

**From informal settlements to multi-storey buildings:
Exploring the implementation of the Upgrading of
Informal Settlements Programme (UISP). A case
study of Princess Informal Settlement.**

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A research report submitted to the Faculty of Engineering and Built Environment, University of the Witwatersrand, Johannesburg in partial fulfilment of the requirements for the Degree of Master of Science in Development Planning. December 2022.

DECLARATION

I declare that this research report is my own unaided work. It is being submitted to the Degree of Master of Science in Development Planning to the University of the Witwatersrand, Johannesburg. It has not been submitted before for any other degree or examination to any other University.

Signature

A small, square, light gray box containing a handwritten signature in black ink. The signature is stylized and appears to be a combination of letters and a flourish.

Signed on the 13th day of December 2022

ACKNOWLEDGEMENTS

My appreciation goes to the following people:

- My supervisor, Neil Klug, thank you for your guidance and constructive criticism.
- To my Pastor, Ps. N.M Mashaba, thank you for your prayers.
- To my family, thank you all for your encouragement. *Mahlalela, Maziya, Mncanco, wena longay'bhashi imbasha udla umdoko kuphela, phumalanga sikotse singena ngubo, wena lowacedza LuBombo ngekuhlehetela, Mlangeni.*

DEDICATION

To my mother Sibongile W. Nyoni and my daughter Siyathemba M. Mahlalela

Romans 8:28

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LIST OF ACRONYMS

BNG - Breaking New Ground
BSUP - Basic Service for the Urban Poor (India)
CBD – Central Business District
CBO – Community Based Organisation
CoJ - City of Johannesburg
IDP - Integrated Development Plan
IGR – Intergovernmental Relations
JOSHCO – Johannesburg Social Housing Company
JRA – Johannesburg Roads Agency
KENSUP - Kenya Slum Upgrading Programme
LUS – Land Use Scheme
MEC – Member of the Executive Council
MOE – Municipal Owned Entity
NGO – Non-Government Organisation
NUSP - National Upgrading Support Programme
PAC - Growth Acceleration Programme (Brazil)
PHP – People’s Housing Process
PIE – Prevention of Illegal Eviction
RAP - Railway Relocation Action Plan (Kenya)
RDP - Reconstruction and Development Programme
SAHRC - South African Human Rights Commission
SER – Socio-Economic Rights
SRA - Slum Redevelopment Authority (India)
SRS - Slum Rehabilitation Scheme (India)
StatsSA – Statistics South Africa
TRU - Temporary Relocation Units
UISP - Upgrading of Informal Settlements Programme
UN – United Nations
USDG – Urban Settlement Development Grant

ABSTRACT

Urbanization is a contributing factor to the formation of informal settlements, and has exacerbated the housing shortage and put pressure on the state to provide housing. To address this challenge, policies such as the UISP have been introduced. The UISP promotes in situ upgrading of informal settlements to the extent possible. However, due to limited space, in some informal settlements multi-storey buildings had to be built in phase four of the UISP. In this report, I discuss how the UISP has been implemented at the Princess informal settlement, particularly regarding the relocation of beneficiaries into multi-storey buildings. City of Johannesburg Department of Housing officials and Princess Informal Settlement participants took part in semi-structured interviews. As a result of institutional incapacity and community dynamics, the UISP is not implemented consistently at the Princess informal settlement. The report recommends strategies that may facilitate the implementation of phase four of the UISP.

1. INTRODUCTION

1.1. BACKGROUND

The city of Johannesburg is a gateway to economic opportunities. That has caused the city to experience rapid population growth and urbanisation resulting in challenges like housing backlog. According to (Hofer *et al.*, 2020), the housing backlog in the city of Johannesburg has undoubtedly resulted in informal settlements and homelessness. The current population in the city of Johannesburg is approximately 6 million people (CoJ, 2020). The City has 211 documented informal settlements and a housing backlog of approximately 448 200 units, this includes informal settlements and homelessness (CoJ, 2020). These Informal settlements are associated with socio-economic challenges, therefore, have remained a priority for upgrading programmes.

Upgrading programmes include in situ upgrading of informal settlements, which in the interpretation of most officials can be implemented in various ways. This includes the upgrading of existing structures where they are, the demolition of existing structures, rebuilding formal structures where the informal settlement was and relocating the residents into either multi-storey buildings or Breaking New Ground (BNG) houses on another site. The Breaking New Ground (BNG) policy is a comprehensive plan for the development of sustainable human settlements (DHS, 2004). This research focused on the relocation of residents from informal structures into multi-storey units within the Princess Informal Settlement. Therefore, attention was focused to phase four of the Upgrading of Informal Settlements Programme (UISP) which involves the construction of top structures.

The study explored the implementation of the UISP in Princess informal settlement, in the city of Johannesburg, Gauteng Province. This was achieved by carefully exploring how the implementation of phase four of the UISP may be undertaken thereby unpacking how the UISP has been interpreted, the governance practices used in the process and the challenges faced in the process of implementation. The research used a case study methodology. The study area consisted of apartment units, temporary relocation units (TRU) and informal shack houses.

The city of Johannesburg is still addressing issues of inequality as a result of apartheid spatial planning. People migrate into the city in search of economic opportunities; as a result they add to the housing demand.

The Housing Code lists characteristics that can be used to identify informal settlements, they include, illegality and informality, inappropriate locations, restricted public and private sector investment, poverty and vulnerability and social stress (Ziblim *et al.*, 2013.). According to Huchzermeyer *et al.*, (2013:157) informal settlements can be defined as “unplanned settlement on land which has not been surveyed or proclaimed as residential, consisting mainly of informal dwellings (shacks)”. This research adopts Huchzermeyer and others’ definition of informal settlements which emphasises the non-approval of the housing developments which means they are without formal tenure and without planning approval.

The need to provide adequate housing in South Africa has consistently been advocated. The freedom charter of 1955 notes that there should be housing for all. After the democratic dispensation in South Africa, a Constitution was introduced in 1996, and Section 26 of the Constitution emphasise that "everyone has a right to adequate housing" (Constitution, 1996:11). This was the basis on which the democratic government implemented housing policies.

1.2. PROBLEM STATEMENT

Spatial planning in South Africa was previously focused on privileged groups and this exacerbated inequalities. To address inequalities, policies concerning the upgrading of informal settlements have been diversified over the years since the introduction and abandonment of the Reconstruction and Development Programme (RDP). The Policy diversification was a result of criticism and implementation challenges faced by the policy. The RDP policy was criticised for its development of houses on the city’s periphery and this resulted in issues such as loss of livelihoods. The local governments faced implementation challenges as it lacked capacity, therefore, required assistance. The houses provided were far from economic and social opportunities, and implementation required vast amounts of funding to provide bulk services. Therefore, there was a need for a shift in policy to implement in situ upgrading of informal settlements. Through in situ upgrading, residents maintain their access to socio-economic opportunities because the development occurs as much as possible in the area where they already reside.

The UISP provides for in situ upgrading of informal settlements. The key objectives of the programme are outlined in the Housing Code of 2004 and 2009. The programme aims at achieving the Housing Code objectives such as tenure security, health and safety, and empowerment which seek to address socio-economic development and social capital

challenges (Reed *et al.*, 2010.). However, there has been inconsistency and poor implementation of the UISP across municipalities such as misinterpretation of the policy and the lack of clarity of roles and responsibilities by stakeholders (SAHRC 2020/21), therefore, affecting the implementation of phase four of the UISP and the relocation of informal settlement dwellers into multi-storey buildings.

As a result of this problem statement, the research investigated the research investigated the implementation of the UISP in the city of Johannesburg through a case study focusing on Princess informal settlement. The case study enabled a thorough exploration of the implementation of the UISP at a neighbourhood level. The study evaluated what implementation of the UISP entails. This is forecasted to assist in bridging the gap between policy and implementation which has resulted in the inconsistency and poor implementation of the UISP. Furthermore, the study examined the relocation of informal settlement dwellers from informal structures into multi-storey units. Satterthwaite (2012) notes that upgrading into multi-storey buildings in informal settlements with higher densities has challenges.

1.3. OBJECTIVES OF THE RESEARCH

The research aimed at examining the relocation of people from informal structures into multi-storey formal units as a particular interpretation and implementation method of the UISP. The following research objectives were addressed.

- (a) To identify the process followed in the implementation of the UISP.
- (b) To explore how the UISP was implemented at the Princess informal settlement.
- (c) To analyse the causes of limitations and explore how they can be mitigated in the future.

1.4. RESEARCH QUESTION

How is the UISP implemented in Princess Informal Settlement concerning the relocation of residents into multi-storey buildings?

The main research question and its sub-questions will be used to accomplish the above objectives.

The Sub-questions are:

- What are the roles of different stakeholders in the implementation of the UISP?
- How do dwellers interact with the multi-storey units?
- What were the governance practises used in the implementation of the UISP at the Princess Informal Settlement?
- What are the lessons learnt from how the UISP was implemented in the Princess Informal Settlement?

1.5. EXPECTED FINDINGS

The research aimed at examining the implementation of the UISP at Princess informal settlement which specifically focused on phase four concerning the relocation of beneficiaries into multi-storey buildings. I expected to encounter implementation concerning the UISP, such as contestation of the allocation of the housing units. Moreover, the researcher expected to realise the roles of various stakeholders who are responsible for the implementation of the programme.

1.6. RESEARCH METHOD

The research applied a qualitative method using a case study. Creswell (2009) emphasises that qualitative research methods are used to collect data where participants experience the issues being explored. The qualitative research method best suits studies that include interviews within a neighbourhood. Multiple sources of data were utilised to collect information. These include observations, documents and semi-structured interviews.

The Princess Informal Settlement in Roodepoort was used as a case study. According to Yin (2014), a case study represents an exploratory strategy that can be used to investigate contemporary procedures in detail. Yin (2014: 15) states that a case study “tries to decide on why [decisions] were taken, how they were implemented, and with what result.” Furthermore, a case study is used to contribute to our knowledge of individuals, groups and organisation facts (ibid.).

The research participants included community members and key informants from the city of Johannesburg. Community members included residents who benefited from multi-storey

buildings and those involved in participation processes, either invited or invented participation, while key informants were municipal officials tasked with the informal settlement interventions.

1.6.1. DATA COLLECTION

According to Creswell (2009), the core objective for utilising the qualitative method is to learn about issues from participants and address them. Two non-probability sampling techniques; purposive and snowball sampling were used to select participants. Teddlie and Yu (2007:80) state that purposive sampling can also be referred to as “purposeful sampling or qualitative sampling.” According to Brownie (2005), snowball sampling recruits participants through referrals within a circle of people who encounter each other. Participants were selected through a snowball approach to address specific purposes based on their knowledge of the research study.

Primary and secondary sources of data were used. Primary sources consisted of interviews and maps while secondary sources included academic journal articles, books and Stats SA data. The primary data was collected by engaging and observing the study area. 8 interviews were conducted, 4 with municipal official and 4 with beneficiaries. The respondents were employed females and male heads of households in their middle ages. Scheduled interviews with participants from the city of Johannesburg were online through the Microsoft Teams platform. The interviews were recorded and an observational protocol for recording was used when collecting data. Participants were informed of the data collection methods, and their consent was requested to proceed with the recording. The data collected through audio-recording was transcribed to be later analysed.

1.6.2. DATA ANALYSIS

Data analysis included organising and preparing the data collected. A coding process was employed to analyse the data. According to Linneberg and Korsgaard (2019), the coding process ensures that participants have explained the questions asked by the researcher. According to Creswell (2009) coding involves organising information into themes to determine the meaning of the information. The coding process was also used to organise data and themes to be analysed. Coding themes such as upgrading, change in spaces, participation, empowerment, transparency and livelihoods were analysed in the study. These themes were

analysed to gain a sense of the information collected and its meaning. Lastly, conclusions were derived through the interpretation of the data.

1.6.3. ETHICAL CONSIDERATION

Data were collected at the city of Johannesburg which is the researchers' employer. Therefore, there was a need for conduct that did not exhibit any signs of bias. The researcher needed to report the findings fairly, and participants were given consent forms and information sheets that addressed issues of confidentiality and anonymity. Participants were informed that the process was voluntary as the research was for academic purposes therefore they can stop the interview process when they feel uncomfortable and resume when they feel comfortable. Considering the sensitivity of the study it was critical to inform participants of the confidentiality and anonymity in the research report. Information considered confidential was not shared with any third party and the anonymity of participants was maintained. This assisted in addressing the fear participants experienced during the interviews.

1.6.4. LIMITATIONS

The research limitations included the difficulty of obtaining face to face interactions with some participants as this research took place during the Covid-19 pandemic. Internet connectivity also presented a challenge. Technology represented a limitation for some participants from the study area and that required a different approach to data collection. Therefore, data had to be collected through face to face interaction. Creswell (2009), advises that this is an ideal form of data collection as the interviewer can observe the behaviour of participants. The interviews had to follow all Covid-19 protocols such as sanitising and practising social distancing.

1.7. STRUCTURE OF REPORT

In chapter two I review the academic literature on the upgrading of informal settlements. Various concepts relating to the implementation of UISP will be discussed. Attention will be focused on the implementation of upgrading programmes, specifically the relocation of

informal settlement dwellers into multi-storey buildings. Efforts will be made to investigate how international upgrading of informal settlements and local upgrading of informal settlements is practised and how the City of Johannesburg can derive lessons on how to implement phase four of the UISP. Chapter three I explore policies that underpin the upgrading of informal settlements in South Africa. Furthermore, the chapter will discuss the evolution of South African policies from focusing on housing to focusing on human settlements.

Chapter four will introduce the Princess Informal Settlement study area and deliberate on how the City of Johannesburg seeks to implement phase four of the UISP. Thereafter, chapter five will provide an analysis of how the UISP is being implemented at the Princess Informal Settlement. Additionally, chapter four will evaluate how residents have been relocated from the Princess informal settlement into multi-storey buildings and explore the challenge experienced pre- and post-relocation.

Chapter five will summarise the key findings and provide recommendations. Lastly, Chapter six will provide a summary of the study. To a great degree, the chapter will also provide recommendations that the City of Johannesburg may consider for future implementation of phase four of the UISP concerning relocating beneficiaries into multi-storey buildings.

2. LITERATURE REVIEW

2.1. INTRODUCTION

This chapter is divided into sections, and the first part of the chapter defines informal settlements and evaluate their causes. This is followed by a section on international case studies on informal settlement upgrades. The specific focus is on the upgrading of informal settlements into multi-storey buildings. This constitutes the base for the following section dealing with the implementation of Informal settlement upgrades with attention to the relocation into multi-storey buildings in South Africa. Thereafter, this chapter evaluates the shift from houses to human settlements which represent a solution to addressing informal settlements. The chapter further evaluates what process entails the relocation of informal settlement dwellers into multi-storey buildings. Moreover, the chapter assesses how beneficiaries are selected, how their spaces changed and the impact the relocation had on their livelihoods. Thereafter, the literature review explores the conceptual framework that frames the study. Ultimately, the chapter concludes with a summary of key points from the literature review.

The focus of the study is on the relocation of people from informal settlements into multi-storey buildings. Emphasis is on the execution of the UISP with particular attention to phase four. Phase four of the UISP deals with the construction of top structures and the application process for those who qualify to benefit from the subsidy. Informal settlements have been widely researched in South Africa since the apartheid era, however, there is insufficient literature on the relocation of residents from informal settlements into multi-storey buildings. Nonetheless, international studies have explored this form of upgrading. Therefore, this chapter carefully reviews the academic literature on informal settlement upgrading programmes and the relocation of residents into multi-storey units.

2.2. CONTEXTUAL INFORMAL SETTLEMENTS

Informal settlements are traditionally identified as a group of single-storey buildings (Visagie and Turok, 2020). Nassar and Elsayed, (2018:2368) define informal settlements as “areas that have been developed by individual efforts, whether single or multi-storey buildings or shacks in the absence of the law and have been physically unplanned. They have been developed on lands that are unassigned in the city’s master plan for building housing. This report has

adopted the definition of informal settlements by Huchzermeyer and others as detailed in chapter 1 which emphasises their illegality. The illegal nature of informal settlements is evidence that there is no security of tenure. Therefore, there is a need to implement the UISP which acknowledges informality and identifies the provision of security of tenure as one of its critical objectives.

Informal settlements are in part a result of rapid urbanisation (Reed *et al.*, 2010, Ziblim *et al.*, 2013; Hunter and Posel, 2012 & Ehebrecht, 2015). The consequence of rapid urbanisation is one of the unique challenges facing the global South. Rapid urbanisation increases the vulnerability of informal settlements. Urbanisation is defined as “the mass movement of populations from rural to urban settings and the consequent physical change to the urban setting” (Kuddus *et al.*, 2020:1). Urbanisation increases the already high rates of poverty and housing backlog faced by local governments, this results in a city’s failure to address socioeconomic issues like poverty and unemployment. There is a mismatch between housing and household income (Ludick *et al.*, 2021). BNG was implemented to address the mismatch however it was slow in providing houses. This mismatch influences the supply and demand in the housing market as the poor cannot afford houses and rely on the government. Housing affordability influences urbanisation which exacerbates social and economic exclusion. Pieterse and Owens (2018) mention that one of the indicators of socioeconomic standards in the city of Johannesburg is the availability of electricity. However, most residents do not enjoy adequate access to electricity for cooking and lighting. This has resulted in informal dwellers relocating to other areas with access to electricity.

Socioeconomic challenges and spatial inequality are the main contributing factors to urbanisation. The city of Johannesburg is characterised by a high rate of spatial inequality, and this can be attributed to the city experiencing a rise in urbanisation between 2001 and 2016 (Pieterse and Owens, 2018). According to Pieterse and Owens (2018), South Africa has devoted less attention to addressing spatial inequalities in impoverished communities. Consequently, this has increased urbanisation as people migrate to cities in search of economic opportunities. Additionally, Williams *et al.*, (2019) mention that spatial segregation implemented during apartheid resulted in South Africa becoming the most unequal society in the world. As a result of segregation, people are far from accessing job and education opportunities. Therefore, there is a need to address the spatial isolation experienced by the poor.

Nevertheless, South Africa is now addressing the effects of apartheid such as the segregation policy which resulted in rapid urbanisation by implementing housing policies that ensure social inclusion and integration. This rapid urbanisation increased socioeconomic challenges such

as poverty and inequality, therefore, resulting in the formation of informal settlements. The control of urbanisation requires that socioeconomic challenges faced by informal settlement dwellers be understood. To address unplanned urbanisation, Kuddus *et al.*, (2020) advise that local government should address the causes of socioeconomic challenges faced by the urban poor. However, the challenges will take time to resolve, thus the government must find ways to adapt to the challenges of urbanisation such as the formation of informal settlements. According to (Visagie *et al.*, 2020 and Galuska, 2020), upgrading informal settlements into multi-storey buildings is one of the alternatives to addressing informal settlements in scenarios where there is insufficient land to provide for individual houses.

2.3. INTERNATIONAL CASES STUDIES ON INFORMAL SETTLEMENT UPGRADES

There are various ways that interventions and upgrades are undertaken in informal settlements. However, the following case studies will focus on those that relocate households into multi-storey buildings as part of a roll-over approach to upgrading. Internationally, countries such as India, Brazil, and Kenya have all implemented the upgrading of informal settlements. The above-mentioned countries have not only implemented informal settlement upgrades, but they have also relocated beneficiaries into multi-storey buildings. According to Ziblim *et al.*, (2013) these countries are part of the United Nations' Global Agenda of providing adequate housing for all. According to Gupta and Kavita (2020), India introduced the Slum Rehabilitation Scheme (SRS) in 1995. The scheme aimed at providing adequate housing and tenure security to households in Mumbai. As part of the Global Agenda, India established the Slum Redevelopment Authority (SRA) as the implementing agent of the SRS. The SRS was implemented to address India's rapid urbanisation which increased the housing backlog. The implementation of the scheme relied on public-private partnerships. The SRS was focused on benefiting informal settlement dwellers who moved to Mumbai between 1995 and 2000 (*ibid.*).

2.3.1. INDIAN CASE STUDY

According to Hindman *et al.*, (2015) the SRS is associated with the Housing for All policy. The policy aims to provide adequate housing for all India's citizens by 2022. The Housing for All policy was approved in 2015, and the state had seven years to ensure all citizens in India have

access to adequate housing. India's SRS involved the relocation of beneficiaries from informal structures into formal multi-storey buildings (Anand and Rademacher, 2011). The SRS programme developed houses where beneficiaries resided. The beneficiaries were moved from their homes and housed in Temporary Relocation Units (TRU) during the construction phase. Gupta and Kavita (2020) mention that informal settlement dwellers who did not benefit from the in situ upgrading were relocated to another site.

India's multi-storey buildings are designed to provide street-level stores on the ground floor (Hindman *et al.*, 2015). This design encourages businesses and ensures that income opportunities are enhanced. The stores are allocated to beneficiaries who previously owned stores before the upgrade. The allocation of multi-storey units in India has been managed by a committee responsible for identifying qualifying beneficiaries. However, the process was contested. Notably, most of India's in situ SRA projects are not completed, this is due to the contestations relating to the undesirable height of the multi-storey buildings and their high maintenance cost that characterise the projects. These contestations have been a deterrent to the effective implementation of housing programmes. The SRS developed 24 storey high buildings; the beneficiaries were each allocated a 25 m² apartment (Gupta and Kavita, 2020). 24 storey high buildings are undesirable as the norm for high buildings in India is four stories high (Hindman *et al.*, 2015). Many of the residents of 24 story buildings cannot maintain the buildings because they are very poor and cannot afford to replace broken elevators. Moreover, these 24 storeys high buildings are undesirable as they can easily convert into vertical informal settlements (*ibid.*).

India also implemented the Basic Service for the Urban Poor (BSUP) programme to provide multi-storey buildings for low-income settlements (Patel, 2013). This modern development provided eight-storey high buildings. Moreover, the programme also provided security of tenure beyond basic services such as water, sanitation and electricity. This programme also implemented the in situ upgrading of informal settlements. However, beneficiaries of the BSUP were expected to contribute between 10 – 12 per cent of the total housing cost (Patel, 2013). The national government provided the rest of the funding. Nevertheless, there were conditions. One of the conditions was that to access the funding local government had to develop a City Development Plan and show commitment to implementing urban development reforms.

The implementation of the SRS and BSUP encountered problems. According to Patel (2013) beneficiaries of the programmes complained that the housing units offered are smaller than their previous houses. The programmes also experienced challenges like institutional incapacity (Patel, 2013 and Hindman *et al.*, 2015). Municipal officials lacked the understanding

of what in situ upgrading should entail. To address this gap, the municipality involved households in carrying out the in situ upgrading projects (ibid.).

The management of the multi-storey buildings remains a concern for beneficiaries who mentioned that there was no waste collection in the newly developed settlement. Patel (2013) cites that the BSUP provided insufficient basic services to the beneficiaries. This rendered the implementation of the programme ineffective as one of its objectives was to provide basic services. Burra (2005) criticises the SRA for promoting multi-storey buildings which are expensive to develop and maintain. The relocation of beneficiaries from informal settlements into multi-storey buildings is associated with high costs. These maintenance costs have made the multi-storey buildings unaffordable. As a result those who can afford the maintenance cost stay on the upper floors and those that cannot afford maintenance costs stay on the lower floors (ibid.).

The BSUP lacked transparency in its implementation. The lack of transparency led to the failure to reach the intended beneficiaries as the housing units became expensive for some beneficiaries. Moreover, India has experienced challenges conducting public participation in its housing policies resulting in the upgrading programmes being exclusive. The lack of participation in India's SRA project exacerbated the country's inequalities. Some informal settlement dwellers who were excluded from the participation processes could not move into the multi-storey buildings and therefore remained in their dilapidated structures. However, public participation is now being advocated for by different housing policy stakeholders to prevent evictions and encourage housing security. (Anand and Rademacher, 2011)

2.3.2. BRAZILIAN CASE STUDY

In Brazil, a shift in the provision of adequate housing began when the country amended its housing legislation and adopted a new constitution (Mastellaro, 2016). Brazil's constitution advocates for the social right to housing and states that there should be cooperation between all spheres of government when implementing housing policies. However, autonomy to implement is granted to the local government. This autonomy does not mean the local government can act in isolation. Therefore, there is a need for a coordinated effort for the implementation of housing policies (ibid.).

The Brazilian government implemented the Growth Acceleration Programme (PAC) in 2007. According to Samora (2016), the PAC places informal settlements at the centre of national housing policy. The programme was aimed at responding to the housing backlog and

supported in situ upgrading (Mastellaro, 2016). According to the UN-HABITAT (2013), the PAC collaborated with the My House, My Life Programme to address housing challenges and the growth of informal settlements. The programme developed two types of housing typologies, semi-detached houses and multi-storey houses. The multi-storey buildings had a maximum of five floors without elevators. Some of the housing units were designed to accommodate people with disabilities (UN-HABITAT, 2013). The projects implemented under the My House, My Life programme reserved the ground floor for mixed-use to generate job opportunities for beneficiaries. Magalhaes (2012) mentions that beneficiaries that lost their businesses in the relocation process had to be accommodated in the new buildings. Therefore, ground floors of multi-storey buildings in Brazil are designed to accommodate businesses. As a result, informal settlements in Brazil were upgraded and relocating dwellers into multi-story buildings was successful.

Brazil was already implementing informal settlement upgrades before the adoption of the PAC programme. However, their previous approach was to eradicate informal settlements and relocate dwellers (Samora 2016). Brazil appreciated the challenges that resulted from the relocation of informal settlement dwellers, therefore, diversified their housing policy. The PAC programme promotes a holistic and integrated approach to informal settlements upgrading. Moreover, the programme emphasises community participation. The implementation of the PAC is through partnerships between all spheres of the state. However, according to Magalhaes (2012), some stakeholders did not initially engage in decision-making processes which resulted in delayed implementation. Marais and Ntema (2013) mention that community-based settlement upgrading and development programmes have become common practises in Brazil. Notably, the success of Brazil's upgrading of informal settlements is owed to political will and social activism.

Rocha (2018) indicates that the challenges affecting the implementation of informal settlements upgrade in Brazil are the lack of funding and land ownership. Samora (2016) also makes the point that the PAC programme was affected by threats of budget cuts. Informal settlements are already vulnerable as they do not have adequate service delivery, therefore, the budget cuts significantly deteriorates their conditions (ibid.). These budget cuts will further exacerbate the correlation between poverty and informal settlements which are demonstrated by the city of Rio de Janeiro's spatial composition. However, the state intervened and according to Balbim and Krause (2019), between 2007 and 2014 there was an increase in funding for the implementation of the PAC. However, de Sousa Moretti *et al.*, (2015) indicate that the funding provided for the implementation of the PAC was not enough to complete urbanisation projects.

2.3.3. KENYAN CASE STUDY

Kenya implemented the Kenya Slum Upgrading Programme (KENSUP) and introduced multi-storey buildings. The KENSUP was an in situ upgrading of informal settlements though with considerable disruption to people's lives. Schramm, (2017) mentions that parts of the multi-storey buildings were designed to accommodate shops. Through the programme, livelihoods were also improved by providing tenure security. Ndungu (2012), mentions that the programme allowed beneficiaries to be involved in improving their livelihood and neighbourhood. The KENSUP implemented projects that addressed the environmental vulnerability of informal settlements. Therefore, this initiative by the government was implemented to improve the built space in Nairobi. According to Schramm (2017), the designs of the housing units under KENSUP also accommodate rooms for subletting within the unit. This was undertaken to help beneficiaries to maintain their livelihoods and afford the loan payments, as allocation was not free of charge (Mitra *et al.*, 2017).

One of Kenya's upgrading projects, the Huruma informal settlement upgrading project emphasised the provision of tenure (Hendriks, 2014). This was significant as the security of tenure guaranteed that beneficiaries will not be evicted. However, the Huruma informal settlement in Kenya did not adhere to the local government processes (Visagie and Turok, 2020). This was done to exempt dwellers from established procedures that would cause them not to benefit. The flexibility of the project ensured that informal settlement dwellers benefit from the multi-storey building with limited contestations.

Kenya also implemented the Railway Relocation Action Plan (RAP) which witnessed the development of multi-storey buildings to accommodate informal settlement dwellers that settled on the railway reserves. According to Mitra *et al.*, (2017) beneficiaries were allocated one housing unit and beneficiaries who owned more than one structure were compensated with a once-off payment. The RAP project relied on community participation for its effective implementation. Community buy-in was used to foster a relationship between the beneficiaries and the programme implementers.

Mitra *et al.*, (2017) cite that the KENSUP and RAP projects experienced challenges as the demand for housing exceeded the number of new houses developed. KENSUP was faced with poor quality houses, lack of maintenance and lack of municipal services which later rendered the multi-storey buildings vertical informal settlements. Moreover, the new settlements also lacked a solid waste collection system, which was a result of the government cancelling waste collection contracts because of corruption. Both KENSUP and RAP

programmes lacked transparency in the allocation of the housing units which resulted in contestations. Furthermore, the lack of transparency resulted in KENSUP beneficiaries applying for a court interdict as they were against the demolition of their structures, this delayed the implementation of the programmes (ibid.).

2.4. CONCEPTUAL FRAMEWORK

The figure below is a diagram of the concepts that frame the research. The figure depicts the interrelation between various stakeholders, good governance and the elements required for the effective relocation of informal settlement dwellers into multi-storey buildings.

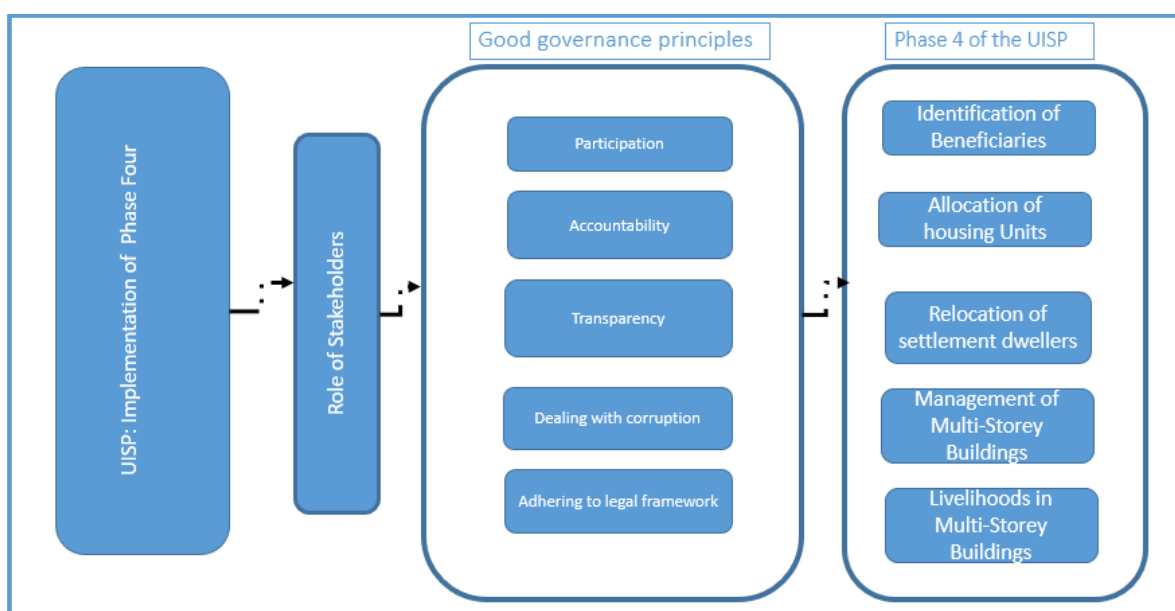


Figure 1: Conceptual framework of the study (Own construction, 2021)

As reviewed above, the literature has highlighted that to implement multi-storey buildings as a last resort that avoids disruption to people's lives concepts such as livelihood and management should be employed. The Implementation of phase four of the UISP in South Africa requires that stakeholders uphold participation, accountability, transparency, effectively deal with corruption and ensure adherence to a legal framework. The literature reviewed further indicates that good governance principles should be used in the identification of beneficiaries, the allocation of housing units and the relocation of beneficiaries into multi-storey buildings. This ensures that there is limited disruption within the community. Moreover, beneficiaries must also practice good governance in the management of multi-storey buildings. Furthermore, the municipality as an implementing agent must be transparent with the beneficiaries on how they will empower them to maintain their livelihoods after their

relocation into multi-storey buildings. Concepts such as participation, accountability, transparency as represented in the conceptual framework will be applied in the research case study.

2.5. CONCLUSION

South Africa is still dealing with spatial inequalities as a result of apartheid spatial planning. This is evident by the backlog in service delivery and the number of informal settlements. The City of Johannesburg as the economic hub of the country is experiencing a rapid rate of urbanisation. This uncontrolled urbanisation forced the city to act in addressing informal settlements as a result of rapid urbanisation. However, there is limited space closer to cities, therefore, informal settlements upgrading can be implemented in-situ through multi-storey buildings to utilise the available space. The dominant interpretation of planners and politicians is to upgrade in this way, but this was not the intention of the policy. Notably, The UISP deems in situ upgrading more suitable for relocation to new housing projects on several grounds, including the need not to disrupt the lives of vulnerable households. There are other ways of upgrading informal settlements that are less disruptive and more incremental. Countries such as India, Brazil and Kenya have relocated informal dwellers into multi-storey buildings and experienced limitations in their upgrading programmes. Nevertheless, South Africa can look to Brazil's best practices on how they have implemented their upgrading programmes and relocated beneficiaries into multi-storey buildings.

3. POLICY CONTEXT FOR INFORMAL SETTLEMENT UPGRADING IN SOUTH AFRICA

3.1. INTRODUCTION

Chapter three explores policies that underpin the upgrading of informal settlements in South Africa. The chapter will outline the housing policies in South Africa. South Africa recognises socio-economic rights (SERI) such as the right to adequate housing. South Africa has implemented various housing policies to address the housing and socio-economic challenges experienced by its citizens. The primary focus of the housing policies is to address housing in conjunction with socio-economic challenges. The evolution of housing to human settlements in South Africa can be divided into three phases, the first is the policy framework phase from 1994 to 2003. The second phase represents the shift in policy that occurred from 2004 to 2009. Lastly the incremental approach phase which took place after 2010. However, the implementation of housing policies to provide adequate housing has been slow and inconsistent.

3.2. HOUSING POLICIES THAT UNDERPIN THE UPGRADING OF INFORMAL SETTLEMENTS IN SOUTH AFRICA

3.2.1. HOUSING POLICIES IN SOUTH AFRICA

A right to adequate housing for all is enshrined in the Constitution of the Republic of South Africa and the Freedom Charter. Housing represents a key component of a nation's social, economic and health fabric. The South African government has implemented housing policies nonetheless, these are not enough to meet the housing demand. According to Hofer *et al.*, (2020), spatial inequalities have increased city migration and housing backlog.

The government of South Africa maintains that it has various options for addressing informal settlements. Governments across the globe have legal frameworks that requires them to act in particular ways however, some overlook informal settlements due to the lack of capacity in dealing with informality. They can relocate or evict informal settlement dwellers in very particular circumstances. The residents in these areas are incorrectly considered to be illegal, therefore it is often thought that they can be relocated or evicted to redevelop the area as per government spatial plans; the government can formalise the area by providing services,

however, this option doesn't improve their physical structures and lastly, the government can redesign the informal settlement and implement in situ upgrading (Visagie and Turok, 2020). Nonetheless, there are concerns that what is believed to be UISP in situ upgrades is not in situ upgrades (Fieuw, 2015). This is due to the interpretation of what entails an in situ upgrading by those involved in informal settlements interventions.

The provision of adequate housing in favourable locations can help to address segregation. In Brazil, the occupation of land by informal settlement dwellers has improved land uses and ensured a decrease in segregation (Huchzermeyer, 2009). This is the opposite of what happens in the South African context as informal settlements are in contravention with the land use ordinances. Dwellers settle in informal settlements for numerous reasons, such as to be integrated into the city; moreover, informal settlements can differ according to the needs and wants of dwellers. Informal settlement dwellers can settle because of proximity to transportation, work or school.

Countries in the global South have implemented programmes aimed at addressing the housing backlog. South Africa launched the Upgrading of Informal Settlement Programme (UISP) in 2004. However, according to Mastellaro (2016) in Brazil in situ upgrading of informal settlements does not keep up with the housing demand.

Housing legislation in South Africa includes the Housing Act 1997, the prevention of illegal eviction act of 1998 and the Social Housing Act 2008. South Africa maintains two prominent housing policies, the 1994 White Paper on Housing and the 2004 Breaking New Ground (BNG) policy. The White paper on Housing is the principal housing policy that developed a policy and strategy for housing in the democratic era (Tissington, 2011), while the BNG outlines the development of sustainable human settlement and was developed as a result of the amendment of the White Paper on Housing.

The need to provide adequate housing in South Africa can be traced back to 1955 with the drafting of the freedom charter. The freedom charter promotes socio-economic rights and emphasises the right to adequate housing (The freedom charter of 1955). The South African Constitution assures socio-economic rights to all its citizens. However, South Africa has been experiencing revolts concerning housing delivery where the protests are against evictions, demolitions, unaffordable housing, lack of institutional capacity and corruption (Dawson and McLaren, 2014). The implementation of the UISP and adherence to good governance principles seeks to address these challenges.

3.2.2. WHITE PAPER ON HOUSING 1994

The White Paper was developed to address the housing backlog in the country (Graham *et al.*, 2014). The White Paper aimed at housing the nation by not exclusively addressing the housing backlog but also addressing institutional bottlenecks that hinder the provision of housing. The paper outlined the national housing vision which strived to ensure that all South Africans have security to tenure and access to essential services such as water, sanitation and electricity. According to Musvoto and Mooya (2016), the human settlements inherited from the apartheid spatial planning resulted in disintegrated settlements. Therefore, to address the spatial planning of the past, the White Paper incorporated spatial planning concepts such as compact cities and densification (White Paper, 1994). The UISP as a programme supports densification to enable social cohesion. The relocation of informal settlement dwellers into multi-storey buildings is considered an example of densification.

According to Tissington, (2011) the White Paper promoted the involvement of emerging contractors to speed up housing delivery, however, the initiative was undermined by corruption in the awarding of tenders which compromised the quality of the houses being built. After 1994 the government developed housing on the outskirts of the city as the land was affordable. However, these sites were far from socio-economic opportunities. According to the (SAHRC 2020/21), the isolation of sites provides a challenge for the state as the cost of providing bulk services are high to effectively implement such developments.

In addressing housing challenges the White Paper emphasises that the Housing Act employs public participation during housing development. The White Paper warns that development processes without public participation will exacerbate the contestation of housing allocation. Public participation ensures the empowerment of residents especially women whose role needs to be evaluated and supported through the housing processes to sustain their livelihoods.

The White Paper on Housing is being reviewed after it was criticised for its poor location of housing developments, poor quality housing and its lack of integration (Graham *et al.*, 2014). The (BNG, 2004) states that it doesn't replace or revise the White Paper but merely sharpens the implementation of its principles. The implementation mechanisms developed by the state were also criticised for its cost of housing products. Another criticism of the implementation was its R3 500 subsidy threshold, this was as more households started to earn above the threshold, therefore, could not benefit from the housing programme. According to Tissington (2011), the review of the White Paper indicated that housing delivery didn't result in poverty

alleviation as previously imagined. This is because housing delivery moved people to the outskirts of the city.

3.2.3. THE HOUSING ACT OF 1997

The Housing Act emanates from the White Paper on Housing of 1994. The Act was amended in 1999 and 2001 (Tissington, 2001). The Act aims at facilitating a sustainable housing development process. Section 2 (1) of the Act states that the three spheres of government must prioritise the poor during housing development. The poor are predominantly found in informal settlements and need adequate housing. Section 2 (1) (iv) of the Act cites that housing development must adhere to the principles of good governance. The Act emphasises community participation which is a principle of good governance and encourages consultations between the state and communities (Dawson and McLaren, 2014).

The Housing Act stipulates that there should be a National Housing Code. The Housing Code outlines the roles and responsibilities of the three spheres of government concerning housing. The UISP was introduced as a programme into the Housing Code in 2004. Furthermore, the Act emphasises the need for adequate housing in municipalities, section 9 (1) (a) (i) mentions that municipalities need to ensure that their communities have access to adequate housing. The 2001 amendment of the act ensured that the National Housing Code is binding to the three spheres of government. However, section 10 (1) states that a municipality must apply to the MEC responsible for housing development to be able to implement national housing programmes.

3.2.4. PREVENTION OF ILLEGAL EVICTION FROM AND UNLAWFUL OCCUPATION OF LAND ACT OF 1998

Informal settlement dwellers are constantly threatened with eviction as their occupation of land is illegal and unlawful. The PIE Act aims at preventing illegal evictions and finds its legitimacy from the Constitution. Section 26 (3) of the Constitution stipulates that people may not be evicted from their homes arbitrarily. The section also warns against unlawful eviction of people from their homes and states that no legislation that enforces evictions should be enacted. According to Tissington (2011), the Act equally defends those that unlawfully occupy the land. Section 4 of the Act mentions that residents who have unlawfully occupied the land for more

than six months are protected. However, in situations where residents have occupied the land for less than six months, the court can order for eviction only after taking relevant circumstances into account, including whether there are female headed households. Section 4 (7) of the act further stipulates that the municipality must provide alternative accommodation for those evicted. This has been refined through case law (Constitutional Court judgement). Therefore, alternative accommodation must be in proximity to the place from which households are to be evicted and there has to be meaningful engagement in the decision-making around the relocation.

3.2.5. THE SOCIAL HOUSING ACT OF 2008

The Act allows the municipality to have a contract with social housing institutions that will be responsible for the delivery of social houses. The agreement must adhere to municipal legislation such as the Municipal Finance Management Act and the Municipal Systems Act (DoH, 2008). The city of Johannesburg through its Johannesburg Social Housing Company (JOSCHO) is implementing the UISP at the Princess informal settlement. Furthermore, section 14 (1) (b) of the Act states that social housing institutions must develop and manage projects for low-income housing through the support of municipalities (ibid.). Moreover, social housing institutions must adhere to the laws of the country to ensure good governance in the implementation of the Act (ibid.). Most households living in informal settlements do not earn enough to benefit from social housing therefore the implementation of phase 4 of the UISP ensures that qualifying households benefit and are allocated houses.

3.2.6. THE BREAKING NEW GROUND (BNG) OF 2004

Housing programmes implemented to provide housing in South Africa experienced challenges. According to Tissington (2011) poor quality houses, lack of public participation, corruption and an increase in housing backlog were some of the challenges that affected the effective implementation of housing programmes. As a result of these challenges, between the years 2002 and 2003, South Africa reviewed its housing policies through the then Department of Housing. The outcome of the policy review was the adoption of the Breaking New Ground (BNG) policy which outlines a comprehensive plan for the development of sustainable human settlements. The policy identifies housing as the means to alleviate poverty, create job opportunities and empower those without adequate housing (Graham *et*

al., 2014). Moreover, the BNG was also adopted to promote social cohesion and improve the quality of life for the poor.

The policy acknowledges the dynamic nature of housing demand owing to rapid urbanisation. Furthermore, the BNG also acknowledges that the lack of well-located and affordable land for low-cost development led to the slow rate of the eradication of informal settlements (Tissington, 2011). The lack of adequate land assembly for purposes of low income housing where well located and often state-owned land has led to the development of houses on the urban periphery, therefore, resulting in further disintegration. According to Musvoto and Mooya (2016), some of the key objectives of the BNG policy include facilitating higher densities by promoting densification policies to address disintegration. Therefore, the development of multi-storey buildings is in line with the densification objective of the BNG. This is often understood to override the requirement in the UISP that informal settlement upgrading should avoid disrupting people's lives and that relocation should be a last resort. The BNG also promotes compact cities which oppose urban sprawl as a result of the mass provision of housing on the city's outskirts.

Dawson and McLaren (2014) state that low-income housing has not done enough to decrease the housing backlog as there is a gap between income affordability and the requirements for subsidies. Tissington, (2011) mentions the proposal of collapsing the existing subsidy bands to include households that earn above R3500. The collapse of the subsidy bands would increase the number of households who benefit from housing programmes.

The BNG supports informal settlement upgrades and indicates that upgrading should occur in situ while following international best practices (BNG, 2014). The relocation of informal settlement dwellers should be the last resort where development is undesirable owing to the environmental challenges. The BNG encourages land rehabilitation to minimise the need for relocation. According to the (BNG, 2014) there should be a shift from the neglect of informal settlements towards their integration with existing settlements. According to Dawson and McLaren (2014), the BNG recognises the role played by intergovernmental relations to ensure effective implementation. The BNG further states that Informal settlement upgrades should encourage community participation, maintain community networks and minimise livelihood disruptions. According to Dawson and McLaren (2014), the BNG is a catalyst to achieving socio-economic goals through housing delivery.

BNG was reviewed in 2009; the process revealed that attention was on housing rather than human settlement development as outlined in the Housing Act. The review also highlighted the lack of community participation and concerns about the location of housing were also raised (Dawson and McLaren, 2014). The result of the review was the re-framing of housing

programmes such as the Integrated Residential Development Programme (IRDP), the Upgrading Informal Settlements Programme (UISP) and the Social Housing Programme (SHP) which were identified as the main programmes for housing delivery. These are grant instruments developed to address the misalignment of funding for human settlements. According to Graham *et al.*, (2014), the UISP employs an incremental, inclusive and developmental approach to informal settlement upgrades.

3.2.7. THE NATIONAL HOUSING CODE IN 2009

The National Housing Code is in line with section 4 of the Housing Act. It was first published in 2000 and revised in 2009. The Housing Code is different to the BNG in that the BNG is a framework for the development of sustainable human settlements while the Housing Code contains the building blocks of sustainable human settlements. According to Tissington (2011), the Code echoes the definition of housing development used in the Housing Act.

According to the Housing Act (1997:4), housing development represents 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.

The Housing Act and the National Housing Code emphasise that housing development should constitute part of municipal IDPs. The housing plan together with other sector plans requires municipalities to liaise with various stakeholders for their effective implementation. However, there are challenges with the alignment of housing policies which are caused by the lack of clarity of the responsibility and accountability of various stakeholders (Musvoto and Mooya, 2016).

The housing programmes under the National Housing Code can be divided into financial programmes, incremental housing programmes, social and rental housing programmes and rural housing programmes. The Upgrading of Informal settlements Programme (UISP) is one of the programmes listed in Volume four of the National Housing Code. The UISP is an

incremental housing programme and seeks to address the formation of informal settlements and the provision of housing.

3.3. THE UPGRADING OF INFORMAL SETTLEMENTS PROGRAMME (UISP)

The UISP as outlined in the Housing Code includes in situ upgrading of informal settlements. In situ upgrading of informal settlements is aimed at achieving three key objectives of the UISP. These objectives are the security of tenure, health and security and lastly empowerment.

3.3.1. SECURITY OF TENURE

A variety of tenure security can be awarded to beneficiaries of the programme. Therefore, tenure security can be provided by formalising the tenure rights for informal settlement dwellers. However, this is not always possible if the necessary planning instruments are not in place, or if the land is unsuitable for occupation and cannot be rehabilitated. The UISP promotes tenure security to encourage investment and provide informal settlement dwellers with access to economic opportunities. Furthermore, there is the assumption, in alignment with the ideas of de Soto (2000), that property owners can utilise their properties as collateral to gain access to finance. However, poor households are risk averse and there is no evidence that this approach has been successful. According to Ndinda *et al.*, (2021) attaining security of tenure involves formalising informal settlements and in this process, it is often necessary to settle disputes.

3.3.2. HEALTH AND SECURITY

The inappropriate location of many Informal settlements renders them vulnerable to health problems and crime. However, the UISP includes funding for the rehabilitation of land. The UISP seeks to improve current conditions by developing healthy and safe living environments. Ndinda *et al.*, (2021) mention that achieving healthy and safe environments requires the provision of infrastructure such as roads and building community facilities. Therefore, the

upgrading of informal settlements in inadequate locations must wherever possible include rehabilitation for the area to be habitable for all settlers.

3.3.3. EMPOWERMENT

Informal settlements dwellers experience social stress with the fear that upgrading programmes will disrupt their livelihoods. There are concerns that upgrading programmes fail to empower women from informal settlements. Therefore, the UISP aims to empower informal settlement dwellers by addressing exclusion in human settlement developments (DHS, 2009). Furthermore, the UISP seeks to ensure that the community will be empowered by fostering social inclusion and integration (ibid.). The programme follows a holistic approach in its implementation and involves community members in decision making (ibid.). Effective empowerment requires community participation. Communities are represented by residential associations or civil society organisations that engage with the state on their behalf. The municipality should be responsible for skills transfer as a form of empowerment. Community members can be employed during the construction phase and post-project phase for managing multi-storey buildings.

As an incremental programme, the UISP is made up of four phases. Phases one to three focus on public participation and providing a healthy environment through the provision of basic services and security of tenure for informal settlement dwellers. During these phases, different tenure options are explored and awarded to the beneficiaries. According to the Housing Code (2009), there are different options for the implementation of phase 4 for those households that qualify for top structure subsidies. This includes the People's Housing Projects, Individual ownership options, contractor built houses and rental housing. The Code also includes medium-density housing options which are made up of rental and individual ownership options (ibid.). Beneficiaries of the UISP which meet the subsidy criteria in phase four are encouraged to prepare a housing proposal aligned to their needs and affordability (ibid.). There is the understanding that non-qualifiers, who must be included in phases 1-3, will construct their own dwellings incrementally (ibid.). Notably, people living in informal settlements are already building permanent structures before phase 4 is reached. According to the (Housing Code, 2009) funding for the UISP is from the Integrated Housing and Human Settlement Redevelopment Grant. Funding for the construction of top structures is linked to the housing subsidy reserved for beneficiaries of the Housing Programme.

The selection of beneficiaries is established in a variety of ways. Beneficiaries of phase four should not be 'illegal immigrants'. 'Illegal immigrants' are not allowed to have individual ownership of the housing units, however, and they can be awarded rental accommodation. Informal settlement dwellers who are owners of residential properties and have previously benefited from state housing subsidies are not eligible to benefit from phase four of the UISP. According to the Housing Code beneficiaries who are eligible to apply for individual ownership include single persons without financial dependents, individuals earning below R3 500 per month and any beneficiary meeting the qualifying criteria of phase four mentioned above. (Housing Code, 2009)

Moreover, the Housing Code (2009) outlines a framework for dealing with the informal structures after relocating dwellers. The demolition of informal structures previously occupied by beneficiaries is critical for the success of the implementation of phase four of the UISP (ibid.). Therefore, a strategy and community buy-in are a requirement for effectively addressing informal structures after relocation.

The Department of Housing launched the National Upgrading Support Programme (NUSP) to assist municipalities in implementing informal settlement upgrading. According to Tissington (2011), the NUSP aligns with the international Cities Alliance agenda of the eradication of informal settlements. The South African Human Rights Commission (2020/21) reports that since its formation the NUSP had facilitated approximately 1500 feasibility assessments of informal settlements and has provided capacity in the upgrading of approximately 850 informal settlements in the country by the end of 2019. However, is it not clear whether those informal settlements reached phase 4.

The challenges experienced by municipalities in implementing the UISP influenced the national government to increase the budget allocated to the national grant for informal settlement upgrading. This was, until recently, the Urban Settlement Development Grant (USDG) which was responsible for providing an inclusive approach to the informal settlement upgrades. This was performed to prioritise the upgrading of informal settlements. These changes to funding came with conditions. Provinces and municipalities had to devote a certain amount of the USDG on informal settlements upgrading projects. However, approximately 25% of the number of households targeted for upgrading in informal settlements for the 2019/20 financial year were not upgraded (SAHRC, 2020/21).

3.4. INFORMAL SETTLEMENT UPGRADES IN SOUTH AFRICA

3.4.1. CHANGING THE MIND-SET

To effectively deal with the housing backlog and consequently informal settlements requires a change in mindset in how informal settlements are viewed (Visagie, 2020). Ziblim (2013) states that informal settlements should not be viewed only as a housing problem. Informal settlements demonstrate socio-economic issues affecting informal settlement dwellers. Therefore, limiting informal settlements to only a housing problem has resulted in a housing policy that only deals with housing, excluding the socio-economic issues. Mabin (2020) emphasises that housing problems cannot be solved in isolation of inequality and poverty. This view is what encouraged South Africa to diversify its housing policies. Scholars such as Huchzermeyer (2009), Reed *et al.*, (2010) and Marais & Ntema (2013) mention that South Africa can look up to Brazil for partnership and inspiration on how they have implemented their informal settlement upgrading programmes.

South Africa developed policies to address the apartheid spatial fragmentation and segregation (Fieuw, 2015). However, according to Satterwaite (2012), the upgrading of informal settlements was previously not endorsed by all governments. South Africa envisaged that it will rectify housing problems through the provision of new housing to low-income groups. Upgrading of informal settlements was endorsed in South Africa when what came to be known as 'RDP-housing' proved to be ineffective as it required the relocation of dwellers which had multiple challenges (*ibid.*). South African cities previously had zero tolerance for informal settlements, and their way of dealing with them was to eradicate them (*ibid.*). South Africa is among countries that misinterpreted the Cities Without Slums initiative, they eradicated informal settlements than in situ upgrading. This is the Cities Alliance campaign by the World Bank and UN-Habitat which advocates for cities without informal settlements (Reed *et al.*, 2010 and Ehebrecht, 2015). The City of Johannesburg was part of cities that misinterpreted the concept of cities without slums (Reed *et al.*, 2010).

South Africa shifted focus to in situ upgrading of informal settlements when the eradication of informal settlements was not effective. The Breaking New Ground (BNG) policy provides the context for the UISP programme in South Africa. The Housing Code of 2004 outlines the three main objectives of the UISP. The UISP promotes the upgrading of informal settlements to achieve policy objectives such as tenure security, health and safety, empowerment which includes social economic and economic development and social capital (DoH, 2004). However, the implementation of the UISP has limitations.

3.4.2. IMPLEMENTING THE UISP

Informal settlement upgrading in South Africa has been experiencing limitations (Ehebrecht, 2015). One of the limitations is the lack of understanding of what upgrading entails. Furthermore, Ehebrecht (2015), mentions the importance of considering the physical upgrading of structures when dealing with informal settlements. The concept of upgrading is utilised to address inadequacies in housing and services in informal settlements. According to Satterthwaite (2012), upgrading can be used to measure the quality of houses and the provision of infrastructure in informal settlements. However, these descriptions of upgrading mainly deal with the material structure which limits informal settlements as only a housing problem.

The UISP is an instrument to finance and facilitate the policy approach to informal settlement upgrading (Fieuw, 2015 and Ehebrecht, 2015), therefore, requiring good governance. According to (Van der Waldt, 2002 and Jiboye, 2011) good governance includes accountability, transparency, dealing with corruption, participatory governance and adhering to a legal framework for it to be effective. Municipalities need to adhere to all the legal frameworks such as Municipal Finance Management Act (MFMA) and Municipal Systems Act (MSA). Governance together with institutional and regulatory changes are identified as key to the effectiveness of informal settlements upgrading.

The local government has previously required assistance for implementing the UISP (Huchzermeyer *et al.*, 2013). This is due to the lack of capacity to implement the policies in municipalities. According to Huchzermeyer *et al.*, (2013) the Department of Housing formed the National Upgrading Support Programme (NUSP) to address the lack of capacity to implement the UISP in the metropolitan municipalities. However, SAHRC (2020/21) mentions that after the support by the NUSP implementation is still poor and inconsistent. These limitations affect social inclusion, poverty and vulnerability reduction and empowerment of informal settlement dwellers. These limitations are also due to how the programme is being interpreted at a local level. Therefore, there is a need to improve capacity for effective implementation of the UISP.

Huchzermeyer, (2009) mentions that addressing the limitations of informal settlements upgrading policy requires governance. Ehebrecht (2015) states that the UN-Habitat identified the lack of good governance to address upgrading and inclusion in informal settlements as a challenge. Furthermore, Ehebrecht (2015) states that the good governance challenges

experienced by the UISP can be associated with the gaps between policy and implementation. According to Jiboye (2011), governance recognises the state, civil society and the private sector as key stakeholders in its implementation. Therefore, the implementation of the UISP requires that there is transparency and accountability to encourage the buy-in from various stakeholders (Visagie and Turok, 2020). Ziblim *et al.*, (2013) emphasise that good governance should be applied from the development of policies and programmes until their implementation.

The Constitution of the Republic of South Africa in chapter three makes provisions relating to cooperative governance. This is important in informal settlement upgrading which involves different stakeholders. The Constitution requires transparency, accountability and effectiveness from all the spheres of government. According to Fieuw (2015), the UISP emphasises community participation. However, the upgrading of Informal settlements in Gauteng had in the past lacked community participation (Reed *et al.*, 2010). The lack of participation has resulted in disruptions to social networks and livelihoods that exist in informal settlements. This occurs when community concerns are not considered during project implementation. Therefore, participation should become the prominent governance principle applied in the implementation of the UISP.

Projects which involve stakeholder participation become successful (Ehebrecht, 2015). However, for projects to be successful, each stakeholder must understand their role and responsibility. Ziblim *et al.*, (2013) state that the phases of the UISP focus on community participation, basic services and housing security. The involvement of Non-Government Organisations (NGOs) and Community Based Organisations (CBOs) has increased the participation and cooperation of local governments (Ehebrecht, 2015). Furthermore, the introduction of public-private partnerships in South Africa has increased local government's approach to infrastructure and service delivery (Van der Walddt, 2002). These partnerships are required to address informal settlement challenges, therefore, they should include multi-sectoral partnerships (Ziblim *et al.*, 2013). However, it must be noted that participation remains a contested space that can result in challenges in the implementation of the UISP.

3.5. THE CITY OF JOHANNESBURG HOUSING ALLOCATION POLICY

The City of Johannesburg approved a housing allocation policy that guides the allocation of houses. According to CoJ (2021), the allocation of housing units is based on the priority ranking list of the City's Housing Database. The housing allocation is also based on a first

come first serve basis which allows beneficiaries to submit their documents. After beneficiaries have been selected and housing units handed over they are given certificates that acknowledge their receipt and acceptance of the housing unit. Additionally, beneficiaries are provided with a title deed during a ceremony coordinated by the City through its political office and the Department of Housing. This process ensures that security of tenure is provided to beneficiaries. Furthermore, the city also receives the national grant to undertake its informal settlement upgrading projects.

3.6. THE RELOCATION OF INFORMAL SETTLEMENT DWELLERS INTO MULTI-STOREY BUILDINGS

The relocation of informal settlement dwellers into multi-storey buildings as an intervention to informal settlements in South Africa requires caution, as it is not the ideal solution according to the UISP which treats relocation as a last resort and requires minimal disruption to people's lives. When it is adopted, it must be done with much attention to livelihoods and other household need and must ensure that participation is meaningful. Part of the UISP funding programmes includes the identification of beneficiaries who will occupy housing units. The National Housing Code outlines the process of identifying beneficiaries and their qualifying criteria. The criteria identify those who will benefit and those who will not benefit from phase 4 of the programme. It is significant to evaluate how the construction of the multi-storey buildings influences how beneficiaries interact with the buildings; what happens to beneficiaries after they move into the multi-storey units; how they maintain these units and lastly what happens to the beneficiaries' livelihoods.

3.6.1. FINDING AN ALTERNATIVE, SHIFTING MINDSETS

South Africa has a history of mass provision of free-standing houses which had challenges. According to Visagie *et al.*, (2020), a solution to the housing backlog is to shift from the mass provision of free-standing housing that further create urban sprawling. According to Galuska (2020), multi-storey housing has become an alternative for accommodating the low-income urban population in Asian cities such as Singapore. Building up can double the space convenient for housing and free up vacant spaces although this depends on the design. The relocation of informal dwellers into multi-storey buildings as an intervention to informal settlements in South Africa requires a change in the mindsets of all stakeholders. However,

multi-storey housing has experienced problems. This occurs when developments disturb the livelihoods of informal settlement dwellers when the upgrade produces no space for dwellers to conduct their businesses.

3.7. UISP IMPLEMENTATION PROCESS

The implementation of the UISP specifically phase four involves different processes such as the identification of beneficiaries, the allocation of housing units, multi-storey buildings for revenue enhancement, moving into the multi-storey buildings, the management of multi-storey buildings and the livelihoods in the multi-storey buildings. The above-mentioned aspects are critical for the effective implementation of phase four of the UISP. Each aspect will be detailed below.

3.7.1. IDENTIFICATION OF BENEFICIARIES

In phase four of the UISP beneficiaries are informal settlement dwellers who meet the subsidy criteria. Identification of beneficiaries constitutes a significant step in the implementation of the UISP. The participation process mentioned in the Housing Act fulfils an important role in comprehending how beneficiaries are selected. However, Ziblin *et al.*, (2013) mention that the implementation of the UISP is characterised by contestation. Therefore, community participation assists in addressing contestation challenges as the subsidy administration processes are explained during community engagement.

3.7.2. ALLOCATION OF HOUSING UNITS

The inclusion of communities in the implementation of housing programmes mitigates contestations during the allocation of housing units. According to Meth *et al.*, (2019), the contestation over housing units has been a hindrance to the effective implementation of housing programmes. The housing backlog has exacerbated the contestation as the waiting list for adequate housing increases due to rapid urbanisation. The allocation of housing is outlined in the Nation Housing Code of 2009 and at a local level. The city of Johannesburg has developed a Housing Allocation Policy that deals with the allocation of its housing stock.

The CoJ's Housing Allocation Policy outlines the processes followed in the allocation of housing units. The housing allocation is also based on a first come first serve basis which allows beneficiaries to submit their documents. The National and Local policy advocates for community engagements concerning the allocation of housing units.

Hammond Farm in eThekweni, KwaZulu Natal is an example of relocating informal settlement dwellers into multi-storey buildings (Meth & Buthelezi, 2017). However, the allocation of housing units was criticised as informal settlement dwellers believed that the process was not inclusive. There was minimal social cohesion as the initial allocation process excluded foreign nationals from benefiting. However, foreign nationals can be included in the multi-storey buildings when beneficiaries decide to lease or dispose of their properties (ibid.).

3.7.3. MULTI-STOREY BUILDINGS FOR REVENUE ENHANCEMENT

The development of a city is dependent on its ability to generate revenue (Visagie and Turok, 2020). The construction of multi-storey buildings is key to revenue collection. The city's revenue streams depend on property rates and services delivery payments. Therefore, municipalities lose revenue by neglecting the upgrade of informal settlements. This results in a loss of revenue collection through municipal service delivery (Visagie and Turok, 2020). According to Massey (2013), the City of Cape Town constructed multi-storey buildings to convince more people to pay for municipal services, thus, increasing their revenue collection. However, Massey (2013) mentions that this is an economic and technocratic upgrading of informal settlements which rejects the socioeconomic challenges of the beneficiaries. The focus on revenue collection through housing provision has made the relocation of informal settlement dwellers into multi-storey buildings fixated on the provision of services and ignored the design layout of the newly developed settlements (Visagie and Turok, 2020).

3.7.4. MOVING INTO THE MULTI-STOREY BUILDINGS

Visagie and Turok (2020) emphasise that South Africa can effectively use vacant space by building upwards. However, relocating informal settlement dwellers into multi-storey buildings without addressing socio-economic challenges runs the risk of converting them into vertical informal settlements. Public housing can decay at a rapid rate leading to multi-storey buildings becoming unattractive vertical informal settlements (Nassar and Elsayed, 2018).

Nevertheless, Meth & Buthelezi (2017) mention that moving beneficiaries into multi-storey buildings has an impact on their safety, space and privacy. Security features such as burglar guards represent safety devices that are part of the multi-storey buildings which improves the safety of beneficiaries. The materials used in upgrading informal settlements have made the housing units not vulnerable to fire which causes a hazard to informal settlements. Informal settlements are equally vulnerable to flooding because of the slopes they are situated within. Therefore, moving into multi-story buildings can mitigate the vulnerabilities faced by informal settlement dwellers.

3.7.5. MANAGEMENT OF MULTI-STORY BUILDINGS

South Africa has high rates of unemployment and crime. Informal settlements are often located in areas that experience high rates of unemployment and crime. In situ upgrading of informal settlements without addressing unemployment can be unfavourable to the beneficiaries of multi-storey buildings. Multi-storey buildings require effective management to maintain their standards and avoid reversing them into vertical informal settlements. Beneficiaries are required to pay levies to manage and maintain the multi-storey buildings. Galuska (2020) mentions the failure to manage multi-storey buildings can constitute a risk for demolition and further relocation.

Beneficiaries must take ownership of the multi-storey buildings and the spaces around them. According to Keller and Mukudi-Omwami (2017), multi-storey buildings must have a homeowners association. In South Africa, the Sectional Titles Scheme Management Act 8 of 2011 regulates the formation of homeowners associations and management of common property within a sectional title scheme. The association is responsible for managing the complex, including its maintenance and collection of levies. However, there are instances where beneficiaries fail to pay levies leading to the dilapidation of the multi-storey buildings and the space around them. Ehebrecht, (2015) mentions that the empowerment of beneficiaries on how to maintain the multi-storey buildings has resulted in a sense of ownership.

3.7.6. LIVELIHOODS IN MULTI-STOREY BUILDINGS

The UISP results in a change in spaces. According to Rocha (2018), space changes demonstrate effective informal settlements upgrading. Notably, spaces in informal settlements can be utilised for economic purposes. Therefore, according to Meth & Buthelezi (2017), the relocation of residents into multi-storey buildings can affect their livelihoods. According to Massey (2013), informal settlement upgrades must maintain open spaces. The open spaces are managed to access alternative forms of livelihoods for beneficiaries. However, the change in space after an informal settlement upgrade can limit the beneficiaries' access to economic opportunities. Therefore, Meth & Buthelezi (2017), state that the change of space must consider how beneficiaries will interact with the multi-storey buildings.

According to Massey (2013), some developments do not consider informal economic activities and fail to provide public spaces for public meetings. These developments disadvantaged beneficiaries who relied on social networks to conduct business. The multi-storey buildings are developed to maximise the vacant land spaces through densification. Therefore, the implementation of the UISP should ensure beneficiaries have space to continue with their livelihoods. According to Visagie and Turok (2020), the ground level of multi-storey buildings in South Africa can be utilised for various functions to accommodate beneficiaries' livelihoods.

3.8. CONCLUSION

South Africa implemented various policies to address its housing backlog. Though not the recommended intervention informal settlement dwellers can be relocated into multi-storey buildings through the implementation of the UISP. However, the implementation of the UISP has limitations. These limitations include the interpretation and lack of understanding of the UISP which affects its implementation. Nonetheless, there are successes in their relocation of informal dwellers into multi-storey buildings such as the dignity of beneficiaries being restored through adequate housing.

4. LOCATING THE STUDY AREA: PRINCESS INFORMAL SETTLEMENT

4.1. INTRODUCTION

Chapter four introduces the study area by outlining the demographic statistics of the country leading to the city of Johannesburg (CoJ). Furthermore, the chapter discusses the location of the Princess informal settlement. Lastly, the chapter concludes with a summary of key points.

The city of Johannesburg as an economic hub has experienced its population increase from 4.4 million to 5.87 million over the last 10 years, this contributed to the housing backlog and resulted in the rise of informal settlements (CoJ, 2021). The city of Johannesburg is experiencing a housing backlog and the Princess informal settlement is a result of the housing challenge. However, the City through its housing entity the Johannesburg Social Housing Company (JOSHCO) is implementing the UISP at the Princess informal settlement to provide the residents with adequate housing.

4.2. BACKGROUND ON THE CASE STUDY

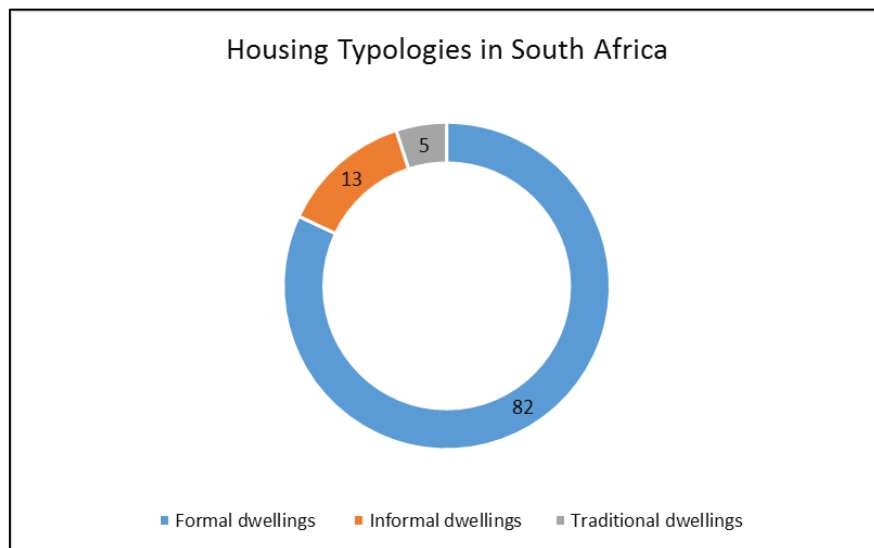


Figure 2: Housing typologies in South Africa (StatsSA, 2019)

South Africa remain a spatially unequal country as a result of apartheid spatial planning. This is demonstrated by the different housing typologies households occupy. The figure above indicates that in 2019, 82% of South Africa's households lived in formal dwellings, followed by 13 % of households living in informal dwellings, and 5 % living in traditional dwellings (StatsSA, 2019). In 2017, 13 % of South Africa's households were occupying state-subsidised dwellings

(StatsSA, 2019). This is a result of the housing programmes initiated by the state to provide adequate housing since 1994. However, according to Hunter and Posel (2012), housing development after the democratic dispensation was slow and gained momentum in 2000.

Gauteng's population has increased from 9 764 000 in 2002 to 15 055 000 in 2019 as indicated by figure 2 (StatsSA, 2019). The Province has approximately 5 072 000 households as per the stats household survey (StatsSA, 2019). The city of Johannesburg has 19.1% of households living in informal dwellings while 80.1% of the households live in formal dwellings (StatsSA, 2019).

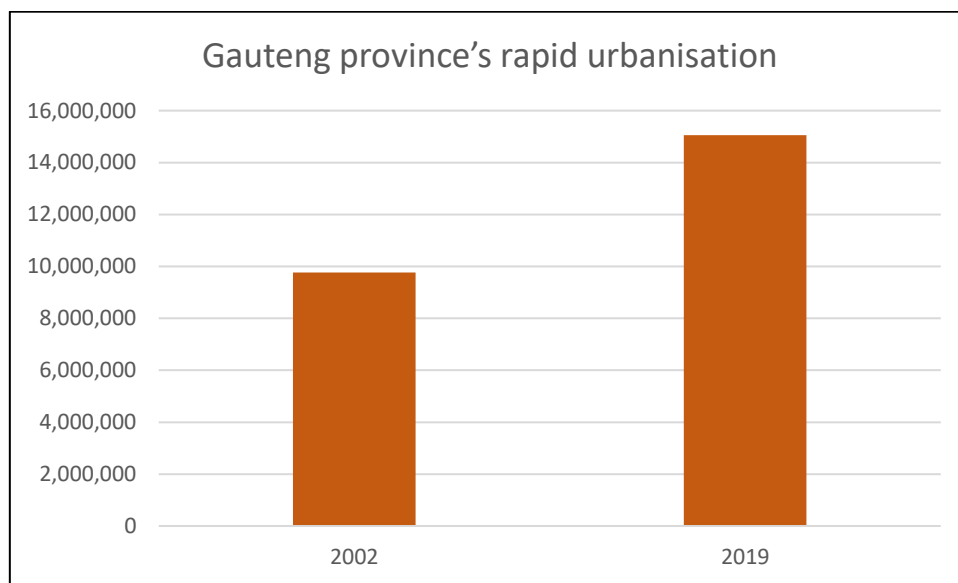


Figure 3: Gauteng Province's rapid urbanisation (StatsSA, 2019)

According to the CoJ's IDP, urbanisation has increased by an average of 2.91% annually. This rapid urbanisation has applied pressure on the city's infrastructure and its ability to deliver services. The housing problem in the CoJ is recognised as an economic problem which is a demonstration of the high unemployment rate faced by the city. The city of Johannesburg's unemployment rate is at 32.7% (CoJ IDP, 2020/21).

The city of Johannesburg has a housing backlog of approximately 448 200 units (CoJ, 2020). This housing backlog includes informal settlements, overcrowding in the hostels, non-regulated backyard rental; inner-city overcrowding and homeless people. There are 211 recorded informal settlements in the city of Johannesburg (CoJ, 2020). This indicates that part of the population in the City is experiencing spatial exclusion.

The city of Johannesburg has identified programmes to address land issues, the formalisation of informal settlements, the construction of social housing and the construction of houses along transport corridors (CoJ IDP, 2020/21). However, for the 2020/2021 financial year, the

city had only spent 11% of the budget committed to the implementation of their Urban Settlement and Development Grant (USDG) UISP projects by the second quarter. This indicates a delay in the implementation of its UISP projects.

The Princess Informal Settlement which represents the case study for the research is located in Region C of the city of Johannesburg in Gauteng province. Abede, (2011) mentions that Informal settlements are known to be located close to transport routes, industrial areas and the central business district (CBD). The informal settlement is unique within Johannesburg as it is adjacent the Westgate Mall. Informal settlements can also be found next to shopping complexes and factories where the dwellers are the workforce. The work performed by informal settlement dwellers is relatively low paying and informal as dwellers are likely to be low-skilled labourers (Hunter and Posel 2012). The Princess informal settlement is embedded in established suburban neighbourhoods such as Witpoortjie, Grobler Park, Lindhaven and Helderkruijn.

Albertina Sisulu Road forms the spine of the Princess informal settlement. The Informal settlement is also close to Ontdekkers Road. As indicated in figure 4 below there are various shopping centres along the Ontdekkers road, such as Flora centre, Ontdekkers centre, Flora junction, Westgate mall, Wilrogate centre and the Princess crossing centre. The Princess informal settlement is located next to the Westgate mall, Wilrogate shopping centre and the Princess Crossing Shopping centre. The informal settlement is also located close to the Princess train station. According to Marias, (2010) the Princess train station is within the Princess node which is characterised by retail and industrial uses. The Princess node has great accessibility potential because of its convenient location to Ontdekkers Road and the Princess train station.

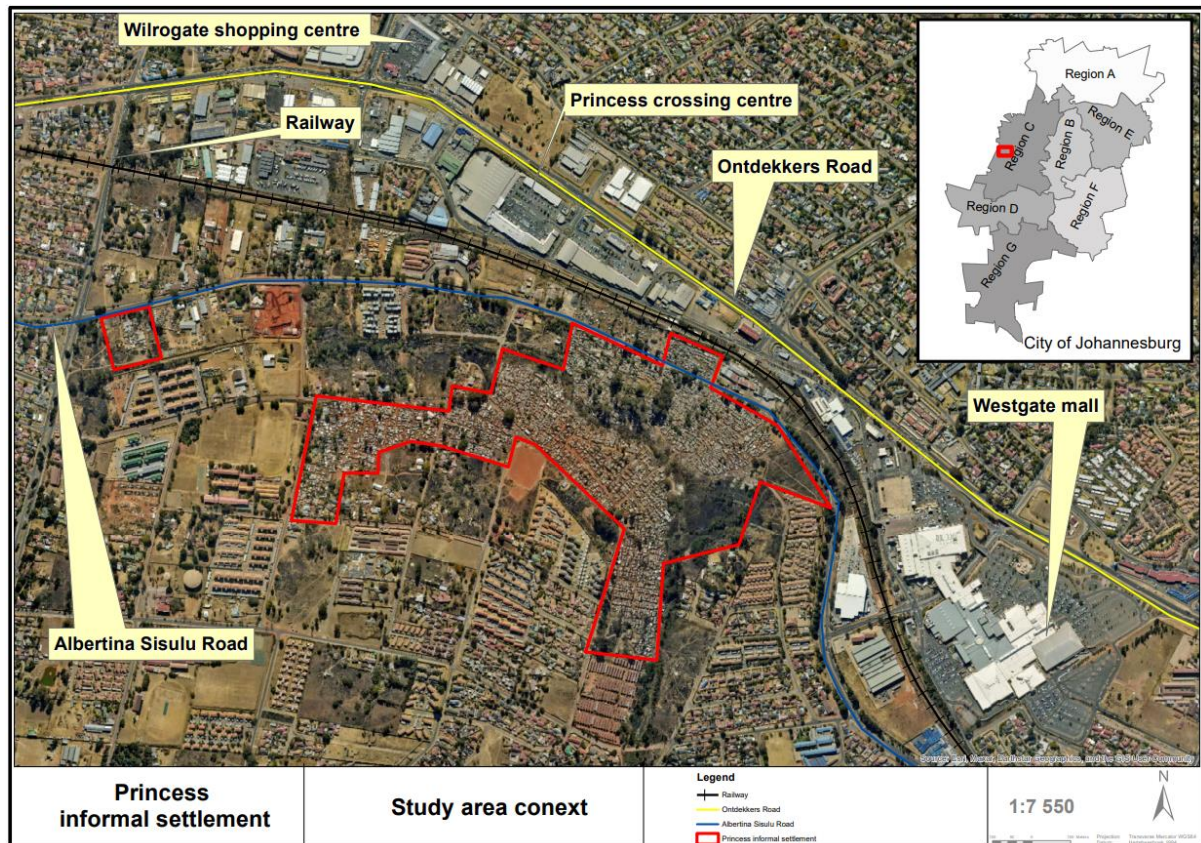


Figure 4: Study area context (Own construction, 2022)

4.3. PRINCESS INFORMAL SETTLEMENT

The Princess informal settlement was established before 2007 (Mabasa, 2019). The figure below indicates the Princess informal settlement. According to (Municipal official 4, 2021 personal communication), the Princess informal settlement accounts for approximately 4000 residents.

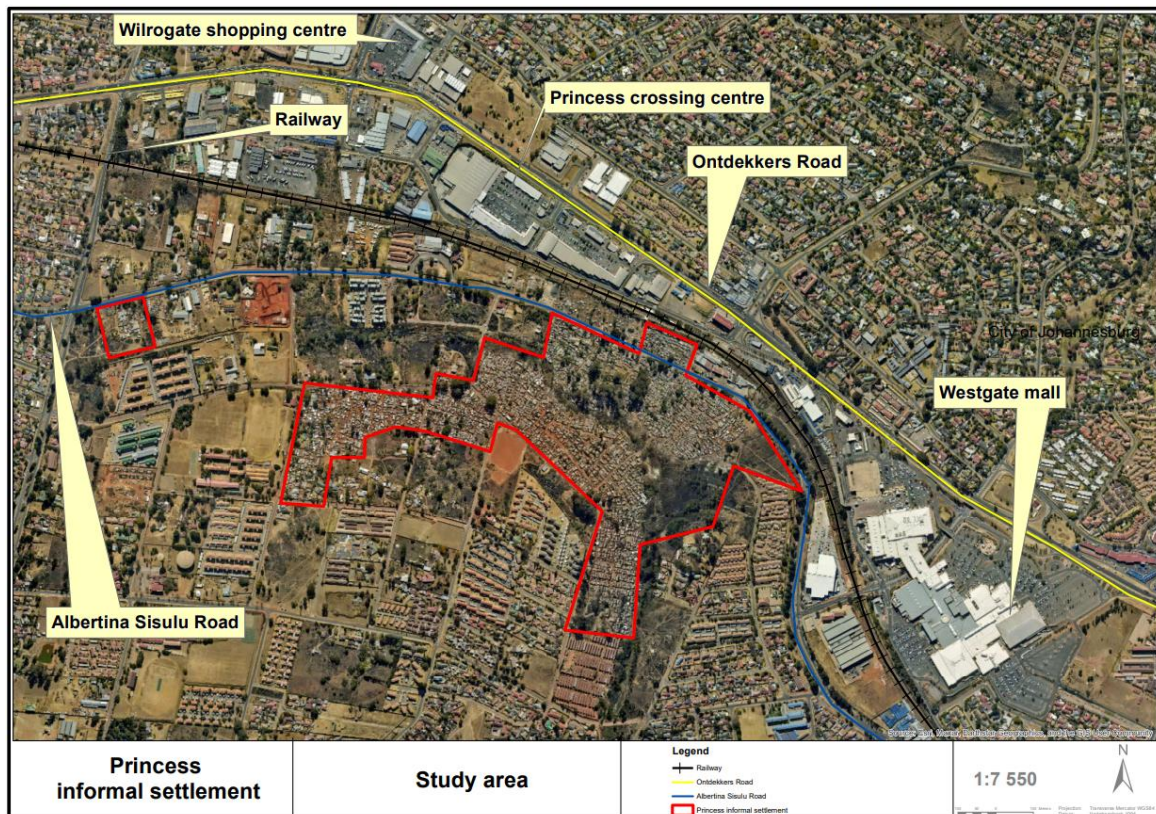


Figure 5: Princess Informal settlement (own construction, 2022)

Figure 6 below represents activities undertaken by stakeholders in the implementation of the UISP at Princess informal settlement.

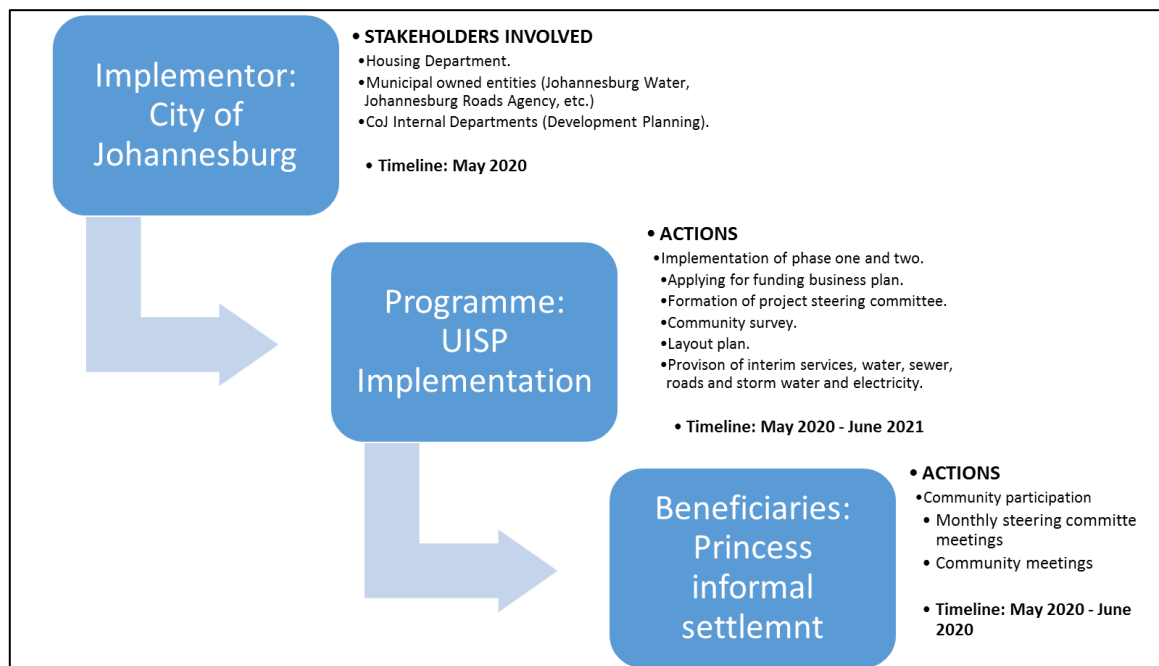


Figure 6: Implementation of the UISP by the CoJ at Princess Informal Settlement (Own construction, 2021)

The unavailability of adequate land for housing delivery is because of the dolomite that underlies part of Johannesburg (Marutlulle, 2017). According to Marias (2010), the Princess node has challenges, and one of them is the Princess informal settlement which is located in an environmentally vulnerable area. The location of the informal settlement in an environmentally sensitive area influenced the relocation of the informal settlement dwellers into higher density housing typology (Mabasa, 2019). Some of the informal settlement structures are located within a 1: 100-year flood line as indicated by figure 7. This exacerbates flood risks with the area. Therefore, due to the flood line, the informal settlement upgrade will not accommodate all the informal structures.

The informal settlement upgrade in Princess will ensure that the flood area falls within a high control zone (Mabasa, 2019). The development will demarcate and protect the area within the flood line from future invasion. The commissioned town planning report on the settlement by Mabasa (2019) mentions that the land within the flood line can be used for urban agriculture. This will ensure that the programme empowers beneficiaries. The city of Johannesburg will be responsible for an environmental awareness programme to promote urban agriculture in Princess. According to Mabasa (2019), the community will be trained in urban agriculture and they will also be provided with material to practice urban agriculture at the Princess settlement.

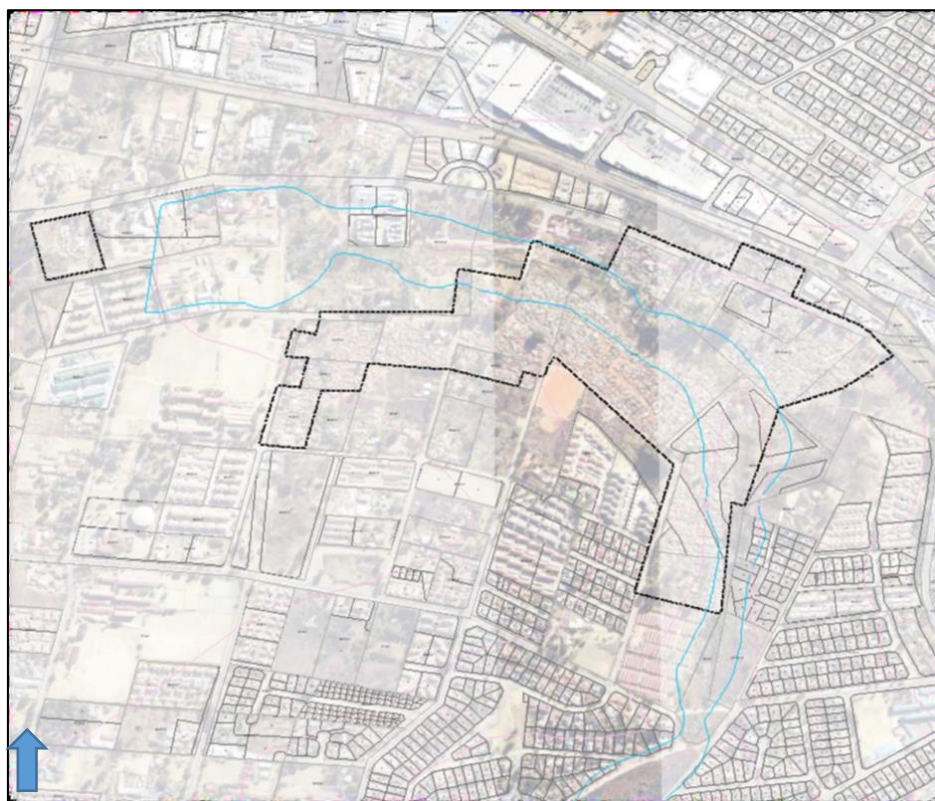


Figure 7: Informal structures within a 1:100 year flood line (Mabasa, 2019)

The figure below depicts the residential typologies of Princess informal settlement upgrade. The area will consist of two residential types as per the city of Johannesburg's Land Use Scheme (LUS). These are free standing houses and multi-storey building units. Moreover, the upgrade of Princess informal settlement includes road networks, public spaces, amenities and the demarcation of environmentally sensitive areas. There will be 2 772 new housing units as a result of the upgrade (Mabasa, 2019). Furthermore, the development will have a higher density with various housing typologies to accommodate the relocation of the structures within the flood line. Land will be identified for the remaining households that will not form part of the beneficiaries (ibid.).

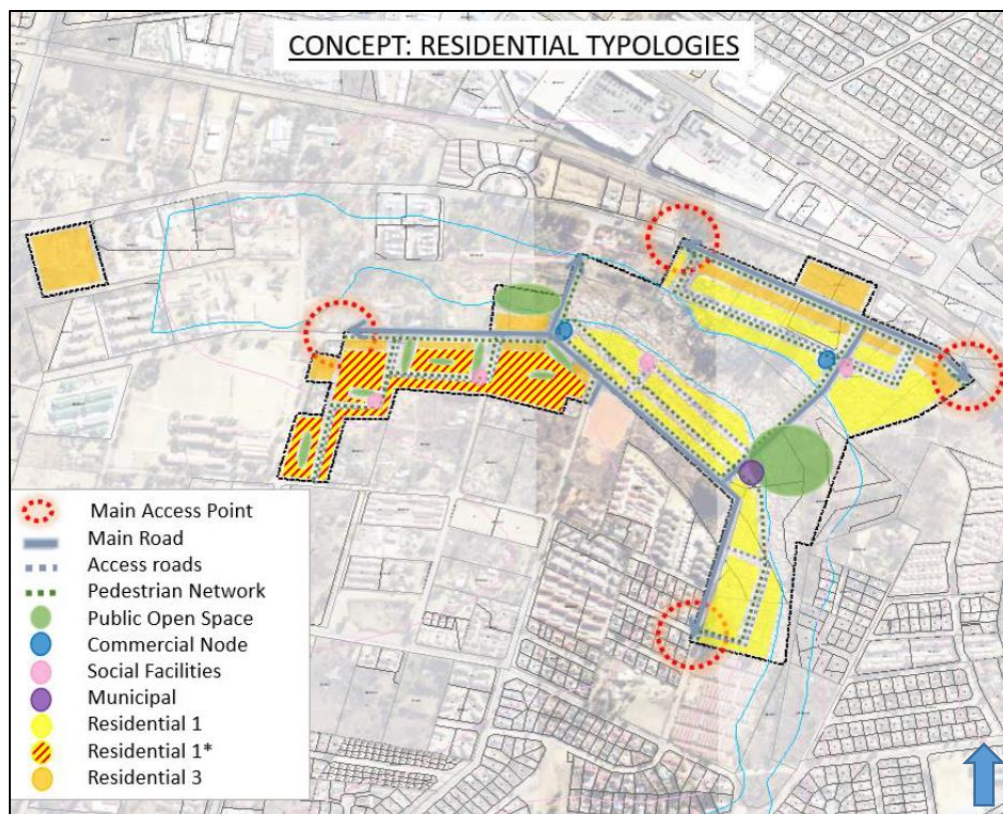


Figure 8: Residential Typologies (Mabasa, 2019)

Over the years, the community in Princess Informal Settlement has participated in service delivery protests. In 2011, the community protested against the allocation of new multi-storey buildings developed by the Provincial Government. Motsamai (2011) states that informal settlement dwellers protested because they believed the multi-story buildings would benefit residents outside their settlement. Community members also complained about the lack of political leadership in their ward, as their grievances were not being addressed. As a result, the provincial and local governments got involved in trying to solve the housing challenge at the Princess informal settlement. A committee was established which included community representatives, CoJ officials and provincial officials from the Department of Human

Settlements. However, in 2017 the Eye Witness News further reported an incident where informal settlement dwellers blocked roads protesting for service delivery. During the protest, community members complained about the lack of houses, water and electricity (Magwedze, 2017). This type of participation at the Princess informal settlement is a characteristic of invented spaces of participation where the community initiates participation through protests to express their grievances.

4.4. CONCLUSION

Informal settlements constitute part of the housing backlog in cities such as the City of Johannesburg (CoJ). The UISP is being implemented by the CoJ in the Princess informal settlement to provide adequate housing. The implementation of the UISP at the Princess Informal Settlement is an in situ upgrade. However, this upgrade has been met with challenges. These challenges include the inconsistent implementation of the UISP and environmental challenges. The flood line at the Princess informal settlement has provided an environmental challenge as some of the structures are located within the flood line. This has resulted in limited space to develop housing, therefore, the appointed planners opted to develop multi-storey buildings to accommodate beneficiaries. The upgrade at the Princess informal settlement has been envisaged to empower the settlement dwellers as part of the objective of the UISP. The CoJ aims at empowering the community through urban agriculture.

5. FINDINGS AND ANALYSIS

5.1. INTRODUCTION

Chapter five responds to the research question and sub-questions outlined in chapter one. The chapter presents my analysis of the status quo of the UISP implementation at Princess Informal settlement using the responses of the interviewees. The analysis is based on issues that emerged during the interviews. These issues are the experiences of the multi-storey building's beneficiaries in the Princess Informal Settlement. Furthermore, this chapter analyses how informal settlement dwellers can be relocated into multi-storey buildings at the Princess informal settlement through the implementation of phase four of the UISP.

Primary data were collected through semi structured interviews. Eight in total participants were interviewed. 4 participants from the city of Johannesburg's Housing Department officials and 4 from the Princess Informal settlement community members. The information gathered was analysed through the coding system. The respondents don't represent the community therefore the findings from this small group are preliminary. (*Refer to chapter one sections on data collection and analysis*).

The CoJ has only implemented phases one and two at the Princess informal settlement; it has not implemented phase four of the UISP. There are, however, there are previously existing multi-storey buildings at the Princess Informal Settlement that house beneficiaries from the Princess informal settlement as indicated by the figure below. These multi-storey buildings are positioned adjacent to the informal settlement. The buildings were a result of an intervention by the city of Johannesburg and the Provincial Department of Human Settlements at the Princess Informal settlement. Beneficiaries moved into the multi-storey buildings in 2018 (Community member 4, 2021 personal communication)

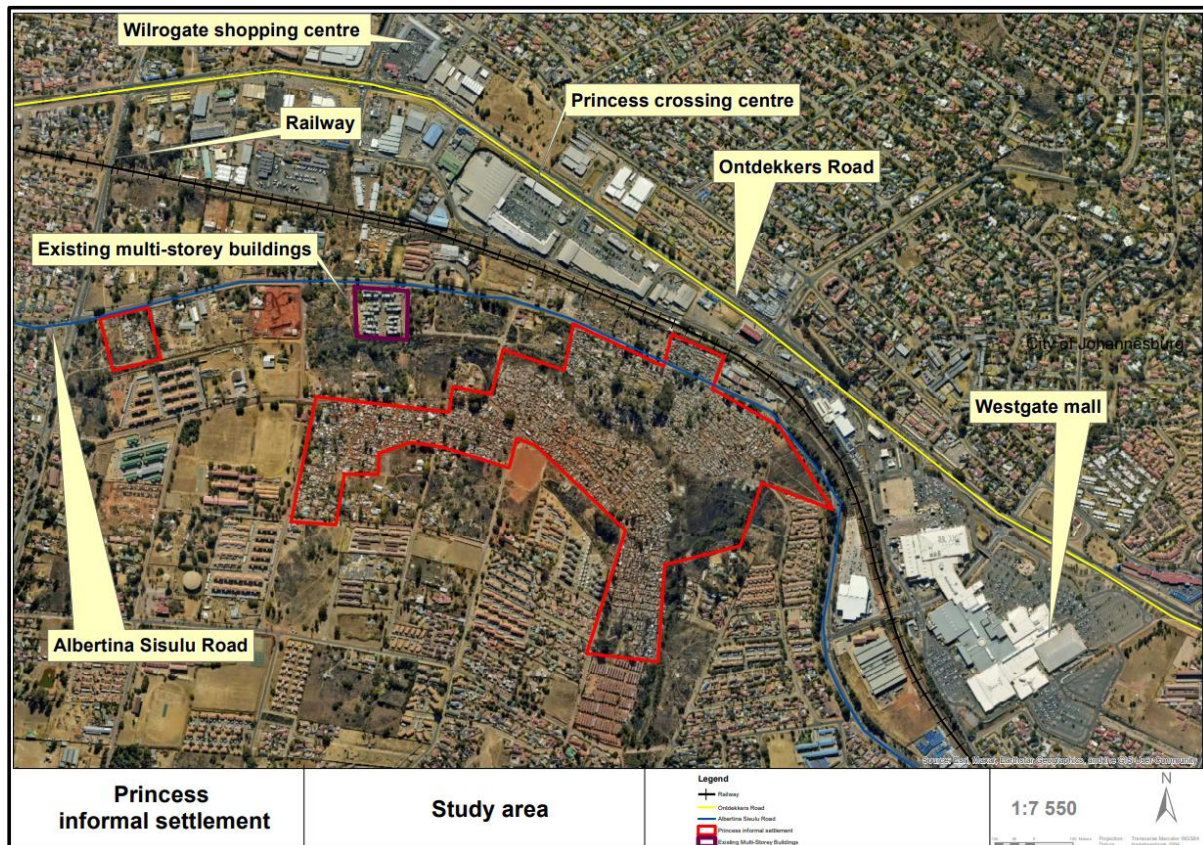


Figure 9: Existing multi-storey buildings at Princess Informal Settlement (Own construction, 2022)

Two projects are being implemented at the Princess informal settlement, one is being implemented by the CoJ and the other by the Gauteng provincial government. This is because the CoJ and the Gauteng government own different pieces of land at the Princess Informal settlement which they are both developing. The provincial government appointed a team to establish a township at Princess Informal Settlement and relocated informal settlement dwellers into multi-storey units. The provincial government has developed multi-storey buildings at the Princess Informal Settlement, and the allocation was through the city and provincial government (Municipal official 2, 2021 personal communication). Figure 10 below represents the multi-storey buildings developed Gauteng Department of Human Settlements. The funding was different from how the UISP is funded. There was no grant for the development of the multi-storey buildings (Municipal official 3, 2021 personal communication). However, the CoJ is taking over the projects at the Informal settlement, “we have consolidated all activities and have appointed a consultant to relook the entire Princess Informal settlement. We are planning on securing any land within the project area” (Municipal official 3, 2021 personal communication).



Figure 10: Type of multi-storey buildings at Princess Informal Settlement (own construction, 2022)

Notably, these multi-storey buildings are not part of the UISP implementation at the Informal settlement. Beneficiaries of the multi-storey buildings were allocated housing units through the collaboration between the local and provincial governments. A municipal official indicated that the city was involved, but the implementing agent for the 281 units at Princess Informal Settlement was the Gauteng Department Human Settlements (Municipal official 4, 2021, personal communication). These are RDP multi-storey housing units which is the Residential Development Programme, one of the programmes in the 2009 Housing Code. It can be argued that the provincial government has implemented phase four of the UISP. Therefore, these multi-story buildings were used in this study to determine how the city can effectively implement the relocation of informal settlement dwellers into multi-storey buildings through the UISP.

5.2. IMPLEMENTATION OF THE UISP AT PRINCESS INFORMAL SETTLEMENT

The city of Johannesburg's Housing Department recently started the implementation of UISP at the Princess Informal settlement. The city of Johannesburg has implemented phases one and two of the UISP however, there were challenges experienced during implementation. The implementation of the two phases involved developing a layout for the Princess Informal Settlement which accommodated 1210 new sites, while the aggregate population of the settlement is around 4000 people, this resulted in the contestation of space and the community grouped themselves in terms of their political affiliation to contest the process (Municipal official 4, 2021 personal communication). Other challenges as drawn from the interviews include the interpretation of the UISP; lack of public participation; lack of leadership from the community and lack of clarity of roles and responsibilities by stakeholders.

5.2.1. INTERPRETATION OF THE UISP

To effectively implement any programme requires a thorough understanding of what the programme entails. The city of Johannesburg was previously involved in misinterpreting the Cities Without Slums programme. The misinterpretation of policy bears consequences for the city one official indicated that "the city of Johannesburg gets involved in court cases because we fail to effectively interpret policy" (Municipal official 1, 2021 personal communication). Community members protested against foreign nationals benefiting from the initial phases of the UISP as the municipality failed to interpret and explain that the first three phases benefit the whole community. "As administrators, this is a step we miss and results in community protests" (Municipal official 1, 2021 personal communication). Ziblin *et al.*, (2013), mention that the UISP has been contested where it has been implemented. These contestations deter achieving all the objectives set out by the programme. Moreover, there is a gap in understanding of the UISP by the community at the Princess Informal Settlement. A municipal official mentioned that there is a lack of understanding of the programme communities expect top structures in phase one (Municipal official 4, 2021 personal communication).

5.2.2. LACK OF PUBLIC PARTICIPATION

The implementation of phase 1 and 2 of the UISP has been inconsistent due to a lack of participation. The lack of public participation is not new in the Gauteng Province. Reed *et al.*, (2010) cited that the province has previously lacked community participation in the upgrading of informal settlements. At the Princess informal Settlement, the lack of public participation was also influenced by the political leadership, as community members indicated that their councillor does not attend community meetings (Community member 1, 2021 personal communication). The failure of the political leader to attend meetings influences the lack of participation from the residents as some issues do not get resolved without his or her presence. The Princess informal settlement has experienced issues with the project steering committee. There is a faction in the settlement that disputes the current steering committee stating that the structure was never established in a public meeting (Municipal official 3, 2021 personal communication). However, during interviews with municipal officials, it was evident that a steering committee had been established during a public meeting. A municipal official indicated that “the community is excited and they appreciate being part of the decision making and process definition” (Municipal official 4, 2021 personal communication). The steering committee meets regularly every month and community representatives present the wishes of the community despite the opposition from one faction.

The lack of public participation has exacerbated inequalities in countries such as India where people are left behind in informal settlements as projects are at a halt. Scholars such as Ehebrect, (2015) and Fiew, (2015) emphasise the role of public participation in the implementation of the UISP. This was reiterated by a municipal official who mentioned that,

Organised community structures are important in the implementation of policy because they share their experiences” (Municipal official 1, 2021 personal communication). The municipal officials emphasised the importance of community engagement in the implementation of UISP specifically phase four, another official echoed the same views and mentioned that “the community would choose what type of structures they want to develop in phase four of the UISP. If they want to have a People’s Housing Process (PHP) we get our unit within the department that deals with PHP. That unit engages with communities; they apply for funding which is the housing subsidy amount. The unit then applies to start building houses depending on what the community requires (Municipal official 2, 2021 personal communication).

5.2.3. LACK OF LEADERSHIP

The Princess Informal Settlement experienced various factors limiting the implementation of phase 1 and 2 of the programme, factors such as the leadership in the area (Municipal official 3, 2021 personal communication). The community at Princess Informal Settlement has elected public representatives however, there is a lack of leadership within the community as there are multiple groups of concerned community members (Community member 1, 2021 personal communication). These factions all claim to represent the community, therefore, presenting conflicting community concerns. This behaviour by some community leaders demonstrates their lack of leadership (Municipal official 2, 2021 personal communication). The lack of leadership within the informal settlement renders it difficult to obtain buy-in from the community.

The lack of leadership impedes the effectiveness of community engagement processes. Jiboye (2011) emphasises the role of civil society in the implementation of programmes and holding implementers accountable. The community of Princess informal settlement attends block meetings where they comment on the layout plan. However, the battle concerning leadership has resulted in invented spaces of participation at the informal settlement, a community initiates these spaces, not the state. The factions disrupt community meetings to initiate debates, “one faction moved us from the community hall saying we don’t have a right to have a meeting without them” (Community member 2, 2021 personal communication). The different factions want to be seen as the groups responsible for development at the Princess informal settlement. Moreover, some factions are self-serving as there are allegations that some leaders are renting out spaces in the informal settlement therefore will oppose a development that will result in demolishing their informal structures (Municipal official 3, 2021 personal communication).

5.2.4. LACK OF CLARITY OF ROLES AND RESPONSIBILITIES BY STAKEHOLDERS

The implementation of the UISP requires partnerships, which includes internal and external stakeholders. The CoJ consists of internal Departments and Municipal Owned Entities (MOEs) that work with the Housing Department in Implementing the UISP. These departments and MOEs fulfil various roles in the provision of services during the informal settlement formalisation process. In the current financial year (2021/2022), the City received R646 million to implement informal settlement interventions. This grant is shared with other municipal entities. The Housing Department shares the grant with City Power and Johannesburg Water (Municipal official 2, 2021 personal communication and Municipal official 4, 2021 personal communication). The budget sits with the Housing Department and it's allocated to other MOEs for the provision of services (Municipal official 2, 2021 personal communication and Municipal official 4, 2021 personal communication). The Department of Planning is responsible for township application approval, the City's Johannesburg Water is responsible for installing water, JRA is responsible for municipal roads and City Power is responsible for electricity provision, when a settlement is under Eskom's area of responsibility the city submits an application for electrification to Eskom (Municipal official 2, 2021 personal communication).

While the city understands the role played by the different stakeholders there are issues around policy alignment. Policy misalignment is at the implementation level where you begin to see gaps (Municipal official 4, 2021 personal communication). There is a misalignment on what grants are meant to address, "we are only given the grant to go install electricity and that grant excludes other social issues. The Housing Department then carries the responsibility of addressing those social" (Municipal official 4, 2021 personal communication). Ehebrect (2015) states that a lack of good governance principles results in gaps between policy and implementation of the UISP. This can be a result of the lack of adhering to good governance principles such as transparency between stakeholders on what their needs are.

There are Intergovernmental Relations (IGR) between the CoJ, Province and other stakeholders, however, there is an issue with how the Province and the city plan. This emanates from how the UISP is funded. The Provincial Government received funding for the UISP to carry out projects in Gauteng. The City also receives funding to implement the UISP. The city and the provincial department meet to discuss project funding, the discussions reveal the gaps in planning (Municipal official 2, 2021 personal communication). Some of the gaps are the misaligned ideas on planning and funding for urban spaces. At the Princess Informal Settlement, the Gauteng Department of Human settlements has considered building houses

in the past. However, the provincial Department recently came back to implement some of those programmes they had packaged (Municipal official 4, 2021 personal communication). The UISP is a funding programme with associated tasks to implement the upgrading of informal settlements. Therefore, if a state department finds other funding to do it, it is still implementing informal settlement upgrading.

5.3. RELOCATING INFORMAL SETTLEMENT DWELLERS INTO MULTI-STOREY BUILDINGS AT THE PRINCESS INFORMAL SETTLEMENT

The interviews with residents of the multi-storey buildings indicated that there were challenges in the implementation process, from the identification of beneficiaries to how beneficiaries manage their livelihoods after relocation.

5.3.1. IDENTIFICATION OF BENEFICIARIES

“At the Princess Informal Settlement beneficiaries of the multi-storey buildings are people that were staying at the informal settlement, these are people who had an approved subsidy under the Princess Informal Settlement housing development” (Municipal official 4, 2021 personal communication).

Ziblin *et al.*, (2013) and Meth *et al.*, (2019) cited contestation as one of the challenges of the UISP. Some community members at Princess informal settlement believe that community engagement was not followed during the selection of beneficiaries. The community is of the view that the CoJ and the Provincial department were not transparent in the beneficiary selection process. “We saw a list but that list changed three times before they released a final list of beneficiaries” (Community member 2, 2021 personal communication). Fearing being victimised and being removed from the list community members didn’t inquire why the list kept on changing. “We didn’t ask as we were delighted that we are moving into the multi-storey buildings” (Community member 2, 2021 personal communication). For effective implementation of the UISP, Visagie and Turok (2020) mention that transparency and accountability are required.

A municipal official indicated that during the subsidy administration process, there was a protest at the Princess Informal Settlement. Communities claimed that people who only just arrived in the communities benefited while those who stayed there longer did not benefit

(Municipal official 1, 2021 personal communication). The community has been complaining that some beneficiaries are new and have been staying at the informal settlement for less than 5 years and some are foreign nationals while those who have been residing at the Princess Informal settlements since the inception of the informal settlement did not benefit (Community member 4, 2021 personal communication). This demonstrated the lack of understanding of the beneficiary selection process by some community members.

5.3.2. ALLOCATION OF HOUSING UNITS

“House allocation is for an individual, not the community. The other phases deal with the community while the latter phase is for individuals” (Municipal official 1, 2021 personal communication).

The CoJ is adamant that the allocation of the housing units was transparent as the list of all the beneficiaries that were approved as published in the Princess Informal Settlement. “I have personally seen that particular list being published where people were invited to come forth. A person doesn’t just get a subsidy; you attempt to apply. Some people were invited and applied a long time ago for that particular subsidy and hence they were allocated those particular units” (Municipal official 4, 2021 personal communication). A concern was that some housing units were allocated to unfamiliar faces within the community, mostly foreign nationals (Community member 1, 2021 personal communication). This indicated a lack of understanding of the beneficiary selection process by the community. The housing qualification criteria is clear in the UISP, foreign nationals are not eligible to qualify for top structures provided by the government (Municipal official 1, 2021 personal communication).

The city of Johannesburg has a Housing Allocation policy that advocates for the involvement of the community concerning the allocation of housing units (CoJ, 2021). In India the allocation of Housing units is managed by a committee that involves the community, however, the process is still contested (Hindman *et al.*, 2015). The contestation by communities in terms of the allocation of housing units is due to the social facilitation phase being missed by the municipality which is why there is contestation in the housing allocation (Municipal official 1, 2021 personal communication). The social facilitation process is used to explain how housing units are allocated.

Beneficiaries with disabilities were allocated on the ground floor at the Princess Informal Settlement. However, a municipal official indicated that in some multi-storey developments the city allocated upper floor units to people with disabilities. This highlights the institutional

incapacity to implement policies. Moreover, this was due to the city's lack of strategy for allocating housing units to people with disabilities in multi-storey buildings.

5.3.3. INTERACTION WITH THE MULTI-STOREY BUILDINGS

"We can't light a fire outside when we want to perform our cultural rituals" (Community member 3, 2021 personal communication).

Beneficiaries are experiencing difficulty in interacting with multi-storey buildings. The interviewed beneficiaries claim that they were not told the rules of multi-storey buildings. Some beneficiaries expressed that they cannot practice their cultural rituals (Municipal official 1, 2021 personal communication). This challenge resulted in other beneficiaries rejecting multi-storey buildings at the Princess Informal Settlement and opting to lease out their units while staying at the informal settlement. "We can't practice our cultural rituals as we are not allowed to slaughter here" (Community member 3, 2021 personal communication). The usage of the parking space for business purposes renders the space unsafe for residents. Moreover, a beneficiary indicated that "Sharing common spaces invades our privacy and disturbs our peace, it's difficult to rest with all the noise in the corridors and garden" (Community member 3, 2021 personal communication).

The UN-Habitat (2013) advocates for designing multi-storey buildings that accommodate people with disabilities. While the multi-storey buildings at the Princess Informal Settlement don't include elevators, the Provincial Department of Human Settlements and the CoJ's Department of Housing managed to allocate disabled people on the ground floor (Community member 4, 2021 personal communication). This has made their interaction with the multi-storey buildings a pleasant experience.

5.3.4. MANAGEMENT OF MULTI-STOREY BUILDINGS

"No policy speaks to the management of the multi-storey building or flats except that the only policy or law that is your sectional title which typically requires somebody to eventually have section four community meetings where you say to everyone that is allocated, please note that we will have to have a body corporate and open a sectional title register, do the transfers

and make sure that everybody else accounts to the body corporate" (Municipal official 4, 2021 personal communication).

As reviewed in Chapter 2, some literature has highlighted the importance of municipalities raising revenue through multi-storey housing. However, this is not the case in the multi-storey buildings at Princess informal settlement. Massey (2013); and Visagie and Turok (2020) note the importance of revenue collection for municipalities. Therefore, municipalities must take responsibility for the management of multi-storey buildings after relocation. As indicated by Galuska (2020) the management of multi-storey buildings is important for ensuring that beneficiaries pay for municipal services and the buildings don't turn into vertical informal settlements.

At Princess Informal Settlement the multi-storey buildings developed by the provincial government are poorly managed and are at risk of converting into a vertical informal settlement. "This place is dirty, there are no air bricks, the buildings leak. The toilet pipes are not properly connected" (Community member 2, 2021 personal communication). These are some of the challenges faced by the beneficiaries of the multi-storey buildings. A community member stated "we don't have body corporate, we have a committee at the complex, and we check if everything is satisfactory when the building leaks, we collect money per block to hire someone to fix it" (Community member 3, 2021 personal communication). Community members raised unemployment as a challenge as some of the beneficiaries are without work, therefore, cannot contribute. As reviewed in Chapter 2, Burra (2015) criticised multi-storey buildings for their high maintenance cost.

Keller and Makudi-Omwami (2017) mention that multi-storey buildings should have homeowners associations; these associations are regulated by the Sectional Titles Scheme Management Act. However, beneficiaries find it difficult to establish body corporates as some of the rules require that members of the body corporates be held liable for anything that goes wrong in these buildings, contrary to the act that discourages people to be part of a body corporate (Municipal official 1, 2021 personal communication). A municipal official indicated that the CoJ managed its rental stocks through JOSHCO (Municipal official 2, 2021 personal communication). The CoJ doesn't have a strategy that deals with the management of multi-storey buildings. However, the Gauteng Province has an Informal Settlement Upgrading Strategy. The strategy outlines the management plan for informal settlement upgrading. The provincial strategy was published in the first quarter of 2021 and promotes in situ upgrading and urban management. Ehebrecht (2014) advises that beneficiaries should be empowered to maintain their multi-storey buildings.

5.3.5. LIVELIHOODS IN MULTI-STOREY BUILDINGS

“I feel the informal settlement was better, here no-no, you can’t do anything. We can’t open businesses; we are just staying with no extra income. Here if you are not working it is a problem when we have to contribute for maintenance. Some people can’t contribute because they are unemployed. Those people need to find a way to make a living and they can’t do that here” (Community member 3, 2021 personal communication).

Meth and Buthelezi (2017) mention that the relocation of informal settlements dwellers into multi-storey buildings can improve their living conditions. This view is shared by a municipal official who stated, “When you allocate a person into a unit, for me, you would have improved their living conditions but in terms of the livelihood, it would depend if this particular person maybe had a business” (Municipal official 4, 2021 personal communication). Some beneficiaries failed to maintain their livelihoods after relocating to multi-storey buildings (Community member 3, 2021 personal communication). Therefore, they are forced to identify other ways to maintain a livelihood (ibid.).

In Brazil and India beneficiaries who lost their business while relocating were allocated business space at the ground floor of the multi-storey buildings (Magalhaes, 2012) and Hindman *et al.*, (2015). The multi-storey buildings at the Princess Informal Settlement were not designed to accommodate business space on the ground floor. A community member indicated that a beneficiary had opened a car wash using water from the complex. ‘Housing officials approached and spoke to the beneficiary and notified him to stop, but he did not stop saying that’s his way of making a living (Community member 3, 2021 personal communication). This has prompted other beneficiaries to commence businesses such as taverns within their units, these are people who didn’t have such business when they were staying at the informal settlements (Community member 3, 2021 personal communication). Some beneficiaries are also renting out their parking space to the informal settlement dwellers for them to park their cars (Community member 2, 2021 personal communication).

5.4. CONCLUSION

The implementation of phases 1 and 2 at the Princess informal settlement has experienced challenges. These are challenges that the City of Johannesburg must be cognisant of to effectively implement phases 3 and 4 of the UISP and relocate beneficiaries into multi-storey

buildings. Community engagement is at the centre of effective implementation of the UISP as stated in literature and echoed by the municipal officials and the community members. However, various groupings at Princess informal settlement have undermined the role performed by the community engagement processes. Notably, the municipality has not removed the informal settlement adjacent to the multi-storey buildings at the Princess Informal Settlement. The informal structures which used to be occupied by the beneficiaries are currently occupied because there is no strategy for mitigating this challenge. What also emerged was that the city of Johannesburg does not have a strategy to manage multi-storey buildings; this has resulted in the conditions of the multi-storey buildings deteriorating at a rapid rate. Furthermore, the city has not assisted in maintaining the livelihoods of the beneficiaries of the multi-storey buildings. The relocation of informal settlement dwellers under phase four of the UISP would require the City to address such challenges. The research acknowledges that it might not be possible to resolve the challenges therefore multi-storey buildings as Phase 4 of the UISP might need to be avoided wherever possible. Notably, more interviews would need to be conducted to provide accurate insight into different kinds of households' experiences with the relocation and with life in the multi-storey buildings.

6. CONCLUSION AND RECOMMENDATIONS

6.1. INTRODUCTION

This chapter seeks to provide a summary of the study, draw a conclusion and offer recommendations. The summary consists of key findings from the study concerning the relocation of informal settlement dwellers into multi-storey buildings. Suggestively, the study recommends how the City of Johannesburg may relocate beneficiaries of the UISP into multi-storey buildings. Cognisant of the fact that the City is yet to relocate informal settlement dwellers into multi-storey buildings under the UISP, the project implemented by the provincial Department of Human Settlements was used to evaluate the challenges related to relocating into multi-storey buildings. The challenges facing the UISP outlined in chapter 5 constitutes the base of the recommendation to the city of Johannesburg.

South Africa has over the years implemented various policies to address the housing backlog faced by its cities. These policies proposed numerous interventions in addressing housing challenges such as the upgrading of informal settlements. The study highlighted the challenges relating to the upgrading of informal settlements by relocating informal settlement dwellers into multi-storey buildings. The implementation of the UISP retains various benefits for beneficiaries, however, the execution of the two phases experienced challenges as indicated in the study. These challenges are experienced by both the implementer which is the City of Johannesburg's housing department and the community of Princess informal settlement as the beneficiaries of the programme.

6.2. FROM INFORMAL SETTLEMENTS INTO MULTI-STOREY BUILDINGS AS PART OF THE UISP

The interventions with multi-storey buildings for informal settlement dwellers by countries such as India, Brazil and Kenya experienced challenges. Notably, this is not an easy approach as the literature review identified challenges for India, Brazil and Kenya. These challenges will not be easy to overcome in the South African context. The CoJ implemented phases one and two at the Princess informal settlement by involving the community in decision-making processes through community representatives who are part of the project steering committee, however, there were challenges. The Princess Informal settlement community was involved in the decision-making process by commenting on the layout plan. Notably, the Provincial

government constructed some multi-storey buildings and relocated a small proportion of households from Princess informal settlement into them.

The interviews about the multi-storey buildings revealed challenges that challenges may emerge in the implementation of phase four of the UISP if UISP projects resort to the relocation of households to multi-storey buildings. The challenges raised by beneficiaries include amongst others issues such as the contestation over the allocation of the housing units, future prospects of the residents in terms of the health and safety of the buildings and their responsiveness to the households actual needs. The CoJ understands the roles and responsibilities of all stakeholders involved in the implementation of the UISP. However, some community leaders failed to execute their responsibilities by not honouring meeting invites. This resulted in further challenges relating to the implementation of the UISP and the management of the present multi-storey buildings. The difficulties revealed in phases 1 and 2 with community organisation and engagement suggests that there may not be sufficient cohesion to ensure households that relocate into multi-storey buildings will be able to work together to ensure maintenance.

6.3. RECOMMENDATIONS

Numerous interventions may assist the city of Johannesburg in the effective implementation of the UISP. Considering that the City has not yet implemented phases 3 and 4 of the UISP at the Princess informal settlement. The report recommends that the CoJ may develop strategies to assist in implementing phase four of the UISP concerning relocating beneficiaries into multi-storey buildings as illustrated in figure 9 below. The report recommends three strategies that the city may adopt: a strategy for multi-storey buildings, a strategy on the allocation of housing units to persons with disabilities and a strategy on dealing with informal settlements after relocating. Furthermore, the report recommends redesigning multi-storey buildings to accommodate business space. These recommendations may address some of the challenges identified at the Princess Informal settlement.

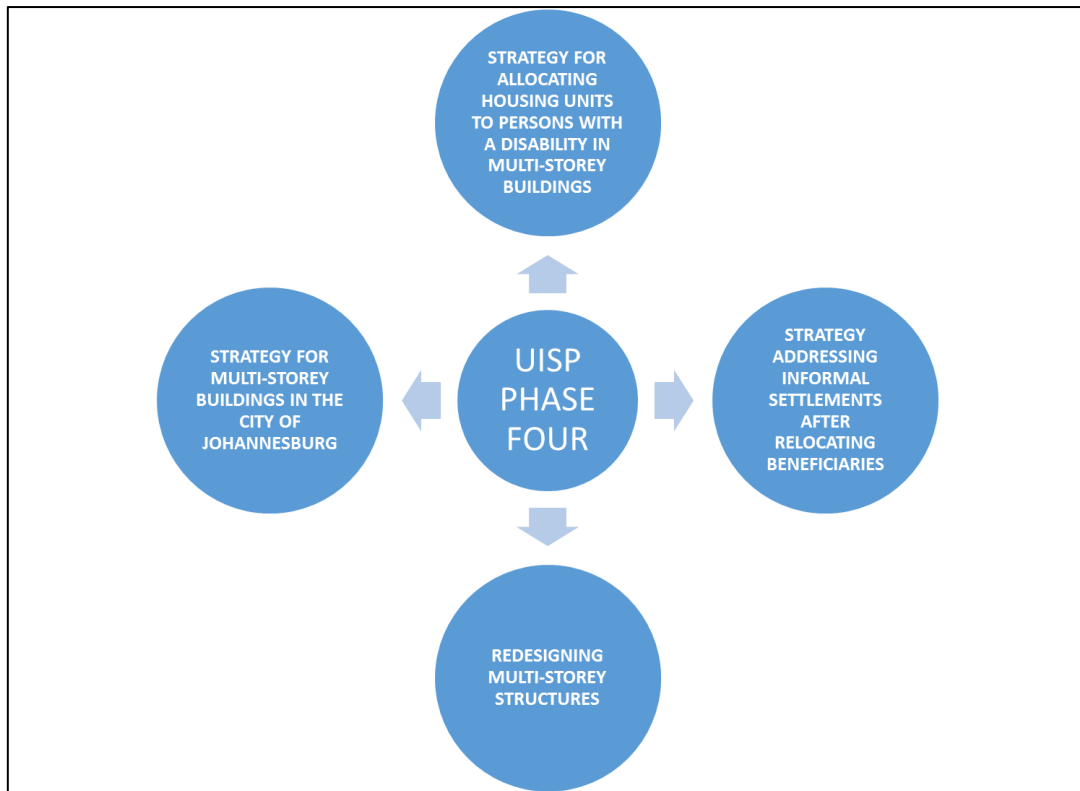


Figure 11: Recommended multi-storey buildings strategies in the CoJ (Own construction, 2021)

6.3.1. STRATEGY FOR MULTI-STOREY BUILDINGS IN THE CITY OF JOHANNESBURG

Current policies at the CoJ focus on providing human settlements with various housing typologies; however, there is no multi-storey buildings strategy. The City may develop a multi-storey buildings strategy similar to the strategy developed by the Gauteng Department of Human Settlements, the Gauteng Province Informal Settlement Upgrading strategy and Management Plan. This strategy may minimise the rate at which multi-storey buildings are converted into vertical informal settlements. However, it is worth noting that there may not be any simple solutions owing to the complex nature of the problem. Additionally, the strategy may include the conditions of sectional titles management as stated in the Sectional Titles Management Act to ensure compliance with the law and adherence to governance principles. Moreover, the strategy may ensure that beneficiaries are empowered to maintain their multi-storey buildings. However, there are long-standing issues that may impede the empowerment of beneficiaries, issues such as the lack of institutional capacity for municipalities to implement

policies. Therefore, institutional capacity is part of practical issues to be addressed for the effective implementation of the multi-storey buildings strategy.

6.3.2. STRATEGY FOR ALLOCATING HOUSING UNITS TO PERSONS WITH A DISABILITY IN MULTI-STOREY BUILDINGS

During the interviews, this was not a major issue. The multi-storey buildings are developed without elevators. Therefore, people with disabilities must be prioritised in the allocation of units on the ground floor. However, the city lacks a strategy for allocating housing units in multi-storey buildings. Therefore, to effectively implement phase four of the UISP, the City may develop an allocation strategy in multi-storey buildings. Alternatively, the City may amend its Housing Allocation policy to include explicitly the allocation of persons of disability on the ground floor. This can be done in consultation with representatives from informal settlements.

6.3.3. STRATEGY ADDRESSING INFORMAL SETTLEMENTS AFTER RELOCATING BENEFICIARIES

The multi-storey buildings at the Princess Informal Settlement are adjacent to the remaining informal settlements. There is an ongoing challenge of people occupying the land previously occupied by the multi-storey buildings beneficiaries. If the City wants to effectively address informal settlements it may need a strategy that deals with the informal settlements after beneficiaries have been relocated into multi-storey buildings. This strategy may ensure that the informal structures previously occupied by beneficiaries are demolished and the land rehabilitated for different purposes. However, post-relocation has proven not to be a linear process as the demolition of informal structures has resulted in contestation by communities. Therefore, the strategy may require implementing security measures to protect the previously occupied land which will be an extra cost for the municipality. One can argue that demolishing will disturb the livelihoods of beneficiaries who lease their informal structure. This ensures that beneficiaries can continue to have a livelihood after relocation. The UISP presents the opportunity to improve the lives of informal settlement dwellers in the CoJ. However, where relocations cannot be avoided, ways need to be found to incorporate livelihoods and social ties into the design and unit allocation in multi-storey buildings. Some of the informal structures in the Princess informal settlements are still within a flood line, therefore this strategy may

ensure that after relocating beneficiaries into multi-storey buildings no informal settlements are remaining in an environmentally sensitive area.

6.3.4. REDESIGNING MULTI-STOREY STRUCTURES

Some beneficiaries lose their livelihoods after relocation to multi-storey buildings, this further affects the management of the buildings as they cannot afford to pay their levies. The report recommends that multi-storey buildings may be designed to accommodate business space on the ground floor. International case studies have indicated that this can assist in preserving livelihoods after relocation into multi-storey buildings in countries such as India and Brazil. Moreover, scholars such as (Huchzermeyer, 2009, Reed *et al.*, 2010 and Marais & Ntema, 2013) advise that South Africa can learn from Brazil on how it has implemented the upgrading of informal settlements.

To conclude, the report recognises that the City has effectively implemented phases 1 and 2 at the Princess Informal Settlement. While phase 3 has not yet been implemented at the informal settlement this research focused on phase 4. Therefore, the City of Johannesburg may learn also from the mistakes made in other countries on how they implemented the relocation of beneficiaries into multi-storey buildings when implementing phase 4. The most effective practices may be adopted to develop the above-mentioned strategies and the change in the design of multi-storey buildings; all stakeholders may be involved to develop the best suitable strategy for beneficiaries of the UISP and the redesign of multi-storey buildings. Some countries have relocated beneficiaries while ensuring livelihoods are not disturbed. This was achieved through different designs of the multi-storey units which include space for people who owned businesses on the ground floor. However, this might not be possible owing to the nature of the problems in informal settlements as revealed by the fieldwork.

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7. ANNEXURES

ANNEXURE A: PARTICIPANT INFORMATION SHEET MUNICIPAL OFFICIAL



Dear Sir/Madam

RE: Participant information sheet Municipal Official

My name is Ndumiso Mahlalela, a Master's student in Development Planning studying at Wits University. As part of my studies, I have to undertake a research project, and I am exploring the implementation of the Upgrading of Informal Settlements Programme (UISP) under the supervision of Mr Neil Klug. The research aims to explore how the implementation of the Upgrading of Informal Settlements Programme (UISP) has been undertaken thereby unpacking, how the UISP has been interpreted, the governance practices used in the process and the challenges faced in the process of implementation.

As part of this project, I would like to invite you to take part in a semi-structured interview. The interview will be on a digital platform at a time convenient to you. I have chosen you as an official who is involved in informal settlement interventions in the city of Johannesburg. This activity will involve a once-off answering of questions and will take around 60 minutes. The questions will include general questions such as the mandate of the department followed by descriptive questions about how the department interpreters the UISP and who are the different stakeholders and what their roles are. The interview will also seek to determine the implementation of the UISP at the Princess Informal Settlement. To do that quotations such as, how the project was chosen and how the community was involved will be asked. With your permission, I would also like to audio record the interview using a digital device. This recording will be stored in a password-protected computer and only the researcher will have access to this recording.

There will be no personal costs to you if you participate in this project, You will not receive any direct benefits from participation but there are no disadvantages or penalties if you do not choose to participate or if you withdraw from the study. You may withdraw at any time or not answer any questions if you do not want to. The interview will be completely confidential and anonymous as I will not be asking for your name or any identifying information, and the

information you give to me will be held securely and not disclosed to anyone else. The City of Johannesburg and the project will be identified therefore, complete anonymity may be compromised. I will be using a pseudonym such as municipal official to represent your participation in my final research report. If you experience any distress or discomfort at any point in this process, we will stop the interview or resume another time.

If you have any questions during or afterwards about this research, feel free to contact me on the details listed below. If you wish to receive a summary of this report, I will be happy to send it to you. The data collected from this research project will be stored in a password-protected computer. If you have any concerns or complaints regarding the ethical procedures of this study, you are welcome to contact the University Human Research Ethics Committee (Non-Medical), telephone +27(0) 11 717 1408, email hrecnon-medical@wits.ac.za.

Yours sincerely,

Ndumiso Mahlalela

Researcher:

Mr Ndumiso Mahlalela, 389793@students.wits.ac.za

Supervisor:

Mr Neil Klug, Neil.Klug@wits.ac.za, + 27 11 717 7729

ANNEXURE B: PARTICIPANT INFORMATION SHEET COMMUNITY MEMBER



Dear Sir/Madam

RE: Participant information sheet Community Member

My name is Ndumiso Mahlalela, a Master's student in Development Planning studying at Wits University. As part of my studies, I have to undertake a research project, and I am exploring the implementation of the Upgrading of Informal Settlements Programme (UISP) under the supervision of Mr Neil Klug. The research aims to explore how the implementation of the Upgrading of Informal Settlements Programme (UISP) has been undertaken thereby unpacking, how the UISP has been interpreted, the governance practices used in the process and the challenges faced in the process of implementation.

As part of this project, I would like to invite you to take part in a semi-structured interview. The interview will be on a digital platform at a time convenient to you. I have chosen you as a community member who has benefited through the implementation of the UISP. This activity will involve a once-off answering of questions and will take around 60 minutes. The questions will include general questions such as the background of the informal settlement followed by descriptive questions about how you understand the UISP and how you have benefited from the programme. The interview will also seek to determine the role you played in the implementation of the programme. Lastly, the questions will include finding out whether you were empowered through the programme. With your permission, I would also like to audio record the interview using a digital device. This recording will be stored in a password-protected computer and only the researcher will have access to this recording.

There will be no personal costs to you if you participate in this project, You will not receive any direct benefits from participation but there are no disadvantages or penalties if you do not choose to participate or if you withdraw from the study. You may withdraw at any time or not answer any questions if you do not want to. The interview will be completely confidential and anonymous as I will not be asking for your name or any identifying information, and the information you give to me will be held securely and not disclosed to anyone else. The Princess Informal Settlement project will be identified therefore, complete anonymity may be

compromised. I will be using a pseudonym such as community member to represent your participation in my final research report. If you experience any distress or discomfort at any point in this process, we will stop the interview or resume another time.

If you have any questions during or afterwards about this research, feel free to contact me on the details listed below. If you wish to receive a summary of this report, I will be happy to send it to you. The data collected from this research project will be stored in a password-protected computer. If you have any concerns or complaints regarding the ethical procedures of this study, you are welcome to contact the University Human Research Ethics Committee (Non-Medical), telephone +27(0) 11 717 1408, email hrecnon-medical@wits.ac.za.

Yours sincerely,

Ndumiso Mahlalela

Researcher:

Mr Ndumiso Mahlalela, 389793@students.wits.ac.za

Supervisor:

Mr Neil Klug, Neil.Klug@wits.ac.za, + 27 11 717 7729

ANNEXURE C: INTERVIEW GUIDE- GOVERNMENT OFFICIALS

Greetings and introduction

Process of the interview-

- Length of the interview – 30 minutes to 1 hour.
- Structure of interview - Background questions followed by some questions on the implementation of UISP in general followed by questions on the implementation of the UISP at the Princess Informal Settlement and conclude with general questions.

The purpose of the interview

- The purpose of the investigate community members' understanding of the Upgrading of Informal Settlements Programme (UISP) at the Princess Informal Settlement concerning the relocation of residence into multi-storey structures.

Introduction

- Objectives of the interview
- Interviewee's role within the community

QUESTIONS RELATED TO THE UPGRADING OF THE INFORMAL SETTLEMENTS PROGRAMME (UISP).

1. Briefly explain the UISP?
2. How is the implementation of the UISP undertaken in the CoJ?
3. How is the programme financed?
4. What are the steps required to fully implement this programme?
5. Who are the stakeholders involved in the implementation of this programme? What are their roles?
6. What are the challenges that arose on the implementation of the UISP at the Princess informal settlement?
7. Please elaborate on the Princess Informal Settlement, why and how was it chosen?
8. How were beneficiaries chosen?
9. Were you transparent to the community that they will be relocated to multi-story buildings?

10. Are you going to assist in the management of the multi-storey buildings?
11. What impact do you think the change in space will on the livelihoods of the residents?
12. What are the factors hindering the implementation of the UISP (both from the government and community)?

ANNEXURE D: INTERVIEW SCHEDULE: COMMUNITY MEMBERS

Greetings and introduction

Process of the interview-

- Length of the interview – 30 minutes to 1 hour.
- Structure of interview - Background questions followed by some questions on the implementation of UISP in general followed by questions on the implementation of the UISP at the Princess Informal Settlement and conclude with general questions.

The purpose of the interview

- The purpose of the investigate community members' understanding of the Upgrading of Informal Settlements Programme (UISP) at the Princess Informal Settlement concerning the relocation of residence into multi-storey structures.

Introduction

- Objectives of the interview
- Interviewee's role within the community

General questions

- Please tell me about the Princess informal settlement

Descriptive questions

- What is your understanding of the Upgrading of Informal Settlements Programme?
- Has the programme benefited you?
 - If YES, explain
 - If NO, explain
- How has the space changed after the implementation of the programme?
- What challenges have you experienced as a community in the implementation of the programme?
- How did community members become involved in the programme?

Implementation of UISP at the Princess Informal Settlement

- What role did you play in the implementation of the programme?
- Was the city transparent in the relation of residents into the multi-storey buildings?
- How do you interact with the Multi-storey buildings?

- How do you manage the multi-storey buildings?
- How did you form a body corporate?

Closing questions

- Would you say you were empowered through the programme?
 - If YES, explain
 - If NO, explain

ANNEXURE E: CONSENT FORM



Title of project: From informal settlements to multi-story buildings: Exploring the implementation of the Upgrading of Informal Settlements Programme (UISP). A case study of Princess informal settlement.

Name of Researcher: Ndumiso Mahlalela

Student Number: 389793

I,, agree to participate in this research project.

The research has been explained to me and I understand what my participation will involve. I agree to the following:

- I agree that my participation will remain anonymous.

YES	NO
-----	----

- I understand what my contribution will be.

YES	NO
-----	----

- I agree to take part in the interview.

YES	NO
-----	----

- I agree with the interview being audio recorded.

YES	NO
-----	----

- I agree that the researcher may use anonymous quotes in his research report.

YES	NO
-----	----

Signature of participant: Signature of researcher:

Date:

ANNEXURE F: COMMUNITY MEETING INVITE



COMMUNITY MEETING WARD 85

UPGRADING OF THE INFORMAL SETTLEMENTS PROGRAMME (UISP) - PRINCESS

City of Johannesburg – Housing Department is inviting the Community of Princess Ward 85 to a meeting of the Draft layout Plan workshop for the UISP.

The meeting is to be held as follows:

DATE: THURSDAY, 8TH APRIL 2021

TIME: 17H00

VENUE: RECREATIONAL CENTRE (Witpoortjie)

Agenda

1. Opening and Welcome
2. Update on the Project Progress
3. Draft layout Plan
4. Questions and Answers

For Enquiries, please contact Kgomoiso @ 064 535 3033



PROPOSED TOWNSHIP
REMAINING EXTENT OF
PORTION 9 OF THE FARM
ROODEPOORT 302-IQ

**CITY OF JOHANNESBURG
METROPOLITAN
MUNICIPALITY**

LOCALITY PLAN

LEGEND

COLOUR	LAND-USE	MP	NUMBER	AREA	PERCENT
Green	Open Space	1	100	100	100
Yellow	Residential	2	100	100	100
Pink	Commercial	3	100	100	100
Blue	Water	4	100	100	100
Red	Industrial	5	100	100	100
Grey	Other	6	100	100	100

Scale
0 50 100 150 200 250 300 350 400 450 500 550 600 650 700 750 800 850 900 950 1000 1050 1100 1150 1200 1250 1300 1350 1400 1450 1500 1550 1600 1650 1700 1750 1800 1850 1900 1950 2000 2050 2100 2150 2200 2250 2300 2350 2400 2450 2500 2550 2600 2650 2700 2750 2800 2850 2900 2950 3000 3050 3100 3150 3200 3250 3300 3350 3400 3450 3500 3550 3600 3650 3700 3750 3800 3850 3900 3950 4000 4050 4100 4150 4200 4250 4300 4350 4400 4450 4500 4550 4600 4650 4700 4750 4800 4850 4900 4950 5000 5050 5100 5150 5200 5250 5300 5350 5400 5450 5500 5550 5600 5650 5700 5750 5800 5850 5900 5950 6000 6050 6100 6150 6200 6250 6300 6350 6400 6450 6500 6550 6600 6650 6700 6750 6800 6850 6900 6950 7000 7050 7100 7150 7200 7250 7300 7350 7400 7450 7500 7550 7600 7650 7700 7750 7800 7850 7900 7950 8000 8050 8100 8150 8200 8250 8300 8350 8400 8450 8500 8550 8600 8650 8700 8750 8800 8850 8900 8950 9000 9050 9100 9150 9200 9250 9300 9350 9400 9450 9500 9550 9600 9650 9700 9750 9800 9850 9900 9950 10000 10050 10100 10150 10200 10250 10300 10350 10400 10450 10500 10550 10600 10650 10700 10750 10800 10850 10900 10950 11000 11050 11100 11150 11200 11250 11300 11350 11400 11450 11500 11550 11600 11650 11700 11750 11800 11850 11900 11950 12000 12050 12100 12150 12200 12250 12300 12350 12400 12450 12500 12550 12600 12650 12700 12750 12800 12850 12900 12950 13000 13050 13100 13150 13200 13250 13300 13350 13400 13450 13500 13550 13600 13650 13700 13750 13800 13850 13900 13950 14000 14050 14100 14150 14200 14250 14300 14350 14400 14450 14500 14550 14600 14650 14700 14750 14800 14850 14900 14950 15000 15050 15100 15150 15200 15250 15300 15350 15400 15450 15500 15550 15600 15650 15700 15750 15800 15850 15900 15950 16000 16050 16100 16150 16200 16250 16300 16350 16400 16450 16500 16550 16600 16650 16700 16750 16800 16850 16900 16950 17000 17050 17100 17150 17200 17250 17300 17350 17400 17450 17500 17550 17600 17650 17700 17750 17800 17850 17900 17950 18000 18050 18100 18150 18200 18250 18300 18350 18400 18450 18500 18550 18600 18650 18700 18750 18800 18850 18900 18950 19000 19050 19100 19150 19200 19250 19300 19350 19400 19450 19500 19550 19600 19650 19700 19750 19800 19850 19900 19950 20000 20050 20100 20150 20200 20250 20300 20350 20400 20450 20500 20550 20600 20650 20700 20750 20800 20850 20900 20950 21000 21050 21100 21150 21200 21250 21300 21350 21400 21450 21500 21550 21600 21650 21700 21750 21800 21850 21900 21950 22000 22050 22100 22150 22200 22250 22300 22350 22400 22450 22500 22550 22600 22650 22700 22750 22800 22850 22900 22950 23000 23050 23100 23150 23200 23250 23300 23350 23400 23450 23500 23550 23600 23650 23700 23750 23800 23850 23900 23950 24000 24050 24100 24150 24200 24250 24300 24350 24400 24450 24500 24550 24600 24650 24700 24750 24800 24850 24900 24950 25000 25050 25100 25150 25200 25250 25300 25350 25400 25450 25500 25550 25600 25650 25700 25750 25800 25850 25900 25950 26000 26050 26100 26150 26200 26250 26300 26350 26400 26450 26500 26550 26600 26650 26700 26750 26800 26850 26900 26950 27000 27050 27100 27150 27200 27250 27300 27350 27400 27450 27500 27550 27600 27650 27700 27750 27800 27850 27900 27950 28000 28050 28100 28150 28200 28250 28300 28350 28400 28450 28500 28550 28600 28650 28700 28750 28800 28850 28900 28950 29000 29050 29100 29150 29200 29250 29300 29350 29400 29450 29500 29550 29600 29650 29700 29750 29800 29850 29900 29950 30000 30050 30100 30150 30200 30250 30300 30350 30400 30450 30500 30550 30600 30650 30700 30750 30800 30850 30900 30950 31000 31050 31100 31150 31200 31250 31300 31350 31

ANNEXURE H: TYPE OF MULTI-STOREY BUILDINGS



ANNEXURE I: EHTICS CLEARANCE CERTIFICATE



04 October 2021

Faculty of Engineering and the Built Environment:

Ethics clearance letter:

Dear Mahlalela, Ndumiso Donald (389793) this letter confirms that your ethics application has been cleared. Your clearance/protocol number is SOAP119/06/2021

Yours sincerely

Lerato Nkosi

ANNEXURE J: PLAGIARISM DECLARATION

Faculty of Engineering and the Built Environment

Private Bag 3, Wits 2050, South Africa * Telephone (011) 717 7007 * Fax: (011) 717 7006 * Email: foe@wits.ac.za



PLAGIARISM DECLARATION TO BE SIGNED BY ALL HIGHER DEGREE STUDENTS

SENATE PLAGIARISM POLICY: APPENDIX ONE

I MDUMISO MAHLAUOLA (Student number: 387793) am a student
registered for the degree of MSc D.P in the academic year 2022.

I hereby declare the following:

- I am aware that plagiarism (the use of someone else's work without their permission and/or without acknowledging the original source) is wrong.
- I confirm that the work submitted for assessment for the above degree is my own unaided work except where I have explicitly indicated otherwise.
- I have followed the required conventions in referencing the thoughts and ideas of others.
- I understand that the University of the Witwatersrand may take disciplinary action against me if there is a belief that this is not my own unaided work or that I have failed to acknowledge the source of the ideas or words in my writing.

Signature: MD Date: 22/03/2022