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**The Efficacy of Government Strategies towards Improving Informal
Settlements in Rustenburg Local Municipality**

Faculty of Commerce, Administration, and Law

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Date of submission: October 2021

DECLARATION

I declare that this project, titled “The Efficacy of Government Strategies towards Improving Informal

Settlements in Rustenburg Local **Municipality**”, is hereby submitted to the University of Zululand in the fulfilment of the requirements for the Master’s degree in Public Administration. This work has not been previously submitted for a degree at this institution or any other university. I also declare that this is my own work and that all information involved herein was thus recognised.

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Rose Unathi Sishawu

.....

Date: October 2021

DEDICATION

I dedicate this research to my late mother, Zandile Sishawu, and my late brothers, Lumphumlo Sishawu, and Mpumelelo Mdletshe, who were present in spirit in my life and whose memories have kept me going. It was a difficult year for me; I considered giving up, but the thought of them inspired me.

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ABSTRACT

It is important to understand the propagation of informal settlements. They do not only represent the high housing demand but also its effects on the development and transformation of South Africa if remaining unimproved. Several studies divulge that informal settlements do not only serve as a solution to the government's failures to provide housing to the people, but they serve as a shelter to the homeless and urban poor. Although certain housing interventions and programmes have been implemented to improve informal settlements, most informal settlements (Rustenburg and across South Africa) still lack access to basic services. According to this study a divergence exists in the literature in determining the efficacy of strategies to improve informal settlements, regardless of years of studies conducted in informal settlements. This study aimed to analyse the efficacy of local government strategies towards improving informal settlements in Rustenburg Local Municipality. A qualitative approach was employed to conduct this investigation. Semi-structured in-depth interviews were implemented as an instrument to collect data. This research, therefore, investigated the settlements demographics, background, and strategies to improve informal settlements. It also reveals the challenges of informal settlements encountered by the settlement dwellers and the municipality, community participation, and the relationship between the municipality and the informal communities. The study findings indicate that the strategies implemented to improve informal settlements are ineffective; this was evident from the responses of participants who indicated that these settlements lack access to basic services. The lack of access to basic services in these settlements is a reflection of ineffective strategies. The concluding Chapter 5 comprises study recommendations.

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LIST OF ACRONYMS AND ABBREVIATIONS

A-G	Attorney-General
ANC	African National Congress
APES	Academic and Professional Editing Services
BNI	Breaking New Ground Initiative
CSSC	Clean and Safe Sanitation Campaign
EHP	Emergency Housing Programme
EMG	Environmental Monitoring Group
EPHP	Enhanced People's Housing Process
EPWP	Expanded Public Works Programme
ESIS	Emergence Servicing Informal Settlement
F-Number	Freedom Park-Number 9
F-Phase 1	Freedom Park-Phase 1
GEAR	Growth Employment and Redistribution Strategy
GOPP	General Organization for Physical Planning
HDA	Housing Development Agency
IDP	Integrated Development Plan
IDT	Independent Development Trust
IPADA	International Conference on Public Administration and Development Alternative
ISUP	Informal Settlement Upgrading Programme
NDP	National Development Plan
NHC	National Housing Code
RDP	Reconstruction and Development Programme

RLM	Rustenburg Local Municipality
SERI	Socio-Economic Rights Institute of South Africa
SHF	Social Housing Foundation
SJC	Social Justice Coalition
UISP	Upgrading of Informal Settlements Programme
UN	United Nations
UNCHS	United Nations Centre for Human Settlements
UNESCAP	United Nations Economic and Social Commission for Asia and the Pacific
WB	World Bank

CHAPTER 1: STUDY ORIENTATION

1.1 Introduction and background

Despite the fact that over 3.6 million new houses have been built since 1994 through housing strategies such as the Reconstruction and Development Programme (RDP) or Breaking New Ground (BNG), the growth and expansion of informal settlements in South Africa has been a recurring issue (BrownLuthango et al., 2017). The unexpected influx of people into cities, particularly in large metropolitan areas such as Cape Town, Johannesburg, and Ekurhuleni, has exacerbated the growing demand for housing and urban infrastructure (Miller, 2007).

In several developing countries, population growth has posed a great threat to development, and as the most significant challenge for governments, particularly in South Africa; there is a strong demand for housing and essential public services. The high demand for housing resulted in informal settlement expansion. These settlements are a severe problem not only in South Africa but also globally. Informal settlements have undergone and experienced a historical process, from being denied access to basic amenities to being embraced as a solution to South Africa's housing delivery shortage.

To approach informal settlements, various types of interventions have been adopted and implemented. Since 2004, South Africa has worked to improve the quality of life in informal settlements by implementing programs such as the Upgrading of Informal Settlement Programme. In embarking on this journey, the state recognized that improving informal settlements is critical and can be a viable solution to housing shortages. The Informal settlement upgrading Programme (ISUP) aims to transform precarious, vulnerable, and undignified living standards into integrated, sustainable, and dignified neighbourhoods (Harrison, Harrison, & Bila, 2017). According to Huchzermeyer (2014), BNG projects under the National Housing Subsidy Scheme were also implemented as an informal settlement eradication strategy, in which households qualifying for the once-off capital subsidy were frequently removed from the informal settlement and relocated to an identified suitable land where completed units were allocated. Despite the fact that this program provided low-cost housing to

many poor communities, residents were disadvantaged as a result of relocations to the city's outskirts, where economic opportunities are rare and limited (Huchzermeyer et al, 2014 as cited by Letsoko et al , 2021).

Furthermore, it was recognized that this housing subsidy strategy was only for developments on vacant land, presenting a policy gap in terms of the availability of a subsidy system designed to facilitate in situ upgrading of informal settlements (Huchzermeyer et al., 2014). Although the Upgrading of Informal Settlements Programme was launched in 2004 in collaboration with the BNG, implementation has been insufficient due to a lack of political support. However, it was regarded as the most progressive housing policy in terms of achieving integrated sustainable human settlements with minimal disruption to people's livelihoods (letsoko et al, 2021).

Despite the existence of these methods, interventions and strategies, people still reside in informal settlements, characterised by poor conditions. Letsoko et al (2021) corroborate, maintaining that it is undeniable that various eradication strategies, such as demolitions and evictions, have failed to halt the growth of informal settlements (letsoko, Maganadisa & Pretorius, 2021). Many experts, including Smith (2017), believe that this is attributable to dissatisfaction with previously provided services and inefficacy of implemented strategies.

Since the inception of slum, various terms have been used to describe it. Thus, in this study informal settlement is defined as the illegal use of land, particularly in the urban fringe, by those compelled by certain circumstances to occupy vacant lands they find convenient, available, and suitable for residential purposes. Conversely, Smith (2017) defines informal settlements as the occupation of land in the absence of legal land rights, official approval of land use, and development standards and provision of infrastructure. Most of the population in South Africa reside within metropolises. A portion of that population lives in informal settlements. Hence, the rapid growth of informality in several parts of South African urban areas has become a protuberant feature.

According to researchers (Nassar & Elsayed, 2017; Khalifa, 2015), urban informal settlements are visible proof that the political-economic system does not sufficiently serve the urban population. Conversely, the growth of informal settlements indicates that people are reacting to the government's inability to provide them with adequate and sustainable housing. Khalifa (2015) concurs that informal settlements are unplanned, often illegal, highly improvisational foothold communities. They are created by the poor in urban cities throughout the developing world, particularly by those migrating from rural areas to urban areas in search of employment, better education, and other opportunities. Moreover, they reflect a global phenomenon that numerous countries are dealing with (Jiusto & Kenney, 2016).

Informal settlement dwellers are often affected by illness, violence, and other socioeconomic challenges (Brown-Luthango, Reyes, and Gubevu, 2017). They are mostly associated with unhealthy, unsafe physical conditions, and the environment where they live. They lack basic services, tenure security, and are often overcrowded (Nuisl & Heinrichs, 2013; UN-Habitat, 2014; Cairncross, & Swilling, 2018). They are naturally the places of poverty since dwellers are unemployed.

For decades, people have been debating the issues surrounding informal settlements. According to Brown-Luthango et al (2017), improving the living conditions in informal settlements is a pressing issue that has been on the minds of researchers for several years. It is a compelling concern for global organisations, such as the World Bank, the United Nations Habitat (UN-habitat), and national governments. Hence, policies, programmes, and initiatives to approach and address these issues were, therefore, implemented.

Globally, a billion or more people live as squatters in informal settlements, where their status as 'illegal land invaders' disposes them to eviction, while legally complicating infrastructure development into a socially unpleasant process (Huchzermeyer, 2004). Some academics believe that this is because several developing countries are expanding, and their growth is uncoordinated and unsupported by infrastructure. Wakhungu, Huggins, Nyukuri & Lumumba (2010) explain that Africa's population has increased since the 1960s, particularly in cities,

with over 90% of new urban development being informal. Approximately, seventy percent of Africa's urban population lives in informal housing (Wakhungu et al, 2010)

To gain a better understanding of the emergence and growth of the informal settlements, mentioning the political and macroeconomic forces influencing housing provision is crucial. According to Khalifa (2015), in Egypt, informal settlements began after World War II and accelerated during the 1960s. Before 1952, housing was never regarded as a problem because it was provided by the formal and private sectors. This demonstrates that laws, practices, and policies were implemented to alter the operation of houses, and, therefore, providing houses today is observed as a problem.

According to the Group Areas Act (1952) in South Africa, housing areas were segregated along harsh apartheid lines, separating Asians, blacks, coloureds, and whites. In recent decades, South African cities have grown at an alarming rate, making it difficult for responsible municipal authorities to provide basic services, such as housing (Dunn, 2009). This is because municipal governments did not and still do not have a sufficient budget to accommodate everyone who immigrates to cities. Moreover, the rapid growth of informal settlements makes it difficult for municipalities to identify community dwellers' needs, establishing timely and appropriate responses (Chakraborty, Wilson, Sarraf, & Jana, 2015). As a result, urban migrants devised a solution and constructed their own shelters, devoid of all services, such as water supply, sewage system, and electricity, in the least desirable city areas (Mears, 2005).

Mears (2005) also explains that South Africa's rapid growth of informal settlements, particularly in Johannesburg, has been poorly managed since the discovery of gold in the 19th century. The discovery of gold and diamonds transformed the economy and society of cities and rural areas in the 19th century, as Africans and Indians were relocated by British-controlled authorities (Mears, 2011). As a result of a lack of housing, planning, and management, most people were forced to illegally occupy areas, such as Alexandra, Pimville, and Dube. In summary, the preceding context

reveals that informal settlements are linked to the apartheid government as its policies excluded individuals, based on race.

To address and approach the housing shortage and affordability in South Africa, according to Landman and Napier (2010), as cited by Nkoane (2019), the government established programmes and instruments to assist low-income households (Landman & Napier, 2010). These programmes include low-income housing, social housing, and a subsidy system supporting the Reconstruction and Development Programme (RDP), and other innovative mechanisms, aimed at increasing affordable housing (Landman & Napier, 2010). The government's emphasis on low-cost housing provision resulted in the 2004 implementation of the Breaking New Ground (BNG) plan. This plan aimed to promote an integrated society through developing sustainable human settlements and adequate housing within the framework of a subsidy system for various income groups (Department of Human Settlements, 2004). This included the Upgrading of Informal Settlements Programme (UISP), created to approach the rapid growth of informal settlements and adequate housing within the framework of a subsidy system for various income groups (Department of Human Settlements, 2004).

The South African Government launched the RDP, now known as the Breaking New Ground Initiative (BGI), in 1994, as a policy guide and a social development initiative aimed at improving the lives of the vulnerable and needy (Tatenda & Tanga, 2018). Following the South African Constitution in 1996, RDP was introduced with the primary goal of providing those previously deprived of housing, with access to decent quality and sufficient housing (Republic of South Africa, 1994).

Though compliments should be provided to the policies and initiatives implemented by the South African Government after apartheid because some previously disadvantaged people have benefited from them. South Africa is still dealing with housing backlogs, owing to the ineffective implementation of these initiatives. This is materialising in the context of post-apartheid policies, initiatives, and strategies, promoting equality and proper human settlement. The Cape Town centre (2017) corroborates that despite that apartheid is no longer in effect in South Africa and

policies were implemented, significant obstacles remain. Many cities, including Cape Town, exhibit a stark contrast between extreme poverty and prosperity. As a result, informal settlements are still emerging today.

This study aimed to assess the efficacy of the strategies implemented by local governments in improving informal settlements. Globally and locally, the government implemented various policies, strategies, and programmes, to approach and address the issue of houses in urban areas, serving as the primary propagator for informal settlements. These approaches include a variety of programmes, such as public housing, sites and services, redevelopment, and slum improvement (Nassar & Elsayed, 2017). Further, these initiatives to improve informal settlements also aim to reduce poverty and provide a better standard of living for all.

1.2 Preliminary literature review

No other country in Africa guarantees its 'poor people' the degrees of social provision that the South African Government has dedicated itself to. Even in post-apartheid South Africa, shack settlements are spreading and multiplying at a rate challenging all the levels of the state (Cross, Kok, Zyl, & O'Donovan, 2005). It is no secret that the South African government has been promising its poor a better living but do not live up to those promises and deliver to the people. As a result, people have lost hope in the government, in reaction to empty promises and failure to establish a solution to the government's failures to fulfil its promises. People established shack settlements as a solution to the government's empty promises. Hence, informal settlements are spreading throughout South Africa. Conversely, Weakley (2014); Richards, O'Leary and Mutsonziwa (2007) among others stress that in South Africa, informal settlements continue to proliferate, attributable to urbanisation, population growth, the existing housing backlog, and migration to urban areas in search of life-changing opportunities, such as employment.

According to Nassar and Elsayed (2017), 'squatting' is a non-legal or informal occupation of a building or land. It is a diverse set of residential areas comprising communities with self-built housing, perceived as informal attributable to their legal status and physical condition. Furthermore, it is a process where the poor avoid rules

to achieve outcomes, they require but are otherwise too regulated for them to reach (Cross et al, 2005). Informal settlements are usually unhealthy, and residents encounter demanding situations while attempting realisations for them, including putting their lives in danger by using robbed/stolen electricity, which can be dangerous to the community.

Jiusto and Kenney (2016) contend that despite the hardships and uncertainties of informal settlements or slums, they also present places of social and economic vitality that respond, although imperfectly, to powerful social forces and human ambition. Most people do not rely solely on the government's provisions, despite that what they have come with greater challenges. Informal settlements are places of opportunities, where people start their own businesses. Even people from urban centres approach or come to informal settlements to start their businesses because of inexpensive rent.

Adding to the aforementioned, Adegun (2016) stipulates that there are advantages to living in informal settlements that may suit residents best. Most people live in informal settlements to exploit the informal economy, tax evasion, and low or no rent. However, although there are advantages to living in informal settlements, such as low-cost living, informal settlements encounter a variety of challenges, such as economic, social, and environmental problems (Nassar & Elsayed, 2017). The lack of a sufficient formal response to the rapid growth in housing demand led to people constructing their own informal houses. Most of these houses are structurally deficient, lack access to basic services, and are, therefore, unfit for human habitation (Nassar & Elsayed, 2017). Furthermore, the lack of tenure has set most of the informal dwellers in constant threat of eviction. A lack of sanitation, which is also a concern in informal settlements, poses risks to the health of informal settlement dwellers, such as high levels of vulnerability to communicable diseases.

Mutlin and Satterwait (2004) contend that informal settlements vary from place to place attributable to national policies and local practices, affecting the rights of informal dwellers and development strategies. There is a growing global consensus that slum can best serve citizens and nations if treated as an emergent development.

This should be supported through incremental “in situ” slum upgrading rather than as outlaw places to be eradicated (Jiusto & Kenny, 2014). This process is broadly defined as collaborative efforts among residents, community groups, non-profit organisations, government, and businesses. The process aims to improve basic services and infrastructure while initiating the economic, social, institutional, and community activities required to promote community well-being (Ali, 2014).

Several studies confirm that each and every country has its own development agenda, focusing on sustainable development goals, intending to ensure equality and build a better future for all people and future generations (Siminya, 2016). Poverty eradication is a goal that all countries aspire to achieve. Thus, providing basic services to the poor, such as housing, can perform a fundamental function in poverty alleviation. Housing provides the security needed for a household to function. It is an essential component of poverty alleviation (Mamba, 2006). Furthermore, it is the most basic requirement for the poor’s survival.

To address the issues of informal settlements and housing challenges, the government has prioritised housing provision for previously disadvantaged groups. This is conducted by developing policies, such as the *White Paper on Housing* (1994), The Enhanced People’s Housing Process (EHP) (1998), and a Comprehensive Plan for the Development of Human Settlement (2004) (Ntema, 2011). The first *Housing White Paper*, issued in 1994, aimed to deliver and target approximately 338 000 units annually to reach the million-unit target within the first five years. This target was not met within those first five years; however, between 1994 and 2008, nearly 26 million housing units were delivered (Ntema, 2011). Housing was created to establish viable and integrated settlements where households could have access to opportunities, infrastructure, and services (Tissington, 2011). The government also introduced the BNG initiative, which recognised the challenges of informal settlements, and provided directive and financial support for improvement. BNG initiative aimed to provide long-term human settlements and to eliminate informal settlements by 2014. A target of 40 000 households to be upgraded by 2014 was established; however, this target was not met (Mbunjana, 2017).

Several projects were implemented in South Africa to improve informal settlements, such as the Emergence Servicing Informal Settlement (ESIS) project in Cape Town. This project aimed to provide basic services, such as water, sanitation, and garbage collection, to all informal settlements (Simiyu et al, 2018). The City of Cape Town's approach to community engagement and governance in informal settlements interventions was a success in the ESIS project. As applied in the case of Cape Town, community participation is an integral approach, engaging participation from the start to the end of the project.

Furthermore, the South African Government has focused its housing programme on-site incremental upgrading at well-located informal settlements since 2009. In-situ is a preferred solution over resettlement programmes (Simiyu et al, 2018). This upgrading method aims to improve the social and economic well-being of households relocated to another location (Del & Mistro 2009, Masiteng 2013). In 2009, the government established the upgrading of informal settlement programme, which targeted needy and vulnerable people without housing. This programme was implemented as a shack and squatter settlement regeneration programme to ensure that the houses were of high quality and adequately accommodated those who live in them.

Some scholars contend that improving informal settlements is not a novel idea; many countries, including Peru, Indonesia, India, and Turkey, have already adopted the approach to addressing informal settlements problems (Mcgaffin, Cirolia, & Massyn, 2015). Since improvement of informal settlement is not a new idea; in an attempt to deal with informal settlements Ogu (1996), Ogu and Ogbuozobe (2001), identify that the Federal Housing Programme, involving slum clearance and dweller resettlement; which the World Bank assisted with settlement upgrading and site services schemes implemented in Nigeria over the last six decades; however, had little success.

The slum clearance in Lagos, Nigeria, involved the forced eviction of 300, 000 people without adequate or sufficient resettlement arrangements (Agbola & Jinadu, 2002). Khalifa (2015) supports this, stipulating that the oppressive 'bulldozer' eviction policy predominated in the 1970s. With the official state's sole goal of eradicating

informal settlements and relocating people elsewhere, most likely in public housing. This policy or strategy placed a premium on land acquisition, land banking, and traditional housing projects.

The consequences of these adopted programmes/strategies resulted in most families becoming homeless; as a result, many women were forced into prostitution for survival (Anyigor, Giddings, & Matthews 2017). It is evident that the focus of the programmes adopted to deal with informal settlements was to transform the environment while ignoring the consequences and vulnerability that the programmes would bring to the people. The adopted strategies were not in favour of the urban poor because they focused more on enhancing the environment rather than on social and economic issues. Moreover, the adopted policies and strategies failed and or did not contribute to urban living standards and failed to halt the growth of informal settlements.

With the assistance of all the literature visited and considered, there is still no study conducted on the effectiveness of local government strategies towards improving informal settlements in Rustenburg Local Municipality. This study aimed to fill the gap in the body of knowledge by examining all strategies, policies, and developmental initiatives employed by the municipalities to improve informal settlements.

1.3 Problem statement

According to UN-Habitat (2014), it is in a country's best interest to prevent the establishment of slums and informal settlements. If informal settlements are permitted or allowed, governments may lose authority within a city, exposing slum dwellers to an informal system of service provision and control, with informal settlements turning to areas of wrongdoings or slums. Section 26 of the South African Constitution (1996) remarks that everyone has the right to adequate housing. Section 27 pronounces that all have a right to health care, food, and water, and social security. These sections emphasise housing as essential because it provides privacy, security, and protection against physical elements (Mwacharo, 2012). It

ensures the security for households to function and is a prerequisite for poverty alleviation (Mamba, 2006).

However, Rustenburg is facing challenges of inadequate houses. As a result, the city experiences rapid growth of informal settlements. In Rustenburg, most people live in informal settlements, distinguished by poor living standards; residents lack access to houses and basic services. According to Eunomix Research (2016), Rustenburg is surrounded by mining industries providing houses, also known as hostels, for their workers; however, these hostels do not accommodate all workers; as a result, people move to informal settlements attributable to the high rent in the surrounding areas.

The housing problem, caused by a severe shortage of housing, is at the core of the informal settlement's problems (Marutlulle, 2017). The UN-Habitat (2015b) stipulates that the emergence of informal settlements is attributed to several interrelated factors, such as a lack of affordable housing, unemployment, population growth, rural-urban migration, economic vulnerability, and low-paying work. Meyer (2014) believes that providing housing and other basic services to the poor is critical to enable households to function and is important for human development. Decent and respectful housing improves residents' health and productivity, contributing to their well-being and wider economic and social development (Mwacharo, 2012).

Notwithstanding all efforts and implementing various policies and strategies, informal settlements remain a permanent feature. Hence, the study attempted to assess the effectiveness of local government strategies, aimed at improving informal settlements. The study also attempted to understand the challenges of informal settlements for the Rustenburg Municipality and the informal settlement communities.

1.4 Aim and research objectives

The primary aim of this study is to analyse the efficacy of local government strategies towards improving the informal settlements in Rustenburg Local Municipality.

- To identify the potential strategies and socio-economic programmes implemented by the RLM to improve informal settlements
- To examine the efficacy and ground realities of strategies implemented
- To determine the relationship and levels of community participation in the implementation process and matters concerning informal communities
- To examine efforts made by the municipality to improve informal settlements

1.5 Research questions

- What are the strategies implemented by Rustenburg Local Municipality to improve informal settlements?
- How effective are the strategies for improving informal settlements?
- What are the ground realities of strategies encountered by the municipality and the informal settlements?
- What efforts has the municipality made to improve informal settlements?

1.6 Significance of the study

Although it has been twenty-six years since a democratic government, the National Development Plan (NDP) emphasises that South Africa continues to encounter endemic levels of unemployment, poverty, and inequality (Republic of South Africa, 2011). People in South Africa are still living under poor conditions even after democracy. The former president of South Africa, Thabo Mbeki once said “it will always be impossible for us to say that we have fully restored the dignity of all our people as long as this situation persists” (Mbeki, 2006). Even today, the dignity of people is neglected and not protected; some people are still living under vulnerable, terrible, and unsound conditions that are unhealthy for human habitation.

In South Africa, few studies on the effectiveness of strategies for improving informal settlements were conducted. Some of the related studies include one in 2013 by Dr Massey titled “*Informal settlement upgrading and the effect of governmentality on women’s social networks: A case study of New Rest and Makhaza, Cape Town*” and another in 2013, by Siame titled “*The Institutional Dynamic of Participatory Slum-Upgrading Processes: The case of Langrug informal settlement.*” Most studies focus

on informal settlement eradication, and challenges. To the best of the researcher's knowledge, no study has been conducted in Rustenburg on the effectiveness of local government strategies towards improving informal settlements.

This study was conducted to contribute to academic literature and research, particularly in the field of Public Administration. This study differs from other studies because it focused on the effectiveness of strategies for improving informal settlements in the Rustenburg Local Municipality. This study is also different and important because it identifies the adopted or existing strategies, whether they are effective and what can be done to improve them for enhancing informal settlements. Furthermore, the findings identified the challenges confronting the municipality and the residents of informal settlements in general. In addition, the findings are intended to help raise government awareness about the importance of proper living standards in informal settlements.

1.7 Organising the study

This study comprises five chapters, organised as follows:

- **Chapter 1** holds the introduction of the study, which gives an overview of the study, problems statement, motivation of study, significance of the study, aims and objectives, research questions, research methodology, and limitations of the study. Last, organisation of the study.
- **Chapter 2** holds a more comprehensive literature review related to the study and theoretical framework.
- **Chapter 3** includes research methodology, study area, population, sampling procedures, data collection, processing of data and permission and ethical considerations, and a brief on the area of Rustenburg.
- **Chapter 4** contains the analysis and the interpretation of the empirical evidence, obtained from participants.
- **Chapter 5** is the concluding chapter of the study, providing the discussion and alignment of findings, presenting recommendations, based on the study findings.

CHAPTER 2: LITERATURE REVIEW

2.1 Introduction

South Africa comprises a proliferation of informal settlements, reflecting housing backlogs, particularly in urban areas. These informal settlements are characterised by poor living standards, such as social and environmental, and poor access to basic services. Some researchers, such as Masiteng (2013) believes that this is attributed to the slow delivery of housing either by the government or dissatisfaction with already provided social provisions. This could be attributed to the ineffectiveness of policies, strategies, or interventions, aimed at improving informal settlements. Mbunjana (2017) corroborates, testifying that these are some of the reasons people resorted to self-constructed housing as a solution. They have been resorting to self-constructed housing since the apartheid era.

This chapter presents the theoretical framework supporting this study and the literature obtained through perusing and reviewing the critical points of previous and current knowledge. These include methodological approaches relevant to the topic under investigation (Jili, 2012). The literature review is an existing body of knowledge providing context for understanding the knowledge of the problem. This chapter was achieved through reading policies, documents, acts, journals, articles, the Internet, and research projects.

2.2 Theoretical framework

Shelter is one of the most basic human needs. According to the *White Paper on Housing* (National Development of Housing), approximately 1.5 million South Africans live in squatter conditions in urban areas, lacking proper housing and formal tenure. The provision of and access to housing is a fundamental component of the core achievements of social work, which include foster care and providing homes for the homeless (Social Work Policy Institute, 2006). The Housing Development Agency (HAD) (2001) and Alessandro, Lafuente, Shostak, Fernández-Arias, Pérez, Blanco, Fretes , Miranda, Bos, Ganimian, and Vegas (2014) as cited by Clark, Fabrizio, Shah and Veitch (2016) add that facilities, such as housing, electricity,

refuse removal, water, and sanitation, are underdeveloped or non-existence. As a result, it is difficult to record, maintain, and improve service conditions in informal settlements.

Various approaches of intervention exist in informal settlements. These modes were adopted with strategies, aiming to improve or update informal settlements. However, despite these interventions, most people in South Africa are still living in informal settlements attributed to poor living standards. The aforementioned briefly emphasises the living standards or conditions and interventions in informal settlements. Hence, the empirical evidence must be understood within a theoretical framework with a deeper interpretation of reality (Jili, 2012).

In this study, it is acknowledged that a theory, in general, stipulates an assumption of how a person or an organisation observes a phenomenon, situation, or behaviour. The theoretical framework supporting this study is the sustainable livelihood, and social development approaches. These approaches were considered because they contribute to the relevance of this scientific investigation.

2.2.1 Sustainable livelihood approach

The sustainable livelihood approach entails providing a better standard of living to the poor by implementing measures to sustain the people (Ojo, 2018). Krantz (2001) defines these measures as “job creation, training, skill acquisition, capacity building, device security, and enterprise development”. A sustainable livelihood includes people, their abilities, means of subsistence, income, and assets.

The first definition of Masiteng (2013) explains the difference between tangible and intangible assets. Tangible assets are resources, while intangible assets are claims and access. The sustainable livelihood approach enhances the understanding of poor people’s livelihoods. This approach assembles the factors that limit or enhance livelihood opportunities. It is based on changing perspectives on how the poor and vulnerable live their lives, and the critical role or function of policies and institutions (DFID, 2000).

Rural-urban migration and urbanisation, and natural population growth, have transformed the concept of adequate housing through the unsustainable development of informal settlements. Critical trends and shocks, which people have little or no control over, have a significant impact and considerable influence on people's lives and the availability of assets. Informal settlements in Rustenburg Local Municipality (RLM) are in such poor conditions that if given a choice to choose, no one would choose nor desire to live under. Informal settlement dwellers experience and are exposed to various vulnerabilities, such as shocks, trauma, and stress. This is attributable to adverse circumstances, such as heavy rains, winds and fire, a lack of security, and access to potable water (Mbatha, 2019).

The ability of a household to deal with and recover from an income shock usually depends on subordinate assets, such as social capital, rather than financial assets. Poverty (including family poverty) is observed as a function of income. There is also compelling evidence that the poor frequently use these types of assets to supplement their income during challenging times (Ellis, 2000 as cited by Masiteng, 2013). Most impoverished families (particularly those headed by children and women) encounter numerous challenges in obtaining decent housing. This is attributable to women taking care of their children with small salaries; as a result, they derive their livelihoods from various activities and locations. Baumann (2003) corroborates that this provides lucid evidence that the urban poor does not have easy access to socioeconomic opportunities as they experience difficulties.

Sustainable livelihood approach, according to Farrington (2001), aims to identify and develop assets, strategies, and strengthen poor groups to improve the livelihood of these informal settlement dwellers. This approach teaches people how to survive and live a better life. A livelihood is environmentally sustainable when it preserves the local and global assets on which it is based (Chambers & Conway, 1991). People living in Rustenburg's informal settlements encounter numerous challenges, living in deplorable conditions while attempting to overcome poverty and unemployment. They experience and live in deplorable conditions, such as unbearable noises from mining trains and a filthy environment caused by a lack of sanitation and waste management.

People are experiencing shocks attributable to natural disasters, therefore, adopting a sustainable livelihood approach was a viable option for Rustenburg informal settlers to cope with shocks and stress. The essence of human dignity is constitutionally stipulated as having rights in the country's economy, according to the Constitution of the Republic of South Africa (1994). A sustainable livelihood comes from being able to cope with and recover from stress and shocks both for now and in future.

This approach aided in understanding people (families) and the various strategies they employ to acquire or create assets (Sanderston & Sheuya, 2000). The significance of sustainable livelihood is that it first examines how families in informal settlements use their resources to earn and make a living. Most people in informal settlements do not rely on government provisions; they always find ways to survive, even if it means becoming involved in illegal activities. This study also attempted to observe how people in Rustenburg sustain their livelihoods.

This approach revealed and acknowledged the wide range of strategies people employ to sustain their livelihood. It revealed that the recognition of the strategies adopted depends on various assets available to them, primarily determined by the broad economic, social, and political context that exist at the time. Furthermore, this approach was used in this study because most people in informal settlements rely on the informal economy, social grants, and pensions, while only a few informal settlers rely on the formal economy.

2.2.2 Social development approach

Since the establishment of democracy in 1994, the South African Government has used the social development approach to guide the implementation of social development programmes (Tatenda & Tanga, 2018). This theory was created to guide the government through strategies implemented for social development through the exchange of ideas or knowledge. Julliet (2010) asserts that a social development approach aims to improve human well-being in society. This implies that the government must invest in people's health, education, and employment. However, Patel (2015) contends that this approach was intended to inform

programmes, aimed at redressing historical imbalances, discrimination, and exploitation, of which the RDP for housing was one of them. Pastel also claims that the programmes were implemented without a sufficient application of the social development approach.

This study used the social development approach to emphasise the importance of social development through proper strategies implemented to improve informal settlements in the RLM. This theory relates to this study because it emphasises sustainability, social justice, and human capabilities. It is necessary to align economic growth with social development to ensure that policies, strategies, and programmes benefit the poor and vulnerable population groups. According to the Department of Social Development (2013), this approach exemplifies the critical function of collaboration in programme implementation.

For the adopted or implemented strategies to yield fruitful results, their implementation must include all government and non-stakeholders (everyone should be involved in the implementation process). The involvement of everyone guarantees transparency and commitment to beneficial implementation and guarantees that housing needs are sufficiently met. This theory relates to and contributes to the study's relevance because it aims to ensure that the targeted beneficiaries are empowered in receiving proper housing. This is conducted by allowing them to be part of the process and participate in decision-making and or make their own decisions about how projects are implemented (Ioakidis & Dominell, 2016; Patel, 2015).

The social development approach also attempts to describe qualitative changes in the structure and framework of society; this approach assists society in understanding and realising its goals and objectives. Development is about societal changes (social change), not just a set of policies and programmes implemented to achieve specific goals. It is governed by several factors that influence the outcomes of development efforts. Moreover, development necessitates resources, such as capital, technology, and supporting infrastructure (Online Unknown, 2020).

These theories were adopted to help to understand the research questions; the importance of developing and implementing strategies to improve informal settlements, as well as how informal dwellers can develop their own strategies to sustain their livelihoods. One of the research questions seeks to identify strategies used to improve informal settlements.

Thus, sustainable livelihood approach contributes to the better understanding of this question and a better standard of living through implementing effective measures and strategies to improve the livelihoods of informal settlements. On the other hand, Understanding the efficacy of strategies to improve informal settlements is aided by a social development approach. This theory promotes and directs the implementation of strategies to improve the well-being of informal settlements (Masiteng, 2013). Furthermore, in this study, social development approach is used to determine whether the strategies implemented are effective and whether there was sufficient application of the social development approach during the implementation of these strategies (Ojo, 2018).

2.3 Local government as a sphere

According to the South African Constitution (1996), the South African Government comprises three spheres; the national, provincial, and local sphere. These spheres are distinct, interrelated, and interdependent. Section 152 of the Constitution, remarks that local government is shaped as the epicentre for government service delivery, the most distinct form of government, and the layer of government with the most contact in their regular daily lives (Eigeman, 2007). The local sphere of government, which is the lowest level of government, is made up of municipalities that cover the entire territory of South Africa.

These municipalities are classified into three categories, indicating Category A (metropolitan), Category B (local municipalities), and Category C (district municipalities) (RSA, 1996). They form an administrative division that may represent large, urbanised regions which may unify multiple cities, or they may represent primary rural areas. RLM falls under Category B.

Before 1994, local government was labelled as “*racist, subservient, exploitative, and illegitimate*” (De Visser, Korets & Coussens, 2005). The local government’s political framework weakened the spatial, social, and economic conditions under which people lived, worked, raised families, and strived to achieve their goals (Ministry for Provincial Affairs and Constitutional Development, 1998).

By the time of democratic elections in 1994, South African cities had been classified as having “bad, terrible housing and service backlogs, inequalities in municipal expenditure, spatial differences associated with the apartheid government, thoughtful struggles against apartheid local government structures, high unemployment, and poverty affecting several households”, particularly in rural communities (Siddle & Koelble, 2016).

For over 25 years, South Africa has been democratically governed. When the African National Congress (ANC) took power, South African citizens, particularly the poor, expected changes and improvements in service delivery (Macanda, 2014). Similarly, Marutlulle (2019) asserts that when the current government obtain power in 1994, most South Africans, especially the underprivileged, in the black community, and the mixed-race community, believed that life would improve. In addition, services would be provided, especially the basic essential services.

Furthermore, as a decentralised sphere closer to the people, local government was expected to fulfil its obligations to ensure the provision of services to communities in a sustainable manner, as stipulated in the South African Constitution of 1996. According to Section 152 (1) (a) of the South African Constitution, the local government’s objective is to promote social and economic development. Section 24 stipulates that everyone has the right to an environment that is harmless to their health or well-being, and is protected for the benefit of the present and future.

However, despite these provisions, most South Africans still lack access to basic services. It is no secret that the South African government has been promising its poor people a better life but has failed to deliver on those promises. As a result, people lost faith in the government and reacted to the empty promises by the government by erecting shack settlements. Henceforth, informal settlements are

spreading throughout South Africa. This is supported by Cross (2006), noting that no other African country guarantees its “*poor people*” the levels of social provision that the current South African Government has dedicated itself to. Even in post-apartheid South Africa, shack settlements are spreading and multiplying at a rate challenging all levels of the state.

2.4 Housing legislations and policy frameworks

Since the end of the apartheid regime in 1994, numerous laws and policies were enacted to govern the function of municipalities and housing. The Constitution and the Local Municipal System Act depict that municipalities are responsible for providing basic services, such as water, electricity, waste collection, and basic infrastructure (Jiusto & Kenney, 2016). The study acknowledges that in the post-apartheid period, progress has been made concerning service provision and improvement of areas. This is endorsed by the Municipal Survey (2016), reporting that in post-apartheid South Africa, an estimated 90% of households had access to piped water, compared to 84% indicated in figures in 2001. Moreover, there has been some improvements in other services too, such as flushing toilets, electricity, and waste collection. These significant improvements are the results of the interventions, policies, and laws that were developed (Municipal Survey, 2016).

2.4.1 The Constitution of 1996

Section 152 of the South African Constitution guarantees that the local government’s objectives include, ensuring that services are sustainably provided to communities in a sustainable manner, promoting social and economic development, a safe and healthy environment, and encouraging communities to be involved in local affairs. While sections 24(a) and (b) confirm the right to live in a suitable safe environment that does not endanger one's health or well-being. Section 26 guarantees clear and justiciable provisions that ensure an individual’s right to adequate housing. It continues to remark that “no one may be evicted from their homes or have their homes demolished without a court order made after considering all relevant circumstances”. Thus, no legislation may permit arbitrary evictions. Section 27 also

remarks that each and every citizen has the right to proper services, such as health care, water, and social security (RSA, 1996).

The provisions of the Constitution are crucial in all spheres of government. They are significant in the context of the UISP because the programme is a multi-stakeholder enterprise. Local governments are expected to collaborate with a variety of performers during the implementation process (Tshikotshi, 2009). However, the South African Constitution failed to satisfy the four elements identified by global conventions, such as respect, protection, fulfilment and promotion of the urban poor's right to housing (Tshikotshi, 2009). Moreover, the Constitution failed to adopt the UN Committee's minimum core obligation intervention in General 3 (Budlender, 2003, cited in Tshikotshi, 2009). The UN Committee in General 3 wants the South African Government to compensate for its failures to achieve this obligation. This is attributable to a lack of resources and showing commitment to employing all its available resources (COHRE, 2005).

2.4.2 *White Paper on Housing*

The first post-apartheid housing policy adopted by the ANC was *the White Paper on Housing*. Tassinbgtton (2013), as cited by Ziblim (2013), notes that *the White Paper on Housing* aimed to create a viable, integrated settlement where households could access opportunities, infrastructure, and services. In addition, where all South Africans would gradually gain access to a permanent residential structure with secure tenure, adequate privacy and protection from the elements, potable water, sanitation facilities, and waste disposal. According to the literature, this policy cited a lack of a comprehensive housing plan and the complexity of housing and development regulations as major roadblocks in the *1994 White Paper on Housing*. The administration inherited a wide range of housing and development laws, based on apartheid ideologies.

One of the White Paper's main objectives was to obtain a 5% increase in the national housing budget to achieve a continuous increase in housing deliveries, with a goal of 338 000 units annually (Ziblim, 2013). *The White Paper on Housing* indicates that this was to enable the government to meet its goal of one million

houses in five years. Within a decade of the policy's implementation, significant progress was made, with approximately 2.5 million low-cost housing units provided (Tshikotshi, 2009). However, despite this considerable progress, some scholars, such as Zain (2015), contend that in 2004, the persistent growth of informal settlements informed the policy review, with the launch of the BNG initiative.

2.4.3 National Housing Act

Ngwenya (2016) remarks that "Section 2 sub-section (1) (iii) of the National Housing Act of 1997 advocates the establishment and maintenance of socio-economic viable communities with sound and safe living conditions to ensure the elimination and prevention of informal settlements conditions" (SA, 1997). This Act guides all housing delivery agencies in their efforts to provide sustainable human habitations.

In previous years, Bond and Tait (1997) contended that the failure of what can be precisely described as a market-centred approach to housing has vast implications for public health, environments, safety and security, the welfare of women and children, education, public hazards, urban planning, and other socioeconomic related sectors. These failures of the housing policy cause a growing political alienation that could undermine the government in upcoming elections and efforts to forget and reconcile (Bond and Tait, 1997).

The consequences of the market-centred approach to the poor and low-income housing provisions are in most respects detrimental to the needs of South Africa to construct houses for the indigent people and works. These include an inequitable allocation of funding between different groups favouring those with higher income because they have the capacity to gain access to credit and hence are the target of the private sector (Rowley, 1996).

2.5 Informal settlements in South Africa

Most South Africans live in cities, with a portion of that population living in informal settlements. The study acknowledges that it is difficult to define the term "informal settlement" and that different policies and scholars have different interpretations of the concept. According to UN-Habitat (2010), the difficulties in defining this concept

are accompanied by various intrigued, opinions, and complex features of informal settlements from one local context to another.

The Global Report Revived on Human Settlement (2010) stipulates that “informal settlement” refer to a wide range of low-income settlements and poor living standards that characterise the most visible manifestations of poverty and vulnerability. In contrast, the General Organisation of Physical Planning in Egypt (2006) contends that informal settlements are self-constructed, self-planned areas developed by individuals’ efforts, whether single or multi-story buildings or shacks in the absence of law and has not been physically planned.

In addition to the definitions, Nassar and Elsayed (2017) define “squatting” as a non-legal or informal occupation of a building or land. It is a broad category of residential areas comprising communities with self-constructed housing, perceived as informal due to their legal status and physical conditions. Cross (2006) remarks that “informalisation is a process by which the poor avoid rules in order to achieve outcomes that they require but are otherwise too regulated for them to reach”.

According to UN-Habitat (2015), the provided definitions of the terms slum, in formalisation, or informal settlement do not consider the complexity and heterogeneity of informal settlements. These definitions do not suggest specific indicators for identifying and measuring them. As a result, the UN-Habitat Environmental Monitoring Group (EMG) in Nairobi came to a consensus that informal settlements or slums should be defined as a group of people living under one roof who lack one or more of the following conditions: access to water, sanitation, secure tenure, housing durability, and adequate space (UN-Habitat, 2006).

The provided definitions indicate that the term ‘informal settlement’ is defined differently from one point to another; it is defined concerning attributes, such as individuals, legality, building, conditions, and service delivery. This study, therefore, developed a definition, based on the additional definitions provided. This study defines informal settlement as the illegal use of land, particularly on the urban fringe, by those compelled by circumstances to occupy vacant lands they find convenient,

available, and suitable for residential purposes. These settlements lack access to basic services and social infrastructure.

Abbot (2001) reveals that informal settlements have undergone a historical process from being denied access to basic services by respective governments to acceptance that they are social and economic entities in their own right and should be supported and encouraged to grow. Apartheid-era legislation resulted in insecure land rights and a housing shortage for most of South Africa's population (Royston & Ebrahim, 2019). Siame (2013) claims in support that during the apartheid era, urban dwellers were inextricably linked to the securing and controlling of black African labour. Mining areas, such as Kimberly and Johannesburg, confined black African workers in enclosed areas to maintain strict control over their behaviour and movement.

Informal settlements are established in both rural and urban areas. They are more prevalent and increasingly associated with the world's largest cities, particularly in Africa, America, and Asia (Jones, 2017). This study reveals that informal settlements are developed on land that is not designated for building houses in the city's main plan. Jili (2012) attests that those informal settlements are built on land that is illegally occupied through self-help. Self-help housing is a project where households build their houses using only their hands and skills.

According to Beardsley & Werthmann (2018), the United Nations estimates that nearly one billion people live in slums globally, with the number expected to double by 2030. Magigi (2013) concur, maintaining that between 30% and 60% of the urban population in some developing countries live in informal settlements. The proliferation of informal settlements is based on the fact that they provide shelter for a significant proportion of people living in developing-country cities (Adegun, 2016). This is substantiated by Ademiluyi (2010), who maintains that globally about 100 million people are homeless, while more than a billion are inadequately housed.

In 2011, an estimation of 1.1 million and 1.4 million households with between 2.9 and 3.6 million people lived in informal settlements in South Africa (Official, H.D.A. 2018.). However, provided South Africa's growing number of unsound,

informal settlements, and overcrowding, the number is likely to be higher than estimated. One of the most common causes of the growth of informal settlements is migration from rural to urban areas in search of better opportunities, and the arrival of refugees and internally displaced people (Jili, 2012). In 2013, the Housing Development Agency (HAD) (2013) emphasised that in South Africa an estimation of about 11% might be living in informal settlements. These informal settlements share some characteristics, such as inadequate housing, insufficient living space, insecure land tenure, and lack of access to basic services, especially clean water and sanitation (John, 2008).

eThekweni municipality has a population of about 3.5 million, with a quarter living in informal settlements. These settlements are mostly located on land that is difficult and expensive to develop due to constraints such as steep slopes, unstable soils, and high land costs (eThekweni, 2011). Moreover, they are frequently unsafe for human habitation, both environmentally and socially, and they lack access to basic services. The municipality of eThekweni has been proactive in responding to many of the challenges that informal settlements households face through implementing broad-based service delivery programs, aimed at providing the most important municipal services (eThekweni, 2011). As cited by Adegun (2016), Beall (et al., 2000; Sverdlik, 2011) confirm that informal settlements, not only in South Africa but globally, are characterised by social, economic, and environmental disadvantages, embodying urban inequality.

These informal settlements perform a significant role in influencing the housing supply and demand market (Nassar & Elsayed, 2017). Although Khalifa (2015) maintains that, the government has shifted its focus from eradication to provision, because it was recognised that informal settlements are not a problem, but a solution created by society when formal housing markets cannot meet its demands. Cross (2006), contends that in human rights and economic development framework, shacks or slums are globally observed as sub-standard housing, unfit for human habitation and detrimental to development; informal institutions are perceived as providing little assistance to the poor in slums surrounding them. Further, Cross

(2006) contends that informal institutions are not only observed as of little assistance to the slums but also as a source of abusive local political relations, including crime.

It is one of the municipalities' responsibilities to ensure that their strategies are effective to improve people's lives and ensure that residents, particularly those living in informal settlements, have access to municipal services (Marutlulle, 2019). However, Chikoto (2009) argues that those responsible municipal authorities find it cumbersome and impossible to improve people's lives by providing basic services to all, particularly housing. This is because municipal governments lack funds or a sufficient budget to accommodate everyone who immigrates to cities. Moreover, the rapid expansion of informal settlements has made it difficult for municipalities to identify community dwellers' needs and establish timely and appropriate responses (Chakraborty, Wilson, Sarraf and Jana, 2015). Consequently, urban migrants construct shacks devoid of services, such as electricity, water supply, and a sewage system on the least desirable sites, which are typically on the urban fringe. Furthermore, informal settlements exist because urbanisation has outpaced the government's ability to provide land, infrastructure, and housing.

2.6 The reasons for people living in informal settlements

The elevated levels of informal settlements in South Africa are greatly exacerbated by a lack of housing. The Socio-Economic Rights Institute of South Africa (SERI) (2018) corroborates, stating that a critical lack of affordable housing, forced many poor and low-income households to informal settlements. It is acknowledged that the economic shift towards industrialisation is also a driving force in the spread of informal settlements in South Africa (Khalifa, 2015). Large industrialisations in the 1960s, created employment opportunities around large cities, increasing rural-urban migration (Khalifa, 2015). This is supported by the UN-Habitat (2015), revealing that large industrialisations in cities, the economic vulnerability in many areas, and underpaid work, are all major contributors to people living in informal settlements. As a result, Carrington (2015) agrees, claiming that people are migrating from rural to urban areas in search of better jobs, opportunities, and services.

Further, the UN-Habitat (2015) emphasises that the causes of informal settlements include, population growth and rural-urban migration, a lack of affordable housing for the urban poor, and weak governance. This is particularly in the areas of strategies, interventions, policies, planning, land and urban management, leading to land speculation and grabbing. Many scholars, including Siame (2013), believe that the failure of formal governance frameworks and the inability of urban planning to implement a long-term difference is attributable to a lack of human resources and technical ignorance or capacity. This includes a lack of willingness to intervene and a deliberate policy of leaving urban development decisions to the market. While on the other hand, the *White Paper on Housing* (1994) emphasises that the reasons for people living in informal settlements arise from a large amount of housing backlogs and the desperation and impatience of the homeless. It also springs from the previous government's enormously complicated bureaucratic, administrative, financial, and institutional framework.

Ekurhuleni (2018) corroborates, stating that the apartheid government and its administrative issues, such as municipal maladministration, lack of control and corruption are some of the factors that have forced people to live in informal settlements. The apartheid government's lack of investment in a housing created an unprecedented housing shortage, resulting in the proliferation of squatter camps or informal settlements (Cloete, 1995). The proliferation of these informal settlements resulted in massive overcrowding. Bonner, and Nieftagodien (2012), for example, claim that in the 1980s, the population density in Katlehong (Johannesburg township) was between 23% and 30%, which was exceptionally high. Because of the factors that cause housing and service delivery challenges, it is understandable why people live in informal settlements.

Poverty is another significant driving force. It is widely acknowledged that the magnitude of poverty challenges in South Africa alone is frightening to all levels of government (Cross et al, 2005). Informal settlement dwellers are impoverished, and the majority lack proper and sufficient access to formal labour (COURC, 2005). Moreover, most people in South Africa live in informal settlements or informal housing, that are naturally the places of poverty due to the market divergence (gap)

and the unemployment rate; as a result, the poor cannot afford the available housing.

This is also supported by SERI (2018), reporting that poverty, income inequality, and unemployment have always been the driving forces in South Africa causing people to live in informal settlements. These driving forces are among the worst in the world, with people still divided primarily along racial lines, particularly in South Africa. Budlender (2003); Royston & Ebrahim (2016) also agree that poverty is the highest among black Africans, followed by colours, Indians and Asians, and Whites, resembling the inequality in South Africa.

This section identified the reasons and pushes factors of people to live in informal settlements. It confirms that poverty, unemployment, and a lack of access to services, are some of the driving forces for people to resort to informal settlements. In addition, the imbalances of the past that separated people according to race are root cause for the informal settlements.

2.7 Access to basic services in informal settlements

According to Gnade (2013), the South African Constitution requires municipalities to provide their citizens with a minimum level of basic services and access to basic human rights regardless of their cultural and social background. This is supported by Macanda (2014), who believes that South African citizens should not be denied access to municipal services, such as water, sanitation, electricity, transportation, and communication, regardless of their socioeconomic status. This is also underpinned by the National Indigent Policy, remarking that municipalities must provide free basic services to the poor in a sustainable manner.

According to Tissington (2013), despite these aforementioned provisions, South African informal settlements are characterised by established inequalities in access to basic services. SERI (2018) hypothesises that this is because informal settlements are located in rural areas and on the urban fringe. This may be related to these informal settlements illegally located on sites and land that unsuitable for human habitation. Winayanti and Lang (2002) believe that although their illegal land

occupation status denied them citizenship rights and access to basic infrastructure and services, most people living in these settlements have established ways to survive and gain access to urban services on their own.

Most residents of informal settlements do not rely solely on government provisions, although what they have come with greater challenges. Importantly, informal settlements are places of opportunity, where people start their own businesses. Even people from urban centres come to informal settlements to start their businesses because of the low rent in these areas (Winayanti & Lang, 2002).

Access to basic services, such as water, sanitation, and energy for the poor living in informal settlements is a local and global concern articulated in the SDGs (MDGS, 2014). Each country has its own development agenda centred on sustainable development goals, ensuring equality and a better future for all and future generations (Siminya, 2016). Poverty eradication is one of the goals that each country aspires to achieve. Thus, providing basic services to the poor, such as housing, is encouraged because it can play a significant role in poverty alleviation while meeting the community's basic needs (Simiyu, Cairncross, & Swilling, 2018). Furthermore, housing provides the security needed for a household to function. It is an essential component of poverty alleviation (Mamba, 2006). In addition, housing is a critical requirement for the poor's survival.

2.7.1 Sanitation

Access to sanitation is a growing issue in informal settlements, where over 65% of residents have insufficient sanitation (UN-Habitat, 2014), and it was identified as one of the most serious social challenges in post-apartheid South Africa (DWs, 2016). In South Africa, sanitation is regarded as a human right, it is defined as the ability and right to enter and use toilets when necessary. Thus, all informal settlements must be provided with basic infrastructure, including water, and sanitation facilities, at no cost.

According to Parikh, et al. (2020), several informal settlements in South Africa lack access to sanitation. Havelock Township is one of several townships where

households lack toilets. This is confirmed by Shoniwa and Thebe (2020), reporting that over 112 000 people living in informal settlements in Phomolong, a township in the City of Tshwane; providing sanitation in this township is inadequate. Most people living in informal settlements still use traditional pit latrines, which are considered inexpensive, provided their low-income (Kasala, Sakijege, Sartohadi, Marfai, & Kassenga, 2014). Moreover, these settlements are located in frequently flooded areas; therefore, using pit latrines in areas like these, causes health risks (Kasala et al., 2014).

About four hundred thousand residents in the City of Cape Town's informal settlements have poor access to basic sanitation (IBP, 2010). According to SERI (2018), as a short-term solution, several municipalities made chemical toilets available. The City of Cape Town built 371 chemical toilets in 2016 to accommodate an estimated 60 000 people living in Marikana informal settlements in Philippi, outside Cape Town (SERI, 2018). Similarly, Statistics South Africa (Stats SA) claims that 25% of the 400, 000 people living in Gauteng's informal settlements rely on chemical toilets for sanitation. A disadvantage of using these toilets is that they are located on public roads along the edges of informal settlements, requiring residents to walk a long distance to use them. It is revealed that each toilet is shared by almost 32 households. This is harmful, especially for women, children, and people with disabilities (Wilson, 2016).

2.7.2 Water

One of the twists that South Africa as a country is still suffering from is the unequal distribution of natural resources, such as water, and land (Ojo, 2018). The South African Constitution of 1996, remarks that each individual in South Africa has the right to adequate food and water. This principle is also supported by the Department of Water Affairs (2013), which stipulates that because water is a basic human need, everyone should have access to it.

Poor access to safe drinking water continues to be a major global concern. Ojo (2018), divulge that the South African Government face a challenge in meeting the needs of thousands of people in informal settlements with inadequate water and

sanitation. Despite the significant advancements, or progress made in the last decade or so towards improving access to drinking water, critical challenges remain. An estimated 700 million people globally, lack access to safe drinking water (UNICEF & WHO, 2015).

The UN-Habitat (2013) stipulates that 70% of Malawi's urban population lives in informal settlements. Most households in these settlements are forced to rely on diverse types of water sources because there is a lack of other reliable water sources, and the supply is intermittent (Zezeza-Manda, 2009). People continue to buy water in informal settlements, while those who cannot afford it, continue to consume contaminated water (Takacs, 2016). People in informal settlements, therefore, lack access to clean water, and are forced to consume and use unclean water for most activities, such as bathing and cooking.

According to Parikh, Bisaga, Loggia, Geogiadou, and Ojo-Aromokudu (2020), people in Havelock Township make an effort to obtain water from the ablution block, with a 24-hour supply. Most Havelock families use 20-litre buckets or recycled paint containers to fetch water from the CABs, making up to five trips per day. In Cape Town, 12% of the city's 1, 068, 572 households relied on a communal stand for access to tap water (Census, 2011). Similarly, SERI reports that in the Marikana informal settlement, 50 communal standpipes were installed to serve at least 60, 000 residents. Installing these communal standpipes has resulted in high water demand and long queues (SERI, 2018). The study finds that water access in informal settlements is limited to communal water sources.

2.7.3 Electricity

According to Helao (2015), at the local level, access to electricity, road infrastructure, and telecommunication services, is critical for investment. Most informal settlements are unhealthy, and residents encounter difficult situations while attempting attainments. This includes endangering their lives by using robbed/stolen electricity, which could be dangerous to the community. This is supported by Delivery (2010), claiming that residents of informal settlements have erected traditionally unsafe

connections to syphon electricity from neighbouring buildings, resulting in electrocution deaths and fires.

Havelock is one of the informal settlements lacking legal electricity. According to Bosiga, et al. (2020), some Havelock residents used illegal connections by stealing and robbing electricity from neighbouring formal housing streetlights. This is regarded as one of the most serious challenges, as it has put people's lives in danger of electrocution and fire. Furthermore, this has a negative influence on the municipality's bill because residents use illegal connections to obtain electricity for which they do not pay.

A study conducted in 2013 by the HDA, reveals that only 43% of the 1 249 777 people living in informal settlements have access to electricity for lighting, cooking, and heating. Many informal settlements have been in existence for a prolonged period without access to electricity. Wilson (2016) discloses that Makause is one of the informal settlements in Germiston, Gauteng Province, with over 10, 000 people, some of whom have lived there for over 20 years. SERI (2018) adds that in 2018, Makause residents initiated a petition to the municipality, requesting that they be provided with access to solar lighting to reduce the high levels of crime and the risks of fire caused by unlawful electrical connections.

This study acknowledges that electricity is one of the most essential services because it makes people's lives easy. It provides power to use the fridge, television, stoves, charge cell phones, and for radios. This is supported by the OECD (2010), suggesting that the accessibility of electricity can reduce household tasks, and facilitate people in the rural and informal communities, while improving their lives. Electricity should, therefore, be provided to the informal communities.

Despite the difficulties and uncertainties of informal settlements or slums, informal settlement are also places of social and economic vitality, responding imperfectly to powerful social forces and human ambitious (Jiusto & Kenney, 2016). The availability of proper services in all local communities becomes an increasingly crucial factor in developing a competitive and sustainable economy (OECD, 2010). Masiya, Davids., & Mangai (2019) contend that the government's virtuous deeds should be

recognised and applauded; this is supported by Mutyazimbi et al. (2020), claiming that when the current government came into power, it attempted to correct the wrongdoings of the past. By 2010, according to Mutyazimbi et al. (2020), the government had already ensured that 70% of the population had access to water; 69% had access to sanitation; 64% had access to refuse collection; 75% had access to electricity.

This section deliberates the access to services in informal settlements. It also revealed how some municipalities attempted to provide services to people through temporary measures, such as providing chemical toilets in some parts of informal settlements in Cape Town and Gauteng. Furthermore, this section reveals the hardships people encounter attributable to the lack of access to basic services.

2.8 Service delivery protests

Although this study does not focus on service delivery protests, urban violence is a growing concern. This is particularly in cities where rapid urbanisation is associated with levels of poverty and inequality, resulting in unbearable living standards for most residents (Luthango, 2018). Service delivery protests, according to Jain (2010), are a “natural and probable result of systematic institutional problems that exist in the provision of basic services to the most impoverished members of South African society”. Jain (2010) further remarks that the poor people of South Africa use service delivery protests to reveal their dissatisfaction with what they observe as a lack of or slow service delivery. Most South Africans are becoming impatient with the government for failing to provide services in their communities, as guaranteed in the South African Constitution (Seokoma, 2010).

Protests across the country erupted in response to a lack of quality services, drawing considerable attention to the local government. These protests have been categorised by massive levels of violence, xenophobic assaults, stealing, and police cruelty. South Africa has the most advanced local government systems and frameworks globally (Wallis, 1999). However, the challenge of service delivery remains a pressing issue. Despite the presence of a progressive Constitution, laws, and electoral democracy, brutal social movement dissatisfaction has been on the

rise to the point where some predictors labelled South Africa the “protest capital of the world” (Alexander, 2013). Kiyanga-Nsubungu (2007) established that citizens protest because it is the only way for them to obtain the government’s attention; it is the only way for the government to listen to them and respond to their needs.

In 2005, according to Cross et al (2005), residents embarked on a housing service delivery protest that resulted in violence and fire, demonstrating the scale of population anger at the slow pace of housing and service delivery. “When a large population group in cities is afflicted by malnutrition, impoverishment, social exclusion and discrimination, ill health and poor conditions, as well as restricted access to land and basic infrastructure, increasing levels of criminal violence, lack of safety, and general fear in the use of public space are frequently observed” (Bauer, 2010).

This is verified by Jili (2012), remarking that the research from Municipal IQ’s Hotspots Monitors indicates lucid evidence that in larger cities or metros service delivery protests continue. This was a continuation of the trend of previous years. Cities, such as Johannesburg, Ekurhuleni and Cape Town, experienced a surge in service delivery protests in 2011, in addition to several specific cases in the provinces of the North West and Mpumalanga, such as the now-notorious Balfour (Jili, 2012).

Despite the government’s efforts to accelerate service delivery, particularly in informal settlements, over 800 communities have reportedly responded with protests (Ali, 2014). Mutyazimbi (2020) corroborates, reporting that despite considerable progress and development of laws and policies, basic service delivery protests in post-apartheid South Africa continue to rise. The increase in service delivery protests was confirmed by the Municipal IQ, tracking a total of 1225 service delivery protests in South Africa between 2004 and 2016 (Mutyazimbi, 2020). This is unambiguous evidence that the traditional subsidy-linked housing programme cannot confront the challenge of housing, service delivery, and unsound informal settlements in South Africa.

2.9 Challenges towards improving informal settlements

Every individual in South Africa has the right to dignity, equality before the law, freedom, and security (Macanda, 2014). The South African Government is required by the South African Constitution to take reasonable measures, within its available resources, ensuring that all South African citizens have adequate housing, health care, education, food, water, and social security. Despite these provisions, many informal settlements remain in poor conditions, requiring serious and immediate intervention. According to Huchzermeyer (2006), the central attribute of informal settlements with various aspects of unsound living standards is tenure land security. Land tenure security is one of the most prominent features of the Informal Settlement Upgrading Programme because it provides warm social and economic security for informal settlement residents to live in without fear of eviction (Accounting of Basic Services, 2018). Tenure is one of the most difficult concerns required to be resolved.

The South African Government attempted to address and approach the concerns of unimproved informal settlements and housing by introducing a legal and policy framework. According to SERI (2018), some serious systematic challenges continue to jeopardise the full enjoyment of the right to adequate housing. These challenges result from how this legal framework was implemented (SERI, 2014). One of the most significant challenges to informal settlement upgrading is poor policy implementation, which increased the number of growing informal settlements in South Africa. Khalifa (2015) agrees that implementing the right to housing has been accompanied by poor planning, a lack of coordination, and failure to monitor the implementation of government policies. Conversely, Abdelhalim (2010) reports that a lack of skills and poor leadership abilities were also cited as reasons for poor performance within municipalities, resulting in people's needs and demands not being met.

In the City Press (2009), The Minister of Cooperative Governance and Traditional Affairs in the North West province reported that some of the challenges of informal settlements are also the causes of protests. These include the lack of commitment

from officials, compounded by the conflicts within the administration and between the administration and political offices.

Aigbavboa and Thwala (2018) explain that some of the challenges to upgrade informal settlements in South Africa include:

- Large implementation divergences concerning progressive legislation, with finances, and lacking technical skills
- Budgetary constraints from the Department of Housing and municipalities funding for bulk services and internal service top-ups, resulting in a long waiting list
- Land legal issues relating to complex statutory land assembly processes
- A lack of bulk services infrastructure in several areas
- Relocation concerns, such as relocation and eradication not properly planned, resulting in deteriorated life conditions attributable to the distance of relocation sites from livelihoods and disruption of social networks, and access to basic services, such as water and sanitation

Another fundamental challenge to improve informal settlements is mobilising funds, particularly because financial institutions are still unwilling to make loans to the low-income sector (United Nations Centre for Human Settlements, 2007). Aigbavboa et al (2018) corroborates, maintaining that it should not be overlooked that financing is also a barrier to the poor provision of housing to the low-income group. The United Nations for Human Settlements (2007), conversely, contends that a lack of communication among the three spheres of government with informal settlements is also a barrier to the upgrading of informal settlements. Accountability and communication are important, according to the Attorney-General (AG), but they continue to fail at the local level, with obvious governance, leadership, and oversight lapses in several municipalities, contributing significantly to unfavourable audit results.

Several scholars, including Nassar and Elsayed (2017), contend that the lack of a sufficient formal response to the rapid growth in housing demand has forced people to build their own self-constructed shelters. Most of these shelters are structurally unsound, lack access to basic services, and are, therefore, unfit for human

occupation. It is critical to emphasise that the lack of provision of land, social amenities, open space, and available funds for maintenance and housing supply mechanisms, harm informal settlement improvements (Jenkins, Smith, & Wang, 2007).

Informal settlements are characterised by several social problems, such as high degrees of poverty, illiteracy, and crime. These social problems are caused by a lack of education, causing the shortage of literate individuals, and shortage of skills and employment, resulting in no income for most families (UN-Habitat, 2014).. Most of these families engage, particularly the youth, in wrongful activities, such as crime and substance abuse. Only those engaged in an informal economy, such as selling food, fruits and vegetables are economically active in informal settlements (UN-Habitat, 2014).

Informal settlements are vulnerable to social problems, such as a lack of access to basic services, such as water and sanitation, a lack of a solid waste collection system, and a lack of electricity supply (UN-Habitat, 2003). Other social issues include the lack of surface roads and street lighting, and the absence of health care, community halls, education, and school facilities (Xulu, 2017). Khalifa (2011) adds that several developing countries, including Egypt, lack a well-established practice of social and public participation.

Concerning environmental challenges, several informal settlements encounter regular disasters, such as natural and man-made disasters they cannot withstand (Kipper, 2009). This is attributable to the location of these settlements and the materials used to construct these shelters. The lack of health and sanitation exposed residents of informal settlements to a variety of illnesses and conditions, such as diarrhoea, tuberculosis, and serious respiratory infections (Xulu, 2017). Kipper (2009) agrees that informal occupants are exposed to both indoor and outdoor polluted water, harming their health. Residents are exposed to air pollution, caused by concerns related to large industrial facilities, thermal power stations, cars, and residential activities (Amnesty International, 2010).

These challenges immensely harm the side of informal settlements. These residents encounter a variety of challenges, such as health risks, insufficient housing, a lack of access to basic services, and the threat of eviction, among other things. Cronin (2016) believes that, despite the obstacles to upgrading informal settlements, there are benefits to living in informal settlements that may suit residents. Most people live in informal settlements to benefit from the informal economy, tax evasion, and low or no rent.

2.10 Improving informal settlements

Informal settlements represent the homes of millions of urban poor households throughout the developing world. For many of these families, informal settlements are the only ideal solution (United Nations Centre for Human Settlements (UNCHS), (2007)). They, therefore, need to be upgraded. According to El Menshawy, Aly & Salman (2011), informal settlement upgrading is a method that involves the gradual improvement of shacks by providing basic services, such as water, electricity, sanitation, and infrastructure in legalising and regulating land, illegally occupied by people. Massey (2013) articulates that the upgrading term is the term provided or used to improve the quality of housing and housing provision related infrastructure and services to illegally occupied settlements., upgrading or improving informal settlements can be defined as the conversion of illegal units into legal ones (Martin, 1983, as cited by Tshikotshi 2009).

Scholars agree that improving informal settlements is not a new idea; several countries, such as Peru, Indonesia, India, and Turkey, have employed this approach to address informal settlement problems since the 1950s (Khalifa, 2015). This is supported by Xulu (2017), observing that improving or upgrading informal settlements is practised globally. However, most strategies and technical methods pay little attention to the people. Coit (1995) agrees, stating that in some developing countries, such as Egypt, strategies, and approaches to improve informal settlements are yet to be implemented. When these strategies are implemented, little attention is paid to identify the root causes, such as poverty, unemployment, and low

wages. Instead these countries focus more on the physical improvement of township settlements (Tshikotshi, 2009).

Informal settlements are not going away nor disappearing—they are here to stay. Several researchers, including Xulu (2017), believe that the government should develop housing strategies forbidding the demolition and destruction of informal settlements, but allow for their continued existence and upgrading or improvement. Khalifa (2015) indicate that a gradual shift began in the 1980s to promote upgrading approaches that lessened the hazardous social, economic, and environmental influences in informal settlements derived from eviction policies and strategies. It preserved social relationships and community cohesion. An emphasis was also placed on lending policies and integration housing policies. The focus of these policies was on tenure legalisation, infrastructure improvement, credit facilitation, encouraging self-help housing and housing improvements, and socioeconomic development (Khalifa, 2015). Beliefs were that the availability of secure tenure in informal settlements would gradually improve living standards in these settlements (Jones, 2017).

For decades, people debated the issues or concerns of improving informal settlements. According to Brown-Luthango, et al (2016), improving living standards in informal settlements is a pressing global issue debated for several years. It is a compelling concern for global organisations, such as the World Bank, the United Nations Habitat, and national governments. As a result, policies, programmes, and initiatives were implemented. “Globally, a billion or more people live as ‘squatters’ in informal settlements, where their status as ‘illegal land invaders’ makes settlers vulnerable to eviction and infrastructure development a legally complex socially fraught affair” (Huchzermeyer, 2004).

Several developing countries are expanding; their expansion is uncoordinated, with inadequate basic infrastructure and housing. In substantiating this point, Tatenda and Tanga (2018), stress that a billion new houses will be needed by 2025 to accommodate the new urban dwellers attributable to global expansion; UN-Habitat (2015) estimates that the meagre resources of 330 million people will be stretched

and strained by their housing needs, accompanied by intense emotional distress. Conversely, the number of people living in informal settlements is expected to double in the next few years. Beardsley et al (2018) claim that according to UN estimates, one billion people now live in slums globally, with the number expected to double by 2030 if no action is taken.

In Mexico, there has been a proliferation of low-income housing boom, which has favoured the development large, standardised housing projects. Informal settlements, however, are spreading and consolidating, providing flexible environments and opportunities to those who cannot afford or access formal alternatives (Anyigor, Giddings, & Matthews, 2017). In contrast, the emergence of informal settlements in Brazil was the result of households migrating from rural to urban areas in search of better socioeconomic opportunities. This form of dwelling was the most affordable one for the indigents and the low-income sector. Wakhungu et al (2010) contend that in Africa, especially in the cities, the population was growing since the 1960s; over 90% of the new urban development is informal. In Africa, about 70% of the urban population resides in informal housing (Wakhungu et al, 2010).

In South Africa, people are still suffering, and the urban poor lives in deplorable conditions, as the government and the housing department both fail to satisfy the country's housing demands. According to the Department of Housing (2004b); Huchzermeyer and Karam (2006), these are the results of failed or unsuccessful policies, ineffective governance, corruption, inappropriate regulation, exclusionary urban economic development, and poor urban management strategies. This includes the deplorable living standards endured by the urban poor. Tshikotshi (2009) confirms that a strong shared and reinforcing relationship among poverty, housing, and the environment.

Combating poverty, inequality, and discrimination, do not only confirms informal settlements but also improves the prospects for robust and socially inclusive economic growth (Mears, 2011). Informal settlement upgrading necessitates a paradigm shift in informal settlement interventions. It aims to formalise existing

informal settlements through appropriate town planning and land. Huchezemeyer (2006) adds that the objective of upgrading informal settlements is to develop and create human habitations that are convenient and suitable for future generations. Incremental housing becomes the responsibility of the household. Xulu (2017) reasons that improving informal settlements entails building homes where they are already located; housing is achieved through an incremental approach.

In response to the emergence of informal settlements in Brazil, municipal authorities, such as Mayor Pereira Passos introduced and implemented measures to improve cities, such as Rio de Janeiro (1902-1906). Reforma Passos advocated for a radical design to pave the way for the construction of roads and avenues. Several homes were demolished or destroyed, leaving impoverished families homeless. As a result, the affected families were left with no choice but to illegally re-occupy available nearby land, which later became informal settlements (Braathen, Bartholl, Christovao, & Pinheiro, 2013). According to Huchzermeyer (2002), these informal settlements were evidence that the political-economic system did not sufficiently serve the urban poor population.

A study conducted 30 years ago by Haarhoff (1983), discovered that municipalities do not accomplish the goal to improve informal settlements. This is because they sometimes allow the privatisation of service provision when improving informal settlements, which limits service delivery to low-income households. It is the responsibility of each municipality to protect and support vulnerable communities while providing them with services and a decision-making platform.

Various scholars contend that the upgrading of informal settlements necessitates the recognition of three conditions, indicating property rights, property value, and physical attributes of the underlying assets (Khalil, EL-Aaal, Quintero., Aayash, El-Warab, Ibrahim, & Marei, 2016) . Regardless of the legal dimensions, improving informal settlements involves service improvement. The upgrading of informal settlements in South Africa comprises three stages, indicating the project initiative phase, the project implementation phase, and the housing consolidation phase (Godehat & Vaughnan, 2008). The first two stages consider and address the entire

area of informal settlements and the households living there. The special conditions of the third stage, conversely, apply to households that do not qualify for a housing subsidy (Graham, 2006). Martin (1983) identifies the following five major benefits of improving informal:

- Health-related reasons to decrease dangers or risks of epidemics
- Economic reasons to empower local communities
- Applicable socially to develop social facilities, such as clinics, halls, and schools
- Legal divide to provide secure tenure for the urban poor dwellers
- Upgrading of housing processes where the state commits resources

Further, there are two approaches implemented to upgrade informal settlements, indicating total redevelopment, and in situ upgrading. Scholars, including Mistro and Hunsher (2009), Franklin (2011), and Ziblim (2013), identify total redevelopment as a situation where informal settlement dwellers are evacuated and relocated to Greenfields elsewhere. In situ upgrading involves the development of existing informal settlements where they are located, by gradually expanding to the dwellers land tenure, infrastructure, and social services, such as water, sanitation, and electricity. It is contended that relocation disrupts people's social networks as some are relocated to areas far from their existing resources, workplaces, and schools, resulting in unemployment and school dropout (Mamba, 2006; Thwala, 2012). Similarly, Del Mistro and Hensher (2009) contends that "relocation destroys social networks and harms the economic network because 'greenfield' sites are typically located far from urban opportunities".

As opposed to the practice of complete relocation of slum dwellers to Greenfields, which has greater chances of disrupting their fragile community networks and livelihood opportunities, in situ upgrading approach is the most preferred alternative (Franklin, 2011). This approach aims at minimising the disruption of social and economic networks by reducing the number of households relocated to other sites or elsewhere on the site (Del Mistro & Hensher, 2009). Informal settlements need to be upgraded on-site in preference to other options less favourable to people's needs.

One of the advantages of improving informal settlements on-site is that informal settlement dwellers invest their time and skills in informal housing construction and other activities (United Nations Economic and Social Commission for Asia and the Pacific (UNESCAP), (2009)). This study acknowledged that improving informal settlements on-site is less expensive to implement than eradicating and demolishing informal settlements. It is, therefore, essential to provide land titling or formalisation of informal settlements and the legal distribution of titles to urban poor families. The results of upgrading are, therefore, immediately visible with a major variation in the living standards of the urban indigent (Tissington, 2011).

2.11 Strategies, programmes, interventions, projects, and policies

Informal settlements remain an urban problem. According to Massey (2013), the idea that informal settlements were a challenge that needs to be solved through eviction or eradication first emerged during the 19th century British Colonialism. Scholars, including Turner and Fichter (1972), opposed the eradication approach, believing that informal settlements were the solution to housing delivery challenges. Because of the rapid growth of informal settlements in Africa during the 1950s and 1960s, African cities responded with increased regulations, administration, and enforcement (Payne, 1989). Moreover, informal settlements were observed as the places of poverty, illegality, disease, and crime, presenting a serious threat to the modernist goals of African governments (Massey, 2013).

During the mid-1980s in South Africa, the policy focusing on informal settlements prioritised eradication with limited upgrading (Magigi, 2013, as cited by Nkoane, 2019). As an alternative to influx control, the policy of orderly urbanisation was introduced in 1985, resulting in available land to middle-income groups rather than low-income groups (Magigi, 2013). In later years, informal settlements were recognised as a vital part of cities, resulting in policy shifts to accommodate informal settlements. In some parts of South Africa, though, particularly Johannesburg and Zimbabwe (Harare), informal settlements were eliminated in 2009 (Pithouse, 2009). The policy shift meant that the government moved away from direct house construction and delivery from focusing on settlement improvement through

infrastructure, land tenure, and technical and financial services (Keare & Paris, 1982).

In South Africa, numerous pieces of legislation, initiatives and programmes were introduced to reinforce and support the original programmes. These include RDP, GEAR, and the National Housing Code of 2009 (Mafukidze & Hoosen, 2009, as cited in Tatenda & Tanga, 2018). In addition to the initiatives, Nassar and Elsayed (2017) agree on various modes or interventions to improve informal settlements. These interventions include servicing, partial adjustment relocation, committing to millennium development goals, social participation, and the function of NGOs.

Nkoane (2019) indicates that before implementing these policies and initiatives in post-apartheid South Africa, in the 1990s, the government established the Independent Development Trust (IDT). This was in response to several people from low-income groups invading open land across the country. The IDT was established as South Africa's first large-scale informal settlement upgrading program (Magigi, 2013). According to Huchzermeyer (2004), cited by Nkoane (2019), the IDT initiatives exhibited neoliberal ideas with minimal community participation and one-size-fits-all interventions. The main objectives of IDT was to empower the relegated and impoverished communities to grow and develop in way that was sustainable and achieved integrated social infrastructure. It also required aimed to ensure effective and efficient administration and service delivery (Mabuza, 2012).

The preceding discussion reveals that the post-apartheid programmes were not the first to attempt to upgrade informal settlements but were a continuation of previously established initiatives to upgrade informal settlements, such as IDT.

According to UN-Habitat (2014), the second United Nations Conference on Human Settlements in Istanbul in June 1996 (Habitat II), resulted in the Istanbul Declaration on Human Settlements. This marked a significant turning point in global policy discourse on the need to ensure adequate shelter for all. Within the framework of the UN millennium development goals, this policy agenda provided the new impetus. The millennium development goals (MDGs) call for a considerable improvement in

the lives of over 100 million slum residents by 2020 (Goal 7 target II) (UN-Habitat, 2003).

The National Housing Code (NHC) emphasises that the fundamental goal of improving informal settlements is to meet the needs of special development and informal settlements. When the World Bank (WB) recognised slums and began funding slum-related programmes in the early 1970s, it was one of the most important pillars of upgrading informal settlements (Satterthwaite, 2012). These WB-funded programmes to improve informal settlements were not the first and only a small portion of the upgrading programmes were funded (Satterthwaite, 2012). The most crucial factor to consider is that the world's largest development assistance agency recognised and realised the need to improve slums. This has a significant influence on the government's recognition of the need to upgrade informal settlements. As a result, today, improving informal settlements is a broad concern that should be supported. It is not supported by all governments yet.

Jiusto and Kenney (2014) agree, identifying a growing global consensus that slums can best serve citizens and nations if they are treated as an emergent development to be supported through incremental "in situ" slum upgrading rather than as outlaw places to be eradicated. This process is broadly defined as cooperative and collaborative efforts among residents, community groups, non-profit organisations, government, and businesses, to improve basic services and propel the economic, social, institutional, and community activities required to support community well-being (Ali, 2014).

In Indonesia, the government introduced the Kampung Improvement as a programme to improve informal settlements (Jones, 2017). This was the first large-scale upgrade to function in improving low-income settlements in Jakarta and Surabaya, Indonesia, lacking services (Satterwaite, 2013). It was inattentive on evacuating people while more concerned with providing services, such as roads, footpaths, water, drainage, and sanitation. According to Satterwaite (2013), the implementation of this program did not mean that all informal settlements in Indonesia were safe from forced eviction; some informal settlement dwellers in other

parts of Indonesia remained fearful eviction. Conversely, the program was insufficiently effective to protect all informal settlements from eviction.

Bermina (2012) and Ali (2014) remark that the Egyptian local government adopted a redevelopment strategy to deal with informal settlements. This strategy aimed at evacuating people and relocating them to decent settlements suitable for human habitation in response to the Maspero Triangle's failed attempt. Similarly, Matamanda (2019) remarks that the eviction and demolitions strategy was employed as an urban renewal strategy in Zimbabwe. This strategy resulted in millions of homeless people, as the greater demolition occurred in 2005 when the government launched the operation "Murambatsvina", which translates to "remove filth" in 2005. On July 7, 2005, official government figures revealed that 92 460 housing structures were demolished, directly affecting 133 534 households (Tibaijula, 2005, as cited in Matamanda, 2019).

Further, an estimated 700, 000 households were affected, and over a million people lost their livelihood because of the operation (Amnesty International, 2010). These strategies/practices are ineffective because of the negative effects on people; they do not solve problems, but instead create new ones (Khalil, EL-Aaal, Quintero, Aayash, El-Warab, Ibrahim, & Marei, 2016). Chirisa and Matamanda (2019) contend that the strategies implemented in Zimbabwe forced those affected to live with relatives, while others were left homeless in overcrowded and health-threatening conditions.

Ogu (1996), Ogu and Ogbuozobe (2001) reveal that the Federal Housing Programme, involving slum clearance and dweller resettlement, where the World Bank (WB) assisted with settlement upgrading and site services schemes implemented in Nigeria over the last six decades, had little success. The slum clearance in Lagos, Nigeria, involved the forcible eviction of 300, 000 people without adequate resettlement arrangements (Agbola & Jinadu, 2002). The study confirms that the oppressive "bulldozer" eviction policy predominated in the 1970s, 80s and 90s. With the official state only intending on eliminating informal settlements and relocating people elsewhere, most likely in public housing (Khalifa, 2015). This policy

or strategy focused on land acquisition, land banking and conventional housing projects

The consequences of these programmes/strategies adopted in Nigeria resulted in most families becoming homeless, and as a result, women were forced into prostitution for survival (Anyigor, Giddings, & Matthews, 2017). The focus of the programmes adopted to deal with informal settlements was to transform the environment while ignoring the consequences and vulnerability that the programmes would bring to the people. The implemented strategies were not in favour of or disapproved of the urban poor. They were more concerned with improving the environment than with social and economic concerns. Furthermore, the adopted programmes, approaches, and strategies, failed to contribute to urban living standards. They were unsuccessful in halting the growth of informal settlements or improve them. Instead, they left most families homeless, traumatised, and vulnerable.

Ntema (2011) adds that in South Africa, the government prioritised housing provision for previously disadvantaged groups by enacting policies, such as the *White Paper on Housing* in 1994, The EPHP in 1998, and a Comprehensive Plan for the Development of Human Settlement in 2004. The RDP was released as a guiding policy in 1994, with the establishment of democracy in South Africa. Through this programme, basic infrastructure in South Africa was identified as a critical priority for the reconstruction of South Africa and the improvement of life equality (ANC, 1994).

The post-apartheid Reconstruction and Development Programme (RDP) (1994) was intended to approach and address the housing backlog, which was becoming increasingly evident as the informal settlements expanded rapidly (Irrolia & Massy, 2015). Although South Africa should be commended for initiating programmes, such as the RDP and the UISP, BEE, the youth unemployment programme, and social grants. Khalifa (2015) contends that the success of these programmes was questioned attributable to an increase in unemployment and poverty among the needy and vulnerable people, supposed to benefit from the housing programmes.

The National Department of Housing (1994) corroborates, reporting that 18% of South African households live in poverty and deplorable conditions with no proper formal tenure. The number of households living in informal settlements in South Africa increased from 1 804 430 in 2007 to 1 963 096 in 2011 (Statistics South Africa, 2012, cited in Weakley, 2014). The HDA indicates that 11% of South African households lived in informal settlements in 2013 (Adegun, 2016). In 2016, the percentage of people living in informal settlements was 13% (Dlamini, 2002). This increase in the number of people living in informal settlements, even in post-apartheid South Africa, is unambiguous evidence that the government agencies and institutions in charge of urban development, housing policies, and strategies are failing people and failing to provide services.

South Africa has numerous opportunities and a high potential to approach poverty, unemployment, and the deplorable conditions in informal settlements because of its excellent policies, strategies, and programmes; however, the dilemma regards implementation, as these programmes are poorly implemented (Jones, 2017). Jones (2017) suggests those in charge of implementing these strategies and programmes must consider the needs of people and communities to avoid new social problems while attempting to solve existing ones. Tatenda and Tanga (2018) claim that one of the significant problems identified to have a strong influence on the failures of improving informal settlements is the inability to reconcile these programmes with the actual needs of their intended beneficiaries. Peter (2013) agrees, stating that this is an ignored critical concern, and the incorrect assumptions afflicting these programmes, resulted in further impoverishment of the indigents.

According to the *UN-Habitat Working Paper* (2003), well-managed slum upgrading has significant links with the socioeconomic well-being of indigents in society. Basic infrastructure and housing are critical social development components (Patel, 2015). A well-managed slum upgrading, aids in the combat against poverty and vulnerability. It also assists in achieving long-term human development and promoting labour productivity. Improving informal settlements provide the welfare of women and children.

The *UN-Habitat Working Paper* (2003), therefore, outlines that a well-administered slum upgrading significantly links with the socioeconomic well-being of the indigents in society. Basic infrastructure and housing contribute to an important component of social development (Patel, 2015). A well-administered slum upgrading assists in combating poverty and vulnerability. It also assists in achieving sustainable human development and promoting labour productivity.

Improving informal settlements provide for the welfare of women and children. In a study by Cloete (2007) in Mexico, it was observed that living in a dirty environment causes several diseases. As a result, the scholar concluded that improving informal settlements through providing services could help to reduce illness among dwellers and improve cognitive outcomes among children. Similarly, a study in India discovered that providing potable water in informal settlements has a significant influence on preventing several bacterial diseases, such as cholera and other waterborne diseases (Jalan & Rvallion, 2003).

Housing creates viable and integrated settlements where households can access opportunities, infrastructure, and services (Tissington, 2011). As a result, the government implemented the BNG initiative, recognising the challenges of informal settlements, providing a directive and financial support for improvement. The BNG initiative (discussed further as the chapter progresses) aimed to provide sustainable human settlement, eliminating informal settlements by 2014 (Mbunjana, 2017). The BNG initiative incorporated an ISUP with a devoted subsidy mechanism (Huchzermeyer, 2006). The ISUP allows for on-site upgrading of informal settlements “with minimal disruption to residents’ lives” (Huchzermeyer, 2009). Ntema (2011) emphasises that the first *Housing White Paper* of 1994 set a target of 338 000 units annually to reach a million housing units within the first five years; this goal was not met. Between 1994 and 2008, 26 million housing units were delivered.

A target of 40 000 households to be upgraded by 2014 was set; however, this target has not been instituted. This is endorsed by Del-Mistro et al. (2009), claiming that the government set a goal of providing housing to most people living in informal settlements by 2014, but still no visible action was taken to ensure that this goal was

reached. According to BORGAN Magazine (2019), by 2014, 23% of South Africa's urban population lived in informal settlements, generally built poorly out of old materials, such as tins and old zincs. Misselhorn (2008) concedes that the state funding level is insufficient, complicating it for local governments to meet the set goals of providing housing to everyone, eliminating informal settlements.

In 2009, the government launched the ISUP, targeting needy and vulnerable individuals, lacking housing (Mcgaffin, Cirolia, & Massyn, 2015). This programme was implemented to regenerate shacks and squatter settlements, ensuring that the houses were of good quality and adequately accommodated the occupants. According to Aigbavboa and Thwala (2018), the primary goal of this programme, as stated in the South African Housing Code (2004), is to facilitate the structured upgrading of informal settlements. This program promotes informal settlement improvement to achieve complex and interrelated policy goals, such as tenure security, health, and safety, empowerment, social and economic development, and social capital.

In dealing with informal settlements, it was decided in 2010, to introduce a 12-outcome approach, ensuring that the lives of the poor are improved. According to Xulu (2017), each outcome had a delivery agreement that included measurable results, activities, indicators, and specific goals to be met. Xulu (2017) specifies that Outcome 8 holds an inclusion of upgrading targets, focusing on creating sustainable human settlements and improving South Africans' living standards (www.poa.gov.za). Output 1 focused on upgrading 400 000 units of accommodation within informal settlements to ensure poor families' access to housing. Output 2 concerns improving access to basic services, such as water, sanitation, refuse collection, and electricity, in both formal and informal settlements. Output 3 aimed to "enable providing 600, 000 accommodation components in the divergence market for people earning between R3500 and R12 800; and with Output 4 paying more attention to the mobilisation of well-located public land for low income and affordable housing with increased densities on this land" (www.thepresidency.gov.za).

According to Simiyu et al (2018), several projects were launched in South Africa to improve informal settlements, such as the ESIS project in Cape Town. The goal of this project was to provide basic services, such as water, sanitation, and waste removal to all informal settlements. The City of Cape Town's approach to community engagement and governance in informal settlements interventions was a success in the ESIS project. As applied in the case of Cape Town, community participation is an integral approach to engaging participation from the start to the end of the project. The new South African Constitution encourages local communities to participate in matters concerning them, such as the development, implementation, and evaluation of integrated development planning at the local level (Williams, 2015). "Community participation is the direct participation of ordinary people in the affairs of planning, governance, and development programmes at the local or grassroots level, and became an integral part of democratic practice in recent years" (Jayal, 2001).

In addition to the attempt of upgrading informal settlements, the Social Justice Coalition (SJC) (2010) launched the Clean and Safe Sanitation Campaign (CSSC) in 2010 to compel the Cape Town City Council to properly maintain toilets and provide additional clean and safe sanitation facilities in informal settlements. SJC's campaign achieved several goals, including the establishment of a janitorial service to regularly maintain flush toilets and standpipes. SJC relied on a complex approach to achieve these gains, including extensive research, a legal strategy, and media publicity targeting both poor and wealthy communities. The city's budget calculation disregarded the uneven distribution of toilets, disregarding a large number of toilets in disrepair, unfairly including toilets not meeting the minimum requirements of "basic sanitation."

The Emergency Housing Programme (EHP) is another significant government initiative to approach the issue of informal settlements. The EHP aims to enable local governments to provide temporary relief to people in urban and rural areas, encountering emergencies by providing land, engineering services, relocation assistance, and housing. This programme has classified evictions and the threat of impending evictions as emergencies (Tissington, 2012). The Social Housing Foundation (2010), conversely, claims that the local and provincial governments fail

to properly use this programme. This is despite its potential usefulness in approaching the temporary housing needs of those evicted in rural and urban areas.

The Social Housing Foundation (SHF) in 2009, established that only six from nine provinces in South Africa could distribute funds concerning the programme; the program was primarily employed to assist in cases of natural disasters and floods in rural areas. This provides evidence that the government used this program inefficiently to provide temporary alternative housing in the occurrence of eviction. Despite these strategies and programmes, people begin self-planned settlements as a response to unsustainable and ineffective land transformation (Nassar and Elsayed, 2017).

The aforementioned section reveals the policies, initiatives (strategies), and interventions, including the projects governments, not only in South Africa, employed to engage in housing and informal settlement improvement. It illustrated the achievements and the failures of these interventions. RDP, BNG housing subsidy, and UISP are among the initiatives discussed, prioritising informal settlement improvement. This section also identifies how “bull dozer” eviction predominated over the past years, and how it affected people. This section emphasises why people prefer on-site upgrading over relocation.

2.11.1 Reconstruction and Development Programme

When the ANC assumed office, attempting to correct the mistakes of the apartheid government, it introduced the RDP, a new housing delivery policy. According to Mackay (1995), the RDP was the ANC’s manifesto during the 1994 elections, with socioeconomic development as a priority. RDP aimed at alleviating poverty and approaching massive divergences in social services across the country (Mamba, 2006). The BORGEM Magazine adds that RDP establishes a government-funded housing programme to accommodate low-income residents. Between 1994 and 2001, the government constructed over 1.1 million cheap houses, accommodating nearly one million of the estimated 12.5 million South Africans without housing (Mamba, 2006).

The BORGES Magazine confirmed that between 1994 and 2005, the government constructed 1.8 million houses as part of the programme. Since the programme introduction, four million houses were constructed and allocated to indigent families and individuals.

The progress of this programme was drastically altered in recent years; the government cannot keep up with the demand for RDP housing, resulting in the growth of large informal settlements with poor living standards and a large population. Masiteng (2013) reports that several RDP critics, which led to some scholars interrogating the scope of change in housing delivery. One common criticism is poor housing delivery; most houses built are of inferior quality and are collapsing. Masiteng (2013) claims that in 2000, a study by Moore, Pierce, Kvalvik, & Lim, (2000) revealed that only 30% of new houses complied with building regulations. Mamba (2006) identified another critical factor contributing to the RDP's failure as only catering for working people. RDP requirements discriminated against and excluded the indigent and unemployed, those with unskilled jobs, and individuals not meeting the requirements to receive this subsidy. RDP, therefore, did not accomplish much because its requirements contributed to a massive increase in informal settlements.

2.11.1.1 Breaking New Ground initiative

The South African state proposes to deal with the persistence of informal settlements and housing markets by increasing the supply of subsidised formal public and private housing. This would improve quality and accelerate the delivery rate. BNG was, therefore, introduced by the Department of Housing. BNG is a new plan aimed to redirect and improve the existing instruments to approach more responsive and effective housing delivery (DoH, 2004). It provides programmes, promoting the entire economic and social development. According to several scholars, including the Department of Housing (1994), the South African Government Housing Policy aimed at eradicating informal settlements through relocating residents to formal housing since 1994. Van Horen (2000) maintains that the unveiling of the BNG by the

Department of Housing in 2004 created a direction that includes a programme, specifically to improve informal settlements.

The BNG policy focuses on housing problems through various sections; for example, it proposed that informal settlements need to be considered by applying on-site upgrading (Masiteng, 2013). This approach if implemented and practised properly with political will, could annihilate the need for formalisation, through a sufficient supply of quality- housing at an affordable cost for the poor. It will minimise the divergence among the low class, the poor, the regulations, and their requirements.

Moraba (2013) contends that the outcomes of this initiative do not always correspond with the original policy intentions. Tshikotshi (2009) regards the challenges of eradicating informal settlements through relocating by 2014 of Seraleng Sustainable Human settlements. The study reveals that the upgrading of the informal settlements programme failed to improve dwellers' living standards. Improving the lives of the informal residents is the main objective of the BNG to eradicate informal settlements.

Although the government should be complimented for the means to revise the housing delivery, people in South Africa, particularly in informal settlements, are still living in sub-standard conditions. From this, it is evident that the adopted initiatives need to be examined as to whether they are effective against poverty and improving the lives of people. The living standards in informal settlements do not match up with what is proposed in the BNG initiative. BNG remarks that all should have access to sustainable human settlement conditions with basic services, such as access to water, electricity, and sanitation (Chikoto, 2009).

2.11.1.2 Informal settlements upgrade programme

According to Mbunjana (2017), the UISP in South Africa is the main device employed by the municipalities to guide informal settlement intervention. As contained in the South African Housing Code (2004), the main objective of the ISUP is to facilitate the structured upgrading of informal settlements. This programme accommodates special development requirements of informal settlements. It also

aims to empower the inhabitants to assume responsibility for the applicable housing development. Mbunjane (2017) further remarks that one of the UISP principles is a community partnership. Ward committees partner up with stakeholders and municipal officials to ensure the inclusion of main stakeholders and vulnerable groups in the process.

The South African Government introduced the ISUP in 2004 by South African Government under the BNG policy. This serves as a framework for on-site upgrading of informal settlements, subsequently responding to the challenges imposed by settlements. According to Moraba (2013), this programme was launched through pilot projects in each of the nine provinces. It offers accredited municipalities to undertake sustainable housing development projects, aimed at enhancing the conditions of slum communities.

Under this programme, the government subsidies are neither calculated as a standard amount per household nor to be drawn down based on individual households, housing subsidies, and eligibility. Municipalities need to investigate this programme properly concerning the feasibility of on-site upgrading, assuming that relocation is necessary in some cases (Huchzermeyer, 2009). Aigbavboa and Thwala (2018) express that these programmes facilitate a phased on-site upgrading of informal settlements. It is against the relocation of informal settlement residents to Greenfield, except where on-site cannot be applied for various legitimate reasons, such as the unsustainability of the land. This attempts to achieve three interrelated objectives, indicating tenure security, health, and safety. Finally, it attempts to empower the inhabitants of informal communities through participatory processes (Housing Code part, 2009). The informal settlement upgrading responds to the concerns about housing rights violations raised in court cases since 2000. It was welcomed by human rights organisations, such as the Centre on Housing Rights and Evictions (COHRE, 2005).

2.11.1.3 Self-help housing and the Enhanced People's Housing Process

The EPHP was known as sites, self-help, and service schemes. These schemes allowed the owner to be directly involved in the construction (Adebayo, 2011). Turner

and Fichter (1972) contends that the main criterion in housing was whether the owner has control over the construction process. These schemes were part of a strategy to effectively contribute to the upgrading of informal settlements. Global literature demonstrates that self-help schemes were common knowledge before the late 1960s and before Turner developed his ideas (Harms, 1992; Parnell & Hart, 1999; Ward 1982).

Sutherland (2016) illustrates an example that in Lima, the capital of Peru, self-help housing schemes were adopted since the 1950s. The land to be invaded by the poor families was allocated by the local government, enabling the indigent households to self-urbanise and construct their own houses.

According to the National Housing Policy, the Minister of Housing adopted the EPHP in May 1998 as a scheme aimed at mobilising and supporting community efforts. It also aimed to make subsidies more accessible to support people's housing initiatives, while promoting the most cost-effective use of resources. EPHP is defined as a low-income housing delivery strategy encouraging beneficiaries to participate in the construction of their own homes. This programme primarily targets low-income families in both rural and urban areas, providing capital subsidies to enable people to purchase their own homes (Ojo-Aromakudu & Loggie, 2017).

The programme also assists people to obtain access to technical, financial, logistical, and administrative support on their home basis (South Africa Yearbook, 2002). This scheme was unsuccessful, as it did not solve the problem of growth in informal settlements in the country. It did not accommodate the poorest of the poor. Housing delivery under this scheme overlooked several people who could only find accommodation in the informal settlement (Ojo-Aromakudu & Loggie, 2017).

In 2008, the EPHP was implemented to replace the previous People's Housing Process Programme. According to Tissington (2011), "the new policy adopts a broader definition of EPHP where beneficiaries actively participate in decision making over the housing process and housing product to achieve important goals, such as empowering beneficiaries, creating partnerships, mobilizing and retaining

social capital, building housing citizenship, and promoting local economic development.”

2.12 Chapter summary

When the ANC took office the previously disadvantaged groups expected changes in service provision with hope for improved living standards. The South African Constitution guarantees that basic services should be provided to the citizens, including those who were previously disadvantaged. Section 24 of the South African Constitution guarantees that everyone has the right to live in a suitable, safe environment, free from harm. Section 26 affirms that everyone has the right to adequate housing; residents in urban poor communities are often treated as second-class citizens, negotiating for services they are freely entitled to. Most people are still suffering, lacking access to basic services and housing.

This chapter identifies the theories supporting this study. These are the sustainable livelihood, and the social development approach. The chapter identifies local government as a sphere and how it is constructed. It further discusses the challenges of informal settlements encountered by the governments and the informal communities. This chapter also reveals how a lack of access to basic services influenced several poor households, particularly in informal settlements. It reflects informal settlement improvement, and the interventions adopted to manage and improve informal settlements.

CHAPTER 3: RESEARCH METHODOLOGY

3.1 Introduction

In social science research, research methodology is defined as a combination of rationalistic and empirical approaches (Bless, Higson-Smith & Kagee, 2006). It is a group or body of methods of collecting data. Thobejane (2011) supports this notion, stipulating that rational estimation of objects cannot be made before collecting information from participants and interpreting findings, particularly in social science research.

This chapter focuses on the research methods employed to collect data to answer the research questions and study objectives. It is about the clarity and appropriateness of qualitative methods in answering the research questions posed. Furthermore, it represents the planning and organizing process that occurred during data collection, and how the information was analysed and interpreted. This chapter also describes and discusses research methodology, research design, study area, population, and sampling, research instrument, data collection, and data analysis. It concludes with ethical considerations, the study trustworthiness, and the credibility of the study.

3.2 Research methodology

To satisfy the needs of any research project, every researcher must select an appropriate methodology and apparatuses for data collection and analysis. Research methodology defines the procedures/techniques, methods, process, and research instrument employed, to achieve the study's objective (Mouton, 2011). It performs an important role in implementing a study, providing direction to its design, and implementation (Jili, 2012). Primarily, there are two most employed methods of collecting data; the qualitative, and the quantitative methods. In this study, a qualitative method was adopted. This method was chosen because it enabled analysing people's perceptions and opinions. In other words, the researcher was in a position of understanding people's opinions; people's opinions could be understood.

3.2.1 Qualitative approach

Qualitative methods are tools or means researchers employ to observe and interpret aspects of social life (Miller & Dingwall, 1997). According to Creswell (2007), qualitative research begins with assumptions, a worldview, the potential use of a theoretical lens, and the investigation of a research problem that inquiries into the meaning individuals or groups ascribe to social or human problems. This method prioritises personal experiences and interpretation over quantification; it is more concerned with comprehending the meaning of social phenomena/situations, and focuses on links among a larger number of qualities across relative cases. In this study, a qualitative method was employed to analyse the efficacy of local government strategies, aimed at improving informal settlements in RLM.

This study obtained knowledge and information not only through experiences but also through an understanding of meanings and interpretations of objects and behaviour (Sarantakos, 2013). This means that it was possible to obtain the opinions and experiences of people about the phenomena (directly from them) when they were the subject of research through this method. Moreover, greater emphasis was placed on the interpretation of respondents' views, observations and opinions, which provided a thorough understanding of the topic. The qualitative method is useful in identifying problem areas in any organisation. Through this method, the researcher was able to observe participant behaviour, and understanding reality through social construction (Lopez, Abad & Sousa, 2013).

3.2.2 Research design

Research design is one of the most fundamental parts in research. Hence, when selecting a research design, it is important for every researcher to have an exceptional understanding of the method employed in the research (Mcanda, 2014). A research design is an approach that guides and assists the researcher in collecting and analysing data in order to put the issues under consideration into context. It is a procedure that assists in collecting the information needed to respond or answer to the questions presented to them. On the same note, Babbie and Mouton (2006)

identify research design as a plan or structured framework of how the researcher intends to conduct the research process in order to solve the research problem.

This study employed a qualitative research design; therefore, a phenomenology research design was adopted. According to Maxwell (2013), the phenomenology research design is used to identify a phenomenon and focus on subjective experiences and understanding those who live within those experiences. While, Neubauer, Witkop, and Varpo (2019) define phenomenology research design as an approach to research that seeks and attempts to describe and explore the essence of the phenomena by exploring it from the perspective of those who experienced it. This chosen research design was required by the nature and data to be collected and the problem statement addressed (Helao, 2015). Snape and Spencer (2012) contend that, “qualitative research design provides a unique device for studying what lies behind, or underpins a decision, attitude and behaviour because the method enables researchers to analyse the topic intensely and profoundly”.

Employing this qualitative research design, enabled the researcher to obtain a clear, strong, and better understanding of the research problem or phenomena through observations, opinions, and perspectives of participants and secondary data (literature review). Through the phenomenology research design, rich, detailed data was produced and attained directly from the participants with their perceptions remaining unchanged. In phenomenology research, primary data is collected through interviews. In this study, semi-structured in-depth interviews were implemented to collect data. Furthermore, through this design, each situation was approached with the supposition of obtaining significant information, contributing to a better understanding of the behaviour or phenomena.

3.3 Population

For purposes of sampling, the population does not refer to the entire world's population, but rather to attributes or a group of objects that the researcher may find interesting to investigate or conduct a study on in order to reach new conclusions (Brynard, Hanekom, & Brynard, 2014). It is a group of prospective participants, objects, or traits, to which a researcher can extrapolate study findings. Creswell

(2012) defines a population as a group of individuals with common traits that can be identified and studied. With the definition of the population being detailed, the study targeted the population of Rustenburg informal settlements. This included informal settlement dwellers from Freedom Park (Freedom Park-Phase 1, Freedom Park-Number 9) and Fourteen in Rustenburg and the RLM officials.

According to World Urbanization (2020), Rustenburg had a population of 13 711 in 1950 it has been rising since 2015, and the population is currently estimated at approximately 681 000 in 2020 (Rustenburg Integrated Development Plan (IDP) 2019/2020). According to the best of researcher's knowledge, no study has been undertaken up to date in Rustenburg on the efficacy of local government strategies towards improving informal settlements within the municipality.

3.3.1 A brief Historical background and profile of Rustenburg

It is essential to briefly discuss Rustenburg's historical background. Rustenburg was established in 1851 as an administrative centre for the Afrikaner farming area, producing citrus fruit, tobacco, peanuts, sunflower seeds, and a variety of other crops. This city was the home of the former president of the South African Republic, Paul Kruger, who bought a square kilometre farm to the North West Province in 1863. When the Boers and British clashed in the Second Boer War in 1899; the land around Rustenburg became a battleground (Unknown Online, 2019). "Because the two sides clashed in neighbouring Mafikeng, the British garrison established itself under siege for a month. Among the first early residents of Rustenburg were settlers of Indian origin" (Unknown Online, 2019).

In 1929, the platinum mining in Rustenburg began shortly after Hans Merensky discovered the platinum reef, later renamed the Merensky Reef. The mine is near to the town centre, or about 3 km away. It is owned and managed by Anglo American Platinum. The RLM is a Category B municipality and one of the five municipalities under the Bojanala Platinum District, in the North West. This municipality is large and has a rapidly growing population in South Africa attributable to mine industries within it, and it is located at the foot of the Magaliesberg Mountain range (Sebokeng, 2019). Rustenburg is one of the most populated municipalities in the North West province. It

is a Malaria free area. Further, it is only 90 minutes' drive away from Johannesburg and Pretoria.

Most Rustenburg residents are Batswana from the Bafokeng Nation. However, there are also inhabitants from diverse races and cultures, according to Unknown Online (2020). Despite their differences, they treat each other with love and respect. To emphasise concerning the local economy and education, Rustenburg has a strong local economy attributable to establishments, such as restaurants, local shops, health, and beauty spas, holding the world's biggest platinum mines, embracing greater value than gold (Motaung, 2016). While concerning education, the system is a three-level system from primary to secondary and tertiary. There are also beautiful places, attracting tourists, such as Sun City, Lost City, Kgaswane Mountain Reserve, and Pilanesberg Reserve.

3.3.2 Brief profile of Freedom Park (Phase 1, No. 9, and Fourteen)

A brief profile of these three informal settlements assisted in providing contextual background for the study. It is, therefore, essential to comprehend that Freedom Park is a large informal settlement near Rustenburg in North West. It was established in 1986 after women set up shacks to sell liquor to mineworkers. Whereas other indigent people from various parts of South Africa were attracted by the possibilities of employment on the nearby Impala Platinum Mine (SAHO, 2011). During police raids, their shacks were frequently demolished, but the women rebuilt them. The settlement was given its name after the raids were discontinued in 1994. Since then, the population has increased to approximately 20 000 people. Many of the people that live there are relatives of miners from Mozambique, Lesotho, Swaziland, and the Eastern Cape. As an alternative to hostel life, the settlement evolved into a place where mineworkers could enjoy a household life (SAHO, 2011).

These informal settlements F-Phase 1, F-No.9 and Ward 14 have little or no public infrastructure; residents lack access to sanitation, electricity, and potable water (Motaung, 2016). The population of these informal settlements have grown exponentially since the removal of apartheid-era spatial controls in the late 1980s and the boom in platinum mining in the early 2000s (Motaung, 2016).

The increase in growth is because most people moved from rural areas in search of better and improved living standards in urban areas. These informal settlements are constructed on illegally occupied land; the houses are built with scrap material, such as zinc, planks, and drums, through self-help. This is corroborated by Jili (2012), confirming that “one of the most enduring manifestations of informal settlements is that they consist primarily of squatter housing”. Jili (2012) further adds that the land in informal settlements are often unstable and inconvenient for urban development, lacking access to the most essentials service and infrastructure.

These informal settlements lack official recognition, which creates collective uncertainty and various forms of waiting. Residents are waiting for employment, services, and official recognition of their settlements and integration into RLM.

3.4 Sampling procedures

Sampling is a small portion of the target population. It is selected to examine the characteristics of the targeted population. While Jili (2012) affirms that the primary aim of sampling is to accomplish representation, which is, the sample should be grouped in a way that reflects the structure of the population from which it is taken. Creswell (2012) defines sampling as a subgroup of the target population that the researchers plan to study for generalising about the target population. Rustenburg is a city with a high population. The population of Rustenburg is estimated at 681 000 (Rustenburg IDP, 2019/2020). A sample of 20 participants was selected (16 informal settlement dwellers and four municipal officials). This sample was selected with the motive of understanding the whole targeted population.

For this study, a non-probability sampling method was employed because no random selection is made (Alvi, 2016). Two techniques were employed, namely the convenient sampling, and purposive sampling technique. A convenient sampling method was applied to the dwellers of the informal available settlements. Conversely, the researcher approached the available individuals and ready were approached, ready to be inter-observed, without being referred to or pursuing participants.

According to Stattrekcom (2016), a convenient sampling technique is useful where the target population is broad. This method was cost and time effective. Purposive sampling was employed to recognise main informants such as municipal officials. In purposive sampling, the sample is approached with a specific purpose in mind. All departments within the municipality were not approached—the municipal officials within the Department of Housing/ human settlement, who were available and meet the defined criteria, were considered. Both sampling techniques adopted are used in qualitative research (Creswell, 2007). They were employed to ensure all members were represented and provided equal opportunity to participate in the study. These techniques were the most suitable techniques in selecting a sample in informal settlements with no socio and economic differences, and with a broad population (Alvi, 2016).

3.5 Research instrument

In this study, the primary research instrument employed to collect data was semi-structured in-depth interviews. In-depth interviews were conducted with the selected sample. Semi-structured in-depth interviews were used with the motive of analysing, describing, and understanding the efficacy of strategies implemented to improve informal settlements within Rustenburg Municipality. According to Powell (2010) “interview is a qualitative research technique that involves conducting intensive individual interviews with a small number of respondents to explore their views on certain phenomena”. Davis (2000) defines in-depth interviews as a personal interrogation where the interviewer attempts to get and convince the respondents to freely converse about the subject of interest. Brynard et al. (2014) further indicate that an interview as a method of collecting data is useful to secure valuable research material, especially in the field of Public Administration.

This instrument made it easy and possible to stop exploring questions, enabling respondents with time to clear some issues related to the topic under the investigation (Helao, 2015). Through this instrument, adequate qualitative data was provided to answer the research questions in addressing the problem statement (Brink & Van Der Walt, 2010). Using this instrument helped the researcher to obtain

suggestions towards the problem. Field notes were also taken. Only a few participants allowed the use of the recording; instructions from those participants were to delete the recording immediately after data analysis. Field notes were also taken. Field notes are drafted notes by the researcher during qualitative research, often presenting the observation of participants and phenomena (Unknown, 2019). Considerable literature was perused and audited. The secondary data assisted in shaping the study direction (Wood & Kerr, 2010).

Sixteen informal dwellers were interviewed from three diverse informal settlements in Rustenburg Freedom Park (Phase 1, Number 9 and Fourteen). The municipal officials were chosen with the motive to assist in providing the information about the actions of those responsible for human settlements. This includes their suggestions to improve informal settlements, and how effective initiatives were proposed. From four municipal officials supposed to participate in this study, only two participated; this was attributable to the unavailability of officials at the office.

The adoption of this instrument enabled the researcher to observe the behaviour of the participants towards this investigation. The needed information was obtained directly from the participants while witnessing their emotions and visualising their daily experiences through their behaviour. Semi-structured interviews allowed the provision of clarity to the participants who did not understand questions, ensuring that participants were clear of the questions. Questions were interpreted or translated to the languages of participants, indicating Setswana and IsiXhosa. Before the interviews with the officials, interview questions were distributed to the municipal officials, who delightfully participated. The inter-observed municipal officials were from the Department of Housing within the RLM.

3.6 Data collection procedures

Data collection commenced at the beginning of March. Appointments were made with the municipality employees. The study was referred to the human resources office to request permission to collect data and interview the municipal officials. The allocated employee provided time to participate in the study by allowing the researcher to introduce the study, to provide information sheets, such as the consent

form and interview questions. This was followed by distributing an email to the office requesting permission.

Concerning interviewing the informal dwellers, those informal settlements were visited, identifying and approaching those available to participate in the study. The introduction of the study, with information sheets, were presented to the dwellers for perusal. They were instructed to contact the researcher and the supervisor for more information. Difficulties in collecting data were established, such as the participants in informal settlements being anxious to participate, while others believed that the researcher represented a certain municipality, while others believed that the researcher was going to assist them with houses and other services. However, these challenges were conquered, and the data were collected.

3.7 Data analysis

Data analysis is a fundamental stage of research regardless of the method employed in the research project (Jili, 2012). It involves the process of bringing order, structure, and meaning to the mass of collected data, involving classifying and describing the data concerning diverse themes (Lincoln, 2007). The process involves systematically searching and arranging the interview transcript, field notes, and other material that can be accumulated to increase an understanding. Moreover, it involves the ability to enable the researcher to present findings and discoveries (Creswell, 1994). The analysis summarises the collected data, involving the briefing, organising and gaining of information gathered, to bring meaning without changing anything.

The collected data obtained from the municipal officials and the dwellers of the informal settlements in RLM was analysed through qualitative analysis. This included an interpretation, using thematic analyses. These were employed in line with the research instrument that was used, to save time. Conversely, information was grouped and divided into subtopics. In a qualitative research design, data analysis aims to describe and contextualise events and phenomena through qualitative logic to interpret, understand, explain, and predict other events and phenomena in future (Cloete, 2007).

3.8 Ethical consideration

The university's policy and procedures on research ethics were thoroughly perused and comprehended. During the scientific investigation, all ethics concerns were considered respectively. This study ensured that the topic under the investigation was clearly explained to the participants before participation. Honesty was ensured, while anticipated participants were informed about the study expectations. Jenkins, Smith & Wang (2004) indicates that researchers must ensure that participants are clear on that participation is voluntary. All studies undertaken must safeguard confidentiality and privacy as the central principles (Neill, 2007). Ethical procedures in this study were aligned with those specified in the ethical clearance certificate.

This research does not fall into any class requiring special moral obligations, and does not generate any struggle of interest, real, or perceived. Moreover, this scientific investigation conducted adhered to the following general principles:

- Protecting vulnerable individuals
- The right to be informed. Participants were informed about the purpose of the study, see the output from the study, and know how the project was managed.
- The right to confidentiality. The participants' private details are not made public without their consent.
- Participants had the right to withdraw and refrain from participation in the study at any stage of the project.
- Participants' right to privacy was and is respected; their identities are not made public.

3.9 Limitation of the study

This study was limited to the RLM and only to informal settlements in Rustenburg. The results and findings obtained are not global but limited to the local government, helpful to RLM. This study was limited to the effectiveness of strategies towards improving informal settlements within Rustenburg.

3.10 Trustworthiness and credibility

3.10.1 Trustworthiness

Qualitative researchers consider trustworthiness, posing the question: Can the research findings be trusted? There are several definitions of trustworthiness. Polit and Beck (2014) define trustworthiness as the level of confidence in data, interpretation, and methods employed to ensure the quality of a study. Lincoln and Guba (1994) definition is the best known. These scholars define trustworthiness as credibility, transferability, dependability, and conformability. According to Law (2002), establishing the trustworthiness of a study usually “increases the reader’s confidence that the findings are worthy of attention”. To ensure the trustworthiness of this study the researcher compared and cross-checked the constancy of data collected at various interview sessions, through various means. Gunawan (2015) stress that trustworthiness is divided into the following categories:

- Credibility: Corresponds roughly with the positivist’s concept of validity
- Dependability: Relates more to the reliability
- Transferability: A form of external validity
- Conformability: Concerns presentation

Williams and Hill (2012) direct that qualitative researchers established that the findings of a study must be credible, transferable, confirmable, and dependable.

3.10.2 Credibility

The study credibility and the confidence in the truth of the study are the most fundamental criteria (Polit & Beck, 2014). According to Shenton (2004), a crucial criterion addressed by qualitative researchers is that internal validity aims at ensuring that their study measures or tests what us actually intended. Credibility deals with correction and revision of data analysis and how corresponding are the findings with reality (Merriam, 2005). Ensuring credibility is one of the essential factors in establishing trustworthiness (Lincoln & Guba, 1985). Researchers can

make certain provisions to promote confidence in the truth of the study (Connelly, 2016).

This study determined the credibility of the findings through the use of member checks. Member checks are considered the most important provision that can be made to enhance a study's credibility. The structured interview questions were directed to the participants repeatedly to check whether their words match what they intended to say. Shenton (2004) asserts that checking related to the accuracy of the data may occur on the spot, whereas Gunawan (2015) alleges that member checking can also mean returning to participants after the data analysis conclusion. In this regard, the accuracy of data was checked and assessed on the spot. The research contributed to the knowledge because the participants involved were those directly affected by the problem under investigation. The study findings are to be presented to RLM officials and the informal settlement dwellers. The findings are neutral—the participant's responses were unchanged. In addition, no bias occurred in this study.

3.11 Chapter summary

This chapter includes the research methodology and methods employed in this study. A qualitative design was employed in this study. More knowledge was obtained through experiences, and the understanding of meanings and interpretations of objects and behaviour. This study was based on government strategies' efficiency towards improving informal settlements in RLM. This chapter includes and discusses the sampling strategy. To collect data, semi-structured in-depth interviews were implemented as instruments and methods for collecting data. The chapter concludes by observing ethical considerations, data analysis, data interpretation, trustworthiness, and credibility of the study.

CHAPTER 4: DATA ANALYSIS AND INTERPRETATION

4.1 Introduction

This chapter analyses interprets and presents the data collected from the dwellers of Freedom Park-Phase 1, Freedom Park-Number 9 and Fourteen regarding the efficacy of government strategies towards improving informal settlements in RLM. It also affirms the research findings to in order reach new and additional conclusions and present recommendations in Chapter 5. As indicated in the previous chapter, the research design adopted in this study, allowed the use of semi-structured in-depth interviews as a device to collect data. The presentation of data is, therefore, systematically linked with the format of semi-structured in-depth interviews.

The preceding chapter divulges that to ensure that research questions are answered, empirical evidence was conducted with 18 participants from the aforementioned informal settlements in RLM, including the two municipal officials within the RLM. This chapter is categorised into two sections, Section A and B to present the results of the interviews. Section A comprises the demographics of the informal dwellers' biographies while Section B analyses and interprets the information and data collected from the informal settlement dwellers and the municipal officials. The data are interpreted in a thematic form, therefore, analysis is grouped and interpreted into themes.

4.2 Section A: Demographics of the participants

As indicated in the previous chapter, empirical evidence was conducted with 18 participants through semi-structured in-depth interviews. It is essential to reveal that no authorisation was granted to disclose the biographies of the municipal officials. Hence, the demographics below indicate the data (biographies) of 16 informal settlement dwellers. For confidentiality purposes, the names of participants remain confidential; for the amplification of the data, participants are provided with quasi nicknames; for example, five participants in the study in Fourteen are labelled F01 up to F05. Five participants engaged in the study in Freedom Park-Number 9, therefore, labelled FNN01 up to FNN05. In Freedom Park-Phase 1, six participants

are labelled FP01 up to FP06. Two municipal officials participated in this scientific investigation.

Table 4.1: Gender and age category of participants

Gender	Informal settlements		
	Fourteen	Freedom Park- Number 9	Freedom Park-Phase 1
Female	3	4	4
Male	2	1	2
Age level			
16-21	1	1	0
22-35	0	1	3
35-50	2	3	3
50+	2	0	0

Source: author's creation.

Table 4.1 specifies the gender and the age of the participants. Participants were aged 16 to 50+. It was significantly imperative to consider the gender, age, and other biographies of the participants to determine the most dominant group in the informal settlements. Concerning Table 4.1, most participants were females in all three settlements age 16 to 50+; males were the minority, age 22-50+. Three females were from Fourteen; four were from Freedom Park-Number 9; four were from Freedom Park-Phase 1; while conversely, two male participants were from Fourteen; one from Freedom Park-Number 9; two from Freedom Park-Phase 1. For confidentiality purposes, no permission was granted to disclose the age and gender of the municipal officials. Thus, for the amplification of data, quasi names were used for the two municipal officials, indicating Participant A and Participant B.

Based on this explanation, the results of the current study indicate that females are more dominant in informal settlements compared to males. Mabilo (2018) contends

that the increment in unemployment, extensive poverty, and the growing inequality in South Africa resulted in an emphasis on employment as a solution to these challenges. Consequently, the emphasis on employment led to the labour landscape and the enormous number of females involved in informal settlements, occupying the informal employment arrangements. Hence, females are more dominant in informal settlements.

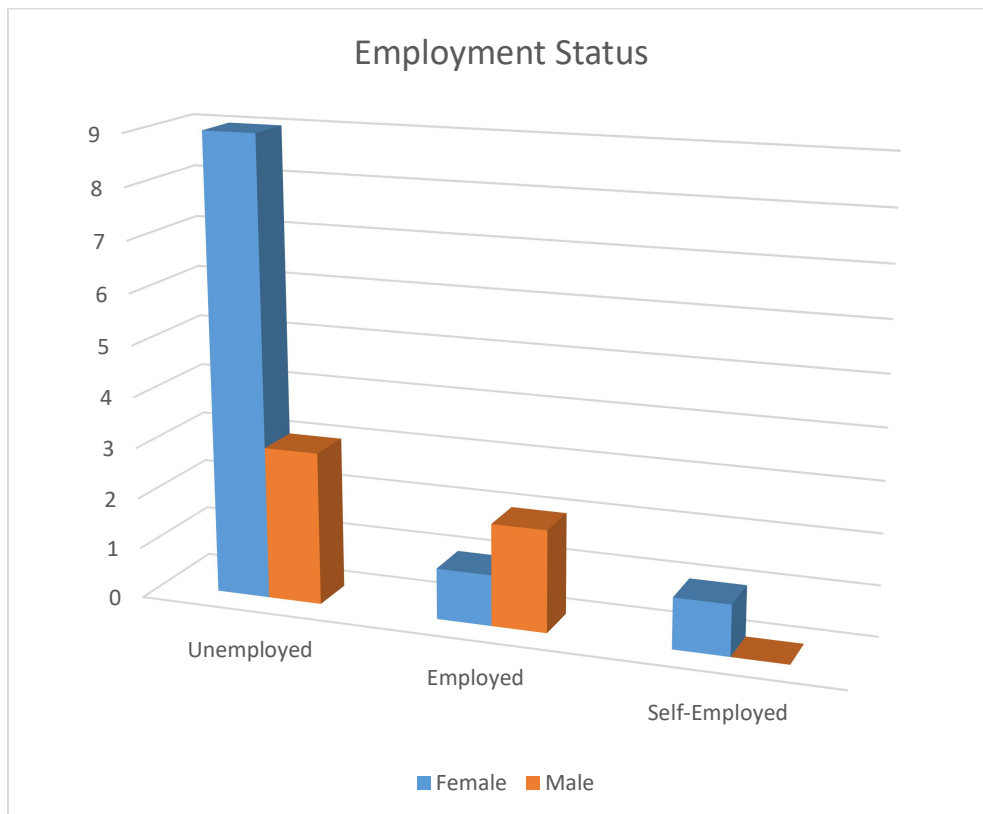


Figure 4.1: Participants’ employment status

Source: author.

To identify the status in informal settlements, participants were questioned concerning their employment status. Figure 4.1 signifies the employment status, according to the responses provided by the participants. Figure 4.1 above denotes lucid evidence that unemployment is one of the biggest challenges in informal settlements, not only in Rustenburg but across South Africa. In all three informal settlements, females are the most unemployed group with 90%; 1% employed; and

2% self-employed. Conversely, males are the minority with only 5% compared to 90% of females; 2% employed; and 0% self-employed.

In Fourteen, none of the female participants was employed, while in Freedom Park-Number 9, from four female participants one was self-employed, three were unemployed and in Freedom Park-Phase 1, from four, only one was employed; two were unemployed; one was self-employed. The study findings display women encounter more challenges concerning employment and opportunities. Following these findings, although the South African Government is combating gender-based violence and gender inequality, women in informal settlements, still encounter gender inequality and exclusion in other services. In validating the findings, Figure 4.2 demonstrates a large divergence between males and females concerning employment and socioeconomic opportunities.

These findings are similar to findings of the studies conducted in Gauteng, which established that 48% of females in informal settlements encounter extreme levels of poverty, unemployment, and a lack of access to services (Hatcher, 2019). Shai (2020) concurs that most females in South Africa, particularly in informal settlements, are unemployed and often encounter elevated levels of intimate partner violence. One of the informal settlements' upgrading objectives is to address and approach social and economic exclusion by focusing on community empowerment and promoting socioeconomic integration.

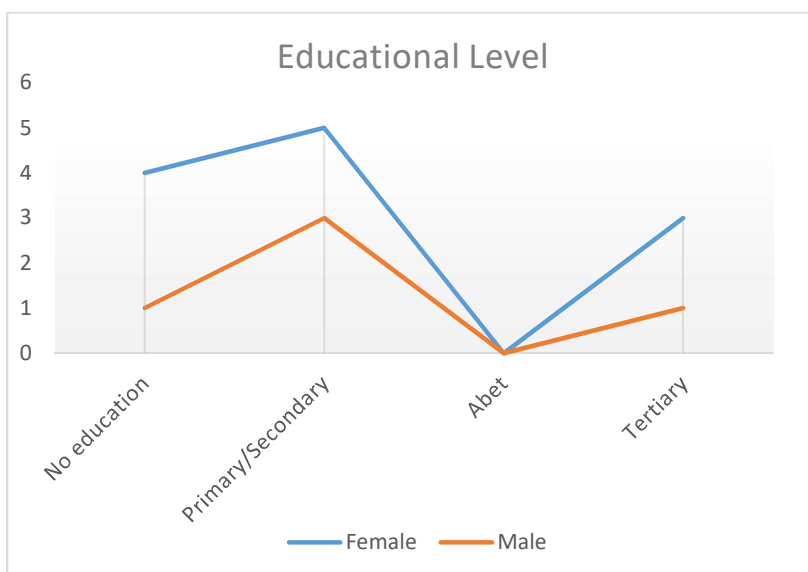


Figure 4.2: Participants' educational level

Source: researcher's creation.

Figure 4.2 depicts the educational background of the participants. Concerning education, the intent was to observe the level of education in informal settlements. Concerning Figure 4.2 above, female participants in these informal areas were the majority in all levels of education. Females with no educational background were the majority with 24% (4); males were the minority with 6% (1). As can be perceived in Figure 4.2, females who attended primary/secondary school were also the majority with 30% (5); males were the minority with 18% (3). Some participants completed their matric, whereas some did not. In the Abet classification, no participant attended Adult Basic Education and Training (Abet); 18% of females attended tertiary (two attended university and one, college); 6% (1) male attended tertiary (university).

In Fourteen, only one female participant lacked an educational background, while another attended secondary (and completed her matric); the other one had a degree. Conversely, both male participants had an educational background (one completed his matric, the other one did not). In Freedom Park-Number 9, one female participant lacked an instructive foundation with no educational background; three attended secondary school (none completed their matric); the male participant attended secondary but did not complete his matric.

In Freedom Park-Phase 1, one female participant lacked an educational background; one attended secondary (did not complete her matric); none attended Abet; two attended tertiaries (one had a degree and the other one had a diploma). Concerning the male participants, one attended secondary schooling, and the other attended university (did not complete his degree).

The interpretation of this demographic lucidly reveals that the women are the most educated. Also, they are the most uneducated individuals in informal settlements, who usually encounter challenges, such as poverty, unemployment, and exclusions in several opportunities. These findings are confirmed by Matsie (2019), who stipulates that females (women) in South Africa are more likely than males to be

denied access to finance and to engage in unpaid care labour, resulting in a lower percentage of nominally employed labour. This biography was significant in determining the knowledge of participants, and those who can understand their rights.

4.3 Section B: Data analysis and interpretation

This section provides an analysis and interpretation of data collected from participants on the efficacy of government strategies towards improving informal settlements in RLM. It presents the results and the findings attained from the participants. As disclosed in the preceding chapter, a thematic form was used to analyse data; therefore, in this section, the data is presented and analysed using themes drawn from the research, and interview questions.

It is significant to outline that both observations of the settlement dwellers and the municipal officials were significantly equal. More questions were directed to the informal settlement dwellers; the rationale behind this action is they are the most affected communities and individuals witnessing the everyday life challenges and alterations, bearing the consequences of these strategies.

4.3.1 General background of informal settlements

To capture and determine the general contextual of the informal settlements and the optimistic vicissitudes. Participants were queried about the number of years living in these settlements, and the changes they observed the government exploited to enhance them. Participants in all three settlements expressed similar sentiments about having lived in these settlements for prolonged periods. In Freedom Park-Number 9, most participants reported living in this settlement for 13 years, except for one participant FNN02 who emotionally reported living in this area for 22 years:

“I came here in 1999, and those I have come with have left; they are no longer living here”.

In Fourteen, 100% (5) of the participants declared living in this settlement for more than 15 years. Participant F02 stated:

“I was among the first group of people to settle in this area in 2003, we were the group of people coming from an informal settlement, called Chachalaza’.

The participant revealed that the rationale behind this relocation and movement was the overcrowding in Chachalaza. To diminish the overcrowding in the area, a portion of the population had to relocate to Fourteen. In Freedom Park-Phase 1, three participants FP03, FP05, and FP06 indicated they resided in this settlement for 18 years. Participant FP02 disclosed that he lived in this area for 11 years, while participants FP01 and FP04 stated they were in this settlement for eight years. Adding to the observations, participant FP06 expressed that:

“I came here in 2003 to join my mother and my little sister, who were already here since 1998”.

Despite having lived in these settlements for several years, most participants shared similar thoughts that the government has done nothing to ensure the improvement of these settlements. Participants affirmed that the municipality does not meet the needs of the communities. In Ward 14, participant F01 reported that:

“In my years of staying here, nothing has been done by the government to ensure the betterment of this area”.

Regarding this observation, the participant was, however, incoherent in her expressions. Some participants stipulated that the government completely failed them. In clarifying their perceptions, participants expressed their lack of access to basic services. Participants continue that the government is doing injustice to them because it is the responsibility of the government to ensure that people have access to basic municipal services. Helao (2015) identified a similar concern indicating that access to services in rural and informal settlements at a grassroots level is critical. According to the literature, the South African Constitution commands all municipalities to provide their citizens with a minimum level of basic services and access to basic human rights. This is irrespective of their cultural and social background (Gnade, 2013; The South African Constitution, 1996).

It emerged from the responses of participant F04 that during the utmost difficult times of Covid-19 and “the harsh lockdown” enforced in May 2020, the government

did not provide informal communities with basic information or send people to inform them about Covid-19. A participant clarified the lack of electricity or any other form of energy; therefore, it is problematic and difficult to stay equipped and updated with the latest news updates. The participant affirmed:

“We never received any social visiting nor food parcels that we heard people talking about”.

Conversely, inaccessibility to services, such as electricity, complicates access for informal communities to information, therefore, they expect the government to provide them with all means of support. Diversity of perceptions appeared among participants. The common thread from the replies of participant F04 was that informal settlements are the places of poverty; therefore, the distribution of food parcels and other relevant information regarding the pandemic should have started with them.

The literature affirms that poverty and a lack of access to basic services characterise informal settlements, resulting in missed opportunities. In respect of human rights, informal settlements should be enhanced to establish the basic values of human dignity (Mandleni, Omotayo, Ighodaro, Agbola, & Davis, 2006; UN-Habitat, 2003; Nuisl & Heinrichs, 2013). Similarly, the National Treasury (2014) reports that South African rural areas and informal settlements encounter poverty and unemployment challenges, compounded by limited access to basic municipal services.

Adding to these observations, four participants in Freedom Park-Phase 1 perceived that some parts of the settlement struggle with water accessibility. The municipality, therefore, installed water tanks to ensure access to water. Participant FP03 argued that the tank installations in this area did not cause any change, but rather they are:

“... a salt in a wound. [Illuminating this view, the participant further articulated]: It’s so painful and heartbreaking to see the tanks without water. The municipality only comes once or twice a month to refill these tanks, which are usually empty”.

Amigo (2019) confirms that access to water and sanitation is scarce in South Africa, particularly in informal and rural areas. The scholar further confirms that in 2008, five

million South Africans reported a lack of access to safe drinking water. Another participant—FP03’s sentiments indicated that some parts of the settlement in Freedom Park-Phase 1 have infrastructure while some do not. The participant alluded that this matter was forwarded to the ward councillors; no response or actions were taken.

Participant FP03 maintained that although she is a resident in this settlement and living in a democratic South Africa, the unequal distribution of services remains. According to the participant, it is completely unfair that some parts of the settlement are more enhanced than others as they all voted, declaring that:

“Some streets have proper roads and water, while others do not; it appears that the councillors are in confrontation with us; because we are denied access to some services, and our representatives are doing absolutely nothing about it.... they are aware of this; we have been informing them for a long time”.

Participant FP02 supported this notion, confirming a progression of roads in some parts of the settlement, whereas others remained neglected. Adding to the observations of participant FP03 on water tanks, some participants opined that long queues occur as a result of these water tanks. Participant FP04 added:

“Sometimes you find yourself standing in a long queue only to discover that the water has run out”.

Other participants, such as participant FP05 harangued that the municipality merely provided these water tanks because of Covid-19; nonetheless, if it was not for the coronavirus, these water tanks would have not been installed. In preserving the municipality, participant FP06 expressed that:

“... growing up around Freedom Park informal settlement, we were always told the land is privately owned, therefore, the municipality cannot affect any service in this area”.

According to participants FNN04 and FP06, the land in Freedom Park is divided into two portions; one part belongs to the Royal Bafokeng Nation and the other belongs to the Motswenyane Family. This is, therefore, most likely a factor contributing to the service provision delays in these settlements. Participant FNN03 had a diverse

observation—being informed that the land is privately owned is just a system created to renounce people’s access to services.



Figure 4.3: Freedom Park-Number 9 informal settlement

Concerning the changes, the municipality exploited to enhance informal settlements, participants in Freedom Park-Number 9 shared positive sentiments, applauding the government for great accomplishments. According to the participants, there were no water taps in previous years; residents struggled with water access; people now have access to water. participant FNN01 alluded:

“This is a remarkable and positive alteration that needs to be celebrated”.

The findings demonstrate that the installation of water taps in this settlement produced positivity, granting people hope. It was interpreted and regarded as a sign of positive transformation to come; however, some participants expressed discontent with the water they receive from these taps. Clarifying their dissatisfactions, participants opined that the water coming from these taps is dirty, indicating:

*“Sometimes they are pink, sometimes they are red, and sometimes they are black
Bophelo haboyo ngwaneso mona. This can be translated as there is no life here
my sister”*

Participant FNN05 concluded that in an area like this, people survive only by God’s grace. The aforementioned analysis implies that although people have occupied the settlements since post-apartheid South Africa, the conditions remain “vicious”. Despite the 27 years of democracy, people in informal settlements lack access to basic services, such as water, sanitation, and electricity. These findings are consistent with those by SERI (2018), reporting that 25 years (then) later after apartheid in South Africa, the informal settlements in South Africa are still characterised by deep disparities in access to basic services, such as water, sanitation, and electricity.

4.3.2 Community participation/ involvement of dwellers on implementation process and matters concerning them

Jayal (2001) as cited by Williams and Collins (2016), defines community participation as the direct involvement of ordinary people in the affairs of planning, governance, and development programmes at a grassroots level. Community participation has become an integral part of democratic practice in recent years. Participants were asked and consulted about their involvement in local affairs. The rationale behind this was to establish and determine the level of communication, inclusiveness, and empowerment of the informal settlements on the strategic decisions and improvement of informal settlements. Various sentiments were attained from participants.

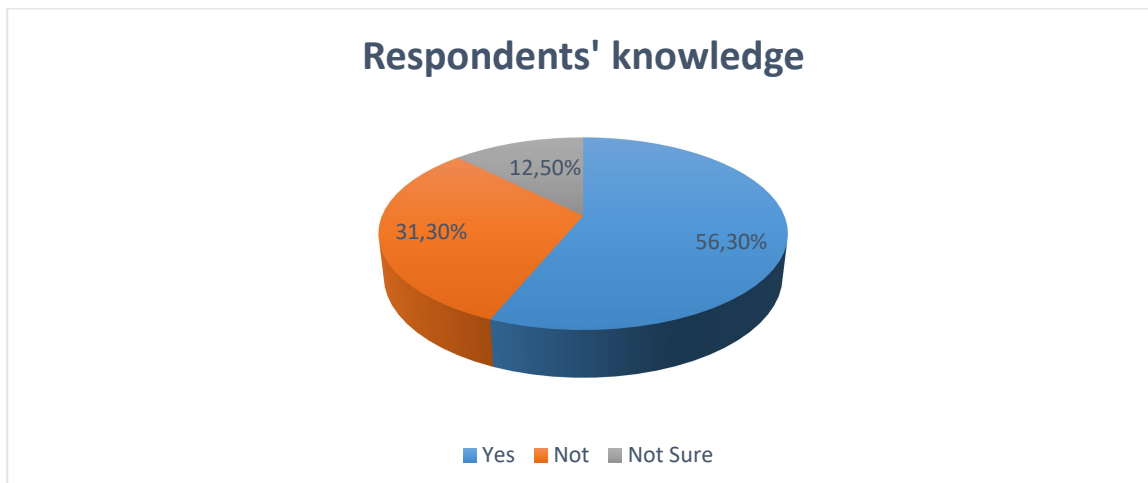


Figure 4.4: Responses of participants (In all settlements) about community participation

Fifty-six per cent of the participants reported participation in the matters affecting them; 31% reported that the settlements do not participate; 13% were uncertain about community participation. One of the Batho Pele principles is consultation; this principle requires all government objects to consult the communities whenever changes and plans are implemented, affecting the communities. This principle according to Myeni (2014) is the foundation of the community participation process. As strategies are implemented to improve informal settlements, citizens should provide a voice in these strategies.

Seven participants in all three settlements confirmed the involvement of the settlements in the local governance affairs. According to the participants, izimbizo serve as a device to participate, communicate, and consult these settlements regarding any matters affecting them. Participant FP06 added that the community participation in the preparation of the budget and strategic decisions is made through ward councillors, representing the communities in strategic affairs. Ward councillors are empowered by the Municipal Structures Act to communicate with municipal officials regarding service delivery matters. To obtain a better understanding of imbizo, the City of Tshwane (2019) clarifies that imbizo (izimbizo, Plural) is an initiative of the municipality where questions are answered, concerns are heard, and advice is taken from the public about the municipality's programmes and services.

Regarding the involvement of the communities, participant FNN01 itemised that community representatives and ward councillors standardised informing people about the meetings. The participant also illustrated that the community provides a fair and free opportunity to engage in the matter at hand, demonstrating additional concerns. The Municipal Structures Act encourages ward councillors to convene monthly community meetings to communicate council resolutions.

Other participants felt that although there are community meetings, the preparation, implementation, and review of IDPs and budget is not discussed with the local citizens; and community participation is characterised by poor feedback. From participant responses, there is a lack of feedback based on previously raised matters. Participant FNN02 clarified that:

“... although people are given an opportunity to engage in community affairs, feedback on previously raised matters is not provided, ward councillors do not give us feedback on the municipal meetings they attended neither actions nor services are provided to indicate that people have been heard and their views have been acknowledged”.

Participants FP03 and FP04, therefore, felt that attending these meetings is a waste of time and resources. Concerning feedback, other participants, such as participant FP01 mentioned that:

“... the lack of feedback has implanted an idea to the people that these meetings are just utilised as a platform to remind the ward councillors about the pains and struggles that people are facing so that they can utilise them to manipulate people during election time”.

The findings also illustrate that the most significant part of attended meetings is feedback. Feedback should be provided to the communities regarding the matters previously elevated. Participants also indicated that proper feedback is key to and essential in effective community participation that serve as a pivotal element for developing inclusive policies for the future development of cities. Conversely, effective community participation guarantees sustainable human development. These findings concur with those by Ziblim (2019), confirming that community participation is an effective way to empower the slum communities to transform their

livelihoods. The lack of effective community participation can pose a challenge to speedy and successful project implementation. The findings confirm community participation as a crucial process in completing IDP and budget allocation.

Concerning feedback, Kondlo (2010) verifies that izimbizo lack a proper feedback system on previously raised matters concerning service provision to the communities. Feedback is a significant element in all communication levels, specifying triumphant transmission of the message. Without proper feedback to the communities, izimbizo do not have an imperative input on the alleviation of service delivery backlogs nor enhancement of the informal settlements. Instead, poor feedback causes false hope and challenges concerning citizen participation. To construct effective community participation, participants, therefore, suggested prioritising feedback on previously raised matters.

Some scholars such as Akala (2018) indicate that in Cape Town, a variety of civil society organisations collaborate with the local government on efforts to improve informal settlements. Through this collaboration, community members participated and feedback was provided. As expressed by Matsie (2019):

“Participatory processes ensure that the provision of services and development of infrastructure are context-specific, responsive to various vulnerabilities (social, economic and environmental) and representative of diverse needs and aspirations. The processes draw on residents’ localised knowledge of the settlement and their lived experience in the community”.

The expressions of Matsie (2019) outlines the importance of participatory, communication, feedback, and the inclusion of the settlements in local affairs. Participants FNN02, F01 and F02, felt that ward councillors and committees only consider the observations of the informal communities when it is election time. Participants F03 and F04 in Fourteen shared that in Fourteen, settlement dwellers stopped participating and contributing to the strategic decisions when their ward councillor decided to disappear from the settlement.

According to the participants, immediately after the community elected the ward councillor, the councillor abandoned them and relocated elsewhere; therefore,

settlement dwellers no longer participate in the local affairs. Participant F02 concluded that the only participation emerging within the settlement is called by the dwellers to deliberate about their problems and the ways to assist one another as the community.

As the diversity of sentiments were expressed by participants, Participant FNN03 observed inversely that the community does not provide any voice in any stage of the initiative's process. In amplifying the observations, the participant outlined that generally, informal communities participate in the strategic planning through izimbizo; there has never been any public meeting because there are no community halls nor areas reserved for community meetings. The participant further alluded that the lack of community halls has served as a barrier for people to attend community meetings. It has complicated and made it difficult for settlement dwellers to notice community movements.

Three participants in Freedom Park-Phase 1 felt that although there is the inclusivity of settlements in the local governance affairs, no progression or any transformation indicates the acknowledgement of their views. Adding to the observations, participant FP03 argued that:

“... the disrespect and level of treatment from the community representatives have contributed to the community members' poor attendance to the meetings. [Clarifying the views, the participant stipulated that]: the community has ceased to attend meetings because ward councillors use these meeting to treat people like children who are promised sweets but still do not get them”.

The participant, therefore, signified that citizens raise their concerns to their ward councillors and the municipality, who make empty promises and do not deliver nor fulfil their promises. Cross et al (2005) concurs that no other country in Africa guarantees its “poor people” the degrees of social provision that the South African Government has dedicated itself to—even that may be in post-apartheid South Africa, shack settlements are spreading and multiplying at a rate, challenging all state levels

Participants FP02, FP04 and FP05 were ambivalent about community participation. Elucidating their uncertain perceptions, participants revealed they have never attended or participated in any local engagement. Participant FP04 was not eloquent in her observations, illustrating clandestine community meetings they overheard people talking about.

Participants FP02, FP04 and FP05 shared confirmed sentiments by Participant FNN03 suggesting that the reason behind this ambivalent is caused by the lack of community halls and a specified platform serving as a venue for the public meetings. Another issue drawn from the retorts of participants is time. Participant FP04 emphasised that:

“The settlements are not informed or rather notified on time as to when, where, and how these meetings are to be held”.

Regarding venue and time, the Municipal Systems Act commands the municipalities to provide notice to the public of the date, time, and venue of council meetings. In meeting venues, it is the municipalities’ responsibility to ensure a space for the public.

Participants F04, FNN03, FP04 and FP05 also indicated that sometimes community meetings are held during corporate hours. As a result, most knowledgeable people are more likely not to participate—only older people attend. This was after the participants illuminated that the time where these meetings are held, is unfavourable to the working, job hunting, and self-employed class. According to Umphithi News (2009), sometimes citizens are provided with a single opportunity to interact with the city officials. According to this report, people want to participate in local government affairs but lack the opportunity as sometimes they are not being informed of the meetings in their areas. It was drawn from the sentiments shared by participants that the lack of communication and interaction among the municipality, ward councillors, and the settlements, has negatively affected the communities. Participants asserted that:

“During the hard lockdown that started in May 2020, in Phase 1, there were rumours circulating that there will be distribution of food parcels, and because

people have seen people in other areas receiving them, settlement dwellers woke up at 3 a.m. to queue on sports grounds only to find out that there are no food parcels”.

Participants believe that effective interaction and communication between the municipality, community representatives, and citizens would have prevented the spread of the rumours. Concerning poor participation, Participant FP05 in Freedom Park-Phase 1, indicated not knowing the ward councillor. Mogale and Edigheji (2004) mention that with most decisions in South Africa, citizens do not participate, and they do not correspond enough with the needs of people. People do not participate in the matters affecting them.

As a result, planning budgets, strategies, and IDP inadequately reflect the needs of the community. With the aforementioned deliberation, the findings reveal a communication divergence among the community, their representatives, and the municipality. The findings also indicate there are no other alternatives to communicate with the dwellers and deliver the memorandum; merely izimbizo are used as a form of communicating with and passing the message to the settlements. These findings are similar and consistent with those by Myeni (2014) who established that municipalities do not provide adequate attention to consolidating their strategies of communication. Some of the communities are, therefore, left behind in the process. Nassar and Elsayed (2017) concurs that in Egypt, the government does not have a firm practice of social public participation.

During data collection, it was discovered and observed that community meetings are held on the streets, as evident by a community meeting near the salon attended by only a few people and the ward councillor. Some people left because there were no chairs. According to Ngamlana and Coopoo-Afesis-corplan (2018); Fung (2006), and Haus and Sweeting (2006), community involvement in the affairs, affecting their well-being, should be meaningful to ensure no resistance after implementing major changes in their vicinities.

“A sustainable human settlement development requires the active engagement of civil society organisations, as well as the broad-based participation of all people. It equally requires a responsive, transparent, and accountable government at the

local level, which together with civil engagement will ensure that all voices are heard in identifying problems and priorities, setting goals, exercising legal rights, and determining service standard” (unknown online, 2020).

Community participation is the fundamental driver of sustainable human settlement development. When the community is involved, make decisions, and are provided with a free opportunity to make their own contributions to manage and construct their areas, the process and the environment will produce great individuals and social well-being. Mohamed (2012) agrees that participation is a critical ingredient for developing inclusive policies for the future development of cities.

4.3.3 Socioeconomic programmes to improve in informal settlements

Socioeconomic activities and development projects perform a critical function in the social and economic development and the improvement of living standards for indigent and vulnerable people in the society, in any country. At the beginning of this section, under the theme “general background of informal settlements” (Section 4.3.1), a question concerning what the municipality accomplished to improve these settlements was asked. Participants (informal dwellers) were asked about the strategies, programmes, and projects, implemented by both the municipality and the settlements. This question was directed to establish and determine the function that the affected settlements and the municipality performed to enhance livelihoods or rather improve informal settlements. Responses were provided according to the participants’ understanding.

It was apparent from the responses provided by 89% of the participants that currently no development community projects exist. Participants indicated signs of anger, frustration, and sensitivity, as the spirit of betrayal emerged. This is apparent from the following statement of Participant F03 in Fourteen:

“If you were not a student but one of those politicians who come here and play with our emotions, I would have beaten you before you could open your mouth”.

Clarifying the mixed emotions, the participant expressed that the community lacks the skills and resources to start their projects. The little time they have is spent job

hunting because poverty is also prevalent. The participant claimed that if a project was underway, there would be visible transformations in the settlements. The emotions expressed by the participant suggested discouragements; people are tired of lies, deceptions, and empty promises by their representatives. Participant F01 affirmed that the community was promised machines and chicken projects—to date none was fulfilled.

According to Norman, Byambaa, De, Butchart, Scott, & Vos (2012), the lack of community projects has left people in informal settlements vulnerable to poverty, with limited opportunities in their communities. The scholar further stresses that while projects in communities, particularly in rural areas and in informal settlements are established as a strategy to create jobs and reduce poverty, some fail, and others are not economically sustainable (Norman, Byambaa, De, Butchart, Scott, & Vos (2012) Participant FP01 stipulated that the community would like to see projects that will equip young people. According to the findings, young people do not have anything to do with their lives, except roaming around the streets, becoming involved in criminal activities. Participant FNN05 did not provide eloquent views, however, outlined that the lack of services and community development activities, empowering young people, resulted in young girls dating “amablessor (older men)”, with the risk of becoming pregnant at a young age.

These findings are similar to those by Jooste and Mathibela (2020), emphasising that inadequate access to services in informal settlements, in particular, excessively affected women and girls, as some resort to prostitution for a living. Participant FP06 also added that:

‘Due to the lack of development activities in the community, citizens rely on infrastructure development in neighbouring communities to sell labour for survival’

The South African Constitution guarantees all municipalities the responsibility to promote a healthy and safe environment and social and economic development. Some participants, however, observed that it should not be circumvented that people are lazy and do not want to invest in their communities. Instead, discouragements among community members emerge. Participant FP05 articulated that the

environment is filthy and that if community members cared about their health and environment, teams in charge of keeping the streets clean would be formed.

Conversely, 11% of participants in Freedom Park mentioned that even though some of the community programmes failed, Freedom Park (F-Number and F-Phase 1) used to have community development programmes. According to participant FNN04, Freedom Park settlement had a programme called Tapologo, focusing on female empowerment. The participant was persuasive in explaining that the programme taught women how to sew winter clothes and other materials. It also appeared from the responses of the participant that the programme failed. The participant, however, revealed that the centre (programme) is now used as an orphanage. This programme failed, though participants felt that the programme performed a crucial role for women. The findings indicate that women still use the skills provided by the programme to make means of living. The uncertainty on the observations of the participant about whether Tapologo was a government or a non-government initiative, was well-expressed. Adding to the sentiments, a participant in Freedom Park-Phase 1 mentioned NGOs, such as the Fountain of Hope Foundation, focused on promoting education.

Regarding community projects, Participant FP01 expressed that Expanded Public Works Programme (EPWP) is another failed project introduced by the municipality. According to the response of the participant, the EPWP was a cleaning programme that dealt with cleaning the environment. Criticism arose towards the programme, as participants outlined that although the programme had an impactful function in the community, it did not employ and empower the community members. The study findings illustrate that the project underway did not empower the people from the communities where it was implemented. Participant FP03 further expressed that most development activities in the community are introduced by the dwellers, particularly the youth. The participant concluded that the only programme that brought transformation, promoted unity and kept the youth from the streets in the community was introduced by the community. The participant explained that the youth started an annual soccer tournament as an initiative to bring hope and transformation to the community.

These findings support the sustainable livelihood theory. In terms of the sustainable livelihood approach, Farrington (2001) aims to identify and develop assets, strategies, and strengthen poor groups in order to transform and improve the livelihood of these informal settlement dwellers. In this study, this approach revealed and acknowledged the wide range of strategies people employ to sustain their livelihood.

According to study findings, most community projects failed and were inoperative and unsustainable in economic terms. The findings also illustrate that only initiatives introduced by the community are a success. Participants FP02 & FP04 concluded:

“We now see the change within the youth and the community at large”.

Although there is little literature about the impact and influence of community development projects in informal settlements, the United Nations emphasises the introduction of community projects; it stipulates that community projects are at the forefront of solving their sustainable development goals and alleviating poverty in the informal settlements. Mey (2020) maintains that community development projects are essential in informal and rural areas; they empower locals to uplift themselves from poverty by allowing citizens to create and achieve locally owned visions and goals.

4.3.4 Potential strategies implemented to improve informal settlements

The participants were questioned about the possible strategies implemented to improve informal settlements. With this, the study attempted to explore the perceptions of participants on whether there are strategies, and programmes introduced to enhance informal settlements. Participants' observations were captured to determine the strategies implemented by the municipality and the community.

According to the literature, a strategy is a long-term vision of where the municipalities want to be in the future, and the steps to be taken to obtain these goals. It serves as the roadmap in prioritising objectives and initiatives. The South African Yearbook (2018/19) also concurs that a government strategy is a government programme of

action and a blueprint for better service delivery, aimed at responsive, accountable, effective, and efficient local government. The responses provided are concerning participants understanding of the strategies.

4.3.4.1 The observations of settlement dwellers on strategies

Fifty per cent of the participants observed that no strategies are implemented to ensure the improvement of these settlements. Participant FNN01 asserted that:

“There are no strategies that are utilised, the filthy environment characterised by rats eating children, is enough evidence that there are basically no programmes set to ensure the enhancement of these areas”

The essence of this assertion is that if there were action plans to improve these settlements, there would have been palpable transformations in these settlements.

According to the participants, it is difficult to follow and know the strategies because the municipality does not prioritise informal settlements. Participants emphasised a lack of communication and consultation between the municipality and the settlements. Conversely, some participants observed corruption as one of the driving forces contributing to the delays in enhancing informal settlements. Participants expressed various emotions, articulating that government officials are only doing their best at lining up their own pockets. Participant F04 alluded:

“With the unhidden corruption that people have been observing lately, you’d find that our beloved government has eaten the resources (money) put aside for strategies”.

Although participant FP04 was among the 50% of participants who observed there are no strategies, the participant also acknowledged that:

“There are great strategies within the local government that have been formulated, the poor practice of these strategies and corruption have overpowered their effectiveness”

Conversely, the participant believes that the strategies exist; however, they are not well communicated and executed. Heydenrych (2016) testified expansively on the

poor implementation of strategies that it is highly recommended that good policies be produced in any democracy. They should be produced because they are essential for the functioning of a democracy. It is also imperative to consider that well-written policies without proper implementation serve no purpose. Heydenych's reports agree with the current study findings that government has beautiful strategies; the problem lies within corruption, poor communication, and execution. The literature consolidates that South Africa has good, excellent, and well-written policies; these policies are mostly "fenced" by poor implementation.

Participant F01 felt that the reason people do not know the strategies is that the settlement is unknown. The settlement does not have a legal postal address. Inversely, Participant F05 said the government only know about their existence when it is election time. Questions, such as:

"Ngwanaka (my child) when you look at this area, do you yourself think that there are initiatives that are used? Do you think the municipality know about our existence?"

arose from participants directed towards the researcher. These questions were asked after the participant felt emotional about the bad conditions people live in.

Ten per cent of the participants mentioned that they are not aware and have no clue of what a strategy is. According to the responses of the participants the only 'action plan' they believe is used to bring transformation is voting. Participants FNN02 and F05 shared similar sentiments that they are illiterate; therefore, they believe that the government operates only through voting. Participant F05 mentioned that:

"since they do not have a ward councillor, there are no means made by the municipality to communicate with the people, and, therefore, it is difficult to understand the local governance affairs"

With the aforementioned observations, participants, therefore, concluded that they will believe there are action plans to upgrade informal settlements when Fourteen gets a legal postal address. This conclusion was after the participants mentioned that people do not have their own physical addresses. As a result, they use neighbouring area addresses. From the observations of participants, these

addresses resulted in the loss of important letters and documents because sometimes they do not reach their destination. The participant added:

“To ensure safety of our letters, one has to offer a drink where they are assisted”

Conversely, 40% of participants indicated an understanding of the matter. The responses of the participants indicated that the municipality adopted the placement of infrastructure as a strategy to improve informal settlements. Participants indicated that the municipality has graded roads (provided gravel roads) in some parts of the settlements, particularly on some parts of Freedom Park-Number 9 and Phase 1. Participant FP06 mentioned that some parts of Freedom Park- Phase 1 have pavement roads. It was interesting to hear participants mentioning the adoption of UISP, as it completely provided an insight that the participants know the strategies that should be used and are used to improve informal settlements. Participants FNN05, FNN01, FP02 and FP05 divulged that water taps, and pavement roads were provided by the municipality. Participant FP04 added that the municipality also attempted to collect waste in Phase 1. UISP is defined as a programme aiming to upgrade informal settlements; it aims at dealing with the outcomes of rapid growth, unstructured, and unplanned development. Furthermore, it is the most significant programme for informal settlement upgrading.

Relocation is also a strategy that emerged from the responses of participants, such as from Participant FP04. Although Participant FP04 did not elaborate on her observations, she revealed that she was relocated from Freedom Park-Number 9 to Freedom Park-Phase 1 in 2008. Participants provided insights that most people residing in this phase were relocated from Number 9. Relocation is fluctuating a residence and establishing a new address. The findings attained 38 years ago by Martin (1983) indicate that relocation is socially disruptive and is often less favourable, resulting in higher transportation costs and less access to economic opportunities. The findings of the current study indicate that some people enjoy and prefer relocation. In strengthening the findings, the observations of the participants indicated that relocation sometimes means relocating to better opportunities, a better life, and a social and healthy environment.

Participant F05 expresses that:

“The best strategy that the government is using to improve informal settlements is poverty-to-poverty strategy”

According to the participant instead of combating poverty and improving the living standards, the government is sustaining poverty. The participant further expressed that:

“The government is not serving the people; people are the ones who are serving the government”.

Regarding the aforementioned observations, the participant clarified that people are becoming poorer, and poverty is increasing across South Africa, whereas government servants are becoming wealthier.

4.3.4.2 The observations of municipal officials

According to the responses provided by Participants A and B, the municipality is using five strategies to upgrade informal settlements in Rustenburg, as follows:

- Strategy 1: involve conducting community engagement with the affected community and the plan on how the process will unfold. Participants were not fluent in how the municipality is engaging with the settlements.
- Strategy 2: is the interim services. According to the participants, this strategy involves providing clean water and solid waste removal. Participants revealed that the municipality used the interim strategy because some settlements, such as Freedom Park, are built on privately owned land. Adding to the sentiments, both participants alluded that it is perilous and expensive for a municipality to invest in land privately owned land because the owner might come and claim back the land.
- Strategy 3: is the security of tenure.
- Strategy 4: is the placing of infrastructure services. Participants A and B shared similar perceptions that the municipality created gravel roads in some parts of settlements. These findings are similar to the sentiments of participants FNN05

and FP06 who mentioned that some parts of Freedom Park-Number 9 and Freedom Park-Phase 1 have gravel and paved roads.

- Strategy 5: involves the building of homes for all qualifying beneficiaries. According to the participants the municipality was using this strategy for a long time; for instance, some of the dwellers (qualifying beneficiaries) from Freedom Park-Number 9 were relocated to Freedom Park-Phase 1.

Based on this analysis, the findings reveal that most people (participants) in informal settlements are unaware of the strategies implemented to improve informal settlements, whereas some believe there are strategies, but they are not implemented properly. No visible outcomes confirm certain programmes employed to upgrade informal settlement. The lack of knowledge contributes to this factor; people lack access to information and certain platforms presenting the municipality's reports, acts, and IDPs. The findings also illustrate that the municipality is not alerting and informing the communities about plans set for them, as indicated in the Municipal System Act. The Act illustrates that the municipality has the direct right to communicate and consult citizens on every matter affecting and concerning their areas through participatory structures, such as ward councillors, and through political structures.

4.3.5 Realities of strategies implemented

The efficacies of these strategies are governed and determined by the realities on the ground to understand and determine these realities, participants and municipal officials were asked about the challenges encountered as results of the strategies implemented. Social, economic, and environmental challenges were emphasised by the participants, presented according to the participants understanding and experience. Participants affirmed that these challenges reflects the ineffectiveness of strategies implemented.

4.3.5.1 Poorly managed waste collection

Participants in all these settlements shared similar sentiments that poorly managed waste collection is a critical and unbearable environmental challenge endangering

the health of dwellers. Participants feel that these settlements are not in a remark that humans should be living in if provided a choice. Concerning the waste collection, some participants well-expressed that when the environment is not clean and safe, chances are 100% of becoming sick. The findings demonstrate that the lack of waste management and regulation pose critical health and environmental challenges. Participants FNN04 & FNN05 stated:

The area stinks, rats eat kids, and people are no different from pigs

Mixed emotions emerged from Participant FNN02, expressing that if provided an alternative to leaving this settlement, she would leave without hesitations. It was apparent from the responses of the participants that the dirtiness of the environment is caused by the poorly managed waste collection, and air pollution caused by nearby mines, and lack of access to sanitation. The literature outlines that the lack of waste collection can negatively contribute to the well-being of poor households and the environment, increasing elevated levels of diseases (Amo, 2018; Msimang, 2017; National Treasury, 2011).

The literature further reveals that properly managed waste collection reduces illnesses and enhances the quality and sustainability of the environment by shielding environmentally sensitive areas, such as watercourses and wetlands. Sufficiently managed waste collection, according to the National Treasury (2011), can benefit poverty alleviation through innovative job opportunities while contributing to the local economic development of the communities.



Figure 4.5: F -Phase 1F; Number 9, Ward 14

Source: author, 2021.

According to the responses of eight participants, the settlements lack secured dumping sites. A participant FP04 in Freedom Park-Phase 1 added that the waste collection truck has no specific day or time, therefore, people dispose of their garbage anywhere. Participant FP05 illustrated that one cannot take a peaceful walk because there is always a bad smell. The participant concluded:

“We are grateful that nowadays we live in a world where we have to put masks, because to us, these masks do not only prevent the chances of being affected by Covid-19 but also protect us from this smell.”

4.3.5.2 Poor infrastructure

Participants FNN02 & F03 felt that the researcher was festering the pain and the terrible conditions that the government allowed the society to live in. The majority mentioned that the settlements lack access to basic infrastructures, such as roads and community halls. Participants in Freedom Park-Number 9 and Fourteen shared similar perceptions that the settlements lack proper roads, and also gravel roads. Several accidents, therefore, occur, especially in the wet season. In amplifying the observations, participants said that the roads become muddy and unclear during rainy days. Participant FNN01 in Freedom Park-Number 9 stated that:

Poor road infrastructure has made it difficult for the people to walk the night. Not so long, a community member fell, and her leg was broken. And taxis find it difficult to leave us near our places.

Participants in Fourteen substantiated those bad roads led to community members contributing funds to purchase soil to level up roads so that cars (emergency services), such as police and ambulances, can reach the area.



Figure 4.6: Roads in Number 9

Source: researcher (2021).

A participant in Freedom Park-Number 9 complemented that although roads are bad; taxi drivers still charge a fair price. As already mentioned, the settlements do not have community halls. Participants FP03 and F03 added to the observations that the lack of community halls is a challenge affecting community participation and opportunities of conducting meaningful assemblies. Participants did not lucidly express their observations on this matter. One participant informed that the communities have graduates whom they believe the community can learn from, but the lack of venues deprived them of opportunities to conduct impactful seminars. The observations of the participants suggested the theme of giving back to the community.

4.3.5.3 Unemployment and poverty

Social problems, such as poverty and unemployment, are major challenges that arose in the observations of participants. According to the participants, informal settlements are impoverished and have a high unemployment rate. Participant FP03 asserted that 99% of the youth in Freedom Park is unemployed. Adding to this assertion, the participant believes that the lack of services and community development programmes in informal settlements is one of the reasons why people are not employed and lack the necessary skills. The participant further expressed that people do not have any reliable source of income, therefore, the poverty strike.

The findings illustrate that people observe the source of income or obtaining an income as one of the factors decreasing poverty. Participant FNN01 stipulated that:

Those people who end up misbehaving or stealing should not be arbitrated. Singojjika ne langa kwaye isisu asikweletwa. This can be translated to we turn with the sun and one cannot owe the stomach; meaning that people sit at home all day long, hungry because they have nothing to do.

In contrast, some participants raised unemployment concerns, among the concerns raised was the difficulties of being unemployed yet living in a settlement established near mine industries. Amplifying the thoughts, Participant FP06 expressed that:

“... we were told that the minimum requirement for a person to be employed in mine industries is a Senior Certificate, which most people have. I, in particular, have applied hundred times, but I am not employed”.

4.3.5.4 Crime

According to the study findings, safety concerns, such as the extreme fear of being raped, robbed, and killed in informal settlements, added to the despondencies of the informal settlement dwellers. Thirteen participants shared similar sentiments that crime is a major concern. Participants FPN03, FNN04, FPN05, F04, F05 and FP03 indicated that the inaccessible of services, such as electricity and security services, contributed to a high crime rate. Participant FPN05 expressed that the informal settlements became homes to criminals because of the darkness and the lack of emergency services, such as security services in the communities.

The findings indicate that people still walk long distances to access some services, such as schools, and health care facilities. Participants revealed that young people devoted their lives to substance abuse because they are unemployed. The municipality is slow in providing services that will empower people, leading to criminal activities. Participant F02 mentioned that people are raped, robbed, and killed daily. These findings are consistent and similar to those by Macanda (2014), who established that the high levels of crime in South Africa are attributed to the lack of services or projects available to empower people.

During data collection, it was observed that a woman's shack was written on in foul language; participants attested that it was an evening incident. Provided these situations, the findings affirmed that women are unsafe in informal settlements; they continue to be the victims of physical and sexual attacks.

4.3.5.5 Lack of housing

Despite the right to housing being emphasised in Section 26 of the South African Constitution, South Africa still have housing problems. The study findings demonstrate there is still inadequate housed and homeless people, while others have taken upon themselves to construct their own housings lacking all the proper materials. Participants in Freedom Park-Number 9 indicated mixed emotions as they expressed that their shacks are built using poor and old material, resulting in leakage and water flooding inside their shacks when it rains. Participant FNN02 added:

“When it rains our beds become wet attributable to the leakage, and to prevent water from damaging stoves and other objects in the shelter, buckets and basins are placed throughout the shack. It is impossible to leave children alone”

The sentiments shared by the participants illustrate that a place to call home, a shelter providing warmth and security is a critical need.



Figure 4.7: Shacks in Number 9a; shack in Ward 14

Source: researcher (2021)

Participant FPNN02 declared that:

‘... she has been applying for an RDP since 2005, but the number has always appeared as declined, whereas she has never received an RDP house before’

Adding to the sentiments, the participant alluded that she has devoted her life voting, therefore, being denied access pains her, especially when other applicants have received theirs. The participant concluded that she will continue to vote because of the social grants she is receiving for her children.

In Freedom Park-Phase 1, most of the participants acclaimed they have RDP houses, electricity, streetlights, and pavement roads, whereas others contended that these RDP houses are cracking and collapsing; not all the street lights are working, and sewerage systems are dysfunctional. It was evident from the responses of the participants that the RDP houses are constructed using weak grout. These findings concur with the reports of News24 (2017), reporting that in a township outside Bethal, Mpumalanga, 36 RDP houses collapsed during heavy rains; investigations revealed that these RDP houses were built with mortar weak.

The aforementioned findings are corroborated by the literature. According to the literature, housing became an interdependent marvel affecting all aspects of mankind. Its significance is pronounced, influencing the social, physical, and mental well-being of humans, irrespective of socioeconomic status and colour. Globally, millions of people are homeless (Ademiluyi, 2015; Ayedun & Oluwatobi, 2011). The literature further reveals that the lack of access to housing contributed to developing informal settlements in South Africa and Africa. The University of Dublin, Trinity College (2015) reports that Africa has 200 million informal settlement dwellers, which hold about 20% of the world.

4.3.5.6 Lack of electricity

Public lighting has a crucial influence on safe informal settlements, as women and children encounter extreme jeopardies of physical and sexual attacks. According to the responses of participants in Fourteen and F-Number 9, the inaccessibility to electricity has endangered the lives of the community members. Participants revealed that people are still using paraffin primus stoves and candles, causing the emergence of fire and burn. Participants shared sentiments that electricity is crucial

in day-to-day life and in simplifying people's lives. Although participants were not expressive in their observations, it was apparent from their emotions and expressions that access to electricity is a dream they believe will never come true. From the responses of participants, electricity is a necessity to ensure the safety of people, simplifying their lives, as it is needed for most household chores.



Figure 4.8: Izinyoka-nyoka (robbed/stolen electricity) in Ward 14

Source: Researcher (2021).

In Fourteen, the concept *izinyoka-nyoka* (illegal/stolen/robbed electricity) emerged from the sentiments of participants. According to the participants, the community has illegally robbed electricity from the neighbouring areas. Although the settlement has robbed electricity, Participant F02 indicated that not the whole community of Fourteen benefits from it. Clarifying the observations, the participant stipulated there is a minimum requirement of R300 that each household must pay. Participant F02 stated:

“Some households do not afford to pay this amount hence they do not benefit”

Participants F01 and F04 shared that the community suffered the consequences of using illegal electricity, reporting:

‘Because of izinyoka-nyoka, many electrocution deaths of children and livestock have occurred in the settlements’

4.3.5.7 Lack of access to water and sanitation

Fifteen participants reported struggles regarding access to water and sanitation. According to Participant FNN05, Freedom Park-Number 9 has no other sources of water; as a result, people are compelled to drink contaminated water. This observation came after the participant emphasised that the community is discontent with the water, they obtain from the water taps provided by the municipality. It also emerged from the observations of the participant that people still walk long distances to fetch water from neighbouring areas; others indicated they have hauled water. One participant had a different observation, suggesting the alternatives people can use to clean the water, such as boiling them. The participant, however, clarified that it is impossible to use this alternative because there is no electricity and paraffin is expensive.

From the observations, people are exposed to high probabilities of contracting waterborne diseases, such as cholera and diarrhoea. According to the literature, the health consequences of poor water, sanitation, and inadequate hygiene are enormous, resulting in infections. Eighty per cent of the illness and diseases in the world is characterised by insufficient water and sanitation (United Nations Children's Emergency Fund, 2015; WHO, 2015). Mulapo (2015); Daley, Castleden, Jamieson, Furgal and Eil (2015) agree that providing clean and safe water and basic sanitation has a major positive health effect on the social environment and the people.



Figure 4.9: Water kept in containers in Number 9; Toilets in Number 9

Source: Author (2021)

The study findings illustrate that ample households, in all three settlements, use pit latrine toilets, while others go to the forests as means of sanitation. These toilets, according to the participants are shared by dozens of people. This is not good for their health, especially for women, children, and people living with disabilities. Jooste and Mathibela (2020) stipulate that the inaccessibility to water and sanitation affected women and girls the most because of personal hygiene that needs proper maintenance of female productive health. Some studies also established that using a single toilet by several households cause an increment in health risks; this makes it predictable that informal settlements rapidly become hotspots of viruses and infections across South Africa. The study illustrates that an enhanced provision of water will be fundamental for children and women.

The lack of water and sanitation, concerning the findings, hindered the settlement dwellers to practice hygiene. The responses provided by the participants indicated it is difficult to follow all the Covid-19 measures, such as washing hands, maintaining hygiene, and practising social distancing because there is no access to basic services and poverty is striking. The findings indicate that poor hygiene can be accredited to circumstances, such as a water shortage, resulting in several dysfunctional toilets and pit latrine toilets close to the individual's informal shelter (see figure 4.10).



Figure 4.10: A photo captured in Fourteen, portraying pit toilets close to the informal dwelling

Source: Author, 2021

According to the study results, people defecate in any open space because it is unsafe to go to the forest at night. In supporting these findings, the interview with SJC's Axolile Notywala in 2016, revealed that using toilets at night is one of the most dangerous acts for informal dwellers, mostly for women and children, as they are the victims of harassment (SJC, 2016). Concerning the South African Constitution, sanitation in South Africa is recognised as a human right; therefore, all citizens need to have access to proper sanitation. The study findings also reveal that the municipalities do not guarantee their obligations as required by the South African Constitution. Section 27 (1) (a) of the South African Constitution stipulates that everyone has the right to have access to sufficient food and water. All municipalities are expected to act within their jurisdiction to ensure a healthy and safe environment and to ensure that services are provided to the people.

4.3.5.8 Lack of schools

All participants in Number 9 and Ward 14 echoed that the settlements have a high number of school dropouts. Consolidating the observations, participants revealed that children travel long distances to access school because there are no nearby schools. Participant F01 pronounced:

"We pay R500 for school staff (transport) a month if you do not have the money that means your child will walk to school and skip some days because walking a long distance every day even on rainy days is discouraging".

Participants F01, F04, FNN02 and FNN04 added that during rainy days' children do not go to school because the road is not walkable; others wear plastics on their feet to protect their shoes from mud.

Regarding ground realities encountered by the municipality, Participants A and B summarily emphasised the following challenges.

- The land acquisition process is slow because before its completion the settlements would have doubled
- Lack of strategically located land to develop new settlements
- Land invaders are invading pieces of land with different ownership and that makes it onerous to acquire the land for formalisation
- Lack of political will concerning formalisation; most informal settlements are influenced by political will
- Lack of finance and proper implementation of the strategies formulated to upgrade informal settlements

Despite being a democratic country for 27 years, South African people are still subjected to inhumane living standards, encountering a variety of problems. It can be asserted that the inaccessibility of services in informal settlements have turned to be the greatest problem that the communities encounter. The essence of this assertion is that the lack of services, such as electricity, water and sanitation, infrastructure and other social services harmed the lives, and health of the people, not only in Rustenburg but also in South Africa. The lack of access to sanitation in these settlements revealed that the dignity and privacy of people are still not protected. These findings support the sustainable livelihood theory. The theory reveals that an environment is unsustainable when it is unable to cope with and recover from shocks. People in these settlements live under unsustainable livelihoods, facing a variety of challenges, attributable to challenges, including leakages during heavy rains, rats eating children and electrocution of children and livestock's. According to the sustainable livelihood approach sustainable livelihood comes from being able to cope with and recover from stress and shocks both for now and in future (Ojo, 2018).

Even though some of the observations were not persuasive, the findings indicate that some of the challenges contributing to poor execution of strategies are corruption, maladministration, and a lack of relevant skills within the municipal officials. The lack of skills, according to Nothando (2013), led to the mismanagement of funds, corruption, nepotism, fraud, and the level of poverty increasing. Accordingly, with the lack of skills within the municipality, it is implausible for the municipality to produce speedy and successful programmes to respond to the needs

of the people (Nothando, 2013). Accountability and transparency need to be prioritised in informal settlement improvement. Community leaders must act selflessly, prioritise the needs of the communities, and forget about their personal needs.

4.3.6 Efforts made by the municipality to improve informal settlements.

Under this theme, municipal officials were asked about their respective functions within the municipality. The study envisioned establishing the functions and obligations of the participants on informal settlement improvement. Participants expressed their perceptions concerning their functions and what the municipality has done to upgrade informal settlements. Participant A stated that he works as a project coordinator in RLM's Department of Housing; participant B stated that he is an informal settlement officer within the department. Participant A emphasised that his functions include monitoring the performance of the contractor (service provider) in the construction of houses according to the project plan and progress schedule and service level agreement and conducting research on the housing needs and identifying the subsidy (housing programmes) suitable for the beneficiaries.

Adding to the roles, the participant illustrated that his function permits him to assist in the relocation process of all the beneficiaries from informal to formal settlements. In contrast, Participant B was expressive, articulating that his functions include the controlling and monitoring of informal settlements within the jurisdiction of RLM through developing a database of informal settlements. Both participants outlined that it is their responsibility to audit and prioritise future developments of the informal settlements. Participant B alluded that auditing and prioritisation are completed through conducting the enumerations of all informal settlements. Among their functions are the facilitation of local government affairs' workshops and meeting with the beneficiary communities in essential service projects. They also collaborate with the community, community representatives, and ward councillors to deliberate the matters pertaining to the allocation of approved beneficiaries to their sites/houses, as provided by the Municipal Systems Act.

Concerning efforts made to upgrade in informal settlements, participants shared similar sentiments that the municipality attempted to develop gravel roads in the settlements. The municipality provided gravel roads, supplied water through communal taps, and ensured the collection of solid waste in some parts of the informal settlements in Rustenburg. On efforts made to improve informal settlements, participants were not diligent in their observations, as inadequate information was provided.

4.3.7 Relationship between the municipality and the informal settlements

The relationship between municipalities and informal settlements is a crucial element that is often overlooked that could harm the outcomes of decision-making. Participants were asked about their relationship with the informal settlements. This was to establish and evaluate the relationship status and amalgamation between the municipality and the settlements. Only the observations of Participants A and B were considered to determine the efforts laid by the municipality to ensure inclusiveness in the strategic decisions, and preparations of budget.

Participants A and B shared sentiments such as ambivalence regarding the matter. The responses of participants confirmed the lack of a stable relationship between the municipality and the settlements. From the responses, the settlement dwellers grasp completely negative perceptions regarding the relationship. Participant A stated that:

“... the relationship between the municipality and informal settlements can be described as good but also bad on the other side”

The study findings confirm the lack of a mutual relationship and understanding between RLM and the informal communities. Participant A confirmed that the palpable factor contributing to this matter is the lack of communication and consultation, as indicated in 4.3 under the theme “community participation”.

Conversely, Participant B observed that the unstable relationship is influenced by political affiliations but did not elaborate. Participants expressed that the municipality is attempting to coordinate the establishment of communication structures from the informal settlements; the informal dwellers feeling excluded, sometimes create

parallel structures, facilitating land invasion against the recognised structure. According to Municipal Systems Act, municipalities must encourage the participation of local communities in local governance affairs to strengthen the relationship. Good relationships will assist the municipality to improve its accountability and provide the effective results of the programmes because local citizens will be part of the preparation, implementation, and strategic decision (MSA, 2000).

Participants observed that the municipality is determined to build the relationship and address the concerns of informal settlements. The continuous expression came after the researcher requested the plans of approaching and addressing the concerns of informal settlements. Participants similarly confirmed that plans are in progress aiming to approach these issues:

“The municipality is auditing all informal settlements in its jurisdiction, and this is to establish the total number of people living in informal settlements and their socio-economic status. From there the municipality will prioritise these settlements for Informal Settlement Upgrading Programme” [Participant A]

Participant B added that the municipality also aims to collaborate with ward committees and councillors to reduce the expansion of informal settlements.

4.3.8 Effectiveness of initiatives employed to improve informal settlements

One of the study objectives was to determine the effectiveness of the implemented strategies to improve informal settlements. The participants were questioned regarding the effectiveness of the aforementioned strategies in Section 4.3.44. The question aimed at confirm the ground realities and efficacy of these strategies. Participants provided responses concerning their understanding of the implemented strategies to improve and how they measure their effectiveness. Most participants confirmed that these initiatives are ineffective (Participants A and B). Participant A expressed that:

“These strategies are not assisting much on curbing the growth of informal settlements within the RLM. Instead, the laborious processes that are followed during the formalisation, result to the development of new settlements”.

The participant clarifies that the effectiveness of these strategies is measured by the rise and decrease of informal settlements. At this point, Rustenburg is experiencing an expansion and growth of informal settlements.

Participant B shared same observations with Participants FP06, F04 and FNN05 that the strategies are not responsive to the social and environmental needs of the settlement dwellers. According to the participants, the inaccessibility of services, such as water, electricity, and sanitation, is an indication that these initiatives are inactive. Participants stipulated that these settlements are still under ailing conditions. *Participant FP03 stipulated:*

“Maybe they are working for the municipality, but for us they are not working, I have been here for years, and I have never seen any change”

Some participants hold diverse observations that the inefficacy of these strategies is characterised by poor implementation. Participants assume that the strategies are poorly implemented because they are not producing fruitful results, and they are unresponsive to the needs of the informal dwellers. Thus, some participants concluded that these strategies are ineffectively communicated and executed. The participants suggested the improvement of communication consultations mediums by the municipality. As emerged from the preceding theme that UISP is used, criticism regarding this programme emerged as participants asserted that the programme was unsuccessful. Participants contended that the adoption of this programme by the municipality was ineffective because the informal settlements are still unimproved.

According to the participants, this programme was a failure and ineffectively practised/implemented because none of the introduced programmes and community projects was completed. Participants indicated that the water tanks are usually empty and concerning waste collection, residents do not even know what day the waste collection truck will arrive. Patel confirms that most programmes in informal settlements are implemented without a sufficient application of the social development approach. Participant FP01 further emphasised:

“We hear it pass around 11 p.m., sometimes on a Sunday, sometimes on a Monday, we don't know the exact time”.

The responses of the participants further illustrate that the only initiatives that are effective in bringing visible transformation and improving their livelihoods are those developed by the communities. A participant in Freedom Park-Phase 1 proudly stated that:

“The youth spend more time focusing on the soccer than roaming around the streets, while others focus on honing their talents because during the tournament people are given the opportunity to demonstrate their talents, and others prepare what to sell”.

Participants divulged that they measure the effectiveness of these strategies according to their responsiveness to the needs of the society and the changes they bring to the community, and so far, there are no alterations. Generally, it is known that South Africa has beautiful policies, but the problem lies within the implementation (Lopez, Abad, & Sousa, 2013). From the literature visited and the observations of the participants, implementation is indeed a problem in South Africa. The findings demonstrate that the strategies are ineffective in responding to the needs of the settlements. These findings confirm the social development theory. Julliet (2010) affirms that a social development approach seeks to improve human well-being in society. This implies that the government should invest in people's health, education, and employment opportunities.

According to participants the lack of communication and interaction between the municipality and the settlements also encumbers the effectiveness of the strategies. The observations of participants suggest that honing communication, consultation, and involving the communities in strategic planning decisions hone the activeness of the projected initiatives. A developing society requires inclusiveness; developing informal settlements is one of the fundamental elements for faster economic growth and poverty reduction in the country. The social development approach emphasises the importance of social development through proper strategies implemented to improve communities. In order for the adopted or implemented strategies to produce

fruitful results, all government and non-stakeholders must be involved in their implementation (everyone should be involved in the implementation process).

4.3.9 Most needed services and their importance

Service provision is regarded as one of the most fundamental agents for poverty alleviation, reducing unemployment, and developing the local economy (Masiya, Davids, & Mangai, M.S. 2019). Participants were asked about the services that will bring changes and have a positive influence on the settlements. The study's attempt through this question was to identify and depict the realities of effective implemented strategies to upgrade informal settlements. Observations are obtained according to the participants' understanding. To respond to the question, most participants indicated the most needed services, outlining their importance. Participants emphasised that effective strategies will produce fruitful results that include access services, such as electricity, infrastructure, housing, water and sanitation according to the participants will serve as results of effective implemented strategies. These include other social services, such as security services, health care facilities, and schools. According to the participants, although some people prefer relocation, others revealed that on-site upgrading is the most suitable method for informal settlement upgrading.

Ten participants from F-Number 9 and Fourteen, shared similar sentiments that they do not have electricity. Participant F04 explained that electricity is needed in modern life because most household and business-like activities require access to electricity. The findings also illustrate that access to electricity will reduce the fire and burn, usually caused by paraffin stoves. Participants F01, F02, F04 and FNN05, in Fourteen, indicated that the access to electricity will also diminish the levels of crime, electrocution deaths of children and livestock, usually caused by izinyoka-nyoka (stolen/robbed electricity).

The participants indicated that the settlements need proper infrastructure such as roads. According to the study findings, bad roads have made it onerous for the settlements to be reachable. Ambulances and other emergency services cannot reach the settlements, particularly on rainy days; therefore, proper road infrastructure will make these settlements accessible and reachable, reduce the number of

accidents, and children will not be deterrents to go to school. Participant FNN01 expressed that:

“Sometimes we are compelled to carry the sick person to where the ambulance is parking”

Participants referred to the injuries of people that recently occurred and the children dropping out of school. Some observations of other participants indicated motivation towards the socioeconomic development. Participant F04 stated that:

“Proper road infrastructure will create job opportunities, the youth will be equipped with skills, and most proper infrastructure will bring essential social benefits, and contribute to the development and sustainable livelihood in the informal settlements, as more investors will be attracted and coming in”.

It was fascinating to attain such positive observations from participants as it provided insights that most investors are pushed away by the lack of quality services. Other participants, such as F04 and FP06 emphasised that the more investors, the more the areas will develop with a positive influence on the informal economy, and local economic development of the areas. The aforementioned elaboration is consistent with the social development approach, which promotes community development by empowering residents. This theory supports community development through the provision of services, and the proper implementation of programs, strategies, and projects that will yield fruitful results.

Although some participants in Freedom Park-Number 9 and Fourteen shared positive sentiments that they have nearby clinics that are approximately 5 km away. Participants in Freedom Park-Phase 1 indicated a lack of nearby clinics; as a result, dwellers are compelled to travel to F-Number 9 clinic and Thirteen (an informal settlement near Fourteen), far and usually full.

During data collection it was discovered that roads are indeed poor in Freedom Park-Number 9 and Fourteen; there are no gravel roads, and the researcher had to walk a distance to reach the taxi rank. These findings are similar and consistent to those by Macanda (2014), who stipulates that in some areas, people still travel far to access public services, even though services, such as health care services, have enhanced

compared to the apartheid government. It is imperative to divulge that Freedom Park-Phase 1 is better developed compared to the other two settlements; there are RDP houses, street lights, and paved roads.

Concerning the South African Constitution, housing is a basic human right; it is one of the most essential services needed for the security and functionality of a household. Seven participants shared that they need houses. As observed in Figure 4.7, people are living in unsafe and appalling shacks. Participant FNN02 expressed that:

“Living here with my children is not safe and healthy, my child please assist me to get an RDP house, I have tried everything, please assist me”.

The perceptions of participants suggest that proper housing will provide people with better health, stability, and security needed by all humans. The study findings also established that people are willing to relocate. In contrast, Participants F03, F04, and F05 asserted that these shacks are their home; they do not want them to be destroyed; they only need the municipality to provide them with services. Accordingly, people do not want to be relocated; they want on-site improvement. Regarding housing, participants in Freedom Park-Phase 1 indicated that they have access to housing.

Participants identified proper sanitation as one of the most needed services in informal settlements. In this study, sanitation is understood as the basic human right and the ability to enter and use toilets at all times of need; this right is emphasised in the South African Constitution. According to the South African Constitution, municipalities ought to take their responsibilities of operating and maintaining the facilities, such as communal flush toilets. Regarding sanitation, participants stipulated they need proper sanitation because, without clean water and sanitation, there is no life. Participant F06 expressed that providing water and sanitation will reduce diseases and infections caused by using contaminated water, and unhygienic toilets. People will cease to defecate in open spaces and forests. Moreover, the dignity and people’s privacy will be restored. These findings are similar and consistent with those by Joshi (2011), maintaining that privacy and comfort are

desirable and are often determined by factors associated with a sanitation facility. The lack of access to sanitation compelled people to resort to accessing their own means, such as defecation, flying toilets, and using buckets (Taing, 2015; Winster, 2018).

Phase 1 participants stressed that their need for water. The lack of water in this settlement has resulted in dysfunctional and unstable toilets. Some participants expressed that providing social services, such as clinics, schools, and security services, is crucial in the communities. Participant FP03 shared that:

“My leg is supported with metals and requires me to go to clinic every month for check-ups, walking a long distance becomes a challenge for me, as a result, I end up missing some of the appointments because Phase 1 does not have any nearby clinic”.

Other participants explained that providing public services, such as police stations, will minimise the number of people travelling to town just to certify documents. Other participants identified the lack of police stations as a reason contributing to the high crime rate. Participants FP03, FP05 and FP06 cited two incidents that recently occurred of two females gunned down in Freedom Park-Phase 1. The participants suggested that the availability of security services, such as security services will, therefore, reduce crime. In Phase 1, Participant FP01 revealed that:

“The availability of social services, such as parks, and public pools will play a crucial role in enhancing people’s lives, as people will have places where they can relax”

4.4 Chapter summary

This chapter provides the analysis, interpretation, and discussion of the findings, based on the data collected from participants. The general background of the informal settlements indicates females (women) as the most dominant group in informal settlements, often encountering a variety of challenges, such as gender inequality, unemployment, poverty, and socioeconomic exclusions. The study findings also indicate a lack of action by the municipality to ensure the improvement

of these settlements. Participants outline there is no access to basic services; they encounter social, economic, and environmental challenges.

The second theme of the study focuses on community participation. The observations of the participants confirm a communication divergence between the municipality and the informal settlements. Although some participants confirm engaging in local affairs, the lack of feedback is a factor emerging from the observations of participants. This contributes to poor public participation. In summary, this chapter provides evidence that the strategies implemented to improve informal settlements are ineffective. All the perceptions provided by the participants contributed significantly to the study conclusions.

CHAPTER 5: FINDINGS, RECOMMENDATIONS, AND CONCLUSION

5.1 Introduction

Several initiatives were launched in post-apartheid South Africa to improve the country's living standards. Improving informal settlements is part of the National Housing Programme, aiming to approach the country's housing challenges. The improvement of the informal settlements programme has gained prominence as a dedicated programme aimed at improving access to services for low-income households (Bezerra, 2010). The goal of this chapter is to summarise the findings, align them with the objectives, present recommendations, and conclude the effectiveness of strategies implemented to improve informal settlements in RLM. Chapter 5 is the concluding chapter of the study.

5.2 Discussion and alignment of findings to objectives

The adoption of the sustainable development goals in 2015 cemented the global impetus for developmental progress both sustainable and fair (Smit, Musango, Kovacic & Brent, 2017). Of that interest, in this study are SDG 1 and 11. SDG 1 and 11 aim to eradicate poverty (SDG 1), make cities and human settlements inclusive, safe, resilient, and sustainable (SDG 11). Enhancing informal settlements performs a crucial function in the achievement of the SDG, such as SDG 1.

This study observed the efficacy of government strategies towards improving informal settlements. Following the study results, most informal settlements were occupied and developed during post-apartheid South Africa. This applies not only Rustenburg but is valid across South Africa, confirmed by participants who lived in these settlements for 22 years. The findings also demonstrate that dwellers are angry and frustrated to the extent that they are ready to clash with anyone investigating their problems and the terrible conditions they live in. Jili (2012) confirms these findings, indicating that participants indicated signs of anger, frustration, and sensitivity.

The study findings also confirm with the literature, indicating that females are the most dominant group in informal settlements. They often encounter a variety of challenges, such as high levels of poverty and unemployment, disempowerment and intimate violence. Figure 4.1 demonstrates a huge divergence between males and females concerning employment opportunities. The evidence provided in figure 4.1 prove that, although, the South African Government established several platforms to end gender inequality, females are still excluded from socioeconomic opportunities. These findings are similar to those by Nkosi (2014), confirming that females in South Africa—particularly those living in informal settlements, are recognised as the majority group, living in poverty and dealing with violence. Further, women are also the most vulnerable and disempowered in social service delivery (Nkosi, 2014).

According to the participants, a need exists for more deliberate local government strategies to approach these inequities in marginalised urban settings. Matsie (2019) agrees that indeed there is a need for strategies addressing and approaching gender-related deprivations. This is because encouraging females' assistance to develop integrated communities that react to women's daily experiences as residents. The study results indicate that despite living in these settlements for several years, the government has not taken actions to improve these settlements, particularly, the areas of Fourteen and Freedom Park-Number 9. Whereas, Participants in Freedom Park-Phase 1 expressed dissatisfaction with the services provided.

During the analysis of the previous chapter, the Covid-19 pandemic theme emerged. Covid-19 has affected several lives, including the lower, middle, and upper classes (OECD, 2020). However, the indigent group are the most affected and exposed by this pandemic (OECD, 2020). According to the study findings, during the challenging times of Covid-19, informal settlements remain neglected, and inequality is exposed. Democracy in the South African Government was tested, with human rights deteriorating. Participants raised concerns regarding these settlements lacking access to municipal services. As a result, it is problematic to adhere to the rules and regulations set by the government, such as washing hands, social distancing, and hygiene. Participants also expressed that these settlements are overcrowded and

poverty-stricken areas; therefore, they need all forms of supports from the government. These findings are similar and consistent to those by Matsie (2019), who concurs that informal settlements are often crowded and poverty stricken areas.

5.2.1 Findings relating to the first objective

The first objective of the study aimed at identifying the potential strategies, and programmes used by RLM to improve the informal settlements. To achieve this objective, both settlement dwellers and municipal officials' observations were captured. Responses are provided according to the participants' understanding of strategies. Arbitrating from the responses of participants, the findings reveal that there are excellent and well-written strategies implemented to improve informal settlements. These include community participation, interim services strategy, and the placement of infrastructure, secure of tenure and the building, and relocation of qualifying beneficiaries to better homes. The findings further illustrate that development projects, such as *Tapologo* were introduced to empower females and had a greater positive influence on women, as some are still using the skills they learnt, to make or earn a living.

The participants viewed that the interim service strategy involves providing safe and clean water, and solid waste collection. This strategy is used to improve informal settlements established on privately owned land. The interim strategy is used to minimise the risks and the loss the municipality will suffer should the land be reclaimed by the owner. Regarding the placement of infrastructure, participants asserted that gravel and pavement roads were created, and water tanks and taps were installed in some parts of Freedom Park (F-Number 9 & F-Phase 1).

According to the findings, during recent years, the municipality relocated people to better houses; for instance, some of the dwellers (qualifying beneficiaries) from Freedom Park-Number 9 were relocated to RDP houses in Freedom Park-Phase 1. A participant in F-Phase 1 confirmed that she was one of the beneficiaries, relocated in F-Phase 1 from F-Number 9. In addition, the findings real that some dwellers prefer relocation as it may mean relocating to better opportunities, a better life, and a healthy and safe environment.

Participant F04 shared that the poverty-to-poverty strategy is employed by the government to deal with informal settlements. The participant clarified that instead of combating poverty and improving the livelihoods in informal communities, the government sustains it as the poor are becoming poorer.

5.2.2 Findings relating to the second objective

The second approach of the study aimed to examine the effectiveness of the strategies towards enhancing informal settlements. The opinions of municipal officials and the constituencies were equally significant; the perceptions of the participants contributed more to determining the effectiveness of the strategies. The reason behind this is that dwellers bear the fruits, the bitterness, and the sweetness of the strategies. In summary, dwellers are affected the most; they witness the changes and the challenges in their settlements; the results of the strategies being present. The effectiveness of the strategies was drawn through the responses of both settlements dwellers and municipal officials.

There is an increase of informal settlements in Rustenburg, whereas other participants indicated that these strategies are ineffective because they are not reducing the development nor growth of informal settlements. Others observed that these strategies are unresponsive to the needs of the settlements. The findings identified poor implementation and execution as the main force hindering the efficacy of these initiatives. Most projects in the participants' areas were uncompleted. Participants concluded that these strategies are improperly communicated and executed. To improve these strategies, some positive comments from the participants suggested the improvement of communication and consultations mediums by the municipality.

Participants illustrated that these initiatives are measured through their responsiveness towards the needs of the citizens, and the transformations they bring in the informal communities. At this point, the settlements lack access to basic services. The inaccessibility to services, such as water, electricity, and sanitation, is an indication that these strategies are ineffective. Only initiatives developed by settlement dwellers bring positive transformations.

This was evident through participant observations—for instance where the youth of Freedom Park-Phase 1 established a soccer tournament as an initiative to improve their livelihoods and remove the youth from the streets. The establishment of this soccer tournament came with several opportunities attributable to activities during the tournament. One participant in Freedom Park-Phase 1 proudly stated that:

“The youth spend more time focusing on the soccer than roaming around the streets, while others focus on honing their talents because during the tournament people are given the opportunity to demonstrate case their talents, and others prepare what to sell”.

Effective community participation is required to ensure effective, speedy and successful programme implementation. Although most participants confirmed their participation in the local affairs, some criticised that the informal dwellers do not have a voice in the preparation, implementation, and review of IDPs. The participation of the community, however, is a crucial process to complete IDP and budget allocation. Zimblim (2019) verifies that an effective way for effective strategies to empower and improve slum communities is to allow informal dwellers to have a voice in the initial progress and transform their own livelihoods. Other participants’ responses suggest that the lack of feedback from strategic decisions and other government affairs is a factor, hindering the effectiveness of strategies. The results indicate that constituencies are never provided with any feedback, grounded on the matters previously raised.

The lack of feedback has occasioned more problems inherited from pre-existed problems. Enshassi, Kullab, AlKilani, and Sundermeier (2016) acclaim that the lack of feedback on previously raised matters, and the level of understanding and respect in the council process, are challenges attributing community participation. Participants mentioned that despite the involvement of informal settlements in local governance affairs, there were no progressions and transformations as an indication that people’s needs, and concerns were heard.

Another factor that contributed to evaluating the effectiveness of these strategies is the relationship between the settlements and the municipality. The current study

findings demonstrate that a stable relationship between the municipality and settlements is important to enhance government services. Participants alluded to how the poor relationship influenced the strategic outcomes. A municipal official mentioned that the relationship between the municipality and the settlements is good, however, also bad.

A factor identified to contribute to this instability is the lack of communication and consultation between the municipality and informal settlements. The Municipal Systems Act remarks that for municipalities to improve their accountability, strengthen their relationships, and provide effective outcomes for the programmes. Citizens, including informal dwellers, must participate in the planning, implementation, and strategic decisions.

5.2.3 Findings relating to the third objective

The third objective of the study aimed to examine the ground realities these strategies, including challenges of informal settlements to RLM. In identifying the ground realities and challenges, participants mentioned the problems encountered due to the inefficacy of strategies adopted. Settlement dwellers observed they still live under inhumane conditions, encountering a variety of challenges. These include the dirtiness of the environment; poorly managed waste collection; inadequate access to basic services; unemployment and poverty; poor infrastructure; crime; a lack of access to electricity; water and sanitation; and lack of schools. From the responses, most challenges in informal settlements are related and concerns service provision, such as the lack of housing, water and sanitation, poorly maintained waste collection and electricity.

The study findings demonstrate that poor access to water, sanitation, and poorly managed waste collection, is a challenge leading to the informal settlements as hotspots for infections. The poor maintenance of waste collection harms the health of poor households and the environment. These settlements, according to the observations of participants, lack secured dumping areas; as a result, people dispose of their garbage anywhere. Water and sanitation facilities barely address the needs of the people and the conditions of the settlements; they are inappropriate and

are poorly managed. This suggests that people in informal settlements are exposing their health by consuming contaminated water, using pit latrine toilets, and defecating in the forests and any open space.

Msimang (2017) affirms that living in informal settlements exposes people and the land they occupy to environmental hazards. Informal settlements are distinguished by a lack of basic services, such as water and sanitation, pollution, overcrowding, and ineffective waste management. These characteristics harm the environment, increasing the risk of health problems associated with informal settlement (Msimang, 2017).

Another challenge that emerged from the retorts of participants is poor infrastructure. The lack of access to basic infrastructures, such as roads has resulted in several accidents, especially in the wet season, as roads become unclear and muddy. Some parts of F-Number 9 and Fourteen are unreachable, for instance in cases of emergency, especially in the wet season. Emergency services, such as ambulances, cannot reach the settlements on time. This indicates that most deaths in informal settlements are caused by delays in accessing emergency services. The findings also indicate that poor infrastructure discarded investors and excluded settlement dwellers from several social and economic benefits (Aigbavboa & Thwala, 2011).

Among the challenges is the lack of access to electricity. A lack of public lighting has exacerbated safety concerns, as women and children are more vulnerable to physical and sexual threats. Participants cited recent cases of women and children being raped, robbed, and killed. These challenges compelled people, particularly adolescents, to drop out of school; young girls to date older men; females to engage in prostitution; others to engage in illegal activities. Some parts of the settlements, especially the side of Fourteen dwellers, adopted their own practices. They established these relevant and of great assistance practices to satisfy their needs, such as endangering their lives and using illegal electricity. The findings identified that although some parts of the settlements adopted their own practices, the continuous use of these strategies or practices exacerbated the conditions; for

instance, using illegal electricity resulted in several electrocution deaths of children and livestock.

Khwela (2019) establishes that electricity theft resulted in the death of children in the Quarry Road informal settlement in Clare Estate, causing a fire, destroying 40 shacks. Khwela (2019) also contends that electricity theft led to the loss of a greater portion of the governments' revenues and being unable to keep up with the pace of maintaining public facilities. Moreover, it has led to the government encountering difficulties and inadequacies in establishing infrastructure; for example, supplying transformers becomes difficult; a lack of transformers leads to more power shortages.

Concerning housing, dwellings were of mediocre quality. Some RDP houses in Phase 1 were reported to be tracking, indicated as a challenge. People built self-constructed houses using poor and old materials, resulting in leakage, and water flooding inside the shelter when it rains. Literature also concurs that inferior quality housing in informal settlements is a challenge and a common phenomenon in several countries, such as Tanzania, Nigeria, Mozambique, Ghana, and South Africa (Simiyu et al, 2018; Daniel, 2015; Govender, 2015).

Other challenges are poverty, and unemployed. Informal settlements are impoverished and have a high unemployment rate. Participant FP03 indicated that 99% of the youth in Freedom Park is unemployed. The participant identified a lack of services and community development programmes in informal settlements as a reason for unemployed and lacking skills.

Other challenges mentioned by municipal officials, impeding settlement improvement, include the slow process of land acquisition, causing informal settlement expansion before their completion; and a lack of strategically located land to develop new settlements. The land invaders are invading pieces of land of various ownership, making it onerous to acquire the land for formalisation. Among other challenges are the lack of finance or funds and the proper implementation of the strategies developed to improve informal settlements. Participants observed that there is inadequate budget is allowed for the cities, therefore, the process of

upgrading informal settlements becomes slow. Participants also emphasised that the lack of skills, knowledge, administration, and corruption, as challenges delaying informal settlement improvement.

The findings demonstrate that informal settlements in Rustenburg still lack access to basic services, despite all the initiatives employed for improvement. The lack of services in these settlements reflects the ineffective and poor implementation and execution of the strategies. The data collected reflect on the challenges, socioeconomic activities, strategies, and relevant themes. These include community participation and services required in settlements. From the participants' disturbing emotions concerning their living conditions, significantly MDGs in 2015 succeeded in their mission to end hunger, poverty, and improve lives. They went beyond the extent and exceeded it (Brown-Luthango, Reyes & Gubevu, 2017). Through sustainable development goals, a new hope was instilled in all people globally, including the poor in South Africa. For some, the world seems to be going backwards (Nkosi, 2014). People lack access to basic human needs, foundations of well-being, and opportunity.

Participants proposed possible solutions for the municipality in improving their strategies and providing services. They suggested that the municipality should employ a variety of methods to address the shortcomings of the existing strategies. A review of the adopted strategies will cause greater transformation. Some participants suggested that the government should prioritise informal settlement dwellers. They should be directly consulted because they have lost trust in their representatives. Others suggested that the municipality collaborate closely with the ward councillors because they understand the conditions of these settlements.

According to the participants, communication and consultation are crucial to any effective strategy and service provision approach. This implies that communication and relationships between the municipality and the settlements should be strengthened. Participants stated that they do not need much from the government; they merely want to be recognised and provided their rights, one of access to basic

services, as guaranteed by the South African Constitution 52 (Ojo-Aromokudu & Loggia, 2017).

5.3 Recommendations

Observing the study findings, the following recommendations are suggested:

5.3.1 Recommendation 1: Provision of interim services

Some informal settlements, particularly on the side of Freedom Park-Number 9, are built on privately owned land. The municipality is unwilling to take risks and invest in privately owned land, citing the possibility that the owner will claim the land back. It is recommended that the municipality implement an interim strategy to improve and provide interim services in informal settlements. The municipality must provide replaceable services, such as solar, proper gravel roads, toilets, and clean water tanks. The provision of infrastructure, such as proper gravel roads, is crucial in poverty alleviation, local economic development of the areas, and the accessibility of these settlements.

According to the eThekweni Municipality (2011), to stem the tide of poverty associated with urbanisation, municipalities must provide essential services to informal settlements. These include water and sanitation, road infrastructure, domestic waste collection, and electricity. Strong containers must be used and provided as temporary shelters serving as health care facilities (clinics). The privatisation of the land must not be a justification to repudiate people access to services. The municipality must take full responsibility and provide services to the people in a sustainable manner, as guaranteed in the South African Constitution. The Municipal Systems Act (Act No. 32 of 2000), Section 73 (as cited by Jili, 2012), also guarantees citizens access to basic services; there is prioritisation to the basic needs of the local communities and engaging in the advancement of the local economy. The municipalities should use allocations.

5.3.2 Recommendation 2: Frequent monitoring of the existing initiatives

The findings reveal current initiatives, projects, and programmes employed to improve informal settlements, are ineffective. Participants confirmed that most projects fail in the process. To avoid the failure of these projects and programmes, it is critical for the municipality to regularly check and follow up on these initiatives. They must ensure they are still serving their intended purpose. Frequent check-ups, evaluations, and monitoring of these strategies will assist the municipality to easily identify and determine whether the strategies are considering and responding to the needs of the people. Conversely, the continuous check of these strategies will contribute to determining whether the intended objectives were met and achieved (El Menshawy, Aly & Salman, A.M. 2011). Furthermore, the municipality will be able to identify all the factors that drive and contribute to the failures of these initiatives (El Menshawy, Aly & Salman, A.M. 2011).

Monitoring is the ongoing evaluation of a programme or project concerning the agreed-upon implementation schedule. It is also a good management device that, when used properly, should provide continuous feedback on project implementation and assistance in the identification of potential successes and constraints to facilitate timely decisions (Fotieno, 2014). Monitoring and evaluation provide the data required to guide strategic planning, design, and implement programmes and projects, and allocate and re-allocate resources more effectively. Records related to the spending of public funds (or resources) must be monitored and properly audited. This will assist in determining and balancing whether public resources and public funds are used ideally, lawfully, and effectively.

5.3.3 Recommendation 3: Implementation platforms

Some initiatives, projects, and programmes fail because of a lack of skills among the government officials, responsible for the implementation process. The literature revealed that not all individuals hold a background or completed a course introducing them to the implementation process.

To ensure that people do not suffer the results of government officials who lack skills and knowledge, certain programmes must be implemented. These include implementation process courses and strategy execution that introduce all individuals entering the workplace, particularly in the strategic planning and strategy execution. Conversely, there must be mandatory programmes, short courses or training, lasting at least three months for officials to learn about the implementation process and how to execute these strategies. The focus should be on learning how to execute a strategy, as this will reduce the poor implementation that characterised, fenced, and overpowered South Africa's beautiful, well-written, and excellent policies.

5.3.4 Recommendation 4: Procurement procedures and project management

The study findings demonstrate that people continue to live in deplorable conditions. In some parts of the informal settlements, particularly in Freedom Park-Phase 1, the waste collection truck irregularly collects waste, and its arrival time is usually unfavourable, failing to accommodate the dwellers. The municipality needs to adhere to the procurement procedures to rectify this matter. The service provider must be chosen based on market capabilities, reputation, and experience. There must be no favouritism.

When issuing tenders, the municipality must strictly adhere to the procurement pillars. According to the South African Treasury Guide (2018), proper and successful government procurement is based on certain core principles of behaviour known as the Five Pillars of Procurement. These involve value for money, open and effective competition, ethics and fair dealing, accountability, and reporting equity. The proper application of these pillars will minimise the risks of changing service providers and leaving projects incomplete (Treasury guide, 2018).

5.3.5 Recommendation 5: Promote effective communication, participation, and empower citizens

The findings also demonstrate that participation and communication are important when accompanied by feedback. To ensure effective communication and participation, feedback on previously discussed matters must be provided. The

municipality can determine the effectiveness of its initiatives by using all communication platforms and collaborating with ward councillors as stipulated on municipal structures act. Some studies indicate that ward councillors are not acknowledged in the municipality's decision-making process, especially in rural areas and informal settlements (Khalil, EL-Aaal, Quintero, Aayash, El-Warab, Ibrahim & Marei, 2016). As a result, citizens' needs, and concerns are not heard or met. The involvement of communities in the process is critical in ensuring that upgrading actions meet the needs and priorities of people. The 2009 UISP—South Africa's policy device for upgrading, emphasises this notion (Honey-Rosés, Gill, & Pareja, 2016).

Even though some projects are conducted in their settlements, participants indicated they are mostly uninvolved in those projects. To create jobs and empower people, dwellers must be employed in projects; no project may employ people who do not live in the settlement where the project is conducted. Residents must be empowered through community activities, such as programmes teaching how to improve their social environment and start their own businesses to improve their livelihoods (Magigi, 2013). According to Magigi (2013), the participation of residents is significant in the development and coordination of effective urban development in metropolises. It is also an important component in ensuring that the land is properly managed and effectively used to develop cities and informal settlements.

5.4 Conclusion

The lack of services in informal settlements is an indication of ineffective and poorly implemented strategies. Thus, this study conclude that the strategies implemented to improve informal settlements in RLM are not effective. People are still exposed to inhumane conditions, facing variety of challenges. To approach and solve this problem, potential solutions and recommendations are proposed to assist the municipality in developing effective strategies. As a result, the study recommends that the municipality implement the aforementioned recommendations, particularly the interim service strategy, improvement of community participation, and the implementation of implementation programmes as a strategy to improve the

execution of strategies. These recommendations will also assist the municipality in the proper execution of strategies. This will produce greater results, such as providing and improving services to the informal settlements.

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APPENDIX A: INFORMED CONSENT FOR INTERVIEWS AND QUESTIONNAIRES



Researcher: Ms Rose Unathi Sishawu **Supervisor:** Prof. Nokukhanya N Jili

Research Dean/Officer: Prof. Irrshad Kaseeram

INFORMED CONSENT

Dear Sir/Madam

You are kindly requested to complete the interview schedule for academic purposes, as I am doing my Master's in Public Administration at the University of Zululand. I am undertaking a study entitled "**The efficacy of government strategies towards improving informal settlements in Rustenburg Local Municipality**". The intentions of this study will not cause any harm now or in future. Therefore, your dignity will be protected, privacy and confidentiality will remain. You will not be required to provide your personal or contact details, your response will be treated with high confidentiality and anonymity.

You have the right to participate and to withdraw from the project anytime you want. As the interviews will be face-to-face, your permission will be requested for the researcher to use record tapes. Your participation in this study will be of great importance, should you have any queries you should feel free to contact me (researcher) or my supervisor using the following contact details.

Ms Rose Unathi Sishawu (Researcher) Prof. Nokukhanya N Jili (Supervisor)

nathicele439@gmail.com

JiliN@unizulu.ac.za

Cell Number: 0733133849

Office Number: 035 902 6615

APPENDIX B: INFORMED CONSENT DECLARATION

INFORMED CONSENT DECLARATION

(Participant)

Project Title: The efficacy of government strategies towards improving informal settlements in Rustenburg Local Municipality.

I Rose Unathi Sishawu am a Master student from the Department of Public Administration under the supervision of Prof. Nokukhanya N Jili at the University of Zululand has requested my permission to participate in the above-mentioned research project. The nature and the purpose of the research project and this informed consent declaration were explained to me in a language that I understand.

I am aware that:

1. The purpose of the research project is to fulfil the requirements for a master's degree in Public Administration.
2. The University of Zululand provided ethical clearance to this research project, and I have seen/ may request to see the clearance certificate.
3. By participating in this research project, I will be contributing towards seeing the effectiveness of government strategies towards improving informal settlements.
4. I will participate in the project by responding to research questions and assisting with relevant documents needed for the study.
5. My participation is entirely voluntary and should I at any stage wish to withdraw from participating further, I may do so with no negative consequences.

6. I will not be compensated for participating in the research, but my out-of-pocket expenses will be reimbursed.
7. There may be risks associated with my participation in the project. I am aware that:
 - a. the following risks are associated with my participation: None
 - b. the following steps were taken to prevent the risks: None
 - c. there is a 0% chance of the risk materialising
8. Any further questions that I might have concerning the research or my participation will be answered by Prof. Nokukhanya N Jili (Supervisor) Tel: 035 902 6615 and Email: JiliN@unizulu.ac.za
9. By signing this informed consent declaration, I am not waiving any legal claims, rights or remedies.
10. A copy of this informed consent declaration will be provided to me, and the original will be kept on record.

I.....have perused the above information / confirm that the above information was explained to me in a language that I understand and I am aware of this document's contents. I have asked all questions that I wished to ask, and these were answered to my satisfaction. I fully understand what is expected of me during the research.

I have not been pressurised in any way and I voluntarily agree to participate in the above-mentioned project.

.....

.....

Participant's signature

Date

APPENDIX C: INTERVIEW QUESTIONS FOR INFORMAL SETTLEMENT DWELLERS

NB: Questions will also be interpreted in Setswana and IsiXhosa during an interview. Participants will also have the right to ask for clarity where they do not understand.

<p>Age level</p> <p>a) 16-21</p> <p>b) 22-35</p> <p>c) 35-50</p> <p>d) 50+</p>	<p>Educational level</p> <p>a) No education</p> <p>b) Primary/Secondary</p> <p>c) Abet</p> <p>d) Tertiary</p>
<p>Gender</p> <p>a) Female</p> <p>b) Male</p>	<p>Employment status</p> <p>a) Unemployed</p> <p>b) Employed</p> <p>c) Self-Employed</p>

1. How long have you been staying here and since you were living here has the government done something to improve this area?

2. What are the potential strategies implemented by the municipality to improve informal settlement?

3. Concerning community participation, do you often participate in strategic decisions and matters concerning you?

4. Are there any projects/socioeconomic activities to upgrade livelihood in an informal settlement? If YES, are they effective?

5. What are the ground realities of the implemented strategies you are encountering here?

6. Which services have a positive influence on informal settlement improvement?

APPENDIX C: INTERVIEW QUESTIONS FOR MUNICIPAL OFFICIALS

1. What is your function in Rustenburg Local Municipality?
2. How is the relationship between these informal community members and the municipality?
3. As the municipality, how do you communicate with the informal settlement dwellers?
4. What are the strategies implemented to upgrade informal settlements?
5. What efforts has the municipality made to upgrade informal settlements?
6. Do you think the initiatives employed to improve informal settlements are effective? If YES, how do you measure and monitor their effectiveness?
7. Are there any plans in addressing the concerns of informal settlements?
8. What are the challenges do you think the municipality is encountering to improve informal settlements?

Thank You!!!!

APPENDIX G: LETTER FROM THE LANGUAGE EDITOR



Nr: 20153

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LANGUAGE EDITING CERTIFICATE

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Authors: Rose Unathi Sishawu

Institution: University of Zululand

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Warm regards

Elizabeth Marx



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