importantly, it utilized housing as a tool for the development of sustainable human settlements, in support of urban restructuring. Ziblim (2013: 24) states that the objectives reflect an entire approach to the challenge of informal settlements; in an attempt to make good decisions for the first time,.The issue of informal settlements was conceptualized not merely as a housing problem but as the product of an underlying socio-economic difficult challenge that needed to be addressed. Thus, the policy saw housing as a catalyst to achieve broader socio-economic goals, including economic growth, job creation, poverty alleviation, and social cohesion.

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

Furthermore, while BNG built on the basic principles of the 1994 White Paper on Housing, Ziblim (2013) argues that it diverges in a number of ways from previous national housing efforts to deliver

adequate housing to the poor in South Africa (Ziblim 2013:24). Huchzermeyer (1999) and COHRE (2005) are of the same opinion about the use of the term ‘eradication’ of informal settlements in the BNG policy document. Eradication or elimination connotes some use of force to remove all informal settlements in South African cities. Ziblim (2013) believes that regardless of the adoption of BNG, the urban poor are still being housed in project-linked housing developments located on the outside of the cities. However, Tissington (2011) argues that the Upgrading Informal Settlements Programme seeks to supplement pre-existing mechanisms and housing instruments to facilitate a housing delivery system that is more responsive, flexible, and effective.

Breaking New Ground recognizes that there is a need for a critical shift in the official policy response to informal settlements: “Thereof there is a need to acknowledge the existence of informal settlements and recognize that the existing housing program will not secure the upgrading of informal settlements. There is also a need to shift the official policy response to informal settlements from one of conflict and neglect, to one of integration and co-operation, leading to the stabilization and integration of these areas into the broader urban fabric” (Ziblim 2013: 24). Breaking New Ground adopts an in situ upgrading approach to informal settlements, in line with international best practice. Breaking New Ground states that “this approach will maintain community networks, minimize disruption and enhance community participation in all aspects of the development solution” (Ziblim 2013:24).

3.2.4.6. The Upgrading Informal Settlements Program (UISP)

The UISP offers grants to accredited municipalities to undertake sustainable housing development projects aimed at improving the conditions of slum communities. The main idea is to facilitate phased in situ upgrading of informal settlements as the strategy of choice where possible (UN-Habitat (2004). The approach also considers social cohesion, security of tenure and economic development. In an additional break from the past, the program seeks to provide phased upgrading, beginning with basic services and possibly ending with the provision of a top structure (Tissington 2010:55).

However, it is important to note that while the program prioritizes in situ upgrading, the Housing Code also provides for informal settlement dwellers to be relocated only as a “last resort.” According to the Department of Human Settlements (2009), this should be considered in a situation where the existing territory is not suitable for upgrading, Department of Housing (2009). Where

relocation appears unfeasible, the policy provides that implementation should be based on the principle of minimal disturbance (Tissington, 2011). The UISP program directly facilitates the development of municipal-level economic infrastructure such as transportation hubs, workspaces and markets. At a household level, the program supports the development of human capital as the home is often the most important productive asset of the poor and it will enable the poor to sustain their livelihoods.

3.2.4.7. Slums Act of 2007

The aim of the Slums Act is “To provide for the progressive elimination of slums in the Province of KwaZulu-Natal; to provide for measures for the prevention of the re-emergence of slums; to provide for the upgrading and control of existing slums; and to provide for matters connected therewith” (Sisulu 2006: 401). Sisulu has made an enthusiastic appeal to South Africa’s wealthy to help eradicate the country’s slums in order to provide dignity for all South African citizens. According to Abahlali (2009) the Slums Act has two main objectives which are to eliminate slums and to prevent the re-emergence of slums and these objectives are achieved through sections 5, 6, 14, 15, 16(1), 16(2) and 11. Therefore the Slums Act is an equitable and rational piece of legislation and policy response to ensure that the overall provincial housing project, through the delivery of housing units in sustainable human settlements, is not continuously undermined by the escalation and expansion of informal settlements (Abahlali 2009).

According to Huchzermeyer, (2003: 697) “The Slums Act specifies its objectives in section 3, which are, to eliminate slums; to prevent the re-emergence of slums; to promote co-operation between the department and municipalities in the elimination of slums; to promote co-operation between the department and municipalities in the prevention of the re-emergence of slums; to monitor the performance of the department and municipalities in the elimination and prevention of the re-emergence of slums; and to improve the living conditions of the communities, in the Province”. It has been postulated that the Slums Act, passed into law in 2007, was an attempt to give legal authorization to the turn of an outrightly authoritarian and anti-poor response to the crisis of our cities. This has direct connections to similar colonial and apartheid legislation, for example the 1951 Prevention of Squatting Act, which formed part of the apartheid system of racial segregation in South Africa. This act gave authority to the forced removal of squatting communities (UN-Habitat 2003). This allowed eviction and destruction of homes of squatters by

landowners, local authorities, and government officials. It required municipalities and private land owners to evict, gave legal sanction to the notorious transit camps and criminalized shack dwellers' movements (UN-Habitat 2003). For example in the case of Sbusiso Zikode from Kennedy road in Durban, who is a president of Abahlali Basemjondolo, his life was threatened by politicians after the Abahlali Basemjondolo won the case against Ethekewini Municipality. The argument is that authorities assume that shack settlements, rather than the material and political realities that give rise to shack settlements, are the problem and so rather than seeking to reduce injustice attack ordinary people's attempts to survive in an unjust society, Abahlali baseMjondolo. (2006). In addition shack dweller's organizations across the country and across the political spectrum have forcefully rejected the Slums Act. People have been beaten, shot at with rubber bullets and arrested while marching against their dissatisfaction Abahlali baseMjondolo (2007).

3.3. Conclusion

The urban poor engage in a range of survival strategies, in order to mitigate the impact of poverty. The government has formulated policies accompanied by lots of programs to meet the needs of people residing in informal settlements. The history of informal settlements in South Africa dates back to the pre-apartheid period although there were fewer slums then, than now. This chapter examined the selected pieces of legislation and policies associated with housing, informal settlement and human rights. South African housing legislation is largely compliant with international agreements and the South African Constitution. This study has provided analysis based on peoples' experience with the legislative framework for sustainable livelihoods in informal settlements.

CHAPTER FOUR

RESEARCH METHODS

4.1 Introduction

This chapter addresses the methodology aspects of the study that employed a qualitative approach. This chapter focusses on all the steps that were followed by the researcher to gather information. Type of methods used to collect data, how the sample was selected and, it further discusses where data was collected from and analysed.

4.2 Research Design

Research designs are procedures for collecting, analysing, interpreting and reporting data in research studies (Babbie 2013). Babbie further stated that there are three elements that should influence the researcher when developing their research design framework. These include philosophical assumptions (knowledge claims), strategies of enquiry (qualitative, quantitative or mixed methods approach) and methods of data collection (Babbie 2013). The data was collected through face to face interviews, which includes asking questions with the selected respondents as detailed in the sampling design below, pertaining to survival strategies among the slum dwellers in Jika Joe.

4.2.1 Research Method Adopted

Scholars such as Babbie (2013), state that qualitative research refers to the whole world experience. It is whereby the researcher is more interested in the depth of human experience. Qualitative research captures and discovers meaning, with concepts in the form of themes, motifs and generalizations. In this research, data was captured in the form of words and images as well as observations, and transcriptions of interviews were done.

4.3. Source of Data Collection

There are several methods that can be used to answer research questions, and this study adopted three methods which are discussed below. The researcher collected data from two types of data sources; primary and secondary sources of data as well as direct observation. The primary data was collected using interviews based on an interview guide, which gathered information on socio-economic characteristics and strategies of slum survival in the settlement. Non-probability sampling was employed to select a certain number of households from the household population. Household-heads both women and men aged 18 years and above were interviewed.

4.3.1. Primary Data

Primary data is the data that is obtained first hand from the word of mouth, where a researcher goes into the field to collect data (Bryman, 1988). Different tools for collecting primary data such as interviews, questionnaires, and focus groups are used to get information from the respondents. Babbie (2013), identifies this type of sourcing to be more accurate when compared to other sources because the researcher collects primary data from the original sources. Therefore primary data was sourced from the Jika Joe slum dwellers and officials from the Msunduzi municipality (Human Settlements Unit). The primary data was also sourced from direct observation. The in-depth interview is a technique that allows the researcher the freedom to elicit information from the respondents in an unrestrained and desired pattern. Generally, interviews afford the researcher the opportunity to probe deeper into initial responses of the respondents to gain a more detailed answer or perspective to the issue raised (Babbie & Mouton, 1998). In-depth interviews in particular, provide the researcher with the means to explore a relevant point of view to gain a wide range of insights on the subject matter of research. The study developed an interview guide with 11 questions that were to be asked to the participants that were explored during the interview. The reason for choosing in-depth interviews was that participants provided much more detailed information as follow up questions and explanation could be sought directly. The researcher also provided participants with a relaxed atmosphere in which to collect information, and it allowed participants to feel more comfortable having a conversation with the researcher about their challenges.

4.3.2 Secondary Data

Scholars such as Babbie (2013) argue that secondary sources are channels of information ascribed to a third party. Babbie & Mouton (1998), state that secondary data is information that has been collected for a certain purpose other than your current research project but has some similarities and utility for your research. To complement and strengthen data derived from primary sources, the study utilized data from various secondary sources, which included relevant books from the library, journal articles, dissertations policies related to informal settlements, and the prevailing legislative framework regulating this phenomenon. The officials from the Department of Human Settlements (DHS) under Msunduzi Municipality were also participants in the research. Newspaper reports of the period under review considered relevant to the subject matter of the study, internet, and other relevant publications that were accessible were consulted.

4.3.3 Direct Observation

Direct observation is a method of collecting information in which the researcher watches the phenomena without altering that environment (Bryman 1988). Direct observation was used concurrently with in-depth interviews to collect information. This is useful to elicit better insight of the participants being consulted through non-judgemental approach Du Plooy-Cilleirs (2014) Being exposed to the environment where data is collected helped the researcher to gain a good insight of the phenomenon under investigation. The process of collecting data while involved in the day-to-day activities of participants in the research setting helped the researcher to gain more information about participants. The process enabled the researcher to learn about the activities of the people under study in the natural setting through observing and participating in those activities. Consequently the researcher was then able to view things through the eye of the participants.

Direct observation was conducted during site visits to Jika Joe informal settlement. The researcher observed the area by looking at the activities around the area that the residents adopted in order to earn a living. The researcher also observed the area in terms of if there was enough spaces to accommodate the businesses within the area. The researcher further looked at the resources that might also help in generating income. The direct observation method was useful for this researcher in several ways. Firstly it provided this study with ways to check for nonverbal expression of feelings and it also assess whom the researcher should interact with. The researcher also observed how business people or Jika Joe community participants interact with each other. The researcher observed events that research participants may be unable or unwilling to share for example some participants were uncomfortable with revealing their income or money that they make from their businesses.

4.4 Sampling Method

Sampling method is the process of selecting a representative group from the population under study (Neuman, 2000). According to Bryman (1988) sampling is “a subset of the whole population, which is actually investigated by the researcher and in the case of qualitative research whose characteristics will be generalized to the entire population”. The researcher selected non-probability sampling methods which are often used in qualitative research, to select municipal officials, Jika Joe community leaders and households who participated in the study.

4.4.1 Non- Probability Sampling Method

Non probability sampling is a technique where samples are gathered in a process that does not give all individuals in the population equal chances to be selected (Bailey 1987). Non-probability sampling was used. According to Bailey (1987), the obvious advantage of non-probability sampling is that it is much less complicated, much less expensive and may be done on a spur-of-the-moment basis to take advantage of available respondents, without the statistical complexity of a probability sample. A non-probability sample may prove perfectly adequate if the researcher has no desire to generalize his or her findings beyond the sample, or if the study is merely a trial run for a larger study (Bailey 1987). If the investigator plans to repeat the study at a later stage, he or she may initially be more interested in perfecting the questionnaires than in the sample and may find a non-probability sample adequate (Babbie 2001). Therefore non-probability sampling was applied for this study because it is flexible in terms of providing the required results. The researcher personally identified people in the area where the research was conducted. Participants in the research numbered 20 in total.

4.4.2 Purposive Sampling

A purposive sample is a non-probability sample that is selected based on the characteristics of a population under study (Bailey 1987). With purposive sampling, the researcher purposefully chooses the participants that the researcher wishes to include in a sample (Babbie 2001). In all, 20 respondents were purposefully selected for the interview. In terms of Msunduzi Municipality officials, the researcher purposively selected the housing committee members because they are responsible for the actual implementation of housing within Msunduzi. The municipal officials were included in the study in order to give the researcher fuller insight into the study area and provide maps of the settlement. Moreover they were the officials selected in order to avoid interviewing only the slum dwellers but to include the municipal officials as well.

4.4.3 Snowballing Sampling

Snowballing sampling is also a non-probability sampling technique in which a researcher starts with a small number of w people who are used to recommend a hidden population (Bailey 1987). Snowballing sampling it is when a group of people recommends potential participants for a study, or directly recruits them for the study. Those participants then recommend additional participants, and so on, thus building up like a snowball rolling down a hill (Neuman 2000). The snowballing sampling method is often used in qualitative research as with the previous non probability

sampling method (Babbie & Mouton 1998). Snowballing sampling was also used in the current study (referrals from others assisted in increasing the number of the sample size). The respondents were identified with the help of two community leaders including a ward councillor and two influential families that the researcher made contact with. These families assisted the researcher to identify and get in touch with others in the settlement. This method was simple and it was much easier to get the necessary participants through referral from their fellow community members. This use of snowballing is a type of purposive sampling, because the researcher went to Jika Joe with the purpose of finding relevant people to participate in this research. The researcher found one person who qualified to participate, and then she asked him person to recommend several other people who reside within the area the researcher was looking for.

4.5 Data Analysis

According to Babbie & Mouton (2001:28), data analysis is a method of reviewing, editing, changing, and “modelling information with the aim of identifying appropriate information to support decision-making and propose conclusions”. To understand the participants’ experiences and answer the main research question, the data was analysed by applying framework analysis, which is appropriate in qualitative research that uses open ended questions. Moreover the analysis was conducted by extracting themes or generalizations from the evidence and the data was organised into a coherent and consistent picture by the researcher. In this study the researcher broke down the findings into four main themes: the rationale for the establishment of informal settlements; livelihood strategies of slum dwellers; challenges facing slum dwellers; and government supports to the slum dwellers of Jika Joe.

4.5.1 Qualitative Content Analysis

Qualitative content analysis has been defined as a “research method for the subject interpretation of the content of text data through the systematic classification process of coding and identifying themes” (Babbie & Mouton 2001:10-11). Content analysis also involves systematic analysis of social artefacts to provide an in-depth understanding of the phenomena. The advantages of using content analysis is that in most data collection methods that involve collecting data from humans, data collection is deliberate and the respondents are aware of the fact that the researcher is collecting data from them. When people are aware of the fact that information is being collected from them, they often give distorted responses, or what they believe are desired responses.

Moreover, the researcher does not run the risk of collecting information that then becomes invalid because the data was not correctly gathered.

This study adopted content analysis to analyse data which was gathered from both primary and secondary sources. With this method, data obtained from interviews and secondary materials were analysed within the context of the research questions and objectives of the study. This method entails systematically dividing the data into themes and identifying similar ideas throughout the study (du Plooy-Cilliers 2014). The significance of using content analysis for this research allowed the researcher to analyze large amounts of data.

4.6. Ethical Considerations

Babbie and Mouton (1998), note that ethical considerations influence and relate to many aspects of the research process and help the researcher to decide whether a field of study is ethically acceptable, moreover the research community, educational institutions, funding bodies, ethics committees, and the wider community need to consider ethics. The conclusion drawn from such considerations determined whether research gets the moral support and green light from professional bodies, and furthermore, the research requires that anonymity and confidentiality is guaranteed, consent is informed, dignity is maintained and there is no harm to the participants (Babbie 2001).

Babbie and Mouton argue that anonymity and confidentiality is what the participants need. Every human being has a right to privacy, therefore the researcher cannot ask certain personal information, and the participants' information shall not be made available in the public domain (Babbie and Mouton 1998). Hence the data that has been collected shall be stored, used and reported in the manner which ensures that no one, but the individual concerned, is aware of their source. In all selected households, the heads of the household (or his/her representative) were first approached to obtain consent to the household participating in the household interview and signed a pre-written consent form (Appendix). All participants who consented to participate confirmed this by signing a written consent form. Ethical approval for this study was obtained from the University of KwaZulu-Natal ethical review committee.

4.7. Anticipated Problems/Limitations

According to Smith (1985: 28) the methods, purposes, personal motives and consequences of research ought to be regulated by the following ethical requirements: obtain content, ensure

privacy, collect data from participant, deal with sensitive information appropriately, provide incentives, and avoid deception. In research, experience has proven that not all potential participants may want to participate in the study, and if they do, may choose not to be identified. Babbie (2001) argues that this is a normal expectation and in line with the principles of ethical considerations, participants' confidentiality will be guaranteed.

This would require a great deal of patience and sometimes involve unanticipated expenditure. Although the Jika Joe informal settlement has four sections, this study focuses on two sections. The reason for choosing two sections was that the ward councillor for the area recommended that the researcher focus there because the security in the selected areas is much better than other areas within the settlement.

The anticipated limitations were not experienced, all the participants were willing to participate and give out information that was required from them. With the help of the ward councillor people got the chance to speak out because they were hoping that the ward councillor of the area who recommended them for participating in the study would assist them in terms of their needs.

4.8. Conclusion

This chapter has presented the research methodology used in conducting this study. The data was sourced from both primary and secondary sources. It also provided the research design. The chapter further discussed the method of collecting data and data analysis methods thereof. It went further to outline the sampling methods that underpinned the study. The findings of the research are expanded upon in Chapter Five, and the data themes have been split into four main headings: rationale for the establishment of informal settlements; livelihood strategies of slum dwellers; challenges facing slum dwellers; and government interventions to mitigate the influx of slum dwellers, and they are discussed in the following Chapter Five.

CHAPTER 5

RESEARCH FINDINGS AND ANALYSIS

5.1. Introduction

This chapter integrates the empirical data with the analysis and discussions. It presents findings and analysis from in-depth interviews and observation of livelihood strategies of slum dwellers. The main aim of this study was to critically analyse livelihood strategies of slum dwellers of Jika Joe settlement and how the Msunduzi Municipality interprets and assesses and addresses this phenomenon.

Four broad themes emerged from the data collected through the in-depth interviews and observation done at Jika Joe informal settlement. These themes are: rationale for the establishment of informal settlements; livelihood strategies of slum dwellers; challenges facing slum dwellers; and government support to the slum dwellers.

Fifteen in-depth interviews were conducted with residents of Jika Joe informal settlement: two government officials (Msunduzi Municipality), one Proportional Representative Councillor, one Ward councillor, and one ward committee members of Jika Joe informal settlements and leaders around the informal settlement there were twenty in participants in all. The responses that they provided relate their lived experiences. All the respondents have been coded separately for anonymity. The in-depth interviews with the respondents have been coded as follows: residents of Jika Joe are First Respondent, government officials are Second Respondent, Proportional Representative Councillor is Third Respondent, ward councillor is Fourth Respondent, ward committee is Fifth Respondent and leaders of Jika Joe informal settlements are Sixth Respondent.

5.2. Background of the Study Area

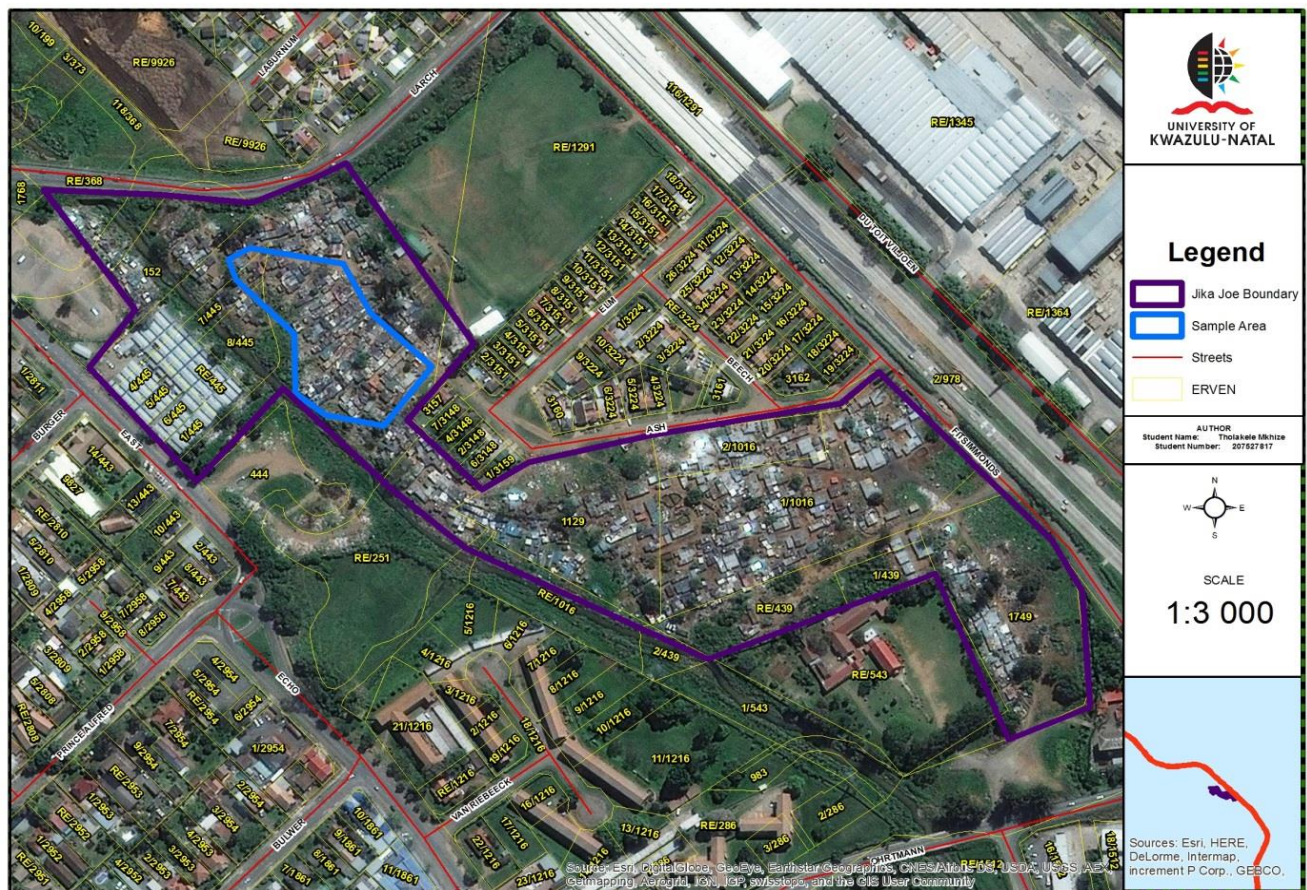
Jika Joe is an informal settlement in the heart of the city of Pietermaritzburg in South Africa, KwaZulu Natal Province (KZN). It is adjacent to Pietermaritzburg's central business district (CBD) and bordered by the N3 high way south of the settlement. This settlement is divided into four sections, however the research focused on two areas of the settlement. The people in this community built their homes here to be close to jobs in the city. The area has been plagued with fires that jump from house to house. These fires have forced some people to live in tents on a local sports field. The Msunduzi Municipality has provided prefab temporary housing units alongside

the homes that the community built. The city's plan is to remove the community from the area and move them to formal housing that will be far from these people's jobs.

5.2.1 Jika Joe Informal Settlement Locality Map

The below map illustrates the areas of Jika Joe and its surroundings. Within the map there is a legend which shows how the map is presented. Firstly the whole Jika Joe area is highlighted via the purple colour boundary, and there is red colour which shows the roads and streets of the area and other nearby areas as well as the freeway. The sample area which was the focus of the study is drawn in blue colour.

Map 1: Jika Joe Area



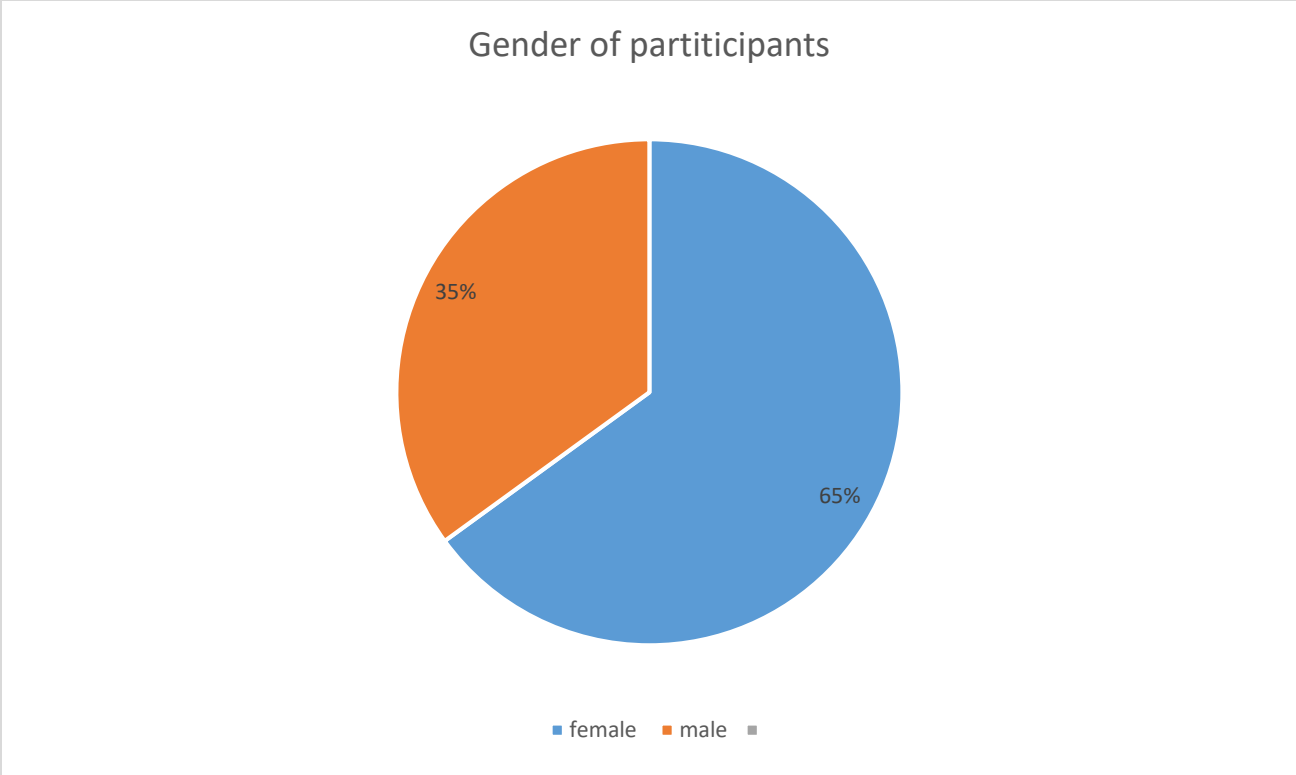
Source: Msunduzi Municipality (2017)

5.2.2 Study Population

According to the ward councillor of ward 33 under Msunduzi Municipality, which also covers Jika Joe, the population of the area is about 5000 with a slight majority of females over males and the majority of residents who participated in the research were females. The population speaks isiZulu, IsiXhosa, Sotho and other non- South African languages since there are foreigners as well residing in this informal settlement. The statistics relating to employment clearly show that the majority of residents are employed. Out of 20 respondents, 12 were female, and 8 were male. Only 2 of the 18 residents who were interviewed were employed full time, 4 were unemployed and 6 had small informal businesses, another 6 were domestic workers and the last two were municipal officials. The number of unemployed included those who were employed on a contract basis, but considered themselves to be unemployed. The unemployed have a variety of precarious options in terms of earning a living; with the majority of respondents dependent on social grants provided by the State which gives them R360 per month which helps them to provide for their families.

Figure 1: Gender of Participants

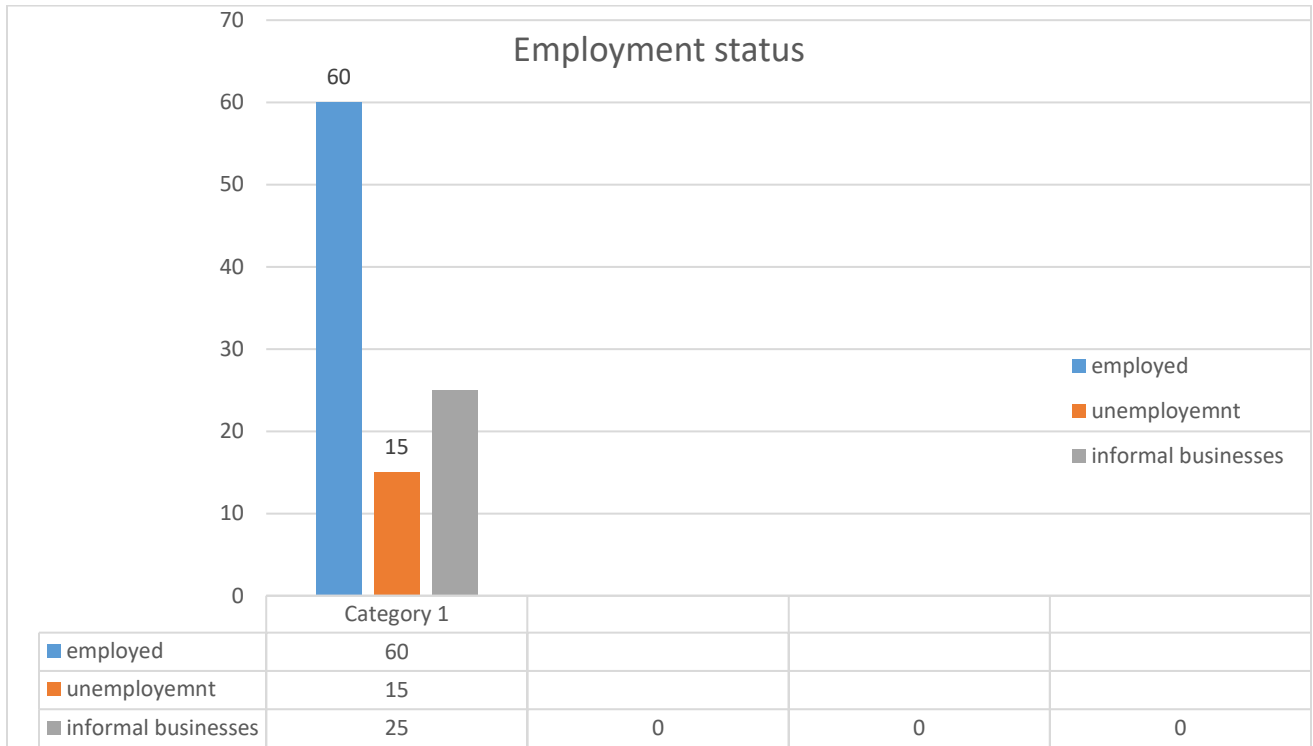
The chart below illustrates the percentage of participants in this study by gender. The blue colour represents the majority who are females which is 65%, and orange represents male participants who comprised 34%.



Source: Field Survey (2017)

The bar chart in Figure 2 below, illustrates the employment of persons in the area. The blue bar is the biggest and it shows that within Jika Joe informal settlements most people are employed. The table shows that 60% of the population is employed. It further shows that the smaller number drawn, the orange bar, is the number of people who are unemployed in the settlement, 15% of the population, and lastly the grey bar shows that the remainder are involved in informal businesses to sustain their livelihoods in the settlement at 25%.

Figure 2: Employment Status



Source: Field Survey (2017)

5.3. Other Research Findings

5.3.1 Factors that Led to the Establishment of Jika Joe informal Settlement

According to local resident Jika Joe informal settlement was established by a group of households in mid-1995. Most of the people who formed the settlement came from the rural areas around Pietermaritzburg. They escaped from political violence in their original home towns.

Due to political fight in the early 80s people moved from their original places and they build shacks next to the N 5 road for work purposes and in 1994 they were moved by the municipality then that how the informal settlement were formed, and it was named after a taxi owner Jika Joe, (October 2017).

As the settlement grew, other respondents mentioned that they moved to the settlement looking for employment opportunities and also to be close to the social amenities which they are denied in rural areas for example, hospitals, schools, and places that are close to work. In the In-depth interviews a male participant argued that:

The people from the settlement moved from their place of origin I searching for the job in the city , there is nothing much I can do to sustain living and provide for my family, at least here in the city I get those temporary domestic jobs and with that I manage to put food on the table, (October 2017).

The establishment of Jika Joe informal settlement is distinct from the formation of other informal settlements in South Africa. The literature reveals that some of the informal settlements were established as a place to stay while looking for employment in the city (Ngonyama 2013). This is different from what was found by the study conducted in Jika Joe where people moved to the area because they escaped political fighting in their original places of residence. Other participants mentioned that they moved to the settlement in order to be close to their work which is similar to reasons provided in other studies that were conducted in informal settlements in Cape Town and Johannesburg.

5.4 Survival Strategies of Jika Joe

The community of Jika Joe adopted different livelihood strategies to survive. The strategies adopted include the food business, social grants, street vending or tuck-shops, housing rentals and small businesses.

The “survival strategy” approach, used extensively for analysing people’s strategic responses to economic crisis is valuable for exploring the dynamic nature of the environment in which livelihood decisions are made. The research has revealed that the main reasons given by the respondents for establishing the following activities are the elements of the local economic development.

5.4.1 Small Businesses

Small businesses are privately owned corporations, partnerships, or sole proprietorships that have fewer employees and/or less annual revenue than a regular-sized business or corporation (Thong 2015). The people from the settlement have salons. The owners do not employ community members to assist them. Instead they provide services on their own. There are salons in the area which provide haircuts, shaving, and the normal charges for the services start from R15 per cut. These businesses normally make a profit of R200 per day and sometimes less depending on how busy the day is. The picture below is a salon within Jika Joe that is owned by a slum dweller.

Figure 3: Jika Joe Salon

The picture of a salon illustrates businesses that specialize only in haircuts, no other services like braids etc. are provided.



Source: *Field Survey* (2017)

5.4.1.1 Food Business (the sale of food product)

Part of the businesses that were identified during the survey were small kitchens where people cook food and sell to the public. They cook food like tripe, fried chips, pap and meat and sell it to the people of the area. One participant revealed that sometimes it is quiet during the day and thus she comes home without a profit. However the money she gets from this business was not revealed but she did mention that no two days are the same; sometimes it is quiet, sometimes they sell well, and the money she gets she uses for household needs for example paying for school fees, food for the family and also she uses money to buy stock for selling. The owner does not get help from the municipality or anyone; she actually raised the capital to start this business from her own pocket, and she has never tried to apply for funding.

5.4.1.2 Street Vending or Tuck Shop

Most participants mentioned that they are not employed in formal employment as they do not have requisite skills to apply for better jobs. Opening tuckshops is the only solution for them to support their families; however such business is not always reliable as a source of income. The picture below illustrates some of the structures used for such business purposes.

Figure 4: Food Business



Source; Field Survey (2017)

Tuck shops are the main source of income as most of Jika Joe has small tuck-shops or people selling fruit on the streets which are other forms of livelihood strategies adopted in the area. These activities even increase job opportunities in the area by employing some community members to assist in shops.

Figure 5: Tuck-Shop



Source: *Field Survey* (2017)

5.4.1.3 Crèche Facilities

The owner of the crèche the researcher met was the first slum settler in this area. She said she was the first woman among 25 households who established Jika Joe in the year 1995. She said the crèche was built by the company who wanted to remove her in her original settlement when they brought development to the neighbourhood. The contractor wanted to lay pipes which were to cross along her house. She looked after children while their mothers were at work. So the contractor offered to donate the containers she uses for the creche, they are used to keep the children and the contractor also provided her with crèche facilities like swings and they also built brick toilets to be used by the children. This lady uses the crèche as her means of supporting her family. She also hires 3 assistants who come from the area. This is the only crèche within the area and it services children from the settlement.

Figure 6: Crèche in Jika Joe

This picture illustrates the crèche at Jika Joe which was established by one of the slum settlers. This crèche is the only crèche in the settlement.



Source: Field Survey (2017).

5.4.1.4 Technical Services

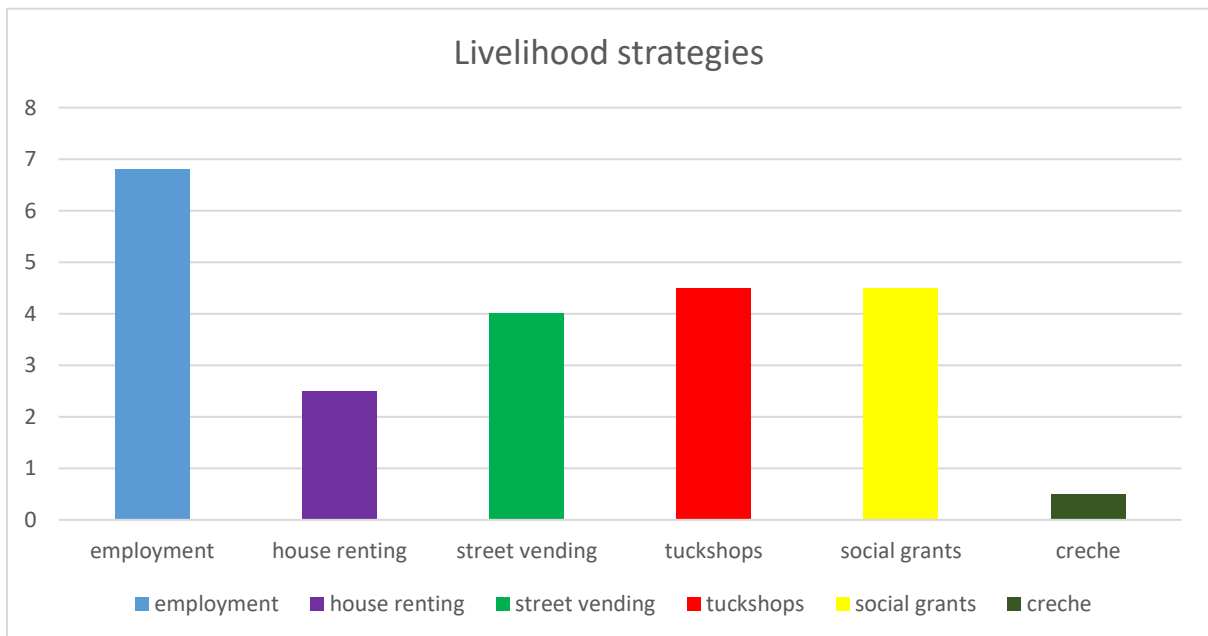
By 'technical services' the researcher means those services that the members of Jika Joe provide for the fellow community in exchange for money, which require a certain skill that not everybody in the settlement possesses. The term technical services means activities or programs designed to enable businesses (Thong 2015). At Jika Joe the study identified technical services like bricklaying, motor mechanic, shoe makers and electricians.

- Electricians help people with fixing all types of appliances in the area as well as the nearest neighbours. They charge different amounts for different things, it depends on what needs to be fixed. They install illegal electricity connections for other community members of Jika Joe and get paid for that at a price of R100 per installation per household. Their business is sustainable because with the money they get from those services they buy groceries for their families, they maintain other household needs as well, and this type of

business is a stable business, because as the informal settlement expands and new people join, the electricians get referrals to install electricity for new members.

- Bricklaying is one of the livelihood strategies that include both skilled and unskilled work. The bricklayers assist communities with building shacks for them and they charge R800 upwards per structure. With the money they receive from providing their services they buy groceries for the households, as well as tools in order for them to develop their businesses. They also go to town for job hunting; they receive renovations and building jobs from the broader community outside of the settlement.
- The shoe makers repair shoes in town for the public. They do not have a decent place where they can keep the shoes but use a trolley to push them back home after work. The charges for shoe repairs differ depending on what needs to be done on a shoe; they charge according to work done. With the money they get from fixing shoes they buy materials to sustain the business and also they buy food for their household. They mentioned that the profit is approximately R350 a day.

Figure 6: Activities That Have Been Employed by Jika Joe Residents.



Source: Field Survey (2017).

The blue bar in the graph shows that most people are employed; however it does not specify what type of employment. The researcher included everybody in the settlement who goes to work. Tuck

shops, highlighted in red follows as the most common activity and many of the people there have tuck shops. The yellow bar shows that almost as many people are dependent on social grants that they receive from the state as own tuck-shops. The green bar shows the levels of street vending in the settlement. The purple colour shows the smaller percentage of people who survive through using housing as their assets or source of income.

Lastly the crèche which is another survival strategy for the slum dwellers which service children from the settlement.

Unlike people who depend on the formal sector where a job is a source of livelihood, poor people's livelihoods in the informal sector are diverse and often complex. Their livelihood survival strategies differ from household to household. Household members find different sources of food, cash and support. Many of these activities that they are involved in are not classified as employment in the formal sense. Nevertheless it is recognised that the informal economy has grown both in size and importance. Increasingly, people who are socially and economically marginalised are actively involved in building their own businesses in the informal economy.

The small businesses that are run through the area are successful and sustainable.

5.4.1.5 Shack Rentals (Building shacks and renting them out to other community members)

Another livelihood strategy adopted in Jika Joe area is room rentals. Some sacrifice a room from their own shacks and others build shacks with corrugated iron and rent them out. Room renting in this area is attractive because the area is supported by public amenities and services including schools and a clinic and participants revealed that renting a shack is much better because it is cheap and closer to where they work.

Workers from the area, who are not local residents, need accommodation. One participant mentioned that the rent is R250 per month (some as low as R150) which is reasonable for someone who is not working, because they can even pay rent from the social grant they receive from the government. According to the ward councillor, people were given low cost housing in another area but they did not want to relocate, instead they rented out those RDP houses and went back to the informal settlement.

The study found relatively high rates of return for landlords because if they rent out, let's say three shacks, they receive R600 or more per month. They can use that amount to buy more material to

develop their business and support their families as well. For those earning between R850 and R1,500 per month, rental income for landlord households typically comprises one quarter of total household income.

5.4.2 Social Grants

The South African government has developed a number of programs to enhance the livelihoods of the poor. The key program is based on social grants. According to the South African Social Security Agency (SASSA 2012), the social security system provides social grants to millions of beneficiaries. Social grants are the most reliable and predictable source of income for poor households, thus making this a successful social security program in the South African context. In South Africa we have different types of social grants namely child support grant, care dependency grant, foster child grant, disability grant, older person's grant, war veterans grant, social relief of distress. In the case of Jika Joe settlement the people that were interviewed receive child support grants.

Four out of 15 respondents mentioned that they depend on the child support grant which is R400 per month and it assists them in maintaining household needs. This amount is guaranteed every month. The child support grant they receive every month assists even when a person did not get any temporary jobs that month. Said one respondent:

I survive with the social grant I receive from the government to pay school fees as well as to buy food. (October 2017).

Their children attend no-school-fee schools, and they get donations for school uniforms and books, and the school provides food for their children so they do not have to budget for these things.

5.5 Challenges Facing the Inhabitants of Joe Informal Settlements

5.5.1 Unemployment

Due to the high unemployment rate, the majority of people at Jika Joe live below the poverty line on the urban periphery, far from job opportunities and social amenities with limited transport facilities. It is observed that, the poorer a household, the greater the role of transport expenditure in the poverty cycle. In the in-depth interviews, a female participant argued that:

Every day I go out look for jobs, but employers would say I do not have relevant skills of the available jobs, or sometimes would not be considered at all. The lack of education

makes us not to get job easily. The only job that I qualify for is a domestic work because you do no need to go to school for doing washing and cleaning (October 2017).

The slum dwellers at Jika Joe do not meet the socially acceptable standard that separate them from poor and non-poor. The study came to a conclusion that slum dwellers live under the poverty line due to the fact that their standard of living is too low in terms of food they eat, access to basic services, monthly income for each household as well as their level of education. Most people in the settlement did not finish high school level. Even if they look for jobs they do not qualify because they do not have required skills. According to the Statistic South Arica report, the new measures for poverty show some increases in the number of people struggling. Rebasng the poverty line, from a food poverty line of R321 per-person-per-month to R335, means an increase from 20.2% of people living in extreme poverty increases to 21.7% (Stats SA 2014).

This measure calculates the minimum amount of money you need to survive. It uses three lines of poverty – the food poverty line (FPL), the lower bound poverty line (LBPL) and the upper bound poverty line (UBPL). The FPL sets the rand value below which you can't purchase enough food to meet a minimum energy intake, about 2,100 kilo-calories a day. The next two categories take into account other needs. Those below the LBPL line don't have enough money to purchase both adequate food items and non-food items, so they have to sacrifice food to pay for things like transport and airtime. The UBPL group are still considered in poverty, but can generally purchase both food and non-food items. Those who fall below that line live in poverty (Slum Dwellers International (2005).

5.5.2 Lack of Start-Up Capital

Beneficiaries without income generation activities have been hindered by a number of challenges in starting home-based enterprises and other activities. The participants revealed that due to a lack of skills and knowledge they cannot even draft a business plan. They mentioned that for the government to recognize their business plan they must submit formal written documents which state exactly what they want funds for and how they are going to achieve the proposed plan. Most of them are illiterate and they cannot write proposals.

Even if a business is run from home it requires start-up capital. The small income that they receive from social grants is spent on the household daily needs and within the area of the informal settlement they cannot stabilize their small businesses. These social grants are received once a

month which is the only assistance they receive from the government. The likelihood is that by the time they get these grants, costs of meeting household's needs like groceries have risen. It is therefore not possible that under these circumstances households would be able to invest in the establishment of home-based enterprises.

5.5.3 Shortage of Space

The lack of adequate space is also another common challenge that participants felt hinders them in starting income generation activities. Family structures and sizes are different and for some families the house itself is not enough to accommodate all the members of the household. Under such conditions they felt it is not possible to sacrifice a portion of a house for income generation activities. Even if such families can extend the house, the extended space will be needed to accommodate the whole household.

Participants without any income generation activities mentioned that they still desire to start some kind of business in the area but land is not sufficient to place their containers because the area is already congested. They would appreciate government assistance in this regard. Participants who wish to start businesses mostly favoured spaza shops:

I wish to plant vegetables and sell them for me to get an income. But there is no land here in the area and municipality is forbidden us to use land, (October 2017)

Most participants were concerned about space for practicing agricultural activities, due to overcrowding and infertile soil. The study found out that overcrowding makes it difficult for households to establish family food gardens and there is no designated communal agricultural land. Since the community cannot plough in order to plant their own fresh vegetables therefore they are forced to buy from supermarkets, yet they complain about not having enough money to buy food.

5.5.4 Crime

Another challenge they face is crime. The respondents mentioned that the crime rate has increased as more unknown people keep on joining the community or residing in Jika Joe, so as the population grows they find it difficult to know each other and that perpetuates crime. So those criminal elements threaten their home-based enterprises. Other participants said that thugs have come a number of times at night to their houses to demand cash and some broke in and took cash. Beneficiaries pointed out that the consumption of drugs especially whoonga, is the main cause of crime in this area. They mentioned that it is mostly young people who are involved in these

criminal activities. However, none of the participants were ever forced to close down their activities because of crime in the area. This indicates that the crime rate in this area has not reached intolerable levels. The incidence of crime means residents do not leave their shelters unattended because criminals come in when they go out to search for jobs.

In the informal settlement they report crime to the nearest police station which is Mountain Rise station, however nothing much has been done to deal with criminals. The community open cases and waits for the police to handle cases. The community members established the community policing forum which deals with criminal issues around the settlement, but it is also very difficult for them to identify criminals because they conduct their criminal activities at night while people are sleeping or during the day when they are at work. In the in-depth interviews a female participant argued that:

As Abahlali we are facing lot of challenges including crime and substance abuse, other residents enter in our shacks and still anything they find useful for themselves, and it not easy to identify the thieves in the area since we coming from different areas and we do not know each other well , (October 2017).

5.5.5 Illegal Businesses

One participant mentioned that he used a container to run a shebeen. However the shebeen was not successful as she got arrested after police raided and discovered she was selling liquor without a valid license. After she was bailed out of prison, she decided to close her shebeen. There was no alternative home-based enterprise she could run from her container and decided to lease it out to a neighbour who used it to run a spaza shop. Although her desired business was not successful, she still earns monthly income from the rent paid by the person who is using the container. However she would still like to open a formal tavern but does not have enough money to pay for a license or a proper place to run a tavern. Furthermore other participant mentioned that he survived by installing illegal electricity for people in the settlement and they pay R100 for each installation. In the in-depth interviews a male participant argued that:

I am not working but I am still looking for jobs, at the moment I survive by installing electricity for fellow community members. (October 2017).

5.5.6 Lack of Access to Education

The inability to access quality education is cited as another formidable challenge in the settlement. Access to education is a serious challenge confronting poor urban communities, particularly the residents of informal settlements as there are no schools in most of these settlements. This compromises children's education and their prospects of finding a job. Undoubtedly, this contributes to the continuation of poverty. Within the area there are no schools. The children from the settlement are accommodated in the nearest areas for educational facilities. There are schools which are in walking distance from the settlement, however those school do not accommodate every child from the settlement; others have to pay R24 a day for transport to school. Those whose parents can afford to pay school fees go to school and those parents that cannot afford to pay have children that do not even attend school.

5.5.7 Lack of Infrastructure

Despite the lack of infrastructure in the settlement, none of the participants want to be relocated to an alternative site as they fear that they would lose their livelihoods. They believe that their livelihoods depend on staying within the Jika Joe area as it is closer to the city and thus they do not spend money on transport fares.

Jika Joe residents are crowded in small shacks with no privacy. All shacks have no private space, and there is no recreational activities for children as the space that is available is used to build shacks. The respondents also complained that they do not have access to water. This challenge puts women in danger as they are the ones who prepare food for the family, they have to walk a long distance to fetch water. The residents argue that the environmental challenges cited to justify the relocation are not convincing. This situation results in ongoing stresses and pressures that threaten livelihoods of people in the settlement. Despite the lack of housing and infrastructure in the settlement none of the participants want to be relocated to an alternative site as they fear that their livelihoods will be compromised.

Despite challenges facing slum dwellers, there are successes that have occurred in the settlement. According to the ward councillor ward councillor, the settlement is represented in the municipality through ward committees, and the steering committee for the social housing project that is taking place in the settlement is a mechanism for public participation and it will cater for those who earn more than R3500 per month. The whole purpose of building this social housing is to give slum dwellers who are earning more than R3500 per month an alternative place to stay since they seem

to be too attached to the area even if they qualify for good housing, but they still prefer slums. The ward councillor revealed that there are 126 slum dwellers who are earning R3500 to R8000 a month, 985 earn between R800 and R3500, then 824 people earn less than R800. He continues to say that 988 people are non-South Africans, they from different areas mostly Lesotho, Zimbabwe and Somalia.

5.6. Government Support to the Slum Dwellers of Jika Joe

The Constitution of the Republic of South Africa, Act 108 of 1996, Chapter 7 (c), mandates local government to pursue and promote social and economic development. The study also looked at the extent to which municipal support for small businesses in the area contributes towards local economic development. It is evident from the participants that despite the fact that policies aimed at addressing poverty were prioritised by Msunduzi Municipality, no poverty reduction targets were put in place in the Jika Joe area, meaning that the people of the area did not benefit from any of the municipal activities.

Msunduzi Municipality officials agreed that the issue of land availability is still a challenge, especially to accommodate informal settlements. However they mentioned that in 1994 they offered RDP houses to the dwellers of Jika Joe; some households were moved from the informal settlement and the others remained behind, they did not want to be relocated:

As Jika Joe leader we have challenges in terms of developing the area or supporting people. Slum dwellers are invading the municipal land and building structures without permit, they dump dirt in illegal areas, the slum dwellers are desperately in need of jobs and it is not easy for him as a ward councillor to provide all of them. Install electricity illegally and it all backfires to him. Recurring of the slum dwellers is another challenge because even if they can provide houses for some, others will come in and build shacks in the area. (October 2017).

Therefore the municipality cannot support the slum dwellers due to the fact that, (Abahlali basemjondolo) made their choice to remain there while they were given an alternative place to stay. The Municipality further mentioned that those who took the offer are residing nicely in their own houses and they do not pay too much for the bus fare to come to town which was the biggest concern of the slum dwellers. They still work in town and are able to get to their residences after work and the transport is accessible. Moreover the municipality has not been able so far, to source

enough land for housing development and it is for this reason that participants do not get support from the municipality.

The study found out that the views of the slum dwellers are different from the municipal officials and from the ward councillor. Slum dwellers believe that the municipality must apply the policy of slum upgrading where they are, they should not be removed to the nearest areas which would cost them money for transport but instead the municipality must build houses where they are. The views of the municipality contrast with slum dwellers in that they believe that informal settlements should not be built within the city because it downgrades the value of the nearest areas, and they abuse the nearest villages because they steal electricity from those who pay rates.

One of the points made was that the municipality is removing all the resources they use for social cohesion, for example there was a sports ground in the area where all teams in Jika Jika were organizing competitions and sports tournaments on that ground but it was demolished by the municipality and there is another project that is taking place at the moment. The municipality wants to build municipal rental social housing which will accommodate some of the slum dwellers who earn more than R3500 a month. Hence the slum dwellers remain with no sports ground. The study also found that the place is too congested, they cannot even share the space to open up small tuck shops as a way of sustaining their living conditions.

On the point of the satisfaction about services that are supposed to be delivered by the municipality, the study found that none of the activities or projects that the community do receive assistance from the municipality, instead they are fundraising from their own personal contributions if they want to implement projects in the area. One of the points made was that the municipality is removing all the resources they use for social cohesion, for example the sports ground as mentioned above.

The findings are similar to the study that was done by Mntungwa Gubevu (2016) in Cape Town on the satisfaction about services that are supposed to be delivered by the municipality. The study found that none of the activities or projects that they do receive assistance from the municipality, instead they are fundraising from their own personal contributions if they want to implement projects in the area.

5.7. Conclusion

The findings represented in this study confirm the findings of studies reported in literature on livelihood strategies that have been conducted in other South African communities and internationally. The study has shown that there are challenges facing slum dwellers: political interference, lack of coordination with ward councillors because they live in the settlement which is made up of different political organizations, and the majority of the slum dwellers do not fall within the ruling political organization. This chapter also presented the findings from the data collection from the 20 participants. In depth interviews were held with the participants and questions around the following topics were discussed with the participants: therefore the collected data was coded using content analysis and several themes emerged. This chapter presented the results under these themes. The findings showed that different income generation activities have been established and conducted by the slum dwellers at Jika Joe. The establishment of these kinds of income generation activities proved in this chapter have generally changed the lives of beneficiaries for the better. However a number of challenges are still experienced by the settlers who wish to establish income generation activities and those who already run these activities. It also appeared that the government has not done enough to support the informal settlement of Jika Joe. Most slum dwellers end up taking insecure jobs in the informal sector with low wages, mostly in micro-scale self - employment or in casual activities. Their main activities include trading, artisanship, and casual labour and waste recycling. Some even engage in urban farming in an effort to make ends meet. Therefore survival strategies help the poor to survive.

CHAPTER 6

CONCLUSION AND RECOMMENDATIONS

6.1. Introduction

The previous Chapter Five discussed and analysed the findings of this research study. This chapter represents the concluding remarks, recommendations and conclusion for the study based on the research findings. The chapter is presented according the main objective, which is to ascertain livelihood resources and strategies that is available for achieving sustainable livelihood for Jika Joe Slum dwellers. The main objective was followed by five main secondary goals, which is:

- To explore the rationale for the emergence of Jika Joe as an informal settlement.
- To investigate the legislative framework of sustainable livelihoods in informal settlements.
- To evaluate the level of government support to the slum dwellers in terms of providing basic facilities to reduce their hardship.
- To assess the challenges facing the inhabitants of Jika Joe settlement.
- To asses Msunduzi Municipality and the level of attention that has been devoted to Jika Joe.

The first two secondary goals are discussed in conjunction and the last three they are also discussed together in addressing the purpose of the study, and the empirical evidence as outlined in Chapters 4 and 5, furthermore in doing so, it confirms the gist of this study. In the last section, I conclude the thesis.

6.1.1 Livelihood Activities

The study found that the first development of the settlement was to political fights, people moved from their original places since there were fights in their areas, then built informal settlements around town to protect their families. But as the settlement grew, people are moved in to look for employment and also they want to be close to where they work. People living in the informal settlement of Jika Joe have adopted different livelihoods strategies which include among others, informal businesses like tuck shops, salons and small kitchens, technical services as well as street vending. These sources of income for the slum dwellers have helped them to deal with the stresses and shocks they faces in their daily lives. The study found that the strategies residents have adopted assist them in taking care of their household needs with the amount of money they accumulate from their businesses, and it plays a huge role in sustaining their livelihoods.

6.1.2. Survival Challenges

The research findings indicate a number of challenges faced by slum dwellers regarding their ways of survival. The issues that were raised by the participants should be considered as recommendations to the government to make houses more efficient for use as an asset for income generation that will allow informal settlers to have another way of making money for survival.

On the aspect of education facilities the study found that Jika Joe does not have schools at all; they depended on the nearest school in town for educational purposes, and access to these facilities is unsatisfactory as some participants stated that their children take public transport because of the distance. Some residents cannot afford school fees at nearby fee-charging schools so some children from Jika Joe do not attend school.

It can be inferred that the water and sanitation challenge is directly linked to housing development. This confirms Mtapuri (2011) assertion that the residents of informal settlements have poor access to basic services, especially water, sanitation and electricity. This is the case in Jika Joe where there is no tapped water or proper sanitation. The participants revealed there is no much attention that has been given to them by the municipality, they are denied municipal services like water sanitation and electricity.

It is without a doubt that South Africa has come a long way in the struggle to eradicate informal settlements and provide adequate housing for the poor. However the challenge of creating sustainable human settlements and sustainable livelihoods that respond to the needs of the people still needs a lot of work. It is also possible that the growth in urban population may have outstripped available resources and employment opportunities. The government has designed lot of programs including the slums upgrading program to address the issue of indormal settlement. As for Jika Joe, the Municipality is now building social housing. Since they moved to the settlement by their own choice, and they were told by Msunduzi Municipality that, the area they moving in is not good for human survival

The study noted earlier in Chapter five that crime is another serious challenge facing Jika Joe community, especially common crimes such as pick pocketing and house breaking. Neefjes (2000) acknowledges that the South African situation is peculiar because of the huge inequalities between rich and poor people. In Jika Joe, many people are robbed of valuable items such as groceries, cell

phones and jewellery, especially on Fridays which is pay day for most local residents. Many of these crimes are committed in order to feed the criminals' families.

This chapter concludes that only if one understands the real needs of the slum dwellers, upgrading initiatives can be successful. It is therefore important that the South African government looks at informal settlement upgrading and human settlements on a broader scale. This means the upgrading of informal settlements should not be the sole responsibility of the Department of Human Settlements and local municipality housing units. Instead it should be the responsibility of multi-sectoral stakeholders in both public and private sectors working collectively in eradicating informal settlements and creating sustainable human settlements. Furthermore the study concludes that poverty is still on the rise countrywide and that it is increasing at a faster rate in urban areas. Poor and vulnerable households in informal settlements are forced to adopt strategies which enable them to survive and to improve their overall welfare. The study has explored the factors that contributes to the success or failure of the earning potential while residing in the informal settlement of Jika Joe.

The findings of this research support the arguments made in the literature about the important role that informal settlements play in the urban context. They provide a housing solution to poor urban residents and the intricate social networks which exist within informal settlements support a range of livelihood strategies. In some instances upgrading interventions might have unintentional negative consequences, for example, the loss of community cohesion and making people, who are already living precariously, feel poorer as is the case in other informal settlements in South Africa.

The researcher hopes that the findings of this study will contribute to further research on poverty and the survival strategies adopted by people living in informal settlements in order to earn a living. The sustainable livelihood approach employed in this study provided a detailed strategy to analyse the survival strategies of the slum dwellers at Jika Joe.

6.2 Recommendations

Informal settlements have potential to empower people and contribute to economic transformation by prioritizing the needs of the community through service delivery. This is to say that government should work on creating legislative clarity in order to create an enabling environment for people to develop themselves in urban areas. The social clubs and cooperatives should be encouraged and funded for the poor communities in order to reduce the dependency on government grants.

6.2.1 Upgrading Programs

Upgrading programs should recognize social networks and community cohesion within settlements and should find ways to support and enhance these. Moreover the research supports an in situ upgrading approach that focuses on improving the safety, health and well-being of residents where they are located, through the provision of an inclusive package of services and infrastructure. Care has to be taken to ensure that upgrading interventions do not disrupt the social support networks and informal measures of social control which perform an important function in the informal settlements. Another point raised in the literature and confirmed by this research is that a one-size fits-all approach to informal settlement upgrading is not advisable. This is because the context is markedly different across informal areas and certain upgrading approaches.

6.2.2 Community Participation

Community participation and active involvement in the upgrading projects is crucial, as government encourages support of programs in a sustainable manner. It is very difficult to maintain relationship throughout and after completion of the project, especially when the outcomes do not live up to residents' expectations. A full package of basic services including electricity, water, sufficient and well-maintained sanitation facilities as well as improvements in the physical layout of sites, pathways and public spaces go a long way towards enhancing the general health and well-being of informal settlement dwellers. They also improve perceptions of safety and reduce opportunities for violence and crime. Physical improvements in the built environment are of absolute importance. However, without accompanying social and economic programs, they will not bring about the settlement transformation.

The research suggests that certain factors can be addressed through an upgrading intervention, whereas structural dimensions need longer-term, targeted, multi-agency programs to address the root factors which cause and sustain violence and crime. Upgrading and the provision of shelter should be a component of a much wider strategy to eradicate poverty and inequality by addressing structural conditions like unemployment and a lack of appropriate skill development programs which contribute to substance abuse as well as interpersonal and community-based violence. It should also be considered that urban upgrading, when accompanied by strategies for economic and social development, become much more complex programs, which need a long-term vision for their implementation and to observe the results and impacts.

The government should provide the necessary infrastructure including the provision of habitable housing (Slum upgrading), inclusion of the slum areas in the city's physical and social fabric, provision of new housing and community facilities. This should include social projects in order to improve the livelihoods of the slum dwellers. If the local municipality does as the policy mandated there would be an increase in sustainable livelihoods and people would be able to utilize available resources to sustain their livelihoods.

6.2.3 Literacy

Another recommendation is for the government to increase literacy levels to create the basis for self-sustenance. If people have access to knowledge on how to register small businesses they will be able to open sustainable businesses. The government should also promote community based safety-nets to assist the poor in weathering cyclical economic downturns. One of the key components of power and wealth creation is access to information and knowledge and the ability to use that information or knowledge for economic or social gain.

6.2.4 Credit Facilities

The government should encourage credit organizations to loan slum dwellers capital to establish their businesses, and credit to economically active individuals in viable businesses to work in this area. This could be done through the provision of sustainable financial and non-financial services. The credit should be specified as being for slum dwellers organization so that not too much information would be required by the banks when loans are needed. At the moment the information and documents that are required when applying for credit are, most of the time, beyond the reach of those currently unqualified who want to obtain loans.

6.2.5 Relocation

The study recommends that the relocation of informal settlement residents to a new location should be avoided, as in most cases, new relocation sites are on the peripheries of the city and are often poorly located as compared to the original location in terms of increased transport costs from the little wages they earn. Moreover the studies suggest that most of the time relocation does not only displace informal settlement residents but also interrupts their livelihoods.

Looking at the case of Jika Joe informal settlement, it is evident that the relocation of households to France was not a success. France is a township in Pietermaritzburg where people from Jika Joe were moved to. Others did not want to be removed from the settlement and they remained in Jika

Joe. Relocation of the slum dwellers had an impact on the residents in a number of ways. The location of the project had an impact on the residents in terms of an increase in household expenditure. The Department of Human Settlement in partnership with municipalities have to ensure that before people are relocated, land is suitable and well located for housing and their needs. It was evident that government officials' perception on the relocation of the first household settled at Jika Joe to France RDP houses project differed to the informal settlement residents' perceptions that were relocated there. Therefore it is recommended that if Msunduzi Municipality and the Department of Human Settlement upgrade the informal settlement they need to offer residents houses located closer to economic and social opportunities. This can be achieved with the government doing thorough assessments of community needs prior to the implementation of any upgrading program. By doing this the government will not only create a sustainable settlement but also ensure that beneficiaries of relocation projects do not go back to where they resided before and create more informal settlements which could cause a burden for the government.

Other recommendations raised by community leaders of Jika Joe informal settlement are that the current housing policy be improved to be more responsive to income poverty reduction. The main issues raised are around land availability, intensification of consumer education, assistance with start-up capital. Furthermore the government should provide the necessary infrastructure including the provision of habitable housing (Slum upgrading), inclusion of the slum areas in the city's physical and social fabric provision of new housing and community facilities. This should include social projects in order to improve the livelihoods of the slum dwellers.

6.3. Conclusion

The research findings have been based on the research objectives with a special focus on the research questions. The questions were answered by the participants in order to get full information about the strategies they have adopted in the settlement. The study revealed that almost all livelihood strategies that were adopted by the slum dwellers were formed with the aim of reducing poverty among the community members of Jika Joe. The study confirm the finding of Kameria (2015) in Ethiopia that definition of Livelihood strategies encompass combinations of different activities and choices that people carry out to attain their livelihood goals. It is a dynamic process where households combine activities to meet their needs; and it directly depends on asset status, transforming structures and processes. For future research the study suggest the following ideas that can inform future research .A large-scale population-based survey of the structured

questionnaire. Such a survey would help determine the extent to which the reported differential preferences on access and use of evidence sources and types by professional groups in our purposeful sample can be generalise

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APPENDICES

Appendix 1: Questions for slum dwellers.

1. What are the factors that led to the establishment of the Jika Joe settlement?
2. What was the population size of the earliest inhabitants?
3. How much of support is the municipality giving the settlement?
4. Where did you live before? (If a resident has moved recently)
5. How is the settlement represented in the municipality?
6. What are the challenges you face in this settlement?
7. What do you do to earn living?
8. What does the municipality do to support you?
9. What programs are available for the social cohesion of the slum dwellers?
10. What are your main funding resources?
11. How do dwellers get funds for their activities?

Appendix 2: Questions for Msunduzi municipality officials

1. What are the factors that led to the establishment of the Jika Joe settlement?
2. What was the population size of the earliest inhabitants?
3. What difficulties do you cope with in your work that is caused by the slum dwellers of Jika Joe?
4. How is the slum dwellers participation in municipal activities?
5. What program/project based on participation do you run in Kwa Jika Joe?
6. What challenges do you face in implement project at Jika Joe (funding, cooperation constrains etc.)?
7. What are the challenges for your work as housing coordinator in Jika Joe?
8. Describe an example of best practice of community participation from your Experience?
9. What difficulties/challenges do you observe about the concept of sustainable livelihoods?

Appendix 3: Informed Content Form

Introduction

Good day, I am Tholakele Mkhize. I am studying for Master of Housing at the Department of Built Environment and Development Studies at the University of KwaZulu Natal. As part of studies I am required by the University to conduct a research project. The objectives seek to analyze people's survival strategies and further investigate livelihood strategies that are adopted by this community. This will require me to interview members of the community and municipal officials to conduct my research.

Confidentiality and Consent

I am going to ask you some personal questions that some people may find difficult to answer. If you are not comfortable with any question, or find it difficult to answer some of the questions please say so and I will stop the interview. Please note that the researcher may have to share your answers, especially when writing up the research findings as they will be based on your answers. I would greatly appreciate your willingness to participate in this interview but this will depend on your availability and willingness. Would you be willing to participate?

If you want to contact the researcher or the researcher's supervisor during office hours, please call:

Researcher: Tholakele Mkhize: 0826788849

Researcher Supervisor: Dr Siphon Nkambule: (031) 2601203

SIGNATURE OF PARTICIPANT.....DATE.....