

**The Implementation of the National Development Plan and its Impact on the Provision of Sustainable Human Settlements: The Case of Gauteng Province**

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## DECLARATION

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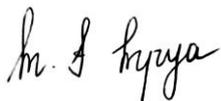
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## ABSTRACT

This study aims to assess the implementation of the National Development Plan (NDP) and the impact it has had on the provision of human settlements in Gauteng. This dissertation has used qualitative research methodology. This nuanced approach has enabled an elaborate exploration and understanding of the NDP as a policy strategy, and provided the tools to measure its impact on the provision of human settlements in Gauteng. For this research, the participants were selected purposively based on their expertise in the field of human settlements. The researcher conducted in-depth interviews with 15 senior policymakers in the Gauteng Department of Human Settlements and South Africa's National Department of Human Settlements and collected data on human settlements, which fed, into the findings and recommendations of the dissertation. This study has argued that housing policies in South Africa have evolved since 1994, moving away from redress and distribution to an approach of creating sustainable integrated human settlements. It has also assessed how the Gauteng Department of Human Settlements set out to generate inclusive and integrated settlements through the creation of "new towns". The building of these "new towns" is in line with the provincial government's mandate of delivering integrated human settlements in the province. South Africa's Department of Human Settlements and the Gauteng provincial government introduced the Megaprojects in 2014 as a R100billion economic corridor investment, which aims to provide 800 000 housing opportunities across five corridors in Gauteng.

Despite these initiatives, the provincial Department continues to face several constraints such as population growth, migration, unavailability of land, housing backlogs, a high rate of informal settlements, corruption, poor implementation of policies, and a lack of economic growth and budgetary constraints. The dissertation's findings suggest that these challenges need to be tackled at the policy level: the Department of Human Settlements must prioritise implementation, good governance and promote greater professionalism within the housing sector in order to achieve these targets. The study further found that policymakers must also view housing as a specialised field that requires extensive consultation and implementation plans that are carefully tailored to address any challenges that the Department of Human Settlements could potentially encounter during the implementation phase. Only with these changes, can these targets be met.

## **KEY TERMS**

Accelerated and Shared Growth Initiative for South Africa

Department of Human Settlements

Gauteng Department of Human Settlements

Gauteng Partnership Fund

Growth, Employment and Redistribution

National Development Plan

Reconstruction and Development Programme

Sustainable Human Settlements

United Nations Human Settlement Programme

Upgrading of informal Settlements Programme

## **LIST OF ACRONYMS AND ABBREVIATIONS**

AMCHUD: African Ministers Conference on Housing and Urban Development  
ASGISA: Accelerated and Shared Growth Initiative for South Africa  
BNG: Breaking New Ground  
DFA: Development Facilitation Act  
DRDLR: Rural Development and Land Reform  
FLISP: Financed Linked Individual Subsidy Programme  
GDP: Gross Domestic Product  
GEAR: Growth, Employment and Redistribution  
GNU: Government of National Unity  
HDI: Human Development Index  
HEF: Housing Equity Fund  
ICESCR: International Covenant on Economic, Social and Cultural Rights  
IDP: Integrated Development Plan  
IMF: International Monetary Fund  
IRDP: Integrated Residential Development Programme  
HIDF: Housing Institutions Development Fund  
MDG: Millennium Development Goals  
MIF: Mortgage Indemnity Fund  
MTSF: Medium-term Strategic Framework  
NDP: National Development Plan  
NGP: New Growth Path  
NDPG: Neighbourhood Development Partnership Grant  
NGO: Non-governmental organisation  
NHBRC: National Home Builders' Registration Council  
NHF: National Housing Forum  
NHFC: National Housing Finance Corporation  
NURCHA: National Urban Reconstruction and Housing Agency  
NUSP: National Upgrading Support Programme  
PFMA: Public Finance Management Act  
PIE: Act Prevention of Illegal Eviction and Unlawful Occupation Act

RDP: Reconstruction and Development Programme  
RHLE: Rural Housing Loan Fund  
RSA: Republic of South Africa  
SDG: Sustainable Development Goals  
SPLUMA: Spatial Planning and Land Use Management Act  
UN: United Nations  
UNDESA: United Nations Department of Economic and Social Affairs and United Nations  
UNDHR: United Nations Declaration of Human Rights  
UISP: Upgrading of informal Settlements Programme  
UNFAH: Unblocking Finance for Affordable Housing in South Africa  
UN-Habitat: United Nations Human Settlement Programme  
UNHRP: United Nations Housing Rights Programme  
USDG: Urban Settlements Development Grant  
WCED: World Commission on Environment and Development  
WRA: Welfare Regime Approach

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## **CHAPTER ONE**

### **BACKGROUND OF STUDY AND ITS SETTINGS**

#### **1.1 Introduction**

Human settlements are characterised by physical, social, cultural and organisational elements, which sustain local communities. It has become increasingly difficult for policymakers, who are at the forefront of economic growth and development, to balance different social, economic and environmental factors in their strategies and ideas for the future development of human settlements. According to Khumalo (2019a), although a number of international Conventions have been ratified in attaining adequate and sustainable human settlements, this issue remains a challenge globally. Some global policies like the 1976 Vancouver Declaration of Human Settlements argue that the quality of human settlements generally determines the enabling conditions to satisfy one's basic needs. The declaration further advocated enhancing implementation, strengthening coherence and coordination, avoiding duplication of efforts and reviewing progress in implementing the goals of sustainable development.

Integration of economic, social and environmental dimensions are therefore key to achieving the 2030 UN Sustainable Development Goals. Cohen (2006: 25) states that in seeking to achieve the 2000 UN Millennium Development Goals (MDGs) by 2015, the international community's unprecedented agreement on objectives towards the eradication of poverty and hunger relied mostly on how well developing country governments managed their cities. He further argued that the South African government has sought to fulfil its obligations to deliver socio-economic rights within the framework of its national strategy of action - Vision 2014 – as well as the MDGs, and now the SDGs. In South Africa, the barometer of progress towards the achievement of the MDGs was the efficient and equitable delivery of public services. While significant gains have been made in areas such as access to basic water supply, improvement in service delivery remains a major priority. In 2015, the MDGs ended, with not all the eight goals having been achieved. The United Nations SDGs 2016 came into effect in January 2016 and will continue to guide UN development policy and funding until 2030. An increase in urbanisation has created several challenges, including growing numbers of informal settlers, increased air pollution, inadequate basic services and infrastructure, and unplanned urban sprawl. Developing countries like South Africa must manage their urban planning and management better, to ensure that their urban spaces are more inclusive,

safe, resilient and sustainable. For this to happen these countries must formulate and implement human settlement policies that take into consideration the socio-economic challenges of marginalised communities.

## **1.2 Background of the study**

In April 1994, South Africa held its first democratic elections. The African National Congress (ANC) won the elections with a 62.6% majority to head the Government of National Unity (GNU). A new government meant that new public policy frameworks needed to be formulated to redress the injustices of the apartheid era. Between 1960 and 1983, the apartheid government had forcibly removed 3.6 million black South Africans out of urban areas and far away from their places of work, (Bundy, 2014: 34). This created a barrier for black South Africans to access basic services, social benefits and active participation of the economy. Despite many reforms by the ANC-led government to address the legacy of apartheid, rolling back these racial imbalances proved to be a daunting task.

South Africa's newly democratically elected government of Nelson Mandela learned early on that where people live and work matters. Therefore, it is not surprising that the South African government changed the Reconstruction Development Programme (RDP) in 1994 to the Growth, Employment and Redistribution (GEAR) in 1996 and then adopted the National Development Plan (NDP) in 2012. The ANC discussion document (1994) states that the RDP was a policy framework for integrated and coherent socio-economic progress. The plan sought to mobilise the South African population and its resources towards the final eradication of the legacy of apartheid. The ruling party's goal was to create a democratic, non-racial and non-sexist future. In this sense, the RDP represented a vision for the fundamental transformation of South African society. According to Knight (2001), GEAR was a macroeconomic plan endorsed by the South African Department of Finance in June 1996 as a five-year plan to ensure economic growth, high rate of employment, and redistribution of income and socio-economic opportunities for the poor majority. However, good intentions do not always lead to positive outcomes. One of the key lesson learnt in this regard is that if public policy strategies are poorly implemented or formulated, they can have adverse long-term effects on the government and its people. South Africa's National Planning Commission (NPC) set up a public policy strategy to address the challenges of apartheid's geographical landscape and to create the conditions for more humane and environmentally sustainable living and working environments. This strategy is aimed at aligning with the 1996 South African Constitution,

particularly the provisions in the Bill of Rights that affirms the right of 55 million South Africans to live in a healthy environment, to have access to adequate housing, as well as to basic services.

The NDP was launched in February 2013 by the Minister in the Presidency for National Planning, Trevor Manuel. The plan is country's long-term socio-economic guideline until 2030. It was adopted as a roadmap for South Africa's future socio-economic development plan at the ANC's Mangaung conference in December 2012. The plan was hailed, at the time, as a visionary policy document by policymakers, the private sector and, to a more significant extent, civil society, except for the country's powerful labour unions. Some in civil society, as well as the public and private sectors consider the plan, to be the most reflective, self-critical, strategic initiative and nuanced policy document to have emerged from the ANC government in two decades. According to Herbert and Murray (2017), a primary premise of the *National Development Plan 2030: Our Future – Make it Work* is that, on the current trajectory, after more than two decades of democracy, South Africa would not be able to achieve its objectives of eradicating the legacy of apartheid. While the National Development Plan (2012: 260), asserted that a great deal of progress has been made since 1994, it decried the fact that South Africa was far from achieving the RDP's key objectives of "breaking down apartheid geography through land reform, more compact cities, decent public transport and the development of industries". It is crucial that in the current economic climate in 2020, any new human settlements delivered by the government need to be integrated into established communities. Thus, human settlements need to be in the right geographical area and linked to comprehensive economic outcomes. According to Glossop (2008), the national government's housing growth plans provide an opportunity to improve the use of housing as an enabler of economic growth. However, housing policies will need to be responsive to domestic economic development conditions. In recent years, policymakers and political leaders at the national, local and provincial levels have begun making stronger links between housing and economic development in formulating development policies to address socio-economic challenges.

### **1.3 Problem statement**

For the past two decades, the South African government has embarked on several development policies to address the country's housing crisis. These policies have been unable to adequately address this crisis due to a number of challenges, such as poor policy implementation, corruption, housing backlog, migration, and population growth. Chapter Eight of the NDP describes the

challenges facing the state in providing sustainable human settlements to previously disadvantaged communities. It acknowledges that, while more than 3 million housing units have been delivered since 1994, the housing deficits keep increasing. It is for this reason that government is under tremendous pressure to develop appropriate mechanisms that will result in integrated human settlements rather than just more houses built.(DOH, 2004).

According to Statistics SA (2019: 11), Gauteng province has the largest share of South Africa's population, with approximately 15.2 million people (25.8%) living in this province. The province is the country's economic hub. With the introduction of the NDP, the Gauteng provincial government decided to align its human settlements projects to the plan, while taking into consideration the challenges that the province continues to face. Seven years later the policy is already facing its own set of challenges. This study will thus focus attention on Gauteng province as a case study of the implementation of the policy in the provision of human settlements. From the preceding argument, it is evident that there are continuing challenges in human settlements in South Africa to ensure effective socio-economic development. However, the limited scope of this study makes it essential that a clear and concise research problem be identified, assessed and interrogated succinctly, and transparently, without underestimating the challenge of the magnitude of the transformation and provision of human settlements in order to ensure the equitable participation of all South Africans in the economy and society.

#### **1.4 Research Questions**

Based on the background provided above, the key research problem identified by this study is:

**Will the effective implementation of the NDP, result in the adequate provision of human settlements in Gauteng, considering the number of challenges facing the implementation of human settlements policies, as well as the overwhelming need for housing in South Africa's most populous province?**

It is important to assess whether the implementation of the 2012 National Development Plan has an impact on the provision of human settlements in ensuring that South Africa's government meets the objectives set out in the plan and whether the right public policy strategies are in place to address these challenges. Considering this context, the researcher aimed to answer the following five key questions:

1. How does the NDP compare to development policies such as the RDP, GEAR and ASGISA in the provision of human settlements in South Africa?
2. Was there a difference in how the Nelson Mandela (1994 -1999), Thabo Mbeki (1999 -2008) and Jacob Zuma (2009 – 2018) administrations understood the issue of human settlements?
3. Are South African policies on human settlements in alignment with global trends?
4. What are the complementary roles of local, provincial and national governments in the implementation of the NDP?
5. What are the challenges, constraints and obstacles of the National Development Plan in the provision of human settlement in Gauteng province?

### **1.5 Aim/purpose**

The aim of this study is to assess the implementation of the NDP and its influence in addressing the challenges facing the South African government in providing sustainable human settlements in Gauteng Province. This assessment will give an indication of whether the policy has managed to make a difference in the way in which the government provides human settlements to the poor in the province. The Department of Human Settlements in Gauteng has attempted, since 1994, to implement various policies to address the housing crisis. Unfortunately, these policies have been unable to achieve these aims, hence, the Gauteng provincial government's alignment of its human settlements projects to the NDP.

### **1.6 Objectives of the study**

This study has six key objectives:

1. To assess how the NDP compares to development policies such as the RDP, GEAR and ASGISA in the provision of human settlements.
2. To examine whether there was a radical difference in how the Nelson Mandela (1994-1999), Thabo Mbeki (1999-2008) and Jacob Zuma (2009-2018) administration understood the issue of human settlements and what has been the impact of policy implementation and evolution.
3. To understand the NDP's conceptualisation of the human settlements–economic development nexus.

4. To examine the various constraints and challenges impeding the NDP from achieving its aims, specifically in providing human settlements in Gauteng province.
5. To assess how the three spheres of government (national, provincial and local) have worked together in Gauteng to provide human settlements.
6. To provide concrete recommendations on how to address the challenges and constraints uncovered in the study findings.

### **1.7 Research design**

According to Trochim (2005: 26), research design is a way to structure research by revealing the manner in which all of the main pieces of the research project work to attempt to address the main research questions. Any analysis of human settlements, urban and rural areas in South Africa depends on a clear picture of physical boundaries. However, it is important to assess where a city, an urban area, or human settlement physically begins and ends. The literature exhibited several methods to establish the boundaries of a city or urban area (Churchill, 2004). This research utilised a qualitative methodology to answer the six key questions listed above comprehensively.

The qualitative method offered participants a more detailed approach to elaborate on issues than would be possible in quantitative methods. Furthermore, the researcher had the opportunity to ask follow-up questions to participants by tailoring subsequent questions to the information that the 15 participants interviewed had provided.

### **1.8 Research Methodology and Data Analysis**

The primary approach in this study is qualitative methodology, which consisted of five key methods employed in qualitative research:

1. Purposive sampling
2. In-depth interviews
3. Qualitative Content
4. Discourse analysis
5. An extensive literature review focusing on public policy frameworks from diverse perspectives in the public sector on transforming human settlements into sustainable development. The focus of this literature review is mainly on public policy frameworks used to formulate and determine the NDP's impact in providing human settlements in Gauteng.

## **1.9 Delimitation and limitations of the study**

This study assessed the implementation of the NDP and the impact it has on the provision of human settlements by the Gauteng provincial government. The researcher interviewed 15 senior officials in the National and Provincial Department of Human Settlement, who are involved in policy formulation and implementation. Since the NDP has not been fully implemented, it will be challenging to assess whether the national, provincial and local governments have managed to meet all of the key objectives of the plan in the area of human settlements. Furthermore, since the NDP was adopted in 2012, several changes have taken place within national, provincial and local government. South Africa has held three elections since the NDP was introduced in 2012. A national election took place in May 2014 in which the ANC won the overall vote by 62.15%. In August 2016, the country held its municipal elections, and the ANC won 53.9% of the overall vote. In May 2019, the ANC won the national election by 57.5%. Elections tend to result in a reshuffling of cabinets, legislatures and councillors. Therefore, some senior officials who were involved in the initial implementation of the NDP are not in the same positions that they were in before these polls.

Between 2009 and 2018, President Jacob Zuma made several changes to the national executive: 62 changes to ministerial positions, 63 changes to deputy ministerial positions and one change to the deputy presidency (*Business Day*, 2017). The Ministry of Human Settlements went through several changes under the Zuma presidency. From 2009 to 2013, Tokyo Sexwale was the Minister of Human Settlements. In July 2013, he was replaced by Connie September. After the 2014 elections, Lindiwe Sisulu was appointed the Minister of Human Settlements. After the 2019 national elections, President Cyril Ramaphosa appointed a new cabinet. In his address, he spoke about the need to merge some of the country's ministries. This led to the appointment of Lindiwe Sisulu as the Minister of Human Settlements, Water and Sanitation. To ensure the integrity of this study, it was imperative to interview senior policy makers involved in the implementation of this policy. The focus of this study is to assess the implementation of the NDP and the influence it has had on the Department of Human Settlements' provision of sustainable human settlements in Gauteng Province. The study was limited to policymakers who are tasked with implementing the housing policy at the Department of Human Settlements at National, provincial and local government with a specific focus on Gauteng. This study did not focus on human settlements in the other eight provinces in the country, nor on housing during the apartheid era.

## **1.10 Ethical Consideration**

Ethical consideration in research is essential. Ethics are the benchmark for conduct that differentiates between right and wrong. This research ensured that all participants approached to participate in this research did so free from coercion. Participants could withdraw their participation at any time without negatively influencing their involvement in the study. This dissertation refrained from any use of offensive, discriminatory, or other unacceptable languages, especially in the formulation of questions for the interview. Furthermore, this study ensured that the privacy and anonymity of participants remained of paramount importance. This study also properly acknowledges various works of other authors used in the research dissertation with the use of a referencing system, consistent with the University of South Africa (UNISA) referencing guidelines. This study is non-partisan and focuses on the data collected, analysed and interrogated. To ensure the validity of this study, each interview needed to be conducted with full disclosure and the consent of all participants involved in the study. This dissertation was objective and accurate according to the research collected regarding the progress that these government departments and administrations have made in changing the spatial patterns created by the apartheid government, in order to ensure that poor people have access to quality housing and living conditions. Finally, as this is an academic research study, it maintained the highest level of objectivity in discussions and analyses throughout the research.

## **1.11 Layout of Chapters**

The outline of the six chapters of the study is as follows:

### **1.11.1 Chapter One: Background of Study and its Settings**

Chapter One is an introductory chapter that outlines the structure of the study. It provides a background to the study, a problem statement, key objectives, research methodology and an outline of the six Chapters.

### **1.11.2 Chapter Two: Theoretical Foundations of Housing Development and Management in Developing Countries**

Chapter Two provides a literature review on housing and development policies in South Africa and examines the importance of housing and economic growth policies. The chapter highlights applicable approaches to housing, trends, restrictions and tendencies in various countries such as

Ethiopia, Namibia and Angola.

### **1.11.3 Chapter Three: South Africa's Policy Frameworks on the Transformation and Provision of Human Settlements from 1994 to 2012**

Chapter Three focuses on South Africa's policy framework on the provision of housing and human settlements, between 1994 to 2012. This chapter provides a more extensive background to various housing and development policies with specific reference to Gauteng province. Furthermore, it analyses the NDP's efforts to provide and transform sustainable human settlements in South Africa

### **1.11.4 Chapter Four: Research Methodology**

Chapter Four discusses the research methods and designs that were utilises in this study to collect the data, as well as its sampling methods. The dissertation used a qualitative approach to assess and evaluate whether the implementation of the NDP has had an impact on the transformation and provision of human settlements, with specific reference to Gauteng province.

### **1.11.5 Chapter Five: Presentation and Interpretation of Findings**

Chapter five focuses on presenting and interpreting the findings of the data collected. The findings are intended to provide concrete information, which could assist in assessing the influence the implementation of the NDP has on the provision of human settlements.

### **1.11.6 Chapter Six: Conclusions and Recommendations**

Chapter Six includes a summary, conclusions and recommendations based on the previous chapters. The conclusion addresses the questions raised in the introductory chapter.

## **CHAPTER TWO**

### **THEORETICAL FOUNDATIONS OF HOUSING DEVELOPMENT AND MANAGEMENT IN DEVELOPING COUNTRIES**

#### **2.1 Introduction**

This chapter seeks to discuss the theoretical foundations of development and the economic significance they have had on housing policies in developing countries. Several development concepts and earlier debates around the importance of housing to economic growth are discussed at length in this chapter. Furthermore, the chapter examines critical elements that have contributed to the evolution of national development policies in developing countries in their quest to provide housing to their citizens. The chapter discusses the history of housing development in Sub-Saharan Africa, and recent trends of housing development, which developing countries such as Ethiopia, Angola and Namibia have chosen to adopt. Additionally, the chapter analyses literature that has informed South Africa's human rights approach to housing, first reviewing the legal framework under apartheid and post 1994. This chapter seeks to provide a nuanced perspective of both primary and secondary sources to place in context the importance of government linking development policies to housing and human settlements programmes in order to address the socio-economic challenges faced by developing countries while at the same time ensuring sustainable growth in the economy. It reviewed a wide range of literature on development, sustainability and the role that housing has played in these subjects.

#### **2.2 Early Development Theory and the Role of Housing**

For most of the 1940s and 1950s, development was mainly equated with economic growth. Halperin (2007) asserts that there are various conceptions of development and approaches to the subject. However, regardless of the method, development is concerned with the relationship between it and governance. In the 1970s, the focus on basic needs was promoted by Paul Streeten and other scholars. Their perceptive influenced the creation of the United Nations Programme's Human Development Index (HDI), which used health and education measures together with Gross Domestic Product (GDP) to calculate an overall index of development success (Bawa and Seidler, 2009: 24). The HDI was introduced by Mahbub ul Haq and Amartya Sen. They shifted the focus of development discourse from GDP growth only, to people and their wellbeing. Haq believed economic growth policies had to be merged with distribution policies and social development to be

sustainable and equitable. Their index reflected life expectancy, education and welfare, as well as wealth. Although the index listed the merits and failings of 175 countries, his focus was not on developed countries, but in the developing ones.

Bawa and Seidler (2009: 24) asserted that the International Monetary Fund (IMF ) and World Bank structural adjustment programmes were viewed as a way to address failures in various development policies introduced by the government which had led to debt, corruption and bloated bureaucracies. In developing countries, there is less of an incentive to invest. The social difficulties of citing development that assumed economic growth should be a top-down approach. This approach resulted in widening the gap between the rich and the poor and worsening levels of HIV/Aids, environmental concerns, crime and the weakening of social fabric in spite of sustained economic growth in many developing states (UNDP, 2011).

Artku (2006: 379) argued that post-colonialism in most developing countries embraced capital formation growth with enthusiasm. Between the 1950s and 1960s, development was mainly viewed within an economic growth framework, with development economists rejecting any investment in housing as a meaningful development strategy. The notion of human development changed the way development theory was understood in a two ways. First, it outlined the gaps in approaches centred on states that used macroeconomics factors to differentiate various development conditions and to assess development. Second, development as human development emphasises the importance of the state. It assigns the state a significant role in protecting and advancing sustainable human well-being and argues the need for just and socially-oriented state policies that improve the access of all people to human resources investments, productive assets, physical infrastructure, and protect the legitimate interests of producers, consumers, workers and vulnerable groups in society. As development policies have changed, so have different approaches.

## **2.2. 1 Studies on Housing Development: Historical Traditions and Explanatory Approaches**

The number of disciplines in housing have provided several theoretical and empirical perceptiveness on issues relating to it. However, the lack of integration with other fields has resulted in criticism of its theoretical foundation. Doling (1999) asserts that to differentiate comparative housing studies and assess development of concepts in the field has been to arrange them into two concepts: convergent and divergent. Convergent studies emphasise the view that the primary trend in the evolution of housing systems is to homogenise policies. Divergent studies present the view that policy strategy is

built by national political, social, and cultural structures. Policy frameworks and their effects come about through the complex interaction of systematic structures and patterns within institutions, ideologies, and behaviour in national housing systems; changing the landscape from broad economic, demographic, technological, social and political changes (Kemeny, 1992: 52). The development of the comparative housing paradigm led an evolution in the discourse about trends towards divergence and convergence. This study approaches development from an economic, political, and social perspective. All three aspects are integral to analysing South Africa's National Development plan portfolio with specific reference to housing.

### **2.2.2 Transformative social policy approach**

Mkandawire (2007: 13) argued that social policies are implemented in order to meet several ranging goals, including nation building, redistribution, reproduction, and eradicating inequality. For example, in countries such as South Africa, the apartheid government ensured that it pursued political, social and economic opportunities by ensuring that its housing policies benefited the white minority population, (Ntsebeza and Hendricks, 2010). Housing is a complex issue that is crucial for national development in terms of the economy and welfare. A significant part of housing policy development and its function is based on the role that housing plays within the system of welfare provision. Housing for a long time was viewed to be one of the four main pillars of the welfare state, (Eglin, 2017). Many believe that governments have a crucial role to play in the provision of urban structure, including urban residential infrastructure, since such an approach has public goods elements and some natural monopoly characteristics.

The study of welfare states became compatible with advanced capitalist economies and the developed world (Gough, 2004). Some scholars believed in the deployment of Welfare Regime Approach (WRA) in developing countries. As they believed that social, policies could play an essential role in ensuring economic growth. However, Fine (2011: 02) argued that WRA is incapable of dealing with global social and political changes. Mkandawire (2007: 14) observed that the literature on welfare policies in the developed countries focused on the issues of justice and dignity. Transformative social policy is crucial in bringing together the socio-economic challenges in redefining the various roles of social policy, particularly production and redistribution (Mkandawire, 2004). Social policy is conducive in reshaping society towards integrated development. Transformative social approach acknowledges the importance of social and economic integration in policies, and the impact of social policy on the economy, human capability

functioning, social relations, and social institutions. Like most developing countries, South Africa is faced with the challenge of determining innovative policy in a manner that includes its poor majority, while ensuring sustainable development.

### **2.2.3 Sustainable Development Approach**

In the developing world, sustainable development is viewed within a context of sustainable economic growth, while in the developed world; the focus is on environmental issues (Esben and Ramboll, 2000). Sustainable development is characterised by a development component that includes economic, cultural, and social issues. The goal of the developing countries should consist of stimulating growth in a manner that addresses the needs of poor people. Sustainable development has become the cornerstone of community development and planning literature (Jepson, 2007). However, in practice sustainable development is considered outside the norm. Initially, sustainable development was seen as a component of macroeconomic development and, recently it has been utilised in human development, and housing (Choguill, 2007). Bawa Seidler (2009: 25) asserts that there are two systems, which are crucial for sustainable development; they are:

1. First, a viable economic system continuously produces goods and services in order to maintain manageable levels of government debt.
2. Second, a socially sustainable system should be able to carry out distributional equity and provision of basic services.

Initially, the idea of sustainability emerged from human settlements literature and, since then it has addressed issues of housing and development. Sustainable housing refers to housing that is defined by social justice, economic viability and communities, (Morgan and Talbot, 2001: 321). When we discuss housing, the first concept that comes to mind is sustainability (Morgan and Talbot, 2001). The quality of dwelling life is not merely about the house that has been built, but rather about one's social and economic setting. In order to develop sustainable housing, housing initiatives must be socially acceptable, economically viable, environmentally friendly and technically feasible (Choguill, 1999). Usually, in concepts of sustainable development, these three aspects are treated as separate but interrelated entities (Giddings et al., 2002). The concepts behind sustainable development are shaped by the different world views of citizens and organisations, which influences the formulation of the issues and actions proposed. Concepts around development stress the need to take a "whole systems" approach that appreciates emergent properties, complexity, and intersections (Giddings et al., 2002: 187). One must also conserve and enhance the resource base

because if needs are to be met on a sustainable basis, the earth's natural resource base must be conserved and enhanced. Policy evolution is required to cope with high levels of consumption growth. There needs to be a clear link between technology and nature to ensure risks are managed. In developing countries, the focus should be on enhancing technological innovation to ensure that they respond effectively to challenges of sustainable development.

In addition, sustainable development has attempted to prioritise the environment and avoid pollution and waste. One of the key characteristics of sustainability is its focus to promote the global community's well-being in terms of jobs, health, education and function. Fairness, equity, and justice are some of the values that characterise sustainability. It is precisely because of these characteristics that sustainable communities see the value in preserving a healthy environment, which provides the habitat, food, and shelter (Centre for Global Studies, 1999). Such redevelopment is usually focused around urban centres to encourage living, working, shopping, and playing within walking or biking distance. This approach is emphasised to help balance our reliance on private automobiles. Otherwise, cities are more spread out than needed; more land is undergoing development than is needed. Consequently, too much time, fuel and money are consumed to meet daily needs (Centre for Global Studies, 1999).

According to the Centre for Global Studies (1999), sustainable building processes allow outputs to be used in one process and certain inputs for another. In addition, sustainable building sources require renewable energy. Sustainable building processes are created in a way that can last for centuries and still fit in communities by providing them with green and open spaces (Centre for Global Studies, 1999). Thus, sustainable development provides a vision for the revitalization of urban communities. In 1992, at the UN conference in Rio de Janeiro on Environment and Development, various states conceded that it was important to promote sustainable building processes.

#### **2.2.4 Social Development Approach**

Noyoo and Sobantu (2017), Patel (2005), Midgley (1995; 2011) have argued that the provision of housing has an impact towards social development; hence, it should be seen from a rights-based context in order to promote equality, social justice, human rights, and dignity. The UN's response to distorted development was the introduction of social development as the most suitable social welfare approach posited to improve the social and economic circumstances of the poor, especially

in post-colonial Africa, Noyoo (2015). Midgley (1995) asserts that social development is defined as a “process of planned social change designed to promote the welfare of the population as a whole in connection with a dynamic process of economic development. Globally, development is perceived as an approach that emphasises socio-economic gains that must result in discernible changes in people’s lives with regards to quality housing, healthcare, education, sanitation and clean water to mention a few (Midgley, 1995).

In the South African case, the post-apartheid government has made progress in promoting social development with the introduction of RDP, which focuses on economic growth and eradicating poverty. According to Lee (2017), housing as a basic human need contributes massively to the functioning of individuals, families, and communities. The social development approach takes into consideration the holistic environment of the communities, as opposed to individualization universal in the remedial approach practised in the apartheid era. To ensure efficient and effective use of resources, welfare services in a developmental model are rendered in a pluralist manner, which involves partnerships from the Non-profit organisations in the public and private sectors. Patel (2005: 96) notes the 1997 White Paper for social welfare serves as a cornerstone for social development as the key to sustainable growth.

### **2.3 The emergence of Development Plans in Africa**

It is important to acknowledge that medium- and long-term planning policies are not new concepts—in either South Africa or other developing countries, Lopes (2013). Between 1960 to 1970s, the South African apartheid government introduced its five-year economic development plan, which guided the government of the time's motives concerning planning. Zelda (2013: 8) states that the new democratically elected South African government focused on RDP policy, which was a policy intended to redress the policies of the apartheid government. However, the policy was abandoned in favour of GEAR. Development plans on the African continent began after independence in the 1960s and focused on policies for three to five years' time span. According to Lopes (2013), the first stages of development policy planning among Africa countries continued until the 1980s. Lopes further states that these development plans were not as successful as the governments had envisioned, which he believes is due to the deficiencies in the plan documents and the failures of implementation. On the one hand, the impact of neoliberal structural adjustment programs ensured that the many African countries during the 1980s and 1990s period moved away from development plans because of the support of Bretton Wood institution.

Zarenda (2013: 8) argues that the era of macroeconomic stability emphasised the reduction in public sector institutions, privatisation and reduced government spending and budget deficits. These changes resulted in high unemployment, reduced social service delivery and human capital development and poor growth outcomes. The present period has witnessed many countries adopting long-term development visions and planning frameworks with more ambitious growth and development objectives than before. An important part of the development planning has a focus on accelerated growth, employment creation, structural transformation and sustainable development (Lopes, 2013: 8). Unlike the 1960s and 1970s, these plans have incorporated a mixture of state and market-based approaches, therefore promoting public and private partnership in the development process. Lopes argued that these governments realised that to ensure these plans meet their objective they need to embark on the process of a participatory consultative approach to plan, involving not only the private sector, but also various stakeholders from civil society, decentralised constituencies and development partners. Furthermore, development plans, at times, consider various global and continental goals and frameworks. Lopes further states that these development plans have several challenges. These challenges include making sure that all the relevant stakeholders were involved in the consultation phase, prioritising funding in line with development aspirations, and strengthening capacities to implement projects and programs. Khumalo (2019b) asserts that the biggest problem is that the majority of the cities of the formerly colonised state still operate within the old colonial laws and regulations further excluding those seeking a better life in cities. Additionally, for any comprehensive development plan to succeed there needs to be comprehensive effective monitoring and evaluation systems in place to ensure that feedback into the policymaking process is introduced. Lopes (2013: 9) states that African countries need to work harder to ensure that there are improvements in their planning frameworks in order to translate development aspirations and priorities into concrete results.

## **2.4 Historical housing policy trends in Sub-Saharan Africa**

Literature on housing policies in post-colonial Sub-Saharan Africa focused on continuing the colonial approach to housing development. Dalberto (2013) argued that housing development needed to be seen through a modernisation framework, which emphasised that the state needed to play an interventionist role. Most of the newly independent African countries addressed the issue of the rapid growth of cities through urban development and planning, eradication of slums and development rental housing to reduce the demand for formal housing (UN Habitat, 2016). However,

like their predecessors' majority of housing policies created by colonial states, public housing provision benefitted those that worked in urban areas. Senegal (5%) had the highest expenditure concerning slum removals; followed by Tanzania (3.5%); Kenya (3.2%) and Sudan (2.67%). Unfortunately, this led to countries destroying more housing than they build. In the 1960s, some of the countries came to the realisation that slum removals and provision of formal housing were exorbitant and failed to benefit the poor living in urban areas.

According to Ndimbira (2014), South Africa is different from other post-colonial African countries in that it became a democratic state in 1994. Most post-colonial African states began to adopt acceptable housing policies that focused on uplifting poor communities. The South African government was of the view that it needed to remove informal settlements in favour of formal settlements; however, the government failed to bridge the gap between supply and demand (Wilkinson, 1998). One of the most interesting debates to emerge in literature in the 1980s was about self-help. When it came to housing development, the World Bank embarked on a market-based approach to enable policies. In its 1993 publication *Housing: Enabling Markets* it established seven major enabling instruments that governments have at their disposal to 'enable housing markets to work':

1. Ensuring people had access to property rights;
2. Building mortgage finance;
3. Making subsidies accessible;
4. Providing infrastructure for residential land development;
5. Regulating land and housing development;
6. Organising the building industry and;
7. Strengthening institutions which can oversee and manage the performance of the sector as a "whole".

Some Marxist scholars argued that the World Bank approach was aimed at averting political, institutional and political challenges linked with direct funding upgrading and sites and services.

## **2.5 Recent trends on Housing in Sub-Saharan Africa**

In early 2000, Africa countries saw their GDP increase at twice the rate of the 1980s and 1990s, through high levels of foreign trade and investment (African Development Bank, 2011). This era was influenced by the knowledge that for African countries to thrive, large-scale investment in infrastructure was required in order to sustain economic transformation (Foster and Briceno-

Garmendia, 2010). In 2008, UN-Habitat also published bi-annual reports on the *State of African Cities* (UN-Habitat, 2014). Approaches to housing development in the 2000s built on the shift initiated in the previous decade away from housing to a focus on planning and related themes. This culminated in the adoption of the Millennium Development Goals in 2000. As part of Goal 7 of the MDGs, Target 11 calls for 'significant improvement in the lives of at least 100 million slum dwellers by the year 2020'. The targets were outcome-focused and thus provided scope for a range of interventions that achieved the same end. This was strengthened in the 2003 UN-Habitat report on human settlements entitled "*The Challenge of Slums*" (UN-Habitat, 2003a). In 2005, the African Ministers Conference on Housing and Urban Development (AMCHUD) was introduced with the backing of the African Union as the main consultative mechanism on promoting sustainable development of human settlements. Woetzel et al. (2014) use the example of South Africa to advocate for industrial approaches to provide housing promptly, on a large scale and at the desired cost. Indeed, there has been a return to the modernist housing policies of early post-colonial years in the shape of new and strategic national urban development plans, with little attention to the needs of the poor (Watson, 2009). Watson (2014) argues that some of the housing projects are nothing more than a pipe dream, while others become a reality and focus on low-income housing. However, these projects have faced several challenges as is illustrated by the following case studies of Namibia, Angola and Ethiopia.

### **2.5.1 Angola**

Watson (2014) asserts that in 2008 Angola introduced its National Urbanism and Housing Programme. The programme aimed to build one million houses. Watson further states that the programme outlined that, 685,000 of these houses would be funded through self-help building, while 115,000 by government and a 120,000 by the private sector and 80,000 through other means. However, like many governments in the developing world, the government found it difficult to provide a conducive environment that allowed for land allocation, services, housing finance. Cain (2014) argued that the programme resulted in the government providing 70,000 housing units in the capital city, as well as the building of what was termed 'new cities' in selected provinces. The state has heavily subsidised access (through rental and rent-to-buy schemes) as prices that were originally formulated proved to be unaffordable. Unfortunately, the housing programme is rigged with a number of challenges such as basic service provision, maintaining buildings and public areas in the projects and transport to areas of employment, (Cain, 2014; Cain, Croese and Pitcher, 2014).

### **2.5.2 Namibia**

According to Ndimbira (2014), in 2013 Namibia introduced its National Mass Housing Programme. The programme aimed to provide 185,000 low-cost housing units throughout the country by 2030. This programme required the government to build 8,800 housing units in two years. The programme was meant to contribute to the goal of eradicating informal settlements from urban and peri-urban areas, (UN HABITAT, 2013). Currently, there is no report on the progress the programme has made. However, certain literature has highlighted the challenges the programme has faced such as poor implementation, labour exploitation, mismanagement and corruption, as well as housing prices out of reach of the poor. In 2014, the government conceded that the programme had a number of challenges, which led to backlogs. However, the government announced that it would give subsidies for the purchase of certain houses, which will be affordable to the poor (Ndimbira, 2014; Pohamba 2013; 2014).

### **2.5.3 Ethiopia**

Ayenew and Martin (2009) noted that in 2005, Ethiopia introduced its Integrated Housing Development Programme, with the initial objective of providing 400,000 units. The programme targeted urban residents who were displaced because of new estate development in the city centre. The plan envisioned that the houses would be provided below cost due to the City government renting land to real estate developers (Ayenew and Martin, 2009: 25). In 2011, the government acknowledged it had built 171,000 units and because of the project, government was able to create employment opportunities and strengthen the construction sector. However, the programme had several challenges such as: low-income households could not afford the houses; residents rented out the houses as they could not keep up with bond payments; houses were located in the periphery and far away from employment opportunities (UN-Habitat, 2011). The Ethiopian government is responsible for supplying low-cost housing with finance raised at subsidised rates (Ayenew and Martin, 2009). Even with low-interest loans, the down payment and monthly payments are not affordable to 80 per cent of the population (Curran, 2007 cited in Ayenew and Martin, 2009).

## **2.6 Human Rights Approach to Housing: The South African Case**

The history of exclusion in the South African context makes housing inseparable and indivisible from the human rights discourse due to the high levels of poverty, inequality, and unemployment (Statistics South Africa 2017; 2018). The apartheid regime's housing policy was one of exclusion,

forced removals and segregation of black people into peripheral informal settlements, Ntema (2011). This spatial segregation was enforced through several Acts of repressive legislation including the Natives Land Act 27 of 1913, Group Areas Act 41 of 1950 and the Prevention of Illegal Squatting Act 52 of 1951. Furthermore, the socioeconomics of apartheid meant that whites had access to formal housing, water and sanitation, electricity and were able to live in the city centre and suburbs. Apartheid land and planning legislation ‘systematically impoverished the black majority of the population of access to land and housing in urban areas, thereby entrenching socio-economic and spatial inequality and creating the conditions for the unlawful occupation of land and property’. Under apartheid, access to land and housing was racially determined. The minority white population owned and had access to most of the land while the black majority population was relegated to what was referred to as ‘homelands’ or dormitory townships on the outskirts of cities and towns. The racialised and separatist nature of access to housing has been one of the most damaging legacies of apartheid and one that the post-apartheid government has battled to overcome, giving rise to the fact that the right to housing has been litigated more than any other socioeconomic right. The housing policies that have emerged after 1994 are the product of a negotiated settlement.

Chenwi (2015) and Dugard (2008) argued that to address the legacy of apartheid with regards to housing, the post-apartheid government pledged to place the provision of affordable housing high on its developmental agenda as stipulated by the South African 1996 Constitution. As such, housing delivery became an integral part of the post-apartheid project of redistribution, healing and nation building in the country. The South Africa constitution's position on housing is informed by the 1948 United Nations Declaration of Human Rights (UNDHR) and the 1966 International Covenant on Economic, Social and Cultural Rights (ICESCR) that highlights a rights-based approach to housing delivery. The 1996 South African Constitution, Section 26 (1) and (2) clearly states that “everyone has a right to have access to adequate housing and the state must take reasonable legislative and other measures, within its available resources, to achieve the progressive realisation of this right” (RS 1996). According to Statistics South Africa (2017), despite this commitment, the country has a housing gap of 2.1 million, while more than 7 million people have resorted to informal settlements. For South Africa, like most progressive societies, the issues of housing delivery is taken as a human right. According to Hohmann (2013) in South Africa, housing has long been at the centre of the struggle for democratisation and socio-economic rights. The ICESCR and UNDHR informed the 1996 Constitution having to come in effect in 1996 is the supreme law of the country. Section 26 (1) states, “Everyone has the right to have access to adequate housing”. The ICESCR refers to the

right to adequate housing while the Constitution talks of housing access. Due to the historical housing deficit of 1.5 million in 1994 (RSA 1994b) and 2.1 million in 2015 (Statistics South Africa 2017; Tomlinson 2015: 2) associated mainly with the black population, the urban poor are impatient of waiting for their turn to be allocated housing (Oldfield and Greyling 2015). Hohmann (2013: 1) argues that the right to housing remains one of the most “under-studied and ill-defined” elements in the human rights discourse. McLean (2006: 55) states that housing delivery has a multiplier effect on creating employment, generating wealth and contributing towards redistribution. This contributes hugely to the goals of the National Development Plan, that of fighting inequality and poverty (RSA, 2011).

Hunchzermeyer (2001: 305) has argued that there is a disjuncture, as the right to housing in the country is established in the RDP and the Housing White Paper, which defines adequate housing to mean: “Viable, socially and economically integrated communities”. For scholars such as Noyoo and Sobatu (2017), Olufemi, and Reeves (2004) this disconnect amounts to government defaulting from its mandate of ensuring the right to adequate housing. Nonetheless, the 1996 Constitution is celebrated for asserting that housing is more than just a physical structure. The constitution further states that “no one may be evicted from their home, no legislation may permit arbitrary evictions”. Both the UN and the South African Constitution, state that evictions may be carried out, if a court order has been obtained and served, and if such a process will not result in: “homelessness and distress” Chenwi (2015). The 1998 Prevention of Illegal Eviction and Unlawful Occupation of Land Act (RSA 1998) and the 1997 Housing Act (RSA 1997), clearly outlines the tenant-landlord relationship and has provided guidelines for resolving disputes between parties. According to the Department of Human Settlements (2009), the unilateral decision by the government to exclude the poor marginalised voices which resulted in most RDP settlements being in the urban periphery, away from the livelihood opportunities and created disfranchisement from services and amenities. Instead of creating inclusive, sustainable settlements, the RDP perpetuated apartheid spatial trends of townships for the poor and suburbs for the wealthy, Noyoo and Sobantu (2017).

This criticism laid the ground for the Breaking New Ground policy, which aimed to create inclusive, integrated, viable and sustainable settlements in direct response to the shortfalls of the RDP housing program. Considering the other dehumanising reality, Hohmann (2013: 1) asserts that the government has failed to comprehend the nexus between human rights, housing, and social development. The preceding discussions indicate that housing is intricately a human rights issue and

that housing delivery needs to be a deliberate, conscientious process. If the housing-related social and economic spillovers are to be achieved, then a bottom-up pluralistic planning and implementation process are imperative. With that in mind in 2010, the Presidency adopted the National Outcomes Approach, which included Outcome 8, relating to sustainable human settlements (The South African Presidency, 2010). While Outcome 8 had multiple targets relating to housing, services, land and the property market, the key target was upgrading of 400,000 households in well-located informal settlements with access to essential services and secure tenure by 2014.

### **2.6.1 Creating sustainable Housing in South Africa**

Sustainability should be the main principle to design housing and one of the important dimensions of housing quality (Morgan and Talbot, 2001). Quality of living life is not therefore, simply concerned with having a roof over one's head and a sufficient amount of living space, but also with social and psychological satisfaction. Sustainable physical design can contribute to the quality of life (Hasic, 2001: 329). Hasic observed that the social and behavioural elements of housing design are the key to the success of the residential development. The concept of urban development social sustainability is linked with the understanding of social equity, social inclusion and social capital (Bramely and Power 2009). Therefore, to develop sustainable housing, housing initiatives must be socially acceptable, economically viable, environmentally friendly and technically feasible (Choguill, 1999). The National Government is required to create an environment for social housing through the development of policy and legislation, which is responsible for providing a legislative framework and funding for social housing programmes (South Africa. Social Housing Policy, 2003:16).

The provincial government should aim to ensure fairness, equity and compliance with national and provincial norms and standards, and is responsible for consumer protection. The Provincial Government is required to provide provincial legislation, capacitate the social housing framework, mediate conflicts and administer project capital grant funding (South Africa. Social Housing Policy, 2003:17). The local government should facilitate housing while encouraging new developments and projects, provide access to land and infrastructure, assist social housing institutions, and provide grant funding and access to bridging finance (South Africa. Social Housing Policy, 2003:17). Mechanisms for housing are pointers for sustainable communities. The nine mechanisms of the Comprehensive Plan for Sustainable Development are: 1) supporting the entire residential market,

from housing to human settlements; 2) instruments; 3) institutional arrangements; 4) institutions and capacity; 5) financial arrangements; 6) creating jobs in the provision of housing; 7) awareness; 8) communication; and 9) monitoring and evaluation (Centre for Development Support, 2010). The National Housing Code (2009), states that there are five housing subsidy types available for beneficiary application.

1. The Peoples Housing Process: The subsidy supports households who want to enhance the subsidy by building or organising the building of their own houses
2. Rural Subsidies: Accessible to beneficiaries who only enjoy functional tenure rights to the land occupied. This is done on a project basis, and beneficiaries decide on how to use the subsidy.
3. Consolidation Subsidies: This subsidy is designed to afford beneficiaries of serviced stands, by the previous dispensation, the opportunity to acquire houses.
4. Institutional Subsidies: Institutional subsidies are available to qualifying institutions to enable them to create affordable housing stock for persons qualifying for housing subsidies.
5. Individual Subsidies: Qualifying beneficiaries are provided access to housing subsidies to acquire improved residential properties or to acquire a house-building contract. This option is only available to beneficiaries with access to housing credit.

## **2.7 Global Approaches: UN Millennium Goals, Sustainable Development Goal and UN Habitat**

In September 2000, world leaders gathered at the UN Millennium summit and adopted the UN Millennium Declaration, committing their nations to a new global partnership to reduce extreme poverty and setting out a series of time-bound targets, with a deadline of 2015 that have become known as the Millennium Development Goals. According to the United Nations (2000), the Millennium Development Goals (MDGs) are the world's time-bound and quantified targets for addressing extreme poverty in its many dimensions: income poverty, hunger, disease, lack of adequate shelter, and exclusion while promoting gender equality, education, and environmental sustainability. The MDGs also pursued fundamental human rights - the rights of each person on the planet to health, education, shelter, and security (UN Millennium Project, 2000). The MDGs signed by 189 countries, including 53 African states, set eight targets. These targets are:

- 1 Eradication of extreme poverty and hunger
- 2 Ensure Universal primary education

- 1 Eradication of extreme poverty and hunger
- 3 Promote gender equality and empowering women
- 4 Reduce child mortality rates
- 5 Improve maternal health
- 6 Combat HIV/AIDS, malaria and other diseases
- 7 Ensure environmental sustainability
- 8 Develop a global partnership for development

**Adapted from:** <http://www.unmillenniumproject.org/goals/gti.htm>

Satterthwaite (2007) suggests that for most of human history, the world population lived in rural areas and small urban settlements, and growth in the global urban population occurred slowly. The more opportunities available in urban areas have recently resulted in an influx of people into them. In 1960, the world reached a milestone when the global urban population surpassed one billion (UN DESA, 2012). Since then, the time interval to add one billion urban dwellers is decreasing, and by approximately 2030, the world urban population has been estimated as increasing by one billion every 13 years (Seto et al., 2010). In many developing countries, infrastructure and urban growth will be most significant, but technical capacities are limited, and governance, financial, and economic institutional capacities are weak (Bräutigam and Knack, 2004).

In 2016, an estimated 54.5 per cent of the world's population lived in urban settlements (UN DESA, 2016). Since most of the world's population lives in urban areas, national, provincial, and local governments are burdened with providing basic services to a larger population than their budgets had initially estimated. Over-concentration of populations in large cities and the emerging problems associated with housing, infrastructure, and social services, has caused many people to believe that there is an increasing trend of 'over-urbanisation' in developing countries concerning their level of economic development (Steyn, 2003). In this rapidly urbanising world, the movement of people to urban areas has put significant pressure on land, and there is a grave lack of necessary facilities like shelter and drinking water leading to the growth of slums. This has led to extreme poverty and poor living conditions. The United Nations Human Settlement Programme (2015) estimates that in 2015,

934 million people lived in slums where they lack services, live in overcrowded and substandard housing and are vulnerable to unhealthy living conditions and hazardous locations. Human settlements are characterised by physical, social, cultural and organisational factors, which sustain human communities. It is increasingly difficult for policymakers, who are at the forefront of economic growth and improvement to balance different economic, social, and environmental spheres in their strategies and ideas for the future development of settlements. The MDGs called for an improvement in the lives of at least 1000 million slum dwellers by 2030. The United Nations Conference on Human Settlements linked human settlement development with the realisation of human rights and the right to adequate housing. UN-Habitat and the office of the United Nations High Commissioner for Human Rights through their joint United Nations Housing Rights Programme are currently working on a set of housing indicators that would provide a holistic overview of progress at a national and global level and would inspire governments to respect these rights and prepare a public policy, which is pro-poor.

*Elements of housing rights indicators are:*

1. Habitability
2. Accessibility to services
3. Affordability of housing
4. Security of tenure
5. Legal framework
6. Housing assistance to the poorest

Countries such as Peru, the Philippines, France, and Uganda have recognised housing rights as a priority good. An example of this is in Article 26 of the South African Constitution, which contains provisions closely mirroring the right to adequate housing as articulated in article 11(1) of the International Covenant on Economic, Social and Cultural Rights. There is a need for a realization and recognition of housing rights, political will, and a social policy of government to provide additional institutions, as well as physical human and financial resources. Several studies have highlighted the problem of corruption in relation to the manner in which MDGs are resourced by governments on a local, national and global level. However, emerging governance models have emphasised the need for citizen participation, ownership and influence as well as inter-sectoral linkages. Civil society participation and accountability are essential for strong new policy

development and implementation approach. Unfortunately, the MDGs did not adequately address the broad concept of development in the Millennium Declaration, which comprises human rights, equity, democracy and governance. According to Kwankwenda (2015: 18), there are various reports that have assessed the progress made in achieving the MDGs on the African Continent; they have displayed mixed development among the different countries. The African Union (AU) Commission, and the United Nations Economic Commission for Africa (UNECA) provided detailed reports on the mixed progress made by African countries. The MDGs have managed to ensure that the world paid attention to the needs of the poor and drove states for the achievement of common goals. Many have viewed the MDGs as unfinished business and demanded a new round of goals aimed at addressing the large concept of sustainable development.

The Sustainable Development Goals (SDGs) were born at the United Nations Conference on Sustainable Development in Rio de Janeiro in 2012. Following the expiration of the 15 years MDGs, SDGs came into effect in January 2016, and they will continue to guide UN Development policy and funding for the next 15 years. SDGs replaced the MDGs, which started a global effort in 2000 to tackle the indignity of poverty. According to the Resolution adopted by the UN General Assembly (2012: 03), the institutional approach for sustainable development should integrate the three dimensions of sustainable development in a balanced manner and enhance implementation by strengthening coherence and coordination, avoiding duplication of efforts, and reviewing progress in implementing sustainable development. MDG 7, Target 11, focused on improving the living conditions of 100 million slum dwellers—about 5% of projected urban growth in developing countries from 2000 to 2030. According to the UN General Assembly (2012: 03), spatial inequalities are viewed in terms of the separation of specific population groups, which are characterised by poverty as well as inadequate living conditions. Moreover, rapid urbanisation, if not well managed, will lead to more informal settlements and poverty. To sharpen policies, the government must identify and quantify the slums of a city. A prosperous and inclusive city can reduce spatial inequalities. The target is not precise, nor evidence-based, nor framed to allow rigorous confirmation of achievements or failures. Most importantly, it diverts policy and public attention away from the central role of cities as the sites of production of more than 60% of gross domestic product in most countries, as well as from the role of cities in recovery from the 2008/2009 global economic crisis, and as a site of impact and remedy of climate change.

## **2.8 Conclusion**

Much of the literature on housing policies and development overlooks spatial aspects. The research focuses primarily on infrastructure rather than individuals having access to public services, including education and jobs, as well as neighbourhood quality. Government housing programmes that ignore the benefits that housing has had on economic growth may lead to its beneficiaries being socially isolated and having poor access to job opportunities. More generally, housing policy can have long-term effects on urban planning and management. Excessive and inadequate implementation of public policies by governments is a pervasive theme in the development literature. Policies on housing are essential to economic development. If implemented correctly, they have the potential to enhance economic performance and competitiveness. However, if implemented poorly, such policies can lead to segregation and spatial concentration of poverty. Most of the developing countries have made significant advances in both GDP and human development index. However, holistically, the record of development on a global scale is open to criticism. Whether we seek reform in human development policies or a radical transformation of the concept of development, it is evident that changes are required in both objectives and methods to be addressed through them. The gap between developed and developing nations and between rich and poor communities within individual countries are widening. Housing cannot be an isolated issue; it must be integrated into a sustainable development approach. Implementing an integrated response to housing and economic development will be the key to transforming the challenges faced by the Department of Human Settlement. Housing delivery in South Africa cannot be separated from the human rights and social development discourses in South Africa. It is imperative to explore the literature on other developmental housing delivery processes that consider locational issues and other socio-economic rights are essential to mitigate the legacy of Apartheid and the plight of the urban poor.

## **CHAPTER THREE**

### **SOUTH AFRICA'S POLICY FRAMEWORKS ON THE PROVISION OF HUMAN SETTLEMENTS FROM 1994 TO 2012**

#### **3.1 Introduction**

For the past 23 years, housing policies in South Africa have evolved to adapt to urbanisation, informal settlements, high rates of unemployment and fragile, low growth economy. These policies have shifted away from redress and redistribution to stimulating economic growth through sustainable development. This chapter briefly outlines government policies from 1994 until 2012 that have contributed to the current state of housing in South Africa. It is critical to analyse these policies to assess the influence they have had in addressing challenges facing government in the provision of human settlements. The focus of this chapter is to discuss the introduction and implementation process of the National Development Plan (NDP) in addressing the housing crisis in South Africa. It will analyse the impact the policy has had in redressing the challenges faced by the Department of Human Settlements in providing sustainable human settlements. Furthermore, it identifies the roles played by the three spheres of government in achieving sustainable human settlements. Additionally, it discusses the challenges and constraints faced by the Gauteng provincial government in delivering quality housing closer to services and job opportunities. Lastly, it addresses the various strategies the Gauteng Department of Human Settlements are employing to provide integrated sustainable human settlements in the province.

#### **3.2 History of Housing in South Africa**

Apartheid architects have had a tremendous impact on the evolution of housing policy formulation and implementation in South Africa. According to Bundy (2014: 83) in the 1950s and 1960s, the apartheid government legislated that black people who made up 80.2 % of the population and live in urban areas be forcefully removed from their homes and moved to the outskirts of major cities to make way for white people. Mass rehousing, forceful removals, and the demolition of homes defined state housing for the black population living in urban areas. Bundy (2014: 83) notes that South African cities carry heavy historical baggage. They were the sites of the first significant exercises in segregation in the nineteenth century. Under apartheid, they were the key arena for exclusion and social control, divided by Group Areas and Separate Amenities, policed by-laws and permits, Bundy (2014: 83). The physical and human geography of the country's cities was

drastically changed by apartheid. The government, at the time, embarked on a technocratic housing delivery approach, which was characterised by the standardisation of low-cost housing, neighbourhood planning, and township design. The majority of the black population was moved to the outskirts of the cities and forced to live in what were known as *Bantustans*. The state started subsidising housing for 10% of the white population in the urban areas, and mass housing for the black population in the country's ten homelands; Transkei, Bophuthatswana, Ciskei, Venda, Gazankulu, KaNgwane, KwaNdebele, KwaZulu, Lebowa, and QwaQwa, Bundy (2014: 83). The majority of black people lived in poverty, were unable to access credit, and therefore lacked the financial capabilities to purchase houses. However, a minority of black people who worked for the state such as police officers, nurses, and teachers were able to get credit from the private sector to purchase houses in the 1980s. During this period the government left housing production to the private sector. Due to legislation at the time, these professionals were not allowed to purchase housing in the urban areas, which were predominantly white, but only in homelands.

Pilger (2007: 197) argued that there are a number of political and economic arguments for forced removals by the apartheid government. First, between 1950s and 1960s, large-scale removals of Africans, Indians, and Coloureds were carried out to implement the Group Areas Act, which mandated residential segregation throughout the country. More than 860,000 people were coerced to move to divide and control racially separate communities at a time of growing organised resistance to apartheid in urban areas; the removals also worked to the economic detriment of Indian shop owners. Kgatla (2013) states that in 1970, the Bantu Homelands Citizenship Act became law. The law declared all black people in South Africa citizens of the Homelands. These people would be forced to apply through the Homeland under which they were relocated when, for example, they wanted to apply for a passport to go abroad. With this legislation, black people became aliens in their county of birth. Bundy (2014: 84) observed that when the apartheid project ran into difficulties in the 1970s, it was in the cities that its defences were first breached, and then overrun. Especially after 1976, the NP government found it increasingly difficult to monitor or control urban movements, and its policies unravelled. First, inner-city districts like Hillbrow went 'grey' as new residents ignored Group Areas proscriptions. Second, informal settlements sprang up on fringes of existing townships through the 1970s and 1980s: Crossroads was archetypal, as it survived, grew, and developed a defiant and uncontrolled culture challenging the premises of apartheid's urban regime. Third, in the aftermath of the Soweto rising, Urban Bantu Councils fell apart. An inescapable contradiction pressed upon the state: blacks, now most of the urban population, were

still denied citizenship. According to Bundy (2014: 83), these pressures translated by the mid-1980s into the township revolt. South Africa's cities became the significant base of organised resistance to minority rule, and the repertoire of protest developed then has been dusted down and redeployed over the past decade. He further states that hundreds of thousands of black people's land and homes were taken in what the government called "Blackspots" in areas that the apartheid government had chosen for white South Africans. In addition, some entire townships were destroyed, and their residents removed to just inside the borders of *Bantustans* where they now faced long commutes to their jobs.

Historical and political factors should be taken into consideration to understand the housing policies in South Africa. Two additional significant factors have influenced the housing policy framework in contemporary South Africa: First, the democratic election of April 1994, which resulted in a radical transformation in the local government and policy structures, and second, the immense scale and illegitimate housing policy before 1994 (Goodland, 1997). The state of human settlements in South Africa, as far back as 1992, was such that colonial and apartheid planning had left an extremely negative legacy in housing settlements of South Africa. In many cases, there was a lack of access to even the most basic municipal services, limited or no access for the poor to land for housing, and a highly disrupted housing environment, (National Department of Housing, 2004: 2).

### **3.3 Moving from Housing to Human Settlements**

Over the past 20 years, housing delivery has moved away from merely building houses to recognising the importance of providing access to resources and opportunities, which would facilitate the active participation of all citizens in the social and economic fabric of South Africa, (Joseph and Karuri-Sebina, 2014). After extensive consultation for the Breaking New Ground (BNG) plan, the Department found that the current housing concept was not sustainable as it continued the spatial planning of the apartheid era. The Department thus had to move away from this approach and find a comprehensive, integrated human settlements strategy. The Department dealt with human settlements in its entirety – bringing people closer to services, working opportunities, building homes and providing an environment that provides quality of life. This shift was evident by the introduction of the comprehensive plan for sustainable human settlements in 2009 and the renaming the Department of Housing (DOH) to the Department of Human Settlements by Minister Lindiwe Sisulu. The idea was to move away from a narrow framework to a more

holistic one that needed political and practical adjustments. It meant addressing the spatial and economic fragmentation of SA's cities would require housing policies that expanded beyond shelter concerns, to build integrated neighbourhoods and communities rather than housing, (Joseph and Karuri-Sebina, 2014: 4).

The Department of Human Settlements aimed to ensure that there is the implementation of sustainable human settlements and an improvement in the quality of lives of all citizens. Its purpose is to determine, finance, promote, communicate and monitor the implementation of housing and sanitation programmes (Department of Human Settlements, 2014). The Human Settlements sector, however, continues to be one of the most challenging areas in the social and economic environment in the country. The mandate of the department is not different from the goals of the BNG Plan. It outlines that the Minister of Human Settlements, Lindiwe Sisulu, and the Department are responsible for ensuring that sustainable human settlements are provided. However, due to the challenging nature and interdependencies of the sector, it is required that there will be a close collaboration with other ministers and departments with relevant line functions. According to Bundy (2014: 87), this underlying conception of township settlements remains fundamentally intact 15 years after liberation and after decades of conditioning black people's expectations of human settlements. Dormitory settlements were not designed to stimulate the social imagination. He further states that the post-apartheid provision of housing has not produced bold models that represent alternative conceptualisation of settlements. The statistically successful provision of houses has not extended the horizons of social imagination. When the state decides to start building houses, it did not consider that the building of houses should have been more about building communities. During this time, the view was no longer one of shelter and quantity only, but it was also about integrated human settlements and the quality of investments, Bundy (2014: 87).

### **3.3.1 Creating Sustainable Housing**

Sustainability should be the main principle to design housing and one of the important dimensions of housing quality (Morgan and Talbot, 2001). Sustainable physical design can contribute to the quality of life (Hasic, 2001: 329). The concept of urban development social sustainability is connected with the understanding of social equity, social inclusion and social capital (Bramely and Power, 2009). Therefore, to develop sustainable housing, housing initiatives must be socially acceptable, economically viable, environmentally friendly and technically feasible (Choguill, 1999).

The National Government was expected to create an enabling environment for social housing through the development of policy and the enactment of legislation. It is mainly responsible for providing a regulatory and legislative framework and funding for social housing programmes (South Africa Social Housing Policy, 2003:16). The Provincial Government is expected to provide provincial legislation, capacitate the social housing framework, mediate conflicts and administer project capital grant funding (South Africa Social Housing Policy, 2003:17). The nine (9) mechanisms of the Comprehensive Plan for Sustainable Development are: supporting the entire residential market, from housing to human settlements; instruments; institutional arrangements; institutions and capacity; financial arrangements; creating jobs in the provision of housing; awareness; communication; and monitoring and evaluation (Centre for Development Support, 2010). According to the National Housing Code (2009), there are five housing subsidy types available for beneficiary application.

1. The Peoples Housing Process: This subsidy supports households who want to enhance the subsidy by building or organising the building of their own houses
2. Rural Subsidies: Available to beneficiaries who only enjoy functional tenure rights to the land occupied.
3. Consolidation Subsidies: This subsidy is designed to afford beneficiaries of serviced stands, by the previous dispensation, the opportunity to acquire houses.
4. Institutional Subsidies: Institutional subsidies are available to qualifying institutions to enable them to create affordable housing stock for persons qualifying for housing subsidies.
5. Individual Subsidies: Qualifying beneficiaries are provided access to housing subsidies to acquire improved residential properties or to acquire a house-building contract. This option is only available to beneficiaries with access to housing credit.

### **3.4 Development Policies from 1994 to 2012 to address the housing crisis in South Africa**

For the past 20 years, the South African government have embarked on several development policies to address the housing crisis in South Africa. These policies were introduced because of the socio-economic conditions of the state and the change in government administrations. It is critical to discuss the various development policies the government introduced to address the housing crisis through the different government administrations to analyse the social conditions that led to the government introducing the NDP.

### **3.4.1 1994 to 1996: Reconstruction and Development Programme (RDP)**

In 1994, the democratically elected government led by Nelson Mandela had to tackle the massive backlog in housing and service provision and open new ways for the empowerment of the formerly disadvantaged black population. The Reconstruction and Development Programme (RDP) of 1994 and the South African Constitution of 1996, are based on a strong commitment to providing social and economic rights. Visser (2004) states that the RDP became the paradigm with which all development policies were discussed between 1994 to 1996 and ostensibly became the guiding document of the Government of National Unity. Policy negotiations were initiated in the pre-1994 era, with the National Housing Forum (NHF), which consisted of representatives from state, private, and the civil society sectors. According to Bundy (2014: 90), the private sector argued for an individual site and service model, made possible by a capital subsidy. He further argued "for each housing unit, the state made a once-off contribution, purchasing the land, granting tenure to a means-tested family - either as a site or more commonly with a building of 30 square metres. Housing is regarded as a basic human right and the delivery thereof as a convenient means to approach the inequalities" (Visser, 2004). One of the key criticism was that this target-based approach and the subsidy mechanism undermined the integration policy and exacerbated the tendency to locating housing projects on cheaper, peripheral land (Tissington, 2011).

The building of these houses on peripheral land led to RDP houses becoming another township on the outskirts of cities, often build on land previously bought or zoned for township development under apartheid. Tissington (2011) notes the idea behind the NHF was to create an agreement around a new non-racial housing and two important debates characterised this process. First, whether the government or the private sector should provide housing, and second, whether the standard should be a completed four-room house. During these debates, the new South African Constitution was being formulated, and within it, Section 26, which focused on understanding the importance of housing and tenure rights. The South African Constitution of 1996 (Section 26) states that all South Africans have the right to adequate housing. Government is therefore responsible for achieving the realisation of this right continuously.

In 1994, the Housing White Paper was launched. The white paper outlined the framework for the National Housing policy and for all policy, programme and guidelines, which followed. It highlights

the right to quality housing, as stated in the RDP. This became apparent with the National Housing goal set out in the white paper declaring that the government would build a million houses in five years. The provision of the white paper was later legislated by the Housing Act of 1997 (Act no 107 of 1997) which is the supreme law replacing previous housing legislation. It lays down the general ideals applicable to housing development and clarifies the functions of the various spheres of government. Government is required to prioritise the needs of the poor in housing development and to ensure that housing development is based on the principles of integration, participation and empowerment and that it offers a range of housing and tenure options. The urban development framework and housing policy were aligned to the Habitat agenda 1996 and stressed a more comprehensive understanding of housing, emphasising aspects such as integration, liveable communities, economic development, institutional transformation and partnerships with non-state actors. The Second United Nations Conference on Human Settlements (Habitat II), held in Istanbul, Turkey, in June 1996, recognized that more holistic, inclusive and participatory policies, strategies and actions are required to make the world's cities and communities safe, healthy and equitable. The vision set out in the 1994 white paper is the formulation of viable, socially and economically integrated communities, situated in areas allowing convenient access to economic opportunities as well as health, educational and social amenities (DOH, 2004: 19).

The White Paper further outlines the key roles and responsibilities of the different levels of government of housing in the delivery. National and provincial spheres are primarily tasked with policy development and implementation while the local government had to identify and plan for suitable, bulk infrastructure, and craft provision, decision-making and fund allocation processes to the closest local level (DOH, 1994: 35). Given the ANC's commitment to fiscal discipline and macroeconomic balance, no fiscal "space" was available for properly implementing the RDP and for the redistributive implications of its poverty alleviation programme and its emphasis on meeting basic needs, Terreblanche (2003: 109). The housing policy has been fixed in two macro policy frameworks. The housing policy provided a National Housing programme. One significant element of the housing programme is the Housing Subsidy Scheme (HSS). Critics stress that subsidised housing developments continue to be inadequately located and integrated and housing finance largely ignores the needs of the poor.

According to Visser (2004), from the conceptual phase, the new government could not implement the RDP. He further states that RDP staff lacked proper implementation skills; huge backlogs also developed in providing access to basic services. Provincial maladministration of primary nutrition

programs took place, and since 1994, there has been growing dissatisfaction with service delivery and employment creation as embedded in the RDP leading to service delivery protest. The RDP did not spell out a detailed programme for attaining its main aims. Midgley (2001: 270) states that it became clear that the country's economic and fiscal difficulties would impede the realisation of the RDP's goals. Although the new government hoped-for economic growth rates of 4-6% per annum, the actual growth rate was only slightly above the natural rate of population growth of about 2,5%. The government could not mobilize enough funds to meet the RDP's objectives without redirecting allocations from the mainstream government departments. In a climate of resource scarcity, competition among ministers was intense, and the prospect of having their budgets appropriated by the RDP administration was a contentious issue.

Most of the funding for the RDP's programmes did not come from the South African government but international donors, and such funding was generally project-based. As economic considerations began to dominate government policy in the latter half of the 1990s, the lofty social commitments of the RDP were given less prominence than the need for rapid economic growth (Midgley, 2001: 270). The demise of the RDP came about when the new ANC government encountered its first significant currency crisis, starting in February 1996 when the value of the rand plummeted by more than 25%. To ensure calm domestic capital and foreign currency markets, the Nelson Mandela government decided to shift away from a labour-driven social policy to a conservative macro-economic strategy, the Growth, Employment and Redistribution (GEAR). The ministry of the RDP was abolished in March 1996, and the office of the RDP was transferred to the office of the then deputy president, Thabo Mbeki. Between 1994 to 2014, over 2.25 million housing units have been provided, 1.2 serviced sites and 10 million South Africans have been rehoused Bundy (2014: 90). However, the housing backlog increased over this period from 1.5 million to 2.1 million units, while the number of informal settlements went up from 300 to 2225, Eglin (2017: 01). Apart from the backlog, the policy was reviewed following several criticisms of the housing programme, which include four major issues:

1. The cost of producing housing;
2. Poor geographical locations;
3. Poor quality of housing; and
4. Poor integration with other socio-economic factors.

One of the most significant criticism of the housing programme was that the delivery of housing did not alter the spatial and economic transformation of cities and towns (DHS, 2004).

There are three reasons for this lack of transformation: firstly, the high cost of suitably located land; secondly, the absence of a single property market that included subsidised houses; and finally, insufficient private sector involvement (Midgley, 2001). During this period, a growing number of households no longer qualified for subsidies due to their monthly income being over R3500. However, they were unable to access housing finance from the private sector, which showed no interest in providing loans to this income category (SACN, 2012). Providing houses is not only about shelter, but it is also about growing the value of the housing asset in order to eliminate generational poverty. According to Meyer (2002: 2), from the beginning, the government could not implement its housing policies. He further states that most of the RDP staff lacked proper implementation skills, resulting in huge backlogs in providing access to basic services. The RDP also did not spell out a detailed programme for attaining its main aims.

#### **3.4.2 1996 to 1999 Growth, Employment and Redistribution (GEAR)**

The period 1996 to 1999 saw the ANC-led government transition from RDP to Growth, Employment and Redistribution (GEAR) programme. According to Terreblanche (2003: 112), GEAR was developed by a technical team of 15 policymakers comprised of officials from the Development Bank of Southern Africa (DBSA), the South African Reserve Bank (SARB), three state departments, academics and two representatives of the World Bank. Unlike the RDP, GEAR was conceptualised without the consultation of the Congress of South African Trade Union (COSATU) and South African Communist Party (SACP). Terreblanche (2003: 112) states that GEAR was a macro-economic policy that elaborated on some of the notions within the RDP, such as strategies for tax incentives, small business development, and innovative programs and skills development. Furthermore, it was also aimed at stabilizing the country's economy during difficult economic circumstances. GEAR, together with the introduction of three key pieces of legislation:

1. The Prevention of Illegal Evictions and Unlawful Occupation Act (PIE Act), which was concerned with evictions and security of tenure;
2. The Housing Act, which focused on the methods of housing subsidy and ownership provision;
3. The Rental Housing Act, which sought to regulate all aspects of the rental sector (DOH, 2004).

The National Housing Act was intended to provide for the facilitation of a sustainable housing development process for the following purposes:

1. Laying down general principles applicable to housing development in all spheres of government,
2. Defining the functions of national, provincial and local governments in respect of housing development
3. providing for the establishment of a South African Housing Development Board,
4. The continued existence of provincial boards under the name of provincial housing development boards and the financing of national housing programmes;
5. To repeal specific laws; and to provide for related matters, (Republic of South Africa, 1997). The PIE Act was put in place in response to arbitrary evictions, which defined most of the apartheid's government approach to land, and to Section 26 of the new constitution, which states: "No one may be evicted from their home, or have their homes demolished, without an order of court made after considering all relevant circumstance.

Another critical piece of legislation was the Rental Housing Act, which emphasised the role of government in regulating the rental sector. This Act indicated a shift away from primarily focusing on individual subsidies and ownership to alternative forms tenure ((Terreblanche, 2003). GEAR argued that economic development in South Africa should be led by the private sector, and that the state should play a smaller role in the economy, McKinley (1997). Furthermore, social services that could not be provided to all, or could be undertaken more effectively by the private sector such as social assistance grants to "growth through redistribution" were to be replaced by "redistribution through growth". Poverty would be resolved through higher growth rates and the alleged trickle-down effect. In the GEAR strategy, the redistribution of income is of secondary importance. Advocates of the "trickle-down" approach regarded job creation as the main mechanism for transmitting the additional income created by high economic growth rates to the poor (Terreblanche, 2003: 83). The government's task in this was to refrain from economic intervention and to concentrate on the necessary adjustments that would create an optimal climate for private investment (Terreblanche, 2003). With the introduction of GEAR, the ANC government was criticised by scholars, civil society, and labour leaders for its change to a conservative economic policy without proper consultation. He further stated that GEAR's conservative macroeconomic framework would constrain growth, employment and redistribution, and that it would not meet the main RDP objectives. Terreblanche (2003) argued that GEAR provided minimal

fiscal stimulus to reach the required growth rate of 6% and success and was almost wholly dependent upon the response of the private sector. He believed that GEAR would increase poverty, inequality, and that income distribution would be far worse.

### **3.4.3 2004 to 2009 Policy Shifts to Breaking New Ground (BNG)**

According to Bundy (2014: 86), the ANC buckled under criticism of the RDP housing project, and, after a decade in power; it seemed that a significant overhaul in housing policy might ensue. President Mbeki, in his state of the Nation Address (May 2004), promised that a plan would go to cabinet, within months, to address the persistent poverty and urban infrastructure. In September of that year, the new Minister of Housing, Lindiwe Sisulu, won cabinet approval for a policy document called BNG. The year 2004 saw the most critical policy intervention since the Housing White Paper: the Comprehensive Plan for Housing Delivery: Breaking New Ground (BNG). The document was partly a response to Mbeki's insistence on the need for poverty alleviation, and partly the product of NGO and academic critiques of existing policy. It embraced the notion of sustainable human development, proposed that new commercial developments would be permitted only if they provided 20% low-income units (Department of Human Settlements, 2014). Moreover, they sought to change the subsidy mechanism so that in future houses would be built on well-located land. This was a response to a broader set of factors, including the Medium-term Strategic Framework (MTSF), which was designed to direct thinking for 2004–2009.

The MTSF had a clear set of priorities, consisted of the decision to intervene categorically to promote the involvement of the marginalised in economic activity, including sustainable livelihoods (The Presidency, 2008). Furthermore, the BNG was also a response to the most recent census findings, which revealed that the housing backlog was growing at a substantial rate and that the housing delivery rate had dropped (SACN, 2012: 24). In addition, there were several criticisms of the previous housing policy programme. Therefore, there was an urgent need for national housing programmes to be used more effectively in transforming apartheid settlement patterns. BNG began to view housing through the much more expansive sustainable human settlements lens, whereby interventions were intended to go beyond just building houses for the lower-income segments and included the affordable housing sector, (DOH, 2008: 35). The programme outlined the following four key proposals:

1. Speeding up the delivery of housing as a critical strategy for leveraging economic growth and creating jobs.

2. Reducing poverty and improving the quality of life for the poor by making sure that they could use their residential property as a financial asset.
3. Improving the functioning of the entire residential property market to reduce the duality between the boom in the first economy and the stagnation in the second economy.
4. Using new residential development as an instrument for spatial restructuring and integrating human settlements.
5. Following from BNG, the housing subsidy regime also saw changes. The programme was extended to households in the R3 501 to R7 000 monthly income bracket. Moreover, the following three new national housing programmes were introduced (SACN, 2012: 25):
6. Upgrading of Informal Settlements Programme (UISP): This programme provided for a community development approach, prioritising in situ upgrading as opposed to relocations, and provided serviced stands to all the inhabitants of informal settlements.
7. The Programme for the Provision of Social and Economic Amenities: This programme provided grant funding to municipalities for the provision of specific basic social and economic amenities in new developments and existing areas where such facilities were not available.
8. The programme to assist municipalities in developing the housing chapters of their Integrated Development Plans (IDPs).

There was a new emphasis on the quality of the housing product – the entire Human Settlement and not just housing – and a re-emphasis on rental accommodation and the upgrading of informal settlements. BNG put in place an approach to the "progressive eradication" of informal settlements through the integration of informal settlements into the broader urban fabric to overcome spatial, social and economic exclusion. BNG was connected to a deeper set of social and economic processes and began to make explicit the linkages between income generation and housing and to address the fact that the previous housing waiting lists – especially the area-based interventions such as relocation – were not supportive of low-income household strategies. The period 2000–2004 was instrumental in changing the face of the housing sector. It moved away from pure housing provisioning to a demand-driven period. This was pursued through the establishment of human settlements that satisfied a range of needs, including sustainability, concerns with livelihoods and the quality of the broader built environment.

#### **3.4.4 2005 – 2008: The Accelerated and Shared Growth Initiative for South Africa (ASGISA)**

In 2005, President Thabo Mbeki's government introduced a new economic development plan titled Accelerated and Shared Growth Initiative for South Africa (ASGISA), which was in place from 2005 to 2008. The introduction of ASGISA reinforced the notion that the ANC government's focus was to create a developmental state, which many had noted in its 2004 manifesto. The developmental state was based on the principle that government in partnership with business could reduce poverty by 50% by 2014. However, government realised to achieve this goal it needed to work with citizens and communities. According to the ANC Manifesto (2004), the manifesto revealed that the notion of a "people's contract" was supposed to add a democratic element into the emerging South African developmental state. Edigheji (2006) argued that unlike GEAR, that focused primarily on growth, ASGISA to emphasised attention to addressing the high rate of unemployment and poverty, without undermining economic growth. Edigheji (2006) asserts that "the ANC government committed itself to the goal of a developmental state, both in its political and policy documents, and understood the term to mean, inter alia, direct investment by the private sector in underprivileged areas, accelerating economic growth, and addressing skewed patterns of ownership and production, all with a strong emphasis on democratic governance". This resulted in government increasing housing subsidies and creating a new budget for informal settlements.

During 2006, the then Department of Housing under Minister Lindiwe Sisulu formulated a holistic comprehensive manual for the adjustment of the subsidy amounts to cater for the additional cost of precautionary measures required by extraordinary development conditions found throughout the country. The National Treasury under Trevor Manuel established the Neighbourhood Development Programme Unit to administer the Neighbourhood Development Partnership Grant (NDPG), the objectives of which were to support community development projects that provided community infrastructure. Before 2006, housing did not form part of the IDP. Besides developing the Housing Chapter of the IDP in 2006, the resource book "*Sustainable Human Settlements Planning*" was introduced in 2008.

#### **3.4.5 2010: The New Growth Path**

In October 2010, the Jacob Zuma (2009 – 2018) government introduced the New Growth Path (NGP), the new national economic policy for South Africa by the Minister of Economic Development, Ebrahim Patel. According to several economic analysts, the policy was similar to the

GEAR and the ASGISA economic policies, neither of which had made a significant impact on economic development in South Africa. The 2010 Human Development Index (HDI) issued by the United Nations (UN) indicated that South Africa was sliding down in the world rankings. An intervention by the government was needed to remedy this. Local governments in South Africa were tasked with the initiative, and broad guidelines of the NGP were to apply the policy at the local level using a bottom-up approach. Partnerships and implementation capacity were noted as prerequisites for a successful South African development path (Development Bank of South Africa: 2011). South Africa's HDI level has remained stable at between 0.5 % –0.6% over the last ten years.

The HDI level indicates the difference in the quality of life of the poorest section of the population compared to that of the wealthiest segment of the population. The HDI level of a country is measured by the United Nations and ranges between one (the highest level of quality of life) and zero (the lowest level of quality of life). South Africa's HDI level was 0.597 in 2010 compared to a world average of 0.624 (United Nations, 2010; World Bank, 2010). The country's HDI level was therefore below global averages in 2010. In the local government sphere, the NGP focused on rectifying the spatial imbalances of the past, a relic of separate development policies of the former apartheid government, by using spatial development frameworks (SDF's) to allow opportunities for the poor. The excessive number of regulations, the so-called "bureaucracy" procedures, which hamper business development at the local level, must, therefore, be removed or judiciously trimmed. The critique of the NGP as far as job creation is concerned is that it has too much focus on government intervention rather than on creating an enabling economic climate for successful private sector initiatives (Prinsloo, 2011: 1). The 2011 Development Report of the Development Bank of Southern Africa maintains that the major stumbling blocks preventing sustained development in South Africa are the lack of institutional capacity; the poor relationship between government and local communities on the ground; and a lack of coordinated interventional strategies. Political leadership also needs to be improved. Slabbert (2011: 12) believes that to achieve sustained economic development, the NGP should focus in the short term on infrastructure investment.

All three spheres of government, especially local government, have relatively weak capacity and skills levels. The lack of strong links with the private sector is also a key factor, which needs urgent improvement. The World Economic Forum (WEF, 2011) report on *The Future of Government* states that governments are globally under pressure to meet new demands and expectations. Typically, the

challenges faced far exceed the resources and expertise that are available. For governments to be effective, they must be prepared to adapt, and if necessary, restructure to cope with changing circumstances. According to Zarenda (2013: 8), the Planning Commission saw the Growth Path as the catalyst for faster growth and employment, through government investment, microeconomic reforms that lower the costs of business, competitive and equitable wage structures. The NDP recognises the complementarities between the New Growth Path and the development plan.

### **3.5 Formulation and Introduction of the National Development Plan (NDP)**

In May 2010, President Jacob Zuma appointed 26 experts, mostly outside government, to form part of a National Planning Commission to draft a vision and a national development plan for South Africa. In 2011, the commission released a diagnostic report, which identified the South African government's achievements and failures between the periods of 1994 to 2010. One of the key challenges the report addressed was a failure to implement policies and extended absence of partnerships with civil society and the private sector as the main reason for slow progress. The media, civil society, the private sector and the general population welcomed the report as a critical and constructive assessment of the progress made. The commission consulted with various stakeholders on the draft plan. The commissioners met with parliament, judiciary, national departments, provincial governments, private sector, unions and religious leaders. Their input informed the final National Development Plan. The NDP was introduced in 2013 as a long-term strategic plan. The plan serves four broad objectives:

1. First, providing overarching goals for what the South African government want to achieve by 2030
2. Second, building consensus on the key obstacles to South Africa achieving these goals and what needs to be done to overcome those obstacles
3. Third, providing a shared long-term strategic framework within which more detailed planning can take place to advance the long-term goals set out in the NDP
4. Fourth. Creating a basis for making choices about how best to use limited resources.

It aims to ensure all South Africans attain a decent standard of living through the elimination of poverty and reduction of inequality by 2030. According to the National Development Plan (2012: 260), ten core elements of a decent standard of living identified in the plan were:

1. Housing, water, electricity and sanitation
2. Safe and reliable public transport

3. Quality education and skills development
4. Safety and security
5. Social protection
6. Quality health care
7. Employment
8. Recreation and leisure
9. Clean environment
10. Adequate nutrition

The NDP and its proposals will need to be implemented in the right order between 2013 to 2030. The NDP's vision is that, by 2030, human settlements in SA would have been transformed into equitable and efficient spaces with citizens living close to work with access to social facilities and necessary infrastructure, (NDP, 2012: 260). The plan further states, despite reforms to the planning system, colonial and apartheid legacies still structure space across different scales. Many South Africans still live in poverty traps, including in the former homelands, where less than 30% of adults are employed compared to 55% in the cities. Sixteen million South African had access to social grants by 2017. Over two decades into democracy, towns and cities remain fragmented, imposing high costs on households and the economy, (NDP, 2012: 260). The housing market's enormous price cliffs also continue to act as an obstruction for the majority of black South Africans to progress up the property ladder. The NDP's directive of interconnected interventions required to address economic solutions, institutional reforms, changes to land management systems and infrastructure investment. Apartheid spatial patterns must be urgently broken and replaced with a more coherent and inclusive approach to development and urban planning. The fractured housing market also requires significant reform. Specific action (NDP, 2012: 260):

1. First, improvements to the current planning system for improved coordination;
2. Second, develop a strategy for densification of cities and resource allocation to promote better-located housing and human settlements;
3. Third, substantial investments to ensure safe, reliable and affordable public transport
4. Fourth, introduce spatial development framework and norms, including improving the balance between location of jobs and people;

5. Fifth, conduct a comprehensive review of the grant and subsidy regime for housing to ensure diversity in product and finance options that would allow for more household choice and greater spatial mix and flexibility;
6. Sixth, the national spatial restructuring fund;
7. Seventh, introduce mechanisms that would make land markets work more effectively for the poor and support rural and urban livelihoods;
8. Eighth, provide incentives for citizen activity for local planning and development of spatial compacts; and
9. Ninth, establish a national observatory for spatial data and analysis.

### **3.6 Implementation of the NDP and its Impact on Sustainable Human Settlements**

Since the NDP was officially launched in 2013, this study aims to assess whether the Gauteng Department of Human Settlements has made any significant progress regarding its plan of action of eradicating the apartheid geography while providing adequate houses. For the poor majority, the plan of action is critical as it outlines the instruments and strategies that the government must utilise to ensure it reaches its sustainable human settlements goals by 2030. Chapter eight of the NDP, describes the challenges facing the state in providing sustainable human settlements to previously disadvantaged communities, the section acknowledges that while more than 3 million housing units have been delivered since 1994, the housing deficits keep increasing. According to Koma (2012), the plan further states that the state cannot sustain the current subsidised housing delivery approach of providing free housing. It seems like the current subsidy programme will one day end, and alternatives to low-income housing delivery need to be investigated. However, this revelation is nothing new; during the Thabo Mbeki presidency, the Minister of Housing at the time came to the same conclusion. Most of the municipalities, provincial and national departments are riddled with corruption, maladministration, lack of good governance and poor policy implementation at all spheres of government (Koma, 2012). Koma further argues that the government has well-thought-out policies in place that address the shortfalls in housing developments, such as Breaking New Ground and more recently, Outcome eight; however, implementation still lags far behind.

While Outcome eight had multiple targets relating to housing, services, land and the property market, the key objective was upgrading of 400,000 households in well-located informal settlements with access to essential services and secure tenure by 2014. While this target appears to promote the adoption of in-situ upgrading at a national scale, the reality is that the definition of

'upgrading' was broadened to include the provision of Greenfield housing. Thus, the mass provision of formal housing continued, albeit with increased variation (Department of Human Settlements, 2015). In 2014 a revised Outcome 8 was published for the next five years, which targets 1,495 million 'housing opportunities' in quality living environments by 2019, comprising 750,000 households in informal settlements upgraded, 563,000 individual subsidised housing units, 110 000 loans for higher-income households, and 72 000 lower-income rental units provided by the public and private sector. To achieve these targets, the national Minister of Housing has recently announced a strategy to develop housing 'mega-projects', which has already been adopted in Gauteng, the most populous and urban province in the country (SA News Agency, 2015). Currently, these projects all relate to Greenfields delivery of formal housing and informal settlement upgrading. Professor Phillip Harrison, who serves on the South African National Planning Commission argued at a seminar hosted at Wits University in 2012, that the current subsidised delivery approach is producing dependent, inactive citizens.

Statistic South Africa (2017) notes the latest *Poverty Trends in South Africa* report shows that, despite the general decline in poverty between 2006 and 2011, poverty levels in South Africa rose in 2015. More than half of South Africans were poor in 2015, with the poverty headcount increasing to 55, 5% from a series low of 53, and 52% in 2011. Therefore, it is unrealistic for the state to expect households to meet their needs without any support from the state. Subsidisation is needed. Professor Harrison argued that addressing the housing challenges requires a cumulative "process of reform guided by a long-term perspective". The NDP sets out three areas of focus for future policy reform: the housing subsidy programme, the gap market, and Informal settlements. The focus on the subsidy programme proposes moving away from top structure investment, while simultaneously keeping in line with the Constitution and being able to find sustainable ways to provide housing for that 60% of the nation that otherwise cannot house themselves, Koma (2012). Within the gap market, the plan seeks to promote the role of the private sector by reducing the risk for the sector and incentivising them to engage at an increased scale. One of the biggest problems with housing in South Africa and beyond is the proliferation of informal settlements. Koma (2012) observed that when the informal settlements upgrading programme was introduced, it provided a refreshing way of dealing with informality, and the National Upgrading Support Programme (NUSP) supported the programme. The NDP recognises and supports the NUSP but criticised it for lacking in creativity. Statistic South Africa (2017) states "the South African economy in the last five years, notably between 2011 and 2015, has been driven by a combination of international and domestic factors such as low and weak economic growth, continuing high unemployment levels, lower commodity

prices, higher consumer prices, lower investment levels, greater household dependency on credit, and policy uncertainty". This period has seen the financial health of South African households decline under the weight of these economic pressures and, in turn, has pulled more households and individuals down into poverty, Coleman (2014).

As with other Development Plans, the NDP's core is contained in its economic proposals. The ANC's 2012 Mangaung Conference called for a radical economic shift. A radical economic shift means getting to the root of structural problems in the economy and systematically addressing them. Coleman (2014) argues that certain areas of the NDP are positive, including some proposals in the chapters on integrated human settlements, social protection, building a capable state, education and combating corruption. However, he concedes that the success of even these programmes rely on the appropriate economic strategy being adopted. For example, proposals to improve the public sector and social delivery will not be able to succeed, if the economics of the Plan denies the state the resources to implement these effectively. Therefore, it is not surprising that one of the key concerns about the NDP is that it had projected the South African economy to grow by 5% annually between 2013 and 2017; however, South Africa entered its second recession in five years. Unfortunately, due to numerous factors, the economy grew only by a dismal 0.7% annually. If this continues, the NDP objectives may not be reached in 2030 as planned. Mahlaka (2019) argued that in 2012 when the NDP was introduced, the government had fiscal room to fund its implementation, even though the Jacob Zuma presidency was riddled with maladministration and wasteful expenditure. Mahlaka further stated that in 2012 the country was still considered to have an investment-grade rating from all three credit rating agencies. The economy grew by 2.5% the South African Revenue Service was still meeting its tax revenue targets and debt, as a percentage of GDP was 51%, however, due to wasteful expenditure, destruction of SARS, numerous bailouts of state entities have resulted in two global credit rating agency rating South Africa junk status.

Cabinet decided in 2013 that the 2014-2019 Medium Term Strategic Framework (MTSF) should be the first five-year implementation phase of the NDP and mandated work to start aligning the plans of national and provincial departments, municipalities and public entities with the NDP vision and goals. It emphasises the promises made in the election campaign of the governing party, including the commitment to implement the NDP, Zarenda (2013: 6). The MTSF highlights the Government's support for a competitive economy, creation of decent work opportunities and encouragement of investment. Within the NDP framework, there are, principal policy instruments developed in the previous administration that continue to be integral to the government's policy agenda. The MTSF

is an outcome of intensive consultation and planning process involving all three spheres of government. Zarenda (2013: 6) stated that it outlines a framework for prioritising and arranging government programmes and development initiatives for the next five years. Many priorities in the NDP are not about new policies and programmes, but rather about giving effect to existing laws and policies and improving their implementation. According to the Department of Planning Monitoring and Evaluation (2014), policy uncertainty and organisational instability have sometimes impeded progress. The integral part of the NDP is the promise that government would engage with all sectors of society, which, the NDP states has a significant role to play in ensuring of poverty reduction, economic growth, economic transformation, and job creation. According to the Department of Human Settlement (2014), some 2 700 informal settlements accommodate 1.2 million households, and 713 000 households were living in backyard shacks in 2012. Many communities in former homeland areas lack both economic development prospects and effective municipal service delivery. To address these challenges, the NDP proposes an urban development strategy consisting of both economic and institutional reforms. Progress needs to be made towards breaking apartheid geography spatial patterns and integrating residential and commercial hubs in our cities and towns.

### **3.7 The Role of the Three Spheres of Government in Providing Sustainable Human Settlements**

Since 1994, responsibilities for infrastructure, spatial development and subsidies have been extensively passed on to the local level. Table 3.1 below illustrates the different types of government and the roles they play in providing sustainable human settlements.

Table 3.1

<i>Type of Government</i>	<i>Roles and Responsibilities</i>
1. National government	<ul style="list-style-type: none"> <li>- Determines the national housing policy</li> <li>- Sets national housing delivery goals</li> <li>- Facilitates provincial and local housings delivery goal</li> <li>- Performance monitoring and evaluation</li> <li>- Capacity support</li> <li>- Providing programmes and finance</li> <li>- Consultation</li> </ul>

<p>2. Provincial government</p>	<ul style="list-style-type: none"> <li>- Administers national and provincial housings programme</li> <li>-Administers housing subsidy scheme</li> <li>- Determines provincial policy and legislation</li> <li>-Coordinates housing development in the province</li> <li>- Subsidises bulk infrastructure</li> <li>-Legalises informal settlements</li> <li>- Intervention to perform municipal duties</li> <li>-Assesses an application for municipal duties</li> </ul>
<p>3. Local government</p>	<ul style="list-style-type: none"> <li>- Must ensure that the right to adequate housing is realised on a continuous basis.</li> <li>-Intensifies land and sets delivery goals in IDP</li> <li>-Initiates, plan, co-ordinates, facilitates, promotes and enables appropriate housing development.</li> <li>-Spatial development framework (SDF) through IDP.</li> <li>-Town planning schemes</li> <li>-If accredited, municipalities can administer funding through the national housing programme</li> </ul>

(Republic of South Africa, 1997: 24).

The state-assisted market delivery approach, which was predominant in the 1994-1999 era, influenced the perception of local government as an enabler of private sector investment in housing. This combined with the reluctance by the private sector to engage in low-income housing delivery and with the political interest in controlling housing, the local government shifted towards enabling self-help approaches as well as state-driven between 1999 – 2004, Visser (2004). Regarding

housing, the local government is primarily responsible for ensuring access to adequate housing continuously (Republic of South Africa, 1997: 24). Since 2004 national government has shifted towards a poverty framework combined with an interventionist role for the local government. To improve state-driven housing delivery, the Breaking New Ground policy provides reforms for greater co-ordination amongst different spheres of government and proactive land identification by the local government. Local government has a defined area of powers and function in housing policy. In terms of a constitutive function to reform laws and regulations and to set policies, it is limited to control and ensure the rule of law. The premier's office plays a crucial role in executive oversight, accountability and coordination concerning the implementation of provincial programmes and government's service delivery initiatives (Department of Planning, Monitoring and Evaluation, 2014). The National Council of Provinces (NCOP) is mandated to ensure that the interests of the province are taken into account in the national sphere of government by taking part in the national legislative processes (Ubisi, 2017). According to Neethling (2015: 3), the NCOP ensures that citizens have direct access to parliament. One of the biggest challenges that has faced the three spheres of government is the lack of intergovernmental relations support and oversight. According to Khumalo (2019a), both national and provincial government fail municipalities by not providing effective support, which results in weak oversight and non-promotion of cooperative government and intergovernmental relations.

### **3.8 The Challenges of providing Sustainable Human Settlements**

Sustainable housing has been pursued in developing nations over the past few decades but producing policies and projects that integrate all the dimensions of human and social sustainability is still a huge challenge (Choguill 2007: 144). Two major shifts in policy and programme focus were, firstly, a shift from the provision purely of shelter to building habitable and sustainable settlements and communities, and secondly, a shift in emphasis on the number of units delivered towards the quality of the new housing stock and environments (Mthembi-Mahanyele, 2002: 8). Charlton (2004: 3) states that it is widely acknowledged that South Africa's housing programme has led to the delivery of more houses in a shorter period than in any other country in the world. In comparison with housing delivery across the world, one must be impressed with what South Africa has achieved (Charlton, 2004: 3). Despite these achievements, the urban housing backlog increased from 1.5 million in 1994 to 2.4 million in 2004 (Department of Local Government and Housing, 2005). Despite the efforts of the South African Government in the provision of adequate housing since 1994, the housing sector still has to address the following 17 challenges:

1. There is a lack of capacity to deliver as a result of government's inability to develop workable policies due to inadequate funding, poor data collection systems and monitoring;
2. The challenges of national policy and provincial allocations to respond to the changing nature of demand occasioned by increased urbanisation and demographic pressure;
3. Lack of communication with communities by the government;
4. Contractors' inability to deliver adequately; Local government tends to outsource certain services such as building houses to third party providers
5. The national government has decreased the overall national housing expenditure;
6. Little attention is given by the government to non-subsidised efforts;
7. Lack of availability of well-located land;
8. Government restructuring of urban policy rather than decentralisation which would have increased economic efficiency and political accountability and by extension, a reduction in poverty
9. The extent and high rate of urbanisation resulted in the proliferation of informal settlements and unplanned peri-urban growth;
10. Pre-democratic legacies and inequalities persist resulting in the continuous unequal quality of services, housing and the urban environment;
11. Absence of sustainability linkages that should have aided the economic multiplier of housing
12. The decline in the value of the subsidy in addition to the increase in the input costs of contractors.
13. The inability of the Social Housing Programme to deliver at scale;
14. Differences in the interpretation and application of the housing policy;
15. High building costs in areas where land is more affordable but geological and topographical conditions are not ideal;
16. Limited participation from the financial sector in the financing of low-income housing
17. Significant under-spending on the budget for low-income housing by responsible housing departments brought about because of capacity shortages, especially at the municipal level.

Tissington (2010: 35) includes the following seven systemic problems that have hindered implementation:

1. Local government capacity and financial constraints;
2. The ineffective ward system; integrated development planning processes and similarly defunct bottom-up planning mechanisms;
3. Rampant evictions and shack demolitions by the state and private landlords and owners;
4. Poor inter-and intra-governmental relations; problems in the allocation of the national budget to local government around subsidised services such as water and electricity;
5. Private sector influence and reliance;
6. Soaring inflation in construction-related costs;
7. Deteriorating public education and health care system.

### **3.8.1 Informal settlements**

UN-Habitat (2017) observed that informal settlements have been a key feature of cities in developing countries for half a century. As cities have grown, so have informal settlements – shack cities, slums, shantytowns, squatter camps. According to Bundy (2014: 85), the United Nations in 2013 estimated that one billion live in informal housing. In these areas, poor people survive partly through unskilled formal sector jobs, but often in the informal sector. Bundy further states they turn to low productivity activities, eking out a living on the edges of cities and at the margins of the urban economy. Life in the informal settlements is tough – but it provides a way of accessing shelter, develops social networks, and brings people nearer jobs, transport routes and schools. According to the Census, 339,000 households in Gauteng (12% of households in the province) lived in what are known as Informal Settlements in 2001. Bundy (2014: 87) states one should not romanticise informal settlement as a form of heroism and a means of survival. Informal settlements are sites of resilience and innovation. The people who build shack homes in informal settlements are creating their own space in the city. In the process, they develop their forms of collective action and neighbourliness, overcoming a series of hurdles to establish a connection with city life. (Ndebele, 2010). Informal settlements in SA cities tend to be not on the inner city sites, but alongside and within existing townships, or on vacant land, or land alongside major roads or railway lines. According to Bundy (2014: 90), there are 2700 urban and *peri*-urban informal settlements in SA. The informal settlements vary but have key features in common: they are tightly packed, densely inhabited; their residents have no security of tenure, Bundy (2014: 90). Policy towards informal settlements across the developing world has taken various forms. At one pole is *in situ* upgrading: this begins by working with a given shack community, recognising its residents' rights to live in the city, granting the security of tenure, and then working on upgrading the

settlement, with community representatives involved in the process. Upgrading consists of the provision of services, greater protection and better prospects, but not necessarily the provision of formal housing. At the other pole is hostility to the presence of informal settlements, and a commitment to their clearance or eradication, (Ndebele, 2010). He further states the National Housing Code provides for funding to municipalities so that they can undertake in *situ* upgrading. On the other hand, most municipalities remain hostile to illegal settlements and what is dubbed land invasions, and they resort to strong-arm tactics to limit or prevent the informal settlement from taking place. Table 3.2 illustrates households living in shacks in Gauteng district municipality.

Table 3.2

<b>Households Living in Shacks in Gauteng District Municipality</b>				
Municipality	<b>Shack not in a backyard</b>		<b>Shack in a backyard</b>	
	Number of HH	Percentage of HH that live in SNIBY	Number of HH	Percentage of HH that live in SIB
Ekurhuleni	138 099	14%	80 160	8%
City of Tshwane	112 167	12%	51 847	6%
City of Johannesburg	125 748	9%	124 075	9%
West Rand	38 629	14%	29 108	11%
Sedibeng	19 431	7%	20 494	7%
Gauteng	434 075	11%	305 683	8%

Source: Census 2011

The challenges of informal settlements are viewed on a superficial level with the bureaucracy, weak institutional framework characterised by confusion over land ownership, inadequate financial and human resources, corruption, lack of clear policy and inability to enforce (Mwathungwa, 2014).

### **3.8.2 Urbanisation, population growth and Migration**

According to Friedman (2012), there is a media cliché that rural people and foreigners are flooding South African cities in a pell-mell spate of urbanisation. Urban growth is defined by the availability of jobs and services and is very uneven. Thus, the three Gauteng metros have been quite rapid growth; the increase has been more modest in Cape Town and Durban and has been very slow in East London and Port Elizabeth, Pietermaritzburg and Bloemfontein. Bundy (2014; 88) states that taking all the nine metros into account, the increase since 1994 has been slower than for the period from 1946 to 1996. In smaller cities, the variance is extreme: Rustenburg and Nelspruit are growing fast; Klerksdorp, Welkom and Virginia shed population during the first post-apartheid decade. For the country, as a whole post-apartheid urbanisation has not been particularly rapid. The growth of the urban population, in any case, owes more to natural increase than to in-migration. A striking feature of urbanisation since 1994 is entirely how unplanned and unregulated it has been, (Turok and Borel-Saladin, 2016). The overriding impression is that the government seemed to assume that the abolition of influx control would result in the gradual, but inevitable, permanent settlement of rural people in towns and cities. As far as internal migration is concerned, one of the most significant demographic patterns since 1994 has been the displacement of people from farms, mainly white-owned farms. Bundy (2014) notes that between 1994 and 2004, some 2.4 million people moved off these farms. Most of them moved into small towns. When they moved to large cities, they are typically unskilled work seekers living in backyard shacks or informal settlements. State built housing for the urban poor will still be located on cheap land on the urban fringe, far from the city centre Property developers and the construction industry will focus on high-profit ventures; expensive new housing for the well off, either in existing suburbs or in the new suburbs, (Friedman, 2012: 33). In parts of older inner-city centres and in established African townships, the most dynamic change is an explosion of informal commercial and industrial activity. The tenacity and predictability of these developments are not surprising.

Migration for several reasons has played a part in the significant number of population increase in Gauteng. One of the reasons people migrate from one province to the other or country is due to economic reasons; this has played a significant part in shaping the population distribution across the

province. According to Statistics South Africa's 2011 mid-year population estimates, "Gauteng has seen the largest positive net migration between 2006 and 2011. There are roughly two in-migrants for every one out-migrant". Furthermore, the population had increased significantly from 9,388,854 in 2001 to 12,272,263 in 2011.

### **3.9 Aligning Human settlements Programmes to the NDP in Gauteng**

Gauteng is considered the economic hub of South Africa. It has the highest population in the country; this is due to the economic opportunities available for migrant workers, with an estimated 12.7 million people living in the province that is about 25% of the country's population. (Statistics SA, 2013). Furthermore, the gap between the lower end of the property hierarchy, especially between government-subsidised entry-level units and middle-income settlements. This gap is clearly illustrated by the national housing policy that has resulted in government subsidise of newly-constructed units for households that earn a monthly salary of less than R3,500, while only households earning an income of above R15,000 can access bonds (Statistics SA, 2016). With the introduction of the NDP, the Gauteng provincial government decided to align its entire project to the plan while taking into consideration the challenges the province continues to face. The Department of Human Settlements in Gauteng decided to change the development of human settlements by introducing a 'New Towns'. The Gauteng Partnership Fund (2016) asserts the idea of the new town emerged from the Garden City Movement established by Ebenezer Howard in the late 1800s, as an alternative to the overcrowded, polluted, chaotic industrial cities that had appeared in Britain. The provincial department revised its objectives of establishing a new town in alignment its mandate of delivering integrated human settlements, and that will fundamentally transform the Gauteng City Region.

The Gauteng Partnership Fund (GPF) was created in 2002 to facilitate social housing development for households that earned an income of less than R7 500 a month. The GPF aims to fund and implement plans for integrated sustainable human settlement development in the Gauteng City Region. The GPF HAS three funds, namely, Rental Housing Fund, Social Housing Fund and Entrepreneurial Empowerment Property Fund. In 2015, Premier David Makhura announced the province plans to create Mega Projects during his speech at Gordon Business Institute of Business Science. According to the Premier, Mega Projects are human settlement projects that consist of more than 10 000 residential units; it was a move away from uncoordinated, small scale and unsustainable human settlements. The Megaprojects are in line with the NDP. The introduction of

Megaprojects was a way for the Provincial Department to rectify the challenges that have the Department of Human Settlements in the province. For the past two decades, the Provincial Department and National government focused on building houses on land that was procured by the Apartheid government, which resulted in houses been built far away from services and centres of economic activity.

According to the Gauteng Department of Human Settlements (2016), the objectives of the Megaprojects are:

1. Implementing projects that ensure spatial, social, economic and ecological integration and innovations in terms of energy, water and alternative building materials;
2. Identify and implement national priority catalytic projects using different tenure options to deliver mega, high impact integrated and sustainable human settlements that demonstrate spatial, social and economic integration;
3. Increase the supply of housing opportunities using different tenure types to ensure the diversity necessary to address social, economic and cultural needs;
4. Ensure that poor households have adequate housing in better living environments;
5. Ensure that at least 30% of the total expenditure of megaprojects benefits women and youth where direct women/youth ownership in the qualifying entities is a minimum of 30%;
6. Support the development of a functional and equitable residential property market; and
7. Improve institutional capacity and coordination for better spatial targeting.

### **3. 10 Conclusion**

The weight of the historical legacy of apartheid is a useful index in assessing how much change has taken place since 1994, the transformation in how South Africa human settlements are governed, financed, planned and developed. For the past 20 years, the South African housing programme has undergone numerous changes. The RDP was the cornerstone of government policy from 1994 until 1996 when it was replaced by the GEAR policy, which highlighted economic growth rather than redistribution. This new policy moved away from what many considered a general developmental principle of the RDP. GEAR like its predecessor ASGISA focused on a neo-liberal approach that emphasised economic growth rather than the disadvantaged poor. The changing political, economic and social landscape resulted in a shift away from seeing housing programmes mainly as a human right framework to recognising its role in improving the broader socio-economic participation of beneficiaries. Unfortunately, RDP, GEAR, and ASGISA have proved to be failures like many critics

predicted due to poor planning and implementation strategies that have plagued government for over two decades. The breakthrough in housing came in 2004 when the Minister of Housing launched the BNG document, which emphasised sustainable human settlements rather than housing. Where people lived and worked mattered as much as the houses they lived in and the government came to this realisation. The BNG became the cornerstone of the human settlement policy programme. When the NDP was introduced by the government in 2012, many believed it would be integrated with the BNG document. The NDP focused on ensuring sustainable human settlements rather than just providing housing and maintaining the apartheid geography of disenfranchisement. The policy addressed several challenges SA still needed to address 23 years after apartheid. The NDP on transforming human settlements focused on a myriad of housing challenges while ensuring sustainable human settlements. Many believed the NDP could provide sustainable human settlements while promoting economic growth. Since the implementation of the NDP, the plan has faced numerous challenges such as the slow growth in the economy, housing backlogs, limited land and lack of investor interest, however even with these challenges many still believe the goals of the NDP can be met. This study aims to analyse and evaluate the implementation of the NDP programme and its impact on the provision of sustainable human settlements.

## **CHAPTER 4**

### **RESEARCH METHODOLOGY**

#### **4.1 Introduction**

This chapter aims to provide a nuanced understanding of the methodology that is utilised in this study, which is essential in highlighting the selection process, presentation and the analysis of the research findings. With that in mind, this study utilised a qualitative methodology and a variety of research methods that are complementary to this methodology. This social research approach is comprehensive, nuanced in approach, and provides an extensive exploration, understanding and description of a particular social phenomenon. This research relied on primary and secondary sources to meet the objectives set out for this study. This means the research relied on literature written on the subject, including policy documents, the 1996 South African Constitution, White papers on housing, medium-term framework and interviews with senior South African government officials tasked to implement it. Trochim (2005: 26) asserts that research design is the link that brings the research project together. Therefore, any empirical analysis on the implementation of the National Development Plan and the impact it has on the provision of sustainable human settlements requires a clear delineation of a historical policy framework of housing in South Africa. However, it is important to determine how development policies are linked to the effectiveness in which the state can fulfil its mandate in providing housing. In the literature, there are several approaches to establish whether development policies have an impact in ensuring that social programmes are effectively implemented (Halperin, 2007; Bawa and Seidler, 2009; Churchill, 2004).

Furthermore, the chapter discusses in detail the sampling method selected and the reasons it was chosen to identify participants to take part in the study in order to gather relevant data. The sampling method selected is complementary to the study to ensure that the data obtained is credible, and from whom the data will be acquired. Therefore, this research uses qualitative methodology to comprehensively and adequately address whether implementing the NDP will influence the provision of human settlements in Gauteng, considering the number of challenges facing the settlements in the province. Qualitative and quantitative methodology are two main approaches to research. The qualitative method offers participants an opportunity to elaborate issues in detail than is typically the case with quantitative methods. Furthermore, this methodology allows the researcher to ask follow-up questions to what participants say, by raising subsequent questions to information the participant has already provided. This research used a qualitative approach to assess, analyse

and interpret the application of relevant concepts and approaches. Additionally, this chapter discusses the manner in which this research was conducted. Kothari (2004) states that research methodology provides a systematic way to address the research problem of the study, by outlining the research process in which the research is being conducted. The processes used in this study consist of research design, sampling and data collection methods.

## **4.2 Research Design**

This study engages the phenomenological case study approach as research design. Therefore, it engages in both phenomenology and case study analysis to ensure an effective exploratory case study research that examines issues and concepts through critical lenses to provide a comprehensive analysis of facts. According to Kothari (2004:31), “the research design is the conceptual structure within which research is conducted; it constitutes the blueprint for the collection, measurement and analysis of data.” There are several types of research designs, which can be applied to research, depending on the type of study. These types include case study design, descriptive/phenomenology, ethnography, grounded theory, experimental and comparative design. This means that each research project presents a unique problem and specific aims, which help, in choosing and deciding the type of research design that is suitable to the specific study. In every study, a research design is a map that guides how the data is collected, measured and analysed (Pandey and Pandey, 2015). The focus of this study is to assess the implementation of the NDP and its influence in addressing the challenges facing the South African government in providing sustainable human settlements in Gauteng Province. Furthermore, the study gives an indication to whether the policy has managed to make a difference in the way in which the government has provided human settlements to the poor in the province. Therefore, this study requires a research design that provides a critical exploration of the subject with minimum bias and research that maximises on reliable sources in reaching conclusions. The researcher engaged in the phenomenological case study approach to ensure an effective exploratory case study research that looks comprehensively at issues and concepts through critical lenses. Bless and Kathuria (1993) note that a research design helps the researcher to establish an argument and draw conclusions on the problem statement.

### **4.2.1 Phenomenology Research Design**

Phenomenology is referred to as an interpretive approach or exploratory study. Phenomenology refers to a philosophical term, which expresses a method, which inspires research investigation or

inquiry in understanding the meanings of social experiences, everyday happenings, and social structures in which we live (Babbie, 2010; Collis and Hussey, 2009). Thus, a phenomenological study aims to interpret the various lived experiences of people (Babbie and Mouton, 2010). Phenomenology or interpretivism seeks to explore and provide an understanding of various complexities that exist in the social phenomena. The purpose of adopting a phenomenological approach to this study is to comprehensively assess the socio-economic challenges that led the South African to government introducing and implementing the NDP and to investigate whether that implementation has had an impact in the provision of human settlements in Gauteng. This means phenomenology helps to interpret and provide meanings to real events and lived experiences. Gephart (1999) posits that interpretivism establishes a platform for understanding social meanings that are interpreted from human social interactions.

### **4.3 Qualitative Research**

Qualitative research methodology was used in this study to ensure the systematic collection and analysis of more subjective and narrative material without compromising data collection. This type of research is most appropriate for exploratory and descriptive studies like this one. Qualitative study seeks to provide answers to why people engage in particular activities; understand the factors that influence the formation of certain opinions and attitudes; comprehend the effects of certain events on people; explore how cultures develop/ have developed in the way they have; and outline the differences that exist among social groups (Hancock, 2002). According to Levitt et al (2017), qualitative research is inductive, and requires a researcher to explore meanings and insights in a given situation.

Qualitative research further provides a means of exploring the depth, richness and complexity inherent in phenomena (Burns and Grove, 1999). This approach is concerned with the analysis of concepts rather than statistics. Scholars agree that qualitative research is developed from an organic setting and utilises facts without any manipulation from the environment (Walia, 2015; Hancock, 2002; Walliman, 2011). This means that the conclusions reached in this study are based on data that is carefully considered through a thorough exploration and enquiry of facts. Furthermore, qualitative research is characterised by the following methods: logic, ethnography, discourse analysis, case study, semi-structured interviews, participant observation, grounded theory, biography, comparative methods, and historical research (Walia, 2015). This is because qualitative research “depends on careful definition of the meaning of words, the development of concepts and

variables, and the plotting of interrelationships between these,” (Walliman, 2011:73). Qualitative research also provides the necessary mechanisms for representation of social experiences, events, actions encountered, and the reactions of people to different lived experiences (Wagner, Kawulich and Garner, 2012). This means several variables can be investigated, and enable the researchers to reach a conclusion which is not biased by personal feelings or opinions on the subject under study.

#### **4.4 Sampling Method**

This dissertation used purposive and expert sampling to assess the implementation of the NDP in, and its impact on, the provision of human settlements with specific reference to Gauteng. According to Bless and Higson-Smith, (2000: 67) sampling method refers to a portion of the whole population that is probed by the researcher. Sampling allows the researcher to learn about similar characteristics of a large group of individuals by studying a smaller group.

##### **4.4.1 Purposive Sampling**

This study utilised the purposive sampling technique. This is a process of selecting subjects to take part in a research investigation on the ground that they provide information considered relevant to the research problem. Purposive sampling is the deliberate choice of a participant due to the qualities that she or he possesses. A non-random technique does not need an underlying set number of participants. According to Morse and Niehaus (2009), sampling must be consistent with the aims and assumptions inherent in the use of either method. Qualitative methods for the most part are intended to achieve the depth of understanding, while quantitative methods are designed to achieve breadth of understanding (Patton, 2002). Qualitative methods place primary emphasis on saturation: obtaining a comprehensive agreement by continuing to sample until no new substantive information is acquired. Patton (2002) states that purposeful sampling is a technique widely used in qualitative research for the identification and selection of information-rich cases for the most effective use of limited resources. According to Cresswell and Clark (2011), this method involves identifying and selecting individuals or groups of individuals that are especially knowledgeable about, or experienced with, a phenomenon of interest. In contrast, probabilistic or random sampling is used to ensure the generalizability of findings by minimising the potential for bias in selection and to control for the potential influence of known and unknown confounders.

#### **4.4.2 Expert Sampling**

According to Patton (2002), expert sampling is a form of purposive sampling technique that is utilised when one's research needs to glean knowledge from individuals that have specific expertise. Expert sampling is useful where there is a lack of empirical evidence in an area and high levels of uncertainty, as well as situations where it may take a long period before the findings from research can be uncovered. Expert sampling requires experts in a specific field to be participants of the purposive sampling. This sort of sampling is useful when the research is expected to take some time before it yields conclusive results or where there is currently a lack of observational evidence. Expert sampling is a positive tool to use when investigating new areas of research, to garner whether further study is needed. The participants interviewed in this study were selected purposively based on their expertise in the field. This study required senior managers that were knowledgeable about policy formulation and implementation in the South African Government Department of Human Settlements at national, provincial and local levels. Individuals were also identified who are part of the National Planning Commission. Purposive expert sampling was based on the following two criteria:

1. First, they are experts in the field of human settlements
2. Second, they are employed in the Department of Human settlements in senior positions

Initially, the study had planned to interview 25 participants. The researcher had planned to interview eight participants from the Gauteng Department of Human Settlements, five participants from the National Department of Human Settlements, three participants at National Planning Commission, four participants at the City of Johannesburg and three from the city of Tshwane and two for the City of Ekurhuleni Metropolitan Municipality. However, of the 25 participants only 15 agreed to take part in the study, which was a sufficient representative sample. Of the 15 participants, two of the participants were members of the Gauteng Provincial Steering Committee on Human Settlements while two worked in Research at the Gauteng Department of Human Settlements. One participant was a manager at the City of Tshwane in the Department of Housing and Human Settlements. Another was a Senior Sector Expert at The National Planning Commission at the Department of Monitoring and Evaluation. Yet another was from City of Johannesburg in the Department of Human Settlements. Two of the participants were Managers at the National Department of Human Settlements, whose work focused on human settlement Delivery Frameworks. The main criterion was their ability mandate to translate, understand and implement the NDP'S policies on Human settlements into reality.

## **4.5 Data Analysis**

This research focused on qualitative content analysis, discourse analysis and conceptual analysis in analysing and presenting the data. This research requires the use of authentic sources and credible assessments to ensure valid conclusions are made when making recommendations (Denscombe, 2010). The use of these three methods of analysing data is a way of ensuring that the research is authentic, credible and valid. According to Walia (2015) in some cases, data analysis begins when all data have been collected and prepared. In the study of social phenomena, the use of more than one/multiple methods of analysing data as a measure of ensuring reliable research study is referred to as triangulation (Bryman, 2012).

### **4.5. 1 Qualitative Content Analysis**

According to Haradhan (2018) content analysis is a method of analysing written, verbal or visual communication messages. It is commonly referred to as qualitative content analysis (QCA). Zhang and Wildermuth (2005:1) argue that QCA “pays attention to unique themes that illustrate the range of the meanings of the phenomenon rather than the statistical significance of the occurrence of particular texts or concepts.” It describes spoken or visual communication and involves various media (print, television, and the internet amongst others) which are some of the avenues from which information for this research has been extracted. Content analysis is a suitable tool for understanding various themes that are important in social change, events and activities. This research engages different types of texts and documents to provide an understanding of the key research question under investigation in this study. Elo and Kyngas (2007) clarify how content analysis provides a platform for the researcher to engage theoretical issues, test them and provide an understanding of the found data. In this study, the researcher has provided a more critical analysis through reflections from various other media such as news articles, interviews, government documents and, where necessary, tables were included for content analysis as the most suitable methodological approach. In summary, the following seven types of sources were used in this dissertation:

1. Relevant published books. These include a host of publications related to development policies and human settlements in South Africa.
2. Electronic sources.i.e. Published articles on the internet.
3. Articles from academic journals.

4. Research reports on development policies and human settlements.
5. White papers and documentation on the Reconstruction and Development Programme (RDP), Growth, Employment and Redistribution (GEAR), Accelerated and Shared Growth Initiative for South Africa (ASGISA), Breaking New Ground (BNG), National Development Plan (NDP), housing and human settlements.
6. Government periodicals: The constitution and legislation on housing and human settlements as a policy strategy for good governance.
7. Published theses: Students who have written on Development policies, housing, and human settlements dissertations.

#### **4.5.2 Discourse analysis**

In the study of policy, discourse plays a critical role as it establishes language that is crucial in understanding the constitution of social groups (Chilton and Schaffner, 1997; Dunmire, 2012). This means that language creates the discursive that grounds political phenomena. According to Wodak (1996), discourse analysis refers to “an instrument for exposing inequality and domination and for providing the means for more equitable and emancipatory discourse”. It requires a broad exploration of facts before concluding. The analysis interrogates housing policies in South Africa since 1994 and factors that have contributed to their failures, which led to the state introducing the National Development Plan. The introduction of the NDP aimed to address the shortcomings of previous policies in providing sustainable human settlements in South Africa in line with global standards. Therefore, discourse analysis is used in this study to solicit the necessary sources and develop relevant arguments that are purely dependent on factual texts and documents. This study extensively reviewed literature on how development policies need to be integrated with housing and human settlements policies. This literature is interrogated to provide a contextual overview of the public policy framework used to formulate policies, (Tomlinson, 2015), Fox and Bayat (2013), Cain (2014), and Chenwi (2015). African National Congress (ANC) and government documents are also interrogated in this study to provide a nuanced and holistic perspective for the reasoning behind the ruling party decision to introduce the NDP in order to address the injustices and inequalities of the past. The South African government has several White Paper policy documents on local, provincial and national government that were accessed in Pretoria. These documents articulate how the government identified core issues facing South Africa, specifically on transforming human settlements and how the government plans to address challenges in this area. Most of these

documents were used in the dissertation to contextualise the NDP and explore how the ANC government decided to implement the plan in order to address inequality. Chenwi (2015), Sobantu (2017), and Herbet and Murray (2015) have written extensively about how geographical patterns under apartheid have contributed substantially to inequality in areas such as Gauteng, even after the RDP and GEAR were introduced as policies to change these patterns. This research will provide an overview of development policies to address entrenched structural, spatial patterns created by the apartheid government (1948-1994) to isolate the majority of black South Africans on the outskirts of the South African cities. A synthesis approach has been applied to explain the positive and negative implications this approach has had on achieving good governance in South Africa. A literature review is undertaken throughout the entire study to ensure a nuanced representation of human development on post-apartheid South Africa.

#### **4.5.3 Concept analysis**

Morse et al. (1996: 255) define concept analysis as a process of inquiry that explores concepts for their level of development as revealed by their internal structure, use, representativeness and their relationship to other concepts. Concept analysis forms the basis for providing operational definitions of abstract concepts. Various steps may be followed to analyse concepts (Chinn and Kramer 1995; Morse, Hupcey, Mitchman and Lenz 1996; Rodgers and Knafel 1997; Walker and Avant 1995). The procedures followed in concept analysis seem suitable for incorporation into the qualitative paradigm. These include exploratory and descriptive designs. Walker and Avant (1995:40) stress the centrality of literature review to concept analysis. Concept analysis thus also provides for open and axial coding to enhance the development of categories that lead to the identification and development of defining attributes, distinguishing characteristics and conditions under which critical thinking occurs.

#### **4.6 Data Collection**

Walliman (2011: 73) explains that qualitative research relies more on data collected through “observation notes, interview transcripts, literary texts, minutes of meetings, historical records, memos and recollections, documentary films, are all typical examples of qualitative data”. A qualitative research study can be conducted through ‘field research’ or ‘library/desktop research’. The former refers to a situation in which the researcher engages with the people to research through observation, interaction, questionnaires or participation. The latter refers to a situation where the researcher analyses historical documents and records, books and various materials concerning a

specific subject under study. More so, it is important to note that sources of qualitative data also depend more on human interpretation, insights and impressions (Kothari, 2004; Walliman, 2011).

Babbie (2010) outlines that the manner in which research data is gathered determines the value of the study. Therefore, Descombe (2002) articulates that researchers have to either engage the people or access key documents concerning the subject of study to avoid speculation. This study relied on both primary and secondary sources in exploring and fulfilling the objectives of the study. The data collected for this phenomenological study was based on the following five key research questions:

1. How does the NDP compare to development policies such as the RDP, GEAR and ASGISA in the provision of human settlements?
2. Was there a difference in how the Nelson Mandela (1994 -1999), Thabo Mbeki (1999 -2008) and Jacob Zuma (2009 – 2018) administrations understood the issue of human settlements?
3. Are South African policies on human settlements in alignment with global trends?
4. What are the complementary roles of local, provincial and national governments in the implementation of the NDP?
5. What are the challenges, constraints and obstacles of the National Development Plan in the provision of human settlements in Gauteng?

In order to use qualitative research to respond to the questions mentioned above, data was collected in the form of 90-minutes recorded semi-structured interviews. The researcher decided to use semi-structured interviews to obtain a detailed nuanced perspective on the implementation of the NDP and the influence the plan has had on the provision of human settlements. The interviews were structured in that manner to allow the researcher to ask follow-up questions. The researcher contacted the 15 participants through the Department of Human Settlements website and emailed them requesting an interview. To ensure that the study was reliable, the participants signed a consent form, and the researcher received ethical clearance from the Department of Public Administration and Management at the University of South Africa (UNISA) to conduct the study. The researcher conducted the interviews at the 15 participant's offices, which allowed for a formal work setting. The data was collected at the National Department of Human Settlements in Johannesburg, at the provincial office, at the Department of Planning, at the Monitoring and Evaluation and Tshwane provincial government of the Department of Human Settlements offices in Pretoria. Unfortunately, because of the bureaucracy within some of the government departments, a few individuals could not consent to be interviewed without the permission of the Department. Prior to the interview-taking place, the researcher emailed all the participants the general rules of the study and informed them that the interviews would be recorded. However, as with any research, the researcher was

concerned that the bureaucracy within the various government Departments would lead to the participants censoring themselves. However, due to the way the questions were formulated and realising that their participation would be anonymous, all the participants were able to speak frankly about the NDP and its impact on the provision of housing in Gauteng. All 15 of the participants that were selected to take part in this research were not offered any incentives. This was to ensure that the process and outcomes were not compromised. During the interviews, several themes emerged regarding the implementation of the NDP and its impact on the provision of human settlements in Gauteng. The data collected has not been used or been collected in a way that would allow for the identification of anonymous sources.

#### **4.6.1 Primary Sources**

Persaud (2010) defines primary sources as a broad embodiment of all document sources that are considered original, as they provide first-hand information from eyewitnesses or first account of the object of study. Historical primary sources are essential in that they provide insight into the past. “They provide unfiltered access to the record of artistic, social, scientific and political thought and achievement during the specific period under study...” (Library of Congress, 2017).

#### **4.6.2 Secondary Sources**

Vogt (2005:291) posits that a “Secondary source is a source that provides non-original or second hand data or information.” Examples of secondary sources include textbooks, newspapers and journal articles. It is important to note that “secondary information offers relatively quick and inexpensive answers to many questions and is almost always the point of departure for primary research” (Stewart and Kamis, 1984 in Blaikie, 2003: 18). Secondary sources refer to documents that are produced at a later stage of the event under study, with individuals who did not participate or experience the event under study (Concordia Library, 2015). This research explored reliable sources such as newspapers, relevant websites, textbooks, peer-reviewed journal articles, as well as existing literature that is already published and unpublished on the subject under study to provide relevant interpretation. In every study, there are normative and rational patterns that highlight how specific events have occurred. Therefore, it is important to engage relevant sources to understand these patterns, and explore concepts that can help in reaching conclusions and recommendations on factors that drive certain outcomes. This library research allowed for critical enquiry on theory, histories and concepts that have guided the formulation of South African housing policies, international trends on human settlements, inequality gaps, spatial patterns, and the implementation

and effectiveness of economic policies on housing.

#### **4.6 Validity**

Validity in research refers to the proper presentation of research facts in the given study (Fox and Bayat, 2013). Validity means that there is accuracy in the sources provided and given explanations (Denscombe, 2002). In this research, validity is created using two methods of analysis, which is referred to as triangulation in order to verify the authenticity of claims provided in texts and documents used. The researcher also relied on credible research library facilities that are provided by the UNISA, various government reports, verified documentaries, and organisational websites and recognised news agencies, to verify and authenticate the information in this study.

#### **4.7 Conclusion**

Polit and Hungler (1999: 239) describe the qualitative research approach as one that collects information without formal structured instruments. For instance, this study did not use any formal, structured instrument to collect data, but rather relied on relevant literature as determined by the researcher based on the overall research question and developing construct. Therefore, to have nuanced perspective on the implementation of the NDP programme and its impact on the provision of sustainable human settlements, one needs to interrogate policy processes in the Department of Human Settlements and the impact they have had in ensuring a collaborative partnership between citizens and government officials. This had required an extensive interrogation of policy documents, concepts on housing, and interviews with officials and stakeholders. A thorough analysis of the data obtained highlighted several themes and sub-themes that emerged from the interviews. Qualitative research attempts to understand the entirety of some phenomenon rather than to focus on specific concepts, therefore enabling the researcher to address the research problem and questions adequately. It further allows one to read literature sources to reveal the characteristics of the concept critical thinking as it manifested itself in the various sources to capture the holistic nature of the concept, implicit and explicit from the academic disciplines mentioned above. The study has few preconceived ideas and focuses on the importance of people's lived experiences and circumstances rather than the researcher's interpretation. Thus, it was critical to employ literature from diverse authors and to incorporate a variety of opinions into the discussions and the analysis of data. Within a South African context, it is imperative that one include people's lived experiences in the research without influencing the validity and authenticity of the research.

## **CHAPTER FIVE**

### **PRESENTATION AND INTERPRETATION OF DATA**

#### **5.1 Introduction**

This chapter aims to present and interpret the data obtained in this study. In gathering this data, this research relied on purposive sampling, specifically expert sampling, and it utilised primary and secondary sources. In order to assess whether the implementation of the NDP had an impact on the provision of sustainable human settlements, this study conducted 15 in-depth interviews with policymakers from National Department of Human Settlements, Gauteng Department of Human Settlements Department of Planning, Monitoring and Evaluation, City of Johannesburg and City of Tshwane supplement the literature analysed. As mentioned in Chapter four, these participants were selected based on their wide-ranging expertise and experience as policymakers in the field of housing. They, therefore, are well positioned to assess whether the outcomes set out in Chapter eight of the NDP can be achieved by 2030. Furthermore, this study ensured that the privacy and anonymity from participants are of paramount importance. The identity of participants remains unknown to everyone except the researcher and supervisor.

#### **5.2 Participants response rate and limitations of the study**

To address the six objectives mentioned earlier, this study utilised a qualitative phenomenological case study approach, as mentioned in Chapter 4.

During the assessment, the researcher experienced four challenges in conducting in-depth interviews:

1. In order to ensure that the study was reliable, the researcher requested permission from carefully identified participants. Unfortunately, due to the bureaucracy within some government departments, a few individuals could not consent without the permission of the Department. Once a request was submitted, the Department then selected their representative to take part in the interview. This request was challenging in the sense that it could compromise the selection criteria. However, the researcher decided to proceed with the interview within the following parameter; First, the department needed to select a person who was in a position of seniority and was involved in policy formulation or implementation. Second, the researcher would not send questions before the interview. The

Department agreed to the terms on the basis that once the research was concluded, the researcher would send a copy of the study.

2. Initially, the study had planned to interview 25 participants. However, of the 25 participants only 15 agreed to take part in the study. Although the sample size was reduced, the researcher proceeded with the study based on the fact that participants were from different government offices and were experts in the field of human settlements therefore meeting the sampling criteria. However, the reduction in the sample size did not affect the reliability of the study because the 15 participants that participated in this study worked in senior positions at the National Department of Human Settlements, Gauteng Department of Human Settlements Department of Planning, Monitoring and Evaluation, City of Johannesburg and City of Tshwane.
3. A few of the participants did not want to sign the participant consent form provided. However, they confirmed their participation in an email.
4. Five of the 15 participants did not want the interview to be recorded. However, they allowed the researcher to take notes during the interview.

### **5.3 Presentation and Interpretation of data**

During the interview process, several themes and sub-themes emerged about the implementation of the NDP and its impact on the provision of sustainable human settlements. This section aims to present and interpret the data obtained during the interview process using the qualitative content analysis and discourse analysis.

#### **5.3.1 Housing in the Mandela, Mbeki and Zuma administrations**

According to ten of the 15 participants, there has been a continuation of policies under the Mandela, Mbeki and Zuma administration. All ten seemed to be of the view that under the Mandela administration (1994 - 1999); government policy on development primarily focused on redistribution; hence, the introduction of the RDP. The Mbeki administration (1999 – 2008), on the other hand, realised that economic policies had a direct impact on the provision of housing, thus the introduction of GEAR in 1996. They also noted that unlike his predecessors, the Zuma administration (2009 – 2018) seemed to be of the view that to address the housing crisis in South Africa, the government needed a holistic approach that tackled the socio-economic challenges that South Africa still faced two decades after attaining democracy. This holistic approach was the NDP.

Five of the participants interviewed did not share the view that there has been policy continuity since 1994. Instead, they believed that one of the most significant challenges of housing policies in South Africa has been that every new administration, introduced their unique policy document without taking into account the capacity challenges that the department has in terms of planning and budgetary constraints.

According to Participant three, *“the NDP is a roadmap of what government needs to achieve and deliver in terms of housing even though it does outline budget implications. It indicates the direction the government needs to take. This trickles down to planning and budgeting”*.

All 15 participants agreed that even with the three different administrations, South Africa's housing policies since 1994 are aligned with global housing trends, such as the Vancouver Declaration on Human Settlements 1976, Millennium Development Goals of 2000, the Habitat Agenda of 1996 and the Istanbul Declaration on Cities and Other human settlements of 1996. Participant three added *that “one of the most striking elements of the NDP, unlike other development policies in SA, is that it is a long-term policy with checks and balances that allow the department to review and assess whether they are still on the right path; this is clearly outlined in the Medium Term Framework”*.

### **5.3.2 Creating housing opportunities**

Outcome eight of the NDP on human settlements calls for the government to create housing opportunities while highlighting issues such as access to qualifying for a bond, service stand, rental, social housing, and upgrading of informal settlements. According to Khumalo (2019a), the NDP is aligned to the Vancouver Declaration on Human Settlements. He further stated that the Vancouver Declaration of 1976 asserts that the condition of human settlements generally determines the quality of life and access to basic services. All 15 participants agreed that the move from housing to human settlements changed the way government viewed housing as a building but rather an asset that allows one economic access and is part of a community. However, outcome eight of the NDP focuses not only in providing houses to the poor, but on ensuring that the poor have access to housing opportunities.

All the participants shared the view that the government needed to emphasise its promise to create housing opportunities rather than the promise of single houses to allow citizens to pursue all the housing opportunities at their disposal. Participant six from the National Department of Human Settlements Gauteng Partnership Fund stated that *“if we assess the number of people who have*

*access to housing opportunities from 1994 until now, the government has been successful in that regard, people who could not access bonds before can do so through government subsidies. If people only focus on single houses and plots, then they may deem the government to have failed in the delivery of houses*". According to the Department of Human Settlements (2015), in 2014, Outcome eight of the NDP was revised in which it alluded to a target that government set of about 1.4 million 'housing opportunities' in quality living environments by the year 2019. According to 12 of the participants, interviewed, housing opportunities are meant to ensure that government focuses on programmes that encourage people to rent, and for people to build their own homes while the government focuses on providing running water, sanitation, roads, and electricity. Participant six added that, to ensure that citizens pursued the opportunities outlined in the NDP the former Gauteng Human Settlements MEC Jacob Mamabolo introduced the mega projects in 2017 that were described by the Gauteng Partnership Fund, and the MEGA project is a 100 billion plan to build 30 cities in Gauteng. According to the Gauteng Department of Human Settlements (2018), the mega projects aim to close the gaps, while redefining future cities in line with the dictates of the National Development Plan and the Gauteng City Region.

The Gauteng Partnership Fund (2019) notes that "*Mega Projects is a R100-billion economic corridor investment that aims to deliver more than 800 000 houses within 30 residential developments spread across the five development corridors in Gauteng*".

The document further states that the project's focus is on five corridors of development, namely:

The Central Development Corridor - anchored on the city of Johannesburg as the hub of finance, services, information and communication technology, and pharmaceutical industries;

1. The Eastern Development Corridor - built around the economy of the Ekurhuleni metro as the hub of manufacturing, logistics and transport industries;
2. The Northern Development Corridor - anchored on Tshwane as the administrative capital city and the hub of the automotive sector, research, development, innovation and the knowledge-based economy
3. The Western Corridor - encompassing the economy of the West Rand district and the creation of new industries, new economic nodes and new cities; and
4. The Southern Corridor - encompassing the economy of the Sedibeng district and the creation of new industries, new economic nodes and modern cities.



housing developments, such as “Breaking New Ground” and more recently Outcome eight of the NDP. However, implementation continues to lag far behind.

Participant eight stated that *“the reason South African policies are so well thought out is because of the constitution, the South African Constitution is one of the most progressive and liberal constitutions in the world”*.

The South African Constitution of 1996 (Section 26) states that all South Africans have the right to adequate housing. Therefore, most of the policies that the government drafts have to align with the Constitution. All 15 participants argued that the failures of housing policies have been due to poor implementation and a lack of policy coordination. Participant 13 gave an example of a project that was introduced in 2001- the Alexandra Renewal Project, which the Gauteng government set aside R1.3 billion. The project was supposed to involve local and provincial government, civil society and the private sector.

However, as participant thirteen noted, *“the project failed to take into consideration the implementation process, who will be the project manager, does the state have the right skilled people to ensure the project is a success, and how does one ensure that the outcomes set out are achieved, and, if not, are there checks and balances to tackle that”*.

The Alexandra Renewal Project of 2001 was a complete failure; currently, no one can account where the R1.3 billion was spent, Alexandra is bordering on being what would be referred to as slums, every other week there are service delivery protests, some people continue to live in an unhygienic, unhealthy, and unsuitable environment. According to Koma (2012), most of the municipalities, provincial and national departments are characterised by poor policy implementation and good governance at all spheres of government. Participant nine stated, *“One of the major factors that have affected implementation on the ground, particularly in the human settlement had been intergovernmental relations since each department focuses on its own mandate rather than coordination”*. Six out of the 15 participants interviewed noted that the Department of Human Settlements, in order to carry out its mandate, needs to be able to coordinate its efforts with other departments. One of the participants, participant seven, stated, *“The Department of Human Settlements needs to engage with other stakeholders before embarking on any building of houses. For the Department to provide Sustainable human settlements, consultation and partnership are important within the different departments”*.

### **5.3.3.2 Informal Settlements and Upgrading Informal Settlements**

As mentioned in the previous chapters, because of the demand for formal housing, many poor people and low-income households have had to resort to living in South Africa's growing informal settlements. According to 12 of the participants interviewed, they acknowledged that the BNG was the first policy document to recognise informal settlements and the need to upgrade them. BNG affirmed the need to support spatial restructuring and the importance of integrating informal settlements through upgrading (Department of Housing, 2004). The 2004 housing policy document clearly states that:

*“There is a need to acknowledge the existence of informal settlements and recognize that the existing housing programme will not secure the upgrading of informal settlements. There is also a need to shift the official policy response to informal settlements from one of conflict or neglect, to one of integration and co-operation, leading to the stabilization and integration of these areas into the broader urban fabric. The new human settlements plan adopts a phased in-situ upgrading approach to informal settlements, in line with international best practice.” (Department of Housing 2004: 12).*

Participant one asserts *“before the BNG document the Department of Human Settlements housing policies focused on providing formal subsidised housing. Even though the department understood the importance of informal settlements, the department at the time was of the view that informal settlements were illegal dwelling, characterised by informality, criminality and land grabs”*. According to Huchzermeyer (2009: 61) in 2006, the City of Johannesburg had adopted a 'zero tolerance' policy towards informal settlements, which resulted in criminalising informal settlements, encouraging forced evictions that resemble apartheid tactics. All 15 participants acknowledged that it took time for provincial and local government to recognise that their Zero tolerant approach to informal settlements was contradictory to national legislation and contravened the Constitution. According to the participant, four added, *“it was not only government that was resistant but also, residents once they realised formalising informal settlements would require them to start paying for services.”* According to Huchzermeyer (2009: 59), upgrading informal settlements had some challenges such as budgetary constraints, slow bureaucratic processes, refusal by communities to accept formal development, and low levels of interdepartmental cooperation of public authorities that are necessary to realise set objectives of upgrading informal settlements. Below are images of before and after look of the Flamingo Crescent informal settlement in Klipspruit:



Figure 5.2 images courtesy of Groudup: Before and after look at Flamingo Crescent informal settlement in Klipspruit, Soweto, which was upgraded between 2012 and 2015.

In Chapter eight of the NDP on human settlements, one of the key elements of the NDP is its acceptance of informality and a people-centred approach rather than a government-centred approach. Ten of the participants interviewed noted that informal settlements like the housing backlog are a moving target; they argued that as innovative as the NDP's review of the upgrading of informal settlements was, the Department guarantee that by 2030 all 2700 informal settlement should have been upgraded. Participant seven noted *“the upgrading of the informal settlement was legislated in 2004, 15 years later the Department has failed to meet its objectives due to budgetary constraints, service delivery protests, corruption and poor implementation plans”*.

### **5.3.3.3 Urban Planning Management**

According to participant eight, the population in Gauteng has grown substantially over the last two decades, but the services and infrastructure have not able to keep up with the growing population which has put immense pressure on urban planning in the province. As mentioned in chapter three of this study, Gauteng has faced several challenges in providing houses to millions of its residents that need it. Population growth, urbanization, and migration have put immense pressure on urban centres as they continue to grow in a rapid manner that the provincial government, civil society, and developers had not anticipated. Statistician-General Risenga Maluleke stated during his 2019 mid-year estimates presentation stated *“[that] Gauteng continues to record the largest share of South Africa's population, with approximately 15.2 million people (25.8%) living in this province”*. Eleven of the participants interviewed spoke at length about population growth and people moving to Gauteng for economic opportunities and employment, noting that the Gauteng provincial government on human settlements is under tremendous pressure to accommodate these people by

ensuring that they have housing opportunities, which are guaranteed in the NDP. According to Khumalo (2019b), the displacement of the poor black majority to the outskirts of the city centres has affected urban planning in Gauteng. Chapter eight of the NDP on human settlements is aware of the unique challenges that face provinces such as Gauteng, which is the hub of economic activity in the country. According to a report released by Statistic SA (2016), “*South Africa is estimated to receive net immigration of 1, 02 million people between 2016 and 2021. Most international migrants settle in Gauteng (47, 5%) while the least are found in the Northern Cape Province (0, 7%). Gauteng is considered the economic hub of the country, attracting international migrants as well as domestic migrants from rural provinces such as Limpopo, KwaZulu-Natal, and Eastern Cape*”. As participant six stated, “*the Department of Human Settlement in Gauteng would continue to explore projects such as Transformation, Modernisation and Reindustrialisation (TMR) of human settlements, MEGA projects, Upgrading of Informal Settlements that are in alignment with the NDP to ensure that the province is well equipped to address these challenges facing housing*”. As participant seven stated: Gauteng has attempted to address these challenges by employing an urban planning framework for affordable housing by ensuring it is an integrated and co-operative endeavour of the private and public sector (National, provincial and local government) that will enable a nuanced and sustainable province that will be a safe, healthy environment and acceptable. Government policies in the past such as the RDP, GEAR, and ASGISA have not been able to keep up with the pace the urban centres are transforming. The NDP has taken this into account hence the province introducing the megaprojects as a way to curb these challenges while taking into account the factors mentioned above. The megaprojects aim to rethink the way the government approaches spatial design, infrastructure/housing, and institutional mechanisms. The premise of urban planning is to ensure orderly and efficient use of land.

Chapter eight of the NDP on human settlements emphasises the importance of drastically transforming the geographical landscape of apartheid in which the majority of black people were forcibly removed from the homes closer to the cities to the outskirts of the urban area to what were referred previously as *Bantustans*. According to the 15 participants interviewed, transforming spatial patterns will be a difficult task since most of the housing projects constructed since 1994 have been build on the outskirts of the cities due to the affordability of land. Participant five notes, “*when it comes to spatial planning, the government has several mechanisms in place within social housing, we have capital restructuring grant, restructuring zone and Integrated Urban Development Framework*”. Three of the participants interviewed spoke at length about the how in

the Integrated Urban Development Framework (IUDF) outlines the vision the government has in transforming the geographical patterns of Apartheid, further outlines how the government aims to implement the NDP. According to IUDF (2016), the envisaged White Paper needs to revise a model to address the following priorities: informal settlements upgrading, inner-city regeneration and renewal, multi-segmented rental housing (including backyard rentals), devolution of the housing function, and access to necessary infrastructure and services in new developments. According to participant six, *“another challenge government has had to grapple with is residents of suburbs being opposed to having low-cost housing in their area, not to mention the emergence of informal settlements”*. All the 15 participants shared the view that at the current rate of population growth and migration into Gauteng, residents in the suburbs are going to have to come to terms with living closer to informal settlements because that is the reality of contemporary South Africa.

#### **5.3.3.4 Land Use Management**

In examining land use management, one has to take into account the legislation and political factor. As mentioned in chapter three the South African 1996 constitution has outlined various legislation regarding the role the government needs to play when it comes to housing, land, and property. Some of these legislations are Housing Act (1997); Housing Code (2004); the Municipal Systems Act (2000); the various shades of papers from Green to White of Development and Spatial Planning (2001); and the Land Use Management Bill (2006). Seven of the participants spoke at length about land invasions being critical challenges that have adversely affected the plans of the Department of Human Settlements. Mkhize (2015: 1) argues that the politics around the issue of land rests on *“symbolically, the land remains an unresolved political question because of property privilege heavily skewed in favour of continued accumulation by whites”*. Eight of the participants observed that as much as the government wants people closer to the city, the cost of land closer to the city centres is expensive since it is mostly in the hands of private owners. All eight participants agreed that high-rise buildings would undeniably no longer be an option, but a norm due to the lack of land closer to the current cities in Gauteng. Participant one noted *“due to the costs of land, both the City of Johannesburg and City of Tshwane’s Departments of Human Settlements have embarked on procuring processes to get people to high-rise buildings, this means the inclusion of lifts which results in exorbitant costs”*. Furthermore, the discourse on land has been exacerbated by population growth as well as rural-to-urban migration that has led to overall population growth in South African cities, especially Gauteng. Participant two added, *“The political discourse around land invasion has not been helpful, politicians such as the Economic Freedom Fighter leader Julius*

*Malema have called on citizens to seize any vacant land and build on it, this has put immense pressure on the government*". Furthermore, as the country continues to grapple with the issue of the expropriation of land without compensation, the Human Settlements MEC in Gauteng, Dikgang Uhuru Moila, stated that the Gauteng province's rapid land release programme, launched in May 2018, would produce 98 000 sites for expropriation with full compensation (DOH: 2018).

#### **5.3.3.5 Economy**

As stated earlier in the literature for most of the 1940s and 1950s, development was largely equated with economic growth. As with other Development Plans, the NDP's core is rooted in its economic proposals. Lee (2017) stated that certain parts of the NDP are positive, including some proposals in the chapters on integrated human settlements, social protection, building a capable state, education and combating corruption. However, he concedes that the success of these programmes relies on economic growth. According to the eight participants interviewed, they agree that without economic growth, the Department of Human Settlements is unlikely to meet its targets outlined in the plan. According to participant five *"since introducing the NDP 6 years ago, the Department of Human Settlements' budget seems to decrease yet the demand for housing continues to grow especially in Gauteng whereby thousands of South Africans migrate to seek employment"*. The eight participants seemed to observe that without the political will to transform South Africa's economy, housing would continue to face the serious challenges it has. Participant four added, *"That the lack of economic growth directly results from the current political situation in the country, whereby there is no accountability, politicians can loot public funds with no repercussions"*. As mentioned in the literature, the NDP had projected the South African economy to grow by 5% annually between 2013 and 2017. However, South Africa entered its second recession in five years. In September 2018, Statistics SA announced that the country's real gross domestic product had decreased by 0.7% in the second quarter of the year (Fin24: 2018). Madzivhadila (2014) asserts that several social problems, including housing problems, result from the failure of the economy.

#### **5.3.3.6 Review Mechanisms**

Medium Term Strategic Framework (MTSF), MTSF is a framework for prioritising and arranging the government programmes and development initiatives for the next five years, 2019 will be the year the first phase of the framework is completed. Participant two observed, *"The aim of the Department of Planning, Monitoring and Evaluation was to ensure every government department*

*aligned their projects to the NDP and evaluate the progress these departments were making to ensure the targets were met*". According to participant two, initially, when the Department of Planning, Monitoring and Evaluation was set up, all the National Departments needed to submit their plans and projects to the Department of Planning, Monitoring and Evaluation and cabinet. Participant two further added that the Department would then evaluate whether the plans submitted were in alignment with the issues addressed in the NDP, before presenting their findings to the government. However, as participant two stated, this was a good framework failed due to the unwillingness of Government Departments to comply with the findings presented by the Department of Planning, Monitoring and Evaluation. Participant two asserted that the department responded to this by drafting the integrated planning bill, which allows the Department of Planning, Monitoring and Evaluation the power to regulate, evaluate the plans and enforce them. Seven of the participants noted that the review of the policy is informed by the end of the fifth parliament seating. According to Participant one, *"policy reviews are informed by some of the gaps found in the implementation process. The national government does not only make policy review and changes, and all three spheres of government are consulted"*. Six of the participants interviewed argued that the mechanisms put in place are sufficient in ensuring that the Department of Human Settlements is on track in aligning its projects to the NDP.

In 2012, the Department of National Treasury introduced the Infrastructure Delivery Management System. According to the Department of National Treasury (2012: 5), IDMS is a government management system for planning, budgeting, procurement, delivery, maintenance, operation, monitoring and evaluation of infrastructure. The document further states that it comprises a set of interrelating or interacting elements that establish processes which transform inputs into outputs. Participant eight noted, *"IDMS is a programme that states that all the organs of the state will abide by these particular rules and regulation when it comes to project management. The Department of Human Settlements' maturity in project management is low; hence, the government has registered administrators at the University of Witwatersrand to gain the necessary skills."*

**5.4 Finding** These findings were collected from the 15 policymakers from the Department of Human Settlements and as well as the Department of Monitoring and Evaluation.

### 5.4.1 Participants

The study targeted 15 participants based on their expertise in the field of human settlements, and worked in senior positions at the National Department of Human Settlements, Gauteng Department of Human Settlements, Department of Planning, Monitoring and Evaluation, City of Johannesburg and City of Tshwane. As mentioned in Chapter four, all the participants that took part in this study consented to the interview either by signing the participant consent form or by email. Based on the in-depth interviews conducted, the study revealed that the NDP's chapter on human settlements is one that is nuanced and introspective in that it articulates the challenges the Department of Human Settlements has had to address while simultaneously ensuring that the Department's policies are in line with housing policies in other developing countries. First, Chapter eight of the NDP dealt with human settlements; the plan acknowledged the shift from housing to human settlements. Secondly, the participants interviewed at the National Department of Human Settlements, Gauteng Department of Human Settlements Department of Planning, Monitoring and Evaluation, City of Johannesburg and City of Tshwane shared the view that there has been a continuation of policies under the Mandela, Mbeki and Zuma administration. Third, even though RDP, GEAR and ASGISA policies did not last longer than five years, every new policy that emerged acknowledged the successes and challenges of the previous policies including the NDP.

The 15 participants interviewed in this study raised several critical issues that continue to hinder the Department of Human Settlements in providing sustainable human settlements. First, some of the challenges facing the plan are migration, population growth, the rise of informal settlements, illegal building of shacks on private land and poor implementation of plans needing greater political will and commitment to address. Kamete (2013) asserts that even though Southern Africa cities and towns may seem chaotic, and lack urban planning, that is not the case. Khumalo (2019b) notes that the notion of urban planning has been to ensure rational use of urban land. Gauteng has put in place urban planning systems to address the growing number of challenges they face such as migration, population growth, urbanisation and land. Unfortunately, for the Gauteng provincial government addressing informal settlements, migration and land is not just about planning or that of other machinery that the government may use to ensure the order, but that of exclusion. Furthermore, in Gauteng, the inequality gap between the poor and the middle class is getting wider. This has resulted in the exclusion of the poor in the economy. As noted above the struggle for integrated sustainable settlements has become a class issue, whereby the middle class do not want low cost housing in their communities, because they believe having low cost housing in their

neighbourhoods would devalue their property. According to Khumalo (2019a), the political and historical narrative may differ, however, the socio-economic relations between the elite residents and the informal settlements are similar. However, even with these challenges, the Department of Human Settlements in Gauteng has embarked on an ambitious project to create 30 cities through urban planning. Participants in this study acknowledged the progress that the Department of Human Settlements has made in creating housing opportunities that are in alignment with the NDP. The study further revealed that the NDP is a long-term policy that will direct policy within the Department of Human Settlements in the next 11 years. It is for this reason that the Gauteng Department of Human Settlements must address the challenges that are outlined in the plan and that have plagued it for the past 25 years. According to the 15 participants interviewed, they agreed that without economic growth, the Department of Human Settlements is unlikely to meet the targets outlined in the plan. Second, according to the Participants interviewed, the NDP outlines several housing opportunities available to the poor, working-class and lower middle class. Therefore, the Department no longer views its provision of Human settlements in the same terms as it did during the Mandela and Mbeki years. If one views housing in terms of housing opportunities, then the government is still on track in realising its targets. Third, all the participants interviewed seemed to agree that in order for the Department of Human Settlements to carry out its mandate of providing sustainable human settlements to the poor, it needs to be able to coordinate its efforts with other departments such as Transport and Education.

The researcher concluded from the above discussion with the officials that, even if the Department of Human Settlements aligns all its projects to the NDP, the Department would not be able to meet the objectives set out in the policy. The economic challenges faced by the country, corruption, land issues, the continuous rise of informal settlements and budgetary constraints that the plan did not anticipate are some of the critical issues the policy would need to overcome to meet its target.

## **CHAPTER SIX**

### **CONCLUSIONS AND RECOMMENDATIONS**

#### **6.1 Introduction**

This chapter provides conclusions and recommendations on the implementation of the National Development Plan and its impact on the provision of sustainable human settlements in Gauteng province. This study focused on five key objectives it set out to meet, which are:

1. To assess how the NDP compares to development policies such as RDP, GEAR, ASGISA in the provision of human settlements
2. To assess whether there was a radical difference in how the Nelson Mandela (1994-1999), Thabo Mbeki (1999-2008) and Jacob Zuma (2009-2018) administration understood the issue of human settlements and what has been the impact of policy implementation and evolution
3. To understand the NDP's conceptualisation of the human settlements – economic development nexus.
4. To examine the various constraints and challenges impeding the NDP from achieving its objectives, specifically in providing human settlements in Gauteng province.
5. To assess how the three spheres of government work together in the province in the provision of human settlements.
6. To provide concrete recommendations on how to address the challenges and constraints provided in the study findings.

#### **6.2 Conclusion**

The first objective stated assessed how the NDP compares to RDP, GEAR and ASGISA. The RDP was the cornerstone of government policy from 1994 until 1996. In 1997, it was replaced by GEAR, which highlighted economic growth rather than redistribution. This new policy moved away from what many considered a general developmental principle of the RDP. Unfortunately, RDP, GEAR, and ASGISA have proved to be failures as many critics predicted, due to several challenges such as poor planning and implementation strategies and the corruption that has plagued the government for over two decades. The BNG document highlighted the importance of creating sustainable human settlements rather than just building houses. The BNG became the cornerstone in which all policies

regarding human settlements were linked to. When the NDP was introduced in 2012, it was integrated with the BNG document. The NDP focused on ensuring that government at local, provincial and national government provided sustainable human settlements. The NDP similarly to RDP, GEAR and ASGISA acknowledged the socio-economic challenges facing the country. Outcome eight of the plan focuses specifically on human settlements. Outcome eight notes that instead of integrating communities the Department of Housing in 1994 built houses for the poor on the outskirts of the cities and far away from basic services. The policy aimed to change this by providing integrated sustainable human settlements. The NDP is a long-term development policy linked directly to the economy. The NDP acknowledges its successes and failures. Unfortunately, because the policy is linked to economic growth, the success of the policy hinges on it. The South African economy is at its weakest it has ever been.

The second objective mentioned in this study is to assess whether there had been a radical difference in the three post-1994 administrations in understanding the issue of human settlements and the impact of policy implementation and evolution. The study revealed in the literature review and interviews with policymakers at the Department of human settlements that the Mandela, Mbeki, and Zuma administrations (1994 to 2012) understood the issue of housing differently. Therefore, this was evident in their policy formulation and implementation. From the Mandela to Mbeki to the Zuma era, housing policy in South Africa went through several stages. Initially, in 1994, the focus was on redress and redistribution. The second period viewed housing as an asset, which the poor could utilise to explore economic opportunities. The third period perceived housing holistically; and focused on the provision of housing in a complex and nuanced way during that period, the government began to view housing as sustainable human settlements, arguing that housing was not just a building or an asset but rather integrating communities. Therefore, one can deduce that housing policies in South Africa have evolved in the past 25 years, with the focus moving away from redress and distribution to creating sustainable integrated human settlements. The changing political, economic and social landscape resulted in a policy evolution from viewing housing programmes mainly within a human rights framework to recognising its role in improving the broader socio-economic participation of beneficiaries. The introduction of the RDP, GEAR and ASGISA programmes were relevant development policies that played a crucial role in the way the Department of Housing provided housing. Due to the changing political and social landscape in South Africa, in 2012, the government shifted away from these policies in favour of the NDP.

The third objective addressed was to understand the NDP's conceptualisation of human settlements – economic development nexus. In Chapter 3 of this study, it was revealed that unlike the previous development policies, the NDP recognises that human settlements and economic growth are intertwined. The plan further acknowledges that RDP, GEAR, and ASGISA were relevant policies. However, these policies failed adequately to address socio-economic challenges that affected the majority of poor South Africans. GEAR and ASGISA solely focused on economic growth rather than on socio-economic development.

The fourth objective addressed in the study is to assess the various constraints impeding the NDP from realising its goals, specifically relating to human settlements. During the interview phase of the study, participants emphasised the housing backlog that continued to define housing in South Africa. As mentioned in Chapter 5, in the past 25 years, the Department of Human Settlements in Gauteng failed to address the housing backlog. Instead, the demand for housing continues at an alarming rate. The NDP recognised that Gauteng is the economic hub of the country. However, the plan failed to outline how the Gauteng provincial government would address its growing population, the land seizures and the rise of informal settlements, the housing backlog, and people migrating to Gauteng from other provinces and abroad to explore economic opportunities. The lack of outline made it difficult for human settlements officials to implement the key tenants of the plan according to the context of their province. The initial criticism of the NDP from trade unions and opposition parties has led to the document being an ANC vision rather than the country's national plan until 2030. In addition, spatial patterns of apartheid continue to be a challenge, as many black people continue (25 years later) to live in the outskirts of the cities. The NDP's success is rooted in economic growth and development. Unfortunately, South Africa's economy has not grown annually by 5% as the government had projected it would in 2012. With the economy failing to grow at the expected rate of 5% annually, the Department of Human Settlements came under tremendous pressure to deliver on the housing opportunities that the NDP promised. The Department of Human Settlements in Gauteng has been struggling with budgetary constraints due to poor economic growth. For the NDP to be back on track, the economy needs to grow by 8% annually until 2030, which is unlikely to occur. From the onset, the NDP faced several challenges: firstly, even though the plan resulted from many consultations with the scholars, private sector, trade unions and government, COSATU criticised the plan and compared it to GEAR and ASGISA. Secondly, because of the rate in which new informal settlements are growing in Gauteng the Department of Human Settlements is unable to keep up with the demand for housing. Furthermore, the

Department's budget is shrinking, and housing projects such as upgrading of informal settlements have been pushed aside for significant projects such as the 30 cities the Department plans to have in Gauteng.

The fifth objective in this study is to formulate solutions; both policy- and implementation-related, that would prevent the NDP failing its objectives. As mentioned in chapter five, the government realised that it might not be able to meet the objectives set out in the NDP, and therefore, sought to put a review mechanism in place to assess its progress. According to the seven of the policymakers interviewed, the Department of Human Settlements has not met the targets set out in the first cycle of the Medium-Term Framework. Within the current economic trajectory, the plan is unlikely to realise its goal of eradicating the housing backlog by the year 2030. It is also unlikely to achieve the core objectives of the policy. However, it seems that the National Department of Treasury and the Department of Planning, Evaluation, and Monitoring realise that, for the NDP to be fully realised, there need to be effective systems in place to monitor and assess the implementation of government policies. The Infrastructure Delivery Management System is a government management system for planning, budgeting, procurement, delivery, maintenance, operation, monitoring and evaluation of infrastructure.

This study aimed to answer the five key questions raised in Chapter one. First, unlike the RDP, GEAR and ASGISA, the NDP focuses on ensuring sustainable human settlements rather than just providing housing and maintaining the apartheid geography of disenfranchisement. Furthermore, one of the key elements of the NDP is its acceptance of informality and a people-centred approach rather than a government-centred approach. Second, there was no radical difference in how the Mandela, Mbeki and Zuma viewed housing; they all recognised the role of government in providing human settlements to the poor. However, each administration approached the issue differently based on the socio-economic challenges facing the country at that time, hence moving away from redress and distribution to an approach of creating sustainable integrated human settlements. The changing political, economic and social landscape resulted in a shift away from seeing housing programmes mainly as a human right framework to recognising its role in improving the broader socio-economic participation of beneficiaries. Third, the South Africa constitution's position on housing is informed by the 1948 United Nations Declaration of Human Rights and the 1966 International Covenant on Economic, Social and Cultural Rights that highlights a rights-based approach to housing delivery. The 1996 South African Constitution, Section 26 (1) and (2) states that "everyone has a right to have access to adequate housing and the state must take reasonable legislative and other measures,

within its available resources, to achieve the progressive realisation of this right” (RS 1996). Fourth, National and provincial spheres are mainly tasked with developing and implementing policies such as the NDP while the local government had to identify and plan for suitable infrastructure. Unfortunately, all three spheres of government, especially local government, have relatively weak capacity and skills levels. The lack of strong links with the private sector is also a key factor, which needs urgent improvement. Fifth, since the implementation of the NDP, the plan has faced several challenges such as the slow growth in the economy, housing backlogs, limited land and lack of investor interest, however even with these challenges many still believe the goals of the NDP can be met. The NDP on transforming human settlements focused on a myriad of housing challenges while ensuring sustainable human settlements.

### **6.3 Recommendations**

As nuanced as the NDP is, it does not meet one of the basic criteria that scholars and civil society have been calling for, which is a detailed implementation plan. Furthermore, the government needs to allow for a gradual, yet effective, implementation of the plan to ensure that the objectives of the plan are realised. Chapter eight of the NDP should have outlined how the Department of Human Settlements plans on upgrading informal settlements differently than when the project was first introduced within the BNG framework. The Department of Human Settlements needs to have a detailed programme of how it plans to implement the NDP within the Department of Human Settlements in Gauteng. As mentioned in Chapter five, the Department of Treasury introduced IDMS, which is a well-thought-out system. However, the system is not efficient enough to ensure Departments adhere properly to it. The Department of Human Settlements acknowledged its failures with implementation. Therefore, this should be a challenge the Department wants to address. There needs to be a framework whereby the Department of Human Settlements can monitor and evaluate its implementation plan before any resources are used. This would ensure that if resources were wasted, the Department would know the individual that need to be held accountable for the wastage. Chapter three and five of this study discussed the challenges facing the state in providing sustainable human settlements to previously disadvantaged communities. The chapters acknowledged that while over 3 million housing units have been delivered in South Africa since 1994, the housing deficits keep increasing. However, this revelation is nothing new; during the Thabo Mbeki presidency (1999 – 2008), the Minister of Housing at the time, arrived at the same conclusion. Perhaps the fundamental flaws in the various development policies' approach to the housing programme in South Africa have been the state's failure to ensure good governance. Good governance is integral to how the Department of Human Settlements functions in its provision of

sustainable human settlements. Good governance is imperative because it allows for transparency, accountability, citizen participation, efficiency and effectiveness. The Department of Human Settlements national and the provincial government are riddled with corruption, maladministration, lack of good governance and poor policy implementation at all spheres of government. These issues need to be tackled at policy level, the Department of Human Settlements needs to prioritise implementation, good governance and promote professionalism within the housing sector. Policymakers need to view housing as a specialised field that requires extensive consultation and implementation plans that are tailored to address any challenge the Department of Human Settlements could potentially encounter during the implementation phase.

As mentioned in chapter three, the revised NDP outcome eight was published in 2014, and noted that the Department of Human Settlements' aimed to build approximately 1.5 million housing opportunities in sustainable human settlements. These housing opportunities would be achieved through projects such as the Gauteng mega projects. Unfortunately, the projects that the provincial government of Gauteng envisage are related to Greenfield's delivery of formal housing and not to the upgrading of informal settlements. The mega projects are one of a few housing projects that align to the NDP; however, the Gauteng provincial government seems to think that they can tackle population growth, migration, housing backlog and informal settlements by building 30 new cities. In Chapter 5 the participants spoke at length about the building of 30 new cities in terms of how difficult it would be to accomplish, especially considering that the provincial Department of Human Settlements in Gauteng acknowledges that the Department seems to be struggling when it comes to the effective implementation of projects. The mega projects are budgeted at 100-billion-rand. In theory, the projects are well thought out, and take into consideration the challenges that the Department of Human Settlements in Gauteng face in terms of growing population, migration, service delivery protests and rise of informal settlements. However, an implementation policy document must be crafted that goes into detail on how the Department plans to build these cities, and at what stages the premier should step in if the project is failing to meet deadlines. Furthermore, the Department needs to ensure that quality material is used in building houses. What has been disheartening is that the Department has built millions of houses, only for such houses to collapse due to the use of poor building materials that should have been checked and approved by the relevant stakeholders. An implementation plan of this magnitude may delay the rollout of projects. However, this may also ensure that the Department is held accountable for the plan if it does not adhere to it. Moreover, the Department of Human Settlements in Gauteng needs to focus on

completing previous projects that it started such as the Alexandra Renewal Project rather than awaiting another massive project of this scale, when other projects have not yet been completed.

The NDP recognises and supports the upgrading of informal settlements but critiqued it for lacking in creativity. However, the plan needs to be more detailed in terms of what the Department of Human Settlements should do moving forward. As with other Development Plans, the NDP's core is contained in its economic proposals. One of the key concerns of the NDP is that it had projected the South African economy to grow by 5% annually between 2013 and 2017, through reducing the cost of regulatory compliance, increasing support to small businesses, and ramping up government's investments in public infrastructure to boost exports in mining. Unfortunately, this did not happen. The economy instead grew by an estimated 0.7%. The government thus needs to explore global competitiveness as a national objective. Furthermore, it needs to create an enabling environment that encourages much more foreign investments. Additionally, the government needs to find creative ways to address the budgetary constraints of the Department of Human Settlements. One approach could be encouraging communities to get involved in creating housing opportunities and upgrading current informal settlements. The Department of Human Settlements needs to strengthen its relationship with the private sector. The private sector, for its part, should get involved in providing sustainable human settlements, and addressing the spatial patterns of the apartheid era.

The NDP is an ambitious plan that was drafted by various sectors of society, including the private sector. Therefore, the private sector must take partial responsibility for the lack of progress in implementing the plan. Unlike its predecessors, the NDP has a review mechanism in place to assess whether the plan is on the right track in achieving the targets outlined in the plan. The political landscape in South Africa has changed tremendously since 2012, not to mention continuing challenges at the grassroots level. Therefore, the NDP must consider the economic and social challenges the country continues to confront. The Medium-Term Framework for the 2014 – 2019 cycle is ending. Therefore, the National government, in partnership with provincial and local government, needs to assess the past five years, and evaluate gaps and shortcomings of the plan. The Department of Human Settlements should for its part, review its current subsidy instruments to improve targeting, combine programmes and encourage more efficient spatial development patterns. Furthermore, in reviewing the NDP, there must be an emphasis on intergovernmental partnerships, for example, Public Transport planning should be in alignment with residential

development; these are all key elements in achieving social and economic transformation in Gauteng urban areas.

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## **PARTICIPANT INFORMATION SHEET**

13 March 2019

Title: The implementation of the National Development Plan, with specific reference to transformation of Human Settlements Department in Gauteng province

### **Dear Prospective Participant**

My name is Ms Mahlatse Mpya and I am conducting research with Professor P Khumalo, an assistant professor in the Department of Public Administration and Management towards a MPA degree at the University of South Africa. We are inviting you to participate in a study entitled 'The implementation of the National Development Plan, with specific reference to transformation of Human Settlements Department in Gauteng province'.

### **WHAT IS THE PURPOSE OF THE STUDY?**

The research objectives of this study is:

- a) To assess how the NDP compares to development policies such as RDP, GEAR, ASGISA in the provision of human settlements
- b) To assess whether there was a radical difference in how the Nelson Mandela (1994-1999), Thabo Mbeki (1999-2008) and Jacob Zuma (2009-2018) administration understood the issue of human settlements and what has been the impact of policy implementation and evolution
- c) To understand the NDP's conceptualisation of the human settlements – economic development nexus.
- d) To examine the various constraints and challenges impeding the NDP from achieving its objectives, specifically in providing human settlements in Gauteng province.

- e) To assess how the three spheres of government work together in the province in the provision of human settlements

### **WHY AM I BEING INVITED TO PARTICIPATE?**

The researcher forwarded an email to the National Department of Human Settlements, Gauteng Department of Human Settlements and the Department of Planning, Evaluation and Monitoring to request permission to interview senior policymakers in the Department. The Departments approved the request, and the permission letters are available on request.

### **WHAT IS THE NATURE OF MY PARTICIPATION IN THIS STUDY?**

Data will be collected by means of indepth interviews. It will take approximately forty five minutes– maximum of one.

### **CAN I WITHDRAW FROM THIS STUDY EVEN AFTER HAVING AGREED TO PARTICIPATE?**

This research will ensure that all participants approached to participate in this research did so free from coercion. Participants have right to withdraw their participation at any time without negatively influencing their involvement in the study.

### **WHAT ARE THE POTENTIAL BENEFITS OF TAKING PART IN THIS STUDY?**

To assess whether the National Development has an impact on the transformation of Human settlements in Gauteng province. The study will give recommendations at the end of the study.

### **ARE THERE ANY NEGATIVE CONSEQUENCES FOR ME IF I PARTICIPATE IN THE RESEARCH PROJECT?**

There are no consequences for the participants taking part in this study. The privacy of all the participants as well as their identity will be protected when the findings of this study are disseminated.

## **WILL THE INFORMATION THAT I CONVEY TO THE RESEARCHER AND MY IDENTITY BE KEPT CONFIDENTIAL?**

This study will ensure that the privacy and anonymity of participants remained of paramount importance. The identity of participants will remain unknown to everyone except the researcher and supervisor of this study.

Your data may be utilised for other purposes, such as a research report, journal articles and conference proceedings. A report of the study may be submitted for publication, but individual participants will not be identifiable in such a report.

Please note that it is impossible to provide a guarantee that confidentiality and anonymity will be maintained, especially when focus groups are used as a data collection method.

## **HOW WILL THE RESEARCHER(S) PROTECT THE SECURITY OF DATA?**

The researcher will store hard copies of your answers for a period of five years in a locked cupboard at the Afro-Middle East Centre offices in Hyde Park for future research or academic purposes; electronic information will be stored on a password protected computer. Future use of the stored data will be subject to further Research Ethics Review and approval if applicable. Once the five year period concludes the researcher will delete all the data collected.

## **WILL I RECEIVE PAYMENT OR ANY INCENTIVES FOR PARTICIPATING IN THIS STUDY?**

You will not receive any payment or reward, financial or otherwise for taking part in the study. The study will not incur unnecessary costs to you.

## **HAS THE STUDY RECEIVED ETHICS APPROVAL**

This research has received written approval from the Research Ethics Review Committee of the Department of Public Administration and Management, Unisa. A copy of the approval letter is available.

## **HOW WILL I BE INFORMED OF THE FINDINGS/RESULTS OF THE RESEARCH?**

If you would like to be informed of the final research findings, please contact Mahlatse Mpya on 0715052985 or email [Mahlatse.mpya@gmail.com](mailto:Mahlatse.mpya@gmail.com). The final dissertation will be submitted to the Unisa Library at the Muckleneuk Ridge Campus, Preller Street, Pretoria, from where it will be available to the participants.

Should you have concerns about the way in which the research has been conducted, you may contact my supervisor, Professor P Khumalo, at 012 429-3779, or via email at [khumap1@unisa.ac.za](mailto:khumap1@unisa.ac.za).

Alternatively, contact the research ethics chairperson of the Department of Public Administration and Management, Unisa, Ms C Alers, at 012 429 6286 or via email at [alersc@unisa.ac.za](mailto:alersc@unisa.ac.za).

Thank you for taking time to read this information sheet and for participating in this study.

Thank you.

**Ms Mahlatse Mpya**

Email: [Mahlatse.mpya@gmail.com](mailto:Mahlatse.mpya@gmail.com)

Tel: 0715052985



**Annexure 2**

**CONSENT TO PARTICIPATE IN THIS STUDY**

Title: The implementation of the National Development Plan, with specific reference to transformation of Human Settlements Department in Gauteng Province

Researcher: Mahlatse Mpya

I, \_\_\_\_\_ (participant name and surname), confirm that the person asking my consent to take part in this research has told me about the nature, procedure, potential benefits and anticipated inconvenience of participation.

I have read (or had explained to me) and understood the study as explained in the information sheet.

I have had sufficient opportunity to ask questions and am prepared to participate in the study.

I understand that my participation is voluntary and that I am free to withdraw at any time without penalty.

I am aware that the findings of this study will be processed into a research report, journal publications and/or conference proceedings, but that my participation will be kept confidential unless otherwise specified.

I agree to the recording of this interview. I have received the general rules of this interview.

I have received a signed copy of the informed consent agreement.

Participant Name & Surname.....

### **GENERAL RULES OF THE INTERVIEW**

1. You have been invited to participate in this study because of your extensive experience about the topic under study.
2. You are kindly requested to answer the questions as honestly and completely as possible.
3. The question will take a maximum of 60 minutes to complete.
4. Participation is anonymous: You are not requested to disclose your identity. Your privacy will be respected.
5. No one will be able to connect you to the answers you give.
6. The information collected from you will be treated with strict confidentiality and used for research purposes only.
7. You have the right to withdraw your participation at any time. Hence, your participation is regarded as voluntarily.
8. You will not receive any payment or reward, financial or otherwise, and the study will not incur undue costs to you.
9. The survey data will be stored in a locked cupboard and the data stored in a computer will be protected by the use of a password. The survey data will be destroyed when it is no longer of functional value (after five years).

A copy of the dissertation will be available in the library at the Muckleneuk Ridge Campus of the University of South Africa (Unisa), Pretoria

## Annexure 4

### Semi structured Interview questions

- Has there been a radical difference in how the Mandela, Mbeki and Zuma administration understood the issue of human settlements and what has been the impact of policy implementation and evolution?
- Do economic policies such as the NDP have a direct impact on the provision of housing?
- If so, which economic policies in South Africa (global south) have been successful in ensuring an effective and efficient way to provide housing?
- Is the NDP able to address the housing backlog in Gauteng while simultaneously meeting the targets it set out?
- How has the Gauteng Provincial government aligned its housing policies to the NDP?
- What are the challenges facing the Gauteng Provincial Government in the transformation and provision of human settlements?
- How would you assess the various constraints impeding the NDP from realising its objectives specifically to human settlements?
- What are the constraints, problems and obstacles of the National Development Plan in transforming human settlement?
- What are the various constraints impeding the NDP from realising its objectives specifically to human settlements?
- In your opinion why do you think the relevant departments are failing to meet the targets set out in the plan?
- Do you believe the relevant departments will meet the targets set out in the NDP?

DEPARTMENT: PUBLIC ADMINISTRATION AND MANAGEMENT  
RESEARCH ETHICS REVIEW COMMITTEE

Date: 11 February 2019

Ref #: PAM/2019/004 (Mpya)  
Name of applicant: Ms MI Mpya  
Student#: 57659515

Dear Ms Mpya

**Decision: Ethics Clearance Approval 11 February 2019 to 10 February 2022**

**Name:** Ms MI Mpya, student#: 57659515, [mahlatse@amec.org.za](mailto:mahlatse@amec.org.za),  
tel: 071 505-2985

[Supervisor: Prof P Khumalo, tel: 012 429-3779, [Khumalo1@unisa.ac.za](mailto:Khumalo1@unisa.ac.za)]

**Research project:** 'The implementation of the National Development Plan Policy with specific reference to the transformation of Human Settlement Department in Gauteng'

**Qualification:** Master of Administration in Public Administration

Thank you for the application for **research ethics clearance** by the Department: Public Administration and Management: Research Ethics Review Committee, for the above mentioned research. Ethics approval is granted for the period 11 February 2019 to 10 February 2022. If necessary to complete the research, you may apply for an **extension** of the period. The decision will be tabled at the next College RERC meeting for notification/ratification.

**For full approval:** The application was **expedited and reviewed** in compliance with the *Unisa Policy on Research Ethics* and the *Standard Operating Procedure on Research Ethics Risk Assessment* by the RERC on 7 February 2019.

The proposed research may now commence with the proviso that:

- 1) The researcher will ensure that the research project adheres to the values and principles expressed in the Unisa Policy on Research Ethics.



**DECLARATION**

I declare that I, Linda Handfield-Jones, resident in Arcadia, Pretoria, have duly proofread and edited the dissertation named below and have returned the same by electronic means to the student:

Mahlatse Immoentia Mpya

Student number: 57659516

as her submission for

Degree: Master in Administration in Public Administration

Exact wording of the title of the dissertation as appearing on the electronic copy submitted for examination:

**The implementation of the National Development Plan and its impact on the provision of Sustainable Human Settlements: The case of Gauteng province**

I further declare that the above dissertation is all her own work and that my contribution was only in the form of corrections to English syntax or in the form of an alternative to the original wording so as to make an unbroken reading of the dissertation feasible for the examiner. At no time have I altered the conceptual content of the dissertation.

My experience of proofreading and editing began in the 1970s with the theses submitted by my husband, Doctor R.V.R. Handfield-Jones, for his M.Phil. and Ph.D. degrees and continued with proofreading of the dissertation on his post-Doctoral research work.

I have proofread or edited various articles for company magazines, as well as another M.Phil. thesis on security in financial institutions and a history of a Johannesburg High School on the occasion of its Centenary, as well as producing an in-house magazine for de Beers Diamond Mines (Pty.) Ltd. every month over a period of five years.

*Linda Handfield-Jones*

Linda Handfield-Jones

10-Jun-2020