



AN ANALYSIS OF STAKEHOLDER PARTICIPATION IN COMMUNITY HOUSING IN  
PAYNEVILLE EXTENSION 1, EKURHULENI METROPOLITAN MUNICIPALITY

BY  
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## DECLARATION

With this statement I the undersigned, Themba Orvall Maluleke, confirm that the research work which this study is supported on, is my own (except where acknowledgements indicate otherwise), and that neither the entire research nor any part thereof has been, is being or is to be submitted for another degree in this or any other academic institution.

Name: Themba Orvall Maluleke

Signature:

Date: 4 December 2020



## **DEDICATION**

The study is dedicated to my family and colleagues.

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All thanks go to the All-Mighty God and Savior Jesus Christ, the Alfa and Omega, most high, the gracious and generous breaker, merciful God, who has granted me with the ability to read and write, made it possible for me to complete this research in spite of all the obstacles.

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## ABSTRACT

The aim of the study to an analyse stakeholder participation in community housing in Payneville Extension 1, Ekurhuleni Metropolitan Municipality. In South Africa housing delivery is a human right that is considered as a one of the basic services essential for human dignity. During the apartheid era the black majority was excluded from housing delivery and other developments, hence the democratic government embarked on various initiatives as part of redress.

This study revealed that community participation is not only essential in housing service delivery, but it is also a determining principle in ensuring quality houses upon which social cohesion and solidarity could be enhanced. It is therefore, crucial that it creates awareness among stakeholders on decisions made in the provision of their housing. study highlighted that when communities participate in a project, they make the stakeholders to be accountable of the housing project and the quality and standards of the houses to be delivered. also highlighted that there is a need to involve the community to a greater extent in decision making and development project in order to increase the degree of trust and avoid confrontations that often times led to the delays and costly incurrences of a project. Although their hindrances to community participation, the study revealed different strategies that could be used to overcome them through the promotion and enhancement community participation. In this instance participants wanted community participation to be the watchdog of the delivery of housing in the study area.

## Abbreviations and Acronyms

ANC	African National Congress
ANC	The African National Council
BNG	Breaking New Ground
COHRE	Centre of Housing Rights & Evictions
COM	Community
DPME	Department of Planning, Monitoring and Evaluation
DH	Department of Housing
EMM	Ekurhuleni Metropolitan Municipality
EHP	Emergency Housing Programme
GDS	Growth and Development Strategy
GOV	Government
HAD	Housing Development Agency
HOD	Head of Department
HSP	Housing Sector Plan
HSS	Housing Subsidy Scheme
IDP	Integrated Development Plan
IDT	Independent Development Trust
IHSP	Integrated Housing Sector Plan
IRDP	Integrated Residential Development Plan
JHC	Johannesburg Housing Company
JOSHCO	Johannesburg Social Housing Company
LGHS	Department of Local Government and Human Settlements
MFMA	Municipal Finance Management Act
MTSF	Medium Term Strategy Framework
NBRA	National Building Regulations Act
NDP 2030	National Development Plan 2030
NHF	National Housing Forum
NHFC	National Housing Finance Cooperation
NSDP	National Spatial Development Programme
NGO	Non-Governmental Organisation

PHP	Peoples Housing Process
RDP	Reconstruction and Development Program
RDP	Reconstruction Development Plan
RSA	Republic of South Africa
SAHRC	The South African Human Rights Commission
SACN	South Africa City Network
SALGA	South African Local Government Association
SCM	Supply Chain Management
SDF	Spatial Development Framework
SHP	Social Housing Programme
SHRA	The Social Housing Regulatory Authority
SOHCO	Social Housing Company
UDHR	Universal Declaration of Human Rights
UNDP	United Nation Development Programme
UK	United Kingdom
UISP	Upgrading Informal Settlements Programme
WCDHS	Warren County Department of Human Services

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## **CHAPTER 1**

### **1.1 Introduction**

This chapter introduces the background of the study. The background presents and discusses the housing situation in South Africa and how the lack of stakeholder participation impedes the provision of service delivery. The chapter also presents the location of the study where the housing challenges were identified. It also provides the socio-economic status of Payneville the study site by focusing on the employment rate, levels of poverty, education, and the status of human settlement in the area. The chapter finally presents the significance of the study, the research problem, and aim of the study, research objectives and research questions and the structure of the dissertation.

### **1.2 Background of the study**

The South Africa Constitution, 1996 and the UN HABITAT (2009) state that housing provision is one of the people's right, and the delivery of proper housing is essential worldwide. This means that housing is an important human right where every resident is ensured about the right to shelter, which guarantees access to a proper, secure, habitable, safe home and freedom from forced exclusion. It is the government's responsibility to ensure that people can exercise their right to security, harmony, and dignity (NESRI, 2018). The right to adequate housing is protected in the Article 11 of the international covenant on economic, social, and cultural rights. The right to proper and secure housing has been an ongoing challenge for South African citizens. In the apartheid era, the lack of or poor housing was based on spatial planning, which separated people based on race and ethnic ground (ANC, 1994). Failure "to access proper housing especially amongst black people, has led to poor housing infrastructure, increase in informal settlements, especially in the townships and urban communities" (Jonson and Jacobs, 2012:16). The South African government faces challenges in redressing the housing sector post-apartheid. In an attempts to address the housing challenges, the African National Congress (ANC) led government enacted numerous policies and development programmes like the, National Housing Policy (1997), Social Housing Policy (2003) Breaking New Ground (2005), housing programmes, which incorporate the Integrated Residential Development Programme (1999), The Upgrading of Informal Settlement Programme (2004) and The Rural Subsidy, communal land Rights Programme (2013). All these policies were geared towards fighting the housing challenges for the majority of South Africans.

Constitutionally, government in its different spheres and departments is obligated to engage stakeholders in decision making process and service delivery. (Palmer, Moodley & Parnell, 2017) argue that involvement of communities as participants in municipal services is key to local democracy. As such, citizens' active participation is imperative for an effective and efficient housing delivery (Nealer, 2014: 170). Despite government having a central role, in housing delivery, ANC (1994: 27) argues that the housing delivery systems depend upon community participation. Contrary to the sentiment that communities are passive recipients of houses from government, Eglin & Kenyon (2016: 403) consider people as active citizens developing their own houses and settlements. However, a top-down intervention in housing renders participation a mere formality (Huchzermeyer, 2011). Community participation in housing projects is thus limited deliberately in order to smoothly implement predetermined and inflexible development component (Huchzermeyer & Karam, 2016). Thus, exclusion and marginalization of citizens in housing provision in places such as Payneville Extension 1 in Ekurhuleni Metropolitan Municipality led to community based protests especially in the housing sector. This study therefore evaluates the nature and level of community participation in housing development with particular focus on Payneville community in housing delivery in Extension 1.

### **1.3 Research site**

The study was done in Payneville Extension 1 which is located 6 kilometres northeast of the closest town Springs Central Business District in the Gauteng Province, South Africa. The population of Ekurhuleni Metropolitan Municipality (EEM) has been growing since its establishment in 2000. According to the Ekurhuleni Integrated Development Plan (IDP) (2019), reports that the population of Ekurhuleni has doubled to an estimated 2 368 283 from 2000 to 3 379 104 in 2016. StatsSA (2017) reports that the population has been steadily growing at rate of 2.47% per year, which was previously from a high of 4% per year during the period of 1996 and 2001. The current number of residents represents over 6% of the total population of South Africa (StatsSA: 2017). The Ekurhuleni IDP (2019) reports that the increase in the Ekurhuleni population is attributed to the net migration into the city. Ekurhuleni, like the city Tshwane and Johannesburg is one of the biggest receives of in-migration in South Africa.

The Ekurhuleni IDP for the 2018/2019 Report states that the city has an average age of 30 and 66% of the population who ranges at the ages of 18-64, 18% is below the age of 18 and 6% is over the age of 65.

The Ekurhuleni IDP for the 2018/2019 further reports that the city has a relatively young population which is about the same rate as that of Gauteng Province. The black African population is about 80% of the

population followed by the population of white which is around 14%, the Coloured population at 3% and the Indian population at 2% (Ekurhuleni IDP for the 2018/2019) .

In the city, males make up 51% of the population whereas females account for 49%. IsiZulu is the most language spoken in South Africa at about 34% of households followed by Sepedi at 12%, Sesotho at 11% and English at 10%. Generally, the population of the city speak more than 1 official South African language and all 11 languages are spoken within the City (Ekurhuleni IDP, 2018/2019). An estimated “95% of the residents of the city are South Africans, with about 62% born in Gauteng, 10% born in Limpopo, 7% born in KwaZulu-Natal, 5% born in the Eastern Cape and the remaining 10% born elsewhere in the country and 5% born outside the country” (Ekurhuleni IDP, 2018/2019:48).

Map 1: Location of Payneville



Source: Google, Map data AfriGis, 2018

The City of Ekurhuleni IDP 2018/2019 reports that the city has 1 299 490 homes and according to 2016 survey conducted on the households, 18.7% of these households are informal settlements. The households in Ekurhuleni contributes about a quarter of the households in Gauteng and about 10% of the households in South Africa (Ekurhuleni IDP, 2018/2019).

About 52% of the people in the City live in fully paid off houses, and some properties under bond payment, while 22% of some households live in properties that have been rented out from private individuals. Around 11% of the households are renting out from the state including the municipality and social housing schemes subsidized by the government. The remaining “32.8% of the households in the city are woman headed and 3 737 households are headed by children below the age of 18” (Ekurhuleni IDP, 2018/2019). The average annual household income within the City is R 29 400 which is about the same in Gauteng province and South Africa. This trend may have improved since 2011. The city is currently reviewing its indigent policy to look at different income categories and rationalizing the provision of free basic services. In relation to household goods, 93% of households have access to a cellphone and 82% to a television. Only about 37% of the households have access to a car. The City of Ekurhuleni has taken the responsibility “to provide about 100 000 housing with the associated infrastructure by 2021 for the residents of the city working in collaboration with the Gauteng provincial government” (Ekurhuleni IDP, 2018/2019:12).

The Ekurhuleni IDP 2018/2019 further reports that the economy of Ekurhuleni is dominated by four sectors: manufacturing, finance and business services, community services and general government and to a lesser extent the trade and hospitality sector. The EEM IDP (2018/2019) reports that for the past 15 years, there have been major structural shifts in the economy with a decline in the ‘manufacturing sector which dropped from 30.3% in 2000 to 22.7% in 2015 and a comparable increase of the contribution of the finance and business services sector which increased its share from 14.8% in 2011 to 21.3% in 2015’. The continuous decline of the manufacturing division is a big issue for the municipality and hence the regeneration of the manufacturing sector in the study site is a key strategic focus area for the municipality.

The number of officially “employed people in the City of Ekurhuleni counted is estimated to be 1.03 million in 2015, which is about 86.71% of total employment, while the number of people employed in the informal sector counted 158 000 or 13.29% of the total employment” (EEM IDP, 2018/2019). Informal employment in Ekurhuleni increased “from 128 000 in 2005 to an estimated 158 000 in 2015” (EEM IDP, 2018/2019).

In 2015, the unemployment rate in Ekurhuleni (based on the official definition of unemployment) was 29.72%, which showed growth of 0.868%. Ekurhuleni’s unemployment rate has been increasing from a low of 26.6% in 2006, to 29.7% in 2015. The community members employed in the City of Ekurhuleni dropped to 1 190 000 in the second quarter of 2015 coming from 1 161 000 of 2016 second quarter (EEM IDP, 2018/2019).

The poverty rate in EMM is high due to the high rates of unemployment. Many people were employed in the manufacturing sector and when it declined most unskilled and semi-skilled employed in the industry lost their source of income. According to EMM IDP (2018/2019) the poverty rate in the area in 2015 for example totalled 1.21 million of people living in poverty when using the upper poverty line definition, across the municipality. Many people in Ekurhuleni particularly Payneville the study site are in the informal sector where they eke a living and live on a hand to mouth daily.

The Ekurhuleni IDP (2018/2019:12) reports a “decrease in the number of people without any schooling from 2005 to 2015 with an average annual rate of -4.83% and the number of people who matriculated has also increased from 538,000 to 818,000”. The amount of those with 'matric and diploma certificate' has grown with an average yearly rate of 4.82%, while people with a 'matric and a Bachelor's degree is increasing with an average annual rate of 6.33%. The EMM IDP further reports that there is improvement in the level of education which is visible with an increase in the number of people with 'matric' or higher education. Ekurhuleni has also made strides in the education sector as it has awarded a total of 511 bursaries to learners. These bursaries are approved through the Ekurhuleni Community Bursary and Scholarship Policy.

According to the Ekurhuleni government (2020) it has built a total of 14 781 houses that were distributed to between 2011 and 2016, but the demand for housing is still high. The growing need for housing as a result of rapid population growth has led to implementation of innovative and expanded approaches to housing provision. Ekurhuleni works in partnership with private and public sector for housing provision to fast-track provision and improving inclusion on housing within private sector driven developments. Ekurhuleni and its partners have packaged the releasing of private sector development opportunities within IRDP and flagship projects on municipal land. This has required improved function in interdepartmental organisation as well as the strengthening and support of CoE social housing institutions to attract additional investment in the delivery of affordable rental.

Schalkwyk, (2010) reports that due to the growing population in Ekurhuleni, the municipality zoned Payneville to construct residential houses for the community. This area is one of the previously deprived areas which was marginalised for years by the EEM (Ekurhuleni Annual Report, 2012-2013).

The Ekurhuleni (2020) reports that EEM owns more than 60 kilometers of land and it was given for a township housing development. When the property was permitted it consisted more than 750 (plot of land

for urban development), which did not recognized other fundamentals of the location like parks and streets. The land was designated for residential area 1 as per the Springs Town Planning Scheme (1996). The current “zoning allowed/permitted erection of one dwelling house per stand and sub-division of any stand with the area provided that the subdivision shouldn’t be less than 40% of the stand” (Smith, 2016:2). During the year 2012, EEM exercised their influence under section 92 of the Town Planning and Townships Ordinance, (15 of 1986), “the acting area manager of the City Development approved the sub-division of the number of the erven in Payneville which allowed an additional 363 erven, and all additional erven were zoned residential one because there was no amendment to the zoning under the scheme” (Schalkwyk, 2010:1).

Africa Report, (2016:1) reports that “EEM secured funds to complete the construction of the low-cost housing hence the study aimed to understand levels of community participation during the development of the project that took a number of years to come to light”.

The Ekurhuleni government (2020:19) demand for “a cleaner environment has also demanded the city to make strict measures in order to enforce spatial governance while working towards developing solutions that will meet both demand and spatial justice in EMM”. Land management has become a focal point to planning as a means to monitor land invasions, escalating of new informal settlements are put in place. Intensive efforts have been made to improve service provision particularly in the informal housing and promoting effective supervision of municipal owned rental properties.

#### **1.4 Significance of the study**

The research aimed to discover the outcomes of community engagement in delivery of housing. The research was based in Payneville Extension 1, Ekurhuleni Metropolitan Municipality (EMM). The research also examines the significance of communities, government, and municipalities’ involvement in housing delivery. The study could help EMM and its communities a chance to participate in making of decisions on housing provision and their quality of lives. The study could assist the researcher to realise other central aspects for the study aim and further educational perspectives that could be used by other researchers in terms of participation in the provision of housing. This research study could be useful to researchers and practitioners as it could enable them to gain an insight on the link between housing provision and community involvement. It has been established that “there is more to housing provision than just a shelter to call a home” (Binns and Dixon and Nel, 2012:178), by “understanding other elements

that contribute towards community development through housing provision.” The research claims that learning about other issues that affects housing provision could help the government to address some of the current challenges that South Africa is facing regarding housing and backlogs that most municipalities such as Ekurhuleni face.

The outcomes from the study could also be useful to the government of South Africa, research organisations, policy developers and private subdivisions, as they may find ambiguities that can be employed to enhance service provision of housing in Payneville Extension 1. Above all the study could add value to the existing body of knowledge on stakeholder participation not only in the provision of housing but also other services. The results of the research may also encourage national debate and influence other research which could influence policy on fostering children from diverse cultural backgrounds. This study could broaden the sub-field of law on foster care.

### **1.5 Problem statement**

The lack of community participation in community projects has had a negative impact on projects. It is thus imperative that communities participate in projects that benefit them. According to Mwiru (2015) community involvement is the process in which individuals and everyone in the community take charge of their own development. It is a dynamic process or procedure where the locals are in the forefront of the processes of development, part-take in making the decisions and valuation of development strategies, which is connected to community enabling and promote the utilisation of local capital. Partaking in development is normally viewed “in relation to development programmes, and this is often about strengthening their standards, resources, and relevance” (Marzuki, 2015). Participation should be perceived in terms of people’s will and understanding to decision making at all levels of development processes, beginning with the conceptualisation and probability studies, planning, implementation, supervision and evaluation to reporting stages (Chirenje and Giliba and Musamba, 2013). The South African democratic government has made significant improvements in meeting some of these challenges (redressing spatial planning and separate development) since 1994. However, “there is still more work to be done particularly in facilitating housing provision in various parts of the country” (Human Settlements, 2017:17). The Public service commission (2009) contends that the service provision challenges results from poor citizen involvement in communities as first stakeholders and beneficiaries. The corruption in the process “of distribution of housing, delivery of housing in South Africa is politicised and it is contentious” (Reddy, 2016:24). In addition to the problem statement the study is also rooted in the

following hypothesis:

### **1.6 Hypothesis**

The Human Settlements Department does not engage or involve participation of stakeholders in all the stages of the project. The lack of stakeholder engagement and participation in the delivery of housing projects limit communities' ownership of completed and successful projects.

### **1.7 Aim of the study**

To understand the lack of stakeholder in the delivery of housing processes in Payneville Ext 1 at Ekurhuleni Metropolitan Municipality.

### **1.8 Objectives**

- To examine the level of community participation in the housing delivery processes in Payneville Extension 1, Ekurhuleni Metropolitan Municipality.
- To explore the factors in favour and against community involvement in the delivery of housing.
- To identify and evaluate strategies used towards enhancing community participation in housing provision at Payneville community.

### **1.9 Research Questions**

- What is the level of community participation in housing provisioning in Payneville?
- What are the factors in favour and against community participation in housing delivery at Payneville?
- Which strategies could be employed to enhance community participation in housing provision at Payneville?

### **1.10 Chapter structure**

**Chapter one** introduces the research and gives a general plan of the study problem. It presents the background of the study, the location of the research and the importance of the study. The chapter also

presents the problem statement, the aim of the study, objectives and the research questions.

**Chapter two** presents the literature reviewed in order to establish the importance, significance and scope of community involvement in delivery of housing. The chapter defines the meaning of housing. It also draws empirical case studies from international precincts of housing in Europe, North America and Africa. The chapter also focuses on human settlement in South Africa in the course of the apartheid period and housing delivery after apartheid. This section includes a theoretical/conceptual framework and end by discussing involvement in housing provision, the participation strategy and the ability strategy to participation.

**Chapter three** presents the research methodology used to obtain data as well as the research process used for data collection. The chapter discusses the data collection instruments used which included interviews, observation, and document analysis. The chapter also discusses the type of analysis employed to analyse data. It finally presents the code of ethics followed during data collection.

**Chapter four** presents the findings and analysis of the study.

**Chapter five** summarises and concludes the study and also provides recommendations that can improve stakeholder participation in the provision of housing.

The next chapter presents the literature that underpins the research study.

## CHAPTER 2: LITERATURE REVIEW

### 2.1 Introduction

This chapter presents the literature reviewed for this study. The chapter presents the conceptualization of housing and types of housing globally. It also traces the history of delivery of housing during apartheid South Africa as well as post-apartheid. The chapter also presents the housing policy in the South, including the challenges faced by the Human Settlement Department in providing shelter for all as stipulated by the Constitution of 1996. It also presents participation as the theoretical framework that underpins this study.

### 2.2 Conceptualization of housing

Housing is an important aspect of life that provides shelter, safety, and warmth, and a place to rest. There are different definitions of housing concepts the world over. For instance, in Norway, the concept of housing is used together with forms of housing-related to types of housing (Nordic Council of Ministers, 1998). Compared to health and education delivery, the government tends to not fulfil its mandate as the provider of housing (Tergerson, 1987). The housing is considered as “the wobbly pillar under the welfare state” Sidelska (2014 cited in Henilane, 2016: 168), on the other hand, has a completely different outlook to housing, which she refers to as real estate, which could be industrial non-residential building or used for living purposes. In general, Europe defines housing or dwellings as a group of mutually related premises that are physically separated from the environment, consisting of rooms suitable for independent living. The Majoklu pamatnostadnu projects cited in Henilane (2016: 179) defines housing as;

Both individual family house and apartment, living rooms in hostels, in social care centres, etc. Housing consists of one or more rooms and auxiliary premises. Housing is intended for living all year round...

There have been many definitions of housing, depending on the politics and economic context of a country. There are various concepts related to housing dwellings, including low-cost/inexpensive housing, social housing, subsidized housing, and sub-standard housing. These concepts are individually defined. Henilane (2016:171) refers to “inexpensive to relative production costs, meaning that market prices determine the rent for the dwelling without considering the income of the tenant.” According to the Social Housing Institutions National Housing Code (2009:17), “social housing is a rental housing option for low-income earners at a level of size and built which requires established management and which is provided by an accredited.” Social housing includes houses and apartments where the buyer or tenant does not pay the

full purchase or rent. Watts and Smets (2017:1) inform us that social housing estates tend to be developed by the municipality or council or by voluntary housing sectors. These authors further state that the various housing sectors are prominent in various Northern European cities and to a smaller extent in North American and Australian cities in the twentieth-century urban landscape. Watts and Smets (2017) further note that “these estates were exclusively built as part of earlier urban renewal developments, as part of the (slum clearance) agendas during the post-World War II heyday of the Keynesian welfare state”.

In Europe, social housing is a type of public and restricted profit rental housing, often similar to subsidized housing. However, subsidized housing is where the government supports the rent and tenants pay much less rent (Peppercorn and Taffin 2013). Finally, the other accommodation type is sub-standard housing, whose quality and comfort level is lower than the defined standards. This type of housing is not equipped with all amenities (Donner cited in Henilane, 2016). It is, however, defined differently in each country. SARC (2013) states that housing that meets basic building regulations and standards and cultural interpretation of tenure security are important factors of decent standard or quality of living. Hence, the World Bank (2016:23) listed seven factors associated with housing development: “development of housing finance system, property rights, infrastructure improvement, targeting subsidies, and regulatory audits to eliminate obstacles to development, appropriate institutionally loaded reform, and improved organizational competition the industry”.

### **2.2.1 From housing to human settlement**

The concept of housing has now evolved to human settlement. UN-Habitat (2013) describes the human settlement as a concept that embraces social and physical components and has two components: the human group and the groups habitual. Unlike housing delivery, human settlement delivery is based on three key concepts critical in the development of human settlements (Hamdi, 1993). Hamdi (1993: 3) lists three concepts of human settlement as “1) redevelopment with the urban renewal as its focus, 2) the integration of site and service schemes where social and economic opportunities are integrated with human needs, and 3) in situ-upgrading that includes the provision of water, electricity, sanitation, and drainage as these are vital elements in the development of human settlements”. Hamdi further points out that these three concepts form the basic framework of human settlement delivery. Joseph and Karuri-Sebina (2014) assert that housing provision has shifted from emphasizing building houses to integrating access to material resources and opportunities that expedite effective involvement in the social and economic fabric.

According to Kellet and Moore (2003:45), “housing and human settlements are at a confluence of physical (shelter and accommodation) and as a symbol of home, belonging, citizenship, and resources, including socio-economic rights”. UN-Habitat (2013) views human settlements as not just roads, houses, and other infrastructure, but also social relationship sites.

### **2.3 The global housing sector**

Watt and Smets (2017) note that traditionally, industrialized cities in Northern Europe such as the Netherlands, Denmark, the former West of Germany, France, Austria, and the United Kingdom were a large social housing development. The housing delivery was not special but was in the form of monotenure manors, the heartlands of social housing regarding capitalist societies (Watt and Smets, 2017). In other cities like London and Amsterdam, “the estates were located directly in the inner-city perimeters. In contrast, in other cities such as Glasgow and Edinburg, the estates were built in suburban edges, on the outskirts of the major Scottish cities, and in West German in Cologne Dusseldorf” (Urban, 2012; Turkington and Watson, 2015; Watt and Smets, 2017:19). The estates were built at a time of considerable optimism in Northern Europe and North America in town development and modern architecture. The “capacity of welfare states to establish and control massive housing developments” (Campkin, 2013; Watt and Smets, 2017:18).

While social housing and subsidized housing for low income and poor populations was the norm in the western world, all changed during the financial crisis in 2008. Aalbers (2016) notes that the financial crisis is linked to housing failure in North America and Europe. The crisis was behind homeownership and asset-based welfare. The states failed “to regulate high-risk lending, which fuelled sustainable housing boom and toxic asset bubble in housing backed by financial instruments” (Aalbers, 2016:28, Basco 2019). Beswick et al (2016) also note that the financial crisis caused the housing crash, foreclosures, and loss of houses particularly in the USA and Spain were people were hardest hit. Farha (2017) and Rolink (2014) highlighted the depressing range of lived experiences of loss of shelter in Europe and America.

Wetzstein (2017) reports that the increasing housing prices related to wages and incomes in both developed and developing countries have made housing unaffordable. The author further argues that steep housing prices have led to homelessness and residential instability for low income owners and renters. Bardhan, Edelstein and Kroll, (2012) note that the housing market is dysfunctional and displaced both low- and middle-income households from high value areas. Fields and Hodkinson (2018) argue that

declining political willingness and fiscal constraints have seen countries producing policies that make housing less affordable and less secure for many parts of society. Madden (2017) adds that this situation is a classic example of how these hostile policies make housing less safe for those who dwell in them. Madden gives an example of the Grenfell Tower in London, which caught fire with fatalities reported. To solve housing challenges, particularly in the United Kingdom (UK), an increasing number of people share (Heath, Davies, Edward and Scicluna 2019). The authors refer to this set of living as a changing definition of housing in which non-kin or multigenerational kin share dwellings. Heath et al. (2019) note that shared housing and lives have become common in the UK.

### **2.3.3 Latin American case studies on housing**

Similarly, Latin America's European, and American housing situation faces challenges in providing houses for the low-income and the poor. The biggest challenge is housing policy, which constantly changes according to the political party in power. For example, Chile is faced with housing challenges, particularly in the city where many low-income migrants work on the mines from the Caribbean islands (Contreras, Neville and Gonzales 2019, Contreras 2015). Contreras *et al.*, (2019) further argue that this has led to a gap between demand and supply for rental housing subletting and home ownership, resulting in a highly speculative market. In their study on housing policy issues in Chile, Contreras et al (2019) argue that spaces occupied by migrants and foreigners in particular under the neo-liberal conditions in the housing market reflect the inequalities that these groups of people face in accessing even the peripheral, pericentral and central parts of the cities. This also revealed that housing demand has witnessed an increase in the informal settlements and highlights how self-built housing has become an alternative for migrants to access housing.

Private-led, profit oriented and racist and social segregated housing market in Chile has consolidated the city (Contreras et al 2019, Rolnik, Pereira, Moreira, Royer, Iocovine Nisida and Ross 2015). In their study in Chile on condominiums as an answer to social housing, Vergara, Gruis and Van der Flier (2019) found that although this type of housing was an answer to social housing, it has deteriorated and devalued due neglect and lack of maintenance and policy change. Vergara et al (2019) argue that lack and in some instances weak government support in managing the houses has led to the negation of repairs. The authors argue that while ownership of property leads to material progress, security, and income opportunities to cope with poverty, the benefits tend to depend on homeowners' ability to keep houses in good condition. Elsinga and Hoekstra (2005) conclude that lack of maintenance leads to low income house owners

experiencing unsuccessful ownership that prolong poverty. Another challenge discovered by Donoso and Elsinga (2016) is that individual and collective needs tend to affect maintenance, increasing additional challenges on condominium estates.

The housing situation in Sao Paulo, Brazil and Bogota, Colombia is a little different from the Chilean experience. Magarit and Bijit (2014) report that these two countries were the pioneers in the conception of inclusionary housing policy which uses urban planning tools to deliver low cost housing by taking note of the land value generated by real estate ways of workings. What is impressive about inclusionary housing policy is that the state utilizes urban resources such as land reserves, including people who require land building rights or financial capitals to go to private builders who are prepared to produce reasonable housing (Magarit and Bijit (2014).

### **2.3.3 Housing in Africa**

Croese and Pitcher (2017) observe that there has been an overnight increase of satellite cities and per-urban development in for example Beijing, China and Luanda, Angola to house the emerging middle classes. Croese and Pitcher (2017) further note that in addition to those urban areas, cities like Addis Ababa and Dubai for example, have witnessed city building projects that showcase resource wealth by building showcase houses and other infrastructure. African cities are caught up in this rapid rush of development however lack of economic dimension, political commitment and administrative direction are some of the main obstacles to the provision of housing in Africa. Kiganda (2016) observes that housing challenges in Africa are massive due to improved development brought about by the service increase and growth in number of people among other issues. UN-Habitat, (2018) reports that Africa's landscape is turning into an urban environment at 4% per year. UN-Habitat further state that more people are moving from rural to urban areas resulting in urban challenges such as over population and an increase in misconduct. The rapid financial and residents growth rate "of \$1 billion reveals that Africa is urbanising quickly and more than any place in the world. Big cities in Africa makes about \$700 billion per year concerning the continent's GDP and it will rise to 1.7 trillion in 2030" (UN- Habitat, 2018:33).

El-had, Faye and Zekebweliwai (2019) argue that the housing sector in Africa is under-performing and continued urbanisation puts pressure on governments and their response has been inadequate. The authors further point out that the housing sector in Africa is characterised by informal settlements, lack of security tenure, non-working urban economies and a construction industry without large scale capacity and

appropriate system. Although African governments are aware of the significance of housing in economic development they still lack the foresight to produce policies that can uplift people's lives.

Croese and Pitcher (2017) observe that South African cities including other cities in the developing world are swollen with challenges as they attempt to accommodate rural migrants and foreigners looking for better opportunities and services. African governments have embarked on master plans but Elleh (2017) criticizes the excess plans in cities such as Abuja, Nigeria which do not consider low-income dwellers. Muindi (2016) and Watson (2014) point to the grandiose urban plans, including infrastructure expansion in Kigali, Rwanda, Addis Ababa, Ethiopia and many other African cities that fall under government policy objectives. Scholars like Didier et al (2012) point out to neo-liberal interests in constructing city improvements districts particularly in South African cities.

Although African governments seem to be embracing democracy, they remain authoritarian (Brownlee, 2007). There is a hierarchical undemocratic system in urban policy formulation, policy results and aims behind city buildings and distribution of goods including housing determined by a government's policy goals and objectives (Brownlee 2007). In his study on the delivery of housing in Egypt, Blaydes (2011) found that corrupt state officials often hijack policies for their own benefit and interests; a situation ignored by citizens as they are not involved in decision making processes. Blaydes (2011) further notes that urban residents are displaced by authoritarian made conditions which residents ignore as they tend to move back to their former residences after resettlement. State led housing delivery under authoritarian governments reproduce their dominance (Blaydes 2011, Letsy and Way 2010, Slater 2010). African governments tend to forcefully remove informal settlers from slums and markets and resettlements in poor peri-urban areas to realize their objectives (Slater 2010). The author further points out that authoritarian governments 'order power' through conscious construction of and control over urban space. Rwandese and Ethiopian governments for example have embarked on urban renewal and the provision of housing to pursue political objectives (Goodfellow in Croese and Pitcher, 2017). In Ghana, housing delivery has to do with affordable housing for decades scuppered by political interference (Senyah, 2015).

Croese and Pitcher (2017) point out that housing policies in Africa are exclusionary and are constantly changing thereby limiting desired urban social political and spatial transformation. These authors further argue that Angola is resource rich but has been run by the same authoritarian political party since 1975 which is typical of African countries. Angola is witnessing a boom in city projects, excluding areas outside

Luanda (Croese and Pitcher, 2017). Ghana, for instance has inadequate supply and poor quality housing (UN-Habitat 2011, Croese 2016) UN-Habitat (2014) estimates that 86, 5% of the urban population in Luanda lives in informal settlements, a percentage which is 30-40% higher than the informal population in Dar es Salaam, Nairobi or Lusaka. GoA (2016) reports that 7 million people, a quarter of the Angolan population, live in Luanda. This highlights that the demand for housing is high in urban areas in Luanda and other African cities. Like other African governments, the Angolan government's housing provision is based on maintaining the status quo and guaranteeing the ruling party's survival. Simultaneously, it attempts to meet the needs for decent shelter selectively (Croese and Pitcher, 2017).

## **2.4 The provision of housing during apartheid**

This section traces the history of housing delivery under apartheid. The provision of houses was based on racially separate urban planning. In South Africa, during and post-apartheid, the housing segment has been a controversy. The elimination of the black people to access housing has led to poverty and unemployment. Marais (2005) reminds us that under apartheid, the housing policy and practice had a direct spatial intent. The apartheid spatial planning and housing delivery was employed as a tool to divide people along with racial and ethnic groups of settlements. Marais (2005) further argues that black people largely lived in homelands, with some staying in dormitory towns built around homelands or adjacent areas.

Throughout the apartheid period, there were laws that prevented the blacks to live or stay in chosen white zones instructed housing separation, but only resided in chosen black towns or poor rural districts not industrialised as the white areas (Tutu, 2012). Under apartheid, many black South Africans could not access decent formal housing (Palmer, Moodley, and Parnell, 2017).

A number of "adequate housing was given to Africans, with awkward legal occupancy obligations in urban arrears being conditional on urban employment and long rental agreements. Still, it was never allowed to purchase or have private homes, thus led to population and congestion in those black communities" (SAHRC, 2013). The Urban Areas Act of 1923 was enacted to push Africans into designated areas further. Under this act, urban dwellings were mainly hostels built-in townships as single room dormitories to house migrant workers who have permits to work in the city but did not have permanent settlements rights (Hyatt (2016).

### **2.4.1 Current housing in South Africa**

The Constitution of 1996 “attaches the right to adequate housing to the state's responsibility to achieve this right's progressive realisation” (Republic of South Africa 1996:12). The constitution provides the provincial government responsible for the built environment, infrastructure and spatial form of urban areas (Palmer et al (2017: 130). The authors point out that substantial social benefits are linked to having decent shelter in urban and rural areas. Fiew and Mitlin (2017) argue that the bitter experiences of apartheid are linked to shelter and citizenship adding to the concept of home. Hence post 1994 the democratic government committed to addressing housing needs through a large-scale capital subsidy programme (Fiew and Mitlin 2017). The democratic state received insurmountable housing disputes (Huchzermeyer and Karam, 2016:87), and a “massive rural/urban migration further compounds these challenges.’ Owing to the country’s separate spatial planning and history of excluding blacks from economic and spatial spheres, housing for the formerly marginalized has become an urgent issue.

The political developments of 1983 introduced black local councils to allow for some homes to be sold to partially or rented to black people by the state, as the black majority try to raise revenue from the underprivileged black people, the local governors in the townships became the places for political contestations (SAHRC, 2013). Palmer et al (2017) note that before the end of apartheid, the state made some effort to provide a relatively significant number of quality houses to a few eligible urban blacks. The provision of the houses was however based on site and service development on the edges of cities. It was a panacea to increasing rural-urban migration of households looking for better opportunities (Palmer et al., 2017). The African National Council (ANC) (1994) estimates that 50 000 houses were built in 1992, a figure that increased after the introduction of the Reconstruction Development Plan (RDP).

The ANC (1994) noted that the housing problem created by apartheid, together with limited capitalist housing markets were also aggravated by the absence of a sound policy on national housing. Hence post 1994, the democratic government emphasized changing the dire housing situation through service provision for all, through the IDPs (Integrated Development Plan) to permit local government to examine service supply projects (SALGA, 2009/2014). The IDPs' purpose was sustainable housing settlements, located close to job opportunities and social services (SAHRC fact sheet, 2016). SAHRC (2013) informs us that “informal settlements had become a debated issue as some of the located lands for development was in inappropriate sites but close to livelihood opportunities”.

The continuation of apartheid geographical location and spatial planning is still seen as a major concern (SACN, 2014). The National Development Plan (NDP) admits that “the country is still to document its objectives of ensuring that it ends apartheid spatial geography through land reform, suitable public

transport infrastructure, and supports of a business that uses local resources and local standards while urban areas are still separated along racial lines, which deny spatial fairness to most of the black communities (SAHRC, 2013:31). Hence the ANC (1994:23), in its land reform program, insisted that the RDP should ensure that “all South Africans have the right to a safe place to live in peace and dignity as housing is a basic human right”. The homeless had to have priority in the distribution. The ANC stipulated that:

Land for housing must be suitably located geologically, environmentally, and concerning economic opportunities and social amenities. The democratic government must intervene to facilitate access to such land. Land speculation must be prevented, and land monopolies were broken up. Land planning must involve the communities affected. Land taxes and zoning should promote urban development patterns consistent with RDP objectives (ANC 1994:24).

Several interventions were planned to address the housing issue (Palmer et al. 2017). Over time, the Independent Development Trust (IDT) was initiated to launch Capital Subsidy Scheme to bring significant transformation in the housing landscape (Palmer et al., 2017). The authors further note that the scheme had three objectives: to rollout low-cost housing with an emphasis on site and service product, involving the private sector in the low-income housing market and applying a uniform subsidy per household, and paying the developers when title deeds were registered in the name of beneficiaries. However, RDP became the most significant of all the plans (Palmer et al. 2017).

Private sector developers were roped in to participate in the RDP housing's early phases, becoming the most significant housing program (Palmer *et al.* 2017). In South Africa, “partnerships between various sectors within the government, communities, and the private sector are imperative to establish effective housing delivery strategies” (MTSF, 2014-2019:5). This is regarded as “a fundamental requirement for the sustained delivery of housing at a significant level in the history of South Africa, which requires all departments and parties involved not to contest for their rights but to acknowledge their responsibility and to do their part for the benefit of the this Nation” (MTSF, 2014-2019:8). Thus, the NSSDI's (2011-2014:12) goal was to “effectively have strong housing delivery strategies needed to deal with the creation of a public environment conducive enough to attract private investment in the country.”

The South African government had to shift full direct housing building to deliver an environment for the public sector and private corporations to provide a more efficient and cost-effective housing construction (NDP 2030, 2017). If given the “same number of budgets allocated to government agencies, private

companies were more likely to be effective and responsible in building more reasonable and sufficient housing than the Government, considering high levels of corruption in the Government sector” (NDP 2030, 2017). The ANC (1994: 25) asserted that “government funds and private sector funding must be blended to make housing finance affordable.” The government “adopted and pursued delivery strategies motivated by cooperative Public-Private Sector Participation” (Mukhtar and Amirudin and Sofield and Mohamad, 2017:158). The adoption of the RDP saw the increment of housing for the poor. However, the houses' uniform pattern has been criticized as being unsuitable, especially through the use of private developers who are alleged to be building unsuited RDP type housing delivery (Palmer et al, 2017).

## **2.5 Types of housing**

This section briefly describes the types of housing in South Africa. As mentioned earlier, the end of apartheid saw the government of the time emphasizing site and service schemes (palmer et al, 2017). According to the authors, the housing developments were to support households and structure under the IDT in the four provinces. The World Bank (2016) noted that the IDT Capital Subsidy Scheme quickened housing delivery rate, including in-situ upgrade projects.

### **2.5.1 Public housing**

Researchers for WCDHS (2013) observed the site and service subsidies for houses, they indicated that the sites were not occupied because people could not afford to top up for the structures and the land was poorly located. Palmer et al (2017:282) dispute this observation because one of the authors was directly involved in managing IDT’s Capital Subsidy Capital. Palmer et al (2017) argue that the location available provided best housing even though it was on the city's margins. The ANC government focused on providing full housing units through the RDP instead of incomplete structures delivered by IDT. Nell et al (2011) claim that the subsidies for each household were increased. The country saw a total of 3.3 million public houses built between 1994 and 2013 (Nell et al 2011; 1994-2007, FFC, 2013; 2010-2012, Rhizome Management Services 2013). Thirty-four percent of RDP's original beneficiaries still reside in their allocated RDP houses (Tissington et al, 2013).

### **2.5.2 Informal settlements**

While subsidized houses and RDP houses addressed the housing issue, most beneficiaries felt disempowered as their participation was tokenism (Pithouse 2008). The poor who lived on the periphery of the cities hurt households and communities (Cirolia, Gorgens, van Donk, Smit and Drimie 2016). This was due to the relocation process (Smit et al). The RDP and other housing schemes intended to cut down on informal settlements but actually saw the multiplication and expansion of informal settlements in urban areas (Cirolia et al 2016).

Informal settlements, slums and squatter settlements refer to poor quality houses without sanitation (UN-Habitat 2003). The UN defines informal settlements as those settlements occupied illegally with the houses not meeting planning compliance. Cirolia et al, (2016) define informal settlements as locations where the occupiers do not have tenure to secure their homes, have no proper houses and services. Huchzermeyer (2008) claims that although informal settlements are technically squatter settlements that definition is avoided in South Africa as it has negative implications.

The Housing Development Agency (2013) reported that there are 1.2 million households in the informal settlements with 80 percent of them in the urban areas. Although the living conditions are poor, 78-99 percent of informal dwellers interviewed by HDA were happy to call their shacks home. The increasing number of informal settlements has put an impetus on the government to upgrade them. This will be discussed under housing policy section.

### **2.5.3 Backyards**

Cirolial et al (2016) define backyard housing as informal rental accommodation in the form of a shack located at back of the formal house. Palmer et al (2017) claim that the provision of single houses on large plots created an opportunity for house owners to build rentals at the back of their yards. Palmer et al (2017) note that backyard houses are built from corrugated metal sheeting or timber and receive water, sanitation and electricity from the main house. Cirolia et al (2016) add that this is a common type of rental accommodation in South Africa's larger cities and can also be found in inner-city blocks, flats especially in dilapidated buildings most of which have been hijacked also known as bad buildings in Johannesburg or problem buildings in Cape Town where the poor rent. StatsSA's (2011) estimate that 1.14 million households reside in backyard units (422 849 units). While backyard shacks play a significant role in

providing affordable better accommodation, South African municipalities view them negatively. For instance, municipalities view backyard shacks as an eyesore (Charleton et al 2014).

Municipalities have (at best) ignored backyard dwellings, seeing these units as transitional and (at worst) demolished these units and additional structures accommodating land uses such as spaza shops and hairdressing salons. Local's authorities and traditional leaders "have justified demolishing backyard units by citing concerns such as overcrowding and over-use of infrastructure beyond thresholds. It was designed; perhaps underlying all concerns is a pre-occupation with these additional uses as 'a corruption of modernity order'" (Charleton, in Palmer et al 2016:240).

The local government has seen the benefits of backyard dwellings hence many programs have been adopted to improve these dwellings (Rubin and Garder 2013). A few models have been designed through backyard policy. For example, Gauteng has a backyard rental pilot that aims to upgrade and formalize housing units while Cape Town focuses on improving backyard rental conditions (Gardner and Rubin 2016).

#### **2.5.4 Social housing**

In South Africa, social housing focused on providing affordable housing under the Social Housing Programme (SHP) utilizing a separate subsidy from the subsidy capital scheme I (Tissington et al., 2013). The Social Housing Regulatory Authority (SHRA) reported that it delivered 165 000 houses (Palmer 2017). On the other hand, 95 000 houses were delivered through social housing agencies with the remaining provided by different project subsidies such as institutional subsidy and through public rentals by municipalities (DPME, 2014). In Cape Town, for example social housing consists of multi-story affordable rental housing for the low-income residents. This social housing saw over 12 000 households relocated from informal settlements through the N2 Gateway project (COHRE, 2009). Social housing has delivered houses at a small scale but has contributed to reducing housing backlog in the cities and areas that were once under white authorities (Tissington et al., 2013, Palmer et al 2017). Palmer et al (2017) note that houses that used to be rented in the townships formerly run by white authorities have since been transferred to their former tenants.

#### **2.5.5 Rural housing**

Rural housing benefitted from the rural policy (Cirolia et al 2016). The World Bank (2014) claims that the rural population in South Africa grew from 17.5 million to 19.2 million from 1994 to 2013. Half (50 percent) of this population is said to have lived in formal housing (Central Statistics Service, 1998). Palmer et al (2017) reported that this population grew by 18 to 68 percent in 2011. This meant that 1.1 million rural households have been provided with formal housing since 1994 (Palmer et al, 2017). The authors further argue that the delivery of houses in the rural areas saw traditional structures replaced by formal housing.

## **2.6 Housing policy in South Africa**

The state of housing policy under apartheid was repressive (Jenkins 2002). Housing was one of the primary tools used by the apartheid government to effect policy of separate development and segregation hence all cities under white authorities fell under separate housing policy. However, a new housing policy was negotiated from 1991 leading up to 1994 elections. The policy was ‘developed by a group of institutional participants in a National Housing Forum’ which represented and recognized political parties like the ANC, the civil society, the building construction and material industries, the financial sector and NGOs (Rust and Rubenstein, cited in Jenkins 2002: 115). Jenkins argues that the forum involved the most powerful lobbyists.

### **2.6.1 The Reconstruction Programme**

The RDP policy was one of the first housing policies focused on the socio-economic challenges that most South Africans faced in urban areas (ANC, 1994). Thus, the RDP set out to address the historical inequalities by adopting a strategy to reconstruct and develop the country equally. The RDP established a Housing Department that consolidated the existing disjointed provision of housing (ANC, 1994). The ANC advocated for partnerships with the public and private sector to work together in delivering quality housing.

Many observers were however critical of the RDP. The critiques of the policy applauded the state's success with regards to the provision of housing, design and implementation but cited the problems brought about by the RDP (Charlton and Kibato in Cirolia, 2016; Tissington, 2011; Todes, 2003). Also, Harrison cited

Cirolia et al (2016:7) pointed out that RDP housing was producing urban sprawl. Cirolia et al (2016:7) commented that:

The housing delivery program, rather than spatial planning, was driving urban areas' expansion, and developers often took decisions about locations of projects without cognizance of available infrastructure services. These peripheral settlements' fiscal burden was increasingly borne by already struggling local governments, forced to extend and maintain a rapidly expanding infrastructural footprint.

The World Bank (2018:80) concurs with Cirolia et al (2016) by stating that human settlements programs in South Africa focused on the provision of houses while at the same time unintentionally perpetuating apartheid spatial patterns that left the poor at the periphery of urban areas with less economic opportunities. Thus the poor remain concentrated in older townships and newer housing developments on the urban margins where the land is cheaper (World Bank, 2018:80). How bigger municipalities (metros) conduct business after facing the above challenges documents show a clear policy shift from policy prescriptions of the RDP. The Housing White Paper (1994) and the Urban Development Strategy (1995) acknowledged the socio-economic challenges identified by the RDP the Housing White Paper in particular pointed to the 'constraints imposed by the need for fiscal discipline' as the state was unable to provide subsidies that made housing affordable for the 'lower end of the market' that are sufficient to cover delivery of formal housing to every South African who needs a house. The Urban Development Strategy (1995) on the other hand also pointed to the fiscal constraints with regards to delivery of municipal infrastructure hence it advocated for less spending on cities as it was not viable for the state to do so. Palmer et al (2017) concluded that the RDP-type of housing and its housing policy failed.

### **2.6.2 Breaking New Ground**

The abandonment of the RDP saw a new housing policy coming into play. In 2004 the ANC government launched Breaking New Ground (BNG) (Cirolial et al, 2016; Palmer et al, 2017). The BNG policy realized the need for a housing idea that was holistic (Cirolial et al, 2016). The authors argue that the BNG policy had noted that urban development for the poor in Greenfield projects was poor and insufficient. The BNG was an amendment policy which aimed at creating sustainable human settlements, while at the same time enhancing the quality and size of houses and the provision of more choice in housing typology and tenure in contrast to the uniformed RDP houses (Palmer et al, 2017). Tissington et al (2013) added that municipalities became key actors and were accredited to deliver houses in their respective jurisdictions.

The BNG policy shifted the way houses were delivered for low-income people by municipalities (Nell et al 2011).

The Department of Housing (DH) cited in Cirolia et al, (2016: 7) reported that BNG consisted of several significant new programs which aimed to extend the focus of the state included:

- The Upgrading Informal Settlements Programme (UISP). As a subsidy tool it affords the development of informal settlements. The program took in situ approach where housing units were built where the informal houses stood in the informal settlements.
- The Emergency Housing Programme (EHP). The EHP is an important tool used to provide emergency accommodation and temporary relocation. The program is an explicit acknowledgment of the state's responsibility to provide accommodation to displaced persons.
- The Integrated Residential Development Programme (IRDP). The IRDP succeeds the Project Linked Subsidy. It differs from the former as it advocates for developing mixed-income projects where fully subsidized, rental, subsidized-mortgages and market housing are developed jointly (Carolina et al 2016:7-8).

BNG policy shifted the housing process from developer-driven housing to municipal-driven housing delivery (Palmer et al, 2017). The authors add that through the BNG the role of the municipality changed as it took greater responsibility for housing expansion program. It goes without saying that the BNG also faced challenges similar to those of the RDP. Cirolia and Abrahams (2016) point out that there was no budget in 2009 including uneven political willingness and ambitious targets to deliver housing all of which disabled the envisioned radical change to housing delivery. Cirolia et al (2016:8) admit that there was 'minimal embrace of incremental, participatory and in situ approaches to informal settlement upgrading and lack of attention to institutionalization.' All these challenges contributed to the weakness of BNG and later its fall.

The government realized a need to develop houses to rent; hence it emphasized social housing, which was managed by the civil society (Palmer et al. 2016). The authors add that there was a success although on a small scale. The need for housing grew, and support was rendered, particularly improve the quality of backyard rentals (Rubin and Gardner, 2013).

### **2.6.3 The National Housing Plan**

The key housing policy developed further to include the National Housing Code in 2009, which contained the principles, guidelines and norms, and standards applied to the government's many housings assisted programs. This program shifted from the BNG-style of municipality-driven housing to RDP-type houses in the informal settlements, which encouraged developing a secondary housing market and providing subsidies within integrated areas.

The housing policy continued to shift, and by 2015, it was a double-edged sword. The policy emphasized 'incremental housing in well-located, serviced land with good social and community services, in-situ upgrade of informal settlements, and greater emphasis on self-help construction of top structures' foundation and structure excluded land and services' (Palmer et al. 206: 232). Under this policy, support was given to rental seekers in good locations (World Bank, 2016).

#### **2.6.4 The South African Constitution 1996**

The Department of Local Government and Human settlements (LGHS) is assigned by the Constitution of the Republic of South Africa, Act 108 of 1996, to ensure that beneficiaries of low-cost housing are provided with efficient housing that are able to lasts for a long period. For the LGHS to deliver suitable quality, "low cost housing development or program, it is imperative that LGHS design a policy that will guide the process that ensures the quality standard of housing, a policy that will guide the implementation, design, documentation, construct and completion of the development, a policy that will also insure that the development is not comprised in any occasion" (LGHS, 2018:15).

The Auditor General of South Africa has edged LGHS implemented a policy to make sure that the human settlement programs are implemented in the similar manner, quality, and efficiently ensuring a minimal waste of government capitals. The policy will provide LGHS with plans and methods to follow in housing development programs and within the housing project planning. It is also emphasized that "this policy should not be implemented in isolation, as several legislation and documents govern human settlement in development projects, which should be read in conjunction with this policy" (LGHS, 2018:15), such as the National Housing Development Policy (2000), Social Housing Policy (2008), South African Housing Policy (2012), RDP housing Policy (1994), National Housing Code (2009), Housing subsidy quantum (2017).

### **2.6.5 Challenges in the delivery of housing**

In general, significant strides have been made to realize the right to decent shelter enshrined in the Constitution of 1996. The World Bank (2018: 80) claims that 40 percent of the poorest South Africans now own houses. The World Bank also notes that as of 2016, there is a housing backlog of 2 million. Since RDP aimed at eradicating socio-economic problems caused by lack of decent shelter, the housing policy emphasized locating the poor closer to economic hubs while improving mobility to allow access to jobs (World Bank, 2018).

To address some of the housing policy challenges, the World Bank (2018) recommends that housing policy be integrated to transport policy. This could cut down on transport fees for the poor, who spend almost 40 percent of their gross earnings on transport (Kerr, 2017). Another way of ‘overcoming the spatial legacy of apartheid’ should include ‘inclusive urban planning, which lowers the poor’s living costs and gives them access to jobs. This could involve upgrading services and connecting households with opportunities for home improvements etc.’ (World Bank, 2018: 81).

### **2.7 Community participation in the delivery of housing**

Participation is defined as a way of including “people in community programs where they are in charge of projects in communities meant to address their own problems” (Zandbergen, 2014). People are normally perceived as inactive participants in development projects that are meant to improve their community, and they cannot be compelled to participate, but opportunities must be opened for effective community participation. However, “participation is important for community development; the desired outcome for community development is the improvement of livelihoods of the people, by empowering the quality of their lives” (Hickey and Mohan, 2013:12). Involving citizens in participatory governance has become the main ethos of municipalities. This implies that local communities should be involved and encouraged to participate for the local government to be held accountable by citizens (Palmer et al, 2017).

Participation is “key for community development because it is more than just setting up management and hope that they will work, but it is a long-term development method to attain human rights and for people to have their right to participate fulfilled” (Buckup, 2014). Participation emphasizes playing initiative in decision-making particularly among individuals who are often disregarded from the decision making processes that affect their own lives (Brander, 2015). Participation can be viewed in different ways,

including situations where people's views are considered on the "development of their communities, set goals and create plans of action around them, supporting the structures of the organisation and offer different services, when societies participate it encourages them to work together as one for their own benefit, and for them to create a sense of possession of their own programs" (Hickey and Mohan, 2013:17). The preferred product for community development through meaningful involvement does empower people and improve their life (Nikkhah and Hedayat and Redzuan and Ma'rof, 2009). It is not very certain to improve people's quality of lives without involving them on projects thoroughly (Piovesan, 2013). There are different forms, types and meanings of participation, Arnstein's (1969) ladder of citizen participation is significant in understanding the different levels of participation. These levels range from manipulation or therapy of citizens to consultation which may be seen as genuine participation. Arnstein's ladder of "participation shows that participation can be manipulated by those in power from the bottom to citizen control on top" (Hickey and Mohan, 2013:16).

Arnstein's citizen participation ladder specifies three main degrees of resident control: partnership, delegated authority and citizen control, partnership can be achieved through negotiation between those in authority and the community. Planning and decision-making are done and shared by the two mentioned stakeholders to ensure that partnerships in development processes avoid decisions being taken by those in power. Meaningful participation make sense once the citizens are enabled to have a say and partake in decision-making because when power is distributed across, the citizens would have control but if not offered power, those in power will always want to keep it. Those who do not have power want to obtain it by fighting those who have it (Tesoriero, 2010). When stakeholders negotiate the issue of power, it can result in to both partakers attaining a desired outcome over a project. However delegated leadership can be achieved if citizens are given more will power in voting because it automatically gives them more responsibility, power and control on their matters (Tesoriero, 2010).

Although participation is important to building motivated community, Fleming (2010) argues that it does not always lead to empowerment. It is argued that not all models of involvement can offer empowerment but the way in which empowerment is determined is key to power structure (Certoma and Dyer and Pocatilu and Rizzi, 2017). For instance while state-led housing delivery in Luanda, Angola uses democracy participation and citizenship rhetoric what happens on the ground is different as the government uses top-down delivery of housing only in the capital city and not across the country (Croese et al. 2016). Participation can also be "tokenistic in cases where communities are manipulated to thinking that they are

being involved in a project, only to notice that their involvement is to benefit those who have power, meaningful participation is crucial for the improvement of living conditions or livelihood” (Hickey and Mohan, 2013:54). Arnstein (1969) argues that “participation without redistribution of power is an empty and frustrating process for the powerless”. Thus promoting sound participation for the society should result in direct influence on made decisions, thus participation is vital for community growth (Courtney Purvis 2013).

When communities continues to get involved in their development projects, it strengthens their leadership ability, helps to understand the issue that concerns their lives; allowing the community to be in centre of decisions that affect their manner of living (Hickey and Mohan, 2013). Aigbavboa and Thwala (2011) state that communities can play various roles in promoting housing planning and development. If participation is well and correctly implemented, it should lead to long-term sustainability (Vogel, (2010). Taylor (2010:22) argues that “the choice of models, strategies, and types of participation should be made in consultation with the community members, with a common goal to improve the quality of life”. A classic example of a good function inclusive type of participation in housing development is South Africa. Cirolia et al. (2016) point out that architectural practitioners are collaborating with all stakeholders in the designing and planning processes of housing units.

### **2.7.1 Obstacles to citizen participation in housing**

Lack of community participation indicates the absence of partnership, development, and projects. Miranda (2007) points out that the absence of community participation in decision-making in the implementation of housing development is a major obstacle that can lead to failure in community development initiatives. For instance, the World Bank (1996) asserts that community participation is a way stakeholder effect development contributes to project design, influencing public choices, and holding public institutions accountable for the goods and services they provide. Hence Moatasim (2005) argues that when participation is used as an end to the development process it tends to be time-consuming. Often, it becomes difficult to justify the budget as more money is needed.

In the study of community participation for housing development, Agbavboa and Thwala (2011: 424) found that obstacles include “stakeholders forgoing genuine participation due to political and social pressures to show that the development process is advancing; lack of support by the community for the development project because of limited involvement of the community particularly the affected community in planning and design; failing to understand the complexity of community involvement”. The

authors further found romanticising community unity without acknowledging that a community is already organised and has existing structures is a barrier to participatory processes. Davy, cited in Agbavboa and Thwala (2011), adds that they often times do not hear about the difference their efforts make in the development process. This implies that there is no feedback. Huchzermeyer (2011) asserts that participation could unlock conflict within existing structures and threaten the government and its institutions. Ciroet *al.t al* (2016) argue that unequal representation of all interested parties can hinder planning processes. Palmer et al. (2017) add that the South African local government now includes local communities to participate in decision-making processes.

## **2.8 Conclusion**

This chapter present the literature on housing. The chapter discussed the definition of housing. It highlighted the housing situation in Europe and the USA, Latin America, and Africa. It then traced the history of housing in South Africa and how it has evolved from apartheid-t of housing to post-1994 housing. The chapter explored the past policies of separate development that saw many black South Africans living in poor conditions to many different policies and Acts that came into play to address separate development in the housing sector post-1994. The chapter's final section focused on community participation in housing, including the obstacles to community participation in housing. The chapter concludes that regardless of the countries people live in, the housing situation for the poor is similar,; it is top-down and does not include beneficiaries in the decision-making process Often times, houses for the poor are constructed on the peripheries of cities depriving these residents' access to jobs and other services and opportunities.

## CHAPTER 3 RESEARCH METHODS

### 3.1 Introduction

This chapter presents the methods that were employed to obtain data for the study. The chapter outlines the approach and justification for the data gathering, processing and analysis. These methods were informed by the aim, objectives and the hypothesis provided in Chapter 1. These parts comprise of the research design, population, sampling methods, research instruments, challenges experienced by the researcher during field work and ethical considerations.

### 3.2 Research Approach

This study employed a qualitative research methodology. Creswell (2014) states that a qualitative research method is rich and detailed information about affected population; it plays a significant role of suggesting possible relationships, causes, effects and dynamic processes. Mohajan (2018) adds that qualitative is interested in people's beliefs; experience and meaning systems from the perspective of the people. Qualitative methods are "appropriate for obtaining insensitive information, social dynamics such as feelings and ideas of people qualitative methods will be most suitable" (Sutton and Austin, 2015: 226). Bless et al. (2013: 43) regard qualitative approach as an attempt to access the thoughts and feelings of the study participants. Bless & Higginson-Smith and Sithole (2013: 184) further state that in a qualitative research method the study is "conducted using a range of methods which use qualifying words and descriptions to record and investigate aspects of social reality being studied". A qualitative method "produces descriptive information to understand numerous lengths of the issue in question" (Almeida and Faria and Daniel and Queirós, 2017:370). In this way a qualitative approach is different from quantitative approach. In a qualitative approach the study uses a range of methods which use qualifying words and descriptions to record and investigate aspects of social reality being studied (Bless et al. 2013: 184). Qualitative methodology are investigative and expressive in nature, and Sefcik and Bradway, (2017:2) state "that qualitative methods could be used to scrutinize perspectives, beliefs and practices from participants' point of view". Bless et al. (2013) state that the method involves face-to-face communications in a natural setting. This confirms that this method was appropriate for the study.

Strydom et al. (2005: 79) state that a qualitative approach is in line with the interpretive research paradigm as its goal is to obtain rich description of data from the participants' own written and spoken words and to place more understanding in this instance the level of community participation in the housing delivery processes in their natural environment. Thus, a qualitative research method was the best suited approach for this study.

### **3.2 Interpretive paradigm**

A paradigm is a "world-view" or a set of assumptions about how things work (Sefotho, 2015). This philosophical approach is concerned with the researcher understanding the world from subjective experiences of subjects. Lather (1986 cited in Kivunja and Kuyini, 2017:26) argue that "a researcher's paradigm reproduces the researcher's views around the world they want to live in, that is the establishment of the abstract beliefs and basic principles that directs how a researcher view the world and how s/he respond to that world". This is in opposition to the philosophical system that is concerned with (positivist paradigm) positive facts and phenomena which exclude speculation and only recognized what can be scientifically proven.

This study is interpretive and explanatory in nature. Interpretive phenomenology is concerned with more than just descriptions of experiences but involves the in-depth exploration of "how subjects make sense of their significant life experiences" (Houston & Mullan-Jensen, 2011:268). This particular study is concerned with participants' experiences and therefore requires a focus on the subjective reflection and personal perspectives (Reid, Flowers, Larkin, 2005). Bertram & Christiansen (2017) state that interpretivism focuses on narratives, perceptions, stories, interpretations, and reality. The interpretive 'paradigm is based on the understanding that human phenomena are very different from natural phenomena' (Mouton & Prozesky, 2010: 643). Du Plooy-Cilliers (2014) points out that under the interpretivist paradigm the researcher does not study people in a workshop space because people do not live in workshop/laboratories and are influenced by things that happen in their environment. Bertram and Christiansen (2014: 26) state that interpretivists aim to understand the social world. Within this paradigm researchers accept different interpretation. According to Bertram and Christiansen (2014) the application of an interpretive paradigm in this study is driven by the objectives of the study.as equally valid. Data was collected in a natural setting in which the 'interpretive perspective leads to a stronger emphasis on naturalistic research. Cohen, Manion and Morrison (2011) point out that a naturalistic research is

conducted in natural settings in which the researcher aims not to intrude into the participants' lives. The reason for choosing this paradigm is because of the trustworthiness that occurs in a natural setting. According to Bertram and Christiansen (2014) trustworthiness in an interpretive paradigm is strengthened by the detailed descriptions of the data. The trustworthiness of the study will be discussed under section 3.8. This implies that data is authentic as it reflects the experiences of the participants (Bertram and Christiansen, 2014). Therefore, this study was an interpretation of the views of the participants, their realities and lived experienced.

### **3.4 Research Design**

A research design is a plan the researcher uses to obtain data (Bertram and Christiansen, 2014). According to Smith and Kagee (cited in De Vos et al, 2011: 143) a research design “is a specification of the most adequate operations to be performed in order to test a specific hypothesis under given condition.”

In this study the researcher used an explorative research design. Research designs like explanatory, interpretive and experimental are common in research (Bertram & Christensen, 2017: 40). An exploratory design is whereby the fact under study is not known to academics (Davis, 2014). In addition, Struwig and Stead (2013:6) writes that an “exploratory research is conducted in instances where the researcher investigates into a problem about which little is known”. These argue that researchers use open, flexible, and inductive method to research as they try to look for new insight into the research in subject. An exploratory research is “when a researcher seeks to test the feasibility of undertaking a more carefully study or want to refine the models to be used in a more careful study” (Babbie & Rubin 2013:50). An exploratory design is chosen for its adaptability and uniqueness in flexibility in the hand of the researchers (Sanders et al., 2016: 175).

### **3.5 Target population**

Sekeran and Bougie (2013) state that a population focuses on different things, which interest the researcher and it can be individuals or group of people or objects. Bless et al (2013: 98) describe a population as the “entire set of objects or people which is the focus of the research and about which the researcher wants to determine some characteristics.” In simple understandings, the population concept can be defined as all the fundamentals (individuals, objects and events) that have the required necessities for inclusion in the study.

The target population was community members who lived at Payneville and EEM officials involved in the delivery of housing in the research site. Due to time and economic strains, it was impossible for the researcher to include the entire population in this report project, therefore a sampling is subcategory of the studied population that represent the population but not the overall population (individuals) of the study area.

### **3.5.1 Sample size**

The sample size selected represented a small section of the total population of Payneville Extension 1 and does not represent their entire population. The study consisted of 25 individuals from Payneville Extension 1. The selected sample was a fairly accurate representation of the population. The sample consisted of ten (10) community members, eight (8) community representatives, (2) ward councillors, four (4) EMM officials and (1) Head of Department (HOD) in the Human Settlements Department. The criteria used was officials involved in human settlement and those community members who benefited and those who were going to benefit from the housing project in the study area. The participants were selected from the cohort of community members that participated in many of the meetings held by the EMM at Payneville.

Each participant among the twenty-five selected participants had exactly the similar opportunity of being chosen, and “the selection of each element was independent of the selection of a previous one” (Durrheim & Painter, 2009: 134). Bless et al. (2013: 186) also see this strategy (lottery technique) as allowing the probability for each participant to be drawn to be among the five worker co-operatives that constituted the sample. Since the probability of being chosen into the sample for each participant could be calculated, this sampling method made it possible for the researcher to estimate the accuracy of the generalization from the sample to the population as suggested by Bless et al. (2013: 186).

### **3.5.2 Sample and Sampling strategies**

There are different types of sampling in qualitative research which include, convenience sampling and purposive sampling. Elmusharaf (2016: 24) states that convenience sampling can be used in both quantitative and qualitative method studies although is it mostly used in quantitative method. Etikan, Musa, & Alkassim (2016: 3) argue that ‘convenience sampling methods place primary emphasis on

generalisability i.e. ensuring that the knowledge gained is representative of the population from which the sample was drawn’.

The study relied on both purposive and convenience sampling techniques to recruit participants. Purposive sampling is a widely used qualitative technique, it involves the identification and selection of individuals or groups who are knowledgeable or experienced with a phenomenon of interest (Palinkas, Horwitz, Green, Wisdom, Duan and Hoagwood, 2015). The study deliberately used purposive sampling in order to look for participants who were knowledgeable on the type of information needed. Additionally, purposive sampling also entails the availability and the willingness of research participants to participate, communicate their experiences in an expressive and reflective manner (Etikan, Musa, & Alkassim, 2016). Councillors and municipal managers were selected through probability sampling. This was done in order to get a professional perspective in understanding the state of participation of stakeholders in the provision of housing.

Convenience sampling is a probability sampling approach that depends on data collection selected individuals to be participants of the research (Saunders and Thornhill, 2012). Convenience sampling employs the primary data source, without any extra requirements, this means that the researcher can get respondents wherever he/she can source them and where is suitable for the study. Bertram and Christiansen (2014) point out that convenience sampling is not random, and it is not driven by a particular purpose. It does not have inclusion benchmarks prior to selection of respondents; all subjects concerned with the study are welcomed to participate if willing. Saunders and Thornhill (2012) view convenience sampling as a simple and easy means of research, data collection process can be done in a short amount of time and it is the inexpensive method of sampling. Community members were selected using convenience sampling. Community members were a little difficult to pinpoint hence convenience sampling was best suited for this group of participants.

### **3.6 Data collection**

Sekeran and Bougie (2013) state that data collection methods are an important part of a research study. Sekeran and Bougie add that several techniques are available to the researcher in gathering the data, including individual discussions. Purposive sampling is used for the discovery and choosing of individuals who are skillful or experienced with a phenomenon of interest. The researcher compiled a list of councillors and municipal officials and requested their participation in the study via emails and members

of the community were recruited through group WhatsApp and Facebook. This method was followed until a maximum of 25 participants was recruited. Data was obtained from face-to-face interviews with three officials and the rest through telephonic interviews with community members and three project team stakeholders. Secondary data was also collected from the municipal IDP, reports and journal papers. The method used was logical and consistent with the objectives of the study and not in conflict with both the research paradigm and research design.

### **3.6.1 Semi-structured interviews**

Data collection was done through interviews, which were semi-structured. The interviews were appropriate for this study as, it is a ‘technique or a tool to approximate the participants’ understanding, their beliefs and meaning of the events’ as noted by Kvale, (2007: 6). Kvale (2007: 8) notes that interviews provide a rich description; in this instance of community participation in the provision of housing as well as their individual realities. The questions asked in this study were related to the aim and objective of the study. Bryman and Bell (2007) assert that data can be collected by researchers using interview method in order to get in-depth knowledge, and better understanding of the participant’s perspectives on the issues under study. Interviewees had the freedom to elaborate when responding to research questions and supported their statements. The other benefit of the interviews is that it provides a more relaxed environment to the participants which allows them to be open and honest when responding to questions. Alshenqeeti (2014) argues that questioning (interviewing) the participants is one of the most essential data collection method, this is because some of the participants are not able to write or read, thus people can state their opinions in a private conducive setting and also with no agenda imposed to them by the researcher.

The average time for the interviews was 45 minutes to an hour which gave the participants enough time to answer questions. Walliman (2005) suggests that when the researcher is conducting an interview, the interviewer is in a better position to make a decision regarding the quality of the response received from the interviewee’s and can evaluate if the participant understood the question while allowing him or her to answer fully. Alshenqeeti, (2014:4) advises researchers to talk to people as this is an effective method of accomplishing data collection. The researcher was aware of the fact that the study participants had busy schedules and were under lockdown. Therefore, proper arrangement was made to make telephone calls at appropriate times that were convenient for participants.

Participants were contacted through WhatsApp, Facebook, telephone and emails to set up appointment schedules. The raging corona virus in the country and globally hindered this research to a certain extent. The researcher communicated with the participants and explained the aim and objectives of the research by first asking for consent to participate in the study and issuing them with the research questions through WhatsApp groups and Facebook to community members and through email and telephone calls to councillors and EMM officials. Research questions were distributed in order to keep the participants at ease and give them a chance to withdraw whenever they felt the questions infringed on their rights.

### **3.6.2 Observation**

In addition to interviews, data was also collected through observation. Puckermann (2011) adds that observation is a methodical form of gathering data in a research, hence research uses it to assess people natural behaviour, settings and naturally occurring incidents. Kawulich (2012:4-5) adds that “observation gathers data in a systematic viewing manner in its processes for a specific purpose of gathering information for a study, it also classify and guide relationships with participants in order to learn how people behave or how things are organised in an environment.” Johnson, and Douglas, and Bigby, and Iacono (2011) view observation as a procedure of attentively observing or examining something or someone. Bertram & Christiansen (2014) state that the researcher obtains first-hand data from observation.

The benefit of observation is that, the researcher is enabled to paint a picture on how the respondents conduct themselves, observation can also help the researcher in recognising the issues not considered by participants in a research or strong analysis on a matter, thus it is an appropriate way of research in revealing information about the use of work sites or workplace behaviour. (Johnson, and Douglas, and Bigby, and Iacono, 2011). The researcher attended several human settlement meetings between April 2019 and January 2020. The researcher was able to observe the people that participated in the meetings on the provision of houses. The researcher also observed the growth of the study site and number of houses provided to the community of Payneville.

### **3.6.3 Document analysis**

In research, document analysis is unavoidable in any research. Flick (2018) states that it is through document scrutiny that researchers are cable to re-examine literature such as books, articles’ chapters, approved journals, and official government papers. This study analysed policies on housing and municipal

documents on human settlements in South Africa particularly in the EMM as well as other human settlement patterns elsewhere. Document analysis is a qualitative method used to interpret documents by the researcher so that the meaning around a topic could be surfaced (Bowen, 2009). In addition, the interpretation of content into themes is contained by analysed documents in the same way that the interview records are analysed; documents are done by using rubric (Bowen, 2009). Document analysis is one of the most successful ways of gathering data because they are easily manageable (O’Leary, 2014).

The study analysed amongst other many studies. For example, studies conducted by Hamdi (1993) on human settlement concepts; Joseph and Karuri-Sebina (2016) on participation in the provision of housing. It also analysed the UN-Habitat (2013) on the integration of human settlements with other infrastructure and social relationships, Aalbers (2016), Bosco (2019), Beswick (2016); Farha and Rolink (2017) on the lack of finances to back up the housing economy in the face of financial crises. In addition the study analysed Wetzstein (2017) on the increasing prices of houses for the poor, Kiganda (2016) on housing challenges in Africa, UN-Habitat (2018) on the growth of urbanization in Africa; El-had and Zekebweliwai (2019) on the underperformance of the housing sector in Africa, Croese and Pitcher (2017) on the swollen South African cities struggling to accommodate rural migrants and foreigners looking for better opportunities and Palmer et al.’s (2017) discussion on built environment and spatial form of urban areas in South Africa.

Bowen (2009) opines that there are numerous benefits of document analysis. It is a well-organized way of assembling data and simply because documents composed are controllable and practical, documents are very known and mostly in different forms which makes it easy to get and they are a reliable source of information, examining documents is an inexpensive manner of research, than making your own, documents can be reviewed when one needs to and it is the information that does not change, thus it helps to avoid researchers influencing the findings. Bowen (2009) further point out that document analysis can assist and strengthen the study in different ways, thus it is regularly used, and it can also be employed in many ways of research as a primary method of gathering data. Bowen adds that document analysis is a useful, advantageous, and critical method of research because it can provide supplementary research data. The data that cannot be observed could be obtained via documents, for example information that has been neglected by respondents (Bowen, 2009). Reviewing literature on the provision of housing and human settlements in other countries strengthened the findings of the study. The inclusion of literature was done

for the purpose of assessing similarities and differences of human settlements in South Africa and elsewhere.

### **3.7 Data Analysis**

Data analysis is the most important part of this research as it sum-up and understands the composed data, by means of using systematic and logical viewpoints in order to identify patterns and relationships (Spickard, 2017). It can also be viewed as “a process whereby the qualitative data collected is translated into understanding of the people and situations we are investigating” (Flick, 2017:6). Cohen, Manion & Morrison (2018: 643) argue that “data analysis as invaluable in making sense of data from participants by organising, understanding, describing, and explaining data.” In qualitative research, there are various methods for analysing data, namely content, thematic and narrative. Leedy & Ormrod (2015) add that content data analysis incorporates analysing the contents of collected data and the purpose is to interpret thoughts, ideas, and perceptions.

The researcher gathered “qualitative data which was processed and interpreted and summarized into appropriate categories from the research results, then after the data collected was summarized the researcher scrutinized the validity of the data and evaluated the creativeness and the relevance to the study” (Sutton and Austin, 2015:227). In order to determine the trustworthiness of the data gathered, the scholar during the processing of the data double-checked the information attained from secondary archives, observation and how the partakers answered during interviews as proposed by Mahajan (2018). This approach was utilised in order to allow the researcher to question and interpret the research questions asked in order to verify the research objectives, the researcher was able to describe all the information from all participant and was also able to develop a conceptual framework through the suggestions and through clarifications the data was analysed extensively. The researcher also adapt with data by observing the common concepts and integrating them for similar subjects from the objectives and similar codes to form a topic. The researcher reviewed themes by ensuring that data/codes within themes were consistent and meaningful. In addition, the researcher described and categorised themes by shaping and identifying data/code topics and possible subtopics and confirming theme names.

Maguire and Delahunt (2017:352-3) state that a thematic analysis helps the researcher to identify important themes and patterns of a study. Therefore, a thematic analysis was relevant for this study as it allowed the researcher to identify themes or patterns that were important and interesting in the findings. Thematic

analysis is a significant approach used for analysing data. King, Horrocks & Brooks (2019) view thematic analysis as an analysis that identify, explain, and deliberates on themes and use direct quotes to assist in characterising the themes for readers. The classification of themes were presented by using direct quotes in order for the reader to have a broad understanding of the phenomenon under study (King, Horrocks & Brooks, 2019). Braun & Clarke (2013) state that thematic analysis addresses the research questions. Hence this study used thematic analysis as it was best suited to address the research questions and further share light on findings of the study. Themes were generated from the research objectives and the research questions.

### **3.8 Validity, Reliability and Rigour**

Cohen et al. (2014) inform researchers that validity deliberates the certainty, of any suggestion, conclusion, assumption, and edition made in a research. According to Zocoduveniyav (2018) it comprises of two aspects which: “Internal and external validity; Internal validity refers to interpretation of the research results and also considers the accuracy of the conclusions about the subject matter researched”. Zocoduveniyav (2018) advises that it is, therefore, it is important to also recognise internal validity as it evaluates the community involvement in housing delivery. External validity “is the generalization of populations and conditions of research results” (Zocoduveniyav, 2018:34). Sedgwick, (2010) points out that external validity scrutinises circumstances of the deduction made, if are eligible to be applied, implemented, generalized, or hold accurate for other people or places at different times. Cypress, (2017: 256) defines reliability “as the consistency, stability and repeatability of outcomes; the technical aspect of reliability assumes that recurring events of phenomenon with the same outcomes utilizing objective methods establish the truth of the findings.”

Testing can be seen dependable when it has been utilized by various academics, with the similar information and outcomes that are not distinct from one another. Bruin (2015) argues that reliability reproduces consistency and similarities. Bruin (2015) adds that reliability can also be seen as to be free from measurement errors, because when measurement errors often occurs, the test will be less reliable. Anney (2014) states that rigour is a state of firmness, a method of following particular domains, or the practice of managing direct pre-mentioned limitations. Anney (2014) adds that this is the way by which researchers certify integrity and competence in a research, a way of suggesting the lawfulness of the research process. Brooker and Casey (2017) opine that if rigour is not factored in a research study, “there is a risk of the research may become worthless as contributing to information.” Thus, validity and

reliability of this study was done by asking the participants the same questions until the participants gave the same answers a stage when the study was saturated.

Trustworthiness was to ensure through transferability, dependability, credibility and confirmability of the research study. Credibility refers to “the accuracy with which the researcher interpret data provided by participants” (Koonin, 2014: 258-259). The researcher ensured credibility by matching their perceptions with generated data.

- Transferability is the “ability of the findings to be applied to similar situation and delivering similar results” (Koonin, 2014: 258-259). The researcher ensured that the conclusions of the study are applicable to other prior findings on the similar topic.
- Dependability refers to “the quality of the process of integration that takes place between the data collection method, data analysis and the theory generated from the data” (Lincoln and Guba cited in Koonin, 2014: 259). The researcher ensured that the findings were dependable by describing the study and what the study suggests in an organized manner.
- Confirmability refers to “how well the data collected support the findings and interpretation of the researcher” (Koonin, 2014: 259). The researcher provided evidence of the findings from the data and knowledge of the participants with no bias.

### **3.9 Ethical considerations**

Ethical considerations are the standards that a researcher has to take into consideration when doing a study so that they will not put the participants into harm or risk. Babbie (2010:66) argue that “ethics is typically associated with morality, and both words concern matter of right and wrong.” Greener, (2011:142) add that, “it is an area where there are clearly established rules and codes of conduct that have to be met”. Greener, (2011:620) further state that “the ethical argument is that respondents should have assurances that participating in research will have no adverse consequences for them, that response can result in no subsequent harm and that they have a right to anonymity generally”. Ethics are values that differentiate between how human act in the study of principles of human action; it does not matter if it is seemed acceptable or not (Bless et al, 2013). According to Schaubroeck and Malonson (2013) “ethics are those components of life that can be observed from several numbers of places where people spend time”.

#### **3.9.1 Informed consent**

Manti & Lacari (2018:32) point out that “informed consent is the joint agreement for study commitment”. Bless et al. (2014) adds that informed consent is essential until a person is enrolled and is progressing once enrolled. The researcher provided information written in a language is already translated by the members to mitigate the probability of fear or unfair manipulation. This was done in order to give the respondents time to consider their choices to participate in the research. The participants had to put their signatures on the consent form so that the researcher would keep of their agreement.

The researcher notified the people about what procedures that was used and to safeguard their identities. It was the researcher’s responsibility to safeguard the privacy of the respondents and to ensure privacy by making sure that the data collected was not shared with anyone not directly engaged in the research. Pillay (2014) reminds researchers that ethical issues are critical to the research and contribution is precisely voluntary, no one is forced to take part in the study in any way possible. In order to maintain anonymity and confidentiality the researcher coded participants with synonym by assigning each participant to a number.

### **3.9.2 Ensuring no harm to the participants**

The research recognised ethical problems in the study process, by means of “assessing the human perspective of the study and ensuring that it retains the respect of those who contributed in order to make sure that our study does not affect or disrespect the human dignity of the people participated” (American Psychological Association, 2010). When doing a study of this nature, informed consent is a way in which citizen’s right to freedom are not engaged (Perasklis, 2018).

The researcher adhered to the right to fair treatment by treating participants who declined to take part in a research fairly with no prejudice. The researcher will keep any shared information in strict confidence.

### **3.9.3 Confidentiality and anonymity**

Allen (2017) states that privacy pertains to the isolation or alteration of any confidential, identifiable information from the data provided by respondents. Anonymity pertains to data collection without obtaining any proof of identity, differentiating details, (Allen, (2017). To develop a 'clean' dataset, the researcher did not use identifiers, but numbers assigned to each participant. The collected data does not include the information that identify the participants. The researcher-maintained secrecy when he

communicated with the research participants. The information on identifier would be kept in a separate secure folder elsewhere and given a pseudonym. Data will be stored in a locked cabinet at the researcher's house. The collected data will be shredded and disposed of after five years.

### **3.9.4 Ensuring permission was obtained**

Permission to conduct the study was obtained from the City of Ekurhuleni manager. The researcher asked for permission from the department human settlements by writing a formal request to the manager in charge. Permission to interview community members was obtained from the ward councillor in the study area. Participants were sent letters requesting consent to be interviewed.

### **3.10 Limitations and challenges of the study**

Globally the world is under the grip of covid-19 also known as corona virus. Most people including the participants of this research were living under lockdown. This meant that there was little movement as all South Africans had to follow the government plans to curtail the spread of the virus. It was thus, painstaking to access participants due to the lockdown restrictions. It was thus painstaking to obtain the correct adequate contact community members to participate in the study. Most participants selected through the convenience sampling demanded that they be rewarded for their efforts as were being put at risk of being infected by covid-19. This problem was resolved through telephone calls, WhatsApp chats and FaceBook communication. Another challenge was that all the interviews with the exception of three were done telephonically so it was a financial burden.

Participants were informed they would participate voluntarily only and that there were no incentives to participate as this was an MA research study. Municipal officials and the two selected councillors were not always present to meet up or have enough time for the discussion and this took long to set up gatherings. Due to the sensitivity of the matters regarding housing, fraud and poor management of housing finances tackling the topic under research was sensitive and challenging. Poor participant cooperation due to numerous effects, like lack of interest and secrecy of the data by some of the government representatives restricted the research. Municipal officials were also unwilling to provide documents of how community involvement was performed in some of the programmes.

### **3.11 Conclusion**

This chapter presented the research method and processes followed to obtain empirical data and secondary data for the study. It provided the outline of the research method used which was qualitative in nature and utilised the interpretivist paradigm and an exploratory research design. It also discussed how data was collected and analysed. The chapter also discussed the ethical consideration that the researcher adhered to during data collection. Finally, the chapter presented the limitations and challenges during data collection.

## CHAPTER 4 FINDINGS AND ANALYSIS

### 4.1 Introduction

The aim of the study was to understand the nature of community participation in the housing delivery processes in Payneville Extension 1 at Ekurhuleni Metropolitan Municipality. This chapter outlines the findings of the study attained from the field notes. The chapter explores the outcomes of the research according to themes generated from the research objectives that were aligned to the research questions. The research study consisted of twenty (25) participants. The population target was drawn from Ekurhuleni Municipality and its communities. The sample was drawn from the housing project team which consisted of five (5) members; one (1) architecture, two (2) executive managers and two (2) project managers who ran the housing project. In addition to the project managers there were twenty-five (25) community members who also participated in the study.

The study made use of qualitative research methods to gain insight and knowledge on factors in favour and against community participation in the housing provision. The study also evaluated strategies used towards enhancing community participation in housing provision at Payneville community

### 4.2 Demographics of the participants

This section presents the biographical information of the participants who were selected from the housing project team and community members (beneficiaries) of the housing project at Payneville community, Ekurhuleni Metropolitan Municipality. The biographical background of the participants was based on their gender, and work position in their specific organisations. The biographical background also included gender and age.

Table 1: Biographical background of the project team

Participants	Gender	Age	Occupation
1	Male	27	Architect
2	Male	59	Executive manager
3	Male	47	Executive manager

4	Female	38	Project manager
5	Male	34	Project manager

Table 1 above shows that the housing project team is run by four (4) men and one (1) woman. All the project team members were highly skilled in their respective areas of specialization in the project.

Table 2: Biographical background of community members (beneficiaries)

Participants	Gender	Age	Occupation
6	Male	35	Unemployed
7	Female	28	Student
8	Female	25	Receptionist
9	Female	39	Cleaner
10	Female	45	Clerk
11	Female	25	Teller
12	Male	35	Control builder
13	Female	26	Administrator
14	Male	38	Book keeper
15	Male	39	Artisan
16	Female	29	Cleaner
17	Female	35	Administrator
18	Male	58	Teacher
19	Male	45	Builder
20	Male	35	Contractor
21	Male	29	Unemployed
22	Female	31	Unemployed
23	Female	35	Unemployed
24	Male	26	Unemployed
25	Female	29	Self-employed

The demographics in table 2 above shows that the mean average age of the community participants was 32 with only two participants above age 45. The demographics of this community shows these were mostly young people and fit the description of a population in dire need of accommodation. This table also shows that most of the participants held a job. Only five out of the twenty participants were unemployed and aged below 35.

### **4.3. Core Themes analysis**

The core themes were derived from the following research questions linked to the objectives of the study.

The objectives of the study were as follows:

- To understand the concepts community participation and housing delivery
- To examine the level of community participation in the housing delivery processes in Payneville Extension 1, Ekurhuleni Metropolitan Municipality.
- To explore the factors in favour and against community participation in the housing provision.
- To identify and evaluate strategies used towards enhancing community participation in housing provision at Payneville community

#### **4.3.1 Participants' understanding of concepts**

##### **4.3.1.1 Understanding community participation**

In this section participants were asked whether they understood the concept of community participation. The participants in this study were aware that community participation entail engaging the community as stakeholders for the service delivery projects in their respective areas and making sure their participation was meaningful at all times. The findings of this study found that all but one participant knew what community participation entails. The only participant who did not understand the concept of community participation had this to say:

Honestly, I don't know, but I think it is when the government do a project and get the community to participate in that project to benefit them. (Interview, 5 August 2020).

Although this participant claimed not to understand the concept her answer was not far from the other descriptions given by the 99 percent of the participants. A project team participant said:

Community participation is when communities get involved in the projects that is intended for them in order to make difference and they are directly involved in decision making. (Interview, 23 July 2020).

Another project team member described participation as:

The ultimate objective is for the Community to take Ownership, Get involved in projects that impact their lives, have a say in decision making not only to be informed but be part of the decision-making processes. (Interview, 30 April 2020).

A beneficiary of the housing project understood community participation understood as:

It is when I get involved in a project that has been established by the community. (Interview, 4 August 2020).

Another beneficiary of the project described the concept as something that happens when:

When the government call you to be part of project their initiated. (Interview, 4 August 2020).

A project team participant summed up community participation as:

It's when communities are asked to engage in community projects that are designed to improve their quality of lives', to help, assist, learn and educate themselves in order to make meaning participation by giving ideas and so forth. (Interview, 29 September 2020)

The definitions provided by participants resonate with Zandbergen (2014) who defines community participation as directly involving people in community development where they are controlling programs in communities that are supposed to eliminates problems. The definitions provided by the participants are also similar to those of Palmer et al (2017) who pointed out that community participation implies that local communities have to be involved and encouraged to participate in order for the local government to be held accountable by citizens.

All the members in this research affirmed that community involvement is a process of engaging the stakeholders from an affected community in order to reach mutual understanding for/of a project and/or development that is planned and/or implemented within their space or which they might benefit from. A beneficiary participant said, 'Community participation is the action I take to part of something in the community that I live in' (Interview, 4 August 2020). Another said that: 'It is when one gets involved or participate in anything that involves me or the community' (Interview, 4 August 2020).

A team project participant summed up the concept by saying that:

Community participation it's when communities are asked to engage in community projects that are designed to improve their quality of lives', to help, assist, learn and educate themselves in order to make meaning participation by giving ideas and so forth' (Interview, 29 September 2020).

A beneficiary summed up the concept as 'the engagement of individuals and communities in decisions making process in issues that affect their lives' (Interview, 5 August 2020). The findings of the study are in line with Brander (2015) who argues that participation puts emphasis on playing a part in decision-making particularly among people who are normally not included from decision making that affect their lives.

#### **4.3.1.2 Defining housing delivery**

In this section participants were asked to share their understanding of housing delivery. The delivery of the housing for the poor and the low-income bracket population in South Africa is part of the government strategy to redress the unequal development post-apartheid. The South African Constitution 1996 stipulates that shelter is a basic human need. Thus all municipalities strive to provide decent housing in both rural and urban areas like Payneville the study site in Ekurhuleni Municipality. This study found that all participants knew the definition of housing delivery. A project team participant said:

Housing delivery is carried out mostly by the government of South Africa, in order to provide shelter, warmth and safety to the people of South Africa. (Interview, 23 July 2020).

Another male project team participant defined housing delivery as:

Since the establishment of local Government in South Africa the South African government decided to provide basic rights to its own people, since then we have number of housing provisions that the government has embarked on in order to bring the dignity back to black people of South Africa and such programmes are named under housing Delivery system which in short is the provision of shelter to the less unfortunate communities (Interview, 30 April 2020).

The study highlights that South Africa's housing policy mirrors that of the western world where social housing for low income and poor populations has been the norm although this changed during the financial crisis in 2008. Unlike the western world which has slowed its provision of housing to the poor, the South African government continues to push through the construction of decent shelter for its citizens. A female beneficiary participant described delivery of social housing as:

The building and construction of low-cost houses to the community by the government (Interview, 21 September 2020).

A male beneficiary added that:

It is the building of houses for us by the Ekurhuleni Metro Politian municipality (Interview, 6 August 2020).

The participants knew what housing delivery entails, and some pointed to the EMM as responsible for housing delivery. The findings of this study are similar to Tissington *et al.*, (2013) work which report that municipalities are key actors and accredited to deliver houses in their respective jurisdictions. A female beneficiary said;

Affordable homes for working class of a specific earning threshold or less fortunate/under privileged families (Interview, 6 August 2020).

Another female beneficiary described housing delivery as:

Giving houses to the poor people by the government or any developer (Interview, 6 August 2020).

A male beneficiary defined housing delivery as not only the provision of housing but as a process of activities. Below is his description of housing delivery.

Housing delivery is not the provision of just a house/structure, it can rather be defined as an interrelated process of activities that result in the provision of secure tenure, both rental and ownership as well as a suitable acceptable standard of a dwelling/dwellings, as well as adequate civil, social and economic infrastructure to end-beneficiaries. (Interview, 1 October 2020).

The above quotations are summed up in the National Development Plan 2030 (2017) where the South African government had to “shift focus on direct housing construction in order to provide an environment for the public sector and the private companies to provide a more effective and efficient in housing construction”. This meant that housing delivery should be inclusive of all aspects of life that is industry near homes so that people do not have to travel long distances as well as other amenities like shops, health care centers and schools.

Evidence from the study is in line with Nell et al (2011) who note that the South African BNG policy shifted the way houses are delivered for low-income people by municipalities. A participant described housing delivery as; ‘The provision of structures that people live in comfortably and safely’ (Interview, 6 August 2020). This is in line with the Constitution of 1996 that attaches the right to suitable housing to the responsibility of the state ‘to achieve progressive realisation of this right’. This is in line with Palmer et al. (2017: 130) who state that the constitution provides the provincial government in particular the responsibility of built environment, infrastructure and spatial form of urban areas. Hence a female beneficiary participant summed up housing delivery as:

A project taken by the government in this case via EMM as a municipality, to initiate a housing project to deliver human settlement projects or housing to the communities it serves (Interview, 29 September 2020)

Participants in this study agreed that housing delivery was the government’s effort to provide decent shelter to those who cannot afford it through their municipality (EMM). The study also found that housing delivery was viewed as affordable housing earmarked for the low income and poor people or communities such as Payneville Extension 1.

#### **4.4 The level of community participation in housing provision in Payneville**

This section presents the level of community involvement in the housing provision in Payneville Extension 1. According to Arnstein (1969) levels of participation range from manipulation or therapy of citizens to consultation which may be seen as genuine participation and taking control ownership. This study revealed that often times participation was manipulated. This resonates with Arnstein’s (cited in Hickey & Mohan, 2013) ladder of participation which shows that participation can be manipulated by those in power from the bottom to citizen control on top. This study also revealed that some participants viewed their participation as tokenism. A participant pointed out that;

Honestly I think the government is fronting us or just doing it for sake of doing it, why do I say this? in most of this meetings I personally feel the decisions have been made already, for an example, this is housing provision for the community, the houses have been designed and they have project implantation already so what exactly are we participating? Secondly I have never

been asked what type of a house I want or if the house is what I am looking for, our participation is only on the involvement of the project and how it will benefit the community which is ok I guess we talking about a different type of participation (Interview, 11 October 2020).

Another male beneficiary participant said:

Since when does the government really empowers the poor or let them speak for themselves, yes, they had procedures, yes there were meetings, yes, our suggestion was taken, and some implemented. Local opinions were asked the information was analysed and decided on a course of action. I think they made it look like they are listening but honestly, I think every decision made was done by them and didn't need any input whatsoever (Interview, 11 October 2020).

The above quotes resonate with Cooke and Kothari's (2001) study which found that participatory development tends to tyrannical. Similarly, to the participant's observations, Cooke and Kothari noted that participation can be used to neutralize people's voices. Thus, participation is viewed as unjust and an illegitimate exercise of power. In this instance community members are manipulated and begin to think they own the housing project as decisions are generally made before the meetings. For example, participants reported that they were not involved in decision making processes on the design and type of houses they would prefer. This implies that participants were consulted and informed about the project but their decisions were not included in the design and other issues to do with the housing project as described by Arnstein's (1969) ladder of participation which points out to the degree of tokenism.

A male beneficiary participant added that:

I don't know I think they do this project based on the need of that community and for political reasons I guess, and I could be wrong. If the project initiated is for me, why don't u ask me what type of house do I need or what do I need that will change my life, but we all have different needs in this community and the project did what they thought was best. I see these meetings as a waste of time especially when decision are made without us (Interview, 12 October 2020).

Evidence from the study show that some participants saw their participation as tokenism. Participants highlighted that in many instances the EMM invited them to meetings to make them feel as part of the project and to placate dissident voices. The study also found that people accepted the already made decisions and only wanted the provision of houses as that was a more urgent issue than the politics involved in the decision-making processes. While some participants report that their views were not included in the decision-making processes; some participants disagreed and claimed that:

Our views are taken into consideration based on the topic we are discussing and how to go about it. At least they are doing something right and it's better than nothing at all (Interview, 11 October 2020).

The delegations explained exactly how everything is going to run and there were pre facilitation programs that we attended and most of this program were run by the community, so no I don't think anyone was forced to participate. I attended a number of meetings which all took about 2 hours or so depending on the issue or what's being discussed. I however felt the meetings were sometimes waste of time and at some time very useful or insightful. Everything that was discussed on the previous meeting was shared and agreed upon and some of our views and suggestion yes were taken into considerations (Interview, 11 October 2020).

The study revealed that all community members were invited to participate in the stakeholder meetings on housing delivery. Most of the participants agreed that their views were taken into account and incorporated in the decisions that were made by the EMM as claimed below. A female beneficiary participant pointed out that:

'Everyone was allowed to contribute their views and opinions and some of this opinion were valid and some not. I will say yes, the opinions given was taken into considerations, but I think decisions were already made or set based on the funds or availability of resources at that point. This meeting was quite serious and interesting and yet I don't feel it was a waste of my time, Payneville has a variety of people from different religious background and yes, we all want different things and I don't think the government can accommodate everyone's needs, hence I believe there was a mandate and that was to deliver housing for the community. (Interview, 11 October 2020).

A male beneficiary participant added that community members' concerns and suggestions were considered even though at a low level. The participant reported that:

I think our participation and the inputs we have made were considered in some of the elements of the projects not all. The houses that were build were already decided by the government that could not be changed, but the implementation and the involvement of the community was crucial for the success of the project and the engagement was meaningful as both parties needed each other to avoid conflicts. I think to be honest there are decisions which were already taken, and they are decision which we were involved in and play a part in them and that's understandable. I do not think this was waste of my time and I feel I have

participated, and I made difference in my life and the community. (Interview, 12 October 2020).

Participants reported that in some cases a community delegation would be selected to represent the community at higher level meetings. In some instances, the community held their own meetings where they contributed ideas and shared information that could improve the housing projects. In addition to discussing and sharing ideas, participants reported that they also debated on issues communicated by the community representative from the stakeholders. The community representative reported back to the beneficiaries and agreements or suggestions are made and sent back to EMM and its stakeholders. Participants also claimed that their inputs were taken into consideration as some to issues they suggested were implemented. One beneficiary participant said that:

Every community member is given an opportunity to participate. I think our participation is meaningful and it was not waste of time as our inputs were considered. As a community there were variety of things one could contribute and benefit from, I am a brick layer so I was also involved in the building of the actual structures, which I was compensated for and learned a lot from the project (Interview, 12 October 2020).

The study also revealed that community had a platform to raise their concerns in relation to the project. Concerns were communicated to the stakeholders by community representatives. Community participation was viewed as meaningful and nonmanipulative as community members reported that most of their issues were addressed and some incorporated into processes of delivering the houses at Payneville Extension 1. However, the study found that not all participants viewed being invited to meetings as a way of being part of the project but saw it as generally tokenistic.

#### **4.5 The link between community participation and housing delivery**

This section focuses on the link between community participation and housing delivery. Evidence from the field notes revealed that community participation was intertwined with housing delivery. A male beneficiary participant indicated that:

Housing project cannot be meaningful if communities don't participate, so it is important that community participation takes place in housing delivery. (Interview, 10 August 2020).

A male beneficiary participant reported that:

The link between the two is their relationship they have with each other; one cannot be achieved without the other. In order for delivery of houses to be meaningful, the community must participate and make informed decisions in the project (Interview, 10 August 2020)

A male team project participant added that:

Housing delivery is the responsibility of the government to ensure that by calling it community development, communities have to be involved to grow and be involved in the decision-making process that constitute to their development (Interview, 30 April 2020).

The findings of the study show that participants linked housing delivery and the construction of low-cost houses with community participation. It is clear from the study that engaging community as stakeholders in the housing project was meaningful and that as the absence of beneficiaries would lead to disagreements and disruptions of the project. Participation was viewed as the catalyst to processes and activities that communities can engage in, in the delivery of their housing.

Another female beneficiary said that:

Communities can play a number of roles in the provision of housing development, also to influence the running activities that affects them in relation to housing (Interview, 29 September 2020).

The quote above indicates that community participation is linked to the influence communities can have in the running of the project and identifying problems. Community participation in the housing provision involves community members making decisions, identifying locations where the houses could be built and also having a hand in the actual construction of the houses. A male beneficiary linked participation to housing delivery as a way of:

It is about identifying the problem of housing shortage and ensuring affordable home are built (Interview, 10 August 2020).

Since the housing project is meant for the beneficiaries, it is therefore logical that they be involved in the delivery of their housing. Communities of Payneville understood the issues in their community and identified that there was a huge housing shortage in the area therefore they had to be involved in all the

decision making processes even though in some participants in some sections of this chapter saw this as tokenism. A male beneficiary participant indicated that:

Our community can play a number of roles in the provision of housing, therefore the link between the two is the relationship between the community, stakeholders to all together and do what is right for the housing project (Interview, 10 August 2020).

The study indicated that community participation was linked to housing delivery at the study site. Participants indicated that participation and housing delivery went hand in hand. Failure to incorporate communities in the project would be meaningless as they are the ones who first identify a problem that needs to be solved by the government and its stakeholders.

#### **4.6 The benefits of community participation in housing delivery at Payneville Extension 1**

The Draft National Policy Framework for Public Participation (2005: 1) states that “public participation is good for both the community and democracy in that it narrows the social distance between those who govern and those who are being governed”. The Policy Framework further argues that public participation increases trust. The more the community is conscious of and participates in the affairs of government or the municipality, the more it will develop hope in the people they have selected. The results of this study revealed that the participants saw community participation as a crucial aspect of housing delivery. This is in line with the Government of South Australia (2008) which found that government agencies at the national and state level have maintained an interest in community participation because of the perceived benefits. Participants agreed that community participation enhances and creates awareness among stakeholders and beneficiaries on the housing project in Payneville Extension 1. This is supported by Kilpatrick (2009) whose study on community involvement in health service development found that community participation tends to result in higher community satisfaction with health services, and indeed better health outcomes. However, he points out that evidence to support this assertion is limited. The study also revealed that community participation becomes a building block of trust among beneficiaries, stakeholders and community leaders as discussed below.

Community ownership, when the community is involved in a project, they have ownership of it and the decisions making process, and key successful outcome even when all don't agree with the decisions (Interview, 23 July 2020).

The South African National Treasury Guide to Municipal Finance Management for Councillors (2006: 12) stipulates that “Effective community consultation, or participatory democracy, and developing mechanisms to better engage with communities, is a central theme of the Municipal Finance Management Act. The aim is to create greater community awareness and promote more accountable decision-making processes by government in line with good financial governance principles”.

The findings of this study are similar to Creighton's (2005:29) findings which revealed that “involving citizens in participation and making decisions implies that even when the unpopular decisions are made by default, or supported by the people, as they would believe themselves to be responsible for them”. Evidence from the study also shows that ownership of the project is one such aspect that benefits the beneficiaries. This finding is also in line with Clapper cited in Bekker (1996:32) who notes that community participation “encourages active involvement through the participation of all members of the community in the planning, decision making and it seeks to remove the barriers that limit the participation of marginalised citizens”. Clapper's study cited in Bekker (1996) is similar to this study in that “public participation supports decentralised, non-hierarchical decision-making processes that strengthen the autonomy of the individuals in the community”. The study also revealed that the effectiveness and efficiency of any development project depends much on citizens support as pointed out by Uemura (1999) who argued that, no matter how good a plan is, if the people for whom it is made fail to feel that its key feature belong to them, it will not be successfully. This implies that when community members have a sense of ownership of a project they contribute to its success and protect it. This finding is supported by Creighton (2005) who starts that the involvement of the public in public participation and decision-making processes improved quality of decision making in projects. The results of this study showed that a sense of ownership was one of the benefits of community participation in housing delivery at EMM. A male project team participant noted that:

The opinion of community members is important as the project is intended for them and brings about development in the Payneville Extension 1. Also, to gather new information that other participants might not have (Interview, 23 July 2020).

The participants in this study also reported that community participation fosters development. A beneficiary participant pointed out that community participation assists in meeting the municipality and government targeted goals in housing delivery and beneficiaries get the chance to suggest and choose plans and location of houses. The participants in this study also stated that community participation also enhances accountability and transparency, and this expedites the housing delivery. This is supported by Preston, Waugh, Taylor and Larkins (2009) who state that the benefits of community participation needs tools to measure and analyse it as a communal phenomenon. A female beneficiary participant said that:

Each and every project that involves the community the state conduct research on best practices and one part of those practices is community involvement and participation, although there might be limits in terms of their participation in my opinion the do participate. This helps to promote self confidence in communities, skills development, and self-sustainability and open transparent process on how the taxpayer money is being spent and for what reason or purpose. Last but not least shelter for homeless which is the core basic right according to the South Africa Government. (Interview, 30 April 2020).

Evidence from the study showed that the community members of Payneville Extension 1 in this study agreed that participation benefited the area as people were made to feel as the consultants and planners of the new township as they were kept up to date during the construction of houses. They were also made aware of Water and Sewer Services that had to be installed before the housing constructed. This process benefited the housing project as there were less confrontations from some quotas of the community, and this also stopped disruptions to the housing project. This study revealed that allowing beneficiaries to play a role in construction of their houses benefited the project greatly. This was emphasized by a participant who reported that:

Most times when the community gets informed prior to the project and have a say on the project before implementation. It minimizes strikes, vandalization and negative energy from the community.

Another male beneficiary participant agreed with the above participant by stating that:

When our community is engaged early in a project/development the purpose, outcome, time-frame, opportunity and benefit can be clarified of the development with the affected community, could lessen the occurrence of community-based disruptions to the project at implementation stage (Interview, 1 October 2020)

The study's findings are similar to those of Creighton (2005) who found that public participation ensures direct contact between the public and the decision makers. Similarly to the study Creighton argues that community participation minimizes cost and delays. The findings of this study also resonate with Creighton (2005) who found that the advantage of community participation is that community members, stakeholders and authorities can avoid worst-case confrontations.

This study also found that the main benefit of community participation rested on building an empowered community. It was evident that community participation provided opportunities for stakeholders to promote development in the area as community members shared their concerns and expectations. The involvement of beneficiaries in the housing project also influenced public choices that contributed towards the project plan and design. Participants also revealed that participation afforded the opportunity to hold the EMM accountable for the service they provide in this case houses. Some participants reported that they benefited more as their skills were enhanced by learning how to lay bricks and other tasks needed in the construction of their houses. Others reported that community participation built their self-esteem as they were allowed to voice their concerns and expectations without being undermined by others. The findings of this study are similar to Browne's (2013) observations that community participation empowers community members and also opens doors to exchange ideas and share information and knowledge.

#### **4.7 Factors that promote community participation in housing delivery at Payneville Extension 1**

Community participation is largely driven by community participants who build partnerships with key stakeholders like the EMM to identify and address community housing problems. The dissemination of information and support from the local government of Ekurhuleni promote community participation as people tend to have a sense of belonging when involved in issues that concern them. Participants pointed out to several factors that promote community participation. A project team member reported that:

Activating and representation participation enables all community members to have meaningful influence on the decision that affects their neighbourhood. (Interview, 23 July 2020).

Another added that:

Good governance and transparency, being open to the public or the community about the project and transparency always promote involvement which leads to good results and good working relationships.

The findings of this study are echoed by Buckup (2014) who states that involvement is significant for community development as it is not only about “setting up structures and assume they will work, but it results to a long-term development approach with an aim of attaining human rights, and for people to have a sense of participation”. Brander (2015) agrees by stating that participation puts emphasis on playing a part in decision-making particularly among people who are normally not included from the decision processes that affect their living conditions, in this way they are involved on decisions that concerns their livelihood conditions.

A participant said that community participation can be promoted:

By engaging community members and educating them about issues that affect them for example the economy, social issues and environmental and other aspects associated with alternative course of action.

A participant said that community participation can be promoted by ‘Getting the community and others involved in the projects (Interview, 13 August 2020).

A beneficiary of the project added that community participation could be promoted through:

Participation in larger groups with every member of that group seeking common grounds or benefits. Given an opportunity to expressing their own desires. This gives them chance to evaluate what will benefit them in the process. Building excitement into the Payneville Extension 1 project and to get others involved. Sharing our success what has worked before and what we have achieved. Last but not least encouraging the Payneville community of the project. (Interview, 29 September 2020)

This quote is in line with Hickey and Mohan (2013:43) who state that “participation can take place in many different ways, including circumstances where people express their own opinions on the development of their communities, they set goals and create plans around them, supporting organization structures around their communities and offer different services, when societies participate it encourages them to work together as one for their own benefit, and for them to create a sense of possession of their own project”.

All the participants agreed that some form of policy promotes participation as it guides communities in ways to participate in issues that affect them. A participant from the project team summed this by saying that:

The SCM policy is approved by the Council and guided by the principles of MFMA. Council Appoints Professional Service Providers to provide guidance to communities. The approved SCM Policy Providers state that 30% of the Project must be allocated to Local Communities as part of affirmative procurement policy, my responsibility is to make sure that the policy is implemented (Interview, 30 April 2020).

Other participants believed that community participation can be promoted by taking communities are taken through municipal programs and workshop as part of community development through. This would be the most transparent route to promote meaningful participation. A beneficiary of the project pointed out that:

Meaningful participation is when people’s opinions are taken seriously and valued. Community engagement is a vital part of many projects and benefits are well recorded, and this guarantees better outcomes for all stakeholders. Community engagement is normally one sided and inputs can only be made by those members who have strong voices and opinions. Public involvement constitutes majority of the decision to be made before even the projects kicks in which brings valuable information to the project. When the community is involved in a project, they have ownership of the project and the decision-making process which is important for the success of the project or the outcome (interview, 21 September 2020)

The study found that engaging all community members and building trust with an affected community could lead to less protests and disruptions. The study revealed that this could also lead to solutions that could bring about the delivery of houses on time and saving money for other projects in Payneville

Extension 1. A participant reported that ‘We must allow everyone to share their success stories about community participation and its benefits. (Interview, 13 August 2020). Another participant said that: ‘Always encourage a community focused, transparent and honest culture. (Interview, 13 August 2020). This translates to the idea that a sense of ownership to development projects encourages community participation.

#### **4.7.1 Factors that hinder community participation in housing delivery at Payneville Extension 1**

The study highlighted the factors that influence poor community involvement in development projects such as housing delivery as poor leadership (self-interest), ignorance also lack dissemination of program related information. Participants listed other factors like dictatorship, exclusion, and lack of communication and commitment amongst other issues discussed in detail in this section. Evidence from the study shows that lack of community participation indicates the absence of partnership, development and projects. A project team participant reported that:

Dictatorship is a common factor to any growth or projects; only certain type of people makes decisions. Exclusion of community participation to community members. Lack of decisions making and clear/ open communication lines. Which influence and undermine intellectual factor which then discourages community members to participate. (Interview, 23 July 2020).

The findings of this study resonate with a study done by Agbavboa and Thwala (2011) on community participation for housing development who found that obstacles to participation involved the “stakeholders forgoing genuine participation due to political and social pressures to show that the development process is advancing; lack of support by the community for the development project because of limited involvement of the community particularly the affected community in planning and design; failing to understand the complexity of community involvement”. A project team participant said that:

Political interference and unrest (as an attempt to try and gain partisan or regional) this is usually motivated by emotions, individuals engaging in illegal protest if they are aggravated and feel that they have not been treated fairly. Most of this reaction are usually reactions predictable, simply because individuals have a consistent view of what it fair (Interview, 21 September 2020).

Some participants pointed to the lack of decision-making powers as a hindrance to participation. A beneficiary participant reported that: ‘Lack of confidence in their ability to make informed decisions (Interview, 13 August 2020). The quote above is in line with Miranda’s (2007) observation where she noted that the absence of community participation in decision-making in the implementation of housing development is a major obstacle that can lead to failure in community development initiatives.

Some community members reported that they had no time to participate in the housing project due to personal issues. For example one participant cited lack of time to attend as a factor. ‘I have insufficient time to attend meetings’ (Interview, 13 August 2020). The study also found that participants did not recognise that abstaining from participatory development hindered any development projects in their community. The other issue that was that participants did not understand their lack of commitment was impacting on housing delivery processes.

The study also found that the community did not have reliable community representation and that it did not trust other stakeholders. This finding is in line with Cirolia et al (2016) who argue that unequal representation of all interested parties can hinder planning processes.

Evidence from the study showed that the beneficiaries of the housing project were from diverse ethnic groups hence they had different interests. A beneficiary reported that ‘Most people here have no understanding and awareness of how to include people with different backgrounds or ethnic groups and their needs’ (Interview, 13 August 2020). Another participant added that each group wanted to dominate others and benefit from more from the housing project. Another participant said that:

We always experience really high volume of issues all the time with all different issues, experience, interest and gender plays a role. Why? Because they don’t want to be dominated by other groups. Disgruntled groups mobilize to disrupt Service Delivery until they are heard and recognized (Interview, 30 April 2020).

The issues raised by the participant are common countrywide. South Africa is called the capital city of protests and many of these protests are to do with service delivery. Many communities mobilise to protest over little and lack of service delivery and some in some instances disrupt service delivery in neighbouring areas or within their communities because the delivery might not be what interest groups expect. Another participant noted that:

Self-vested interest is one of the greatest factors that hinder community participation and resultant disruptions to projects/developments. In example, if informal dwellings are rented out within an informal settlement to be developed, the formalization process will disrupt this economic activity, which community leaders may have interest in as well as their control over the settlement. (Interview, 1 October 1, 2020).

Self-interest by particular stakeholders was blamed for lack of participation in the housing project. The study found that the housing project at Payneville Extension 1 could have progressed much faster, but disruptions were, and disagreements were the hindering factors to participation. The disruptions and destruction caused by protests increases the budget of the housing project. This was also echoed by Moatasim (2005) who noted that when involvement is used as an end to development process it tends to be consuming time and often times it becomes difficult to justify the budget as more money is needed.

The findings of the study also revealed that low community involvement was to some extent influenced by socioeconomic factors, political-cultural factors and also not understanding the role and importance of communities in participation. A participant cited common barriers that prevented people from participating as lack of knowledge and others cited poor communication as a hindrance. One beneficiary reported that ‘We lack of awareness, and there is poor communication and information sharing amongst community members (Interview, 13 August 2020). Another participant pointed out that ‘Limited information on the project does not give us a chance to participant in the housing project’ (Interview, 13 August 2020). All these factors hindered community participation at Payneville Extension 1.

### **Strategies to enhance community participation in housing provision at Payneville Extension 1**

This section presents the findings on the strategies that the community of Payneville Extension 1.

I think community members should encourage and promote active representative participation by engaging community members in education and learning about their own community issues and factors that influence their lives. Continuing to work actively in order to enhance the leadership skills and capacity of community members and their leaders. Everyone must be open to using the full range of strategies to work towards long term goals and sustainability. Normal active rewards

to those that dedicate their lives and wiliness to learn and to promote ownership of acquiring skills for future use. (Interview, 23 July 2020).

The findings of the study are similar to those of Ismail *et al.*, (1997) who point out “a range of strategies that could be used in practice, including attending community meetings organized for discussion of a particular issue; neighborhood forums; co-option of representatives onto governing bodies; user panels; public question-and-answer meetings”. Fourie (2001) also found that steering committees that included all interested parties such as representatives, stakeholders and local authorities in a project can enhance community participation.

The start of democratic South Africa in 1994 was approached with energy and enthusiasm by a number of South Africans, who were previously disadvantaged by the apartheid systems for years. To the Black communities of South Africa, the emergence of the new political dispensation meant simply elimination of such development challenges such as poverty, poor service delivery, housing and discrimination. To the majority of Black South African participation means you matter, you important. Whilst this boost majority of this black people to sick their own personal development which in turn boost our economy, that is how essential community participation is. The strategy is simply give them skills to further themselves, let the participation be meaningful, get them to be actively involved in every part of the project, let make contribution, run meetings to a point there in control of their own development (Interview, 30 April 2020).

The above is in line with Thomhill and Hanekom (1995: 41) who note that “to enable citizens to participate and communicate intelligibly, frankly, legitimately and in a truthful manner, they should have a basic knowledge of and skills in the citizen participation processes”. However the authors note that energetic and educated citizenship develops with mindful effort to improve it. The locals should have certain stimuli to encourage involvement in specific projects and activities. A participant commented that; ‘We must have inductions that explain participation clearly, the meaning and implication of participating in the housing project (Interview, 17 August 2020). This is in line with Thomhill and Hanekom (1995) who note that “education is one of the most useful means of deliberate action to equalise divergent approaches, for example, by affluent areas or disadvantaged groups”. A participant noted that:

Community mass mobilization, social interest and action, meaningful citizen participation and local services development by communities and skills development programmes that benefits communities in a long run than short term (Interview, 29 September, 2020).

In addition to skills development participants cited public inclusive meetings and communications as a strategies that enhanced community participation.

Frequent community Imbizo and media communications (process introduced as an approach to resolve issues in relation to social media networks in order to consult regularly with citizens about policies) (interview, 21 September 2020).

It is clear that meetings and communication through mass media can be used as a strategy to enhance community participation. A participant said: ‘EMM must ensure that communication reach everyone (Interview, 17 August 2020). Other participants agreed that the use of more communication lines and considering all aspects of the diverse demographics and conditions is a strategy that can enhance public participation at Payneville Extension 1 and other areas within EMM. Other participants cited a good rapport between all involved would enhance participation as noted by two participants. One participant said that ‘It is always a good sign to be honest and communicate all stages of the project at times (Interview, 17 August 2020). The other participant said:

You know frank and honest engagement should be held with the community-based stakeholders, as to what will/can be delivered within a given development/housing solution, as not to create expectations that cannot be delivered (Interview, 1 October 2020).

Another participant said

Community participation/engagement should take place on a regular basis, with due regard to the stages of housing developments (Interview, 1 October 2020).

Most of the participants concurred with the statement above. They pointed that regular engagement was key in enhancing community participation as people look forward to one particular week where their voices are heard and issues taken into consideration. Some reported that regular engagement does not only enhance participation but that it is also a platform where the community learn about all the completed and new phases of the housing project. Hence a participant said ‘When we commit to participate to the project and when everyone involved this will in turn encourage all of us in this area to participate’ (Interview, 17

August 2020). These findings are in line with Fourie (2001) who pointed out that the right of residents to depict their thoughts about management and administrative issues; a need for the opportunity to exchange ideas; and well-discussed inputs for decision-making is imperative.

#### **4.9 Conclusion**

Community participation is vital because it builds awareness among stakeholders on decisions made in the provision of their housing. This chapter highlighted that when communities participate in a project they make the stakeholders to be accountable of the housing project and the quality and standards of the houses to be delivered. The chapter also highlighted that there is a need to involve the community to a greater extent in decision making and development project in order to increase the degree of trust and avoid confrontations that often times led to the delays and costly incurrences of a project. Although there hindrances to community participation, the chapter revealed different strategies that could be used to overcome them through the promotion and enhancement community participation. Participants wanted community participation to be the watchdog of the delivery of housing in the study area.

## **CHAPTER 5 CONCLUSION AND RECOMMENDATIONS**

### **5.1 Introduction**

This chapter outlines the conclusions and recommendations of the study. The aim of the study was to identify strategies for ensuring qualities of decent work in co-operatives. The aim of the study was to scrutinise the nature of community involvement employed in the housing delivery processes in Payneville Extension 1 at Ekurhuleni Metropolitan Municipality. The study was aligned to objectives and research questions to elicit its data. The objectives were as follows 1) To understand the concepts community participation and housing delivery, 2) To examine the level of community participation in the housing delivery processes in Payneville Extension 1, Ekurhuleni Metropolitan Municipality, 3) To explore the factors in favour and against community participation in the housing provision, 4) To identify and evaluate strategies used towards enhancing community participation in housing provision at Payneville community. This chapter therefore summarise the key findings in relation to the objectives of the study. It also provides conclusions to the study and then offer recommendations that could improve community participation in any project that benefits communities. The chapter then provides a summary of the study.

### **5.2 Summary of key findings**

The findings in this study helped in revealing and confirming that community participation in the housing delivery can only succeed when communities are involved in the decision-making processes of a project.

#### **5.2.1 Understanding community participation**

Evidence from the study showed that the participants were aware of the concept community participation. Participants understood that community participation entails engaging the community as stakeholders for the service delivery of projects in their respective areas and making sure their participation was meaningful at all times. The participants also understood that community participation was a way of directly involving people in community development in this instance the delivery of housing where they take part of projects in communities that are meant to eradicate their problems. The study revealed that community participation implies that local communities have to be involved and encouraged to participate for the success of the housing project and to hold the local government accountable.

In addition, the participants in this study all agreed that community participation was a process of engaging the stakeholders from an affected community in order to reach mutual understanding for a project planned and implemented in their community from which they might benefit. This section highlighted that community participation involved the engagement of individuals and communities in decisions making process in issues that affect them. The findings of this study put emphasis on beneficiaries of a project playing a part in decision-making processes particularly people who are normally excluded from the decision processes that affect their own lives. Hence community participation is about directly involving community members in decisions that affect their lives and contribute to their empowerment.

#### **5.2.1.2 Defining housing delivery**

It is clear that housing delivery for the poor and low-income bracket population in South Africa is part of the government strategy to redress the unequal development post-apartheid. Hence all municipalities strive to provide decent housing in both rural and urban areas like Payneville the study site in Ekurhuleni Municipality as stipulated in the South African Constitution of 1996. The study revealed that South Africa's housing policy mirrors that of the western world where social housing for low income and poor populations is a strategy to alleviate homelessness and poverty. The study also reveal that while the developed countries have slowed down their delivery of low-cost housing due to the 2008 economic crisis, the South African government continues to push through the construction of decent shelter for its citizens.

All the participants in this study understood what housing delivery entails. Participants agreed that housing delivery was the responsibility of the EMM. The study found that the local government or municipalities are key actors and assigned to deliver houses in their respective jurisdictions. Participants also agreed that housing delivery was the government's effort to provide decent shelter to those who cannot afford it through their municipality (EMM). The study also revealed that housing delivery affordable housing earmarked for the low income and poor people or communities such as Payneville Extension 1.

#### **5.2.2 The level of community participation in housing provision in Payneville**

This study revealed that participation can be used to neutralize people's voices. There were protests that erupted in the study site hence the EMM invited the community to participate in the project. However, some participants reported that they were not involved in decision making processes on the design and type of houses they would prefer. This implies that participants were consulted and informed about the

project but their decisions were not included in the design and other issues to do with the housing project as described by Arnstein (1969) ladder of participation which points out to the degree of tokenism.

Some participants viewed their participation as tokenism. Participants were many instances invited to meetings by the EMM but that was only to make them feel as part of the project and to pacify dissident voices. Although the participants complained about lack of involvement in decision making they accepted the already made decisions as their interest was in being provided with shelter.

The Payneville community had a platform where they could raise their concerns in relation to the housing project. Concerns were communicated to the stakeholders by community representatives. Participants reported that community participation in their area was meaningful and nonmanipulative as most of their issues were addressed and some incorporated into processes of delivering the houses at Payneville Extension 1. However, not all participants agreed with that view but saw the invitations to the meetings as generally tokenistic.

#### **5.2.2.1 The link between community participation and housing delivery**

This study revealed that community participation was intertwined with housing delivery. Participants linked housing delivery and the construction of low-cost houses with community participation. It was apparent that engaging community as stakeholders in the housing project was vital and that the absence of community members would lead to disagreements and disruptions of the project. Participation was viewed as the catalyst to processes and activities that communities can be engaged in, in the delivery of their housing. Community participation was also linked to the delivery of housing as it involved community members making decisions, identifying areas where the houses could be built and also being involved in the actual construction of the houses. Participants also indicated that failure to incorporate communities in the project would be meaningless as they are the ones who first identify a problem that needs to be solved by the government and its stakeholders.

#### **5.2.3 The benefits of community participation in housing delivery at Payneville Extension 1**

The study revealed that public participation is good for both development of the community and democracy as it close the gap between those who administer and those who are being administered. The more the community was involved the more it became aware of the affairs of government or the municipality, and the more a good rapport was developed between community and stakeholders. Participants saw community participation as a crucial aspect of housing delivery. Participants agreed that

community participation enhances and creates awareness among stakeholders and beneficiaries on the housing project in Payneville Extension 1. The study also revealed that community participation is a building block of trust among beneficiaries, stakeholders and community leaders.

It was clear that the inclusion of community members in the delivery of housing and making decisions implies that even when the unpopular decisions are made by default, or supported by the people, they would take responsibility for them. Evidence from the study also showed that ownership of the project was one such aspect that benefits the beneficiaries. When community members have a sense of ownership of a project they contribute to its success and protect it. Involving community members in public participation and decision-making processes improved the quality of decision making in projects. The results of this study showed that a sense of ownership was one of the main benefits of community participation in housing delivery at EMM.

Community participation benefited the community by empowering the individuals to a certain degree. For instance it provided opportunities for stakeholders to promote development in the area and the involvement of beneficiaries in the housing project also influenced public choices that contributed towards the project decisions. Community participation also gave community members the opportunity to hold the EMM accountable for the service they provide in this case houses. Some participants benefited through skills enhancement by learning to lay bricks and other tasks needed in the construction of their houses. Others' self-esteem was enhanced as they were given a voice to raise their concerns and expectations without being undermined by others. In this study community participation certainly empowered the community members and also opened doors to exchange ideas and share information and knowledge in an otherwise closed environment.

#### **5.2.4 Factors that promote community participation in housing delivery at Payneville Extension 1**

There are several factors that promote community participation. The findings of this study found that participation was significant for community development as it is about delivering a long-term development approach which seeks to attaining human rights so that people would enjoy the right to participation. Participation can be promoted only when community members and individuals play a role in decision-making particularly among those people who are usually not involved on the decision-making processes that affect their own lives.

Community participation can also be promoted by getting everyone involved. Public participation can also be promoted in different ways, including circumstances where people express their own opinions on the development of their communities, they set goals and create plans around them, supporting organization structures around their communities and offer different services. Thus, when communities are allowed to participate, it encourages them to work collectively as a unit for their own advantage, and for them to create a sense of ownership for their programs.

Most participants agreed that some form of policy promotes participation as it guides communities in ways to participate in issues that affect them. However, others were of the view that community participation can be promoted by taking communities are taken through municipal programs and workshop as part of community development through. This, they pointed out would be the most transparent route to promote meaningful participation. It was clear that when stakeholders engage all community members and build a good rapport with an affected community this could lead to less protests and disruptions. This could also lead to solutions that can bring about the delivery of houses on time and saving money for other projects in Payneville Extension 1.

#### **5.2.4.1 Factors that hinder community participation in housing delivery at Payneville Extension 1**

The study highlighted a multitude of factors that influence poor community involvement in development programs like housing delivery as poor leadership (self-interest), ignorance also lack dissemination of project related information. Other factors that were mentioned included dictatorship, exclusion, and lack of communication and commitment from community members and stakeholders. The absence of partnerships in development projects was also cited as an obstacle to community participation.

Some obstacles to participation involved the community members forgoing participation due to political and social pressures. In some instances, the lack of support by the community for the housing development project due to limited involvement of the community particularly the affected community in planning and design hindered participation in the study area.

The diverse ethnic groupings was also cited as a hindrance to community participation as each group had different interests. These groups often times clashed over who benefited most from the project. Self-interest in particular by the stakeholders was blamed for the lack of participation in the housing project. Stakeholders were blamed for putting obstacles to participating because the community members did not want to upset them in case they would not be allocated a house. The housing project at Payneville

Extension 1 could have progressed much faster but disruptions were, and disagreements were the hindering factors to participation. The disruptions and destruction caused by protests increased the budget of the housing project.

Low community participation was to some degree influenced by socioeconomic factors, political-cultural factors and also not understanding the role and importance of community participation. The most common barrier to participate was lack of knowledge and poor communication as a hindrance. Lack of awareness and poor communication and information sharing curtailed community participation in the study area. In addition limited information on the project did not allow community members to participate in most of the meetings.

#### **5.2.5 Strategies to enhance community participation in housing provision at Payneville Extension 1**

Evidence from the results of the study highlighted a range of strategies that could enhance community participation. The strategies cited included among other things public meetings that are well established to make effective discussions about issues; neighborhood forums; co-option of representatives onto governing bodies; user panels; public question-and-answer meetings. A steering committee was also cited as key in enhancing community participation as it would include all the interested parties such as representatives, stakeholders and local authorities in a project.

The dissemination of information through the media was another strategy that was cited as a strategy to enhance community participation. Participants agreed that the use of more communication lines and considering all aspects of the diverse demographics and conditions is a strategy that can enhance public participation at Payneville Extension 1 and other areas within EMM. In some instances participants noted that a good rapport between all involved in the project enhance participation.

Education was also a strategy that was listed an important strategy that can enhance community participation. The study found that when community members are have basic knowledge of and skills in the community participation processes they are bound to commit themselves to participate in projects that benefit them. Participants needed to be inducted on the importance of participation and the implications of participating or not participating. This implies that education is one of the most useful means of enhancing participation particularly in disadvantaged groups like those residing at Payneville Extension 1.

Most of the participants concurred that regular engagement was key strategy in enhancing community participation as people look forward to one particular week where their voices are heard, and issues taken into consideration. For instance regular engagement was viewed as not only strategy to enhance participation but also a platform where the community could learn about the completed and new phases of the housing project.

### **5.2.6 Recommendations**

1. Community participation should be inclusive and genuine. Encourage a culture of involving communities to participate in projects that benefit them.
2. Stakeholders must build a good rapport with community members so as to eliminate conflicts.
3. Community members' should be involved from the initiation of the project that is in designing and planning in order to avoid disruptions.
4. Since most project fail due to political interference, it is recommended that projects should not be politicized as some beneficiaries might lose if they do not belong to the right political party.
5. There should be communication between the stakeholders and the communities they serve.
6. Discourage tokenism and top down decision-making processes. All participants must be encouraged to contribute towards a project that benefit them so that they can claim ownership.

### **5.2.7 Conclusion**

This study sought to understand the nature of community involvement in the provision of housing processes in Payneville Extension 1 at Ekurhuleni Metropolitan Municipality. The findings of this study were consistent with the literature reviewed in chapter two (2). The study revealed that community participation is key to a successful project. It creates awareness among stakeholders on decisions made in the provision of their housing. The findings of the study found that when communities are engaged in a project they take ownership of the project and take responsibility whenever there is a default. The involvement of the community in decision making and development processes increases and the degree of trust and smooth running of the project and conflicts that tend to lead to the delays and costly incurrences of a project can be avoided. While the study highlighted the hindrances to community participation, participants and stakeholders offered different strategies that could be used to overcome them through the promotion and enhancement community participation.

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## APPENDIX A: INFORMED CONSENT FORM

TITTLE OF THE RESEARCH PROJECT:

AN ANALYSIS OF STAKEHOLDER PARTICIPATION IN COMMUNITY HOUSING IN  
PAYNEVILLE EXTENSION 1, EKURHULENI METROPOLITAN MUNICIPLALITY

**Researcher** Themba Orvall Maluleke

**Contact Details** Berkley Office Park  
Unit 8, 8 Bauhinia street  
Techno Park Highveld, Centurion  
01556  
P O Box 11439, Zwartkops, 0051

**Contact Numbers** 081 531 5443 / 012 665 0618

My name is Themba Orvall Maluleke, and I am a Masters Student at the University of Kwa-Zulu Natal School of built environment and development studies. I am conducting a research in provision of human settlements through stakeholder engagement and participation: evidence from Ekurhuleni housing settlements, in fulfilment requirement of Master in Social Science.

### Why doing this research?

The study aims to collect information to understand the level in which communities are involved in provision of human settlements through stakeholder engagement and participation, drawing evidence from the ekurhuleni housing settlements. I will be conducting interviews with the stakeholders and Beneficiaries such as the community representatives, facilitator, and donor, funding agency, government officials and consultants. The idea is to spend approximately 15 to 20 minutes with each individual and

ask some related questions to the study.

### **Why inviting you to participate in the study?**

You are invited to participate in the study because of being a community leader and a representative, your contribution with the funding of the project and your involvement as the provider of human settlement housing programme within the Ekurhuleni municipality and most importantly the recipient of the housing project.

### **What are your responsibilities in this research?**

As the researcher I will you questions about your participation and engagement in relation to provision of human settlements, and your tasks / responsibilities is to answer this questions honestly and honourably without fear or favour, in regards to provision of human settlements through stakeholder engagement and participation.

### **What will be your benefit from participating?**

The at-most benefit is that what you say is very important and your contribution is valuable, which will contribute in improving provision of human settlements through stakeholder engagement and participation to better quality of lives and contribute to self-sustainable development of our country. Your contribution will assist other municipalities and communities to provide human settlements better through participation and stakeholder engagement.

### **Are they risks involved for you if you participate?**

Zero risks involved, the researcher will keep the information private and confidential, when the study is concluded no names are mentioned and the answers you gave won't be linked to your personal name unless written consent is obtained and when confidential information is used your identity won't be disclosed or used but disguised to protect you from any harmer where possible.

### **Will anything happen to you if you decide not to be part of the research?**

Participation to the study is strictly voluntary; you have all the rights to refuse to participate or to answer any related questions asked, if at any point during the interview you not comfortable with any questions, you have the right to stop or choose not to answer the question. By doing so this won't have any

consequences whatsoever to you or your family at all.

**Do you have any questions to ask?**

If you have any concerns, questions or queries related to the study please do not hesitate to contact my supervisor Mr. Ndwakhulu Tshishonga, who can be contacted at 031 260 2822 during working hours to clarify.

**Declaration by the participant**

I .....( Full names of the participant) hereby confirm that I understand the content and information contained in this document and the nature of the research of the project, and I consent to participate in the research study proposed above. I clearly understand that I am at liberty to withdraw, decline from the interview / project at any time, should I decide to do so.

**Signature of Participant**

at .....(place).....(day of).....(date) of 2019.07.24

.....( signature).....(time)

**Declaration by the Researcher /**

**Interviewer**

I hereby declare that I have explained the content and information which are contained in this document to the voluntary participant and provided him or her with adequate sufficient time frame to ask questions and to answer them clearly. I am completely satisfied that he or she understands the contents of the research project they participating on.

**Signature of Interviewer**

at.....(place).....(day  
of).....(date) of 2019.07.24

.....( signature).....(time)

## **APPENDIX B: QUESTIONS FOR PARTICIPANTS**

### **Demographic information**

- age
- gender
- Race
- employment
- Education level

### **Questions for Participants**

1. What is your understanding of community participation?
2. How can you define housing delivery?
3. What is the link between community participation and housing delivery?
4. What is the role of community participation as project manager at EMM?
5. What are the benefits of community participation?
6. What are the factors that promote community participation?
7. What are the factors that hinder community participation?
8. Which strategies can be used to enhance community participation?
9. What is the level of community participation in housing provision in Payneville?

## APPENDIX C: INTERVIEW SCHEDULE

### Stakeholders interview Schedule

Stakeholder	Occupation	
1	Architect	23 <sup>rd</sup> July 2020
2	Executive Manager	30 <sup>th</sup> April 2020
3	Project Manager	21 <sup>st</sup> September 2020
4	Project Manager	29 <sup>th</sup> September 2020
5	Executive Manager	01 <sup>st</sup> October 2020

### Beneficiaries interview Schedule

Participants
1. 4 <sup>th</sup> August 2020 - 11 <sup>th</sup> October 2020
2. 4 <sup>th</sup> August,2020 - 11 <sup>th</sup> October 2020
3. 4 <sup>th</sup> August,2020 - 11 <sup>th</sup> October 2020
4. 4 <sup>th</sup> August,2020 - 12 <sup>th</sup> October 2020
5. 4 <sup>th</sup> August,2020- 12 <sup>th</sup> October 2020
6. 4 <sup>th</sup> August,2020- 12 <sup>th</sup> October 2020
7. 4 <sup>th</sup> August,2020- 12 <sup>th</sup> October 2020
8. 4 <sup>th</sup> August,2020- 12 <sup>th</sup> October 2020
9. 4 <sup>th</sup> August,2020- 12 <sup>th</sup> October 2020
10. 4 <sup>th</sup> August,2020- 12 <sup>th</sup> October 2020
11. 4 <sup>th</sup> August,2020- 12 <sup>th</sup> October 2020
12. 4 <sup>th</sup> August,2020- 12 <sup>th</sup> October 2020

13. 5<sup>th</sup> August 2020- 12<sup>th</sup> October 2020

14. 5<sup>th</sup> August 2020- 12<sup>th</sup> October 2020

15. 5<sup>th</sup> August 2020- 12<sup>th</sup> October 2020

16. 5<sup>th</sup> August 2020- 12<sup>th</sup> October 2020

17. 5<sup>th</sup> August 2020- 12<sup>th</sup> October 2020

18. 5<sup>th</sup> August 2020- 12<sup>th</sup> October 2020

19. 5<sup>th</sup> August 2020- 12<sup>th</sup> October 2020

20. 5<sup>th</sup> August 2020- 12<sup>th</sup> October 2020

21. 5<sup>th</sup> August 2020- 12<sup>th</sup> October 2020

22. 6<sup>th</sup> August 2020- 12<sup>th</sup> October 2020

23. 6<sup>th</sup> August 2020- 12<sup>th</sup> October 2020

24. 6<sup>th</sup> August 2020- 12<sup>th</sup> October 2020

25. 6<sup>th</sup> August 2020- 12<sup>th</sup> October 2020

## APPENDIX D: ETHICAL CLEARANCE



20 December 2019

Mr Themba Orvall Maluleke (218085840)  
School of Built Environment & Development Studies  
Howard College Campus

Dear Mr Maluleke,

Protocol reference number: HSSREC/00000542/2019

Project title: An Assessment of Community Participation in Housing Delivery in Payneville Extension 1, Ekurhuleni Metropolitan Municipality

### Approval Notification – Expedited Application

This letter serves to notify you that your application received on 11 September 2019 in connection with the above, was reviewed by the Humanities and Social Sciences Research Ethics Committee (HSSREC) and the protocol has been granted **FULL APPROVAL**

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

This approval is valid for one year until 20 December 2020.

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

Yours sincerely,



Dr Shamila Naidoo (Acting Chair)

/ms

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Humanities & Social Sciences Research Ethics Committee  
Dr Rosemary Sibanda (Chair)  
UKZN Research Ethics Office Westville Campus, Govan Mbeki Building  
Postal Address: Private Bag X54001, Durban 4000  
Website: <http://research.ukzn.ac.za/Research-Ethics/>

Founding Campuses:  Edgewood  Howard College  Medical School  Pietermaritzburg  Westville

INSPIRING GREATNESS

## APPENDIX E: PERMISSION LETTER TO CONDUCT RESEARCH

### OFFICE OF THE CITY MANAGER

To: Mr Themba Orval Maluleke

From: Dr Mashazi  
City Manager

Enq: Thabo Nzoyi  
[Thabo.nzoyi@ekurhuleni.gov.za](mailto:Thabo.nzoyi@ekurhuleni.gov.za)  
(011) 999 – 0796



Cnr Cross and Roses Streets  
Germiston  
Private Bag X1069  
Germiston 1400  
South Africa  
Tel: (011) 999-0796  
Fax: (011) 999-1811  
[city.manager@ekurhuleni.gov.za](mailto:city.manager@ekurhuleni.gov.za)  
[www.ekurhuleni.gov.za](http://www.ekurhuleni.gov.za)

Dear Mr Maluleke,

#### RESEARCH ASSESSING COMMUNITY PARTICIPATION IN HOUSING DELIVERY IN PAYNEVILLE EXTENSION 1, CITY OF EKURHULENI.

The Office of the City Manager acknowledges receipt of your request to conduct research assessing community participation in housing delivery in Payneville Extension 1, City of Ekurhuleni.

Permission to conduct research is hereby granted provided it does not interfere with assigned responsibilities.

You are welcomed to engage with Mr Andile Mahlalutye, Head of Department: Human Settlements who will assist you in coordinating the people you wish to interview.

Yours sincerely,



DR IMOGEN MASHAZI  
CITY MANAGER

17/12/2019  
DATE