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ALLOCATION PROCESS ON THE DELIVERY OF RDP HOUSES: A CASE STUDY AT THE CITY OF JOHANNESBURG MUNICIPALITY

RESEARCH REPORT

Submitted by

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A research report submitted to the Faculty of Engineering and the Built Environment, University of the Witwatersrand, in partial fulfillment of the requirements for the degree of Master of Science in Building.

Johannesburg, 2014

DECLARATION

I hereby declare that this research report is my own work. It is submitted for the partial fulfilment of the Degree of Master of Science in Building at the University of the Witwatersrand, Johannesburg. It has not been previously submitted for this purpose, or for any other degree or examination at any other university.

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ABSTRACT

The increasing housing backlog in Gauteng has resulted in many challenges, amongst them a need in ensuring that there is a fair and transparent allocation of housing opportunities to communities. The City of Johannesburg is an accredited municipality and administers the housing process within its jurisdiction. The purpose for the accreditation of municipalities was to deal with the backlog and improve on housing delivery.

The research examines the allocation process of Reconstruction and Development Programme (RDP) houses at the City of Johannesburg municipality. The study looked at the South African housing history, policies, and factors affecting the process with a view to highlight methods to improve the process. The qualitative approach to research was adopted in collecting data.

Using the techniques of process mapping, data was collected through qualitative interviews and semi-structured questionnaires with key personnel at the municipality to develop a process map of the municipality's allocation process. Through this process related issues contributing to backlogs and delays, and problems in the administration of the process were identified. Adopting a business process improvement tool could assist in improving the process and addressing the backlog issue.

Keywords: Allocations, RDP houses, Processes, Backlogs and Business Process Improvement.

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ABBREVIATIONS AND ACRONYMS

BPR - Business Process Re-engineering

DoH - Department of Housing

DHS - Department of Human Settlements

HDD - Housing Demand Database

HSS - Housing Subsidy System

MEC - Member of the Executive Council

MFMA - Municipal Finance Management Act

NHNR - National Housing Needs Register

NHDDB - National Housing Demand Database

PFMA - Public Finance Management Act

RDP - Reconstruction and Development Programme

SERI - Social Economic Rights Institute

GLOSSARY

Allocation: Allocation in this research report refers to the entire process through which RDP housing opportunities are distributed to eligible individuals, including registration, project identification, beneficiary selection and subsidy application.

Allocation Committee: An Allocation Committee is described by the National Allocation Strategy as a committee comprising municipal and provincial officials formed to make decisions about the allocation of houses in state-subdivided housing projects.

Demand Database: A demand database is a list with information about households and individuals that have expressed a need for a government subsidized house. A demand database can operate at municipal, provincial and national level.

Register and Demand Database: A beneficiary list used in allocating houses, and is obtained through different structures and institutions.

Informal Settlement: Informal settlement in the context of this report is an unplanned settlement on land which has not been surveyed or proclaimed as residential, consisting mainly of informal dwellings.

National Housing Needs Register: The National housing need register is a web-based system that contains records related to the needs of households for subsidised housing opportunities based on the captured housing needs questionnaire. It is used to capture the housing needs information of individuals, pre-screen them for eligibility and use the information to assist with the allocation of housing.

Registration: Registration is the process by which people place themselves on the housing demand database in their specific municipality.

Process: Process in the context of this report is steps by which inputs, action, methods and operations are transformed into outputs to exceed the needs and expectations of customers.

1 INTRODUCTION

1.1 BACKGROUND TO THE STUDY

Act 108 of 1996 section 26 (1) in the constitution of the Republic of South Africa states that everyone has the right to have access to adequate housing. It is the responsibility of the Department of Human Settlements to ensure that the above statement is honored and houses are allocated in a fair, transparent and equitable, manner. The Gauteng province is experiencing the highest rate of population growth in South Africa (StatsSA, 2013), and the provision of housing is a challenge. National, provincial and local governments are all faced with backlogs in housing delivery. The lack of capacity, coordination and pervasive corruption are the views commonly associated with local government particularly when it comes to housing delivery.

The primary determinant for enhancing quality of life in communities is provision of adequate housing, coupled with access to basic services and employment. The skewed development after apartheid bequeathed a massive infrastructure and housing backlog in the country. After the 1994 transition to democracy, government introduced the Reconstruction and Development Programme (RDP) to address the shortage of housing for low-income communities across South Africa.

The government is faced with a slow rate of service delivery in general. One of the biggest service delivery problems in South Africa concerns the allocation and provision of housing (Burgoyne, 2008). The government is continuously making efforts through constructive programmes to address service delivery challenges, much need to be done to address the housing problem that exists.

Allocations lie at the core of any social housing system (Hulse, 2003). Sigudla (2011) states that in South Africa, shortage of policy implementation skills is perceived as being central to housing delivery problems. Roux (2005) also attributes community unrests to lack of implementation capacity or the inability of government to implement policy. However, Nengwenkulu (2009) asserts that shortage of skills alone, cannot explain the public service delivery inertia; there must be other factors that contribute to the slow service delivery.

Many communities have shown their growing dissent over the government's perceived poor levels in service delivery by Burgyone (2008:12). There are daily updates on news about irregularities that take place during the allocation process of houses. These are connected to misallocations and fraudulent occupation of RDP houses. Despite government's commitment to provide houses to the needy, there is an acknowledgement that the process of allocating houses is facing challenges by Mnisi (2010).

Housing allocation and delivery in practice is a problematic, conflict-ridden process (Tissington *et al.*, 2013). Regardless of the government policies guiding this, huge problems still exists within the process (Tissington *et al.*, 2013). This may be evidence of a lack of concise and coordinated process necessary to allocate RDP houses effectively. These problems contribute to slow progress in housing delivery. The Department of Housing (2000) acknowledges there is a lack of role definition and defined lines of accountability within the housing sector.

Recognition of these problems has led the Department of Human Settlements to developing legislation and policy as a framework for the implementation of national housing programme (DoH, 2012).The Municipal Accreditation framework addresses various policy and legislative aspects in order to enable municipalities to manage the full range of housing instruments within their areas of jurisdiction (Ibid). The accreditation of municipalities was put in place to allow municipalities to undertake the housing function. The aim was for accredited municipalities to have executive right in administering the housing process, to be accountable to their communities, and to eradicate the backlog in the provision of housing (City of Joburg, 2011).

Thus, housing became no longer a responsibility of the national and provincial governments; municipalities became responsible in administering the housing function.

Every municipality has internal operating processes that are used to improve on performance and quality of its service delivery. Processes are the fundamental building blocks of any organisation, they are linked to everything that is done. Performance on service delivery is measured through processes. Processes interact with other processes to generate an output, the outcome from the internal processes determines whether the organisation functions effectively. Ackhoff (1984) states that

the performance of a system is not the sum of the independent performance of its parts, but is the product of its interactions.

1.2 PROBLEM STATEMENT

The housing delivery programme started at the dawn of democracy and was launched under the negotiated housing policy in 1994 with the aim of addressing the backlog in housing provision. However, it is apparent that there are challenges facing the programme. There is a housing delivery crisis and increased backlogs, which cannot be solved through a simple allocation of funds. The absence of a well-regulated process and standards at the level of the municipality has created an environment that could be challenged as corruptive and not transparent in accordance with the generally accepted governance standards in government service delivery. The allocation process used by government units has not been effective in the delivery of houses.

1.3 RESEARCH QUESTIONS

The focus of this research and the questions it seeks to find answers to are:

- What is the process used by the City of Johannesburg Municipality to allocate RDP houses?
- Is the process used to allocate RDP houses achieving its key objectives?
- What action is needed to improve the process?

1.4 RESEARCH AIMS AND OBJECTIVES

The aim of this study is to examine the allocation process of Reconstruction and Development Programme (RDP) houses and the objectives include:

- To evaluate process being used for the allocation of houses.
- To examine the challenges experienced in the process and their contribution to delays in housing delivery.
- To highlight methods that can be used improve allocation process.

1.5 ASSUMPTIONS AND LIMITATIONS

Many reports have been written on corruption levels and quality of housing in South Africa and this is not covered in the research. The research is limited to one

municipality, the City of Johannesburg in Gauteng province. The success of the research is limited by the type and accessibility of relevant information from the study.

1.6 RATIONALE FOR THE STUDY

Le Roux (2011) cited Ackhoff (1984) states that "to understand a system is to be able to explain its properties and behavior, and to reveal why it is what it is and why it behaves the way it does" (Ibid.,289). The study aims to provide insight into the various factors that affect the housing allocation process and also identify ways to refine this process and improve on housing allocations.

1.7 SCOPE OF THE STUDY

This research focuses on the process and policies used by the City of Johannesburg municipality to allocate RDP houses, and process improvement tools that can be applied to improve the current housing situation.

1.8 RESEARCH METHODOLOGY

To find answers to research questions and objectives, the research was conducted through the combination of desk-top research, and administration and analysis of semi-structured questionnaires and interviews. Interviews were conducted with key personnel involved in allocation of houses at the City of Johannesburg municipality. Using the techniques of process mapping, data was collected through qualitative interviews and semi-structured questionnaires with key personnel at the municipality to develop a process map of the municipality's allocation process

1.9 ETHICS

The study adheres to the framework and policies of the School of Construction Economics and Management, University of Witwatersrand's Research Ethics Committee. Corruption levels and quality of RDP housing remains a challenge in housing allocations within municipalities, the study will not look at corruption but only focuses on the administrative process.

1.10 STRUCTURE OF THE STUDY

The composition of study is made of five chapters comprising different headings.

Chapter One - Background to the study: Provides a reflection on the background of the study. It is also in the background that an overview of the setting is discussed. Problem statement, aims of the study, objectives of the study, significance of the study, research methodology, ethical considerations, and validity of the study are discussed.

Chapter Two - Literature Review: Presents a review of relevant literature in detail with the view to locating the study within the existing theoretical body of knowledge. South African housing history, allocation policies and business process improvement techniques are analysed and interpreted.

Chapter Three - Research Methodology: This chapter examines the research methodologies and provides the selected method adopted in the study. The research procedure is explained. Reliability and validity of the study and ethical considerations on the study are explained.

Chapter Four - Findings of the study: The findings of the study is analysed and interpreted in chapter 4. This discussion forms the basis for the conclusions and recommendations that will be discussed in Chapter 5.

Chapter Five - Conclusion and Recommendations: The researcher reflects on the findings from chapter four and concludes the study, then provides recommendations on identified constraints in the allocation process and makes further suggestions for future research.

1.11 CONCLUSION

This study highlights some of the existing problems in housing allocation process, such as backlog in allocation, the lack of transparency in the process and accountability on the housing process. Further, the study is required to explore a number of other aspects in the allocation process. These include the administration of the process, management and regulations in the process and process improvement methods to manage the process towards ensuring customer satisfaction.

2 LITERATURE REVIEW

2.1 INTRODUCTION

Manie (2008) wrote that "in our celebrations of democracy we are constantly reminded of how far we have come and yet on a daily basis we are faced with the reality of how much we still have to do"(Ibid, 1). The author further states that this contradiction cannot be more starkly illustrated than in the housing backlog that many people witness on a daily basis (Ibid.).

Housing in South Africa is at the forefront of the national agenda for delivery (DHS, 2012). The pace of delivery has not kept up with the growth in backlog especially in metropolitan areas (Geerdts *et al.*, 2003). The government's statistical offices' Community Survey notes that "In 2001, the South African population was estimated at 48.5 million, with approximately 65% of the population residing in the three most economically active provinces, Western Cape (21%), Gauteng (22%) and Kwa-Zulu Natal (22%), with an associated average annual population growth rate of 2.9% in the Western Cape, 2.4% in Gauteng and 1.3% in Kwa-Zulu Natal: The population is further segmented into formal dwelling residents at 70.5% of the population, with 29.5% residing in informal dwellings, and 14.5% residing in informal settlements" (StatsSA, 2013:33).

Housing delivery is one of the greatest challenges facing the South African government (O'Malley, 1994). The Department of Human Settlement (DHS) states that the extent of the challenges that government faces derives not only from the enormous size of the housing backlog and the desperation and impatience of homeless, but stems also from the extremely complicated bureautic, administrative, financial and institutional framework inherited from the previous government (DHS, 2004).

The importance of housing within the South African context is largely driven by the country's historical discriminatory practices as reflected by the constitutional provisions, making the provision of adequate housing a basic human right (Luyenge, 2011). The Reconstruction and Development Program (RDP), adopted in 1994, promoted a vision of meeting free basic housing needs.

According to Burgoyne (2008), housing delivery has been important in demonstrating the distribution of a tangible asset to the poor, and in this sense it can be argued to have played a key role in establishing a degree of legitimacy among low-income households. In addition to this, it is contended that the government's housing programme is one of the few state interventions that places a physical asset directly in the hands of households living in conditions of poverty.

Although the provision of affordable housing and basic services to all previously disadvantaged South African communities as inscribed in the Housing Act of 1997 is a priority for government, a number of factors have affected the success of this project and continue to do so.

The City of Johannesburg municipality acknowledges that quality of life is important to its residents. The city has over three million inhabitants, many of whom lack access to basic services, including housing. "The housing backlog is exacerbated by continued migration. The provision of low-cost housing is a major challenge" (City of Johannesburg, 2010a:1). "The city's housing department plays an important role in building sustainable communities by ensuring Johannesburg's inhabitants have an equitable access to green spaces, social and cultural facilities, transport and economic activities" (City of Johannesburg, 2013:14).

As a key stakeholder in the delivery process, government has developed a policy framework to facilitate the provision of affordable housing to its citizens. The policies and procedures provide a guideline for successful and satisfactory delivery of housing units. The Department of Human Settlements has conducted investigations to address the housing delivery problem in South Africa (DHS, 2012). The investigations revealed that various irregularities have taken place during the allocation process and the occupation of RDP houses (DoH, 2009: 4).

The problems experienced are due to maladministration, fraud, corruption, selection procedures and internal processes ((DoH, 2009: 4). Whilst fraud and corruption lie outside the scope of this study, processes can be send to play a big role in everyday activities. Christianson (2011) define business process as the ability and potential to provide customers with effective and high quality services and solutions. Government

processes can likewise be argued to provide citizens with effective and high quality public services and solutions. This influences performance, service delivery and administrative support for the public service offered.

This literature review focuses on aspects related to policies and processes in the allocation of RDP housing, as well as process tools within the business management literature that can be utilised to improve public sector performance and service delivery. The South African housing allocation and delivery is discussed and attention is then drawn to the factors that influence housing delivery. These factors include issues such as the South African historical context, housing delivery and the allocation process used.

2.2 HOUSING IN SOUTH AFRICA

Luyenge (2011) cited (Khan, 2003, 43). "housing is a highly politicised and contentious issue, particularly in developing countries like South Africa, which experience rapid urbanisation and where, as a result, huge competition for housing exists: Although shelter is a basic human need, it is also more than that. Housing is about everything other than houses, it is about the availability of land, about access to credit, about affordability, about economic growth, about social development, about environment" In addition, it is also about gaining access to services and infrastructure and creating feelings of security and pride in living in a home (Ibid.).

As stated in Act 108 of 1996 section 26 (1) and section 28(1)(c) of the constitution of the Republic of South Africa it is the government's constitutional obligation to provide adequate housing for all and shelter for children. Provincial legislatures and local government share this responsibility with the national government for delivery of adequate housing (DoH, 1994). It is the government's duty to take reasonable legislative and other measures, within its available resources, to achieve the progressive realization of this right.

Despite this ruling, and because of the recognition in the ruling that Government has to work within its available resources, an increasing housing backlog persists and the frustration with this by sections of society is evident in to service delivery strikes that are increasingly a feature of South African society. The consequence of this backlog is obvious and manifest in overcrowding, informal settlements, increasing frequency

of land invasions in urban areas, and the general poor access to services (Luyenge, 2011). Housing authorities are struggling to cope with the housing shortage. "According to the White Paper on Housing (1994), the challenge of extended households and circulatory migration further add to the difficulty of addressing the housing issue". (Burgyone, 2008:2).

Manie (2008) writes that insecure tenure is unquestionably one of the prominent features and causes of the housing crisis in South Africa; socially and politically, this backlog gives daily impetus to individual and communal insecurity and frustration, and contributes significantly to the high levels of criminality and instability prevalent in many communities in South Africa (DoH, 2000).

The deficiency of housing is major problem for Johannesburg. According to StatsSA (2009), only 56% of South Africans lived in fully -owned formal dwellings in 2009. This shows that not only does it seem impossible to work away the backlogs, but problems with the standard of construction, location and continuing urbanisation add to the challenge (Le Roux, 2011).

In Johannesburg, the population of the city has increased by over four percent per annum between 1996 and 2001. Since December 2009, a total of 58 960 housing units of the mayoral target of 100 00 had been built, resulting in a delivery rate of just over 58% (City of Johannesburg, 2010b). The Minister of Human Settlements Tokyo Sexwale (2011) mentioned at a human settlement youth summit that it is estimated the South African housing backlog stands at 2.1 million units. More recently the current Minister Lindiwe Sisulu (2014) mentioned that the government had committed R1 billion towards the target of delivering 1.5 million housing opportunities by 2019.

Despite this relative success and the ambitious targets set for the future, there are increasing concerns over the SA government's poor record of service delivery. Lack of information and transparency in processes is a contributing factor to the ongoing services delivery protests and there is a pressing need to address this problem.

2.2.1 The Reconstruction and Development Programme (RDP)

The RDP is an integrated, coherent socio-economic policy framework implemented by post-apartheid government (O'Malley, 1994). It is an integrated and sustainable programme designed to improve the standard of living and quality of life for South

Africans (Ibid.). The aim of the program was to open up previously suppressed economic and human potential for South Africans (Ibid.). The programme focused on the basic human needs which included jobs, land, housing, water, electricity, telecommunications, transport, a clean and healthy environment, nutrition, healthcare and social welfare (Ibid.). In the context of this report, the focus is only on the housing aspect of RDP.

2.2.1.1 The need for RDP

South African has a history of colonialism and apartheid that divided the country. There is consequently great inequality amongst South Africans and the RDP was drawn to rebuild and develop the country (O'Malley, 1994). A key part of this was to redress the housing situation in which the poorest were housed in the least adequate housing located furthest from economic opportunities (Burgyone, 2008). The RDP was designed to integrate growth, development, reconstruction, redistribution and reconciliation into a unified programme (O'Malley, 1994). Infrastructure had to be developed into decent, well located and affordable shelter with effective services and as a result the low cost housing programme was introduced.

2.3 ALLOCATION OF RDP HOUSES

The allocation of houses to beneficiaries is guided by a policy framework and associated processes. The current process of housing allocation replaced the previous process in which national and provincial housing departments were responsible for housing allocations ((Tissington *et al.,* 2013). Housing in South Africa has been restructured, and various housing functions have been shifted to local government units (DoH 2009). Accreditation and assignment framework for municipalities was implemented to allow for municipalities to administer human settlements programmes (Ibid.). The Department of Housing (Ibid.) states that accreditation of municipalities to administer housing programmes has been emphasized as a key government priority in support of an overall principle for cooperative government and service delivery.

2.3.1 Accreditation of Municipalities

The Republic of South Africa constitution (1996) section 156(1) and Housing Act (1997) details the functions of municipalities in relation to housing provision. "Accreditation permits the exercise of functions by a municipality on behalf of the

MEC whilst further capacity is being developed" (DHS, 2012:7). The municipal accreditation framework addresses various policies to allow for municipalities deemed having sufficient capacity to be accredited, to take on the full range of housing functions. This means to be accredited municipalities have to demonstrate their capacity to plan and implement programs mandated by municipal finance management act.

The purpose of accreditation is for municipalities to manage and regulate the implementation of community programmes. This was done to allow for better coordinated and accelerated human settlements delivery housing.

2.3.2 Municipal Housing Allocation: Policies

The requirements for housing delivery vary from region to region and are influenced by the population landscape and the characteristics of individuals within a particular jurisdiction. Sigudla (2011) wrote that in the United Kingdom, a systematic review by Gallent, (2009) revealed that the social composition of rural areas should be taken into consideration, to develop a focused and appropriate strategic approach for housing policies and to provide the necessary developmental support.Brun, (2009) critiqued the above mentioned principle in a study about the level of politics involved in the national housing policy in Sri Lanka after the post-tsunami recovery in 2005 : The author showed that the housing policy in Sri Lanka has not sufficiently embedded the reconstruction practices in local realities and people's own preferences and contributions.

In South Africa, municipalities that are accredited must take all the necessary steps to ensure that communities within their jurisdiction have access to adequate housing without compromising service delivery. There are policies in place that regulate municipalities in administering its functions. The policies are an intervention of housing to deal with the allocations challenges and are aligned to the development of sustainable human settlements plan. The objectives of the policies include:

- To co-ordinate government investment in development.
- To obtain accurate data for housing planning.
- To formulate a housing allocation framework that accommodates previously. disadvantaged groups and special needs categories.

- To facilitate a speedy release and servicing of land.
- To ensure that the housing allocation process is implemented in a fair, standardized and equitable manner.

The National Housing Code (2009) sets the underlying policy principles, guidelines, norms and standards which apply to government's various housing assistance programmes introduced and updated in 1994. The policy provides a regulatory framework for allocations.

The Housing Act (1997) regulates the powers and functions of the three spheres of government in relation to housing. It clarifies the roles and responsibilities of all spheres of government: national, provincial and local.

The Municipal Systems Act (2000) sets out the process to be followed in terms of assignment to municipalities.

Municipal Finance Management Act (2003) regulates the financial affairs of municipalities, sets treasury norms and standards and clarifies roles and responsibilities of the political and administrative office bearers.

The Public Finance Management Act (1999) regulates financial management within national and provincial government.

2.4 THE ROLE OF GOVERNMENT UNITS

The Housing Act 107 (1997) calls on all spheres of government to give priority to the needs of the poor, and to ensure that housing development provides affordable housing opportunities that are fiscally and economically sustainable. Different roles have been assigned to the three spheres of government.

2.4.1 National Government Function

The Housing Act 107 (1997) defines national government responsibility as policy leadership in a bid to facilitate the housing development.

The role of the national government acting through the Minister after consultation with Member of the Executive Council (MEC) includes:

- To determine national policy, including national norms and standards in respect of housing development.
- To set broad national housing delivery.
- To monitor performance of local and national government relating to a housing delivery targets.
- To assist and strengthen capacity of provincial and local government in respect of housing development.

2.4.2 Provincial Government Function

The Act confers upon the provincial government the responsibility for translating national policy initiatives at the provincial level in order to provide an enabling environment for housing delivery.

The role of provincial government with the MEC administering and approving every provincial housing programme includes:

- To determine provincial policy in respect of housing development.
- To support and strengthen the capacity of local municipalities to effectively deliver on their mandate.
- To coordinate housing development in the province.
- Provide a supporting function to municipalities and to intervene where municipalities cannot perform their duties as defined by the Act.
- Prepare and maintain a multi-year housing plan, in line with housing delivery targets.

2.4.3 Local Government Function

The local sphere of government is tasked with the mandate of ensuring the delivery of housing units where they are needed, and acting within the framework of national legislation. The function of local government is to:

- Ensure availability of suitable land and associated infrastructure for the development of sustainable communities.
- Ensure infrastructure services are provided in a manner which is economically efficient.

- Create and maintain a public environment conducive to housing development which is safe, healthy, financially and socially viable.

Burgoyne (2008) confirms that a 'housing sector plan is an imperative instrument to the Department of Housing in the allotment of funding to municipalities'. Municipalities are required to submit a plan to MEC on every financial year for the programmes and projects to be implemented. This is done to ensure that municipalities have the necessary capacity, planning, budgeting powers to achieve an accelerated housing delivery. 'Any housing plan should be accompanied by housing related policies to guide the operations of the housing allocation and allocation system, and should enlighten social issues such as how best to deal with land invasions and informal settlements' (Newcastle Municipality, 2005).

2.5 CONSTRAINTS TO HOUSING DELIVERY

Housing Act (1999:4) describes that the South African housing vision is 'the establishment and maintenance of habitable, stable and sustainable public and private residential environments to ensure viable households and communities in areas allowing convenient access to economic opportunities, and to health, educational and social amenities in which all citizens and permanent residents of the Republic, will on a progressive basis, have access to permanent residential structures with secure tenure, ensuring internal and external privacy and providing adequate protection against the elements, and potable water, adequate sanitary facilities and domestic energy supply'.

Despite government numerous efforts to provide shelter to the poor, there are a number of constraints hampering the provision of housing which will be discussed in the section below.

2.5.1 Backlog

Pillay and Naude (2006) wrote 'South Africa is faced with a low-income housing crisis, with the current estimated backlog reaching more than three million units. Nengwekhulu (2009) investigated delivery challenges of public services in South Africa, and found that there are a number of key factors that result in the slow pace of service delivery. Among others these factors include shortage of skills, corruption, nepotism and political agendas within the administration of department.

It is difficult to accurately assess the exact number of housing backlog because there is no defined method to measure. Rough estimates are used to account for backlogs. The Department of Housing (2001) showed that the official housing backlog doubled from 1.4 million housing units in 1995 to 2.8 million housing units in 2001. This can be attributed to the fact that the 1995 figure was an estimate of urban areas only, whereas the 2001 figure seems to include inadequately housed households in rural areas.

There is also the issue of new entrants in the housing market which causes confusion and complication on whether the backlog has actually been reduced. Whilst recognising that the delivery of houses has improved considerably, the insufficiency to meet new demand reveals that the housing shortage remains the same.

Hassen (2003) states that the performance of housing can be split into three main groups, firstly the number of units delivered, secondly the impact on backlogs, and lastly the impact of housing on poverty. It is imperative to highlight that the intrinsic worth of housing programmes cannot only be measured in terms of the amount of units delivered. Department of Housing (2005) established that inadequate resource allocation and capacity restraints contribute largely to the backlog of provision and allocation of houses. It is crucial to identify other factors influencing and affecting housing delivery in South Africa.

2.5.2 Urbanisation and Migration

Burgoyne (2008) points out that other factors contributing to poor delivery of houses stems mainly from a legacy of the apartheid system, where housing was supplied as mechanism of social segregation. Gauteng province is expressing high population growth due to urbanisation and migration. Lehohla (2006) defines ‘urbanisation as the increase in the urban population of a country or area due to the following components of urban growth: urban natural growth, urban net migration, and the reclassification of parts of the rural population into the category ‘urban’, due to the sprawl of existing urban areas into their rural surroundings or the development of new towns in formal rural areas’. Migration is defined by (Lehohla, 2006) as the crossing of the boundary of a predefined spatial unit by persons involved in a change of residence.

A report presented by the Department of Housing (2004) at the Commission for Sustainable Development, confirmed that urbanisation in South Africa is characterised by not only internal movements of migrants, but increasingly by immigrants from Africa and other parts of the world. Increased pressure is placed on the resources available in South African cities and therefore on the country's ability to offer shelter and service needs. As a result, financial constraints and funding difficulties exist, and municipalities and local government structures are often under-resourced and are unable to function at full capacity. South Africa's urbanisation rate is increasing at 2.09% per annum (Sisulu, 2006). South Africa's major cities contribute about 36% to the overall national population and it is estimated that 70% of the people will be residing in urban areas by 2030.

Other factors that contribute to backlogs include under-spending on budget for low-income housing by responsible housing departments, due to the lack of capacity particularly in municipalities and expansion of informal settlements (DoH, 2004).

From the points raised above, it is clear that the government and its supporting units are facing a bigger challenge when it comes to housing delivery. Investigations have been made to check what may be the cause of backlog and some findings lead to administrative processes. Local government remains a sphere of government and has to deliver its mandate through their processes. For every function that a government department performs there is a process involved. The processes of an organisation determine its effectiveness and customer satisfaction. An effective business process will result in a positive outcome. All communities have housing needs and transparency in processes is important for people that apply for RDP to be able to scrutinize the procedures used to allocate housing.

2.6 PROCESS

Ligayo (2012) defines a process as a set of activities that transform inputs into outputs which can include actions, methods and operations; in such a way that added value is generated



Figure 2.1: Business process Source (Ligayo, 2012)

For a process to be considered as such, it needs to have resources, which are the elements that allow the process to be performed. ‘A process interacts with various interested parties (customers of the process, people in the organization and society), by influencing the quality of the product, the health and safety of people and environmental aspects. (Department of Trade and Industry, 2006).

Although processes differ, there are similarities between, they all receive input and generate outputs, ‘influence information and perform some kind of service’ (Department of Administrative Reforms and Public Grievances, 2012).

The figure below is an illustration of relationship between processes and service delivery.

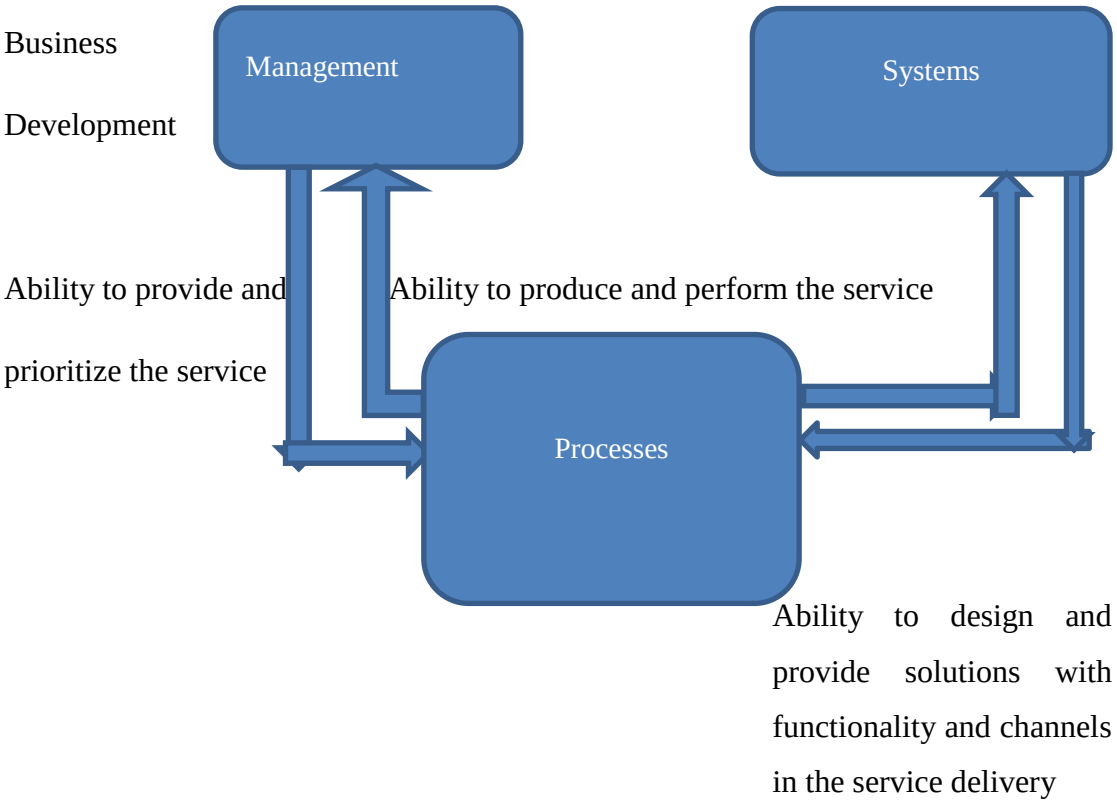


Figure 4.2: Business processes

(Source: Christiansson, 2011)

2.6.1 The need for processes

Akintoye (2011) highlights that organisations have to be concerned with identifying their processes and knowing what activities they consists of, determining interrelationships, controlling and monitoring each of them and measuring results against pre-determined objectives. When processes are known it is easier to link them to overall business performance. Akintoye (2011) further states that a process based management allows customer needs, applicable legislation and all legislation, and other requirements the company may identify, to be clearly and efficiently transferred to the processes.

By linking the goals of an organisation to the services it provides, it eliminates unnecessary services and streamlines process elements.This provides a mechanism for deciding which process improvements will result in maximum value.

2.6.2 Process Elements

The key elements in a process include

- Process definition: This is to examine the process to understand and assess its productivity needs, and the complexity of the design process and the associated challenges.
- Ensuring coordination role lies with appropriate parties.
- Investigating new approaches to improve output
- Team participation and empowerment.
- Accurate, open data communication ensuring decisions are based on up-to-date information.

Participation by all stakeholders to define a process is required. This help to design the process and eliminate problems which might be encountered at later stages of the process. Tatum and Mitropoulos (2000) states that 'collectively, these points are in essence about integrated processes involving key parties very early in the project's life which are structured around effective coordination, teamwork, improved communication, degree of empowerment given to team members and aimed directly at meeting the client's overall requirements'.

2.6.3 Process Failure

In most organisations business process were developed before modern computers existed. Most processes fail as a results of 'poor communication, lack of adequate documentation, deficient or missing input information, unbalanced resource allocation, lack of co-ordination between disciplines and erratic decision making' (Ballard and Koskela, 1998).

The workforce and process inefficiencies can easily lead to poor quality of services, therefore resulting to customer dissatisfaction and employee morale issues. These problems can be tied to poor understanding measurement and control of day-to-day work activities. Business process management report (2010) states that a 'major

aspect of business process management is the better understanding of processes through techniques such as mapping/documenting processes and workflows and looking for waste and ways to streamline and improve processes'.

2.7 PROCESS IMPROVEMENT AND BUSINESS TRANSFORMATION

'Business Process Improvement allows organisations to model its business activities through the development of a process map, and adapt a strategy of examining every area with the view to improving process and environmental performance, quality and teamwork' (Glasson, *et al*., 1994). It can be applied to large and small organisations.

Re-engineering a process is a systematic approach to help organisations optimize its underlying processes to achieve efficient results. This brings about quality, environmental and business value enhancement. The aim of process re -engineering is to make discontinuous, major improvements. 'This invariably means organisational change and the extent of that change depends upon the scope of the process being re-designed' (Johnson, 2012).

Egan (1998) wrote that clients are consequently dissatisfied with the overall performance of the products delivered by the industry. The creation of a fully integrated service to deliver predictable results to client is therefore desirable and the industry is expected to become more successful by continuously improving its performance through the effective use of their processes. Business Processes Improvement is therefore a key driver of change needed.

South African municipalities are in need of a programme that is achievable, sustainable and meets the objectives of freedom, and an improved standard of living and quality of life for all South Africans. Ligayo (2012) states that by 'defining business processes, establishing measurements to track performance in alignment with business goals, implementing improvements and monitoring processes, companies can not only innovate faster to meet changing market demands, they can deliver the best quality products and services in the fastest and most cost effective way to both internal and external customers'.

To improve a process requires re-looking at organization's goals, identifying process to be re-designed, understanding and measure existing process, determining the end

users, and aligning the process to meet the organizational goals. Allan, Somerville & Kennedy (2000) suggests that a move towards re-designing a company's processes will increase its competitiveness within its market, improve its overall efficiency and most importantly reduce its adverse effects on the surrounding environment.

2.7.1 Factors to consider in business improvement process

Allan, Somerville & Kennedy (2000) states that at re-engineering stage, areas are identified as elements that stood out from the rest of the process, highlighting areas of waste, and the need for the process to be revised so that it could achieve its goals in an environmentally benign way.

The factors to consider (Business Process Management, 2010) are:

- Identify and analyze problem areas ,reports on product performance, customer complaints, claims, returns, and so on; accounting reports on warranty charges and on internal costs of poor quality; and service call reports. Special studies such as customer surveys, employee surveys, audits, assessments, benchmarking against competitive quality, and so on.
- Check reactions from customers who have run into product dissatisfactions are often vocal and insistent
- Field intelligence derived from visits to customers, suppliers, and others; actions taken by competitors; and stories published in the media (as reported by sales, customer services, technical service, and others).
- The impact of quality on society, such as new legislation, extension of government regulation, and growth of product liability lawsuits.
- The managerial hierarchy, such as the quality council, managers, supervisors, professional specialists, and project teams.
- The work force through informal ideas presented to supervisors, formal suggestions, and ideas from quality circles, and so on.

2.7.2 Process design

The functions in any organisation are interrelated, therefore process re-design requires an organisation wide approach. To re-design a process and its performance requires an understanding of the concept in the context of construction, its drivers, and the nature of the services to be delivered.

The term design has different meanings to different researchers. Love, (2000) offers various interpretations of design and designers and argues that 'different people, even engineers, do not ascribe the same meaning to the word, design, or function to a designer. Clarke (2007) states that 'these ranges from design as a rational activity to design as an art, or design as a creative activity: It is the art or action of conceiving of and producing a plan or drawing of something before it is made, presenting the purpose or planning that exists behind an action, fact, or object.

In designing a process these key factors need to be considered. They are:

- Co-operative project teams
- Client's competency and commitment
- Continuity of key personnel
- Equitable risk allocation

A good process is not just sound and strong construction but it also necessitates giving full considerations to all its complex dimensions. This raises questions such as:

- What is the required information for design process?
- Who is involved in the process?
- Who is the information generated for?
- How is the information generated?

Input is required to re-design a process comprises of multifaceted information, knowledge and expertise. Those involved in the process include various direct and indirect contributors, and the information generated is for interactive use across all those involved in the design process over its extended life plan. This non-linear multifaceted nature of input requires specialist knowledge, complex tools for information generation and informed process management.

The increased technical complexity of process design has led to increased operational and managerial complexity. Organizational structure and the structure of design teams directly relate to the operation and management of design and its efficiency and effectiveness. Drucker (1977) explained that efficiency is doing things right and effectiveness is doing the right thing, and the two complement each other for organisational performance. However, it needs to be recognized that all these

processes and implications work in an organisational context and are influenced by organisational structure, functions and activities requiring informed process management and leadership skills and expertise.

People involved in design process are nodes in design processes where one person output can be input for another person, making it a complex system that needs to be investigated and understood. ‘Complexity scientists contend that unpredictable behaviors and new laws arise as more complex systems emerge, which is the reason those systems must be studied at the levels of their emergence’ (Davis and Sumara , 2005). The authors further argues that although ‘complex phenomena represent interactions of events, activities, and practices that coalesce in ways that are unpredictable but nonetheless highly patterned’

2.7.3 Process Mapping

The first initial step to understand or improve a process is by Process Mapping. In mapping a process information is gathered to construct a picture/model of activities that take place in a process. Process maps are useful communication tools that help improvement teams understand the process and identify opportunities for improvement.

Christianson (2011) states that process mapping must be carefully planned. Inputs, outputs, controls and resources are an internationally accepted process analysis methodology for process mapping .It allows processes to be broken down into simple, manageable and more easily understandable units. The maps define the inputs, outputs, controls and resources for both the high level process and the sub-processes.

Process mapping provides a common framework where complex interactions can be represented in a logical, highly visible and objective way. Points issues exists are defined and this provides improvements teams with a common decision making framework.

The process of mapping then continues up until no further ideas are forthcoming and increases the chance for originality and innovation. Process maps can be used to

- Identify problem areas
- Identify areas for improvement

- Design solutions to problems
- Develop action plans

2.7.3.1 Development of a Process Map

To establish a precise picture of the processes being executed a wide range of data is gathered from a variety of sources to ensure accuracy of data (Allan, Somerville & Kennedy, 2000). A model of the business unit's process is constructed with the involvement of all stakeholders and role players. This requires the commitment of all parties' involved and a great extent of communication.

Communication is essential for the functioning of the business processes. Effective communication between employees involved on the task is vital in order for re-engineering to be successful. The process allows employee involvement in the continuous improvement of the company and in the long-term encourages employees and increases motivation and commitment to work towards common goals.

2.7.3.2 Driving Factors of Process Change

We can define the following items as major driving factors for Process Change:

- Customer service concerns
- Employee productivity
- Work process cycle time
- Constant advances in technology
- Organisation infrastructure

The opportunity for improvement to either operating or management processes can often be vast, but must be focused. It is imperative that the number of process improvement activities undertaken by an organisation is matched by the organisation's ability to fund the activity and implement the changes without harmful disruption to day-to-day delivery of its products and services.

To enable the various functional disciplines within the project to become involved in the process and to concentrate on the achievement of a common goal, the concept of setting out a model based on the project or product at the start of the project has been proposed by Jaafari and Manivong, (1999). This concept, emphasizes the adoption and application of business process as a means of addressing organisation problems.

The five steps to improve a process are:

1. Process selection

Process selection is to select a small and achievable number of processes, most directly influencing the achievement of the organisation's goals and objectives, upon which to undertake process improvement of the activity business process management (2010).The outcomes of the Process Selection step should be an agreed number of processes to be reviewed.

2. Process understanding

Following process selection is process understanding: this covers the scope of the process. The key sub-processes and accountabilities of the process to the organisation must be understood. These can be achieved by completing the elements of a process. Outcomes of process understanding are a high level process map, sub-process maps, a list of key accountabilities and lists of major inputs, outputs, controls and resources acting upon the processes and sub-processes.

3. Process performance

Process performance involves recording and detailing the historical performance of the process, obtaining perceptual views of both current and historical performance from customers and suppliers, defining the agreed required performance of the future improved process, and agreeing how it will be measured, monitored and reviewed. Outcomes of Process Performance are an understanding of methods for the future improved process.

4. Process review

The improved process needs to be monitored and evaluated.

5. Process change

Concurrent engineering, information and computer technology (ICT) and process models have considerably been used as techniques and tools to integrate the process Business Process Management (2010).The techniques are used to achieve the full integration of the relevant processes and activities through the establishment of

appropriate organisation structures supported by communication tools and technologies (Evbuomwan and Anumba, 1998).

2.7.3.3 People

A complexity approach [in an organization context] would suggest that encouraging and empowering people to make small changes in their own spheres of influence and activity can be a highly effective way of transforming an organisation'(Mcmillan, 2004). Structures underpin activities and processes and 'the system causes its own behaviour' ((Meadows 1982) quoted in Senge 1990: 43). People develop their behaviour, activities, and responses in the context of organisation structure and systems.

Roles that individuals can play or offer in a team environment has been researched, but in the context of existing process integration approaches. There has been for example, the finding that greater client leadership can successfully drive the process of intercompany integration that leads to the insistence on transparency and mutually beneficial processes for all parties (Moore and Dainty, 2001).

For a process to be efficient Egan, (1998) highlights the need for improved performance and emphasized that the most successful enterprises do not fragment their operations. People's attitudes play an important role in improving processes.

2.8 SUMMARY

Housing challenges experienced in South Africa are not so different from other developing countries. South Africa's apartheid legacy with its racially separate settlement patterns and the resulting unequal distribution of resources exacerbates housing situation. Cities in South Africa, like in other parts of the developing world, are growing. Desperation to attain a house and the services and infrastructure that go along with it and issues such as urbanization and migration add to the difficulties faced by government in addressing the housing backlogs.

In South Africa, housing policies play a vital role in steering the housing process in order to form well-integrated neighbourhoods, consisting of quality housing with access to services and infrastructure. Although government housing departments have implemented policies and processes and restructured their units in attempts to align

themselves with the goal of providing sustainable human settlements, it is clear that the housing process is fraught with challenges and constraints. These challenges and constraints undoubtedly affect and influence housing allocation and ultimately housing delivery in South Africa.

The process of allocation and delivery itself is not transparent and irregularities have taken place in delivering adequate housing to South African citizens. The issues highlighted in the literature show that government housing processes have not been performing to a satisfactory level. Housing allocation processes needs to be reviewed to try and improve the current situation. Independent studies show that top performing companies are those which demonstrate consistent, measurable positive business results based on the philosophy of continuous improvement and capacity to deal with consistent change" (Allan, Somerville & Kennedy, 2000) .

According to the Housing Portfolio, (2001), the procedure of selecting beneficiaries and allocating houses to them is almost always an intense and often conflict-ridden scenario. This conflict stems from the severe lack of housing delivery, since the supply of houses at present meets only a fraction of the current demand.

Dealing with issues arising from the allocation process requires all role-players to be involved. An integrated consultative process is necessary with all the relevant stake-holders to successfully allocate and deliver houses to correct beneficiaries. The present state of the housing allocations calls for a review on the process of housing allocations in order to improve the situation and to have a satisfactory delivery of houses.

3 METHODOLOGY

3.1 INTRODUCTION

Mahapa, (2013) cited “Research methodology is a way to systematically solve the research problem. It may be understood as a science of studying how the research is done scientifically. In it we study the various steps that are generally adopted by the researcher in studying his research problem along with logic behind them” (Lingayas, 2012).

This chapter outlines the research methodology adopted for the study. This section give intended purpose of the study. Then the sample size and sampling procedures are discussed. The study provides details of the data collection method that was utilised in collecting the data. This section also discusses the reliability and validity of this study. Then the ethical steps that were taken to ensure that the study had no negative ramifications on the participants in any way are provided.

3.2 AREA OF STUDY

The purpose of the study is to examine the process used by the City of Johannesburg municipality to allocate RDP houses. The municipality is an accredited entity, responsible for implementing housing programmes and projects within its municipal boundaries. The programmes are part of the development plan process. The City housing directorate acts as the primary agent for the delivery of housing to Johannesburg citizens.

The municipality is faced with huge backlogs. The study is intended to look at the current process used to allocate houses. Le Roux (2011) cited Ackhoff 1984 “[t]o understand a system is to be able to explain its properties and behavior, and to reveal why it is what it is and why it behaves the way it does”. The researcher looks at the South African housing history, a review of South African housing policies, followed by a discussion on the allocation process currently used by municipalities, the challenges faced within, and process improvement techniques.

The methodology comprised:

A literature review covering the history of housing in South Africa, housing allocation policies in the City of Johannesburg municipality and process improvement techniques.

- A review of applicable policies and practices relating to the allocation of RDP houses
- Historical context: An overview of the South African housing history and past allocations practices in South Africa.
- A review of the literature on process improvement techniques.
- An examination of each stage of the city of Johannesburg housing allocations process using process mapping techniques.

3.3 DATA COLLECTION METHODS

There are two types of approaches to research, qualitative and quantitative. Creswell (2012) states that qualitative and quantitative approaches should not be viewed as rigid, distinct categories, polar opposites, or dichotomies. Instead they represent different ends on a continuum.

Below is a table explaining the two methods.

Table 3.1: Qualitative vs. Quantitative Research

(Source: Johnston *et al*, 2006)

CRITERIA	*QUALITATIVE RESEARCH*	*QUANTITATIVE RESEARCH*
Purpose	To understand & interpret interactions	To test hypotheses, look at cause& effect, & make predictions
Group studied	Smaller & not randomly selected	Larger & randomly selected
Variables	Study of the whole, not variables	Specific variables studied
Types of Data Collected	Words, images , or objects	Numbers and statistics
Form of Data Collected	Open-ended responses, interviews, participant observations, field notes & reflections	Precise measurements using structured & validated data collection instruments
Type of Data Analysis	Identify patterns, features & themes.	Identify statistical relationships

Objectivity and Subjectivity	Subjectivity is expected	Objectivity is critical
Role of Researcher	Researcher & their biases may be known to the researcher	Researcher & their biases are not known to participants in the study
Results	Particular or specialized findings that is less generalizable	Generalizable findings that can be applied to other populations
Scientific Method	Exploratory or bottom up: the researcher generates a new hypothesis and theory from the data collected	Confirmatory or top-down: the researcher tests the hypothesis and theory with data
View of Human Behavior	Dynamic, situational, social & personal	Regular & predictable
Most Common Research Objectives	Explore, discover, & construct.	Describe; explain & predict
Focus	Wide angle lens, examines the breadth & depth of phenomena	Narrow- angle lens, tests a specific hypotheses
Nature of Observation	Study behavior in a natural environment	Study behavior under controlled conditions, isolate causal effects
Nature of Reality	Multiple realities, subjective	Single reality, objective
Final Report	Narrative report with contextual description & direct quotations from research participants	Statistical report with correlations, comparisons of means, & statistical significance of findings

The researcher chose the qualitative approach, because the study is of descriptive nature. The great contribution of qualitative research is the culturally specific and contextually rich data it produces (Mack *et al*, 2011). The author further states that one advantage of qualitative methods in exploratory research is that use of open-ended questions and probing gives participant the opportunity to respond in their own words rather than forcing them to choose from fixed responses, as quantitative methods do. Another advantage of qualitative methods is that they allow the researcher the flexibility to probe initial participant responses (Mack *et al*, 2011).

In qualitative research only a sample (that is, a subset) of a population is selected for any given study. The study's research objectives and the characteristics of the study population (such as size and diversity) determine which and how many people to

select (Mack *et al*, 2011). Data is observed but not measured. The sourcing of information will answer the research questions in order to achieve the research objectives. The study is intended to create an understanding of the process that is used in allocating RDP houses to beneficiaries at the City of Johannesburg municipality in Gauteng.

The researcher collected data by interviewing participants, semi-structured questionnaires were developed. A questionnaire can be described as method of collecting primary data where lists of pre-structured questions are given to a chosen sample to elicit reliable responses (Collis and Hussey, 2003: 173). These were based on information from literature review and supplemented with further questions in interviews.

3.3.1 Sampling Description

A critical part of this research was to identify participants. To ensure credibility, key participants in the study were officials at the City of Johannesburg municipality. These are the role players that are directly involved in the allocation process and work under the allocations department. Purposively sampling was used: Marshall (1996) declares that in purposive sampling the researcher is looking for a sample with a purpose in mind, for instance they are looking for a specific predefined group and they need to obtain the targeted sample quickly.

The type of purposive sampling used is expert sampling: The researcher needed to glean knowledge from individuals that are involved in allocations. The targeted sample of the study was officials in the allocations department at the City of Johannesburg municipality. The desired sample was 15-25 participants, and the study was successful in reaching this number as the final interviewed sample size was 18 officials, which comprised of managers and administration staff from the municipality.

3.3.2 Questionnaire Guide

The questionnaires comprised of 13 questions in which the participants were required to answer in an open-ended manner. Open - ended questions were used in order to yield as much information. A total of 25 questionnaires were distributed to staff with a response of 18 completed questionnaires returned.

3.3.3 Interview Details

Interviews are the predominant mode of data collection on information in qualitative research. Luyenge, 2011 quotes Seidman (1998:2) that one interviews because one is interested in other peoples stories. He further writes that all interviews are interactional events and interviews are deeply and unavoidable in creating meanings that ostensibly reside within the participants (Holstein and Gubrium, 1995). Kvale, (2001) defines qualitative interview as, attempts to understand the world from the participant's point of view, to unfold the meaning of people's experiences and uncover their lived world prior to the study. It can be deduced that interviews is a form of interaction between two or more people which results in a gain of knowledge based on experiences of the participants.

Semi-structured interviews were used, as "this method is effective for consulting and discussing with key informants, to reveal insights regarding the context, the policy content and the impacts (Pasteur, 2001:8). Meetings were held with senior staff from the municipality a total of 6 managers, followed by meetings with administrative staff a total of 12. The interviewer documented observations about the interview content, the participant and context through the use of strategic notes.

The study involved distribution of questionnaires, then follow up meetings and interviews. The objective was to get an overview of the process and the role of the personnel.

3.4 RELIABILITY AND VALIDITY

Reliability in the context of this study is consistency and dependability of the information gathered, and validity refers to whether the findings of the study are true and certain. A test is valid if it is able to comprehend and understand all the functions being carried out. The information for this research was obtained from key people who are intimately involved in the allocation of RDP houses. Documentation on the Housing Allocations Policy and Housing Act was gathered internally from the municipality, and from the National Department of Human Settlement's and City of Johannesburg website, thereby adding to the reliability of the study. By comparing information from different sources enabled the researcher to harness the most useful information that answered the research questions.

3.5 ASSUMPTIONS AND LIMITATIONS

The study only focuses on the allocation process at the City of Johannesburg municipality in Gauteng. There are other municipalities in Gauteng, the others being the City of Tshwane, Ekurhuleni Metropolitan, Sedibeng district and West rand district. The findings may not be necessarily applicable in other areas, since the population, background; economic status of the people differs from one area to another.

Maree (2007:42, cited by Cewuka, 2013)) defines limitations as "the challenges that could affect the research which include time limitations and access to participants". To obtain information from the officials in a timely manner involved numerous appointments. Given the busy schedules of many of these officials, meetings were dependent on their availability, it was not always possible to reach key interview candidates. The information obtained is mostly from the city of Johannesburg municipal perspective. This was important in order to provide a detailed account of the process.

Given the nature of housing allocations corruption remains a challenge within municipalities, the study will not look at corruption these could be subject for further research.

3.6 ETHICAL CONSIDERATIONS

The study adhered to the framework and policies of the University of Witwatersrand's School of Construction Economies and Management and Research Committee. Careful consideration was taken when including statements from interviews into this study.

The following ethical issues have been complied with in order to protect individuals and groups who were participating as informants in the study:

- Participants were not exposed to undue physical or psychological harm
- They were informed that the study will be used for academic purpose
- They were given a choice of either participating or not participating.
- No disruption to the participants work was made.

- Their right to privacy has been respected. The research report will not contain information that may link directly the content to the participants.
- The report has been written in a fair and honest manner so as not to mislead the readers; and
- Misrepresentation of facts has been avoided.

Some participants were not free when answering questions, due to the fear of exposing inaccuracies within the process.

Participants were re-assured and explanation on why the study was conducted and the benefits thereof were provided to the parties.

3.7 DATA ANALYSIS

Ader (2008,1) defines "the analysis of data as a process of inspecting, cleaning, transforming and modeling data with the goal of discovering useful information, suggesting conclusions and supporting decision making". Information gathered from the questionnaires responses and interview notes were used to get an overview of the allocation process. This was done to obtain a clear understanding of the allocation process used by the municipality.

3.8 SUMMARY

Chapter 3 gives a detail of the research methodology and explains the rationale behind the design as appropriate to answer the research questions. The chapter discussed the procedure used in the study. The researcher sought permission to conduct the study from the municipality. The response that was received and analyzed authenticated the study. Sampling methods also enhanced the legitimacy of the study. Data analysis is discussed in Chapter 4.

4 FINDINGS OF THE STUDY

4.1 INTRODUCTION

South Africa is experiencing high level of protests from communities on service delivery, and this is due to allegations on corruptions, fraud, and maladministration on the delivery of houses. According to Tissington *et al* (2013) it is important to analyse current policies and systems in place around housing demand and allocation of houses. The matter of transparency in processes is critical and there is a need for political direction and policy to guide the practice and implementation.

Nearly two million houses have been built in South Africa since 1994 (Cewuka, 2013). Housing continues to be one of the most important concerns for communities. Housing demand is increasing and supply is just not keeping up with delivery. It is well known that there are a lot of people waiting for houses, 'according to the last Census, around 2, 3 million South African households need housing' (Daily Maverick, 2013)

In 2008, the City of Johannesburg municipality adopted a policy to eradicate informal settlements within its boundaries; however that policy was amended and a new deadline was set for 2014. To date, about 66 million settlements have received in situ upgrades while others have been formalized. (City of Johannesburg, 2011). The Former Mayor Amos Masondo did concede that Johannesburg still faced an ever increasing backlog in the delivery of houses and other services. The household growth of almost 30% since 1996 place a severe strain on housing delivery since approximately 231,000 households still live in less than adequate accommodation (City of Johannesburg, 2012).

The City of Johannesburg municipality has different directorates in its division. The housing directorate is responsible for housing allocations and for supporting the department's community projects. The directorate has different units that work together in overseeing the housing process .The municipality uses a manual system for selection and allocations of houses. The manual system is used as a database to store information, this is where potential beneficiaries are placed on a database as individuals registered for housing allocation. This system has not been effective as complaints have risen on the allocation and occupation of RDP houses.

Interviews were conducted with key personnel from the housing directorate. The objective was to outline the process of allocating RDP houses. This chapter explains information gathered on the process.

4.2 THE PROCESS

The municipality acts as a developer in RDP projects. Before any development could take place a land is identified by the land acquisition unit from the municipality. A comprehensive feasibility study is done on land to check for suitability of the land. There are different units involved in the feasibility investigations. These units are: project support, project implementation, finance and property management. These units play a major role in the feasibility. The outcome on the feasibility determines whether a land is suitable or not suitable to be developed.

A council report is then generated by the mayoral committee, and all pre- approvals (human settlements elements) are done and included in the report. Human settlements elements are the shelter, infrastructure, and services required to sustain the development. The report is sent to MEC for approval, and to treasury for funding. Once there is an approved budget the construction of RDP houses will commence.

Before the design and approval of construction, beneficiaries have to be identified. This exercise is done by municipal officials involved in allocations. Applicants are normally selected from the immediate surrounding area and informal settlements. The municipality determines a number of beneficiaries required per target area for the development.

There is a set of allocation criteria that needs to be met by applicants. The applicant has to be a South African citizen, legally able to contract, must have never received a government-subsidised house and the applicant income is verified. This criterion is used to check if the applicants do qualify for a government-subsidised house. The identified beneficiaries are placed on the demand database. The applicants have to fill application. The municipality receives all the required documentation, checks that this is sufficient and adequate and submits application forms for beneficiary administration. The processing of forms need to be finalised before approval of the choosing construction project.

4.2.1 Rules that govern the process

The provincial department of human settlements oversees the entire process of allocations by municipalities. There are national policies in place to regulate means of identifying beneficiaries and allocating houses. The allocation system rests on a huge database called the National Housing Needs Register, which captures details of citizens waiting for housing. According to Tissington et al (2013), database and allocation policy was formulated in 2007 in response to the challenges and failures in the waiting list system: the policy was adopted in 2009. A policy review was then conducted in 2011 to address certain challenges not tackled in the original policy and also to bring the policy in line with the accreditation of municipalities.

In June 2011 the revised policy was published, the 2011 Gauteng Housing demand database and Allocation Policy provides guidelines on actual allocation. The policy provides a framework for committees involved in allocation and defines functions of national, provincial and local government.

4.2.2 Stakeholders in the allocation process

The municipality has an allocation committee; these are people who are actively involved in the selection of beneficiaries and allocations. Their responsibility is to administer all selection and allocation process. The Allocation committee comprises of the municipality staff, the Provincial and National Department of housing, the Project Manager, Community Liaison Officers and Councilors and External Auditors where applicable.

4.2.3 Process Classification framework and administrative procedures.

Municipalities are responsible for development of all community projects within their jurisdiction. This includes the identification of beneficiaries, administration of beneficiary information, the screening of beneficiaries against the qualification criteria, assistance with the completion of application forms, the submissions of the application forms for approvals, the administration of approved application forms and non-approved applications, the contractual arrangement regarding the property and the transfer of ownership, and the signing of the happy letter after completion of the house.

The process begins with capturing household information that was collected from citizens who indicated their need for adequate shelter. The information captured relates to household's personal information, geographical location, and other related information for integrated planning. The data is collected manually through questionnaires by municipal staff. This information is then placed on the municipal demand database.

The qualifying criteria for selection is used, this is to check if applicant meets the criteria .The information is verified if applicant does not own any property, not registered in other areas for RDP houses and for duplication of application. Applicants who have met all requirements will then be prospective beneficiaries. It is the municipal responsibility to ensure that identified beneficiaries complete and sign application form for the RDP house. On receipt of any application form, verification of applicant's ID numbers and names is done. If application form is procedurally correct, it is sent to MEC office, accompanied by supporting documents for processing.

The MEC working with the municipal council checks the applications. The application forms are then processed .The MEC advices of its decision in writing within 14days of receipt of application form. Once the names of application is received and approved. Potential applicants are pre-screened by provincial and the names are recorded on the national housing database.

4.2.4 Compliance measures in the process

The allocations committee has an administrative office. The project manager allocated to a development communicates with the administrative office. His responsibility is to inform the administration office of the progress on construction. In line with the construction program he informs the office of the dates, which the houses will be ready for allocation. The administrative office sends a request to the manager of database to draw a list of prospective beneficiaries. The list of names is screened (2^{nd} screening) as per the qualification criteria. The results will be sent to the administrative office.

On receipt of the approved prospective beneficiary list, the administrative office informs the project manager. The administrative office requests project manager to gather application forms for submission to the Allocation committee for verification.

4.2.5 System processes

The National Housing Needs Register (NHNR) is a web based application that contains records related to the needs of households for adequate shelter based on captured housing needs register. The database is centralised in Pretoria and is done at a provincial and national level. The main objective of the needs register is to capture the information electronically. There is a tight user access and security. On registration users must request permission to be approved by the System Administrator on a province level. The beneficiaries are identified via the register.

Only authorised officials from provincial and national government have access to effect changes on the national register. Officials from the municipalities have accessibility where it has been decided by the MEC. The general public have to register on the national housing needs register and create password to access data and check their particulars in the demand database. The National demand database is the only source of registered housing needs to effect searches and to validate applications.

Illustrated graphically below is the registration process:

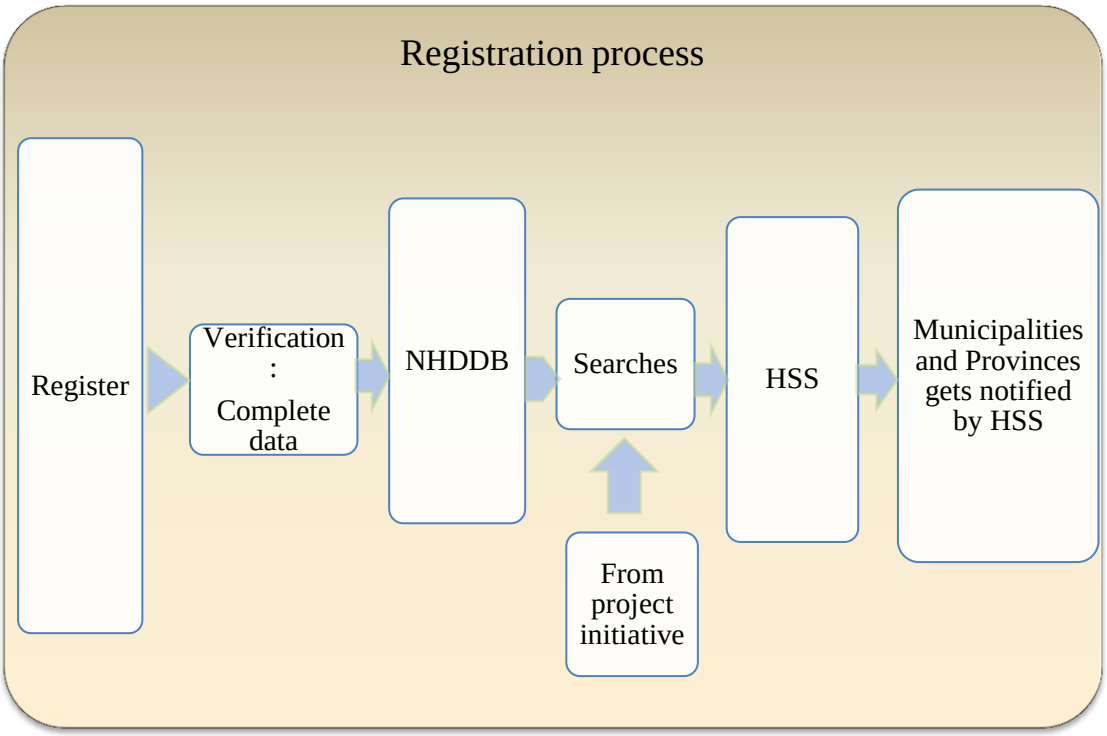


Figure 4.1: Registration Process (Source: Social Economic Rights Institute SERI), 2013

Once a beneficiary has been selected, the beneficiary will be informed. The municipality facilitates capacity building programmes and educates the beneficiary on the asset they are to receive from government. The training is on the maintenance of property, legislation and registration of title deeds. The stands are only transferred after the approval of the subsidy application. Beneficiaries receive a subsidy valuation certificate.

Illustrated below is graphical presentation of the Department of Human Settlements Beneficiary identification process

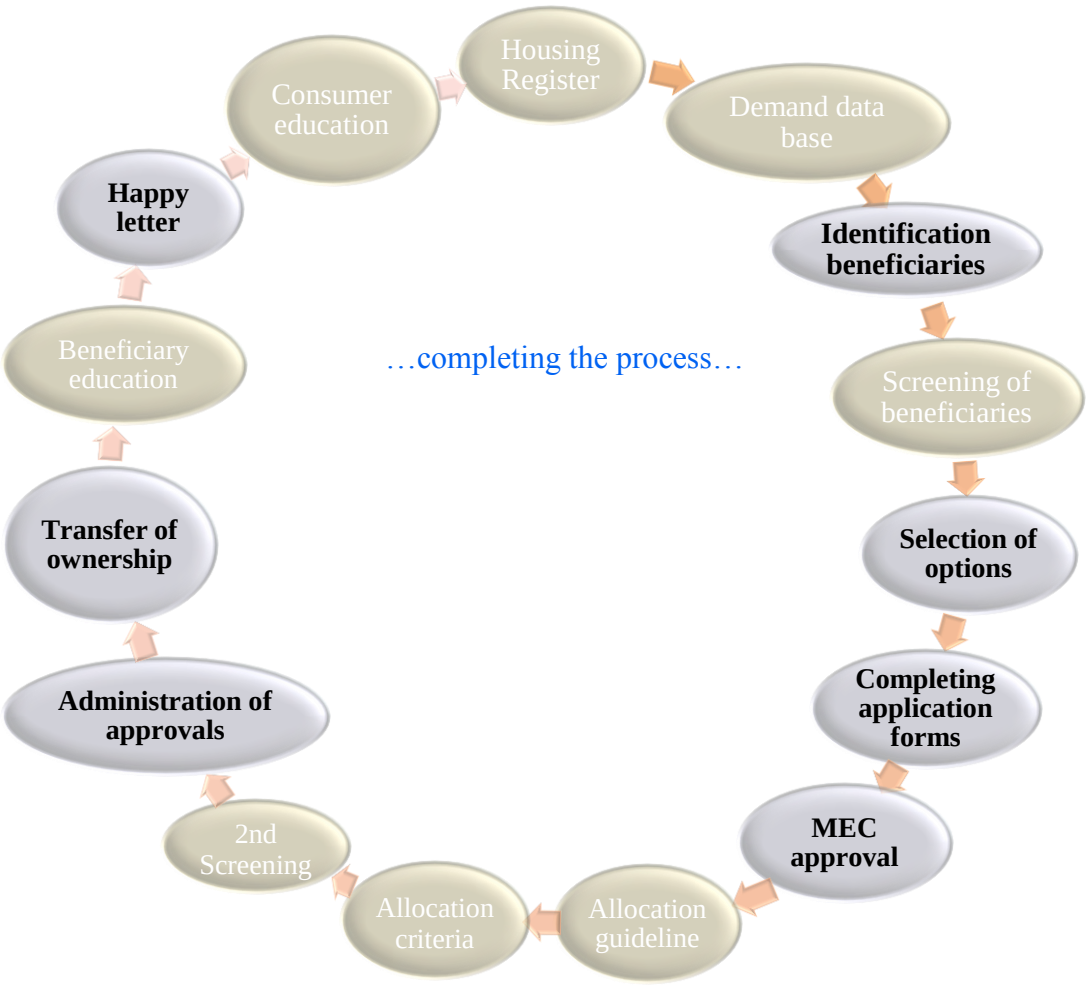


Figure 4.2: Beneficiary Identification Process (Source: Department of Human Settlements, 2013)

4.2.6 Challenges in the process

In the interviews the municipality officials confirmed that there are challenges with the process. It is clear that there is tension in relation to the systems in place. There is a problem with the way this information is processed. Municipality does not have the necessary resource and capacity to implement their processes. The reliable system that is used is the National Housing Needs Register. The municipality works on a manual system in collecting data, information is then sent to Pretoria, and is captured by provincial and national consultants.

The municipal staff has access to system but cannot effect changes on information sent to the system. This creates a problem in tracking information and beneficiaries. Other beneficiaries go missing or have unfortunate circumstances such as death,

relocation to other provinces and that information cannot be tracked on the system. There is a lack of support on the system.

The national database does not correlate with manual database that municipalities have per region. The system cannot override declined beneficiaries, missing beneficiaries and previous beneficiary of RDP houses in other areas. The municipality has to do the checks manually on receipt of information from the national housing needs register. This is done to correct the information of beneficiaries who have registered before and approved but have never been allocated houses. It is clear that there is misalignment of information and time is of essence in this exercise. Figure 4.3 is an illustration of the City of Johannesburg allocation process

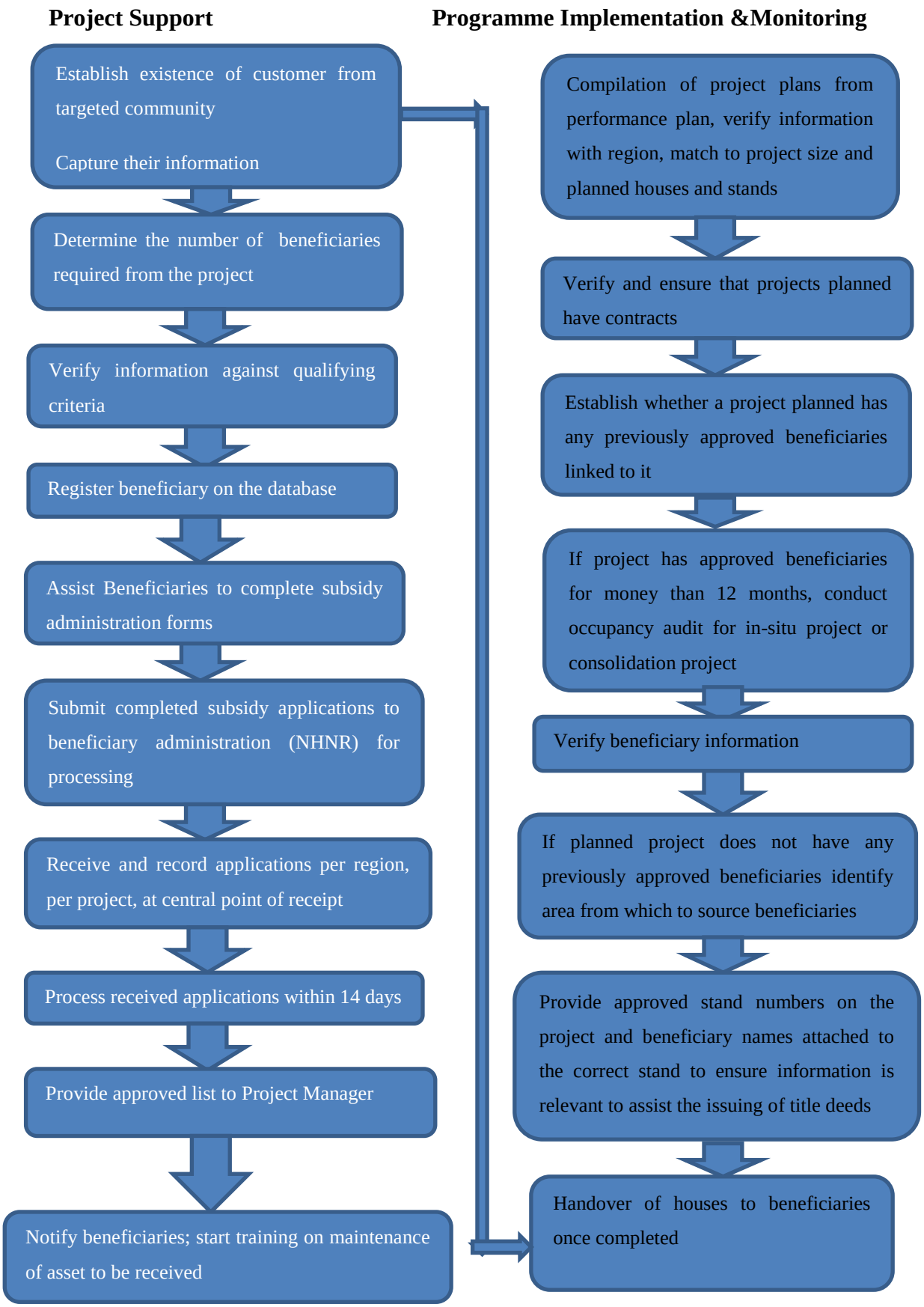


Figure 4.3: City of Johannesburg Allocation Process

4.3 SUMMARY

Moving from provincial to municipal, municipalities had to learn to work with the system designed for provincial level. From the interviews it was clear that the housing database is controlled at the provincial level instead of local. The processes set up for allocation is not aligned with the municipal information and needs. These processes were designed for provincial department of human settlement and these results in poor allocation in the process

There is lack of information sharing, transparency and communication on the process. Communities do not understand how beneficiaries are selected. The process used in allocating houses has enormous potential implications for client wellbeing, backlog, efficient management, the form and structure of urban areas and associated quality of life. Allocations processes have to meet municipality's objectives and deal with high expectations about fairness, efficiency and transparency.

The allocation process has shown that there is a need for an improved process to serve the communities. To establish this, there is a need for a review of the process and investment in respect of an information gathering process. Process improvement is thus one of the most difficult and challenging tasks in social housing.

It is outlined in this chapter how the municipality allocates the houses to beneficiaries, and how the communities' access the services provided. Feedback from the participants in the study was important as the information on chapter four is based on it. The process was critically analysed and gaps in the process were identified, the discussion of findings is presented in Chapter five.

5 CONCLUSIONS AND RECOMENDATIONS

5.1 INTRODUCTION

This chapter discusses information from the literature and the findings from data analysis and in addition makes recommendations. Starting with the background, the gaps identified within the allocation process at the municipality and tools recommended to improve the current process. This was done to analyse the findings in chapter four, with reference to housing need, policies, system in place, examining challenges associated with housing allocation and delivery so as to draw attention to the process and the need for improvement.

The synthesis of the research questions and objectives at the beginning of the study were

1. To evaluate process being used in allocating houses
2. To examine the challenges experienced in the process and their contribution to delays in housing delivery.
3. To highlight methods that can improve allocation process

5.2 OVERVIEW OF THE FINDINGS

There are numerous national, provincial and local government policies, systems, databases and processes in place to determine the allocation of houses to qualifying beneficiaries. Tissington et al (2013) confirms that this terrain is dominated by misinformation and confusion, which has contributed to protest on housing allocations.

Observations from the analysis reveal that process inefficiencies and poor administration of the process. Officials mentioned that there is a need to be supported in upgrading processes in order to have an effective system in housing allocation and delivery activities. It was evident that the current process is not aligned with the objective of the municipality therefore creating a hostile environment for service delivery. There is also a general lack of communication and information sharing around policies and processes and lack of transparency from municipalities to communities".

From the findings of this research, the following problems were identified

Separate systems are used to capture data

The municipality manually captures beneficiary information; this information is then sent to Pretoria where it is captured electronically by different consultants from the provincial. This information is then stored on the national housing needs register. The municipal staff doesn't have authority to effect changes on the captured and information and therefore there is no control on alignment of information.

Lack of a coordinated structure

Different parties are involved in the allocation process. National, provincial and municipal official get involved in the collection, storage of data and selection of beneficiaries. There is no clear guideline on the application process therefore resulting in duplication of activities. A single source of information is required, there needs to be a system that can incorporate the involvement of all parties and allow for access in the same way. This would assist in eliminating discrepancies.

- **Lack of consistency in the system**

  The municipal database is not aligned with the provincial database. This creates a challenge in tracking of applicant's and potential beneficiaries. No accessible historic data of applicants.

- **Lack of information sharing**

  Observation from the findings highlighted that communities are left in the dark during the process. There is also poor communication between municipality and provincial. Officials mentioned that they sometimes have to wait for longer periods to get feedback on information captured on national housing need register. There is a lack of clarity on roles and responsibilities.

- **Lack of transparency**

  There is no system in place that describes the entire allocation and selection of beneficiaries. This leads to disruptions on service delivery as communities are misinformed about the entire process.

- **Lack of monitoring and measurement of performance**

  There is no system in place to benchmark and measure the performance of the allocation process in service delivery. This creates a challenge in evaluating whether the process is achieving its objectives.

Looking at the problems highlighted, a process improvement tool will be significant to eliminate a lot of uncertainty. Business process improvement could be used by the municipality to improve their allocation process.”Business Process Improvement is a revolutionary new approach to analysing traditional business processes; it fuses information technology and human resource management. (Madar, 2011)

In process improvement the old process is reviewed, mapped and redesigned to make it adaptable to the changes. This takes involvement from all stakeholders that will be affected by process change.

5.3 RECOMMENDATIONS

The municipality has to start with the following steps to process improvement:

- **Map the Process**

  The municipality needs to undertake a comprehensive review of their process taking into consideration the issues raised in the study around the process. This is to ensure that all tasks, operations and systems associated with the process are designed. An established team will have to be assigned to initiate this.

- **Analyze the Process**

  The municipality has to establish the organization’s objectives in line with the process. They have to define and agree on strategic intent and scope the process. This is to ensure that is no diversion from the organisation’s objectives. Information technology specialists have to be involved to help eliminate manual capturing of information with the use of information technology. A system that can be used and make the process simple and quicker to store applicant’s information can be developed.

- **Redesign the process**

  In order to successfully allocate and deliver houses, an integrated consultative process is necessary with all the relevant stake-holders. The goal of re-designing is to rationalise activities and information requirements so that they can function together properly. A detailed review of the existing process, incorporating policies to address the problems is necessary. A need to address communication is a big factor at this stage; a line communication can be developed at this stage. The municipality has to fully understand their process in order to determine what will be required in the re-designing of the process.

- **Acquire resources**

  These talks to concession design aspects where the allocation of responsibilities needs to be specified in terms of services to be provided. There needs to be clarity on the roles and responsibilities of municipalities and provincial departments. The issue of capacity and training should be addressed at this level. Resources should be allocated in a transparent and accountable manner, to avoid duplication of services and be consistent with good public policy practice. The next step will be to formulate an implementation plan.

- **Implement**

  The municipality will have to report on steps to be taken to address the challenges and implement. A clear guideline on the implementation of the process can be adopted.

- **Review the process**

  Process monitoring, it is recommended that the municipality implements an integrated monitoring and evaluation system that will improve management through timeous information and systemic controls. Efficiency measures will take into account the impact of resource allocation periods. This can be used as service level indicators, to ensure timeous and accurate turnaround times for allocations.

The following benefits will be recognised if the department considers process improvement strategy

- Consistent service delivery in allocations.
- Controlled information and effective management system
- A better system in capturing applicant's information
- Uniform display of applicant's information
- Improved control of the process
- Clear lines of communication
- Greater transparency in the process
- Improved service delivery

Allocation and delivery of house is a complex process that depends on having capacity is and resources, especially at municipal level. Resources have to be allocated in such a way that it maximizes efficiency. Integration and co-operation must shape the groundwork in all efforts to increase sustainable human settlements. The integration of processes; institutional and urban management arrangements; role players and stakeholders must be attained at a diverse level.

Given the continuing increase in backlogs, lack of transparency and corruption in the housing sector, an efficient process is a point of entry to change the current situation and improve service delivery. From the findings in this research, using business process improvement can be an excellent strategy to follow for local municipality. However, some issues have to be addressed and changed at the national level, for this to become a viable improvement strategy. A further research can be done to investigate other factors that contribute to housing backlog and the interventions required.

Through this study it is recognised that there is a need for process improvement in order to have a more effective housing allocations system. The beauty of business process improvement is that it points out to the necessity of a more radical transformation in the process. Earlier in Chapter Five, the study discussed findings from data analysis. Problems identified in the process were discussed. Recommendations were made in line with business process improvement methods on

how the municipality can improve their process, and also the primary benefits of process improvement were mentioned.

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Appendices

5.4 Appendix A Questionnaires

Consent Form for the Interview

School of Construction Economics and Management

University of the Witwatersrand

Private Bag 3

WITS

2050

I……. Consent to be interviewed by…….. for her study on allocation process on the delivery of Reconstruction and Development Programme houses by the City of Johannesburg municipality

I understand:

- Participating in this interview is voluntary
- That I may refuse to answer questions I would prefer not to
- I may withdraw from the study anytime
- No information that may identify me will be included in the research report, and my responses will remain confidential

Signed ……...

Date…….

Questionnaires

Questions to ask

1. What type of process is used for the allocation of RDP Houses by the City of Johannesburg municipality?

□□**……**
……

2. What are the goals and objectives for the process?

□□**……**
……

3. What is the process classification framework in the municipality?

□□**……**
……

4. What administrative procedures are necessary in the process?

□□**……**
……

5. What are the rules that govern the process?

□□**……**
……

6. What compliance measures are used in the process?

□□**……**
……

7. Who are the stakeholders involved in the process?

□□**……**
……

8. How does management assess the process and how it is performing?

□□**……**
……

9. What are the challenges faced within the process?

□□**……**
……

10. Is the process meeting its objectives?

□□**……**

11. What steps should be taken to improve the process?

□□**……**

12. Does this solution address the needs of all interested parties?

□□**……**

13. Does this solution offer significant time and cost savings?

□□**……**

14. Is this solution easy to implement and maintain?

□□**……**