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**Evaluating the Social Impact of In-situ Upgrading Housing Development in
Creating Sustainable Human Settlements, the Case Study of Inanda, eThekweni
Municipality.**

By

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*A dissertation submitted in partial fulfillment of the requirements for the Masters of
Housing Degree in the School of Built Environment and Development Studies.*

Howard College Campus

2019

DECLARATION

I,declare that

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DEDICATION

This dissertation is dedicated to my grandparents Mr. Khambule and my late grandmother Mrs. Khambule, this is all your prayers and blessings, I am forever grateful and thank you for being the pillar of my strength, love, and support that encouraged me to become the first in the family to pursue a Master's degree and encouraging me to be the best.

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LIST OF ACRONYMS

ANC	: African National Congress
BNG	: Breaking New Ground
CoGTA	: Cooperative Governance and Traditional Affairs
CBO	: Community Based Organization
CCM	: Community Capacity Model
CDWs	: Community Development Workers
DOH	: Department of Human settlements
EM	: EThekweni Municipality
ECDS	: EThekweni City Density Strategy
EMA	: EThekweni Municipality Area
INK	: Inanda, Ntuzuma and KwaMashu
PINK	: Phoenix, Inanda, Ntuzuma and KwaMashu
KZN	: KwaZulu-Natal
NPA	: Natal Provincial Authority
NUSP	: National Upgrading of informal Settlements Program
UISP	: Upgrading of Informal Settlements Program
NGO	: Non-Government Organizations
LSM	: Living Standards Measures
PM	: Project Manager
NHP	: National Housing Policy

MCSD	: Minister's Council for Social Development
HWP	: Housing White Paper
UN	: United Nations
WB	: World Bank
UNDESA	: United Nations Department of Economic and Social Affairs
EPHP	: Enhanced People's Housing Process
UNECE	: United Nations Economic Commission for Europe region
KENSUP	: Kenya Slum Upgrading Projects
SNDP	: Second National Development Plan
UNMDG	: United Nations Millennium Development Goals
UNMS	: United Nations Millennium Summit
UNMD	: United Nations Millennium Declaration
UNDP	: United Nations Development Program's
SADF	: South African Defense Force
NHBRC	: National Home Builders Registration Council
RDP	: Reconstruction and Development Program
IRDP	: Integrated Residential Development Program
PIP	: Public Involvement Programs

ABSTRACT

This study seeks to evaluate the social impact of in-situ upgrading in creating sustainable human settlements. The overarching aim of this research is to evaluate the impact of in-situ upgrading as a tool to improve social cohesion in creating sustainable human settlements. This study will be conducted at Inanda White City area. The motivation of the study derives from one objective of the Breaking New Ground policy that speaks about combating crime, promoting social cohesion and improving the quality of life for the poor to ensure sustainable human settlements. The objectives of the study were to determine whether in-situ upgrading has an impact on social capital and social cohesion in the community of Inanda. To determine the role of in-situ upgrading in human capital to ensure sustainable human settlements, among others discussed below. The research methodology that was used is qualitative method. However, it was used to interpret community experiences and produce a better understanding of the social factors.

The population size of the study was 372 housing units. Therefore, 37 households were interviewed during data collection which counts for 10% of the total population. The main purpose of the sampling was to draw conclusions about the whole population of White City. Purposive sampling was used to develop the sample of the research under discussion. The adopted theoretical frameworks were Social Capital theory and Theory of Citizen Participation coupled with concepts relevant to the study. The study evaluates then analyses the related international and South African contexts, as well as assessing some precedent studies in in-situ upgrading housing provision practices internationally and local for useful lessons. On the basis of findings, the study found that an effectively implemented program of in-situ upgrading housing development can result in positive social impact by strengthening the existing social ties and promotes social cohesion. Therefor the study recommends that, municipalities together with the ward counselors need to consider the importance of social cohesion amongst community members during the planning and implementation of the housing development project. The study opens a new prospect of thinking about future informal settlements upgrading programs that will respond to the growing issues of informal settlements in the urban areas and

gives a path on how to ensure social cohesion in order to create sustainable human settlements.

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CHAPTER ONE: INTRODUCTION TO THE STUDY

1.1 Introduction

The South African government is facing a huge challenge when it comes to informal settlements upgrading. This study seeks to evaluate the social impact of in-situ upgrading housing development in creating sustainable human settlements at Inanda. The study uses Inanda (White City) Housing project, as a case study Inanda is one of the areas that benefited from the government informal settlements upgrading program. This introductory chapter comprises the background of the study, problem statement, aim, and objectives of the study, research questions, hypothesis, and study justification.

There is a huge housing backlog in South African urban areas. Informal settlements are one of the major challenges the South African government is faced with. Since the mid-1990s South African cities have been undergoing rapid urbanization. In 1994 it was estimated that a minimum of 150 000 new households a year would house themselves in informal settlements or just over half a million people per year (National Department of Housing, 1994). Lately, this led to the development of an Informal Settlement Upgrading Program with a dedicated subsidy mechanism as part of a larger refinement of the National Housing Policy (NHP) in the form of a document called Breaking New Ground (BNG) in 2004, the document is regarded as a Comprehensive Plan for the Development of Sustainable Human Settlements. It was the first approach contained in the government housing policy in 2004 *breaking new ground* policy, and it was supported by social movements such as Abahlali baseMjondolo in 2006 (Posel, 2012).

The South African Government has come a long way in re-addressing the imbalances of the past that were emanated from the apartheid government. Considering the above statement, the government has developed and used housing subsidies as a means or a tool to respond to challenges of informal settlements in order to address the imbalances of the past (National Housing Code, 2009). The housing subsidy program is an economic intervention by the government that aims to address the social issues relating to housing with the implementation of relocation and in-situ upgrading programs (National Housing Code, 2009). Since 1994, there have been housing programs that

cater to different housing needs of the population, but with reference to the upgrading of informal settlements program. One of the main objectives of the housing subsidy programs is to create a feasible housing market from low-income subsidy houses, which can assist households with upward mobility on the housing ladder (DHS, 2004). The objective aims to create sustainable human settlements all over the country. Moreover, the subsidy shares the overall objectives with housing policies such as the Housing White Paper of 1994 (HWP) and the Breaking New Grounds of 2004 (BNG) (National Housing Code, 2009).

The Comprehensive Plan for the development of sustainable human settlements was approved by the cabinet and presented to the Minister's Council for Social Development (MCSD) in September 2004 as a policy document that outlines a shift from the provision of a house to sustainable human settlements with access to social and economic facilities (NUSP, 2015). According to the National Housing Code (2009) sustainable human settlements is a well-managed neighborhood 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 and result in sustainable development, wealth creation, poverty alleviation and equity in the informal settlements.

The upgrading of informal settlements is one of the most important mechanisms for eradicating poverty in South Africa (NUSP, 2015). The BNG emphasizes in-situ upgrading where possible rather than relocation. Since it supports the eradication of informal settlements through incremental in-situ upgrading in desired locations. It also advocates a progressive and phased approach to in-situ upgrading that promotes social cohesion and improves the quality of life for the poor (NUSP, 2015).

Massey (2013) argues that the upgrading of informal settlements was put in motion in the 1980s with the notion of responding to a growing concern in the global community about rising levels of poverty. Therefore, in recent years part of the attempt by the national government to meet housing and infrastructure needs has been the upgrading of informal settlements. The problem of informal settlements is not unique to South Africa. Countries in Latin America and Asia and other nations on the African continent are also challenged to address this issue (Misselhorn, 2008). It has been indicated that

housing policy at the national level experienced a revision after ten years of democracy in South Africa where the attempt of upgrading informal settlements through relocation and in-situ upgrading program was taken into consideration (Department of Housing, 2004).

In addition, one may argue that, the transition in the housing policy in 2004 was introduced based on the notion of breaking the new ground in the housing sector, hence in some instances the program is failing to achieve the desired objectives of the BNG document because of numerous reasons during the planning and implementation of the informal settlement upgrading programs. Huchzermeyer (2006) states that in-situ upgrading of informal settlements program was released by the Department of Housing in 2004, with the intention that it will make positive changes without disruption to resident's lives and improve social cohesion.

Therefore, this means that the program requires an investigation by the municipality on the feasibility of in-situ upgrading, because of the assumption based on relocation. Huchzermeyer (2006) believes that relocation is necessary in some cases but only as a last resort. In addition, one may strongly argue that, the principles and funding applications to the in-situ development as well as the development of the relocation site is not the same, the relocation may be found more expensive as compared to in-situ development based on the land occupation considering individual freehold tenure and the process of relocating people to occupy another land is expensive. Therefore, this study seeks to evaluate the social impact of in-situ upgrading housing development in creating sustainable human settlements at Inanda.

1.2 Problem statement

One of the South African government's greatest challenges stems from the fact that informal settlements continue to grow faster than the rate of low- income housing delivery. Therefore, the in-situ upgrading of housing development is paramount in South Africa. The motivation of this study derives from the objective of the Breaking New Ground (BNG). That speaks about combating crime, promoting social cohesion and improving the quality of life for the poor to ensure sustainable human settlements (Department of Human Settlements, 2004). BNG is a policy document that outlines a

shift away from the provision of a house to providing sustainable neighborhoods with access to social and economic facilities. Therefore, the social needs of the community must be ensured in the upgrading of informal settlements to create sustainable human settlements in South Africa.

In the global context, it has been indicated that improving the living conditions of informal settlements dwellers is a pressing concern for international agencies like the World Bank United Nations (UN) Habitat and national governments. Hence the growing informality has become a prominent feature in many of South Africa's major urban centers. This concern was expressed in the goal to eradicate informal settlements by 2014 (Luthango et al, 2016).

Employment opportunities are declining in South Africa due to globalization, restructuring of the economy and technology, which are associated with the growth of unemployment. Hence unemployment is a significant contributor to poverty. Inanda has high level of unemployed people that are poor, and they are beneficiaries of the in-situ housing subsidy, therefore, one is interested in evaluating whether those houses were useful or not in relation to community improvement and social interaction in the community. To check whether housing was used as a poverty alleviation system since housing is used as a mechanism to consider social aspects which are related to human life such as living standards, human capital, educational aspects in the community, safety and security as well as health in order to consider housing development being sustainable (Luthango et al, 2016).

This study seeks to evaluate the social impact of in-situ upgrading of informal settlements by looking at how the program maintains and promotes social cohesion in the informal settlements to ensure sustainable human settlements. The motive behind the above statement emanates from the fact that it becomes a problem for people living in the informal settlements when they relocate from their place and live to other places, because of various social issues and existing social relationships. Most of the time relocation is a last resort, relocation destroy social ties of informal settlements dwellers. In terms of social justice and poverty in Inanda, one may mention that, being unemployed means being on the sidelines of the economy and become a social

outcast. Meaning that poor people lack the necessary dignity that they deserve as human beings in the community because of unemployment and socio-economic issues. Therefore, this study will indicate the effectiveness or ineffectiveness of the in-situ upgrading program on informal settlements upgrading at Inanda in relation to social impact.

1.3 The main aim of the study

The aim of this study is to evaluate the social impact of the in-situ upgrading housing development in creating sustainable human settlements.

1.4 Objectives of the study

1.4.1 To determine whether in-situ upgrading has a positive or negative impact on social capital and social cohesion in the community of Inanda.

1.4.2 To determine the role of in-situ upgrading in human capital to ensure sustainable human settlements.

1.4.3 To evaluate the experiences of beneficiaries before and after in-situ upgrading housing development.

1.4.4 To assess if residents of Inanda have a sense of belonging because of in-situ upgrading.

1.4.5 To determine challenges that were experienced during the upgrading of informal settlements and formulate recommendations for policy and program implementation.

1.5 The main research question

What has been the social impact of the upgrading of informal settlements towards the creation of sustainable human settlements at Inanda?

1.6 Subsidiary questions

1.6.1 What impact does in-situ upgrading have on social capital and social cohesion in the community of Inanda?

1.6.2 What role does the in-situ upgrading have in human capital to ensure sustainable human settlements?

1.6.3 What are the experiences of beneficiaries before and after in-situ upgrading housing development?

1.6.4 Do residents of Inanda have a sense of belonging because of in-situ upgrading?

1.6.5 What recommendations can be formulated to mitigate challenges that were experienced during the upgrading of informal settlements for policy and program implementation?

1.7 Hypothesis

An effectively implemented program of in-situ upgrading can result in positive social impact and therefore lead to sustainable human settlements.

1.8 Study justification

The overall intention of this study is to evaluate the social impact of in-situ upgrading housing development in creating sustainable human settlements in Inanda. This study is motivated by the fact that it becomes a problem for people living in the informal settlements when they relocate from their place and live to other places, because of various social issues and existing social relationships. Therefore, this study will use a case study model to evaluate the in-situ upgrading of informal settlements on the bases of social impacts. Apart from the physical upgrading of the settlements, the study seeks to determine whether in-situ upgrading has positive or negative impacts on social cohesion in the informal settlements during the upgrading of informal settlements, in creating sustainable living environment. The study will contribute to the body of knowledge on housing in terms of understanding policy implementation and creating sustainable human settlements in South Africa.

1.9 The outline of chapters

This dissertation consists of 7 chapters

Chapter 1 introduces the study objectives, research problem, and direction in which the study will annex.

Chapter 2 Involves research methodology employed to address the research problem.

Chapter 3 comprises of the conceptual and theoretical framework of the study, examining concepts and theories in connection to the study.

Chapter 4 constitutes the literature review, which explores the literature on the topic, on a local and international scale.

Chapter 5 covers the historical background of the study area, describing the dynamics and in-depth analysis of the focus area of study.

Chapter 6 depicts research findings, data analysis, and interpretation, focusing on data collected from interviews, questionnaires and existing literature on the topic.

Chapter 7 includes the summary of findings, conclusion, and recommendations, this will cover the outcomes achieved from the study and what conclusion can be drawn from the information gathered.

CHAPTER TWO: RESEARCH METHODOLOGY

2.1 Introduction

This chapter outlines the research methodology that was used in this study and the type of information that was collected in response to the research questions. The purpose of this research methodology is to indicate the steps that were taken to gather the information required to meet the objectives of the study. The data was collected using both primary and secondary sources of data.

2.2 Research methodology

In order to satisfy the objectives of the dissertation, qualitative research was held in this study as a way of data collection. Creswell (1998) defines qualitative research as a review process of understanding based on different methodological traditions of inquiry that explore a social or human problem. Qualitative research is often used to interpret community experiences and produce a better understanding of the social factors which play a role in their specific social environment (Denzin and Lincoln, 1998). The advantage of the qualitative method is that it offers a complete description and analysis of a research subject, without limiting the scope of the research and the nature of participant's responses (Collis and Hussey, 2003). Therefore, for this study, the qualitative method was mainly used to evaluate the social impact of in-situ upgrading housing development in creating sustainable human settlements. However, this method was considered to be the best tool when collecting data especially when interviews, surveys, and questionnaires were used to investigate people's perceptions and experiences (Burton, 2002).

2.3 Primary sources of data

Primary data refers to the data that is collected for the first time by the researcher (Ajayi, 2017). Primary sources of data collection include the use of various tools during data collection such as interviews and questionnaires to get information from stakeholders involved in the project. For this study, primary sources of data included the beneficiary community, the ward councilor, and the eThekweni Municipality officials (Magubane, 2016).

2.3.1 Sampling method

Sampling is a process or technique of selecting a suitable sample or a representative portion of a population in order to get the whole population parameters or characteristics when conducting research (Webster, 1985). The population size of the study area was 372 housing units. Therefore, 37 households were interviewed during data collection which counts for 10% of the total population. The main purpose of the sampling was to draw conclusions about the whole population of White City. The study was based on people's perspectives and experiences of people who are residing in Inanda and who are the beneficiaries of the in-situ upgrading housing development. For this study, the response rate of 100% was achieved through door to door interviews during data collection. The researcher was able to communicate well with the beneficiaries. Thirty seven of the 372 households in the selected area in White City were randomly selected to participate in the study.

The method of purposive sampling was used to develop the sample of the research under discussion. Purposive sampling is defined as the sampling method that belongs to the category of non-probability sampling techniques whereby, sample members are selected based on their knowledge, relationships, and expertise regarding a research subject (Freedman et al, 2007). The purposive sampling was used in the study to select the ward councilor and municipal officials with the intention of seeking relevant information with regards to the research questions. However, this study used random sampling to select residents of Inanda. Therefore, this type of sampling helped the researcher to determine what should be known and sets out to identify individuals who are willing and able to provide the data, by the advantage of their knowledge and experience with regards to in-situ upgrading housing development at Inanda.

Moreover, in the total population of 372 units built in White City informal settlements at Inanda, 37 participants were chosen randomly, the reason being that participants had to be heads of household or spouses within the age of 18 or older and that counted for the percentage of 10% from the whole population. However, the names of the participants were protected in this study because of confidentiality, hence they were called

participants. There was no personal information that was linked to their responses and participation in the study was completely voluntary.

2.3.1.1 Interviews

Seidman (1998) defines interview as a discussion between two or more people where there is a series of questions that are being asked by the interviewer to get answers that speak to the subject of the matter. Interviews are a standard component of qualitative research because they identify and able to justify the experiences of the participants through face-to-face interviews (Seidman, 1998).

For the purpose of this study, in-depth interviews were considered as personal and unstructured interviews, whose aim was to identify participant's emotions, opinions, and feelings, regarding a research subject (Wilson, 2003). The main advantage of personal interviews was that they involve direct contact between interviewers and interviewees, as well as eliminate non-response rates, which also incorporate interviewers to develop skills to successfully carry an interview (Wilson, 2003).

During data collection, appointments were organized with ward councilor and the eThekweni Municipality project manager from Human settlements and infrastructure units, because interviews were conducted in their offices. Unstructured interviews offered flexibility in terms of the flow of the interview during data collection, informants were able to engage and gave conclusions that were not initially meant to be derived regarding a research subject (Johnson, 2002).

2.3.1.2 Questionnaires

A questionnaire refers to a written set of questions that are given to people in order to collect information about the study (Cresswell, 2009). The questionnaire was used to get information about the social impact of in-situ upgrading housing development issues of interest (Oppenheim, 1992). It comprises a list of questions and they incorporate clear directions or instructions and space for answers. For this study questions that were posed to the beneficiaries of in-situ upgrading, had a clear connection to the objectives of this study.

However, as far as data collection tools were concerned, the conduction of the research involved the use of semi-structured questions, which was used as an interview guide for the researcher. Some certain questions were prepared for the researcher to guide the interview towards the gratification of research objectives. There were some additional questions that were made encountered during the interviews some of those questions came as follow up questions to make clear and give participants the opportunity to elaborate on certain questions (Oppenheim, 1992).

The participants were mindful of the aim of the research and they were informed as to how and when they will receive feedback on the findings. Closed and open-ended questions were designed and posted to the beneficiaries of Inanda in-situ upgrading housing development. Hence, it was indicated to the beneficiaries that, they will get the opportunity to read and have access to the research dissertation if they need to express themselves more openly on how in-situ upgrading has impacted their lives.

2.4 Secondary sources of data

Secondary sources of data are defined as the already existing data collected by other researchers (Ajayi, 2017). Secondary data was used to set the ground for primary data analysis. These include the use of desktop research, previous dissertations, books, archives, journals, recordings, reports, and newspapers (Ajayi, 2017). This form of data helped to support the results that were obtained from the primary data sources with regards to the research questions.

2.4.1 Data analysis

Thematic data analysis was used to analyze primary data. This form of data analysis is defined as the qualitative analytic method that was used in this study to identify, analyze and report based on the information that was collected from the field (Magubane, 2016). This type of analysis helped the researcher to describe the information gathered and organize the information. However, the thematic analyses were used to interpret several aspects of the research study (Braun and Clarke, 2006). In addition, the researcher allowed the data to dictate the developing themes, issues, and concepts that were conducted during the collection of data. Thereafter, notes were taken into consideration during the data analysis stage and a framework comprising the key

issues, concepts, and themes that were expressed by the participant, recommendations came from the views, observations and participant's perceptions.

2.5 Limitation of the study

The limitations that were tackled by the researcher is the challenge of getting enough data from other participants during data collection due to the qualitative method that was used in this study. It required the researcher to do one on one interviews and that consumed a lot of time, other participants, they canceled the session. Another limitation was the challenge of getting hold of key informants such as the ward councilor and Project Manager, as they were always busy, therefore they kept changing interview dates and time because of their busy schedules. In some cases, participants refused to speak against community organizations. However, the researcher conducted the study and is confident that it was successfully conducted. The study will provide accurate information on evaluating the social impact of in-situ upgrading housing development in creating sustainable human settlements in Inanda under the eThekweni municipality.

CHAPTER THREE: CONCEPTUAL AND THEORETICAL FRAMEWORK

3.1 Introduction

This chapter presents both the conceptual and theoretical framework. This chapter is divided into two sections. The first section being the conceptual framework which is based on key concepts that need to be understood in the context of the study. These concepts include informal settlements, in-situ upgrading, sustainable human settlements, social capital, social cohesion, and social impact. Therefore, the emphasis was made on the characteristics of informal settlements and sustainable human settlements as part of the study. Understanding the key concepts of the study was crucial in getting a better understanding of the possible outcomes that, the researcher seeks to achieve in the dissertation.

The second section presents theoretical frameworks that were applied in this study which are Social capital theory and Theory of citizen participation. Underlying principles of the theories were identified and explained in this chapter. The indicated theories outline the conceptions of social impacts in the field of housing. For this study, theories are discussed on the basis of making a linkage between the existing theoretical frameworks with in-situ upgrading housing development in creating sustainable human settlements.

3.2 Conceptual framework

The conceptual framework describes the relationship between the main concepts of a study (Adom, 2016). The framework makes it easier for the researcher to easily specify and define the concepts that are fundamental within the problem of the study (Luse, Mennecke and Townsend, 2012). The following section presents the key concepts that are used in this study.

3.2.1 Informal settlements

Many scholars define informal settlements in different ways. According to Chigumira (2016) informal settlement is the area that lacks basic services and security of tenure for the inhabitants, it a place where dwellings are not in compliance with the planning and building standards and they are usually located on the adverse environmental areas. Marx (2003) denotes that informal settlements have been part of the South

African urban context for a long period of time, it started in the colonial times. Marais and Ntema (2013) state that informal settlements in South Africa date back from the apartheid era where development was met with resistance and opposition.

Moreover, Marx (2003) believes that informal settlements have neither emerged by accident, not as a form of urban development. Whereby the history of informal settlements and reason is viewed in relation to wider urban and structural processes of poverty, inequality and inefficient land markets (Marx, 2003). However, Marx (2003) argues for an approach that focuses on providing support to informal settlements rather than one that aimed at improving them.

Nevertheless, other scholars argue that informal settlements are part of the urban fabric and they have a history, form, and function (Huchzermeyer et al, 2006). On the other hand, Misselhorn (2008) believes that informal settlements may also be referred to as the first point of arrival and encounter in the city for rural migrants. The informal settlement residents locate themselves in particular areas for many reasons some of these include access to services, closer to employment opportunities and some they want to be closer to their families and other social-related activities (Misselhorn, 2008).

Moreover, Smit et al (2006) argue that informal settlements are complex in terms of their make and the particular set of social relationships that operate within them and they are not the same. Whereas they are often perceived as disorderly, overcrowded, chaotic, unsafe and illegal but their internal layout and organizations are well organized, functional and supportive of a diversity of informal processes, rules, norms and values (Misselhorn 2008).

Therefore, it as much as the issues may be concerned with regards to the informal settlements, this study shows that life in the informal settlements follows a particular order which might not be apparent to outsiders but makes perfect sense to those who are residing in the settlements, therefor the study evaluates the social impact of in-situ upgrading housing development at Inanda White City area.

For the purpose of this study, informal settlements refer to shacks that are located at Inanda and have been earmarked for the upgrade by the eThekweni municipality.

Government intervention in the upgrading of informal settlements through in-situ upgrading housing development at Inanda played a fundamental role in developing the area. However, this study believes that in order to ensure sustainable human settlements, housing development should consider not only housing units but also other social elements that are found in the area to promote social capital. Therefore, this study embarks on the evaluation of the social impact of in-situ upgrading housing development in creating sustainable human settlements at the Inanda White City area.

3.2.1.1 Characteristics of informal settlements

The characteristics of informal settlements have been described by numerous scholars. Some studies portray and analyze the different characteristics of informal settlements over the world, but many descriptions point to the same factors about informal settlements (Siebe, 2017). In the meantime, there are studies about informal settlements which reveal that informal settlements are characterized as the area which is energetic, dynamic spaces which are not only spaces of need and they require policy arrangement intervention, but also these areas are full of innovation and creativity with established community life (Maina, 2013). According to Chigumira (2016), socio-economic conditions are not favorable in the informal settlements areas and they are characterized by high unemployment rates leading to poor quality of life, crime, unemployment, lack of food, overcrowding, and poor housing conditions.

Mohammed and Muhammad (2006: 2) defined informal settlements as *residential shacks constructed in unplanned and planned areas with no formal planning approval*. Furthermore, slums and informal settlements are caused by a variety of related aspects, including population growth migration from rural to urban areas, a lack of affordable housing for the poor people in urban area, inadequate governance especially in the areas of planning, policy, urban and land management, which results in land grabbing and negative rumors (Chigumira, 2016). The informal settlement is also defined as the place of overcrowding with the shelter crisis, as the number of people who cannot afford legal housing ends up settle illegally in informal settlements (Shatkin, 2004).

3.2.2 Sustainable Human settlements

According to the UN-Habitat II declaration, arising from the Istanbul conference states that *“sustainable development of human settlements combines economic development, social development, and environmental protection, with full respect for all human rights and fundamental freedoms”* (UN-Habitat II, 1996: 35).

The concept of human settlements has evolved over the years. It has become a strategy for socio-economic development in the framework of formulating global shelter strategies (UN-Habitat I, 1976). There is a consensus that human settlements are not only about spatial aspects but also about the physical manifestation of economic and social activity (Nkambule, 2012). This implies that settlements are a critical basis for socio-economic development in that places where people can live learn and work in conditions of safety, comfort and efficiency are fundamental and elementary need (UN-Habitat I, 1976).

The United Nations Department of Economic and Social Affairs (2012) states that before the 1992 Conference on Environment and Development, there was a shift in focus towards the increasing urbanization of developing countries. In the second UN Conference on Human settlements in 1996 which was held in Istanbul, the outcome was the UN States committing to implementing the Habitat Agenda (United Nations Department of Economic and Social Affairs, 2012). This agenda aims to *“improve the quality of human settlements in which economic, social and environmental developments are interdependent and mutually reinforcing towards sustainable development”* (United Nations Department of Economic and Social Affairs, 2012). UN Habitat (1976) states that capacity building, integrated planning, infrastructure and service provision, and disaster risk reduction are concepts that governments in developing countries need to deal with to create sustainable human settlements.

In recent years, the concept of sustainability has become central not just in environmental conservation, but in the consideration of the quality of development in human settlements (Hong, 2011). It has been emphasized that housing policies and programs should be economically viable, socially acceptable and the construction of the houses must be environmentally friendly to achieve sustainable human settlements

(Hong, 2011). These were considered by the nature of housing since it complex, it consumes natural resources and produces an impact on the natural environment. The position of houses, building materials, occupancy demands, energy, and water consumption have major environmental implications that are in need of sustainable housing development. It is said that a holistic approach is needed to chart the future of housing development and the paradigm of sustainable development for housing offers such possibility (Elliott, 2006).

Du Plessis (2002) defines sustainable human settlements as a place that allows people to live in a way that supports the state of sustainability and the principles of sustainable development. Du Plessis (2002) continues to explain that whether a settlement is sustainable or not is dependent on the interaction of four different patterns. The first being the physical structure which is seen as how a settlement sits within the natural environment.

The second pattern is a utilization pattern that is formed by the way in which a resident uses available resources and a settlement which is described by infrastructure and the services provided (Du Plessis, 2002). The third pattern is a social pattern which is based on how people live and relate to their settlement and the opportunities provided by the settlement for meeting social needs. The last pattern is an operational pattern that shows how a settlement functions and is managed (Du Plessis, 2002).

Du Plessis (2002) further states that urban sustainability is a broader process of creating sustainable human settlements. It includes sustainable construction and the creation of institutional, social and economic systems that support sustainable development. Du Plessis (2002) explains how sustainable construction as a way of putting in place practices that restore the balance between natural and built environments. This component of sustainable construction as a way of developing sustainable human settlements has implications on the pillars of sustainability. Du Plessis (2002) states that the environmental impact of the construction industry is large, especially in the case of housing and infrastructure. These two aspects are very resource-intensive which is why sustainable construction should be implemented in the case of sustainable human settlements.

Du Plessis (2002) explains how it is possible to better social sustainability through the informal settlement upgrading construction process. The process presents many opportunities for poverty alleviation. Du Plessis (2002) illustrate that the construction industry and its employment conditions can play a big role in human development and improving the quality of life for the poor through community participation. Therefore, for the purpose of this study sustainable human settlement refers to the social and economic opportunities that are found in the area of Inanda White City. Social facilities and accessibility to economic opportunities within the area will be indicated to ensure the creation of sustainable human settlement in Inanda. Citizen participation and social cohesion in the informal settlement upgrading are illustrated by evaluating the social impact of in-situ upgrading housing development in creating a sustainable human settlement with the use of empirical evidence from the case study of Inanda White City housing development.

3.2.3.1 Characteristics of sustainable human settlements

The characteristics of sustainable human settlement are significant in the BNG document. Therefore, sustainable human settlements can be defined in numerous ways depending on the perspective and the context of one another. Du Plessis and Landman (2002) define characteristics of sustainable human settlements as cities, towns, villages, and communities which enable societies to live in a manner that supports the state of sustainability and the principles of sustainable development and have institutional, social and economic systems that will ensure the continued existence of those settlements.

Nevertheless, the concept of sustainable human settlements may be concerned, this study looks at the sustainability focusing on the social pillar among other sustainability pillars. The study evaluates the impact of in-situ upgrading housing development in relation to social capital in Inanda.

3.2.3 In-situ upgrading

In-situ is a Latin word that means in the “*place*” in English and it is often spoken of as “*on-site*” when there is a housing project. In-situ upgrading means upgrading the existing settlement for beneficiaries with as little relocation of the residents as possible

(Masiteng, 2013). Under the Breaking New Ground (BNG) policy (2004), in-situ upgrading was set as the best way to address the structural causes underpinning the emergence and growth of informal settlements in South Africa (Huchzermeyer, 2006). In-situ upgrading of informal settlements is regarded as the opposite approach of the relocation of informal settlements inhabitants to Greenfields (Siebe, 2017). This implies that in-situ upgrading presents the best approach as compare to relocation because of it responsive to poverty and vulnerability while creating a space for empowerment and social inclusion for marginalized communities in South Africa while promoting social cohesion (Huchzermeyer, 2006).

The in-situ upgrading requires developing the present informal settlement by progressively extending infrastructure, land ownership rights and basic services such as sanitation, electricity, and water to residents and other basic services (Ziblim, 2013). Misselhorn (2008,) believes that conventional in-situ upgrading of the informal settlement requires the renewal of an informal settlement in a comparatively and comprehensive broad approach in relation to the security of tenure, infrastructure, and housing within the settlements. The in-situ upgrading program sets out to achieve the security of tenure, health, and safety and the development of social capital (Masiteng, 2013). Graham (2005) perceives the nature of in-situ upgrading as the approach that cannot be externally designed and it requires extensive negotiation and participation with the settlement residents.

In relation to this study, in-situ upgrading means the improvement of living conditions from the start of being informal to formal housing through the state-subsidized housing delivery mechanism for residents at Inanda White City. This will have a positive impact on social capital because it allows residents to continue living a normal lifestyle as they used to before the upgrading. In-situ upgrading promotes social cohesion among community members because their lifestyle will be the same as compared to relocation whereby, they put residents in far areas where they cannot reach to economic active areas and their social ties will be destroyed because of it is hard to adopt new environment and build new relationships.

3.2.4. Social capital

Monsey (1997) defines social capital as the way in which members of the community can work together effectively, this includes the ability to develop and sustain strong relationships, solve problems and make group decisions. Sobel (2002) states that social capital describes circumstances in which individuals can use membership in groups and networks to secure benefits.

Most definitions stress interconnections among people or social networks when defining social capital. Bourdieu's (1986) define social capital as an attribute of an individual in a social context. Where one can acquire social capital through purposeful actions transform that capital into conventional economic gains. For example, the transfer of skills during the implementation of in-situ housing whereby community participates in building those houses and gain skills from the project, that particular skills become a social capital because they can be used to other project or within the community to generate income. The ability to do so, however, depends on the nature of the social obligations, connections, and networks available in a community (Pittman, 2015).

According to Lin (2001), social capital is made up of social obligations and connections among members in a group or community. At the local level, social capital embodies important aspects of a community's beliefs, goals, and willingness to cooperate, without social capital it would be much more difficult to pursue collaborative efforts (Bush, 2016). For example, social capital may be used to facilitate network activities that strengthen the interdependence between groups through the flow of resources and information (Bush, 2016).

It is stated that the quality of life contained within human settlements or the satisfaction of social needs through the housing is not reducible to infrastructure and services where people live, it both important based on the condition for and a consequence of a set of social relations (Moobela et al. 2007).

Putnam (1993) defines social capital in terms of community cohesion associated with the existence of co-operative and accessible community networks or organizations, high

levels of participation, a strong sense of local identities and high levels of trust, mutual help and support amongst community members. This implies that there is solidarity in the community where social capital is supreme.

For this study, the focus is on the social impact of the Inanda White City area. The evaluation is made as to how in-situ upgrading housing development have significant effects on social capital among informal settlement dwellers as they influence the way in which people interact and bond with each other, and the sense of community between households and among individuals. The idea behind this claim is that some urban designs promote social ties and informal bonding and bridging contacts among residents while others do not (Nkambule, 2012).

3.2.5 Social cohesion

Social cohesion in the South African context may be seen in the essence of common humanity embodied in the notion of ubuntu (Burns et al,2018). Social cohesion can be defined as the interaction of people in a community, whereby they become united and having a common interest. Burns et al (2018) define social cohesion as a society's ability to secure the long-term well-being of all its members, including equitable access to available resources, respect for human dignity, personal and collective autonomy and responsible participation. Moreover, Burns et al (2018) also define social cohesion as the extent to which people are co-operative, within and across group boundaries, without pressure or purely self-interested motivation. This implies that social cohesion can be strengthened by citizen participation in housing development.

The United Nations Development Program (UNDP) has recognized two main dimensions of social cohesion. Firstly, reducing inequalities and social exclusion. Secondly, social cohesion strengthens social relations, interactions and ties in the community. It has been indicated that the interventions to promote social cohesion should focus on transforming bonding forms of social capital into bridging social capital that links different groups together in an inclusive approach (Burns,2018). Therefore, one may mention that for in-situ upgrading housing development project the inclusive approach needs to be implemented in order to ensure social cohesion.

For the purpose of this study social cohesion is overarching due to the objective of the study. The study is evaluating the impact of in-situ upgrading on social dimensions that results in social cohesion to ensure sustainable human settlements at the Inanda White City area.

3.2.6 Social impact

Social impacts vary from place to place, from project to project and the weighting assigned to each social impact will vary from community to community and between different groups within a given community (Vanclay, 2001). Social impacts are the impacts of developmental interventions on the human environment. It is the impacts of development interventions that take different forms such as social cohesion, social capital, human capital as well as social interactions within the community. While significant benefits flow in, from different development actions (Governance, 2006).

Moreover, there is a need to identify and evaluate the negative externalities associated with social issues. Social impacts not only need to be identified and measured but also need to be managed in such a way that the positive externalities are maximized, and the negative externalities are minimized (Governance, 2006).

This study demonstrates the social impact of in-situ upgrading housing development at Inanda and indicates possible strategies as to how the in-situ upgrading can be improved in order to create sustainable human settlements during the upgrading of informal settlements in South Africa.

3.3 THEORETICAL FRAMEWORKS

The following section presents the theoretical framework that was applied in this study which is Social Capital Theory and Theory of Citizen Participation.

3.3.1 Social Capital Theory

Social capital theory was originated on the work of early sociologists in the late 1800s, Karl Marx (1894) and Emile Durkheim's (1893) were the first authors who studied group behaviors and interaction as a mobilizing agent of the community welfare, whereas Emile Durkheim used theories of capital and labor in relations within a class-conscious society (Yates, 2011). The above-mentioned authors believed that benefits could

accumulate for individuals and society through investing efforts into exploiting the dynamics of the group connectivity within the society (Yates, 2011). As from the period of 1980's and 1990's the term social capital was represented to the prominence through numerous scholars particularly Loury (1977), Bourdieu (1985) and Coleman (1988) who contended that benefits could accumulate for individuals and society through investing efforts into exploiting the dynamics of group connectivity (Yates, 2011). Their definitions of social capital are referred to as a collection of resources to which an individual or group has access through their membership and relational networks (Robinson and Williams, 2001: 54).

Social capital is the network of trusting relationships that exist in a community that creates benefits for community members (Usher, 2005). The element of social capital theory emanates from the idea that people invest in social relationships, community organizations and other social ties such as religion, culture, stokvels, and politics with the expectation of some return (Usher, 2005). Lin (2001) describes four ways in which an investment in social capital achieves some return but two is indicated in this study. Firstly, social capital facilitates the flow of information in a network of relationships (Lin, 2001). Secondly, the social ties in a network of relationships influence the use of resources that exist within that network of relationships (Lin, 2001).

On the other hand, Putnam (1993) defines social capital in terms of community cohesion that is associated with the existence of co-operative and accessible community networks and organizations. A community that has high levels of participation and a strong sense of local identities with high levels of trust, mutual help, and support amongst community members (Putnam,1993). This theory looks at the common values, connections, and understandings within the community. Therefore, this theory is relevant to this study because it implies that a community with high associational activities and social ties can perform more community participation to challenge social issues inside the community (Yates, 2011).

According to Abdelhalim (2010), social capital can be another advantage for the residents in terms of their ability to connect to other stakeholders by establishing networks for taking individual and collective action towards solving their problems and

fulfilling their needs within available resources. This is evident in their initiative, by organizational capacity and self-sustaining attitude in individual housing efforts and collective measures that are taken to provide missing services in the area (Abdelhalim, 2010).

One may agree that it becomes easy for residents from the informal settlements to network and discuss issues that affect them as a community with regards to housing, services, and social issues if they are united and have strong social ties. In the informal areas, networks are established equally among groups of people with similar or different socio-economic and cultural backgrounds (Abdelhalim, 2010).

Therefore, one may point out that, in most informal settlement areas, residents help each other out and jointly implement activities of mutual interest in a similar manner to traditional communities, meaning that they respect each other and there is solidarity in the informal settlement areas (Abdelhalim, 2010). Residents from informal settlements ensure that networks also extend vertically from residents to individuals in official or other key positions through natural leaders and political representatives within the community committee.

These types of social capital allow residents to seek support and gain access to resources that they do not possess themselves (Abdelhalim, 2010). Social networks are based on long-term in the informal settlements, because it continuously growing relationships that often depend on the physical proximity and strong bonds of community members in the area (Abdelhalim, 2010).

Moreover, Abdelhalim (2010) believes that social capital can be affected by fundamental changes in the structure and the composition of an area. For example, if the initiative of in-situ upgrading requires developers to relocate some of the community members from their sites because of environmental hazards and build for some of their sites which are not affected within the area that also can destroy the structure of the community and destroy social ties. Therefore, Abdelhalim (2010) suggests that informal settlements upgrading should capitalize on social capital and ensure that interventions do not weaken social networks.

For this study, in-situ upgrading gives the residents of informal settlements the feeling that they are part of the society as a whole and they are valued citizens that deserve equal access to social services such as clean water, education, transportation, healthcare and other public services (Abdelhalim, 2010). Social inclusion means that basic needs are met so that people can live in dignity without ignoring the differences in the way of living among social groups, this gives people from informal settlements the sense of belonging and promote social cohesion in the area.

The in-situ upgrading housing development is a measure of social inclusion that promotes social cohesion because it integrates all residents of informal settlements. The processes of housing development in a way that promotes equal opportunity for all groups within the society and challenges the stigma attached to informal settlements and their residents (Abdelhalim, 2010).

Moreover, this theory has principles that clarify the kinds of social capital that are found in the informal settlement areas which are bonding, bridging and linking social capital. Bonding is defined as the collaboration between equal individuals, people with a sense of common identity such as, friends, family, and people who conform to similar cultural activities (Claridge, 2014). This type of social capital presents the practice of strengthening the already existing social relationships in the community. The other bridging social capital allows social interaction and relationships between diverse groups of people with a shared sense of identity (Claridge, 2014).

In relation to this study, the social capital theory suggests that if a community has social cohesion and shared interests, it can accomplish much more in developing sustainable human settlements. Therefore, in-situ upgrading has an impact on social capital since it is developing the community where informal dwellers are residing without relocating them to other places. In-situ upgrading allows the community members to trust each other enough to work together without destroying the existing social ties. A community can solve collective problems if there is solidarity. The theory is relevant to this study because the main focus of the study is to evaluate the social impact of the in-situ upgrading housing development in creating sustainable human settlements in Inanda.

3.3.1.1 Underlying principles of Social Capital Theory.

The following section presents the underlying principles of the theory which is Bonding, Bridging and Linking social capital.

3.3.1.1.1 Bonding social capital

Numerous scholars define bonding social capital in different ways. According to Andriani (2013) defines bonding social capital as the type of social capital that shows strong family ties or groups where social relationships are characterized by trust and mutuality. This type of social capital shows the connection of the existing relationships. However, the theory predicts that when bonding social capital becomes exclusive, social networking becomes less practiced (Andriani, 2013). This implies that access to resources becomes limited. For example, dissemination of information possessed by other groups is reduced, if not denied, with the fundamental result of bringing down social capital endowment, therefore there will be no empowerment in the relationships among community members (Andriani, 2013).

Another characteristic of the bonding social capital is the strong mutuality operating among the members of the group. This might be the consequence of a strong system of mutual obligations. Usher (2005) denotes that the resident's participation is also predicted to have a positive relationship with bonding social capital because an increase in citizen participation leads to an increase in bonding social capital. This research supports the theory that neighborhood-level variables influence the development and supply of social capital (Usher, 2005). However, current empirical evidence does not specifically address bonding social capital and its application in the area of Inanda.

In most cases, neighborhood conditions may also affect the development of bonding social capital, because resident participation may be critical to the development of bonding social capital because of different priorities among community members (Usher, 2005). Whereas citizen participation is perceived to play a critical role in the formation of social capital, especially through creating and sustaining voluntary organizations and disseminating information to promote human capital in the area (Cuoto, 1999).

3.3.1.1.2 Bridging social capital

Bridging social capital indicates the networks of friends, neighbors, and acquaintances. It represents the “strength of weak ties” (Granovetter, 1973). This simply means that it indicates the bridges between the bonding groups. The ties with individuals belonging to other groups open access to resources different from those fixed in the initial bonding group (Andriani, 2013). Hence, the information and knowledge that trend between groups allows the community to benefit from the expanded social endowment accumulation and that results in more social capital (Andriani, 2013). That as well contribute to the wealth of the community in social capital. It has been indicated that the lack of bridging social capital in the informal settlement might characterize the different interests in development and growth between areas even among informal settlement dwellers (Andriani, 2013).

3.3.1.1.3 Linking social capital

This type of social capital indicates social ties connecting individuals or groups to people and groups in the position of different political or financial power (Andriani, 2013). In theory, this type of connection permits individuals or communities to access resources or information from institutions of power (Andriani, 2013).

3.3.2 Theory of Citizen Participation

In developing countries, the notion of participation in community development can be approached in many ways. Citizen participation is a practice that offers an opportunity for individuals to raise their issues and influence decision making. According to Florin and Wandersman (1990), state that public participation means to ensure that citizens have a direct voice in public decision in relation to the development program in their areas. This means that full involvement of all community members regardless of age, gender, socio-economic status, and religion in planning and implementation of the project can make people benefit from the project and strengthen social cohesion in the area.

According to McGee (2002), community participation is a process through which the community influences and shares control over development initiatives, decisions, and resources which affect them. The citizen participation represents a rejection of the top-

down approach. In citizen participation, everyone shares ownership of decision-making. The community-driven participatory planning process, supported by NGOs and agencies or other stakeholders, allows beneficiaries to be actively involved in the uplifting of their living conditions (Michael, 2008). This simply means that community members get full participation that gives them a sense of belonging and take necessary responsibilities in the project.

In addition, McCracken (1996), states that participation in practice is a process through which stakeholders influence and share control over development initiatives, decisions, and resources. Bhengu (2013) points out that citizen participation is a process whereby people influence policy formulation and control design alternatives, management and monitoring of the development interventions in the community.

Whereas one can define the word participation as the act of being involved in the development project. According to World Bank (1992), citizen participation is a process by which people influence decisions that affect them, as different to other ways of participation where decisions are imposed on beneficiaries by outside agencies in the development project. Therefore, the theory of citizen participation is appropriate for this study in order to understand the level of participation during the upgrading of informal settlements at Inanda and establish the importance of citizen participation during the upgrading to ensure sustainable human settlements.

According to (Paul, 1978) it is argued that participation has no meaning unless the people involved have significant control over the decisions concerning their development project. This statement supports the above-mentioned point because no one is identified as participants when his or her views are not taken into consideration in the decision making of the project and that results in negatives outcomes of the project (Paul, 1978).

Moreover, one may argue that there are numerous ways of participation such as the contribution of money, materials, and labor, as well as the involvement through attendance of scheduled meetings (Fe Espino, 2004). The involvement through consultation on a particular issue can also be viewed as participation. The involvement

of internal and external stakeholders is another way of participation in the housing development project (Fe Espino, 2004).

However, in the context of development, citizen participation refers to an active process whereby beneficiaries influence the direction and execution of development projects rather than merely receive a share of project benefits (Paul, 1978). Citizen participation can be practiced in all societal fields such as politics, health, sports and culture (Boyce, 1997). This proves that citizen participation has become a central value and strategy in the identified aspects for a variety of reasons including efficiency, equity, and social cohesiveness (Boyce, 1997).

Citizen participation may involve a range of processes including organization, planning, evaluation, cooperation and contribution of time (Woelk, 1992). Citizen participation is usually conceptualized as a process by which beneficiaries, individually or collectively assume increased responsibility for assessment of their own project (Bermejo and Bekui, 1993).

One can agree with the above statement, once beneficiaries' views are addressed, they identify potential solutions to problems and plan strategies by which these solutions may be realized (Bermejo and Bekui, 1993). On the other hand, literature shows that it is much more than the mere contribution of labor or money, but it is an active process by which beneficiaries influence the direction and the execution of the people's wellbeing in terms of personal growth, self-reliance or other values they may cherish (M'ITHAI, 2012).

The participation of the local community is an important moderator in influencing the outcomes of the projects. However, the bottom-up approach does not automatically result in community participation. The project planning should specifically include components that involve the local community in different stages of the project life-cycle (Annamalai, 2016). One may mention that, in the absence of community participation, a bottom-up approach is not effective. Community participation helps service providers to understand the needs of the informal dwellers and provide services to their requirements (Annamalai, 2016).

Moreover, Arnstein's steps are applicable in this study to represent the ladder of participation in development as a progressive improvement in infrastructure models in the underdeveloped world (Choguill, 1996). The steps have eight fundamental levels that articulate citizens participation in development projects. The following steps are suggested to improve community participation for underdeveloped countries, manipulation, therapy, informing, consultation, placation, partnership, delegated power, and citizen control.

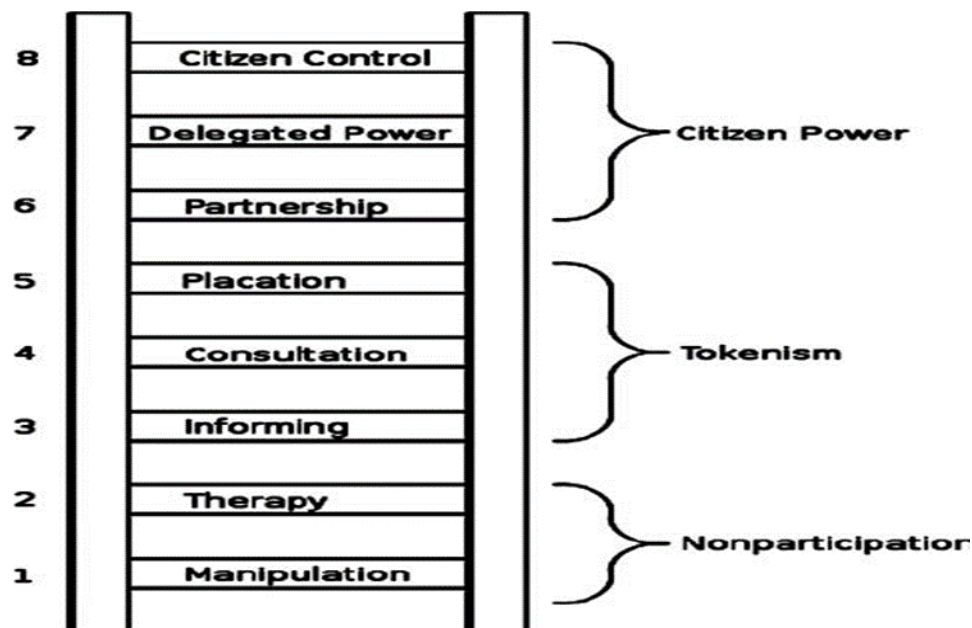
According to Florin and Wandersman (1990), public involvement means that citizens have a direct voice in public decision-making. While community participation in community development can be approached in many ways, it is a desired and essential part of community activities. It means the full involvement of all community members regardless of gender, age, socio-economic status, political and religious affiliations, and level of education in the planning and implementation of projects and programs that are of benefit to the members (Onyenemezu, 2014).

Citizen participation refers to the full engagement of members of a community in a project at all stages of decision-making (Osuji, 1992). This requires that development projects and programs must not be imposed on the people who are to be the beneficiaries of the development efforts but needs to be well introduced to beneficiaries and ensures that they take control over the decision making (Mahlaba, 2018). Thus, in terms of community development, the beneficiary population of the project or program should not be passive recipients of the services provided. Rather, they should actively contribute to all the activities concerned with the development of their community.

According to Onyenemezu (2014) states that community participation taps the energies and resources of individuals within the community. Community participation is about engaging with one another to solve community problems and ensure development (Onyenemezu, 2014). When the citizens are fully involved in the projects or programs which affect them, the chances of them being satisfied are high. Community participation brings a source of special vision, knowledge, experience, and information, all of which play a vital role in making certain the soundness of solutions to community problems (Ojuah, 2012).

Arnstein's emphasis on power and decision making is central to the concept of direct citizen participation (Roberts, 2003). In her work on the "ladder of participation," she clearly differentiates citizen participation from manipulation and tokenism (Arnstein, 1969). The levels of citizen participation were put forward in the form of a ladder with each step corresponding to the level of participation (Arnstein, 1969). The rungs comprise manipulation, therapy, informing, consultation, placation, partnership, delegated power, and citizen control. These rungs are categorized into the top, middle and bottom as illustrated in the diagram below (refer to Figure 1 below).

Figure 1: The Ladder of Citizen Participation



Source: Arnstein (1969)

The first and second rungs manipulation and therapy, represent non-participation because the authority holds the real power to reject the local community participation in decision-making for development (Arnstein, 1969). This level reflects the top-down approach, which will be discussed below. The middle rungs of the ladder which are informing, consultation, and placation represent tokenism. Whereby community members are aware of the project and they are able to point out their opinions on the project, but there is no assurance that their opinions will be taken into consideration when the decision-making process takes place (Arnstein, 1969).

The last rungs of the ladder which is a partnership delegated power and citizen control, it is where citizens have the power to influence decision making about the project (Arnstein, 1969). At this level community members are fully empowered to make decisions about the development of their community. Therefore, the citizens have the freedom to make decisions about what they like or do not like concerning the development that involves them (Arnstein, 1969). One may state that citizen's participation in community development develops pride and a sense of ownership in the local people after successfully completing a project. This also promotes social cohesion among community members and increases human capital within the area because active involvement of community members in the day-to-day activities during the upgrading will develop skills among those community members (Onyenemezu, 2014).

Citizen participation theory is relevant to the study on the basis of social interaction whereby people coming together to discuss their development. Hence community participation is all about bringing people together in solving community problems and up-grade development. The in-situ upgrading is not limited to the upgrading of existing buildings, but it aims to improve the social conditions of communities, improve access to life skills and to upgrade living conditions (Alliance, 2008:26).

3.3.2.1 Advantages of community participation in the informal settlement upgrading

Community participation encourages community members to be actively involved in the planning and decision-making affecting their community (M'ITHAI, 2012). The advantage of community participation is that it illustrates to community members how to resolve conflicts, to be open to different perspectives and it encourages social cohesion in the community. It strengthens the community's ability to analyze their own situations, organize themselves into strong groups and work on creative ways to change society and increase standards of service delivery (Pateman, 1970).

However, community members, by improving service delivery, obtain the appropriate skills to pinpoint local resources, mobilize and become less dependent on the state. If the community has been involved in choosing priorities and deciding on plans, they are much more likely to become involved in the project or program (Pateman, 1970). One

may point out that, through participation during informal settlements human capital is upgraded as well because local people get skills and acknowledge their capacities of working with different people and other stakeholders during the project.

3.3.2.2 Disadvantages of community participation in the informal settlement upgrading

There are many disadvantages that are perceived to be indicated when there is community participation. Some of those disadvantages being that community participation are costly in terms of time consumed and money and skills required (Lawrence and Deagen, 2001). It is difficult to determine the degree to which projects are participatory. Government officials' experiences difficulties and high levels of frustration through what is known as a lack of progress in working together with community members, because some community members they do not participate on the project and others they value their own priorities they may cherish over the community needs (Williams et al, 2001).

However, government and development practitioners have tendencies to use the top-down approach whereby they provide services without consulting local people. Government and non-government organizations (NGOs) are the key stakeholders who generally identify the needed development and the involvement of communities is limited to the implementation phase (Mahlaba, 2018). This results in the failure of the projects or programs not meeting the expectations of the community. The top-down approach is not good when there is an upgrading of informal settlements because it leads to the failure of the project and community members become unsatisfied about the project (Irvin and Stansbury, 2004). The top-down and bottom-up approach is further discussed in the following section.

3.3.2.2.1 Underlying principles of Citizen Participation Theory

This section discusses the underlying principles of citizen participation in the housing project.

3.3.2.2.1.1 Bottom-up Approach

The bottom-up approach promotes people-centered development. People-centered development focuses on people and enhances their capacity to influence the direction and implementation of the development process (Oakley, 1991). The very fact of distinguishing between top-down and bottom-up approaches to community participation implies that there are potential conflicts of interest. The bottom-up approach promotes citizen participation by allowing community members to be involved in a project. This gives access to a greater number of responses from community members about community needs, priorities, and possibilities (Whittington et al, 2009).

The bottom-up or participatory approach suggests that for a project to be successful, beneficiaries must be at the center of the project. However, Bhengu (2013) mentions that the national government clearly promotes the active participation of beneficiaries in the development of housing to fast track housing delivery. This approach allows local communities to gain experience and a special understanding of their own environment and act as the drivers of the project (Whittington et al, 2009). Communities can only influence the development process through their participation.

3.3.2.2.1.2 Top-down Approach

The top-down approach is the concern of ruling groups to include and integrate secondary groups into the dominant ideology to ensure their own security and sustainability (Sturzaker, 2011). Top-down participation in the sense that the management of the project defines where, when on how much the people can participate in their project (Winkler et al, 2008). This means that local people are being limited to participate in decision making about the social issues that affect them and they are given instruction by the outsiders on how their settlement will be developed. One may argue that this approach is not suitable for any development when there is informal settlement upgrading more especially in-situ upgrading, because of it where local people need to express their sense of belonging and play an important role in their housing development.

This type of approach neglects Enhanced People's Housing Process (EPHP) by isolating beneficiaries on the development of their community. The top-down approach

towards the project is assembled around the use of professional leaderships (Winkler, et al 2008). Moreover, one may point out that, decision-making is limited to the top of the organization and there is a lack of information, people on the ground do not get proper information about the project and their ideas are being overlooked (Winkler, et al 2008).

3.4 Conclusion

The above chapter presents the key concepts that are linked to this study and explains the theoretical approaches that underpin them. The underpinning principles and concepts related to the social impacts of in-situ upgrading in the creation of sustainable human settlements have been discussed with the aim of presenting relevant literature that has been researched in relation to this study. The discussion of concepts offered an understanding of what the research topic entails. In addition, this chapter has presented approaches that are relevant to this study.

These include the clarity of the suitable approach between the top and bottom down approach of community participation during the informal settlements upgrading. The approaches have been effective in explaining the form of participation in housing development. The next chapter will present the existing literature on informal settlement upgrading in the International and local context and illustrate different arguments from other scholars in relation to in-situ upgrading as a method to create sustainable human settlement by promoting social capital in the informal settlements in South Africa with the use of the case study of Inanda White City housing development.

CHAPTER FOUR: LITERATURE REVIEW

4.1 Introduction

This chapter contains a review of existing literature on informal settlements upgrading in the international and South African contexts. Therefore, this is done by analyzing international and local literature. This includes case studies at both international and local context. This chapter discusses the way people who live in informal settlements survived before and after the upgrading of informal settlements, and how they survive with insufficient basic services hence most of the informal settlements are facing a huge challenge when it comes to basic services. Furthermore, this chapter also demonstrates literature and different arguments from different scholars about how in-situ upgrading ensures social cohesion amongst informal settlement dwellers without destroying social relations in the settlements to creating a sustainable human settlement.

This chapter further identifies and discusses the legislative frameworks in the context of the topic under discussion by critically analyzing various policies and programs associated with the upgrading of informal settlements in South Africa. The legislative frameworks to be covered in this chapter include the Constitution of the Republic of South Africa of 1996, The Housing Act (Act No 107 of 1997), The White Paper on Housing of 1994, The Breaking New Ground (BNG) (2004) and The National Housing Code (2009). International and South African case studies will be utilized in this chapter to give a more holistic understanding of challenges and solutions of informal settlements upgrading.

The chapter goes on to give an insight into lessons learned on the in-situ upgrading and of informal settlements in South Africa. The progress made to date is accessed and also points into the experiences gained to date on the upgrading of informal settlements. The line of focus and to ascertain whether in-situ upgrading is the best option in solving the problems of informal settlements integration into the large society to promote sustainable human settlements in South Africa.

It further points out possible social challenges that may be encountered in the upgrading of informal settlements, and further evaluation of the reasons why the problems of informal settlements still persist in South Africa (Aigbavboa, 2010). The

chapter ties up by outlining the identified gap with solutions to the problems to ensure sustainable human settlements.

4.2 Informal settlements, the international perspective

According to Srivinas (2005), the definition of informal settlements can vary from country to country based on its legal and planning framework. UN-habitat (2006) defines informal settlement as a settlement with families, located in an urban area in which the people live in inadequate housing and lack basic municipal services like water and sanitation, refuse disposal, electricity, access roads, exposing households to health hazards and making them disposed to diseases. This implies that the challenge of informal settlements is a worldwide concern that focuses more especially on urban areas. Pitcher (2009) denotes that, the world population is estimated to grow by 2 billion people by the end of 2030, with the estimated increase to take place in the urban regions in developing nations.

Furthermore, almost half of this growth is expected to be in informal settlements, nearly doubling the size of the worldwide informal settlements inhabitants from 1 billion to 2 billion (Payne 2005; UN-Habitat 2008). Several pieces of research have discussed the problem of informal settlements and the different approaches have been adopted to tackle them (Ferguson and Navarrete 2003). However, Hegazy (2016) identified that a successful approach should tackle both the causes and the symptoms in parallel because the cause mainly results from the gap between housing supply and demand. Hegazy (2016) believes that, If inhabitants found adequate housing, they would not have recourse to the informal alternative.

The literature review highlights that in past decades, the issue of so-called informal settlements was researched, discussed and addressed in a variety of ways in developing countries (UNECE, 2009). Hence, the United Nations (2003) provided an estimate that one billion people in the world could be considered as squatters. However, it should be considered that the literature on informal settlements usually focuses on the important southern metropolises and uncontrolled growing metropolitan areas in emerging countries notably in South America, and more recently selected countries in Asia and the Middle East (Aldrich and Sandhu, 1995).

Examining the matter of informal elements in Europe. Aguilera (2014) states that even though the phenomenon is increasingly reported to be present in many urban areas in Western societies, the research on the matter seems to be limited. Other scholars such as sociologists are interested in *marginality*, they address the problems of ghettos or quartiers sensibles, but the question of illegality is often put aside (Kokoreff, 2009).

The reports from the United Nations Economic Commission for Europe region (UNECE), (2009), indicates that there is no formally accepted definition of the term informal settlements. Meaning that any classification that relates specifically to land tenure and tenure security, with no authorization from the government is regarded as informal. The vast body of literature that exists globally is related to the phenomenon in the Global South (UNECE, 2009). One can criticize the definitions used to describe the phenomenon of informal settlements in the Global South because current literature challenges the way in which the applicability of literature in the UNECE region is indicated in relation to informal settlements.

However, UNECE (2009) stresses the importance of moving away from what they call the narrow understanding of informal settlements that is dominated by the images from the Developing World, poverty and self-made housing areas. This study points out that it is important to adopt a broader understanding of the phenomenon of informal settlements in member countries (UNECE, 2009).

However, Wahab (2017) argues that informal settlements have been defined in the literature by different scholars and organizations to suit their working purposes. Whereas Oduwaye and Olajide (2010) believe that, the term informal means anything that is conducted without formality. On the other hand, Guevara (2014) denotes that, the term informality simply means, everything that happens outside of formal regulatory procedures and the manifestation of informal processes in physical and social development (Roy and Alsayyad, 2003). One may argue that these two arguments with regards to informality imply that, informal settlements are characterized as being informal because they are not regulated by the formal procedure of development.

Therefore, informal settlements are further classified by the United Nations Habitat as residential areas that lack security of tenure, basic services for residents, the area where dwellings are not in compliance with planning and building regulations (UN-Habitat, 2015). However, M'lthai (2012) believes that informal settlements occur when the current land administration and planning fail to address the needs of the whole community. These areas are characterized by rapid, unstructured and unplanned settlements. On a global scale, informal settlements are a significant problem especially in third world countries, housing is the world's disadvantaged (M'lthai, 2012). It has been indicated that the word "slum" is used to describe informal settlements within cities that have inadequate housing and miserable living conditions, overcrowded, with many people crammed into very small living spaces (M'lthai, 2012).

One may point out that, informal settlements are the global challenge in such a way that people in informal settlements survive differently from one country to another, especially when we look at first world countries and third world countries (Massey, 2013). One can agree that there are people living in informal settlements in the first world, second world and in third world countries. An informal settlements dweller in a first world country might not necessarily be considered poor compared to informal settlements dweller in the third world countries but could be living in an informal settlement due to the convenience of being close to important amenities like schools, health care, and economic opportunities (Massey, 2013).

On the other hand, informal settlements are considered to be expansive and can potentially include rural communities, backyard shacks and the illegal occupancy of inner-city buildings (Massey, 2013). According to Maylam and Edwards (1996) states that the idea of informal settlements as a key urban problem and its solutions firstly began during nineteenth-century British colonialism and was central to the methodology of government's right up until the late 1970s. However, Turner's (1967) ideas were opposed to the eradication approach to informal settlements management and saw the settlements as part of the solution within the challenge of housing provision. Turner (1967) and Abrams (1966) were the first to promote the concept of 'self-help' housing

and the need for independence within settlements. Scholars like Turner (1967) and Fichter (1972) insisted on a move away from marginalizing the poor (Massey, 2013).

Despite the views of John Turner, one may point out that, this dissertation is not focusing on 'self-help' housing, but it is important to understand the perspectives of housing that the literature provides and the approaches to eradication of informal settlements that have existed within different schools of thought (Massey, 2013). One may find it important to understand Turner/Abrams's school of thought (self-help) because it influenced housing planning during the 1970s and 1980s up until today (Massey, 2013). Their work resulted in the recognition of informal settlements as part of the city and led to project-oriented upgrading with tenure regulation and service provision (Ley, 2009). However, Marais argues that the provision of housing through state-provided structures, housing subsidies and self-help housing projects was influenced by the work of Turner and Abrams (Marais, 2013).

One can agree that informal settlements are not a South African issue but a global issue by looking at the international literature. Informal settlements always require government intervention in the form of implementing housing policies and programs such as informal settlement upgrading programs that consist of the provision of houses and access to basic services (Ley, 2009). However, the representation of case studies below indicates the importance of basic services in the informal settlements as one of the social issues facing informal dwellers both in the international and South African context, it will further indicate the impact of insufficient services during the upgrading of informal settlements.

4.2.1 Insufficiency of basic services in the upgrading of informal settlements, the Case study of Nairobi (Kenya).

The informal settlements in Kenya have a long history like other developing countries dating from the colonial period, where most Africans were banned from living in certain residential areas that were reserved for Europeans and Asians (Sirueri, 2015). Notwithstanding the existence of informal settlements since the Nairobi cities started, the Kenyan government has been unwilling to address the pressing issue and challenges of informal settlements faced by inhabitants (Sirueri, 2015). Hence, in the

past informal settlement dwellers were forcibly evicted in their areas. Whereas strategic plans and policies have been put in place to recognize the existence of informal settlements in Kenya (Mutisya and Yarime, 2011). Unfortunately, it has been indicated that the strategic plans and policies do not address social issues such as the lack of security of tenure and access to social services for example clean water and healthcare facilities (Sirueri, 2015). There is a huge challenge when it comes to social services in Nairobi hence the government is responsible to deliver services to upgrade informal settlements.

The report from UN-HABITAT (2008) indicates that the government of Kenya has embarked on slum upgrading activities that have continued persistent under Kenya Slum Upgrading Projects (KENSUP). However, Sirueri (2015) illustrates that these programs are done jointly with World Bank and UN-HABITAT, and the approach which has been adopted combines elements such as income generation activities, capacity building, housing finance provision, provision of housing improvements as well as the provision of basic services like clean water and sanitation. These projects are done jointly to readjust UN-HABITAT's and the world Bank's strategies with those of the government in Kenya (UN-HABITAT, 2008). Further, Sirueri (2005) mentioned that the aim was to incorporate the principles from the provision of water, sanitation, and infrastructure as well as UN-HABITAT's slum upgrading into the program and develop them into implementation strategy.

However, the findings reveal that the above-mentioned strategic plans and policies are not effective in the informal areas in Kenya, because life is very difficult to approximately 1.5 million people in Nairobi informal settlements since there is an insufficiency of basic services (Mutisya, 2011). Residents in Nairobi live under disgraceful conditions with lack of the most basic needs and social amenities, and they face multi-dimensional challenges that require multi-dimensional interventions from the government for basic services such as clean water supply and improved sanitation, energy and solid waste management (Githira, 2016). In addition to this, slums dwellers face a lot of challenges with regards to social amenities because of insufficient schooling facilities, high rate of unemployment, lack of drainage systems, high crime rates and lack of proper

governance including security services (Mutisya, 2011). This has resulted in life-threatening outcomes which lead to mass poverty, contagious diseases, conflicts, and other social, environmental and economic hazards (Mutisya, 2011).

One may argue that the reason why informal settlements have lots of social challenges in Nairobi, it is because informal settlements were excluded from city authority planning and budgeting processes (Mutisya, 2011). It has been indicated that the governments in power have ignored the existence of informal settlements for a long time until recently when national authorities and international bodies outlined the dangers of slums to humanity (Mutisya, 2011). This implies that the government of Kenya was not complying with governmental duties to provide services and upgrade informal settlements in Nairobi. Therefore, the lack of recognition of slums and settlements as residential areas denies residents a range of essential services provided by the government to other residents of the city (Mutisya, 2011).

Moreover, Mutisya, (2011) alluded to the fact that lack of good governance and proper leadership has worsened the situation of informal settlements in Nairobi. Therefore, lessons can be learned from the experience of informal dwellers, that people living in poverty not only face deprivation but are also trapped in poverty because they are excluded from the rest of the society, excluded in decision making and threatened with violence and insecurity (Amnesty International, 2009). Mutisya (2011) concluded that there is a lack of empowerment, lack of social capital and corrupt authorities who took advantage of the governance fraternity in Nairobi.

4.2.2 Provision of basic services in the upgrading of informal settlements, the Case Study of Lusaka (Zambia).

Lusaka is the largest city in Zambia that has a large population living in informal settlements (Simposya, 2010). Most of the major cities and towns in Zambia are surrounded by informal settlements. The idea of upgrading informal settlements in Zambia was born during the Second National Development Plan (SNDP) which covered the period of 1972 to 1976 (Fifth National Development Plan, 2006-2010:198).

However, the innovative strategies were made with regards to informal settlements upgrading, and it was dictated by the fact that the government was not able to provide adequate affordable housing, especially for the low-income groups and the realization that the problem of informal settlements was already getting out of hand (Simposya, 2010). Therefore, the logical thing to do was not to demolish but to start recognizing and upgrading informal settlements with the aim of facilitating the improvement of the housing units, provision of the required social amenities (Simposya, 2010).

Informal settlement's innovative strategies were solutions to respond to the social challenges through the upgrading unplanned settlements in Zambia. However, this strategy was expected to improve the quality of the socio-economic benefits, which would, in turn, contribute to improved quality of life of the people from informal settlements and promote social cohesion amongst them (Simposya, 2010).

Furthermore, it was observed that informal settlements in Zambia were home to a large proportion of the urban population as indicated that seventy percent and forty percent of the populations of Lusaka and Kitwe live in informal settlements (Simposya, 2010). However, with all social challenges that informal dwellers were facing in Zambia, residents of the informal settlements were struggling to survive without the basic essential services such as clean, safe and adequate water, waterborne toilets, waste management facilities and services, roads, electricity, health and educational facilities (Fifth National Development Plan, 2010).

One may argue that challenges in the informal settlements are tantamount, meaning that they are similar in nature, taking the example of Kenya and Zambia. The identified case studies were experiencing similar challenges when it comes to access to basic services and the provision of housing units. However, the purpose of this case study (Zambia) is to demonstrate and imply the possible solutions (lessons) that were used in Zambia during the upgrading of informal settlements.

Furthermore, a shift in policy and attitude began in the 1970s and informal settlements were recognized as an active part of the city and a legitimate response to the difficulties of housing shortages challenge (Massey, 2013). Planners began to intervene in the

upgrading of informal settlements by providing informal dwellers with the security of tenure and basic services as well as infrastructure to support their self-build state (Massey, 2013). However, the recognition of informal settlements as an important part of the city meant that policy changes were made, and the elimination of informal settlements was curtailed in Zambia (Pithouse 2009).

The shift in policy meant that the Zambian government was no longer directly built and delivered houses, but rather focused on upgrading informal settlements through infrastructure, land tenure and basic services (Massey, 2013). The urban informal settlement focus moved to site and service schemes and in-situ upgrading. However, for this study, one may point out that, the shift in policy in Zambia had similar intentions with the South African Breaking New Ground housing policy (2004) because the policy was also intended to shift away from a focus on the number of houses delivered to quality. Its aim was to increase the rate of service delivery and well-located houses of acceptable quality through a variety of innovative and demand-driven housing programs and projects that promote sustainable human settlement such as in-situ upgrading (BNG, 2004). Meaning that the focus was on sustainable human settlements rather than housing as a single unit, and development must contain bulk infrastructure to fight crime, promote social cohesion and improve the quality of life for the poor.

Zambian housing projects were often started, supported and funded by the World Bank which also set up local government capacity building systems (Solo, 1991). Most projects at first involved large and which included overly determined plans that covered large areas which include multiple essential services such as water, sanitation, electricity, community development, economic opportunities (Solo 1991). Therefore, the Zambian government intervention in upgrading informal settlements with the approach of in-situ upgrading and site and services played a huge role in changing the lives of informal dwellers in Zambia and strengthen social cohesion in the informal settlements, meaning that the approach had a positive impact on social capital in Zambia. Informal dwellers got access to basic services and the standard of living changed as a result of in-situ upgrading.

4.2.2.1 Lesson Learned from Lusaka and Nairobi Case Studies.

Lesson learned from the above case studies Nairobi in Kenya and Lusanda in Zambia is that the lack of basic services results in social challenges. Therefore, the study recommends that the government should consider basic services as part and parcel of the informal settlement upgrading program in order to solve social challenges that are caused by the insufficiency of services. Lesson learned implies that housing provision should come with all other aspects of basic services such as clean, safe and adequate water, sanitation, waste management facilities and services, roads, electricity, health and educational facilities to ensure sustainable human settlements.

4.3 Literature review in the South African context

There is a huge debate on informal settlements in South Africa. Numerous scholars define informal settlements from different perspectives. According to Massyn and Lizarrald (2008), they argue that informal settlements are areas of unplanned and unapproved housing of predominantly low-income people with poor or non-existing infrastructure or sanitation. Hence, Huchzermeyer (1999) gives the synopsis of historical background about informal settlements in South Africa. Whereby it is indicating that since the end of apartheid and the start of a new government system in 1994, South Africa had to deal with the inheritance of unequal distribution of land tenure as well as the race-based control of infrastructure and a lack of integration in cities (Huchzermeyer, 1999). Hence this has given South Africa a prominent place in the literature on upgrading and the provision of housing by the state, as well as the strategies employed to address widespread informal settlements (Huchzermeyer 1999).

On the other hand, Ziblim (2013) argues that South Africa's post-apartheid government's initial tool to address the housing backlog inherited from its predecessors was the national housing policy document, the 1994 White Paper on Housing. This initial policy assumed that the housing subsidy scheme, the Reconstruction and Development Program (RDP), a dominant plan mapped by civil society activists and trade unionists in time for the 1994 elections, would automatically address the dilemma of residents in informal settlements (Ziblim, 2013). Consequently, one may criticize the

mandatory of this policy because there was no social inclusion of any informal settlements upgrading policy (Marais and Ntema, 2013).

However, in 2004 the amended National Housing Code included the Informal Settlements Upgrading Program stemming from a paradigm shift in political dynamics reinforced by the United Nations Millennium Development Goals (UNMDG) that advocated for the reduction of poverty (Ziblim, 2013). According to Landman and Napier (2010) upgrading of informal settlement program (UISP) was coined in the National Housing Code of 2009, priorities being the in-situ upgrading approach and provide funding for incremental, participative upgrading projects.

Moreover, Chigumira (2016) argues that the implementation of this policy has been largely criticized by some as a window dressing activity that sought to upgrade informal settlements that would be visible to World Cup international visitors. This argument emanates from the perception that the replacement of informal settlements visibly lining the N2 freeway from the Cape Town International Airport to the historical center of Cape Town with medium-density rental or social housing called the N2 Gateway Project, was identified as the pilot project (Huchzermeyer, 2006). Hence, the alternative approaches are therefore critical in government policy in attaining successful initiatives were upgrades of informal settlements are concerned (Chigumira, 2016).

According to Aigbavboa (2010), a greater concern for the South African government is that if the escalation of informal settlements is not dealt with properly, the number of informal settlement dwellers is predicted to double by 2030. In response to these critical circumstances, the “*cities without slum*” Action Plan was launched by the cities alliance in 1999, which later on was endorsed by the 150 heads of states and government attending the United Nations Millennium Summit (UNMS) in the year 2000, of which South Africa was a signatory (Aigbavboa,2010). This statement comes into play because the plan was reflected in the United Nations Millennium Declaration (UNMD), along with the other goals set to ensure environmental sustainability (United Nations, 2000). The goal was to achieve significant improvement in lives of at least 100 million slum dwellers, by 2020 and not the relocation and eradication of the informal settlement were not necessary (United Nations, 2000).

Furthermore, Huchzermeyer (2009) argues that informal settlements in South Africa have driven by the human needs of the residents emanating from increasing poverty and deepening inequality. Unlike the Kenyan slums widespread whereby illegal, exploitative and extremely profitable informal landlordism and corrupt land allocation practices. Huchzermeyer argues that informal settlements in South Africa are therefore an answer of universal basic needs of shelter, community, individual and cultural expression and access to livelihood as largely driven by increasing poverty and deepening inequality (Huchzermeyer, 2009).

One may agree with the fact that informal settlements cannot be ignored and therefore the argument on in-situ upgrading as an empowering tool and the least disruptive solution to the already vulnerable urban poor is vital in order to upgrade informal settlements in South Africa while maintaining social cohesion within informal dwellers (Chigumira, 2016). One can further criticize relocation approach when upgrading informal settlement because it diverges and destroys social relations for informal dwellers, it thus serves to be the last resort of informal settlement upgrading (BNG, 2004).

Moreover, Mels (2009) argues that the nature of informal settlements is one of constant change, population densities are high, and settlements are constantly growing as people and squatters migrate in hopes of employment. Mels (2009) further argues that informal settlements are often formed on land which is not conducive or not suitable for development, for example in flood-prone areas or sloped land, making it difficult to access the area. One may agree with the statement and point out that, most informal settlements are generally located far from the main sewer lines and often formed on private land which adds other legal complications when municipalities try to bring basic services to settlements (Chigumira, 2016). Thus, the identified factors make it extremely difficult for the government to provide basic services and infrastructure to these settlements.

Mels (2009) believes that the lack of organization within the government also makes informal settlements upgrading difficult. Whereas, Bosman (2014) argues that, informal settlements are common in many of the South Africa urban areas, like in many other

areas in the developing world. However, the different reasons have been revealed for the occurrence of informal settlements as well as their awful state. According to scholars such as Khan (2003), who argues that the awful state of informal settlements in South Africa is often multiplied by constraints of land costs suitable for housing the urban poor and low-income groups. In other words, the lack of availability of land and houses built by the state causes many of the urban poor particularly migrants to build their own houses in unregulated spaces, to solve the housing problems by themselves (Yuen, 2007).

In addition, this leads to scholars such as Mosha (1995) to believe that, informal settlements that depict local housing markets and local cultural patterns are here to stay. One may agree with this statement because in most cases people from other areas (migrants) they come to urban areas for economic gain and looking for employment opportunities to live a better life, and when they get into urban areas they find it difficult to maintain their lives in urban area and therefore they end up having no choice rather than invading the unregulated spaces for their informal houses in order to be closer to work opportunities (Bosman, 2014).

Hence, Aldrich and Sandhu (1995) also observed that the eradication of informal settlements through relocation, for instance, poses challenges of site improvement charges and it breaks social relations within informal dwellers. However, one can agree that Informal settlements are associated with many developmental challenges in South Africa. Therefore, one can perceive in-situ upgrading as the best solution and have a positive impact to improve social relations, integration and maintain social capital within the settlements to create sustainable human settlements rather than relocation, hence it can be used as a last resort (BNG, 2004).

4.3.1 Social relations in the informal settlements

Informal settlements are thus spaces not just for residence, but also for social relations hence they are deemed as a place of overcrowding that consists of different ethnic groups. Patel (2012) argues that informal settlements consist of features that form social relations such as individuals, families, friends, churches and support groups, for

example, stokvels, social clubs, HIV/AIDS support groups, soccer teams as well as childminders.

Furthermore, as previously mentioned, this section further focuses on how individuals construct and use features of their identity and social relationships within their settlements to maintain social capital among other community members. One may point out that, the analysis and criticism of the community feature that form social capital in the informal settlements, it contributes to a small but growing literature on empirically grounded studies of informal settlements and the realities faced by shack dwellers. The effects of government intervention in the upgrading of informal settlements to promote sustainable human settlement, without destroying and compromising the existing social ties in the informal settlement (Patel, 2012).

On the other hand, one may also argue that the provision of in-situ upgrading has a positive impact and is the fundamental approach to improve social capital in informal settlements. Hence, Pithouse (2008) agree on the limited presence of the government in informal settlements, for example, insufficiency and restricted provision of basic services such as sewerage, electricity, and rubbish collection limited regulating and minimal delivery of social services. This implies that informal settlements need to be holistic upgraded and have integrated service delivery from the government that caters to all the dynamics of social needs found in the informal settlements.

Moreover, the theory of citizen participation as one of the fundamental theories of this study assumes that an individual's ability to participate in the upgrading of informal settlements is usually dictated by getting job opportunities and influence decision making (Arnstein, 1969). However, even within this perspective, there are many benefits of participating during the upgrading of informal settlement and after the upgrading, such as access to knowledge, dissemination of information, transfer of skills, social network, interacting with other community members, form social groups and access to finance (Patel, 2012). Social networks, especially friends, family, and neighbors, can also be a principal source of finance in the informal settlements, given limited formal or informal finance options and organizations like stokvels to help each other within the settlements monetarily, as part of the livelihood strategy (Patel, 2012).

Furthermore, other scholars argue that social networks can come in different forms in informal settlements. According to Ross (2009) argues that the formations of social networks can arise through political or economic alliances of interest. Ross (2009) also argue that social networks may also be strengthened by an appeal to common culture and tradition that improves the importance of ethnicity, race, and language in constructions of collective identity. One may further allude that in most informal settlements, culture and politics are very crucial and common social features to everyone in the settlements and that build strong social ties.

Another social relation found in the informal settlements is social groups and the defining feature of a social group can be a specific collective identity such as a political, ethnic or religious identity (Patel, 2012). According to Patel (2012), social groups are shaped with the common interest and motive of helping each other within the settlement, for example, stokvels, woman clubs, youth organizations, and other Community-Based Organization CBOs. Moreover, other social relations are shaped by social, political, cultural and historic processes, and others are determined at birth, such as gender, ethnicity, and race (Tilly, 2005). These identities also determine kin and membership of belonging such as family or clan. Therefore, one can point out that, in-situ upgrading have positive impact to create sustainable human settlements because it maintains all the existing social relations and strengthen social capital that was already existing in the informal settlements before the upgrading of the settlement, and it allows houses to be built on the area where informal dwellers live, without relocating them and that encourage positive impact in terms of social cohesion amongst community member.

This section presented existing literature on the relationships between the community features that form social capital within informal settlements and social relations and went on to discuss how and why social relations and aspects of identity are significant in shaping social features in the informal settlements after the upgrading.

4.3.2 In-situ upgrading program in the South African context

The main objective of this program as contained in the South African Housing code (2009) is to facilitate the structured upgrading of informal settlements. It was noted in

the housing code that the challenges of informal settlements upgrading would be approached from a pragmatic perspective in the face of changing realities and many uncertainties (Aigbavboa, 2010). However, informal settlements are not to be viewed as merely a housing problem that requires a housing solution but rather as a manifestation of structural social change, the resolution of which requires multi-sectoral partnership, long-term commitment and political endurance (Aigbavboa, 2010).

In addition, Aigbavboa (2010) further alludes that, the program promotes the upgrading of informal settlements to achieve the following complex and interrelated policy objectives, such as tenure security, health, and safety, empowerment such as social and economic development as well as social cohesion to promote sustainable human settlements in all areas categorized as informal settlements in South African cities.

Cities Alliance (2011) argues that in-situ upgrading as an approach seeks to improve the negative conditions within informal settlements without destroying social relations, economic or physical capital and involvements are formulated in association with informal settlement residents to design and discuss their development. Ziblim (2013) argues that, in-situ upgrading as developing an existing informal settlement where it is located by gradually extending to the residents, infrastructure, land tenure, and social services. This means that informal dwellers continue to stay in their area while development is taking place. According to Masiteng (2012), in-situ upgrading in South Africa is an alternative to other informal settlement upgrading approaches that have been employed in the past such as relocation to Greenfield housing projects for informal settlement dwellers.

One can agree that in-situ upgrading enables the informal dwellers to stay in their community but still get access to better housing and infrastructure. Hunter and Posel (2012) believe that the movement of shack dwellers Abahlali baseMjondolo influenced the upgrading of informal settlement program (UISP) that was coined with the Breaking New Ground (BNG) policy to accept informal settlements as part of the feature of urban life and favor in-situ upgrading wherever possible. On the other hand, Masiteng (2012) argues that the option of in-situ upgrading minimizes the disturbance to social and monetary systems by decreasing the number of family units that are migrated to another

site or somewhere else on the site. Hence, Patel (2009) denotes that South African strategies towards informal settlements are in line with an international pattern that supports in-situ upgrading rather than relocation.

In comparison to relocation where there is socio-economic disruption, in-situ upgrading is more likely to be responsive to poverty and vulnerability and it culminates in better social inclusion (Marais and Ntema, 2013). Whereas relocation plans are typically motivated on grounds of adverse geological conditions (National Department of Human Settlements, 1994). The participatory in-situ upgrade of informal settlements is widely considered international best practice in current approaches to alleviate poverty and strengthen social cohesion in order to ensure sustainable human settlements.

For the purpose of this study in-situ upgrading refers to upgrading that takes place at Inanda White City. The in-situ upgrading approach is relevant to this study because the main aim of the study is to evaluate the social impact of in-situ upgrading housing development in creating sustainable human settlements using the case study of Inanda White City area.

4.3.3. Insufficiency of basic services in the informal settlements upgrading the Case study of Mshenguville, (Johannesburg)

The case study used is Mshenguville, which is an informal settlement located in Atteridgeville 20 kilometers away from the west of Pretoria Tshwane district (Bosman, 2014). The area was established in 1988 when the state land which was previously owned by the South African Defense Force (SADF) was invaded by homeless people. The land now belongs to Tshwane Municipality and most of the residents are retrenched mineworkers and farmworkers, some of the residents were removed from Marabastad during the operational clean up by the Tshwane municipality (Bosman,2014).

However other residents had been staying in back rooms in Atteridgeville and needed a piece of land on which to settle. The first occupants of the land were about 3100 families and currently, the Mshenguville settlement is estimated to house approximately 40 to 80 000 families (Bosman,2014). The use of this case study is comparable to

Nairobi because of social challenges. The residents of Mshenguville have no security of tenure. The residential plots sizes are small. Most of the shacks are composed of plastic, wood, cardboard and corrugated iron (Bosman, 2014).

Despite the long walk to freedom, housing condition remains the pressing issue in Mshenguville since the democratic era is not improving, the situation is worse in the area. Informal dwellers have been engaging in violent protests demanding service delivery from the government to provide housing, roads and basic services (Sowetan, 2013). According to ANC, (1994) the new government housing program under the Reconstruction and Development Program policy was adopted and implemented around the country commenced in 1997. Under this program, upgraded social services and settlements structures in other areas were improved.

However, Mshenguville Informal Settlements is still enduring the hardship of inadequate housing and lack of basic services (Bosman, 2014). Residents from Mshenguville lack access to services such as proper houses and land, sanitation, water, electricity waste removal services, road infrastructure and there is widespread poverty and unemployment in the area (Bosman, 2014).

Hence, infrastructure upgrading has become a serious issue in the local and provincial governments. Mshenguville informal settlements have very poor road construction, the streets are narrow, and that makes it difficult to access transport such as taxis, ambulance in the area (Bosman, 2014). There are no streetlights hence there is a high rate of crime and is not safe walking at night in the dark (Bosman, 2014). Moreover, Bosman (2014) indicates that residents are faced with an intractable condition in terms of solid waste, which is one where there is inadequate garbage and waste collection because collection did not take place on daily basis, due to lack of proper service. That led residents to dump household waste in the open space and between the houses exposing themselves to diseases such as cholera (Bosman, 2014). However, it is the responsibility of a municipality to deliver waste collection services.

Findings revealed that only a few residents were employed in the area and mostly irregular jobs and their incomes range was approximately R1500- R3000 (Bosman,

2014). They also rely on social grants and state pensions. Unemployment conditions have resulted in worsening poverty and hardship for Mshenguville residents. Despite the level of high economic growth, the level of unemployment is high, millions of people still live in informal settlements no proper houses and insufficient basic services in Mshenguville (Bosman, 2014).

4.3.3.1 Lesson learned from the Case Study

Lessons learned from the case study of Mshenguville in Johannesburg is that it is clear that with a lack of basic services, other health and life-threatening risks are the results of insufficient services within informal settlements. Government funding for the provision of basic services is cost to the state instead of an investment, but by looking at the provision of social services, local governments would be able to decrease several issues that are associated with the absence of basic services, while the government finds other means of addressing the issue of Mshenguville informal settlements.

4.3.4. Provision of basic services in the informal settlements upgrading, the Case Study of Lamontville, (eThekweni Municipality)

EThekweni municipality is located in Kwa-Zulu Natal province on the east coast of South Africa. It is the third most populated municipality in South Africa and has a humid subtropical climate (Pan, 2016). EThekweni Municipality is recognized as a sector leader in delivering water and sanitation services nationally and internationally, particularly for developing innovative services for informal settlements (Schneider, 2016).

However, the continued urbanization has resulted in the growth of informal settlements over the past several decades. The demand for housing in informal settlements is consequently very significant. As stipulated in the Housing Act, 1997 (Act No. 107 of 1997) and under section 26 of the Constitution of the Republic of South Africa, 1998 (Act No. 108 of 1996) everyone has the right to adequate housing. The state is required to take reasonable legislative steps to achieve this right. EThekweni Human Settlements is acting on the legislative requirement and has identified the need to provide formalized housing to residents of the Lamontville (Barcelona) area as the program of upgrading informal settlements areas (Groundworks, 2014). The Municipality has further identified

the need to provide these areas with basic services such as electricity, potable water, and appropriate sewage disposal.

The Lamontville Ministerial Housing Project was approved in 2007 by the Department of Human Settlements as a “*slums clearance*” project designed to eradicate informal settlements at Lamontville (Groundworks, 2014). Like many other informal settlements within eThekweni Municipality and throughout the country, informal settlements at Lamontville were created because of a combination of many factors including rapid urbanization and a lack of housing provision since the Lamontville Township was established in the 1950s (Groundworks, 2014).

Therefore, the National Housing Policy was used to provide various housing subsidy programs and the one that was used to apply and secure funding for the project was Upgrading of Informal Settlements Program. Hence there was a lack of basic services, therefore government intervention was needed in the area. However, in-situ upgrading was initiated to upgrade the living conditions of poor people by providing secure tenure and access to basic services and housing. The program was successful because it further recognizes that access to basic services, secure tenure, and a house provides a springboard to households to improve their social and economic circumstances. Another subsidy program utilized was Housing Assistance in Emergency Circumstances in order to provide temporary housing during the upgrading of informal settlements at Lamontville (Groundworks, 2014).

Moreover, all informal settlements are characterized by conditions of insufficient basic services. Another striking characteristic of these informal settlements is their location on very steep and difficult land that renders developers very expensive and difficult to develop (Groundworks, 2014).

Lamontville falls within three wards 69, 74 and 75, all wards are settled with informal settlements. It was detected that a balance should be maintained to deliver the development in a manner that will be equitable and avoid community discontentment (Groundworks, 2014). Hence the development was implemented on a roll-over basis. This means that Informal settlements to be developed were identified, households were

registered, and some of them were temporarily relocated into temporary housing, informal settlements cleared, services installed, houses built, and qualifying beneficiaries allocated new houses built in accordance with the approved specifications (Groundworks, 2014). Thereafter, the process was repeated, and construction rolled over to the next part of the same settlement or next settlement to be developed (Groundworks, 2014).

With reference to this case study, it is important to note that the eThekweni Housing Department shifted its focus on upgrading informal settlements, but they considered the provision of infrastructure, which consists of bulk infrastructures such as electricity, proper roads, access to water and sanitation and other social amenities. This shows the success and effectiveness of implementing the informal settlements upgrading program with the aim to create sustainable human settlements (Tenza, 2018).

The National Housing Policy states that to ensure that fragile community social networks are not compromised and to empower communities to take charge of their own settlements, one of the basic tenets of the Upgrading of Informal Settlements program is that beneficiary communities must be involved throughout the project cycle (Breaking New Ground, 2004). Thus, the aim of the program is to bring social cohesion, stability, and security in integrated developments and to create jobs and economic wellbeing for communities that did not previously have access to land and business services, formal housing and social and economic amenities (Breaking New Ground, 2004).

This case study also enlightens the economic aspect of sustainability in community development by highlighting that, the informal settlements program contributed to employment opportunities, business and subcontracting opportunities were created for local people (Groundworks, 2014). Therefore, apart from delivering much needed basic services and houses, many Lamontville people have benefited economically through various opportunities created during the implementation of the project.

Success factors of this program in Lamontville were the delivery of quality services and houses that have been passed by the Municipality, Department of Human Settlements

and National Home Builders Registration Council NHBRC (Groundworks, 2014). The creation of employment and economic opportunities during the implementation of the project, local people were employed. In relation to the study, social capital and human capital were also promoted through the Project Steering Committee that ensures equal representatives, participation, consultation and sharing of ideas and information among all role players (Groundworks, 2014).

4.3.4.1 Lesson learned from the Case Study

The lessons learned from the above case studies is that most challenges emanating from informal settlements are the result of lack of government intervention. However, lessons can be grown from the fact that policy evaluation must be ensured in order to identify the ineffectiveness of housing delivery. Housing and infrastructure are typically prioritized and dealt with in isolation from other important supports or interventions such as economic development, health care, crime prevention, education and the provision of social services.

The identified case studies have provided important information on lessons learned with regards to best practices in the informal settlements upgrading. Eradication thought might be necessary for some instances; however, if it is not well structured and planned, it does expand more problems on the informal settlement dweller's poor living conditions. However, one direction that should not be overlooked in incorporating the informal settlements to the large society is the improvement of the lives of those living in them. If this is not done, no matter the level of upgrading may be, informal settlements will be a reality that the government will have to put up with, in order to mitigate the growth of informal settlements in urban areas.

4.4 Legislative and policy framework

Informal settlements in South Africa continued to grow despite extensive government-subsidized housing delivery since 1994. Launched in 2004, the Informal Settlement Upgrading Program has a dedicated subsidy mechanism and is part of the refinement of the National Housing Policy in the form of 'Breaking New Ground': A Comprehensive Plan for the Development of Sustainable Human Settlements. The Informal Settlement Upgrading Program calls for a paradigm shift in relation to informal settlement

intervention (Huchzermeyer and Karam, 2006:41). The program is guided by a set of legislation that is discussed in this section. Each one of these declarations aims to improve living conditions and eradicate informal settlements. Hence it should be noted that upgrading informal settlement programs are principled by the above declarations (National Housing Code Part 3, 2009).

The overview of the following legislative framework is important to this study because it clarifies which main legislative documents housing policy is dependent upon for guidelines on housing programs and implementation processes. Also, this will further reveal the legislative framework under which the informal settlements upgrading program operates.

4.4.1 The constitution of the Republic of South Africa Act, 1996

The Constitution of the Republic of South Africa, 1996 stipulates that *everyone has a right to have access to adequate housing. The state must take reasonable legislative and other measures, within its available resources, to achieve the progressive realization of this right* (Republic of South Africa, 1996:11). Housing policy is one of the core mechanisms used to fulfill this right, hence the need to understand the process and the implications of its implementation (Ngwenya, 2016). However, the constitution brings the legal foundation of South Africa, sets out all duties and rights of South Africa's citizens and defines the structure of the governance and government towards the provision of housing (Tenza, 2018).

The current constitution which is the fifth was drawn up by the elected parliamentary government of 1994 which was the African National Congress (ANC), which was also the first non-racial elections South Africa had ever seen. The constitution was broadcasted by the former and late President, Nelson Mandela on the 18th of December 1996 and came into effect on 4 February 1997 (Tenza, 2018). Housing policy in South Africa has evolved greatly over the years, from the apartheid era to the post-apartheid era to the present democratic era. Many positive improvements and amendments have been made to housing, but it has also been affected by numerous negative circumstances particularly the growth of informal settlements in the country.

This legislation is relevant to this study since the constitution governs the right to adequate housing. The Constitution of South Africa (1996) encompasses clear and justiciable provisions in Section 26 that guarantee individuals the right to adequate housing. Section 26 of the Constitution of South Africa (1996) states that "everyone has the right to adequate housing", and Section 2 of the same Article orders the Government to take reasonable legislative and other measures, within its available resources to achieve the progressive realization of this right. The constitution of South Africa (1996) additionally states in Section 3 that "no one may be evicted from their home, or have their home demolished, without an order of the court made after considering all the relevant circumstances (Tenza, 2018).

Moreover, Section 26 of the Constitution of South Africa (1996) stipulates the principal legislative framework whereby all national policies and programs on adequate housing including informal settlement upgrading originate their legitimacy and support in South Africa in response to housing backlog (South Africa, 1996). However, chapter three of the Constitution of South Africa (1996) also encompasses provisions pertaining to Cooperative Governance that also forms an important aspect of processes in the informal settlement upgrading (Tenza, 2018).

The constitution is relevant to this study because it governs the provision of adequate housing in South Africa, and it encourages people to exercise their rights and the government responds to people's rights by providing government-funded housing. For this study the Constitution of South Africa (1996) plays a fundamental role in the case study of Inanda, through the provision of in-situ upgrading housing development, people have access to adequate housing. Therefore, this study evaluates the social impact of in-situ upgrading housing development as a method to give access to adequate housing in the area of Inanda White City considering the provision of basic services in the area.

4.4.2 The Housing Act of 1997 (Act No.107 of 1997)

This South Africa's housing Act No.107 of 1997, it presents the current housing subsidy delivery strategy. The Act is a milestone piece of legislation that sets out principles behind the realization of housing rights (United Nations Human Settlement Program, 2006). The Act provides for a sustainable process of housing development by laying

down the general principles that govern the housing process in all the spheres of the government (Tissington, 2011). Moreover, Ziblim (2013) mentioned that the act contains relevant provisions under Section two which obligate local government to ensure a non-discriminatory, pro-poor, racially integrated and participatory process of informal settlement upgrading based on the principles of good governance (Tenza, 2018).

In relation to this study, the Housing Act is fundamental in directing and instructing the processes and methods of in-situ upgrading of informal settlements, which has been envisioned to facilitate the creation of sustainable human settlements that are integrated within the city that end the social exclusion from urban centers in South Africa (Ziblim, 2013). The objectives of the Act have been met in most cities in South Africa although the government still needs to make sure that the implementation of this Act is carried out properly. The Act further contains relevant provisions under Section 2, which oblige municipalities to ensure a non-discriminatory, pro-poor, racially integrated, and participatory process to upgrade informal settlements based on the principles of good governance (Magubane, 2016).

4.4.3 The Housing White Paper of 1994

The White Paper on housing (1994) emerged from the National Housing Forum (NHF) process and was influenced by the broad principles and targets of the ANC's Reconstruction and Development Program (RDP) which committed the ANC government to the delivery of one million subsidized houses in five years (Dawson, 2014). Given the scale of the housing backlog and the urgency of the need, the focus for the post-apartheid government was on delivering housing options to as many previously evicted South Africans as quickly as possible. As a result, the policy explicitly adopted an approach of quantity over quality with subsidies kept small and leading to service standards relating to basic services such as sanitation, water and roads often being dropped (Dawson, 2014). This White Paper was the first post-apartheid housing policy to be adopted by the new democratic government (African National Congress, 1994). Since 1994, several housing programs have been implemented in pursuit of the ideals of this landmark policy document, culminating in a significant policy shift in 2004, with the launch of BNG (Ziblim, 2013).

The Public Involvement Programs (PIPs) were promoted to enhance people to be able to have a say on their own housing development. Moreover, the Housing White Paper on its policies and strategies, it is indicated that fully encourages and supports initiatives emerging from communities. It also states that aim at promoting local compacts aimed at equipping and empowering people to control their own economic empowerment and development of their physical environment of satisfaction on their basic needs (World Bank, 1996). One may point out that housing white paper 1994 is one of the most keys documents that was introduced to redress all the imbalances of the past. Furthermore, the policy commits to reaches out to the development standards of living of poor people and marginalized with the result of ensuring that no one is neglected to get housing and commits to bringing change for a better living for all citizens.

In relation to this study Housing White Paper is relevant because it sought to *“create viably, integrated settlements where households could access opportunities, infrastructure and services, within which all South African people will have access on a progressive basis, to a permanent residential structure with secure tenure, ensuring privacy and providing adequate protection against the elements, portable water, sanitary facilities including waste disposal and domestic electricity supply”* (Tissington, 2010, 33). Hence this study evaluates the effectiveness of housing policy from the Housing White Paper till the current housing policy the Breaking New Ground (BNG) through the in-situ upgrading program as a method to create sustainable human settlements with all the above-mentioned services in response to housing backlog in South Africa.

4.4.4 The Breaking New Ground Housing Policy (BNG)

During the period of 2002 to 2003, the National Department of Human Settlements (DHS) undertook a comprehensive review of its housing programs in order to provide a new policy direction, to address various problems and establish a research agenda to inform and support policy decision making within the housing program (Dawson, 2014). There was a significant shift towards a more local government-centered and state-driven process of housing delivery, away from a private developer-driven approach (Dawson, 2014). The BNG marked a shift from the delivery of RDP houses to a broader

range of housing programs. The three programs which have been prioritized for housing delivery include the Integrated Residential Development Program (IRDP), the Upgrading Informal Settlements Program (UISP), and the Social/Rental Housing Program (Dawson, 2014).

The Upgrading of Informal Settlements Program (UISP) was a result of the BNG policy document which was adopted in 2004 by the South African government. According to Tissington (2011), the aim of BNG was to supplement the delivery of well-located housing of suitable quality through various innovative, demand-driven housing programs and projects.

Moreover, there is a debate around the BNG policy as to exactly how new and innovative the policy is, through evaluating the implementation of policy in practice as written on paper. Charlton and Kihato (2006) argue that BNG did not clearly introduce any new policy direction and it should be understood within the context of the President's proposals on housing policy at the time. In 2004 during the state of the Nation Address, the former ANC President Thabo Mbeki promised that the NDoH would present to the Cabinet a policy document that addressed human settlements and social infrastructure within three months (Tissington, 2011). However, Charlton and Kihato (2006) believe that there was political pressure for the department to generate a new document that engaged with socio-economic issues around human settlements.

Furthermore, it has been argued that BNG lacks a clear strategic direction and that the policy was confusing and disappointing given the extensive research and consultation process that occurs before it was formulated (Charlton and Kihato, 2006). The identified scholars further allude that, despite the refinement, the document does not clearly demonstrate a unifying conceptual foundation that offers policy direction into the future. On the other hand, various academics and housing practitioners have pointed out that, eradication of informal settlements discourse is somewhat confused with the political discourse that focuses on the inferiority of informality and the need to eradicate the blight of shacks and poverty (Tissington, 2011). However, such discourse is opposed to the notion of upgrading informal settlements through the provision of social services and

tenure in order to create sustainable human settlements to overcome the spatial, social and economic exclusion for informal dwellers.

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

Furthermore, BNG built on the basic principles of the 1994 White Paper on Housing, meaning that it ensures adequate housing. Ziblim (2013) points out that it diverges in a number of ways from previous national housing programs, including the importance it places on informal settlement upgrading as part of efforts to deliver adequate housing to the poor in South Africa. Nevertheless, Huchzermeyer (2008) and COHRE (2005) note that with concern the use of the term 'eradication' of informal settlements in the BNG policy document. Eradication or elimination means some use of force to wipe out all informal settlements in South African cities. McLean (2006) denotes that despite the adoption of BNG, the urban poor is still being housed in project-linked housing developments located on the urban outskirts. However, according to Tissington (2011), the UISP seeks to supplement pre-existing mechanisms and housing instruments to facilitate a housing delivery system that is more responsive, flexible and effective.

The findings reveal that, the Breaking New Ground policy has not failed in terms of providing homes to the previously disadvantaged sector of the South African public, looking at the fact that the government has put a budget of over R30 billion for the fiscal year of 2013/14 (Trusler, 2009). However, the delivery rates are well below what was required to achieve the eradication of all informal settlements by the year 2014 (Trusler, 2009).

One can agree that there was a need to shift the official policy response to informal settlements from one of conflict or negligence, to one of integration and cooperation, leading to the stabilization and integration of informal settlements areas into the broader

urban fabric (Breaking New Ground, 2004). Yet the new human settlements plan adopts a phased in-situ upgrading approach to informal settlements. Thus, the plan supports the eradication of informal settlements through in-situ upgrading in desired locations, coupled with the relocation of households where development is not possible or desirable (Trusler, 2009). Relocation is used as a last resort during the upgrading of informal settlements, it also destroys social ties for community members. The funding mechanism for upgrading is accordingly introduced to support upgrading on an area, as opposed to an individual basis. This approach maintains a fragile community network, minimize disruption, and enhance community participation in all aspects of the development solution (BNG, 2004). The policy sought to achieve the following specific objectives:

- Accelerate the delivery of housing as a key strategy for poverty alleviation;
- Utilize the provision of housing as a major job creation strategy;
- Leverage growth in the economy;
- Combat crime promote social cohesion and improve the quality of life of the poor;
- Support the functioning of the entire residential property market to reduce duality within the sector by breaking the barriers between the first economy residential property boom and the second economy slump.
- More importantly, utilize housing as a tool for the development of sustainable human settlements, in support of urban restructuring.

For the purpose of this study, the focus is based on one objective of the policy focusing on, combating crime, promote social cohesion and improve the quality of life of the poor during informal settlement upgrading to create sustainable human settlements (Department of Human Settlements, 2004). This study evaluates the social impact of in-situ upgrading as a tool for the development of sustainable human settlements in the Inanda White City area.

4.4.5 Housing Code, 2009- the upgrading of informal settlements program (UISP)

According to (Tissington, 2011) National Housing Code (2009) was first published in 2000, in the accordance with the South African Housing Act which set out the underlying policy principles, guidelines and norms and standards which apply to the National Housing Programs. However, it has been indicated that some of the housing programs have been updated or removed after the adoption of BNG in 2004. In 2009 the Housing Code was revised and published.

According to Chapter 13 of the National Housing Code (2009) the challenges of informal settlements upgrading must be approached from a pragmatic perspective in the face of changing realities and many uncertainties, meaning that it should not be seen as simply a housing problem, instead it should be recognized as the tool of underlying social change, a solution which calls for a multi-sectoral partnership with long-term commitment from government (Ziblim, 2013).

The introduction of the Breaking New Ground Framework in 2004 resulted in the formulation of the Informal Settlement Upgrading Program which was mandated to provide the platform to initiate upgrading projects which do not require project-linked housing subsidy finance (Development Action Group, 2007). However, the critics since the introduction of the program are that the government has only focused on an approach aimed to eradicate informality (Department of Housing, 2004). Either through evictions or highly technocratic and often market-driven infrastructure development upgrading programs (Huchzermeyer, 2004). This has negative implications for informal dwellers because it difficult to consume and access market-driven infrastructure.

However, the Minister of Housing in 2004 highlighted the need for government intervention to improve conditions in informal settlements. A lack of infrastructure and effective governance were two key areas identified as being in need of improvement. Informal settlements have insufficient water, sanitation, electricity, ventilation, food preparation and storage and such conditions are associated with a range of high health risks such as respiratory diseases and the hazards of fire (Richard, 2006).

On the other hand, Shaw (2001) indicates that social problems are the core challenges facing informal settlements in South Africa for example crime, that affect residents in informal settlements where they become more fearful at night due to the lack of basic policing, services and infrastructure and this increases the risk of victimization. Based on the report from the National Department of Housing (2007) it was indicated that Informal Settlement Upgrading Programs has not matched the rapid delivery of housing pace by the coordinated supply of social infrastructure such as schools, clinics, sports and recreation facilities, hence the policy encourages the provision of housing with bulk infrastructure to create sustainable human settlements with easy access to social amenities. Therefore, for this study, the program requires an investigation by the municipalities into the feasibility of in-situ upgrading and assumes that relocation is necessary in some cases, but only as a last resort (Aigbavboa, 2010).

The UISP offers grants to accredited municipalities to undertake sustainable housing development projects aimed at improving the conditions of slum communities. The main idea is to facilitate phased in-situ upgrading of informal settlements as the strategy of choice where possible (Housing Code Part 3, 2009). For the purpose of the study, the approach is relevant to the study because it also considers social cohesion, the security of tenure and economic development. However, in an additional break from the past, the program seeks to provide phased upgrading, beginning with basic services and possibly ending with the provision of a top structure (Tissington, 2011).

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

4.5 Conclusion

The conclusion can be drawn from the various policies, legislations, and programs of housing in South Africa that have been discussed above. The literature review in this chapter has extensively explained the informal settlements phenomenon in South Africa and the responses to informal settlements from the international community. However,

literature has shown in-situ upgrading as the most practical and ideal approach to deal with social issues presented by informal settlements, laying out policy and program intentions and their shortcomings in addressing social issues in the informal settlements.

This chapter contributes to the body of literature on informal settlements; hence the existing literature has been explored to give a better understanding of the background of the nature of informal settlements both at the international and local context with the use of case studies. The use of various legislations and policies was effective to demonstrate the various approach towards upgrading informal settlements in South Africa. Legislations and policies were used to support the study and provide principles of upgrading informal settlements with the provision of basic services to ensure sustainable human settlements. In the next chapter, the study discusses the historical background of the Inanda White City area as the case study where the in-situ upgrading was implemented.

CHAPTER FIVE: BACKGROUND INFORMATION OF THE STUDY AREA

5.1 Introduction

This chapter provides the geographical location and historical background of Inanda, under eThekweni Municipality. It further provides demographics, social amenities and the environmental issues of the case study. Nevertheless, this chapter discusses the livelihood strategies of the people of Inanda and their development with specific reference to the White City area. For this study, the selected case study is the White City area, which is an informal settlement where an in-situ upgrading housing development was implemented to create a sustainable human settlement.

5.2 EThekweni municipality

EThekweni Municipality (EM) is located on the east coast of South Africa in the Province of KwaZulu-Natal (KZN) (EThekweni Municipality, 2017). The eThekweni Municipality (EM) like all other developing cities, is subject to high rates of in-migration from rural areas and small towns in KZN, and other parts of Southern Africa. This has resulted in a rate of urbanization and population increase within the eThekweni municipality and that caused challenges to housing developments because of the number of new residents requiring housing and services increases (EThekweni Municipality, 2017). There are 110 wards found within the eThekweni Municipality jurisdiction and the eThekweni municipality is one of 11 districts in KwaZulu-Natal. EThekweni municipality is dominated by a population of approximately 3,442,361 people who speak isiZulu (Stats, 2015). The municipality is formed by seven formerly independent local councils and tribal land (Tenza, 2018).

Moreover, the eThekweni City Density Strategy (ECDS) (2013) estimated that, at a growth rate of 1.1% p.a, the population of the eThekweni Municipality Area (EMA) will grow to 4.4 million by 2030, with an additional 775,000 people. However, global trends indicate that a projection of 1.1% annual growth might be too low because cities across the world now accommodate 3.5 billion people or fifty percent of the world's population (EThekweni Municipality, 2017).

However, South African cities are generally dynamic and have fast-growing populations, eThekweni is no exception with the majority of this growth happening on the urban

periphery where it is easier to access land. EThekweni Municipality consists of a diverse society that faces various social, economic, environmental and governance challenges. However, for this study, the demonstration of the eThekweni Municipality brings an understanding of the demarcation and spatial development frameworks of the informal settlements upgrading development in areas that are deemed as informal settlements within eThekweni municipality using the case study of Inanda White City Area.

Map 1: EThekweni Locality Map



Source: (Google Maps, 2019)

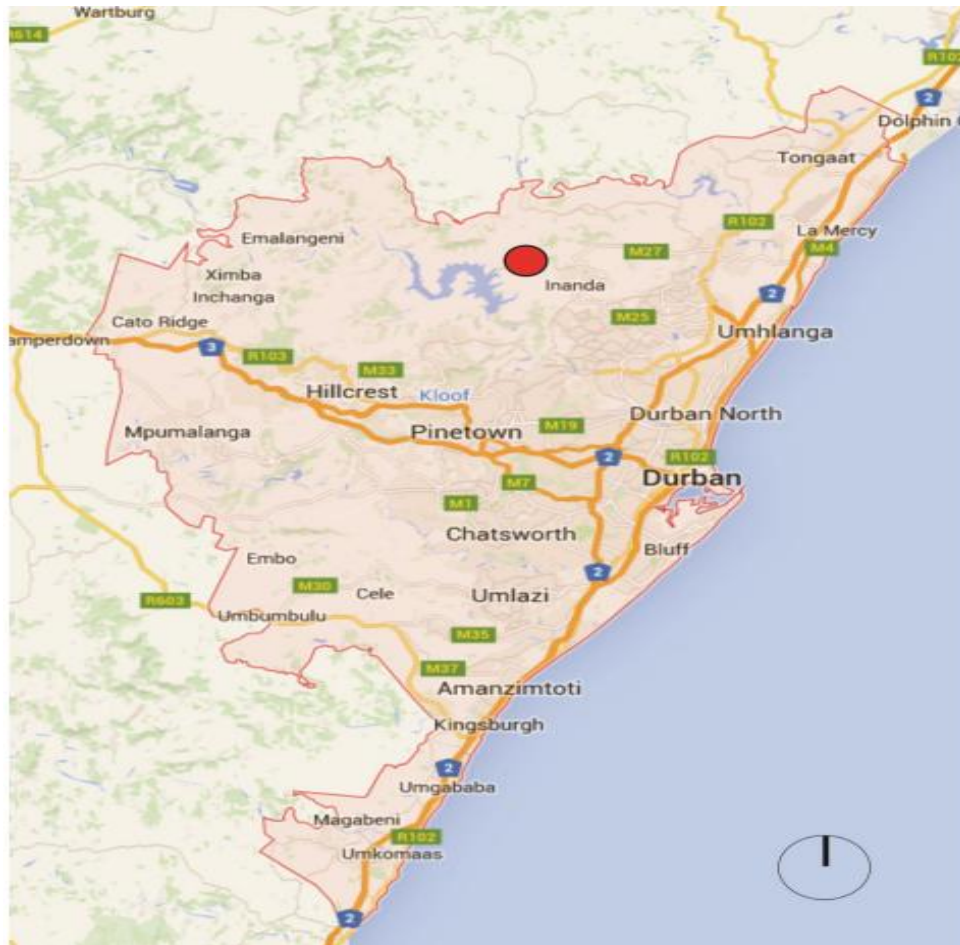
5.3 Geographical location of Inanda

Inanda Township is located in the north of KwaZulu-Natal 24 km inland from the Durban CBD. It is populated by mostly isiZulu speaking black Africans as well as Xhosas and people of other traditions. Inanda is a mixed formal and informal settlement located under the eThekweni region of KwaZulu-Natal. The eThekweni (Durban) city center which is one of the major economic centers of the county with the massive economic generator so-called Durban harbor with lots of economic activities situated within the jurisdiction of eThekweni municipality adjacent to the settlements of Phoenix, Inanda, Ntuzuma and KwaMashu (Mathabela, 2011).

Inanda forms part of a predominantly residential area property node known by the acronym of INK (Inanda, Ntuzuma, and KwaMashu) (Mathabela, 2011). However, with the addition of Phoenix, the node is now referred to as PINK (Froise and Moffett, 2015). These areas PINK comprises the primary node known as Bridge City Mall. INK share common challenges including relatively high levels of unemployment, poverty, low-income levels, limited access to social services and business services (Mathabela, 2011). However, the identified settlements are located far away from the city, but they do have the advantage of being near the economic activities of the Phoenix industrial area and the commercial node which is Bridge City Mall (Mathabela, 2011).

As noted, the case study is located at Inanda which is the oldest of the four areas comprising PINK. Inanda was established in the 1800s as a 'reserve' for African people. A great number of the local Indian population also resided in the area until 1936, when it was designated as 'Released Area' for exclusive occupation by Africans (DPLG, 2009). The area consists of predominantly informal settlements and has a considerable formal housing backlog (Tshishonga and Bandyambona, 2016). Figure 2 below is a map showing the geographical location of the Inanda settlement where the study was conducted.

Map 2: Geographical Location of Inanda



Source: (Google Maps, 2019)

5.4 Historical background of Inanda Township

The name Inanda is a Zulu name that means 'Pleasant Place' (Zungu, 2016). Inanda was an entirely rural area until the 1950s. Thereafter because of drought and apartheid policy which aimed at undermining indigenous people from rural areas, people were unable to cope with the pressure applied upon them by the apartheid system (Ngceshu and Ncwane, 2003). Hence, they moved towards Durban seeking jobs where they had no residential area prepared for them. During the forced removals from Cato Manor, residents who were employed were relocated to KwaMashu and those who were unemployed were made to leave the city altogether (Ngceshu and Ncwane, 2003). Those who were unemployed and left homeless moved to Inanda.

Therefore, Inanda landowners who were also undergoing hard times due to drought saw an opportunity to make money, they rented out plots of land for additional income rather than relying on crop farming (Ngceshu and Ncwane, 2003). This was essentially the beginning of the urbanization of Inanda (Zungu, 2016). The forced removals had a significant impact in the Inanda area. The 1970s saw an influx of people from different rural areas, especially drought-stricken areas. The 1980s saw Inanda changing from being a shantytown to a high-density settlement with high levels of unemployment (Ulwazi, 2015).

Inanda is unique from other townships because of its complex mix of urban pull and rural push factors that were contained in the apartheid policy, whereby the majority of people moved from their place of origins 'rural areas' with the purpose of seeking jobs in Durban (Ulwazi, 2015). Hence, their major social bonding factor was poverty. In the mid-80s the growing population of Inanda was seen as nothing other than a temporal settlement by authorities who did not seem to be having any plan to develop the area. An explanation for this neglect was that most lands were privately owned and therefore landowners were refusing to release land for compensation since they suspected that the money was going to be less (Ngceshu and Ncwane, 2003).

Moreover, Inanda is the most representative place in terms of cultural and tribal diversities of the country. Hence, different settlements in Inanda are different in terms of ethnic composition but principally it is predominantly Zulu speaking people followed by Xhosa speaking especially in the informal settlements like at Gandhi Settlement known as Bhambayi, White City and Amaoti (Maharaj, 2012). There are many other ethnic groups who are viewed as permanent residents because of the time they spent in the area. However, there are no major conflicts that develop from this situation except minor cultural tension that is taking a class than an ethnic character (Ngceshu and Ncwane, 2003). Social cohesion activities like homeboy clubs where community members form a soccer club and stokvels where community members come together to lease money or invest in food from one another have a long history that is evolving with the changing environment. No major development has taken place because of the number of factors such as the question of land ownership, lack of coordinated approach to the overall

development, the influx of people from rural areas and elsewhere, and constant invasion of vacant lands by newcomers (Ngceshu and Ncwane, 2003).

Inanda has a significant historical background in South Africa since it is also known as the home of the first president of the ANC, John Langalibalele Dube, who was a major landowner in Inanda (Ngceshu and Ncwane, 2003). Inanda is also a second home and place of operation for Mahatma Gandhi and the birthplace of uShembe a Nazareth Baptist Church leader. Inanda was the place where Dr. Nelson Mandela cast his first vote in South Africa's first democratic election at Uhlanga High School in 1994 (Ngceshu and Ncwane, 2003). The apartheid and colonial planning of townships in Africa and South Africa were characterized by segregation based on class and race and has resulted in many diverse development issues. According to CoGTA (2009: 4), the South African townships were racially engineered through what is known as the Group Areas Act of 1950 and were designed to maintain exclusion through the containment and control of mainly non-white laborers (CoGTA, 2009: 4).

According to Maharaj (2012) the segregation and lack of adequate planning of townships have resulted in them being neglected and characterized by underdevelopment, poor access, poverty and hardship, and insufficient transport links. Post-1994, the democratic government planned numerous strategies to solve the underdevelopment and fight against the poverty experienced by the majority. Inanda was identified as an area of neglect and underdevelopment with a high percentage of poor people when compared to other townships (Maharaj, 2012). The political contestation and land tenure impasse that dominated Inanda hindered development and delayed service delivery in the area. Inanda is significant and unique because of its political history and religion as mentioned above.

However, Inanda was established as a satellite of Durban under the apartheid regime. The area's development and administration were the mandate of the Natal Provincial Authority (NPA). The area was populated by predominantly black people between the years of 1846 and 1910 and this was followed by an influx of Indian indentured laborers into the area. Influx control, which was introduced by the Native Amendment Act of 1952, resulted in the formation of townships to house Africans who were forcibly

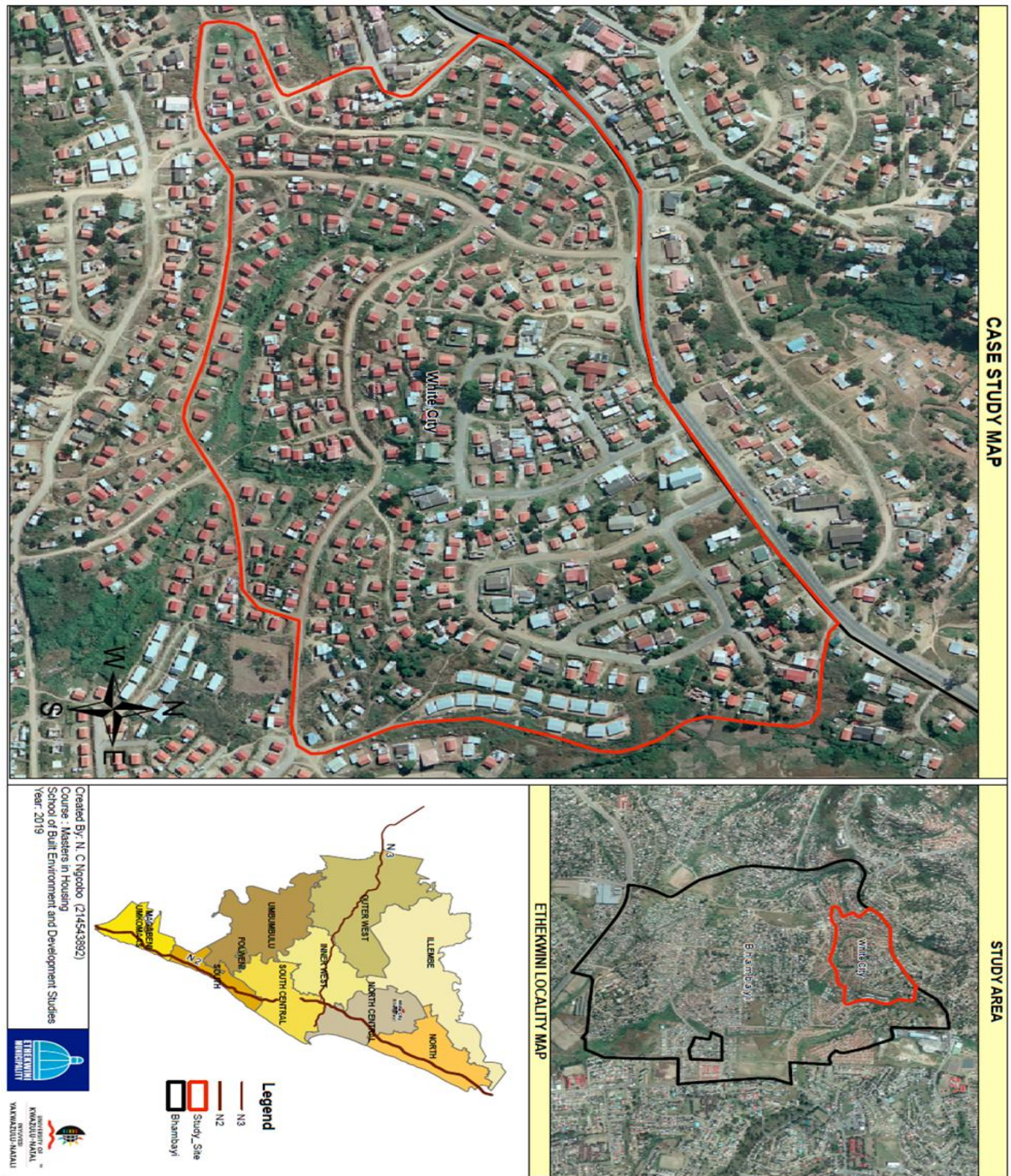
removed from suburbs nearby the city (Inanda Development Forum, 1995). Inanda is facing the issue of population growth with the concomitant demand for land. Inanda was denied access to development planning budgets due to its unusual political problems and its remote rural location of nearly 30 km from the city. The area is part of Durban's largest residential cluster and is categorized by insufficient infrastructure and services in both quantity and quality (Maharaj, 2012).

5.4.1 White City Area

White City area is an informal settlement situated at Inanda and it forms part of the most popular informal settlement called Bhambayi settlement previously known as Gandhi settlement. The Gandhi settlement trust area was founded by Mahatma Gandhi in 1904, which is within the area of Bhambayi. Mathabela (1999) and Maharaj (2012) mentions that the settlement was purchased by Gandhi and subsequently given to a Trust with the intention of establishing a new form of social expression. The settlement was home to several Gandhi's children for many years until 1985 when extensive social disturbances in Inanda forced the Indian people out of the area.

White City was invaded and, over the years, became a major informal settlement earmarked for development. According to Mathabela (1999), in the past years, the settlement consisted of at least 3 000 structures, with most of those housing more than one family. The City Council made available from its development budget an estimated 12 million Rands (R12 000 000) for development in the whole Bhambayi. However, before any real progress could be made political violence erupted and the unstable environment led to delays in the development of the area (Maharaj, 2012). The area is dominated by people who stayed in the area for more than 20 years, and they have strong social ties. Map 3 below shows the case study from the eThekweni Municipality as a whole. Boundaries of the case study within the area of Inanda are highlighted with black which is Bhambayi, and the case study White City is indicated in red (see the map below). The topography map below clearly indicates the upgraded settlement with formal housing units that were built by the eThekweni municipality in White City.

Map 3: The Maps below illustrate the location of White City within Inanda.



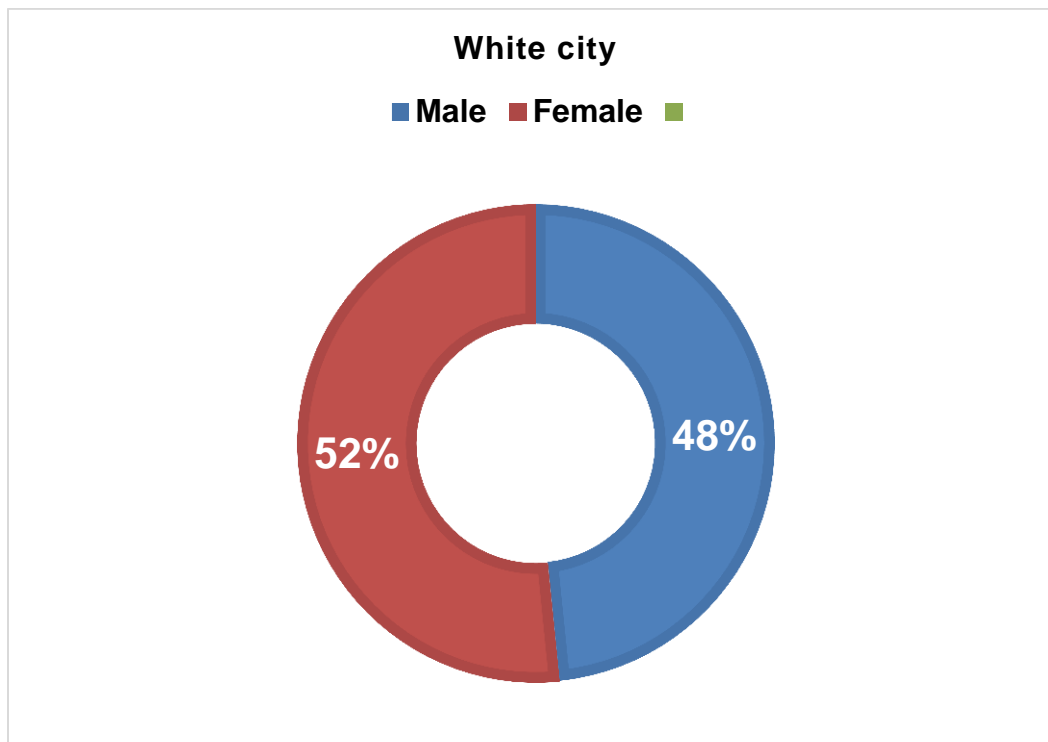
Source: (Authors Own, 2019)

5.4.2 Socio-economic information of White City

5.4.2.1 Demographics

The number of inhabitants in White City is nearly 100% African with a total population of 26 231. IsiZulu is the dominant language in White City with a high percentage. This can be concluded by saying that, in terms of housing, the area was upgraded by the municipality as indicated on the map above although there are still some informal structures like shacks in the backyard accommodation and self-built houses. The dominant language one can see that it is a place where there are few other languages except isiZulu. However, most households in the area consist of one to three members and in addition to this, other households accommodate four to seven people in their homes (Ngcshu and Nwene, 2002). Youth development need to be a priority in Inanda and surrounding townships including Ntuzuma and KwaMashu, hence youth development is mandatory. According to the 2011 census information, it is indicated that females are the most dominant gender in White City with 52% of the total population of the area and 48% are males. This implies that there is a smaller number of males in the area as compared to females. The figure below indicates the difference between the two in terms of gender population with reference to the White City area.

Figure 2 Population by Gender



Source: Census 2011, Statistics South Africa (2011)

The figure below depicts the type of houses that were built in White City during the upgrading of informal settlements. To maximize the use of land and provide basic services, the high-density solution was therefore proposed, and an appropriate design concept was inspected. However, it was concluded that free-standing units were the most appropriate housing typology that was suitable for White City Housing development. The units comprise a 40 m² top structure unit with two bedrooms, a bathroom, and a lounge/kitchen area. The project area yielded 337 housing units.

Figure 3: White City Housing Typology



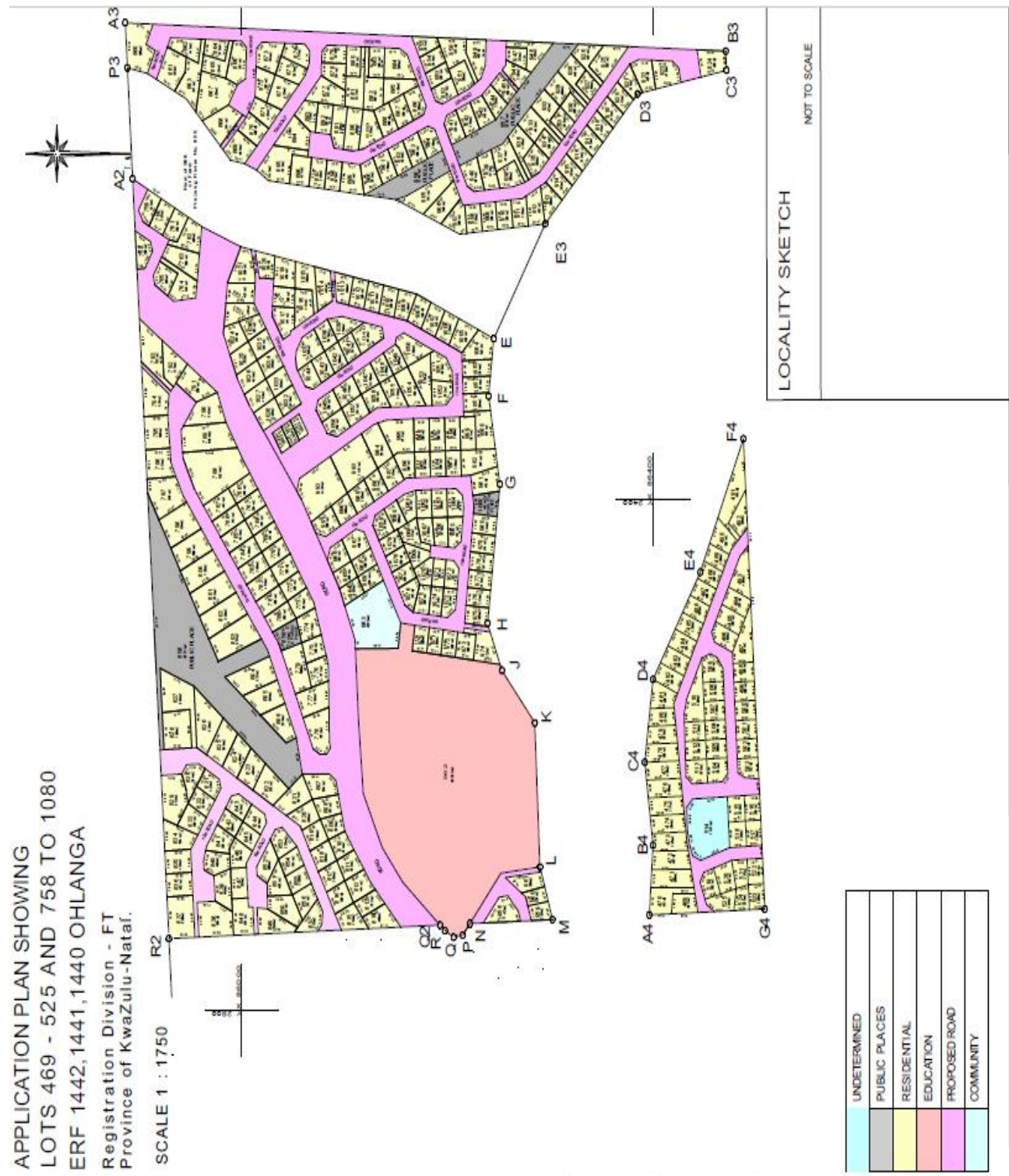
Source: (Field Survey, 2019)

Source: (Field Survey, 2019)

5.4.3 Social amenities in White City

White City has unique settings when it comes to social amenities. This is influenced by the land-use patterns that are found in the area. Informal settlements in South Africa are characterized by profound inequalities in access to basic services such as water, sanitation, electricity, educational facilities, parks, halls, clinics, and other public services. However, the study outlines that, most of the social amenities are scattered in Inanda particularly in White City, hence there is an unequal distribution of social services. Many social amenities are found in adjacent areas, such as Amaoti, Ohlange, Dube Village, Phoenix, and Bhambayi settlement. The municipal layout map below shows the availability of social amenities within the area and adjacent areas (Department of Human Settlement, housing and infrastructure units, 2010).

Map 4: Social Amenities in White City



Source: (Department of Human Settlement, housing and infrastructure units, 2010)

5.4.4 Educational facilities

White City has insufficient educational facilities apart from one formal crèche. People from White City rely on adjacent areas to access educational facilities. The surrounding areas of White City consist of three primary schools in different locations within Inanda, which is Gandhi Primary School, Zwakele Primary School, and Nhlonipho Primary School. High schools that are located closest to White City are iNanda Newtown Comprehensive high school, Amandlethu High School and Ohlange High School. There is only one FET College that is closest to White City, which is Elangeni FET College. However, one may perceive as a workable distance from White City to educational facilities identified below that are found in the adjacent areas. The images below depict the educational facilities that are found within and surrounding White City.

Figure 4 below depicts one of the formal crèches that is found in the area. This crèche accommodates a large number of children residing in the area. The crèche consists of two classrooms for small children and two for pre-school. The identified crèche is situated next to municipal offices (Counsellors Office). However, there are other forms of crèches that are found in the area. In some instances, informal crechès happens whereby a neighbor takes responsibility to stay with a child during the day and be responsible for a child as a childcare worker and look over children when their parents are at work and he/she gets paid for that at the end of the month. This situation usually happens because of strong social relationships between neighbors.

Figure 4: White City Crèche



Source: (Field Survey, 2019)

Figure 5 illustrates one of the primary schools that is close to the study area White City among other primary schools found adjacent to the area. The name of the school is Nhlonipho primary school. It is within ward 57, however, many students from White City attend their primary classes in the identified school because it approximates 10 to 15 minutes of walking distance. It is close to the mode of transport because it is situated next to the local distributor, therefore it is easy to access from road to school. Nhlonipho primary school starts from the foundation phase which is grade R to the last grade of the primary which is grade 7.

Figure 5: Nhlonipho Primary School



Source: (Field Survey, 2019)

Figure 6 below depicts the municipal offices of ward 57. This office operates under eThekweni Municipality. It well located within the White City area; every development of White City is discussed in this office by a community committee, leaders, counselor and other stakeholders from different institutions.

Figure 6: Municipal Office



Source: (Field Survey, 2019)

Figure 7 below depicts churches that are found in White City. These two churches do not belong to the municipality; hence they are only used for church purposes. However, many people in the area go to these churches. The church is another place for social cohesion where people build strong social bonds by interacting with one another. The area consists of religious people. Many people in the area go to church every Sunday. The availability of churches in the area improves social capital among community members because it where community members share their compassion with one another and have a common interest. One may point out that, churches have a positive impact when it comes to social cohesion because it where there are no inequalities in terms of the standard of living, everyone is like one another and driven by a common interest, therefore it easy to have social relationships.

Figure 7: Churches



Source: (Field Survey, 2019)

Figures 8 and 9 depict the municipal parks that are found in the area, however, one can mention that it another source of open space where community members can interact and socialize. The park and pedestrian users may enter anywhere they wish, and that is not safe for everyone who uses the park more especially children within the area as well as the environment. However, the park is well located in the center of the whole area with a comfortable working distance from any side of the area.

5.4.5 Recreational Facilities

Figure 8: Park in White City

Figure 9: Adjacent Neighborhood



Source: (Field Survey, 2019)

Source: (Field Survey, 2019)

White City has insufficient water supply and sanitation. The lack of proper water supply and sanitation services degrades water quality in rivers, seas, and lakes. Local people in White City often directly depend on these water bodies for their water needs and they suffer the most because there is a lack of water supply in the area. The provision of water supply and sanitation services is an important part of building communities that can take control of their lives and make real strides on the path to sustainable development (Ubilava, 2003). The following figure 10 depicts the standpipe that is used by other community members because of the shortage of water supply to their houses and the manhole found in the area.

Figure 10: Water and Sanitation



Source: (Field Survey, 2019)

Source: (Field Survey, 2019)

The area consists of the inadequate supply of water and sanitation, hence it was indicated during data collection that, other beneficiaries are still struggling to access water from their homes hence they walk a long distance in order to get water because they do not have taps on their yards. Sanitation was described as the problem in the area, the picture above shows the type of manholes that are found in the area. This simply indicates the level of risks that may be caused by the poor installation of sewer

manholes, because they always leaking and that is harmful to the health of the community members more especially on children.

5.4.6 Livelihood strategies

Figure 11: Tuck Shop



Source: (Field Survey, 2019)

During data collection, it was found that in White City numerous people use different ways of generating income but most of them they rely on tuck-shops. However, tuck-shops are an easier way of generating income to many households in White City as indicated in figure 11 above. In the study area, the researcher found that most households with tuck-shops are more developed in terms of housing structure as opposed to other houses in the area (Tenza, 2018). Nevertheless, their standard of living improved because of in-situ upgrading housing development because they are imposed on new livelihood strategies within the area. However, there are many means to generate income that the researcher also observed in the study area such as

carwash, panel beaters, tire fitments, mini taxis, taverns, recycling of bottles as well as salons.

The Figure (12) below depicts informal sector that is found adjacent the study area such as street vendors, selling clothes and figure (13) depicts mini taxis (service offered mainly to the taxis), this type of transport helps the many people in the area when they have heavy loads or groceries. They hire them to deliver belongings at a reasonable price but it a local delivery.

Figure 12: street vendors



Source: (Field Survey, 2019)

Figure13: mini taxis (Omamba)



Source: (Field Survey, 2019)

Many people within the study area depend on recycling bottles from waste as their livelihood strategy. Despite the health and social problems associated with recycling of bottles, it provides significant economic benefits to several people in the White City. It also promotes good environmental conditions within the area. However, the activity of waste management through recycling of bottles in the area is thus completed by individuals or family groups. According to Wilson (2006) states that waste recycling is carried out by mostly informal dwellers and marginalized social groups who resort to

scavenging for income generation and some even for everyday survival. This statement is relevant to the study because most people use waste recycling as their livelihood strategy, as a form of generating income for everyday survival because they are unemployed, therefore they rely on recycling bottles. They wake every day and collect bottles around the area and break them into small pieces so that, they can put them to the container (see figure 14 below).

Furthermore, the recycling of glass (trashed and refundable bottles), and cans (steel and aluminum) has a positive impact on reducing poverty within the study area because many people use it as a livelihood strategy. It has been mentioned that, when the waste picker is done with his or her container usually, they request from the solid waste network that the waste be collected every two months and they would receive between R1350 and R1700 for bottles and R3000 for cans. This would be an estimate of 5000 kilograms of bottles and 3000 kilograms of cans since they get paid R0.35 per kg for bottles and R1 per kg for cans. Although it may not help to buy everything that household needs, it makes a lot of difference in their households, especially with regards to buying groceries, electricity and paying for school fees of children.

Figure 14: Recycling of Bottles



Source: (Field Survey, 2019)

Source: (Field Survey, 2019)

5.5 Conclusion

This chapter gives a holistic overview and background of the study area in White City within Bhambayi. The researcher started by giving a background to the municipality that governs White City to get an idea of where in-situ upgrading comes from. To get a better understanding of the case study area, iNanda was used to categorize the township to understand the dynamics of Bhambayi. White City, as the case study area, explained in-depth with regards to household sizes and services found on site as these all revolve around the provision of basic services in the upgrading of informal settlements to promote social cohesion through in-situ upgrading. This chapter further provided maps and visuals of services found in and around the study area. Visuals public and social facilities were also provided to give a better socio-economic status of White City livelihood strategies that are existing in the area.

CHAPTER SIX: DATA PRESENTATION, ANALYSIS, AND INTERPRETATION

6.1 Introduction

This chapter presents the research findings, analysis, and interpretation of data collected using interviews from the ward councilor, municipal officials, beneficiaries of White City in-situ upgrading housing development projects. The objectives of this study were used as reference themes to allow for a thematic analysis of the data collected. The purpose of this study was to evaluate the social impact of in-situ upgrading housing development in creating sustainable human settlements in the Inanda Township. The findings of this research were used as indicators to evaluate the social impact of in-situ upgrading, with the purpose of understanding how in-situ upgrading has impacted in terms of social capital and social cohesion during the upgrading of the informal settlement in creating sustainable human settlements at Inanda.

The principles and objectives of the upgrading of informal settlements program and the national housing code aim to take the advantage towards the impact of the in-situ upgrading program by assisting as many households as possible to get basic services prior to the delivery of housing, and targets the success of the national goal of the upgrading of all informal settlements in South Africa. In addition, the living conditions before and after the upgrading was investigated through a comparative analysis. Findings were presented with the aid of graphs, tables, maps, and pictures to illustrate the analysis. The objectives of in-situ upgrading emphasize the provision of tenure security, health, and safety, empowerment such as social and economic development as well as social cohesion to promote sustainable human settlements in all areas categorized as informal settlements in South African cities (Aigbavboa, 2010).

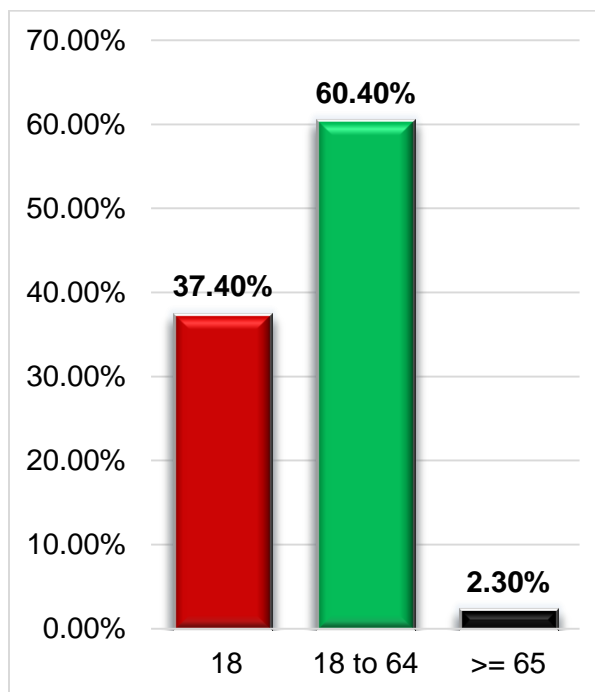
6.2 Socio-economic Overview

The data was collected in the form of field surveys, photos, interviews, and observations had been used to assess social aspects of the beneficiaries in White City. The findings revealed that, in terms of socio-economic analysis, the area is dominated by low-income people with different means of generating income, such as stokvels, tuck shops, waste recycling and other sources of income.

6.3 Demographics of White City area

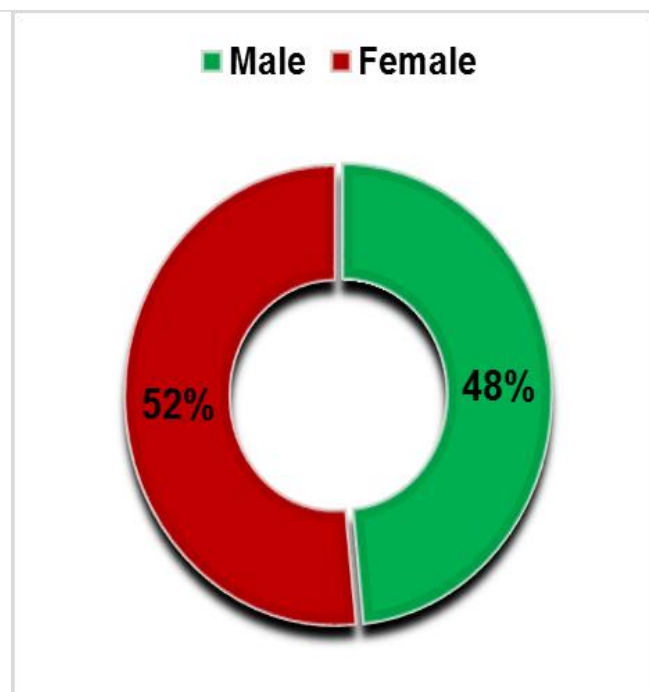
Graph 1 below depicts the population by age in White City and graph 2 depicts the gender population. The findings revealed that the majority age group in White City consists of 60.40% between the age of 18-64. However, one can state that it is a huge gap in terms of age scale within the settlement (Census, 2011). On the other hand, graph 2 depicts the population by gender whereby it is evident that there is a high percentage of females as compared to males as discussed in 5.4.2 in the previous chapter. Graphs 2 below illustrate a female dominant more population with 52% than males in White City settlement. During data collection, those under 18 years old had no representation in the study as there were no child-headed households who benefited from the informal settlement upgrading program in White City.

Graph 1: Population by Age



Source: (Field Survey, 2019)

Graph 2: Population by Gender



Source: (Field Survey, 2019)

6.3.1 Population by Group

The findings revealed that the study area is dominated by the Black African group which takes 99.4% of the whole population. However, table 1 below shows that there are no other groups found in White City. It is mainly dominated by blacks only since they were moved to townships.

Table 1: Population by Group

Population group	Percentage
Black African	99.4%
Coloured	0.2%
Indian or Asian	0.2%
White	0%
Other	0.2%

Source: (Field Survey, 2019)

6.3.2 Language

The findings revealed that IsiZulu is the dominant language in White City with a percentage of 86% of the total population. This can be concluded by saying that the area is an informal settlement that consists of many Zulu speaking people coming from rural areas with the purpose of seeking job opportunities. The second dominated language is IsiXhosa and it can be stated that they came to the area with the same purpose of economic gains. However, most of the people who participated in the researcher's questionnaires had also a fair level of understanding English language, but they preferred to speak their first language mostly IsiZulu in order for them to be comfortable and comprehend the questions and discussion. The table below shows the percentage of languages that are found in White City.

Table 2: Showing Languages found in White City

Languages	Percentage
Afrikaans	0.4%
English	2%
IsiNdebele	1.6%
IsiXhosa	5.7%
IsiZulu	86%
Sesotho	1%
Setswana	0.7%
Sign language	0.7%
Siswati	0.2%
Other	1.2%

Source: (Field Survey, 2019)

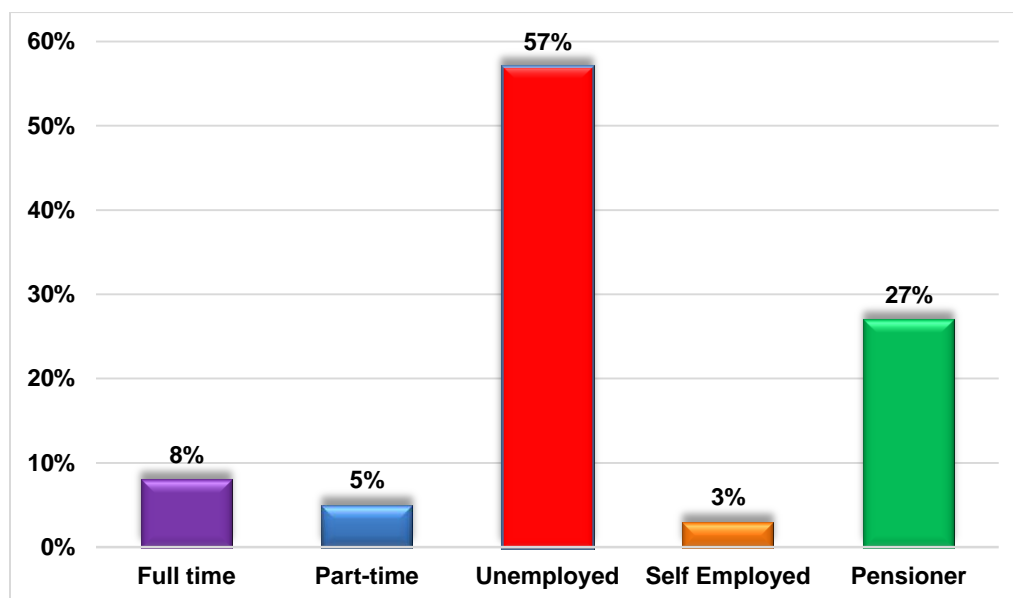
6.3.3 Employment status

Graph 3 below illustrates that 57% of the 37 interviewed participants were unemployed. However, the findings revealed that most of the participants were engaged in the informal sector. Only two participants were lucky to find permanent formal jobs. The study found that most of the participants were unemployed, thus the reason why there is such a high level of poverty in White City. Most of the unemployed females rely more on social grants to survive whilst they are looking for employment. The graph shows that few participants are self-employed, mainly as street vendors selling vegetables/fruits, beadwork and other stuff, but they do not make much profit from their goods. A few numbers of the self-employed participate in illegal selling of alcohol in their local taverns situated within the area as a way of survival.

These results show that the beneficiaries rely heavily on the informal sector and that they have lower-level income as a way of sustaining their livelihoods. As most of the

employed rely on unskilled employment such as cleaners, gardeners, and vendors with little wage, the growing reliance on social grants and pensions because of the challenges and hardships pertaining to their socio-economic status. However, participants mentioned that, although their standard of living is low, they are grateful to be the beneficiaries of these housing project, because now they have formal housing structure and some of them were part of the project and they were trained and gained skills which they now use to put food on the table for their families, some of those skills were bricklaying, plastering, roofing, and painting.

Graph 3 Showing employment status of White City

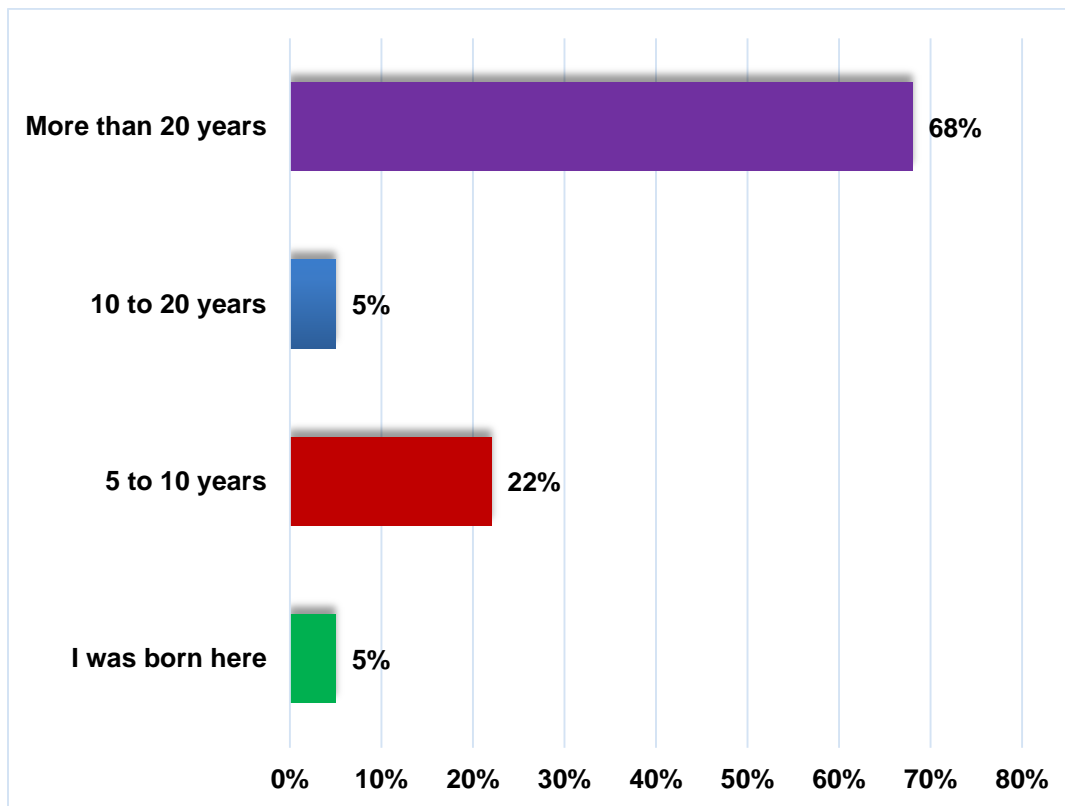


Source: (Field Survey, 2019)

6.3.4 Duration of stay in White City

Graph 4 below depicts that most beneficiaries in White City have been residing in the area for over 20 years, many people have been living in White City before the municipality initiated the plan to upgrade the area. This information in the graph below guides this study in assessing how the implementation of in-situ upgrading has changed the lives of the people in this area.

Graph 4: Showing the duration of stay in White City

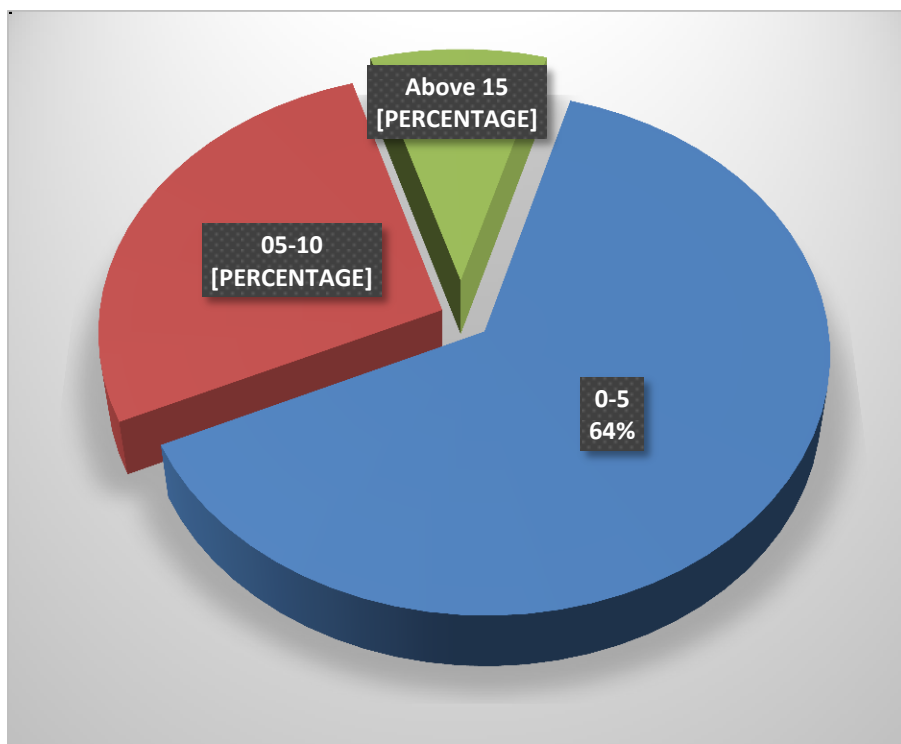


Source: (Field Survey, 2019)

6.3.5 Average household size

The findings revealed that the area consists of an average number of people per household is five members. However, as a result of an average of five members staying in one household, it becomes a high demand for the municipality to prioritize and provides basic services to beneficiaries (Zungu,2016). Graph 5 below indicates the average household size that is found in the area. Approximately 27% of households ranged between five members per household which is consistent with the national household size of 5-10 members per household (Stats SA, 2011). However, there are many backyard houses researchers observed during data collection.

Graph 5: illustrate the average household size for White City



Source: (Field Survey, 2019)

1.Reasons that made you choose to come and settle in this area.

Reasons vary from each participant but most agreed that they settled in the area, as they had no suitable place to stay and some because of the Apartheid system which led to unemployment. However, one of the male participants explained that;

“I left home, Eshowe, to come and search for work before 1994, but as I had no relatives in Durban, I had to settle in these informal settlements with a friend who owned one of ‘umjondolo’ shack. However, as time went by, I found a job as a security guard and then got a spot to build my own shelter using wood in order for me to have shelter.”

Other participants came from rural areas and found jobs (self-employed) in the informal sector, hence they decided to reside in close proximity to their place of work, close to Phoenix and Bester Industrial area in order to avoid transport costs. Another female participant decided to settle in the area because;

“I was requested by my husband to come and stay with him so that I can help with household tasks when he is working nightshifts as well as also help out with remittances by selling chips, sweets, cigarettes on the main road to send back home in rural areas.”

In addition, some of the participants reported that they came to settle in the area because it was much cheaper than renting a room in the townships, thus they needed all the money to save for their children’s school fees as well as food. From this report given by the participants, the researcher found that most people have moved from their place of origin to better their standards of living and livelihood strategies around the city and to avoid hunger. Thus, the reason why people built informal settlements on vacant land on the outskirts of the city was that they cannot afford to stay in cities/suburbs. For this study, it was found that informal dwellers become united when they are staying together in the informal settlements and they develop common interest as a community to live in the area.

6.4 The impact of in-situ upgrading on social capital and cohesion in White City.

The findings revealed that an effectively implemented program of in-situ upgrading housing development can result in positive social impact by strengthening the existing social ties and promotes social cohesion during the upgrading of informal settlements. However, in relation to this study, the underpinning principles of social capital theory implies that bonding and bridging social capital are usually increased and strengthened by the involvement of beneficiaries in the project. This was evidenced by the findings of this study. This section presents the findings that were conducted by the researcher during data collection on the social impact of the in-situ upgrading program in creating sustainable human settlements.

Participants were asked by the researcher to identify features in their lives where the in-situ upgrading program had a positive impact. Beneficiaries pointed out that the upgrading of their settlement improved social capital and social cohesion because the relationships that they had among family members, the community, friends, their loved ones and the communal property were not disturbed. They reported that social ties and bonds amongst household members and the community had not been disrupted, instead in-situ upgrading helped them to strengthen their relationships. They were

happier and cheerful with each other because now they live in an environment that is conducive to social coherence and tolerance for one another as compared to before the upgrading.

The findings revealed that, regardless of the level of income and inequalities amongst households being considered, relationships between individuals and groups were at the center of social cohesion. Also, the findings show that the formation of relationships can occur in several ways in White City. The formation that was intentional during the project was to build social capital and social cohesion by ensuring that community members were communicating and given job opportunities to be part of the project and they were divided into groups to perform different tasks during the construction phases and the implementation of top structures. This, in turn, led to interaction, networking, and exchange of knowledge and transfer of skills that also contributed to social capital in the area. However, the male participant mentioned that they benefited a lot from the project in terms of human capital, others were able to learn bricklaying skills and other skills such as roofing, plumbing, etc.

In relation to the study, findings revealed that in White City churches are significant because they provide a place for assembly activities where citizens interact with each other through religion. Families and community members foster partnerships among community groups as indicated in chapter 3 above. Therefore, this partnership results in the sharing and maximizing resources and become more united as citizens of the area, it also helps community members to develop healthy behaviors, and promote healthy families which in turn contribute to social cohesion and sustainable human settlements.

6.4.1 Community organizations

Community organizations play a fundamental role in strengthening social capital and social cohesion in the informal settlement (Beckeley, 1994). The findings revealed that in White City there is only one organization that is operating effectively in the area, and the mandates of the organization were to alleviate poverty and promote cohesion in the area. The type of organization is an NGO which is a feeding scheme that works with the department of social development to alleviate poverty.

However, findings revealed that political organizations were keen to be a problem in White City and those organizations had a strong influence to destroy social cohesion and solidarity amongst community members in the whole area. Participants stated that after the elections in 2016, there was a change of local counselors in their ward that led to drastically political division between community members. Huchzermeyer (2010) states that political agendas at different levels of the local and national governments have also been accused of interference in upgrading efforts at the expense of the residents who become political pawns. This statement links with the findings of this study because the researcher found that political affiliation was the major influence of division among community members in White City. Thus, based on the data collection experience, other beneficiaries refused to participate in the interview session during data collection because they thought it was part of the oppositional party with a political agenda. This emphasizes the power of politics in the local community that breaks social cohesion and solidarity amongst community members.

Figure 15 below depicts the organization that was found in White City during data collection. It is a feeding scheme organization that operates on a daily basis in the area, they provide soup to the community members that are in need of food to alleviate poverty. The organization works with the government department of social development. However, the participants mentioned that the organization helps them to have food to eat every evening. They come with their own dishes to collect soup and have it with rice at home for supper.

Figure 15: illustrate the existing municipal feeding scheme



Source: (Field Survey, 2019)

6.4.2 Social relations

Beneficiaries reported that they valued the social networks they have developed with each other in White City. One of the few reasons they valued social networks among others was due to the bonds developed from helping each other through difficulties before upgrading and after the upgrading. Moreover, participants were asked if the relationship was still the same with their friends since they are now the beneficiary of a house. Findings revealed that most of the beneficiaries have friends in the area and they have been friends for more than 20 years, meaning that they have strong social ties in terms of their social relations.

1. Do you have friends in the area?

“One of the male participants, Yes, I do have friends in the area, and we have been friends years ago for more than 20 years. We always happy and drink together, every time he visits me, and I visit him as well we have a strong bond and I treat him as my brother. Even my relatives always visit me because we respect each other, and we have strong social ties as a family.”

The White City housing project findings revealed that through social interaction residents get to know each other and strengthen social networking and social cohesion which in turn offer the residents access to information, friendship, and social and practical support. This is specifically tailored for people who mainly rely on the neighbors for their day-to-day activities and their social contacts. The availability of the shopping mall and supermarkets adjacent to the neighborhood plays a vital role in integrating community members, which also leads to the promotion of social cohesion because social cohesion is achieved through social interaction.

Furthermore, households with young children and elderly people, profit more from these social interactions. Participants mentioned that in most cases, social interaction is found in the schools, shopping malls, and supermarkets as well as churches that are found within and surrounding neighborhoods. The social interaction can range from a minor connection that is caused by people greeting one another, or a discussion between a buyer and a seller. The sharing of information can lead to the formation of strong social ties and human capital. One may point out that, social facilities within and around White City are places for strong social bonding, places where friends and families trade and interact with one another and, in a sense and a form of the family regardless of different backgrounds. Social cohesion is thus promoted with the availability of the above-mentioned features of social interacting. Such social interactions provide the basis for bonds among individuals and are produced through interactions in daily life.

6.5 Human capital after the upgrading of informal settlements

6.5.1 Community participation

The findings revealed that community participation was encouraged during the upgrading of informal settlements in White City. The municipality together with the local counselor informed people about the project and explained to them that the program provides local people with opportunities to be employed and take part in the project. However, findings revealed that few people were participating in the project.

Moreover, one may point out that, in most cases, Neighborhood conditions may also affect the development of bonding social capital, because community participation may be found critical to the development of social capital because of different priorities among community members (Usher, 2005). Whereas citizen participation is perceived to play a crucial role in the formation of social capital, especially through creating and sustaining voluntary organizations and disseminating information to promote human capital in the area (Cuoto, 1999).

According to Onyenemezu (2014), community participation is about engaging with one another to solve community problems and ensure development. Citizen's participation needs to be fully achieved in a project because when citizens are fully involved in the projects or programs, the chances of them being satisfied are high. However, Ojuah (2012) states that community participation brings a source of special vision, knowledge, experience, and information, all of which play a vital role in making certain the soundness of solutions to community problems and strengthen social cohesion in the community members. The findings of the study revealed that there was partially participation in White city during the implementation of the in-situ upgrading project. Participants mentioned that there were few community members that were part of the project from the initial phase to the end of the project.

However, the Arnstein's ladder of citizen participation theory emphasis on power and decision making is central to the concept of direct citizen participation (Roberts, 2003). Arnstein on the ladder of participation clearly differentiates citizen participation from manipulation and tokenism (Arnstein, 1969). For this study, the female participant mentioned that their decisions were not considered during the meetings with the

counselor hence they were told about the project without consulting them. Other beneficiaries felt that the selection of community members who were going to be part of the project and given employment opportunities were those who are close to the counselor and those who are registered to a certain political party. Based on the findings collected from the study area, it was indicated that during the project the ladder of participation reflection was the top-down approach which was in the middle rungs of the ladder of participation which is informing, consultation, and placation that represent tokenism (Arnstein, 1969). Whereby community members were aware of the project because the counselor informed them and they were able to point out their opinions about the project, but they felt that, there was no assurance that their opinions were taken into consideration when the decision-making process took place.

On the other hand, the findings revealed that as much as the beneficiaries were not fully involved, there was an element of sustainable human settlement because human capital was achieved during the in-situ upgrading housing development, with the fact that beneficiaries were attending the meeting. During data collection, participants were asked about their experience of participation in the community meetings with regards to their housing development. Beneficiaries mentioned that it was helpful for them to get information that they did not know about the processes of housing and to understand different ideas of community members with regards to housing, and they were able to unpack social challenges that were caused by informal settlements. However, those who were lucky to be employed were able to get skills from the project and they now use those skills to generate income.

6.5.2 Social Groups

The findings revealed that social capital was entrenched from the existing social groups in White City. During data collection, beneficiaries alluded that stokvels and soccer clubs are the crucial features of social cohesion in the area.

This concurs that stokvels are a form of social capital that serves as insurance for many poor communities. Where the middle class may have access to some sort of credit from the banks, these individuals belonging to stokvels, usually from the lower Living

Standards Measures (LSM), often do not have the luxury of financial institution support (Gukurume, 2013).

For this study, findings show that in-situ upgrading was the best option for the municipality to implement in White City to enhance human capital through social groups, stokvels without destroying the existing social ties. Participants mentioned that they are happy within their stokvel because they know each other they have been members of the Stokvel since 2007 before the upgrading project, and Stokvel helps them to save money for groceries at the end of the year. They believe that it was going to be difficult for them to join new members from other places if they were relocated from the area, therefor in-situ upgrading was the best option to enhance their social interaction.

6.6 Living conditions of beneficiaries before and after in-situ upgrading

6.6.1 Beneficiary's perceptions of informal settlement upgrading.

The study revealed that in White City there was misunderstanding in terms of separating or clustering the first group to benefits from the project, others they did not want to be the last who get houses, hence the municipality wanted to provide samples of the housing structure to show beneficiaries the type of houses they were keen to provide for them. Participants mentioned that there were conflicts amongst community members, others questioning the provision of sample houses because they believed that the housing structure and material used were not the same with the type of houses the municipality presented to them. This was highlighted by participants during data collection as the challenge they faced during the initiation phase of the project.

Hence, other beneficiaries were happy about the upgrading of their settlement. On the other hand, findings show that other beneficiaries were complaining about poor quality houses that were provided by the municipality. Another male participant pointed out that his house was built on an environment that is not conducive to the housing structure. He stated that there is water all over the site and that course the walls track because the house is not stable due to water.

From the findings regarding the living conditions in White City, one can point out that, although some people have services such as water and electricity. Development

services provision should be promoted because many beneficiaries were complaining about the insufficiency of basic services in the area. Municipality should consider that people are poor and there is lack of basic services therefore, other beneficiaries are in need of basics services such as electricity, water, proper road infrastructure, retaining walls for those who are located in steep slopes, thus improvement should be vital in order to face the vulnerability challenges faced by beneficiaries in White City.

6.6.2 Sense of belonging

The findings revealed that in-situ upgrading has a positive impact because it gives beneficiaries access to housing which shelters them from weather elements. Sense of belonging and space in the community along with the peace of mind as stated in the Constitution of the Republic of South Africa section 26 that *Everyone has a right to access adequate housing*. This resembles the fact that beneficiaries have an affirmation of their legal rights to their properties. However, in White City beneficiaries were still waiting for their title deeds. Beneficiaries alluded that they utilized their houses in different forms for different purposes and they have more opportunities regarding income generation.

Also, other beneficiaries use their houses for home enterprise purposes to generate income other beneficiaries could now operate businesses efficiently in their houses with available service connection rather than in an informal settlement, as space was limited and not business-friendly, hence they were living in the same room with the family. Beneficiaries having their own fenced lawns and well-designed neighborhood layout that helped to reduce crime with very few hidden spaces allowing easier policing of the area (Zungu, 2016).

6.7 Services and Amenities provided

The quality of life contained within human settlements, or the satisfaction of social needs through housing, is not reducible to social amenities and basic services (Nkambule, 2012). The in-situ upgrading program delivered basic services as mandated in the Housing Code of 2009. The provision of basic services like water, sanitation, roads, electricity, and waste management systems in White City has changed the lives of many people positively since the upgrading of informal settlement projects was

initiated. Findings revealed that the use of electricity has made life more convenient for people with its use to provide power. Participants mentioned that the provision of electricity helped them to start small businesses such as tuck-shops, taverns, and other activities to sustain their lives. On the other hand, beneficiaries also complained about payments for water and electricity and the insufficiency of basic services in other areas as well as the exposed manholes in the area.

Moreover, findings revealed that most participants in the area have similar challenges when it comes to the accessibility of basic services. During data collection, most participants alluded that the provision of basic services is inadequate in the area, hence other community members have poor water supply in their households. There is an illegal water connection that is caused by the insufficiency of water supply hence the Breaking New Ground policy mandates the provision of adequate housing with all necessary services (BNG, 2004). Based on the findings that were collected by the researcher, it was clear that there is a poor provision of basic services and infrastructure in White City.

For example, some beneficiaries have no tap water, meaning that they walk a long distance to get access to water that is provided by the municipality standpipe and that resulted in illegal water supply people were connecting water from municipal water pipes to their houses as indicated in the previous chapter figure 13. On the other hand, the same participants also mentioned that, after the upgrading of informal settlement through housing, the municipality promised them to provide services in the area such as water, proper sanitation, electricity as well as infrastructure but that was not implemented, and they are still waiting for proper provision of basic services because other members of the community were provided.

Furthermore, table 3 below shows the social amenities that were found in the area and adjacent area. Findings revealed that beneficiaries were not happy with social facilities that are located adjacent to the study area because of long-distance. Despite this complaint, there was a consensus among beneficiaries that the service delivery was insufficient.

Table 3: illustrate social amenities provided in White City

Social Amenities	Within the Study Area	Adjacent Areas
Clinic		3
Educational Facilities	1	
Police Station		2
Community Hall		2
Open Space- Parks	1	
Post Office		1
Shopping Mall		1

Source: (Field Survey, 2019)

Referring to table 3 above under social amenities, only one creche on the column of educational facilities was found in the area. Beneficiaries were not satisfied with the lack of amenities provided because they had to walk a long distance to access social amenities that are located adjacent to White City with appropriate 40 minutes walking distance. Others rely on local mini taxes if they want to access social amenities. Participants mentioned that the area is in need of several amenities such as a recreational area, community whole and police station that is closer to the area because crime is another pressing issue in White City.

Figure 16: illustrate the mobile clinic that is found in White City

Figure 16 below depicts the Mobile Clinic that is found in the area, findings revealed that the mobile clinic comes once a week and is located far from many households in the area. Beneficiaries were complaining about the insufficiency of services in the area, they mentioned that it is important for the whole community to have a clinic or a nearby clinic within the neighborhood and neighboring communities that are within a walkable distance to cater for the elderly and young, as they needed monthly check-ups and urgent care. The findings revealed that most beneficiaries were not happy about their children playing in unsafe spaces including roads because they were no recreational spaces for them to play in and leisure areas for the whole community to enjoy.



Source: (Field Survey, 2019)

6.8 Professional Stakeholders of the Upgrading Project in White City

6.8.1 Project Manager Interview

EThekwini municipality is an implementing agency that is responsible for housing development projects and services for local communities within the jurisdiction of the municipality. EThekwini Municipality Human Settlements unit division is an important role player in the provision of housing within the Northern Region. Informal settlements upgrading around the eThekwini municipality Northern Region was planned by the division of the human settlement as they were the main key role players in the provision of sustainable human settlements. Future development plans for White City that eThekwini municipality human settlements have, had to be considered when the human settlement unit division conceptualized the provision of basic services and upgrading of informal settlements. The following questions were asked the project manager from eThekwini municipality human settlements units during data collection.

1. How long did it took you to complete the project?

“The project commenced in 2011 till today the project is still not complete due to issues within the projects. The project manager explained that the project is still under the provision of all necessary services, hence there were delays due to the change of scope of the project they are now providing basic services that were not part of the project from the initial phase.”

2. Were there any social challenges that you experienced during the implementation of the project?

“Yes, we faced some challenges with the involvement of local contractors, most of them had no experience, they were unskilled, and they were less qualified to do the project. They lacked the capacity to do the work. He further alluded that, Healthy and Safety was another issue, the Department of Human settlements DOH did not cater to Healthy and Safety costs and we were forced to resolve the issue of Health and Safety because it was our responsibility to ensure that workers are safe on-site.

Another challenge was the allocation process, we faced a huge challenge on this because some people used the same site and that caused the delays because we had

to be ensured that the site belongs to who before we even embark on building the top structure.”

3. What methods that you implemented to solve those challenges?

“We provided health and safety package on sites, and in terms of allocation of housing, we ensured that the allocation of funds is directed to the deserving individuals. We resolved the community problems we went to the community and tell them about the project, and we explained about tittle deeds because there was a challenge of ownership to some beneficiaries they were fighting for the same house.”

4. Do you think in-situ upgrading has positive impacts on social cohesion in the community?

“Yes, because the in-situ upgrading approach encourages social interaction through community participation people get to learn and trained about housing, therefore, beneficiaries gain skills that they can use elsewhere to make income, and in-situ upgrading maintains the existing relationships in the area. It is the best approach to ensure sustainable human settlements rather than relocation because it destroys social ties.”

5. What was the reason for the municipality to implement an in-situ upgrading program in White City?

“The Department of Human Settlements were already invested in upgrading the area with infrastructure, streetlights were already there, in some areas within White City electricity was already installed and the area was on the plan of the UISP. People were enrolled in the waiting lists for their houses and they did not want to be allocated anywhere except White City, and that as well made the municipality to initiate in-situ program although it happened that few people were relocated to adjacent areas such as aMaoti and Tambo Plaza because of space and their sites were not conducive enough to build houses. As a local municipality, we took over the project from the DOH and build the top structures in 2011.”

6. How did you inform the community about the project?

“Before eThekweni municipality Human settlement/ Housing Unit took over, people were already aware of the project, they engaged with Ward 57 counselor and it was announced, they called community meetings where municipal officials came to present the project to the local community.”

7. Was there any training that you implemented to local people as well as the contractors?

“The government and tender committee prioritized local contractors in the area. In addition, before the development begins, training programs to train local laborers in the construction of housing units and other social facilities were done. This helps with developing a skill set suited for the construction industry making it easier for locals to get jobs in the industry after the development. Furthermore, it not only provides skills transfer and competence in construction but also encourages social activities when they teach others what they have learned to build human capital among community members, and the experience gained will open more opportunities for them in the future.”

8. Do you think in-situ upgrading is the best approach for informal settlements upgrading?

“No, because sometimes it is very difficult to implement the project of construction, it takes a long time to be implemented because of political diversities. For example, in White City, there were different political parties like any other communities, and those individuals were having different ideologies and thoughts that, those beneficiaries who received their houses first was because of political-related agendas, whereas those houses were samples and we followed proper criteria of allocating housing based on the waiting lists.”

9. How would you recommend an informal settlement upgrading process to be improved in the future?

“The PM interviewee concluded by stating that he envisions the in-situ upgrading program to be applied to other municipalities in South Africa that are faced with the challenges of the need for basic services in informal settlements as the positive outcomes to promotes sustainable human settlements. According to eThekweni municipality Project Manager, the government should promote greenfield housing projects in future developments because it is always a problem to implement housing project and build in the existing residential area from the planning phase to the implementation because there are dynamic social issues that are always behind the community for every in-situ upgrading project.”

6.8.2 Ward councilor of White City

The interview with the ward councilor was held in his office. His role is to bring the development of the community and his people. He advocates, protects and teaches his community about their rights while reporting information and issues that affect the community to necessary authorities and ensuring that basic services are being provided. The following are research questions that were asked the ward counselor about the in- situ housing development project during data collection.

1. What was the reason to implement an in-situ upgrading program rather than relocating people?

“The reason was that many people in the area had space and the site was owned by the municipality. An interview conducted with the ward councilor of White City was a very informative one whereby he was more than pleased to answer and share some information with the researcher of this dissertation. The councilor indicated that no one really knows the exact.”

2. Were there any challenges faced during the involvement of the beneficiaries in the project?

“The counselor pointed out that, for every project there are challenges, hence this project was divided into two sections there was Tambo plaza project and the White City project. Regarding this project, there were no delays, but we did encounter a few challenges and those challenges were resolved. We ensured that there was

communication with community members to get a full understanding of the course of conflicts and challenges.”

The councilor shared with the researcher that housing upgraded and the provision of housing where there is space to develop. This was transpired through various meetings with the DHS and the community.

The ward counselor concluded by stating that social ties and networks were not disrupted, hence there was an improvement of social interaction amongst community members despite few were relocated to adjacent areas. He further indicated that there was an improvement in the standard of living and wellbeing of beneficiaries that was brought by the housing development. Therefore, he considered the in-situ upgrading as a sustainable tool to improve and promote social cohesion in the informal settlements.

6.9 Conclusion

This chapter has presented the research findings of the study that was collected in White City. However, this chapter indicated how in-situ upgrading impacted social cohesion in the informal settlement by changing the living conditions of beneficiaries through development without destroying existing social ties in the area. These findings are the results of the questionnaire from participants in the case study. This chapter was able to analyze the data according to the research aim and objectives to a certain degree, in the form of tables, bar graphs, and pie charts and the analysis as well as direct responses from the beneficiaries, which are represented in italics. This chapter showed that objectives, aims and research questions stated in chapter one has been incorporated and further discussed in data analysis.

CHAPTER SEVEN: SUMMARY OF FINDINGS, CONCLUSIONS, AND RECOMMENDATIONS

7.1 Introduction

The South African government with its housing policy aims to create an enabling environment that provides housing opportunities for poor households residing in informal settlements. The UISP program contained in the National Housing policy of 2004 enables the government to stimulate housing development by facilitating structured in-situ upgrading to achieve land and housing tenure security for poor households residing in informal settlements. This is achieved by recognizing and formalizing the tenure rights of informal settlement dwellers and ensuring secure living conditions by facilitating the provision of affordable and sustainable basic municipal engineering infrastructure (Department of Housing, 2009).

The purpose of this chapter is to provide a summary of the findings, conclusions, and recommendations of the study. The research questions were revisited and placed within specific themes in order to make informed conclusions and these questions will serve as a guide to evaluate whether findings of the study have been answered.

7.2 Summary of findings

The findings of the study revealed that White City residents showed high levels of access to housing even though they were still facing the shortage of basic services in the area. Yet, the in-situ upgrading housing development was initiated by the eThekweni municipality. Findings indicated that this might be related to the fact that, after the provision of housing, many households had embarked on making some informal improvements to their currently available basic services.

According to the data gathered, the decision from municipality and ward counselor to implement in-situ upgrading in White City was the best solution to solve many social challenges that were faced by beneficiaries in the area and to promote social cohesion. In addition, findings showed that the upgrading of this settlement had a positive impact on social cohesion and human capital in the area, as the upgrading created new employment opportunities for residents. With regards to access job opportunities during the construction, the research found that households in White City

had access to employment opportunities and received skills that contributed to a small proportion of people being economically active.

The findings further revealed that beneficiaries were happier with the in-situ upgrading approach because of their social interaction and network. The following is the response of female participants about the whole upgrading program in White City.

“I am very happy about the development of our area because municipal officials and ward counselor they made sure that they provide housing as we agreed in the community meeting even though other community members were complaining about sample houses. However, some of us were part of the project, and the upgrading of our settlement had a positive impact to strengthen our relationships as a community because we were able to interact and share knowledge with each other during community meetings and till now our settlement has strong social cohesion.”

In fact, they indicated that their relationships were not destroyed while they thought municipality will break their social ties by implementing relocation that will force them to move in their area and destroy social ties. This shows that in-situ upgrading should always be considered as a priority strategy to ensure social cohesion and sustainable human settlements in South Africa.

7.2.1 Social Capital and Sustainable Human Settlements

Social capital includes the extent of social trust and relationships found between individuals or within a group or community (Desjardins, 2002). The problem statement presented in chapter one indicates that, most informal settlements lack the capacity of social factors, such as social interaction between residents, community stability, sense of belonging, norms, values, social cohesion, human capital, participation in activities with collective groups in the community, social relations, quality of life and satisfaction of basic needs. However, this study was evaluating the social impact of in-situ upgrading of informal settlements by looking at how the in-situ upgrading program maintains and promotes social cohesion in the community to ensure sustainable human settlements. Hence, this study was able to find that in-situ upgrading housing development is the best solution to foster the effectiveness and improvement of social capital and social

cohesion to create sustainable human settlements during the upgrading of informal settlements in South Africa.

The findings presented (as detailed in chapter six) revealed that in-situ upgrading is the essential tool to improve and strengthen social capital in the community. This emanates from the fact that in-situ upgrading provides housing to the existing site of the beneficiaries, meaning that, there is no change in terms of social relations and bonding amongst families and community members hence it strengthens and improves social ties. Beneficiaries indicated that they gained many benefits from the housing development with regards to social capital, they have a strong bond with each other, and everyone is happy in the area and know each other. However, on the other hand, findings revealed that some of the beneficiaries were indicating their challenges.

7.3 Conclusion

The theme of this dissertation was to evaluate the social impact of in-situ upgrading housing development in creating sustainable human settlements in the Inanda White City area. The study has critically gone further to assess the provision of basic services after the upgrading of informal settlements as another aspect of this dissertation. This study revealed interesting findings that contribute to the existing body of knowledge in this research area about informal settlement upgrading and social cohesion since it a pressing issue in the National Housing Policy (BNG,2004). Therefore, the study is topical and relevant to the present circumstances the country of South Africa finds itself in pertaining to sustainable human settlements and social cohesion in the National Upgrading of informal Settlements Program (NUSP). Hence, municipalities should consider the findings of this study in order to ensure and promote social cohesion during the upgrading of informal settlements in the country.

Through this study, it has been concluded that informal settlements are high in vulnerability risks as the settlers have a poor socio-economic background. Therefore, it has been suggested that the local municipality look into the problems of these communities and implement a plan for the provision of bulk infrastructures such as housing, water, electricity, and sanitation in order to improve the standard of living and mitigates social challenges that are commonly found in most informal settlements. In

terms of citizen participation, the study concluded that ward councilor and the municipality can help the community to mitigate vulnerability and promote social capital among community members by providing the community with training for developing skills in order to gain better jobs, implementing awareness programs on different diseases, crime and how to deal with them and educate local people about livelihood strategies can have significant input to improve the standard of living in poor communities. Additionally, the study revealed that being involved and participating in the decision-making will empower the community to be responsible for mitigating and adapting to any risks that they are faced with or exposed to with solidarity motives and building social trust.

7.4 Recommendations of the study

The Section 26 (1) of the Constitution of South Africa states that “*everyone has the right to have access to adequate housing*” in essence the State has to “*take reasonable legislative and other measures, within its available resources to achieve the progressive realization of this right*” (RSA,1996). This study revealed that this right was achieved by the informal dwellers of the Inanda White City area with the implementation of the in-situ program as part of the upgrading of informal settlements. However, this study found that municipalities need to understand the dynamic social problems of informal settlement dwellers during the planning phase of the housing project in order to implement a sustainable in-situ upgrading program. Hence, the study implies that an effectively implemented program of in-situ upgrading can result in positive social impact and therefore lead to sustainable human settlements. The following are recommendations that seek to assist in improving the in-situ upgrading program of informal settlements to ensure social capital and social cohesion amongst beneficiaries during the informal settlement upgrading with the purpose of creating sustainable human settlements.

7.4.1 Social Cohesion in the Upgrading of Informal Settlements

Social cohesion is highest when groups work together to achieve some self-defined economic, social, political, or cultural objectives (Desjardins, 2002). The literature (as discussed in chapter four) indicates that social cohesion can also become a resource that people or groups might draw upon to achieve future objectives and their desired

goals about development that affect them. The idea of Reimer (2002) correspond with the findings of this study by indicating that, social cohesion can also be outcome-oriented with activities such as visiting, participating in community activities or developments, and stokvels that are found in the community plays a significant role to strengthen social capital and cohesion in the informal settlement dwellers. Therefore, they have a positive impact on social cohesion as it was indicated in the findings that, some beneficiaries often visit each other within the community. The findings further denote that, social cohesion can be achieved through the provision of in-situ upgrading because it allows informal dwellers to continue with their existing social relationships.

On the aspect of social cohesion and sustainable human settlements during the upgrading of informal settlements. The study recommend that, the municipality together with the ward counselor should consider the importance of social cohesion amongst beneficiaries by treating all the individuals equally during the planning phase and allocation of housing, because findings revealed that in White City beneficiaries were not treated in the same manner, those who were friends or close with the counselor got employed and treated well, hence there was a political diversity among community members that caused disputes in the area. Therefore, the study recommends that municipal officials and councilors as the drivers of the project should know that social cohesion is achieved through social interaction, therefore, they need to encourage decentralized decision making about the housing projects to avoid unnecessary disputes and division amongst beneficiaries. Moreover, the study also recommends the bottom-up approach for in-situ upgrading housing development in order to ensure sustainable human settlements, by promoting social interaction and participation of beneficiaries in decision making during the planning and closeout phases of the project.

7.4.2 Community Participation in the Upgrading of Informal Settlements

Community participation is acknowledged as being critically important to the upgrading of informal settlements and funding is made available to support social processes (DHS,2009). According to the UISP, this participation should be undertaken through ward committees with ongoing effort in promoting and ensuring the inclusion of key

stakeholders and vulnerable groups in the process (DHS, 2009). The UISP notes that in certain circumstances the assistance of community development workers (CDWs) can be used in collaboration with the ward structures.

The UISP makes it clear that community participation should be undertaken within the context of a structured agreement between the municipality and the community (DHS, 2009). It is therefore troubling that there is very little focus on developing mechanisms for effective community participation in the design, planning, and implementation of in-situ upgrading projects (DHS, 2009). Even though allocations for ensuring inclusive project planning are prescribed in the UISP policy, especially social facilitation and project management. These allocations are almost never honored or driven in totality by the municipality's service providers.

Moreover, for municipalities, it is important to understand the demand-side of the community considering the projects require the proactive development of mechanisms that promote central citizen participation (Mazeka, 2014). In other words, upgrading projects require much more attention to finer community details than for conventional housing projects. On the aspect of this study, findings revealed that the community participation review found that the local municipality did not activate communities effectively in the UISP projects. Therefore, the study recommends that a good understanding of community politics and well-functioning project steering committees, and an effective communication strategy needs to be considered in future UISP projects.

Moreover, the study further highlighted concerns around community participation in the project, since not all beneficiaries, for various reasons, were involved in the decision-making which took place as discussed above. Therefore, the study recommends that stakeholders need to work actively to enhance the leadership capacity of the community members, leaders, and community organizations within the settlement. Justice must be given to the public on how public meetings could be facilitated and arranged to ensure the participation of more beneficiaries to enable them to have a platform to share their views in a constructive manner, given that their inputs are important in the project. The study also recommends that municipal officials and councilors must keep the positive

relationships with local community groups to encourage them to be part of the public meetings and educate the residents about significant community participation in order to strengthen human capital within the community.

7.4.3 Basic Services as a tool for Social Cohesion

Findings revealed that basic services in White City were insufficient. The loss of services, on even an incremental basis, is having a significant impact on local quality of life and the ability of places to hold or attract local economic development. This loss, however, also provides some opportunities for local communities to come together to create innovative and alternative service delivery means. Therefore, services are one tool for White City in retaining people and local economic activities and services are also a tool for attracting new people and outside economic activities.

Most participants were dissatisfied with the availability of basic services in the area. It is evident that more could be done about the sewage system and other services to resolve this matter. Therefore, the study recommends formal training requirements in the built environment disciplines to be compulsory and have guidelines from the qualified inspectors to ensure that services are well implemented during the upgrading of informal settlements. More especially to the emerging contractors. The provision of in-situ housing projects such as the one in White City needs to be awarded to knowledgeable contractors who are in line with the BNG policy objectives that promote social cohesion to ensure sustainable human settlements.

The study recommends that the participation of community members should be strengthened and stimulated in the conceptualization of the project and planning phases as this will ensure social cohesion. Moreover, it will give beneficiaries the opportunity to influence decision making about their services being provided and they can ensure that their decisions are in line with the demands of their interest as a community as they are the custodians of the infrastructure and basic services provided (Tenza, 2018). The study recommends that in the event of the provision of basic services the local municipality must make vital actions to ensure basic services such as water and sanitation are provided inside households to ensure adequate housing.

However, other aspects that the study can recommend with regard to the beneficiaries of municipal services. The study recommends that local NGOs should take initiatives of developing the settlement areas with the basic facilities. Hence, Kunene (2010) stated that the creation of Informal Settlements and Upgrading Committees as bodies responsible for overseeing the regularization and upgrading of settlements is essential in monitoring the implementation of basic municipal services. These committees are vital in overseeing the participation of all relevant role-players responsible for the delivery of basic municipal services to informal settlements. Therefore, it is recommended that communities should have their own representatives from organizations that ensure that, municipal services are implemented in a formal manner and complying with the existing policy of service delivery.

7.4.4 Provision of Open spaces

Open spaces are a fundamental place for interacting with people. Therefore, it is recommended that for every housing development, open spaces need to be included in the planning of the whole settlement to improve social cohesion amongst community members. However, in planning, there are numerous types of open spaces that should be inclusive in the design of any formal township establishment (DHS,2009). These open spaces can be utilized in different kinds of community activities to improve and promote social cohesion within the settlement such as urban agriculture, biodiversity preservation zone, open space neighborhood park, active open space children playground, passive open space buffer zone. It was observed that in White City there is only one existing open space that was used as a park which is not in good condition as well. When the participants were asked about the things, they would like to change about this area, was the provision of sports field/parks for kids to play.

The study found that residents recommend that the neighborhood could use more open spaces for parks and recreational purposes because they need space to socialize and practice community activities, such as soccer clubs, gym, and other social activities. Therefore, the study recommends that informal settlement upgrading should consider social facilities in order to promote social cohesion and ensure sustainable human settlements.

7.4.5 Implications for policy and practice in UISP

Government policy had always recognized the importance of ensuring that the poor are housed on well-located land but committing to this in principle is not the same thing as taking concrete steps to realize it in practice. The implications of these findings are quite significant. However, on the aspect of policy and practice in the upgrading of informal settlements. The study recommends that the training programs and community change initiatives must address the isolation experienced by some community members during the upgrading and should develop programs that build connections and promote community participation in the neighborhoods and therefore, the study recommends that the promotion of resident-driven intervention models is one approach to building community connections.

Therefore, homeownership programs are another intervention approach to building connections and, subsequently reducing the isolation families experience in some low-income neighborhoods. Findings from the present study demonstrate that resident participation in neighborhood activities is important for the development of bonding social capital. Policies and programs that seek to build social capital should focus on family participation. According to Bowen (2000), Community Capacity Model (CCM) illustrates how community members develop social capital by sharing responsibility for the welfare of the community and by addressing community needs. However, on the aspect of policy and practice. The study recommends that policy should ensure social sustainability, and policy must allow for the integration of social and economic infrastructure with quality housing and allow for open space corridors that will integrate the upgraded area with the surrounding areas to ensure sustainable human settlements.

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Appendix

Interview Questions

APPENDIX A: Households Survey (Questionnaire)

NAME: _____

1.1 Gender (Tick box)?

Male	
Female	

1.2 How long have you been living in this area?

I was born here	
5 to 10 years	
10 to 20 years	
More than 20 years	

1.3 What is your Employment Status (Tick box)?

Full-time	
Part-time	
Unemployed	

1.4 Are you the owner of the house?

.....

1.5 Do you have title deeds?

.....

1.6 How many people living in the house?

0-5	
5-10	
Above 10	

1.7 How long living in this area?

5-10	
10-15	
15-20	
Above 20 years	
I was Born here	

1.8 What made you stay in this area? (Support your answer)

.....

1.9 Do you pay for services? (E.g. electricity, water, etc.)

.....

1.10 Which of the following social facilities found in the area?

Facilities	How many within the area	Adjacent the area
1.Clinic		
2.Schools		
3.Police Station		
4.Hall		
5.Parks		
6.Post Office		
7.Mall		

1.11 How do you access services that are not currently provided in the area?

.....

1.12 Are you happy with the development in the community as a way of upgrading informal settlement? (Support your answer)

.....

1.13 Are you happy with the condition of the house?

.....

1.14 Do you think the crime level has been decreasing because of in-situ upgrading as compare to previous? (Support your answer)

.....

1.15 What impact does in-situ upgrading have in fighting unemployment in the area? (Support your answer)

.....

1.16 In your opinion, what can you say about social capital/integration in the area as compare to previous, before in-situ development? (Support your answer)

.....

1.11 Do you have friends in the area?

.....

1.12 Do you have relatives in the area?

.....

1.13 What is your relationship with people living in the house? (Support your answer)

.....

1.14 What is the relationship (social cohesion) between the community members? (Support your answer)

.....

1.15 Do you think it was a good decision for the municipality to build houses in this area rather than relocating you? (Support your answer)

.....

1.16 Do you think in-situ upgrading has a positive or negative impact in strengthening existing bonds within the community? (Support your answer)

.....
1.17 Are there any Community Based Organizations (CBOs) available in the area? If yes elaborate.
.....

1.18 Are there any saving schemes like stokvels or community forums that are found in the area? (Elaborate)
.....

1.19 Do you think in-situ upgrading helped you/ community to know each other better within the community? (if Yes How)
.....

1.20 Do you think relationships with neighbors changed after in-situ housing development? If yes in what way.
.....

1.21 What is the attitude of the residents towards the newcomers in the area?
.....Did you participate during the implementation of the project? (Support your answer)
.....

1.22 What kind of skills do you have because of participating in the housing development? (Support your answer)
.....

1.23 Are there any emerging campaigns creating awareness programs about diseases that are found in the informal settlements? (Support the answer)
.....

1.24 Do you think this project create sustainable human settlements considering basic services that you have as a community?
.....

1.25 Do you think this project promotes social sustainability in the area? (if yes, How)
.....

1.26 How often did you attend community meetings?
.....

1.28 How much are you involved in decision-making?

Fully	
Partially	
Not at all	

1.29 Does community involvement create any conflicts, before and after the project?
(Support your answer)

.....

1.30 How do people in the area utilize the available resources?

.....

1.31 What is your living condition now as compared to previous before you received the house? (Support your answer)

.....

1.32 In your opinion, what have been the changes at White City since the in-situ upgrading was accomplished? (Support your answer)

.....

1.33 Were community members informed before the project proposals were formulated?

.....

1.34 Were the meetings taken place between residents and the development committee? Yes/no

.....

1.35 If yes what was the objectives of those meetings?

.....

Thank you for your responses....

Interview Questions

APPENDIX B: Municipal Officials (Project Manager)

2.1 What was the nature of the project? (e.g. small, big, etc.)

.....

2.2 Were there any challenges that you experienced during the planning and implementation of the project? (Support your answer)

.....

2.3 Do you think the project was well implemented according to BNG objectives ensuring social cohesion? (Support your answer)

.....

2.4 Which one or two BNG objectives does the project comply with in creating sustainable human settlement? (Support your answer)

.....

2.5 Do you think in-situ upgrading have positive impacts on social cohesion in the community? (Support your answer)

.....

2.6 What was the course of implementing the in-situ upgrading program rather than relocating people? (Support your answer)

.....

2.7 What approach did you use to introduce the program to the community? (Support your answer)

.....

2.8 Did you consider the issue of social cohesion during the planning phase of the project? (How did you ensure it.)

.....

2.9 What kind of skills did you provide to local people during the implementation of the project to ensure human capital? (Support your answer)

.....

3.1 In your opinion, do you think in-situ upgrading is the best approach for informal settlement upgrading? (why?)

.....

3.2 Are there any programs that take place in the area to improve social cohesion within community members that you are working on as municipality?

.....

3.3 To what extent did local people involved during the implementation of the project?

.....

3.4 Do you think in-situ upgrading is effective to promote social cohesion? (Support your answer)

.....

3.5 Do you think in-situ upgrading was effective to ensure sustainable human settlements in the area? (Support your answer)

.....

3.6 What informal settlements upgrading strategy did you adopt in the White City project?

.....

3.7 How would you recommend that the informal settlement upgrading process be improved in the future? (Support your answer)

.....

Informed Consent

UKZN HUMANITIES AND SOCIAL SCIENCES RESEARCH ETHICS COMMITTEE (HSSREC)

APPLICATION FOR ETHICS APPROVAL

For research with human participants

INFORMED CONSENT RESOURCE TEMPLATE

Note to researchers: Notwithstanding the need for scientific and legal accuracy, every effort should be made to produce a consent document that is as linguistically clear and simple as possible, without omitting important details as outlined below. Certified translated versions will be required once the original version is approved.

There are specific circumstances where witnessed verbal consent might be acceptable, and circumstances where individual informed consent may be waived by HSSREC.

Information Sheet and Consent to Participate in Research

Date: 20 November 2018

Dear Sir/ Madam

My name is **Ntando Cedrick Ngcobo** from the University of Kwa-Zulu Natal in the school of Built Environment and Development Studies, enrolled in the discipline of Housing.

My details: 214543892@stu.ukzn.ac.za

Cell number: 073 868 1653

This study will involve the use of Images and photographs for visual reference and visual analysis of the student accommodations assessed in this study.

The study may involve the following risks and/or discomforts (None). We hope that the study will create the benefits). The researcher must disclose in full any appropriate alternative procedures and treatment etc. that may serve as possible alternate options to study participation.

If the research could potentially involve risk, explain in full if compensation exists for this risk, what medical and/or psychosocial interventions are available as treatment, and where additional information can be obtained.

This study has been ethically reviewed and approved by the UKZN Humanities and Social Sciences Research Ethics Committee (approval number _____).

In the event of any problems or concerns/questions you may contact my research Supervisor at (Mr. Vincent Myeni, 031 260 2128) or the UKZN Humanities & Social Sciences Research Ethics Committee, contact details as follows:

HUMANITIES & SOCIAL SCIENCES RESEARCH ETHICS ADMINISTRATION

Research Office, Westville Campus

Govan Mbeki Building

Private Bag X 54001

Durban

4000

KwaZulu-Natal, SOUTH AFRICA

Tel: 27 31 2604557- Fax: 27 31 2604609

Email: HSSREC@ukzn.ac.za

State clearly that participation in this research is voluntary (and that participants may withdraw participation at any point), and that in the event of refusal/withdrawal of participation the participants will not incur penalty or loss of treatment or other benefit to which they are normally entitled. Describe the potential consequences to the participant for

withdrawal from the study and the procedure/s required from the participants for orderly withdrawal. Under what circumstances will the researcher terminate the participant from the study?

State clearly if any costs might be incurred by participants as a result of participation in the

study. If there are incentives or reimbursements for participation in the study, state how much and why they will be given.

Describe in detail the steps that will be taken to protect confidentiality of personal/clinical

information, and the limits of confidentiality if applicable. Describe the fate of the data and

stored samples.

CONSENT (Edit as required)

I have been informed about the study entitled (**Evaluating the Social Impact of in-situ upgrading Housing Development in creating Sustainable Human Settlements. The Case Study of Inanda, eThekweni Municipality.**) By (Mr Ntando Ngcobo).

I understand the purpose and procedures of the study

Yes	No

I have been given an opportunity to answer questions about the study and have had answers to my satisfaction.

Yes	No

I declare that my participation in this study is entirely voluntary and that I may withdraw at any time without affecting any of the benefits that I usually am entitled to.

Yes	No

I have been informed about any available compensation or medical treatment if injury occurs to me as a result of study-related procedures.

Yes	No

If I have any further questions/concerns or queries related to the study I understand that I may contact the researcher at (073 868 1653).

If I have any questions or concerns about my rights as a study participant, or if I am concerned about an aspect of the study or the researchers then I may contact:

HUMANITIES & SOCIAL SCIENCES RESEARCH ETHICS ADMINISTRATION

Research Office, Westville Campus

Govan Mbeki Building

Private Bag X 54001

Durban

4000

KwaZulu-Natal, SOUTH AFRICA

Tel: 27 31 2604557 - Fax: 27 31 2604609

Email: HSSREC@ukzn.ac.za

Additional consent, where applicable

I hereby provide consent to:

Audio-record my interview / focus group discussion YES/NO

Video-record my interview / focus group discussion YES/NO

Use of my photographs for research purposes YES/NO

Signature of Participant

Date

**Signature of Witness
(Where applicable)**

Date

**Signature of Translator
(Where applicable)**

Date