THE ROLE OF INTERGOVERNMENTAL RELATIONS IN THE IMPLEMENTION OF SOCIAL HOUSING IN GAUTENG PROVINCE

by

MAKOTA MADISHA
(Student no. 32026676)

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PROMOTOR: Prof P Khumalo
CO-PROMOTOR: Prof LL Luvuno

PRETORIA
18 January 2021

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MAKOTA MADISHA

DECLARATION

NAME: MAKOTA MADISHA
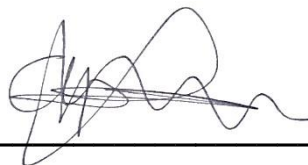
STUDENT NUMBER: 32026676

DEGREE: DOCTOR OF PHILOSOPHY

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Genevieve Wood
PhD candidate
Wits University

DEDICATION

This thesis is dedicated to my mother Nkete and father Malope who taught me the value of hard work. No one reinforced hard work like my parents. I grew up in an area called Madisha Leolo in Zebediela Limpopo Province, South Africa.

People who schooled with my mother would tell me how she was a learner par excellence in her time. This work represents how my mother could have realised and reached her highest level of scholarship should she have been given an opportunity. I do pray that the same morals and values of education instilled in me are passed on to you, my loving bambinos.

Finally, to all South African students studying in China despite the Coronavirus outbreak follow your dreams stay focused and you will complete your studies.

" Jiānchí dàodǐ shì shènglì - enduring to the end is victory.

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ACRONYMS AND ABBREVIATIONS

BEPP	Built Environment Performance Plan
BNG	Breaking New Ground
CoJ	City of Johannesburg
CoT	City of Tshwane
CPF	Central Provident Fund
EM	Estate Management
FOSAD	Forum for South African Directors-General
GDP	Gross Domestic Product
GEAR	Growth, Employment and Redistribution
GIGRF	Gauteng Intergovernmental Relations Framework
GPF	Gauteng Partnership Fund
GPRS	Ghana Poverty Reduction Strategy
GREDA	Ghana Real Estate Development Association
GRP	Group Representative Constituencies
HDA	Housing Development Agency
HDB	Housing and Development Board
HDI	Historically Disadvantaged Individuals
HFC	Home Finance Company
HFS	Housing Finance System
HSDG	Human Settlements Development Grant
IDP	Integrated Development Plan
ISRDP	Integrated Sustainable Rural Development Programme
IGF	Intergovernmental Forum
IGR	Intergovernmental Relations
KNUST	Kwame Nkrumah University of Science and Technology
MEC	Member of the Executive Council

MFMA	Municipal Finance Management Act
MHSCG	Municipal Human Settlements Capacity Grant
MinMec	Ministers and Members of Executive Councils
MMC	Member of Mayoral Committee
MMDA	Metropolitan, Municipal and District Assemblies
MND	Ministry of National Development
MTDP	Medium Term Development Plan
MWRW&H	Ministry of Water Resources, Works and Housing
NASHO	National Association for Social Housing Organizations
NDC	National Democratic Congress
NDP	National Development Plan
NDPC	National Development Planning Commission
NHB	National Housing Bank
NHFC	National Housing Finance Corporation
NPC	National Planning Commission
NPP	New Patriotic Party
NSLIH	National System for Low-Income Housing
NSMH	National System for Market Housing
NUSP	National Upgrading Support Programme
OECD	Organization for Economic Co-operation and Development
PCC	President's Coordinating Council
PICC	Presidential Infrastructure Coordinating Committee
PGDP	Provincial Growth and Development Plan
PPS	Public Private Partnerships
PWV	Pretoria-Witwatersrand-Vereeniging
RCC	Regional Coordinating Council
RDP	Reconstruction and Development Programme
RSA	Republic of South Africa

SALGA	South African Local Government Association
SCC	State Construction Company
SHC	State Housing Corporation
SHI	Social Housing Institution
SHIP	Social Housing Investment Programme
SHRA	Social Housing Regulatory Authority
SIT	Singapore Improvement Trust
SPSS	Statistical Package for the Social Sciences
TDC	Tema Development Corporation
TUHF	Trust for Urban Housing Finance
URP	Urban Renewal Programme
USDG	Urban Settlement Development Grant
YCH	Yeast City Housing

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ABSTRACT

South Africa has a social housing delivery problem, where, despite all mechanisms, efforts and resources (including policies, enabling legislation and social housing production inputs such as planning regimes, guidelines and strategies, funding, land, buildings and human resources put in place by the government), the pace of social housing delivery is not at a point where it is measurably satisfactory across all spheres of government. There exists between the three spheres of government an intergovernmental relations framework for implementing social housing policy. The performance of government shows a lack of institutionalised arrangements, coordination, and alignment in the day-to-day operations of the three spheres of government in implementing social housing policy. It is for this reason that this study assessed the current intergovernmental relations operational system in the delivery of social housing units in Gauteng Province.

A mixed-methods research approach was implemented for this study based in methodological pragmatism, phenomenology, and positivism. The researcher conducted interviews with senior managers and administered research questionnaires with operational staff within the National, Provincial and Local spheres of government which included City of Tshwane, City of Johannesburg and Ekurhuleni Metropolitan municipalities in Human Settlements Departments, state agencies involved in the delivery of social housing units such as the Social Housing Regulatory Authority and municipal entities such as the Housing Company Tshwane, the Johannesburg Social Housing Company and the Ekurhuleni Social Housing Company. Private and non-governmental social housing institutions, such as the Yeast City Housing and Mannapendlo Social Housing Organisation were also included. The data were complemented by documentary content analysis, including review of annual reports, strategic human settlements plans, policies and legislation pertaining to the provision of housing, human settlements, and social housing.

This study assessed the functioning of the three spheres of government in relation to the implementation of social housing policy in Gauteng Province. The three spheres of government are regarded as equally important institutions for the development of sustainable human settlements, and a sound relation between the three spheres of government must be maintained in order to achieve successful development and management of social housing. The research found evidence of poor coordination and alignment, and no integration of social housing related activities and functions between the three spheres of government. There are major risks, such as financial risk, financial planning, and project implementation risks experienced at local government level. The study identified challenges faced by the three spheres of government and state agencies in the implementation of social housing policy in Gauteng Province. The challenges included slow release of land for social housing development, uncoordinated and unplanned social housing delivery in the province.

In addition, the study identified other input factors that impact negatively on the supply of social housing units which cut across all spheres of government such as political mandates, legislation, policies, strategies, plans, targets, priorities, information technology and administrative and financial constraints. The study presented and recommended social housing delivery model for Gauteng Province. The proposed model has the probability of providing an understanding of the relations between government departments, state agencies, social housing institutions, intergovernmental relations structures at national, provincial and local government level, non-governmental organisations, and community based organisations, so as to ensure there is vertical and horizontal alignment to improve and fast track the delivery of social housing in Gauteng Province.

Keywords: housing, human settlements, human settlements planning, policy, social housing, affordable rental housing, intergovernmental relations.

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CHAPTER 1:
INTRODUCTION

In any organisation, be it a classical or neo-classical organisation, values and principles governing the interaction between and amongst departments and people exist. These values and principles inform the collaborative behaviour between the various organisational structures and human beings in maintaining professional dealings, towards achieving the cardinal goals of an institution, namely, a better life for all. A healthy relationship, in most cases, is usually enforced by conventions, norms and values, which determine how classical and neo-classical organisations interact with one another. Such collaborative rules, in most cases, are meant to build a relationship of trust towards the greater good. It should be noted that the quest for a better life for all, therefore, is enshrine in the constitutions of most countries. In South Africa, these basic values and principles are captured in the preamble of the 1996 Constitutions of the Republic of South Africa, and further endorsed in Chapter 10 of the 1996 Constitutions of the Republic of South Africa as governing interactions and relationships of government institutions in South Africa.

It is within the public management context that various inter-organisational relationships, hereafter called intergovernmental relations (IGR), in government organisations, are established, so as to coordinate collaborative interactions with one another in order to achieve the enshrined government goals. Thus, the Department of Human Settlements, being part of government, is bound to have intersectoral collaborations with other government departments if it is to implement its housing policies, programmes, and strategies across South Africa, and specifically, its Gauteng Provincial social housing policy.

In general, housing in South Africa is a thorny issue and a necessity, recognised as a basic human need and a right. The adoption of the Universal Declaration of Human Rights in 1948 places emphasis on the right to adequate housing ultimately enshrined in the South African Constitution. For many years, developing countries around the world, including South Africa, have faced challenges in accessing adequate houses. Governments unable to address and eradicate the housing backlogs both qualitatively and quantitatively must resort to particular strategies, and their concerted implementation. The United Nations Human Rights Fact Sheet (1996:354), having access to adequate, safe, and secure housing, substantially strengthens the likelihood of people being able to enjoy certain additional rights towards a better life for all.

The provision of housing in South Africa is a concurrent function between the three spheres of government, namely: national, provincial and local governments. There are relations that exist between the three spheres of government in terms of the intergovernmental relations framework, and both the national housing and social housing policies clearly define the roles and responsibilities of each sphere in implementing such housing policies. The three spheres of government have made a concerted effort towards achieving housing provision as a basic right. However, there has been some pressure from the communities through protests sparked by the lethargic delivery of adequate housing, and, in particular, affordable rental housing opportunities in the Gauteng Metropolitan Municipalities such as the City of Tshwane (CoT), the City of Johannesburg (CoJ) and Ekurhuleni.

Affordable rental housing generally implies a housing unit that can be rented by a household with shelter costs (rent and utilities) that are less than 30 percent of household gross income. This type of rental housing is provided by public or non-profit organisations

that rent it out at substantially below market rentals and, therefore, this type of accommodation is accessible to low income households. Social housing falls within affordable rental housing as government subsidises the provision of affordable rental housing, by making funds, land, buildings and bulk services infrastructure available.

The rapid urban growth, owing to migration patterns in the three metropolitan municipalities of the Gauteng Province, is recognised as one of the main contributors to the demand for affordable and adequate rental housing. All three metropolitan municipalities in Gauteng Province are experiencing a backlog in housing provision, which explains the reason for protest actions. It is for this reason that, despite the government having good policies, approved restructuring zones, a progressive housing legislative framework, and credible municipal human settlements plans as part of the integrated development plans, the delivery of social housing is still slow. The role of government is very broad, and coordination in order to implement social housing policy includes legal, regulatory, fiscal, political, programmatic, and administrative aspects at all three levels.

National, provincial and local government all acknowledge that, despite factors of social housing production, for example: human resources in the three spheres of government; physical resources such as land and buildings; and financial resources, policies, strategies, acts and guidelines, the delivery of affordable rental housing is unsatisfactory. All this points to a lack of effective intergovernmental relations and an operational system that is efficient, effective, and reliable in the delivery of social housing units. The Constitution of the Republic of South Africa, 1996, states that all three spheres of government must:

- cooperate with one another in mutual trust and good faith by fostering friendly relations;
- assist, support and consult one another in matters of common interest; and

- coordinate their actions and legislation with one another and adhere to agreed procedures.

The Government has developed several programmes and structures to ensure that there is cooperation, trust, consultation, and investment in rental housing, and that the environment is conducive for all stakeholders to deliver and manage social housing programmes and projects. In South Africa, the provision of affordable rental housing is a collaborative responsibility of the three spheres of governments.

This thesis outlines a theoretical and empirical overview of housing and intergovernmental relations. Comparative housing provision in developing countries including Ghana in Africa, Singapore in Asia and Brazil in Latin Americana is examined and a theoretical analysis of housing provision in South Africa is presented. This is followed by an analysis of key challenges inherent in social housing provision in Gauteng Province. A discussion of how and which research methods were used to collect the empirical data is provided, as well as an explanation of how these data were analysed and interpreted. Following this, the findings, conclusion and recommendations for future implementation are presented.

1.1   BACKGROUND AND RATIONALE FOR THE STUDY

In South Africa, there are several challenges to providing everybody access to adequate housing. Manomano, Tanga, and Tanyi (2016:112) describe adequate housing as housing that promotes self-reliance, protection and security, with access to social amenities and services. People have different housing needs. For this reason, various solutions in the form of different types of housing typologies are required. Rental housing provides a solution for a specific part of the population, such as people who need a house, but cannot afford ownership, or are looking for temporary housing. In order to meet this particular need, the National Department

of Human Settlements developed a National Rental Housing Strategy to promote rental housing for low-income earners.

The National Rental Housing Strategy describes the implementation plan for the Social Housing Programme and the Community Residential Units Programme, which were revised and approved during the 2016/2017 financial year. These programmes focus on the same target group, but each has its own subsidy system. Only Social Housing Institutions can apply for the development of rental housing units in the Social Housing Programme. Social housing is a rental housing option mainly delivered by Social Housing Institutions and aimed at a target income population earning between R7, 500.00 and R15, 000.00 per month.

Social housing is a way of providing affordable, medium- to high-density rental housing opportunities to qualifying beneficiaries. The main purpose of the Social Housing Programme is to restructure urban areas by the delivery of multi-unit complexes, requiring institutional management, not mass delivery of housing units. The programme grants subsidies only for social housing projects in restructuring zones. A restructuring zone is a geographical area within a city that has opportunities for the development of social housing. Restructuring city space for social housing aims to undo the legacy of town planning under the apartheid regime, and to create a socially, racially and economically integrated society (South African Local Government Association, 2011:5).

In pursuing the goal of developing sustainable human settlements, a variety of housing programmes have been introduced including social housing. The rental housing programme was introduced as an initiative for eradication of housing backlogs through the provision of rental housing for low income persons, who cannot be accommodated in the formal private rental market. The programme seeks to contribute to the Government agenda of addressing the imbalances of the past by bringing lower-income

people into areas where there are major economic opportunities. This programme also promotes integration of society (a mix of race and classes), by promoting spatial access to economic opportunities and providing job creation. It also provides an alternative to people who do not want home ownership, promotes densification in demarcated zones that are rapidly urbanizing and supports urban renewal and city regeneration. Some social rental housing units have, over a 10-year period, offered a wider set of accommodation options in well located areas and have potentially provided well located affordable accommodation to more than 300 000 people.

The implementation of Social Housing Policy in South Africa requires the different spheres of government to co-ordinate their activities in order to facilitate a realisation of housing provision. According to Ubisi, Khumalo, and Nealer (2019:13355-13369) cooperative government and intergovernmental relations structures were established in all three spheres of government, with the aim of promoting cooperative government and intergovernmental relations and improving housing service delivery, among other services. This co-ordination is imperative, because without such, effective housing provision remains threatened. In recent times, across Gauteng Province, there has been protests and demonstrations regarding a lack of delivery of housing and human settlements opportunities. The protests are due to what Khumalo (2019:477) calls a lack of coordinated approach in the working together of government institutions involved in human settlements, as well as in the improvement of intergovernmental relations. In implementing social housing policy, the three levels of government must support and assist one another by informing one another and consulting each other on activities and actions of common interest, coordinating appropriate actions and tasks, respecting agreed procedures and avoiding any possible legal proceedings against any level of government. Theletsane (2019:577) states that it is a constitutional requirement that departments work together to achieve governmental objectives. The major problems in achieving the delivery of social housing units are the availability of the required grant

funding, and institutional capacity by the government to deliver and management of the delivery programme. The key activities performed by the three spheres of government include identifying land and building release and packaging, streamlining town planning arrangements, and infrastructure provision and the demarcation of restructuring zones.

The implementation of social housing will contribute towards creating sustainable human settlements because it has, at its core, the restructuring and integration of urban areas and towns, creation of better neighbourhoods, integration and improvement of communities, and lastly, meeting the demand for rental housing. According to Khumalo (2019: 475) there is a lack of coordination from the various spheres of governments and between entities that should work together to ensure sustainability of meeting human settlements and social housing needs by government. Coordination plays a key role in intergovernmental relations as a strategy to allow for organisations to interact with an ultimate aim of enhancing service delivery (Malobela, 2019:216). Wilkinson (1998:216) states that the provision of housing has been a state responsibility even during the 1920s. This indicates that the government has, for a long time, been a leading institution in ensuring that a housing policy framework is in place and is being implemented.

Wilkinson (1998:217) argues that the institutionalisation of the migrant labour system and associated geopolitical entities, variously described as homelands, Bantustans and reserves, gave rise to people renting accommodation. The state applied controls on urban migration and maintained the separation of the day-to-day existence of migrant labour, accommodating poorly paid migrant labourers in hostels, barracks, and compounds. Wilkinson (1998:222) asserts that the State failed to bring the supply of rental housing in line with the level of demand in the rapidly growing African urban population. Failure by the State to clearly define the demand for subsidised rental housing reflects the lack of coordinated efforts by the three spheres of government to develop supply options for the rental market (Harriot & Matthews, 1998:9).

Provision of social housing requires that local government takes the lead in defining housing demands, providing land and bulk services infrastructure and ensuring that the environment is conducive for social housing institutions. The current literature suggests that local governments in developing countries have experimented with different housing and bulk services infrastructure plans, housing demand policies to deal with the provision of housing and social housing and these policies reflect diverse ideological orientations, government agendas, and private interests. Hegedus (2013:5) states that, in developing countries such as South Africa, the typical social housing landlord is a public management company owned by the municipality. According to Hoekstra (2010:126), the responsibility of implementing social housing policy is shared among different spheres of government with local government taking the lead in terms of day-to-day operations.

These include ensuring that the public management company and/or municipal-owned entity manages the allocation of vacant units, collects rent, maintains the units, and provides cleaning and security services. Local government is, therefore, responsible for ensuring that the units are not vandalised and are habitable and comply with applicable health and safety norms and standards. The national government plays a coordinating role as the leader of the economic sector. The current literature presents that the implementation of social housing policy in the South African context is shaped by four intertwining factors, which are: intergovernmental relations; municipal finance; electoral politics; and the capacity of the social housing delivery agents' capability to delivery shelters.

Levy and Tapscott (2001:1) indicate that transition to democracy in South Africa brought with it fundamental changes in the form and functions of the State. The new dispensation resulted in a restructuring of intergovernmental relations and a redefinition of the responsibilities of the different spheres of government, with the aim of intergovernmental

relations being to improve service delivery to the communities. Hatting (1998:4) maintains that intergovernmental relations include the study of relations between persons (public servants and office bearers) in authority, as well as a comprehensive range of relations between these individuals and institutions. This observation is important for the purposes of illuminating the usually sour relations between government entities and communities, which have resulted in service delivery protests and demonstrations in the country. The involvement of the public sector in the provision of social housing is intended to help those who cannot afford private rental accommodation (Harriot et al., 1998:3). As such, it is important for all the spheres of government to clearly define their roles, responsibilities, and obligations in realising this constitutional mandate.

Peters and Pierre (2001:99) confirm that governments internationally are concerned with the capacity to wield and coordinate resources from the public and private sectors and from interest groups. The implementation of social housing policy in South Africa requires what Peters and Pierre (2001:100) have called a model in which the State is not proactively governing society, but is more concerned with defining objectives and mobilising resources from a wide variety of sources to pursue these goals.

In the South African context, delivery of social housing is happening concurrently in all three spheres of government, whereby joint decision-making and a collaborative exchange of ideas, plans, activities, and functions between institutions at different levels of the political system needs to be managed, but not with command and control. Currently, there is a lack of an effective and efficient intergovernmental relations system that can play a more prominent role in terms of fast-tracking the delivery of social housing. There is also institutional overlap in terms of competencies and growing political, economic, and administrative dependencies between the three spheres of government, given that all three spheres are responsible for the provision of housing.

Between the three spheres, there are no multi-level governance processes in the implementation of social housing policy. The three spheres are unable to separate the political democratic element of governance from the managerial service producing sector of government. In other words, they are unable to negotiate and contextualise the planning, budgeting and implementation processes of social housing. Sokhela (2006:77) emphasises the constitutionality of intergovernmental relations in South Africa. In this regard, and in order to keep this study within its due limits, it must be acknowledged that intergovernmental liaisons are a constitutional product, whose entire operation ought to be observant of the Constitution.

For this reason, if this and any study of intergovernmental relations is to bear fruit, the constitutional statutes governing intergovernmental relations in South Africa must be taken into consideration, especially in relation to how such studies can contribute to the development of user-friendly intergovernmental relations systems. The involvement of the public sector in the delivery of social housing is not practically coordinated between the three spheres of government. According to Onwughala, Obiorah and Ishaka (2018: 03) there are vertical and horizontal intergovernmental relations systems and the vertical being amongst the spheres of government, that is national, provincial, and local, with the horizontal being amongst and between department and local. In the South African context, the current intergovernmental relations system, structures and forums are not coordinated in a way that ensures that planning regimes of the three spheres are horizontally and vertically aligned in the integrated development planning of local government and are supported by adequate budget allocations. Hughes (2011:2-16) discusses at length the governmental nature of South Africa as a developing State and how policy postures help or hinder the role of intergovernmental relations harmonisation as a national policy response to promote sustainable service delivery and development in South Africa.

Phago (2013:3) identifies two important deficiencies of intergovernmental relations, despite the implementation of the Intergovernmental Relations Framework Act (No. 13 of 2005). The first is that there are always a variety of processes and structures existing whose roles and relationships are mostly uncertain. In the current housing legislation, the provision of housing is the main responsibility of provinces, while municipalities merely provide information and manage the public housing waiting list. According to Phago (2013:3), the process of accessing public housing is uncertain, as the municipality's main responsibility is to manage what provinces are providing because most, if not all, housing development initiatives are funded by national and provincial government through conditional grants.

In Gauteng Province, the Provincial Department of Human Settlements funds most, if not all housing and human settlements development projects, programmes, and plans. This means that both the national and provincial governments play a limited role in terms of the day-to-day implementation of human settlements projects. In the case of social housing projects, the municipalities ensure that the environment is conducive for social housing institutions to deliver social housing units, identify and designate restructuring zones, set up partnership agreements with social housing institutions, provide access to land and services, and lastly, play a supporting and facilitating role.

The second deficiency, according to Phago (2013:3), is that while intergovernmental relations policies attempt to provide clear and manageable structures and programmes, policy priorities often cut across ministerial mandates and traditional policy fields. Communities depending on the powers granted to them in their respective statutes of autonomy are authorised to modify and compliment the central state's housing policies with the help of their own resources. They are responsible for establishing their regional housing policies and regulations, developing and managing their subsidised owner occupied and rental housing stock, and to grant and control subsidisation of housing investments.

Kahn, Mpedi, and Kabena (2011:132) argue that the provision of housing is the concurrent responsibility of all three spheres of government. According to Kahn et al. (2011:132), the activities of the different strata of government must be coordinated and well-integrated. These authors highlight and identify matters that inhibit co-operative governance and mention that assignment of roles and functions between spheres of government is problematic. They maintain that some of the functions may not be assigned to the spheres that are best suited to perform them, such as the delivery of housing. The Housing Act of 1997 allows for accreditation of municipalities to administer the National Housing Programme Act (No. 107 of 1997). It is evident that the municipalities have been underutilised in the delivery of housing programmes across the country.

In the current setup of intergovernmental cooperation, there is an element of command and control, wherein the national level is perceived to be controlling the province and the province, controlling the local government sphere. There is no sense of partnership where priorities, performance targets, and indicators of the three spheres of government are negotiated. Kahn et al. (2011:133) mention that the roles and responsibilities of municipalities as being the development of integrated sustainable human settlements.

Planning of housing and human settlements functions need to be executed at municipal level. These authors argue that, through this dispensation, there will be better and more localised needs analysis, improved land identification and land release processes, zoning and subdivision, facilitation of integrated and inclusionary residential areas, and improved planning and procurement of public facilities. Municipal level actions will encourage private investments and improve the supply of bulk infrastructure and service.

Mari (2013:575) highlights the role of the local government as the initiator of social housing projects, since this level of government is responsible for defining the demand for social housing and identify the restructuring zones. The local sphere of government must implement measures to facilitate the delivery of social housing through the conversion of existing non-residential stock and upgrading of existing stock. The municipality is obliged to provide access to land and buildings for social housing development. In essence, the local sphere is directly responsible for the establishment of social housing stock.

Loffler and Konig (2000:4) advance some interesting propositions regarding partnership arrangements between different levels of government that ought to be considered in the implementation of government policies, programmes, and projects. The three kinds of accountability relationships include: accountability among the partners, accountability between each partner and its own governing body, and lastly, accountability to the public. In South Africa, there is a lack of standardised intergovernmental social housing parameters to facilitate routine procedures that should be followed in delivery of social housing in all the spheres of government.

Konig and Löffler (2000:4) present a case study that shows traditional forms of administrative co-operation to be mainly cost-sharing arrangements with an inherent risk of diluting or diffusing accountability. Löffler and Konig (2000:13) state some important facts regarding administrative tasks that may not involve re-allocated between different levels of government but are transferred to the private and the non-profit sectors. In the implementation of social housing policy, the government mainly relies on public-private partnerships and partnerships with non-governmental organisations.

Hatting (1998:23) present two types of intergovernmental relations, namely, vertical and horizontal. The former represents relations that come into play between governmental

bodies in different tiers of government, and in South Africa, currently represents relations between central, provincial, and local authorities. The latter represents relations between authorities on the same level. In South Africa, this relation includes the nine provinces, as well as numerous relations at local government level.

These relations are relevant in the implementation of social housing policy.

The provision of housing and human settlements is a shared responsibility between central, provincial and local government. Holzer and Schwester (2011:204) explored the concept of shared service, and they advocate that this will cut service delivery costs and improve governmental responsiveness through better services. In implementing social housing, the provincial government transfers capital restructuring grants. Denhardt and Denhardt (2009:85) describe intergovernmental relations as involving and understanding the changing patterns of funding of public programmes. The transfer of grant money (and property) from one level of government to another is helpful in understanding intergovernmental relations. De Vries, Reddy, and Hague (2008:88) argue that effective intergovernmental relations in democracies worldwide are the achievement of service excellence in government spheres. Intergovernmental relations directly affect applicable operational and functional activities.

On the implementation level of policy actions and contributions of specific role players, government institutions form the foundation for the promotion and facilitation of intergovernmental relations. Tapscott (2009:9) argues that the development of an effective system of intergovernmental relations needs to be supported by appropriate policy pronouncements and by legislation. Ubisi et al. (2019:13355) argues that cooperative government and intergovernmental relations structures provided by the Intergovernmental Relations Framework Act (13 of 2005) are not effective in addressing housing challenges. Fowler (2018: 206) presents that intergovernmental relations is very complex in nature and it involves coordination, cooperation, interaction, communication,

sharing of information, institutional arrangements, policy implementation protocols, adherence to laws and regulations. An operational system of intergovernmental relations needs to accommodate the aspirations and vested interests of the different spheres of government and at the same time manage areas of dispute.

1.2 PROBLEM STATEMENT

In one way or another, the government, be it national, provincial or local, owns important elements or factors of social housing provision such as human resources, land, buildings, financial resources, policies, strategies, acts and guidelines. Despite this, the delivery of social housing is still not convincing. According to Gauteng Rental Housing Strategy (2017:21), Gauteng Province has seen an increase in number of households, as shown by the 1996 to 2011 censes. In 1996, the total number of households in the Province was estimated at 2 069 512 and in 2001 was estimated at 2 791 270; by 2011 it was estimated at 3 909 022; an increase of 35% and 40%, respectively. The increase in households has a direct impact on the demand for adequate and affordable social rental housing. The proportion of those who rented increased from 28.4.in 2001 to 37.1 in 2011, and the implication is that the rented accommodation is on the increase. The state owns, and has a great deal of influence over, the factors that influence the social housing production process. The provision of social housing is a concurrent function between the three spheres of government and the current performance cannot be linked to any one sphere of government. Evidence on the ground, such as:

- low numbers of social housing units delivered;
- poorly managed rental stock;
- poor quality of rental stock provided; and
- lengthy time to complete social housing projects.

This evidence indicates that despite all mechanisms, efforts and resources put in place by the government (including policies, enabling legislation, and social housing production inputs such as planning regimes, guidelines and strategies, funding, land, buildings, and human resources), the pace of social housing delivery is not at a point where it is measured as satisfactory across all spheres of government. Current land management practices by both the province and municipalities are not synchronised to enhance the delivery of large scale affordable rental housing (Gauteng Rental Housing Strategy, 2017:27).

According to the Department of Human Settlements (2016:46), between 2007/2008 and 2014/2015 in Gauteng Province there were 20 approved social housing projects with 4815 units. The units were not all delivered, due to various reasons such as regulatory difficulties, social housing institutions' capacity to deliver and reporting inadequacies. Social Housing Institutions not able to meet regulated construction norms and standards (and desired accommodation standards) in the physical design of social housing units due to financial limitations on subsidies (Department of Human Settlements, 2016: 69). The Gauteng Rental Housing Strategy (2017) identified institutional and management capacity in the various sectors. This shows a lack of institutionalised arrangements, coordination, and alignment in the day-to-day operations of the intergovernmental relations system in the implementation of social housing. It is for this reason that this study examined the challenges faced by the three spheres of government and assesses the effectiveness, efficiency, and reliability of the current intergovernmental relations operational system in the delivery of social housing units in Gauteng Province.

1.3 PURPOSE OF THE RESEARCH

The South African government has come up with initiatives such as the Affordable Rental Housing Programme to address the rental housing backlog for low-income persons. The main purpose of this study was to provide an assessment of the intergovernmental relations involved in implementing social housing policy. This study centered on intergovernmental relations structures and actors in the implementation of social housing and the first authoritative document that was scrutinised was the Constitution of the Republic of South Africa, 1996 (hereunder referred to as the Constitution), which spells out how the three spheres of government should operate. Over and above the Constitution, the Intergovernmental Relations Framework Act (No. 13 of 2005) is another source of key insights that was used extensively in this study.

This research study focused on the roles and responsibilities of the three spheres of government in the implementation of social housing in Gauteng Province. The study examined issues of monitoring and evaluation and performance appraisals and auditing of the three spheres of government, social housing delivery agents, and the Social Housing Regulatory Authority formed part and parcel of the investigation. The study examined the functioning of the three spheres of government in as far as the implementation of social housing is concerned.

1.4 RESEARCH AIM AND OBJECTIVES

The aim of the study was to assess the effectiveness and efficiency of the intergovernmental relations operational system in the delivery of social housing. A clear practical definition of the relationship between human settlements, social housing, and intergovernmental relations is needed.

In order to investigate the reasons behind lack of delivery of social housing, this study pursued the following objectives:

- to assess the intergovernmental relations structures involved in the implementation of social housing;
- to understand key challenges inherent in the implementation of social housing in Gauteng Province;
- to examine the legislative and policy framework governing the three spheres of government in the implementation of social housing;
- to determine effectiveness of regulatory institutions in the delivery of social housing; and
- To develop a social housing delivery model for Gauteng Province.

1.5 Research questions

The study was intended to clearly define the roles of the three spheres of government in the implementation of social housing. It also aimed to investigate how intergovernmental relations activities ought to be facilitated in order to address affordable social housing and integrated human settlement challenges. The following is a list of questions that the study answered, using scientific method:

- How do the three spheres of government interact in the implementation of social housing?
- What are key challenges impacting role players in the delivery of social housing?
- What are the institutional, legal and policy framework governing the three spheres of government in the implementation of social housing?
- How effective are the regulatory institutions in the delivery of social housing?

- What social housing delivery model can be utilised in Gauteng Province to fast track the delivery of social housing?

1.6 SCOPE AND LIMITATIONS OF THE STUDY

The scope of the study covered an expansive area, including all metropolitan municipalities in Gauteng Province, namely the City of Tshwane Metropolitan Municipality, the City of Johannesburg Metropolitan Municipality and the Ekurhuleni Metropolitan Municipality. A metropolitan municipality is a Category A municipality, which executes all the functions of local government for a city. Metropolitan municipalities are centres of economic activity, and areas in which integrated development planning is desirable. Gauteng Province is one of the nine provinces of South Africa. It was formed from part of the old Transvaal Province after South Africa's first all-race elections on 27 April 1994. It was initially named Pretoria–Witwatersrand– Vereeniging (PWV) and was renamed Gauteng in December 1994 (Gauteng Rental Housing Strategy, 2017:23).

The study scope is limited to the role of intergovernmental relations in the implementation of social housing in Gauteng Province. The provision of housing is a concurrent function between the three spheres of government that implement various housing programmes and this study focused only on social housing which is one of the subsidised forms of affordable rental housing. Gauteng Province was chosen because many people migrate to this province to look for employment and educational opportunities and eventually the demand for affordable rental housing creates a huge backlog.

The study solicited data from managers, who are decision makers in terms of strategic direction, planning, and budgeting and staff members at operational level who

understand the day to day challenges in the implementation of social housing policy. Since there are many stakeholders in the implementation of social housing, data were also collected from the following: social housing institutions, which are delivery agents; the Social Housing Regulatory Authority, which is the financier and regulator; and the Gauteng Partnership Fund, which funds social housing projects and is the managing agent of government subsidies. Data was collected from only direct actors in the implementation of social housing policy.

The study assessed the role played by intergovernmental relations in the implementation of social housing, as well as the roles of the government agencies and non-government stakeholders mentioned above. Data on social housing was collected using both descriptive and exploratory methods. The descriptive approach was implemented to understand the current status of social housing implementation and to describe what exists with respect to variables or conditions in a situation. An exploratory approach was implemented to investigate the challenges hindering the implementation of social housing policy and recommend alternatives from insights gained from the data collected.

Limitations are those factors that limit the execution of the research project, including challenges experienced in executing research activities. For this study, structured interviews with senior Human Settlements Department officials (at national, provincial and local government levels), the Social Housing Regulatory Authority and Social Housing Institutions were planned to be conducted during office hours. Most of the potential interviewees were not available during their workday, making the availability of study participants one of the challenges to conducting this investigation. The researcher addressed this challenge by arranging interviews after hours and on weekends. During National Rental Housing Task Team meetings, the researcher was able to secure interviews during lunch times and after task team meetings. The lack of availability of literature on intergovernmental relations and social housing policy implementation in

Gauteng Province was another challenge, most likely because social housing is still a relatively new concept in South Africa. The researcher was able to circumvent this challenge by researching online using search engines such Google Scholar.

A major challenge in conducting this research study was the researcher's initial inability to gain access to classified information, such as annual performance reports, business plans and minutes of meetings of the Minister and Member Executive Committee (MinMec), which is the highest political structure in the housing and human settlements sector. Another key challenge was getting reliable information from different stakeholders and roleplayers.

The researcher was able to overcome these limitations by attending National and Provincial Task Team meetings with senior managers and heads of departments in attendance. During these meetings, the researcher was able to engage the officials by explaining the value and the significance of the study and how it would contribute to the body of knowledge about the social housing sector. Through such engagements, the officials agreed to release relevant performance reports, and audit findings and plans, which were analysed by the researcher and contributed to qualitative data collection.

Attending task team meetings was an approach that assisted the researcher in saving time and reducing travel costs, as it was possible, at the meetings, to identify the main research participants, request information, and schedule interview sessions. The researcher requested attendance registers from the task team's secretariat and was able to follow up with senior managers and heads of departments telephonically and via email.

Other resourceful approaches used by the researcher to get information included searching online (primarily via Google Scholar and Google Books) to find articles or at least gain partial access to book content and signing up for free search engine trials to

get temporary access to information. The researcher was able to print documents and materials obtained from these online searches. The researcher used the Google forms application to create the research questionnaires, and a link to the questionnaire was created and sent to respondents so that they were able to complete the questions on line. The response rate in terms of completion of the research questionnaires was slow.

1.7 ETHICAL CONSIDERATION

The University of South Africa issues an ethical clearance certificate to researchers conducting academic research, after they have obtained ethical clearance. This is in line with the regulation that researchers must obtain permission from the appropriate committee at their institutions for any research study involving human beings or animals (Leedy & Ormrod, 2014:273).

The researcher obtained permission to conduct this research study from the National Department of Human Settlements, Gauteng Department of Human Settlements, City of Tshwane Metropolitan Municipality, City of Johannesburg, Ekurhuleni Metropolitan Municipality, Johannesburg Social Housing Company, Yeast City Housing, Housing Company Tshwane, Ekurhuleni Housing Company, Madulammoho Social Housing, Gauteng Partnership Fund, National Social Housing Organisation, Social Housing Regulatory Authority and South African Local Government Association. The researcher received permission from the Mannapendlo Social Housing Organisation, which is a private social housing institution. The researcher considered the following ethical issues during the course of the study:

• **Informed consent:** Informed and agreed consent was sought from all research participants. Full disclosure of the purpose of the research was made.

- **Privacy:** The researcher preserved the privacy and confidentiality of the participants by maintaining participant anonymity.
- **Legality:** The researcher used only legal academic methods of accessing government information and statistics.
- **Reliability and validity:** The researcher used only reliable, transferable, dependable and confirmable sources of information. Speculation, guesswork and exaggeration was avoided at all costs.
- **Protection of data:** The researcher and personnel involved in the research project were the only ones with access to the data. The research information was stored only on the personal computer of the researcher and was password protected and kept in a safe place.
- **Information storage:** The information will be stored for the duration of the research study, until articles are published. Thereafter, if needs be, data will be discarded appropriately following prescribed procedures as per the Protection of Personal information Act (No. 4 of 2013).
- In no way was the study intended to **harm** the respondents through deception or any other means. For this reason, the researcher used only data collected for the purpose of the study and nothing else.

1.8   DEFINITION OF CONCEPTS

In undertaking scientific research, various concepts applicable in various academic disciplines are alluded to different meanings, explanations, and definitions. In the context of the role of intergovernmental relations in implementing social housing policy of the Gauteng Province, a few key concepts are used and would mean the following:

1.8.1   Intergovernmental relations

In the literature, Mathebula (2011:1416) defines intergovernmental relations as the various combinations and interactions conducted by government officials, elected and/or appointed, between and among spheres of government and organs of the state The term "intergovernmental relations" refers to the symbiotic, interdependent, interrelated, cooperative liaisons and functions that exist amongst the three spheres of government in South Africa, namely the national, provincial, and local governments.

It is helpful, for the purposes of this study, to note that these relations are defined in the Constitution and are governed by an Act of Parliament, namely the Intergovernmental Relations Framework Act (No. 13 of 2005). In broad terms, the South African Constitution (1996) states that the three spheres of government are distinctive, interdependent, and interrelated. It is this emphatic interrelatedness of the spheres of government that is described by the term "Co-operation Governance".

1.8.2   Social housing

According to mainstream approaches, social housing is generally defined as housing provided on a not-for-profit basis, managed either by the State or by various permutations of not-for-profit or community agencies that range from housing associations to cooperatives (Hegedus, Lux & Nora, 2013:4).

Turcu (2017:57) defines social housing as homes that are rented from and/or subsidised by the state to be allocated to individuals or families whose economic circumstances do not allow them access to their own homes. The generally accepted definition of social housing in the South African context is "a rental or co-operative housing option for low

income persons at a level of scale and built form which requires institutionalised management and which is provided by accredited social housing institutions or in accredited social housing projects in designated restructuring zones" (The National Housing Code, 2009:17).

A key model for the delivery of affordable housing is social housing, which provides medium density, affordable, rental housing to low- and middle-income households. Social housing contributes to the transformation of urban spatial patterns as it promotes integration and densification in close proximity to economic and social amenities.

1.8.3 Cooperative governance

In broad terms, cooperative governance refers to the cooperation between the three government spheres in delivering public services to communities. Cooperative governance in the South African context refers to the relationship and cooperation between the three government spheres in the daily execution of the legislative and executive functions of the democratic government as a whole. Nevertheless, each sphere is distinctive and has a specific role to fulfil despite the fact that the three spheres are interrelated and interdependent. Mathebula (2011:840) maintains that cooperative governance refers to the obligation of the three government spheres to trust, support and assist one another in coordinating service delivery to the communities.

1.8.4   Governance and good governance

Governance may be defined as the promotion of finding solutions to existing and common problems by establishing a legal framework that supports and promotes cooperation, communication, coordination, collaboration, consultation, and interaction. Any governance process ought to be highly participatory and must involve policy debates, communication on alternative service delivery mechanisms, and accountability by all stakeholders (United Nations, 2000:3).

In the literature, good governance is described as including the following: (a) the participation of communities in policy development and implementation; (b) holding government officials' accountable through transparent execution of government activities; (c) adherence to the rules of the law; (d) provision of basic services; (e) promotion of the democratic values and principles of a country; (f) respect for human rights; and (g) freedom from corruption.

Good governance requires strong partnerships between the government, the private sector, civil society organisations, and all stakeholders in order to promote good relations that may result in effective socio-economic activities (Tau, 2013:155; United Nations, 2000:3). Public-private partnerships are efforts to enhance public service delivery efficiency in order to promote good governance. In the South African context, good governance is provided for in Section 195(1) of the 1996 Constitution of the Republic of South Africa which stipulates the basic values and principles of public administration (South African Constitution, 1996:94).

1.8.5   Government

According to Dickerson, Flanagan, and Oneill (2010:3-4) a government is comprised of people responsible for controlling and administering the interests of the public. Dickerson, Flanagan and Oneill (2010:3-4) maintained that government is responsible for protecting societies from attacks, enforcing rules of conduct within societies, settling disputes between the members of societies, and providing basic services to societies. In South Africa, the government is responsible for providing basic services to societies by promoting the basic values and principles of public administration as stipulated in Section 195(1) of the Constitution of the Republic of South Africa (1996:95).

1.8.6   National government

A national government is the government, or political authority, that controls a nation. At minimum, a national government requires a national army, enough power over its states or provinces to set and maintain foreign policy, and the ability to collect taxes. The National Government of South Africa is comprised of Parliament, Cabinet, and various departments. These components carry out functions as outlined in the 1996 Constitution and in legislation enacted by Parliament. The departments that make up the national administration are charged with implementing legislation and providing services to the public.

1.8.7   Provincial government

The provincial government forms the second layer of government, between the national government and the municipalities. The provincial governments are structured according to a parliamentary system in which the executive is dependent on, and accountable to,

the legislature. The provincial legislature in each province is directly elected by proportional representation, and the legislature in turn elects one of its members as Premier to head the executive. The Premier appoints an Executive Council (a cabinet), consisting of members of the legislature, to administer the various departments of the provincial administration.

1.8.8   Local government

Section 151 of the 1996 Constitution of the Republic of South Africa provides for the composition of local government, the authority of municipal councils, local government's right to govern and also its right to exercise its powers or perform its functions (South African Constitution, 1996:108). Local government consists of municipalities and constitutes the lowest level in the South African government hierarchy.

Mubangizi and Tshishonga (2013:301) maintain that local government is tasked with delivering basic municipal services to communities in their areas of jurisdiction. In the context of South Africa, local governments are responsible for delivering services to communities because they (local governments) are the closest to these communities. In relation to social housing, therefore, delivery of affordable rental housing opportunities falls within the scope of municipalities.

1.8.9   Municipality

The Local Government: Municipality Structures Act (No. 117 of 1998) defines a municipality as a state organ vested within the local government sphere and consisting of political structures, office-bearers and administrative staff. This is affirmed by the South African Local Government Association (2011:5), which states that a municipality is

a state organ that consists of political and administrative structures, such as a municipal council and the communities residing in the municipal council's area of jurisdiction. Municipalities have legislated government authorities that provide them with the right to launch their own initiatives as far as the local government affairs of their communities are concerned. These government authorities encompass legislative, executive and judicial powers. The executive authority of municipalities involves public policy and decision-making powers while the legislative authority is exercised through making and administering by-laws. A municipality is, therefore, a state organ within the local government sphere that exercises legislative and executive authority.

1.8.10   Metropolitan municipality

In South Africa, a metropolitan municipality or Category A municipality is a municipality that executes all the functions of local government for a city or conurbation. This is by contrast to areas, which are primarily rural, where the local government is divided into district municipalities and local municipalities. The Constitution (Section 155.1.a) defines Category A municipalities as municipalities that represent large, densely urbanised regions that encompass multiple cities and so constitute a metropolis.

A metropolis is a large city or conurbation which is a significant economic, political, and cultural centre for a country or region, acting as an important hub for regional or international connections, commerce, and communications. In the Municipal Structures Act number 117 of 1998 it is laid out that this type of local government is to be used for conurbations, centres of economic activity, areas for which integrated development planning is desirable, and areas with strong interdependent social and economic linkages. In South Africa, a metropolitan municipality is created by notice of the provincial government, not by agreement between district and local municipalities.

1.8.11   Organ of state

Organ of state is defined as any state department or administration in the national, provincial and/or local government sphere or any other institution performing a function in terms of the Constitution, provincial constitution, or any legislation excluding court or judicial offices (South African Constitution, 1996:126).

1.8.12   Service delivery

Service delivery is the primary function of local government and it refers to the provision of public goods and basic services by the government. In the South African context, local government is the lowest sphere in the government hierarchy and is constitutionally mandated to deliver services to communities.

1.8.13   Affordable rental housing

Affordable rental housing generally refers to housing units that can be rented by households with shelter costs (rent, utilities etc.) that are less that 30 percent of their gross income.

1.8.14   Sustainable human settlements

There are various interpretations of what exactly constitutes sustainable human settlements. A useful starting point is the official policy definition provided in the Breaking

New Ground Policy (2004:17) of the National Department of Human Settlements which defines sustainable human settlements as well managed entities in which economic growth and social development are in balance with the carrying capacity of the natural systems on which they depend for their existence resulting in sustainable development, wealth creation, poverty alleviation and equity.

The term "sustainable development" focuses on enhancing and sustaining an existing system over a life span. Sustainable housing relates to the ability of a housing delivery system to improve and support sustainable development for the overall wellbeing of society (Muhammad, Johar & Sabri, 2015:01). The following additional elements contribute to the definition of the concept of sustainable human settlements:

- sustainable human settlements relate to the broader economic goals of a city,
- they reflect recognition of social cohesion and integration, and lastly, they demonstrate flexibility and capacity for human settlement responses that are context specific and related to diverse needs (National Department of Human Settlements, 2014).

1.8.15   National housing code

The National Housing Code sets the underlying policy principles, guidelines, norms, and standards which apply to the South African government housing assistance programmes that have been introduced since 1994 and since updated. This code contains the various housing subsidy instruments such as the financial, incremental, rural, social, and rental interventions that are available to assist low income households to access adequate housing (National Department of Human Settlements, 2009).

1.8.16   The restructuring zone

A restructuring zone is a geographical area within a city that has opportunities for social housing development, to undo the legacy of town planning under the apartheid regime and to create a socially, racially, and economically integrated society (South African Local Government Association, 2011:5).

1.9 CHAPTER SEQUENCES

Rubric 1.9 addresses a brief narration of the overview of the chapters in this thesis. The thesis is divided into eight chapters and constitute the following brief discussion in the next page:

Chapter 1: Introduction

This chapter introduces the study. It includes the background, purpose and rationale of the study, and a statement of the research problem. The aim, objectives and research questions are presented, as well as a consideration of the scope and limitations of the study. In addition, key concepts are defined in this chapter.

Chapter 2: Theoretical and empirical overview of housing and intergovern-mental relations

Chapter 2 aims to display the value of prudent scholarship by acknowledging extant researchers who have studied intergovernmental relations and social housing policy implementation. A theoretical and empirical review of the literature was undertaken to highlight patterns of housing development and the role played by different spheres of government in the implementation of social housing policy. Information contained in this

chapter assisted with identification of applicable theories, trends, and tendencies that are similar and different in the development and implementation of social housing policy and strategies.

In this chapter, existing literature on the subject is presented and the views of other thinkers on the subject are debated, while the limitations of these views are acknowledged and where necessary challenged and even dismissed. It is in Chapter 2 that the ideas of researchers are weighed out against one another to provide the study with rich opportunities for intellectual cross-fertilisation and academic sparring.

Chapter 3: Comparative housing provision in developing countries

Chapter 3 aims to provide a comparison of housing provision in developing countries, noting that the provision of housing is a global challenge ranging from the need for a basic shelter in developing countries and trauma stricken areas to the lack of sustainable and affordable housing in most developing countries. The developing countries identified for the purpose of this study include: (1) Ghana, representing the African continent; (2) Brazil, representing Latin America; and (3) Singapore, representing Asia. Affordable rental housing shortage is a major component of the urban housing problem in developing countries. The rapid rates of urbanisation in most developing countries have led to massive housing shortages and qualitative deficiencies. The chapter is concluded by identification of lessons learned from the provision of housing in developing countries.

Chapter 4:   A review of the legislative and policy framework on housing in South Africa

Chapter 4 provides a theoretical background on the provision of housing in South Africa, including the legislative framework and in particular the provision of social housing as one of the programmes to address affordable rental housing in South Africa.

Chapter 5:   Analysis of main challenges in the implementation of social housing strategy of the Gauteng province

Chapter 5 explores the organisational, institutional and policy related challenges to the implementation of social housing policy in the Gauteng Province of the Republic of South Africa. The chapter undertakes a critical analysis of the challenges experienced by the three spheres of government and related stakeholders in implementing social housing.

Chapter 6: Research methodology

Chapter 6 presents a detailed account of the research techniques used in data collection for this study. The nature of the data collected, and the methods of data analysis are fully explained. The study used the mixed method research paradigm to acquire a mixture of responses from which to draw conclusions and allow for generalisation of the study findings.

The research design provided a master plan of the entire study through the integration of the different components of the study in order to gain an understandable and logical way to address the research problem. Academic research follows strict codes and conventions of information collection processing and presentation. It is not a throw-away process that scatters information, but a disciplined and formatted endeavour that respects established convention.

This chapter communicates that this research study has followed a specific and logical research methodology that is reliable, defendable, and acceptable. The structure of the whole study and the format of the research is explained and justified. This chapter undertakes a thorough discussion regarding how data was collected in order to successfully ensure its validity and reliability.

Chapter 7: Data presentation, analysis and findings

Chapter 7 covers data analysis and interpretation and presents the research findings. Where necessary, charts and other illustrations have been deployed to explicitly present the research findings and results. The research questions, presented in the introduction, are answered in this section. The debate that was developed in the literature review is considered in this chapter in relation to the research findings. The interview responses are profiled, analysed, synthesised and presented as results in this chapter.

Chapter 8: Conclusions and recommendations

Chapter 8 concludes this thesis by summarising the totality of the work done in this research study. In this chapter, the aim and objectives of the study are aligned, the literature reviewed is related to the findings, and, more importantly, critical and constructive recommendations are made. Concrete suggestions on how challenges can be addressed and how better intergovernmental relations and social housing models can be developed in Gauteng are presented, demonstrating the practical relevance of this study for policy changes and adjustments.

1.10 CONCLUSION

Chapter 1 introduced the study and an outline of how the study was conducted. The background and rationale of the research were fully explained, and the problem statement was presented and discussed. The research purpose, aims, research objectives, research questions and scope and limitations of the study were considered. The topic under study consists of several key concepts used that are associated with intergovernmental relations and social housing policy implementation processes.
The concepts and terms were defined in detail to provide a common understanding and to avoid ambiguity in their usage.

The following key concepts were considered: intergovernmental relations, social housing, cooperative governance, governance and good governance, government, national government, provincial government, local government, municipality, metropolitan municipality, organ of state, service delivery, affordable rental housing, sustainable human settlements, national housing code, and restructuring zones. The study adhered to high ethical standards, and the integrity and accuracy of data collection and analysis was prioritised. The right to privacy of the respondents was prioritised through the study, and its importance stressed. An overview and summary of the chapters was presented. The next chapter, Chapter 2, provides a theoretical and empirical overview of intergovernmental relations and social housing policy implementation processes.

CHAPTER 2:

THEORETICAL AND EMPIRICAL OVERVIEW OF HOUSING AND INTERGOVERNMENTAL RELATIONS

2.1 INTRODUCTION

The specific objectives of this chapter are to identify and present housing and intergovernmental relations related theories, conceptualise social housing and intergovernmental relations, examine how theories and concepts have been used, determine how the use of housing theory has changed over time, and contribute to the ongoing housing and human settlements theory development process. This theoretical framework aims to provide the basis for understanding and fully exploring the concepts of social housing and intergovernmental relations to ensure that the study was academically sound and grounded. Attempts were made to understand social housing and intergovernmental relations from a theoretical perspective, as they relate to a better coordinated and aligned intergovernmental relations system that can bring about efficient and effective service delivery. The following concepts and theories were analysed so as to provide a scientific understanding to support their application in this study of housing and intergovernmental relations:

- defining housing theory;
- historical perspective and conceptualisation of social housing;
- Marxist theory in understanding housing policy;

- systems theory in understanding intergovernmental relations;
- network theory in understanding intergovernmental relations; and
- decentralisation theory.

It is widely recognised that theory plays an essential role in research. Functions of theory include describing, explaining, predicting, advancing knowledge, providing order and developing and/or guiding research (Bubolz, 1991:158). The use of explicit theories in research may be an indicator of the maturity of a discipline and the maturity of an academic discipline is generally gauged by the extent to which it has developed a solid foundation for the construction of theories (Steggel, Binder, Davidson, Vega, Hutton & Rodecap, 2003:23). The use of explicit theories has played an essential role in housing research.

2.2 DEFINING HOUSING THEORY

There are many definitions of housing theory in the literature within and across disciplines and several authors such as McNelis (2016:56) and Steggell et al. (2001:88) advise that development of a theory of housing demands that a researcher at least sorts through the different and sometimes conflicting positions on theory, takes cognisance of the disagreements and arguments about what it is, and that they determine those activities that constitute theory. Steggell et al. (2001:89) defines theory as a set of related statements that present a systematic view of a phenomenon or a set of phenomena. In short, theory seeks to describe, explain, or predict observable facts and events. According to Huonvaara (2018:179), housing theories are hypothetical constructions based on a mixture of the researcher's imagination, and concepts and ideas drawn from previous research and empirical knowledge.

Secondly, these authors make a reasonable affirmation about what researchers understand theory to be. When asking questions about housing, formulating definitions and developing a theory of housing, researchers gather evidence that is external to them (including the analysis of the work of various authors) and on this basis make reasonable

judgements. When asking questions about theory and seeking to develop housing theory, a researcher must turn inward for the evidence because theorising is an internal activity. In other words, anything to do with housing theory is a personal question, and the questions raised in determining the answers become a matter of personal insight and personal judgment (McNelis, 2016:20).

In defining housing theory, it is important, according to McNelis (2016:67), to apply the following principles: (1) a scientific approach that would distinguish the different types of questions; (2) in distinguishing these different question types, the researcher can distinguish different understandings of theory among social theories; and (3) that the primary meaning of housing theory is an answer to one particular type of question. McNelis (2016:40) defines a theory of housing as one that includes only significant, relevant and essential elements and their relations that constitute housing theory and excludes all that is misleading, insignificant, irrelevant and non-essential (such as those elements that are only associated with housing in time and place).

Such a theory will distinguish those elements that constitute housing from those characteristics of housing that come about because housing has some function or role or purpose in constituting other things. It is for this reason that the significance of housing theory is discussed so as to understand its definition in the context of a theory. Theory is a critical issue for housing research, as it provides a lens through which researchers can make sense of the world. McNelis (2016:49) sums up the theory of housing as the way in which both practitioners and researchers get to the significant, relevant, essential elements and their relations that constitute housing. As mentioned by Rhodes (2007:70), housing theory is significant in the sense that it is used to understand the institutional changes in the housing system as implemented by national, provincial, and local levels of government.

Huonavaara (2018:183) indicates that it is possible and desirable to construct a housing theory using the invariable relationship between features of housing systems, wider networks of social relations, and features of society that include matters cultural and historical. The missing link in the housing system is a theoretical underpinning that is holistic and sensitive enough to address the gaps that describe how key players, in this case, national, provincial, and local governments, social housing institutions, financiers, regulators and other interest groups interact in such a way that there is coordination and alignment of activities.

Any housing theory is based on a housing system and it is for this reason that McNelis (2016:48) agrees with Steggell et al. (2001:87) that theories play an essential role in housing research as it guides the development of research questions, selection of methodologies and interpretation of results. In the South African context, housing theories are used to understand the housing system that is being implemented by different spheres of government in which public management and governance are structured in hierarchical relationships among key players. South Africa's current housing system is shaped by the legacy of previous apartheid policies, but also by rapid changes since 1994, such as addressing the imbalances of the past, structural planning regimes, urbanisation, and the changing housing demands and needs of the society.

The South African housing system is structured in such a way that the national government, through the National Department of Human Settlements, sets and determines the housing policy objectives. The provincial sphere ensures that funding, strategies and programmes are in place and the local government ensures the physical implementation of the housing system. The housing system is predominantly driven by the State, which controls and owns most of the land for housing and affordable rental housing development. Steggell et al. (2001:94) stress the importance of the utilisation of housing theories as they contribute towards the advancement of new knowledge in

housing, because it provides a map, which research tries to expand and redefine. The allocation of budget to state housing after 1994 promoted a socioeconomic mix, the provision of integrated human settlements, and was seen as an important factor for building an equal society.

In its efforts to address homeless and housing backlog as part of its housing system the government introduced social housing programme. The section below discusses the definition and conceptualisation of social housing as part of the housing theory research.

2.3 HISTORICAL PERSPECTIVE OF SOCIAL HOUSING IN SOUTH AFRICA

The government has acknowledged that the development of acceptable and sustainable medium density rental housing can only be realised through sustainable housing institutions and adequate private sector involvement. In this regard, the social housing concept has been shown to significantly address concerns around urban regeneration and it improves housing densities (Social Housing Policy, 2005:3). Although social housing is a relatively new approach within formal housing policy, it is not a new approach in South Africa. From as early as the 1920s, social housing was developed to address the poverty that had arisen as a result of war conditions and the government in the 1940s provided public rented housing.

The Social Housing Foundation is of the opinion that many of the rental arrangements in the form of backyard shacks and informal settlements, which have proliferated around South Africa since the late 1970s, also have certain elements of the social housing approach. The role of social housing in addressing the current housing crisis has gained prominence since 1993 (Social Housing Foundation, 2005:5). According to Byrne and

Norris (2018:55), the role of social housing in providing good-quality, affordable rental housing was particularly important, due to the failure of the private sector to do so.

The government provides social housing to the economically weaker section of the society and at-risk population such as children, senior citizens, vulnerable populations and the disabled (Venkataraman and Golapan (2015:133). Turcu (2017:57) agrees with Venkataraman and Golapan that social housing are homes that are rented from and/or subsidised by the State and allocated to individuals or families whose economic circumstances do not allow them access to their own homes or to renting a home under market conditions.

It is for this reason that the state has a special responsibility to create an enabling environment for social housing development, not necessarily through subsidies, but also by fast tracking approval processes, relaxing other laws, and encouraging public private partnerships (Venkataraman and Golapan (2015:133). The presentation above concurs with Jin and Choi (2019:288), wherein social housing is housing that is built or purchased through direct investment by government or that is built by developers with certain incentives provided by government and is rented at a price lower than the market price. According to Choi et al. (2019:288), the government provides financial aid for housing construction costs through tax benefits and loan interest benefits.

2.3.1   Conceptualisation of social housing

In order to understand the role of social housing within the spectrum of housing provision, it is important to understand what is meant by the term. The Social Housing Policy defines social housing as a housing option for low to medium income earners that is provided by housing institutions, and that excludes immediate individual ownership

(Social Housing Policy, 2005:3). Currently, there is a misunderstanding among role players who think that the term refers to the kind of housing provided by the government that was heavily subsidised so that the tenants could afford the rent. According to mainstream approaches, social housing is generally defined as housing provided on a not-for-profit basis, managed either by the state, or by various permutations of not-for-profit or community agencies that range from housing associations to cooperatives (Hegedus, Lux & Nora, 2013:4).

Colasanti, Frondizi, and Meneguzzo (2018:162) define social housing as housing for households whose needs are not met by the open market and where there are rules for allocating housing to benefiting households. Colasanti et al. (2018:162) provide another definition of social housing, which is described as the development, rent and/or sale and maintenance of affordable houses, as well as their allocation and management, which in turn can include managing the surrounding residential areas. The National Housing Code (2009:17) defines social housing as rental or co-operative housing options for low income persons at a level of scale and that requires institutionalised management, provided by accredited social housing institutions or accredited social housing projects in designated restructuring zones.

The main objective of social housing is, according to the Social Housing Foundation (2000:11) and the Social Housing Policy (2005:9), to promote improved quality of lives and integration of communities by providing affordable, high standard subsidised housing with the added benefit of regeneration of the area in which the housing stock is located. The process is managed by viable and sustainable independent institutions, which encourages participation of residents in the management of their own communities. Social housing is aimed at low to moderate income families and incorporates a wide variety of tenure forms. It does not include individual ownership (Social Housing Foundation, 2000:11).

Doling (1997:170) defines social housing as a value based or normative approach to housing, implying affordable, suitably located, quality housing and accommodation within a legal entity. Doling (1997:171) identified three key features that distinguish social housing from other forms of rental housing. Firstly, rent levels are not set primarily according to a consideration of profit, where as a result, in their activities as landlords, the property owners are more concerned to achieve limited or no profit. Secondly, the units are allocated according to need with the ability to pay not being paramount. Thirdly, the amount and quality of social housing is strongly influenced by the level of social demand. Legacy, Davison and Liu (2016:325) view social housing as a critical form of social infrastructure that supports individuals and families that, without state assistance, are unable to sustain secure tenure.

Colasanti et al. (2018:163) identify three main general features that are common in defining social housing, namely: its mission, which is to serve a general interest; its objective, which is to increase the supply of affordable housing either by building new houses or by purchasing existing ones; and its target, which is defined on the basis of its socio-economic status (mostly low income). Social housing is provided by a variety of stakeholders, including public companies, local administrations, non-profit or low profit organisations, cooperative and, in some cases, even for-profit private companies and investors. The provision of social housing involves an intricate and complex network of relationships between various agents and the government, noting that there are high levels of interdependence between stakeholders and powerful interests controlling social housing production factors.

The generally accepted definition of social housing in the South African context is "a rental or co-operative housing option for low income persons at a level of scale and built form which requires institutionalized management and which is provided by accredited

social housing institutions or in accredited social housing projects in designated restructuring zones" (The National Housing Code, 2009:17). A key model for the delivery of affordable housing is social housing, which provides medium density, affordable, rental housing to low- and middle-income households. Social housing contributes to the transformation of urban spatial patterns as it promotes integration and densification in close proximity to economic and social amenities.

2.3.2 Marxist theory in understanding housing

Marxist theory has been identified and discussed in relation to the understanding of housing. The definition, application, and relevancy of Marxist theory is discussed below. An elaborative explanation is presented on the theoretical and policy-oriented exposition of Marxist theory in relation to its connection with people's livelihoods and wellbeing such as housing, family, and social security and lastly, its emphasis on concepts of people-centred development and improving people's livelihoods.

2.3.2.1 Marxist theory in relation to housing

Marxism as a theory has a connection with people's livelihoods and wellbeing such as people's entrepreneurship, employment, income distribution, housing, social security and benefits and marriage and family (Enfu & Zhongbao, 2018:185). The use of Marxist theory in defining housing has, according to Clapham (2002:12), drawn attention to the structural inequalities in the distribution of housing as a commodity. This approach has tended to focus on the constraints of choice, rather than on the choice process itself. This approach has provided valuable insights into the relationship between housing and the wider society and has drawn attention to the outcomes of the housing system (Clapham, 2002:13).

The definition of Marxism, in practical terms, has endorsed the relationship that exists between the state, capitalist urbanisation, housing, and the conditions of the reproduction of the labour force (Shidlo, 1990:11). The management elements of Marxist theory are that the urban system is articulated within the political system and the relationships between the various elements are regulated by acts of parliament and approved regulations. In the context of the South African housing system, the various elements would include the national, provincial, and local governments, wherein the local government plays an important role in the management and regulation of housing urbanisation, restructuring zones, and land use management schemes. This management element involves the intervention of the state and the politicisation of the urban demands that have a role to play in the central issue in the urban question (Shidlo, 1990:11).

There is a considerable body of housing scholarship and literature that has been influenced by Marxist theory in understanding urban dynamics and housing related issues (Dodson, 2007:8). Marcussen (1990:20) notes that housing, as it exists in the material world prior to, and independently of, human consciousness, should be comprehended in terms of scientific concepts such as value and abstract labour. This is in order to reveal the reality of underlying levels of appearance that presents itself to everyday experience and is, theoretically, an informed empirical observation. Housing, being a commodity, is produced, exchanged and consumed in a cycle determined by production.

Dodson (2007:8) attests to the idea of housing being a commodity, a factor that is inherent in the system of housing provision, which is generated by capitalism as a generalised system of commodity production. In this system, labour is commodified and the workers who supply it are dependent on the continued receipt of an income to be able to access housing. Kenemy (1987:13) concludes that, from a Marxist premise, the understanding and analysis of housing must be based on the means of housing production, rather than on politics and policy as elements of the social, political, and

ideological superstructure. Kenemy (1987:15) reasons that housing production is influenced by fundamental processes at the level of development of the means of housing production. The means of housing production includes the availability of suitable land that is close to economic opportunities, transport systems, social amenities, funds, strategies, plans, and the involvement of the state to take a lead.

For Kenemy (1987:17), a fundamental Marxist thought is that analysis must come to grips with processes of production since it is the ownership of the means of production that determines the nature of the class structure which a society has. The Marxist point of view in the analysis of housing is that it should move away from a consumption-oriented perspective and focus on the structures of housing provision. Housing provision via a specific tenure is the product of particular historically-determined social relations, associated with the physical process of land development, of which the State must take a lead; building production processes which include complying with building norms and standards, approval of buildings plans, complying with occupational health and safety regulations during the construction process, the transfer of the completed dwelling to its final user, and its subsequent use (Kenemy, 1997:18). In the South African context, there are different institutional frameworks of housing provision, for example, social housing, low cost housing and affordable rental housing, mortgage finance houses, the house building industry, land release processes and the role of the state in the provision of housing as it relates to housing policy development, implementation and protection of end users.

In addition to the above, Marxist theory introduces the purpose of social housing production, which is related to the principles of Marxist political economics. Enfu and Zhongbao (2018:186) note that socialist social housing production processes differ from those in a capitalist system, in the sense that the immediate and final purpose of the production of socialist public ownership is to meet the needs of all people and not to

make profit. The production of public goods and services is oriented towards people's livelihoods and for the subjectivity of the people. The main aim is to continuously improve the level and standard of living, social development and happiness of the people. It is against this backdrop that Marxist theory plays a great role in defining social housing production as it emphasises the improvement of people's livelihoods, the housing development goal being to build a harmonious society in which people's material, cultural, and social needs are fully met, and people's all-round and free development as well as sustainable ecological development is realised.

2.3.2.2　Marxism and housing development process

Some preliminary work on the working definition of Marxism in the late 1990s has put forward the goal of Marxism as making the country prosperous, rejuvenating the nation, and making the people happy. Enfu and Zhongbao (2018:185) concluded that Marxism has placed concepts such as people-centred development, improving people's livelihoods, the principle of common prosperity, and sharing achievements at the centre stage of housing development. The idea of people-centred development embodies the basic principle and basic standpoint of Marxist political economics. Enfu and Zhongbao, (2018:186) supported the idea that in practice, people-centred development means that development must rely on the people, that the purpose of development is precisely for the people, and that the achievements of development must benefit the people.

In South Africa, remarkable achievements have been made in promoting people's livelihoods which includes meeting their spiritual needs, providing housing and education and generally facilitating human wellbeing. Currently the government is striving for full and free development of mankind. The new housing and human settlements programmes and projects are strongly influenced by the Marxist principle of putting people at the

centre of any development initiatives wherein the government is striving to involve all stakeholders including beneficiaries of the project.

Manomano et al. (2016:113) maintain that all housing development projects and programmes should be rights-based and encourage participation by the people as a way of empowering the beneficiaries. According to Marxist thinking, housing development is the priority of the government of the day and problems in the process of development need to be solved by further development. In terms of the Marxist perspective, people-centred development stresses the importance of people as key drivers in the decision-making of these programmes, not in isolation, but as a collective to ensure that the people are empowered by these processes. Pugh (1986:23) acknowledges the role of state as it plays an important role in terms of serving and meeting the fundamental needs of capitalist development. The state ensures some further continuity of capitalism but, in so doing, is unable to satisfactorily overcome the internal contradiction between social policies and the private interests of capitalists.

Kenemy (1986:56) introduces modern Marxist-informed housing theory based on the concept of housing provision, wherein the state plays an important role in terms of providing a framework for the definition of the housing market, land ownership, land release processes, building industry norms and standards, finance institutions, property brokerage institutions, planning systems, government interventions in the form of providing subsidies, and other consumption policies. According to Stephens (2019:41), governments in most nation states introduced subsidised housebuilding programmes towards rental and prioritised social housing allocations for homeless and vulnerable households. Doling (1997:48) brings in the element of housing provision processes, where the provision of housing is accomplished in discrete stages through which all housing units must pass. It all begins with the act of housing development, whereby an individual or agency initiates the conditions that can support the construction stage and

this probably involves the availability of land, any appropriate planning permission and the necessary approvals, financing, labour, and building materials, which must be of a certain quality.

The development stage involves bringing together all the factors of housing production in the construction process, in order that physical structures are produced. Following the construction process is the allocation stage, during which decisions are made about the person who is to occupy the dwelling. Throughout the production processes, the state plays an important role, such as providing the necessary approvals and ensuring the availability of resources such as land, buildings, and funding.

It is important to note that, in each phase or stage of housing production, the government has developed frameworks to regulate, conduct beneficiary administration activities, ensure compliance with housing norms and standards and occupational health and safety matters. These frameworks, therefore, help to ensure that houses are habitable and to identify the applicable and appropriate subsidy. Clapham, Kemp and Smith (1990:62) note the elements of determinants of housing supply, which have a direct impact on the quality, quantity, diversity, and differential availability of land, labour, building materials, and incentives. The government plays a more active role in influencing the production of housing than any other consumer goods. Government strategies have affected the efficiency and effectiveness of public housing production in the way in which support and subsidies are distributed.

According to Golland (1998:44), housing production is an important aspect of housing policy implementation. Housing production has been a way in which governments have shown success or failure in broader housing policy implementation. The implementation of housing policy and, in particular, social housing policy, plays an important role in terms of service delivery and meeting the conditions of the Constitution, wherein housing is a

right, and the government must ensure that this right is met. Success has been measured in terms of houses built or in terms of tenure options made available to the citizenry. This is applicable to the South African situation, where the provision of housing has been used for political gains since housing as a commodity is something that can be seen, felt and it has monetary value. There are several ways of examining and explaining total housing production at the macro level and the number of people who benefited from such housing projects at the micro level. This includes fluctuations in the level of housing investments, changes in macroeconomic performance, demographic trends, quantitative and qualitative housing backlogs, and land and planning matters. This information serves as indicators to be used by the government to measure performance of the department responsible for the delivery of housing opportunities and the number of human settlements established.

Pugh (1986:9) suggests that the state has relative autonomy to express the longer-term interests of capitalists and organise those interests. Marcussen (1990:21) is of the opinion that the state of housing and land cannot be understood purely, or even primarily, in terms of use value because the principal activities and processes involved in housing and human settlement production would be placed outside the sphere of investigation of political economy. Pugh (1986:10) concludes that an understanding of housing as an object or unit can only be arrived at through the identification of specific interpretations of the use and exchange value within each of a wide range of housing objects that can be produced within the capitalist mode of production.

Dodson (2007:9) states that the capacity of the worker to purchase housing and the broader structural relationships between social classes translates into differences in housing consumption articulated spatially through housing markets. These social classes have differences and preferences and this influences the relationship of the State to housing through, for example, support for the home-ownership tenure, which favours

the middle class, who are more able to achieve home ownership tenure and afford social rental housing. Over the years, Marxist theory has been used to analyse housing questions and has influenced the methodical approach to housing research (Dodson, 2007:9). The Marxist housing theory is based on the perception that structures of housing provision are perceived to configure institutional relations between housing agents and determine the political terrain and terms of contestation for housing policy (Dodson, 2007:9). The housing actors in the South African context include the national, provincial and local governments and, to a large extent, state-owned entities such as the Social Housing Regulatory Authority, the Housing Development Agency, and the Gauteng Partnership Fund. What is clear about these actors is that each has its own political mandates, priorities, targets, and perceived internal institutional arrangements in relation to how to achieve its own policy objectives. Consequently, an element of alignment and a coordinated approach by the government is needed to ensure that the production of housing is managed to deliver quality housing units.

Clapham, Clark, and Gibb (2012:149) mention that Marxist housing production philosophy is based on choice and preference and is demand driven. The challenge with a demand driven approach in South Africa is that the government is failing to define housing demand qualitatively and comes up with quantitative measures and options to address the supply side of housing. In many municipalities around the country, as well as in the three metropolitan municipalities under study in the Gauteng Province, the non-existence or lack of a credible housing chapter in the municipal integrated development plan contributes to government not being able to address the housing backlog quantitatively and qualitatively.

This phenomenon is, according to Clapham et al. (2012:189), influenced by structural concepts such as class, land, rent, and historical materialism that have influenced research endeavours and perceptions in the field of housing research. Clapham (1990:9)

states that Council housing was, in the post-war years, subsidised shelter, wherein the state contributed to the health and well-being of wage workers whose labour was required to reconstruct the economy. The involvement and participation of the State in the provision of housing is a common practice and has a history, where many government mass housing projects were funded by government. From a Marxist perspective, the provision of Council housing can be interpreted as a concession granted by the capitalist class to deflect working class demand for a more fundamental change in the housing production system (Clapham, 1990:9). State intervention in the production of housing was not only a utility for capitalism, but a real gain for the working classes.

Shidlo (1990:16) maintains that, according to the Marxist theory of construction of public housing, state expenditure on public housing depends on the wider needs of capital and varies with phases of the accumulation cycle. From the perspective of the Marxist political economy, portions of a quantum increase in public housing occur as a result of housing ownership, where ownership of a small house gives the owners a vested interest in the capitalist system of private property. What is lacking from the Marxist perspective is the monitoring role of the state in the provision of housing, which has an impact on government expenditure, the political economy of housing and lastly, the size of the house or unit to be produced and allocated to a qualifying beneficiary. The owners are obliged to secure steady employment and to subscribe to bourgeois values of privatisation and thrift and make regular mortgage repayments, which act as mechanisms of social control (Shidlo, 1990:16). The owners are also obliged to pay for consumables such as water, electricity, and refuse removal on a monthly basis so as to ensure a continuous provision of such services.

In many developing countries, the state is involved in urban affairs and there are clear definitions of roles and responsibilities between central, provincial, and local spheres or levels of government (Malpass & Murie, 1994:28). The challenge that can be identified

is that the maximum execution of the responsibilities to provide housing, as contained in both the constitution and the applicable legislation, is shared between spheres or levels of government. These spheres or levels of government do not possess the same political mandates and housing production input resources (such as budgets, land and buildings) and this makes it interesting to assess financial planning, alignment and integration. In terms of Marxism, the State is a committee that manages the affairs of the bourgeoisie, thereby providing all factors of social housing production, including land, funds, and labour.

These factors include housing officials in the three spheres of government, strategies, policies, norms and standards, regulatory frameworks, and planning systems. Hegedüs, Lux and Teller (2013:7) mentioned the role of the state in the housing system and use the term "bureaucratic coordination" rather than "market mechanism" to refer to integration of the various parts of the economy. Allocation of resources to the housing sector including investments and loans, land and buildings, and bulk infrastructure, which is controlled by the state and decoupled from supply and demand factors.

2.5   SYSTEMS THEORY IN UNDERSTANDING INTERGOVERNMENTAL RELATIONS

The systems theory is attributed to David Easton, and was first published in 1953, defining a set of elements or units which interact with their environment by importing inputs while exporting outputs (Adedire, 2014:63). In systems theory, a system can be open or closed where an open system interacts with its environment and a closed system does not. Demands are made from the environment on the system in the form of inputs, for example, demands of the citizens for the maintenance of law and order and provision

of infrastructural facilities. These demands are then processed into outputs, which are authoritative decisions made by governmental administrations. Feedback corrects the actions of the administrative system and this is necessary for equilibrium (Adedire, 2014:63).

2.5.1 Defining systems theory

Adedire (2014:63) defines systems theory as a conceptual framework and methodology for understanding the operation of a system, where there are two or more factors that are essentially components of the whole. Systems theory is therefore defined as a series of statements about the relations among independent variables in which changes in one variable are accompanied or followed by changes in other variables. In a functional democracy, the application of systems theory cannot be overemphasised. This is because the theory addresses the issues of interdependence, dependence, and interactions of variables. Systems theory is relevant to the study of intergovernmental relations because it can be related to each sphere of government interacting with the other spheres for policy making, planning, policy implementation, and other matters affecting state delivery of services. The component units are independent, interrelated, and complementary, rather than competitive.

2.5.2 Application of systems theory in I.G.R.

Intergovernmental relations apply the systems theory in the sense that it covers a network of communication, certain institutional arrangements, certain value preferences, individual careers, and depends on society (Luhman, 2013:42). The application of systems theory to intergovernmental relations entails both horizontal and vertical communication between the three spheres of government, as well as between various state agencies in the provision of housing, and social housing in particular. Luhman

(2013:43) further explains that there is an environment in which the system theory operates as an open system, for example, as with intergovernmental relations. In practice, the open system entails the national, provincial, and local governments having boundaries that are porous, shifting, and which enable the exchange of information and energy with the environment (Antoine and Simon, 2011:47).

The relations between the system and the environment are not static, but dynamic, as if they were channels that conduct causality. This allows the actors and participants in the intergovernmental relations system to learn from one another, adapt and co-evolve, provide feedback, self-correct, and facilitate the flow of resources between the system and the environment. Segal and Stuckrad (2015:450) affirm that systems theory in intergovernmental relations is applied in a political environment, where the Constitution and legislative framework in South Africa define the political space of the national, provincial and local governments and many other systems, subsystems, elements and relationships.

There are political and administrative structures between the national, provincial and local government spheres, which include forums, task teams, committees and other structures that were established in terms of the Intergovernmental Relations Framework Act number 13 of 2005. These structures, on an operational level, serve as channels of interaction, coordination, alignment and sharing of information, including best practices and communication. The relations between these spheres are influenced by the political, economic, social, cultural, and historical situations in the implementation of policies to enhance the delivery of public services. Luhman (2013: 52) describes intergovernmental relations as relations between elements and structures that follow a certain process and, in this case, a political operational approach. In cases where the role of the political operational approach is not clear, it becomes difficult to implement policies through the

technical operational approach, thereby creating a vacuum in terms of alignment and integration of both the political and technical approaches.

According to Bausch (2001:2), the emerging system theory paradigm integrates information, communication, development of new organisational designs, management and evolutionary theories in order to explain how intergovernmental relations processes evolve in complex political environments with national, provincial and local spheres. In order for intergovernmental relations to operate, channels of communication between these spheres are streamlined and integrated, with the organisational design of each sphere vertically and horizontally integrated so as to ensure the management of relations between all three spheres. Benton (1986:4) put forward another picture of intergovernmental relations wherein the intergovernmental relations require more than identifying the various combinations of relations among units of government in the intergovernmental relations system. According to Benton (1986:4), intergovernmental relations focuses on personnel, including the major governmental officials who control the course of action of intergovernmental relations. Benton (1986:4) notes that it those in office who are the real determiners of what the relations between units of government will be. The concept of intergovernmental relations necessarily has to be formulated largely in terms of human relations and behaviour.

EXTERNAL ENVIRONMENT
Political influences, government policy, social system, monetary system, legal frameworks, customers and consumers, environmental factors, technological factors

INTERNAL ENVIRONMENT
Value system, mission and objective, labour movements, organizational structure, physical resources, corporate culture and caliber of human resources

INPUTS

- Physical facility (land, buildings)
- Human resources (national, provincial and local government spheres)
- Human relations and behaviours
- Political mandates
- Legislation, policies, strategies, plans, programmes
- Information technology
- Funds, grants, equities

TRANSFORMATION PROCESS

- Processing of technical and financial, information related to human settlements
- Processing of administrative information such as approval of necessary plans, studies conducted
- Communication between stakeholders
- Data Management including beneficiary information
- Interactions with the external environment such as political, technological, economic, social
- Sharing of roles and responsibilities

OUTPUTS

- Creation of human settlements
- Provision of affordable rental housing
- Housing opportunities
- Empowerment of citizens
- Fulfilling housing needs
- Improved quality of life
- Citizen satisfaction

FEEDBACK
INTERNAL ENVIRONMENT
EXTERNAL ENVIRONMENT

Figure 2.1 represent intergovernmental relations (IGR) systems theory and provision of housing
Source: Universal Systems Theory (modified by the researcher).

Figure 2.1 shows the application of intergovernmental relations in the systems theory context for the provision of human settlements wherein external factors such as political system, technological factors, act and internal factors such as organisational mission and vision, operate in open and closed environments can influence both the inputs such as land, buildings, policies, strategies, how inputs are processed to get the outputs such as human settlements, housing opportunities.

There are no relations between governments, there are only relations among officials who govern different units. The application of systems theory to intergovernmental relations, therefore, involves both formal and informal interactions of public officials' attitudes. Intergovernmental relations encompass political, economic, and administrative interactions as well as legal ones, and involve elected public officials as well as those in administrative roles. Benton (1984:4) indicates that the attitude and actions of intergovernmental relations personnel are at the heart of intergovernmental relations and they must be seen in the light of the environment in which public officials operate, including all the constraints and stimuli within that environment as well as those imposed from the outside. Intergovernmental relations systems are designed to be proactive and respond to public sector needs and challenges.

During the apartheid era, the practice in South Africa was that the relations between spheres of government in the provision of housing followed a "big brother" approach where the national government officials believed that they knew all, and all the plans, priorities, targets and strategies were aligned to the national one to exploit, discriminate against, and subjugate the black majority (Manomano et al., 2016:113). The current intergovernmental relations system does have some elements of the application of a military command structure wherein the national government influences the province and the province influences the local government sphere. This approach contradicts the principles of integrated development planning, which advocates a bottom-up approach, that is, one where the local needs and service delivery demands, as inputs, should inform the entire government planning system. The advent of democracy in South Africa meant that focus was removed from the bureaucratic form of public service administration to a people-driven process in which communities make their inputs through integrated development planning.

The provision of housing is a function concurrently performed by the three spheres of government. To achieve this, there ought to be clear definition of roles and responsibilities, management of expectations, coordination, alignment of projects, implementation plans, integration, a culture of participation and strong leadership to ensure the efficient utilisation of scarce resources and the alignment of activities with a view to strengthening linkages, associations, networks and strategic alliances within government (Benton,1986:5). The bottom-up approach uses new planning tools such as needs assessment, planning and participatory evaluations, project management principles and emphasises the importance of respecting and taking into account ideas of communities and local people, including the beneficiaries of the projects (Manomano et al., 2016:113).

Phago (2013:3) identifies two important deficiencies of intergovernmental relations despite the implementation of the Intergovernmental Relations Framework Act (No. 13 of 2005). The first is that there is always a variety of processes and structures existing whose roles and relationships are mostly uncertain. In the entire social housing delivery value chain, various actors with different mandates and targets compete among themselves and in the process weaken the linkages and efficient and effective utilisation of scarce resources. In housing, the legislation makes provision for provinces to undertake the responsibilities of managing public housing provision, while municipalities just provide information and manage the public housing waiting list. In some other provinces, the local government sphere is more capacitated than both the national and provincial spheres and, due to the institutional arrangements of both the national housing policy and the intergovernmental relations policy, it becomes difficult for the local government spheres to take a leading role.

Phago (2013:3) states that the process of accessing public housing is uncertain as the main responsibility of municipalities is to manage what provinces are providing. The role

to be played by the local government is not clearly articulated as most municipalities still believe housing to be an unfunded mandate. In this case the province ensures that the structure is on the ground. In the social housing value chain, municipalities play a key role, by identifying designated restructuring zones, setting up partnership agreements with social housing institutions including private social housing institutions, and providing access to land, buildings and bulk services infrastructure. They play a supporting and facilitating role and ensure that the environment is conducive to the delivery of affordable rental housing. In the absence of a clear-cut rental housing strategy in most municipalities, including the big metropolitan municipalities, facilitation of delivery of affordable rental housing becomes uncoordinated and, therefore, not aligned and integrated with other human settlements initiatives.

Hatting (1998:23) presents two types of intergovernmental relations, namely, vertical and horizontal intergovernmental relations. The former represents relations that come into play between government bodies in different tiers of government and, in South Africa, currently represents relations between central, provincial, and local authorities. The latter represents relations between authorities on the same (horizontal) level. In South Africa, this relation would include the nine provinces and also numerous relations at local government level. The relations between local and metropolitan municipalities are limited, making it hard for the local and metropolitan municipalities to share best practices and address migration between and within municipalities.

In most cases, this contributes to municipalities failing to define housing demand and coming up with qualitative measures to address the backlog. These relations are relevant in the implementation of social housing policy as each sphere has a role to play, as stated in the National Housing Policy of 1994 and Social Housing Policy of 2003. Holzer and Schwester (2011:204) explored the concept of shared service, where the implementation of social housing cuts across different spheres of government, and if shared service is

implemented well, it cuts delivery costs and improves governmental responsiveness through better services.

Denhardt and Denhardt (2009:85) describe intergovernmental relations as involving and understanding the changing patterns of funding public programmes. Looking at the transferal of grant money and property from one level of government to another is helpful in understanding intergovernmental relations. The challenges experienced are that land and property release processes are lengthy and cumbersome, making it difficult for the social housing delivery agents to meet their targets and consequently, completion of social housing projects takes longer than necessary.

Du Plessis (2010:276) asserts that intergovernmental cooperation and coordination requires the alignment of functions and duties between different state organs in laws and policies and similarly requires the establishment of internal bodies, such as intergovernmental forums which are mandated to facilitate cooperation among state organs at different levels. The social housing policy mandates the role players to establish provincial structures to advice, guide, support, and development social housing pipeline projects and in most provinces, the structures exist on paper and they are not operational. The principles of cooperative governance envision mutual support and cooperation between the different levels or spheres of government. In the context of Gauteng Province, there is a need for a more permanent structure to drive and oversee the implementation of housing programmes and provide greater status and recognition of the cooperative system of government.

Meek (2012:72) argues that the intergovernmental relations networks possess a combination of vertical interdependence and extensive horizontal articulation. The South African intergovernmental relations system is marked by combinations of hierarchical and collaborative arrangements, where the state entities involved in the provision of housing

are not active participants. The South African model is what Meek (2012:72) calls the co-ordinate-authority model and in practice, it implies that the national, provincial and local governments are independent and autonomous. This model assumes that the national government exists as the principal over the provincial and local governments, implying hierarchical network arrangements. The implications of this arrangement is that there are some elements of big brothers approach wherein the national department of human settlements coordinate and at the same time influence authority on policy implementation activities.

2.6 NETWORK THEORY IN UNDERSTANDING INTERGOVERNMENTAL RELATIONS

Theories of democratic governance have undergone significant changes over the last two decades with the spread of ideas and popular practices associated with new public management and new governance. The debate on new governance was triggered largely by the growing recognition that policy-making processes and implementation needs to go beyond the public sector to incorporate private sector and nongovernmental actors to achieve a set of objectives (Kim, 2006:23). The role of the private sector in partnering with government was identified as a practice which contributed to fast tracking service delivery. Kim (2006:33) excoriates the bureaucratic state for relying heavily on hierarchy, rules, procedures, and universal values and notes that these are being replaced by a governing structure that recognises and incorporate societal actors; and also that states are increasingly relying on participatory models, with an emphasis on cooperation and partnership with other policy actors.

Mullins and Rhodes (2007:45) corroborate the above statement from Kim (2006:54). They note that the reforms in public management and governance during the 1980s and

1990s replaced the hierarchical relationships among actors with network relationships which explicitly recognise that the relationships have casual implications for the outcomes of behaviour. In practice, the network theory means the government departments in all spheres do not follow a bureaucratic hierarchical structure, but rather, are treated as equal partners for the achievement of a set of goals and objectives.

2.6.1 Defining network theory

Kim (2006:12) define networks as systematic interactions among autonomous units engaged in creating products or services based on implicit and open-ended contracts to adapt to environmental contingencies and to coordinate and safeguard exchanges. Given the number of actors in the delivery of social housing, network theory emphasises the active participation of these actors as equal partners, who respond quickly to the ever-changing demands of the electorate. Mullins and Rhodes (2007:46) define networks as more or less stable patterns of social relations between independent actors that take shape around policy problems or policy programmes.

Dubini and Aldrich (1993:23) and Kreiner and Schultz (1993:56) describe networks as patterns of collaboration among individuals and organisations. In the context of network theory, collaboration and partnership play an important role in the decision-making processes of government since the national, provincial and local government spheres represent different constituencies wherein the priorities and mandates are not the same. Matusitz (2013:67) further mentions that organisations collaborate and participate in joint ventures, and this is applicable to South Africa, where the provision of social housing involves collaboration and joint efforts between the three spheres of government, government entities, non-government entities, financiers, and to a greater extent, the beneficiaries of a housing project.

This kind of relationship, where many actors are involved, is complex, involving the flow of information between nodes or actors and reciprocal multiple relations between more than two objects or nodes. Network theory deals with relational processes (such as the position of the individual or firm in a system of relations) as predictors of performance outcomes at either the individual or the organisational level (Pirkey, 2013:26). The current thinking and terminology in the new public management approach uses terms such as policy networks, inter-organisational networks, network forms of organisations, social networks and horizontal government. These terms have been used frequently to refer to new ways of doing business in the public sector. The modern administration state is more flexible, participatory, network-based and concept of network conveys tangible aspects of contemporary forms of organisations (Kim, 2006:10).

Matusitz (2013:23) defines a network as a system with multiple organisational relations involving multiple nodes of interactions and, in a network, a group of organisations exchange information on a voluntary basis and engage in joint activities. Network theory deals with the origins of network structures, out of previous relational dynamics, and the mechanism through which existing network structures connect to outcomes that are themselves of a relational or positional nature down the line. In line with achieving outcomes in a relationship between nodes and actors, there are elements of interdependencies and the demand and supply of resources. South African intergovernmental relations are structured in such a way that both the provincial and local governments feel that they depend on the national government to implement policies and this is evident in the way resources are transferred.

According to Monge and Contractor (2003:23), the bargaining power for resources amongst actors is based on the extent to which they are dependent on exchanges in the network, and organisations that are vulnerable to exclusion from exchanges in the

network will have less bargaining power. In practice, the local government is on the receiving end, as it always depends on grant transfers from both the national and provincial governments and this leaves the local sphere with less bargaining powers.

2.6.2   Network theory and intergovernmental relations

Mullins and Rhodes (2007:16) view networks as a new form of governance arising in a situation, where there are high levels of interdependencies between organisations and the state and where hierarchical forms of "command and control" are no longer the most effective methods of policy implementation. South African social housing policy development is informed by inputs from all sectors including civil society and representation from organisations involved in the delivery of social housing. According to Koppenjan (2000:12), network management focuses on mediating and coordinating inter-organisational policy making and this approach is associated with the bottom-up approach in implementing government policy.

The network approach is linked to intergovernmental relations, as it maps the patterns of relations between organisations and assesses the influence of these patterns for policy processes. The network theory focuses on the interaction processes between interdependent actors and the complexities of the objectives and strategies as a consequence of those interactions (Koppenjan, 2000:10). This applies to the South African intergovernmental relations system, wherein all the three spheres of government have their own plans, policies, and strategies to implement social housing programmes and projects.

Network theory assumes that social housing policy implementation is made in complex interaction processes between large numbers of actors and the majority of these actors are interdependent on other actors, consequently, cooperation is crucial (Koppenjan,

2000:11). The coordination and alignment of social housing related activities at all levels is crucial, as it contributes to the integration of plans and projects before implementation. Network theory assumes that actors are mutually dependent on one another and, given that provision of social housing in South Africa is a concurrent function between the three spheres of government, its implementation cannot be achieved without resources that are possessed by other actors. There are rules that have been developed to regulate the behaviour of other actors and resource distribution to ensure there is a great deal of sustainability. The current social housing policy specifically defines the roles and responsibilities of each actor, including the national, provincial and local spheres of government, delivery agents, and the regulator of the sector, thereby regulating their behaviour and monitoring the actual delivery of social housing units. Intensive interaction between actors creates a specific resource distribution that influences the functioning of the network and actors need to cooperate in order to achieve satisfying outcomes (Koppenjan, 2000:12).

2.6.3   Network governance

According to Kim (2006:14) network governance is a mode of organising economic and political, as well as administrative activities through inter-agency and inter-societal coordination and cooperation. Network governance, according to Kim (2006:15), is associated with more formal governance regimes where players develop a culture of mutual cooperation because they are in a long-term relationship. This is applicable to the South African context, where the three spheres of government cooperate to deliver housing related services and opportunities; and where a culture has developed that is influenced by the desire to satisfy the changing demands of the citizens.

Kim (2006:16) describes network governance as a formal organisational alliance in which relevant government policy actors are linked together as co-producers where they are more likely to identify and share common interests. The process of creating a meaningful and effective network in public administration is directly linked to the ability and willingness of the state to coordinate various activities while maintaining the structural or organisational integrity of the governing system (Kim, 2006:14). This is the reason why government has to develop cooperative practices with enterprises, the third sector and other public sector organisations such as the Social Housing Regulatory Authority, the Housing Development Agency, Gauteng Partnership Fund, the National Housing Finance Corporation, and citizens. Network governance plays an important role in the coordination of activities and they empower the participation of different actors in public policy making and implementation (Nyholm & Haveri, 2009:11).

It is also promoted because it creates organisational synergies and provides various forms of political, economic and social benefits to constituents since they share goals and utilise collective strengths. This is evident when a social housing project is launched, as it becomes a government project and not a municipal, provincial, or national level one, since the social, economic and political gains of the project are not merely associated with a single sphere. Nyholm and Haveri (2009:13) view network governance as bringing about direct participation of citizens through mechanisms such as public-private partnerships and opening up new channels of participation and mobilisation. As suggested by Nyholm and Haveri (2009:12), network governance depends largely on the possibility of control by elected representatives in situations where the public sector is organised on corporative lines, and corporate bodies frequently have the benefit of a high degree of autonomy.

The practical operationalisation of network theory involves more actors and it requires institutional construction to be effective if there is lack of coordination between levels of

governance (Nyholm & Haveri, 2009:13). It is the state's objectives, according to Kim (2006:13), to form network governance to develop alternative means in implementing government policy.

There are four benefits associated with network governance. Firstly, it allows various interested parties and experts to participate in the process and makes it more democratic and representative; secondly, the interaction among various public, private and non-profit agencies is likely to lead to improved efficiency by taking advantage of economies of scale and scope; thirdly, it allows new resources to be introduced with the aid of new participants; and lastly, it expands social capital through forming exchange relationships based on trust and reciprocity (Kim, 2006:14).

2.6.4 Horizontal and vertical governance networks

For the purposes of this study, this section focuses only on public networks as the research interest lies in the public policy arena and, in particular, the implementation of a social housing policy. According to Kim (2006:12), public networks are often distinguished from private ones based on the degree of formalisation, the existence and role of centralised coordinating mechanism(s), and the degree of interaction with other societal actors. Public sector networks are categorised by the composition of role-players and the development of agencies that coordinate the activities of network participants (Kim, 2006:13). The following section focuses on the two types of networks, namely horizontal networks, which are based on more symmetrical relationships among participants, and vertical networks which place more importance on coordination functions in relation to government agencies.

2.6.5   Horizontal networks

The horizontal network in a government set-up includes the local government sphere, non-governmental organisations and public-private partnerships (Agranoff & McGuire, 2003:34). The horizontal network, when applied to the housing development sector, includes developers, contractors, financial institutions, quality assurers, regulators, etc. Kim (2006:11) explains that horizontal networks are connected to each other by resource dependencies. Operations are pooled and partners are horizontally interdependent. Cooperation among participants is justified in the long run if there is strong resource distribution by partners. Kim (2006:12) identifies two types of horizontal networks. The first is intergovernmental networks that are made up of interdepartmental relationships in public administration and are often viewed as rivalries and antagonistic. It is based on the representatives of public agencies. The second type of horizontal networks are intergovernmental networks that are more interdependent on resource polling based on complementarity among public agencies (Kim, 2006:13).

In the South African context, the intergovernmental network operates within the interdepartmental network in central government departments and central, provincial, and local government networks. Since the provision of housing in South Africa is a concurrent function between the three spheres of government, ministries and regulatory agencies are instrumental in the implementation of housing policy. The local government sphere has learned to cooperate with both the provincial and national spheres and has come up with coherent strategies to develop interrelations, trust and collaboration. The central government agencies engage in active partnership with localities and realise the need to institutionalise long term cooperation with local municipalities (Kim, 2006:13).

2.6.6   Multi-sector networks

A theme of the new network governance approach has been the formation of strategic partnerships based on mutual interest among public, for-profit and civil society organisations (Kim, 2006:14). New network governance has sought to empower citizens to be involved in government and community work aimed at providing alternatives to conventional provision of public services.

McGuire (2003:11) is of the opinion that the multi-sector network theory is complex, and its use for the implementation of a policy requires collaborative management of different behaviours and strategies, use of myriad policy instruments and multi-organisational activities. This requires a change in the local governance mode and local municipalities have been experimenting with a local community governance regime wherein cooperation from other local stakeholders is important. Reid (1995:12) confirms that policy implementation at the local level is increasingly dependent upon securing the collaboration and cooperation of, and between, groups of diverse service-providing organisations, many of which are independent in the sense that they are outside direct statutory control; though they are, nonetheless, a necessary feature of the policy implementation process.

McGuire (2003:13) advises that policy implementation has expanded to involve a variety of nongovernmental organisations operating with government and, to that extent, Reid (1995:14) makes it a requirement that the implementation of social housing policy by the local authorities must be within partnership arrangements with a range of local partners for social housing delivery. In the past, the local authorities were responsible for coordinating a directly owned and managed capital and revenue-intensive service (Reid, 1995:15).

2.6.7   Vertical networks

Kim (2006:15) describes vertical networks as networks in which partners are not engaged in the same activities in relation to the production or policy process.
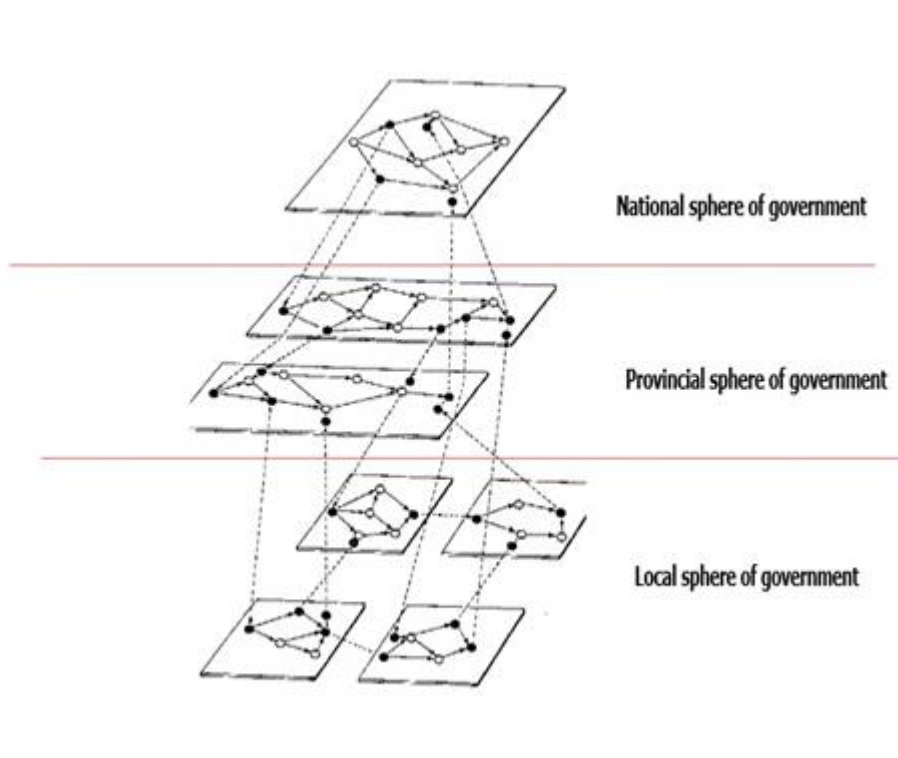
Fig 2.2 represent a network of intergovernmental relations amongst National, Provincial and Local spheres of government diagram adopted and modified from the network analysis diagram of Luvuno (2011).

The network diagram of Luvuno (2011:14) presented in Fig 2.2 simplifies the argument of McGuire (2003:14) in stating that vertical networks include one or more spheres of national or provincial government agencies networking or having a direct intergovernmental relations with local sphere of government entities in the

implementation of social housing policy. The vertical network often requires upstream and downstream partners to work together in a sequential pattern (Kim (2006:12).

In practice, in relation to the South African intergovernmental relations system, upstream players first make decisions that affect downstream agents of decision-making regarding resource allocation. The downstream players, in turn, perform tasks often delegated to them by upstream players. The point is that the national government, through the Social Housing Regulatory Authority, makes critical decisions regarding which projects are to be funded based on the readiness of the projects.

In the vertical policy network, the state transfers scarce resources to the private sector participants and thereby creates more of a sequential and interdependent relationship and this has the advantage of defining the roles and boundaries of the participants' contributions to the network, without jeopardising the goals and objectives of the partner. This implies that, in a vertical network, the partners learn to co-exist as strategic partners in a network (Kim, 2006:12).

2.6.8   Integrating intergovernmental relations and network theory in the delivery of social housing services

The present patterns of intergovernmental networks have been shaped directly and indirectly by the ever-changing housing policy review over the past ten years, with the promotion of partnerships in the implementation of social housing in South Africa. Mullins and Rhodes (2007:12) interpret intergovernmental networks as a new form of governance arising in situations where there are high levels of interdependence between organisations and the state and where hierarchical forms of command and control are no longer the most effective methods of policy implementation. According to Reid (1995:21), the rapid growth of intergovernmental networks is most closely associated

with the following broad areas of social housing policy, namely: (1) finance for the social housing sector; (2) local authority support for the development and management of social housing projects; (3) transfer and delegation of local social housing responsibility and mandate to the social housing institutions; (4) leveraged private sector involvement and investment for urban and housing renewal; (5) joint approaches by the three spheres of government in the delivery of social housing; and (6) the involvement of consumers.

The success of intergovernmental networks depends upon the organisations cooperating and collaborating with each other, and, in the case of housing, the restructuring of relations between the three spheres of government. This means that organisations could equally adopt a competitive approach to forming intergovernmental networks with different parties lobbying to secure some influence over local social housing strategy decisions (Reid, 1995:12). Reid (1995:13) is of the opinion that intergovernmental relations networks not only break down organisational and managerial divisions, they also create quick and open communication between partner organisations. Intergovernmental relations networks are considered central to the implementation of local social housing delivery.

2.7 ADMINISTRATION OF INTERGOVENMENTAL RELATIONS AT NATIONAL, PROVINCIAL AND LOCAL SPHERES

The South African Department of Provincial and Local Government defines intergovernmental relations as a system incorporating the various components of the governance, administrative and fiscal arrangement operating at the interface between national, provincial and local governments. The administration, management and organisation of intergovernmental relations has been strongly proliferated since 1994,

and it has demonstrated limited capacity and performance, often owing to different mandates, priorities and misalignment between the three spheres of government. The aim of intergovernmental relations is to seek synergies between various government entities to enable the efficient and effective delivery of services and to sustain democracy in a few ways, including the strengthening of capacity across all government spheres. In broad terms, intergovernmental relations constitute a negotiation and consultation process between the three spheres of government aimed at harmonising the government's actions and decision-making (Inaugural Report of 2005/2006-2006/2007).

The Intergovernmental Relations Framework Act (No. 13 of 2005) was passed by parliament during 2005 to provide a legislative framework for relations between the three spheres of government. The objective of this Act (as documented in Section 4) is to provide, within the principles of co-operative government set out in Chapter 3 of the Constitution, a framework for the national, provincial and local governments, and all organs of state within these governments, to facilitate co-ordination in the implementation of policy and legislation, including coherent governance, effective provision of services, monitoring of implementation of policy and legislation and realisation of national policies (Sokhela, 2007:105).

According to Sokhela (2007:105), the Intergovernmental Relations Framework Act of 2005 establishes a general framework that is applicable to all spheres and all sectors of government, since some sectors already have their own legislation, for example, the Intergovernmental Fiscal Relations Act (No. 97 of 1997), which deals with the financial, budgetary, and fiscal aspects of intergovernmental relations. The Intergovernmental Relations Framework Act of 2005 does not seek to replace existing intergovernmental relations structures established in terms of Acts of Parliament dealing with sectoral intergovernmental relations, such as the Intergovernmental Fiscal Relations Act of 1997 (and its structures such as the Budget Forum and the Budget Council (Section 3(1) of

the Intergovernmental Relations Framework Act of 2005)). Instead, the Act of 2005 seeks to formalise all the previously non-statutory (or informal) intergovernmental relations forums such as MinMec, which were not established in terms of any Act of Parliament (Section 9 of the Intergovernmental Relations Framework Act of 2005). This Act is, therefore, essential in providing a framework on intergovernmental relations as required by the 1996 Constitution of the Republic of South Africa, which ensures, inter alia, that local government has access to intergovernmental dispute resolution structures in order to resolve their disputes without hindrances to service delivery (Sokhela, 2007:105).

Prior to the passing of the Intergovernmental Relations Framework Act of 2005, political intergovernmental structures were supported by technical committees, which generally consisted of the director-general, or head of the national department, and the respective provincial heads of department. The purpose of these technical committees was to provide the political structures with technical support and to promote intergovernmental co-operation and consultation at the administrative level. Meetings of these structures normally preceded meetings of the political structures and were used as preparatory sessions for political meetings. The terms of reference of the technical committees corresponded, to a large extent, to those of the political meetings (Sokhela, 2007:116).

Intergovernmental relations take place through a dense network of informal task teams, workshops, conferences and interpersonal telephone and e-mail communications. These structures follow different processes, and their roles and responsibilities are not clear nor coordinated and are not aligned. There is no cooperation and linkage between policy making, resource allocation, and social housing policy implementation. With the passing of the Intergovernmental Relations Framework Act in August 2005, administrative intergovernmental structures such as the Forum for South African Directors-General (FOSAD) were recognised as intergovernmental structures in terms of Section 1 of the Act, and they are referred to as intergovernmental technical support structures.

Section 30 of the Intergovernmental Relations Framework Act of 2005 specifically states that an intergovernmental forum may establish an intergovernmental technical support structure if there is a need for formal technical support to the forum. Such an intergovernmental technical support structure must consist of officials representing the governments or organs of state participating in the intergovernmental forum, which established the technical support structure and may also include any other persons who may assist in supporting the intergovernmental forum (Sokhela, 2007:117).

Ultimately, these fora must work closely together to create a new intergovernmental system that is not only efficient and sustainable, but responsive to the needs of citizens. Meek and Thurmaier (2012:69) describe intergovernmental administrative networks in terms of inter-organisational governance networks comprising two or more nodes linked together through some concerted effort to exchange and pool resources and/or coordinate actions. The development of affordable social housing units requires the sharing of resources between the national, provincial, and local governments.

Meek and Thurmaier (2012:71) mention that government at various levels of geographical scale coordinates activities and these arrangements make provision for checks and balances. The national, provincial, and local governments have different operating systems and each sphere has a distinct area of specialisation in the development of social housing. The intergovernmental relations network and structures provides a material basis on which to describe and evaluate the various actors of government, the nature of their relationships to one another, and the kind of policy tools and resources that flow between them.

Phago (2014:53) concludes that the Intergovernmental Relations Framework Act of 2005 is an administrative arrangement in coordinating the activities of the three spheres of

government. The intergovernmental structures discussed in Sections 2.7.1 to 2.7.8 below have some relevance to the implementation of social housing and human settlements.

2.7.1   Presidential infrastructure Coordinating Committee

At the national level, the Presidential Infrastructure Coordinating Committee (PICC) was created to deal with policy, development, and reform regarding issues of planning for infrastructure at national level, identification of important matters that require national intervention, ensuring systematic selection, and planning and monitoring of large projects.

This intervention was aimed at systematically improving the capacity of state agencies to deliver infrastructure and help connect the work of all spheres of government (Ille, 2010:56). The PICC gathers ministers, premiers and Metro mayors, and is chaired by the President. Its terms of reference are to identify five-year priorities and develop a 20-year project pipeline (Presidential Infrastructure Coordinating Commission, 2012:9). With the introduction of breaking new ground policy, which is being implemented through mega projects, all government departments contribute towards the implementation of integrated sustainable human settlements and improve the capacity of the state to deliver services.

2.7.2   President's Coordinating Council

At the outset, the Intergovernmental Forum (IGF) sought to bring together all the role players of the intergovernmental relations system. This forum, encompassing the national cabinet, all provincial executives, and organised local government, failed in its endeavour, largely owing to its unwieldy size and lack of focus. In its place emerged the

President's Coordinating Council (PCC) in 1999, comprising the President, the Minister of Provincial and Local Government, as well as provincial premiers and representatives of organised local government, who attended by invitation. The PCC is a consultative body that deals with cross-sectoral issues and presents an opportunity for provinces to impact on national policy and to ensure the coordinated and integrated implementation of national policies and programmes at provincial level. The role of this structure in relation to housing is that it addresses issues at national level that relate to human settlements and identifies issues that have a negative impact on the implementation of housing policy.

2.7.3 Budget Council and Budget Forum

The Intergovernmental Fiscal Relations Act of 1997 established the Budget Council and the Budget Forum. The Budget Council is comprised of the National Minister of Finance and the nine Members of Executive Committees responsible for finance in the provinces. The Budget Forum consists of the members of the Budget Council and representatives of organised local government. The function of both bodies is to facilitate co-operation and consultation in the budget process. The availability and non-availability of funds has an impact on the delivery of affordable rental housing. In the case of budget rollovers, the state is failing to deliver and those in positions of authority must explain why to the executive authority. To a large extent, the rollover of both capital and operational budgets is a common occurrence and no steps were taken and/or consequences for poor management applied.

2.7.4 Minister and Members of the Executive Committee (Technical MINMEC)

At the national level, there is a technical forum comprised of the Minister and Member of the Executive Committee (MinMec) responsible for Housing and Human

Settlements in each province. This technical forum has the Director General of the National Department of Human Settlement as the chairperson and acting as the accounting officer insofar as the delivery of housing opportunities and creation of sustainable integrated human settlements is concerned. This forum serves as a platform for discussion about policy related matters, performance monitoring and evaluation, and joint planning and alignment of implementation of human settlements projects. Reports, recommendations and proposals for consideration by the MinMec are submitted from this technical forum.

In addition to the chairperson, the forum is attended by Provincial and Municipal Heads of Departments responsible for Human Settlements, as well as Chief Executive Officers of state-owned entities such as the Social Housing Regulatory Authority, the Housing Development Agency and Municipal Owned Entities, etc. The major aims of the MinMec include the following: (a) improvement and coordination of activities within all spheres of government; and (b) alignment and coordination of activities within the housing and human settlements sector (Ubisi, 2017:153). Although decisions taken aby this structure are not binding, its implementation will go a long way toward influencing housing policy and ensuring alignment and integration of housing programmes and projects.

2.7.5   Minister and Member of Executive Committee (Political MINMEC)

This structure is a political forum chaired by the Minister of Human Settlements and attended by Members of Executive Committees, Members of Mayoral Committees, Chairpersons and Chief Executive Officers of state-owned entities as well as senior officials responsible for implementing human settlements programmes. This forum deliberates on policy directives and imperatives that impact on human settlements and related functions and recommends any policy change and augmentation to Parliament

for approval. This forum also considers and provides strategic direction on performance and budget expenditure reports tabled by the various provinces and metropolitan municipalities. Since 1996, informal IGR forums have been formed along sectional lines, consisting of national ministers and their provincial counterparts in so-called MinMec. Where local government issues have been discussed, the South African Local Government Association has represented organised local government in these forums. The MinMec have performed multi-purpose functions, as follows:

- they have been used for information sharing and consultation;
- they have been used by supervising spheres to consult with supervised spheres on supervision issues; and
- as a forum of co-operative government, they have been utilised to align policies and coordinate actions.

The MinMec is a constitutional body that promotes coordination between the three government spheres by bringing together ministers, their provincial counterparts and members of mayoral committees at local government level on a political level and on a regular basis to ensure that the provinces and municipalities have access revenue. The MinMec also play a vital role in the implementation of decision-making policies (Ubisi, 2017:153). In the final analysis, both the technical and political MinMec are key for a that ensure that there is consultation, communication, cooperation, coordination, and collaboration between the three spheres of government. They also promote cooperative government and intergovernmental relations by bringing together different sectoral role players.

2.7.6   Urban settlements development grant quarterly review meetings

These meetings are convened by the National Department of Human Settlements to review progress on implementation of grant-funded projects. They also serve as a forum to discuss challenges and deliberate on mitigation measures and share best practices. Presentations tabled in this forum also include programmes and projects funded through the Human Settlements Development Grant (HSDG) and the Municipal Human Settlements Capacity Grant (MHSCG).

2.7.7   Gauteng intergovernmental relations Forum

Intergovernmental for a have proliferated in Gauteng Province. In the majority of provinces, an all-inclusive Intergovernmental Relations Forum has been established that links the province executive with organised local government. However, some fora exist in name only or function poorly. The latter problem has been attributed to the fact that there are too many fora, resulting in the lack of substantive agendas for each. Fora with a large membership also encounter difficulties in finding suitable meeting dates and then fade into obscurity.

There are a number of effective provincial forums, one of which is the Gauteng Intergovernmental Relations Framework (GIGRF) approved during 2010 to review intergovernmental relations structures and systems in Gauteng Province. The GIGRF facilitates intergovernmental relations and cooperative government within the broader policy and strategic context and mandate of the Gauteng Provincial Government. It also aims to provide pragmatic guidelines that will shift cooperative governance from theory to focusing on service delivery and ensuring responsiveness to citizens' needs at both macro and micro levels.

The implementation of the framework will strengthen relations between the three spheres of government and link and synergise provincial intergovernmental relations forums, including the premier's coordination forum, and inter-municipal and interprovincial forums (Gauteng Intergovernmental Relations Framework, 2010:28).

The stated objectives of the forum are to:
- enhance and promote cooperative governance;
- ensure policy synergy between the two spheres of government at the horizontal and vertical levels;
- create a platform for the coordination of legislation and actions of provincial and local governments;
- create a channel of communication between provincial and local governments;
- encourage an integrated approach to service delivery;
- promote the principle of integrated development in the provinces and, in particular, consolidate the thrust towards a provincial Growth and Development Plan; and
- provide a supportive role in respect thereof.

The forum has two components, namely a political component (which meets quarterly) and a technical component (which meets on a monthly basis). Collectively, these allow participation by the following role-players:
- politicians at provincial and local government level (including the Premier as chairperson);
- organised local government in the province;
- representatives of the provincial House of Traditional Leaders;
- major service providers in the province; and
- provincial government officials.

The intergovernmental relations forums are non-statutory and are established in terms of a Memorandum of Understanding or protocol. In some forums, the partnership principle comes through strongly. In Gauteng, the Extended Executive Council Lekgotla is a vital vehicle that ensures that medium strategic priorities and programmes for the Province are adopted by the Provincial Executive Committee and municipalities. The Lekgotla is a forum where the two spheres of government agree and adopt the priorities and programmes for the whole government. At the provincial level, there is a forum known as the Technical Member of Executive Committee and Member of Mayoral Committee Intergovernmental Relations. This forum is the same as that discussed above, save that it is a provincial structure chaired by the Head of the Department of Human Settlements. It is attended by senior provincial, municipal, and state-owned entities and officials responsible for human settlements.

At the political level, there is a forum known as the Political Member of Executive Committee and Member of Mayoral Committee Intergovernmental Relations. It is attended by Members of the Executive Councils (MECs) and Members of Mayoral Committees (MMCs) and chaired by the MEC responsible for Human Settlements. As with the MinMec, this forum serves as a platform to consider reports on performance, policy propositions and to ensure alignment with regards to planning and implementation of programmes and projects.

2.7.8   Monthly projects review meetings

A Memorandum of Intent was concluded between Gauteng Province and the three metropolitan municipalities (Tshwane, Johannesburg and Ekurhuleni) on the implementation of mega projects. The departments of human settlements of the metropolitan municipalities provide progress reports and participate in the monthly

projects review meetings convened by the Gauteng Provincial Department of Human Settlements. The projects review meetings exist only on paper as attendance of these meetings is very poor. The decisions taken at these meetings are not implemented and this has created a vacuum in terms of following up on projects with challenges that both the metropolitan municipalities and provincial government can address.

2.7.9 Gauteng Planning Commission

The Gauteng Provincial Government has established the Gauteng Planning Commission (GPC). The purpose of establishing the GPC is to facilitate short, medium and long term planning and embark upon a process to develop a shared vision with the people of Gauteng. The GPC is aimed at developing a provincial intergovernmental programme of action and provincial strategic outcomes that will contribute towards building a developmental state which has the capacity to effect socio-economic transformation through strategic integrated programmes and plans (Gauteng Intergovernmental Relations Framework, 2010:29).

The GPC is responsible for pulling together all spheres of government's mutually agreed programmes and strengthening the intergovernmental relations in Gauteng Province thereby providing a means for ensuring there is vertical and horizontal alignment, given that horizontal alignment at national and provincial level has been very limited. The GPC is at the same time encouraging cooperation and partnership at the local government level to contribute to good governance. To a large extent, the GPC will ensure a smooth transition from a priority setting to an outcome-based approach which is all about measuring performance and delivery (Gauteng Intergovernmental Relations Framework, 2010:44).

2.7.10   Municipal intergovernmental relation forum

Since December 2000, local government has increasingly taken its rightful place in intergovernmental forums. On invitation, the South African Local Government Association (SALGA), representing organised local government, attended the December 2001 PICC meeting on local government. The SALGA further participates in the Budget Forum, and several MinMec and technical IGR forums.

2.7.11   Technical intergovernmental relations forum

The Forum for South African Directors-General (FOSAD) is a typical example of an informal intergovernmental structure, which is a body of heads of department whose membership is confined to national and provincial directors-general. It is a technical forum, consisting of technocrats. While its foremost activity is co-ordination and implementation of national policy, FOSAD (chaired by the Director-General in the Presidency) provides a regular opportunity to Directors-General to share experiences around policy and implementation, exchange ideas and assist each other in the professional development and management of their departments (Department of Public Service and Administration, 2003:33). Formally, the role of FOSAD in intergovernmental relations includes fostering a dynamic interface between political structures and the administration at national and provincial spheres, improving horizontal and vertical co-ordination of national policies, and sharing information on best practices on public management (Department of Public Service and Administration, 2003:33).

2.7.12   Implementing joint work, programmes and projects Committee

Effective IGR forums and processes are realised in the concrete practices of joint work, programmes, and projects. Poverty alleviation and development programmes, such as the Integrated Sustainable Rural Development Programme (ISRDP), Urban Renewal Programme (URP), and Free Basic Services (FBS) are the most prominent. They have established consultation structures specific to their needs. The ISRDP and URP are designed to be managed through joint task teams comprising representatives of many organs of state and spheres of government. A good example of the successful implementation of the URP has been the Alexandra Renewal Programme implemented in Gauteng Province.

2.8. FORMS OF GOVERNMENT INFLUENCINGE I.G.R. AND SERVICE DELIVERY

This section compares the forms of government systems that are unitary, federal, and confederal, in an attempt to understand and compare how intergovernmental relations systems are structured in relation to providing service delivery to the citizenry. Forms of government vary from dictatorships with sovereign power vested in the head of state to forms which, in various ways, uphold the principles of democracy. For the purposes of this discussion, the main characteristics of federal, unitary and confederal government systems are identified and discussed. These forms of government are structured according to the ways in which power is distributed between national, provincial, and local government in the delivery of public goods and services.

2.8.1 Federal form of government

According to Ehtisham and Brosie (2011:4), Johan Stuart Mills is the "father of federalism", and this theory is based on the proper relationship between the levels of government, which cover political ideas such as participation, governmental efficiency and accountability, democracy, and the role of the elites. The federal system of government is built on the premise of a high degree of political and institutional competition in the system, and federalism is the division of tasks between the central and the local governments, where the former dictates legislation and the latter ensures its implementation. The concept of local government represents a grassroots level of administration meant for meeting particular needs of the people at the local level. It is the lowest units of administration with laws and regulations that communicates with a group of people who live in a defined geographical area and with the common social and political ties (Adedire, 2014:61).

Sokhela (2006:60) indicated that there are two extreme forms of federal state, namely: (1) where the federal authority's powers may be prescribed, leaving the remainder to the constitutional political entities; and (2) where the powers of the constitutional bodies could be prescribed in the constitution, leaving the remainder to the federal authority. According to Sokhela (2006:60), federalism involves the ways in which levels of government interact and how the levels are interrelated. The federal system involves more than the mere creation of separate spheres of government. It involves the constitutional principles, laws, and court interpretations that settle issues of allocation of actions between national and state governments (Garson & Williams, 1982:32).

Adedire (2014:59) describes the following key characteristics of a federal government: (1) separateness and independence of each level of government; (2) mutual non-interference in the distribution of power; and (3) the existence of a supreme court and a

court of law to act as an arbiter in intergovernmental relations dispute. According to Adedire (2014:59), intergovernmental relations provide a platform for legal, political and administrative collaboration between levels of government with varying degrees of autonomy. From the above, it can be summarised that, in a federal system, there is no concentration of power and functions at the national level or in the central government.

In a federal system, execution of government functions is shared between the levels of government. In this case, there is interaction between the levels of government and the relationship between the levels should be cordial and there should be no interference by another level. As such, intergovernmental relations among the levels of government in a federalist state should be such that distribution of functions among levels of government enhances service delivery. The United States government is a federalist system. In analysing intergovernmental relations in a federal system, the different government levels perform three main actions which include policy making, finance and administration (Nathan, 1988:569).

2.8.2   Unitary form of government

According to the doctrine of sovereignty, a unitary form of government recognises a supreme authority in a state, which is not subordinate to anything or any person. This is the premise of the principle whereby a unitary form of government may be identified and forms the basis of relations between governmental bodies in a unitary state (Sokhela, 2006:57). In unitary states, the central legislative authority is sovereign and can pass, repeal or amend laws that regulate the internal and external affairs of the state. In theory, there is no limit to the powers of the central legislative authority, except that it can place limitations on its own procedures. In a unitary state, the parliament of the

whole country is the supreme law-making body and final authority vests with the national government (Sokhela, 2006:58).

In a unitary system of government, the state acts as a sovereign entity and legislates the day-to-day operations within the districts and its territory. In a unitary form of government, there is no system for limiting or checking the power of the state. Unitary governments draw praise for creating uniform laws, policies and administrative procedures, and for fostering a national sense of unity and stability. Unitary governments are those that operate under a central system of power. In these government systems, all powers vested in the government are held by a single central controlling agency.

They are characterised by the existence of a single controlling entity, such as a parliament, which assumes control of all governmental operations. Under unitary governments, local governments (such as town and state governments) exist, but they have little functional purpose. Local governments, under this system of rule, and have the power to step in to perform administrative tasks and to relieve the central body of administrative burdens only when necessary (Sokhela, 2006:57). Citizens of nations controlled by unitary governments, as well as political analysts, laud this type of government for its ability to create a single and efficient method of governance. By creating uniform laws and policies, the government reduces duplicative efforts leading to reduced costs for carrying out government tasks and less risk of tensions and conflicts between operations at federal and local levels.

Unitary governments are also praised for creating a sense of unity and offering a stable structure of governance. The disadvantages of a unitary system include a lack of power balance; the possibility for slow national response because the national government controls everything; the lack of power at the local government level; and a lack of representation among its citizens. The British government is a unitary system.

2.8.3   Confederal form of government

Knutsen (2004:10) defines the traditional confederation as a body whose laws are binding only to sovereign member states. This means that confederation legislation has to be transformed into internal legislation in each member state in order to be binding only on that state's citizens and court system. A confederation produces the weakest central government. Member states in a confederation retain their sovereignty, delegating to the central government only those powers that are essential for its maintenance. The individual states jealously guard their power to tax and make their own laws. The central government serves as a coordinating instrument to protect the interests of all its members. It also represents the confederation in dealings with outside governments, but its actions are subject to review and approval by the confederated states.

A confederal form of government is a union of sovereign states, united for purposes of common action often in relation to other states and usually created by a treaty. Confederations of states tend to be established for dealing with critical issues such as defense, foreign relations and internal trade or currency. The arrangement of this kind of relations requires the general government to provide support for all its members. Confederalism represents a main form of inter-governmental relation, this being defined as any form of interaction between states which takes place on the basis of sovereign independence (Knutsen, 2004:11).

2.9 DECENTRALISATION THEORY IN THE CONTEXT OF INTERGOVERNMENTAL RELATIONS

The universal definition of decentralisation, or decentralising governance comes from the United Nations and United Nations Development Plan (1997:4), which is referred to as the restructuring or reorganisation of authority so that there is a system of responsibility between institutions of governance at the central, regional, and local levels, according to the principle of subsidiarity. This increases the overall quality and effectiveness of the system of governance, while increasing the authority and capacities of sub-national levels. Decentralisation is defined as a process of transferring resources, power and responsibility from the central to the local governments. This implies that decentralisation is a concept with multiple aspects, that can neither be easily defined, nor measured (Koo & Kim, 2018:291).

There are some similarities between the two definitions in the sense that central government gives provincial and local government administrative power to make decisions, political power to elect governments and fiscal decision-making authority to pass budgets. The United Nations Development Programme identifies four forms of decentralisation, namely devolution, delegation, deconcentration and divestment/ privatisation (United Nations Development Programmes, 1999:6). Devolution is the form of decentralisation that is associated with intergovernmental relations as it relates to the transfer of authority to autonomous lower-level units, such as provincial, district and/or local authorities that are legally constituted as separate governance bodies. The transfer of authority to such units is often referred to as devolution of power and service delivery responsibilities and is the most common understanding of genuine decentralisation. Through devolution, the central government relinquishes certain functions or creates new units of government that are outside its direct control.

Onofrei and Oprea (2017:252) warn that decentralisation should not be interpreted as an objective of the constitutional and administrative reforms or as a method of improving government efficacy and efficiency. Decentralisation is a universal target that the public authorities aim to achieve, but no universal recipe exists for its implementation. The practice in each state is influenced by different factors, such as political, administrative and constitutional traditions and the public sector, and each state creates its own decentralisation strategy aimed at improving government performance.

According to Onofrei and Oprea (2017: 253), the decentralisation reforms are influenced by the states' historical, political and economic legacy, as they try to establish a local identity and diversity as well as improvement in governance. The current literature suggests that the International Monetary Fund, the World Bank and other international development organisations prescribed decentralisation as part of structural adjustments needed to restore markets, create or strengthen democracy and promote good governance in Sub-Saharan countries (Erk, 2014:538).

2.10 DECENTRALISATION IN SOUTH AFRICA

Decentralisation in South Africa had been practiced for years, albeit in different forms. Wittenberg (2006:10) identifies three broad periods of decentralisation in South Africa. During the first period, from the formation of a unitary state in 1910 until 1948, there were two forms of governance, with a democratic and relatively decentralised system for white South Africans, and a much more centralised system for black South Africans. In the second period, which lasted from 1948 to 1984, the state embarked on a social experiment involving the partitioning of the country into separate states based on the 'black homelands' or 'Bantustans'. In the final period from 1984 to 1993, the apartheid government decided to include the majority of black South Africans in the administration of the country by creating bridging structures that cross-cut existing administrative

systems. Such bridging structures were implemented at regional level, with the creation of nine development regions which were intended to facilitate development across the borders of the black homelands, and also at local level, with regional services councils being created to support growing urban townships (Koelble & Siddle, 2014:608).

Koelble and Siddle (2014:609) argue that the process of constitutional development after 1994, which represents a new period, led to the 1996 Constitution, which brought drastic changes. The 1996 constitutional framework made provision for a decentralised system in South Africa, which assured the existence of provinces and local government as spheres of government in their own right, with full constitutional protection. It has been argued that the decentralised system provided for in the constitution represents a means of dismantling apartheid and facilitating a transition from apartheid rule to a democratic dispensation. The administrative centralisation in South Africa is influenced by the recent past of an undemocratic system of government, which existed prior to the democratic dispensation in 1994. After 1994, decentralisation has been presented as a way to bring in better democracy, better public policy formulation, and delivery and economic development and growth (Koelble & Siddle, 2014:610).

Decentralising the decision-making process means giving public housing authorities and other actors such as government agencies, private developers, financial institutions, public housing tenants and citizens more responsibility and control over determining how these resources are used (Smith, 2000:221). The assumption is that giving local government and social housing delivery agents more control will yields more effective results and be more efficient thereby fast tracking the delivery of social housing. It is further assumed that the decentralisation of the local government sphere would tailor social housing plans to better fit the needs of public housing residents and integrate with broader community development goals through the integrated development plans.

The current centralisation trends in South Africa show that both the provincial and local levels of government have administrative and financial competencies, enabling these two spheres of government to act towards development by giving them very important powers (Onofrei & Oprea, 2017: 286). In the current dispensation, local government is considered a key actor that takes forward the aims and objectives of a developmental state. For a decentralisation process to succeed, central government must have the political will and capacity to drive the process and entrench it (Heller, 2001:33). The national government must be ready and willing to facilitate the process of transferring power, authority, functions, responsibilities, and the requisite resources such as funds and human capital to the provincial and local government spheres in line with the intergovernmental relations framework.

2.11   CONCLUSION

This chapter presented a theoretical overview of intergovernmental relations, housing and social housing from an international perspective. A scientific definition of housing theory was provided and its significance and relevance to the study of housing and housing policy implementation was considered. The three theories identified and discussed were Marxism, systems theory and network theory.

The relevance and application of these theories to the study of intergovernmental relations and social housing was presented. There was further discussion about how the provision of housing has evolved over the years to the establishment of sustainable human settlements. In addition, the theoretical frameworks that underpin the study, and the conceptual framework of this study were presented with a focus on the application of Marxist theory on social housing production, the application of systems and network

theories on intergovernmental relations, and the interaction of the three spheres of government as a pillar for housing systems and implementation of social housing policy.

The chapter considered the administration of both political and administrative structures and forums operational at national, provincial and local government levels. Owing to the complex and dynamic nature of intergovernmental relations management, and social housing policy implementation challenges, the chapter tried to integrate intergovernmental relations and network theory in relation to the delivery of social housing.

The theory of decentralisation was discussed, as well as how it relates to the transfer of functions, power, authority, and responsibility to the provincial and local spheres in line with the rules of the intergovernmental relations framework. Lastly, a comparison of different forms of government, that is, federal, unitary, and confederal was presented. The influence of these different systems was considered in relation to the practical relations and interactions between levels of government required for service delivery, including housing and human settlements related opportunities.

CHAPTER 3:

COMPARATIVE HOUSING PROVISION IN DEVELOPING COUNTRIES

3.1 INTRODUCTION

The purpose of Chapter 3 is to present a comparative perspective on housing in developing countries, considering the following countries: Ghana in Africa, Brazil in Latin America, and Singapore in Asia. These countries are all located in the Southern hemisphere and are all developing countries. The developing countries are countries at the periphery of the world economy that produce mainly agrarian and mineral raw materials for industrialised states under mostly negative terms of trade (Ashaver, 2013:33).

To ensure consistency and uniformity, the term "developing countries" will be used. Furthermore, as a result of high population growth and rural-urban migration, many of these countries have increasing numbers of marginalised sections of the population which have specific settlement patterns and living conditions. Despite being one of the essential elements in the sustainability of human existence, housing remains a challenge, particularly in developing countries (Muhammad, Johar & Sabri, 2015:1). The provision of housing is a global problem, ranging from the need for a basic shelter in developing and trauma-stricken areas to lack of sustainable and affordable housing in most developing countries. According to Fields and Hodkinson (2018:1), the rapid increase of housing expenses relative to wages and income in cities across developed and developing countries has made urban housing unaffordable which leads to rising levels of homelessness and residential instability for low income earners. In most developing countries, there is a high rate of urbanisation, wherein there is massive migration from

rural villages to mega-cities which has resulted in severe housing conditions in urban areas. This state of affairs has contributed to what Fields and Hodkinson (2018:1) call a housing crisis, manifested in evictions, overcrowding, unaffordability, substandard living conditions, homelessness and displacement over the past decade. According to Muhammad et al. (2015:1), a high rate of urbanisation and population growth results in high rental tariffs, overcrowding, and poor living conditions.

Fariha, Muhammad, Javeria, Zunaira, Sana, Areesha, Minahil, and Nida (2018:1) indicate that the housing problem basically relates to quantitative and qualitative insufficiencies. On the supply side, the government has formulated various strategies, plans, policies, and programmes to address the scale of the housing backlog. But such efforts are curtailed by high building costs, high infrastructure costs, land costs, deficiency of housing finance arrangements, strict loan arrangements and mortgages from banks (Fahira et al., 2018:1). According to Okeyinka (2014:23), the rapid rates of urbanisation in most developing countries have led to massive housing shortages and qualitative deficiencies.

The rapid growth associated with accelerated tempo-economic development has seriously aggravated the shortage of dwelling units, resulting in overcrowding, high rent and slum and squatter settlements, which are common in most developing countries (Ozo, 1979:11). Urban densities are high in most developing countries as there are insufficient houses. Large proportions of households are crowded into single rooms in buildings that have many other tenants and that are not regularly maintained. Facilities and services are fall far short of what is taken for granted in developed countries (Peil, 1995:14).

3.2 HOUSING PROVISION IN THE REPUBLIC OF GHANA

The various governments of Ghana, since independence, recognised the important role of housing and the necessity of an efficient housing policy if the nation was to realise its full benefits (Boamah, 2014:2). Miller (2015:3) attests that, since independence and under the first Republic of Nkrumah administration, housing issues have been dominated by the government sector. According to Kwofie (2011:16), the provision, affordability and accessibility of housing opportunities remains a seemingly insurmountable problem for nations in Sub-Saharan Africa, which includes Ghana. A full supply of proper, decent housing for low and average-income people is still an unresolved issue in many notable cities throughout the world (Kwofie, 2011:3).

Boamoh (2014:6) notes that post-independence governments in Ghana implemented various policies, with the aim of facilitating the development of the housing sector. Most of the policies focused on basics such as housing subsidies, public sector housing delivery, rent controls, private sector led housing markets, the establishment of housing finance institutions, slum upgrading programmes, site and service schemes, and cooperative housing schemes. Despite the formulation and implementation of several housing policies, the country's housing sector remains underdeveloped. Housing inadequacy, decay and haphazardness is a feature of the country's housing sector (Boamoh, 2014:12). Housing supply in Ghana is mainly from five sources, namely the government, corporate, not-for-profit and informal sectors and individuals supply. The corporate sector, including the Ghana Real Estate Developers Association (GREDA), supplies about 90 percent of the national housing stock (Addo, 2014:5).

Ghana Statistical Services (2013:133) reported that 54.4 percent of households in Ghana occupy one sleeping room, with 24.3 percent of households occupy two sleeping rooms and 21.3 percent of households occupy three sleeping rooms with an average household

size of 4.4 persons. These data imply that, in 2013, about 78.7 percent of households in Ghana had inadequate sleeping rooms where more than two people occupied one sleeping room. Boamoh (2014:23) concludes that the state of housing in Ghana is appalling, and it is a signal that the country's housing policies failed to achieve their intended objectives of providing adequate and affordable housing in Ghana.

Yirenkyi, (2014:4) estimates that, to meet the housing shortfall or deficit in Ghana, the annual national housing delivery should be around 120,000 housing units. Currently the supply capacity nationally is said to be hovering around 42,000 units per annum. Thus, 60 per cent of the national housing requirement remains unsatisfied each year. According to Yirenkyi (2014:5), orthodox methodologies for the delivery of housing in both the private and public housing supply sectors have had inadequate impact in solving the housing problem. In Ghana, only a portion of housing delivery has been able to accommodate the low-income populace. Even when housing schemes are purposefully directed at the urban poor, they remain out of their reach (National Housing Policy, 2015).

The United Nations Habitat 2017 Report mentions that in Ghana, slum dwellers together with informal traders and those in the services sub-sector earn their living in informal markets, along pavements, along railway buffers, and at home in informal and squatter settlements. According to the United Nations Habitat 2017 Report, there are many people who do not have access to affordable housing and have found their own solutions in various types of slums and unauthorised informal settlements.

Okeyinka (2014:14) identifies the conventional indicators of housing shortage in developing countries as overcrowding and an increase in slum and squatter settlements. According to the United Nations Sustainable Development Partnerships (UNSDP) 2018-2022, in Ghana, 6.3 percent of urban populations live in slums, informal settlements and

inadequate housing, which are conspicuous manifestations of urbanisation poverty. Amoatey, Ameyaw, Adaku and Famiyeh (2015:199) mentioned that in Ghana, there currently exists a housing deficit of two million units. This is a result of the ever-increasing nature of the population of the country which is currently estimated at about 25 million. According to Amoatey et al. (2015:199), Ghana will need an estimated two million new housing units by 2020.

Other factors that contribute to the acute shortage of low-cost housing include inadequacy of skilled labour leading to lower quality of jobs (Addo, 2014:10). In most new urban developing areas in Ghana, infrastructure provision lags behind building development. Amoatey et al. (2015:199) mention that the problem of delays in the housing construction sector is a major phenomenon in Ghana, as in other developing countries. As of 2015, 4,700 state housing projects in Ghana have been stalled or completely abandoned for various reasons. Regardless of the consequences associated with stalled projects in Ghana, many projects continue to delay.

Based on the number of stalled or abandoned housing projects, Amoatey et al. (2015:200) mention some of the reasons as: construction methods, price inflation, exceptional weather and ground conditions, and site contamination. Other reasons include poor communication among project teams resulting in critical risks to construction projects, finance and payment arrangements, poor contract management, shortages in materials and inaccurate estimation, and overall price fluctuations. Client factors are seen to be the most significant causes of delay followed by project manager factors and financial factors faced by the contractors. Time and cost overruns are also considered important delay effects. Poor site management and supervision, unforeseen ground conditions, low speed of decision-making involving all project teams, client-initiated

variations, and necessary variations of works are the main causes of delays in construction projects (Amoatey et al., 2015:201).

Housing in Ghana is said to be very crowded, with almost 60 percent of households in urban Ghana occupying single rooms. Only one in four households have their own dwelling and the remainder are either renters or live rent-free in a family house (UNHABITAT, 2011:22). This statement corroborates the fact that it is cumbersome to own a house in the largest urban areas owing to the numerous challenges that come along with leaving it in the hands of the few rich in the society. Renting dwellings in Accra has become even more challenging, looking at the tenancy dynamics in Accra.

Addo (2014:5) mentions that the housing deficit in Ghana stems from the colonial era, when a comprehensive housing policy was not developed to effectively address urban low-income housing supply. Ansah (2014:14) attributes slow delivery of housing in Ghana to the fragmented and unsustained effort from individuals, private developers and successive governments. This situation has contributed to the huge housing deficit Ghanaians encounter today. The shortage of housing continues to be one of the most critical socio-economic challenges facing the country. Some of the challenging factors which have contributed to Ghana's housing deficit include absence of a clearly defined national housing policy, lack of access to sustainable capital or finance, land acquisition and associated litigation, and lack of control and a regulatory policy framework for rent.

According to a research report by Yankson (2010:12), under the liberalised economic environment, landlords determine rents, thus, tenancy relations under economic and political influences affect the level of housing investment. Consequently, both landlords and tenants react to the prevailing conditions. In liberalised economies, low-income tenants have little or no control in inducing serious changes in their tenancy relationships. This is because they are often restricted by their incomes, shortages of affordable

housing, and to a large extent, by the reactions of landlords to the liberalised housing market.

In the 1980s, the World Bank Structural Adjustment Programmes tasked the national government with becoming facilitators of housing and not direct suppliers of housing. The national government was advised to create a stimulating environment through tax cuts for private housing developers, make available construction loans for developers, and expand housing mortgage markets (Pacione, 2005:12). According to Renaud (1999:23), the World Bank advocated that priority ought to be given to the development of well-structured housing markets with sound institutions and organised professions, while avoiding policies that promote direct housing provision. Global trends in privatisation, partnerships, cost recovery, efficiency, and productivity in housing provision were encouraged in developing countries (Sengupta & Tipple, 2007:12).

As part of World Bank economic policy, the government of Ghana was tasked with offering financial incentives to housing developers as bait for affordable housing investment, and to encourage competitiveness within the housing market. According to Arku (2009:12), these measures were seen not only as a way to increase housing supply but also as a way to provide a platform for investment in the housing industry and, ultimately, to promote economic growth. Although the policy attracted a huge number of real estate developers under the umbrella of the GREDA with about 400 registered members, tax incentives for private housing development in Ghana has encouraged high cost housing instead of affordable housing (Buckly & Mathema, 2008:34).

The State Housing Corporation (SHC), the Tema Development Corporation (TDC) and the State Construction Company (SCC) were all tasked with the construction of about 2000 low-cost dwellings in all the regional capitals in Ghana (Sarfoh, 2010:17; Agyapong, 1990:13). The houses were initially rented out, but due to rent control policies, market-

related rentals were not charged, leading to huge losses (Tipple, 1994:34). Consequently, the capital base of the corporations was depleted, which led to the discontinuation of the social housing programmes. The large tracts of government land that had been acquired for these housing projects were then sold out to private developers. The houses were acquired by high- to middle-income households, where low-income households could not afford to purchase them. The locations of these estate houses became attractive after a period of time inviting "raiding" or gentrification by the higher income groups, since the lower income groups could not afford to purchase them (Tipple, 1994; Mabogunje et al., 1978:56). In 2010, the Social Security and National Insurance Trust disposed of 750 two-bedroom housing units for about 25,000 citizens in Ghana (Ghana News Agency, 2010:2).

After the failure of the site and services approach to housing provision in the 1970s, international institutions, including the World Bank, advocated for a shift in housing policy in Ghana and other developing countries. Governments were encouraged by the Bank to adopt an "enabling environment" approach by facilitating housing provision by the private sector and avoiding interventionist provision of public housing by the state (UN Habitat, 2005:18; Harris, 2003:22; Keivani & Werna, 2001:12). Luginaah et al. (2010:56) mentions five neo-liberal housing policy changes in Ghana including:

- Withdrawal of government from direct housing production and financing;
- Stimulating growth of the real estate sector (that is the private sector);
- Liberalising land markets and the building materials industry;
- Encouraging the formal private sector to construct rental housing units; and
- Reforming housing institutions.

The objectives of the policy reforms were to open the housing sector to competition, improve efficiency in housing finance systems, and increase housing supply through commercial development, foreign investment, and self-building. Through this approach,

it was anticipated that the formal private housing markets would work more efficiently and produce affordable housing.

The establishment of the Home Finance Company (HFC) in 1990 was to generate secondary mortgage funds to be accessed by middle to higher income households in order to promote home ownership. By the year 2000, approximately 2000 housing units out of the anticipated 4100 units were disbursed through mortgage funding (World Bank, 2000:34). As usual, the low-income households were not included in the system, since the government's urban low-income housing finance has a high non-cost recovery component, and the government was not in a position to carry the burden of heavy subsidies (World Bank, 2002:25).

The number of mortgages disbursed over the years has decreased from 2402 mortgages in 2001 to 1595 in 2006 (Bank of Ghana, 2007:23). When the New Patriotic Party (NPP) government took over from the National Democratic Congress (NDC) in 2000, the "Vision 2020" was replaced with the "Ghana Poverty Reduction Strategy I (GPRS)" in 2001. This policy existed to address the provision of affordable low-cost houses through labour-intensive methods. Site and services land projects were also to be developed along the urban fringes for low-cost housing. This was to be led by the private sector, while the government provided the necessary support with regards to basic infrastructure provision (National Development Planning Commission, 2002:23).

As part of the GPRS I programme, slums were to be upgraded. However, constraints such as inadequate housing finance, costly and cumbersome land markets, lack of adequate physical planning and infrastructure, and costly building materials, design, and construction hampered housing delivery efforts (Acquaah-Harrison, 2004:10). The 2009 draft Housing Policy identified three major changes that needed to be implemented:

- Encourage the formal sector to serve a much larger segment of the income distribution, build and finance housing for households with average incomes through inducements, find public sector housing solutions targeting households with incomes below average as a complement to informal individual housing provision, and encourage community based organisations and nongovernmental organisations to provide quality housing for low income earners.

- The draft 2009 National Housing Policy is guiding the production of housing in Ghana.

- The policy sought to address urban housing development in Ghana through consideration and/or implementation of the following: land cost and accessibility, lack of access to credit, high cost of building materials, lack of effective regulatory and monitoring mechanisms, research and development, institutional coordination, governance of housing provision, environment and housing and energy and housing.

- Land cost and accessibility; lack of access to credit; high cost of building materials; lack of effective regulatory and monitoring mechanisms; research and development; institutional coordination; governance of housing provision; environment and housing; energy and housing.

The aims of the housing policy include: firstly, to facilitate access to land for the low-income population to pave the way for an increase in housing stock through their own efforts and also to assemble and allocate land so as to reduce overcrowding in slums and informal settlements and provide for new household formation; and second, to establish a sustainable housing process, which will eventually enable all Ghanaians to obtain housing with secure tenure, within a safe and healthy environment and in viable communities in a manner that will make a positive contribution to a democratic and integrated society, within the shortest possible time frame.

Under the overall aims, the specific objectives of the policy are:

- to accelerate home improvement and the upgrading and transformation of existing housing stock;

- to improve the environment of human settlements with a view to raising the quality of life through the provision of good drinking water, sanitation, and other basic services;

- to make housing programmes more accessible to the poor;

- to promote greater private sector participation in housing delivery by creating an enabling environment through the elimination of constraints and improving access to resource inputs;

- to create an environment conducive to investment in housing for rental purposes; and

- to promote orderly consolidated urban growth with acceptable minimum provision of physical and social infrastructure.

These aims and objectives are guided by the following principles: housing as a basic human right; the role of government;, people-centred development; freedom of choice; urban and rural balance; sustainability and fiscal affordability; consumer protection; and education and accountability and monitoring.

3.3 ROLES AND RESPONSIBILITIES OF KEY INSTITUTIONS OF THE HOUSING SECTOR IN GHANA

The Ghana Approved National Housing Policy (2015) identified several institutions as key players in the provision of housing in Ghana. Information about each key player is presented in the sections below.

3.3.1   The ministry of water resources, works and housing

According to the National Housing Policy (2015), the Ministry of Water Resources, Works and Housing (MWRW&H) performs the following major functions:

- formulates and implements the National Housing Policy and its action plan;
- designs mechanisms for monitoring and evaluation of the National Housing Policy;
- undertakes periodic reviews of the implementation of the policy and action plan in collaboration with other stakeholders;
- conducts periodic socio-economic research as well as housing needs assessments for future programme and project developments in housing;
- promotes the design and development of new low income housing schemes in urban and rural areas;
- facilitates access to land acquisition from traditional leaders, families and the state, etc.;
- collaborates with other partners in the research and development of local building materials and construction technologies and promotes the usage thereof;
- facilitates access to finance and credit for housing development;
- establishes and maintains a comprehensive database on sources of raw materials and building materials production;
- promotes the development of technologies appropriate to available raw materials and local socio-economic conditions;
- promotes the development of production manuals and design guides to enhance widespread production and use of local building materials;
- promotes information exchange and dissemination among metropolitan, municipal and district assemblies (MMDAs) in the country. Similarly, establishes linkages with

relevant external institutions and agencies for information exchange on suitable technologies; and

- assists in the mobilisation of credit for the development of alternative building materials and promotes the usage thereof.

3.3.2   Regional coordinating councils

The Regional Coordinating Councils (RCCs) of the various Regional Administrations in Ghana have a critical role to play in ensuring effective and sustained housing delivery. In support of the housing policy, they are expected to set performance parameters within the context of the national development framework. They are also charged with the responsibility of aggregating local projections of housing needs into regional housing supply goals and transmitting the same into the national housing supply goals. The RCCs are also responsible for:

- coordinating and monitoring district housing policy (within broad national guidelines), in as far as it relates to minimum housing norms and standards in the Region;
- development of priorities and programmes;
- urban and rural development;
- land identification and planning within the Region including performance criteria urban spatial restructuring; and
- rural settlement restructuring (The National Development Commission, 1994:45).

3.3.3   Town and country planning department

The Town and Country Planning Department (TCPD) is one of the decentralised departments under the MMDAs and a key agent in the land delivery and development process. At the national level, the TCPD assists the NDPC and the MWRW&H in

formulating guidelines and approaches for the implementation of programmes and projects in housing development and allocation. Furthermore, the TCPD advises the key stakeholders on land use planning issues for housing programmes and projects.

3.3.4 Lands commission

The Lands Commission supports the NDPC, MWRW&H and the TCPD to implement the National Housing Policy, with expert advice on issues of land acquisition and management. The advice of the Lands Commission is directed towards national level stakeholders as well as MMDA level stakeholders (through the offices of the Regional Lands Commission) (National Housing Policy, 2015).

3.3.5 Community participation

The formation of co-operatives and the strengthening of existing neighbourhood and community-based associations is promoted and facilitated at the local level. Users organise themselves into groups, which must agree on the technology, financing and implementation of housing programmes and accept responsibility for operation, maintenance and repairs, as well as for repayment of loans, if any. Managerial skills of individuals and households to promote access to services and amenities is provided by public agencies and local authorities are developed. Local authorities facilitate access to soft loans to the member-associations and train them in planning, management, operation and maintenance. Members pay monthly fees, which earn interest for the associations, generating new funds for loans (National Housing Policy, 2015).

3.3.6   Private sector participation

The government intends to work with private developers to build new housing for rental as well as for private sale and rental to various income groups in Accra. The MWRW&H has designed policies aimed at improving the delivery inputs. Resources for housing development such as land, finance, building materials and labour are some of the targeted inputs being made available for real estate developers.

The government has put in place some measures to encourage and promote private sector participation in housing delivery, particularly in the rental sector to ease the pressure on house ownership Amoatey et al. (2015:200). The National Housing Policy in Ghana encourages the direct participation of the private sector in financing, construction and research for both public and private sector institutions and agencies. While this will help to provide needed support for building research institutions to respond to urgent needs of the building materials industry, such arrangements would also ensure that the contracting agencies receive timely assistance that would enhance the viability of their operations.

The GREDA has been set up to assist in the development of real estate services. However, only a few of the operators in the industry are professionals and this does not inspire confidence. To professionalise and strengthen the industry, GREDA, in collaboration with the MWRW&H, the Ghana Institution of Surveyors and the College of Architecture and Planning of the Kwame Nkrumah University of Science and Technology (KNUST) jointly prepare curricula covering proficiency training, skills-based short courses, as well as access and orientation programmes for practicing developers and estate agents. These programmes will be mandatory in order to ensure that practicing developers and estate agents are eligible to continue practicing in the shortest possible

time, in conformity with the requirements of the Real Estate Authority Bill. The set of incentives previously provided to estate developers did not adequately promote affordable or low-income housing. The five-year blanket tax holiday granted to new estate developers led to more upper-income than lower-income housing.

The Ghanaian National Housing Policy of 2015 created a conducive environment for use of public private partnerships (PPPs) as a suitable alternative project delivery approach for governments to successfully meet their needs. According to Kwofie, Afram, and Botchway (2016:58), PPPs are considered very useful for the delivery of public sector infrastructure, and they exploit private sector skills in management, operations, and innovation, based on an equitable sharing of project-related risks. It is against this backdrop that the Government of Ghana adopted the PPPs model for public housing delivery, and it is of prime significance to stakeholders in the housing industry. The focus on private sector participation in the housing sector is mainly due to the numerous failures in previous government housing projects that have led to a lack of addition to the national housing stock by government, which has resulted in a huge housing deficit (Kwofie et al., 2016:59).

The central government in Ghana has accepted PPPs as the only alternative approach to deliver affordable housing for the growing population. Even though the commencement of the adoption of the PPPs model in public infrastructure and housing delivery in Ghana is not well-documented, several of the PPPs housing projects that have been initiated by the government have been unsuccessful, while other proposed ones have not seen the light of day. Kwofie et al. (2016:59) note that Ghana has historical antecedents of several failures in housing projects delivered by the governments with cost overruns, failure to meet project goals, managerial ineffectiveness, unaffordable housing units, and poor-quality project outcomes as common symptoms. With initial PPPs in Ghana registering diverse failures and lack of success benchmark factors, there is an urgent need to develop

an appropriate success model that reveals the factors to engender success of PPPs in Ghana (Kwofie et al., 2016:60).

3.3.7   Traditional authorities

Traditional Authorities are expected to play a key role in furthering the objectives of the housing policy. As custodians of stool lands, it is envisaged that they will facilitate land delivery for housing, through proper record keeping. They are also expected to cooperate in the proper implementation of planning schemes by allocation of land in accordance with approved plans. It is held that Traditional Authorities commit to the social/affordable housing delivery agenda of Government by donating land appropriately (National Housing Policy, 2015).

3.3.8   Financial institutions

There are a number of actors involved in financing services for housing, ranging from regulation of the housing finance sector, mobilisation of funds, supply of credit, guarantees of loans, to those requiring funds to build or maintain homes (construction finance), to own (mortgage loans), to rent (short term bridge loans for rent) or to furnish homes (consumer loans). Government ought to collaborate with all the interest groups and the National Housing Policy (2015) identified the following financial institutions to provide financial support in the implementation of the housing policy:

- Bank of Ghana;
- Ministry of Finance;
- Commercial Banks and Mortgage Finance Companies;
- Insurance Agencies;
- Public Servants Housing Loan Scheme Board;

- Ghana Housing Finance Association; and

- Ghana Microfinance Network.

3.3.9 National development planning commission

The National Development Planning Commission (NDPC) Act (No. 480 of 1994), mandates the NDPC to regulate the national development planning system through guidelines and legislative instruments. The NDPC is also charged to coordinate development planning in the country and request ministries, sector agencies and MMDAs to prepare development plans for its approval. The role and responsibility of the NDPC is to mainstream housing in the national development planning process. It is also to guide the MWRW&H, its sector agencies and MMDAs to implement housing policies and strategies (The National Development Commission, 1994).

3.3.10 Metropolitan, municipal, and district assemblies

The physical processes of planning and housing are very much a local community activity. As principal actors at the local level, MMDAs already have sub-committees for infrastructure and social services that could form the basis for a District housing subcommittee. However, no department within the MMDAs has direct responsibility for housing apart from the passive function of land use planning and development control. The MMDAs will undertake several housing functions as part of activities in the preparation of their respective Medium-Term Development Plans (MTDP) (The National Development Commission, 1994). This includes setting MMDA level housing supply goals and integrating housing into local economic development initiatives.

In order to meet their objectives, MMDAs are expected to be proactive in identifying and designing land for housing purposes and in planning and regulating land use and development in areas under their jurisdiction in conformity with national standards. Furthermore, MMDAs regulate safety and health standards in housing provision and support the creation and maintenance of a public environment conducive to viable development and healthy communities. In addition, MMDAs are also responsible for initiating welfare/social housing, providing community and recreational facilities in residential areas and promoting community mobilisation for housing delivery (The National Development Commission, 1994).

In summarising the housing provision in the Republic of Ghana, it can be noted that the development of every nation rest on good housing condition for its citizens and there have been a number of policies, plans and strategies to fast-track the delivery of housing in Ghana. Over the years, there has been a direct approach by successive governments in housing provision in the country. Although the rental market is a viable option in terms of housing supply, the government of Ghana's longstanding main policy focus had been on home ownership.

Rental housing is on the rise, and no explicit policies exist to recognise rental housing as a credible tenure option. In Ghana, the formal rental market is generally of poor quality and not properly regulated by an act of parliament. Basic infrastructural facilities are either non-existent or inadequate. Landlords in the informal sub-sector operate outside the legal regime because of housing shortages, and evictions are rampant. However, these private sector informal landlords have contributed to curbing the housing deficit. This market is yet to receive needed attention from policymakers.

3.4 HOUSING PROVISION IN BRAZIL

Until the 1930s – an era usually identified as the initial stage of industrialisation and the national developmental regime – interventions in the housing sector in Brazil were ad hoc and characterised by an emphasis on legal approaches and investments in sanitation and public health. In its populist stage (associated with the Vargas administration), the state initiated direct investments in public housing, particularly through pension funds, but the scale of these operations was rather limited (Denaldi, 2013:41).

Getúlio Dornelles Vargas served as President of Brazil for two periods: the first was from 1930 to 1945, when he served as interim president from 1930 to 1934, constitutional president from 1934 to 1937, and then as dictator from 1937 to 1945. After being overthrown in a 1945 coup, Vargas returned to power as the democratically elected president in 1951, serving until his suicide in 1954. He favoured nationalism, industrialisation, centralisation, social welfare, and populism. Successive administrations continued to place a low priority on low-income housing, and it is was not uncommon to see massive eradication of slums and substandard housing (Denaldi, 2013:42).

3.4.1 The role of government in housing provision

The history of public housing in Brazil started in the late 1960s, with the construction of a new harbour for an oil terminal. Administrative buildings and pipelines in the Sao Paulo metropolitan region attracted workers who in turn required suitable housing. Between 1967 and 1981, a number of housing cooperatives were formed and received loans from the National Housing Bank (NHB) for the construction of 300 residential units in the central area. Later, between 1986 and 1988, the municipality promoted and managed a self-help housing programme that produced 24 residential units for city

employees. Between 1988 and 1996, there were two main public housing initiatives in São Sebastião. One of these initiatives was led by a state government housing agency that built 181 units. The other, an initiative of the local government, built 176 units through a partnership with the union of local public employees.

The Housing Finance System (HFS), tightly regulated by the NHB, was introduced in 1964. The HFS encompassed a market-oriented development sector, in which savings deposits made by households provided mortgages for middle-income buyers with interest rates defined by the central government. In addition, a social sector used compulsory savings (deposits made by employers on behalf of employees) to develop lower-income housing projects, most of them managed by municipal government-controlled housing cooperatives. Owing to poor coordination, the agencies managing the HFS system sapped mortgage lending and construction finance (Sanfelici and Halbert, 2016:1471).

The NHB was closed by the federal government of Brazil in 1986. The decision affected housing production, which has since become a real challenge for all levels of government. An enormous gap has been opened up between public policies and the actual housing provision, which has decreased to an almost insignificant level. Finally, there is another key aspect that has impacted the housing provision and that is land tenure and the need for public policies to regulate it.

In many Brazilian cities, regulating land tenure together with upgrading existing irregular settlements are fundamental goals in housing policies, particularly in dealing with "favelas" (informal settlements). In Brazil, favelas have been the focus of on-field-based research that brings together academics, architects, humanitarians, and communities, to focus on housing inequality and community efforts to improve living conditions (Martins and Rocha, 2019:277). According to Ren (2018:80), Brazil's policies towards informal housing are comparatively more progressive, with an emphasis on upgrading

infrastructure, providing social services, and better integrating the favelas with the rest of the city.

The extinction of the NHB, together with the crisis in the housing finance system (based on compulsory wage contributions ,which reduced significantly in light of the chronic economic crisis of the 1980s) as well as institutional fragmentation, led to a gradual withdrawal of the national government from the housing and urban development sector, both in terms of maintaining the level of public housing production and the overall reorganisation and redesign of housing policies. In fact, the 1990s witnessed an increasingly localised and fragmented pattern of low-income housing policies (Denaldi, 2013:42).

It is interesting to note that this state of affairs created a vacuum wherein resource allocation by the federal government was taken up by the municipalities, and state governments increasingly took up the organisation, management, and finance of housing policies.

3.4.2 Roles and responsibilities of key institutions in the housing sector of Brazil

Sections 3.4.2.1 to 3.4.2.8 present and discuss key players in the Brazilian housing sector, outlining their roles and responsibilities. These actors implement the housing system in Brazil and focus on providing housing for low income households. The key players are mainly government departments, government entities involved in housing policies, finance mechanisms and subsidies, institutional frameworks and definition of the whole intergovernmental relations and institutional arrangement in the provision of low-cost housing in Brazil.

3.4.2.1   Federal government

In Brazil, the Federal Government is the main actor in the planning and implementation of public policies. In institutional terms, the Government, through the executive, disciplines and controls the main housing funds (the Brazilian Savings and Loans Systems and the Workers Severance Fund). It also traces the guidelines of the national policy, defines subsidies allocated to housing from the federal budget, is responsible for promoting housing provision in Brazil, and performs an active role in the provision of finance for housing, basic sanitation and urban infrastructure, including projects in the area of transportation and energy (Denaldi, 2013:42).

During the years of the Da Silva administration (2003 to 2010), a significant rolling out and re-regulation of state spatial policies took place, whereby the housing and urban development sector also went through a process of re-organisation and institutional reinforcement. For the first time since the national developmental regime and the performance of the NHB, public financial investments were being improved again. In relation to the institutional strengthening and increased democratisation of urban development and housing policies, the Ministry for Cities was created in 2003. The Ministry of Cities centralised directories for housing, basic sanitation, public transportation, and mobility and territorial planning. At the same time, tripartite councils were created involving the local, regional and national levels, and increasing the extent of participation and social control. In 2005, the National Housing Policy and Housing System were approved, followed by a first version of the National Housing Plan. The National Housing System was designed as an instrument to mobilise the stakeholders and territorial scales of power in the federation (local, state, and federal).

According to Sanfelici and Halbert (2016:1474), the National Housing Plan introduced mixed-use projects that usually grouped office, residential, and retail functions on a single

plot of land. The spread of such projects has transformed the geographies of housing, especially in large cities. Whereas new developments had generally been concentrated in inner city, higher-income neighbourhoods throughout the 1990s and much of the 2000s, they now spring up more and more outside this core area. Because they require larger and cheaper land plots to exploit economies of scale, lower-income projects have generally been provided on the outskirts of urban areas, contributing to urban sprawl in cities that lack efficient transit systems.

3.4.2.2   The Ministry of Cities

The Ministry of Cities, through the National Housing Secretariat (NHS), is the government body responsible for elaborating guidelines, setting priorities and defining the strategy for the implementation of the National Housing Policy. The overall National Housing Policy framework was subdivided into two complementary systems i.e., the National System for Low-Income Housing (NSLIH), targeted at low-income segments (earning up to five minimum salaries), and a National System for Market Housing (NSMH), aimed at providing solutions for higher income segments that could be attended by the market (Denaldi, 2013:42).

The NHS is also responsible for the general management, monitoring and evaluation of policies and programmes, articulated with other public policies and government institutions in charge of urban development. The Ministry of Cities and the NHS develop and coordinate the activities of technical support to federal entities and productive sectors. They also invest in the design and promotion of mechanisms for participation and social control of housing programmes. According to Denaldi (2013:23), it is the responsibility of the Ministry of Cities to register all municipalities and ensure that they have adopted the NSLIH. The Ministry of Cities must receive confirmation that the municipality has created a Local Housing Fund and has completed a local plan for low-

income housing. The Ministry of Cities was created on January 1, 2003. On January 1, 2019 President Jair Bolsonaro had it merged with the Ministry of National Integration to form the Ministry of Regional Development, led by Minister Gustavo Canuto.

3.4.2.3   Tripartite councils

The decision-making processes within the Ministry of Cities with regards to national and urban development policies counts on the participation of deliberative councils. The main one is the Tripartite Council created in 2004. This council represents an important instrument of democratic management of the National Urban Development Policy. The Tripartite Council is an instance of negotiation where social actors participate in decision-making on housing policies, environmental issues, sanitation, transport and urban mobility, as well as territorial planning which the Ministry of Cities implements. The Tripartite Council is composed of 86 representatives and has deliberative and consultative roles in the development and proposition of guidelines for urban and housing policies, as well as in the monitoring of the implementation of urban and housing programmes. The tripartite councils were created to involve the local, regional and national levels, increasing the extent of participation and social control in the provision of housing for low income earners in Brazil (Denaldi, 2013:44).

3.4.2.4   The national housing fund

The National Housing Fund (NHF) is the main operator in Brazil's housing finance system. Since the dissolution of the NHB, this government-owned bank is the trustee in allocating the government budget and other funds for the implementation of public policies and the allocation of money to the final beneficiaries. The NHF operates, almost singlehandedly, the social housing provision market, controlling 73 per cent of the housing credit in the country. The NHF can distribute resources nationwide through its extensive branch

network, it is present in all of Brazil's cities. The NHS was established to allocate financial resources in line with the guidelines of national policy (Denaldi, 2013:44).

3.4.2.5 States and municipalities

States and municipalities are subordinate to the federal government in terms of availability of resources. Very few states have their own budgets for housing. Municipalities are responsible for the management of social programmes, including housing, which they can undertake either on their own initiative or by joining a programme offered by another level of government, or by constitutional imposition. Municipalities are legally responsible for urban land use, and the implementation of housing policies at the local level.

Master plans and local housing plans are the mechanisms that local administrations can apply to guide urban development as well as use of land and housing interventions at the local level (United Nations Human Settlements, 2013:44). Municipalities are responsible for the implementation of the National Housing Policy and the Housing Plan at the local level. Municipalities are obliged to elaborate local or state plans on low-income housing, linked to councils and funds that would count with participation from housing and social movements in line with the requirements of the NHF (Denaldi, 2013:44). Under the new National Housing Plan, municipalities and state governments increasingly took up the organisation, management, and financing of housing policies (Denaldi, 2013:42).

3.4.2.6   Social movements

Social movements (non-governmental and community-based organisations) have been at the forefront of the urban reform movement and have played an opposing role to the market-oriented rationale on urban and housing development. In Brazil, social movements also undertake housing provision. Specific credit lines and Government programmes are directed at socially oriented housing provision, which can be realised through mutual aid, self-construction, or self-management systems of construction.

The National Movement for Urban Reform, participating in the National Forum on Urban Reform, performed a key role in the approval of the City Statute (Law 10.257 of July 2001). The City Statute not only defines the possibility of a series of instruments that increase the leverage of local governments over speculative real estate markets, but also requires that these plans are elaborated through participatory procedures. It represents a remarkable and formalised break away from a long legacy of top-down and technocratic planning. Among others, it defines instruments such as special low-income zoning associated with the provision of social housing, compulsory use of vacant land linked to progressive taxes, and public appropriation of private land, and development exactions to be used in the infrastructure provision within slum upgrading programmes.

Martins and Rocha (2019:276) present a case study of a Non-Governmental Organisation (NGO) called Soluções Urbanas (Urban Solutions) that used innovative methods and solutions to address informal settlement upgrading and housing improvement works related to disaster risk reduction, including community mapping and design. Through their innovation they ended up building community resilience. This NGO assisted about four hundred families residing in a favela (slum) located in a hilly and landslide-prone area on the periphery of the satellite-city of Niteroi. The NGO provided these families with urban and housing services, related to public health, mobility and safety and also

supported the householders in micro-credit, solidarity economy and empowerment in building techniques (Martins and Rocha, 2019:276).

3.4.2.7　Private sector

Along with the Government, the construction sector plays a central role in housing policy implementation. It is recognised in the scope of the National Housing Policy that the contribution of private investment, capable of securing the attendance of solvable demand in market conditions, is essential. In recent years, private sector participation has been more emphatic, and this trend is also catering for income groups which were historically served only by public resources.

According to Denaldi (2013:51), there is interdependency between real estate and finance, moulded by subsidised housing finance, and housing policies that delegate responsibilities to private sector agents in the provision of housing opportunities in Brazil. This tendency ought to be seen in the light of a long tradition, where part of the regulatory and financial leverage of interventions was captured by the private sector and medium income segments. Denaldi (2013:47) argues that participation by the private sector in the delivery of subsidised low-cost housing is characterised by increased macroeconomic growth and availability of housing finance. This creates a paradox, where systemic increases in the real estate prices are combined with impressive statistics.

3.4.2.8　Decentralised entities

Represented associations, trade unions and cooperatives have also participated actively in the housing sector through developing studies and evaluations, supporting the elaboration of policy, and monitoring the impact of government action in the housing sector and in the construction industry as a whole (Denaldi, 2013:48).

3.5 HOUSING PROVISION IN SINGAPORE

In almost all developing countries, housing the urban poor in suitable conditions is an uphill battle. The lack of access to housing is one of the most serious and widespread consequences of poverty in Asian countries and Singapore is one of them (Yuen, 2007:1). Byrnes (2015:2) indicates that the government of Singapore has, after World War Two, attempted to implement housing programmes in order to house their urban poor and to improve living conditions for the city's lower and middle-income classes. However, such programmes have usually met with failure or only limited success. Rapidly urbanising emerging markets with mass housing programmes have experienced relatively strong economic growth, such as in Singapore (Feather, 2019:910). Efforts by the government of Singapore to improve the quality of life of its citizens were negated by rapidly deteriorating housing conditions in the slum and squatter areas and lack of substantial government spending (Yeun, 2015:02). The implementation of state housing has been hampered by a lack of appropriate planning and land policies. According to Yeun (2007:7) without land, there would be no housing.

A general problem in Asian countries is the implementation of city planning strategies and urban management policies. However, Singapore has been a notable exception to this rule. Singapore has been able to implement city-planning and urban-management policies that actually benefit the poor, and its housing programme has been successful and admired for producing low-cost, affordable housing on a mass scale. Its present-day situation, however, evolved out of the same problems and conditions that still blight other developing countries today (Bin & Naidu, 2014:23).

3.5.1 The history of public housing in Singapore

During the colonial period, Singapore's housing was concentrated in ethnic-based districts within the city centre, around the Singapore River. Housing in these enclaves primarily took the form of shop houses, where multiple families lived in confined, often dangerous and unsanitary spaces. Housing on the outskirts was comprised of traditional village communities with farmland and the large estates of wealthy Europeans and locals (Bin & Naidu, 2014:14). Arguably, the greatest potential legitimacy that can be gained by a government is through direct provision of housing because its efforts and results are most visible (Chua, 1997:56).

After World War Two, housing conditions in Singapore were largely characterised by overcrowding, dilapidation, poor sanitation facilities, and inadequate infrastructure. Under British colonial rule, Singapore had its first public housing initiative, the Singapore Improvement Trust (SIT). This initiative ultimately failed to better integrate the city's neighbourhoods or put a dent in its housing shortage (Byrnes, 2015:13). In 1918, the colonial government set up a housing commission to review living conditions in the central area of Singapore.

Following a recommendation of the housing commission to set up an improvement commission, the SIT was conceived in 1924. However, the body was only constituted in 1927 after the Singapore Improvement Ordinance was passed. The objective of the SIT was to provide for the improvement of the town, the island, and Singapore. Initially, the SIT was not given the authority to build housing for the general populace, except for those left homeless by its improvement schemes.

It was only in 1932 that the SIT was given more power to undertake building projects to accommodate the rapidly growing population. One of its earliest projects was a housing estate, which is regarded as the first public housing estate of Singapore. However, the SIT's building efforts were far from adequate to meet the needs of the fast-growing population as the housing situation worsened, especially after World War Two. By the time Singapore attained self-government in 1959, the housing shortage and its related problems, such as overcrowding and squatter colonies, had reached alarming proportions.

Public housing for the lower-income groups was thus given top priority and a Housing Development Board (HDB) was set up in 1960 to replace the SIT. Compared with the cramped and unhygienic living conditions in shop houses and squatter areas, flats built by the HDB seemed luxurious and they were spacious and equipped with basic services such as electricity, flush toilets, and piped water. By the end of 2019, more than half of the local population were living in HDB flats.

3.5.2 Roles and responsibilities of key institutions in the housing sector of Singapore

Public housing in Singapore generally comprises high-density, high-rise developments, mostly located in suburban areas. The majority of public housing estates are self-contained communities with not only the essential facilities to meet the residents' basic needs but also various community amenities such as schools and recreational facilities. The main actors in the provision of public housing in Singapore are the Ministry of National Development, Housing and Development and Town Councils.

3.5.3 The Ministry of National Development

The Ministry of National Development directs the formulation and implementation of policies related to land-use planning and infrastructure development. The Ministry's aim is to enhance Singaporeans' sense of belonging through provision of quality and affordable homes, community bonding, development of green spaces and recreational infrastructure, and creation and retention of identity markers. The Ministry's responsibilities include planning and management of land resources and promotion of the construction, real estate and agro-technology industries. The Ministry is responsible for providing lower-income and middle-income housing and related facilities and estate management services. The Ministry is also responsible for fixing sale and rental prices of the housing units developed by the HDB.

The Housing Division is located in the Ministry and works closely with the HDB to plan and develop public housing towns that provide Singaporeans with affordable homes. The division's aims include community cohesion (by providing community spaces for interaction) and policies that support social objectives, such as racial harmony and stronger family ties. The Housing Division is responsible for policies on home ownership, public rental housing for low income families and the rejuvenation of older estates, amongst others. Despite the merits of enabling strategies and policies, the government of Singapore established the HDB to spearhead a state-led residential construction initiative to jump start housing delivery and promote economic benefits commonly associated with the sector (Feather, 2019: 910).

3.5.4 Housing and development board

The HDB was set up in 1960 as a statutory board within the Ministry of National Development (MND), Singapore, under the Housing and Development Act of 1997

(revised edition). The HDB was established to meet the housing needs of households, with its intended core mission of providing affordable basic housing in the form of subsidised HDB flats. The HDB is exempted from local taxation under Section13(e) of the Income Tax Act (Cap 134, 1999 revised edition), and is committed to good corporate governance, self-regulating and monitoring mechanisms like monthly reporting of the HDB's performance, proper accounting records, internal audit and the annual financial audit that is reported to the MND. Interim and full-year financial results are reported by the HDB and disseminated to the public.

Government grants are received by the HDB to cover fully its annual operating deficit. The HDB holds a 75 percent stake in Estate Management Services PTA Ltd, one of its subsidiary companies. It is currently the largest management agent for public housing in Singapore and it offers estate management, engineering services, contract administration, and project management services to town councils (Kim Hin Ho and Chi Man Hui, 2008:153).

The HDB was established by the government to address housing shortages for all Singaporeans (Lim, Leong and Suliman, 2019:49). Quah (2018:18) mentions that the HDB was established as a statutory board to solve the housing shortage by providing low-cost public housing for Singaporeans. Under its corporate charter, the HDB is vested with the responsibility for the building of homes for the people, clearance of land required for redevelopment, resettlement of families affected by clearance schemes, provision of loans for purchase of flats, and the management of both rental and sold properties. The HDB's key priority is to ensure that it meets the needs and changing circumstances of the growing aspirations of the population (Low Sui Pheng, Xiaopeng and Lye, 2012:8).

The HDB's effective public housing programme has resulted in the building of 1,129,236 flats from its inception in February 1960 to December 2016 (Quah, 2018:19). This figure

translates into an increase in proportion of the population living in public housing in Singapore from nine to 82 percent during the period from 1960 to 2016. In order for the HDB to perform its role of implementing a massive public housing programme, the Singapore government supports the public housing programme through financial assistance and legislative reform (Chin, 2004:12).

Financial aid takes the form of government grants and loans, such as housing development loans, that cover development programmes and operations (Low Sui Pheng et al., 2012:12). The government provides the financial assistance for public housing development. Legislative support was provided with the passing of the Land Acquisition Act in 1967, which allows the authorities to compulsorily acquire private land for public housing or other development programmes. This Act, together with sensitive resettlement policies, has enabled the HDB to clear squatter and slum areas smoothly and resettle people in modern public housing estates (Chin, 2004:23).

The year 1964 marked another milestone in public housing development in Singapore when the HDB introduced the Home Ownership Scheme (HOS) to help people own flats. The HOS not only provides citizens with a stake in the country, but also a means of financial security and a hedge against inflation and rising rents. Initially, the scheme experienced a slow start. Four years later, the availability of the Central Provident Fund (CPF), a form of social security, further contributed to the popularity of public housing. Here, applicants could use their CPF to cover the down payments and monthly repayments of their HDB flats. This gave a tremendous boost to the public homeownership scheme. By early late 2018 more than 90 percent of the population had already been housed in HDB flats. By March 2018, 95 percent of public flats were owner-occupied. The government encourages ownership of public flats by providing concessionary home loans and housing grants, and by allowing CPF savings to be used to finance home purchases, subject to certain conditions. These incentives are available

for purchase of both new and resale flats. In addition, new flats offered directly by the HDB are sold at subsidised prices. However, only those who meet HDB's eligibility criteria are allowed to buy public flats, including new units sold by private developers. In 1981, this scheme was extended to private residential properties under the Residential Properties Scheme. In 1982, to protect members and their families against losing their HDB flat in the event of death, terminal illness or total permanent disability, the Housing Protection Scheme was introduced.

The 1980s was marked by rapid construction and crystallisation of a "comprehensive town planning" approach. New HDB towns are planned to be self-sufficient with commercial, recreational, institutional and other facilities to cater for the daily needs of the multi-ethnic population. Each new town includes a town centre, neighbourhood centers, bus interchanges, schools, sports complexes, landscaped parks and employment centres, such as factories. Each neighbourhood is self-sufficient in terms of open spaces, playgrounds, landscaping elements, and surface car parks.

In the 1980s, greater emphasis was placed on providing a quality living environment. The "precinct concept" was introduced to foster residents' identity with their neighbourhood and to promote social interaction. The precincts, comprising 400 to 600 dwelling units, were equipped with a landscaped open space for communal and recreational use. The precincts were linked to one another by landscaped pedestrian paths to form neighbourhoods. The aim was to create a "Total Living Environment" to meet residents' needs for a quality living environment, recreation, and accessibility to facilities. According to Travis Lim (2019:3), the HDB estate is a microcosm of modern Singapore, where people from different racial, religious, and socio-economic backgrounds meet and socialise. The housing market is tightly regulated by the State, and there is a strong political resolve to inject racial diversity into neighbourhoods in

order to encourage social mixing. Over 80 percent of housing in Singapore has been built by the government for the masses (Housing and Development Board, 2019:3).

The 1990s saw increased emphasis on creating a quality and picturesque environment, as well as a strong visual identity for the precinct, neighbourhood and town. Landmark buildings, landscaping, open spaces, special architectural features and finishes helped to achieve a sense of identity and territorial exclusivity. Special attention was also given to the preservation of natural landscape features such as hills and rivers. The HDB is responsible for all aspects of the public housing programme. The HDB has been given extensive powers with respect to land acquisition, resettlement, town planning, architectural design, engineering work, and building-material production.

The HDB is not merely a provider of low-cost housing, it also manages its estates and provides commercial and industrial premises as well as recreational, religious, and social facilities in its housing estates. The HDB also undertakes other projects such as land reclamation. A typical new town built by the HDB is planned to cater for all needs. Transportation is coordinated with the Public Works Department, bus companies and the Singapore Mass Rapid Transit. Easy access to commercial, industrial, institutional and recreational facilities is taken into consideration and provided for.

3.5.5 Town councils

The revised Town Councils Act of 2000 sets out the mission of the various town councils, which is to provide a high-quality physical living environment for the residents. As such, the core functions of town councils typically consist of estate improvement and maintenance, finance and investments, tenders and contracts, and community relations (Low Sui Pheng et al., 2012:15). The town councils were set up to manage the estates with the main purpose of giving Singaporeans the chance to participate in the day-to-

day running of their estates, and to have a say in the kind of environment in which they wish to live.

The town councils play an integral role in engaging residents in decision-making. The idea of town councils, which function very much like mini governments, is not a new one. Other countries, such as France and Britain, have local councils, which run villages, towns and cities. In Singapore, this represented a big change in thinking since previously the housing authority had made practically all the decisions about everything. Under the decentralised system, each town council has the freedom to make decisions at the constituency level and to employ their own workers or appoint a management agent to run their town. In this way, residents' needs can be met on the ground quickly. More importantly, the residents are given an opportunity to decide for themselves the kind of environment they want to live in and to create a distinct identity for their own estate.

The number of public housing units managed by town councils varies with the number of constituencies. Therefore, each town council can oversee at least one constituency or more. Town councils, made up of a cluster of constituencies or Group Representative Constituencies (GRCs), can reap the advantages derived from economics of scale by sharing facilities and resources. Each town council is chaired by a Member of Parliament, who has the power to appoint six up to a maximum of 30 members, of which two-thirds must be residents of public housing estates. These town councillors may represent various professions such as architecture, engineering, law, business, and others.

When first introduced, town councils were a fairly new concept. There were concerns about the extent of their powers in relation to decision and policy making, as well as their role and standard of performance as compared with what the HDB had previously been doing when it managed all housing estates under a centralised management system. After more than a decade of existence, it is observed that town councils have been able

to exercise their powers to improve the living environment in housing estates. They have generally performed well in terms of service delivery and maintenance standards, although there may be variation among different town councils (Ng, 2002:12). Even with large towns managed by a particular town council, the performance could differ from constituency to constituency.

3.6   GAPS IDENTIFIED AND LESSONS LEARNED FROM THE COMPARISON OF HOUSING PROVISION IN DEVELOPING COUNTRIES

Housing has attracted much attention from academic social scientists and the comparison of the provision of housing in developing countries in this study provides strong evidence of new trends in housing policy development and implementation as a consequence of expanded and diversified approaches. Provision of housing is to a large extent influenced by the system of government in place and this defines the roles and responsibilities of each level of government. An analysis of the provision of housing in developing countries, as conducted in this study, shows a link between housing theory, housing policy and its impact on integrated housing and human settlements in developing countries.

This fact is evident in the South African situation, where the housing system was influenced by the policy of segregation resulting in housing provision for different racial groups. The housing system was, to a large extent, dominated by a planning regime which placed certain groups in the cities and towns where there were transport systems, social amenities, economic opportunities and other benefits. All this changed after 1994 and the establishment of the National Department of Housing, which took a leading role in housing the nation. The provision of housing in South Africa is discussed in Chapter 4 below.

In general, the involvement of government in housing provision has been accomplished through various policy interventions. Several housing policies and programmes have been implemented in the developing countries reviewed in this study and the common denominator relates to the political ideology of the implementing government, where housing policies have been influenced by the system of government in place at a particular time. In the developing countries under review, it seems clear that housing policies are not aligned to housing development plans and there is a visible lack of affordable housing opportunities, integrated and sustainable housing development and, more recently, human settlements. South Africa is not immune to the scenario presented above, where the functioning of the housing system is not aligned to ensure there is eradication of informal settlements, speedy release of land for social housing and housing and human settlements development.

The political economy of South Africa is affected by the housing markets, which are working in a dysfunctional and geographically imbalanced way, and housing demands in both rural and urban areas are not quantified and qualified. The housing backlog for low-to-middle income households, including the provision of affordable rental housing in South Africa, is influenced by blockages in housing production that are keeping the supply low and not allowing the private sector to make a contribution through the public private partnership initiatives.

Every time a new government takes power it will introduce new concepts, policies, programmes and strategies as interventions in addressing housing challenges, social integration and nation building. There is misalignment of plans, strategies, policies, programmes and projects at different levels, or in different spheres, of government including government entities. The misalignment and lack of integration contributes to the slow delivery of housing and human settlements in developing countries and the gap in housing provision is related to different interpretations and analyses of policies, plans,

concepts and projects. Since government plays an important role in the provision of low cost housing, an important lesson learned from the review in this study is that, in most developing countries, reliance on government to deliver housing opportunities has contributed to the slow delivery thereof. This phenomenon is attributed to lack of political will and poor housing policy implementation mechanisms, owing to distribution of resources, wrong location of housing projects, and funding constraints, thereby making it difficult to clear the housing deficit. The lesson for South Africa is not to change government policy and the housing system every time a new government takes over as it take time to development and implement a new housing policy and housing system.

In the South African context, there have been programmes introduced such as the Reconstruction and Development Programme (RDP) to address the imbalances of the past and socioeconomic challenges, including the provision of services. A macro-economic initiative known as the Growth, Employment and Redistribution (GEAR) strategy has aimed to strengthen economic growth and to increase and redistribute employment opportunities to enable South Africans to build, buy and/or pay their own rent. The National Department of Human Settlements introduced Breaking New Ground (BNG) as a revised framework for the development of sustainable human settlements. The BNG requires municipalities to include their human settlements strategies and housing plans in their integrated development plans (IDP) and integrate their human settlements programmes and projects within their medium term capital investment plans. The main lesson for the South African government is that each programme and system should have a monitoring and evaluation system in place to monitor and assess the performance of the programme and evaluate if people's life have changed since the introduction of such a programme or system.

Since housing is a concurrent function between different spheres of government, monitoring institutions and government entities including state-owned banks, the

interactions between actors are complex and require a coordinated approach. The systematic application of network theory in managing inter- and intragovernmental relations is still to be improved as it implies mediating and coordinating interorganisational policy making processes and this is associated with a bottom-up approach in implementing government policy. The most effective form of bottom-up planning in South Africa is through the Integrated Development Plan (IDP) Forum. This is a platform where communities and all other stakeholders, including all government departments and government entities, can make inputs to the IDP and priority needs can be captured. The IDP integrates all sector plans of a municipality, including integrated human settlements plans, where housing needs are quantitatively and qualitatively defined.

Hierarchical command and control approaches are still in place in most developing states and a trend in this century is that organisations are not independent of, but rather dependent on one another. Another trend is that the modern State administration requires flexibility. In all the countries reviewed in this study, the government's housing strategies are inherently policy driven and centrally controlled, with major decisions on targets, delivery goals, land use, housing production, and housing prices determined by the government at the national level. The move from the provision of housing to the establishment of human settlements is still new in most developing countries and it requires new ways of public policy formulation, research, academic and innovation capabilities, organisational structures and networks, engagement between users of human settlements, policymakers, and practitioners to effectively support the scope and objectives of human settlements. This study found that the implementation of social housing policy involves many actors that are perceived as active participants and, in South Africa, the main actors (the national, provincial, and local governments) are not treated as equal partners who respond quickly in addressing the ever-changing demands of the electorate including the provision of social units. In practice, this means that the

South African government departments in all spheres still follow the bureaucratic hierarchical structure, rather than treat each of the spheres as equal partners to achieve a set of goals and objectives.

There is still a lack of important parameters that ought to inform housing delivery systems in the countries under review, namely housing needs, that are quantified and qualified, affordability assessments, and implementable complex housing policies and projects. Implementers need to investigate the social, economic, and political factors involved in housing delivery. Intergovernmental cooperation and co-ordination are still not decentralised, and there are attempts by the different governments under review to devolve housing functions and responsibilities to the local government sphere. The establishment of state or government entities to fast track the delivery of social housing is the most interesting and challenging development. In South Africa, there are still municipalities that view the provision of housing and human settlements as an unfunded mandate. It is evident that municipalities in South Africa have been underutilised in the housing delivery value chain and, as in some other quarters, there is a belief that housing is an unfunded mandate. There are several State-owned entities in the human settlements sector that can be merged and consolidated to ensure a great impact, and this is one lesson the government can implement to address homelessness and security of tenure challenges.

There is a gap in the application of multi-sector network theories, where the strategic partnerships are based on mutual interest among public, for-profit and civil society organisations. Management of different stakeholders with different targets, expectations and interests is still a challenge in South Africa, and, even though there are efficient planning regimes and control measures to ensure orderly, sustainable and integrated development and an improved housing provision system, what is lacking is implementation and strict monitoring. Another challenge the government is facing is that,

instead of regulating, it is controlling. Government interventions are aimed at creating an enabling environment for the private sector to lead the financing and development of housing opportunities in developing countries. In instances where the state, through its housing policy, creates an affordable, efficient, and sustainable housing finance regime, it is evident that the government of the day tends to control and not regulate, thereby monopolising the delivery of housing.

The comparison also shows that different governments have attempted to strike a balance between the technical requirements of the interaction between the tiers of government, the governing hierarchy and the imperatives of political power relations where, in most developing countries, the national department or national ministries still experience inherently intergovernmental relations conflicts. The government is operating in an open system. The open system is based on relations between the system and the environment and these relations are not static but dynamic. The emerging system theory paradigm is integrating information, communication, and development of new organisation design, management, and evolutionary theories in order to explain how intergovernmental relations processes evolve in complex political environments at national, provincial and local levels. In the South African context, the application of intergovernmental relations still requires the integration of both political and administrative processes and procedures in fast tracking the delivery of services, including social housing. In most instances in South Africa, the administrative and political intergovernmental relations systems are not aligned or integrated to send a consolidated message, and both the administrators and politicians talk at cross-purposes, where service delivery is compromised.

This is evident when the provincial and local government spheres are not controlled by the same political party, and there are instances where the provincial government failed to fund metropolitan municipality projects. All this points to a lack of an effective

intergovernmental relations operational system that is efficient, effective, and reliable in the delivery of social housing units. The one lesson the South African government must learn is to strike a balance between the technical requirements for the interaction between different spheres of the governing authority, planning systems (in both horizontal and vertical alignments), and the state entities, including the regulatory authorities. The political power relations in the delivery of housing and social housing, in particular, need to be managed in such a way that the aims and objectives of social housing policy are realised, without compromising the objectives of the intergovernmental relations framework.

The first lesson learned is that the national level of government is responsible for determining housing policy, monitoring the performance of the other levels of government, delivery goals, targets and budgets. The spheres below the national sphere are responsible for promoting and facilitating the provision of adequate housing within the framework of national policy. Shifting coordination of housing development and support to municipalities and other spheres below municipalities (such as traditional authorities in Ghana and housing delivery councils in Brazil), as well as the performance of social housing-related functions and duties is crucial in the move from providing housing to creating human settlements. Local government spheres in the South African context are responsible for identifying restructuring zones, designating land for human settlements and ensuring that water, sanitation, electricity, roads, storm water drainage, recreational, and social infrastructure and transport are provided.

The second lesson learned is that housing the low to moderate or average-income households in developing countries remains one of the greatest socio-economic challenges. Developing countries reviewed in this study saw development problems such as slums, unaffordable rent, ghettos, and huge housing deficiencies. In South Africa, the urban housing backlog is increasing at an alarming rate per year and the government is

unable to eradicate the housing backlog as the number of shacks, informal dwellings, and settlements constitutes a moving target. Local municipalities and even big metropolitan municipalities such as the City of Tshwane, City of Ekurhuleni and City of Johannesburg are not coping, and are failing to define, quantify, and qualify housing demand, thereby failing to develop supply side options. The lesson learned, for the South African government, is that the local government sphere should intensify the application of planning tools and systems, such as integrated human settlements sector plans, plans for land use and plans for the provision of facilities and infrastructure. Such plans ought to be reviewed yearly.

The third lesson is the involvement of quasi-government institutions in the delivery of housing, which cannot be overlooked. In the three countries under review, that is Brazil, Singapore, and Ghana, the government invested funds in setting up state entities to fast-track the delivery of housing at social and not market prices, providing lower and affordable housing opportunities for the general public. The same applies to South Africa, where state national, provincial, and local government agencies were established to assist all spheres of government in implementing housing and human settlements programmes, projects, strategies, and guidelines. The HDB is a good example of how the involvement and participation of government entities plays a role in providing housing to the nation and this was made possible through the support and political commitment of the government of the day.

State entities were mandated to conduct their own research and adopt best practice in the development of affordable rental housing units, allocation criteria and placement and management and administration of affordable, sustainable, and adequate housing programmes. Government entities are faced with an army of challenges, with the notable ones being the absence of a clearly defined housing policy, managerial skills, lack of access to sustainable capital, land acquisitions, and land release strategies. Another

major challenge is the lack of control and regulatory policy frameworks for rent setting, allocation of affordable rental housing opportunities, and norms and standards for the creation of sustainable integrated human settlements.

The fourth lesson is the use of the public private partnerships approach in the delivery of housing. The use of private sector resources and capacity to provide adequate housing is increasing in developing countries, where large government housing programmes are implemented by the private sector with the government monitoring, regulating and financing such initiatives. The public-private partnerships approach allowed the government to regulate, deregulate, and re-regulate the housing sector with changes in both socio-economic as well as market conditions. In Singapore, this approach enabled the government to mobilise long term resources on the supply side to finance the rapid supply of housing by the public sector to low income earners, and progressively provide larger and better-quality affordable rentals for upper and middle income households. The use of public-private partnerships can benefit the South African government, where mixed and integrated development encourages multi-agency approaches towards development and sharing of expertise by all role players. The South African government can use the public private partnerships approach to share best practices and skills in the delivery of affordable and adequate housing and human settlements opportunities.

The fifth lesson is that developing countries are integrating housing with social policies, thereby investing a great deal in social housing projects. This is playing an extremely important role in shaping the society, as social housing is aimed at integrating the various income and racial groups within affordable public rental social housing programmes. Brazil and Singapore are multi-racial societies, where racial concerns are considered potentially explosive, and are therefore carefully managed. In Singapore, the colonial administration had, in its days of town planning, followed a policy of racial segregation, where at present, the country is promoting improved quality of lives and integration of

communities by providing affordable, high standard subsidised housing, with the added benefit of regeneration of the areas in which the housing stock is located. South Africa is a racialised society, where the development of an ethnic integration policy such as in Singapore can potentially prevent racial enclaves from forming. This can be accomplished through the allocation of public units and policies planned and developed to support national objectives, such as maintaining racial harmony, strengthening family ties, and taking the needs of the elderly and low-income families in to consideration.

The sixth lesson is that the state owns and has a great deal of influence over the factors of housing and social housing production processes. In one way or another, the government owns factors of social housing production, such as human resources, funding, land and buildings, plans, strategies, and regulatory frameworks. In the South African context, housing is a concurrent function between the three spheres of government, and in each sphere, there is a dedicated unit responsible for human settlements planning, project management, financial planning, monitoring, and quality assurance.

Based on the discussion above, it is evident that in the current South African system of intergovernmental relations, there is poor coordination within and between different structures of government to deliver multi-sectoral social programmes. Mobilisation of physical resources like land, buildings, and financial resources is not coordinated and synergised. This is supported by the manner in which decisions are made, where the government takes time to decide on clear policy issues. Kampamba (2017:358) examined social housing delivery systems and concluded that, owing to lack of application of project management techniques, the houses delivered over the years were of poor quality, while others collapsed due to unsuitable locations for the infrastructure, and lack of stakeholder consultation.

3.7 SINGAPORE AS A UNIQUE CASE OF AN AFFORDABLE HOUSING MODEL

It all started with the formation of the Singapore Housing and Development Board in 1960, which was mandated to provide affordable and high-quality housing for the residents. Today, more than 80 percent of Singapore residents live in housing provided by the HDB, which is a government entity. The implementation of the Singapore model for developing affordable housing was made possible by collaboration of the State, and the bureaucratic machinery in terms of ensuring financing, implementation of the national housing policy, and physical construction of affordable housing projects was strictly monitored.

The key elements of the Singapore housing policy include a strong political commitment to public housing, financial commitment which comes in the form of loans and subsidies, legislative support, which allows the government to acquire land cheaply and to quickly exercise legal authority on matters related to public housing development, and administration and supportive government policies. Some of the essential ingredients of the Singapore affordable housing model are presented in section below.

3.7.1 Political commitment

The popular and political support for public housing in Singapore is strong and stable. There is a high level of public subsidies allocated to the Housing and Development Board. This means that there is a political commitment by the government to finance building programmes to ensure housing supply. The commitment was demonstrated by the adoption of a public housing policy intervention for resident populations that has progressively led to society-wide enjoyment of the right to adequate housing. Home ownership in Singapore stands at 90 percent, where more than 80 percent of the

residents live in government built residential housing units. Everyone in Singapore has access to housing resources, albeit public housing, and many are homeowners. Housing policy is seen as a way to provide a good living environment for income groups who cannot afford the cost of renting or buying a house.

The government, on a regular basis, develops and reviews housing policies to address changing needs and aspirations. The inclusive approach puts the needs, expectations, and lifestyles of its residents at the centre of housing supply. The Singapore response to the provision of housing is an inclusive delivery system that recognises the needs of residents with varying incomes and family sizes. On a day-to-day basis, the HDB is concerned with the management and maintenance of the public housing stock to ensure that public housing units to not degenerate into slums over time. The government and HDB is engaged in active research and development to ensure that cost-effectiveness and quality standards are maintained and continuously improved.

3.7.2   Housing as a social asset

In Singapore, housing is treated as an asset to the public purse, as well as a social asset, and there is no stigma associated with residing in public housing, nor is this seen as something to be ashamed of. The government of Singapore invests in housing precisely to address social and economic distortions. The government has invested funds and subsidised the provision of housing so that residents pay less, and the rent is as low as possible to improve the standard of living of the people. The current rental payment has remained low, so as to accommodate the majority of residents and encourage security of tenure through the option of home ownership.

3.7.3   The importance of neighbourhoods

The urban planners in Singapore opted for a more inclusive and sustainable city and applied a bottom-up approach in their design for inclusive neighbourhoods. Housing estates are carefully designed with mixed-income housing, each having access to high quality public transport and education. The main aim is to ensure people of all income classes and ethnicities meet, socialise, play, and dine together on delicious and affordable food. The apartment blocks are designed to encourage social cohesion and integration that fosters interactions between neighbours. In providing housing, the HDB looked at the whole spectrum of needs that make for an optimal living environment for residents.

The key priority of the HDB is to meet the changing needs and circumstances of residents through the provision of commercial, recreational, and social amenities. The HDB continuously creates vibrant, innovative, and sustainable communities and this is being achieved by working closely with these communities. The involvement of communities is at centre stage, and a people-centred development approach drives the whole housing development process. The HDB has an Ethnic Integration Policy that prevents racial enclaves from forming through resale of public units. Other such policies are planned to support the national objectives such as maintaining racial harmony, strengthening family ties and taking the needs of the elderly and low-income families into consideration.

3.7.4   The smart use of urban density

The scarcity of land for housing development in the city centres forced the HDB and planners to opt for high rise, high-density developments, and this approach was gradually distributed and implemented around the island, with the creation of a series of satellite new towns linked by a growing rapid transit system. The concept of "going up" was implemented carefully, by designing the height and proportions of buildings in relation

to one another and intercepting with high quality green open space. Town planning is continuously refined to develop well-designed and planned living environments and new ideas and feedback from residents is encouraged. The HDB works closely with agencies such as the Urban Redevelopment Authority on plans for land use and the provision of facilities and infrastructure.

Each HDB town has a Town Centre that functions as the core area of activity, where larger commercial facilities, train stations, and bus interchanges are found. The HDB developed a master plan for older towns to guide the rejuvenation and upgrading of these so as to ensure optimal land use for the benefits of residents. Plans were developed to modernise the old buildings by adding and upgrading community facilities such as lifts and improving the road and transportation networks.

3.7.5　　Integrated approach to housing

The Housing and Development Agency is the main public housing agency and plays a lead role across the housing value chain. In most countries, access to land for affordable housing development is a challenge. In Singapore, the Land Acquisition Act empowered the HDB to acquire land at low cost for public use and housing development projects and moved people out of overcrowded city centres. The government owned 90 percent of the land and this enabled the HDB to initiate integrated housing development and mixed development projects where housing and commercial facilities, including a mall and an air-conditioned bus, were directly linked to the existing station under one roof. This new integrated development approach allowed the residents to dine, socialise, do shopping, and receive healthcare services under one roof. Integrated development fosters a great community bonding among residents and reignites the spirit of living together. The mixed and integrated development encourages a multi-agency approach towards development

and partnerships and involves stakeholder departments and state agencies including the Ministry of Health, Alexandre Health Systems, National Environment Agency, National Parks Board, Land Transport Authority, Ministry of Social and Family Development, and the Early Childhood Development Authority.

3.7.6　Security of tenure through homeownership

More than 90 percent of Singaporean residents own their own houses, and this has been made possible by the introduction of a Home Ownership Scheme by the government. The scheme assisted people to buy their flats on a 99-year lease basis. Further to this, people were allowed to use their savings from the Central Provident Fund (national pension fund) for their down payment and to service the monthly mortgage loan instalments. The other schemes, subsidies, and grants that were introduced later make homeownership achievable, highly affordable, and attractive. The Home Ownership Scheme gave citizens a tangible asset in the country and a stake in nation-building. The push for home ownership improved the country's overall economic, social and political stability.

3.7.7　Research and development

The HDB established a research and development unit to conduct research on building, environmental sustainability, and technological advancements. The findings are tested by the Centre of Building Research, and the research and development unit mainly conduct research on the following:

- **Energy:** The objectives of this research are to enhance energy efficiency in towns and reduce the environmental impacts of its operations. Key research

areas include passive design strategies, energy-efficient solutions, alternative energy sources, and smart grid solutions.

- **Urban greenery:** The objectives of this research are to soften the impact of urban living through innovative greening solutions and bring nature closer to the homes. Key research areas include biophilic towns, green roofs, vertical greening, floating wetlands and biodiversity studies.

- **Waste and water:** Waste and water research aims to enhance resource efficiency through research in water conservation solutions, waste and recyclables management solutions, and storm water management. The above focused on effective use of energy, water and waste management to ensure a friendly environmental design in public housing developments.

- **Living environment:** Research about living environments aims to achieve a high-quality sustainable urban living environment that is inclusive and adaptive to climate change. Key research areas include architectural studies, building acoustics and advanced modelling platforms to simulate sustainability and liveability performance. The aim is to contribute towards the implementation of a comprehensive sustainable framework that covers social, economic and environmental considerations and is aligned with the national sustainability objectives of the Sustainable Singapore Blueprint.

- **Building technology:** Research aims to achieve high quality housing through highly productive and advanced building technologies. Key research areas include advanced prefabrication and construction technology, virtual design and construction (VDC), building performance, resource optimisation, maintenance technology, and lift technology. Prefabrication technology involves the production of building components off-site and assembling them on-site. This is indispensable to the current building programme and reduces dependence on manual labour and increases site productivity.

3.8 CONCLUSION

To sum up, the provision of housing in the three developing countries discussed in this chapter is government-led. In all the countries under study (that is Brazil, Singapore, and Ghana), the government played a leading role in terms of providing infrastructure and services, financial assistance, construction processes, and planning, which included where housing and human settlements ought to go. Each country provides various types of financial assistance to low income earners and develops its own housing policies and strategies to fast track the delivery of affordable housing, which also included affordable rental housing opportunities. The gaps and lessons learned were identified and presented and it is noted that most of the lessons and gaps were common in all three countries. The ultimate objective in all the countries under study was to provide housing to the poor people so all the housing programmes, plans, strategies and policies in all these developing counties are aimed at allowing people to develop over time.

CHAPTER 4:

A REVIEW OF THE LEGISLATIVE AND POLICY FRAMEWORK ON HOUSING IN SOUTH AFRICA

4.1 INTRODUCTION

This chapter presents a broad legislative and policy framework governing the provision of housing in South Africa including the international perspective. The roles and responsibilities of each sphere of government are discussed in relation to how to realise and meet the constitutional mandate of a right to have access to adequate housing. This covers the implementation of the national housing policy and housing act, the social housing policy and act, the breaking new ground policy and the national housing code.

The role of the constitutional framework on intergovernmental relations in the implementation of social housing as a concurrent function of all three spheres of government is highlighted. The shift from housing to human settlements is discussed, as well as its relation to urban planning. The provision of social housing in South Africa is discussed, including the roles and responsibilities played by the three spheres of government and all main stakeholders, which has a great influence on the social housing value chain including development and management of social housing units.

4.2 A REVIEW OF LEGISLATIVE AND POLICY FRAMEWORK ON HOUSING IN SOUTH AFRICA

The Constitution of South Africa contains justifiable socio-economic rights and enshrines everyone's right to have access to adequate housing. In the Bill of Rights in Chapter 2 of the Constitution, Section 26 outlines that (1) everyone has the right to have access to

adequate housing; (2) the state must take reasonable legislative and other measures, within its available resources, to achieve the progressive realisation of this right; and (3) no one may be evicted from their home, or have their home demolished, without an order of court made after considering all the relevant circumstances.

The right to adequate housing is a socio-economic right as opposed to a civil and political right. Social, economic and cultural rights usually require positive action from the government to ensure that they are implemented. In terms of legislative provisions, the Housing Act (1997) echoes the calls of Paragraph 61 of the Habitat Agenda that states that housing acts and programmes should ensure:

- non-discriminatory access;
- Security of tenure and equal access to all;
- That housing is made accessible through a series of interventions to improve the supply of affordable housing; and
- Monitoring and evaluation of homelessness and inadequate housing.

The Housing Act 107 of 1997 (amended by Acts 28 and 60 of 1999 and Act 4 of 2001) (Housing Act). The Housing Act is the primary piece of housing legislation in South Africa. It legally entrenched policy principles outlined in the 1994 White Paper on Housing. The Act provides for a sustainable housing development process, laying down general principles for housing development in all spheres of government. It defines the functions of national, provincial and local governments in respect of housing development, and it lays the basis for financing national housing programmes. Sustainable housing delivery has formed part of the major discussion at several global conventions.

The South African government is a signatory to the 1992 Rio de Janeiro Summit on Environment and Development, 1996 Habitat Summit in Istanbul, the 2000 United

Nations Millennium Development Goals Summit in New York, and the 2005 La Havanna Summit (Muhammad et al., 2015:24). These global efforts culminated into the United Nations "Agenda 21". The primary objective of Agenda 21 is the provision and delivery of adequate, safe, secure, accessible, affordable, and sanitary housing as a fundamental human right. In 1976, the Vancouver Declaration on Human Settlements was adopted, which places human settlements at the centre of socio-economic development.

The delegates agreed that there is a need for awareness of, and responsibility for increased activity of national governments and the international community, aimed at mobilisation of economic resources, institutional changes and international solidarity by (a) adopting bold, meaningful and effective human settlement policies and spatial planning strategies realistically adapted to local conditions; (b) creating more livelihood, attractive and efficient settlements which recognise human scale, the heritage and culture of people and the special needs of disadvantaged groups especially children, women and the infirm, in order to ensure the provision of health, services, education, food and employment within a framework of social justice; and (c) creating possibilities for effective participation by all people in the planning, building and management of their human settlements (Muhammad et al., 2015:24).

Section 2(1) of the Housing Act states that all spheres of government must give priority to the needs of the poor in respect of housing development and consult meaningfully with individuals and communities affected by housing development. They must ensure that housing development provides as wide a choice of housing and tenure options as is reasonably possible. Housing development must also be economically, fiscally, socially, and financially affordable and sustainable, based on integrated development planning, administered in a transparent, accountable, and equitable manner and uphold the practice of good governance.

Further to this, in Section 2(1)(e) the Housing Act states that all spheres of government must promote, inter alia, the following: (1) a process of racial, social, economic and physical integration in urban and rural areas; (2) measures to prohibit unfair discrimination on the grounds of gender and other forms of unfair discrimination by all actors in the housing development process; (3) higher density in respect of housing development to ensure economical utilisation of land and services; and (4) the meeting of special housing needs, including the needs of the disabled.

Section 4 of the Housing Act sets out the roles and responsibilities of the three tiers of government in respect of housing, as follows. National government: this sphere must establish and facilitate a sustainable national housing development process by formulating housing policy. It must also monitor implementation through the promulgation of the National Housing Code and the establishment and maintenance of a national housing data bank and information system. According to Kampamba, Kachepa and Nkwae (2017:357), globally and nationally, the provision of low-cost housing to the poor is the responsibility of the national government. Provincial government: This sphere must act within the framework of a national housing policy and create an enabling environment by doing everything in its power to promote and facilitate the provision of adequate housing in its province, including the allocation of housing subsidies to municipalities. This sphere must take all reasonable and necessary steps within the framework of national and provincial housing legislation and policy to ensure that the constitutional right to housing is realised. It should do this by actively pursuing the development of housing, by addressing issues of land, services and infrastructure provision, and by creating an enabling environment for housing development in its area of jurisdiction.

Mahanga (2002:54) emphasises that the role of government in housing provision is that of formulating a regulatory framework that facilitates a conducive legal and operational environment that can encourage and induce the private sector, community based organisations, non-governmental organisations, and other financiers and private property developers to participate directly in housing provision. The delivery of social housing is still the responsibility of the three spheres of government, and the study will measure and quantify the roles and responsibilities in terms of all delivery inputs. According to Olegnero and Ponzo (2017:23), public social housing is funded entirely by the government through the national, provincial, or local administration. It is built directly by municipalities or by public social housing agencies and institutions. Subsidised social housing programmes are intended to encourage the construction of social housing units for rent to low income primary residents at below-market prices (Olagnero and Ponzo, 2017:24).

Chapter 3 of the Constitution of South Africa deals with co-operative government and Section 41(1) lists a number of principles that should apply to co-operative government and intergovernmental relations. Such principles include, inter alia, that all spheres of government and all organs of state within each sphere must provide effective, transparent, accountable, and coherent government for the Republic as a whole. The spheres of government must respect the constitutional status, institutions, powers, and functions of government in the other spheres. The three spheres must co-operate with one another in mutual trust and good faith, foster friendly relations, assist and support one another, inform one another of, and consult one another on, matters of common interest, coordinate actions and legislation with one another, adhere to agreed procedures, and avoid legal proceedings against one another.

According to Levy and Tapscott (2001:1), transition to democracy in South Africa brought with its fundamental changes in the form and functions of the state. They further state

that the new dispensation brought a restructuring of intergovernmental relations and a redefinition of the responsibilities of the different spheres of government. The aim of intergovernmental relations is to improve service delivery to communities and in practice, the provision of low-cost housing has been delegated to the local government sphere which is faced with a number of challenges, namely provision of bulk infrastructure, availability of land, rent affordability, project management and management of risks and partnerships (Kampamaba et al., 2018:357). According to United Nations Habitat (2012), intergovernmental relations promote good social relationships which have positive impacts on the physical and mental health of government officials but also on economic resilience and productivity, where if people are better connected with each other, they share news, knowledge, and skills, and help each other to cope with various everyday challenges of service delivery.

4.3 HOUSING POLICY IN SOUTH AFRICA

The main purpose of this section is to analyse the housing policy in South Africa and assess how the policy is being implemented to address housing-related challenges. The housing policy was developed to deal with housing related challenges, such as a rapid increase in housing demand, housing expenses fuelled by the unsustainable nature of the housing market, and how to address urban life, which is becoming unaffordable (Fields & Hodkinson, 2018:01). A better conceptualised housing policy must begin to explicate the kinds of positions that the state may have in relation to the housing issues mentioned above, as the majority of them contribute to the dysfunctional nature of the housing system and cause displacement of low to middle income households (Fields & Hodkinson, 2018:1). The South African Constitution clearly mandates the government, and in this case, the three spheres of government, to develop to implement housing policy on an incremental basis as citizens have a right to adequate housing. As a result

of years of apartheid planning and development, the provision of housing and human settlements in South Africa is characterised by spatial separation of residential areas according to class, population groups, urban sprawl, and a lack of access to basic services in many instances, and concentration of the poor on the urban periphery. These factors have led to housing and human settlements being inequitable, highly inefficient and unsustainable.

In 1994, in attempting to address the imbalances and inequalities of previous government policies, the then newly elected democratic government established the Reconstruction and Development Programme (RDP). This programme set a new policy agenda for the country, based on the principles of meeting people's basic needs on a sustainable basis. In addition, the government also introduced the Growth, Employment and Redistribution (GEAR), macro-economic strategy, with the aim of strengthening economic growth, and increasing and redistributing employment opportunities in South Africa. The strategy is influenced by the classic theory of public finance, which defines the roles of government as efficient resource allocation, fair wealth distribution and macro-economic stabilisation (Koo & Kim, 2018:291). Among these three roles of government, efficient resource allocation is a primary task that local governments perform in the form of local public service provision including housing related services and opportunities.

The GEAR strategy was criticised for not addressing service delivery issues and not allocating resources in time, and this has, to a large degree, influenced housing policy implementation in South Africa. The abovementioned strategies were attempts by the South African government to address issues of provision of basic services such as affordable housing and there is commitment on the part of government toward security of tenure for many segments of the population (Madden, 2017:12). Kampamba et al. (2017:357) present that the implementation of South African housing policy lacked

application of project management techniques, the houses were of poor quality and were usually abandoned by the beneficiaries due to the locations not being suitable for the infrastructure and because of a lack of stakeholder consultation.

South African housing policy is strong in its commitment to achieve a holistic concept of adequate housing by supporting citizens to achieve this vision incrementally (South African Country Report for the Review of the Implementation of the Habitat Agenda, 2000). These principles are further entrenched in the Protection Against Illegal Eviction Act (1999), the Protection of Informal Land Rights Act (1996), the Rental Housing Act (2000), and the Housing Consumer Protection Measures Act (1999). The South African housing policy provides for an effective right to housing for all its citizens. The issue of prioritisation is important, given the context of extreme housing needs and shortages. In the Housing Act, priority is accorded to the poor and to addressing special needs. All households earning R3 500 per month or less qualify for subsidy assistance for the socalled low cost housing.

Over 92 percent of subsidies granted have gone to low income households, which constitute the target market for low-cost housing programmes. According to Kampamba et al. (2017:357), the implementation of a housing policy is influenced by political will, distribution of housing stock, location of housing and funding amongst other factors, thus making it difficult to clear the housing deficit. The South African housing policy priorities are consistent with those of the Habitat Agenda, in that the South African government implemented a number of housing programmes and subsidy mechanisms to provide access to housing, thereby fulfilling its obligation to promote and ensure the right to adequate housing for all. Clinton (2014:214) established that limited budget allocation, inappropriate policy to handle informal settlements and poor planning and coordination from national to local government level were the most critical factors affecting the delivery of housing and implementation of the housing policy in South Africa.

4.4   THE SOCIAL HOUSING ACT 16, ACT 16 OF 2008

The Social Housing Policy for South Africa was approved in June 2005 and the Implementation Guidelines published in November 2006. In 2008, the Social Housing Act 16 of 2008 (Social Housing Act) was passed, providing the enabling legislation for the Social Housing Policy. The Act aims to establish and promote a sustainable social housing environment and defines the functions of national, provincial, and local governments in respect of social housing.

It also allows for the undertaking of approved projects by other delivery agents with the benefit of public money and gives statutory recognition to Social Housing Institutions (SHIs). Further, it provides for the establishment of the Social Housing Regulatory Authority (SHRA) and defines its role as the regulator of all SHIs that have obtained, or are in the process of obtaining, public funds. The SHRA also deals with the accreditation of SHIs in terms of this legislation and regulations pursuant to it.

4.5 A COMPREHENSIVE PLAN FOR THE DEVELOPMENT OF SUSTAINABLE HUMAN SETTLEMENTS (BREAKING NEW GROUND)

In September 2004, Breaking New Ground (BNG) was adopted by the Cabinet as a revised framework for the development of sustainable human settlements. The BNG initiative is based on the principles contained in the White Paper on Housing and outlines the strategies needed to achieve the government's overall housing aim. While not clearly introducing any new policy direction, the document outlines a comprehensive plan for the development of sustainable human settlements. According to Barger (2016:50), BNG is a policy document that promotes densification and integration of excluded groups into

the city to enjoy benefits typical of urban areas and creation of sustainable human settlements. The BNG plan is a key document that emphasises formal recognition by the government of social housing and defines its current role in the housing sector.

As a policy document, BNG has shifted the government's emphasis from the provision of housing to the creation of sustainable human settlements, in a manner that is responsive to the demands of particular segments of society and local situations (Centre of affordable housing finance in Africa, 2012:32). Bredenoord (2016:3) identified some of the factors for realising sustainable human settlements. These include the ability to involve local communities in urban planning and housing, providing self-builders and building companies with access to good quality and affordable building materials, developing building standards (for example, in earthquake prone areas, for the prevention of fires, and for the protection of health through water and sanitation), providing sufficient financing mechanisms and, lastly, making sufficient land available.

Breaking New Ground focuses on the promotion of more efficient cities, towns and regions. In support of spatial restructuring, the plan highlights the need to integrate previously excluded groups into the city and the benefits it offers. The plan flags the need to promote densification, including housing products which provide adequate shelter to households whilst simultaneously enhancing flexibility and mobility. According to Bredenoord (2016:3), good urban planning is a vital requirement for sustainable human settlements development and such planning should occur at two levels: the city (municipal) level and the neighbourhood or project level. Breaking New Ground indicates that social housing is the key mechanism for achieving these objectives.

4.6 EVOLVING PERSPECTIVE OF THE HOUSING CONCEPTS TO HUMAN SETTLEMENTS CONCEPTS

The grand narrative of this section is to discuss the shift from housing to human settlements, and how Gauteng cities and, in particular, the three metropolitan municipalities (that is, Tshwane, Ekurhuleni and Johannesburg) understand human settlements ,and whether this shift from building houses to creating sustainable human settlements has been fully reflected on. The provision of housing and the development of sustainable human settlements may be at odds with each other. Housing targets households (people), whereas sustainable human settlements targets settlements and neighborhoods (spaces) and ultimately the urban centres (South African Cities Network, 2014:194).

In practical terms, the human settlements concept refers to a place where human beings settle down together and have easy access to a shelter, food, water, clothing, heating and protection, education, recreation, art, health, religion and employment. From the above definition it is clear that the role of local government shifted to that of developing a framework of housing and housing finance policies to provide affordable housing to low and middle-income populations in the country (Fahira et al., 2018:03). The development of human settlements as an added function of local government, means this sphere must ensure that there is urban planning in sustainable urban development and that the government takes a more central role in planning activities and human settlements development initiatives. Bredenoord (2016:2) indicates that, to promote sustainable human settlements initiatives, governments need to use environmentally friendly construction techniques and new technologies for construction, and to make use of existing local resources in order to reduce the negative impact on the environment.

Robertson (2012:10) identifies two major problems, namely (1) political marginalisation of informal communities as compounded by (2) the complexity of land tenure in informal zones, which are largely unregulated and sometimes not even displayed on municipal official maps. According to Robertson (2012:11), in all developing countries the absence of affordable and appropriate rental housing in the formal economy promotes the proliferation of informal construction and failure to integrate or give credit to informal construction efforts.

4.6.1 Integrated human settlements and sustainable urban planning

It is clear that it is not only in South Africa that there has been an increase in the number of poor people living in urban centres, and this has resulted in housing shortages globally (Bredenoord, 2016:02). According to Pawson (2019:1237), public housing estate redevelopment is a key site of conflict and contestation in the broader socio-economic and physical restructuring of cities and urban areas worldwide. Social housing had been seen as a major contributor to urban regeneration under conditions of metropolitan growth.

The Social Housing Regulatory Authority (2016) views social housing as medium-density and as an intervention to make a strong contribution to urban renewal and integration. Musvoto (2014:161) highlights the point that urban renewal initiatives and identification and declaration of restructuring zones in inner city areas is a way of combating urban degeneration and urban decay. The identified restructuring zones offer opportunities for stimulating investments in areas that were undergoing socio-economic and physical obsolescence through provision of restructuring capital grants to deliver social housing units. Good urban planning is a vital requirement for sustainable urban development

connected to social housing and urban planning currently is expert-led and following top-down approaches (Bredenoord, 2016:02).

The apartheid government in South Africa used a top-down approach that emphasised more focus on the government dictating and imposing planning regimes and strategies for housing development, and stakeholders were not consulted in any planning and development initiatives. Aspects of sustainability planning at the neighbourhood or project level include, inter alia, efficient and cost-effective land-use, higher densities and stacked construction of housing to focus on sustainable urban development and the growing informality of urban settlements (Bredenoord, 2016:02).

According to Manomano et al. (2016:113), the new housing programmes are influenced by a social development approach, where the government involves other stakeholders in the planning of sustainable urban development to reach developmental goals. Paynter (2011:67) defines informality as it relates mostly to informal land and housing development, occasionally referred to as self-help housing typical of shanties, squatter settlements or slums, and mostly in developing countries. Urban informality is seen as a major issue for cities of developing countries and this has a direct impact on the creation of sustainable human settlements. This also exists in peri-urban areas and is growing as people in developing countries would like to live and stay in areas close to economic opportunities thereby saving on transport costs.

Human settlements need to be integrated within the overall planning standards of city regions. The setting of more realistic planning standards, linking of spatial planning and infrastructure provision within cities, infrastructure privatisation, and equity of access to services and the benefits of compact cities is needed (Paynter, 2011:70). Naiker (1992:78) states that, in many developing countries, one of the great obstacles to the rational allocation of resources for achieving sustainable human settlements development

is the lack of an integrated framework for decision-making on priorities for intersectoral resource-use and a coordinating mechanism for implementation of decisions.

The narrative presented above is still relevant as the Social Housing Regulatory Authority (2016) is still facilitating and coordinating social housing programmes to meet the needs of low- and middle-income groups in support of spatial, economic and social restructuring to create an economically empowered, non-racial, and integrated society living in sustainable human settlements. Paynter (2011:11) supports Naiker (1992:23) that education and expertise are the main requirements for effective planning, multisectoral, and multi-disciplinary approaches, as well as the need to be attuned to the changing urban context.

Dale, Dushenko and Robinson (2012:29) stress the importance of sustainability and integration in the creation of human settlements, where conflict mitigation and diverse interests, values, and knowledge are integrated into decision-making. The scenario presented above is applicable to the South African context where the national, provincial and local government priorities, resources, decisions, expertise, approaches, interest and values are not coordinated to address the changing demands of the citizenry to achieve the objectives of integrated sustainable human settlements.

According to Dale et al. (2012:29) integrated urban planning, like integrated resource and environmental management, draws on scientific and other forms of knowledge, information and other forms of technology, and collaborative processes to foster better planning through improved integration of other disciplines, government, sectors, perceptions and values, ecosystems, and actors. A key challenge in the sustainability discourse is to illustrate practical approaches to putting sustainability into practice, especially in human settlements planning. This is influenced by different planning regimes as is currently applicable in the three spheres of government where human settlements

planning should take the lead to ensure well-integrated human settlements and sustainable urban planning.

In the South African context, local authorities construct, operate and maintain local economic activities, social, and environmental infrastructure, oversee planning processes, establish local environmental policies and regulations, assist in implementing national and provincial housing policies, and lastly, assist in monitoring the implementation of national building norms and standards. The local sphere of government is closest to the people and plays a vital role in educating, mobilising and responding to the public to promote sustainable human settlements development.

According to Chrysoulakis, De Castro and Moors (2015:197), sustainable human and urban planning aims to achieve a healthy and high quality of life for present and future generations, reducing the impact of the global and local environments, while promoting social cohesion and economic development in a way that assures satisfying living conditions for present and future inhabitants. The sustainable human settlements and urban planning strategies seek an optimal fit between the systems and its environment through the creation of a long-term direction, goals and strategies for the allocation of resources, monitoring impacts and detailed action plans.

Chrysoulakis et al. (2015:197) present a list of strategic guidelines that should be considered when developing sustainable human settlements and doing urban planning:

- ensure that the strategic location of new developments is in relation to the natural environment and transport systems;
- promote mixed land use to make best use of the benefits of proximity (easy and equitable access to services, amenities, green areas and workplaces) and ensure maximum efficiency in the use of public infrastructure and services;

- promote sufficient density and intensity of activity and use so that services such as public transport are viable and efficient whilst achieving a high-quality living environment;

- promote a high quality and well-planned public infrastructure including public transport services, pedestrian and cycle networks of streets and public spaces to promote accessibility and to support high social, cultural and economic activity;

- make use of state of the art resource-saving technology, including low energy housing and other buildings, environmental technology and fuel efficient, alternative forms of power production;

- integrate the aims of sustainable human settlements development into local authority policies and activities through land use planning, transport policies and programmes, equal opportunities and poverty alleviation strategies;

- consult and involve the general public through public participation processes, forums, focus group discussions and feedback mechanisms;

- promote partnerships through meetings, workshops, publication of local information and press releases, developing partnerships and support and round table discussions; and

- promote knowledge exchange and good practice through manuals on good practice in human settlements, urban and regional governance, promotion of integrated development planning, improvement of the relations between the three spheres of government and involvement of the private sector and private citizens in sustainable human settlements development.

Adequate and affordable housing is an indicator of social and economic stability. In developed countries, human settlements planning and design help to promote more sustainable use of resources and better meet people's changing needs, so that buildings are maintained and kept longer before being pulled down. Sustainable housing balances

the economic, environmental, and social needs of the community. Community development and social cohesion are enhanced through community engagement and participation. Sustainable housing can only be achieved through working with people. Engaging the community is an important step in enhancing community development during the planning and design stages.

4.6.2   The mandate of the Human Settlements

The housing function is shared among the three spheres of government, as detailed in Schedule 4(A) of the 1996 Constitution and in the Housing Act (No. 107 of 1997). The Housing Act clearly outlines the functions of the provincial government and municipalities, as well as the role of national government. The role of public authorities such as national, provincial and local government is according to Kang and Groetelaers (2018:1028) to pursue 'public goals' making decisions, controlling, defining public goals public interest and how to deliver on public promises. The delivery of human settlements is a shared responsibility of national and provincial governments and the role of municipalities is limited to facilitating and planning, as described in the Housing Act (Ogra & Onatu, 2013). Given the defined constitutional and housing legislation of the roles of national and provincial governments in the human settlements value chain, the new human settlements mandate requires local government to compete and or cooperate vertically within the intergovernmental relations system (Fowler, 2018:203).

The intent of the policy is for municipalities to progressively manage housing functions. The municipalities are capacitated to be the drivers of housing development and the key implementers of housing programmes and projects. This expanded role is contained in the Comprehensive Plan for the Development of Sustainable Human Settlements (the Breaking New Ground initiative), which represents a shift from building houses to developing human settlements (DoHS, 2004:22). The BNG represents a giant movement

from housing to human settlements as the BNG requires municipalities to include their human settlements strategies and housing plans in their integrated development plans (IDP). Municipalities must also integrate their human settlements programmes and projects within their three-year capital investment plans, as required by the Municipal Finance Management Act (MFMA). The BNG also recognises that municipalities will require intensive institutional reform and capacity building in order to respond effectively to the housing mandate (DoHS, 2004:34).

In 2010, the government introduced Outcome 8 as a sub-output (No. 3) and set out the actions to be implemented to give effect to this new mandate. Outcome 8 is a Programme of Action aimed to create sustainable human settlements and improved quality of life. The outputs included the upgrading 400 000 households in well-located informal settlements, with access to basic services and secure tenure, implementation of a National Upgrading Support Programme (NUSP), delivery of 80 000 well-located and affordable rental accommodation units, declaration of restructuring zones, accreditation of 27 municipalities to undertake human settlements functions and efficient utilisation of state land for human settlements development. Another output is improved property markets as a consequence of putting in place the Mortgage Default Insurance Scheme and Finance Linked Individual Subsidy, as well as loans granted by Finance Development Institutions. The Presidency (2010:28) acknowledges that realigning the housing function between the three spheres of government to achieve the outputs of Outcome 8 must take the following into consideration:

- there needs to be improvement of the government capacity as a whole in housing delivery;
- there should be a focus on the national and provincial government monitoring and support functions; and
- co-operation across the three spheres should be enhanced as a result of more clearly defined roles and responsibilities.

The approach taken is to progressively devolve the housing and human settlements functions to municipalities, through various levels of accreditation that will ultimately end with full assignment of housing and human settlements functions. In this way, municipalities have the time to acquire the necessary capacity and comply with the accreditation requirements before the functions are devolved or assigned. The accreditation process considers the capacity of municipalities in all aspects of the housing function (including infrastructure, houses and services).

The approach is a differentiated one, as not all municipalities have the same capacity and resources (South African Cities Network, 2014:57). In order to effectively address the severe housing crisis in South Africa, it is essential that all three government spheres work together with the cooperation of the private sector. For this the National Department of Human Settlements introduced a programme of accrediting municipalities to progressively delegate and assign certain defined functions in respect of the administration of national human settlements and housing programmes.

The rationale behind the move to accredit municipalities is rooted in the Constitution and lies within the logic of good and co-operative governance as well as the promotion of a developmental local government that responds to the needs of the citizens (Pollack, 2011:3). Accreditation means municipalities will be able to accelerate integrated human settlements and delivery of housing as they are implementing locally developed project implementation plans. Accreditation means that a provincial Member of the Executive Committee responsible for human settlements recognises that a municipality has met certain criteria and standards but requires additional support and capacity before taking on full housing functions (South African Local Government Association, 2012:7).

The accreditation process is defined as a progressive process of capacitation, evaluated against pre-agreed criteria, leading to the administration of national housing programmes (South African Local Government Association, 2012:8). There are three levels of accreditation (Table 1), which allow the different capacity levels among municipalities to be accommodated. Each level has a specific requirement, ranging from adequate human resources to strong financial management capacity to accountability. The three levels of accreditation and the functions they perform, are set out in Table 4.1 below:

Table 4.1 represents levels of municipal accreditation

Levels of delegation	Functions
Level 1: Delegation	Subsidy budget planning and allocation and priority programme management and administration: This includes housing subsidy budgetary planning across programmes and projects; planning of subsidy/fund allocations, and project identification. It also includes programme management and administration functions for specific, prioritised programme(s) identified in consultation with the Provincial Human Settlements Department. As set out in the Housing Act, municipal responsibilities for local beneficiary management, local housing priorities and the management of public stock remain municipal responsibilities. Applicable to all national and provincial housing programmes, with the exception of the individual and relocation subsidy mechanisms, this remains the responsibility of the Provincial Human Settlements Department.
Level 2: Delegation Municipal Housing Accreditation Implementation Guidelines Level Components and Definition	Programme management and administration: This includes project evaluation and approval, contract administration, subsidy registration, programme management including cash flow projection and management and technical (construction) quality assurance. Applicable to all national and provincial housing programmes, with the exception of the individual and relocation subsidy mechanisms, this remains the responsibility of the Provincial Human Settlements Department.
Level 3: Assignment	Assignment and Financial administration: this include subsidy payment disbursements, and financial reporting and reconciliation, as well as the assignment of all Level One and Level Two functions. Applicable to all national and provincial housing programmes, with the exception of the individual and relocation subsidy mechanisms, this remains the responsibility of the Provincial Human Settlements Department.

Source: Department of Human Settlements, Municipal Accreditation Framework, 2012.

The Municipal Accreditation Framework of August 2012 outlines the accreditation principles (Department of Human Settlements, 2009:14-15). The process includes authority and accountability, which must accompany responsibility. Accreditation follows capacity, the level of which will depend on the level of accreditation. The funding process follows housing functions which are to be executed by the accredited municipality which should have an efficient financial system to ensure there is enhanced co-operation across the three spheres of government. The provision of housing remains a concurrent function and shared mandate across the three spheres of government (South African Local Government Association, 2012:58).

4.6.3   The elements of the human settlements mandate

To ensure service delivery and greater integration of human settlements services, the human settlements function and mandate is being devolved to municipalities. The overall aim is to ensure the alignment and coordination of government's planning framework, mandates, policy, legislation, programmes and projects. To achieve this means addressing issues of organisational culture and structure, capacity and competencies, finances and management of information systems, governance and lastly, intergovernmental relations.

4.6.3.1   Organisational culture and structure

Housing is no longer the preserve of one department but is the result of collaboration between a number of sector departments in the municipality, including departments responsible for town planning, transport and infrastructure delivery. This means that these departments have to align their business processes and decision-making criteria to

the new approach towards human settlements (South African Cities Network, 2014:60). The shift from housing to human settlements is reflected in human settlements strategies, a review of the current practice within municipalities indicates that human settlements directorates continue to perform housing functions as opposed to human settlements development. This suggests that there is still a gap in shifting the mindset in the way of doing things, despite the strategies and plans that reflect the new mandate and approach. The extent to which the three metros are capacitated, critical positions filled with skilled personnel, and the level of expertise, has also had an impact on executing human settlements functions.

In the three Gauteng metropolitan municipalities (metros) under review in this study (Tshwane, Ekurhuleni and Johannesburg), there has been a department name change from housing to human settlements and these departments have mission statements that support the new approach. The organisational structures of these metros are aimed at coordinating and facilitating integrated planning and delivery of integrated human settlements. Human settlements planning, alignment, and coordination of sustainable human settlements in the three metros is happening at a slow pace, as the metros have not taken control of human settlements planning, financial planning and budgets. Municipalities currently cannot define and understand the demand for human settlements, both qualitatively and quantitatively, and plan the supply of human settlements. Information and intelligence on the dynamics of urban populations and economics must be part of a local government institutions' practice, to assist decision-makers in making informed decisions. Human settlements planners are largely responsible for providing and then converting information into spatial outcomes, which is used in planning instruments such as integrated development planning.

4.6.3.2 Competencies to implement human settlements programmes and projects

Capacity limitations, lack of competencies and dysfunctionality on the part of provincial and local governments plays a role in managing the transition from housing to human settlements and, most importantly, administrative, and functional management. The move from housing to human settlements assumes the need to manage genuine engagement between key stakeholders representing different constituencies with differing and competing interests. A more considered approach to capacity building is required, where both the government and civil society need to engage, understand the complexities of community participation and share knowledge in terms of institutional memory and leadership (South African Cities Network, 2014:200).

According to the South African Cities Network (2014:200), for the transition from housing to sustainable human settlements to become a reality, the following points are important:

- In the absence of a national policy framework to guide the development of integrated and sustainable human settlements, cities and, in particular, metros in Gauteng should be guided by the inhabitants, particularly the poor communities and those benefiting from state assistance. Government intervention should be guided by movement of people and how investment should be channelled to communities to ensure the establishment of sustainable communities.

- The human settlements functions must be realigned and devolved, which requires political and technical commitment to the process. In this regard, metros should address institutional challenges that may hamper the effective implementation of the new function. Among these challenges are outdated human settlements sector plans and poorly capacitated organisational arrangements for human settlements delivery. The municipality must coordinate

stakeholder departments that contribute to sustainable human settlements, namely, water, and sanitation, as well as land and urban management. The housing function must be examined within the institutional framework and operational context.

- The local government sphere has the necessary planning instruments to guide more effective and transformative land use and management for human settlements. The main challenge is to locate the human settlements function within the institutional arrangement and to speed up delivery through efficiency and effective time management. In this arrangement, human settlements planners should be able to understand, analyse and interpret both the quantitative and qualitative demand side of human settlements, and urban managers should understand urban and land use management issues. Institutional arrangements must be able to respond to and manage community dynamics and demand in order to encourage co-production and comanagement. Lastly, sharing of knowledge and best practices will assist in terms of complementing existing human settlements policies and frameworks.

4.6.3.3 Financial management and information systems

The extent to which a municipality complies with the Municipality Finance Management Act (MFMA) (No. 56 of 2003) is one of the tools used to measure the financial capability of a municipality. In addition to complying with the MFMA, a municipality's human settlements function is subject to internal audit, risk management and oversight by the Auditor General (South African Cities Network, 2014:64). The municipality has to ensure that all the enabling procedures and systems are in place to manage and coordinate subsidy management and administration. A fully integrated system allows the municipality to perform the required functions and services necessary to increase

integrated human settlement development and efficient service delivery at assignment level. This is also one of the requirements of the accreditation criteria, where a municipality must demonstrate a sound and practical financial management system to safeguard financial resources and ensure quality financial reporting.

A municipality must be able to develop plans that will strengthen integration between the integrated development plan, the budget, service delivery, and the budget implementation plan to ensure that expenditure is adequately reflected against plans as well as adequately accounted for. One of the challenges facing government is inadequate expenditure on housing and human settlements budgets, owing to a lack of capacity to initiate new projects and availability of consistent funding (Ogra et al., 2013:23). The metropolitan municipalities in Gauteng were allocated built environment budgets in the form of Urban Settlements Development Grants (USDGs). These grants have spatial implications and require sound financial management processes and systems.

According to the Budget Committee on Appropriation (2012), the main purpose of USDGs was to upgrade informal settlements, either by creating formal housing, or by upgrading services to informal settlements. Urbanisation is increasing in metros as part of a global trend, as they are centres of economic growth. Urbanisation is a continuing trend, both in South Africa and on the rest of the continent. At present, more than 60 percent of the South African population lives in urban areas, and this will grow to about 70 percent by 2025 (More, 2012:16). The USDGs were created under Schedule 4, as housing is a concurrent function between the three spheres of government (national, provincial and local). As such, this would make it more affordable for the metros to acquire land.

The history of the development of the USDG meant that the defining features of the grant were dynamic, contested and evolved over time. The USDG has its own original

intentions which, for the purposes of this study, are labelled as primary features, namely to:

- promote the devolution of built environment responsibility to cities;
- supplement the budgets of cities in order to enable them to meet their social development mandate;
- integrate funding for infrastructure and associated services with land and secure tenure;
- access housing opportunities for poor households;
- incorporate spatial and land-related objectives;
- trigger change with housing arrangements;
- use the grant to gear in other investment; and
- centralise the Built Environment Performance Plan (BEPP).

The implementation of the Human Settlements Development Grant by some of the metros involves mostly project management and beneficiary administration. Strengthening the supply chain and procurement processes is a priority to ensure fiscal and financial accountability and improve institutional efficiency and functioning to deliver sustainable human settlements. A municipality must be able to design systems that will enable it to effectively undertake additional responsibility and accountability associated with full assignment. The system should take into account programme management, general and financial administration, contract management, and planning and monitoring in relation to service delivery budget improvement plans, as well as the compilation of the operating budgets (South African Cities Network, 2014:65).

4.6.3.4   Governance and reporting

The human settlements directorate must report to relevant governance structures within a municipality. A municipality may wish to invite a Provincial Department of Human

Settlements to participate in its human settlements standing committees in order to facilitate improved communication and interaction. There are multiple role players, structures and processes in the delivery of human settlements, as follows:

- Section 79 oversight committees on human settlements report on the implementation of human settlements functions, programmes and projects;

- Section 79 oversight committees on finance report on the financial aspects and performance of the Human Settlements Development Grant and Urban Settlements Development Grant, including the human settlements programme and project expenditures on a quarterly basis;

- A Human settlements committee brings together all internal role players both at the political and administrative level;

- Human settlements implementation coordination includes all external stakeholders; and

- Municipal Public Accounts Committees consider the Annual Report in relation to the municipality's performance, discuss all matters within its mandates and make recommendations to council for implementation.

The most effective form of public participation is through the Integrated Development Plan (IDP) Forum, where communities are consulted on their priority needs. The IDP integrates all sector plans of the municipality, including integrated human settlements plan.

4.7   The status quo in implementing social housing policy

A critical aspect of social housing in the current South African context is that it is understood by government to contribute significantly to spatial integration and urban restructuring, overcoming the apartheid geography that currently typifies spatial form. Government investment in social housing is, therefore, as much a tool to reshape and

democratise the urban form of South African cities, as to increase the supply of rental housing for low to moderate income earners in good locations (Centre for affordable housing finance in Africa, 2012:23). As indicated by the then Human Settlement Minister Tokyo Sexwale in February 2012, the provision of medium to high density projects is one of the main solutions in dealing with the management of spatial integration in urban areas. The social housing programme has two primary objectives: firstly, to contribute to the national priority of restructuring South African society in order to address the structural, economic, social, and spatial dysfunctions of the past; and secondly, to improve the overall functioning of the housing sector (National Housing Code, 2009:7).

The government's social housing sector is implemented based on two key policy and legislative documents, namely the Comprehensive Plan for the Development of Sustainable Human Settlements (popularly known as Breaking New Ground) and the Outcome 8 of the performance agreement (Sustainable human settlement and improved quality of life) between the President of the Republic of South Africa and the Ministry of Human Settlements. The overall funding model is not tailored to the production of viable medium to higher density products and projects and has no provisions for the operating and management costs of the rental social housing stock.

The financial pressures are immense, and the parameters of the current subsidy approach are too tight to allow the provision of social housing too far down-market. Capacity building initiatives for the sector have largely centred on education and training and the pre-establishment phase of SHIs with limited emphasis on project packaging, project implementation and project operation skills needed to run viable institutions. A lack of suitable governance and management capacity has been evident with some SHIs. Scale is very hard to achieve in the sector within the current context given that the capacity and experience base is limited and needs to be consolidated and properly reinforced if scale is an objective.

In June 2016, the Centre for Affordable Housing Finance (CAHF) presented findings which indicated, inter alia, that since 1994, South Africa has experienced substantial diversification in the rental housing market. The CAHF asserts that the broad proliferation of small-scale landlordism, the building of new rental accommodation, conversion to rental, rooms for rent in formal houses and backyard rentals strongly indicate a substantial and dramatic increase in demand for rental housing, particularly accommodation among low to middle income households (Social Housing Regulatory Authority, 2019:11).

The CAHF (2016:56) documents that the country has a severe under-supply of affordable rental accommodation in relation to demand and notes that, in response, delivery of rental housing by the private sector has rapidly escalated in recent years. Rental housing is especially important to the poor, offering choice, mobility and an opportunity to those households who do not qualify for an ownership subsidy. The poor in South Africa struggle to access the limited number of affordable rental opportunities provided by the formal market (especially in good locations). While the proportion of rental accommodation to ownership varies in different areas, there is a general consensus that those housing sectors which are functioning well have a good balance between ownership and rental. In light of the current imbalance in South Africa in this regard, the development of social housing must be viewed as an important contributor to housing options for the poor, and to the functioning of the sector as a whole.

4.8 SOCIAL HOUSING ACTORS IN THE PROVISION OF SOCIAL HOUSING SERVICES

The key stakeholders making up the social housing sector include policy makers, delivery and management agents, financiers, and sector and capacity developers. Government is a key role player required to support, facilitate, promote and/or drive social housing development in South Africa. The government within the different spheres has different roles and responsibilities where the national, provincial and local government is expected to implement the housing policy. Leago Strategy and Advisory (2017:45) notes that, although a stakeholder's influence might not be currently of high value, they are an important part of the social housing sector.

They are required in development of an integrated solution that would ensure access to key economic activity in relation to housing development. Engaging with these stakeholders will create awareness of the work of the social housing sector. The Social Housing Act (No. 16 of 2008) stipulates that the responsibility of implementing social housing policy is shared among the national, provincial and local spheres of government. The national government plays a coordinating role as the leader of the economic sector and there are five categories of role players, namely: policy makers (the national, provincial and local governments); regulators and investors in social housing (the Social Housing Regulatory Authority); delivery and management agents (Social Housing Institutions, both public and private); the financiers (those organisations providing loans and funding); and lastly, the private sector developers and capacity developers.

4.8.1 The policy maker: national government

According to Lundqvist (1996:11), government intervention in the provision of housing started decades following the Second World War where countries in Europe experienced

exceptional lack of shelter. Governments in war-worn countries simply had to step in to help provide their citizens with adequate housing. State involvement in housing provision continued after recovery from the war and there was a shift in scope and intentions.

In this study, the focus was on the scope of intervention and involvement in the provision of social housing by the three spheres of government. The national government is responsible for creating an enabling environment for social housing. This is accomplished through the development of policy and enactment of legislation, providing overall leadership for the sector, ensuring attention to its constitutional responsibilities and providing a regulatory and legislative framework within which social housing institutions must operate.

The national government is also responsible for addressing issues that affect the growth and development of the sector, funding social housing programmes; fixing the restructuring component of the capital grant; approving social housing projects, programmes and business plans submitted by provinces, approving designation of restructuring zones submitted by provinces and local authorities and establishing institutional capacity to support social housing initiatives (National Housing Code, 2009:54).

4.8.2   The policy maker: provincial government

The provincial government is responsible for ensuring fairness, equity and compliance with national and provincial social housing norms and standards. Together with local authorities, the provincial government identifies restructuring zones and submits these to the National Department for approval. The provincial sphere is also responsible for allocating funds to the provincial social housing programme, receiving project applications from delivery agents, and deciding on the extent of top-ups. Projects and

proposed top-ups are submitted to the National Department for approval and acquisition of standard/fixed subsidies.

The provincial government also ensures consumer protection and facilitates sustainability and growth of the social housing sector. The provincial government provides a provincial level legislative and regulatory framework, as appropriate, that is consistent with the national legislative and regulatory framework, and within which SHIs must operate. The provincial government also initiates and/or facilitates social housing related capacity building for local government and SHIs, as appropriate, in conjunction with the SHRA. Mediation in the case of conflicts between an SHI and local government and resolution of such conflicts is another provincial government role. Administration of project capital grant funding for social housing programmes, establishment of cost grants for newly established SHIs and monitoring of progress in terms of the allocation process are all provincial sphere responsibilities. Provincial governments may, in terms of the provision of Section 10 of the Housing Act of 1997 accredit municipalities to administer national housing programmes that will allow such municipalities to administer grant funding (Social Housing Policy, 2005:17).

4.8.3   The policy maker: local government

The main role of the local government sphere is to facilitate social housing delivery in its area of jurisdiction, as mandated by the Housing Act of 1997. Social housing opportunities must be specifically provided for in the local government Integrated Development Plan (IDP). Social housing project locations may be included in a local government's IDP, and it may further commit, in its IDP, to specific measures (for example, to support the development of in-situ associated social facilities) in order to ensure an enabling environment for the social housing sector to develop and grow in its

area of jurisdiction. It may also call for social housing projects in designated restructuring zones.

The local government must apply to the National Department for the approval of restructuring zones. It must enter into performance agreements with SHIs and commit in its IDP to specific measures (for example, support the development of in-situ associated social facilities) in order to ensure an enabling environment for the social housing sector. Local government is responsible for initiating the identification of restructuring zones and linking to the IDP process, encouraging the development of new social housing units and the upgrading of existing units and provide preferential access to land and buildings for social housing development in approved restructuring zones.

The local government provides preferential access for SHIs to acquire local authority rental stock, provides access to municipal infrastructure and services for social housing projects and, where appropriate, provides local fiscal benefits (for example, through rebates on municipal rates and service charges). The local sphere assists the SHI in its establishing stage through, inter alia, logistical and resource (financial, human and technical) support to the SHI for a specified period of time (generally until full accreditation has been achieved). Grant funding for the SHI in its establishment stages is provided by local government, as well as assistance with sourcing additional funding to support the activities of the SHI (including possible local government equity participation) and provision of access to bridging finance. (Social Housing Policy, 2005:17). It is evident that each sphere of government has a role to play in the social housing sector and local government is the sphere closest to the communities.

4.8.4 The regulator: Social Housing Regulatory Authority

The Social Housing Act of 2008 established the Social Housing Regulatory Authority as a juristic entity with its core functions being to regulate the social housing sector, to invest public funding in capital projects and to invest in the institutional development of SHIs. The key functions of the SHRA are to: promote the development and awareness of social housing, promote an enabling environment for the growth and development of the social housing sector, provide advice and support for the Department of Human Settlements in its development of policy for the social housing sector, and facilitate the national social housing sector (Centre for affordable housing finance in Africa, 2012:30).

The SHRA was established to provide best practice information and research on the status of the social housing sector, support provincial governments with the approval of project applications by SHIs and assist, where requested, in the process of designation of restructuring zones. The SHRA enters into agreements with provincial governments and the National Housing Finance Corporation to ensure that implementation by these entities is coordinated and it provides financial assistance for SHIs through grants to enable them to develop institutional capacity. The SHRA assists and accredits institutions that meet the defined accreditation criteria as SHIs and maintains a register of SHIs. The SHRA also assists SHIs to submit viable project applications and conducts compliance monitoring through regular inspection, enforces compliance where necessary, and intervenes in the affairs of an SHI in cases of maladministration (National Housing Code, 2009:93).

The SHRA administers and disburses institutional investment grants and capital grants and obtains applications for such grants through engagement with provincial governments and municipalities. It makes rules and regulations in respect of the accreditation of SHIs and the disbursement of government funds to them and is

empowered to intervene if it is satisfied, on reasonable grounds that there has been maladministration by an SHI. This intervention entails informing the SHI of the problem and then supporting it as it addresses the problem. If the SHI does not cooperate, the SHRA will take over the administration of the institution (Centre for affordable housing finance in Africa, 2012:33). All projects funded through the SHRA, regardless of where they are located and how they are funded, are subject to regulation by the SHRA.

The SHRA regulatory framework was established to ensure that the significant state resources that have been, and are currently being, channelled into social housing via participating SHIs are prudently invested and monitored over time. The SHRA is also required to undertake retrospective regulation of SHIs that had obtained institutional subsidies prior to the SHRA's establishment (Rebel Group Advisory Southern Africa: 2016:56). Generally, accreditation has shown a positive trend since the commencement of regulation, with the total number of institutions on the register, and levels of accreditation, increasing each year. Table 2 shows the number of SHIs registered with accreditation status over the first five years of SHRA regulation (Social Housing Regulatory Authority Report: 2017:32).

Table 4.2 represents growth in number and accreditation status of social housing institutions over a five-year period from 2013/2014 to 2017/2018

Accreditation status	2013/14	2014/15	2015/16	2016/17	2017/18
Fully Accredited	1	3	8	5	8
Conditionally Accredited	17	15	12	13	41
Pre-Accredited	0	15	23	29	12
Declined	8	0	0	7	0
Withdrawn	8	0	8	8	0
Total	**34**	**33**	**51**	**62**	**61**

Source: Social Housing Regulatory Authority Annual Report: 2017/2018.

4.9 INVESTMENT OF PUBLIC FUNDS IN SOCIAL HOUSING

The Social Housing Act requires the SHRA to manage the investment of state funds into social housing, using the Social Housing Investment Programme (SHIP) programme and its Restructuring Capital Grant instrument, in order to grow the number of social housing units under management in the sector. Funding is provided annually from the national government (Table 3) through two streams, namely a direct allocation of capital funding to the SHRA from the National Treasury, which is disbursed through the National Department of Human Settlements, and funds allocated to the provincial government in terms of the annual Division of Revenue Act (DORA).

Table 3 below shows the operational funds and restructuring capital grant budgeted and allocated to Social Housing Institutions for a period of five years from 2013/2014 to 2017/2018 financial years. The figures show an increase of the budget by almost 15 percent from year to year. The operational budget is meant to cover all operational matters and the restructuring capital grant is meant for the construction of social housing units by social housing institutions. The table shows that there has been an increase of budget allocated to social housing institutions over the years.

Table 4.3 represents operational and restructuring capital grant budget from 2013/2014 to 2017/2018 year.

The social housing regulatory authority	Operational (R millions)	Capital (R millions)	Total (R millions)
2013/2014	R19.31	R226.17	R245.47
2014/2015	R21.10	R657.40	R668.50
2015/2016	R32.15	R904.10	R936.25
2016/2017	R33.48	R827.54	R861.02
2017/2018	R34.89	R1 195.96	R1 230.42

Source: The SHRA's Five Year Consolidated Report

4.9.1   INSTITUTIONAL INVESTMENT

The Institutional Investment Programme provides for three grants to assist SHIs to access funding and perform effectively.

- **Gear-up grants:** The primary purpose of the Gear-up grant is to assist a fully or conditionally accredited SHI with initial operational difficulties, where expenses need to be incurred on property and tenant management before the project that they are developing reaches maturity.

- **Project feasibility grants**: This type of grant is given where a project can be considered a good social housing project, but where certain elements remain outstanding to make the specific project ready such that it can qualify for the Restructuring Capital Grant.

- **Specific intervention grants**: Specific intervention grants refer to programmatic grants and processes undertaken in consultation with other stakeholders in social housing that specifically consider the development of strategies, policies, frameworks and/or plans that will benefit social housing. This type of grant is considered only where SHIs and/or their projects are in distress, where an institutional subsidy was used to implement the project(s).

- **Intervention policy**: The intent of this policy is to undertake steps to protect public investment in social housing, where there are threats to the viability of institutions or projects (Rebel Advisory Southern Africa, 2016:13).

4.9.2   THE FINANCIERS

The institutions described in Section 4.14 provide funding for the development of social housing units in Gauteng Province. They are mainly government entities and report to the National Department of Human Settlements and the Gauteng Provincial Department of Human Settlements.

4.9.2.1   The National Housing Finance Corporation (NHFC)

The role of the NHFC must be seen in conjunction with its mandate, as provided for under the Housing Act of 1997. The NHFC is responsible for:

- Providing improved access to loan funding for SHIs;
- Assessing the financial sustainability of SHIs;
- Providing for, or facilitating access to guarantees for loan funding from financial institutions; and
- Exploring and supporting mechanisms aimed at gearing public funding for social housing (Social Housing Policy, 2005:18).

4.9.2.2   The three Gauteng Partnership Funding (GPF) sources

The GPF was established with equity provided by the Gauteng Department of Human Settlements for the purpose of providing finance to facilitate provision of rental accommodation in the province. The GPF is the custodian of the Integrated Sustainable Programme and coordinates all activities on behalf of the provincial government. The GPF also provides bridging finance and offers loans at the lowest interest rate. Such loans are available to SHIs operating in Gauteng and there is a limit to the amount that the GPF is prepared to lend to one institution at any one time.

The GPF also provides some capacitation support (Centre of affordable housing finance in Africa, 2012:26). Three funds are managed by the Gauteng Partnership Fund to address funding challenges in the affordable housing sector. On a project-by-project basis, the GPF assists the rental housing entities to procure finance at the most favourable terms in order to promote affordable, quality accommodation that is well managed for the target market. There are three funds that fall under the GPF umbrella,

namely the Rental Housing Fund, the Social Housing Fund and the Entrepreneur Empowerment Property Fund and narrated as follows:

- **The Rental Housing Fund (RHF):** The RHF was developed for rental housing entities that require additional funding for a project. The equity-type loan provided from the RHF enhances the debt to equity ratio for projects to enable lenders to provide finance on favourable terms. Investment can come in the form of subordinated debt over a 15 to 20-year period. Development finance is usually provided for between one and two years, there is no bridging finance for rental housing development and the minimum equity requirement is 10 percent. The investment criteria required for the RHF are the following:

  o the development must cater to persons with a monthly income below R15 000.00;

  o the development must be aligned with the strategic housing policy of the GPF, and hence with that of the national government;

  o the project must have a socio-economic development agenda, whether it be job creation, poverty alleviation or increased procurement of goods and services for SMMEs;

  o the project must be financially viable and sustainable;

  Numerous limitations to private sector involvement have been identified by the GPF and include:

  o a lack of infrastructure investment in under-developed areas that perpetuates socio-economic inequalities;

  o insufficient capital available to address the skewed pattern of ownership;

  o expensive sources of funding owing to the perceived risk of the projects;

  o a market largely driven by the Financial Services Charter rather than available opportunities; and

- limited investment in skills and enterprise development, especially for historically disadvantaged individuals.

- **The Social Housing Fund (SHF):** The SHF was developed for social housing institutions that require an equity injection into the project. The GPF equity enhances the debt to equity ratio for projects to enable lenders to provide finance on favourable terms. Numerous stakeholders are involved in the SHF, including the SHRA, the provincial government, the provincial steering committee and the GPF. The SHRA has a capital investment programme that offers a restructuring capital grant, an institutional investment programme that offers pre-accreditation and gear up grants, as well as a regulation programme for accreditation and compliance monitoring. The provincial government has an institutional subsidy programme, while the provincial steering committee facilitates the development process by ensuring co-operative working relationships across all stakeholders, as well as the sourcing and acquisition of grant funding. The steering committee is chaired by the GPF, where the GPF provides debt financing for a project (Gauteng Partnership Fund's Socio Economic Impact Report, 2014:18). The Gauteng Partnership Fund's Socio Economic Impact Report (2014:19) identifies numerous challenges facing the social housing sector in Gauteng. These include prescriptive policies, accurately balancing costs with design and affordability, lead time for project implementation, as well as a limited number of SHIs that have a limited capacity to take on more than a single project. The GPF, in following the government's mandate, must adhere to the national government's social housing policy that states that social housing must see to the following:
  - responds to local housing demand;

- o promote safe, viable and sustainable urban restructuring through social, economic and physical integration with existing urban areas;

- o enhance the quality of rental housing options (and living conditions) across a range of income groups, but especially for low income earners, while simultaneously allowing for social and financial cross subsidisation;

- o support economic development of lower income earners; o Safeguard tenure for the users as defined in the Housing Act of 1997 and the Rental Act of 1999;

- o ensure transparency, accountability and efficiency of administration and management;

- o all spheres of government should support, facilitate and/or drive development; and

- o encourage private sector involvement where possible.

- **Entrepreneur empowerment property fund (EEPF):**

  The EEPF Programme was established in an effort to promote the inclusion of historically disadvantaged individuals (HDIs) in Gauteng's affordable property market by providing the capacity assistance needed to overcome barriers to entry. Some of the constraints HDI investors will face when entering the market could include issues around finance availability, insufficient equity/security requirements, a lack of capacity to negotiate and evaluate potential projects, competition for stock, exposure to the risks associated with affordable housing, wavering commitment over a longer term, and limited market savviness (Gauteng Partnership Fund's Socio Economic Impact Report, 2014:20). By providing guidance on the property feasibility, investment and management, as well as providing various forms of financing, the GPF enables historically disadvantaged individuals to overcome these barriers and participate formally in the affordable housing market, offering a type of mentorship programme that is

individually-suited to the investor and the development. This has allowed the GPF to create an environment that assists new entrants, demystifying the process. The objectives of the EEPF tie in very well with the Property Sector Transformation Charter which is aimed at accomplishing the following key objectives:

- o promote economic transformation in the property sector;
- o unlock obstacles to property ownership and participation in the property sector by black people;
- o increase the pool of intellectual capital amongst black people and focus on attracting new entrants;
- o facilitate the accessibility of finance for property ownership and property development; and
- o promote investment in the property sector and contribute to the growth of the sector.

The GPF, through the EEPF, has been very successful in bringing new rental stock into the market and, at the same time, promoting entrepreneurship amongst previously disadvantaged companies. The GPF has, to date, selected close to fifty companies as participants in the EEPF programme. In order to augment the programme, the GPF is introducing a mentorship programme aimed at guiding the participants in the implementation of their projects. The GPF mentorship programme aims to provide an opportunity for participants of the EEPF who are new to the real estate business to learn from, and be guided by, accomplished professionals from the built environment through formal and informal training. Mentor support, as well as the proactive GPF approach and response to the EEPF challenges are essential in ensuring sustainable business and the realisation of the objective to create black property entrepreneurs (Gauteng Partnership Fund's Socio Economic Impact Report, 2014)

4.9.2.3   Commercial banks

In the past, some commercial banks have provided loan finance to SHIs for Greenfield projects. According to the revised National Housing Code (2016:112), Greenfield projects cover new stock needed due to de-densification and provision of new service connections and this is funded through external sources, mainly commercial banks. The entity Trust for Urban Housing Finance (TUHF) provides loan finance only for private sector landlords operating in inner cities. Currently, the TUHF client base does not access SHRA funding.

Given that Outcome 8 now includes targets undertaken by private sector landlords, the SHRA is currently negotiating with the TUHF in regard to providing a grant facility through the TUHF to increase the delivery of rental housing (Centre of affordable housing finance in Africa, 2012:26). The private sector financial institutions were envisaged as key role players in the social housing delivery value chain as financiers of social housing projects and social housing institutions. The private sector can structure their financial models to be relevant to social housing products and this may include guarantees, insurance products, syndicated funds, securitised portfolios and partially or fully-underwritten lending portfolios (Rebel Group report: 2014:44).

4.10   Social housing delivery agents

The role of delivery agents is to undertake social housing projects. If these projects are in designated restructuring zones, then public funding can be accessed through the SHRA. Hegedus et al. (2013:5) state that in transition countries, the typical social housing landlord is a public management company owned by a municipality which delivers social housing units on behalf of the municipality. If the projects are not in the designated restructuring zones, no public funding is available from the SHRA, but funding may be

available from the provincial government. Delivery agents include SHIs, as well as private sector companies whether for profit or not. Owing to the complexity of implementing social housing projects, social housing institutions struggle especially with moving beyond pilot projects and aligning to new policies such as BNG with daily practices at a tactical and an operational level (Zoest, Volker & Hermans, 2018:01).

Private developers for profit can also deliver social housing on a turnkey basis for SHIs or private landlords. Municipalities and/or provincial governments can be delivery agents but are not eligible to access grant funding directly and will establish a municipal-owned social housing entity or partner with an existing SHI (Centre of affordable housing finance in Africa, 2012:25). Zoest et al. (2018:2) show that many social housing institutions consider partnering in the supply chain as an important way to improve their efficiency to supply social housing units. The concept of supply chain partnering (SCP) refers to firms becoming partners in integrated teams, often for a longer term (Venselaar, Gruis & Verhoeven, 2015:11).

There are two entities that render support services to the delivery agents in the social housing sector and that undertake advocacy within the sector. These are the National Association for Social Housing Organisations (NASHO) and the private sector. The NASHO is a membership-based association of SHI's, established in 2002, with the following functions: represent and coordinate on behalf of its members, campaign and lobby on behalf of its members, promote the social housing sector, support individual SHIs, build capacity within the sector from the demand side, in partnership with other sectors, promote joint procurement by SHs where this is efficient, and promote exchange of good practice among its members (National Housing Code, 2009:56).

4.10.1 Private sector participation in the social housing sector

The Social Housing Policy envisaged that the private sector would play an important and increasing role in financing, delivering and managing social housing in South Africa (Rebel Group report: 2014:33). The social housing policy encourages the involvement of the private sector in the delivery and management of social housing and this can be achieved through the involvement of both social housing institutions and the private sector acting separately and in partnership with other stakeholders (Social Housing Regulatory Authority, 2005:45). The private sector plays two important roles where it operates as a contractor to social housing institutions in order to develop stock on a turnkey basis.

Private sector developers can design, finance and build rental stock that is then transferred to SHIs to manage. For this option to be feasible, the SHIs normally prefer tight control over the design, building and finance processes to ensure that social housing development outcomes meets the needs of the target market. The private sector can also act as SHIs where the intent is to mobilise the significant private sector property management capacity into the social housing market. Private sector property management companies were envisaged as potential developers, holders, and managers of social housing stock (Rebel Group Report: 2014:15).

4.10.2 Social housing institutions and management.

The management of social housing can be done within several legal entities. All the generic functions of public administration play a vital role. Management is described as a set of activities, including planning and decision-making, organising, leading and controlling. These activities are directed at an organisation's human, financial, physical and information resources with the aim of achieving organisational goals in an efficient and effective manner, and they will form part of social housing, no matter what the legal

entity of choice is. Harriot and Matthews (1998:151-153) give an overview of definitions of housing management as letting houses, repairing them and collecting rent. These activities are the core of a wider range of functions normally constituting housing management. Clapham, Clark and Gibb (2012:461) subdivided housing management into four categories, namely:

- **Technical management:** maintenance, renovation, demolition, enlargement, restoration, splitting and combining units;
- **Social management:** dealing with tenure and sitting tenants through marketing, information, communication, the enforcement of tenant participation, housing allocation, target group selection, reducing anti-social behaviour, the administration of tenancy agreements and finally the clearance of dwellings;
- **Financial management:** everything relating to housing finance, lending, borrowing, treasury management and rent policy; and
- **Ensure management:** the purchase and sale of properties and the adoption of mixed and experimental tenures such as sheltered ownership and tenant ownership of the interior of dwellings.

Priemus, Dieleman and Clapham (1999:211) define the management of social housing as a full array of activities designed to produce and allocate housing services from the social housing stock. The trend is that social housing management is the responsibility of private or public managers who work in the SHIs, housing associations, housing corporations, municipal-owned companies, or local housing authorities. Lastly, the management of social housing excludes all activities connected with the development of new social housing stock. In the definition above, there is no mention of long term strategic planning since the management of rental stock affects all the spheres of government and, in the case of municipal-owned SHIs, applying private sector market

related orientation, strategic housing management, and attending to socio-economic and demographic issues.

4.11 DEVELOPING SOCIAL HOUSING STOCK

In order to fast-track the delivery of social housing in South Africa, the government has developed and agreed on 12 outcomes as key focus areas between all spheres of government (Outcome 8, The Presidency, 2010:4). The implementation of the outcomes is based on agreements between the Presidency, the National Minister of Human Settlements, the Provincial Member of the Executive Committee and Mayors of municipalities as per the intergovernmental relations act. A key additional output for Outcome 8 is the increased provision of well-located land and affordably priced rental accommodation. The target was to deliver at least 20 000 units per annum over a period of four years from 2011 to 2014 (Outcome 8; the Presidency, 2010:4).

From the above mandate, it can be deduced that the systems of social housing supply are made up of several facets, including the aspects of development processes, land supply and the provision of infrastructure and building processes. According to the Presidency (2014:4), the achievement of Outcome 8 also requires the three spheres of government to work together in the identification and implementation of key activities in the provision of social housing. These include land and building release and packaging, streamlined town planning arrangements and infrastructure provision and the demarcation of restructuring zones.

The speedy release of buildings to be converted into rental housing is another option to fast track delivery. According to Swan, Fitton, Smith, Abbot and Smith (2017:458), government subsidies can be used to conduct building assessment to refurbish any building and convert it into affordable rental housing. To fast track the delivery of housing

development and opportunities, the government established the Housing Development Agency (Act 23 of 2008) to ensure there is collaboration, intergovernmental coordination, integration and alignment for housing development services. Development processes entail planning processes and the three spheres of government have different planning processes. The missing link is a planning system that can be applied across all different spheres of government and a finance model through which affordable social housing rental opportunities can be financed (Ganiyu, Fapohunda & Haldenwang, 2016:414).

To achieve Outcome 8 targets, the following changes (according to the delivery agreements) must be addressed, namely: providing rentals to meet the lower end of the income band (R3 500.00 and below), availability of the required grant funding, gearing up the capacity to deliver and the management of delivery programmes. All these challenges have intergovernmental relations implications (Outcome 8; the Presidency, 2010:53).

The South African Government has, over the years, made a concerted effort to fast-track the delivery of social housing to accommodate low-income earners in the rental sector, but the recent figures from Statistics South Africa still show that much needs to be done in this regard (Ganiyu et al., 2016:414). It must be noted that the pace of social housing delivery is very slow and is characterised by poor coordination between the spheres of government responsible for housing development. Delays in project initiation and approval has been a norm in the social housing sector (Ganiyu et al., 2016:414). The pace at which the delivery of social housing is moving has made it difficult for the government to reach the Outcome 8 targets of 20 000 units per year for years, that is from 2011 to 2012.

4.12 ALLOCATION OF FINANCIAL RESOURCES IN THE IMPLEMENTATION OF SOCIAL HOUSING PROJECTS

Funding for social housing projects generally requires a combination of government subsidies, equity from the SHIs, and debt finance. The subsidy portion of an average social housing development (that is Restructuring Capital Grant and Institutional Subsidy together) provides approximately 60 to 70 percent of the funds required for an average social housing project. According to Ganiyu et al. (2016:421), subsidies, when used to finance housing projects, help government to achieve their goal of providing social housing to low income households.

The remaining 30 to 40 percent is provided through equity from the SHIs and/or loan debt finance. Generally, equity comprises less than 10 percent of the total project finance requirement, and debt finance is around 30 percent. The debt finance is almost exclusively procured from the NHFC and GPF and few secure loans from private banks. In addition to the public sector financial flows, social housing often requires loan finance from state owned companies or the private sector, as well as in some cases of equity, from the participating SHIs. Given the above funding model, it is evident that the social housing programme has a complex funding model requiring a synchronisation of a range of funding sources (Rebel Group Advisory Southern Africa, 2016:23). The direct allocation of capital funding from national government to the SHRA is unique as it is allocated as a separate amount from National Treasury, and it is not included as part of the overall housing budget.

Also unique is that this capital funding comes from the national level, and is not disbursed through the provinces. All other funding for housing is provided to the provinces by national government on the basis of the annual Division of Revenue Act, and is disbursed at the provinces' discretion in terms of their particular needs and strategy. The direct

allocation of capital funding to the SHRA confirms funding for social housing that does not have to compete with the RDP (ownership) housing subsidy programme (Centre for affordable housing finance in Africa, 2012:44).

4.13   RESTRUCTURING ZONES

The Restructuring Capital Grant and the allocation to the SHRA from National Treasury focus on spatial restructuring that is to take place in 'restructuring zones'. The Social Housing Act defines a restructuring zone as a geographic area that has been identified by the municipality, with the concurrence of the provincial government, for the purposes of social housing. The restructuring zones are intended as instruments (among others) used to pursue the restructuring of South African cities and they are intended to improve integration (economic, racial and social).

Restructuring should result in a move away from housing interventions that entrench, enforce or in any way maintain the spatial status quo. Restructuring ought to overcome the social and economic disparities that typify South Africa's urban spaces. It is, therefore, intimately linked to interventions in the land market, either to protect lower income (or often black) people from displacement or to bring lower income (often black) people into areas of economic and other forms of opportunity from which they would otherwise be excluded (Social Housing Regulatory Authority Annual Report, 2015:23).

The logic of restructuring is not the same as the logic of urban regeneration and urban renewal, but there are some overlaps. To this end, restructuring zones are intended to align with urban development zones, which are linked to planning processes such as the national spatial development framework, provincial growth and development strategies, provincial spatial development plans, and local authorities' integrated development plans.

Urban development zones are areas in which a tax incentive is applied to encourage inner city renewal across South Africa. Any tax paying, property owning individual or entity may claim the tax benefits of the urban development zones incentive if their intervention meets the criteria associated with the policy. The incentive takes the form of a tax allowance covering an accelerated depreciation of investment made in either refurbishment of existing property or the creation of new developments within the inner city, over a period of 5 or 17 years, respectively (Rebel Group Advisory Southern Africa, 2016:23).

Based on this funding regime, the SHIs find it challenging to deliver social housing units at scale owing to increases in development costs as SHIs must pay value added tax on construction, as it is linked to the Reconstruction Capital Grant. This reduces the impact of the government grant contribution. Access to funding by SHIs from the SHRA and other funding sources is cumbersome as all have their own qualifying and reporting requirements. The other challenge is that both the national and provincial government finances are governed by the Public Finance Management Act, Division of Revenue Act, Intergovernmental Relations Fiscal Act and the municipalities are governed by the Municipal Finance Management Act. Alignment of all the pieces of legislation is important to ensure financial planning.

4.14   CONCLUSION

In the South African context, the government takes a leading role in the provision of housing as is mandated by the Constitution and the Bill of Rights. The housing legislation clearly defines the roles and responsibilities of each sphere and it is also equally important to mention that funding comes from the government in the form of grants and subsidies. This applies to the provision of social housing, where the social housing policy was approved to guide the development of social housing and the delivery agents, which are

public and/or private social housing institutions, were mandated to deliver social housing units.

The role of the municipality in facilitating and ensuring a conducive environment for the delivery agents to develop and manage social housing units is clearly defined. It is important to highlight the impact of restructuring zones on the densification programmes of government where social housing contributes toward the integration of society, both socially and economically. The state entities also play a key role in terms of housing finance, administration of subsidies, planning regimes, coordination of housing-related activities and how these influence social housing policy implementation processes. Lastly, what is key for the government as the leader is to identity key risks, such as financial risks, interagency coordination and agency transparency and accountability, noting that public funds are used and compliance to legislation governing the use of public financial resources is key.

CHAPTER 5:

ANALYSIS OF KEY CHALLENGES IN IMPLEMENTING SOCIAL HOUSING POLICY IN THE GAUTENG PROVINCE

5.1 INTRODUCTION

There are various processes and specific functional activities of the three spheres of government and state entities that must function within a particular environment to improve the general welfare of society by providing products and services. There are also challenges that are inherent in the current intergovernmental relations system and social housing delivery implementation system as identified in the scholarly documentation and literature review. Scholars such as Khumalo., 2019, Theletsane., 2019, Malobela., 2019., Harriot & Matthews., 1998 and the Gauteng Rental Housing Strategy of 2017 highlighted lack of a coordinated approach, administrative, institutional, management capacity and inadequate financial planning across spheres of government and state agencies. According to Dale et al, 2012 different planning regimes impact negatively on human settlements planning, land release processes and budgeting. It is important to look at the key factors that would inhibit effective social housing policy implementation and provide an analysis of how they impact on the delivery of social housing.

The main purpose of this chapter is to recognise and discuss the barriers to securing affordable rental social housing. The effective implementation of social housing policy within government is affected by many challenges and, for the purposes of this chapter. All challenges are discussed below as they have a great impact on the provision and delivery of social housing by government.

5.2 KEY CHALLENGES IN IMPLEMENTING SOCIAL HOUSING POLICY

Like any other functional administrative process, challenges do prevail and thus, in the context of the social housing policy management process, there are key challenge impediments constituting and discuss as follows:

- human settlements planning and land use;
- supply, release of land and provision of basic infrastructure;
- administrative and institutional capacity as policy implementation impediments to a system of financing social housing and financial planning; and
- coordination of social housing and intergovernmental relations functions and activities.

5.2.1 Human settlements planning and land use

A primary objective of planning is to inform decision makers of the complexity of the environment in which they, and their competitors, operate and to broaden the horizon of their strategic thinking (Gil-Garcia, Pardo & Luna-Reyes, 2018:124). In the context of human settlements, planning must focus on enhancing the ability of decision makers to make sense of an uncertain and complex environment in defining sustainable human settlements.

Human settlements planning addresses rapid urbanisation and is defined as a self-conscious effort to imagine or re-imagine a town, city, urban region or wider territory and to translate the results into priorities for area investment, conservation measures, new and upgraded areas of human settlements, strategic infrastructure investments and principles of land use regulation (Muchadenyika, 2017:10). According to Kang and Groetelaers (2017:1031), municipalities establish and enforce land use plans and building

code based on the housing act norms and standards and applicable spatial planning regulations. They also carry out land development projects to supply new social housing units for residential purposes to home builders, realising urban layouts defined in their land use plans, through national government funding mechanisms provide bulk services infrastructure. According to Mason (2018:64), human settlements must be inclusive, safe, resilient, and sustainable and there is a link between safe human settlements and people's safety as it relates to housing.

At the heart of managing integrated sustainable human settlements development lies human settlements planning. Muchadenyika (2017:12) mentions that the current human settlements planning regime lacks institutional, legal, and regulatory policy frameworks, rationalities, techniques and ideologies that inform and guide human settlements planning. Lanoszka (2018:2) mentions that too many development plans, including human settlements plans, did not produce the expected results because they neglected to properly evaluate the requirements of people in need and overlooked the range of constraints surrounding them.

According to Muchadenyika (2017:13), human settlements planning deals with the configuration of space for housing and human settlements development and the outcome is the best plan for advancing sustainable urbanisation especially in fast-growing Gauteng cities. This will not become a reality unless there is both the political will and the institutional capacity of the national, provincial, and local governments. The ability to manage and respond to escalating demands for urban services, housing, human settlements and infrastructure is limited in the three metropolitan municipalities in Gauteng. There are multiple institutional shortcomings such as insufficiently trained and uneducated staff in human settlements planning.

Human settlements plans in most municipalities lack what Turok (2016:12) calls the 'urban land-infrastructure-finance nexus'. This logic rests in the institutions and mechanisms that allocate land to appropriate uses within urban areas, including clearly defining property development rights, adequate land valuation systems, and rules that control property development. These systems have a profound impact on human settlements planning as they contribute towards inefficient allocation of land for human settlements development, indicators which are not measurable and accurate and standards and rules in terms of which the national, provincial, and local government regulates and integrates land use and housing development. The land use and forward planning framework guides the type and location of investment in infrastructure for the establishment of integrated sustainable human settlements.

Linked to human settlements, planning is development planning, which began as an offshoot of economics concerned primarily with trying to influence the rate of growth and structure of the national economy. This has now become a much wider-ranging activity concerned with all aspects of social, economic, political, and environmental change, and overlapping into physical planning. Planning should, therefore, not be approached as the preparation of ambitious or idealistic plan documents for fixed periods of time, but as a continuous process closely related to the formulation of policies and the implementation of plan proposals (Conyers & Hills, 1984:62-63).

Conyers and Hills (1984:62-63) further proposed that development planners should work closely with politicians, administrations and with the general public. The planning process should not only include the preparation of plans but also the monitoring and evaluation of progress during implementation, plans should be continuously reviewed, revised and extended where necessary. The planning process will, in essence, include relevant leadership and appropriate structures or institutions such as the government structures and entities, the private sector and non-government structures. Control measures are

also essential to ensure that implementation stays on track. This means that development planning should be regarded as a very wide-ranging activity, encompassing all efforts to control, direct, influence and monitor the process of development.

Coetzee (2012:14) argues that, while much time is spent on developing spatial development frameworks, integrated development plans, policies, strategies, programmes and projects for urban regions, very little is being done to put these into action. According to Coetzee (2012:14), many spatial development frameworks and integrated development plans do not have proper implementation strategies which include management, funding, partnerships and monitoring strategies, and not enough is being done to facilitate, lead and champion the ongoing implementation of plans and strategies. Coetzee (2012:14) links lack of implementation to the following factors: poor leadership, inappropriate organisational structures and processes, lack of capacity, poor quality plans, confusion relating to the plethora of different plans and strategies, poor intergovernmental relations and co-operation, lack of funding and the absence of strong partnerships, and lastly, inappropriate planning systems.

The National Development Plan (2012:46) identifies weak spatial planning and governance capabilities as another challenge in the implementation of the Breaking New Ground (BNG) initiative. It is noted in the plan that the South African intergovernmental system of spatial planning has been slow to develop, and coordination has also often been slow. There is division of powers and functions between the three spheres of government, where this has contributed to the problem; as have the ambiguities in the Constitution about who is responsible for spatial planning. Reddy (2010:71) is of the opinion that the integrated development plan is an intergovernmental mechanism to facilitate consultation on programmes and projects of other spheres of government to ensure that local communities benefit from developments. The intergovernmental mechanism is, according to Reddy (2010:72), not only sector specific in terms of aligning

financial and institutional resources (as defined by the social housing policy objectives and programmes), but also integrates local activities with social housing planning of other spheres of government, facilitates engagement between different role players and stakeholders and prioritises programmes and resource allocation.

The objective of intergovernmental relations is to establish a system in which all the spheres of government plan together to provide a coherent approach to service delivery and development. An overall planning framework of government has thus been the goal. Central to this planning framework is the Medium-Term Strategic Framework that, in turn, informs the Medium-Term Expenditure Framework. The latter framework (and the accompanying Medium-Term Budget Policy Statement) is used as a tool to encourage co-operation across ministries and planning in three-year cycles. Introduced in July 2001, the planning framework ensures that policy priorities of all governments are derived from the electoral mandate and that these priorities inform budgeting.

The underlying principle of integrated development planning across spheres is that it must be a dialogue between spheres. National priorities are influenced and shaped through the articulation by communities of their needs via the municipal integrated planning process. A cabinet Lekgotla in July 2001 resolved that national and provincial governments should plan and budget around local needs as a matter of principle. In December 2001, the President's Coordinating Council (PCC articulated this principle as follows: in a system of state-wide planning, municipal integrated development plans (IDPs) must serve as the basis for aligning the policies, planning, and budgeting of all three spheres. The IDPs are thus seen as an intergovernmental planning instrument for the whole of government (Ille, 2010:23). In Gauteng Province, the provincial government has made several attempts to institutionalise planning activities across the three spheres of government using the IDP and provincial growth and development plans (PGDPs) (Ille, 2010:12).The extent to which both the IDP and PGDPs strike a balance and help in

coordinating the delivery of services in terms of attaining the desired outcomes still needs to be seen, as the activities of both the province and the municipalities in the province must organise, learn and act with each sphere. The IDP and the PGDPs are plans that contain the strategic goals of the province, as well as those of the municipalities. Both the province and the municipalities have failed to utilise these plans as effective planning management tools (Ille, 2010:23). The absence of a credible housing chapter as a human settlement planning tool in the municipal IDP's contributes non-alignment of plans and strategies to fast track the delivery of social housing in Gauteng Province. Housing chapters ensure there is coordination, alignment and inter-organisational and bottom up approach in the implementation of social housing policy. The plans at municipal level are useful as they assist in terms of alignment at local level and integrate implementation processes to ensure a sound social housing delivery and as sustainable financial planning.

5.2.2   Supply, release of land and provision of infrastructure

Land supply factors have a significant impact on the implementation of affordable social housing, given that land is a resource that is a prerequisite of any housing development initiative (Cai, 2019:935). Cai (2019:935) also states that local governments are fully responsible for the development of affordable housing, including policy plan, housing supply, location selection, land supply, facility management and maintenance, infrastructure, community services, and resource allocation. As social housing production is contingent on the availability of land, a political economy of land supply and release by government can influence the quantity of land supplied for housing development (Li, Wong & Cheung, 2016:12). Furthermore, they indicate that the processes of releasing land are lengthy and cumbersome, as in many instances, these processes must satisfy different social, environmental and economic needs, which to some extent may be mutually exclusive. Cai (2019:947) concludes that land scarcity and reliance on land-

related revenues are the main obstacles in implementing affordable rental housing policies.

There are indirect land release control processes, such as zoning and planning at the municipal level, that influence the speedy release of land. According to Singh (2017:12), land is a state subject and its acquisition is in the hands of both the national, provincial and local governments. The major issues in land acquisition include conversion from agricultural to non-agricultural use, market price, compensation for acquired land, and rezoning and subdivision matters. In Gauteng Province, the majority of the Social Housing Institutions (SHIs) access land through donations from the municipalities, therefore, the cost of the land to the project is nominal or zero. Another challenge is the administrative nature of applicable legislation requirements of both the Municipal Finance Management Act and the Public Finance Management Act, which governs the operations of the national, provincial and local governments differently.

According to Li, Wong & Cheung, (2016:12) there are several stakeholders involved in the housing market, each with competing expectations and agendas. Governments find it difficult to develop land release policies and this affects the smooth supply and release of land for social housing development. It is important to note that urban policies, including land release and land use policies are products of different spatial characteristics with intricate connections among different actors and institutions. This network of relationships, one way or the other, affects the speedy release of land and may, to a large extent, limit the practice if it is not coordinated with other actors and institutions in the social housing delivery market. The reality is that the growing demand for social housing needs to be addressed through a robust, broader spatial targeting approach which is supported by higher levels of investment, alternative financing, a projects pipeline and involvement by the municipality. The City of Johannesburg has a

proactive response to address the targeting spatial approach by targeting inner city land and building expropriation.

The other challenge that had an impact is the slow rate of release of land for social hosing development and the institutional arrangement for public land supply channels. According to Li et al. (2016:12), if the channels of land release are not streamlined, the government as the largest supplier of land for housing will find it difficult to supply land for other end-users such as real estate developers, developers for supplying housing units and developers for affordable rental social housing units. Ultimately, developers get frustrated, as this demand-driven approach lags behind the expectations of the general public and the delivery of social housing is affected by the limited supply of land.

Mari (2013:575) highlights the role of the local government sphere as the initiator of social housing projects, since municipalities have to identify both the demand for social housing and the restructuring zones. The local sphere of government must take measures to facilitate the delivery of social housing through the conversion of existing non-residential stock and upgrading of existing stock. The municipality is obliged to provide access to land and buildings for social housing development and provide and maintain the necessary infrastructure to ensure sustainable provision of services, including affordable social rental housing (Thornhill & Oosthuizen, 2017:23). In essence, the local government sphere is directly responsible for the establishment of social housing stock.

Inadequate supply of affordable land for social housing development has been identified as the main challenge that affects all types of development in any society (Ugochukwu, 2015:45). The constraints posed by the inaccessibility of land have reduced the supply of affordable rental housing in Gauteng over the last decade. Lack of adequate land for urban development, particularly for low rental housing, is the single most important

impediment in achieving the goal of providing shelter for all. In Gauteng, scarcity of land has led to overcrowding in existing neighbourhoods, illegal invasion of vacant land, occupation of vacant buildings and growth of squatter settlements. This is because people cannot afford to pay market-related rentals in urban settlements. This trend can only be reversed by the provision of adequate and affordable land for low income social rental housing.

The challenges in financing the main production factors of social housing in an urban context, which are largely contrary to rural/or traditional situations, are land, construction material, labour (in particular skilled labour) and bulk services infrastructure. All these components require funding and, taking into consideration the rising costs of building materials, the construction process ranks highest after land costs (Rudic, 2015:21). The approaches towards funding the main social housing production elements such as land acquisition, permanent municipal services and housing construction have not been adequately implemented and translated (Ogra, 2013:23).

Building materials constitute the single largest input to social housing construction in cities of most developing countries, particularly in Africa. Owing to a lack of skills to negotiate the best deals with regard to planning and managing delivery of building materials, SHIs are currently unable to have reliable and substantial project delivery pipelines. The high costs of materials for building houses and for installing infrastructure are a serious challenge that mitigates against the delivery of mass decent social housing units, not only in Gauteng but in all other provinces as well.

The challenge currently facing all three of the big metropolitan municipalities in Gauteng is that suitable land for social housing development is scarce and becoming increasingly expensive. Land prices in more desirable locations near the main transport nodes and employment cores are invariably higher than large pieces of land situated on the

metropolitan periphery (Ogra, 2013:12). Access to suitable land nonetheless represents one of the most important challenges for social housing production.

The social housing sector benchmark information indicates that if land is to be paid for at market rates, it could add between R15 000 to R25 000 per unit for raw land (3 or 4 percent to 10 percent total cost), and even more in really good locations. In parts of Gauteng's three metropolitan municipalities, where urban renewal and transport-oriented corridor densification and re-development are taking place, the accompanying increase in demand for property means that the acquisition of privately owned land could cost more and thereby influence social housing opportunities. The reality is that purchasing land at market prices across all the metros in Gauteng has a significant impact on overall costs and potential locations. Social Housing Institutions in Gauteng enter into special arrangements with the local authorities to request landowners to reduce these land costs to nominal amounts with, therefore, negligible impacts on overall costs. In some metros in Gauteng, the metro will donate land. However, this normally takes many years of stalled and delayed negotiations, for example, the case of City of Tshwane and Yeast City Housing where it took almost ten years for the city to enter into a thirty-year lease agreement.

The social housing policy emphasises that the local sphere of government should ensure that the environment is conducive for the development and implementation of social housing projects. This entails providing infrastructure and housing-related services (such as planning) without the corresponding resources from both the national and the provincial governments. According to Ogokhukwu (2015:12), financing and facilitating infrastructure to meet the basic needs of many urban communities has been difficult for local authorities. This is, in most cases, owing to the high standards that make the provision of infrastructure very costly. Local government has not received adequate funding for the provision of bulk infrastructural services to the growing number of urban

communities. There are also issues of institutional capacity, coordination, and lack of economies of scale in managing municipal public utilities and entities responsible for managing the development and management of affordable rental housing in big metropolitan municipalities. Since the provision of social housing is a shared responsibility between the three spheres of government, the issue of slow and inefficient responses to housing related queries is a challenge.

Metropolitan municipalities in Gauteng Province do not have a framework for coordinating land identification and acquisition processes in order to facilitate the achievement of the goal of integrated human settlements. The myriad of policies and legislative frameworks that have served as strategic guidelines in the identification and acquisition of well-located land in the metros are cumbersome and not customised to individual municipalities. The process of identifying and acquiring land is currently fragmented in all the metros and there are no proper facilitation processes to eliminate the acquisition of land at exorbitant prices.

There is no coordination of the various sector departments within a municipality to ensure contribution of the municipality towards a coherent land acquisition programme that seeks to enhance the delivery of sustainable human settlements including the land reform programme of South Africa. Land acquisition in the country is a complex process and most metros are struggling to fast track the transfer of land to social housing institutions and other delivery agents, and this is hampering the delivery of social housing (Karmakar, 2017:14). Other metros are disposing of suitable and well-located municipal land with the expectation that it will be acquired later with exorbitant prices for human settlements development.

5.2.3 Lack of administrative and institutional capacity to implement social housing policy

The provision of housing is covered in all activities in which the three spheres of government engage each other to promote the wellbeing of their populations, covering health, housing, nutrition and education, as well as income maintenance. Social housing also falls within the public activities of the three spheres of government and housing agencies to improve citizen wellbeing and, in many instances, it may be motivated by different objectives to address housing backlog and homelessness. In order for the government to delivery there should be demonstrable administrative and institutional capacity to implement social housing policy thereby deliver social housing units.

According to Dunlop, Radaelli, and Trien (2018:167), the provision of low-income housing assistance is a key social policy within the welfare state and the objective of government is to alleviate housing inequalities in terms of affordability and suitability. The interesting part is that, although housing falls within the welfare policy and caters for the very worst-off, the targeted market for social housing is in fact those with an income who can pay for rent and utilities on a monthly basis. In the study of the role of government in implementing social housing, it is important to consider how welfare policies impact welfare institutions, social housing institutions, labour markets and social structures and their influence on the degree to which individuals or families can uphold a socially acceptable standard of living in a social housing unit delivered by government.

The administration and delivery of housing systems is facing organisational challenges and becoming more complex, with a rural and/or a highly mobile population. As noted by Dunlop et al. (2018:168), the South African housing system has, over the past two decades, experienced many administrative procedures and institutional changes and impacted negatively on the implementation of social housing policy, low-income housing

policy formulation, and funding mechanisms to address different housing needs. The clarification of the roles and responsibilities of the three spheres of government has an impact on the administrative networks within the government housing system which are, to a large extent, slow and cumbersome. The support of non-profit organisations such as the SHIs by the three spheres of government, which are mandated by legislation to deliver and manage social housing units, has become an administrative nightmare as each sphere will prescribe its own administrative procedures.

According to literature studied lack of administrative and institutional capacity can open the road to corruption, with people double benefiting from the housing system as a result of checks on identity being difficult if civil records are of low quality. Another potentially complex issue for the government to resolve is how to coordinate different housing programmes. The South African housing system is comprised of more than ten housing programmes, including (i) integrated residential; (ii) upgrading of informal settlements; (iii) housing assistance in emergencies; (iv) social and rental housing; and (v) rural housing. These programmes are delivered by a variety of public, private and/or third-sector organisations and at national, provincial and/or local government level. For the government to implement its housing programmes, there ought to be public officials who act as project managers in social housing development and management of integrated human settlements (Knipe, 2010:135).

The interaction of different spheres of government is termed intergovernmental relations, which is the term used in public administration and which refers to the relations between levels of government within a nation state (Bevir, 2007:468). According to Bevir (2007:468), intergovernmental relations is the combination of various interdependencies and influences among public officials and administrative networks between and within all levels of government units with a particular emphasis on public policy, fiscal policy and political issues. In the South African context, the levels of government are national,

provincial, and local, and the South African public administrative system relies on public employees being in a position of interpreting and deciding between alternatives to deliver the best possible outcome in a given case and this is labelled discretion. Public administration and intergovernmental relations are part of a theoretical thrust towards a deeper and more comprehensive understanding of the workings of government in the delivery of services, which includes social housing.

The working of government has certain public administration values and principles that must be adhered to by the national, provincial and local levels of government. Section 196 of the Constitution establishes the Public Service Commission whose powers and functions are, inter alia, in terms of Section 196(4) (a), to promote the values and principles in the public service as set out in Section 195 of the Constitution. In executing their duties, public officials must exercise what Gil-Garcia, Pardo & Luna-Reyes (2018:84) call administrative discretion, which should be embedded in administrative practices. Administrative discretion relates to the exercise of professional judgement and decision making in accordance with standards set by a particular authority.

The values and principles of public administration are applicable to all spheres of government, organs of state and public enterprises, but the Public Service Commission has been established to promote these values and principles only to the Public Service which, in essence, consists of the national and provincial spheres of government. This leaves the local government, other organs of state and public enterprises outside the mandate of the Public Service Commission. The fact that local government is not regulated by this commission, creates a problem of fragmentation and lack of consistency in the promotion of values and principles in public administration. The number of organisations active in the authoritative allocation of values to society has increased and, to a large extent, government has become too big.

According to Ringeling (2017:91), in recent times there has been a growing number of employees working in policy implementation organisations, irrespective of whether these organisations have a public, semi-public, or private character, and this number has surpassed the reduction of officials in central government. The growth of public activities is indisputable if every person professionally active in the public realm is included (Ringeling, 2017:91). It is for this reason that there is a high degree of organisational fragmentation, which has led to uncoordinated housing and human settlements tasks between the national, provincial, and local levels of government. Another challenge is the uncoordinated policy making activities and the control of implementing organisations and lack of institutionalised values in the current bureaucracy which is very diverse. The function of the bureaucracy is to implement what has been decided upon by political actors, and in this case, social housing policy. Public bureaucracy has to take care that the governed objects have to be understandable, measurable and standardised in order to govern. The bureaucracy is considered to be a neutral institution, suited to execute faithfully whatever politician's whish (Ringeling, 2017:234).

Hatting (1998:04) maintains that intergovernmental relations includes the study of relations between persons (public servants and office bearers) in authority as well as a comprehensive range of relations between these individuals and institutions. This observation will be important for purposes of illuminating the usual sour relations between governmental entities and communities which, in this country, has resulted in service delivery protests and demonstrations. The involvement of the public sector in the provision of social housing was intended to help those who cannot afford private rental accommodation (Harriot & Matthews, 1998:3). It is important to understand the fundamental principles that govern housing policy within South Africa in order to evaluate the role and place of social housing within the housing field. The implementation of a policy is one of the generic functions of public administration and this study is interested in the implementation of social housing policy by the three spheres of government

(national, provincial, and local). "Policy" is referred to as a statement of intent. According to Cloete (1992:104), policy provides answers to the questions: what should be done, how should it be done, when should it be done, where should it be done, by whom should it be done and for whom should it be done and at what cost?

The overarching objective of social housing policy is to meet housing needs, particularly the vulnerable households of low and middle-income earners. There is evidence that social housing policy in South Africa is not adequately supported to achieve sustainable goals, despite its significance for addressing the rental housing crises in Gauteng Province. According to Cai and Wu (2019:935), the ultimate effectiveness of affordable social rental housing policies deeply relies on the commitment, implementation and service performance of public officials of local governments, who are fully responsible for development of affordable rental housing. In South Africa, according to the applicable affordable rental housing policies, acts, guidelines and strategies, the local government must plan, identify land, provide location services and facility management, infrastructure and resource allocation. Thus, it is important to consider the views of public officials in evaluating the effectiveness of policy implementation especially when a policy, such as the social housing policy, has been implemented for a while (Cai and Wu, 2019:936).

Ayebanji (2017:23) conducted a study on critical success factors for achieving sustainable social housing from economic, environmental and social perspectives. The authors' findings centre on the role of government in implementing social housing policy. In implementing social housing, Ayebanji (2017:12) mentions a lack of efficient sustainable development strategies linked to social housing policy objectives and legal and institutional frameworks for enhancing efficient implementation and control of social housing programme activities, awards of contracts, and distribution. Lack of effective legal frameworks also contributes towards ineffective monitoring and evaluating systems to measure and account for the delivery of sustainable social housing projects in Gauteng

Province. The challenge in the implementation of the current social housing policy is, therefore, the absence of institutional governance to ensure formal authority that will incorporate practices and performances by different spheres of government and institutions and entities that interact with government (Tsenkova, 2014:12). These represent a variety of public, private, and non-profit stakeholders involved in implementing public policies and programmes in the housing sector.

The National Department of Human Settlements is responsible for playing an enabling role in housing, with major responsibilities centred on legislative reforms and the development of an efficient legal and institutional framework for housing. Although, as per the legal framework, the delivery of human settlements is a shared responsibility of the national and provincial governments, the role of municipalities is limited to facilitating and planning, as described in the Housing Act (Ogra & Onatu, 2013:23). However, Turcu (2017: 57) expands the definition of the role as that of subsidising rents and buildings to be converted into affordable social housing units, allocating vacant units, day-to-day management of rental stock, and maintaining social housing. A challenge faced by municipalities is a lack of administrative and organisational capacity to carry out the management and administration of rental stock. Municipalities also have a responsibility to prepare development plans, provide infrastructure for housing development and, in most cases, they are in financially constrained and unable to secure the necessary finance from local budgets or loans.

The National Social Housing Act of 2008 and the National Social Housing Policy of 2005 clearly define the roles and responsibilities of the different spheres of government and the establishment and identification of housing institutions. The establishment of housing institutions is determined by the path-dependency, and it is not surprising that the institutional arrangements are inherently slow, where an imbalance has arisen between the national, provincial and local governments with regard to the priorities, targets,

production and financing of social housing units. The key challenge for the metropolitan municipalities is to adapt to more complex and diverse social housing implementation functions and activities and requires a clear definition of responsibilities and the delegation of authority among other government departments at both national and provincial levels. The central government has been consistently adjusting its affordable housing policies, human settlements planning regimes, strategies and funding models since 1994, and this gave rise to inefficiencies, lack of sustainability, and failure to clearly define the mission of the housing policy. Given the lack of support and clear mission of the housing policy, local governments are reluctant or even resistant to further the development of affordable housing (Cai, 2019:935).

To address the imbalances, it is crucial for the state to support the social housing markets by providing a transparent and effective legal system and sound investment climate to improve the delivery of affordable rental social housing. The other challenge is to achieve policy coherence as social housing policy is increasingly fragmented, since there are many actors, all with conflicting interests, targets, priorities and goals. To a large extent, the National Department of Human Settlements is losing influence as all the metropolitan municipalities in Gauteng have developed their own policies and strategies in line with their political mandates. A mechanism for a coherent across governmental policy for development of social housing with a pre-evaluation is missing. The other important element missing in the policy formulation phase is what Murphy (2016:23) called evidence-based policy where appropriate evidence and best practices are incorporated in the social housing development processes. The importing of international social housing policies that have evolved within a specific territorial and institutional context and transplanting these policies into new territorial contexts makes it difficult to implement and to inform decision-making processes (Murphy, 2016:24).

New institutions and agencies were established to facilitate the implementation of social housing policy, and to deal with specific housing problems. The social housing policy stressed the role of social housing institutions, where these institutions act as social housing developers using their budget resources, public land, and loans to develop social housing units. The majority of these institutions are in the early stages of development and even municipal entities lack the capacity to produce new rental stock and allocate and consume social housing opportunities. Agyemang and Morrison (2017:04) identify lack of central government commitment, weak enforcement of planning regulations, and low capacity of local authorities (which are under-resourced in terms of staffing and finances) as hindering the delivery of social housing. The new players in the social housing sector include non-governmental organisations (NGOs), which require support to act as effective intermediaries between the public sector and civil society.

The participation of NGOs, in terms of influencing social housing policy development and implementation, is limited due to lack of capacity. Few of these institutions are able to deal with housing policy research, surveys, data collection, and social housing policy evaluation (Tsenkova, 2014:12). The Act has outlined the functions of local government in the implementation of social housing policy and this means the devolution of housing responsibilities. The devolution of housing responsibilities to the local government level has also contributed to loss of political support by provincial governments in the implementation of social housing policy. Local governments found themselves having to mobilise funds for capital-intensive housing programmes. Furthermore, capacity constraints, political changes and unfunded mandates have become significant constraints for housing policy implementation at the local level (Tsenkova, 2014:9).

There are two different approaches to the implementation of a policy, namely the top-down and bottom-up approaches. According to Cloete, 2000:169), the top-down approach is an authoritative policy decision at the central government (top) level of

government. Awotona (1999:174) highlights the importance of bottom-up approaches in the implementation of a policy, citing the case where a community in District Six (in Cape Town, South Africa) was able to take efforts and participated in the debate and influenced policy in the development of urban areas in which they had an interest. The community was able to raise community awareness through its local intervention and the power of people and place in claiming and defining space. According to Awotona (1999:174), most communities in developing countries live in shanties, townships and slums, and dwellings and informal settlements remain real and physical.

Mannel (2010:14) highlights the importance of communities being consulted before policies or projects are finalised and implemented. The community need to understand meaningful engagement and the role of various spheres of government in the implementation of policies, including social housing. Participation by the community, individually or collectively, through formal or informal channels, voicing their demands, making choices and being actively involved in projects has proved to be important in sustaining housing development initiatives.

Communities have the potential to stop government social housing projects at any given time since their involvement and working closely with them increases not only the resources but also cost-effectiveness and user satisfaction. According to Phago (2013:3), intergovernmental relations policies failed to provide clear and manageable structures and programmes, and policy priorities often cut across ministerial mandates and traditional policy fields. Communities depending on the powers granted to them in their respective statutes of autonomy are authorised to modify and compliment the central state's housing policies with the help of their own resources. They are responsible for establishing their regional housing policies and regulations, developing and managing their subsidised owner-occupied and rental housing stock and granting and controlling subsidisation of housing investments.

Intergovernmental relations are defined as the various combinations and interactions conducted by government officials, elected and/or appointed, between and among spheres of government and organs of the state (Mathebula, 2011:1416). According to Mathebula (2011:1416), there are two drivers of intergovernmental relations, namely interactive and transactive processes. Tapscott (2009:9) argues that the development of an effective system of intergovernmental relations needs to be supported by appropriate policy pronouncements and by legislation. An operational system of intergovernmental relations needs to accommodate the aspirations and vested interests of the different spheres of government, and at the same time manage areas of dispute. Hughes (2011:2-16) discusses at length the governmental nature of South Africa as a developmental state and how policy postures help or do not help the role of intergovernmental relations harmonisation as a national policy response to promote sustainable service delivery and development in South Africa.

De Vries, Reddy and Hague (2008:88) argue that effective intergovernmental relations in democracies worldwide are the achievement of service excellence in government spheres. Intergovernmental relations directly affect applicable operational activities. On the implementation level of policies, actions and contributions of specific role players and government institutions form the foundation for the promotion and facilitation of intergovernmental relations. In the National Development Plan (2012), it is noted that target setting in municipalities and provincial governments is still focusing on delivering numbers and not dealing systematically with the deficiencies in the implementation system and producing viable human settlements. This observation by the National Planning Commission relates to lack of alignment and integration of social housing implementation and intergovernmental systems.

5.2.4 System of financing social housing and financial planning

The South African government at all levels (national, provincial, and local) and of all persuasions uses a wide array of financial and other incentives to reduce the cost of housing, in the form of subsidies, grants, loans and equities. State subsidised housing is available to a wide range of different incomes, from those employed to those with no income at all, and this, to a large extent, under strict state control. In the South African context, state intervention in the social housing market is due to the economic, social and political circumstances that the social housing policy intends to address.

The state housing investment is financed through budgetary resources, where the National Treasury will allocate a budget for human settlements in general and housing in particular. This allocation is under the control of the central government, which is responsible for financing public housing in South Africa. The financing of social housing started slowly as this programme is still new in South Africa, and the social housing policy was developed during 2005 and the act enacted in 2008. Both the policy and the act define the role of national, provincial, and local government in respect of social housing, and how social housing projects are to be implemented through public funds and how to access funding for social housing projects. The two policies and the act have played a major role in extending the social housing sector, defining the target community and providing quantitative goals of affordable rental housing provision in South Africa (Hegedus, Lux & Nora, 2013:53). The act also made the establishment of the Social Housing Regulatory Authority (SHRA) as the regulator and the main provider of finance for the social housing sector.

Since the SHRA is a government agency, the implication is that the government is the largest provider of affordable rental housing in the market and has contributed many social housing production factors (Ram, 2016:11). The SHRA regulates the SHIs, which

are the main social housing developers and act as managing agents of the social rented sector. The financials of the Social Housing Institutions are covered in the grants provided by the State through the SHRA. The SHRA provides funding to SHIs for new construction of social housing projects, housing improvement, the acquisition of dwellings and conversion and refurbishment of buildings. Any SHIs wishing to use SHRA facilities must register with the SHRA and go through an accreditation process before the SHRA approves an application for funding. This is a long evaluation process, where the financial model and financial position of the institution is assessed. The preliminary work required by the SHRA for application of funding is that the SHI must obtain all documentation and technical project information, and in most cases the information is not always available, and very hard to obtain. It normally takes up to eighteen months for an SHI to collate the information and supporting documents, and by that time project cost have increased significantly and are carried into the total development costs.

The approval and provision of preliminary grants from the SHRA takes a long time and, once approved, the actual support can also take a long time owing to procurement processes of the SHRA. The insolvency position of the SHI must be positive if it is to be granted a social housing grant. Social housing is funded through grants, subsidies and other financial aid provided for social housing. For the purposes of this study, the types of subsidies and the rationale and functions of subsidies will be discussed. Subsidies can be classified by the manner in which they are provided, by whether they are targeted at housing consumers or producers, according to whether they are directed to renters or owners, and whether they are provided on an upfront basis or on a recurrent basis as an ongoing means of support. These can also be classified according to the objectives they are intended to serve (Clapham, 2012:398).

The financial instruments for social housing in South Africa, being grants, subsidies and loans drive a wedge between the market price and the cost of production of a social

housing unit and both change the level of output from what would have occurred in the absence of an intervention from the government in the form of subsidies. The term 'subsidy' is widely used as a means of describing a wide range of financial and other incentives that the government provides to reduce the cost of social housing units. At the simplest level, subsidies can be defined as payments or financial aid given by the government to individual SHIs or agents with the proviso that the activity or institution being supported is in the public interest. At a broader level, a subsidy is regarded as any measure that affects consumption or production of a social housing unit. Analysis of the government social housing subsidies and grants enables the consumers of housing services to improve affordability in terms of rent payable for social housing units and the production process to those producing social housing units. All these interventions are reflected in government budgets, hence there is transparency, and all are aimed at reducing the cost of housing to the end user. These forms of interventions result in the targeted group benefiting more favourably than would be the case without government intervention (Clapham, 2012:399). In South Africa, the economic circumstances, economic ideology and the government housing policy objectives have resulted in a significant shift and an emphasis on supply side subsidies over time.

The supply side subsidies are in the form of direct government grants and subsidies for the provision of social housing. This approach has been dominant since the approval of the social housing policy in 2005 and the subsequent passing of the Social Housing Act in 2008. Because of the broad social housing policy objectives and the country's ideological approach towards addressing the housing backlog, a move towards demand and supply side subsidies is still not possible. An analysis of the social housing sector shows that the supply side subsidies are being provided less explicitly, and as an inducement to encourage private investment to achieve government goals of providing affordable rental housing and integration of communities and urban renewal. The fact that the government provides grants, such as the restructuring capital grant and

investment grant only to projects falling in the restructuring zones, is an indication that the target will not be met and it will be difficult, if not impossible, to supply affordable rental housing in those areas outside the restructuring zones.

Through these subsidies and the government providing land, it is evident that the government is interested in the supply side of affordable rental social housing. This subsidy targets low- to moderate-income households as per the national social housing policy. The challenge is the failure of government to define housing demand qualitatively and come up with quantitative measures and options for the supply side of affordable rental housing. The rationale behind why the government continues to intervene in the provision of housing by making subsidies and grants available is discussed below. In many instances, the government social housing policy was implemented to improve allocative and productive efficiency and to affect what would be outcomes of the housing market in the absence of government intervention. Murtagh (2017:12) argues that the government intervenes in order to:

- enhance the provision of social housing and tighten market regulation as a tool to address both the market and government failures, institutional, legislative and regulatory environment.
- intervene through the provision of housing subsidies targeting the lower end of the market and in support of a particular tenure and, in this case, social housing;
- intervene to improve the quality of life, access to employment, community cohesion, improving fairness and increasing equal opportunities to housing;
- intervene to improve equity, reduce societal injustices and to ensure that households have access to adequate and affordable housing; and
- intervene in the provision of social housing as a consumption good to ensure that housing is affordable where the government look at the cost and price and subsidises the processes.

The other challenge in the delivery of social housing is the lack of proper financial planning between the three spheres of government. Oosthuizen and Thornhill (2017:21) highlight that financial planning is an important requirement to ensure financial self-sufficiency to be able to meet the demands of society by means of funds generated from own resources.

Although the objectives of the Division of Revenue Act, as set out in Section 2(a) are to ensure an equitable division of revenue between the three spheres of government, the challenge is that the financial years of the three spheres of government are not aligned. Both the national and provincial government's financial year runs from the first of April to the end of March and the local government's runs from the first of July to the end of June each year. In terms of financial planning, this poses a challenge where the national, provincial and local governments plan their budgets over a multi-year period which is not aligned to the national and provincial spheres. South Africa's national vision for sustainable development includes meeting the essential human needs of the people by promoting amongst others, efficient and effective integrated planning and governance through national, provincial and local cooperation (Oosthuizen, 2017:22).

For sound financial planning, it is imperative that the national, provincial and local governments ensure that intergovernmental grants, as sources of funding, are predictable year after year, and that the municipalities get a consolidated grant for a year, as opposed to the efficiency with which the recipient has used the previous allocation. The following pieces of legislation are aimed at ensuring good and sound financial planning with the three spheres of government, namely: (i) the Intergovernmental Fiscal Relations Act (Act No. 97 of 1997); (ii) the Public Finance Management Act (Act No. 1 of 1999); (iii) the Division of Revenue Act (Act No. 2 of 2013); and (iv) the Municipal Finance Management Act (Act No. 1 of 2003). A challenge is the lack of creativity and innovation in integrating all legislation to ensure financial

planning. Ultimately there is no coordination between policy, planning, and budgeting and this, to a large extent, affects service delivery.

There are several grants applicable to municipalities. These include municipal urban settlements development grants, human settlements development grants municipal water infrastructure grants, national electrification programme grants, capacity building grants, integrated city development grants, energy efficiency and demand side management grants, and municipal demarcation transition grants. All these grants contribute towards ensuring the environment is conducive for the development of social housing. The main challenge is that all these grants have different targets, goals, plans, priorities, and implementation challenges, thereby making it difficult for the municipalities to align, integrate implementation processes, and ensure sound financial planning. The financial planning side in municipalities becomes uncertain where funding becomes uncoordinated and puts any planning exercise of local government in jeopardy (Sahasranaman, 2012:26).

5.2.5 Coordination of social housing and intergovernmental relations functions and activities

The new governance in housing goes beyond the formal authority and incorporates practices, activities, functions and performance by other, different institutions and entities that interact with government (Tsenkova, 2014:90). These represent a variety of public, private and non-governmental organisations, interest groups and government departments at national, provincial and local level that are involved in implementing housing policies and programmes in the housing sector. The National Department of Human Settlements has established new national housing agencies and sustainable housing institutions such as the Social Housing Regulatory Authority, the Housing Development Agency, the National Housing Finance Cooperation and the National Home

Builders Registration Council, to name a few. These entities facilitate the implementation of housing policies and deal with specific housing challenges. All this needs a high level of coordination of activities and functions to ensure implementation, financing, monitoring and evaluation of human settlements policies and projects.

With regard to coordination and intergovernmental relations, Waldo (1953:86) defines coordination as orderly arrangements of group efforts in order to provide unity of action in pursuit of a common purpose. This definition means that activities in, and functions of, the three spheres of government should not overlap, and that no duplication of functions should occur. Currently, the President's Coordinating Council plays a major role in promoting co-operation between the national executive authority and the provincial executive authority on national development priorities and provincial development programmes and other matters of high level policy nature common to all the spheres of government (Department of Provincial and Local Government, 2002).

Kahn, Mpedi and Kabena (2011:132) state that provision of housing is a concurrent responsibility of all three spheres of government and indicate that the activities of the different strata of government must be coordinated and well-integrated. Nkuna (2011:632) supports Kahn et al. (2011:132) that the activities of different agencies in local government must be integrated and coordinated with those of other spheres of government within a state. For the delivery of social housing at the local level, Murtagh (2017:15) identifies a lack of integrated action among different municipal agencies and stakeholders, including non-governmental organisations and civil society. Murtagh (2017:16) emphasises the importance of the bottom-up approach as this will enable the government to fast track the delivery of social housing. One of the most important methods of achieving greater coordination and integration is via Integrated Development Planning (Department of Provincial and Local Government 1998:19).

Kahn et al. (2011:132) highlight and identify matters that inhibit co-operative governance. They mention that assignment of roles and functions between spheres of government is problematic and maintain that some of the functions must be assigned to the spheres that are best suited to perform them, like the delivery of housing. The Housing Act of 1997 allows for accreditation of municipalities to administer national housing programmes (Act 107 of 1997). It is evident that the municipalities have been underutilised to deliver housing programmes across the country. The other challenge is that, in the current set up of intergovernmental co-operation, there is an element of command and control where the national department is perceived as controlling the province and the province is controlling the local government sphere. Du Plessis (2010: 277) claims that co-operative government and intergovernmental coordination can facilitate improved sharing of knowledge and data. Coetzee (2010:87) emphasises the importance of cooperative governance when programmes of national and provincial governments must be implemented by the local government and it is important to measure the effectiveness of co-operative governance and intergovernmental relations.

Quantification of the institutionalised arrangements in the day-to-day operations of the intergovernmental relations in the implementation of social housing is lacking. The nonexistence of key performance indicators to measure the partnerships where priorities, performance targets and indicators of the three spheres of government are negotiated. Coetzee (2010:87) identifies the main principles of co-operative government, which are effectiveness, transparency, accountability, and coherent government and notes that these are not integrated and implemented fully with the current intergovernmental relations system. Kahn et al. (2011:133) mention the roles and responsibilities of municipalities as being the development of integrated sustainable human settlements and that the planning of housing function needs to be done at municipal level.

Kahn et al. (2011:133) argue that through this dispensation there will be a better and more localised needs analysis, improved land identification processes, zoning and procurement, facilitated, integrated and inclusionary residential areas, improved planning and procurement of public buildings and facilities, encouragement of private investments, and improvement in the supply of bulk infrastructure and services. April (2014:18) acknowledges that the local government sphere is currently faced with the critical challenges and problems pertaining to the effective and sustainable provision of basic services, administrative capacity, and institutional performance to drive service delivery and the effective implementation of government policies and programmes. Thornhill et al. (2017:12) states that sustainable provision of services in most municipalities is threatened by the neglect of routine maintenance, and the inability of municipalities to address service delivery backlogs as a result of rapid urbanisation and in-migration between the three metropolitan municipalities in Gauteng Province. In the current dispensation there are weak capacities and mismanagement across government, and this has resulted in coordination failures and poor implementation of social housing policy (Turok, 2016:23). The implementation of social housing and integrated residential programmes is one such challenge, as is the lack of effective intergovernmental structures to ensure both vertical and horizontal interaction among and between the three spheres of government. König and Löffler (2000:04) advance some interesting partnership arrangements between different levels of government to consider in implementing government policies, programmes, and projects.

The three kinds of accountability relationships include accountability among the partners, accountability between each partner and its own governing body, and lastly, accountability to the public. There is a lack of standardised intergovernmental social housing parameters in order to have routine procedures for following delivery of social housing in all the spheres of government. König and Löffler (2000:04) presented a case

study that shows that traditional forms of administrative co-operation are mainly cost sharing arrangements with an inherent risk of diluting or diffusing accountability. Also important is the nature of the accountability problems in the implementation of social housing policy. König and Löffler (2000:13) raise some important facts regarding administrative tasks that may not be re-allocated between different levels of government but that are transferred to the private sector and the non-profit sector. In the implementation of social housing policy, government mainly relies on public–private partnerships and partnerships with non-governmental organisations.

Peters and Pierre (2001:99) maintain that government in all spheres is concerned with the capacity to wield and coordinate resources from the public, private and interest groups. Herting and Vendung (2012:30) emphasise that coordination between various stakeholders is an important tool for bringing together different expertise, experience and perspectives. The implementation of social housing policy in South Africa lacks what Peters and Pierre (2001:100) call a model in which the state is not proactively governing society but is more concerned with defining objectives and mobilising resources from a wide variety of sources to pursue those goals. Harrison, Harris and Deardorff (2013:103) indicate that intergovernmental relations can play out as co-operation when the national government agrees on a goal and the means to accomplish it. At the same time, intergovernmental relations can be coerced by the national government through strings attached to, for example, grant funding, policy coordination and accountability for the implementation of integrated sustainable human settlements.

In the South African context, delivery of social housing is happening concurrently in all three spheres of government, whereby a collaborative exchange of, and decision-making between institutions at different levels of the political system needs to be managed, but not with command and control. This type of intergovernmental relationship will play a more prominent role in terms of fast tracking the delivery of social housing. There is

institutional overlap in terms of competencies and growing political, economic and administrative dependencies between the three spheres of government. The literature shows that housing is a concurrent function performed by the three spheres of government. The gap is that between the three spheres there are no multi-level governance processes in the implementation of social housing policy in South Africa. The three spheres are unable to separate the political democratic element of governance from the managerial service producing sector of government. In other words, they are unable to negotiate and contextualise planning, budgeting and implementation processes of social housing. The provision of housing and social housing requires functional intergovernmental relations mechanisms with inputs from all three spheres of government to ensure coordination and sharing of resources (Mubangizi, Nhlabathi & Namara, (2013:781).

The provision of housing is a concurrent function. Du Plessis (2010:277) draws attention to the fact that cooperative and coordinated government can prevent duplication of measures aimed at the fulfilment of the provision of housing as a human rights matter. A rights-based approach highlights that there is a reciprocal relationship between the people as citizens and the government in a relationship of duty bearer and the right holder. The relationship places the government in the seat of responsibility to ensure that the basic human right to housing is met and enjoyed by the people (Manomano, Tanga & Tanyi, 2016:112).

According to Meadowcroft (2014:04), multi-level governance is a system of continuous negotiation among nested governments at several organisational tiers. The implementation of social housing requires a system of continuous communication between the three spheres of government to ensure that vertical authority between the levels of government is not weakened. Weibust and Meadowcroft (2014:04) view multilevel governance as a descriptive term for governance in a unitary state and, in the

case of South Africa that goes beyond the usual three levels (national, provincial and local) that define a unitary state.

Coetzee (2012:16) developed another approach towards practicalisation of intergovernmental relations as integrated governance or collaborative public management. This is a system and cross-sectional approach that is aimed at moving away from the conventional, vertically configured silo operations towards working across and between organisational boundaries. Collaborative public management also implies an embedded government system where government sectors work hand in glove with civil society and communities to address issues collectively to achieve collaborative advantage through synergy. Mubangizi, Nhlabathi & Namara (2013:778) suggest a new concept that goes beyond intergovernmental relations and is called network governance and describe network governance as a relatively stable horizontal articulation of interdependent but operationally autonomous actors who interact through negotiations that involve bargaining, deliberations, and intense power struggles.

Mubangizi et al. (2013:780) hold the view that for the local government to deliver publicly funded services and to integrate and co-ordinate, service providers are at the heart of social housing development. Governance networks take place within a relatively institutionalised framework of contingently articulated rules, norms and knowledge. According to Jones et al. (1997:914), the network governance concept promises increased efficiency and reduced agency problems for public institutions in turbulent environments. Mubangizi et al. (2013:780) claimed that efficiency is enhanced through distributed knowledge acquisition and decentralised problem-solving, while effectiveness is improved through the emergence of collective solutions to global problems that are indifferent to self-regulated sectors of activity. Other interesting research and a publication with arguments highly relevant to this study is a doctoral thesis by Sokhela

(2006:77), who is emphatic that intergovernmental relations in South Africa are a constitutional issue.

The author argues that, if relations are to be reformed or bettered to deliver, the first activity is in reforming the Constitution itself to allow smooth operations of governmental sectors regarding human settlements. Sokhela (2006:77) emphasises the constitutionality of intergovernmental relations in South Africa and that intergovernmental liaisons are a constitutional product whose entire operation should be observant of the Constitution, and, therefore, any study of that that is to bear fruit, must be awake to the constitutional statutes governing the intergovernmental relations. The involvement of the public sector in the delivery of social housing is not practically coordinated between the three spheres of government and there is no system in place to ensure that planning regimes of the three spheres are horizontally and vertically aligned in the integrated development planning of the local government and are supported by adequate budget.

Phago (2014:53) contends that the normative direction of intergovernmental relations theory is emphasising the policy implementation issues, relationships between the spheres of government and policy actors operating across all governmental and administrative levels. Gil-Garcia et al. (2018:26) mention advocacy coalition frameworks as being the approach to address problems that involve substantial goal conflicts, important technical disputes and multi actors from several layers of government. This approach, according to Gil-Garcia et al. (2018:26), is aimed at enforcing a coordinated behaviour within government spheres, actors and networks, which consist of different sets of people from a variety of stakeholder's positions who share a particular belief system. The interaction among actors and stakeholders is aimed at influencing social housing policy implementation, processes and outcomes. Gil-Garcia et al. (2018: 79)

suggest that the policy implementation process is multi-faceted by nature because most policy problems are trans-disciplinary and involve social, economic, and political dimensions, to name just a few. The implementation of social housing policy in the South African context has, according to Gil-Garcia et al. (2018:79), accommodated multiple stakeholders, incorporated multiple sources of data, modelled large networked systems, and retained a high level of flexibility to cope with a large number of possible interventions.

The key question is how to coordinate and manage the relations between different stakeholders in the implementation of social housing policy. The domains of social housing policy implementation focus on participation from different stakeholders including the three spheres of government, with the underlying assumption that their involvement provides a positive contribution to the policy implementation process. For this policy to be implemented effectively, there is a need to facilitate horizontal as well as vertical coordination across the levels of government, as well as deregulation and devolution of social housing functions. The central stakeholders, and, in this case, the three spheres of government mainly focus on mobilising interest, resources, and involving other stakeholders such as social housing implementation agents and financiers to ensure that the vision, aims and objectives of the social housing policy are translated into social housing projects, where resistance and institutional pressures from external stakeholders are managed and side effects of the policy are addressed and attended to (Gil-Garcia et al., 2018:80).

According to Coetzee (2010:88), coordination of functions in the implementation of concurrent functions, such as the provision of affordable rental housing, prevention of overlap and consultation must take place between and amongst all state organs through direct and relevant intergovernmental relations structures. According to Coetzee

(2010:95), lack of good coordination affects the implementation of national programmes negatively and it has a definite negative influence on service delivery.

The other challenge is lack of coordination across organisations within the public sector and lack of coordination across the three spheres of government to create more integrated patterns of service delivery and, more especially, in the metropolitan municipalities. Seto and Dhakal (2014:23) identify challenges common in the implementation of human settlements as lack of coordination among local land management and infrastructure departments. According to them, this institutional fragmentation undermines the ability to coordinate urban services within and across sector departments in a metropolitan municipality. Separating urban sector functions and plans into autonomous clusters leads to uni-sectoral actions and missed opportunities such the failure to implement a new social housing project near, for example, public transport facilities. Strategic planning, coordination of land use, urban management functions, visionary spatial planning, strong institutions, and political leadership are the most critical elements of human settlements planning.

Bianchi and Peters (2017:12) identify a lack of qualitative and structural indicators of coordination as empirical attempts to measure coordination. In many instances, qualitative indicators of coordination provide a descriptive set of criteria and examine the potential for coordination. These more quantitative indicators do constitute an attempt to assess the extent to which coordination is actually achieved. It is important to have qualitative indicators of coordination to measure interactions among organisations and individuals and more importantly measure the integration of policies. This is more relevant since there is an increasing number of actors in the social housing value chain. Berman (2005:15) identifies planning coordination in many municipalities as a major challenge in implementing human settlements programmes and sustainable social housing projects.

Planning coordination plays a major role in ensuring stakeholders develop consensus and effective strategies that include new growth targets and programme goals, funding agreements, operational efficiencies, and work arrangements. The fact that delivery of social housing involves many actors in government, public entities and private sector institutions, it is prudent for these organisations to come together to collectively plan for an implementation plan that will be supported by all actors.

The main challenge of planning coordination is clearly about getting diverse jurisdiction and organisations on the same page regarding their purposes, goals and strategies. Berman (2005:10) mentions eight key aspects of planning coordination, which are:

- providing leadership in raising issues;
- encouraging other organisations and jurisdictions to undertake collective decision making regarding specific activities;
- providing resources for planning and subsequent implementation processes;
- leading in building a broad-based consensus;
- partnering with other organisations and jurisdictions;
- enhancing the level of communication among and between the municipalities;
- mobilising resources and efforts devoted to solving social housing implementation challenges; and
- creating greater longer-term commitment to mutual challenges.

According to Ram (2016:12), actors and institutions associated with the provision of affordable rental housing are connected in a structure which produces outcomes regarding expected behaviour from actors. The current structure in Gauteng Province is called the Project Steering Committee. It does not meet regularly and there is no

relationships with strategic municipalities such as Tshwane, Ekurhuleni, and Johannesburg.

The absence of an effective coordinating structure leads to lack of understanding amongst SHIs, social housing projects financiers, the three spheres of government and developers. It is the responsibility of the Project Steering Committee to share information, integrate information systems, exchange technical expertise, drive transformation of the social housing sector, assist stakeholders in accessing interest free capital, land and buildings, discount land, and lastly, improve performance monitoring and evaluation of the sector.

The side effects of lack of coordinated planning are lack of the following: policies for the development of land for affordable rental housing, effective supply of land for human settlements, urban development planning systems, integration of plans with financial capacity provision of infrastructure to connect new human settlements development, and lastly, social infrastructure.

5.3 CONCLUSION

The barriers to social housing implementation mentioned above are applicable and common to all metropolitan municipalities in Gauteng. In conclusion a presentation on how each challenge is impacted by the prevailing systems of intergovernmental relations is discussed. Firstly, the current human settlements planning regime is influenced by the current intergovernmental relation system with regard to different legal, regulatory frameworks and institutional arrangements. The development plans of the three spheres of government present different aims, objectives, targets and priorities, due to different financial years, which are not aligned. This has a great impact on human settlements

development indicators and investment on infrastructure for social housing development. Secondly, the current land identification, supply, and release is impacted by different legislative frameworks in place as a result of the configuration of the current intergovernmental relation system. Land supply and release in municipalities is regulated through the Municipal Finance Management Act and the national and provincial government through the Public Finance Management Act. At municipality level, the requirements of spatial planning, zoning, and land use legislation must be meet before land is released and this is impacted by how intergovernmental relations is structured wherein the local government has a final approval in this regard. The current institutional land supply and release mechanisms are not aligned to fast track the speedy release of land for social housing development. Thirdly, the clarification of roles and responsibilities of the three spheres of government in relation to social housing is influenced and affected by the administrative practices of the current intergovernmental relations. The current intergovernmental relations system does not allow movement of officials between the three spheres to execute social housing related functions. The administrative practices of the national and provincial government are regulated by the Public Service Commission which exclude local government sphere. The implication is that the current arrangements are not consistence in promoting values and principles of public administration in the three spheres of government. Fourth, the use of different funding sources as regulated by different pieces of legislation has a bearing on the current intergovernmental relations as it relates to intergovernmental grants and financial planning for social housing finance. The different financial years as reflected by different budget circles is as a result of the current intergovernmental relation system. The current system needs some alignment to ensure a sound financial planning regime for social housing sector. Lastly, the vertical nature of the intergovernmental relation system does not incorporate elements of bottom-up approaches to ensure coordination and integration of social housing related activities. The system promotes under-utilisation of municipalities to deliver and implement national housing programmes. There are some elements of command and

control, wherein tasks and functions are not coordinated to achieve the objectives of cooperative governance.

CHAPTER 6:
RESEARCH METHODOLOGY

6.1 INTRODUCTION

This chapter focuses on research philosophy, approaches to research, the mixed method approach as a method, and cross-sectional as the time horizon for this study. The specifics of the data collection procedures, processes, analyses and ethical considerations of this study are presented in detail. All research is based on some underlying philosophical assumption about what constitutes 'valid' research and which methods are appropriate for the development of knowledge in a given study. This chapter presents philosophical assumptions and the design strategies underpinning this research study. Leedy and Ormrod (2001:04) define research methodology as the systematic process of planning, creating instruments and collecting and analysing data in order to understand the research phenomena the researcher is interested in exploring while explaining the stages and processes involved in the study that provide the road map or blue print for the study.

Chapter 2 focused on exploring the concept of intergovernmental relations and housing theories to provide a sound academic grounding for the study, and to show how it relates to a better coordinated and aligned intergovernmental relations systems that is bringing about efficient and effective service delivery. An attempt was also made to establish the link between intergovernmental relations and systems and network theory in the implementation of social housing, as well as the link between intergovernmental relations and cooperation in the implementation of social housing as a concurrent function between the national, provincial and local spheres of government. This chapter presents

the research philosophy and approaches used in this study and it provides an account on the methods, techniques and procedures the researcher adopted in the selection of participants to accomplish the research objectives as outlined in Chapter 1.

6.2   RESEARCH DESIGN

A mixed research methodology was adopted for this study. A mixed research approach refers to research that involves the mixing of quantitative and qualitative methods or paradigm characteristics. Onwuegbuzie (2007:120) describes the mixed research method as the type of research where the researcher mixes or combines quantitative and qualitative research techniques, methods, approaches, concepts or language into a single study or set of related studies. Mixed methodologies are ideal for providing a more complete picture of a particular phenomenon as compared to a picture wherein only one method was used (Leedy & Ormrod, 2014:100). The use of qualitative and quantitative methods improves the investigation by ensuring the limitations of one type of data are balanced by the strengths of another. Creswell (2003:15) argues that both qualitative and quantitative methods have limitations, and biases inherent in any single method could be neutralised or could cancel the biases of other methods.

The researcher mixed both the qualitative and quantitative methods, according to the aims, objectives, context of the research study, and the nature of the research questions. Mixed method research uses both quantitative and qualitative methodologies, enhances validity, and is used when the phenomenon under study is complex and cannot be addressed by only one research method. When mixed methods are used, each method offers a different way of knowing about the world (Ritchie, Lewis, Nichols & Ormston, 2014:45). The dialectic stance for doing mixed method research, according to Maxwell & Mittapalli, (2011: 35), is to create a dialogue between diverse perspectives on the phenomenon being studied, so as to deepen, rather than to simply broaden the

understanding gained. According to Strauss and Corbin (1998:28), combining both quantitative and qualitative methods is done for supplementary, complementary, informational, developmental and other reasons. Each method adds something essential to the ultimate findings, even to the final theory if that was the aim of the particular research project (Strauss & Corbin, 1998:28).

Maxwell et al. (2011:23) also stresses that mixed method research plays a complementarity role in that qualitative and quantitative research has different strengths and limitations, and that using them together allows the researcher to draw conclusions that would not be possible using either method alone. The qualitative research conducted in this study used three broad classes of combined studies namely archival, media, and artefact studies. The techniques used were content and document analysis. In general, historical records and documents are used to establish an understanding of the circumstance that characterise an event. With statistics, as with qualitative data collection and analysis, a researcher can never be certain whether the research project has addressed all the research questions. The documents of particular relevance to this study contained information about the approaches, tactics and strategies used in the implementation of the two key concepts, namely intergovernmental relations and social housing. The mixed method was used to comparatively analyse the three spheres of government and to identify the challenges associated with the implementation of a concept. Lastly, the method was used to help investigate the application of intergovernmental relation system and modern public administration and cultures to better understand the values of groups and, in this case, the role of government and non-government entities in the application and implementation of a concept. Content analysis was the quantitative method used and hermeneutics, the qualitative method used in this study.

In addition to the reasons provided above, a mixed method was also implemented to enrich the study by using qualitative work to identify issues or obtain information on variables not obtained through a quantitative survey. Using a mixed method gave the research project a better sense of balance and perspective. The findings from both approaches stimulated reproductive reasoning and a process of that involved the construction of hypothetical models as a way of uncovering the real structures, context and mechanisms that are presumed to empirical phenomena.

Bentahar and Cameron (2015:05) support the use of the mixed method as a way to reduce the weaknesses and the problems linked to mono-methods, ameliorate the validity and reliability of the results and enrich the comprehension of the studied phenomenon and the emergence of new dimensions. According to Bless, Smith & Sithole, (2013:16), sometimes circumstance or the problem under investigation can demand that both approaches be used in the same study in order to confirm or elaborate each other. The researcher used the convergent design (sometimes referred to as concurrent design) in collecting data and this method involves collecting both quantitative and qualitative types of data at roughly the same time and during a similar timeframe (Creswell, 2013:48).

The convergent design assesses information using parallel constructs for both types of data and separately analyses both data types. Analysis for integration began well after the data collection process was completed. The two forms of data were analysed separately, and the results were presented using a procedure called 'side-by-side comparison' in a discussion format. This involved transforming the qualitative data set into quantitative scores and jointly displaying both forms of data. The researcher gave equal weight to the qualitative and quantitative data when drawing conclusions and used the qualitative responses to specify variables that needed to be included in the quantitative study. The researcher ensured that there was effective integration of

qualitative and quantitative findings, analysis and reporting. In ensuring integration, the researcher counted the number of times each theme appeared in the interviews and then compared the frequency counts with the quantitative analysis of questionnaire responses.

The research design of a study is regarded as the master plan of how the study will be conducted (Mouton, 2001:55). Since this study focused on concepts, the objective was to measure and analyse concepts and trends quantitatively with mathematical precision. The concepts that were analysed were: (1) intergovernmental relations; and (2) implementation of social housing policy. In general, qualitative methods are used to create a robust and a detailed description of a concept in order to collect information to support the creation and application of research questions or invalidate an existing theory. Besides studying available literature and collecting facts, figures this research study used interviews and questionnaires to collect relevant information. Since the focus of this study was intergovernmental relations and implementation of social housing, these two concepts were studied and analysed and then a descriptive expression and a prescriptive analysis were presented, including possible solutions. Descriptive research designs help provide answers to the questions: who, what, when, where and how associated with a particular research problem. A descriptive study cannot conclusively ascertain answers to why. Descriptive research is used to obtain information concerning the current status of the phenomena under investigation, and to describe "what exists" with respect to variables or conditions in a situation. An exploratory application was employed in this study as it must yield new discoveries and provide alternative insights from other sources.

The research design of this study, which emerged from the nature of the research problem, was both descriptive and explorative in nature. According to Ile (2007:35), the descriptive approach provided the study with a general text on the nature of

intergovernmental relations, as well as the implementation of social housing. The explorative aspects provided an in-depth analysis of policy implementation principles in the facilitation of service delivery. Phenomenology was part of the research approach, where meanings of concepts were studied and data was gathered through questionnaires and in-depth personal interviews to understand the meaning of the interviewee's experience and how social housing institutions, organisations and social housing delivery agents view and understand various phenomena.

A goal of the researcher was for the participants to define the meaning of their behaviour (McNabb, 2013:309). The overall configuration of a piece of research ought to include questions about what kind of evidence is gathered and from where, and how such evidence is interpreted in order to produce good answers to the initial research questions. The use of an inductive reasoning approach helps a researcher to think about crucial strategies and approaches that will work and those that will not.

6.3 RESEARCH PHILOSOPHY

A philosophy is a scientific way of examining social phenomena from which a particular understanding of these phenomena can be gained, and explanations attempted (Saunders, Lewis & Thornhill, 2009:118). According to Creswell (2009:06), a researcher starts a research project with certain assumptions about how to learn and what will be learned during the inquiry. Other scholars have called them paradigms, philosophical assumptions, epistemologies, and ontologies, or broadly conceived research methodologies. Creswell (2009:06) refers to a paradigm as a worldview, that is, a basic set of beliefs that guide action. Creswell (2009:10) defines a worldview as a general orientation about the world and the nature of research that the researcher holds. World views or paradigms are shaped by the discipline area of the student, their beliefs, and their current research interests and past research experience (Creswell, 2009:06).

The research philosophies adopted for this research study are pragmatism, phenomenology and positivism. The main philosophical assumption for this study is pragmatism since the study followed a mixed method approach. The qualitative research method was supported by phenomenology and the quantitative research method supported by a positivist approach.

6.3.1   Pragmatism

The philosophical assumption underlying this study on intergovernmental relations in the implementation of social housing is guided by pragmatism, which examines the actions, change, and the interplay between knowledge and actions played out by the three spheres of government in the implementation of social housing. According to Creswell (2014:10), pragmatism as a philosophy is concerned with actions, situations and consequences, rather than antecedent conditions. The researcher used pragmatism to understand the research problem and create knowledge in the interest of change and improvement (Goldkuhl, 2012:03). Pragmatism is a philosophical worldview underpinning mixed method studies where it is possible to collect qualitative and quantitative data at the same time (Creswell, 2014:11), and it facilitates a more effective collaboration between qualitative and quantitative research. Pragmatism provides a philosophical stance that is compatible with the essential methodological characteristics of both qualitative and quantitative research and it facilitates communication and cooperation between the two (Maxwell, 2011:147). The pragmatism philosophy has been used as it opens the door to multiple methods, different worldviews, and different assumptions, as well as different forms of data collection and analysis (Creswell, 2014:11).

According to Goldkuhl (2012:04), pragmatism is appropriate as a basis for research approaches intervening in the world, and not merely observing the world. Goldkuhl (2012:04) maintains that pragmatism supports an interest not only in what ' is', but also in what 'might be'. Pragmatism enables an orientation towards a prospective, not yet realised world, as it is concerned with an instrumental view on knowledge that is used in action for making a purposeful difference in practice. Braa and Vidgen (1999:25) discuss action and change-oriented research, without explicitly locating it within a pragmatism paradigm. Pragmatism, according to Tashakkori and Teddlie (1998:23), is intuitively appealing, largely because it avoids researchers engaging in circular debates about such concepts as truth and reality. Pragmatism was used in this study as a basis for investigating what is of interest to the researcher and its value and to enable use of the results of this study to bring about positive consequences within the social housing system.

Baert (2011:27) notes that pragmatists insist that scientific knowledge is an intervention in the world and that, as an intervention, it is necessarily shaped by the interests and focus of the researchers involved. The researcher adopted pragmatism due to the fact that knowledge is one of the tools people use to adjust, cope, and interact with their external surroundings (Baert, 2011:29). In particular, the researcher employed methodological pragmatism, since it is concerned with how knowledge is created. Baert (2011:30) maintains that pragmatism emphasises the active role of the researcher in creating data and theories. Experimentation in the world is vital, and action research is associated with pragmatism, where there is continual development, application, and evaluation of the knowledge and tactics that follow the basic tenets of methodological pragmatism. Since the researcher used a mixed method research methodology in this study, pragmatism fitted well, as it allowed method combinations that work in relation to both qualitative and quantitative data collection and analysis.

6.3.2 Phenomenology supporting qualitative research method

The study used both a descriptive approach to understand the salient behaviours, events, beliefs, attitudes, structures and processes occurring and interpretive phenomenology, where a systematic analysis was conducted of socially meaningful action through direct and detailed questions and interpretation of how people create and maintain their social worlds. Phenomenology attempts to reveal the essential meaning of human actions. According to Yang and Miller (2008:152), phenomenology is used to study bureaucracy and public administration. According to Leedy and Ormrod (2013:145), an approach based on phenomenology can be used to understand people's perceptions and perspectives and can help to provide an understanding of intergovernmental relations in the implementation of a government policy, in this case, social housing. The aim of using phenomenology was to gain an understanding of the social context of the phenomenon, and the process whereby the phenomenon was influenced by the social context (McNabb, 2013:44). Although this study was not primarily phenomenological in nature, some of its aspects were underpinned by the principles of phenomenology, which focused on discovering and expressing essential characteristics of intergovernmental relations, as well as social housing policy implementation.

Phenomenology can be described as the study of "phenomena", or appearances of things, or things as they appear in our experience, or the ways in which people experience things, thus, it is about the meaning of things and experiences. It is the study of structures of consciousness as experienced from a first-person point of view. In its most basic form, as suggested by McNabb (2013:45), phenomenology creates conditions for the objective study of topics usually regarded as subjective: consciousness and the content of conscious experiences such as judgments, perceptions, and emotions. By looking at the perspectives of other people, the researcher sought to gain a better

understanding of the phenomenon of what something is like from the insider's perspective so as to determine the impact of intergovernmental relations in the implementation of social housing policy (Leedy, 2013:145).

Creswell (1998:46) contends that a phenomenological study describes the meaning of the lived experiences of several individuals about a concept of the phenomenon. In the human sphere, this normally translates into gathering "deep" information and perceptions through inductive qualitative research methods, such as interviews and document analysis, and representing this information and these perceptions from the perspective of the research participants (Lester, 1999:56).

Content analysis and interviews are the key data collection methods within phenomenology. Phenomenological strategies are particularly effective at bringing to the fore the experiences and perceptions of individuals from their own perspectives and, therefore, challenging structural or normative assumptions. Lester (1999:66) believes that phenomenology can be used as the basis for practical theory as it can be used to inform, support, or challenge a policy or action. The task of the researcher in this case was to make sense of the data collected and analysed, in order to use the results of the analysis in the formulation of a theory. The use of phenomenology was relevant as the researcher was interested in qualitative data and wanted to use a variety of methods to collect these data in order to establish different views (Lester, 1999:67).

6.3.3   Positivism supporting quantitative research method

This study followed the positivist approach of exploring social reality, which is based on the philosophical ideas of the French Philosopher August Comte (Creswell, 2003:7). According to Creswell (2003:8), the traditional notion of absolute truth of knowledge and being 'positive' about claims of knowledge, when studying the behaviour and actions of

humans, must be challenged. Antwi and Kazim (2015:217) suggest that positivism assumes that reality is objective and is measurable using properties which are independent of the researcher and instruments, in other words, knowledge is objective and quantifiable. According to Antwi and Kazim (2015:219), the purpose of scientific explanation and social science is an organised method for combining deductive logic with precise empirical observations of individual behaviour in order to discover and confirm a set of probabilistic casual laws that can be used to predict general patterns of human activity. The positivism paradigm is based on the deterministic philosophical assumption that direct observation can answer empirical research questions.

Saunders et al. (2009:113) maintain that the researcher using the positivism paradigm prefers working with an observable social reality and that the end product of such research can be law-like generalisations similar to those produced by physical and natural scientists. According to Creswell (2009:07), in practice, the researcher collects information on instruments based on measures completed by the participants, or from observations recorded by the researcher. According to Saunders et al. (2009:115), observation is the best means of understanding human behaviour, and true knowledge is obtained by observation and experiment, assuming that the research is undertaken as far as possible in a value-free way. Creswell (2003:7) identifies five key assumptions of the positivist paradigm, namely:

- Knowledge is conjectural (and anti-foundational), and absolute truth can never be found. Thus, evidence established in research is always imperfect and fallible.
- Research is the process of making claims and then refining or abandoning some of them for other claims more strongly warranted. Most of the quantitative research starts with the testing of a given theory.

- Data, evidence and rational consideration shape knowledge. In practice, the researcher collects information on instruments based on measures completed by the participants, or by observation recorded by the researcher.

- Research seeks to develop relevant true statements, ones that can serve to explain the situation that is of concern, or that describes the casual relationship of interest.

- Being objective is an essential aspect of competent inquiry and, for this reason, researchers must examine methods used to collect data and make conclusions and or recommendations.

Age (2011:1603) refers to positivists as those interested in the idea of objective and absolute truth who believe that scientific procedure must lead to the establishment of objective, true knowledge, and that the aims of scientific knowledge are: (1) theoretical understanding which is termed explanation; and (2) practical understanding, which incorporates prediction and technical explanation of things that are in need of explanation.

According to Age (2011:1606), objective and true knowledge is thus derived from a process of empirical falsification that determines which statement corresponds to the facts, and can therefore be regarded as scientific truth. In other words, according to Age (2011:1606), a scientific procedure must lead to the establishment of objective and true knowledge. By employing the positivist paradigm, the researcher aims to develop knowledge that is based on careful observation and measurement of the objective reality that exists out in the world (Creswell, 2009:06).

Thus, developing numeric measures of observations and studying the behaviour of individuals becomes paramount for a positivist researcher. It is mainly for this reason that the researcher uses the positivism paradigm to develop relevant, true statements

that can serve to explain the situation of concern or that describe the casual relationships of interest. In quantitative research, the researcher uses the relationships between variables to develop research questions. One of the main characteristics of positivism is that positivist thinkers adopt scientific methods and systemise the knowledge generation process with the help of quantification to enhance precision in the description of parameters and the relationships among them (Antwi and Kazim, 2015:218). The other characteristic is that positivists are concerned with uncovering truth and presenting it by empirical means.

6.4   RESEARCH APPROACH

There are broadly two methods of reasoning, namely: inductive and deductive reasoning, and these two approaches are diametrically opposed to each other. Deductive reasoning entails moving from the general to the particular, as in starting from a theory, deriving hypothesis from it, testing those hypotheses and revising the theory (Woiceshyn & Daellenbach, 2018:185). Azungah (2018:391) argues that deductive reasoning focuses on analysing pre-existing theory. Deductive reasoning is also referred to as a top-down or waterfall approach to reasoning, and is associated with quantitative research methods, with premises that are taken as true and the conclusion follows logically from these premises. Deductive means trying to deduce (infer) conclusions from a theory that is already there. In terms of a deductive reasoning approach, the empirical facts exist apart from personal ideas or thoughts and are governed by laws of cause and effect. Patterns of social reality are stable, and knowledge of them is addictive (Antwi and Kazim, 2015:219).

Inductive reasoning, on the other hand, involves moving from the particular to the general, as when making empirical observations about some phenomenon of interest

and forming concepts and theories based on them (Woiceshyn & Daellenbach, 2018:185). This approach focuses on understanding why something is happening, not describing what is happening. It is a bottom-up approach that is the opposite of deductive reasoning. An inductive reasoning approach is used to analyse qualitative data and use participants' views to build broader themes and generate a theory interconnecting the themes (Soiferman, 2010:03).

The inductive and deductive reasoning approaches are not mutually exclusive, and often address the same question, using different methods. This study followed a pragmatism approach, which facilitated a more effective collaboration between qualitative and quantitative research. Pragmatism provides a philosophical stance that is compatible with the essential methodological characteristics of both qualitative and quantitative research and it facilitates a communication and cooperation between the two (Maxwell (2011:23).

6.4.1 The qualitative research approach

Since this research study adopted a mixed research method, the researcher thought it important to discuss both the qualitative and quantitative approaches and their relevance to the study. Bless et al. (2013:58) state that, in many cases, language provides a sensitive and meaningful way of recording human experiences. Words and sentences are used to qualify and record information about the world. These words might come from recorded interviews or focus group discussions, written responses to open-ended questions, diaries, letters, and other forms of literature, or from the field notes of a diligent observer of social phenomena. The strength of the qualitative research used in this study, therefore, gave the researcher room to shape research tools and deepen the inquiry on the discourse of intergovernmental relations and implementation of social housing. In inquiring about the concept of intergovernmental relations in the

implementation of social housing, the researcher had personal interaction with the practitioners, holding perceptions of those involved and how they described the processes that characterise intergovernmental relations and implementation of social housing.

This approach assisted the researcher to understand the role perceptions and experiences of the participants in intergovernmental relations and implementation of social housing policy. By employing the qualitative design, the researcher was able to investigate without manipulation of the intergovernmental relations processes and interpret phenomena in terms of the meaning individuals attached to them. The main focus of the researcher was on the participants' understanding of the two concepts (intergovernmental relations and social housing), and how the three spheres of government interact to implement a policy. This approach gave the researcher an opportunity to consider views of the practitioners and the complex interactions between the three spheres of government, noting that it is the officials who interact and implement a policy.

6.4.2   The quantitative research methodology

According to Webb and Auriacombe (2006:593), quantitative research methods were originally developed in the natural sciences to study natural phenomena. Qualitative research methods were developed in the social sciences to enable researchers to study social and cultural phenomena. Quantitative research refers to an inquiry into a social or human problem, based on testing a theory composed of variables, measured with numbers, and analysed with statistical procedures.

6.4.3   Unit of analysis

According to McMillian and Schumacher (2010:140), it is important that the unit of analysis, target population (universe) and sample size are carefully considered when conducting and evaluating research. The logic behind the choice of sample size is related to the purpose of the research, the research problem, the major data collection strategy and the availability of information. Babbie and Mouton (2011:75) refer to the unit of analysis as the object or phenomenon of the study the researcher is interested in investigating.

Mouton (2001:51) argues that when the phenomenon under investigation is in World 1, then the researcher is dealing with real-life problems and assumes empirical studies. Typical units of analysis in World 1 include physical objects, biological or living organisms, human beings or social organisations or entities such as companies, political parties, schools or social clubs. In World 2, the researchers are confronted with non-empirical problems, where they attempt to construct theories or models using literature, philosophies, scientific concepts, theories, or models as their unit of analysis. This study falls in the World 1 category, as it attempts to answer research problems involving human beings, thus making it an empirical study.

In this study, the unit of analysis included all implementers of social housing in the three spheres of government, and in state agencies and non-government agencies taking part in the delivery of social housing. The researcher filtered the universe population into a representative sample. The rationale behind this approach is that it was impractical for the researcher to study the entire population owing to time and resource constraints. For this reason, the researcher was able to identify and indicate the parameters needed to have access to the relevant populations to address specific research problems. With this

view in mind, the researcher resorted to setting the boundaries to exclude units of analysis that would not be sampled. Therefore, only officials that met the following conditions formed part of this study's unit of analysis:

- employed in national, provincial and local government or state agency or nongovernmental implementing social housing;
- directly involved in the decision making, planning, financing and operational activities in the implementation of social housing;
- senior managers directly working in the delivery agents of social housing, that is, municipal entities and non-governmental social housing institutions;
- senior manager directly involved in the advocacy and regulatory sector of social housing; and
- senior managers performing intergovernmental relations functions in the three spheres of government in relation to social housing funding, planning and implementation

6.5   TARGET POPULATION

Bless et al. (2013:162) define a research population as the entire set of objects or people that is the focus of a research project and about which the researcher wants to determine certain characteristics. Babbie and Mouton (2004:110) view a population of a study as that group, usually people, from which the researcher wants to draw conclusions. Bless et al. (2013:72) argue that the target population is that aggregation of the elements from which the survey sample is selected and is a theoretical specification of the universe of the study.

Polit and Hungler (1997:43) view a target population as the totality of all subjects that conform to certain specifications. The target population for this study consisted of three groups:

- Officials from the national, provincial, and local governments tasked with implementing social housing policy. This group included senior managers and operational staff mainly from housing and human settlements and human settlements planning. This group also contained officials tasked with promoting co-operative and intergovernmental relations.

- Officials from state agencies and non-governmental organisations tasked with implementing social housing policy, programmes, and projects. This group included agencies assisting, supporting, funding, regulating, advocating, and facilitating the implementation of social housing at the National and Provincial Department of Human Settlements such as the South African Social Housing Authority, the Housing Development Agency, the Gauteng Partnership Fund and other interest groupings such as the South African Local Government Association and the National Association of Social Housing Organisations.

- Officials from Social Housing Institutions that are by law responsible to develop and manage social housing units such as municipal-owned entities, namely Housing Company Tshwane, Ekurhuleni Housing Company, Johannesburg Social Housing Company and private and non-government social housing institutions such as Yeast City Housing, Madulammoho Social Housing Institution and Mannapendlo Social Housing Organisation.

The target population did not include officials, who do not have anything to do with implementation of social housing in the three spheres of government. Table 6.1 below shows the size of the population of the study which entails the number of organisations, number of officials at management and operational level that were interviewed and who completed the questionnaires.

Table 6.1: Size of the population of the study

No.	Organisation	Number of officials at top managing delivery of social housing units	Number of officials at operational level dealing with delivery of social housing units	Number of Interviews conducted with top management staff	Number of question naires distributed to opera tional staff	Number of question naires completed
1	National Department of Human Settlements	3	14	2	15	14
2	Provincial Department of Human Settlements	6	21	3	21	21
3	Three Metropolitan Municipalities (Tshwane, Johannesburg and Ekurhuleni)	6	35	3	42	40
4	Five Social Housing Institutions (Housing Company Tshwane, Johannesburg Social Housing Company, Ekurhuleni Housing Company, Yeast City Housing and Madulammoho Housing Institution)	10	56	5	45	45
5	Social Housing Regulatory Authority	2	10	2	14	14
6	Gauteng Partnership Fund	2	13	2	10	10
7	National Social Housing Organisation	2	7	2	7	7
8	South African Local Government Association	2	4	2	6	5
	TOTAL:	**33**	**160**	**21**	**160**	**156**

6.6 SAMPLING AND SAMPLING DESIGN

A purposive sampling strategy was used in this study. This is a sampling approach that is based entirely on the judgement of the researcher, in that a sample is composed of the elements that contain the most characteristic, representative, or typical attributes of the population (Singleton & Straits, 2004:104). According to Leedy & Ormrod (2014:154), sampling is the process of selecting a subset of individuals from a population to estimate characteristics of the whole population. The identification of a sample depends on the research questions. One of the major issues in sampling is to determine samples that best represent populations that will allow for generalisations of the results. Szczerbinski and Wellington (2007:63) agree with Leedy and Ormrod (2014:56) that a sample is the smallest part of anything that is intended to stand for, or represent, the whole population in question. According to Bless et al. (2013:161), sampling theory is a technical accounting device to rationalise the collection of information and to choose an appropriate way in which to restrict the set of objects, persons or events from which the actual information will be drawn. This research study used the mixed method research approach, and the researcher employed purposive sampling to satisfy the qualitative research requirements.

According to Treadwell (2011:109), purposive sampling is also known as judgmental sampling, because it is based on the notion that specific participants from the target population would meet the researcher's specific sampling criteria. Leedy & Ormrod (2013: 215) simplify the concept of purposive sampling by indicating that it is a sampling method where people or units are chosen for a particular purpose. Purposive sampling is based on selecting a portion of a population to represent the entire population about which generalisations based on characteristics and attributes of the population are made (Strauss & Corbin, 1998:214).

According to Haurovi (2012:139), researchers rely on their own experience, ingenuity and previous research findings to obtain participants in such a manner that the sample obtained is regarded as representative of the relevant population. Hauvori (2012:140) maintains that purposive sampling is a procedure based on a case, individual or community judged to be appropriate or very informative for the purposes of a particular research study. The researcher chose the sampling method, since it is based, according to Bless et al. (2013:172), on the judgement of the researcher regarding the characteristics of a representative sample and the sample was chosen based on what the researcher considered to be typical units.

According to Leedy et al. (2013:152), qualitative researchers are intentionally non-random in their selection of data sources as their sample is purposive. They select individuals or objects that will yield the most information about the topic under investigation. The purposive sampling strategy selects units that are judged to be the most common in the population under investigation and is based on the assumption that the researcher knows what type of participants are needed in qualitative research (Bless et al., 2013:177). The researcher purposefully chooses participants based on specific criteria that were judged to be essential. The researcher elected to use purposive sampling based on the researcher's knowledge of the population, its elements, and the nature of the research aims and objectives (Babbie, 1990: 97).

The researcher used purposive sampling to select the widest variety of respondents to test the broad applicability of the questions. In qualitative research, a number of considerations influence the selection of a sample, such as the ease of accessing the potential respondents, the researcher's judgment that a potential respondent has extensive knowledge about an episode, event, or a situation of interest to the researcher. In the case of this study, the researcher had prior knowledge of the social housing

practitioners in the three spheres of government and in the state, entities involved in the implementation of social housing policy, projects, and programmes. A sample was purposively drawn from officials involved in the implementation of social housing policy in all three spheres of government. The sample of officials was selected from the following entities: the National Department of Human Settlements, the Gauteng Province Department of Human Settlements, the City of Tshwane Human Settlements Department, City of Johannesburg Human Settlements Department, Ekurhuleni Human Settlements Department, social housing institutions, the Social Housing Regulatory Authority, the Gauteng Partnership Fund, the South African Local Government Association, and the National Social Housing Organisation.

The reason for limiting the sample frame to those with decision-making powers, strategic positions and the operational staff at the national, provincial and local levels was to enhance the validity and generalisability of the findings of the study. Bless et al. (2013:22) supports the decision to interview only officials occupying strategic positions because it is impossible to study a whole population, where participants in a sample must carry most of the population's characteristics. In other words, a sample is a representation of a population and Brownlow, where Hinton and McMurray (2014:113) agree that a sample is a smaller group that is drawn from a larger population. This smaller group is the one that is studied. Data is collected from the sample population and analysed, and the inferences made are then generalised to the target population.

6.6.1   Interviews as a qualitative data collection technique

The researcher used a semi-structured interview method, which has features and, therefore, advantages of both the structured and unstructured interview approaches. The researcher, therefore, used both closed and open-ended questions. In order to ensure consistency, the researcher prepared a set of pre-planned core questions as a

guide and these research questions covered the most important areas of the study. The researcher used three common types of research questions, as follows:

- Exploratory questions, focusing on a situation or change, thereby enabling the researcher to solicit information about an understanding of intergovernmental relations and social housing implementation which entails in-depth analysis;
- Descriptive questions aimed at enabling the researcher to describe the present situation with regard to how the social housing system is functioning. The researcher asked questions about current processes and systems to measure cooperation, alignment, planning, financial planning and integration of funding sources for social housing projects; and
- Exploratory questions, focusing on relations between given phenomena, where in this case, the researcher asked and solicited information about what can be done to improve the delivery of social housing and the development of a social housing delivery model to be employed to fast track service delivery.

Exploratory questions were asked so as to provide inputs to the development and use of social housing delivery models for monitoring the effects of the implementation of social housing policies, strategies, and funding of social housing projects. In relation to this, interviews were advantageous as a method of data collection, where the researcher was able to follow up, and thereby focus on constructive suggestions from the study participants. Interviews are good for obtaining detailed relevant information, and, through the interviews, the researcher was able to collect rich data. The researcher used a scheduled interview approach where the participants and the researcher agreed on a date, time, and venue for the interview, and were given an opportunity to express their views, and the researcher was able to ask respondents to comment on broadly defined issues.

In general, interviews are avenues through which multiple realities are constructed (Azungah, 2018:387). In this study, the same questions were sent in advance to all respondents to enable them to prepare in advance for their interviews, thereby ensuring the interviews ran smoothly. The very nature of the interviews allowed the interviewer to gain information that may not otherwise have been obtained, as the researcher was able to follow up on the predetermined questions. The researcher was also able to gain valuable information from noting the body language, tone, inflection and other nonverbal responses of the participants (Martin, 2005:342).

The researcher asked for permission to record the interviews for later reference and to ensure that all the facts were captured. This practice was helpful since the researcher could not, during the interviews, write down all the answers from the questions posed. All the answers were recorded using a tape recorder, which yielded excellent quality information that was easy to manage and analyse. During the interview sessions, the researcher made some notes, which were used as points of reference for follow-up and seeking clarity. The researcher preferred to conduct face-to-face interviews with key informants, because face-to-face interviews enabled interviewees to express their views and allowed the researcher to follow up for more clarity.

According to Leedy et al. (2013:190), face-to-face interviews have the distinct advantage of enabling the researcher to establish rapport with potential participants and therefore gain their co-operation. Yin (2009:107) also notes the benefits of face-to-face interviews, where the researcher asked interviewees to propose their insights into certain occurrences and the researcher used such propositions as the basis for further enquiry. This was advantageous in the sense that a face-to-face interaction can have a positive effect, as it can open up the minds of the participants and the conversation can uncover other facts about the phenomenon under investigation, for example, the implementation of social housing. Azungah (2018:387) observed that interviews permit research

participants to reveal more than can be detected or reliably assumed from just observing a situation.

In qualitative research, the sample is considered to be adequate if it enables the results to be generalised to the whole population. Of the thirty-three top officials that were identified as potential participants, only twenty-one were interviewed and the results from these interviews were generalised to the whole population of thirty-three top management social housing officials. At the time of the study, these thirty-three top level managers worked in Human Settlements Departments in the three spheres of government, as well as in other government entities and social housing institutions.

These managers were working in central and strategic positions, and included deputy heads of department, heads of divisions and sections, directors, deputy directors, chief executive officers, chief operational officers, social housing programme managers and senior social housing project managers. These individuals were considered capable of expressing important personal views, perceptions, valuable arguments and sharing their expertise.

They also have inside knowledge of the roles and responsibilities of the three spheres of government in the implementation of social housing, the challenges experienced by the sector, and the future of the affordable rental housing sector. The researcher used in-person face-to-face semi-structured interviews, where a list of predetermined questions was arranged in a format that enabled the researcher to pose questions that the respondents answered (Azungah, 2018:387).

6.6.2   Cluster sampling for quantitative design

The quantitative study followed cluster sampling, wherein the population was divided into three clusters, namely: (1) government officials from national, provincial, and local levels of government, who were responsible for social housing policy development and legislative frameworks defining the roles and responsibilities of government; (2) the social housing institutions, which are municipal-owned entities and non-governmental/private social housing entities established to develop and manage social housing units and act as social housing delivery agents in the social housing value chain; and (3) the state-owned agencies which included the Social Housing Regulatory Authority, the Gauteng Partnership Fund, the South African Local Government Association and the National Social Housing Organisation which acts as a regulator, financier and in advocacy. As part of the quantitative research aspect, the researcher selected the sample in such a way that it was unbiased and represented the population from which it was selected. The questionnaires were sent to all three clusters, noting that each cluster plays a different role in the social housing value chain. In cluster sampling, the units of interest are aggregated into clusters representing some type of proximity that affects survey economics (Stopher, 2016:296).

6.6.3   Questionnaires as a quantitative data collection technique

The questionnaire that the researcher used included the exploratory questions that focused on the current situation, the descriptive questions for investigating the current situation, and the exploratory questions that focused on the relations between the three spheres of government. The researcher used the above types of research questions in order to explore, describe, and explain intergovernmental relations and implementation of social housing as the units of analysis in the study. Bless et al. (2006:120) define a

questionnaire as an instrument of data collection consisting of a standardised series of questions relating to a research topic that are to be answered in writing by participants.

According to Babbie (1990:36), questionnaires are constructed to elicit information relevant to the researcher's subject of enquiry. Since a questionnaire is a quantitative data collection method, the responses were coded, and the descriptive and exploratory conclusions were generalised to the population from which the sample was selected. Strauss & Corbin (1988:74) mention that a researcher who is concerned about how to ask 'good' questions, will take the research to a productive conclusion. The research questionnaire should, according to Strauss & Corbin (1998:75), address two important aspects, namely: (1) the central phenomenon or problem in the area of research (this was all about the questions about the phenomenon); and (2) how it relates to events that are being observed.

These types of questions provided a direction for sampling as they helped with the development of the structure of the evolving theory of intergovernmental relations. The second point was that questions were more theoretically oriented and were concerned with the development of a theory and how the two concepts (intergovernmental relations and social housing) relate. These are questions that helped the researcher to see processes, variations, and the like to make connections between concepts (Strauss & Corbin, 1998:77). This approach does not deviate much from that described by Kumar (2005:126), who asserts that it is a method used for collection of data by means of written questions that calls for responses on the part of the respondents.

The researcher used questionnaires in this study to explore deep data. Prior to administering these questionnaires, the researcher formally approached the National, Provincial and Local Government Human Settlements Departments, state-owned entities and social housing institutions with a letter formally introducing and requesting

permission to conduct an academic research project. The researcher liaised with their research units to identify the most relevant unit dealing with social housing delivery activities, such as: implementation of social housing programmes or projects, human settlements planning, and social housing policy development and implementation. The researcher then requested the research units to draw up a list of officials in those units, including their contact numbers and email addresses. A formal request, together with the questionnaire was sent to the participants asking them to complete it. The researcher followed up with participants through emails, telephone calls and individual visits.

The manual questionnaire response rate was very slow. Consequently, the researcher used a Google form to create an online version of the questionnaire, A link to the digital questionnaire was created and sent to the respondents, enabling them to complete the questionnaire online. For the questionnaires that were completed manually, the researcher captured the responses. Responses to the online questionnaires were captured automatically. In general, questionnaires are used to explore data that lies deep within the hearts, minds, and feelings of the respondents (Brynard & Hanekom, 1997:37). In this regard, the questionnaires used in this study consisted of open-ended and closed-ended questions, which enabled the respondents to fully express their views and helped them to a better understand of the meaning of the questions. The questions were answered within the same framework and, consequently, the responses could be compared with one another. The researcher administered both these questionnaires (structured and un-structured).

Questionnaires in this study were used to solicit mainly demographic information from the target population. Such information included the gender, age group, educational qualifications, and years of service related to the delivery of sustainable human settlements. These questionnaires were administered to the sample as selected. The researcher made use of three different categories of questionnaires, which were

distributed to respondents within the target population, which was represented by the sample.

The three targeted clusters included: (1) the national and provincial government's Department of Human Settlements and local government, which included the three metropolitan municipalities in Gauteng Province (Tshwane, Ekurhuleni and Johannesburg); (2) social housing institutions; and (3) state owned entities such as the Social Housing Regulatory Authority and the Gauteng Partnership Fund (regulators and funders) and the South African Local Government Association and National Association of Social Housing Organisations (advocacy and awareness organisations). The questionnaire for respondents in the three spheres of government was comprised of four sections. Section A requested biographical information, Section B requested information on policies, acts, and regulations underpinning intergovernmental relations, Section C requested information on the configuration of the institutional arrangements between the three spheres of government in the implementation of social housing, and lastly, Section D requested information about the capacity and skills of housing personnel. All responses for Sections B, C and D were required on a Likert scale of 1 to 5.

The questionnaire for government and municipal entities and social housing regulators and funders was also comprised of four sections, namely Section A for biographical information, Section B for information on funding of social housing and accreditation of social housing institutions, Section C requested information on alignment and planning of projects, and Section D requested information regarding the capacity and skills of personnel. Responses in Sections B, C and D were required on a Likert scale of 1-5 and Sections C and D also contained open-ended questions. The questionnaire for social housing institutions also comprised four sections, namely Section A for biographical information, Section B for information on funding of social housing and accreditation of social housing institutions, Section C requested information on alignment and planning

of projects, and Section D requested information about the capacity and skills of personnel. Responses in Sections B, C and D were required on a Likert scale of 1-5 and Sections C and D also contained open ended questions. All questionnaires are attached as appendices for ease of reference.

6.7 SCOPE OF THE STUDY

The geographical scope of the study covered quite an expansive area, which included all the metropolitan municipalities in Gauteng Province, namely the City of Tshwane Metropolitan Municipality, the City of Johannesburg Municipality and the Ekurhuleni Metropolitan Municipality (Figure 2). A metropolitan municipality is a Category A municipality which executes all the functions of local government for a city. Metropolitan municipalities are centres of economic activity, areas for which integrated development planning is desirable, and areas with strong interdependent social and economic linkages. Gauteng is one of the nine provinces of South Africa. It was formed from part of the old Transvaal Province, after South Africa's first all-race elections on 27 April 1994. It was initially named Pretoria–Witwatersrand–Vereeniging (PWV) and was renamed "Gauteng" in December 1994 (Gauteng Rental Housing Strategy, 2017:23).

Figure 6.1 represent the geographical location of the metropolitan municipalities in Gauteng Province
Source: Gauteng Rental Housing Strategy: 2017

Situated on the Highveld, Gauteng is the smallest province in South Africa, accounting for only 1.5 percent of the land area. Nevertheless, it is highly urbanised, containing the country's largest city (Johannesburg), its administrative capital (Pretoria), and other large industrial areas such as Germiston and Kempton Park in Ekurhuleni. In 2015, the estimated population of Gauteng was nearly 13.2 million, making it the most populous province in South Africa (Gauteng Rental Housing Strategy, 2017:23).

The study was aimed at assessing and measuring the role played by intergovernmental relations in the three metropolitan municipalities in relation to the implementation of social housing. Therefore, the study utilised both descriptive and exploratory approaches, firstly to understand the current status of the phenomena and to describe what exists with respect to the variables or conditions in the situation; and secondly, to explore new ways and open new discoveries and alternative insights from other sources.

6.8   STUDY LOCUS CITANDI

The study area encompassed the three metropolitan municipalities (metros) in Gauteng Province, namely Tshwane (Figure 3), Ekurhuleni (Figure 4), and Johannesburg (Figure 5). Gauteng Province is one of the nine provinces in South Africa and the smallest in size, with approximately 1.5 percent of South Africa's land area or 16 548 square kilometres. The discovery of gold in the 19th century saw Johannesburg develop into an economic focal point in South Africa. This has made Gauteng one of the biggest contributors to the Gross Domestic Product (GDP) both nationally and continentally. Gauteng is the most urbanised province, with almost 97 percent of its people living in urban areas. It is the only province with more than one of the six metros in South Africa, and is home to the Johannesburg, Tshwane, and Ekurhuleni Metropolitan Municipalities. It is host to four major financial institutions, and Africa's largest stock market, known as the Johannesburg Stock Exchange (Gauteng Rental Housing Strategy, 2017:23).

Gauteng Province is home to 13.2 million people (2015 South African National Census), almost 25% of the total South African population. Gauteng Province is also the fastest-growing province, experiencing a population growth of over 33% between the 1996 and 2011 censes, thus Gauteng now has the largest population of any province in South Africa, though the smallest area. As of 2019 Gauteng is the most populous province in South Africa with a population of approximately 15 million people according to estimates (Gauteng Rental Housing Strategy: 2017)
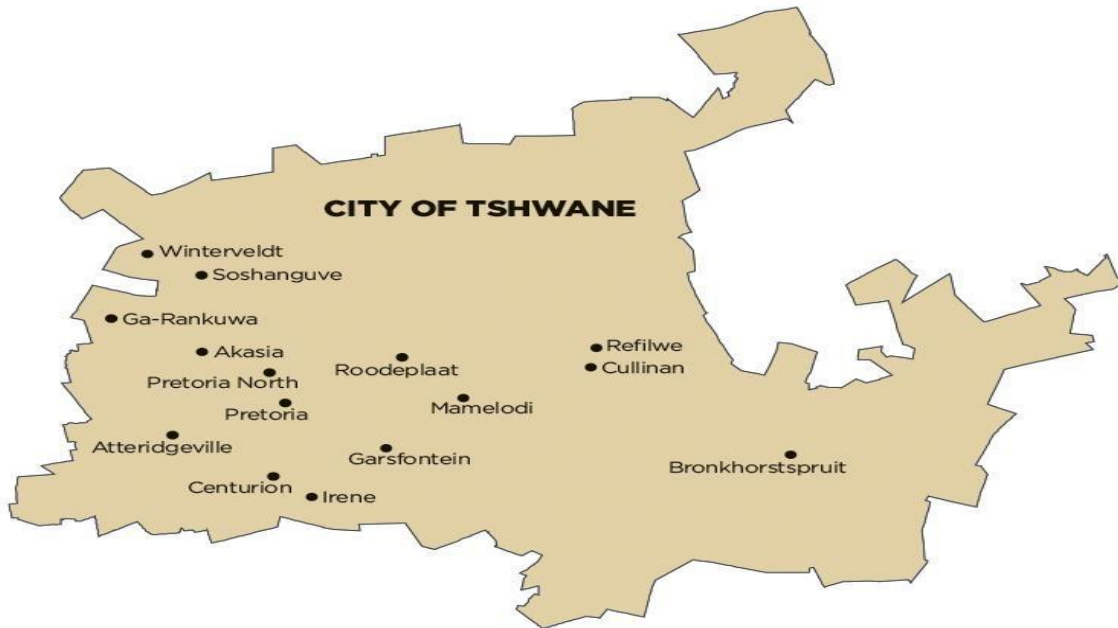
Figure 6.2 represent the city of Tshwane, a metropolitan municipality in Gauteng Province. Source: Gauteng Rental Housing Strategy: 2017.
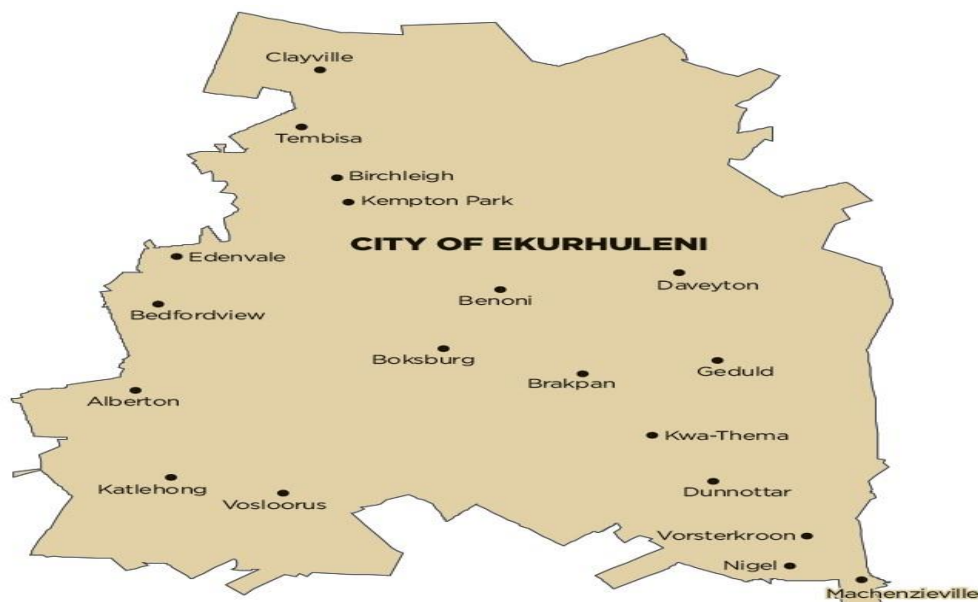
Figure 6. 3 represent the city of Ekurhuleni, a Metropolitan Municipality in Gauteng Province. Source: Gauteng Rental Housing Strategy: 2017.

Figure 6. 4 represent the city of Ekurhuleni, a Metropolitan Municipality in Gauteng Province
Source: Gauteng Rental Housing Strategy: 2017.

Figure 6. 5 represent the City of Johannesburg, a Metropolitan Municipality in Gauteng Province.
Source: Gauteng Rental Housing Strategy: 2017.

In both absolute and relative terms, Gauteng has had the fastest growing population, followed by KwaZulu-Natal and the Western Cape, which experienced the second largest absolute and relative population increase, respectively. Gauteng is affected by in-migration and migration. Millions of migrants from neighbouring countries settled in Gauteng in pursuit of economic and employment opportunities, which ultimately impacts negatively on infrastructure and service delivery. These statistics suggest that these patterns will continue, as Gauteng remains a destiny of choice for many job seekers and is regarded as the province of possibilities in terms of jobs and economic opportunities.

The challenges of migration and urbanisation will continue to influence government attempts to create integrated and sustainable human settlements in Gauteng. The increase in households and migration and urbanisation has a direct impact on the supply and demand of housing in general, but more specifically on supply and demand for affordable formal rental accommodation. Against this backdrop, this study investigated the role played by the three spheres of government in the supply of affordable social housing in Gauteng Province (Gauteng Rental Housing Strategy, 2017:23).

6.9   DATA COLLECTION

Data collection is the process of gathering and measuring information on variables of interest, in an established systematic fashion using different sources and instruments, such as questionnaires and surveys to avoid errors of analysis and interpretation (Bentahar & Cameron, 2015:8). According to Martin (2005:342), questionnaires have traditionally been distributed by hand or mail, but more recently, it has become increasingly popular to use email. This method of data collection is relatively inexpensive and quick and yields important quantifiable data. In this study, questionnaires were sent by email to social housing practitioners in the national, provincial, and local governments,

in municipal entities implementing social housing projects and in the Social Housing Regulatory Authority.

The researcher also printed hard copies, which were handed over to the respondents to complete. During the data collection process, the researcher gave the respondents the opportunity to describe their experience, knowledge, and implementation of housing and human settlements in general, and social housing in particular, by including open-ended questions. According to Bentahar and Cameron (2015:8), the data collection method used is influenced by the quantitative philosophy adopted (which was positivist in this study), and the aims of the research, which determine the stated research questions, and against which hypotheses are tested, and outcomes evaluated. The data collection component of research is common to all fields of study including physical and social sciences, humanities, business, etc.

While methods vary by discipline, the emphasis on ensuring accurate and honest data collection remains the same. Regardless of the field of study or preference for defining data (quantitative and/or qualitative), accurate data collection is essential for maintaining the integrity of research. Both the selection of appropriate data collection instruments (existing, modified, or newly developed) and clearly delineated instructions for their correct use reduce the likelihood of errors occurring.

Quantitative data collection methods, such as sample surveys and questionnaires, can yield representative and broadly generalisable information about a proportion of the population. Data collected through quantitative methods is believed to yield more objective and accurate information, because these data are collected through standardised methods that can be replicated.

6.10   DATA CAPTURING AND PROCESSING

In light of the choice of a mixed methodology, for quantitative research, the data collected was captured in Microsoft Excel spreadsheets, and exported to Statistical Packages for Social Sciences (SPSS) for analysis. Descriptive statistics such as frequencies, means and standard deviations were used to describe the data by visualising it in graphs and charts (Wisker, 2001:118; Cooper & Schindler, 2008:151). The graphical presentations were created to assist the researcher in understanding the data through visualisation tools such as histograms, frequency distributions, and scatter plots.

6.11   RESEARCH VALIDITY AND RELIABILITY

The researcher used the designated data gathering tools systematically and properly in the collection of evidence for this study. Throughout the design phase, the researcher ensured that the study was well constructed to ensure construct validity, internal validity, content validity, and reliability. Construct validity required the researcher to use the correct measures for the concepts being studied (Mouton, 2001:122). Internal validity (especially important with explanatory or causal studies) demonstrates that certain conditions lead to other conditions and required the use of multiple pieces of evidence from multiple sources to uncover convergent lines of inquiry. The researcher strove to establish a chain of evidence forward and backward. External validity reflects whether or not findings are generalisable beyond the immediate case or cases; with the more variations in places, people, the more external validity the study has.

6.12   CONSTRUCT VALIDITY

Construct validity refers to the degree to which a measure relates to other variables as expected within a system of theoretical relationships (Babbie, 1990:134). In almost all measuring instruments, both construct validity and reliability are two central requirements that need attention from the researcher (Mouton, 2001:123). Firstly, construct validity was carried out during the design of the questionnaire, whereby the instrument was subjected to a team approach involving the researcher, a statistician and the lead researcher (supervisor).

Both the statistician and the lead researcher boast experience in research and in questionnaire development and were consequently able to review the questionnaire and provided feedback on aspects that may have compromised the instrument. For example, through deliberations of this team, the questionnaire was recommended to be as short as possible, whilst ensuring that relevant information necessary to address the research objectives was not compromised. Items that were considered sensitive were also recommended to be removed or rephrased, and these included questions about income earnings of the participants, language preference, and ethnicity.

During the second stage of validation, the questionnaire was piloted with a small subgroup of possible participants, with similar characteristics to those of the target population, in order to test its validity and reliability in line with extant studies. This pilot was undertaken to ensure that the instrument measured what it was supposed to measure, and that, when repeated over time, produced the same results. Furthermore, test-piloting the measuring instrument provided the researcher with an opportunity to identify and rectify potential flaws in the instrument before the actual survey was executed.

According to Babbie (1990:135), a tension exists between the criteria of reliability and validity, hence, it is important to use science in order to generate reliable measurements and specific, reliable operational definitions and measurements. These two criteria helped the researcher to measure the two research concepts under investigation (intergovernmental relations and social housing) in a way that helped to understand these concepts in the world at large.

6.13 INTERNAL VALIDITY

This kind of cross-referencing is a necessary part of ensuring internal validity of a research project (Gillham, 2000:86). According to Bless (2013:131), internal validity examines the extent to which a particular research design has excluded all other possible hypothesis that could explain the variation of the dependent variable. In order to achieve a high internal validity in quantitative research, the research must control as many extraneous variables as possible. In qualitative research, internal validity is sometimes referred to as credibility, and is concerned with whether or not the researcher's method of data collection and analysis addresses the research question adequately.

The internal validity of a research study is, according to Leedy and Ormrod (2013:101), the extent to which its design and the data it yields allow the researcher to draw accurate conclusions about the cause-effect and other relationship within the data. Researchers commonly use triangulation to increase the probability that their explanations are the most likely ones where multiple sources of data are collected to support a theory or hypothesis (Leedy and Ormrod 2013:102). According to Heal (2013:98), triangulation in research constitutes the use of more than one approach to researching a question. The objective is to increase confidence in the findings through the confirmation of a proposition using two or more independent measures. The combination of findings from

two or more rigorous approaches provides a more comprehensive picture of the results than either approach could do alone. Triangulation was used in the qualitative research aspect of this study as the researcher engaged in many informal observations in the field and conducted in-depth interviews, then looked for common themes that appear in the data gleaned from both methods, since the study followed a mixed method design. The researcher used this technique to confirm suggested findings and to determine the completeness of data. Lastly, the researcher used triangulation to increase the validity of the study and to have a more comprehensive understanding of the phenomenon under study and to enhance the rigour of a research study.

6.14   RELIABILITY

Reliability refers to the stability, accuracy, and precision of measurement in a research study. Reliability design ensures that the procedures used are well-documented and can be repeated with the same results over and over again. Leedy & Ormrod (2013:91) define reliability as the consistency with which a measuring instrument yields a certain consistent result when the entity being measured has not changed. Before data can be analysed, it must first be prepared by working out validity threats.

To ensure reliability of the collection instruments used in this study, Cronbach's alpha was run through pre-testing to check the accuracy and relevancy of the data based on the average correlation of items within the measuring instrument. The results were considered acceptable if 0.75 of Cronbach's alpha was achieved. This indicated the degree of internal consistency (Leedy & Ormrod 2013:91). Leedy & Ormrod (2013:95) identified the following four forms of reliability which the researcher applied in this study:

- internal reliability is the extent to which two or more individuals evaluating the same product or performance give identical judgments;

- test-retest reliability is the extent to which a single instrument yields the same results for the same people on two different occasions;

- equivalent forms reliability is the extent to which different versions of the same instrument yield the similar results;

- internal consistency reliability is the extent to which all of the items within a single instrument yield similar result; and

- techniques such as cross-case examination and within-case examination along with review of the literature help to ensure external validity.

6.15 DATA ANALYSIS

The data analysis stage of a research study is the stage where a researcher uncovers relationships and gains an understanding of what the data collected in the study really means and how it is relevant to the research aims and objectives. The researcher transformed the raw data using a computer-based statistical package for quantitative data analysis called Statistical Packages for Social Sciences (SPSS). Data analysis actually begins at the very start of a research study, when the researcher must work out what data to collect and from whom or what, based on the initial research question(s) (Albers, 2017:02). Data analysis can be as complicated or as basic as is needed to support the intended programmatic decision and a tremendous amount of high-quality information can be secured using basic statistics and frequencies.

According to Albers (2017:01), the goal of data analysis is to reveal the underlying patterns, trends, and relationships of a study's contextual situation. Albers (2017:1) argues that quantitative data analysis is influenced by: (a) questions that were asked during all phases of data collection; (b) how relevant the potential questions are; and (c) how the researcher was able to understand the deep-level relationships within the data.

Quantitative data analysis is not about determining a value, but it is about understanding relationships within the data and connecting these relationships to the research context.

6.16   RESPONDENTS

The characteristics of suitable respondents for this study were detailed in Section 6.4.5 in relation to the unit of analysis discussion. The researcher used these characteristics to guide the selection of respondents, identified as follows: Deputy Director Generals in the National Department of Human Settlements and Gauteng Provincial Department of Human Settlements, Head of Departments in all three Metropolitan Municipalities in Gauteng Province (Tshwane, Ekurhuleni and Johannesburg), Divisional Heads of Social Housing and Affordable Rental Housing in all the metros, Chief Executive Officers and Chief Operational Officers in state entities and social housing institutions, and intergovernmental relations representatives, as well as those representatives who fell under the South African Local Government Association. The researcher used non-random category in order to improve on the validity and reliability of the sample.

6.17   TRANSCRIBING

Recording and transcribing interviews is a routinely used approach for data collection in qualitative research studies. There is, however, a commonly held idea that transcription of interviews is, in itself, is problematic. Nevertheless, this concern has captured limited attention and researchers interrogating transcription have argued that transcription is a truthful replication of some objective reality (Tilley, 2003:750). A transcript is, according to Tilley (2003:750), a text that represents an event; it is not an event itself. Following this logic, what is represented in a transcript is data constructed by the researcher for a particular purpose. According to Maloney and Paolisso (2001:93), ATLAS.ti is a software

package that can be used to organise, code, and analyse the text in a transcription. In this study, the transcribed text was coded, and the coding process was duplicated with the audio file, using a printout of the coded text.

A time marker was placed at the top of every page transcribed to assist in locating the selected passage to code. Once both the text and audio files had been coded, the researcher grouped the text and quotes by code, and this enabled the researcher to read and listen to quotes during the analysis. One advantage of the researcher doing the transcription is that it provides an opportunity to examine the research questions in relation to the transcription work (Tilley, 2003: 751). Another advantage is that the transcription process facilitates the development of a connection between the data collected and the researcher. This helps the researcher to establish a clear understanding of the data and the researcher can control some transcription decisions. A third advantage is that transcription is intertwined with analysis and facilitates interpretive thinking that is needed to make sense of the data (Tilley, 2003:752).

6.18   CONTENT ANALYSIS FOR QUALITATIVE/QUANTITATIVE RESEARCH METHOD

Documents are regarded as key sources of data for qualitative research (Azungah, 2018:389). Leedy & Ormrod (2013:148) defines content analysis as a detailed and systematic examination of the contents of a particular body of material for the purposes of identifying patterns, themes, or biases. According to Elo and Kyngas (2007:107), content analysis is a method of analysing written, verbal or communication messages and a systematic and objective means of describing and quantifying phenomena. The main purpose of content analysis is to provide knowledge, new insights, presentation of facts, and a practical guide to action. Content analysis can also be used to test a theoretical issue to enhance understanding of data.

Systematic searches for relevant documents and analysis of their content are important actions in data collection plans of quantitative studies. Documents are stable and discreet sources of data and the only challenge experienced by the researcher in the use of documents in this study was gaining access to documents produced by the entities under investigation (organisational documents). The researcher analysed organisational documents that were accessible within the public domain, from libraries and organisational or institutional files.

According to Azungah (2018:389), documents contain text and images that have been recorded without a researcher's intervention. Unlike interviews, documents are created independently of a researcher's influence (Merriam & Tisdel, 2015:28). The analysis of pre-existing records forms part-and-parcel of what Auriacombe (2007:458) refers to as an unobtrusive method and the use of unobtrusive research methods is the process of studying behaviour without affecting it. In this study, secondary data was used to counteract the bias and loopholes found in the primary data collection procedures, thereby playing a complementary role and driving data towards validity and reliability. The researcher analysed the following documentary sources as part of the qualitative research aspect of this study:

- administrative documents, including proposals, progress reports, annual performance reports and other internal records, business plans and annual performance reports;
- formal studies, survey data, research materials and academic research documents including completed dissertations and thesis;
- articles appearing in the mass media;
- books and accredited journals;
- legal documents;
- agendas, memoranda, e-mail correspondence, minutes of meetings and other written reports;

- published and unpublished statistics and institutional publications;
- data provided by private sector organisations and institutions of higher learning such as universities and research organisations;
- historical records; and
- acts of parliament, policies, strategies and guidelines.

In this study, content analysis was executed systematically, and measures were taken to ensure the process was as objective as possible. The researcher used the following steps, as described by Leedy & Ormrod (2013:149), to guide the process:

- The researcher identified the specific body of material to be used, such as a scientific journal, approved annual report or research document and studied it in its entirety, making notes and selecting important themes relating to the central questions of the research.
- The researcher determined the relevance of the documents to the research problem and purpose.
- The researcher ascertained whether the content of the documents fitted the theoretical framework of the research by looking at the theories used in the documents and how the theories were applied.
- If the material to be analysed involved more complex or lengthy items (for example, literature or a transcription of a conversation) the researcher broke down each item into small, manageable segments that were analysed separately.
- The researcher scrutinised the material in relation to its authenticity, credibility, accuracy and quality.

6.19   DATA ANALYSIS PROCEDURE

The researcher disassembled, coded, and then sorted and sifted data as part of the analysis procedure. The data analysis software called Atlas.ti Version 8 was used to find

the real meanings of, and the relationships between the key concepts in this study, namely intergovernmental relations and social housing. The researcher carefully thought through data processing procedures in advance, designed an appropriate data collection technique, and developed backup tools to save the data (Babbie, 1990:219).

6.20   ETHICAL CONSIDERATIONS

The University of South Africa issues an ethical clearance certificate to all researchers conducting academic research after they have completed an ethical clearance form. Researchers must obtain permission from the appropriate committee at their institutions for any research study involving human beings or animals (Leedy & Ormrod 2013:273). The researcher also obtained permission to conduct this research study from the National Department of Human Settlements, Gauteng Department of Human Settlements, City of Tshwane Metropolitan Municipality, City of Johannesburg Metropolitan Municipality, Ekurhuleni Metropolitan Municipality, Johannesburg Social Housing Company, Yeast City Housing, Housing Company Tshwane, Ekurhuleni Housing Company, Madulammoho Social Housing, Gauteng Partnership Fund, National Social Housing Organisation, Social Housing Regulatory Authority and South African Local Government Association. The researcher received permission to conduct research from all the participating institutions (See Annexure H to Annexure S), except for Mannapendlo Social Housing Organisation, who gave verbal permission. The researcher considered the following ethical issues during the course of the study:

Informed consent: Informed and agreed consent was sought from all participants in the research study. Full disclosure of the purpose of the research was made.

Privacy: The research preserved the privacy and confidentiality of the participants by maintaining the anonymity of the participants.

Legality: The researcher used only legal academic methods to access government information and statistics.

Reliability and validity: The researcher used only reliable, transferable, dependable and confirmable sources of information – speculation, guesswork, and exaggeration was avoided at all cost.

In terms of protecting collected data, only the researcher and personnel involved in the research project have had access to the data. The information was stored on the personal computer of the researcher, which was password protected, and stored in a safe place. The information will be stored for the period of the research until articles are published. Thereafter, if needs be, the data will be discarded appropriately following prescribed procedures as per the Protection of Personal information Act (No. 4 of 2013). In no way was the study intended to harm the respondents through deception or any other means. For this reason, the researcher used only data collected for the purpose of the study, and nothing else.

6.21   VOLUNATARY INFORMED CONSENT AND PARTICIPATION

The researcher took some time to inform and explain to participants what the study entailed and what was required of them in terms of participation. The participants were informed of the nature and purpose of the research project, and why they were chosen to participate in it. It was made clear that the research was for academic purposes and that their participation in it was absolutely voluntary. The researcher also informed the participants that they had the right to withdraw from the study at any time and they

were under no pressure to participate in the research project and thereby obtained their consent.

6.22 TRUSTWORTHINESS OF THE STUDY

Assessing the accuracy of qualitative findings was not easy, as the researcher was interested in questioning and understanding the meaning and interpretation of a phenomenon. The concept of internal and external validity originated in discussions of quantitative research and some researchers have questioned their relevance to qualitative design. It is for this reason that the researcher used the following strategies (Leedy & Ormrod 2013:102):

- **Credibility:** Credibility in qualitative research is defined as the extent to which the data and data analysis are believable and trustworthy. Credibility is analogous to internal validity, which is how research findings match reality. In relation to this, the researcher ensured that the objective factors, based on facts and evidence from the participants, was maintained. Credibility was maintained by describing and understanding the phenomenon of interest from the participant's eyes, thereby providing a true picture of the phenomenon under study. The researcher used established methods in qualitative and quantitative investigation to accomplish this. The researcher used scientific procedures in the questioning of participants in data gathering sessions.
- **Dependability:** Dependability refers to the consistency of observing the same findings under similar circumstances, in other words, the extent to which research findings can be replicated with similar subjects in a similar context. The researcher was able to account for and describe the changing context and circumstances that are fundamental to consistency of the research outcome. To ensure dependability, the researcher tested and verified raw data and used data

reduction products to ensure reliability in the qualitative research. The researcher also accounted for the ever-changing context within which the research occurred. Dependability and reliability in qualitative research was realised by examining the trustworthiness of the research report of this study.

In order to ensure dependability and reliability, the researcher:

- explained the assumptions and theory behind the study;
- used multiple methods of data collection and analysis;
- explained in detail how the data was collected to provide an audit trail, if needed;
- applied triangulation using multiple sources of data or techniques to confirm emerging findings; and
- made available the documentation of data, methods and decisions and the end product for peer examination and peer review.

 Authenticity: Authenticity relates to the validity, genuineness of or truth about something. The researcher used a tape recorder to record interviews, during which the participants identified themselves and their roles, responsibilities, and positions. During the interviews, the researcher asked burning questions and collected the most relevant and best evidence based on participants' experiences and knowledge (Clarken, 2011:02).

6.23   CONCLUSION

Chapter 6 explained in detail the research methodology that was used in this study. The units of analysis and target population of the study were identified. These included all

implementers of social housing in all three spheres of government, namely the national, provincial and local governments, municipal owned and private social housing institutions and national and provincial human settlements state entities. The study used the mixed method research paradigm to obtain a mixture of responses from which to draw conclusions and allow for generalisability of the study findings. Data collection methods included questionnaires, in-depth interviews and document analysis. The rationale behind conducting mixed methods research, the framework of the research design, and the research methods were discussed in detail. The structure of the whole study and the format of the research was explained and justified.

This chapter provided a thorough discussion about how the data was collected in order to successfully ensure its validity and reliability. Both purposive sampling methods for collecting qualitative data and cluster sampling for quantitative data collection were applied to obtain the optimum number of respondents from the target population. The main respondents of the study were top, middle, and operational staff from the three spheres of government, municipal owned and non-governmental social housing institutions, and state agencies in the human settlements and social housing sector. Responses to the questionnaires were analysed using both descriptive and inferential statistics, principally using the Statistical Package for Social Science (SPSS) for quantitative data analysis. For analysis of the qualitative data, the researcher used software called Atlas.ti version 8 to identify themes in the data collected from the diversity of respondents. The chapter also considered the validity and reliability of concepts in both quantitative and qualitative approaches. The issue of ethics, the scope of the research study and the limitations of the study were stated, which included limited time, limited availability of relevant literature and information on the subject under investigation, and financial constraints.

CHAPTER 7:

DATA PRESENTATION, ANALYSIS AND FINDINGS

7.1 INTRODUCTION

Chapter 6 presented a detailed consideration and justification of the research methodology employed in terms of the research problem and the theoretical and empirical overview. All the steps on how data was collected and analysed were described. Chapter 7 covers analysis of the data, presentation and discussion of the research findings. The first section of this chapter focuses on analysis of the qualitative data, where significant patterns of themes related to the research questions of the study were determined from the empirical data collected. Units of meaning were identified, and they constituted theme accounts, which were grouped according to larger units and stages of experience and understanding in line with the theoretical and empirical overview of the study. Participants interviewed are cited here verbatim.

Where the words of the social housing practitioners are quoted verbatim (presented in italics), no attempt was made to correct the language used. Four main emerging themes were determined through analysis of the data and some interpretations are presented regarding the experiences and knowledge of social housing practitioners, including those involved in the practical implementation of social housing projects. The findings are discussed and contextualised in line with applicable housing and human settlements policies, legislation, strategies and guidelines in South Africa.

The second section of this chapter focuses on analysis of the quantitative data and the research findings and results are presented in tables and charts. The research questions

(as presented in Chapter 1) are answered in this section and the results and findings of this study are discussed in relation to the literature reviewed in Chapters 2, 3, 4 and 5. The four main themes determined from the qualitative data were identified as:

- social housing funding matters;
- social housing challenges and risks;
- three spheres of government alignment and integration of social housing related functions; and
- three spheres of government and social housing implementation.

Several sub-themes were identified for each theme. These are presented and summarised in Figure 7.1 below.

Figure 7.1 represent summary of the main themes and sub-themes identified from the qualitative data.

Themes	Sub-themes
Theme 1: Social housing funding matters	☐ Different funding sources that require different qualification criteria (Social Housing Regulatory Authority, National Housing Finance Cooperation, Gauteng Partnership Fund and other Loans funding) ☐ Social housing funding applications processes ☐ Social housing funding and treasury regulations ☐ Social housing financial risks ☐ Social housing funding risks
Theme 2: Social housing challenges and risks	☐ Social housing financial risks ☐ Inadequate funding for social housing ☐ Political interference ☐ Inadequate institutional capacity ☐ Social housing implementation challenges and risks ☐ Social housing projects inspection and monitoring ☐ Social housing challenges at the municipal level

	☐ Social housing and human settlements planning challenges
	☐ Social housing and financial planning challenges
	☐ Social housing quantitative and qualitative demand challenges
	☐ Land acquisition for social housing development
Theme 3: Three spheres of government alignment and integration of social housing related functions	☐ Three spheres of government alignment, prioritisation and target setting ☐ Functionality of social housing task teams, committees and fora ☐ Role of Social Housing Regulatory Authority in synchronising, aligning and integrating social housing projects ☐ Allocation of resources by the three spheres of government for social housing development ☐ Social housing administrative networks ☐ Defining social housing demand by the three spheres of government ☐ Qualitative and quantitative analysis of the role of local government in the delivery of social housing ☐ Effective intergovernmental relations operational system ☐ Coordination and reporting between the three spheres of government
Theme 4: Three spheres of government and social housing implementation	☐ Three spheres of government and capacity to implement social housing ☐ Three spheres of government monitoring investment in social housing projects ☐ Three spheres of government and social housing policy implementation ☐ Three spheres of government social housing priorities and targets ☐ Regulating the sector and monitoring performance of delivery agents

7.2   ALIGNING THE I.G.R. SPHERES OF GOVERNMENT AND INTEGRATION OF SOCIAL HOUSING RELATED FUNCTIONS

A leading theme identified from analysis of the qualitative data comprises various social housing implementation activities and related functions such that they cut across the

three spheres of government. McNelis (2016:18) argues that social housing policy is influenced by the housing system adopted by government. The South African housing system is shaped by the legacy of past apartheid policies. The housing system has been influenced by rapid changes since 1994, such as addressing the imbalances of the past, structural planning regimes, urbanisation and the changing housing needs of the society. Of interest in this regard is that the housing system is being implemented by different spheres of government in which public management and governance are structured in hierarchical relationships among actors. The social housing policy implementation process requires alignment, integration of plans and resources, administrative networks and effective and efficient intergovernmental relations systems and coordination.

In many developing countries, South Africa included, the government became involved in urban affairs and, in particular, the provision of affordable rental housing. There is a clear definition of roles and responsibilities between the national, provincial, and local governments. The research findings show that, despite the system of decentralisation, where there is co-responsibility between institutions of governance at the central, provincial, and local spheres, the provincial and local governments have administrative capacities to implement social housing, but do not possess financial capacities to implement social housing projects.

This is evident as, across the provinces, there are many mega-development initiatives, yet social housing projects are the ones implemented as the last phase of development and are not part of the central focus of the developments. Evidence from the qualitative data revealed that there is no synchronisation of activities, plans and targets to ensure that the efforts of the three spheres are aimed at achieving governmental goals and objectives noting that the three were established to achieve only one goal of government which is to provide service to the citizens and provision of adequate housing is one of the services.

7.2.1 Government IGR alignment, prioritisation and target setting

Clapham et al. (2012:149) argue that the Marxist housing production philosophy is based on choice and preference and is demand driven. The challenge with a demand-driven approach is that the government must define housing demand qualitatively and come up with quantitative measures and options to supply housing. The implication of this is that each sphere of government must prioritise, set the target, and ensure there is a great deal of alignment of all social housing related activities with other spheres of government. This study found that prioritisation and target setting is, to a certain extent, influenced by politics. In cases where the political party in charge of the provincial government and local government is not the same, there are elements of disagreements in terms of targets and priorities which affect funding of projects. Luhman (2013:52) noted the importance of integrating and aligning political operational and technical operational approaches in line with the systems theory, where inputs such as political mandates, plans, resources, strategies, policies and acts are processed to have tangible outputs such as houses and social housing units. The network theory emphasises active participation of actors as equal partners who respond quickly to the ever-changing demands of the electorate.

Findings of this study revealed that there is misalignment of activities and targets due to the fact that, in most cases, mayors and members of executive committees work past each other and there is always no agreement on which programme should be employed or agreement to fast track social housing delivery (D12: 4078-5088). Information shared by Participant D3: 1142-2238 supported the importance of alignment, as follows:

> the financial, annual performance and human settlements plans need to be aligned. There are annual performance plan of the city for instance actually need to be aligned with the annual performance plan of the Provincial and

these annual performance plan of the Province are submitted on the annual basis to the National department as part of the motivation for funding for the programs and projects that are identified.

Participant D1: 3497-4877 concurred with D3: 1142-2238

that alignment assists in funding prioritisation, identification of key resources and social housing project packaging. In the current set up of intergovernmental relations there is an element of command and control wherein the national is perceived to be controlling the province and the province is controlling the local government sphere.

This response suggests a lack of institutionalised arrangements in the day to day operations of intergovernmental relations in the implementation of social housing. Apparently, there is no sense of partnership and priorities, performance targets and indicators of the three spheres of government are not negotiated.

Naiker (1992:78) concludes that, in many developing countries, one of the great obstacles to the rational allocation of resources for achieving sustainable human settlements development is the lack of an integrated framework for decision-making on priorities for inter-sectoral resource use and a coordinating mechanism for implementation of decisions. Evidence shows that the national, provincial and local government priorities, resources, decisions, expertise, interests and government targets are not coordinated to address the changing demands of the citizenry to achieve the objectives of integrated sustainable human settlements. This is supported by nonexistence or lack of a credible housing chapters in the municipal integrated development plan which serves as an alignment, prioritisation and target setting tool. The non-existence of such an important planning tool contributed to local government

being unable to address the housing backlog quantitatively and qualitatively. In practical terms, this means the government is unable to realise and meet demands of the community by providing them with adequate housing.

7.2.2 Functionality of social housing task teams, committees and forums

There are several social housing task teams, committees and fora which are typical examples of informal or formal intergovernmental relations structures consisting of technocrats and politicians. In the context of network theory, collaboration and partnership between the above-mentioned structures play an important role in the decision-making processes where there are different constituencies with different priorities and mandates. Quantitative evidence from this study revealed that very often these structures meet, however, even though they meet, no decisions are taken, let alone implemented. The main purpose of these structures is to coordinate the implementation of a national policy, shared experiences around challenges, risks and best practices, exchange ideas and assist each other in the professional development and management of human settlements related functions, and activities and lastly, provide political leadership and direction.

Other national task teams, such as the National Rental Housing Task Team, were established to foster a dynamic interface between political structures and the administration in national, provincial and local government spheres to improve horizontal and vertical co-ordination of national rental and social housing policies, and to enable sharing of information on best practices in public management and implementation of national policies. From the findings of this study, three deficiencies were identified in relation to the existing intergovernmental relations structures, the first one being that the delegates and representatives do not have authority and, in most cases, are junior

officials. The second deficiency is that these officials are unable to take decisions and commit the structures they represent. The third deficiency is that officials attend political meetings such as Ministers and Members of Executive Councils (MINMEC) without a political mandate from their superiors, consequently, at a later stage, officials deny and/or disown decisions taken in such meetings. The transcript below indicates that Participant D3: 2285-2681 was aware of the existence of forums for social housing and rental housing that are coordinated by the National Department of Human Settlements.

> I know that at the provincial level in the department human settlements, the department organise the provincial steering committee of social housing institutions, metros and the regulator to discuss various issues relating to social housing.

Participant D3:3 5635-6568 also confirmed the existence of intergovernmental relations structures, forums and committees, as follows:

> Various departments within a metro must ensure participation of intergovernmental relation forums. There are committees and forum that have been selected by the city from various departments that are all represented to look into the project to align their plans and budget to make sure some projects happen.

The main aim of participating in social housing task teams, committees and forums is, according to Gil-Garcia (2018:26), to enforce a coordinated behaviour within government spheres, between actors and in networks that consist of different sets of people from a variety of stakeholder positions who share a particular belief system. The interaction among actors and stakeholders is aimed at influencing the outcomes of social housing policy implementation processes.

Gil-Garcia (2018:79) suggests that the policy implementation process is multi-faceted by nature because most policy problems are trans-disciplinary, involving social, economic and political dimensions, to name just a few. Evidence from this study confirmed that the implementation of social housing policy in the South African context accommodates multiple stakeholders, incorporates multiple sources of data, models large networked systems, and retains a high level of flexibility to cope with a large number of possible interventions. Network theory involves management of multiple social housing stakeholders wherein management of information from different sources is key. It can be concluded that more than half of the intergovernmental relations structures are not functional and operate on an ad hoc basis.

Participant D 4:4 2135-4117 confirmed that almost all the social housing stakeholders meet on an occasional basis as part of a Gauteng Provincial Social Housing Steering Committee where the Gauteng Partnership Fund (GPF) chairs the meetings.

> What happens is that we have what call Provincial steering committee where GPF is the chair of that steering committee where all stakeholders within the social housing space came together, project are discussed, challenges are discussed and stakeholders will include metros, social housing institutions and representation from the National Department of Human Settlements and SHRA (D 4:4 2135-4117).

Regular and consistent engagements between social housing actors are key to making sure that all role players are on the same page in relation to all cross-cutting issues and identification of challenges and agreement about mitigating measures. The other benefit of participating in task teams, forums and committees is to encourage what Participant D6:6 4839-6157 called "the element of being equal partnership, mutual understanding

of roles and responsibilities of actors and a clearer understanding of challenges facing the social housing sector."

Participant D6:6 4839-6157 advised the national and provincial governments and municipalities that: "these guys [sic] must have some basic understating of more complex challenges in the social housing sector and the entire social housing value chain." Participant D12:12 8821-9970 concluded that "Intergovernmental relations structures such as Provincial Social Housing Steering Committee works only if people are able to understand the core or mandates as given by the people and are able to understand the basic logic of engagement." Ultimately, task teams, committees, and fora were established to ensure that there is consultation, communication, cooperation, coordination and collaboration between the three spheres of government, and also to promote co-operative government and intergovernmental relations by bringing together different sectoral role players (Ubisi, 2017:153).

7.2.3   Effective intergovernmental relations operational system

Coetzee (2010:87) identifies the main principles of effective intergovernmental relations as including effectiveness and efficiency, transparency, accountability, and a coherent integrated system. The key point is for the intergovernmental relations system to be effective; it must ensure that the channels of communication between these spheres are streamlined and integrated. The organisational design of each sphere is to be vertically and horizontally integrated to ensure free flow of information between the three spheres of government. The kind of information to be exchanged and communicated in social housing policy implementation between the spheres of government and government entities, includes information on project funding, delivery agents, land availability matters, number of units, social housing project plans, human settlements plans, bulk

infrastructure availability, impact assessment studies, social economic studies, bulk infrastructure, and project management matters.

The current application of an intergovernmental relations system in the modern public administration paradigm is to better understand the values of groups and, in this case, the role of government and non-government entities in the application and implementation of a social housing policy. Agyemang and Morrison (2017:4) identify lack of central government commitment, weak enforcement of planning regulations, and low capacity of local authorities which are under-resourced in terms of staffing and finances as hindering the delivery of social housing. An effective intergovernmental relations system is what connects spheres of governments and deals with the activities and interactions between governments at different levels. The interaction emanates from systems theory, where the component units in a government department and state-owned entity complement, rather than compete with one another. In practical terms, systems theory involves communication, coordination and co-operation of various inputs, which are processed and directed towards achieving common mutually acceptable goals.

Evidence from this study confirmed that the social housing inputs, from a systems theory perspective, are physical facilities such as land and buildings, human resources from national, provincial and local government spheres, human relations and behaviours from government and state-owned entities, political mandates, legislation, policies, strategies, plans, programmes, information technology funds, grants and equities. According to Bevir (2007:468), intergovernmental relations is the combination of various interdependencies and influences among public officials and administrative networks, between and within all levels of government units with a particular emphasis on public policy, fiscal policy and political issues. In the South African context, public administration and intergovernmental relations are part of a theoretical thrust towards a deeper and

more comprehensive understanding of the workings of government in the delivery of services and this includes social housing.

Participant D8: 3304:4286 attested that "If both metros and municipal entities attend same intergovernmental relations meetings there will be that co-ordination and things would much more efficient. The activities that need to be aligned within the three spheres are issues of funding, planning and pipeline projects."

Participant D13: 2552:2817 confirmed the importance of effective intergovernmental relations by noting that "The city attends all IGR forums at both the national and provincial level, this serves as an opportunity to share experiences and learn from other metro in the province. Although most, if not all of the decisions are not binding the forums are used to gain experiences."

7.2.4 Coordination between the three spheres of government

Bianchi and Peters (2017:12) identify the lack of qualitative and structural indicators of coordination as empirical attempts to measure coordination. The qualitative indicators of coordination provide a descriptive set of criteria and examine the potential for coordination. The quantitative indicators do attempt to assess the extent to which coordination is achieved. The coordination between local, provincial, and national levels of government is, according to Participant D8:8 4345-4980, "not sufficient, although there are forums and the government is not getting where it should be in terms of social housing delivery." Ubisi (2017:153) substantiates the importance of coordination of activities within housing and human settlements as this would go a long way in influencing housing policy and ensuring alignment and integration of housing programmes and projects before implementation. Empirical data shows that there is no coordination of various sector departments within a municipality to ensure contribution

of the municipality towards a coherent land acquisition programme that seeks to enhance the delivery of sustainable human settlements.

The implementation of social housing involves a multiple number of stakeholders in the housing market, each with competing expectations and agendas. Evidence suggest that municipalities find it difficult to develop land release policies and this affects the smooth supply and release of land for social housing development. It took ten and seven years, respectively, for the City of Tshwane to transfer land to Yeast City Housing and Housing Company Tshwane for social housing development. The metropolitan municipalities in Gauteng do not have qualitative indicators of coordination to measure interactions among organisations and individuals and, more importantly, measure the integration of policies. This study found that there is an increasing number of actors in the social housing value chain. According to new public management and network theory, coordination in the government sector is influenced by the growing recognition that policy-making processes and the implementation thereof needs to go beyond the public sector to incorporate private sector and nongovernmental actors to achieve a set of objectives.

The new thinking is linked to network theory, wherein autonomous units and actors, such as social housing institutions, government entities, municipal entities, and the private sector are involved in the implementation of social housing policy. Given the number of actors in the delivery of social housing, the network theory emphasises the active participation of actors as equal partners who respond quickly to the ever-changing demands of the electorate. In a typical social housing project, there is interaction between the regulator, investor, implementer, and funder of the project. A high level of coordination is expected from providers of social housing to effectively manage production input factors such as physical facilities (land and buildings), human resources (staff in the national, provincial and local government spheres), human relations and behaviours (interactions through intergovernmental relations forums, structures and

committees), political mandates, legislation, policies, strategies, plans, programmes, information technology and funding streams (subsidies, grants and equities).

7.3 FUNDING SOCIAL HOUSING PROJECTS

The Social Housing Act of 2008 established the Social Housing Regulatory Authority (SHRA) as a juristic entity, with its core functions being to regulate the social housing sector, to invest public funding in capital projects, and lastly, to invest in the institutional development of social housing institutions (SHIs). Funding is provided annually from the national government through two streams, namely: (1) a direct allocation of capital funding to SHRA from the National Treasury disbursed through the National Department of Human Settlements; and (2) funds allocated to the Provincial Government in terms of the annual Division of Revenue Act.

Funding for social housing projects generally requires a combination of government subsidies, equity from the SHIs, and debt finance. Social housing funding often requires loan finance from state-owned companies or the private sector. In some cases, equity comes from the participating SHIs. Given the above funding model, it is evident that the social housing programme has a complex funding model requiring a synchronisation of a range of funding sources (Rebel Group Advisory Southern Africa, 2016:23). The approaches towards funding the main social housing production elements such as land acquisition, permanent municipal services and housing construction have not been adequately implemented and translated into operational elements (Ogra, 2013:12).

7.3.1 Different funding sources for different qualification criteria

Evidence from the literature shows that the South African housing system has over the past two decades experienced many administrative procedure and institutional changes. This has impacted negatively on the implementation of social housing policy and funding mechanisms to address different social housing needs. According to Dunlop et al. (2018:168), funding mechanisms have been diverse. In the current funding mechanism, there is no synchronisation of funding sources and the study found that this has an impact on delivery of social housing, as projects are not completed in time owing to funding related challenges such as delays in funding approvals, funding models and financial sustainability of social housing projects. These programmes are delivered by a variety of public, private or third-sector organisations, and at national, provincial, or local government level as per the national housing code and social housing policy. Participant D 1:.170:2204 highlighted the importance of social housing legislation in relation to funding by saying that:

> The social housing has a specific legislation that determine that the national basically still set the policy, set the target, and provide the funding that is required. The province and municipal works together to identify the housing needs, prioritise needs and identify opportunities where you can develop the project.

7.3.1.1 National government as a social housing funding source

At the national government level, as mandated by the Social Housing Act, the SHRA is responsible for administering and disbursing institutional investment grants and capital grants. The SHRA processes the applications for such grants through engagement with

social housing institutions (delivery agents), provincial governments and municipalities. The central government has been consistently adjusting its affordable housing policies, human settlements planning regimes, strategies, and funding models since 1994, which gave rise to inefficiencies, lack of sustainability, and failure to clearly define the mission of the housing policy. Participant D5:5 10520:11805 confirmed the role of the SHRA to be:

> … the institution that is owned by the national department, they supposed to channel funding and regulate and put laws into regulations and into play and give restructuring grants for you to hold funding as an institution or a social housing institution.

The majority of SHIs interviewed confirmed that the application for funding from SHRA is cumbersome, complicated, and lengthy, involving too much documentation.

7.3.1.2　　Provincial government as a social housing funding source

The Gauteng Provincial Government funds social housing opportunities through the Gauteng Partnership Fund (GPF). The GPF was established with equity provided by the Gauteng Department of Human Settlements for the purpose of providing finance to facilitate the provision of rental accommodation in the Province. The GPF is the custodian of the integrated sustainable programme and coordinates all funding related to activities on behalf of the provincial government. The GPF also provides bridging finance and offers loans at the lowest interest rate. Such loans are available to SHIs operating in Gauteng Province, however, there is a limit to the amount that the GPF is prepared to lend to one institution at any point in time. The GPF also provides some capacitation support programmes to emerging social housing institutions (Centre of affordable housing finance in Africa, 2012:26). The GPF is acting as a middleman on behalf of the Provincial

Department of Human Settlements to leverage the private sector funding using a special purpose vehicle to raise capital for social housing projects.

According to Participant D4:4 13544, "GPF is not allowed to make profit and rather to break even our model is more of social delivery in nature. Our funding is constitutional in this is meant to attract other funders to come to the market." This assertion is supported by Participant D 5:5 10520;11805 who said "that GPF is there to survive and who is funding GPF, is Gauteng Provincial Government that is supposed to give financial resources to social housing institutions to be able to function and that is the role of GPF." Participant D5:5 10520:11805 further noted and outlined the role of the GPF as: "So, my thinking GPF is out there to roll out and assist the social housing institutions to create more affordable housing rather than looking at the purse and making sure that whatever resources they get, they are able to channel them into correct people."

The GPF provides loan funding at a very low interest, noting that its mandate is not to make a profit, but rather, to serve as an instrument to subsidise government rental housing. The GPF administers three main loan and institutional subsidy funding programmes, namely the Rental Housing Fund, the Social Housing Fund and the Entrepreneur Empowerment Property Fund Programme. The Rental Housing Fund (RHF) was developed for rental housing entities that require additional funding for their projects (Gauteng Partnership Fund, 2018:39). The equity type loans provided by the RHF enhance the debt to equity ratio for projects to enable lenders to provide finance on favourable terms. Investment can come in the form of subordinated debt and can be paid off over a 15 to 20-year period (development finance is usually between one and two years), there is no bridging finance for rental projects and the minimum equity requirement is 10 percent. The investment criteria required for the RHF are the following: (1) the development must cater to persons with a monthly income below R15,000.00; (2) it must be aligned with the strategic housing policy of the GPF, and hence the national

government; (3) the project must have a socio-economic development agenda, whether it be job creation, poverty alleviation, or increased procurement of goods and services for small, medium and micro enterprises; and (4) it must be financially viable and sustainable.

The Social Housing Fund (SHF) was developed for social housing institutions that require an injection of equity into their projects. The GPF equity enhances the debt to equity ratio for projects to enable lenders to provide finance on favourable terms. Numerous stakeholders are involved in the SHF, including the SHRA, the provincial government, the provincial steering committee, and the GPF. The SHRA has a capital investment programme that offers a restructuring capital grant, an institutional investment programme that offers pre-accreditation and gear-up grants, as well as a regulation programme for accreditation and compliance monitoring.

The Entrepreneur Empowerment Property Fund Programme (EEPFP) was established in an effort to promote the inclusion of historically disadvantaged individuals (HDIs) in Gauteng's affordable property market by providing the capacity assistance needed to overcome barriers to entry. Some constraints HDI investors will face, when entering the market, could include issues around finance availability, insufficient equity/security requirements, a lack of capacity to negotiate and evaluate potential projects, competition for stock, exposure to the risk associated with affordable housing, wavering commitment over a longer term, and limited market savviness (Gauteng Partnership Fund's Socio Economic Impact Report, 2014;23). By providing guidance on the property feasibility, investment and management, as well providing various forms of financing, the GPF, through the EEPFP, enables HDIs to overcome these barriers and participate formally in the affordable housing market, offering a type of mentorship programme that is individually suited to the investor and the development. The EEPFP has enabled the GPF

to create an environment that assists new entrants, demystifying the process of obtaining affordable housing.

The provincial government has an institutional subsidy programme, which is being managed and administered by the GPF to fund social housing projects. The provincial steering committee facilitates the development process, by ensuring co-operative working relationships across all stakeholders, as well as the sourcing and acquisition of grant funding. The steering committee is chaired by the GPF, where the GPF provides debt financing for a project (Gauteng Partnership Fund's Socio Economic Impact Report, 2014:18).

7.3.1.3   Local government sources of social housing funding

In the South African context, municipalities are expected to source funding through loans in order to sustain social housing programmes and to deliver affordable rental housing opportunities. Local governments found themselves having to mobilise funds for capital-intensive housing programmes. Furthermore, capacity constraints, political changes, and unfunded mandates have become significant constraints for housing policy implementation at the local level (Tsenkova, 2014:24).

The metropolitan municipalities in Gauteng were allocated with built environment budgets in the form of the Urban Settlements Development Grant (USDG), which has spatial implications and requires sound financial management processes and systems. The municipality is obliged to provide access to land and buildings for social housing development and provide and maintain the necessary infrastructure to ensure sustainable provision of services, including affordable social rental housing (Thornhill et al., 2017:23).

In essence, the local government sphere is directly responsible for the establishment of social housing stock. According to Ogokhukwu (2015:12), financing and facilitating infrastructure to meet basic needs of many urban communities has been difficult for local authorities. This is, in most cases, due to the high standards that make the provision of infrastructure very costly. Local government has not received adequate funding for the provision of bulk infrastructural services to the growing number of urban communities. There are also issues of institutional capacity, coordination and lack of economies of scale in managing municipal public utilities and municipal public entities responsible for managing the development and management of affordable rental housing in big metropolitan municipalities.

7.3.1.4   Other private funding sources of social housing projects

There are quite a number of actors involved in social housing financing services, ranging from regulation of the housing finance sector, mobilisation of funds, supply of credit and guarantees of loans, to those requiring funds to build or maintain rental stock (construction finance), and to furnish or convert buildings into affordable rental housing opportunities. The government collaborates with all major financial institutions and interest groups, including:

- private banks and financial institutions (Standard Bank, First National Bank, ABSA Bank and Nedbank, that is, all four major banks);
- commercial banks and mortgage finance companies;
- insurance agencies that ensure buildings and building construction; and
- public entities such as the National Housing Finance Cooperation.

In the past, some commercial banks have provided loan finance to SHIs for green field projects. According to the revised National Housing Code (2016:96), green field projects cover new stock needed due to de-densification, and provision of new service

connections and this is funded through external sources, mainly commercial banks. The Trust for Urban Housing Finance (TUHF) provides loan finance only for private sector landlords operating in inner cities. Currently, the TUHF client base does not access SHRA funding.

7.4 Social housing funding applications processes

The preliminary work required by the SHRA for application of funding is that the SHI must obtain all documentation and technical project information, and, in most cases, the information is not always available, and if it is, is very hard to obtain. It normally takes up to eighteen months for an SHI to collate the information and supporting documents and by that time, project costs have increased significantly and are carried into the total development costs. The social housing application process is lengthy, either for a loan or grant, as the SHRA, GPF, banks and/or the NHFC use different application templates and request different supporting documentation. The SHI applying for SHRA grants must register with the SHRA and go through an accreditation process before the SHRA approves an application for funding. This is a long evaluation process wherein the financial model and financial position of the institution is assessed. The application for funding must be supported by documentation and technical project information and, in most cases, the information is not always available and/or very hard to obtain. The process of accessing funding by SHIs from the SHRA and other funding sources is cumbersome, as all have their own qualifying and reporting requirements (Rebel Group Advisory Southern Africa, 2016:23).

The approval and provision of preliminary grants from the SHRA takes a long time, and once approved, obtaining the actual support can also take time owing to the procurement processes of the SHRA. The insolvency position of a SHI must be positive if it is to be

allocated a social housing grant. Social housing is funded through grants, subsidies, and other types of financial aid provided for social housing. The mandates of the funding institutions also differ as some are profit- orientated and others are not-for-profit government entities.

Empirical data obtained in this study reflects the different mandates of the SHRA and NHFC as funders. According to Participant (D6: 6 3049:4771), "The other one gives loans at the very low interest rate and the other one give grant and as such the requirements will not be the same. Hence the one that give loans there is an issue of risks that they have to take into account." Evidence collected in this study indicates that both government grants and loans have an associated application process that is strict in order to assess the levels of risk, mitigate against exposure to corruption, facilitate due diligence, and ensure a high level of accountability.

7.5 Social housing financial risks

Empirical evidence obtained in this study confirmed that there are risks associated with the delivery of social housing and SHIs conduct risk assessments as mentioned by Participant D7:7 14170:15739 "We do risks analysis, we have risk matrix that will check what will happen if something goes wrong, whether are the associate risk. We do the assessment all the time as part of governance but as part of project there is always risk analysis."

The Municipality Finance Management Act (No. 56 of 2003) is one of the tools used to measure the financial capability of a municipality and for risk management. The three spheres of government, as the leaders in the provision of social housing opportunities, are expected to identity key risks such as financial and interagency coordination risks.

They are also required to assess agency transparency and accountability, noting that public funds are used in compliance with legislation governing the use of public financial resources.

Another major risk is in relation to SHIs not being able to pay back loan funding obtained from the GPF, the NHFC, and other loan funders. This risk is associated with an SHI's inability or unwillingness to pay back loan funding and extra costs incurred when the loaning entity takes legal action to recoup the fund loaned. Participant D4: 4 11307:13441 identified two risks associated with loan funding as "risks from the debt funders point of view is credit risks, they worry that how are they going to repay our money performance on the loan book and second one relates to incorrect costing of social housing projects." As a control measure, Participant D6:6 3049:4771 confirmed that "Johannesburg Social Housing Company have a risk register in place for the company that kind of list of those risk we are exposed to and we tried to come out with what we called the mitigating measures for which, practically not just thing which is written in the piece of paper then we do not do it." An additional cause of financial risk relates to the SHI misrepresenting its financial statements and position during the loan application process. It is possible that a SHI may have hidden unsustainable debt, hence it is important for creditors to conduct due diligence before any loan approval is granted.

7.6   Social housing funding risks

The involvement and participation of state in the provision of housing is a common practice and has a history as many government mass housing projects have been funded by government. The availability and non-availability of funds is a risk that has an impact on the delivery of affordable rental housing, as this means that, in the case of budget rollovers, the state is failing to deliver and those in positions of authority must explain

why to the executive authority. To a large extent, the rollover of both capital and operational budgets is a common occurrence, where no steps were taken to remedy the situation. One of the challenges facing government is inadequate expenditure on housing and human settlements budgets, owing to lack of capacity to initiate new projects and availability of consistent funding (Ogra et al., 2013:12).

The challenges in financing the main production factors of social housing in an urban context are largely contrary to those in rural/or traditional areas and relate to the costs of construction materials, labour (particularly skilled labour), and bulk services infrastructure. All these components, therefore, require funding, and taking into consideration the rising costs of building materials and the construction process, rank highest after land costs (Rudic, 2015:21). The high cost escalation of materials for building houses and materials for installing infrastructure is a serious challenge mitigating against the mass delivery of decent social housing units, not only in Gauteng, but in all other provinces. Land prices in more desirable locations near main transport nodes and employment cores are invariably higher than large pieces of land situated on the metropolitan peripheries (Ogra, 2013:18).

Participant D5: 5. 10520:11805 confirmed that social housing funding is important: "Remember the situation of funding the institution which is a great challenge and that government should put in place mechanisms to regulate the affairs of both the lender and the receiver." Participant D10: 10 1689:3116 stated that "most social housing institutions do not have fund reserves to fund and or accommodate other projects outside the SHRA mandate." Other social housing projects referred to by this respondent include youth centre facilities and special housing needs programme dedicated to vulnerable women and at-risk young girls focusing on addressing issues of gender-based violence, domestic violence and human trafficking. Participant D9: 9 4313:4765 acknowledged

"that banks are very strict in issuing loans to social housing institutions as there is no turnover and its huge risk."

7.7   SOCIAL HOUSING CHALLENGES

There are various processes and specific functional activities of the three spheres of government and state entities that must function within a particular environment to deliver social housing units. In the execution of such activities, challenges are experienced that inhibit the effectiveness of social housing policy implementation. The main purpose of this theme is to recognise and discuss the barriers to secure affordable rental social housing. The effective implementation of social housing within government is affected by many challenges and, for the purposes of this chapter, four sub-themes are considered.

7.7.1   Inadequate institutional capacity

Muchadenyika (2017:12) mentions that the current human settlements system in South Africa lacks institutional capacity to regulate, inform policy frameworks, and guide social housing planning. Inadequate institutional capacity is influenced by the political and administrative will of both the national, provincial, and local government's ability to manage and respond to escalating demands for urban services, housing and human settlements in the three metropolitan municipalities in Gauteng. There are multiple institutional shortcomings, such as insufficiently trained and uneducated staff in the human settlements value chain. Inadequate institutional capacity impacts negatively on coordination of economies of scale in managing municipal public utilities and municipal public entities responsible for managing the development and management of affordable rental housing in big metropolitan municipalities. Since the provision of social housing is

a shared responsibility between the three spheres of government, issues of slow and inefficient responses to housing related queries is a challenge (Muchadenyika (2017:12).

Participant D13: 13 2884:3470 confirmed the capacity challenges in the provision of affordable rental housing by noting that:

> The other challenge is lack of capacity by the provincial government in terms to the right personnel to plan and monitor the delivery of social housing projects. The other challenge is funding for social housing and lack of expertise in terms of project implementation wherein projects take time to be completed and the project costing is also a major challenge as it affects budgeting.

This statement about capacity challenges was corroborated by Participant D8: 2313:3263 who commented that "Lack of capacity by the social housing institutions they need to be able to work. Although at some stage SHRA was doing good work in capacity building, I think it slowed off a bit. The regulatory authority has been a challenge as the entity does not know exactly who they are." Participant D8: 82313:3263 also mentioned that "planning and project implementation skill need to be more effective."

The government, including municipal entities, are faced with an army of challenges with the notable ones being lack of managerial skills, high costs of building materials, lack of access to sustainable capital land acquisitions and land release strategies, and lastly, lack of control and regulatory policy frameworks for rent setting, allocation of affordable rental housing opportunities and norms and standards on the creation of sustainable integrated human settlements (Muchadenyika, 2017:13).

A lack of suitable governance and management capacity has been evident in some of the SHIs operating in Gauteng Province. Social housing delivery at scale is very hard to achieve in the sector within the current context, given that the capacity and experience base of officials, both in government and delivery agents, is limited and it needs to be consolidated and properly reinforced if it is to be enhanced. Capacity building initiatives for the sector have largely centred on education and training and the pre-establishment phase of SHIs, with limited emphasis on project packaging, project implementation, and the project operational skills needed to run viable institutions. Management of different stakeholders with different targets, expectations and interests is still a challenge in most developing counties, including South Africa (Gil-Garcia et al., 2018:80).

7.7.2   Social housing challenges at municipal level

The theoretical and policy orientation of Marxism towards people's livelihoods and wellbeing in relation to housing, family, social security, and improving people's livelihoods contributes towards social housing challenges at the municipal level. Rapid urban growth, owing to migration patterns and people moving from one metropolitan municipality to another in Gauteng Province, constitute one of the challenges to the provision of affordable, adequate rental housing. Urban growth is contributing to housing backlog and is increasing at an alarming rate per year. The increasing number of shacks, informal dwellings, and backyard rental dwellers is a moving target, as local municipalities, and even big metropolitan municipalities in Gauteng fail to cope, and are unable to define, quantify, and qualify housing demand in order to identify supply side options.

The role of the municipality is very broad, with the main challenges being coordination of all social housing related activities, in order to implement social housing policy, which

includes legal, regulatory, fiscal, political, programmatic, and administrative aspects at national, provincial and local government levels. Participant D2: 2525:5194 mentioned "the ten-point framework is being implemented through a variety mechanism including contract management, joint ventures, alignment and coordination of all housing and human settlements."

One of the challenges facing local government is inadequate expenditure on housing and human settlements budgets owing to a lack of capacity to plan and initiate new social housing projects and non-availability of consistent funding (Ogra et al., 2013:27). This was confirmed by Participant D 5: 4507:6517, who stated: "If you have a misalignment in terms of resources you will experience a shortfall, or you will be delayed in the delivery."

The challenges experienced at municipal level relate to land and property release processes which are lengthy and cumbersome making it difficult for the social housing delivery agents to meet their targets and complete social housing projects on time. According to Ogra (2013:28), access to suitable land represents one of the most important challenges for social housing production.

Management of different departments and entities in a municipality with different targets, expectations and interests is still a challenge in most developing countries, including South Africa. The municipality must be able to coordinate stakeholder departments that contribute to sustainable human settlements, namely water and sanitation, land and urban management, roads and transport and infrastructure. The housing function must be examined within the institutional framework and operational context. The provision of bulk infrastructure is a responsibility of more than one department in a municipality and its maintenance thereof is another of the challenges facing municipalities. In

addition, municipalities must grapple with project management and management of risks and partnerships (Kampamaba, Kachepa, Nkwae, Matlhogojane, Outule, 2018:357).

April (2014:12) acknowledges that the local government sphere is currently faced with critical challenges and problems pertaining to the effective and sustainable provision of basic services, administrative capacity, and institutional performance to drive service delivery and the effective implementation of government policies and programmes. Seto and Dhakal (2014:34) identified challenges common in the implementation of human settlements as lack of coordination among local land management and infrastructure departments. According to them, this institutional fragmentation undermines the ability to coordinate urban services within and across sector departments in a metropolitan municipality.

Participant D8: 6116:6356 shared information that summarised the social housing challenges at municipal level by saying:

> Non-alignment between the three spheres of government, SHRA and boards of directors of the social housing institutions. Lack of funds to deliver social housing units. Issues of planning and project implementation skill need to be more effective.

7.7.3   Social housing and human settlements planning challenges

Human settlements planning deals with the configuration of space for housing and human settlements development. The outcomes of that process are the best plans and identification and confirmation of restructuring zones for advancing sustainable urbanisation, especially in fast growing Gauteng cities (Muchadenyika, 2017:13). A

restructuring zone is a geographical area within a city that has opportunities for the development of social housing, to undo the legacy of town planning under the apartheid regime and to create a socially, racially and economically integrated society (South African Local Government Association, 2011:05). Lanoszka (2018:2) argues that too many development plans, including integrated development plans, spatial development plans and human settlements plans did not produce the expected results, because they neglected to properly evaluate the requirements of people in need and overlooked the range of constraints surrounding them.

Participant D8: 6116:6356 concluded that too many plans will lead to: "Non-alignment between the three spheres of government, SHRA and boards of director of the social housing institutions. Issues of human settlements planning, integration and project implementation skill need to be more effective to achieve expected results."

Participant D11: 4571:5184 noted the importance of alignment in planning related matters as: "Alignment is necessary and must occur because when you have project different stakeholders must contribute different resources. So that people do not start running around looking for funding and how the funding should be." The challenge is that the current human settlements planning regime lacks institutional, legal, regulatory and policy frameworks, rationalities, techniques, and ideologies that inform and guide human settlements planning (Muchadenyika, 2017:12).

Participant D 13: 2884:3470 identified other contributing factors that affect planning as: "The other challenge is lack of capacity by the provincial government in terms to the right personnel to plan and monitor the delivery of social housing projects."

The current intergovernmental relations system, structures and forums are not coordinated in such a way that they ensure that planning regimes of the three spheres

are horizontally and vertically aligned in integrated development planning of the local government and are supported by adequate budget.

Participant D13: 2884:3470 mentioned how other spheres do not consult and contribute to planning in a municipality, as follows: "The two spheres (national and provincial) of government think they are senior or are in charge of the local governments. In most cases the decision of the other spheres are just being imposed to the metropolitan municipality without consultation."

The bottom-up approach, which has a great influence on the current planning regime, used what Manomano et al. (2016:113) called new planning tools such as needs assessment, planning and participatory evaluations, project management principles, importance of respecting and taking into account ideas of communities and local people, including the beneficiaries of the projects. Human settlements planning, alignment and coordination of sustainable human settlements in the three metros is happening at a slow pace as the metros have not taken control of human settlements planning, financial planning and budgets. Empirical data from this study revealed that the government is using a top-down approach wherein the national government sets very high targets and priority areas, but is still failing to follow up and monitor the performance of social housing institutions, and planning towards achieving the targets is not coordinated. Participant D8: 4345-4880 "supported the bottom up approach wherein targets and priorities are quantified from the bottom which is at local government level."

Municipalities currently cannot define and understand the demand for human settlements, both qualitatively and quantitatively, and be able to plan the supply of human settlements. Information and intelligence on the dynamics of urban populations and economics must be part of a local government institutions' practice so as to assist decision-makers in making informed decisions and influencing the current planning

regime. Human settlements planners are largely responsible for providing and then converting information into spatial outcomes which is used in planning instruments such as integrated development plans. Kahn et al. (2011:133) mentions that the roles and responsibilities of municipalities include development of integrated sustainable human settlements plans, and that the planning of housing and human settlements function needs to be executed at municipal level as part of the bottom-up approach, as supported by Manomano et al. (2016:113).

7.7.4 SOCIAL HOUSING FINANCIAL PLANNING CHALLENGES

Another challenge in the delivery of social housing is lack of proper financial planning between the three spheres of government. Oosthuizen and Thornhill (2017:21) highlight that financial planning is an important requirement to ensure financial self-sufficiency to be able to meet the demands of society by means of funds generated from own resources. The three spheres or levels of government do not possess the same political mandates and housing provision resources such as budgets, land and buildings, where this makes it difficult, if not impossible to ensure there is financial planning, alignment, and integration so as to enable streamlining of housing provision operations.

The objective of the Division of Revenue Act, as set out in Section 2(a), exists to ensure an equitable division of revenue between the three spheres of government. The challenge is that the financial year-ends of the three spheres of government are not aligned, where both the national and provincial governments' financial year runs from the first of April to the end of March, and the financial year of local government runs from the first of July to the end of June each year. In terms of financial planning, this poses a challenge, because local governments plan their budgets and implementation of human settlements

projects over a multi-year period, which is not aligned to the financial year of the national and provincial spheres.

South Africa's national vision for sustainable development includes meeting the essential human needs of the people by promoting amongst others, efficient and effective integrated financial planning and governance through national, provincial, and local cooperation (Oosthuizen and Thornhill 2017). Participant D11: 193:949 described the function of government in a social housing programme as the social housing programme is really a programme with a function of three levels of government, in other words municipal, provincial, and national. This requires a lot of cooperation between the three spheres of government. What is also interesting about it that the social housing act grants responsibility to national government, provincial government, and to municipalities. In other words, it quite clear what each level should be doing in terms of the social housing programmes.

For sound financial planning, it is imperative that the national, provincial, and local governments ensure that intergovernmental grants, as sources of funding, are predictable year after year and that the municipalities get a consolidated grant for a year as opposed to grant allocation based on the efficiency with which the recipient has used the previous allocation. Participant D11: 4571:5184 validated the importance of alignment as "necessary and must occurs because when you have project different stakeholders must contribute different resources." The fact that different stakeholders contribute different resources, including financial resources every financial year, it is imperative that there should be sound financial planning ought to accommodate financial years that overlap.

Financial planning plays an important role in terms of prioritisation, budgeting, and financial support of social housing projects as noted by Participant D1: 6920:10852, who mentioned that:

> I might say that also you have a challenge in terms of how the three different spheres of government view a project it may be in the right location, but it may not be a priority for one of the spheres of the government. Remember, for every project of social housing it must be supported by municipalities. It must be sorted by a province, so there is instance where either of the sphere may not be forth front with their financial support.

The other element that has an impact on financial planning is the social housing project pipeline. This is the instrument both the SHRA and municipalities use to plan for current and future years of social housing projects. Participant D3: 3215:4535 confirmed the importance of the project pipeline: "Credibility of project pipeline that when the time comes to submit the application, we will also approach the GPF for funding if should there be a need."

7.8 GOVERNMENT SPHERES AND SOCIAL HOUSING POLICY IMPLEMENTATION

The implementation of social housing policy in Gauteng Province requires what Peters and Pierre (2001:100) called a model in which the provincial government is more concerned with defining objectives and mobilising resources from a wide variety of sources to pursue social housing goals. In the South African context, delivery of social housing is happening concurrently in all three spheres of government, whereby a collaborative exchange of activities, functions, and decision-making between institutions

at different levels of the political system needs to be managed, but not through command and control.

There is institutional overlap in and between the three spheres of government in terms of competencies and growing political, economic, and administrative dependencies, noting that housing is a concurrent function performed by the three spheres of government. The three spheres, including government entities, are mutually dependent on one another and the implementation of social housing cannot be achieved without resources that are possessed by other actors. The interactions between actors is complex and requires a coordinated approach. According to Participant D8: 513:1024, "the national government sets the policy and provide the guidelines on how policy is to be implemented."

Kahn, Mpedi and Kabena (2011:132) state that provision of housing is a concurrent responsibility of all three spheres of government and indicate that the activities of the different strata of government must be coordinated and well-integrated Nkuna (2011:632), supports this assertion by Kahn et al. (2011:132) that the activities of different agencies in local government must be integrated and coordinated with those of other spheres of government within a state. Gil-Garcia (2018:26) mentions the advocacy coalition framework as a suitable approach for addressing problems that involve substantial goal conflicts, important technical disputes, and multi-actors from several layers of government. This approach is aimed at enforcing coordinated behaviour within government spheres, actors, and networks that consists of different sets of people from a variety of stakeholder positions who share a particular belief system.

The interaction among actors and stakeholders is aimed at influencing the outcomes of social housing policy implementation processes. Gil-Garcia (2018:79) suggest that a policy implementation process is multi-faceted by nature, because most policy problems

are trans-disciplinary, involving social, economic, and political dimensions, to name just a few. The implementation of a social housing policy in the South African context must accommodate multiple stakeholders, incorporate multiple sources of data, model large networked systems, and retain a high level of flexibility to cope with a large number of possible interventions. For a social housing policy to be implemented effectively, there is a need to facilitate horizontal as well as vertical coordination across levels of government, as well as deregulation and devolution of social housing functions to the local government level.

According to Coetzee (2010:88), coordination of functions and activities in the implementation of concurrent functions, such as the provision of affordable rental housing, prevents overlap and consultation must take place between and amongst all state organs through direct and relevant intergovernmental relations structures, such as the Provincial Social Housing Steering Committee and the National Rental Housing Task Team.

7.8.1 Government spheres and monitoring of investment in social housing projects

Human settlements sector plans in most metropolitan municipalities influence the land use and forward planning framework, and this guides the type and location of investment in infrastructure for the establishment of integrated sustainable human settlements (Turok, 2016:12). Human settlements sector plans form a dedicated chapter in a municipal integrated development plan that addresses a sound investment climate to improve the delivery of affordable rental social housing. The three spheres are responsible for establishing national, provincial, and local government housing policies and regulations, developing and managing their subsidised owner-occupied and rental housing stock, and granting and monitoring subsidisation of housing investments. The

state housing investment is financed through budgetary resources, where the National Treasury will allocate a budget for housing and human settlements, and this allocation is under the control of the central government, which is responsible for financing public housing in South Africa.

Hegedüs, Lux, and Teller (2013:07) mention the role of the state in the housing system as coordination of resources to the housing sector which involves investment to purchase land, buildings and bulk infrastructure. The state also leverages private sector involvement and investment for urban and housing renewal, encourages partnerships between the private sector and the three spheres of government to invest in the delivery of social housing; and lastly, facilitates the involvement of consumers. In other words, the role of government is to create an environment conducive to investment in housing for rental purposes and to promote orderly consolidated urban growth with acceptable minimum provision of physical and social infrastructure.

The continuous expansion of state investment in housing, is due indirectly to the fact that government invests in larger housing projects and to a continuous rise in the costs of providing housing. The government has invested heavily in housing projects in and around industrial zones and large concentrations of labour power in industry. Government investment in rental housing is guided by movement of people and how investment should be channelled to communities to ensure the establishment of sustainable communities. Government investment in social housing is, therefore, as much a tool to reshape and democratise the urban form of our cities, as it is to increase the supply of rental housing for low- to moderate-income earners in good locations (Centre for Affordable Housing Finance in Africa, 2012:23).

7.8.2 Government spheres and the capacity to implement social housing policy

In 2010, the national government introduced Outcome 8 as a sub-output (No. 3) and set out the actions to be implemented to give effect to this new mandate. Outcome 8 is a Programme of Action aimed to create sustainable human settlements and improved quality of life. The outputs included the delivery of 80 000 well-located and affordable rental accommodation units. For the government to achieve this target, they ought to gear up their capacity to deliver. The effective implementation of social housing policy within government is affected by administrative and institutional capacity. Findings of this study enabled discussion about capacity at government level and in the SHIs (which are delivery agents of social housing projects) and partnerships with the private sector as part of overall capacity to deliver goods and services.

Participant D 11: 5256:6526 confirmed that there is lack capacity in government and state entities: "There is lack of capacity in all spheres of government. The most important things are knowledge and experience in the construction of projects at an affordable rate in other words not taking for the ride by the development work out there."

At government level, it is important that all three spheres demonstrate capacity to effect socio-economic transformation through strategic integrated programmes and social housing delivery plans. Participant D 5: 186:1949 described how government plans social housing delivery "Therefore national department set the base in the sense that in terms of funding and in terms of models what they do, they engage with Provinces and cities in terms of our business plans and integrated development plans." State agencies need to improve their capacity to assist the government of the day to deliver infrastructure projects and help connect the work of all spheres of government.

Capacity matters at government level relate to how state departments of housing and human settlements re-configure their organisational culture and structures to coordinate and facilitate integrated planning and delivery of integrated human settlements. Currently, owing to capacity issues, the government cannot define and understand the demand for human affordable rental housing, both qualitatively and quantitatively, and be able to come up with supply options. Information and intelligence on the dynamics of urban populations and economics must be part of government institutions' practice so as to assist decision-makers in making informed decisions. Human settlements planners do not have capacity to convert information into spatial outcomes, which can be used in planning instruments such as integrated development planning.

Capacity limitations, deficiencies, lack of competencies, and dysfunctionality on the part of government play a role in managing the transition from housing to human settlements, and most importantly, the administrative and functional management. A more considered approach to capacity building is required wherein both government and civil society need to engage, understand the complexities of community participation, and share knowledge in terms of institutional memory and leadership (South African Cities Network, 2014:200). One of the challenges facing government is inadequate expenditure on housing and human settlements budgets owing to a lack of capacity to initiate new projects and availability of consistent funding (Ogra et al., 2013). This is influenced by multiple institutional shortcomings such as insufficiently trained and uneducated staff in the rental housing provision value chain.

Human settlements sector plans in most municipalities lack what Turok (2016:12) calls the "urban land-infrastructure-finance nexus". This logic rests with the institutions and mechanisms that allocate land to appropriate uses within urban areas, including clearly defining property development rights, adequate land valuation systems, and rules that control property development. Local government has not received adequate funding for

the development of human settlements sector plans and provision of bulk infrastructural services to the growing number of urban communities. There are also issues of institutional capacity, coordination, and lack of economies of scale in managing municipal public utilities, and municipal public entities are responsible for managing the development and management of affordable rental housing in metropolitan municipalities in Gauteng Province. Land acquisition in the country is a complex process, and most metropolitan municipalities do not have capacity to fast-track the transfer of land to social housing institutions and other delivery agents, thereby hampering the delivery of social housing (Karmakar, 2017:14). Agyemang and Morrison (2017:4) identified lack of central government commitment, weak enforcement of planning regulations, and low capacity of local authorities, which are under-resourced in terms of staffing and finances as hindering the delivery of social housing.

The other key stakeholders making up the social housing sector are the SHIs, which act as delivery and management agents and are required to promote and/or drive social housing development in South Africa. The overall funding model for affordable social and rental housing is not tailored to the production of viable medium to higher density products and projects. The funding model is not structured in such a way that SHIs have provisions for the operating and management costs of the rental social housing stock. The financial pressures are immense, and the parameters of the current subsidy approach are too tight to allow the provision of social housing too far down market. Capacity building initiatives for the sector have largely centred on education and training and the pre-establishment phase of SHIs with limited emphasis on the project packaging, project implementation and project operational skills needed to run viable institutions. A lack of suitable governance and management capacity has been evident within some SHIs. Scale is very hard to achieve in the sector in the current context, given that the capacity and experience-base is limited and needs to be consolidated and properly reinforced if scale is an objective (Participant D8: 2313:3263).

Owing to lack of capacity, few social housing institutions are able to deal with social housing policy research, surveys, data collection, and social housing policy evaluation. Other challenges include a lack of administrative and organisational capacity to carry out the management and administration of rental stock, inability to prepare property development plans, maintenance plans, long term financial plans, and inability to secure the necessary finance from local government budgets or loans. The majority of SHIs in Gauteng are experiencing challenges which include lack of capacity to accurately balance costs with design and affordability. Insufficient lead time for project implementation as well as SHIs that have a limited capacity to implement more than a single project (Kampamaba et al., 2018:358).

7.8.3 Regulating the sector and monitoring performance of delivery agents

In 2008, the Social Housing Act (No.16 of 2008) (Social Housing Act) was passed, providing the enabling legislation to establish and promote a sustainable social housing environment and define the functions of national, provincial, and local governments in respect of social housing. The Social Housing Act allows for the undertaking of approved projects by other delivery agents with the benefit of public money and gives statutory recognition to SHIs. Further, it provides for the establishment of the SHRA and defines its role as the regulator of all SHIs that have obtained, or are in the process of obtaining, public funds. The SHRA also regulates the social housing sector and invests public funding in capital projects, and lastly, invests in the institutional development of SHIs. The SHRA also deals with the accreditation of SHIs in terms of the current legislation and regulations pursuant to it.

Mahanga (2002:54) emphasises that the role of government in housing provision is to formulate a regulatory framework that facilitates a conducive legal and operational

environment that can encourage and induce the private sector, community based organisations, non-governmental organisations, and other financiers and private property developers to participate directly in housing provision. There are rules developed to regulate the behaviour of other actors and resource distribution to ensure there is a great deal of sustainability. The current social housing policy specifically defines the roles and responsibilities of each actor, including the national, provincial, and local spheres, thereby regulating their behaviours.

Efficient planning control in ensuring orderly, sustainable, and integrated development and improved housing provision is still lacking, as a result of the government at all levels controlling, instead of regulating. The SHRA's mandate is to ensure there is control and a regulatory policy framework for rent setting, allocation of resources for affordable rental housing opportunities, and adherence to norms and standards in the creation of sustainable, integrated and affordable rental housing. The SHRA regulates the SHIs which are the main social housing developers and act as managing agents of the social rented sector. Participant D8: 513:1024 defined the role of the SHRA in the delivery of social housing units as: "The SHRA assists both the province and the national with regulatory environment policy processes on how they should implement policy at the local government level and how the delivery agents such as the social housing institutions should conduct themselves."

This regulatory framework is established to ensure that the significant state resources that have, and are, currently being channelled into social housing via participating SHIs are prudently invested and monitored over time (Murphy (2016:24). The SHRA maintains a register of SHIs, conducts compliance monitoring through regular inspection, enforces compliance where necessary, and intervenes in the affairs of a SHI in cases of maladministration. The state, working through the SHRA, monitors the performance of SHIs in the provision of social housing which has an impact on government social housing

expenditure and the political economy of social housing in general. The SHRA monitors the delivery of social housing opportunities, delivery goals, targets and budgets and conducts performance monitoring and evaluation and planning and alignment of implementation of social housing projects. The monitoring and evaluation of progress is also conducted during implementation and the plans are continuously reviewed, revised, and extended where necessary. The SHRA submits reports, recommendations, and proposals for consideration to the National Department of Human Settlements (NDHS).

Lack of an effective legal framework also contributes towards ineffective monitoring and evaluating systems to measure and account for the delivery of sustainable social housing projects in Gauteng Province. The challenge in the implementation of the current social housing policy is, therefore, the absence of institutional governance to ensure formal authority that incorporates practices and performances by different spheres of government, institutions and entities that interact with government (Tsenkova, 2014:12). The NDHS has established national housing agencies and institutions, including the SHRA, Housing Development Agency, National Housing Finance Cooperation and the National Home Builders Registration Council to facilitate the implementation of housing policies and to deal with specific housing challenges. All this requires a high level of coordination of activities and functions to ensure implementation, financing, monitoring and evaluation of human settlements policies and projects.

7.9 PRESENTATION OF QUANTITATIVE RESULTS AND ANALYSIS

The table below present participants demographic information from research questionnaires that were distributed for the quantitative data collection. It shows the gender of the participants, frequency and the percentages. The collected data is then analysed below.

Table 7.2: Participants demographic information

		Frequency	Percent
Gender	Female	80	51.3
	Male	76	48.7
Years of service related to the delivery of sustainable human settlements	0-5	28	17.9
	6-10	40	25.6
	11-15	36	23.1
	16-20	12	7.7
	21-25	24	15.4
	31 or more	16	10.3
		Frequency	**Percent**
Age group	26-35 years	24	15.4
	36-50 years	100	64.1
	51 or more	32	20.5
Highest Education Qualification	Matric Certificate	2	1.3
	Senior Certificate/Diploma	30	19.2
	Bachelor's degree(s)	24	15.4
	Post Graduate degree(s)	82	52.6
	Missing	18	11.5

The results for gender in Table 7.2 suggest that females dominate in the housing and human settlements sector across the three spheres of government, delivery agents, and government entities, as 51.3% of the respondents were female in comparison with 48.7% males. Of the human settlements sector staff surveyed, 23% had between 11 and

15 years of experience, and only 18% had worked in the sector for five years or less. This statistic indicates that the housing and human settlements sector is dominated by people with experience.

This observation is supported by the age group results which reflect that most of the respondents were between 36 and 50 years of age. The majority of the staff had post graduate qualifications and only 1.3% had just a matric certificate. These demographic results contradict the qualitative findings that suggested the main stakeholders responsible for physical delivery of social housing units (the SHRA, SHIs and metropolitan municipalities) are experiencing a low capacity and are under-resourced in terms of staffing and finances to develop and implement a social housing regulatory framework.

The comprehensive plan on sustainable integrated human settlements supports the delivery of social housing
- 1,3
- 32,1
- 10,3
- 3,8
- 52,6

There is a need to align the Housing Code of 2009 with the devleopment of sustainable integrated human settlements as per the new mandate of Human Settlements Department
- 5,1
- 34,6
- 3,8
- 9
- 47,4

Intergovernmental cooperation and co-ordination requests alignment of duties and functions between different state agencies in law and policies
- 1,3
- 39,7
- 15,4
- 1,3
- 42,3

The South African intergovernmental system of spatial planning is slow and coordination of planning activities between the three spheres of government is very slow
- 1,3
- 32,1
- 15,4
- 2,6
- 48,7

There is direct relationship between cooperative governance and good governance
- 2,6
- 30,8
- 16,7
- 10,3
- 39,8

The current housing subsidy quantum for social housing is not sufficient for the development of sustainable integrated human settlements
- 2,6
- 21,8
- 24,4
- 15,4
- 35,9

■Strongly disagree ■Strongly agree ■Neutral ■Disagree ■Agree

Figure 7.3 represent intergovernmental relations, planning, alignment and funding

Figure 7.3 above presented quantitative data with regards to the intergovernmental relations, planning, alignment and funding in the three spheres of government, with the findings discussed below.

The findings presented in Figure 7.3 suggest that the government's shift from the provision of housing to the creation of sustainable human settlements, in a manner that is responsive to the demands of particular segments of society and local situations, was

well understood and supported by the respondents. Figure 7.3 shows that eight out of every 10 respondents agreed that the comprehensive plan on sustainable integrated human settlements supports the delivery of social housing (84.6%), where a few felt otherwise (5.1%). A similar proportion (82.1%) felt that there is a need to align the Housing Code of 2009 with the development of sustainable integrated human settlements as per the new mandate of the Human Settlements Department, and 82.1% agreed that intergovernmental relations and coordination requests alignment of duties and functions between different state agencies in laws and policies. The implication is that the Housing Code is outdated, and it must be reviewed to be brought in line with the Breaking New Ground (BNG) principle. Another 80% of the respondents felt that the South African intergovernmental system of spatial planning is slow and coordination of planning activities between the three spheres of government is very slow, while 70% felt that there is a direct relationship between cooperative governance and good governance.

The findings presented in Figure 7.3 are confirmed by information in the National Development Plan (2012) that identifies weak spatial planning and governance capabilities as one of the challenges in the implementation of BNG. According to Paynter (2011:70), spatial planning contributes towards achieving the objectives of the Gauteng City Regions and the setting of more realistic planning regimes that link infrastructure provision within cities in Gauteng, infrastructure privatisation, and equity of access to services and the benefits of compact cities. Between five and six out of 10 respondents (57.7%) felt that the current housing subsidy quantum for social housing is not sufficient for the development of sustainable integrated human settlements. A quarter of the respondents (24.4%) were uncertain about this, and less than 20% disagreed. Note that, in the written description and interpretation of the findings presented in Figures 7.3 to 7.14, the values for the responses "Agree" and "Strongly agree" are combined and presented as one value. The same applies to the values for the responses "Disagree" and "Strongly disagree".
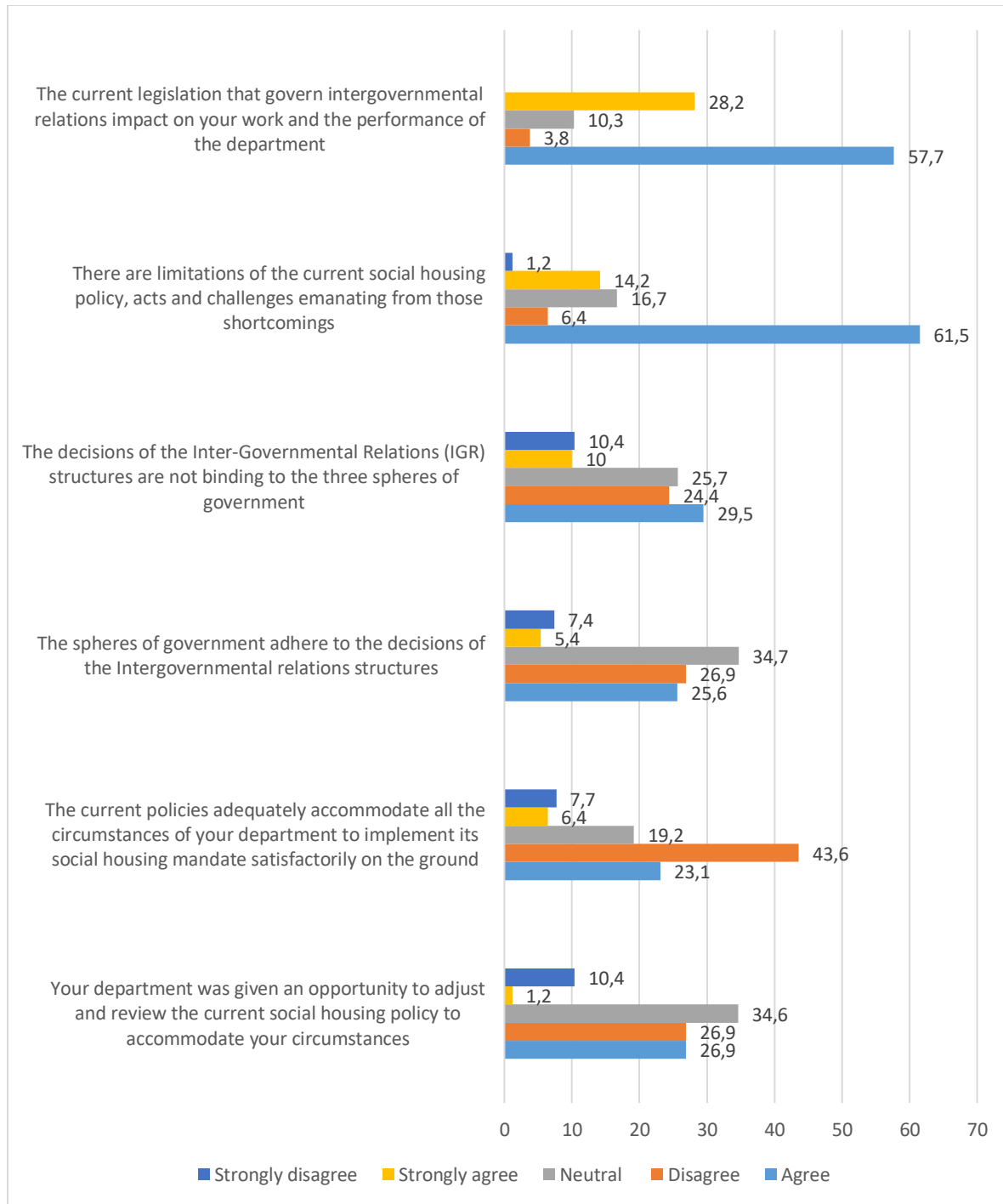
Figure 7.4 represent impact of decisions of intergovernmental relations structures

Adedire (2014:63) concluded that the current application of system theory in relation to intergovernmental relations legislation in the modern public administration paradigm is

to better understand the role of government in the delivery of services and the relations between spheres of government. The findings presented in Figure 7.4 show that eight out of every 10 respondents (85.9%) agreed that the current legislation that governs intergovernmental relations impacted on their work and the performance of the department. Intergovernmental relations operate in a political and administrative environment and there are procedures that impact the work and performance of both the officials and state departments in the delivery of services including social housing.

Approximately 75% of the respondents felt that there are limitations of the current social housing policy, acts and challenges emanating from those shortcomings, while 25% felt otherwise. A limitation, as reflected in the findings of the qualitative aspect of this study, is the extent to which municipal-linked social housing institutions are controlled by the municipalities as the main shareholders in the boards of directors of the social housing institutions. The social housing act and policy is silent on the level of influence by municipalities on SHIs, and, because SHIs depend on the municipalities for day-to-day operational funds, donation of land, provision of bulk infrastructure, exemption from contributing to bulk infrastructure provision, and secondment of staff, the municipalities end up dictating terms.

A relatively low number of respondents felt that the decisions of the inter-governmental relations (IGR) structures are not binding to the three spheres of government (39.7%), and that the spheres of government adhere to the decisions of the intergovernmental relations structures (30.8%). More than 60% did not agree with these two statements (Figure 7.4). Less than 30% of respondents believed that the current policies adequately accommodate all the circumstances and the material conditions of the department to implement its social housing mandate satisfactorily on the ground (29.5%) and that their department was given an opportunity to adjust and review the current social housing

policy to accommodate the circumstances (29.5%). More than 66% of the respondents disagreed and were doubtful about these two aspects (Figure 7.4).
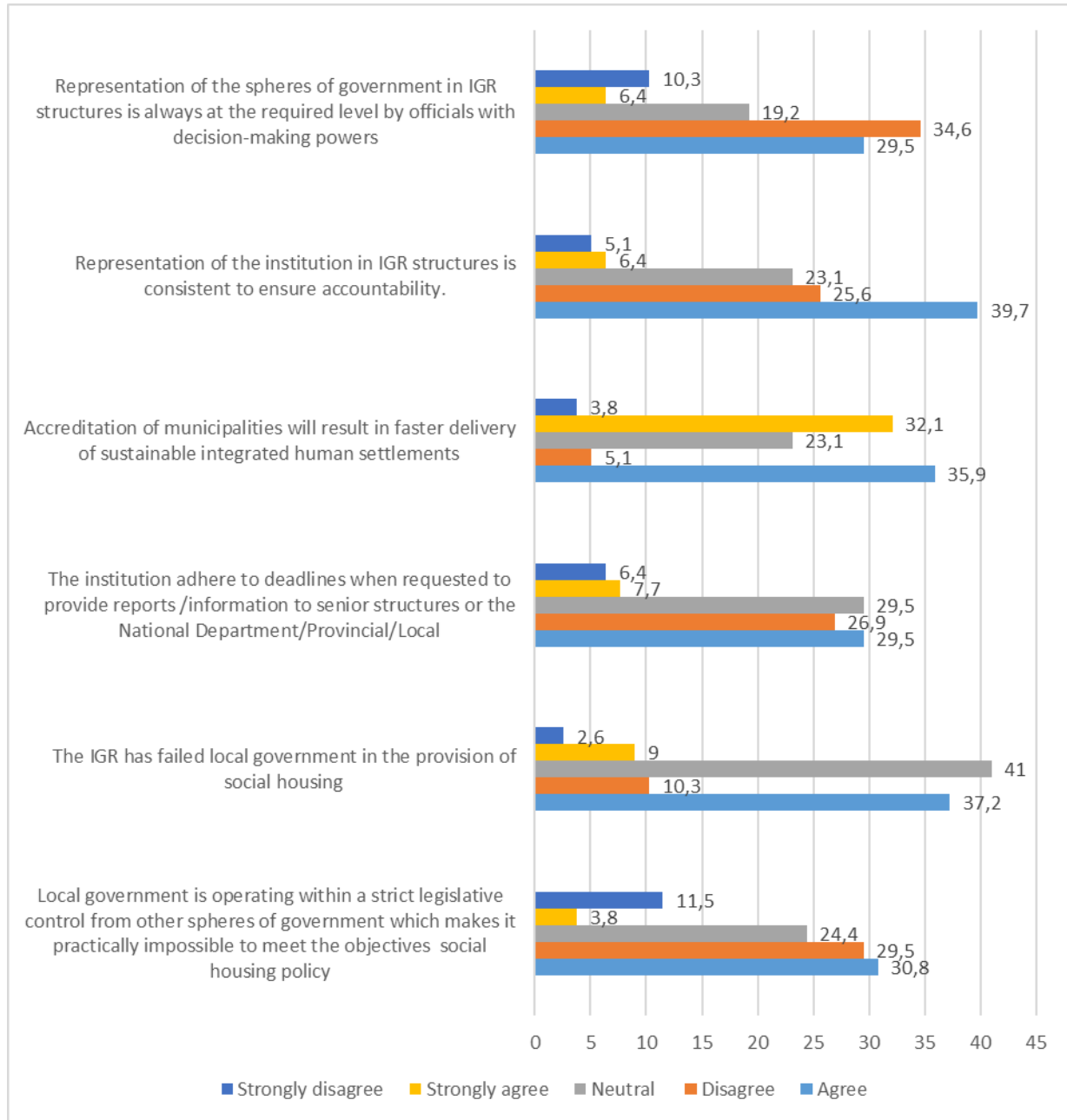
Figure 7.5 represent accreditation of municipalities to implement housing programmes

Accreditation of municipalities is the last phase of decentralisation, where resources, power and responsibilities are transferred from the central and provincial level to the local government level (Koo and Kim, 2018:291). In this case, the local government sphere is accredited to implement all national human settlements programmes. The results in Figure 7.5 indicate that two-thirds (67%) of the respondents agreed that accreditation of municipalities will result in faster delivery of sustainable integrated human settlements.

This finding is supported by the view of Mihaela and Oprea (2017:253) that accreditation and decentralisation is a method of improving government efficacy and efficiency. A fifth (23.1%) of the respondents were neutral about this matter, while three out of every 10 (30.8%) disagreed. There was a 37.2% agreement that the institution adheres to deadlines when requested to provide reports/information to senior structures or the national department/provincial/local, 29% were neutral, while a third (33.3%) disagreed with this statement.

Less than 40% of the respondents agreed that representation of the spheres of government in IGR structures is always at the required level by officials with decision making powers, 44% disagreed and 20% were neutral. A third (34%) of respondents agreed that local government is operating within a strict legislative control from other spheres of government which makes it practically impossible to meet the objectives of social housing policy, 41% were in disagreement, while a quarter (25%) were neutral.
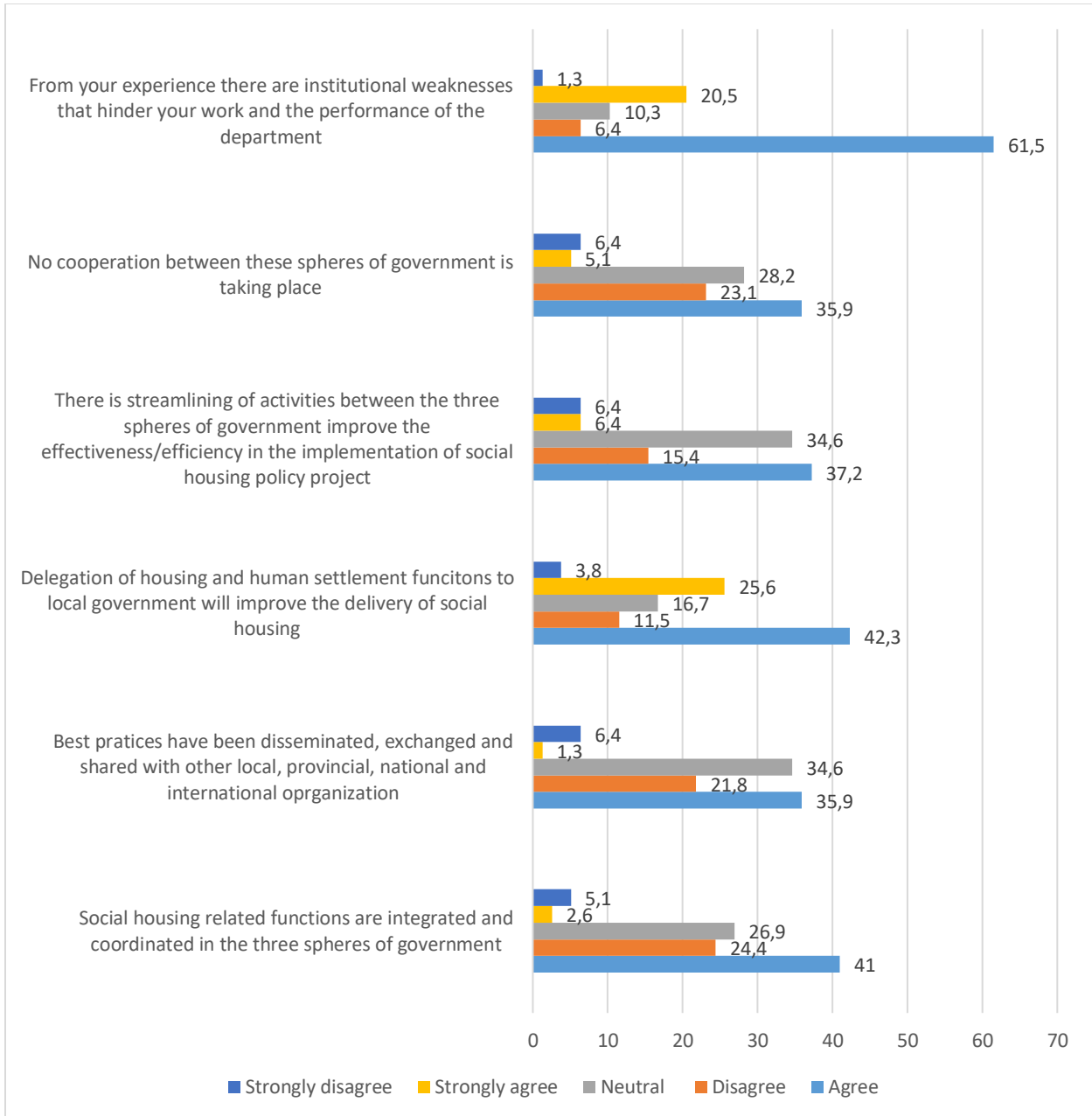
Figure 7.6 represent integration, alignment and streamlining of social housing related functions

According to the results presented in Figure 7.6, eight out of every 10 (82.1%) of respondents agreed that, from their experience, there are institutional weaknesses that hinder the performance of the department, fewer disagreed (7.7%). The qualitative findings identified what some of these institutional weaknesses are, including lack of

streamlining of operational activities, lack of relevant skills such as poor project management in the implementation phase, lack of a monitoring and control system for emerging social housing institutions. Other weaknesses identified were related to government officials not working together to achieve a common goal, and the spheres of government not supporting one another to ensure maximum participation, transparency, and involvement to ensure accountability. Two-thirds (67.9%) of the respondents agreed that delegation of housing and human settlements functions to local government will improve the delivery of social housing and a third (32.1%) did not agree or were in doubt.

Less than half (43.6%) of the respondents agreed that there is streamlining of activities between the three spheres of government to improve the effectiveness/efficiency in the implementation of social housing policy projects. More than half of those surveyed either took neutral stance (34.6%) or disagreed (21.8%) with this statement. Less than half (43.6%) of the respondents agreed that social housing related functions are integrated and coordinated in the three spheres of government, a quarter (26.9%) were neutral, while 29.5% disagreed. Only four out of 10 (41.0%) of the respondents agreed that no cooperation between the spheres of government takes place. More than half took a neutral stance (28.2%), or disagreed (29.5%). Relatively few respondents (37.2%) agreed that the best practices have been disseminated, exchanged, and shared with other local, provincial, national, and international organisations. Together, there was a higher number of those who were neutral (34.6%) or disagreed (28.2%).
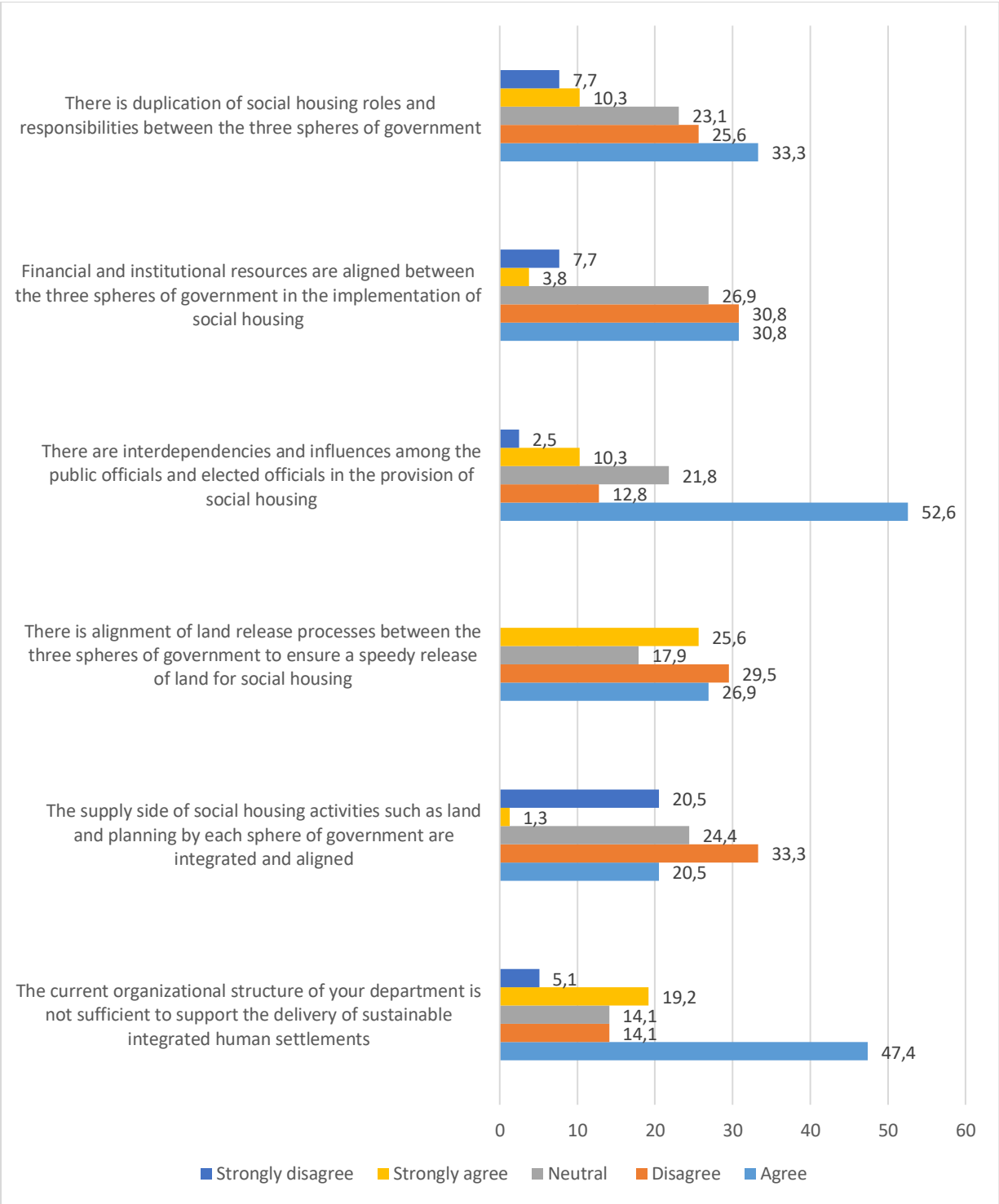
Figure 7.7 represent Human settlements organisational structure

Metropolitan municipalities in Gauteng Province are still managing the transition from housing provision to creation of sustainable human settlements, most importantly in relation to the administrative and functional management of this process. The reality, according to the qualitative findings of this study, is that this transition is happening at a slow pace, as the metros have not taken control of human settlements planning, project management, financial planning, and capital and operational budgets in order to have organisational structures that represent the new mandate.

The findings presented in Figure 7.7 reflect that two-thirds (66%) of the respondents agreed that the current organisational structure of their departments is not sufficient to support the delivery of sustainable, integrated human settlements. In contrast, about 33% either disagreed or were in doubt. As many as 6 out of 10 (62.8%) respondents agreed that there are interdependencies and influences among the public officials and elected officials in the provision of social housing, while fewer were in disagreement (15.4%) and (21.8%) were in doubt. Half of the respondents (52.6%) agreed that there is alignment of land release processes between the three spheres of government to ensure a speedy release of land for social housing; fewer (29%) disagreed, while less than (20%) were neutral.

Less than half (43.6%) of the respondents agreed that there is duplication of social housing roles and responsibilities between the three spheres of government, a third (33.35) disagreed with this statement, while a fifth (23.1%) took a neutral stance. A third (34.6%) of respondents agreed that financial and institutional resources are aligned between the three spheres of government in the implementation of social housing. However, more of them disagreed (38.5%) with this statement and a quarter

(26.9%) were neutral. Half of the respondents (53.9%) disagreed that the supply side of social housing activities such as land and planning by each sphere of government is integrated and aligned, while a quarter of them (24.4%) were neutral, and a fifth (21.8%) agreed with this.
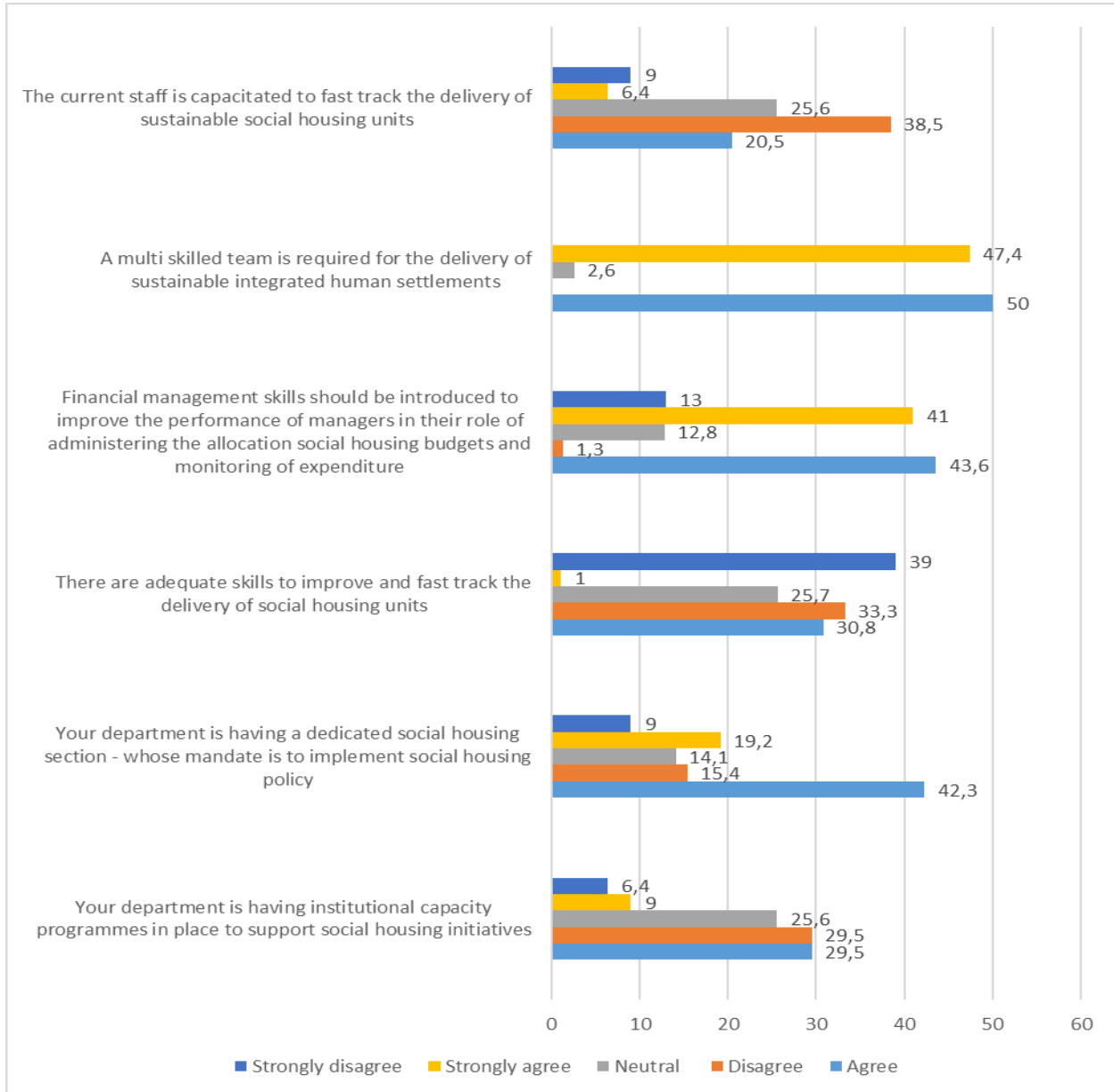
Figure 7.8 represents impact of capacity to implement social housing related initiatives

Almost everyone who was surveyed agreed that a multi-skilled team is required for the delivery of sustainable integrated human settlements (97.4%). At least eight out of 10 (84.6%) respondents agreed that financial management skills should be introduced to improve the performance of managers in their role of administering the allocated social housing budgets and monitoring of expenditure (84.6%). An above average number of 6 out of 10 (61.5%) respondents agreed that their department has a dedicated social housing section, whose mandate is to implement social housing policy; a quarter (24.4%) disagreed with this, while 14.1% were in doubt. Less than 40% of respondents (38.5%) indicated their department had institutional capacity building programmes in place to support social housing initiatives, 35.9% disagreed with this, while a quarter (25.6%) took a neutral stance. Almost a third (32.1%) of respondents agreed that there are adequate skills to improve and fast track the delivery of social housing units. However, more of them (42.3%) disagreed about adequate skills availability, while a quarter (25.8%) were neutral. The results show that a quarter of respondents (26.9%) agreed that the current staff is capacitated to fast-track the delivery of sustainable social housing units, while another quarter (25.6%) were neutral, and more of them (47.4%) disagreed with this.

Table 7.3: Social housing regulatory authority: demographic information of respondents

Variable	Category	Frequency	Percent
Gender	Female	18	60
	Male	12	40
Years of service related to the delivery of social housing units	0-5	9	30
	6-10	15	50
	11-15	3	10
	21-25	3	10
Age group	25-35years	15	50
	37 and above	15	50
Education qualifications	Bachelor's degree	9	30
	Honour's degree	6	20
	Master's degree	9	30
	Post Graduate diploma	6	20

There were 30 respondents who completed the questionnaire designed to collect information about the Social Housing Regulatory Authority (SHRA). Of these respondents, 60% were female (n=18), and 40% were male (n=12) (Table 7.1). Half of them (50%) had 6-10 years of service related to the delivery of social housing units, 30% had up to five years of such experience, while very few had 11-15 and 21-25 years of such experience (Table 7). Half of the respondents were aged 25-35 years, while the other half were 37 years and older. In terms of qualifications, three out of every 10 had a bachelor's degree (30%), another 30% had Master's degrees, 20% had Honour's degrees, and the remaining 20% had postgraduate diplomas (Table 7.1).
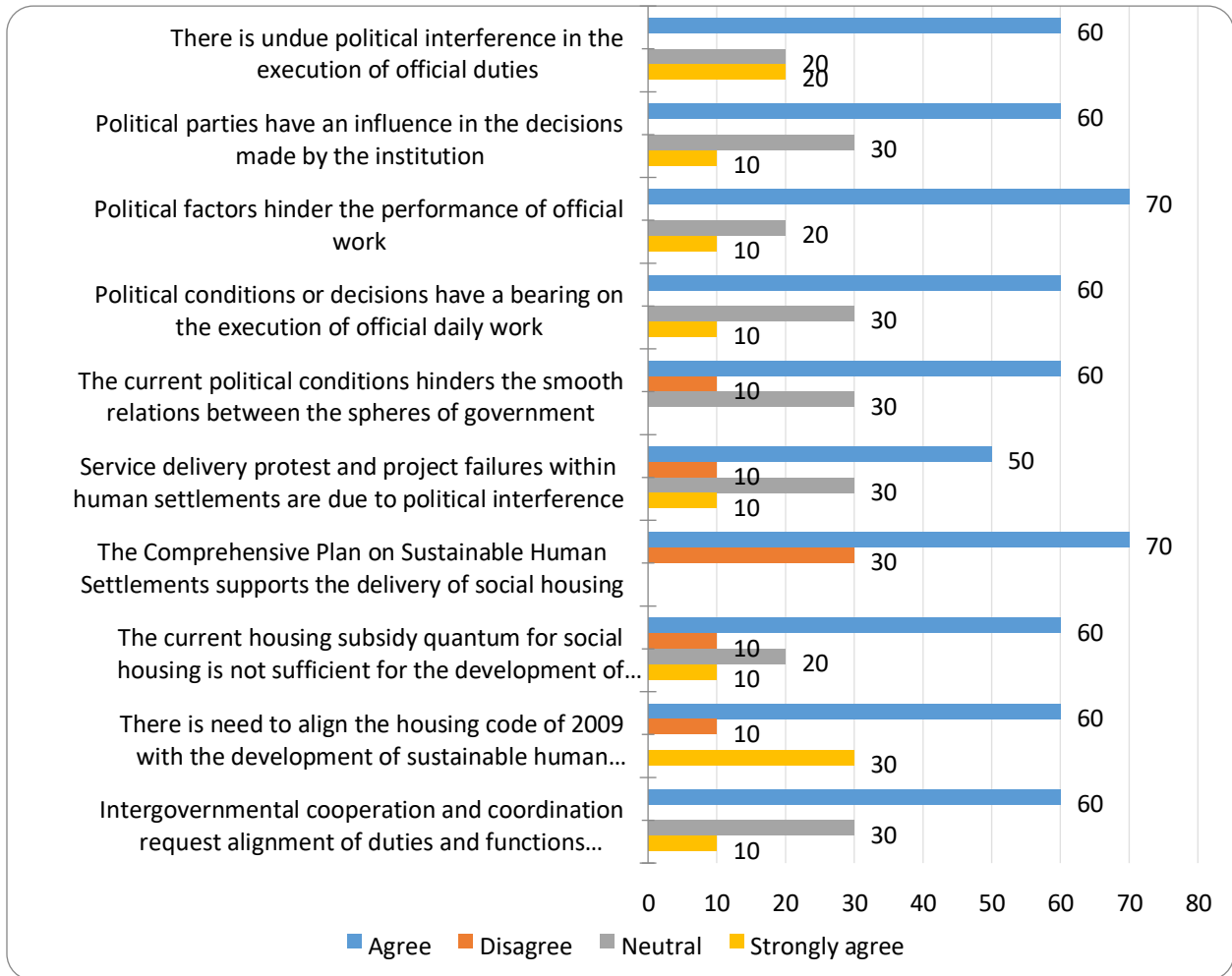
Figure 7.9 represent sustainable human settlements plan and social housing

The findings in Figure 7.9 indicate that 80% of the respondents agreed that there was undue political interference in the execution of official duties, and that political factors hinder the performance of official work, 20% were undecided, and no-one disagreed with this assertion. At least 70% of the respondents agreed that political parties have an influence on the decisions made by the institution, and that political conditions or decisions have a bearing on the execution of official daily work (Figure 7.9). The other 30% of respondents chose a neutral stance in their response to this statement. There was a 60% agreement that the current political conditions hinder smooth relations

between the spheres of government, and that service delivery protests and project failures within human settlements are due to political interference. The other 40% of the respondents either took a neutral stance (30%) or disagreed (10%) (Figure 7.9).

There was agreement by seven out of 10 (70%) respondents that the Comprehensive Plan on Sustainable Human Settlements supports the delivery of social housing, and that the current housing subsidy quantum for social housing is not sufficient for the development of sustainable integrated human settlements, while 30% either disagreed or were undecided (Figure 7.9). The vast majority (90%) of respondents felt that there was a need to align the Housing Code of 2009 with the development of sustainable human settlements as per the new mandate of the Human Settlements Department, while 10% of the respondents did not agree with this need. At least 70% of respondents agreed that the intergovernmental cooperation and coordination requires alignment of duties and functions between state agencies and government departments. The other 30% of the respondents were undecided about this (Figure 7.9).
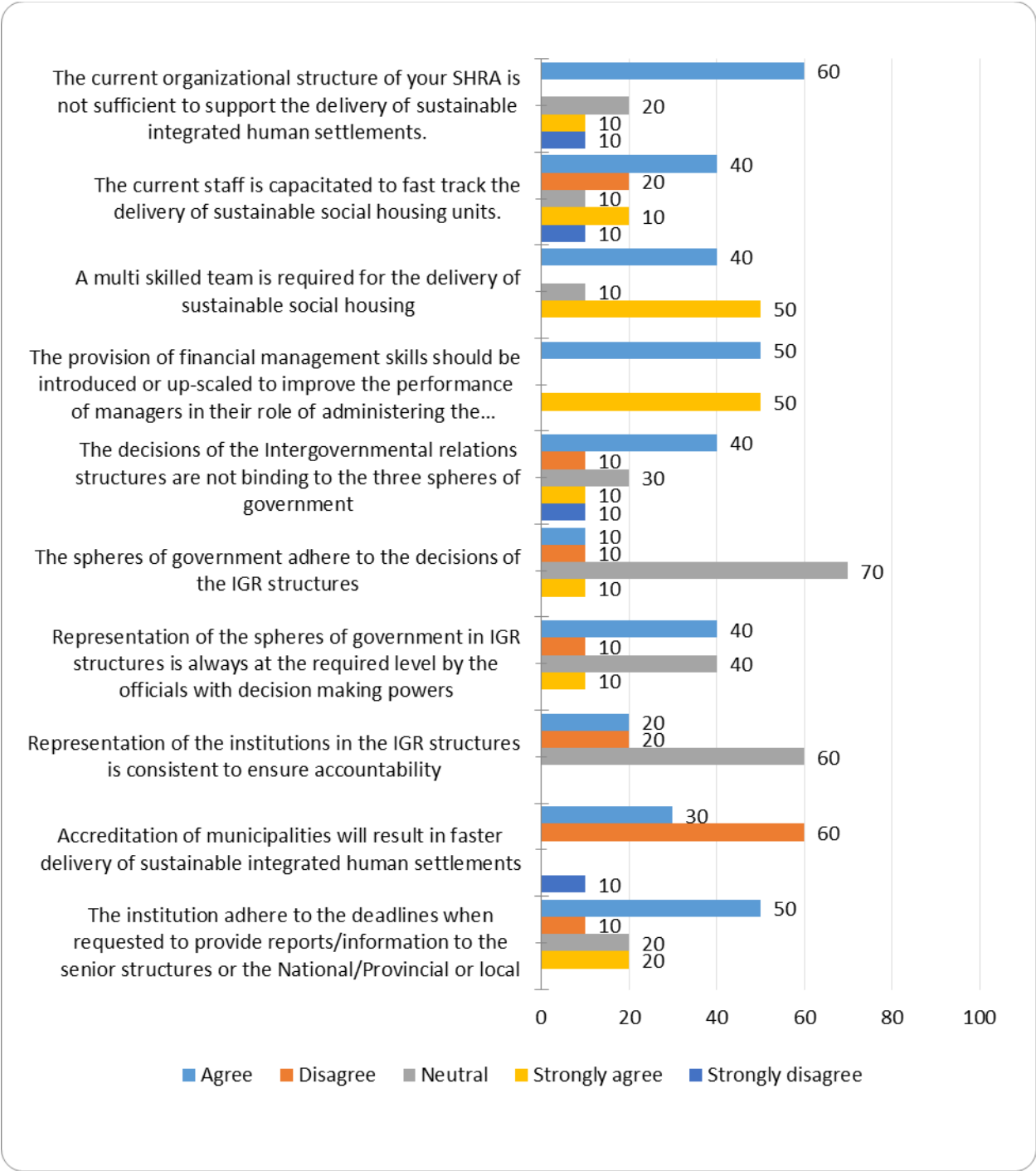
Figure 7.10 represent participation and representation in intergovernmental relations structures

The findings presented in Figure 7.10 indicate that 70% of respondents agreed that the current organisational structure of the SHRA is not sufficient to support the delivery of sustainable integrated human settlements. The same proportion also agreed that the institution adheres to deadlines when requested to provide reports and/or information to the senior structures or the national, provincial, or local governments. There was a combined 30% neutral and disagreement response. At least 60% of the respondents agreed that the current staff is capacitated to fast track the delivery of sustainable social housing units, 20% disagreed, and the other 20% were neutral. All respondents agreed that the provision of financial management skills should be introduced or up scaled to improve the performance of managers in their role of administering the allocated budgets and monitoring of expenditure in delivering social housing units. At least 90% of them agreed that a multi-skilled team is required for the delivery of sustainable social housing (Figure 7.10).

Half of the respondents agreed that the decisions of the intergovernmental relations structures are not binding to the three spheres of government, and that representation of the spheres of government in IGR structures is always at the required level by the officials with decision making powers (Figure 7.10). The other 50% disagreed or took a neutral stance on these two aspects. Relatively few respondents (20%) agreed that representation of the institutions in the IGR structures is consistent to ensure accountability, 60% were uncertain about this aspect, while 20% disagreed with this statement. There was only 20% agreement that the spheres of government adhere to the decisions of the IGR structures. Most of the respondents (70%) indicated uncertainty about this, and 10% completely disagreed. At least 70% of respondents disagreed that accreditation of municipalities will result in faster delivery of sustainable integrated human settlements. The percentage agreement about this issue was only 30% (Figure 7.10).
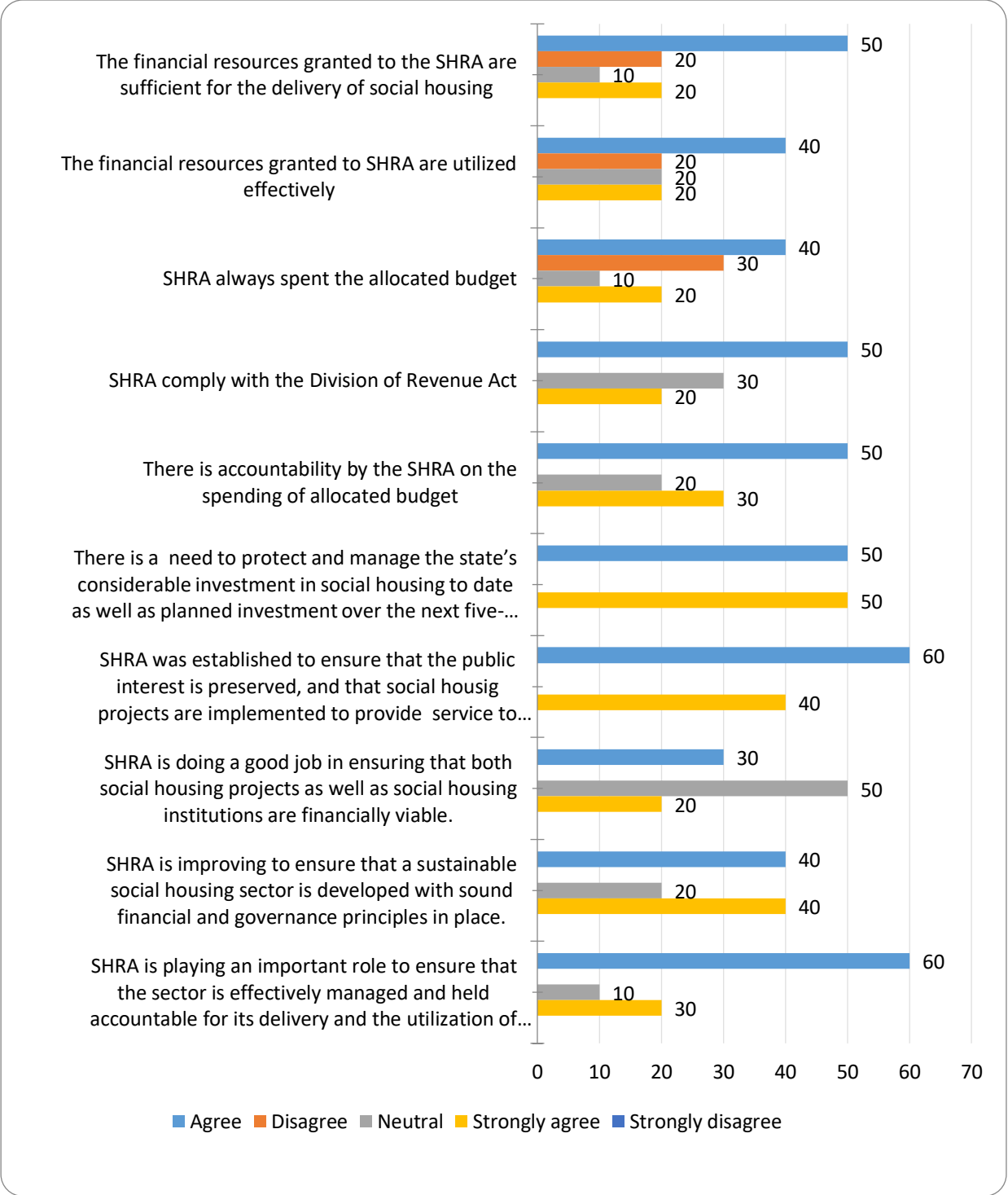
Figure 7.11 represent the social housing regulatory authority as financier and regulator of social housing

The findings presented in Figure 7.11 show that 70% of the respondents agreed that the financial resources granted to the SHRA are sufficient for the delivery of social housing, and that the SHRA complies with the Division of Revenue Act (70%). Only 30% of them either disagreed or were uncertain about these two issues. At least 60% of respondents agreed that the financial resources granted to the SHRA are utilised effectively and that the SHRA always spent the allocated budget (60%). Only 30% of them either disagreed or were uncertain about these two aspects. At least 80% of respondents agreed that there is accountability by the SHRA on the spending of the allocated budget. The same proportion agreed that the SHRA is improving to ensure that a sustainable social housing sector is developed with sound financial and governance principles in place (80%), and that the SHRA plays an important role to ensure that the sector is effectively managed and held accountable for its delivery and the utilisation of public funds (80%). Only 20% of the respondents were either uncertain or negative about these three aspects (Figure 7.11).

All respondents (100%) indicated that there is a need to protect and manage the state's considerable investment in social housing to date, as well as planned investment over the next five years. There was also complete agreement that the SHRA was established to ensure that the public interest is preserved, and that social housing projects are implemented to provide services to the intended target groups (100%). Half of the respondents agreed that the SHRA is doing a good job in ensuring that both social housing projects, as well as social housing institutions are financially viable, while the other half of the respondents disagreed or were uncertain (Figure 7.11).
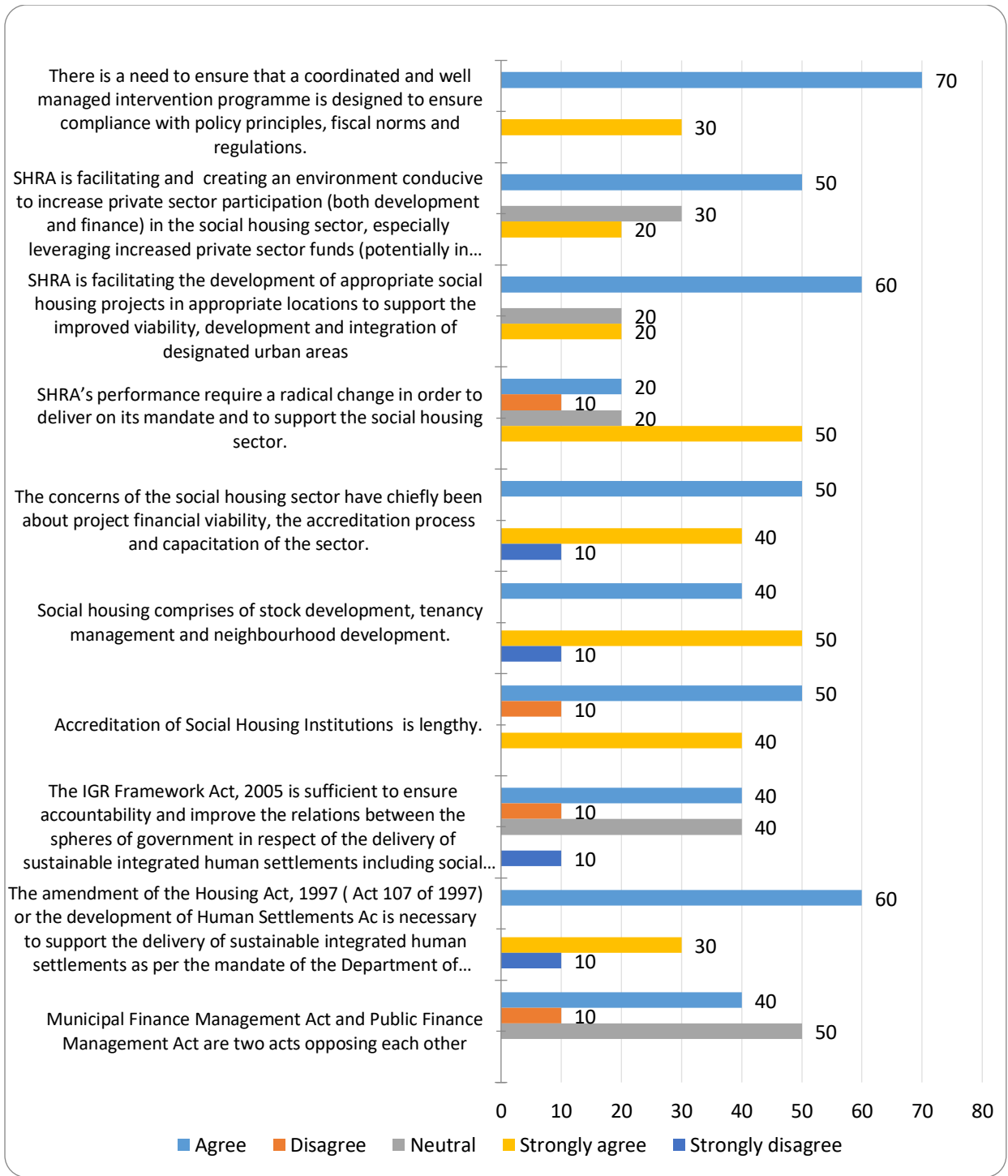
Figure 7.12 represent the role of the social housing regulatory authority in day to day management of social housing institutions

The results in Figure 7.12 indicate that all the respondents (100%) agreed that there is a need to ensure that a coordinated and well-managed intervention programme is designed to ensure compliance with policy principles, fiscal norms, and regulations. The majority (90%) also agreed that social housing comprises of stock development, tenancy management, and neighbourhood development, and that the concerns of the social housing sector have chiefly been about project financial viability, the accreditation process, and capacitation of the sector (90% agreement).There was also 90% agreement that accreditation of Social Housing Institutions is lengthy, and that the amendment of the Housing Act, 1997 (Act No. 107 of 1997) or the Development of Human Settlements Act is necessary to support the delivery of sustainable integrated human settlements as per the mandate of the Department of Human Settlements (90% agreement). A similar proportion of the respondents agreed that the SHRA is facilitating and creating an environment conducive to an increase in private sector participation (in relation to both development and finance) in the social housing sector, especially leveraging increased private sector funds (potentially in excess of R5 billion over the next five years). Almost all (90%) of the respondents agreed that the concerns of the social housing sector have chiefly been about project financial viability, the accreditation process and capacitation of the sector.

The findings in Figure 7.12 also show that up to 70% of respondents agreed that the SHRA's performance requires a radical change in order to deliver on its mandate and to support the social housing sector, and that the SHRA is facilitating the development of appropriate social housing projects in appropriate locations to support the improved viability, development and integration of designated urban areas (70%). The other 30% of the respondents were either is doubt or disagreed with these two aspects. Fewer than half of the respondents (40%) agreed that the IGR Framework Act of 2005 is

sufficient to ensure accountability and improve the relations between the spheres of government with respect to the delivery of sustainable integrated human settlements including social housing, and the same number agreed that the Municipal Finance Management Act and Public Finance Management Act are two acts opposing each other (40%). The number of respondents who were uncertain about these aspects was 40-50%, while 10-20% disagreed (Figure 7.12).
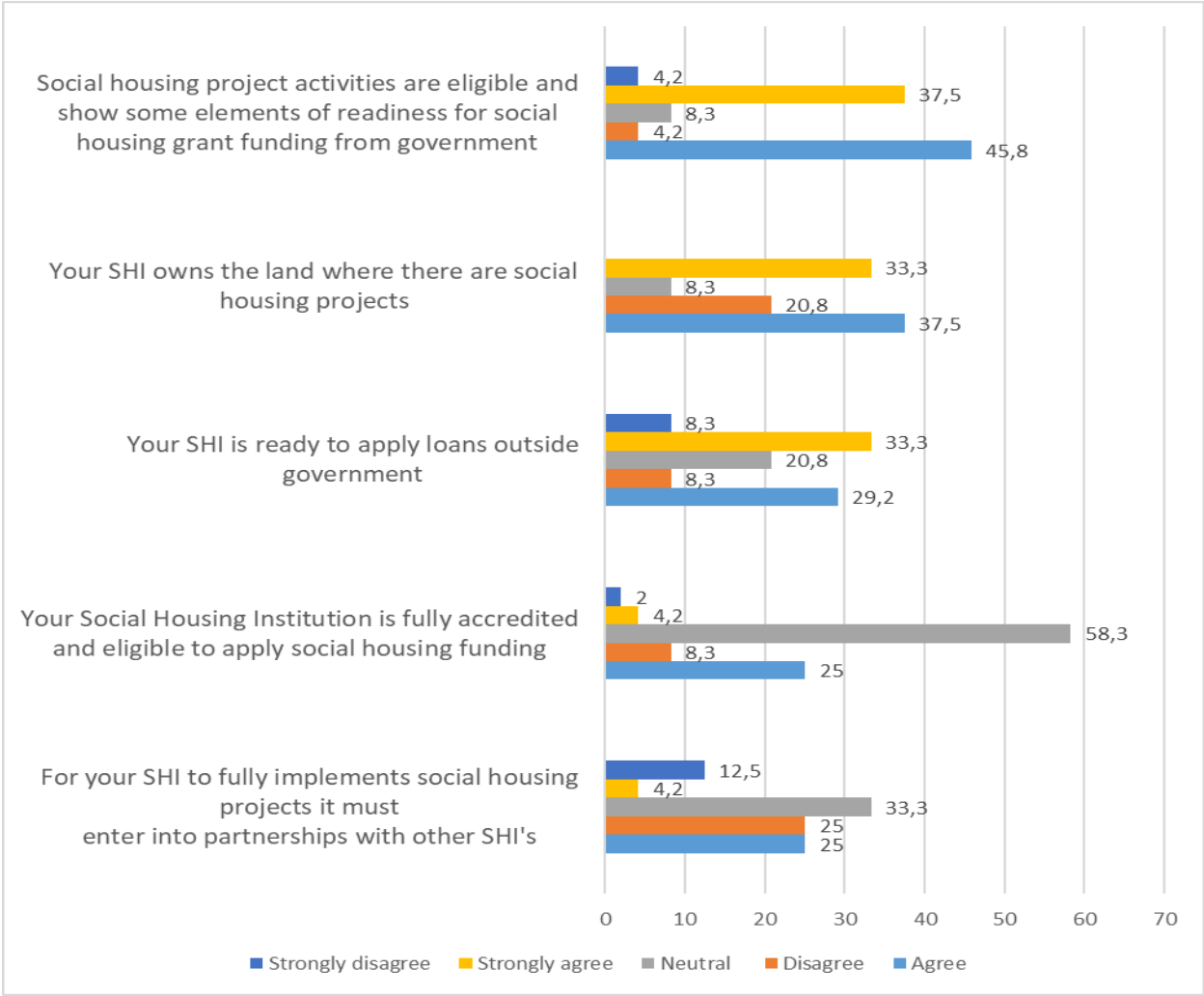
Figure 7.13 represent role of the social housing institutions in the implementation of social housing

The findings presented in Figure 7.13 show that eight out of 10 (83.3%) respondents agreed that social housing project activities are eligible and show some elements of readiness for social housing grant funding from government. Very few respondents disagreed or were uncertain regarding this issue. A relatively large number (70%) of respondents indicated that the SHIs own the land where there are social housing projects.

The other 30% did not agree with this or were doubtful. Over half of the respondents (six out of 10 or 62.5%) agreed that their particular SHI is ready to apply for loans outside government, a fifth (20.8%) were doubtful, and less than 20% were in agreement. Very few (29.2%) of respondents agreed that the SHIs are fully accredited and eligible to apply for social housing funding (between five and six of them were doubtful about this), while a tenth were in disagreement that SHIs are fully accredited and eligible to apply for social housing funding. Very few (29.2%) of the respondents agreed that their SHI was ready to fully implement social housing projects and that it must enter into partnerships with other SHIs. Over a third (37.5%) of respondents disagreed with this, while another third (33.3%) were uncertain about these aspects (Figure 7.13).
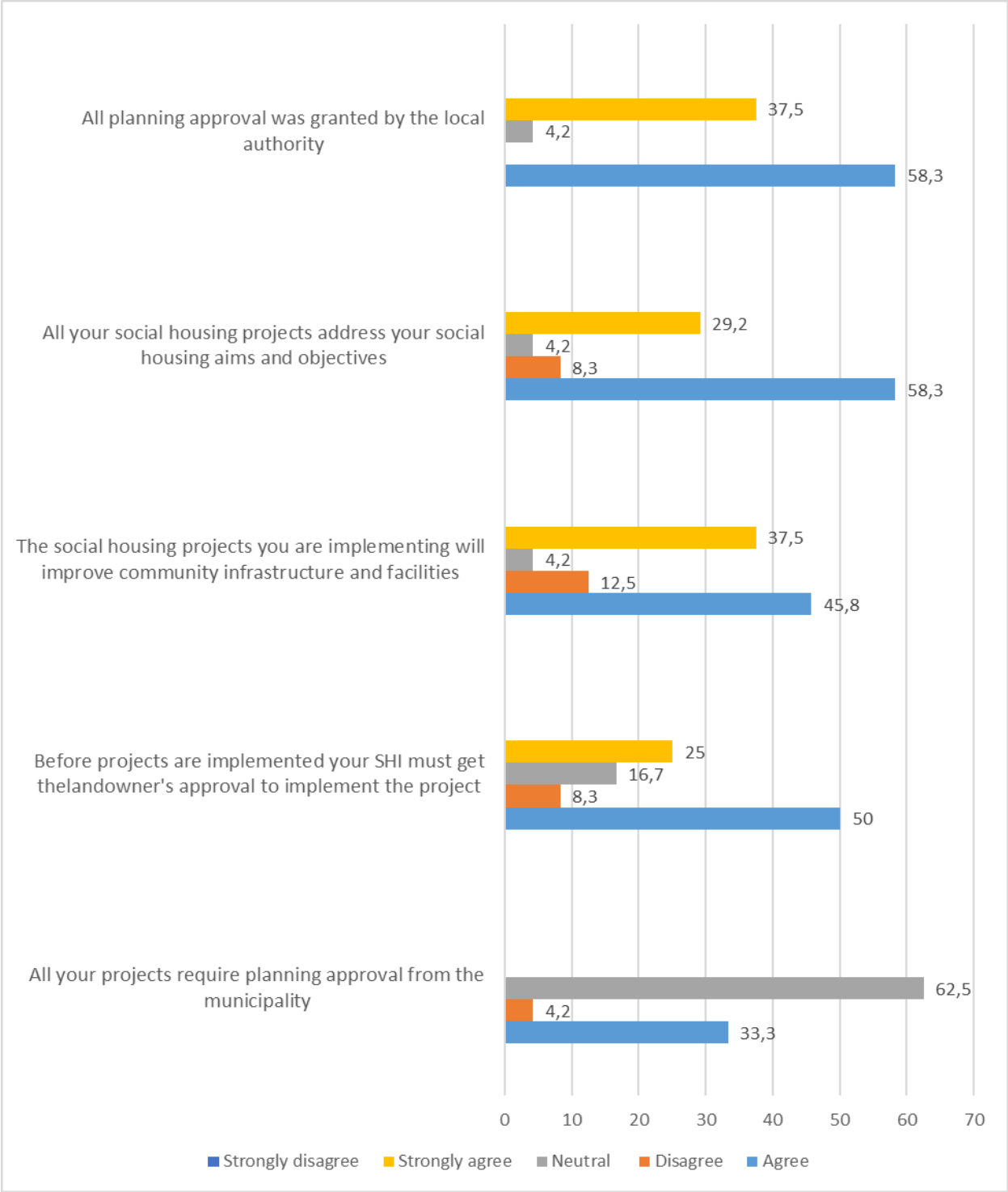
Figure 7.14 represent contribution of social housing institutions in social housing delivery value chain

The findings in Figure 7.14 indicate that the vast majority (95%) of respondents believed that the local authority granted all planning approval. A significant number (87.5%) of them agreed that all social housing projects address social housing aims and objectives and a similar number (8 out of 10 or 83.3%) of respondents agreed that the social housing projects under implementation will improve community infrastructure and facilities, while a few disagreed with this. Three-quarters of the respondents (75%) felt that before projects are implemented, the SHI must secure the landowner's approval to implement the project, while a quarter either disapproved this, or were doubtful if this was true. A third (33%) of respondents believed that all projects require planning approval from the municipality, while six out of 10 (62.5%) were doubtful as to whether all projects required such approval (Figure 7.14).
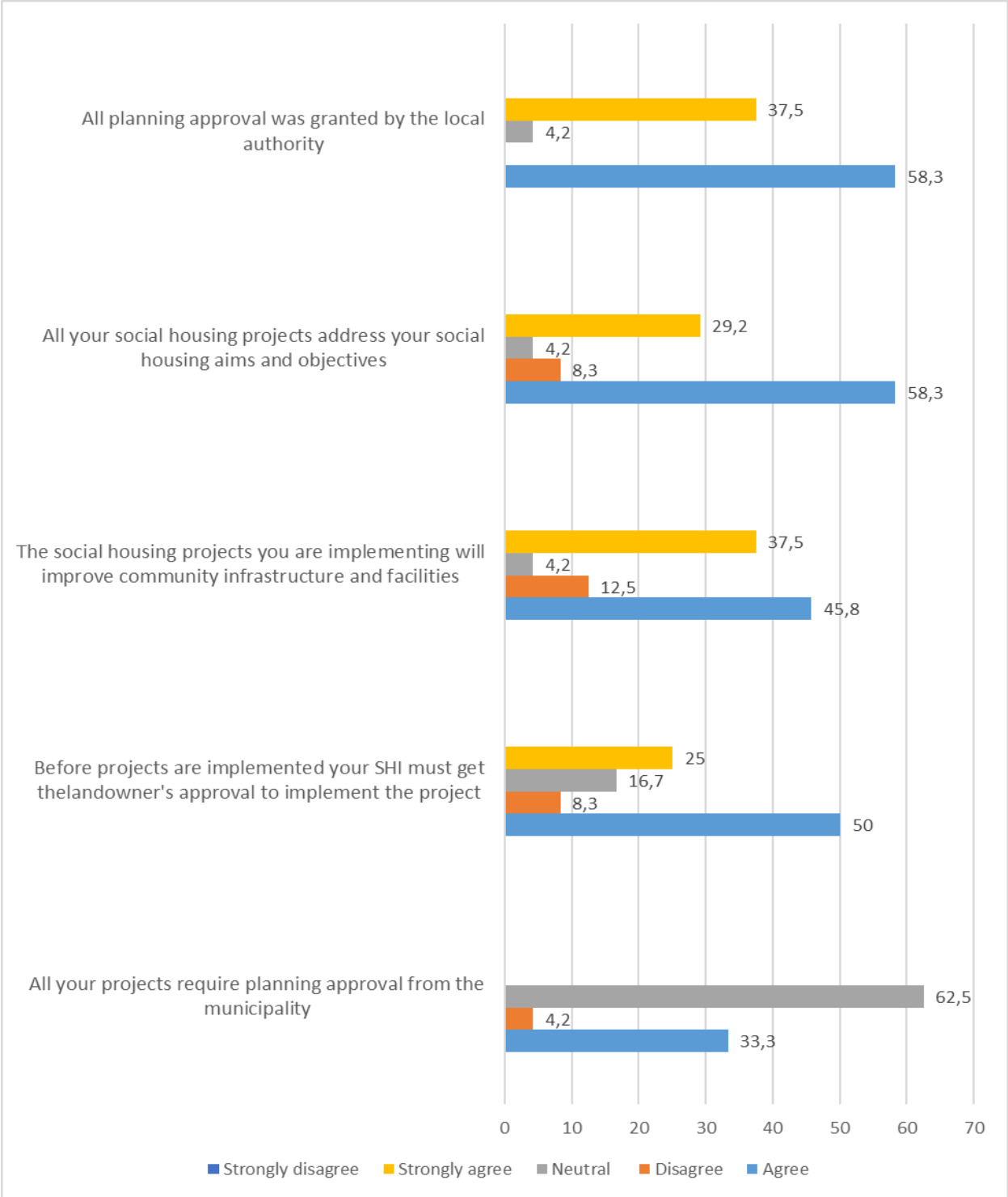
Figure 7.15 represent capacity issues within social housing institutions

The results presented in Figure 7.15 reflect that over 90% of respondents agreed that the social housing projects implemented will facilitate better integration between the surrounding communities (95.8%), and that the social housing projects will benefit the surrounding communities (94.4%). There was also agreement by eight to nine out of 10 respondents that a multi-skilled team is required for the delivery of sustainable social housing (87.5%). A similar number of respondents agreed that the provision of financial management skills ought to be introduced or up scaled to improve the performance of managers in their role of administering the allocated budgets and monitoring of expenditure in delivering social housing units (87.5%). Just over half of the respondents (56.5%) agreed that the current staff is capacitated to fast track the delivery of sustainable social housing units, while three out of 10 (30%) disagreed, and a tenth were doubtful (13.0%). There was agreement by four out of 10 (41.8%) of respondents that the current organisational structures of SHIs are not sufficient to support the delivery of sustainable integrated human settlements, while over half (58.3%) disagreed with this (Figure 7.15).

7.10   OVERALL RESEARCH ANALYSIS AND FINDINGS

The literature explored in this study, the data analysed and the study findings suggest that there is a need for an effective intergovernmental relations system to implement a social housing programme and that the National Department of Human Settlements should involve all stakeholders in the social housing sector. The accreditation of metropolitan municipalities in Gauteng Province to implement national housing programmes is crucial and is dependent on a well capacitated and supported social housing delivery machinery, where social housing institutions are able to take a lead in terms of fast tracking the delivery of social housing units. This study has important

implications for all stakeholders in the implementation of social housing which includes the three spheres of government, SHIs and the regulator and financiers of the sector. The experiences of how social housing projects were implemented in the three Metropolitan Municipalities (that is Tshwane, Johannesburg, and Ekurhuleni) provide a varying theoretical perspective on intergovernmental relations and how the three spheres of government interact in implementing a national social housing policy and its implications for alignment, target setting, financial planning, human settlements planning, and lastly, how to manage the challenges and risks associated with the implementation of social housing projects.

This study adds to the existing body of knowledge in a wide range of areas, including contextualising social housing production factors such as speedy release of land for social housing development, funding mechanisms, and coordination and alignment, which ought to be considered in the implementation of social housing projects. Furthermore, the study adds to the existing body of knowledge on the relationship between deliveries of social housing units as a service to the low-income rental market.

This includes the applicable theories and processes followed in funding the social housing sector, planning related functions, identification of land, land release, and packaging of land to deliver social housing units in South Africa.

The overall literature findings are provided in sub-sections. Firstly, the sub-sections are based on the research objectives and the theoretical findings of the study. The theoretical findings of the study are based on the many factors to consider when implementing a social housing project. Secondly, the findings based on each research question are discussed to provide conclusions on the research problem of the study,

which throughout the literature and study findings, provided clarity on the research objectives of this study.

7.10.1 Findings - objective 1: to assess the operation of intergovernmental relations administrative structures in social housing implementation processes

This study confirmed that there are intergovernmental relations administrative structures in place at national, provincial, and local government levels that have been established in terms of the Intergovernmental Relations Framework Act (No. 13 of 2005), and that serve as channels of communication. For instance, in all three spheres of government, there are both political and technical committees, whose mandate is to provide the political structures with technical support and to promote intergovernmental co-operation and consultation at the administrative level. Findings of this study relevant to this point are that relatively few respondents from the three spheres of government and the SHIs felt that the decisions of the intergovernmental relations (IGR) structures are not binding on the three spheres of government (39.7%), and that the spheres of government adhere to the decisions of the IGR structures (30.8%).

There was agreement by four out of every 10 (46.1%) respondents that the representation in IGR structures is consistent to ensure accountability. A fifth (23.1%) of respondents took a neutral stance on this matter, while three out of every 10 (30.8%) respondents disagreed. Relatively few respondents (37.2%) agreed that the institution adheres to deadlines when requested to provide reports and/or information to senior structures or the national, provincial, or local department. A slightly lower number (29%) selected the neutral response, while a third (33.3%) disagreed that deadlines were met. Less than 40% of respondents agreed that representation of the spheres of government in IGR structures is always at the required level by officials with decision-

making powers, while 44% disagreed that this is the case and 20% were non-committal. A third (34%) of respondents agreed that local government is operating within strict legislative control from other spheres of government, which makes it practically impossible to meet the objectives of the social housing policy. This notion was rejected by 41% of the respondents, while a quarter gave a neutral response.

From the findings of this study, it can be deduced that, within the current intergovernmental relations administrative structures, there is poor coordination within and between different structures of government to deliver social housing programmes. The low level of attendance and inconsistencies makes it practically impossible for attendees to take binding decisions regarding mobilisation of physical resources like land, buildings, and financial resources, as the provision of these is not coordinated and synergised within these structures. This study showed that there is a lack of effective intergovernmental administrative structures to ensure both vertical and horizontal interaction among and between the three spheres of government. The study found, through review of the literature, that coordination of social housing related activities is one of the good ingredients of social housing policy implementation.

The implementation of social housing policy in the Gauteng Province context is multifaceted, and accommodates multiple stakeholders from national, provincial, and local government departments, as well as both state- and municipal-owned agencies. The implementation of social housing policies incorporates and processes multiple sources of data including, and not limited to, financing, planning, operating within administrative and political networked systems, and retaining a high level of flexibility to cope with many possible interventions. In functional social housing delivery processes, the application of the systems theory cannot be over emphasised where issues of interdependence, dependence and interactions of variables within and

between various government departments and state-owned entities is experienced. The interaction between the three spheres of government, through intergovernmental relations structures, such as political and technical committees, task teams, and fora, emanates from systems theory where the component units in a government department and state-owned entity complement rather than compete with one another.

Both extant and novel evidence shows that, at a municipal level, there are multiple role players, structures and processes in the delivery of affordable rental social housing, as follows:

- A Section 79 oversight committee on housing and human settlements which discusses human settlements progress reports on the implementation of human settlements functions which includes social housing programmes and projects.
- A Section 79 oversight committee on finance which discusses progress reports on the financial aspects and performance of the Human Settlements Development Grant and Urban Settlements Development Grant including the human settlements programme, project expenditure on a quarterly basis and financial viability of social housing projects.
- An integrated human settlements committee which coordinates and brings together all internal role players at both the political and administrative levels in a municipality.
- A municipal public accounts committee which considers the Annual Report in relation to the municipality's performance and discusses all matters within its mandates and makes recommendations to council for implementation.

Lastly, the theoretical explanation of coordination of activities by intergovernmental relations structures relates to network governance of network theory. Network

governance is in line with the current intergovernmental relations structures, as its aim is to create organisational synergies and provide various forms of political, economic, and social benefits to constituents, since they share goals and utilise collective strengths. Network governance is a mode of organising economic and political, as well as administrative activities, through inter-agency and inter-societal coordination and cooperation. There are four benefits associated with network governance. Firstly, it allows various interested parties and experts to participate in the process, which makes it more democratic and representative; secondly, the interaction among various public, private and non-profit agencies is likely to lead to improved efficiency by taking advantage of economies of scale and scope; thirdly, it allows new resources to be introduced with the aid of new participants; and lastly, it expands social capital through forming exchange relationships based on trust and reciprocity (Kim, 2006:14).

7.10.2　Findings - objective 2: to understand key challenges and risks inherent in the current intergovernmental relations system in the implementation of social housing in Gauteng province

This study found that there are challenges and risks that inhibit effective social housing policy implementation and impact negatively on the delivery of social housing units in Gauteng Province. Three quarters of the respondents felt that there are limitations and risks in the current social housing policy implementation system, acts, and challenges emanating from those shortcomings, while a quarter felt otherwise. The most common challenge cited was lack of cooperation and alignment of social housing activities between the three spheres of government. The study revealed that there is no sharing of information on best practices, risks and challenges, and mitigation measures. The

study findings highlighted that municipal linked SHIs are grappling with leadership challenges, as municipalities do have political and administrative influence in the affairs of the SHIs noting that the municipalities are the major shareholders as, in most cases, they donate land, funding, transfer units, and second human resources to the SHIs.

Only 29.5% of respondents believed that the current policies adequately accommodate all the circumstances and the material conditions of the department to enable it to implement its social housing mandate satisfactorily on the ground and a similar number felt that their department was given an opportunity to adjust and review the current social housing policy to accommodate the circumstances. More than two-thirds of the respondents disagreed and/or were doubtful about these two aspects. This relatively high level of disagreement regarding current policies implies that the majority of the respondents feel that the current housing, human settlements and social housing policies do not contribute to ensuring that the environment is conducive for the government to initiate and implement social housing projects. This is supported by the number of challenges and risks faced by the social housing sector and, in particular the SHIs who are delivery agents mandated by legislation to take a lead in delivering social housing opportunities.

The study findings revealed that the majority of SHIs do have living risks registers, risk management plans, project risk plans, risk management strategies and a risk matrix which are updated on a regular basis by relevant structures such as management, boards and relevant committees (including risk and audit). The study found that social housing projects have in place challenges and risk registers which are implemented across all projects and, on a quarterly basis, a report is submitted to the Chief Executive Officer, and the risk committee to provide strategic direction on how to deal with the

identified risks and challenges. All the risks and challenges identified by the respondents are summarised in Table 7.4.

Table 7.4 represent a summary of all the risks and challenges identified by the respondents

Stakeholder affected	Name of risk or challenge	Impact on social housing delivery	Severity of the risk or challenge
National Department of Human Settlements	Lack of alignment, cooperation, planning, financial planning and budgeting	Streamlining, synchronisation and synergy of social housing related activities	Critical
National Department of Human Settlements	Uncoordinated intergovernmental relations structures	Best practices and mitigation measures for addressing social housing challenges and risks not shared	Critical
National Department of Human Settlements	Unrealistic human settlements development budgets	Affects delivery of social housing units, thereby not addressing the affordable rental housing backlog	Critical
National Department of Human Settlements	Lack of understanding of social housing policy with regard to roles and responsibilities by stakeholders involved	Social housing aims and objectives not clearly defined and understood which leads to stakeholders not realising benefits of the programme and, as such, not committing resources for the delivery of social housing units	High
National Department of Human Settlements	Different political mandates between the Social Housing Regulatory Authority, Municipalities, National and Provincial Governments, funders and other role players	Clear definition of roles and responsibilities by stakeholders in the implementation of social housing	Medium

National Department of Human Settlements	Human settlements planning	Uncoordinated and unplanned social housing delivery which will make no impact	High
National Department of Human Settlements	Lack of capacity at government level and project implementation level	Monitoring and evaluation of social housing projects and their impact in addressing the housing backlog in general	Critical
Gauteng Provincial Department of Human Settlements	No effective Intergovernmental relations structure in place to guide social housing development	Departments within the provincial government operate in silos with no clear roles definition to operationalise social development initiatives	Critical
Gauteng Provincial Department of Human Settlements	Funding for social housing projects	Quantitative and qualitative delivery of social housing units	Critical
Gauteng Provincial Department of Human Settlements	Human settlements planning	Unplanned and uncoordinated social housing delivery	Medium
Gauteng Provincial Department of Human Settlements	Management of all the development processes	Social housing is part of human settlements developments processes and is mainly initiated at local government level	Medium
Metropolitan Municipalities	Availability of bulk services	Provision of bulk infrastructure for social housing is part of preplanning and must be addressed first	High
Metropolitan Municipalities	Unavailability of land and buildings	Access to well-located land for social housing development affects delivery of social housing	High
Metropolitan Municipalities	Lack of capacity at government level and project implementation level	Unable to monitor and support social housing initiatives	Critical

Metropolitan Municipalities	Long and cumbersome bureaucratic approvals	Approval of all plans and related activities affects commencement of social housing projects	High
Metropolitan Municipality	Long land release processes	Affects delivery timelines and social housing projects running over multiple financial years which impact budgetary processes	Critical
Metropolitan Municipalities	Political instability	Service delivery protests influenced by political and personal interest in social housing projects	Medium
Metropolitan Municipalities	Political interference, community riots and protest actions	Lack of understanding of social housing which impacts on delivery timelines and increases elements of vandalism Community objections to social housing projects	Medium
Metropolitan Municipalities	Project management in general	Completion of social housing related projects, such as town planning, bulk infrastructure projects	Medium
Social housing institutions	Monitoring and control measures during project implementation phase	Delivery of quality social housing units compromised, and delivery timelines affected	Critical
Social housing institutions	Non-performance of the main contractor	Slow delivery of social housing units	Critical
Social housing institutions	Managing social housing resources	Maximising use of resources to ensure effectiveness and efficiency	Medium

Social housing institutions	Financial planning	Integration of funding sources to ensure sound allocation of resources	High
Social housing institutions	Financial viability of social housing projects	Sustainability of social housing projects to ensure projects are not costly	High
Social housing institutions	Lack of capacity to deliver social housing units	Unable to manage multi-social housing projects thereby accelerating delivery	Critical
Social housing institutions	Industrial actions by construction workers	Slow delivery of social housing units impacts the delivery timelines	Critical
Social housing institutions	Tenanting, bad debts and high vacancy rates	Sustainability of affordable social rental housing sector	High
Social housing institutions	Non-payment of contractors in time	Quality of social housing units will be compromised	High
Social housing institutions	Non-performance of contractors	Social housing projects will take longer time to be completed	High
Social housing institutions	Lengthy supply chain procurement processes	Affect appointment of competent service providers to deliver social housing units	Medium
Social Housing Regulatory Authority	Lack of relevant skills and poor project management at implementation phase	Impact negatively on monitoring and regulating the social housing sector to deliver social housing units	Critical

Social Housing Regulatory Authority	Lack of political mandate to ensure there is cooperation and alignment	Target setting for social housing is compromised	Critical
	of social housing activities between the three spheres of government	which impacts on identifying priority areas	
Social Housing Regulatory Authority	Lack of a monitoring and control system for emerging social housing institutions	Social housing institutions to take longer time and more resources to complete social housing projects as planned	Critical
Social Housing Regulatory Authority	Lack of capacity of Social Housing Regulatory Authority	Impact on the monitoring of social housing institutions	Critical
Social Housing Regulatory Authority	Lack of knowledge of housing and human settlements	Streamlining of operational activities at the implementation levels	Critical

From the summary of the risks and challenges in Table 7.4, it can be deduced that the provision of social rental housing requires a strong cooperative arrangement between the three spheres of government, SHIs and the SHRA to be able to assess the risks and develop mitigation measures. In terms of the Constitution, national legislation and existing social housing policies, the local government and the delivery agents have a primary responsibility to ensure the availability of rental stock through the National Social Housing Programme. The study found that key risks and challenges that impact negatively on the delivery of social housing emanate from both the social housing institutions and the local government spheres, in this case the metropolitan municipalities.

This study adds to the existing body of knowledge in a wide range of areas, including contextualising the relations between government and state entities and how to minimise risks and challenges. The study revealed that it is difficult for sustainable social housing to happen without both the government and, in particular, the municipality and the SHIs co-operating closely. The study found, through a review of the literature, that the form of the relationship between the municipality and the SHIs maximises each of their abilities to achieve combined social housing objectives while contributing resources in a sustainable way to deliver social housing units. The study also revealed that the way the municipalities and the SHIs manage their relationship, and the way land is transferred, must help to ameliorate critical risks and challenges in the social housing development processes.

7.10.3 Findings - objective 3: to examine the legislative and policy framework governing three spheres of government in the implementation of social housing

The study found that, in the daily execution of the legislative and executive functions of the democratic government, those implementing social housing responsibilities are directly affected by the legislative framework. The provision of social rental housing is highly regulated and there are quite several legislations that clearly define the roles and responsibilities of the national, provincial and local governments. A relatively high number of respondents (eight out of every 10 or 85.9%) were positive that the current legislation that governs intergovernmental relations impacts on their work and the performance of the department. The findings also revealed that three-quarters of the participants felt that there are limitations of the current social housing policy and acts and challenges emanate from those shortcomings, while a quarter felt otherwise. The

study found that the spheres or levels of government do not possess the same political mandates as per policy and legislative guidelines.

The legislation governing housing provision resources such as budgets, land, and buildings differs from one sphere of government to another. This makes it difficult, if not impossible, to ensure there is financial planning, alignment and integration to ensure streamlining of housing provision operations. The study found that there is legislative support, such as the Housing Development Agency Act (No. 23 of 2008), which allows the government to acquire land cheaply and quickly to exercise the legal authority on matters related to public housing development and administration and supportive government policies. The study also found, through review of the literature, that the government's social housing sector is implemented based on two key important policy and legislative documents, namely the Comprehensive Plan for the Development of Sustainable Human Settlements (popularly known as Breaking New Ground), and the Outcome 8 of the Performance agreement between the President of the Republic of South Africa and the Ministry of Human Settlements: Sustainable Human Settlements and Improved Quality of Life.

The study found that the national government is responsible for creating an enabling environment for social housing, through the development of social housing policy and enactment of legislation. National government provides overall leadership for the sector, ensures attention to its constitutional responsibilities, and provides a regulatory and legislative framework within which SHIs must operate. The study found that social housing policy is implemented at local level and a third (34%) of respondents agreed that local government is operating within strict legislative control from other spheres of government, which makes it practically impossible to meet the objectives of the social housing policy. There was a 41% disagreement in this regard, while a quarter of the

respondents were non-committal. The execution of legislation governing the provision of social housing is complex and the study findings revealed that most, if not all, of the metropolitan municipalities in Gauteng Province do not have the same capacity to deliver. The study found that the City of Johannesburg has less challenges in comparison with the other metros in terms of allocation of resources in a strategic and most appropriate manner to fast track the delivery of social housing units.

The study revealed some elements of conflict in the administration of both the Municipal Finance Management Act and the Public Finance Management Act, which govern the financial operations of the national, provincial, and local governments.

In terms of executing both pieces of legislation for land release, the study found that the Municipal Finance Management Act is complex, as it relates to the processes of release of land and was found to be cumbersome and lengthy which affects the delivery of social housing. The study found that there is a number of stakeholders involved in the social housing value chain, each with competing expectations and agendas. There are no specific land release policies for one sphere and this affects the smooth supply and release of land for social housing development. The study revealed that there are a myriad of policies and legislative frameworks that have served as strategic guidelines in the identification and acquisition of well-located land in the metros that are not customised to individual municipalities.

The study found that the current legislative framework provides guidance and direction for state departments and government entities involved in providing social housing which protects them from making decisions which are against the policies. The study found that there is strong need for alignment between the legislative framework and key policy documents, in terms of the aims, objectives, and key principles of the social

housing policy to fast track the delivery of social housing units. The fact that the roles and responsibilities of all stakeholders involved in the provision of social housing are clearly defined impacts positively on government to create a conducive environment for the delivery of social housing. The study also revealed that the missing link in all legislation is the alignment, integration, and synchronisation of all social housing related activities, as a result of the fact that the provision and delivery of social housing is a concurrent function of the three spheres of government. The study revealed that there are elements of conflict of mandates, as the Social Housing Act mandates the municipality to identify land and buildings for social housing development, and the Housing Development Agency also plays a critical role in land identification, acquisition and project packaging.

7.10.4 Findings - objective 4: to determine effectiveness of regulatory institutions in the delivery of social housing

The study found that there is a need for a well-coordinated and well-managed regulatory programme by the SHRA that is designed to ensure compliance with policy principles, as well as fiscal norms and regulations. This was supported by 100% of the respondents. The study also revealed that social housing comprises stock development, tenancy management and neighbourhood development (as indicated by 90% of the respondents) in the form of contributing to urban development initiatives. That the concerns of the social housing sector have chiefly been about project financial viability, the accreditation process and capacitation of the sector was affirmed by 90% of the respondents. The study highlighted the strategic outcome-oriented goals and strategic objectives of the SHRA as being to effectively regulate the social housing sector through a risk-based automated system. To this extent, the study found that the majority of SHIs have a risk-based register which is not automated to trigger intervention.

The study found that there is no regulatory system linked to the social housing sectoral leadership, and that there are no strategic partnerships with stakeholders such as the National Department of Human Settlements, Housing Development Agency, Gauteng Department of Human Settlements and Metropolitan Municipalities to ensure timeous regulation of the sector. The study found that there is a pipeline of prioritised social housing projects, and that, in each phase or stage of social housing production, the government has developed frameworks to regulate, conduct beneficiary administration activities, ensure compliance with housing norms and standards, and identify the applicable and appropriate subsidies. The study revealed that these pipeline projects are not regulated to ensure they comply with approved social housing regulation, and do not comply with applicable norms and standards. The study found that the application of regulations in respect of the accreditation of SHIs and the disbursement of government funds to SHIs is complex, cumbersome, and lengthy.

The study found that the SHRA is not capacitated to monitor the implementation of social housing regulations, giving the impression that social housing institutions are not well skilled, resourced, and led. Contrary to the existence of an effective supportive legislation framework, the study found that there is no effective customised and well-structured capacity programme tailored for SHIs to implement business processes and systems that enable the support and implementation of a social housing regulatory plan. The study found that there are rules developed to regulate the behaviour of social housing stakeholders in the delivery value chain and resource distribution to ensure there is a great deal of sustainability. The current social housing policy specifically defines the roles and responsibilities of each actor, including the national, provincial, and local spheres, thereby regulating their behaviours. Intensive interaction between actors and stakeholders creates a specific resource distribution that influences the

regulatory framework of the SHRA, and evidence shows that there is a need to co-operate in order to achieve satisfying outcomes.

The SHRA was established to regulate safety and health standards in the provision of social housing, and to support the creation and maintenance of a public environment conducive to viable social housing development and healthy communities. Evidence from this study lends a different perspective on this, because it shows that the SHIs and the metros are working past each other, and there is no effective regulatory system to regulate land lease processes, planning for social housing, regulation of the housing finance sector, mobilisation of funds, supply of credit, and guarantees of loans as part of ensuring the environment is conducive for SHIs to deliver social housing units. The study found that the SHRA is controlling the social housing sector instead of regulating it, and this is evident as there is no social housing regulatory plan, which is inclusive of the roles and responsibilities of the SHIs to ensure the state is not monopolising the delivery of social housing. The evidence on the ground suggests that the main stakeholder responsible for physical delivery of social housing units, that is the SHRA, SHIs and metropolitan municipalities, are experiencing low capacity and are under-resourced in terms of staffing and finances, so as to develop and implement a social housing regulatory framework.

7.10.5 Findings - objective 5: to develop a social housing delivery model for Gauteng Province

The study found that there are many variables militating against the delivery of effective and efficient social housing programmes by the government, social housing institutions, and government agencies. Some of the variables militating against the delivery of social housing units are nepotism, favouritism, personal interest, policy changes, insufficient

funding, leadership qualities, accountability, corruption, and political instability at the local government level. These variables need to be thoroughly studied if an efficient and effective social housing delivery model is to be developed that will improve the modus operandi of fast tracking the delivery of social housing units in Gauteng Province. Currently, the evidence collected shows only the roles and responsibilities of the different stakeholders and nothing about a tried and tested social housing delivery model.

The study revealed that there are funding, financial, allocation, prioritisation and planning models and systems in place, but no social housing delivery model and/or attempt to integrate all models that will ensure there is managerial accountability, address quality and quantity of social housing units, and integrate social housing funding sources and technical leadership. The study found that, in the absence of an institutional social housing delivery model, the production of social housing units is not in line with the New Public Management principles wherein innovative administrative, managerial and governance techniques are embraced. The study revealed that the provision of social housing is still new and public sector managers do not have the requisite skills and knowledge to plan and manage social housing production factors such as land and buildings identification, acquisition, project packaging, and funding to effectively and efficiently deliver social housing units.

7.10.6 The social housing delivery model for Gauteng Province

One of the main objectives of the study was to develop a social housing delivery model for Gauteng Province. Therefore, based on the key delivery challenges identified and the findings of the study, a model was developed which is anticipated to lead towards an improved and sustainable delivery of social housing units in Gauteng Province. The

model consists of actors at national, provincial, local levels, and delivery agents as well as state, non-governmental entities and community and residents based organisations. This model is based on the network theory and was triggered largely by the participation of many stakeholders in the implementation of social housing which goes beyond the public sector. The implementation protocols to a larger extent incorporates both the private and non-governmental actors. The other relevant factor is that the provision of social housing is a highly regulated sector, which involves quiet several participants.
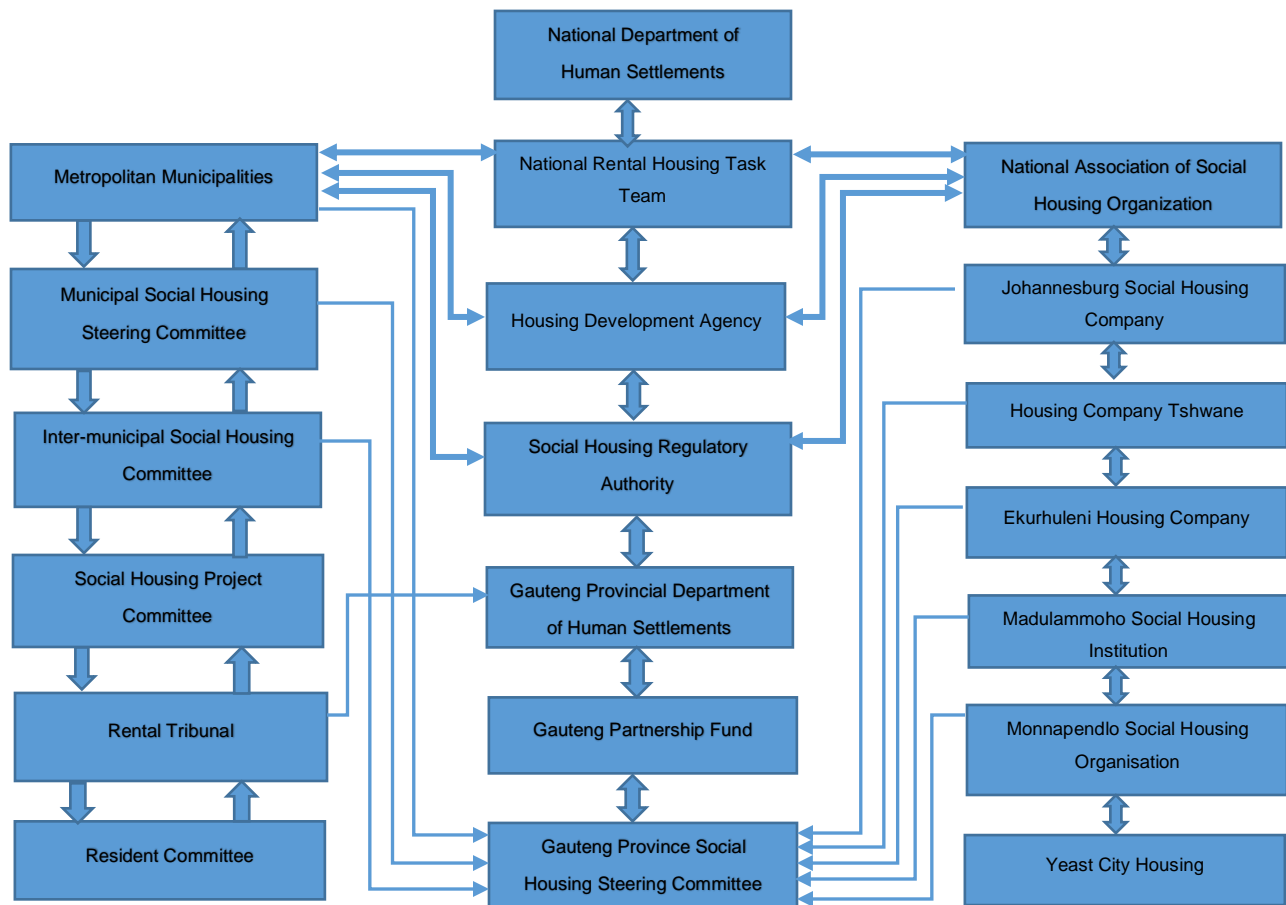
Figure: 7.16 A proposed social housing delivery model for Gauteng Province

Network theory recognises and incorporates societal actors, such as resident committees, private social housing institutions, social housing project committees and

rely heavily on participatory model which emphasise cooperation and partnerships with other policy actors such as the national, provincial and local government. Within the proposed model, actors are treated as equal partners for the achievement of social housing delivery goals and objectives. The provision of social housing in Gauteng Province involves collaboration and joint efforts between the three spheres of government, national government entities such as the Social Housing Regulatory Authority, Housing Development Agency, Provincial government agencies such as Gauteng Partnership Fund, Municipal Social Housing Institutions (SHI), as well a private sector SHIs, non-governmental organisations such as National Association of Social Housing Organisation, financiers, and to a great extent the beneficiaries of a social housing project represented through a resident committees, as shown in Figure 7.16 above.

Metropolitan municipalities are expected to ensure that the environment is conducive for the delivery of social housing, by working closely with HDA carry out land identification for development projects to supply new social housing units, and through national government funding provide bulk infrastructure services. The model proposes an institutionalised, legal and regulatory framework wherein municipalities must develop social housing development plans that are aligned vertically and horizontally with the national and provincial plans to advance sustainable urbanisation, especially in fast-growing Gauteng cities.

The proposed model view Social Housing Development Plans as intergovernmental mechanism to facilitate consultation and alignment of social housing programmes and projects with clear -cut targets. The plans are to be incorporated into the SHRA's social housing delivery master plan for Gauteng Province. The SHRA is at the centre, to ensure

financial and institutional resources are aligned within the sector and to provide a regulatory framework in safeguarding public funds.

The Social Housing Coordinating Committee at municipal level is proposed to lead and integrate local activities with social housing planning with all departments within a municipality. The main mandate of this committee is to facilitate engagements between different role-players and stakeholders at local level and ensure there is prioritisation of social housing related approvals, identification and confirmation of restructuring zones and resource allocation. It is proposed that the committee facilitate the involvement and participation of key infrastructure departments and that departments plan together to provide a coherent approach to social housing delivery within a metropolitan municipality.

The Municipal Social Housing Coordinating Committee's mandate is to ensure that all government grants, namely, urban settlements development grant, human settlement development grant, municipal water infrastructure grant, national electrification programme grant, capacity development grant, integrated city development grant are aligned at local level and integrate implementation processes so as to ensure a sound social housing delivery and as sustainable financial planning.

Through this model, it is expected that the SHRA work closely with NASHO to coordinate social housing delivery agents' activities and functions to ensure implementation, financial, monitoring, and evaluation, and lastly, regulating the social housing sector in the Province. It must be noted that NASHO, which represents the interests of social housing institutions, has a large role to play in terms of the proposed model. According to this model, NASHO influences the readiness of projects to be implemented and capacity of social housing institutions, hence their participation in the Provincial Social

Housing Steering Committee is crucial. Their interaction with social housing institutions provide a mechanism through which social housing projects are evaluated and assessed to ascertain their readiness, buy in and allocation of resources.

The study found out that the three metropolitan municipalities in Gauteng Province are working in silos, and that there are no joint efforts to address social housing backlog. Currently, there is in-migration between the three metros and the chances of people registering demand for social housing in all the three is a reality. The proposed model advocates for the establishment of an inter-municipal social housing committee, which will consist of the three metros, that is, Tshwane, Johannesburg, and Ekurhuleni, where members of the committee are officials dealing with human settlements, planning and affordable rental housing. The committee will meet quarterly on a rotational basis to ensure the full participation of each metro.

The forum will be used as a platform to share housing needs, cross-border housing and human settlements projects, conduct social housing demand analysis, and share notes on best practices in the delivery of social housing. The committee will develop strategies to disseminate information about social housing financial planning, implementation risks, innovation, and speedy land release practices. Currently, information about successful interventions is not shared amongst the metros and other spheres of government. It is proposed that the committee attend the Provincial Social Housing Steering Committee meetings to share capacity enhancing initiatives with social housing institutions operating in Gauteng Province. The committee is to share information on the performance of social housing projects. This is aimed at identifying non-performing projects and development of mitigation measures to ensure construction of social housing projects is in order to fast track the delivery of affordable rental social housing

opportunities in urban centres, and to develop greater spatial equality in Gauteng metropolitan municipalities.

The model proposes the establishment of Social Housing Project Committee, which will be operating at the project implementation level. The committee is to lead the implementation of the project on site, provide extra support, guidance, and leverage to give the social housing project an increase chance of success. The committee is to be comprised of stakeholders who have the success of the project at heart. The members of the committee ought to come from different groups who have vested interest in the project's success. This should include social housing institutions, metropolitan municipality, individuals who will be impacted by the project, end-users, and building control to ensure compliance with applicable norms and standards.

The committee is also mandated to provide strategic direction of the project, manage conflicts of interests among stakeholders, provide guidance to project teams, monitor budgets allocations to avoid overruns, and mitigate potential risks and uncertainties that may be a threat to project success. The committee resolve conflicts, prioritise and approve project scope changes in line with circumstances on the ground, budget and timelines. The social housing project committee constitute a basic structure at project implementation level to provide inputs to things like project implementation plans, provide guidance on best approaches to take, discuss issues and concerns of the project, review project deliverables and milestones of the project.

The provision of affordable social rental housing is also dependent on good relations between landlords and tenants; hence the model proposed an effective rental tribunal services in the social housing delivery value chain. The right of access to adequate housing in section 26 of the Constitution controls the relationship between landlord and

tenant. To put this right into practice, Parliament passed the Rental Housing Act 50 of 1999 to define the roles and responsibilities of both the landlords and tenants in detail. In Gauteng, the Provincial Department of Human Settlements has also written regulations to define fair and lawful conduct between landlords and tenants. These are known as the Gauteng Unfair Practices Regulations.

The Gauteng Rental Housing Tribunal is located at the provincial department of human settlements. The Tribunal resolves complaints through processes such as mediation and arbitration; offers advice on issues related to residential leases and rentals; and provides consumer education on the rights and duties of those involved in the rental sector. The Tribunal investigates complaints made to it to determine whether complaints concern unfair practices in terms of the Gauteng Unfair Practices Regulations. It is for this purpose that the model proposes a rental tribunal services in the rental housing value chain to ensure good and smooth relations between landlords and tenants to provide a sustainable rental social housing opportunity in Gauteng Province.

Lastly, as part of new proposed institutional arrangements, the model proposes the establishment of resident committees, which represent the interests of direct beneficiaries of a social housing project. The resident committee forms a good base for the resident community for consultations and efforts for effective management of the social rental housing stock. The resident committee is a legitimate structure, which act as a link between the landlord or managing agent and the tenants to foster goodwill and fellowship within the rental housing sector. The committee mainly liaise with tenants and landlords or managing agents on matters relative to good management, development of new stock and organise social and other activities for the residents. The model emphasises promotion of neighbourliness, harmony, and cohesiveness amongst tenants. The model proposes that the committee disseminate information and gather

feedback on government policies and lastly promote good citizenship amongst residents.

The model presents a relationship that is complex in nature, as it involves flow and exchange of information between nodes on the left side, centre and right and there is a reciprocal multiple relation between government departments, government entities and non-governmental organisations. In practice, there is interactions between and within a larger number of actors and the majority of this actors are interdependent on other actors, hence cooperation as equal partners is crucial. The coordination and alignment of social housing related activities at all levels is necessary, as it contributes towards the speedy release of land, financial planning, and synchronisation of project plans before implementation of social housing projects.

The role of the Provincial Social Housing Steering Committee is to ensure there is alignment of plans from municipalities, the Province, and social housing institutions' delivery plans. This will go a long way towards ensuring projects that are ready for implementation pass the project readiness test and are in the SHRA pipeline for funding. The model proposes that NASHO as representing the interests of social housing institutions participate in the provincial social housing steering committee meetings and as such will be in a better position to influence readiness of social housing projects.

With proper implementation of the proposed model, it is expected that the model improves the provision of social housing by bringing the following benefits:
- incorporate societal actors and encourage collaboration, cooperation and partnerships with other social housing policy actors;
- encouraging flow and exchange of information on best practices, implementation risks and innovation between and within actors;

- ensuring there is inter-organisation and bottom up approach in implementing social housing policy;

- ensuring there is vertical and horizontal alignment of plans, strategies and finances within the sector;

- ensuring there is coordination and integration of social housing related activities in all government levels to allow interested parties and experts to participate in the process;

- facilitating a high sense of inter-agency and inter-societal coordination and cooperation;

- making social housing policy implementation more democratic and representative and it allows new resources to be introduced with aid of new participants;

- expanding social capital through the formation of new structures in the social housing value chain forming exchange relationships based on trust and reciprocity;

- ensuring clear communication, transparency, accountability and regular monitoring; and

- stimulating feedback from user and encourage good landlord-tenant relation.

7.11   CONCLUSION

This chapter presented a detailed analysis and interpretation of the study findings and results. The data were gathered through questionnaires, interviews with key decision makers, annual reports from the SHRA, SHIs, National Department of Human Settlements, Gauteng Provincial Department of Human Settlements, Gauteng Partnership Fund and the three Metropolitan Municipalities in Gauteng Province (City of

Tshwane, City of Johannesburg, and Ekurhuleni), literature on inter-governmental relations ,and provision of social housing in South Africa and developing countries such as Brazil, Singapore, and Ghana.

The study made a clear-cut distinction between the responses obtained from the questionnaires, interviews with key decision-makers, and the findings of the literature review, as well as the understanding, knowledge, and reflection of the researcher. The structure of the research questionnaire and the interview schedule, as well as the research questions answered and the objectives of the study, were followed throughout the data analysis process. The overall conclusion, from analysis of the data, is that the provision of social housing is a complex process and requires a multifaceted approach and that the local government, as the sphere closest to service delivery, should take a lead, and lastly, the regulator should regulate and not control social housing development.

The complexity of the relationships involves the flow of information between government departments, government entities, and metropolitan municipalities and their entities, nodes or actors and reciprocal multiple relations between more than two objects or nodes, noting that there are many actors in the implementation of social housing.

In addition, the study revealed that managing inter- and intra-governmental relations is still an area to be improved, as it implies mediating and coordinating interorganisational policy making processes and this approach is associated with the bottom-up approach in implementing government policy. It was evident that coordination of social housing activities at all levels was lacking, as it contributed to the non-alignment and integration of plans and projects before implementation. On the

relationship between inter-governmental relations and implementation of social housing, data collected, and conclusions revealed that government has a role to play as it owns most, if not all, social housing production factors. In essence, the literature and data collected confirm that there are challenges in the implementation of social housing, although the roles and responsibilities of each stakeholder are clearly defined.

What is lacking for effective social housing delivery is a collaborative management of different behaviours and strategies and use of myriad policy instruments and multi-organisational activities is to be improved. The study found that there are elements of partnering with a range of local partners to deliver social housing services and this is supported using local contractors, professional teams, and local building material suppliers. Evidence shows that these partnerships are both vertical and horizontal, and for partnership to work, there should be integration, alignment and synchronisation of all social housing related activities. Evidence from data collected shows that intergovernmental relations structures are not coordinated and impact negatively on budgets allocations, prioritisation of social housing projects and agreement of targets to be achieved. The study revealed that decisions of the intergovernmental relations structures are not binding, not implemented and there are no monitoring mechanisms to ensure constant follow-up and tracking of commitments.

The study also found that there are serious institutional capacity gaps from the side of the government and implementing agents. The areas that need urgent attention include the following: financial management, property management, property development and management, project management, human settlement planning, capacitating intergovernmental relations structures, and decision-making processes. The study was able to identify weaknesses in the current social housing delivery system wherein streamlining of operational activities was still lacking. Other weaknesses identified

include lack of relevant skills, poor project management in the implementation phase and lack of a monitoring and control system for emerging SHIs. Aspects that would promote social housing delivery include collaboration of government officials to achieve a common goal, each sphere of government supporting the others to ensure maximum participation and involvement, adjusting to new ways of doing things, transparency, and involvement of people to ensure accountability.

CHAPTER 8:
CONCLUSIONS AND RECOMMENDATIONS

This chapter opens with an introductory statement and summary, followed by conclusions, recommendations, implications of the findings of this study for theory and practice, and finally, a consideration of the scope for further research.

8.1 INTRODUCTION

This study sought to investigate the role played by intergovernmental relations in the implementation of the social housing policy and delivery of social housing units in the Gauteng Province of the Republic of South Africa. More specifically, the main purpose of this study was to provide a qualitative and quantitative assessment of the part played by: (1) the three spheres of government; (2) social housing institutions (SHIs) that act as social housing delivery agents; and (3) government entities in implementing social housing policy in Gauteng Province. The study audited the functioning of the three spheres of government in as far as the implementation of social housing is concerned. The three spheres of government are regarded as equally important institutions for the development of sustainable human settlements. In the implementation of social housing, the Government of Gauteng Province must ensure that sound relations between the three spheres of government are maintained, so as to achieve the development and management of social housing.

The findings of the study, as analysed and discussed in Chapter 7, revealed the need for a different approach to coordinate, prioritise, set targets, align, finance, plan, and regulate the activities of all role players in the implementation of social housing policy

to address the slow delivery of social housing units. Furthermore, there is also a need to consider new mitigation measures in addressing the key challenges inherent in the implementation of social housing, noting that the challenges are universal, and cut across the three spheres. The purpose of this is to contribute to the existing body of knowledge, develop new ways of implementing a government policy, and understand contemporary challenges and risks affecting the delivery of social housing units. Since the study serves academic purposes, the intention was that it should contribute academically and produce new knowledge and identify gaps in the current knowledge about housing and human settlements policy and theory.

As stated in Chapter 1, the specific aim of the study was to explore innovation mechanisms for a South African intergovernmental relations system, in order to equip the three spheres of government with the capability to implement social housing policy in Gauteng Province. In order to meet the aim of the study, views of housing, human settlements and social housing practitioners were collected through a standardised questionnaire, as well as the views of key informants (national, provincial and metropolitan municipality officials, government entities and municipal-linked social housing institutions) through in-depth interviews. Furthermore, content analysis, review of annual reports, and review of relevant literature was conducted in order to assess the role played by actors in the implementation of social housing policy. The research findings contribute to the housing, human settlements, and social housing literature. The empirical research and analysis of the current social housing and human settlements legislation and policies contributes to the development of sustainable integrated human settlements and creation of a developmental state in South Africa.

Additionally, the findings of this study filled gaps in the present knowledge base about social housing and human settlements challenges, their impact on provision of

affordable state assisted rental housing opportunities in Gauteng Province, thereby proposing the consideration of other factors. New knowledge emanating from this study is as follows:

- In the social housing value chain, the stakeholders that are faced with the most challenges and exposed to significant risks are the social housing institutions which are delivery agents and mandated by legislation to deliver social housing units and opportunities. Provision of affordable rental housing is multifaceted and there is a need to involve other role players, such as the private sector, to deliver different rental housing products, opportunities and delivery methods that do not rely on government grants and subsidies.

- Provision of social housing is influenced by the system of government in place which affects the housing system. The housing system in Gauteng Province is not responsive to social housing demand and not effective and efficient as there are many bureaucratic spheres in place. Policymakers must rethink the role of local government and empower the sphere to manage the social housing and human settlements value chain and provide administrative, funding, planning and technical capacities for the provision of human settlements and social housing.

- Involvement of many actors in the social housing value chain requires synchronisation of social housing production input factors, such as prioritisation, target-setting, well researched financial modelling, and a clear-cut political mandate, which will ensure political commitment.

- There is no land release strategy for government despite the Housing Development Agency assisting in land release processes, which must still follow the prescripts of Municipal Finance Management Act and Public Finance

Management Act which are complex, cumbersome, complicated, and make the land release process lengthy.

Section 8.2 of this chapter presents the conclusions, and Section 8.3 the recommendations of this research study. The conclusions of the study emanated from the research findings, results, and review of the literature. The recommendations of the study are categorised into sections, and presented as recommendations for each of the following entities: the National Department of Human Settlements, the Gauteng Province Department of Human Settlements, metropolitan municipalities, social housing institutions, the Social Housing Regulatory Authority, and the Gauteng Partnership Fund. In addition to the recommendations, the findings of the study were used to propose a social housing delivery model. The implications of the study for theory and practice are considered in Section 8.4. The scope for further research is discussed in Section 8.5 and concludes the chapter.

8.2 CONCLUSIONS

Based on inferences and linkages between information in the literature reviewed and the data collected, this study concluded that, across developed and developing countries, the provision of social housing remains a concurrent function and shared mandate across the spheres of government. Furthermore, in the South African context, the study concluded that there is an intergovernmental relationship that exists between the three spheres of government, namely national, provincial, and local. The provision of social housing and, in particular, the right to have access to adequate, affordable rental housing is a basic human right, and the government has a responsibility to ensure the environment is conducive for all role players to develop and manage affordable social rental housing. The study concludes that there are key challenges inherent in the

implementation of social housing which includes coordination, alignment, financial planning, human settlements planning, funding, and regulation of the sector. Meeting these challenges is key to improving the overall delivery of social housing units. The study also concluded that the intergovernmental relations structures that exist are not operational and effective, that their decisions are not binding, and the implementation of their resolutions is not monitored.

An important conclusion is that, for the Gauteng Provincial Government to improve the delivery of social housing, there is a need to strengthen intergovernmental relations structures and stakeholder management, participation and involvement in those structures. This strengthening could be achieved by: (1) confirming the legitimacy of such structures that cut across all spheres; (2) developing their terms of reference and providing them with a full mandate to take decisions that are binding; (3) giving them powers to monitor the implementation of resolutions; and (4) ensuring that attendance is compulsory and that delegates account for, and take ownership of, all social housing development and implementation processes. For the provision of social housing in Gauteng Province, the study concluded that there is no coordination and alignment of social housing related functions and this lack impacts negatively on the Province. There is a clear need to ensure an effective budget, human settlements planning, and alignment and synchronisation of social housing related processes.

The study also identified capacity gaps that cut across all spheres of government, including the Social Housing Regulatory Authority (SHRA) and social housing institutions (SHIs). The study found that the National Department of Human Settlements (NDHS) does not have processes and systems in place to monitor and evaluate social housing projects and their impact in addressing rental housing backlog, in general, as reliance on monthly reports is not sufficient to verifying what is on paper with what is on the

ground. The SHIs were found to be lacking in capacity to manage multi-social housing projects in order to accelerate delivery. The study found that the SHRA does not have an effective, customised, and well-structured capacity building programme tailored for emerging SHIs to support the implementation of social housing projects.

Based on the literature reviewed and the research findings, it can be concluded that the implementation of social housing is a complex process, which involves multiple actors. Therefore, the implementation of a social housing project requires a multi-faceted approach, and effective mobilisation of resources. Findings of the study suggested that the implementation of social housing is highly regulated, and adherence to social housing regulation will minimise the risks associated with its implementation. The slow delivery of social housing units in Gauteng Province exists as a result of a combination of factors, such as nonalignment of existing funding streams, slow land release processes, unavailability of bulk infrastructure, deficiencies in government and SHIs capacity to deliver, lack of effective regulatory systems, and lastly, poor coordination and alignment of social housing related activities.

In the context of this research, in terms of social housing policy implementation as part service delivery by government, this research adds valuable scholarly insight into the role of government in coordinating, budgeting, regulating, planning, prioritising, managing challenges and risks and aligning activities to implement a policy. This research contributed significantly to the existing body of knowledge on Public Administration and Management. The study highlighted the principles of implementation of new Public Management, where policy implementation requires technologically innovative administration, conducting needs analysis, forecasting and forward planning, new project management software, and managing intergovernmental relations and partnerships. The study concludes that the government – and in particular

metropolitan municipalities – has a quantitative and qualitative role and responsibility to play in terms of addressing rental housing and delivering social housing units.

The study did not aim to explore and compare local and metropolitan municipalities (metros) in Gauteng Province to determine which are better or more effective in ensuring an environment conducive for the delivery of social housing. The roles and responsibilities of the metros and local municipalities, as outlined in the Social Housing Act (No. 16 of 2008) are the same. The study concluded that both the metros and local municipalities are governed by the same legislation and there are no material conditions that can reduce or add significantly to any policy implementation as both are faced with the same challenges and risks. Furthermore, service delivery and addressing housing backlog is still a challenge that faces both metros and local municipalities. There was no relationship or evidence in the research findings to support the assertion that provision of housing and affordable rental housing is better in a metro than in a local municipality.

8.3 RECOMMENDATIONS

Affordable rental social housing units are provided to qualifying beneficiaries by social housing institutions in partnership with national, provincial, and local governments in situations where social housing policy is implemented. The recommendations of this study focus on what needs to be improved in relation to social housing policy implementation, and how stakeholders engage on matters of providing affordable rental housing opportunities. The recommendations of the study are categorised into five sections, namely recommendations for the National Department of Human Settlements, the Gauteng Provincial Department of Human Settlements, the metropolitan municipalities, social housing institutions, and the Social Housing Regulatory Authority.

8.3.1 Recommendations for the national department of human settlements

The National Social Housing Act of 2008 and the National Social Housing Policy of 2005 clearly define the roles and responsibilities of the National Department of Human Settlements (NDHS) in relation to the provision of social housing. Based on the findings of the study, the following recommendations were made for the NDHS:

- **Creating an enabling environment for social housing:** The study found that there are challenges and constraints that affect the delivery of social housing units. It is recommended that the NDHS eliminates all constraints and improves access to resource inputs, creates an environment conducive to investment in housing for rental purposes, and promotes orderly consolidated urban growth with acceptable minimum provision of physical and social infrastructure. It is the responsibility of the NDHS to formulate a regulatory framework that facilitates a conducive and enabling legal and operational environment to encourage and induce the private sector, community-based organisations, non-governmental organisations, and other financiers and private property developers to participate directly in social housing provisioning.

- **Development of social housing policy and enactment of social housing legislation:** This study has posited that policy development should be informed by what Murphy (2016:23) has called evidence-based policymaking wherein appropriate evidence and best practices are incorporated in the social housing development processes. Social housing in the context of South Africa is still new, and experiences and lessons learned in implementing social housing ought to influence policy development processes so as to allow the policy to evolve within the South African environment. This approach will

assist in terms of developing a policy that is implementable across all provinces, and which will inform the enactment of new social housing legislation and inform decision-making processes.

- **Providing overall leadership for the sector and ensuring attention to the constitutional responsibilities:** The study found that National Government through the NDHS sits at the centre of ensuring that all three spheres of government discharge their responsibilities in terms of the constitution to provide affordable rental housing opportunities to the needy. It is recommended that the NDHS should provide strong leadership to ensure the efficient mobilisation and utilisation of scarce resources, such as land for social housing development and funding within all spheres, and take a lead in terms of alignment of all social housing related activities with a view to strengthening linkages, associations, networks, and strategic alliances within government. It is the responsibility of the NDHS to provide political leadership and direction for all the spheres and structures operating in the social housing sector to coordinate and implement national policy, share experiences around policy and implementation, exchange ideas, and assist each other in the professional development and management of human settlements related functions and activities.

- **Approving social housing projects, programmes, and business plans submitted by provinces:** There are various inputs and submissions from national, provincial, local government, SHIs, financiers, regulators as well as other interest groupings, and it is recommended that the NDHS coordinates, aligns and synchronises all inputs to social housing related activities before approval is made. It is further recommended that the NDHS ensures there is alignment of functions and duties between different state organs such as the SHRA, the Housing Development Agency and the Gauteng Partnership Fund

and similarly, encourages the establishment of internal bodies such as intergovernmental fora, which are mandated to facilitate cooperation among state organs and different spheres. It is the responsibility of the NDHS to ensure that decisions taken in such structures are binding, as implementation of resolutions will go a long way in influencing housing policy, ensuring alignment and integration of housing programmes, business plans, and projects.

- The NDHS should use coordination to facilitate improved sharing of knowledge and data across the social housing sector to enable role players to take informed decisions. Lastly, it is recommended that the NDHS **develop qualitative and quantitative structural indicators of coordination as empirical attempts to measure coordination.** The qualitative indicators of coordination provide a descriptive set of criteria and examine the potential for coordination, and the quantitative indicators attempt to assess the extent to which coordination is actually achieved. It is important to have qualitative indicators of coordination to measure interactions among organisations and individuals and, more importantly, measure the integration of policies. This is highly relevant, as there is an increasing number of actors in the social housing value chain.

- **Approving designation of restructuring:** It is recommended that the NDHS facilitates the participation of the SHRA and SHIs in the identification process of designated restructuring zones and that it be mandatory across all spheres of government. The SHRA has insight into advancing sustainable urbanisation and provision of medium to high density settlements as most social housing projects funded by the SHRA and implemented by SHIs in restructuring zones are mandated by the social housing policy and legislation. Participation of the SHRA and SHIs will encourage the development of new social housing units and the upgrading of existing units and ensure that there is land and/or

buildings for social housing development in approved restructuring zones. The challenge is that, in most if not all approved restructuring zones, there is not sufficient land and/or buildings to initiate and implement social housing projects.

- **Establishing institutional capacity to support social housing initiatives:** It is recommended that the NDHS provides institutional capacity to regulate, inform policy frameworks, and guide social housing planning. This can be achieved by providing both the political and administrative leadership to be able to support social housing initiatives, programmes and projects. It is recommended that the NDHS develops and maintains institutional capacity building initiatives for the sector, particularly around social housing project packaging, project implementation, and project operational skills, and financial planning to run viable institutions. It is the responsibility of the NDHS to address capacity limitations, deficiencies, lack of competencies, administrative and functional management, and dysfunctionality in the social housing sector.

8.3.2 Recommendations for the Gauteng Provincial Department of Human Settlements

- **Allocating funds to the provincial social housing programme:** The study found that the provision of social housing and completion of social housing projects is a multi-year process, and it is recommended that the Gauteng Provincial Department of Human Settlement (GPDHS) develops and approves a Medium Term Social Housing Development Plan (MTSHDP), which is linked to a Medium Term Expenditure Budget Framework (MTEBF), to plan for the purchase of all social housing production resources and provision of bulk infrastructure over a three-year cycle that includes land use planning and development control.

The MTSHDP should outline the several social housing functions as part of activities to be budgeted for in the MTEBF. This will in practice assist in the allocation of budget for the social housing programme, and it is for this reason that it is recommended that plans and budgets around social housing needs are prioritised over a three-year period.

- **Facilitating sustainability and growth of the social housing sector:** It is recommended that the GPDHS streamlines and integrates all different planning regimes and takes the lead in ensuring well-integrated human settlements and sustainable urban planning to ensure sustainability and growth of the social housing sector. The study found that the supply of affordable rental housing is currently not matching the demand and recommended that the GPDHS increase housing supply and also provide a platform for investment in the housing industry, ultimately to promote the growth of the social housing sector and thereby promoting economic growth in the Province. The study showed that the participation of the private sector is not exploited to the fullest and the study recommended that the Province introduce tax incentives, eliminate all constraints, and improve access to resource inputs, such as time to release land for social housing development, an environment conducive to investment in housing for rental purposes, and orderly consolidated urban growth, with acceptable minimum provision of physical and social infrastructure.

- **Facilitating social housing related capacity building for local government:** The local government sphere is the initiator of social housing projects since they have to define the demand for social housing and identify restructuring zones. It is recommended that the GPDHS capacitates the local sphere of government to facilitate the delivery of social housing through the

conversion of existing non-residential stock and upgrading of existing stock. The municipality is obliged to provide access to bulk infrastructure, land, and buildings for social housing development. It must be noted that if the municipalities are not capacitated, the release of land and buildings for social housing development becomes a lengthy and cumbersome process. In the social housing value chain, municipalities play a key role, and it is recommended that the province capacitates municipalities to set up partnership agreements with SHIs, including private social housing institutions, financiers, and other relevant partners. It is recommended that the Province facilitate the establishment of inter-municipal forums to share best practices, land release policies, resources, management and mitigation of challenges and risks, information and intelligence on the dynamics of urban populations and to address migration between and within municipalities. Inter-municipal cooperation plays an important role in addressing perceived housing challenges within the three Metropolitan municipalities in that the human settlement planning and urban land development is significantly influenced by government. Inter-municipal cooperation will play an important role in terms of sharing information on social housing plans, social housing projects, equalisation of financial results of land development projects between municipalities, integration of sectoral policies into spatial strategies to ensure safe and livelihood build environment.

- **Accreditation of municipalities to administer national housing programmes that will allow such a municipality to administer grant funding:** Social housing policy implementation has a great influence on the administrative and institutional capacity of municipalities, noting that, in the South African context, the provision of housing is a concurrent function between the three spheres of government. The literature confirms that the three spheres

of government release resources and collaboratively exchange decisions and share plans. The study found that there is institutional overlap in terms of competencies and growing political, economic, and administrative dependencies between the three spheres of government. It is recommended that the three metropolitan municipalities in Gauteng Province be accredited to administer and implement national housing programmes. It is evident that the municipalities have been underutilised in the housing delivery value chain and, in some quarters, there is a belief that housing is an unfunded mandate. It is recommended that the GPDHS finalise the devolvement of housing and human settlements functions to the three metropolitan municipalities in Gauteng to ensure full assignment of housing and human settlements functions. Full assignment includes subsidy payment disbursements, financial reporting and reconciliation, as well as the performance of level one accreditation, which entails housing budgeting processes and programme management. Other functions include local housing priorities, the management of public stock and level two accreditation, which entails beneficiary administration related functions, such as project evaluation and approval, contract administration, subsidy registration, and programme management including cash flow projection and management and technical (construction) quality assurance.

8.3.3   Recommendations for Metropolitan Municipalities

- **Facilitating social housing delivery in its area of jurisdiction:** As mandated by the Housing Act of 1997, social housing opportunities must be specifically provided for in the local government Integrated Development Plan (IDP). In this regard, it is recommended that metros should address institutional challenges that may hamper the effective implementation of social housing through a credible human settlements sector plan. The study found outdated

human settlements sector plans and poorly capacitated organisational arrangements for human settlements delivery. It is further recommended that the municipalities coordinate stakeholder departments that contribute to sustainable human settlements such as water and sanitation, human settlements planning, availability of land and buildings, and infrastructure and urban management in order to have input to the human settlements plan. The human settlements plan ought to be used to address social housing delivery challenges, provide a clear institutional framework, and address operational social housing delivery matters. It is recommended that the human settlements sector be integrated with a credible IDP with social housing projects locations included in the IDP.

- **Ensuring an enabling environment for the social housing sector to develop and grow in its area of jurisdiction:** The study found that there are profound challenges, risks and constraints that hamper the delivery of social housing at municipal level. It is recommended that municipalities ensure that the environment is conducive for delivery agents to participate in the social housing space by streamlining legal and operational factors. The availability of approved restructuring zones contributes to the participation of more players, and this is one of the factors towards ensuring an enabling environment. It is recommended that municipalities make land, buildings, municipal infrastructure, and municipal rental stock accessible and available to social housing institutions. Secondment of staff to municipal-owned social housing institutions as part of capacity building is also needed, as well as municipalities being easily accessible to social housing institutions. It is further recommended that municipalities provide preferential access to land and buildings for social housing development in approved restructuring zones. In order to fast track the speedy delivery of social housing,

it is recommended that municipalities provide administrative and organisational capacity to approve relevant plans, supporting documents, council resolutions and studies timeously, and prepare development plans such as social housing development plans.

- **Entering into performance agreements with SHIs:** According to the Social Housing Act (No. 16 of 2008), SHIs are the main delivery agents and by law they should enter into performance agreements with the municipalities. It is recommended that the performance agreements cover and agree on social housing opportunities, delivery goals, targets, and budgets, as well a how and when performance will be conducted, monitored, and evaluated so as to ensure alignment of implementation of social housing projects. The performance agreements should be clear on key performance indicators to measure the performance of the partnerships wherein priorities, performance targets and indicators of the municipality are negotiated. The study found that the performance of social housing institutions has often been limited, owing to different mandates, priorities and misalignment between what metropolitan municipalities plan to achieve and what SHIs can achieve. For this reason, it is recommended that any performance agreement should have the three kinds of accountability relationships, which include accountability among the SHIs, accountability between a SHI and its own governing body, and lastly, accountability to the public. Empirical data revealed that the government is using a top-down approach, where the national government set very high targets and priority areas which, at the end of the day, are not achievable. This can be addressed by including achievable targets and priorities in the performance agreements signed by the delivery agents and the municipalities.

- **Assisting a SHI in its establishing stage through inter alia logistical and resource (financial, human and technical) support to the SHI for a special period of time (generally until full accreditation has been achieved):** It is recommended that municipalities establish social housing coordinating committees to deal with issues of capacities of SHIs, identification and approval of restructuring zones, social housing project pipelines to track social housing project readiness, and assistance in sourcing additional funding to support SHI activities. These committees should also investigate local government equity participation, bridging finance for emerging social housing institutions, and networking and sharing of best practice on the development and implementation of social housing projects.

8.3.4   Recommendations for social housing institutions

- **Undertaking social housing projects:** In the social housing value chain, SHIs play a key role in implementing the actual social housing project. As such, SHIs are the delivery agents mandated by current social housing legislation and policy to take a lead in terms of development and management of social housing units. Given that SHIs are entrusted with public funds, it is highly recommended that SHIs that are not accredited by the SHRA should not be allowed to implement social housing projects, and this should be applicable to private SHIs. It is recommended that only accredited social housing institutions and private sector companies involved in delivering social housing units enter into agreements with government. The agreements should include financial model structures relevant to social housing products, such as guarantees, insurance products, syndicated funds, securitised portfolios, and partially or fully underwritten lending portfolios. This will assist in terms of mitigating all financial

risks associated with the delivery of social housing units. It is further recommended that SHIs ought to ensure that social housing development outcomes meet the needs of the target market, noting that the provision of social housing units is highly regulated as public funds are used and value for money is a top priority of government. The other challenge relates to the administrative nature of applicable legislation requirements of both the Municipal Finance Management Act and the Public Finance Management Act in relation to speedy release of social housing production factors such as land, funds, buildings and municipal-owned rental stock. It is recommended that SHIs enter into service level agreements with clear key performance areas and key performance indicators.

- **Developing and managing social housing units:** The majority of SHIs, including private SHIs in Gauteng, are experiencing challenges such as lack of capacity to accurately balance costs with design and affordability. The other challenge facing social housing institutions is the lead time for project implementation, as well as a limited capacity to take on more than a single project. All this affects the development and management of social housing units which impact on the capacity of the state to address the affordable rental housing backlog in Gauteng Province. It is recommended that SHIs conduct social housing policy research to fully understand new trends in the social housing sector and investigate issues that affect the growth and development of the sector within the area of their jurisdiction. SHIs should also conduct tenant surveys to understand tenant behaviours and relations. The SHIs should research the new social housing value chain and collect data to influence social housing policy implementation and evaluation. It is further recommended that SHIs investigate the possibility of forming partnerships with well-established social housing

institutions to share best practices and strategies for how to mitigate risks and challenges affecting the sector, such as funding, financial planning, project viability, access to land and buildings, property development and maintenance, and project management. It is recommended that SHIs improve administrative and organisational capacity to carry out the management and administration of rental stock, preparation of property development plans, maintenance plans and long-term financial plans, and secure necessary finance from the local budgets or loans.

- **Promoting and driving social housing development in South Africa:** SHIs play a key role in facilitating, promoting and/or driving social housing development in South Africa, in general, and in Gauteng Province, in particular. Approval and non-approval of restructuring zones by the NDHS, access to land and buildings, including municipal rental stock, and access to municipal infrastructure and services all impact on the promotion of, and attempts to drive, social housing development. It is recommended that municipalities create an enabling and conducive environment for SHIs to deliver by fast-tracking development and signing off service level agreements with clear targets and priorities. Funding models and support and capacity programmes from the municipalities should be rolled out and implemented. It is further recommended that SHIs be supported and capacitated to negotiate the best deals with regard to planning and managing delivery of building materials, develop reliable and substantial project delivery pipelines, and being involved in the approval of restructuring zones to ensure that, within the approved restructuring zones, there is land and buildings and bulk infrastructure. The SHIs should also receive exemption from bulk infrastructure contributions. It is recommended that, based on their experience as delivery agents, SHIs develop social housing

implementation guidelines, establish new trends in the social housing sector, set priorities and define the strategy for the implementation of the National Social Housing Policy.

8.3.5 Recommendations for the Social Housing Regulatory Authority

The Social Housing Act of 2008 establishes the Social Housing Regulatory Authority (SHRA) as a juristic entity with its core functions being to regulate the social housing sector, to invest public funding in capital projects, and lastly, to invest in the institutional development of SHIs.

- **Promoting an enabling environment for the growth and development of the social housing sector:** The SHRA is a key role player in the social housing development value chain in South Africa and is mandated by legislation to regulate and ensure there is continuous investment in the sector. It is recommended that the SHRA, as the social housing development regulator and investor, provide a user-friendly regulatory and investment framework within the sector. It is the responsibility of the SHRA to ensure social housing institutions operate on an equal basis, and that there are standardised processes and systems to promote the growth and development of the social housing sector. It recommended that the SHRA ensures the playing fields are levelled so as to promote fair and equal opportunities for all SHIs to access funding and capacity building opportunities. Based on the literature reviewed and the research findings, it was revealed that implementation of social housing projects is a complex process, which involves multiple actors with different objectives, priorities, and targets. It is therefore recommended that the SHRA conducts research to fully understand new trends in regulating the social housing sector, investigate issues that affect the growth and development of

the sector, find new ways of attracting investment and encouraging the private sector to participate in the delivery of affordable rental social housing into the value chain, and to collect data to influence social housing policy implementation and evaluation.

- **Providing advice and support for the development of policy for the social housing sector:** Given that development of social housing policy requires a multi-faceted approach, it is recommended that the policy development processes be supported by appropriate evidence on best practices. To get inputs and comments from the roleplayers, it is recommended that the SHRA, as the regulator and investor facilitate the operationalisation of intergovernmental relations structures. The structures will assist in sharing best practice information and research findings and recommendations on the status of the social housing sector that will inform policy development processes.

- **Accrediting institutions that meet the defined accreditation criteria:** The accreditation of a SHI entails a progressive process of capacitation, and evaluation of systems and processes of financial management, as well as a high level of competency to manage financial resources and implement social housing projects. The study found that the accreditation process is cumbersome, lengthy, and expensive. The SHRA, which is mandated to accredit social housing institutions, provides financial assistance for SHIs through grants to enable them to develop institutional capacity and gain accreditation as a SHI. It is recommended that the accreditation process be shortened and more user-friendly and that requests for supporting documents be limited to those adding value. Currently, before grants are approved, supporting technical project information is requested and, in most

cases, the information is not always available and very hard to obtain. The requirement that SHIs must demonstrate sound and practical financial management systems to safeguard financial resources and ensure quality financial reporting is not easy to meet by emerging SHIs. It is recommended that the SHRA initiates and implements capacity building programmes within the sector, targeting emerging SHIs and encouraging SHIs to enter into partnership arrangements with well-established SHIs and other participants within the sector, and promoting joint procurement by SHIs, where this is efficient and results in exchange of good practice.

- **Conducting compliance monitoring through regular inspection:** The main purpose of compliance monitoring is to ensure that SHIs operate within their mandate, that state resources channelled to SHIs are monitored and applicable social housing norms and standards are adhered to, and that compliance to a regulatory framework is maintained to ensure value for money. It is also important that investment is social housing is monitored and that the social housing target markets benefit from the social housing programmes. It is recommended that an effective regulatory plan and a monitoring system be developed and approved by the SHRA in consultation with SHIs. It is recommended that the regulatory plan and monitoring system cover technical, operational, institutional, administrative, and financial aspects and implementation of social housing projects. The regulatory plan will assist in terms of facilitating a conducive legal and operational environment that can encourage and induce the private sector, community-based organisations, nongovernmental organisations, and other financiers and private property developers to participate directly in social housing provisioning. It is further recommended that the monitoring and evaluation of progress be conducted during the implementation phase, and that implementation plans be

continuously reviewed, revised and extended where necessary. The continuous monitoring of progress will assist in terms of identifying non-compliance in the early stages so that intervention programmes can be implemented early.

8.4 IMPLICATIONS OF THE RESEARCH FOR HOUSING THEORY AND PRACTICE

The research findings of this study may be generalised and regarded as meaningful, especially since the study identified challenges faced by the three spheres of government in the implementation of social housing in Gauteng Province. In addition, the study identified other input factors that impact negatively on the supply of social housing which cut across all spheres of government, such as political mandates, legislation, policies, strategies, plans, targets, priorities, information technology, and administrative and financial constraints. The study also generated knowledge that has the potential to aid in the understanding of the relations between government departments in implementing a social housing policy in Gauteng Province. The fact that provision of social housing is a concurrent function between the three spheres of government, there is a relation that exists, and this relation is among officials who represent departments. In practice, this means the government departments in all spheres do not follow bureaucratic hierarchical structures, but rather treat each of the spheres as equal partners to achieve a set of goals and objectives.

This study contributes to the existing body of knowledge with regard to the topic in question, namely the role of intergovernmental relations in the implementation of social housing, within a social housing policy and legislative framework. A literature review-based comparison was conducted between developing countries in Latin America, Asia and Africa, and there were gaps identified and lessons learned. The comparison yielded

evidence on new trends in housing policy development and implementation, revealing that the provision of housing is influenced by the system of government in place, and this defines the roles and responsibilities of each level of government in the implementation of social housing. Furthermore, the study revealed that the main cause of slow delivery of social housing is non-coordination and non-alignment of social housing related functions, such as financial planning, human settlements planning, priorities, targets, and financial sources. This is due to social housing intergovernmental structures not being sufficiently effective and operational to share best practices and strategies for how to mitigate challenges and risks facing the social housing sector in Gauteng Province.

This study explored the systems theory in relation to interaction of the three spheres of government in implementing a policy in South Africa. The systems theory is based on the relations between a system and its environment and these relations are not static, but dynamic.

The application of systems theory in practical terms requires the three spheres of government to integrate financial, planning and operational information, as well as policy implementation, communication, planning systems, strategies and management of intergovernmental relations processes, which evolve in the complex political environments of the national, provincial, local, and state entities. The application of systems theory in defining intergovernmental relations still needs the integration of both political and administrative processes and procedures in fast-tracking the delivery of services, including social housing. The practical implications of this study in relation to public policy implementation point to the lack of an effective intergovernmental relations operational system that is efficient, effective, and reliable in the delivery of social

housing units, and this is based on the non-functionality of structures at provincial and local government level.

Another theory which has practical implications in relation to the implementation of a public policy is network theory. Network theory, and its implications for practice in relation to this study, is based on the debate of new governance which was triggered largely by the growing recognition that policy-making processes and implementation needs to go beyond the public sector to incorporate private sector and nongovernmental actors to achieve a set of objectives. In practice, private sector, non-governmental organisations, community-based organisations and national, provincial, and municipal entities are partnering and contributing to the provision of affordable rental social housing to fast track service delivery. The literature defines networks as systematic interactions, collaborations, participation of independent and/or autonomous actors, stable patterns of social relations engaged in creating products or services based on implicit and open-ended contracts adapting to the environmental contingencies. The study found that implementation of social housing policy involves many actors, perceived as active participants and as equal partners who respond in addressing the provision of social housing.

8.5 SCOPE FOR FURTHER RESEARCH

The research findings of the study were revealing; however, some limitations must be noted for future research to address, in addition to furthering knowledge on intergovernmental relations in the implementation of social housing. The scope for further research is provided below. The sub-sections consist of the research methods and each of the themes identified. The main themes of the study encompassed the research questions and objectives and a discussion of the main themes, risks and

challenges facing the social housing sector. Social housing implementation in South Africa is still new and scholarly documentation and literature is yet not enough to support scientific argument.

8.5.1 Future research with regard to research methods

In this study, data were collected by means of questionnaires, interviews, analysis of documental evidence, and a literature review. The study followed the pragmatism, phenomenology and positivism research philosophies, owing to its complexity study, and because provision of housing is a sensitive subject. In this regard, the complex challenges and risks necessitated that the research be undertaken in an organised manner. Future studies might address this limitation by emphasising the use of other philosophies.

8.5.2 Social housing funding matters

Funding for social housing projects plays an important role in the government realising its objective of providing affordable and adequate rental housing opportunities for people earning low incomes. There are different funding sources, each with its own qualification criteria, terms and conditions. Funding for social housing projects generally requires a combination of government subsidies, equity from the SHIs, and debt finance. The South Africa social housing funding model is complicated, due to the fact that it requires different sources of funding. Several risks were identified in this study in relation to funding matters. Therefore, it would be interesting to conduct research to provide a qualitative and quantitative assessment of social housing financial and funding risks per source of funding.

8.5.3 Social housing challenges and risks

There are challenges and risks inherent in the current intergovernmental relations system and social housing delivery implementation system. These challenges cut across all spheres of government and impact on the delivery of social housing in South Africa. An analysis of how these challenges affect service delivery was presented. It would be interesting to rank the challenges in terms of their impact and develop mitigation measures.

8.5.4 Government IGR spheres alignment and integration of social housing processes

In the South African context, delivery of social housing is happening concurrently in all three spheres of government (national, provincial and local) whereby a collaborative exchange of activities, functions and decision making between institutions at different levels of the political system needs to be managed. In order for the government to achieve this mandate, coordination, alignment, and integration of all social housing related functions and tasks is required. It is for this reason that further empirical assessment can be conducted to measure coordination, alignment, and integration. Qualitative and quantitative assessment to measure the extent of coordination and alignment, and more importantly measure integration of policies will go a long way toward acknowledging that there is an increasing number of actors in the social housing value chain.

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ANNEXURE A
Ethical clearance

UNISA | university of south africa

DEPARTMENT: PUBLIC ADMINISTRATION AND MANAGEMENT
RESEARCH ETHICS REVIEW COMMITTEE

Date: 2 December 2016

Ref #: PAM/2016/036 (Madisha)
Name of applicant: Mr MG Madisha
Student #: 32026676

Dear Mr Madisha

Decision: Ethics Clearance Approval

Name: Mr MG Madisha, makotam@tshwane.gov.za, tel: 072 278-1333
[Supervisor: Prof P Khumalo, 012 429-3779, Khumap1@unisa.ac.za]

Research project: Intergovernmental relations in the implementation of social housing in Gauteng Province **Qualification:** DADMIN (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. Final approval is granted for the duration of the project.

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 by the RERC on 2 December 2016. 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.

2) Any adverse circumstance arising in the undertaking of the research project that is relevant to the ethicality of the study, as well as changes in the methodology, should be communicated in writing to this Ethics Review Committee. An amended application could be requested if there are substantial changes from the existing proposal, especially if those changes affect any of the study-related risks for the research participants.

3) The researcher will ensure that the research project adheres to any applicable national legislation, professional codes of conduct, institutional guidelines and scientific standards relevant to the specific field of study.

Kind regards

Prof Mike van Heerden
Chairperson:
Research Ethics Review Committee
vheerm@unisa.ac.za

Prof MT Mogale
Executive Dean: CEMS

University of South Africa
Preller Street, Muckleneuk Ridge, City of Tshwane
PO Box 392 UNISA 0003 South Africa
Telephone: +27 12 429 3111 Facsimile: +27 12 429 4150
www.unisa.ac.za

ANNEXURE B
Participants' information sheet

Dear Participant

I, **MAKOTA MADISHA**, a registered student of the University of South Africa in the Faculty of Economic and Management Sciences: Department of Public Administration and Operations Management. As part of my studies towards a Doctor of Philosophy in Public Administration, I am required to submit a thesis in the fulfillment of the qualification. The research is conducted under the supervision of **Professor Prudence Khumalo** and **Professor Londoloza Leo Luvuno** both from the Department of Public Administration and Management.

My research topic is "***The role of intergovernmental relations in the implementation of social housing in Gauteng Province.***" The study objectives of this research is to:

- assess the intergovernmental administrative network in social housing policy implementation;
- understand key challenges inherent to the current intergovernmental relations system of the South African social housing process.
- investigate whether financial resources are granted in the processes of implementing social housing policy as well as confirming if the funds were sufficient, streamlined and accounted for;
- examine the legislative framework governing the spheres of government in the implementation of social housing policy;
- determine effectiveness of regulatory institutions in the delivery of social housing services;
- determine the current model followed in the delivery of social housing services.

With regard to ethical issues guiding the study, the researcher pledges strict adherence to ethical conduct as it applies to academic research projects in higher educational institutions in South Africa. This means:
(i) Respondents are not required to disclose their identity;
(ii) The information collected from the respondents will be used for the research purpose only;

(iii) The respondents in the study are not in any way going to be appraised, demoted or promoted on the basis of their participation in this research project;

(iv) Respondents have the right to participate and withdraw their participation in the study at any time.

To this end, I request you to complete the attached questionnaire regarding the research project. It should not take you longer than 20-30 minutes of your time to complete this questionnaire. Although your response is of utmost importance, your participation in this project is voluntary. Please do not enter your name or contact details on the questionnaire as it remains anonymous. Information provided by you remains confidential and will be used for research purpose only.

With regard to interviews, please be assured that the information gathered during this interview sessions, will be treated highly confidential in accordance with the UNISA College of Economic and Management Sciences Research Ethics Committee and as such the anonymity and dignity of the respondents will be protected.

Kindly be informed that the value of this interview depends on your honesty and willingness to co-operate with the researcher. Before interview starts, your informed consent and permission to record and transcript the interview is requested. The interviewer is going to take some notes during the interview process. The interview is be verbal and questions are asked in order to solicit opinions and ideas from you as a research participant. A list of questions are attached for your ease of reference.

Sincerely yours

MAKOTA MADISHA

ANNEXURE C
Participants consent form

I, ……………………………………………………., the undersigned have read and understand this form and consent to voluntarily participate in the research project entled: **The role of intergovernmental relations in the implementation of social housing in Gauteng Province**. I understand the information obtained in this study will be made available by the researcher for evaluation to UNISA.

Participant Name: …………………………………………………………………………………….

Date: …………………………………………………………………………………….

Signed: …………………………………………………………………………………….

Researcher: **Makota Madisha**

Date: …………………………………………………………………………………….

Signed: …………………………………………………………………………………….

GUIDELINES TO PARTICIPANTS

This research is aimed at investigating the role of intergovernmental relations in the implementation of social housing policy of the Gauteng Province, South Africa. There is no **RIGHT** or **WRONG** answers and your honest, anonymous opinion will be appreciated. I am **NOT** asking about anything that you or any other person have done or not done—I am merely seeking your **PERSONAL PERCEPTION**

- Please read the statements carefully before indicating your choice in the appropriate block.
- Please indicate only **ONE** choice per statement by marking the relevant box with an **X** and elaborate in the space provided where necessary.
- After completion of the questionnaire, please contact the researcher through the contact details appearing on the cover page to come and collect it or send it back by fax or email.

Example(s):

Number	Statement	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	For Office Use only
1	Decisions of intergovernmental relations structures are not binding.	1	2 X	3	4	5	

- Ensure that you complete **ALL** the statements in **ALL** the sections.
- The last part on each section **(Additional information or comment if any)** is for **ANY** information you wish to supply.
- This is an anonymous questionnaire. Please do **NOT** write your name or personnel/identity number anywhere on the questionnaire.
- Please do not complete anything in the **GREY** boxes as they are for office use only.

Thanking you in advance for your participation and invaluable contribution.

ANNEXURE D
Interview questions

List of interview questions

1. How do three spheres of government interact in the implementation of social housing?

2. Are the administrative networks operational?

3. Is there coordination and alignment of activities between the National, Province and the Metros?

4. What are key challenges impacting role players in the delivery of social housing?

5. Are stated challenges shared and discussed in legitimate fora?

6. What are the criteria used in the allocation of financial resources for delivery of social housing?

7. Is the Gauteng Partnership Funding model user friendly?

8. Why do the various housing role players use different criteria in allocating public resources?

9. What are the impacts of institutional legal framework governing GPF/Metropolitan municipality/ National/Provincial in the funding of social housing project?

10. In your opinion, what can be done to ensure that there is alignment, integration and institutional arrangements in the delivery of social housing services?

11. What are the dimension and scope of intergovernmental relations in the implementation of social housing policy?

12. Are the roles played by regulatory institutions effective in the delivery of social housing services?

13. How can different funding sources be coordinated and aligned in order to reduce the complex nature of funding social housing project?

14. What are the cardinal risks of implementing social housing policy?

ANNEXURE E
Social Housing Institutions Research Questionnaire

UNIVERSITY OF SOUTH AFRICA
FACULTY OF ECONOMIC AND MANAGEMENT SCIENCES
DEPARMENT OF PUBLIC MANAGEMENT

FIELD OF STUDY

DOCTOR OF ADMINISTRATION IN PUBLIC ADMINISTRATION

QUESTIONNAIRE FOR RESEARCH TITLE

The Role of Intergovernmental Relations in the implementation of social housing in Gauteng Province

PERSONAL DETAILS

Surname: Madisha
Names: Makota
Student Number: 32026676

CONTACT DETAILS

Telephone Number: 012 358 1653
Cell Number: 072 278 1333
Email Address: makotam@tshwane.gov.za
Fax: 086 240 4912

PROMOTERS

Prof Prudence Khumalo
Prof Londoloza Leo Luvuno

SECTION A BIOGRAPHICAL INFORMATION

1.   PLEASE INDICATE YOUR GENDER

1	Male	
2	Female	

2.   PLEASE INDICATE YOUR YEARS OF SERVICE RELATED TO THE DELIVERY OF SUSTAINABLE INTEGRATED HUMAN SETTLEMENTS WITHIN THE THREE SPHERES OF GOVERNMENT

1	0-5	
2	6-10	
3	11-15	
4	16-20	
5	21-25	
6	26-30	
7	31 or more	

3.   PLEASE INDICATE YOUR AGE GROUP

1	20-25	
2	26-30	
3	31-35	
4	36-40	
5	41-45	

6	46-50	
7	51 or more	

4.   PLEASE INDICATE YOUR HIGHEST QUALIFICATION

1	Doctorate	
2	Masters Degree	
3	Honours Degree	
4	Post Graduate Diploma	
5	Bachelor Degree	
6	Diploma	
7	Certificate	
8	Grade 12	

SECTION B
ACCREDITATION AND QUALIFY TO IMPLEMENT SOCIAL HOUSING PROJECTS

Please indicate your choice at each of the statements listed below with an **X** and elaborate in the space provided where necessary.

Number	Statement/Question	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	For Office Use only
1	Your SHI is accredited and is eligible to apply social housing funding	1	2	3	4	5	
2	Social housing project activities are eligible for social housing grant funding	1	2	3	4	5	
3	Your SHI has received or being allocated other government grant funding	1	2	3	4	5	

4	For you SHI to fully implements social housing projects it must enter into partnerships with other SHI's	1	2	3	4	5	
5	Your SHI owns the land where there are social housing projects	1	2	3	4	5	
6	Before projects are implemented your SHI must get the landowner's approval to implement the project	1	2	3	4	5	
7	All your projects require planning approval from the municipality	1	2	3	4	5	
8	All planning approval was granted by the local authority	1	2	3	4	5	
9	All your social housing projects address your social housing objectives	1	2	3	4	5	
10	The social housing project will improve community infrastructure/facilities	1	2	3	4	5	
11	Social housing projects you implement will facilitate better integration between social housing and the surrounding community	1	2	3	4	5	
12	The project will benefit social housing communities	1	2	3	4	5	

13.   Describe how local social housing resident have be or will be involved in the planning phase (**please elaborate**)

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14.   What strategies will you use to promote your social housing projects in the wider community? (**Please elaborate)**

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15.   Do you have a risk management plan in place to cover the development of all your social housing projects? (**please elaborate**)

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16.   Name key risks associated with the delivery of social housing:

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17.   The three spheres of government are in one way or the other own land for social development and all has different land release processes. How can these processes be aligned and integrated to ensure a speedy release of land?

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SECTION C
CAPACITY/SKILLS OF THE PERSONNEL WHO MANAGE THE DELIVERY OF SOCIAL HOUSING

Please indicate your choice at each of the statements listed below with an **X** and elaborate in the space provided where necessary.

Number	Statement	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	For Office Use only
1.	The current organizational structure of your SHI is not sufficient to support the delivery of sustainable integrated human settlements.	1	2	3	4	5	
2.	The current staff is capacitated to fast track the delivery of sustainable social housing units.	1	2	3	4	5	

3.	A multi skilled team is required for the delivery of sustainable housing units.	1	2	3	4	5	
4.	The provision of financial management skills should be introduced or upscaled to improve the performance of managers in their role of administering the allocated budgets and monitoring of expenditure.	1	2	3	4	5	

5.   In your opinion what skills are necessary to improve and fast track the delivery of social housing units?

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6.   Is your SHI having a dedicated team and whose mandate is to implement and deliver social housing units ?

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Thank you for your time in completing this questionnaire

ANNEXURE F
Social Housing Regulatory Authority Questionnaire

UNIVERSITY OF SOUTH AFRICA
FACULTY OF ECONOMIC AND MANAGEMENT SCIENCES
DEPARMENT OF PUBLIC MANAGEMENT

FIELD OF STUDY

DOCTOR OF ADMINISTRATION IN PUBLIC ADMINISTRATION

QUESTIONNAIRE FOR RESEARCH TITLE

The Role of Intergovernmental Relations in the implementation of social housing in Gauteng Province

PERSONAL DETAILS

Surname: Madisha
Names: Makota
Student Number: 32026676

CONTACT DETAILS

Telephone Number: 012 358 1653
Cell Number: 072 278 1333
Email Address: makotam@tshwane.gov.za
Fax: 086 240 4912

PROMOTERS

Prof. Prudence Khumalo
Prof. Londoloza Leo Luvuno

SECTION A BIOGRAPHICAL INFORMATION

1.   PLEASE INDICATE YOUR GENDER

1	Male	
2	Female	

2.   PLEASE INDICATE YOUR YEARS OF SERVICE RELATED TO THE DELIVERY OF SUSTAINABLE INTEGRATED HUMAN SETTLEMENTS WITHIN THE THREE SPHERES OF GOVERNMENT

1	0-5	
2	6-10	
3	11-15	
4	16-20	
5	21-25	
6	26-30	
7	31 or more	

3.   PLEASE INDICATE YOUR AGE GROUP

1	20-25	
2	26-30	
3	31-35	
4	36-40	
5	41-45	
6	46-50	
7	51 or more	

4. PLEASE INDICATE YOUR HIGHEST QUALIFICATION

1 1	Doctorate	
2	Masters Degree	
3	Honours Degree	
4	Post Graduate Diploma	
5	Bachelor Degree	
6	Diploma	
7	Certificate	
8	Grade 12	

SECTION B THE USE OF FINANCIAL RESOURCES GRANTED TO THE THREE SPHERES OF GOVERNMENT

Please indicate your choice at each of the statements listed below with an **X** and elaborate in the space provided where necessary.

Number	Statement	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	For Office Use Only
1.	The financial resources granted to Social Housing Regulatory Authority (SHRA) are sufficient for the delivery of social housing.	1	2	3	4	5	
2.	The financial resources granted to SHRA are utilized effectively.	1	2	3	4	5	
3.	SHRA always spent the allocated budgets.	1	2	3	4	5	

4.	SHRA comply with the requirements of the Division of Revenue Act.	1	2	3	4	5	
5.	There is accountability by SHRA on the spending of the allocated budgets.	1	2	3	4	5	

6.   Are there any changes that you can recommend to improve the way in which the resources are allocated and being used? **(please elaborate)**

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SECTION C
COORDINATION OF SOCIAL HOUSING ACTIVITIES/ FUNCTIONS

1. Does your organization have a structure where the Directors of different departments regularly meet? If so, how often do they meet?

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2. Are the decisions from such meetings shared with the relevant officials at a lower level?

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3. Are actions taken based on those decisions?

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4. When a new housing project is planned, do you contact all departments that are expected to be involved for the planning and implementation?
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5. Do you have cooperation between different departments in the planning for/implementation of programmes/projects within your organization?
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6. Do you set up a project team to coordinate the different tasks in the project? And who   leads   it?
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7. What structures, mechanisms and/or processes have you established to ensure the smooth cooperation between departments and alignment of the activities and implementation of social housing projects?
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8. Please give an outline of the structures and/or framework established in your organization for implementing the initiatives and activities for improvement of cooperation between departments and with external shareholders.
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9. What departments and/or external stakeholders were involved?
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10. If you don't have a structure/method of alignment between departments in the planning and implementation of programmes, do you have the intention and /or ability to create/adjust structures to improve streamlining and cooperation between departments?

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11. How can SHRA facilitate a conducive legal and operational environment that can encourage and induce the private sector, community based organisations, Nongovernmental organisations and other financiers and private property developers to participate directly in social housing sector

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SECTION D
THE REGULATION OF THE SOCIAL HOUSING SECTION

A. Please indicate your choice at each of the statements listed below with an **X** and elaborate in the space provided where necessary.

Number	Statement	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	For Office Use Only

1.	There is a need to protect and manage the state's considerable investment in social housing to date as well as planned investment over the next five-years	1	2	3	4	5	
2.	SHRA was established to ensure that the public interest is preserved, and that projects are developed for and service intended target groups. This is of particular importance given the policy intention to stimulate private sector investment and development.	1	2	3	4	5	
3.	SHRA is doing a good job in ensuring that both social housing projects as well as social housing institutions are financially viable.	1	2	3	4	5	
4.	SHRA is improving to ensure that a sustainable social housing sector is developed with sound financial and governance principles in place.	1	2	3	4	5	
5.	SHRA is playing an important role to ensure that the sector is effectively managed and held accountable for its delivery and the utilization of public funds.	1	2	3	4	5	
6.	There is a need to ensure that a coordinated and well managed intervention programme is designed to ensure compliance with policy principles, fiscal norms and regulations.	1	2	3	4	5	
7.	SHRA is facilitating and creating an environment conducive to increase private sector participation (both development and finance) in the social housing sector, especially leveraging increased private sector funds (potentially in excess of R5 billion over the next five-years).	1	2	3	4	5	

8.	The need, through the development of appropriate social housing projects in appropriate locations, to support the improved viability and development and integration of designated urban areas.	1	2	3	4	5	
9.	SHRA's performance require a radical change in order to deliver on its mandate and to support the sector.	1	2	3	4	5	
10.	The concerns of the sector have chiefly been about project financial viability, the accreditation process and capacitation of the sector.	1	2	3	4	5	
11.	Social housing comprises of stock development, tenancy management and neighbourhood development.	1	2	3	4	5	
12.	Accreditation process is lengthy.	1	2	3	4	5	

13.   What are your views on the level of regulation and facilitation by SHRA?
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14.   In your opinion, how can SHRA ensure viability and long terms sustainability of SH1 and Social Housing Projects?
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15.   How can SHRA facilitate coordination within social housing sector especially within regard to project pipeline?

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16.   Do you have a risk management plan in place to cover the development of all your social housing projects? (**please elaborate**)

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17.   Name key risks associated with the delivery of social housing:

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18.   The three spheres of government are in one way or the other own land for social development and all has different land release processes. How can these processes be aligned and integrated to ensure a speedy release of land ?

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SECTION E

CAPACITY/SKILLS OF THE PERSONNEL WHO MANAGE THE DELIVERY OF SOCIAL HOUSING

Please indicate your choice at each of the statements listed below with an **X** and elaborate in the space provided where necessary.

Number	Statement	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	For Office Use only

1.	The current organisational structure of SHRA is not sufficient to support the delivery of sustainable integrated human settlements.	1	2	3	4	5	
2.	The current staff is capacitated to fast track the delivery of sustainable social housing units.	1	2	3	4	5	
3.	A multi skilled team is required for the delivery of sustainable and integrated social housing projects	1	2	3	4	5	
4.	The provision of financial management skills should be introduced or upscaled to improve the performance of managers in their role of administering the allocated budgets and monitoring of expenditure.	1	2	3	4	5	

5. In your opinion what skills are necessary to improve and fast track the delivery of social housing units?

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6. Is your department having a dedicated social housing section-whose mandate is to implement social housing policy?

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7. Name any institutional capacity building programmes in place to support social housing initiatives.

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Thank you for your time in completing this questionnaire

ANNEXURE G
Municipal, Provincial and National Government Questionnaire

UNIVERSITY OF SOUTH AFRICA
FACULTY OF ECONOMIC AND MANAGEMENT SCIENCES
DEPARMENT OF PUBLIC MANAGEMENT

FIELD OF STUDY

DOCTOR OF ADMINISTRATION IN PUBLIC ADMINISTRATION

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PROMOTERS

Prof Prudence Khumalo
Prof Londoloza Leo Luvuno

SECTION A BIOGRAPHICAL INFORMATION

1.   PLEASE INDICATE YOUR GENDER

1	Male	
2	Female	

2.   PLEASE INDICATE YOUR YEARS OF SERVICE RELATED TO THE DELIVERY OF SUSTAINABLE INTEGRATED HUMAN SETTLEMENTS WITHIN THE THREE SPHERES OF GOVERNMENT

1	0-5	
2	6-10	
3	11-15	
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1	20-25	
2	26-30	
3	31-35	
4	36-40	
5	41-45	
6	46-50	
7	51 or more	

4.   PLEASE INDICATE YOUR HIGHEST QUALIFICATION

1	Doctorate	

2	Masters Degree	
3	Honours Degree	
4	Post Graduate Diploma	
5	Bachelor Degree	
6	Diploma	
7	Certificate	
8	Grade 12	

SECTION B THE EFFECT OF POLITICAL PROCESSES ON POLICY AND IMPLEMENTATION OF SOCIAL HOUSING WITHIN THE HUMAN SETTLEMENTS SECTOR

Please indicate your choice at each of the statements listed below with an **X** and elaborate in the space provided where necessary.

Number	Statement/Question	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	For Office Use only
1	There is undue political interference in the execution of official duties.	1	2	3	4	5	
2	Political parties have an influence in the decisions made by the institution.	1	2	3	4	5	
3	Political factors hinder the performance of official work .	1	2	3	4	5	
4	Political conditions or decisions have a bearing on the execution of official daily work /duties.	1	2	3	4	5	
5	The current political conditions hinder the smooth relations between the spheres of government.	1	2	3	4	5	

| 6 | Service delivery protests and project failures with human settlements are due to political interference. | 1 | 2 | 3 | 4 | 5 | |

7. Have you experienced observed any undue political interference in the execution of your official duties or the performance of your organisation? (**Please elaborate**)

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SECTION C

POLICIES, RULES AND REGULATIONS UNDERPINNING INTERGOVERNMENTAL RELATIONS, WHICH MAY BE THE CAUSE OF FAILURE TO DELIVER SOCIAL HOUSING

Please indicate your choice at each of the statements listed below with an **X** and elaborate in the space provided where necessary.

Number	Statement	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	For Office Use only
1.	The Comprehensive Plan on Sustainable Integrated Human Settlements supports the delivery of social housing	1	2	3	4	5	
2.	The current housing subsidy quantum for social housing is not sufficient for the development of sustainable integrated human settlements.	1	2	3	4	5	
3.	There is a need to align the Housing Code of 2009 with the development of sustainable integrated human settlements as per the new mandate of Human Settlements Department.	1	2	3	4	5	

4.	Intergovernmental cooperation and coordination requests alignment of duties and functions between different state agencies in laws and policies.	1	2	3	4	5	

5. How do policies, rules and regulations that govern intergovernmental relations impact on your work and the performance of the department? (**Please elaborate**)

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6. Are the current policies which are developed at national level adequately accommodate all the needs and circumstances of your department to allow your department to implement its social housing mandate satisfactorily on the ground?

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7. If not, which policies are deemed to be inadequate?

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8. Kindly give the narration of the limitations of each policy, acts and challenges emanating from those shortcomings

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8. Did your department make any adjustments on the national social housing policies to accommodate your circumstances?

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10. Kindly indicate and fully describe each adjustment made:

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11. Did those policy adjustments resolve challenges experienced or shortcomings of the national policy? Kindly substantiate on your response.

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12. What changes or policy reviews can you propose to the National Department of Human Settlements?

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SECTION D CAPACITY/SKILLS OF THE PERSONNEL WHO MANAGE THE DELIVERY OF SOCIAL HOUSING

Please indicate your choice at each of the statements listed below with an **X** and elaborate in the space provided where necessary.

Number	Statement	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	For Office Use only
1.	The current organisational structure of your department is not sufficient to support the delivery of sustainable integrated human settlements.	1	2	3	4	5	
2.	The current staff is capacitated to fast track the delivery of sustainable social housing units.	1	2	3	4	5	
3.	A multi skilled team is required for the delivery of sustainable integrated human settlements.	1	2	3	4	5	
4.	The provision of financial management skills should be introduced or upscaled to improve the performance of managers in their role of administering the allocated budgets and monitoring of expenditure.	1	2	3	4	5	

5. In your opinion what skills are necessary to improve and fast track the delivery of social housing units?

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6. Is your department having a dedicated social housing section-whose mandate is to implement social housing policy?

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SECTION E
CONFIGURATION OF THE INSTITUTIONAL ARRANGEMENTS IN THE THREE SPHERES OF GOVERNMENT FOR THE SUCCESSFUL EXECUTION OF DECISIONS AND IMPLEMENTATION OF SOCIAL HOUSING POLICIES

Please indicate your choice at each of the statements listed below with an **X** and elaborate in the space provided where necessary.

Number	Statement	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	For Office Use only
1.	The decisions of the InterGovernmental Relations (IGR) structures are not binding to the three spheres of government.	1	2	3	4	5	
2.	The spheres of government adhere to the decisions of the IGR structures.	1	2	3	4	5	
3.	Representation of the spheres of government in IGR structures is always at the required level by officials with decision-making powers.	1	2	3	4	5	
4.	Representation of the institution in IGR structures is consistent to ensure accountability.	1	2	3	4	5	
5.	Accreditation of municipalities will result in faster delivery of sustainable integrated human settlements.	1	2	3	4	5	

6.	The institution adhere to deadlines when requested to provide reports/information to senior structures or the National Department/Provincial/Local.	1	2	3	4	5	

7. From your experience what are the institutional weaknesses that hinder your work and the performance of the department? (**Please elaborate**)
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8. How did the cooperation between these spheres of government take place? (E.g. periodical meetings)
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9. What difficulties did you encounter in the cooperation?
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10. What were the advantages of the cooperation?
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11. Based on your experience, how would you advice other spheres of government?
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12. What would you do differently next time?

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13. In what way/to what extent has the cooperation/streamlining between the three spheres of government improve the effectiveness/efficiency in the implementation of social housing policy project? Can you give examples?

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14. In what way does this way of working benefit other spheres within the municipality, apart from the councilors and/or officials?

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15. Please give an outline of the way in which the experience and best practices have been disseminated, exchanged and shared with other local, provincial, national and international organisations.

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SECTION F THE USE OF FINANCIAL RESOURCES GRANTED TO THE THREE SPHERES OF GOVERNMENT

Please indicate your choice at each of the statements listed below with an **X** and elaborate in the space provided where necessary.

Number	Statement	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	For Office Use Only
1.	The financial resources granted to the Department are sufficient for the delivery of social housing.	1	2	3	4	5	
2.	The financial resources granted to the Department are utilised effectively.	1	2	3	4	5	
3.	The Department always spent the allocated budgets.	1	2	3	4	5	
4.	The Department comply with the requirements of the Division of Revenue Act.	1	2	3	4	5	
5.	There is accountability by the Department on the spending of the allocated budgets.	1	2	3	4	5	

6. Are there any changes that you can recommend to improve the way in which the resources are allocated and being used? **(Please elaborate)**

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SECTION G
COORDINATION OF SOCIAL HOUSING ACTIVITIES/ FUNCTIONS

11. Does your organization have a structure where the directors of different departments regularly meet? If so, how often do they meet?

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12. Are the decisions from such meetings shared with the relevant officials at a lower level?

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13. Are actions taken based on those decisions?

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14. When a new housing project is planned, do you contact all departments that are expected to be involved for the planning and implementation?

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15. Do you have cooperation between different departments in the planning for/implementation of programmes/projects within your organisation?

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16. Do you set up a project team to coordinate the different tasks in the project? And who leads it?

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17. What structures, mechanisms and/or processes have you established to ensure the smooth cooperation between departments and alignment of the activities and implementation of social housing projects?

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18. Please give an outline of the structures and/or framework established in your organization for implementing the initiatives and activities for improvement of cooperation between departments and with external shareholders.

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19. What departments and/or external stakeholders were involved?

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20. If you don't have a structure/method of alignment between departments in the planning and implementation of programmes, do you have the intention and /or ability to create/adjust structures to improve streamlining and cooperation between departments?

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SECTION H

REGULATION OF THE SOCIAL HOUSING SECTION

Please indicate your choice at each of the statements listed below with an **X** and elaborate in the space provided where necessary.

Number	Statement	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	For Office Use Only
1.	There is a need to protect and manage the state's considerable investment in social housing to date as well as planned investment over the next five-years.	1	2	3	4	5	
2.	The regulatory authority SHRA was established to ensure that the public interest is preserved, and that projects are developed for and service intended target groups. This is of particular importance given the policy intention to stimulate private sector investment and development.	1	2	3	4	5	
3.	SHRA is doing a good job in ensuring that both social housing projects as well as social housing institutions are financially viable.	1	2	3	4	5	
4.	SHRA is improving to ensure that a sustainable social housing sector is developed with sound financial and governance principles in place.	1	2	3	4	5	
5.	SHRA is playing an important role to ensure that the sector is effectively managed and held accountable for its delivery and the utilisation of public funds.	1	2	3	4	5	

6.	There is a need to ensure that a coordinated and well managed intervention programme is designed to ensure compliance with policy principles, fiscal norms and regulations.	1	2	3	4	5	
7.	SHRA is facilitating and creating an environment conducive to increase private sector participation (both development and finance) in the social housing sector, especially leveraging increased private sector funds (potentially in excess of R5 billion over the next five-years).	1	2	3	4	5	
8.	The need, through the development of appropriate social housing projects in appropriate locations, to support the improved viability and development and integration of designated urban areas.	1	2	3	4	5	
9.	SHRA's performance require a radical change in order to deliver on its mandate and to support the sector.	1	2	3	4	5	
10.	The concerns of the sector have chiefly been about project financial viability, the accreditation process and capacitation of the sector.	1	2	3	4	5	
11.	Social housing comprises of stock development, tenancy management and neighbourhood development.	1	2	3	4	5	
12.	Accreditation process is lengthy.	1	2	3	4	5	

13. What are your views on the level of regulation and facilitation by SHRA?

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14. In your opinion, how can SHRA ensure viability and long terms sustainability of SH1 and Social Housing Projects?

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15. How can SHRA facilitate coordination within social housing sector especially within regard to project pipeline?

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SECTION I
LEGAL/LEGISLATIVE SHORTCOMINGS OR LOOPHOLES THAT HINDER THE SMOOTH FUNCTIONING OF THE THREE SPHERES TO DELIVER SUSTAINABLE INTEGRATED HUMAN SETTLEMENTS

Please indicate your choice at each of the statements listed below with an **X** and elaborate in the space provided where necessary.

Number	Statement	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	For Office Use Only
1.	The Inter-Governmental Relations Framework Act, 2005 (Act No. 13 of 2005 is sufficient to ensure accountability and improve the relations between the spheres of government in respect of the delivery of sustainable integrated human settlements including social housing	1	2	3	4	5	

2.	The amendment of the Housing Act, 1997 (Act No 103 of 1997) or the development of Human Settlements Act is necessary to support the delivery of sustainable integrated human settlements as per the new mandate of the Department of Human Settlements.	1	2	3	4	5	
3.	Municipal Finance Management Act and Public Finance Management Act are two act opposing each other.	1	2	3	4	5	

4. In your daily experience how do you think the laws that regulate intergovernmental relations hinder your daily work? (**please elaborate**)

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Thank you for your time in completing this questionnaire

ANNEXURE H: Approval letter: Yeast City Housing

Building Communities • Building Lives

1 June 2016

Yeast City Housing NPC
Registration Number
1998/004082/08
PBO No 18/11/13/2399

For the attention of Mr. Makota Madisha

Dear Sir,

288 Burgers Park Lane
Pretoria
0002
PO Box 11047
Tramshed
0126

RE: Permission to conduct a research project

Your letter dated 18 May 2016 has referrence.

We have a pleasure in granting you permission to conduct your research in our organization, hoping that the outcomes from your research/studies will assist us in improving our services.

Tel: +27 (012) 320 7962
Fax: +27 (012) 320 7473
        info@ych.org.za

We will hear from you on how you want proceed with your research project.

Directors:
- Dr S de Beer (Chair)
- Dr. PT Ntsime (D/Chair)
- Mrs. WT de Beer
- Mr. GJ Dladla
- Mr. LW van der Merwe
- Mr. RM Moodley
- Mr. DL Mc Dougall

Yours sincerely,

Zanele Mofokeng
Administration Manager

ANNEXURE I
Approval letter to conduct research: City of Tshwane Department of Human Settlement

Housing and Human Settlements Department

Room 1009 | 2nd Floor | Bothongo Plaza East | 285 Francis Baard Street | Pretoria | 0002
PO Box 440 | Pretoria | 0001
Tel: 012 358 1653 | Fax: 086 240 9412

CITY OF TSHWANE
IGNITING EXCELLENCE

23 JUNE 2016

Mr Makota G. Madisha

22 Hummingbird Avenue

Corner Ajax and Midas Street

OLYMPUS

0081

To whom it may concern

Re-request for permission to participate in an academic research project.

Your letter dated 17 June has reference

The City of Tshwane Department of Housing and Human Settlement hereby grant permission and consent to participate in the research project to investigate the effectiveness of intergovernmental relations in the delivery of social housing in Gauteng Province. Hope your findings will be shared with the city.

Wishing you success in your studies

Yours sincerely

A Mothoagae

Head of Department: Housing and Human Settlements

IT'S MY RESPONSIBILITY
TO PAY MY MUNICIPAL ACCOUNT
IN FULL, ON TIME.

Kgoro ya tša Dintlo le Madulo a Batho • Departement Behuising en Mense-nedersetting • Lefapha la Matlo le Bonno jwa batho
Ndzawulo ya Tindlu na Vutshamiso bya Vanhu • UMnyango Wezokuhlaliswa Kwabantu Nezezindlu
Housing and Human Settlement Department

ANNEXURE J

Approval letter to conduct research: NASHO

NASHO

National Association of Social Housing Organisations registration no. 025-976-NPO
tel +27 11 492 1237 web nasho.org.za

Attention: Prof Prudence Khumalo
Department of Public Administration and Management
University of South Africa

1st June 2016

Dear Prof Khumalo

DOCTORAL STUDIES – MR M MADISHA: ROLE OF EFFECTIVE INTER-GOVERNMENTAL RELATIONS IN ENHANCING SOCIAL HOUSING DELIVERY IN GAUTENG

Please be informed that we are happy to be involved in Mr Madisha's research on the above topic, and would have no objection to provide whatever information the candidate might require to fulfil the requirements towards completion of his doctorate.

Please feel free to contact me on 083 305 1548 or jsp5210@mweb.co.za should you require any further information

Sincerely,

J S Pienaar
Director: Technical Services

PHYSICAL ADDRESS 5th Floor | 51 Main Street | Marshalltown | MAILING ADDRESS PO Box 62045 | Marshalltown 2001

ANNEXURE K
Approval letter to conduct research: Ekurhuleni Housing Co.

Mr Makota G Madisha

22 Hummingbird Avenue

Cnr Ajax & Midas Street

Olympus

0081

Ekurhuleni Housing Company

Corner Jack and Queen Street

Germiston

Tel: 011 8250158/

Fax: 011 825 0148

Email: Info@ehc.org.za

Web: www.ehc.org.

Email: makotamadisha@gmail.com

Dear Sir

RE: Request for permission to participate in a research project

Your letter dated 20 June 2016 has reference.

The Ekurhuleni Housing Company (EHC) hereby consent to participating in the research project to investigate how effective intergovernmental relations enhance the delivery of social housing in Gauteng Province.

Wishing you much success in your studies.

Yours Faithfully

P Mojapelo

Development Manager: Ekurhuleni Development Company

Date: 30/06/2016

Directors: L. Vutula (Chairperson); F. Segole; K. Maithufi; L.Netshitenzhe; A. Makhado;
M. Ngobeni; T. Limako; Z. Nkamana; A. Pillay (CEO); D. Dlamini (CFO)
Reg. No. 2000/007936/07

ANNEXURE L

Approval letter to conduct research:
RSA Department of Human Settlements

human settlements
De____ nent:
Hun.....i Settlements
REPUBLIC OF SOUTH AFRICA

Private Bag X644 Pretoria 0001 RSA Tel (012) 421 1311 Fax (012) 341 8512
Private Bag X9057 Cape Town 8000 RSA Tel (021) 466 7600 Fax (021) 465 3610
http://www.housing.gov.za Fraud Line 0800 701 701 Toll Free Line: 0800 1 46873 (0800 1 HOUSE)

Enquries: P Peter
Reference: PhdPA/01

07 July 2016
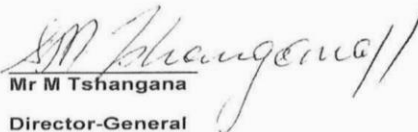
Mr M Madisha
22 Hummingbird Avenue
OLYMPUS
0081

Dear Sir

APPROVAL TO CONDUCT RESEARCH WITHIN THE NATIONAL DEPARTMENT OF HUMAN SETTLEMENTS

Your request to conduct research on the topic 'to investigate how effective intergovernmental relations enhance delivery of social housing', has been reviewed and we are pleased to inform you that permission is hereby granted for you to conduct research within the National Department of Human Settlements.

You will be conducting your study at various Directorates within the department, and the Directorate Human Resource Development (HRD) will be facilitating the process. Therefore any communication should be directed to the Directorate HRD attention Mr P Peter at telephone number 012 444 9072.

Please be informed that upon completion of your study you will be required to give feedback of your findings in a form of a seminar presentation, and a copy of your dissertation/thesis should be submitted to the Directorate: HRD for archiving in the library.

We kindly request you to sign the Confidentiality Agreement attached hereto.

Mr M Tshangana

Director-General

Date: 12/07/2016

Kgoro ya tsa Madino * Lefapha la Bodulo * Lefapha la tsa Manno * Umnyango Wezindawo Zokuhlala * sebe wezndawo zokuhlala
* Liteko Letevvakhela Lunfu* Mensieko Nedersettings * Umhlyango wezhdawo zokuhlala * Muhasho wa zwa Vhudzulo * Ndzawulu ya swa Vutshamo

ANNEXURE M
Approval letter to conduct research: SALGA

SOUTH AFRICAN LOCAL
GOVERNMENT ASSOCIATION

SALGA

Inspiring service delivery

Mr Makota Madisha
22 Hummingbird Avenue
Corner AJAX and MIDAS ST
OLYMPUS
0081

23 June 2016

RE: REQUEST FOR PERMISSION TO PARTICIPATE IN RESEARCH PROJECT

Dear Mr Madisha:

Your letter of 16 May 2016 refers. In response to your request, I am happy to be interviewed as part of your research project into how effective intergovernmental relations can enhance the delivery of social housing in Gauteng.

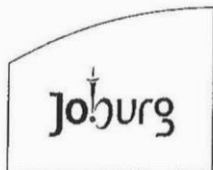Best regards,

Alison Tshangana
Human Settlements Specialist

Tel: 012 369 8000 | Fax: 012 369 8001
PHYSICAL: Block B, Menlyn Corporate Park,175 Corobay Ave, Waterkloof Glen Ext 11, Pretoria 0181
POSTAL: PO Box 2094, Pretoria 0001
www.salga.org.za

ANNEXURE N:
Approval letter to conduct research: City of Johannesburg
Department of Human Settlements

City of Johannesburg
Housing Department

Joburg

City of Johannesburg Housing
12ᵗ Floor, 222 Smit Street
Braamfontein
2017

P.O Box 1049
Braamfontein

Tel +27(0)11 018 6855
Fax +27(0) 11 018 6748

www.joburg.org.za

a world class african city

August 10, 2016

TO: Professor Prudence Khumalo
                          Department of Public Administration
                          UNISA

FROM: Mr. Patrick Phophi
                          Acting Executive Director: Housing

CC: Makota Madisha

Dear Prof.Khumalo

SUBJECT: GRANTED PERMISSION TO A RESEARCH PROJECT

The above refers to the request dated 27 July 2016;

Kindly find the response from City of Johannesburg Housing Department, granting permission to Makota Madisha, a registered student at UNISA, studying towards a Doctor of Administration in Public Administration, to conduct research on how effective intergovernmental relations enhance the delivery of Social Housing in Gauteng Province.

Should there be any further information requested, please do not hesitate to contact the Office.

Yours sincerely

Patrick Phophi
Acting Executive Director

Tel: +27 (11) 018-6749
Fax: +27 (11) 018-6748

Approval letter to conduct research:
Johannesburg Social Housing Co.

ANNEXURE O

Approval letter to conduct research: Ekurhuleni Metropolitan
Municipality Department of Human Settlements

DEPARTMENT OF HUMAN SETTLEMENTS

Ekurhuleni
METROPOLITAN MUNICIPALITY

To: Makota Madisha
        Director
        012 358 1653
        makotamadisha@gmail.com

From: Fikile Ndlovu
        Divisional Head: Special Projects
        011 999 7543
        Fikile.ndlovu@ekurhuleni.gov.za

DEPARTMENT HUMAN
SETTLEMENTS

CORPORATE OFFICE

29 Lakeview Crescent
Kleinfontein Lake Office Park
Benoni

P.O. Box 25623
Benoni North
1527

Tel: 011 999 7543
Fax: 011 999 7518/7175
Enquiries: Fikile Ndlovu
Fikile.ndlovu@ekurhuleni.gov.za

**SUBJECT: GRANTING MR MADISHA MAKOTA PERMISSION TO PARTICIPATE IN A
RESEARCH PROJECT**

This letter serves to grant Madisha Makota; a registered student of the University of South
Africa, permission to participate in a research project based on how effective intergovernmental
relations enhance the delivery of social housing in Gauteng Province. The research will be
concentrated on the following objectives.

1. To assess the intergovernmental administrative network in social housing
    implementation processes.

2. To understand key challenges inherent in the current intergovernmental relations system
    in South Africa with social housing.

3. To investigate how financial resources are granted in the implementation of social
    housing are sufficient, streaming lined and accounted for.

4. To examine the legislative framework governing three spheres of government in the
    implementation of social housing.

5. To determine effectiveness of regulatory institutions in the delivery of social housing.

6. To determine the current model followed in the delivery of social housing.

The information provided by Human Settlements Department Ekurhuleni Metropolitan
Municipality should remain confidential and must be used for research purpose only.

FIKILE NDLOVU
DIVISIONAL HEAD SPECIAL PROJECTS: HUMAN SETTLEMENTS

Date: 12 | 08 | 2016

ANNEXURE P: Approval letter to conduct research: Gauteng Provincial

Department of Human Settlements

GAUTENG PROVINCE
REPUBLIC OF SOUTH AFRICA

Enquiries: Lungile Mtshali

Email: lungile.mtshali@gauteng.gov.za

Tel No.: 011 355 4974

Makota Madisha

Dear Sir

LETTER OF ACCEPTANCE

The GDHS Policy & Research Directorate has received you request letter dated 18/05/2016, with subject as: Request for Permission to participation in a research Project. We understand that you are currently enrolled with the University of South Africa (UNISA), faculty of Economic & Management Sciences: Department of Public Administration & Management. We understand that the identified research is in pursuit of A Doctoral degree in Public Administration.

The proposed research will investigate how effective intergovernmental relations enhance service delivery of Social Housing in the Gauteng Province.

We hereby grant you permission to undertake this study with the Department, Directorate Policy & Research will be your point of contact. We recognize that as a government employee you understand confidentiality protocol and that this will be observed at all times, thus the research should not in any way harm the reputation of the Department, thus it should not be distributed to third parties for purposes other than the one stated above, fulfillment of your study requirements, PHD Public Administration to be exact. You will also be expected to sign an agreement prior to commencing your research.

The Department would also expect that once the research project is completed that the findings from the research project will be submitted to the Department.

We look forward to speaking with you soon.

Kind regards,

Daniel Molokomme

Acting Head of Department: Gauteng Department of Human Settlements

Date: 2016/07/26

Tel: +27 11 355 6000 | Fax: +27 11 355 6211 | Web: www.humansettlements.gov.za
37 Sauer Street, Marshalltown, Johannesburrg, 2001 | Private Bag X79, Marshalltown, 2107
www.gautengonline.gov.za | Hotline: 0860 428 8364

Approval letter to conduct research: Johannesburg Social Housing Co.

ANNEXURE Q
Approval letter to conduct research: Madulammoho Housing Association

MADULAMMOHO · HOUSING · ASSOCIATION ·
"the heartbeat of affordable housing"

Makota

Please find herewith our approval for you to participate in a research project at Madulammoho Housing. This approval is based on the verbal agreement between ourselves which stipulate that you will provide us with the detailed questions of the proposed survey prior to any worked are being carried out.

Regards

Neil Erasmus
COO
Madulammoho Housing Association
072 181 0592
www.mh.org.za

16 Kapteijn Street
Hillbrow Theatre
4th Floor
Hillbrow

Tel: 011 725 3284
Fax: 011 720 5393

16 Kapteijn Street

Hillbrow

Johannesburg

South Africa

Private Bag X33

Hillbrow

2038

South Africa

Telephone:

+27 (0)11 725 3284

Facsimile:

+27 (0)11 720 5393

E-mail:

Info@mh.org.za

www.mh.org.za

In Partnership with MES · Section 21 Company · Reg. No. 2004/0102568/08

ANNEXURE R

Joburg

a world class African city

J SHCO
JOHANNESBURG **SOCIAL**
HOUSING COMPANY

27 July 2016
Mr. M Madisha
22 Hummingbird Avenue
OLYMPUS
0081

Dear Mr Madisha,

Re: Approval to conduct research within the Johannesburg Social Housing Company

Your request to conduct research on the topic "To investigate how effective inter-governmental relations enhance delivery of social housing "has been reviewed and we are pleased to inform you that permission is hereby granted for you to conduct research within Johannesburg Social Housing Company (JOSHCO).
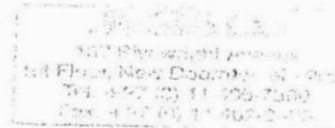
The Human Resource Department (HRD) will be facilitating the process for conducting you study at JOSHCO. Therefore, any communication should be directed to the Human Resources Department attention: Mss Pretty Ngwasheng or Carmen Wilson on Telephone number 011 406 7317/7357.

Please be informed that upon completion of your study you will be required to give feedback of your findings in a form of a seminar presentation and a copy of dissertation / thesis should be submitted to the Human Resources Department for archiving in the library.

We kindly request you to sign the Confidentiality Agreement attached hereto.

Regards

Ms Pretty Ngwasheng
Senior Manager: HR and Corporate Services

ANNEXURE S

Approval letter to conduct research: Gauteng Partnership Fund

20 July 2016

Mr. M. Madisha
22 Hummingbird Avenue
OLYMPUS
0081

Dear Sir,

RE: APPROVAL TO CONDUCT RESEARCH AT GAUTENG PARTNERSHIP FUND

Your request to conduct research on the topic "to investigate how effective intergovernmental relations enhances delivery of social housing" has been reviewed and we are pleased to inform you that permission is hereby granted for you to conduct your research at the Gauteng Partnership Fund.

In order to set up the various interviews, please find below the contact details of the relevant departments:

Office of the CEO, Mr. Boni Muvevi   -   Contact Person: Renata Lement   (011) 685-6602
Office of the CIO, Ms. Vinolia Mashiane -   Contact Person: Nonhlanhla Mbongo   (011) 685-6606

Please kindly provide the Gauteng Partnership Fund with a summary of your findings upon completion of your studies.

Herewith enclosed a copy of the signed Non-Disclosure Agreement entered into between yourself and the Gauteng Partnership Fund.

Sincerely,

Thandiwe Kuzwayo
Legal, Compliance and Risk Executive