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THE EXAMINATION OF THE PLANNING PROCESS IN DIEPSLOOT WITH REFERENCE TO SANITATION

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THE EXAMINATION OF THE PLANNING PROCESS IN DIEPSLOOT WITH REFERENCE TO SANITATION

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A research report submitted to the Faculty of Law, Commerce and Management, University of the Witwatersrand, in partial fulfillment of the requirements for the degree of Master of Management (in the field of Public and Development Management).

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ABSTRACT

The purpose of the research was to examine planning processes in Diepsloot in relation to provision for sanitation. The study was an explanatory study that through a qualitative approach sought to obtain information as to why delivery of services, in particular in Diepsloot has been unsatisfactory. The key findings from the research reveal that there is poor implementation of plans, and this is the result of lack of an integrated approach planning, poor community participation, internal conflicts and weak capacity at the local level.

Declaration

Student number: 333875

I declare that this report is my own, unaided work. It is submitted in partial fulfillment of the requirements of the degree of Master of Management (in the field of Public and Development Management) at the University of the Witwatersrand, Johannesburg. It has not been submitted before for any degree or examination in any other University.

_____

Phillip Makubetse Sekhonyane

28 February, 2010.

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Glossary of terms

Planning – The Fainsteins define it as 'a future-oriented, public decision-making directed towards attaining specific goals (Fainstein & Fainstein, 1996, p. 265).

Development – according to Todaro development is a process aimed at improving lives, and involves various process that bring change to society, attitudes and institutions (1989, p. 88).

Development Planning – is defined as "an effort to identify most appropriate means and measures for achieving specific development objectives" (Martinussen 2005, p. 228).

Integrated Development Plan – is a development plan for a municipal area containing short, medium and long-term objectives and strategies. It serves as the principal strategic management instrument for municipalities. It is legislated by the Municipal Systems Act and supersedes all other plans that guide development at a local level (Municipal Systems Act 32, 2000).

Masibambane – Zulu word for lets hold hands together. A strategy for promoting the meaningful involvement of civil society in the Water Sector (Department of Water Affairs, 2004).

Participation – the act of partaking in the objectives of the economy and societal arrangements related to it (Rahnema, 2001, p. 120).

Service Delivery - the end product of a chain of plans and actions involving municipal and provincial plans and national budgets, a range of institutions, and local consultations (Hemson, Carter & Karuri-Sebina, 2008, p. 156).

Siyeza Manje – Zulu word for we are doing it now. It is a programme aimed at providing hands on support to municipalities "by facilitating and fast-tracking infrastructure development and service delivery" (DBSA Development Fund Annual Report, 2005/06, p. 13).

Community Development Worker - A Community Development Worker (CDW) is a community-based, resource person who collaborates with other

community workers to help fellow community members to obtain information and resources from service providers. The aim is to assist the community to learn how to progressively meet their needs, achieve their goals, realise their aspirations and maintain their wellbeing. They are participatory change agents (Department of Local Government, p. 3).

Chapter 1: Introduction and Purpose of the study

1.1 Introduction

Since taking over the reigns the national government has placed much emphasis on planning to be able to execute its mandate. That planning is the cornerstone of service delivery and can be evidenced by a number of planning processes that include planning across all spheres of government and the development of the Intergovernmental Relations Framework and the Integrated Development Plans (IDPs). Recently, the government has developed a green paper on National Strategic Planning. This research is focused on planning at local government, more importantly on planning for sanitation. The purpose of this study is to understand planning in relation to sanitation within the municipality of Diepsloot. Planning at local government is guided by the Municipal Systems legislation which clearly states that the IDP is the principal strategic planning instrument in a municipality. The IDP guides and informs all planning, development and management actions and decisions in the municipality (Department of Provincial and Local Government, 2002). One of the key requirements of the IDP in South Africa is to forge a link with other sectoral planning requirements required by national legislation. One of these requirements is the Water and Sanitation Services Development Plans, required in terms of the Water Services Act of 1997 (Department of Provincial and Local Government, 2002; Water Services Act, 1997). The Water Services Development (WSDP) is considered the key instrument of planning in the water services sector. The WSDP must be integrated with the IDP of the municipality, and more importantly the municipality must consult with the community (Water Service Development Plan, 2006/07).

However, it does appear that the key instrument, the IDP, is plagued by several challenges. A feedback report released by the Department of Cooperative Governance and Traditional Affairs (formerly the Department of Local and Provincial Government) during a planning indaba in the North West Province in 2004 revealed that the development of IDPs is not the same across municipalities. The document pointed out that only 10% of the municipalities were able to develop and implement IDPs (Department of Provincial and Local Government, 2004). Given that only 10% of municipalities are able to implement IDPs, it stands to reason that the implementation of water and sanitation as required by the IDPs and the Water Services Act is poor. Indeed, sanitation provision in South Africa has been anything but slow. The slow progress is attributed to the lower priority status by both government and communities and the absence of programmes (Muller, 2002, p.7). Poor implementation of IDPs means that it will be difficult to measure progress. During the same indaba held by the DPLG, the Director-General lamented lack of integration across government spheres and of plans and budgets as well (DPLG, 2004).

Local government, according to the Department of Water Affairs, is accountable for the provision of sanitation services and drives the process of Basic Household Sanitation while ensuring effective community participation (Department of Water Affairs and Forestry, 2002). The department has gone further in clarifying this participation in its Civil Society Strategy document drafted in 2004 that has since been adopted (Department of Water Affairs and Forestry, 2004).

The research report is structured as follows:

- Chapter One covers background and context and gives an overview and the purpose of the research. The chapter also includes the

problem statement, the research question and the method to be followed.

- Chapter Two is the literature review and covers planning theories, development planning focusing on integrated development planning, development in Diepsloot and context of development. It also covers community participation and roles of the community in planning, followed by literature on provision water and sanitation – this section covers plans, programmes and the legislative framework on sanitation. It also covers the recent Constitutional Court judgment on the Nokotyana case in Ekurhuleni. There is a constant active interaction with the literature by the researcher in this section.
- Chapter Three covers methodology, how and why it was chosen, how data was collected, who was interviewed and where, and the approach to analysis.
- Chapter Four is the presentation of results from the research that covers interviews and documentation. There is interplay between these chapters and the section on literature review and how concepts apply.
- Chapter Five is a presentation of the results and here the researcher uses a thematic approach and identified themes for the analysis arising from the research questions. In this section the research corroborates information from other sources such as correlating notes from interviews and policy, speeches and annual reports. Again the literature review and data collected play an important role.
- Chapter Six is the conclusion and recommendations. These are essentially strategies for improving planning. They are based on the evidence and the research results and as this is a research which involves different spheres of government, recommendations are specific to each sphere. Recommendation is also made for further research, arising from the research limitations.

1.2 Background and Context

The recent review of the IDP by the City of Johannesburg provides a glimmer of hope. The report reflects on the progress made during 2007/08 in relation to water and sanitation (City of Johannesburg, 2009). The report, however, notes that the most pressing challenge is the roll out of water and sanitation services to informal settlements and marginalised areas. "This is due to a number of factors ranging from constraints posed by densification to settlements established on privately-owned land" (City of Johannesburg, 2009. p.266). It is, therefore, not just lack of implementation that is problematic but other factors come into play. It is the purpose of this research to find out what these factors are.

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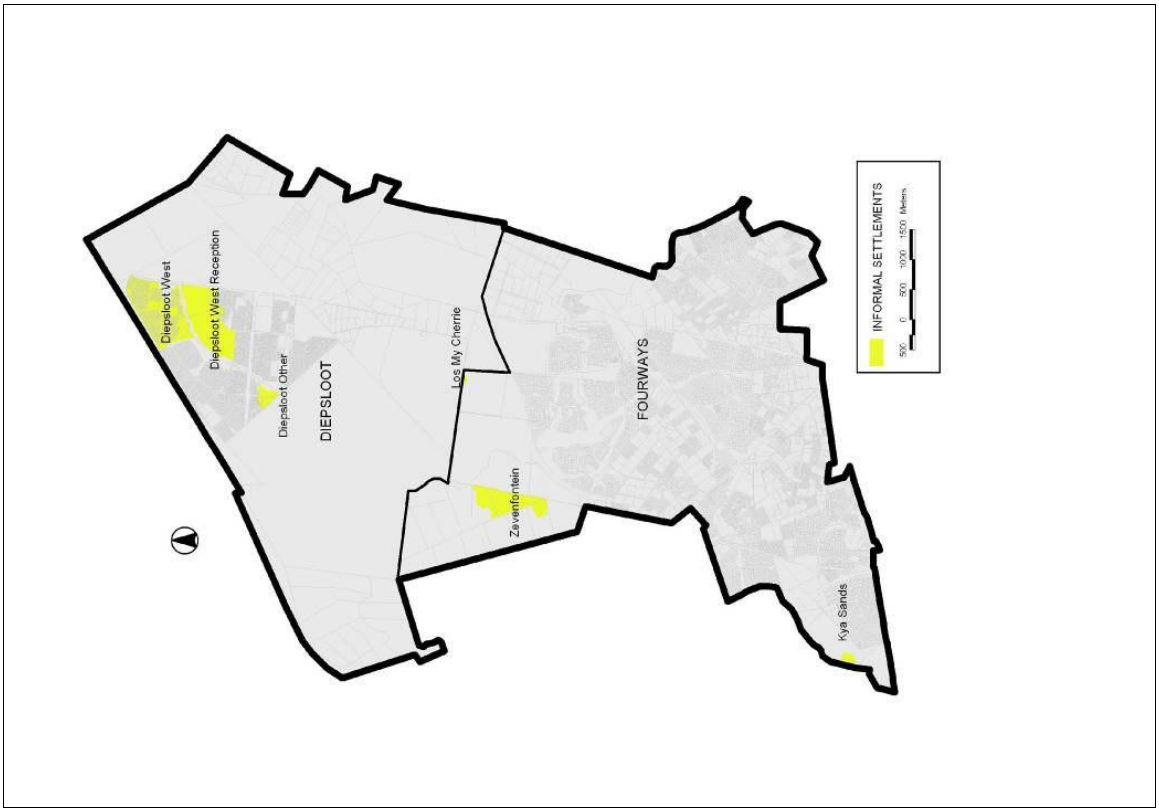
The widespread service delivery protests in mid-2000 and recent widely reported uprisings in Diepsloot, point to challenges in provision of basic services (Atkinson, 2007; *The Star,* 2009, October 26). The following excerpt from a recent newspaper article sums up the concerns in Dieplsoot:

> "When Dorah Rokgogo was moved to Diepsloot from Alexandra in 2001, all she longed for was proper sanitation, electricity and running water – the basics…Eight years later…nothing has changed. There is barely enough space in her yard, so she is forced to do her washing in the street. Grubby water streams into the street, at times seeping into the shacks nearby. The stench is unbearable" *(The Star*, 2009, October 26).

The researcher had a firsthand experience of the stench during several trips to set up and conduct interviews for this research. Water was running out of houses into the streets where children were playing. Some of the tarred roads are eroding as a result of continuous flow of water and poor drainage.

Problems in Diepsloot are not about subjective and personal experiences but studies point to endemic problems. For example, the University of Johannesburg recently conducted a study on poverty and livelihoods in Johannesburg in nine wards including Diepsloot. The study noted the extent of hardships due to lack of services and opportunities (De Wet, Patel, Korth & Forrester, 2008, p. 4).

Diepsloot is an informal settlement outside Johannesburg, near Fourways, established in 1998. People were moved from Zevenfontein and along the Jukskei river to a 'reception area'. The residents were settled in an area that has not been planned and without roads, infrastructure and houses (Himlin, Engel, & Mathoto, 2008, p. 35). See Figure 1 below



Source: City of Johannesburg

The areas marked yellow (dark), are informal settlements near Fourways, a wealthy northern suburb. People were moved from Zevenfontein to extension one or the reception area. This is the area that remains a trouble spot.

Diepsloot is one of the wards in the seven regions, falling under Region A of the City of Johannesburg referred to as ward 95 identified as marginalized and deprived (De Wet, *et al.*, 2008; Himlin, Engel & Mathoto, 2008). Diepsloot has been the subject of interventions from the day it was established (Himlin, *et al.,* 2008). The 2009 University of Johannesburg study identified "deprived wards" within the City of Johannesburg (De Wet, *et al*., 2008, p. 6). Deprivation is people's unmet needs that include shelter, basic services and work. It is based on indices of multiple deprivations such as income, employment and health (De Wet, *et al*., p. 6). This statement essentially depicts Diepsloot as a place faced with a multitude of problems that require a holistic solution. Diepsloot over and above being poor is growing fast and households are overcrowded. The recent article published by the Star claims that "There is an average of one toilet to every 500 people in Extension 1" *(The Star*, 2009, October 26). These reports suggest that infrastructure is overloaded and the health risks are high as toilets block releasing the stench. Free Basic Water and Sanitation is calculated per household, and if there are more occupants per household, the infrastructure is not able to cope with excessive demand. However, the Mazibuko case brought before the Constitutional Court provided a landmark ruling on this matter. Mazibuko and others are residents of Phiri in Soweto, which falls under the City of Johannesburg. The applicants had argued that water must be provided per person not per household and the amount provided was insufficient, and that the policy was not fair as it only provided six kilolitres per household. The case had failed as the City argued that providing water per person per household where the number of occupants cannot be determined

would be too administrative (Case CCT 39/09, 2009 ZACC 28). It is important to note this case given the fact that, according to the study by the University of Johannesburg, the number of stands per household in the areas studied were too high and in Diepsloot it worked out at 5.20 (De Wet, *et al.*, 2008).

The problem of providing water per person per household would indeed be problematic. Diepsloot is overcrowded and like Phiri, people continuously move in and out. Himlin *et al.* (2008) and Cox (2009) highlight further challenges that include poor land use, poor waste management and drainage problems. Again this emphasises a point made earlier that not only is the delivery of socio-economic rights problematic, there are problems of poor infrastructure (Cox, 2009, p. 18). It would, therefore, be necessary that provision of water and sanitation is viewed within the broader context of other challenges. It is this that makes integrated planning a necessity.

Despite being a stone's throw away from affluence, the township remains one of the many areas in which service delivery remains poor (Himlin, *et al.*, 2008; De Wet, *et al.*, 2008). Government interventions have been several and varied. Two, specific to Diepsloot are worth mentioning here. First there is the Regional Spatial Development Framework (RSDF) which sets out two objectives namely the "socio-economic integration, consolidation and long-term sustainability of Diepsloot Extensions "…and the provision of housing and security of tenure" (Himlin, *et al.*, 2008, p. 41). The second is the recognition of Diepsloot as a marginalised community identified "as part of Marginalized Areas Programme" (Himlin, *et al.*, 2008, p. 43). Subsequently a Diepsloot Development Programme has been developed. These interventions suggested that the area will be the focus for development. Indeed, judging by the number of frameworks, Diepsloot is under the spotlight (Cox, 2009, p. 19). Despite these initiatives, recent studies indicate that

problems continue to persist and include poor access to services, unemployment, poor roads and their maintenance, storm water problems and lack of education institutions (De Wet. *et al.*, 2008; Devas, 2004). The other key problem facing Diepsloot has been identified is poor co-ordination between different municipalities (Himlin, *et al.*, 2008, p 47). Diepsloot lies between three municipalities, the Mogale City, Tshwane Metro and City of Johannesburg. Although in terms of administration it falls under the City of Johannesburg, potential land for growth does not all lie under the City of Johannesburg and the boundaries are a challenge to future extension of Diepsloot. Therefore, lack of co-ordination between these municipalities is a course for concern.

The Constitution and legislation governing local government provide a clear mandate to municipalities. In terms of government systems, the Department of Corporate Governance and Traditional Affairs, formerly the Department of Provincial and Local Government is charged with supporting the two other spheres of government – provincial and local and promotion of "national system of integrated and co-operative governance" (SA Year Book, 2008/09, p. 284). The government system in this instance recognises the importance of integration and cooperation. These are critical elements of planning as will be demonstrated in the literature review. Interestingly, they are elements that feature mostly in policy documents governing municipality functioning. The department (DPLG) in the area of planning is required to be involved in the development of IDPs and LED through capacity building and participation (SA Year Book, 2008/09, p. 287).

Conclusion

The context of Diepsloot is that there are plans and programmes in place and the key document is the IDP. The legislative framework is clear on the mandate of local government and what work needs to be done. Government

systems provide for guidelines, particularly in relation to planning across all sphere of government. At the same time, however, studies indicate that there are endemic problems in relation to service provision, particularly sanitation. Service delivery protests, although not a reliable measure, are an indictment.

1.3 Research Problem

It is evident that there are programmes and plans in Diepsloot and that there are adequate guidelines and legislative frameworks for local government in improving service delivery. Furthermore, there are plans as required by legislation that must be integrated, consulted and funded. The IDP, the key planning instrument includes planning for sanitation. However, the revision of the IDP for the City of Johannesburg under which Diepsloot falls, the feedback report from the DPLG indaba in 2004, the research conducted by the University of Johannesburg and recent media reports point to problems of implementation of plans particularly for marginalised areas such as Diepsloot. The current service delivery protests in Diepsloot in their own way are a measure of inadequacy on the part of the municipality. The problem statement of this research is that there is a problem of the implementation of plans at the municipality level within the City of Johannesburg and this problem in turn impacts on delivery of basic services, notably sanitation.

The rationale for conducting this research is to examine how planning is executed in Diepsloot. What is the impediment to implementation? Its focus is on the relationship between planning for sanitation and the broader planning framework.

The objectives of the research are to:

- Investigate the factors that lead to lack of integration in planning and poor implementation.

- Present the findings of the research in relation to planning and implementation.
- Interpret and analyse the research findings.
- Recommend strategies for consideration.

1.4 Research questions

The key question for the research is: Why is the implementation of plans and more specifically plans for sanitation problematic in Diepsloot?

- What are the factors that lead to poor implementation of plans in Diepsloot?
- What are the trends in the planning and implementation of plans?
- What are the strategies for consideration that would improve planning and implementation?

1.5 Research Method

The research on Diepsloot is aimed at finding out why implementation to improve basic services, when there are clear plans and guidelines, continues to be a problem. To do this, an explanatory research was conducted. Explanatory research is conducted "when you encounter an issue that is already known and have description of it, you might want to begin to wonder why things are they way they are" in order to provide an explanation (Neuman, 2007, p 35; Welman, Kruger & Mitchell, 2005). The qualitative approach will be employed as it is consistent with explanatory research. It was also evident that many documents have been produced about Diepsloot. These would produce valuable information and contribute to understanding the research question. Document analysis that includes speeches by

Ministers, DGs and the Mayor of the City of Johannesburg formed an important part of the research and the analysis.

The qualitative method was used to obtain an in-depth view of how the municipality functions in providing sanitation and specifically on how planning occurs. The questions were designed to elicit information around factors that impede planning and implementation in relation to sanitation in Diepsloot, what is going on i.e what are the trends and how progress is measured.

Chapter 2: Literature review

2.1 Introduction

Diepsloot has been the subject of research for many years and, therefore, there is all likelihood that there is ample material for the researcher. A literature review is the cornerstone of any social science research and plays an important part in the initial process. According to Neuman, "Reviewing the accumulated knowledge about a question is an essential early step in the research process "…As in other areas of life, it is best to find out what is already known about a question before trying to answer it" (Neuman, pp 110-111). The purpose of this literature review is to study and understand planning and development theories and how they relate to Diepsloot. It is also to investigate what is already known about the unit analysis. One of the objectives is to consider strategies for improving planning and the literature provides evidence of what works and want does not work. The literature will look specifically at the South African situation, different levels of planning in government and more specifically how these are understood and applied at the municipal level. More importantly, the literature looks at the Integrated Development Plan and its links to sectoral plans for water and sanitation. Government planning framework places an emphasis on community participation. The literature will also look at community participation and what mechanisms exist to facilitate effective participation. Service delivery protests provide some understanding of problems of performance monitoring, however these are inadequate and cannot provide reliable performance information. The literature will look at how performance measures are derived, monitored and evaluated. The review will be confined to planning and development, planning across government and at local government level including Integrated Development Plans, relevant legislations, literature on sanitation and community participation and finally performance monitoring.

2.2 Planning in South Africa

As indicated in the introduction, in South Africa, planning cuts across all spheres of government. At national level, there is the national or central planning. The development of the green paper on National Strategic Planning released by the Presidency, once approved as a policy document, will be the key planning document (The Presidency, 2009). The Department of Cooperative Governance and Traditional Affairs is mandated to provide support to among other things, integrated development planning and local economic development (SA Year Book, 2008/09). At Provincial level, in Gauteng, there is the Growth and Development Strategy (GDS) of which the IDP forms part. The GDS is long-term planning framework for the region (City of Johannesburg, 2009/10). In addition, Provincial government must support local government and ensure effective service of delivery (Department of Provincial and Local Government, 2002). Local government is at the coal face of service delivery and according to the Municipal Systems Act of 2000, it must develop own IDPs (Municipal Systems Act 32, 2000). They key planning instrument at all spheres of government is, therefore, the IDP. Over and above various plans, there is a plethora of legislation, with which local government must comply. Key pieces of legislation in relation to planning include the Intergovernmental Relations Framework, Medium Term Strategic Framework, draft Single Public Service Legislation, the Public Finance Management Act, the Municipal Finance Management Act and the Public Service Act and regulations. Provision of services in South Africa, therefore, requires an integrated and co-ordinated approach and this fact cannot be over-emphasised. The issue will be discussed below under planning.

2.3 Planning theories

Planning has long been a preoccupation of government and academia, particularly during the industrial revolution. In many parts of the world the urban areas are more attractive and more and more people wanted to move from rural areas or the country side towards cities during this era. Rapid migration has been a feature of those cities that developed faster than others. This puts pressure on the city in more than one way. One of the pressures exerted on the city is provision of basic services. According to McConnell, planning emerged during the industrial era in response to the decay in the cities and in an attempt to improving living conditions. McConnell said the urban area was characterised by “disease-ridden chaos” and there emerged to desire to make cities “healthier, more agreeable and more efficient” (1981, p. 2). Therefore, regulation and reform were central to urban planning. This is the situation that continues to prevail today. Diepsloot as described earlier requires planning. Sanitation is a problem and this is the challenge facing the municipality and as McConnell points out, making cities habitable has been a preoccupation of planners. There are plans for Diepsloot but parts of the area are not hospitable such as extension 1.

McConnell (1981) proposes theories of planning, theories for planning and theories in planning. One of these theories, theories of planning are largely procedural. That is they are focused on “process and operations” (Mconnell, 1981, p. 15). For the purpose of this research, the focus is placed on procedural planning, although it is also admitted that such a division is artificial as planning is integrative in that it includes concerns about society. Over time, the concept has met with criticism from various quarters ranging from planning from above, uncertainty within the planning environment, the political nature of planning and the unintended consequences (McConnell, 1981). The main criticism of planning is the absence of “the body of

knowledge" and therefore one does not have the "basis for rational decision-making" (McConnell, 1981, p. 12). Can planning have such a body of knowledge? This criticism suggests that planning can be 'boxed' It suggests that there will be a blueprint from which one can draw from when problems in urban areas arise. But here is Diepsloot and it is doubtful that what worked in Orange Farm will work in Diepsloot. However, despite this lack of a body of knowledge, the Fainsteins argue differently. Planning, according to them, is seen as "future-oriented, public decision making directed toward attaining specific goals.." (Fainstein & Fainstein, 1996, p. 265). Planning is also considered a political activity. Fainsteins (1996) proposed planning typologies namely traditional, democratic, equity and incremental planning that are closely related to political theories. This is very interesting insight when one looks at South Africa today. South Africa is said to be a democratic state and in terms of this, democratic planning is central to government's work in improving the lives of the people. Perhaps what is more relevant for this research is the two types of planning namely the Democratic planning and Equity Planning. While both participatory, equity planning is more favourable for its incremental approach. Given the challenges faced in participatory planning perhaps traditional planning would be a preferred option. Traditional planning or planning from above does not rely on participation but is driven by technocrats who claim to have knowledge and experience that those below do not have (Fainstein & Fainstein, 1996). In the apartheid days of South Africa this was the approach but was less favoured due to the policy of separate development, but there is some merit to this kind of planning. Firstly it is less time-consuming; secondly there are no expectations created which often are not met; and last but not least is the fact that communities lack the capacity and skills required in planning. It is a complex area that requires those with expert knowledge to undertake. In a democratic society that follows

democratic planning, participation is a pre-requisite for planning and development.

2.4 Development planning and local government

The concept of development is widely used and it has also become a "buzzword" and its meaning, according to Rist, is "elusive" (Rist, 2007, p. 485). There are again many authors and commentators on development. Perhaps the most comprehensive definition of development is the one provided by Todaro. According to Todaro (1989. P. 88), "Development must, therefore, be conceived of as a multidimensional process involving major changes in social structures, popular attitudes, and national institutions, as well as…reduction of inequality, and the absolute reduction of poverty" He continues to list the core values of development which are life-sustenance, self-esteem and freedom from servitude (Todaro, 1989). Development, therefore, must be seen in a holistic context. Does development improve people's lives to the extent that they have appropriate accommodation, do not engage in demeaning jobs and they have self respect? The lack of opportunities in Diepsloot, protests and use of communal toilets go against the concept of development as defined by Todaro. How then has South Africa approached planning? Does it lead to development?

Development planning in South Africa is a concept that was adopted following the 1994 elections. The idea of development planning is a concept that leads to formulation of measures to achieve specific goals as stated by Todaro. Todaro is supported by Martinussen (2005, p. 228) who stated, "broadly formulated...is an effort to identify most appropriate means and measures for achieving specific development objectives". In South Africa, the concept of developmental government was introduced in 1994 (Atkinson, 2007). It is about the state that takes the lead in development and hence the developmental state (Makgetla, 2008). The state refers to all spheres of

government and includes the local government. A key element of local government development in South Africa is Community Participation which is explicit in the Municipal Systems Act and various other policies. Public participation is aimed at providing space, particularly for the poor, to have a say in "economic and political life that would lead to national development" (Martinussen, 2005, p. 234; Bakker & Miller, 1997). While political participation in South Africa has been relatively successful, it is in the economic life that challenges have been experienced partly as a result of a dual economy. This dualism in the case of Diepsloot is aptly captured in the Regional Spatial Development Framework (RSDF) report which points to contrasts between the affluent south and the "very poor" areas of the north that include Diepsloot (Regional Spatial Development Framework, 2003, p. 20). Turok (2008a, p. 184) traces this dualism to the pre-1994 period and argues that the challenge is developing policies to deal with endemic "poverty and unemployment in South Africa's second economy". Diepsloot offers a typical case of dualism. It is an area surrounded by South Africa's wealthiest suburbs of Dainfern, Fourways and Randburg. Mhone (2000, p.5) captures dualism as a situation that arises when the formal sector is surrounded by "sea of underemployment". Unemployment in South Africa is high and the situation has been exacerbated by the recent recession. Unemployment in Diepsloot is high and judging by the number of informal businesses, one can see the "sea of underemployment" that Mhone refers to. The poor are thus unable to lift themselves from the condition they are in. In 2003, the Presidency admitted in its *Ten Year review*, that growth was not trickling down from the first economy and poor are thus unable "to share in its benefits" (DBSA Development Report, 2005, p. 35). Therefore, in the case of Diepsloot, while on the one hand there are measures to improve lives of people, an exclusion from the economic life is a hindrance. The latter is one of the key findings of the University of Johannesburg study on livelihoods and poverty. De Wet *et al* (2008, p. 35) argue that policies that promote "social

inclusion" need to be devised and that "community planning initiatives" are crucial to development strategies. From the Development Planning perspective it is evident that participation and inclusion are essential ingredients to improving the lives of the marginalised. This must be understood in the context of the place that is Diepsloot.

2.5 Context of Development – the Diepsloot Development Framework

The establishment of the reception area or extension 1 was seen as a temporary arrangement by the Gauteng Provincial Government and the City of Johannesburg that would exist while a long lasting solution is sought. This is evident from the many plans that are underway to improve conditions in this area. Some of the development initiatives by the City of Johannesburg include Operation Gcin'amanzi to reduce water losses and also provide basic water and sanitation to poor communities. Diepsloot is to benefit from the Complementary project that is aimed at upgrading infrastructure (Madumo, 2008). The Framework for National Sanitation Strategy in 2002 emphasized a number of issues in areas that faced service delivery challenges that included informal settlements (Department of Water and Forestry, 2002). The Empowerdex survey and the IDP revision of Johannesburg both acknowledge the gap between delivery of services between urban and informal settlements (Munidex, 2009, IDP revision 2009). What then could be the cause for such disparities?

Over the last 13 or so years, there has been a myriad of policies, institutions and programmes geared towards improving service delivery. First of these was the Reconstruction and Development Programme (RDP) developed in 1994. (White Paper on Reconstruction and Development Programme (RDP), 1994, p. 7) Its objectives included improving the "standard of living and quality of life" recognizing the importance of "equitable economic growth"

(RDP, p. 7). The South African Social Security Agency has been established to expedite access to social security. The public service has been transformed to make it more responsive to the needs of the citizens through the introduction of the new public management and a plethora of policies put into place (Turok, 2008b). Sangweni & Mxakato-Diseko (2008) argue that a strong public service is crucial in service delivery. They identify a number of issues which they argue must be addressed in order to strengthen the public service. These include, the transient nature of the public service, "disconnections between state enterprises and agencies and their relevant departments", problematic nature of executive relations and private sector reliance in providing services (Sangweni & Mxakato-Diseko, 2008, pp. 37-46).

Diepsloot is one area that has no shortage of initiatives but Cox (2009) argues that the problem is lack of sustainability. Indeed there are several programmes, plans and frameworks in Diepsloot all geared towards development. Some of the key frameworks are the Integrated Development Plan, Spatial Development Framework for Johannesburg (2008, pp 68-70) and the Diepsloot Development Programme 2020. The latter programme sets out key objectives to be achieved and these are:

- Efficient Urban Form
- Urban integration
- Equitable access to social services
- Promote smart transportation
- Land use and transportation integration
- Increase density and compactness
- Create mixed-use environment
- Protection of open space

Section five of the programme sets the Framework for Development and section seven of the document provides guidelines for urban design. Diepsloot has, therefore, a long term development programme that should assist in improving the situation in the future. The important element of the programme is its focus on integration. Indeed here, development is not presented in silos but the focus is on integrating different elements and ensuring that there are budget estimates that guide implementation of the programme.

The City of Johannesburg in terms of the Municipal Systems Act (MSA, 2000) is expected to develop the Integrated Development Programme. In addition, the city must introduce the Local Economic Development and improve efforts for Community Participation. However, Hemson *et al.* (2008, p. 167) argue that LEDs were not community products but were developed by consultants. This suggests a lack of ownership. The case of consultancies was also raised with the development of IDPs during the Development Planning Indaba hosted by the DPLG (2004). Despite these shortcomings of the IDP, Diepsloot became the focus of development through it being identified as a Special Project by the Provincial Premier's office. The key objective of the Special Project was to unlock hindrances towards development (Himlin, *et al.*, 2008). Other interventions in Diepsloot are contained the Provincial Growth and Development Strategy (GDS). The GDS incorporates the Human Development Strategy developed following an initiative by City of Johannesburg with stakeholders (Growth and Development Strategy, 2006; De Wet, *et al*, 2008; Humlin *et al*, 2008). The overall objective of the GDS is to "accelerate growth, reduce poverty, build sustainable settlement and empower communities" (Growth and Development Strategy, 2006, p. 9). It is important to continue to assess progress of the GDS and where it is today. In 2007, a Development Programme for Diepsloot was developed and the question can also be asked as to what are its achievements (Himlin, *et al.*,

2008; Cox, 2009). While these are appreciated, the role of the local authority remains crucial but appears absent. In their conclusion on the study of livelihoods and poverty, De Wet, *et al.* (2008) emphasise the importance of local authority's involvement in development. However, community participation in development as argued by Bakker and Miller (1997) and Martinussen (2005) remains a key element in planning and development.

2.6 Community participation as a concept

The IDP and the Masibambisane Strategy developed by the Department of Water Affairs emphasise the importance of community participation. This section discusses community participation in relation to provision of sanitation. Indeed, a document produced by the Wintzberg Municipality points to poor participation in the current forms that include the IDP and the Water Services Development Plans, particularly in poor communities (Witzenberg Municipality, 2006). This sentiment is echoed in the policy paper on integrated development planning developed by the DPLG which acknowledges problems of participation at municipal level (Department of Provincial and Local Government, 2002). Despite challenges, community involvement in development is considered a key element in the successful achievement of services. This aspect features prominently in the democratic South Africa and departments such as DWAF emphasise the importance of participation in planning and implementation sanitation services (Department of Water Affairs and Forestry, 2002, p. 10).

There can be no doubt that government considers participation critical and in the latest policy documents there is clear demonstration of this commitment. However, the question remains as to why more than 10 years into the participatory democracy we are still grappling with getting communities to participate in development. What is not being done?

Recently, the Department of Water Affairs and Forestry (DWAF) released a strategy document geared towards improving "civil society" involvement in the delivery of water services (DWAF, 2004, p ii). This is in realisation that while community participation is critical, there are obvious shortcomings that must be understood and addressed effectively. The strategy document considers the following factors as key elements of "meaningful involvement" (DWAF, 2004, p ii):

- Strong awareness of and participation in water and sanitation planning and delivery processes by communities and CBOs.
- Increased numbers of NGOs, CBOs and community members actively engaged in local level planning processes for water and sanitation services delivery.
- Increased numbers of NGOs and CBOs contracted for water and sanitation delivery services by municipalities.
- Greater proportions of water and sanitation programme financing flowing through and being managed by NGOs and CBOs.
- Increased numbers of NGOs and CBOs, constructively involved in policy review and reformulation processes at provincial and national level.

This indeed demonstrates that DWA does not consider participation passive as in meetings but there is active involvement in the planning and implementation of services.

Community participation is a feature of a democratic society and an emphasis in many programmes of the South African government. The first key policy document developed following the 1994 elections, the Reconstruction and Development Programme, led the way for participation. Subsequent policy documents have escalated participation. For example, participation features prominently in the IDP, the White Paper on Sanitation**,** and more recently the Masibamisane Strategic document. Participation is embedded in democratic

planning which represents a shift from traditional planning with its top down approach (Fainstein & Fainstein, 1996, p. 268).

Theories of planning and participation clearly emphasise the need for meaningful involvement of communities in matters that pertain to their lives. Policy documents in South Africa are precise and to the point around participation. The following section looks at how community involvement takes place in Diepsloot.

2.6.1 Community involvement in development in Diepsloot

Involvement of community in development is a critical element of any development initiative as can be drawn from the above section. The Diepsloot Community Development Forum was established in an effort to lobby for improvements in the people's lives and is said to have played a crucial role "prior to election of ward committees" (Himlin, *et al.*, 2008, p. 41). But since ward committees came into existence there seems to be very limited community participation and progress has been stifled. For community participation to be meaningful, it needs to be more than just accessing government, meetings and problem solving. According to Khan and Haupt (2006), community participation is about carving clear roles and responsibilities for both government and the community, and about ownership. It also means that from both sides there is value-adding. In the case of Diepsloot this has been found to be weak (De Wet, *et al.*, 2008). Devas (2004) emphasises the importance of "collective endeavours" and argues that the Diepsloot Community Forum for instance has played an important role in mobilising resources, finding solutions to problems in programmes and identifying priorities (Devas, 2004, p. 8). The Johannesburg Poverty and Livelihood Study indeed point to the importance of social

inclusion and the role of local community in planning (De Wet, *et al*, 2008). Again, as indicated earlier, the forum in Diepsloot has since been replaced by ward committees and given concerns raised by Devas and DPLG, it is likely that participation has faded. Advocates of development from below strongly argue that development must take place at "the lowest feasible territorial scale" (Stohr & Taylor, 1981, p. 453). Participation is, however, not as easy as it would seem. Critics argue that citizens are often apathetic and would rather rally around a specific concern, and when once resolved, they disappear. Indeed trying to identify key issues and relevant stakeholders appears to be a difficult task. Arnstein (1967) argues that participation is lauded as long as the poor do not advocate it and try to define it around redistribution of power. If these are the challenges of participation as argued earlier perhaps a case for a traditional approach to planning is an option to consider.

The paper developed by the DPLG cautions that "participation needs to be carefully and efficiently structured as it may become a very time-consuming and costly process, particularly in newly demarcated districts that are of a large physical size or have a large and highly differentiated population" (DPLG, 2002, p. 28). This statement is interesting as it raises concerns around time and costs. In essence, the statement negates the very notion of participation. Meaningful participation cannot be a marathon and how else do you get the poor to move from point A to B to participate in the plans if they cannot afford the costs of transport and food. Municipalities are meant to plan and use the plans to provide for services, but Devas (2004) argues differently and is of the view that provision of services is often a result of pressure from communities. The current service protests support this view. What exactly participation means should then become the preoccupation of any municipality.

Participation is less understood but is used as though there is a consensus as to its meaning. It has become a cliché, and in fact a meaningless word. Rahnema (2001, p. 117) traces the origins of the word to the 1950s at the time when development jargon emerged. The author argues that there are various reasons why participation has became so important and these include (pp117-120):

- Governments not viewing the concept as a threat.
- Participation as an "attractive slogan".
- An indispensable proposition.
- Key to effectiveness and investment.

As indicated in the literature covered, Rahnema, Arnstein and the policy framework point out several pitfalls to this notion. The research and interviews will seek to understand how this applies in the case of Diepsloot, what challenges exit and how the situation can be remedied.

2.6.2 Measuring progress and the role of the community in Diepsloot

The Municipal Systems Act (MSA) in Chapter Six emphasises the importance of performance monitoring and Section 40 of the act states that a municipality must establish mechanisms to monitor and review its performance management system (Municipal Systems Act, 32, 2000, p. 40). The same chapter again brings back and outlines the importance of community involvement. This is consistent with the theory of participatory planning referred to in earlier sections. Recently, the fourth democratic parliament established the Planning Commission and the Monitoring and Evaluation and Administration Ministries. These are efforts geared towards making government more effective and efficient and improving service delivery (*The Sunday Independent*, 2009, May 24). Performance monitoring is important in that it allows the organisation to answer various questions ranging from

improvement of services, learning, promotion and budgeting, among other issues (Behn 2003, p. 588). Absence of monitoring and evaluation means challenges cannot be diagnosed properly, success is difficult to measure and provides no clarity on what needs to be improved, where and how. De Wet, *et al.* (2008, p.36) indeed argue that the "feasible and responsive policies can only be made if these are based on sound data and agreed indicators to monitor progress". The challenge is how does one arrive at agreed indicators. This again raises the issue of participation and in fact advocates of the Results-Based Management such Kusek and Rist argue that participation is key in developing indicators.

Recently, the government published a document entitled: *Improving Government Performance: Our approach* (The Presidency 2009). The aim is to improve monitoring and evaluation in government. The draft Single Public Service Legislation seeks to extend the mandate of the Public Service Commission to include monitoring and evaluation at local government. These measures are geared towards strengthening accountability and performance. At the same time, however, the continuing protests at many municipalities suggest that government needs to move with speed. The Municipal Services Act of 2000 section 42 clearly outlines the process of community involvement which includes participation in developing indicators and targets (Municipal Services Act, 2000, p. 48). This is a critical section of the act, but as indicated earlier, community participation remains an elusive element in many municipalities largely confined to izimbizos and mass meetings. Performance indicators are crucial in monitoring performance. However, concerns around the capacity at many municipal levels raise the question of how this will take place given the complex nature of developing performance indicators. According to Kusek and Rist (2004, p 74) developing indictors is a time-consuming exercise and requires particular expertise. The challenge is, therefore, to establish meaningful fora with the community to develop

indicators and obtain the necessary expertise. Once this has been done, then one can start drawing reliable data that provides a clear indication of the progress. Again as indicated in the beginning of this section, to give effect to many of these measures, speed remains important. From the interviews and the documentation consulted what is evident is that, in the case of Diepsloot it is difficult to say what progress has been made. Documentation and interviews acknowledge that progress is slow but how slow it is and how to expedite delivery remain key challenges in the absence of performance indicators.

2.7 Role of government in the provision of basic services in Diepsloot

Effective delivery requires that each sphere of government plays its role and community participation should be a key feature. In the case of sanitation for example, some of the key department are cooperative governance and traditional affairs, water affairs, health, education and public works as well. The roles are clearly spelt out in the key legislation mentioned earlier such as the IDP and the Intergovernmental framework. However, despite the existence of frameworks and accountability structures, there appears to be problems. Government planning, resource allocation and monitoring and evaluation in so far as it relates to local government appear to be weak (Atkinson, 2007, p. 164). Hemson, Carter, and Karuri-Sebina (2008) describe planning in government as "…poor, fragmented and uncoordinated practices…" The Growth and Development Strategy developed by the City of Johannesburg acknowledges probable misalignment of initiatives by the City with those of the province and national ones and, therefore, proposes alignment to avoid wastefulness and "blunting development effort" in Johannesburg (Growth and Development Strategy, 2006, p. 7). That planning is a problem is further articulated by Levin (2008) when he argues that the silo approach in government has led to fragmentation in provision of

service. Service delivery cuts across government horizontally and vertically, and in order to make a meaningful impact, integrated planning, cooperation and co-ordination is going to be critical. Co-ordination here does not mean meetings and committees. There are various ways in which government can co-ordinate and each of these need to be explored as it is difficult as argued by Hood (2005, p. 25, that "you can join-up some of the government all of the time, but not all of the government all of the time". Therefore, then one needs to identify a project, such as sanitation. Then identify components of government relevant to the project, allocate resources and define reporting responsibilities.

According to Hemson *et al*. (2008, P.164) government efforts to improve planning have not "yielded adequate results". The Integrated Development Plans have been developed but owing to poor co-ordination and implementation, these have also had limited results (Hemson, et al., 2008; Atkinson, 2002). This lack of co-ordination within the municipality and between various role players, particularly government departments, is a result of a silos approach. Page (2005) refers to silo mentality as one that confines an organization within defined parameters and concerns itself with dealing with "policy problems" within this space. This, therefore, makes it difficult to co-ordinate and in fact, creates a situation where public service departments avoid risk associated with shared delivery (Bogdanor, 2005). Added to this is the issue of "individualization of performance and evaluation" which complicates co-ordination (Sangweni & Mxakato-Diseko, 2008, p. 45). This means that officials will perform and deliver on work allocated to individual departments, and in this way entrenching the silos mentality. This is more problematic, especially at senior management level where team work is critical. However the proposal to establish the single public service offers hope (Draft Public Administration Management Bill, 2007; Levin, 2008). The draft legislation on single public service proposes the extension of the Public

Service Commission's mandate to cover monitoring and evaluation in local government (Draft Public Administration Management Bill, 2007). This will enhance delivery and accountability at this level.

2.8 Key interventions

There is ample information that is documented that suggests that local government is in crisis (DBSA Development Fund Annual Report, 2005/06; Department of Provincial and Local Government, 2004; Project Consolidate, 2004). Over and above what is recorded, recent protests in 2009 are, if anything, an indictment. That municipalities are in a crisis mode is confirmed by the Development Bank of South Africa (DBSA), "Municipalities in South Africa continue to face serious challenges, which include eradicating poverty, creating job opportunities…and providing access to good, affordable basic services for all" (DBSA Development Fund Annual Report, 2006, p. 29). Government has been busy. In 2004 Project Consolidate was launched following a survey by the then Department of Provincial and Local Government to identify constraints in this sphere of government (DPLG, 2004). In 2006 government launched the Siyenza Manje project The project, according to the DBSA is aimed at unlocking resources and deploying required skills to struggling municipalities in order to expedite implementation of basic services (DBSA Annual Report Highlights, 2008, p. 14).

The Sanitation Policy introduces the concept of sustainability. The policy acknowledges that sustainability is about community and affordability (City of Johannesburg, 2002). According to the DBSA, sustainability is important as it promotes self-sustenance, active participation, team work and building a future (Development Bank of South Africa, 2008, p. 1). The notion of sustainability is also one that is not simple. If the policy and the DBSA argue that it is about people, the obvious question that arises out of Diepsloot is why

then is it difficult to acquire land? The answer to this is that because some of the land is home to endangered frog species (Himlin *et al*, 2008). It, therefore, depends on who talks about sustainability. If one takes the policy definition that sustainability is about community then that land must be acquired and residents of Diepsloot be provided with houses on this land. From the environmental point of view this would not be sustainable.

In 2004, government launched Project Consolidate which was aimed at providing support to municipalities that were battling to deliver (Project Consolidate, 2004). More recently, in 2006, the government has launched project Siyenza Manje to complement project consolidate (Development Bank of South Africa (DBSA) Development Fund Annual Report 2005/06, p 13). These interventions are largely reactive and seek to resolve problems. What is required is, as the Fainsteins (1996) pointed out is "future-oriented" interventions (p. 265). The Nokotyana case, to be discussed below, for example, calls for informal areas battling with service delivery such as Harry Gwala Settlement to consider measures to improve lives of people in these areas. The Medium Term Strategic Framework (2009) is focused on improving delivery at local government and the document states that "Improving provincial and local government capacity to plan for and maintain infrastructure to ensure continued efficient delivery of economic and social services" is a key priority of government in the next four years up to 2014 (The Presidency, 2009, p. 18). The document emphasises capacity, planning and maintenance of infrastructure as key elements. Indeed many documents have highlighted poor capacity and planning as some of the causes of poor delivery.

As can be noted between 2004 up to date there has been intervention after intervention. While Project Consolidate and Siyenza Manje complement each other, there is still not a meeting point about all the interventions at local

government. The different roles played by spheres of government remain a paper exercise thus leaving local government to deal with the wrath of communities and provide explanations to issues they have little control over. For example, if delivery of housing, which is a national competency, is poor, what can local government explain?

2.9 Provision of Water and Sanitation

The democratic government was faced with a challenge for providing services to the majority of South Africans. More importantly was the fact that the government almost had to start by addressing the backlog that had built up prior to 1994. The situation before 1994 is summed up by the then Minister of the Department of Provincial Government, Minister Mafumadi (2004, p. 9) thus:

- Estimates of the housing backlog ranged from 1.4 million to 3 million units and people living in shacks were between 5 million and 7.7 million.
- 60% of the population had no access to electricity.
- 16 million people had no access to clean water.
- 22 million people did not have access to adequate sanitation.

The first key policy to emerge was the Reconstruction and Development Programme (RDP) in 1994. The provision of sanitation is spelt out in the RDP under policy objectives which provide for "Community based development of water and sanitation services" (Reconstruction and Development Programme, 1994, p. 80). What is of importance is that the RDP, while specifying targets for water, does not do so for sanitation. This perhaps, as Mike Muller indicated, accounts for slow progress in this area but as discussed under performance monitoring, absence of performance information makes it difficult to measure progress. The problem of sanitation was articulated in the Framework for National Sanitation Strategy (2002)

which stated that over 18 million South Africans did not have access to basic sanitation and lacked the necessary knowledge about hygiene (Department of Water Affairs and Forestry, 2002, p. 2). This was the situation in 2002 but today little seems to have changed, at least in the case of Diepsloot. Again the problem faced by the researcher here is that in the absence of performance indicators and targets, it is going to be a difficult task to make any judgment.

The Local Government Budgets and Expenditure Review document of 2008 show that provision of sanitation is a priority of government. According to this document, between financial years 2003/04 and 2006/07 there has been an increase in expenditure for sanitation at municipal level, most of which was for infrastructure…"Municipalities are therefore prioritising the rollout of sanitation infrastructure" (National Treasury, 2008, p. 102). Municipalities have been given the resources for provision of sanitation and the issue prioritised. What then is the problem or where are the blockages? It would seem that there is a disjuncture between planning and budgeting processes. The legislative framework requires public participation in planning, at least in theory, but the budgeting process while also requiring public participation seems less of an important issue for municipalities.

2.9.1 Provision of sanitation within the City of Johannesburg

Sanitation has been one of the services that government has not performed as it would have from the above arguments. Muller (2002, p. 7) states that the low progress resulted from the fact that communities were more focused on water services and that there was an absence of systems for "promoting improved sanitation at community level". The City of Johannesburg in its IDP Revision of 2009 acknowledges that informal settlements remain a key challenge in provision of water and sanitation services and has taken an approach of formalising these areas to improve services. (City of Johannesburg, 2009, p. 264)

Diepsloot, which falls under the City of Johannesburg is provided for under the Sanitation Policy developed by the City of Johannesburg. Although the policy came in much earlier, the budget reviews show that as early as 2003/04 following the policy of 2002, resources were being made available to give effect to the policy. The policy sets out various options for sanitation services and they range from emergency or temporary services to high levels services with other options in between.

The table below provides for Sanitation polices as envisaged in the Sanitation policy of the City of Johannesburg.

Table 1: Options for Sanitation

Service Package	**Sanitation option**	*Water Supply Level*
Emergency or temporary services	**Communal VIP** (temporary <12 month measure) *Chemical toilets should be avoided, except in emergency situations*	**Communal tank or standpipe** *Water tankers may be used under emergency situations*
Basic level	**Household VIP** (on-plot dry) *Composting-desiccating systems may be used where the advantages and community acceptance are proven*	**Communal standpipe** *Yard connections may be used at lower densities*
Low level	**LOFLOS** (on-site low flush)	**Low volume yard connection** (such as yard tanks)
Intermediate level	**Shallow sewerage** (off-site medium flush) *Small-bore sewerage may be used where septic tanks already exist in more than 80% of plots*	**Yard connection** **House connection may be used if this is affordable**
High level	**Full-bore sewerage** (off-site full flush) *Septic (or conservancy) tanks may be used in sparsely populated areas, such as semi-rural small-holdings* *Small-bore sewerage may be used where septic tanks or aquaprivies already exist in more than 80% of plots*	**Yard or House connections** *These may range from trickle feed to full pressure systems, depending upon affordability and water availability.*

Source: City Johannesburg: Sanitation Policy for Johannesburg

In the City of Johannesburg there are options after options (City of Johannesburg, 2009). However, despite these many options in Diepsloot only three types are commonly used and they are the flushed toilets, the

Ventilated Improve Latrines (VIP) and the bucket system. The latter is not an option under the policy and is still commonly used in Diepsloot (Diepsloot Development Framework 2020, 2008, p. 34). The flushed toilets are mainly used in the formal houses, while the bucket system and the VIP toilets are predominantly in informal settlements notably extensions 1, 12 and 13. Therefore while the policy provides for various options, Diepsloot still relies heavily on three of these many options.

A recent case brought by Nokotyana and others, residents of the Harry Gwala informal settlement outside Benoni against the Ekurhuleni Metro Council will have bearings on provision for sanitation in many municipalities. The applicants approached the High Court requesting for an order for the provision of "temporary sanitation facilities" (Nokotyana and others versus Ekurhuleni Metropolitan Municipality). The High Court then instructed the municipality to provide water services and waste removal but dismissed sanitation and lighting. The case was referred to the Constitutional Court for appeal. (Case CCT 31/09, [2009] ZACC 33)

The Constitutional Court appeal held that provision of services is dependent on the upgrading of the settlement and said "the provision of services only come into play in the second phase, after a decision to upgrade the settlement has already been taken by the MEC" (Constitutional Court, 2009, p. 22). Extension one in Diepsloot requires upgrading and such an order has implications for informal settlements and many others in similar circumstances. It would seem, therefore, that the critical element that provision of services is not just about having plans for that service, but how that service is to be provided and the conditions under which the services are provided. Interestingly, in 2008, the City of Johannesburg had adopted the "Formalisation and Upgrade approach" (Masondo, 2009). In a statement

during the media briefing by the Mayor of the City, the objectives were outlined as follows:

- Alternative accommodation for all settlements within the city that are legally recognised and those that are poorly located.
- Resolve of ownership of land where informal settlements are situated
- Structure settlements to allow provision of services
- Properly structured "future settlement growth" areas and limit development in non-authorised areas. (Masondo, 2009)

Therefore it is evident that city has a plan in place and indeed during the interview with the CDW, it was indicated that extension one is under the regularisation programme. However, progress has been slow. What is evident is that over and above having plans and programmes, provision of sanitation is going to require that settlements are habitable, perhaps that is what is meant by formalise and regularise, and the services can be provided. Installing sewage infrastructure for example requires that the area be excavated. If however, the roadways are too narrow, houses on top of each other and there are no plans, this task is near impossible. The researcher concurs with the view of the court in that upgrading is and in fact should be a pre-requisite for provision of basic services. Failure to upgrade can only lead to complications. How will maintenance be carried out when no one remembers where the pipes have been laid out or join each other?

2.9.2 Sanitation policy environment

Provision of sanitation in South Africa is provided for in section 27 of the Constitution and is guided by various pieces of legislation across government spheres. For the purposes of the research the White Paper on Basic Household Sanitation and the Sanitation Policy developed by the City of Johannesburg will be elaborated upon while the other acts will be set out in brief. The purpose of doing this is to demonstrate that the policy framework is comprehensive and clear with regard to sanitation.

The Water Services Act (Act 108 of 1997) – clarifies roles of municipalities as water services authorities and roles of water services providers and water boards. Section 3 of the act more specifically states that:

(1) Everyone has a right of access to basic water supply and basic sanitation.
(2) Every water services institution must take reasonable measures to realize these rights.
(3) Every water services authority must, in its water services development plan, provide for measures to realise these rights.
(4) These rights mentioned in this section are subject to the limitations contained in this Act.

The act further defines basic sanitation as meaning the prescribed minimum standard of services necessary for the safe, hygienic and adequate collection, removal, disposal or purification of human excreta, domestic waste-water and sewage from households, including informal households (Water Services Act 108 of 1997, p. 8).

The Municipal Structures Act (Act 33 of 2000) provides for allocation of the responsibility for water services through the approval of the Minister of Cooperative Governance and Traditional Affairs.

The Municipal Systems Act (Act 32 of 2000) provides for an integrated planning approach. Chapter 5 of the act under section 25 sets out integrated planning and requires municipalities to adopt a strategic plan which links, integrates and co-ordinates other plans. It also requires that plans are linked to resources as well (Municipal Systems Act, 2000, pp 36).

The Division of Revenue Act (2002) makes provision for the Community Water Supply and Sanitation (CWSS) as an "Indirect Conditional Grant" to fund basic level of water services and the implementation of infrastructure projects where municipalities lack the capacity to do so.

The White Paper on Basic Household Sanitation (DWAF, 2001) defines sanitation and sets out the provision of a basic level of household sanitation to those areas with the greatest need. It also places an emphasis on community participation.

2.9.3 The Basic Household Sanitation

As indicated above, that the policy framework will focus specifically on Basic Household Sanitation. The White Paper on Basic Household Sanitation defines Sanitation as "the principles and practices relating to the collection, removal or disposal of human excreta, household waste water and refuse as they impact upon people and the environment. Good sanitation includes appropriate health and hygiene awareness and behaviour, and acceptable, affordable and sustainable sanitation services" (Department of Water and Forestry, 2002, p. 1). Essentially sanitation's key focus is on health and hygiene. In Diepsloot, there are communal toilets that are located next to informal houses, the bucket system is still in use and some of the facilities are in disrepair. This situation goes against the letter and spirit of the policy and more importantly poses a health risk. What is evident from this definition is

that provision of sanitation cannot be a function of one department. Informal settlements are characterized by poor planning, lack of appropriate infrastructure and poor access to basic services such as water and electricity. Poverty as indicated by the study conducted by the University of Johannesburg in 2008 adds to the challenges faced by residents. In many of these areas, people are caught in "vicious circle" where in the situation moves from bad to worse (Myrdal 1957, p. 11). The argument here is that health and hygiene require a collective approach between various departments. Sustainability of sanitation means more than just toilets and running water. What is the point of a good sanitation when what one calls a house is leaking during summer rains and freezing in winter? The government has acknowledged the need for an integrated approach and this is articulated in various policy documents such as the Intergovernmental Relations Framework (IGR) of 2005 which, among other things, provides for the establishment of intergovernmental relations forums (Intergovernmental Government Relations Framework Act 13, 2005).

The Sanitation Policy in Johannesburg was also developed around the same time as the White Paper. The policy paper raises concerns with poor sanitation, particularly in low income areas (LIAs) and it describes as unacceptable the use chemical toilets and communal facilities within the city (City of Johannesburg, 2002, p. 3). The objectives of this policy are stated as:

- To provide a policy which articulates the approach to sustainable sanitation provision within Johannesburg.
- To provide for at least an acceptable minimum level of service while striving towards improved levels of service in the short to medium term, accepted as 2010, but without compromising the long term 2030 goal of full water borne sanitation for all residents of Johannesburg.
- To assist the process of addressing sanitation backlogs within the City.

(2002, p.3).

There are many measures and initiatives by government that acknowledge that sanitation provision is not where it should be and this is expressed in both the White Paper and the Sanitation policy. The conclusion that is drawn is that the White Paper on Basic Sanitation places an emphasis on households and this requires involvement of individual households in the process, while the Sanitation policy seeks to expedite delivery. Both are also clear about what role the community should play in the provision of this service. The next section discusses the importance of household and community participation in sanitation.

2.10 Conclusion

The literature reviewed for this research provides insight into planning and what successful planning entails. In much of the literature reviewed ranging from theories of planning and development, and the legislative framework, community participation and integration are indisputably key elements. What also comes out of the review is that provision of sanitation, despite being prioritised and being provided resources, remains a challenge to many municipalities. The recent Mazibuko and Nokotyana cases shed a new light in provision of water and sanitation. However in both cases, although judgments are sensible, they unfortunately favour municipalities. The order of upgrading given in Nokotyana carries much the same weight the progressive realisation of rights. This could mean anything between a year and a century. Mazibuko was one of the litigants that passed on while the case was being decided. Similarly Grootboom passed on while waiting for the realisation of her rights. Finally it is also evident that there is misalignment between the spheres of government and that local government being at the forefront has to bear the brunt of the community dissatisfaction.

Therefore the ingredients of successful planning and implementation from the review are participation, integration and intergovernmental cooperation.

Chapter 3: Discussion on Methodology and collection of data

3.1 Introduction

The research methodology followed from the research problem and questions posed. This allows for the research to investigate and find out what evidence is required to answer the research question (Mouton, 2003, p 56). This will lead to drawing conclusions as well. Much research has been conducted in Diepsloot, both of exploratory and descriptive nature. The research problem and the research questions posed, lend themselves towards an explanatory research which is research conducted when a researcher wants to find out what is known (Neuman, 2006, p. 35). Therefore, this research followed an explanatory approach. The qualitative approach was employed as it is consistent with explanatory research. Social life cannot be reduced to numbers without understanding context and meaning attached to life by various events around people. As it is about people, the qualitative approach allows the researcher to draw information from people they are studying within the context they live in order to make sense of their world (Neuman, 2006, p 156). An important part of data collection includes elements that make the people's world and these are real events, interviews, observations, written documents and photographic material (Neuman, 2006, p. 157). In designing the research, the researcher is mindful of useful data that will provide much about the unit of analysis. In fact, the researcher will have to be what Neuman refers to as a bricoluer and "learn to be adept at doing many things, drawing from a variety of sources, and making do with whatever is at hand" (Neuman, 2006, p. 159).

3.2 Research Design

Unstructured questionnaires were used and the documents that have been produced about Diepsloot were studied. The documents included speeches by Ministers, DGs and other reports such as the DBSA Annual Report, the

Planning Indaba of 2004. In addition, while on the field doing interviews the researcher took pictures as part of the material for analysis. It is important to corroborate data from various sources when doing analysis as it increases reliability (Neuman, 2006).

The questionnaires used were designed to get obtain in-depth view of how the municipality functions in providing sanitation and specifically on how planning occurs. Open-ended questions are ideal for this research as they provide "a rich source of material which might have been untapped by categories in a pre-coded list" (Wilmen *et al.,* 2006, p. 176) These questionnaires had no predetermined sets of questions as the respondents were very different but the researcher made sure that he was clear enough about what is to be covered, namely finding out factors that lead to poor implementation of plans (Kruger *et al.*, 2006). To ensure that information is reliable and authoritative, the researcher sought the views of those in leadership positions as they would be best placed to answer these questions. Another approach aimed at ensuring reliability was the use of different sources.

3.2.1 Sampling

In selecting respondents for the interviews a purposive sampling was employed. This was informed by the desire to conduct in-depth interviews with carefully selected individuals who may not be easily reached. Indeed during the research this proved to be the case. Purposive sampling is

defined in Neuman as “a non-random sample in which the researcher uses a wide range of methods to locate all possible cases of a highly specific and difficult to reach population” (Neuman, 2006, p. 222). A sample of six respondents was chosen. The interviewees were a councilor, a ward committee member, the chairperson of the Community Policing Forum, the Community Development Worker and a member of the South African National Civic Organisation (SANCO). Initially six interviews were going to be conducted that would have included an official from the City of Johannesburg but access to CoJ proved very difficult. Generally, accessing interviews was difficult. For example, interviews were scheduled as early as October 2009. The first interview was granted in late November and the other four only materialized in mid to end January 2010. The absence of views from the City of Johannesburg is perhaps the limitation of this research.

3.2.2 Interviews

Face to face interviews were used throughout the research. These were preferred because the purpose was to elicit tacit information that would have been difficult through self-administered or telephonic interviews. Some respondents showed reluctance initially. It is to be noted that the research was conducted at the time when there were service delivery protests and the council was under heavy criticism. Perhaps this accounts for this reluctance. The researcher sought an interview with a councilor from the other ward but this never materialised. Respondents were visited wherever they preferred suitable. The interviews were conducted at homes and offices. The purpose was to ensure that they are in a comfortable environment where there will be few interruptions.

3.3 Data analysis

The data was first organised before being analysed. The process according to Kruger *et al.* (2006, p. 211) “entails converting notes into write-ups which

should be intelligible products that can be read, edited for accuracy, commented on and analysed". The idea of using a dictaphone was explored but abandoned when it became clear that securing interviews was difficult. This would have assisted in closing any gaps. The analysis also included documents that were collected. The analysis was done according to themes which the researcher determined. The themes largely arose from the research questions.

3.4 Limitations

The biggest limitation was time constraint. The researcher had six months to complete the research. Being a full time employee, he had to find time to conduct interviews and write up the research. That in itself was not a limitation but securing interviews was a hurdle. This meant that interviews were conducted much later than anticipated and that not all respondents could be reached. Again due to time constraints, the research scope had to be limited to examining the municipality in relation to provision of sanitation and using only a qualitative approach. The research was conducted during the period when the ward was under pressure from the community, civic organisations and national government. The reluctance to provide interviews could perhaps be a result of this situation.

3.1.4 Mitigating against the limitation

- To avoid research bias, the researcher consulted experts on the subject and sought the services of an independent editor. Various people are acknowledged who have read the report and provided various opinions.

- To ensure that informants were available, the researcher communicated with them in advance and explained the purpose of the study and where necessary provided a summary of the research. This eventually paid-off after delays.
- Since the time-frames were tight, the researcher had to utilise weekends and request time-off from the employer to be able to conduct and complete the research within this time frame.

Chapter 4: Presentation of research results (and analysis)

4.1 Introduction

The focus of this chapter is to analyse the data collected from interviews with key stakeholders as indicated in the methodology. The analysis will also refer to key documents that include planning documents from Diepsloot, sanitation plans, the legislative framework and speeches by former the Member of Executive Council (MEC) for the then Gauteng Housing Department, the current Minister of Human Settlement and documentation from DWA and DPLG. The analysis will incorporate arguments by the Researcher.

4.2 Approach to analysis

The first task in the analysis is to process raw field notes. These are notes taken during interviews and need to be organised into readable material (Wilmen, *et al.,* 2006). The approach to qualitative data analysis will be theme identification analysis. From interviews the researcher selected the themes and sorted them (Wilmen, *et al*., 2006, pp. 212-3). Document analysis followed the same process of theme identification (Mouton, 2003). The analysis involved three interacting processes namely, interpretation and analysis of data captured from the field, including pictures, the interaction of the researcher with the data and the analysis the documents that included the Diepsloot Development Programme, the City of Johannesburg IDP revision of 2009, the Annual reports from the Development Bank of South Africa, and speeches by the Mayor, Ministers and Deputy Director-General. This is to ensure that:

- Researcher bias is avoided.
- Data on its own has limited meaning and requires to be appropriately interpreted, particularly when doing a qualitative approach.
- The voice of data and of the researcher, are complemented by what is in the literature.

4.3 Presentation of results

The results are presented according to the research questions posed earlier. The research questions that this paper sought to answer are:

- What are the factors that lead to poor implementation of plans in Diepsloot?
- What are the trends in the planning and implementation of plans?
- What are the strategies for consideration that would improve planning and implementation?

As indicated in the section on methodology, the results are drawn from various sources. Firstly, the face to face interviews were conducted between November 2009 and January 2010. Various documents were consulted that include the legislative framework, speeches and programmes and plans in so far as they relate to Diepsloot. During interviews the researcher had to drive around Diepsloot to meet interviewees. Although not part of the formal methodology, observations were made during visits that were thought to be relevant to the topic. These are used sparingly. Part of the data collected includes pictures taken in Diepsloot as they provide information not contained in any documentation and from interviews.

The researcher used theme analysis and presents the results in terms of these themes. An important element of presenting the results is corroborating information and, therefore, an attempt was made to interview different sources, apart from the official voice.

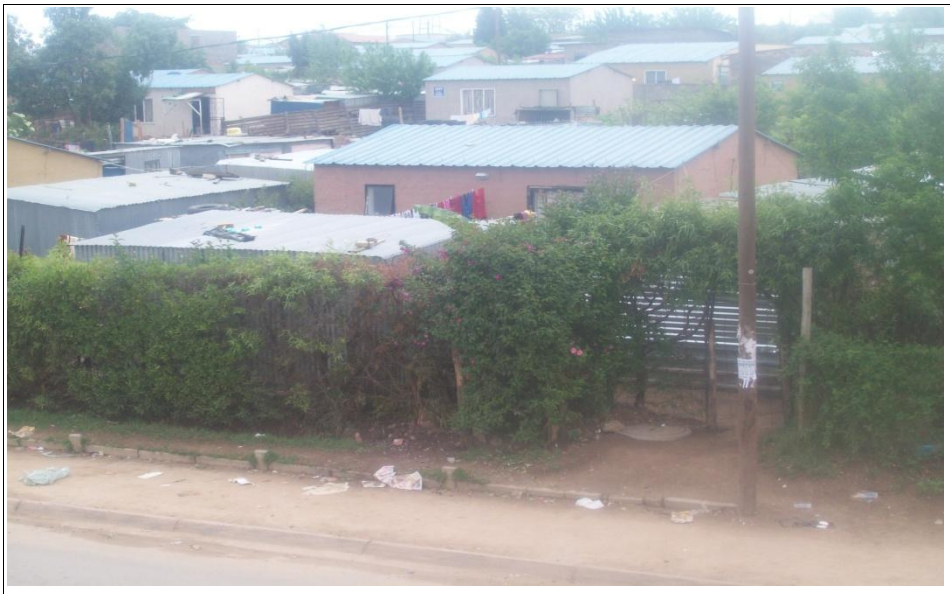
4.3.1 The causes of poor implementation of plans in Diepsloot

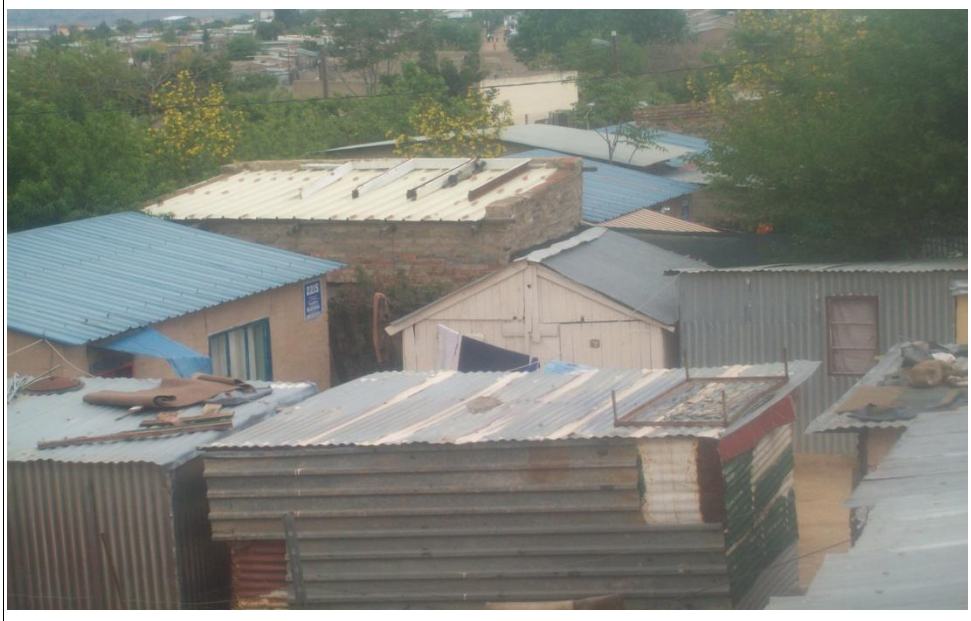
Some of the questions posed to respondents related to how progress is measured. From the interviews and documents received causes of poor implementation range from lack of local plans, poor capacity, little knowledge

of the policy framework, internal conflicts and poor participation, which leads to poor ownership by the community. The recent report on the City of Johannesburg IDP revision pointed to disparities between delivery in urban and informal settlements and alluded this to densification and lack of land for development (City of Johannesburg, 2009).

The research was focused on sanitation and the questionnaires were designed to elicit information around planning and provision of sanitation. However, with the exception of the councilor all respondents pointed to housing as a key problem, followed by rapid immigration. The ward committee member lamented "Housing is not delivering. On average 15 shacks are erected daily basis creating further backlog…Extensions 12 and 13 Shacks. Many people who come from Zevenfontein do not qualify for housing and others from Midrand, Kya Sands and plots in Lanseria. Those who qualify for housing are taken to Cosmos City and those that do not qualify are brought to extension 12 and 13. A similar situation occurred when extension 1 was started. Those who qualified were taken to Bramfischer and those that do not were taken to extension 1 or reception area" (Interview, January 17, 2010). The CDW and the chairperson of the ward committee concur that the pressure point facing Diepsloot is housing. The chairperson of the CPF puts it thus "Key to solving the problem is housing. Extensions 2, 4, 8, 6, 5 11 and 10 and Tanganani have proper houses but there are a lot of backyard dwellings" (Interview, January 17, 2010). Pictures 1 and 2 below depict the situation as described by the chairperson of the CPF.

Stands with a formal household and informal accommodation in extension 2, Diepsloot.





Source: Researcher – November 2009

However, analysis of municipal budgets conducted by SALGA in 2007 makes a critical finding. The report notes:

> "The norm for Repairs and Maintenance is approximately 10% of the total expenditure budget. For 2006/2007 expenditure on repairs and maintenance

> are still well below the norm of 10% with little movement to improve the current allocation. It is important to note that if not addressed, this situation may result in lower service level standards or Municipalities having to incur excessive cost to replace/upgrade infrastructure and equipment" (SALGA, p. 14).

The report warns that if this trend continues it will have an adverse effect on "service delivery in the medium term" (SALGA, 2007, p. 14). It is evident that this situation has changed little given the protests around the country in 2009. Over and above presence of informal settlements that require upgrading, there is the problem of poor maintenance of infrastructure.

Diepsloot is a complex environment and the causes of poor implementation are multifaceted. While other respondents pointed out housing as the key pressure point, SANCO believes that the problem in Diepsloot is a result of 'Structures that are not in unison. Structures have to work together so as not to confuse the community. There are political factions" (Interview, January 25, 2010). However, in order to focus the research, the specific issues that were looked at related to planning and provision of sanitation. What is evident from the interviews is that there is a lack of understanding of planning processes, the meaning and content of the IDP, the Municipal Systems Act, the National Sanitation Policy and the Basic Household Sanitation. The issues of budget and planning are issues of capacity raised by the DBSA that require attention.

4.3.2 The trends in planning for provision of sanitation in Diepsloot

No local level plans **-** From the interviews, it is evident that the approach in planning is not consistent. On paper there are plans but in practice these do not translate into action, particularly when it comes to community participation

and following an integrated approach. According to the local councilor, planning includes communities who identified sanitation as a priority. When asked who are the most important role players in planning? He said, "Community members" (Interview, November 23, 2010). The Community Development Worker, however, disagrees and according to her "IDP meetings are held but are only attended by leaders and NGOs. The community does not participate. When communities take part there is often a conflict. Communities are not part of the planning process" (Interview, January 18, 2010). This is an important statement given the role played by Community Development Workers which includes being agents of participation. According to South African National Civic Organisation (SANCO), planning is isolated. Houses are built but roads and sewage are not part of this planning. "In section 11 for example, there are no roads and cars cannot access the area. As a results Pick-it up vehicles cannot get in and remove the waste" (Interview, January 25, 2010). All the people interviewed are aware of the IDP but there seems to be little understanding of its contents particularly in relation to the fact that IDPs must have a Water Services Development Plan. During the interview with the councilor, a plan for Diepsloot was requested. Plans for Diepsloot are incorporated under many plans of the City of Johannesburg and the township is reliant on delivery by the City of Johannesburg. When asked about plans, the researcher was referred to current running projects such as the upgrading of water and sewage pipes in extension 1. What is glaring is that Diepsloot does not have its own IDP as required, and it can be inferred that the Water Services Development Plans are not available. SANCO claims that IDP does not exist and they have not seen such a document. "We are often surprised when things just happen and how people have been employed and decisions reached" (Interview, January 25, 2010). Attempts to obtain these documents drew a blank at the time of the research. This is not to suggest that such plans do not exist, however, plans are expected to be readily available and be

in constant utilization. The councilor in Diepsloot referred the researcher to officials in the City of Johannesburg who guided the researcher in assessing various plans and programmes including the IDP for the City of Johannesburg 2009, the Johannesburg Growth and Development Strategy 2006, Regional Spatial Development Framework 2008/09 and the Diepsloot Development Programme. In each of these documents plans and programmes for Diepsloot are contained but more comprehensive is the latter. The conclusion that is drawn is that the City of Johannesburg does have the IDP but how well this cascaded to wards is perhaps not clear, at least from the interviews. What is clear is that there are IDP meetings but the document could be the one from the CoJ. Even if the IDP existed, the report from the Planning Indaba of 2004 highlighted the poor development and implementation of IDPs in many municipalities. The report alludes to the inability to formulate IDPs to weak capacity. Government has stepped in and introduced Interventions such as Project Consolidate and the Siyenza Manje aimed at addressing the weak capacities in municipalities.

Lack of ownership of plans - Apart from the weak capacities and inability to develop IDPs, there is the issue of poor community participation in the planning process.

> "Diepsloot politics are paralysed. Participation is paralysed. It does not exist. People are confused by political factions. If planning happened there would be visible improvements. There are self-interests" (Interview, January 25, 2010)

The importance of the community participation was spelt out clearly during a speech by the then Deputy Minister: Science and Technology Derek Hanekom during a seminar on Sanitation in Sweden when he said "It is now recognized that toilets are just one element in a range of factors that make up

good sanitation. Community participation in decision making, improved health of millions of people, safer living environments, greater knowledge of sanitation-related health practices and improved hygiene are just some of the factors that are central to the development of good sanitation services" (Hanekom, August 20, 2006). The Diepsloot councilor outlined the participation process during the interview. He states it as follows “Before calling a community meeting I call key stakeholders that include CBOs, NGOs, and Political Parties” (Interview, November 23, 2009). He emphasised the importance of this pre-consultation process and cites an example during a community meeting held on the 22nd November 2009, where a member of the South African National Civic Organisation (SANCO) asked a question that could have been dealt with during these pre-consultations. Indeed, he indicated that due to these engagements one of the priorities identified by the communities was Sanitation. Like planning, community participation means different things to those interviewed. The councilor is adamant that there is community participation. According to the chairperson of the Community Policing Forum, “When there is work to be done, councilors call a meeting. Nothing can be done before the leadership is called and they have to inform people” (Interview, January 17, 2010). The statement by the ward committee member contrasts the latter. He indicated that: “Memos and placards on IDP are distributed. Community members come and raise issues. Before the meeting starts feedback is provided on progress made. Often, however, people complain but do not participate” (Interview, 17 January 2010). While differing views are held, the common thread from all the interviews is that community involvement is largely confined to complaints. Poor participation is also indirectly blamed on SANCO. The ward committee stated that “meetings were held to formalise extension one. Communities are requesting a stand with a household. But participation is problematic. SANCO is disruptive and misinforms people” (Interview, January 17, 2010). SANCO disagrees and retorts “There is a

problem of consultation. The ANC councilor does not consult with the alliance. The policy framework requires that the councilor reports to the ANC and sits and discusses development issues and later calls the alliance to give inputs. The decision of the alliance structures, therefore, provides for setting up an EXCO which then deals with among other things development" (Interview, January 25, 2010). The organisation further alleges that there is not enough information provided to the community for them to participate meaningfully, and it is pointed out that SANCO has structures such as the "block and street committees that we use to enhance participation before calling a public meeting" (Interview, January 25, 2010). The results from the interview point to lack of participation and many commentators argue that participation is indeed difficult and that it may be a waste of time (Satterthwaite & McGranahan, 2006). SANCO, CDW and the chairperson of the CPF believe that block and street committees should still be utilised in order to "have mass-based approach" (Interview, January 18, 2010).

Lack of integration – The absence of a locally driven IDP and poor participation both point to lack of integration. How does one integrate and with whom? The difficulty faced by many municipalities is that some of the functions are outside their mandate and are matters of national competency, for example housing. As indicated in the methodology during the research, the researcher made observations and one such observation was in relation to upgrading of sewage pipes in extension one. The settlement itself is in dire need for upgrading not only of pipes but streets and houses. It is evident that the piecemeal approach is ineffective. Some main roads in extension one are tarred but due to poor drainage they are eroding. These roads will have to be dug up to install pipes and tarred again. The extent of co-ordination between Public Works and Housing is not clear. What appears is the silos approach as described by Page (2005) earlier.

Chapter 5: Detailed analysis of research results

5.1 Successful planning

What are the key elements of successful planning? McConnell (1981) pointed out that planning emerged in response to making cities habitable. From the industrial revolution there can be no doubt there have been remarkable achievements in planning. Today many cities are thriving,

hospitable and rid of many diseases caused by poor water and sanitation services among others. Various commentators in the literature reviewed in the study highlight two critical elements for successful planning. Proponents of participation that include Satterthwaite and McGranahan (2006), Khan and Haupt, 2006, Rahnema, (2001) and Arnstein (1967) emphasise the importance of participation in planning and indeed implementation of plans as well. In South Africa, participatory democracy spells out participation in various key legislative frameworks that include the IDP, The Municipal Systems Act, the Housing Act and White Paper on Basic Household Sanitation. It is evident that community participation is an intrinsic element of planning and implementation. The key planning document in South Africa places integration at the centre of planning. Integration in this document requires that all plans ranging from the Local Economic Development, Planning for Water and Sanitation and Housing are integrated. Integration is not limited to sectoral plans but is also a requirement across government departments and different spheres. The Intergovernmental Relations Framework provides for such integration and many other documents. The proposed Single Public Service legislation will add weight to the importance of an integrated approach and so is the proposed White Paper on Monitoring and Evaluation which requires that government manages for outcomes. The Results-Based Management which this paper leans towards requires co-ordination and integration across government to achieve outcomes. It is the conclusion of this paper that an integrated approach and community participation are the most essential elements of successful planning.

5.2 What is working well in Diepsloot

The much publicised service delivery protests about Diepsloot and a glance at Diepsloot depict pictures of non-delivery and absence of services. Often pictures that are flighted on TV prefer the Reception Area or Extension. However, when conducting research one seeks more than what has gone

wrong in the area. There can be no doubt that services are provided in Diepsloot. Many roads in formal extensions are tarred, recently a school has been built and another is under construction, there is an entertainment park, a mall has been built and plans for housing in Diepsloot are underway. In extension one informal area, an area characterised by poor services, water and sewage pipes are being upgraded.

During the research the ANC accompanied by the Mayor of the City of Johannesburg decided to the take the Caucus to the People of Diepsloot on the 25th of January. In a pamphlet entitled, "Taking the Caucus to the People: Diepsloot and Kya Sands Visits, Working together with our communities we can do more", the document outlines the State of the Area and lists successes and challenges. Below is the list of successes and challenges as stated in the pamphlet.

Successes	Challenges
Infrastructure Development (Roads and Electricity)	Advance infrastructure to meet with the target for Developmental State (Sewer Problem in Ext 1, roads which are not accessible)
Improved Health and Educational Facilities (Clinic, Library)	Capacity building for Youth Development and Literacy Programs
Creation of Jobs (Pensioners Project, Skills Center)	Housing Backlog (Ext 1 waiting list from 1996, Zevenfontein area not yet finalised on terms of relocation
Recreation of spaces for Recreational Facilities	

Source: Table created by the Researcher but content is verbatim from the document

Some of the successes listed above are very visible in Dieplsoot. Electrification for example is one story of success. Almost all the houses and informal settlements are electrified. Many roads are tarred particularly in the formal areas of Diepsloot. The ANC acknowledges the challenges and this is an important element of accountability.

Since its establishment Diepsloot has been an area of focus from many quarters. As indicated earlier in the background, the area is not in short supply of plans and programmes. Many are bearing fruit such as the Mayibuye and People's Housing Project. The formal housing in Diepsloot near extension one is an achievement worth noting and similarly in extension 2, 5, 6 and 7 among others. From the research it is to be acknowledged that there are challenges to the implementation of many plans some of which are beyond the ward officials their mandate. For example provision of housing is concurrent function of national and provincial government, while water is between national and local government. . Councilors can promise houses but cannot by themselves deliver them. The other challenge relates to the manner in which these plans are arrived at. For example the former DG of the then Department of Provincial and Local Government pointed out weaknesses with regard to the development of the key planning instrument – the IDP – in many municipalities. The IDP revision (2009) further outlines the problems posed by dependency and points to the difficulties of reaching set targets particularly in relation to the formalisation of informal settlements as part of this process which is reliant on other departments such as housing doing their part. According to the document "The successful implementation of the basic services programme to these previously under serviced areas (informal settlements) is dependent on the formalisation of the Informal Settlement programme, which is the responsibility of both the Housing and Development Planning Departments" (City of Johannesburg, 2009, p 266).

The problem of formalisation is further exacerbated by the slow process of acquiring land which in the case of Diepsloot is a real problem as the area is surrounded by flood plans, private land and confined by boundary issues (Himlin *et al.*, 2008)

The councilors in Diepsloot are still able to hold community meetings. It is from these meetings that the officials get to know what the challenges are facing the area and what the needs of the community are. The downside though is the internecine conflicts that leave communities confused and split along loyalties and personalities.

Throughout Diepsloot there is evidence that in relation to provision of water, the City has made huge strides. Informal settlements are also serviced but it is in the area of sanitation that problems are experienced.

5.3 Areas of improvement

5.3.1 Problem statement

What is the problem statement in relation to Diepsloot? It is important to revisit the problem statement before discussing areas of improvement. The problem statement of this research restated is that there is problem of the implementation of plans at the municipality level within the City of Johannesburg and this problem in turn impacts on delivery of basic services, notably sanitation.

5.4 Analysis

5.4.1 Integrated approach

Diepsloot is not just facing the problem of sanitation. It is overcrowded and growing internally. Housing backlog has been indicated by interviewees as the key pressure point. Apart from the informal settlements formal house owners sublet whatever available space creating further pressure on land and

infrastructure. According to the study conducted by the University of Johannesburg (2008), the average household is 5.20 However, given that there are more occupants the number is likely to be higher, which means that the water allocation of 25 kiloliters per household is exceeded, similarly the toilet facilities are inadequate. Dealing with housing backlog is crucial to solving the provision of basic services. This is what makes an integrated planning approach a necessity. The Sanitation Policy for the City of Johannesburg released in 2002 requires an integrated approach to development and states it thus:

> "The sanitation approach as outlined in the policy should be Integrated into the IDP, LIDPs, the WSDP, the Sustainable Housing Policy, housing development programs, Johannesburg Water sanitation programs, Provincial and National development initiatives and co-ordination in respect of sanitation issues relating to development programmes should be promoted. This should include the linking of land-use planning with implementation of different LOS and the applicability of the different LOS to in-situ upgrades and new (greenfields) developments" (City of Johannesburg, 2002, p.10)

There can be doubt there that integration is central to planning and more importantly the document requires a comprehensive approach that will apply to areas that require upgrading and new developments. This is precisely what Diepsloot requires. However, as indicated many of the policies look good on paper but in practice as in the case of Diepsloot this policy has remained on the shelves and to residents of Diepsloot it remains non-existent. That integration is crucial is also contained in many national policies such as the Housing Act which specifically states that part of the municipality's IDP is ensuring adequate housing and provision of services including water and sanitation within this framework (Housing Act, 107, 1997, p. 24). It is expected of municipalities to have a broad approach that is

inclusive. Again the problem is if there is a properly formulated IDP will this integration be realised. The other problem is of course that while the act requires the municipality to ensure adequate housing, this is the competency of the Department of Human Settlement.

What is missing is the co-ordination that is required. Each development programme in Diepsloot operates separately from the other, and each extension appears to be looking after its own. The approach is not systematic and integrated but rather reactive and uncoordinated as noted by the former Director-General in the DPLG in 2004 during her speech at the Planning Indaba in the North West Province in which she highlighted the importance of Intergovernmental planning and stressed that improved service delivery requires integration of actions across government (Ndela-Msengana, 2004, p. 2). Integration of planning thus remains a key weakness. The failure to secure interviews with the Planning Directorate in CoJ and another councilor means that it was difficult to corroborate information and conclude the extent to which planning is or is not integrated, but various documents and respondents pointed to poor planning and it can be inferred that planning is fragmented.

Extensions 12 and 13 are 'new" informal settlements that are said to have developed the same as Extension 1 (the reception area). Here even in the presence of well framed plans, the approach is more likely to be reactive as one tries to deal with the backlog. The challenge is how do you develop an area that is settled? More importantly an area whose extension is severely constrained by privately owned land, protected environment and flood plains. The service delivery protests that swept Diepsloot are alleged to have been the result of attempts by the municipality to relocate people while developing the area. During the interviews a short visit was paid to Extension one. It is difficult to see how the place can be developed. The shacks are too close to

each and placing water and sewage pipes appears to be a daunting task. There appears to be no proper planning. Proper planning would have ensured that enough spaces are created between settlements and the proper infrastructure is in place before erecting settlements.

5.4.2 Understanding planning

The other problem that stems from the research is that when questions were raised about the content of the IDP and WSDP, answers provided indicated either lack of knowledge of the content or that such plans have never been seen. This is supported by SANCO who emphatically said they have not seen such a document. How then does one implement a plan that one is not familiar with. They key to implementation of a policy is not just that it exists but understanding its aims is critical. The Mazibuko case highlights the importance of this point. Litigants and the courts had interpreted the policy on water differently. What is the likelihood that officials at local government will interpret it correctly? If the assertion by the DBSA that there are capacity issues at local level is true then there is cause for concern (DBSA Development Fund, 2005/06).

5.5 Are plans linked?

Diepsloot Plans are incorporated in the broader City of Johannesburg plans. The Sanitation Policy and the Gcin'amanzi project are also for broader Johannesburg. This is not to suggest that there are no plans in Diepsloot. In fact as pointed out by Cox (2009), Diepsloot is not in short supply of frameworks and development plans. The question though is: are these

frameworks and plans linked in any way? If they are, how are they co-coordinated? Again various documents such as the RSDP and PHP appear to be developed and implemented in silos. In extension 1 for example, the upgrading of water and sewage pipes does not seem to be part of the housing project which has been launched in Diepsloot West. Some of the tarred roads are eroding due to poor drainage systems suggesting that the road infrastructure was developed separately from the water and sanitation infrastructure. See picture below.

Burst pipe with water running over the tar road in Diepsloot extension 2



Source: Researcher, January 2010

This picture depicts a common feature in Diepsloot. Storm water drains constantly overflow and burst especially during heavy rains. Further evidence of poor drainage is provided by the number of potholes in many of the tarred roads.

Diepsloot provides an insight into the consequences of lack of linking planning, particularly in relation to sanitation. Early theories of planning according to McConnell (1981), emerged as a direct result of the need to make cities hygienic and habitable. In extension two informal settlement shacks appear to have been built haphazardly with no proper planning, roads are very narrow, communal toilets are erected facing the streets with no privacy. This makes planning more urgent in the case of Diepsloot. The similar situation exists in Extension 1. This is a discord between what happens on the ground and what the policy requires. To reiterate what the policy on sanitation says, let us refer back to the definition as contained in the White Paper on Basic Household Sanitation. The White Paper defines sanitation as "…practices relating to the collection, removal or disposal of human excreta, household waste water and refuse as they impact upon people and the environment. Good sanitation includes appropriate health and

hygiene awareness and behaviour, and acceptable, affordable and sustainable sanitation services" (DWAF, 2002, p. 1). Do the pictures 1 and 2 below carry this definition?

Communal toilets facing the street in Extension 1





Source: Researcher, January 2010

In the first picture this facility which appears to have been broken for a while is facing the street and there is a foul stench in the air. The second picture on the same street depicts unhygienic facilities are in the streets where children play and there is no tap water in sight to wash hands. The Community Development Worker lamented the fact these facilities called Ventilated Improved Pit Latrines (VIP) are meant to be cleaned regularly by municipal workers but are rarely cleaned, thus increasing the risk to health. However in formal areas "there are flush toilets. In informal areas, there are communal flush toilets, utilised sometimes by more than fifty people. There is no proper usage and often there are blockages. There are VIP toilets. These are flushed by municipal workers who are supposed to flush them weekly, but often do not come or come later" (Interview, January 18, 2010). This situation flies against the face of good policy developed in 2002 but little has changed since then in Diepsloot.

Extension one or reception area is an emergency situation, whatever plan exists is not linked to sanitation and water. Toilets are on the streets, there is not tap water and privacy, and pipes burst eroding the streets. Upgrading of facilities appears urgent, however, given the Nokotyana ruling referred to above, it is first things first and any development will have to be linked to other plans necessary for sustainable development. Otherwise, it will be fixing problems infinitely. That is not development.

5.6 The role of local community in planning

Planning theorists, notably the Fainsteins argue that community participation in planning is critical, particularly within the democratic dispensation. This view is echoed by McConell (1981) and argues that participation is the corner stone of democracy. Planning from above is regarded as having shortcomings. South Africa is considered a participatory democracy and it is expected here that participation will feature much in the planning processes. However, the reality is different. Satterthwaite and McGranahan (2006. p. 251) argue that in South Africa, participation is avoided and considered a waste of time as it takes time away from local government doing its work. What then are causes of poor implementation of plans? The research points to several reasons. The key planning document, the IDP does not seem to have been developed in the case of Diepsloot, at least at lowest level which is ward level. This being the case it follows that sectoral plans such as the Water Services Development Plan are not in existent inside Diepsloot but reside with the CoJ. The City of Johannesburg is responsible for plans of many of its municipalities. Such an approach suggests that a blue print plan exists which must be implemented across. The problem with this approach is that it is likely to fail in that each ward within the municipality differs from the other. What is not clear is to what extent does each ward develop its own plans that would be linked to 'a master plan'. The absence of a local specific plan is the key challenge. For example, while not a plan but a project, Project Gcin'amanzi was piloted in Soweto and yet this was the project for the City of Johannesburg. During the interview with the CDW and SANCO, a question was asked whether they were aware of the landmark ruling in the Mazibuko case (see above). The CDW was not aware of the case but aware of the project. When it was pointed out that the case had implications for Diepsloot and related to Gcinamanzi, the response was that the project has not been rolled out to Diepsloot. This is to emphasise that the one-size fits

all planning approach has many shortcomings. This does not in any way suggest that the restructuring is problematic but that centralisation of planning has some shortcomings that must be addressed.

If the Diepsloot municipality plays a peripheral role in developing its own plans, there is the likelihood that community participation in planning is minimal, if any. Participation, as indicated is largely a complaints session or is used by people to advance own needs and not that of the community. SANCO was singled out as obstructive during an interview with the ward committee member. SANCO disagrees strongly and accuses the ANC of not providing enough information and failing to consult with the alliance. When it comes to planning as required by the Municipal Systems Act, this is completely absent. Chapter Four of the Act requires the municipality to develop a culture of participation "that complements formal representative government with a system of participatory governance" (Act 32, 2000, p. 30). The act goes further and says that the municipality must create an environment conducive to participation that includes participation in budgets, performance, IDP planning, review and implementation (MSA, 2000). The councilor though contends that sanitation was prioritized through interaction with communities. In his words sanitation is the first priority and includes upgrading of existing infrastructure which is not coping. He ascertains that the key planning element is community participation (Interview, November 23, 2009). Various documents have attempted to clarify the role of the community. The Municipal Systems Act requires them to participate in planning and in setting performance indicators. The Masibambane Water Services Sector Programme of 2004 has taken the issue further and defines the roles of civil society that have been described already under the section on Community Participation in the literature review. The Sanitation policy of the CoJ further elaborates on roles and responsibilities and includes participation in decision making, taking part in the health and hygiene

education teams, building facilities and operation and maintenance of facilities (City of Johannesburg, 2002, p. 10)

There is clarity on roles of the community in relation to planning and provision of sanitation. The interviews again revealed that these documents have either not be accessed or utilised or if they exist the contents have not been properly understood. For example for the councilor it is public meetings and obtaining a buy-in from the communities and he comments as follows “Firstly, we call relevant stakeholders in the block and then call a public meeting”. These meetings are aimed at obtaining inputs from them. He further continued and said “It is important to get a buy-in from stakeholders so that their leaders do not challenge you in a public meeting” (Interview, November 23, 2009). Subsequent interviews with the Ward Committee member, the Community Development Worker and the Chairperson of the CPF also referred to meetings that are called and communities are given feedback and make their own inputs. That is, at least from the interviews, the extent of the roles and involvement. This is also not consistent. According to the Chairperson of the CPF, “The meetings are called but sometimes we are surprised when things just happen” Interview, January 17, 2010). The involvement of the community is, therefore, minimal and restricted to meetings. How then, are the communities supposed to be part of local level planning and how are they going to sit and develop indicators? Political tensions and the factions in Diepsloot add to the problem as communities are confused about whom to listen to and to when they must be part of any meeting as sometimes meetings are called at the same time.

If this is the problem facing Diepsloot now, there are further complications on the issue of community involvement. Firstly it is that planning and performance monitoring are complicated matters that cannot be done through

a mass meeting. Secondly, both processes require a certain level of expertise. Do these exist in Diepsloot? Thirdly, there is a likelihood that if such expertise exist it will be to a select few thus leaving many people outside. Finally, that the capacity of many municipalities is weak as indicated by the DBSA, can they drive these processes of planning, budgeting and monitoring impact as required by the act. The conclusion is that at this stage such involvement is remote and at best a pipe dream. The statement by the CDW earlier summed it up when it was indicated that the community never participates in planning. It is no wonder then that there is lack of ownership of many developments taking place in Diepsloot.

5.7 What are the factors that lead to poor implementation of plans?

The research has identified factors that lead to poor implementation of plans based on the literature review, interviews and the document analysis and these are:

- Lack of community participation
    - Local level plans
    - Performance measuring
- Lack an integrated approach
    - Integration of plans
    - Relations with other spheres of government
- Internal conflicts.
- Lack of capacity.

5.7.1 Lack of community participation

Local level planning is a critical starting point and this must involve community members. Understanding of planning is central for officials otherwise they will forever be reliant on consultants. Skills acquisition for NGOs will also be necessary so that civil society and officials are on the same page. Strategies in Diepsloot must be specific and also the indicators and targets. For example the plan could be as follows:

Strategy one	Performance indicators	Targets	Resources requires
Renewal of Extension one	Improved hygiene in extension	5000 flushed toilets by 2011	R55 million (includes material, jobs etc
	Improve formal housing	Built 2000 formal houses by 2012	R10 million

This plan would have been consulted with local community and adopted by all. It would also be linked to the 'master plan' cascaded so that Diepsloot can develop a specific local plan. This is an opportunity to give meaning to participation. If communities are involved in the planning, they are also in a better position take ownership of plans and improve the implementation of plans.

Performance measuring is linked to community participation is the involvement of communities in measuring progress. There is no reliable data in terms of how well the ward is doing in the delivery of sanitation. Most of it is reliance on documents produced by the government or media reports. For example, the document produced by the ANC mentions successes but does not quantify these successes. It is important that when performance measures are developed communities should participate. They can be in a position to point out problems in implementation when they know what it is that they must look for. The key is to have an effective monitoring an evaluation system that would provide much more reliable data, allow for interventions to be made appropriately and strengthen decision-making. Monitoring and evaluation, among other things, as indicated earlier in Behn (2003), allows for improvement of services. But capacity must be built and skills provided to do this.

5.7.2 Lack an integrated approach

There is no integrated planning and implementation in Diepsloot. Plans exist but do not appear to match the budget and the required resources. This requires that the finance, the human resource and the planning units co-ordinate the planning process. The aim here is to ensure that plans that are not resourced and financed can be either prioritized and be resourced or shifted to outer years. This will also allow for better accountability. For example, when houses are not built, valid reasons can be provided. This also requires involvement of national government as required by that National planning Framework. The CDW had this to say about national government "National government is only concerned when they are problems, otherwise they are invisible" (Interview, January 18, 2010). What is perhaps more worrying is that the planning processes and time-frames differ between the local government, provincial and national government. According to the councilor, the planning takes place on six-monthly periods. There is an IDP meeting in February and an IDP summit in March. In June the budgets are approved and then during the period of September and October tenders are advertised and awarded. In January and February construction begins. There is a disjuncture here between planning and budget processes at local government and national ones, if this is the case. This means that the flow of information is hampered. National government departments' strategic plans are tabled in a given time-frame. How and when these plans influence provincial plans, particularly in areas where they have responsibilities is not clear, similarly how these cascade into local government. Perhaps the national planning commission will provide guidelines in this area.

Relations with other spheres of government are not what is expected from the Intergovernmental relations' perspective. When service delivery protests swept through Diepsloot national government became visible and the Minister

of Human Settlement spent a night in Diepsloot. This is at best crisis management. Relations are not just about launching services, making promises and allocating resources. Relations are also about who has to do what and when within the value chain. For example when the housing department sets indicators and targets for provision of houses nationally, it should consult with municipalities to ensure that they make inputs into the plan and that they are aware of how resources are going to be allocated and when delivery is possible. They can then develop own plans and targets based on national targets. Similarly the review of plans must be a consultative process. For example in 2009/10 government budgets were substantially reduced. Were municipalities affected by these budget cuts and informed about implications? If the number of houses to be built is reduced, is this communicated or is a municipality simply told to cut down? This process cannot be a paper exercise but requires engagement of all affected. Many respondents were critical of the Human Settlements Department and indicated that the only time national government is in Diepsloot is when there is a crisis

5.8 Internal Conflicts

These conflicts bedevil many initiatives. This is a finding that came mainly from interviews. The councilor accuses SANCO of being disruptive and SANCO on the other hand finds the ANC uncooperative. During the visit on the 25th of January the ANC raised concerns around the impact these tensions have on development. If communities are to participate meaningfully they require proper direction and in a situation where leaders articulate different views communities will be confused.

5.9 Lack of capacity

The lack of capacity has been alluded to in various documents and the interventions are aimed at improving this area. However, capacity is not just skills but also the number of people with the capacity to the work. Having many people to do a job that can be carried out by few is a clear waste of resources. Capacity is also the resources at hand and the ability to mobilise these resources.

Chapter 6: Conclusions and recommendations

6.1 Introduction

The recommendations outline strategies for improving plans across spheres of government. Specific strategies are proposed for the Diepsloot Ward, Local Government, National Government and Researchers. The challenges facing Diepsloot are varied and complex but since the focus was on planning with a specific reference to sanitation, the conclusions and recommendations will largely focus on this aspect.

Planning in government is short term and is linked to the electoral term of five years. This impacts on continuity and availability of skills (Hemson *et al.*, 2008). What this suggests is that current planning is not producing the intended results and that capacity appears to be an issue that requires urgent attention. Co-ordination remains critical and it is going to be important to improve co-ordination across government, at local government and with communities affected.

Poor implementation in Diepsloot from the research is a result of poor planning, lack of coordination within Diepsloot, poor understanding of what the legislative framework provides for and lack of synergy between local, provincial and national government. For example as discussed under analysis of data, planning for housing is separate from planning for sanitation. The fact that toilets are on the streets in front of homes bears testimony to this. Diepsloot extension one was meant to be a reception area but has now become a permanent feature. Roads have been tarred but will have to be dug up to upgrade the infrastructure, and be tarred again. To build houses people will have to be moved. It would be impossible to build in that area is it currently stands. Shacks are on top of each other. This points to the dire need for an integrated approach. More worrying is that extension one is

duplicating itself elsewhere in Diepsloot in extensions 12 and 13 as indicated by the Ward Committee member. The slow pace of delivery would mean that planning in Diepsloot will be largely plans to remove blockages, which means it may take time before proper development takes root. An issue that came up during the interviews that the researcher considers critical is political tensions that are engulfing the area.

6.1.1 Recommendations for the ward committee

From the analysis, there are a number of recommendations for the ward committee. These are based on the investigations around the factors that lead to poor implementation of plans. The findings from the research point to the difficulty faced by Diepsloot like many other as the centralisation of planning within the City of Johannesburg. The reconfiguration of municipalities and the creation of a Unicity, seems to have posed problems for many areas. Diepsloot as such is not a municipality but as indicated in the background, a ward under Region A, along with many other wards. Therefore, they do not have own IDPs but a regional one.

From the interviews and the arrangements in the City of Johannesburg, it is clear that there are no individual IDPs. Planning is centralised and the City's IDP has plans for water and sanitation. Diepsloot, therefore, does not have its own IDP but is incorporated in the City of Johannesburg IDP, which is more likely to be generic. When requests were made for a Water Services Development Plan to be provided, the researcher was referred to the CoJ. One of the most comprehensive documents that was obtained on Diepsloot was its Development Programme of 2008. The document, while comprehensive is long and complex and it is any ones guess how, given the lack of capacity, the local council will understand and implement the document. This not a criticism of the document but it took a long time for the

researcher to go through and unpack the document, and in the end the programme is not clear. The budget estimates are vague and require more work. Similarly, many of the indicators are too broad and must be narrowed down to be manageable and targets derived from them.

There is a need for Diepsloot to develop own mini-IDP with all the other required plans, even though it is not a municipality but at least a ward IDP. It has its challenges that are much more unique. The plan must be specific to the area. As indicated, the area is complex but fast growing and growing internally. Some of the issues may be common but recent events indicate that communities in Diepsloot feel aggrieved by the problems they face and the lack of progress. Again, community involvement is indispensable in the formulation, review and budgeting for the IDP.

The Oxford dictionary defines participation as “to take part or become involved in activity” (Hornby, 1995, p. 844). Participation is active and not passive. It is not about attending meetings and receiving information. It is about involving one in important activities such as planning and performance monitoring and for participation to be meaningful in Diepsloot, the municipality must ensure that they strive for active participation.

The priority is not just building proper facilities but increasing awareness. According to the Community Development Worker, some of the blockages are caused by use of inappropriate material such as newspaper, sanitary towels and used condoms. More importantly “Education is required in terms of what is to be used and not to be used” (Interview, January 18, 2010). The CoJ sanitation policy also states that part of community participation is in education teams (2002).

6.1.2 Recommendations for the City of Johannesburg

In 2009 the Constitutional Court made two landmark rulings in relation to water and sanitation namely the Mazibuko and Nokotyana cases. The orders from both cases have implications for the delivery of water and sanitation. In the Mazibuko case, the implications are that operation Gcin'amanzi will be rolled out to wards within Johannesburg and the impact on water access and usage. The Nokotyana cases which required local government to upgrade the informal settlement as a prerequisite to provision of sanitation carries the same implication for Diepsloot, particularly extension 1, 12 and 13. It is recommended that the City of Johannesburg acts with speed in relation to Diepsloot before any litigation against it. Court processes and orders are expensive and proactive approach will save the City millions of rands and channel them towards service delivery.

6.1.3 Recommendations for national departments - DWAF

Prioritise sanitation - the pictures taken during the research depict grime, lack of privacy, health risk and risk of victimisation, particularly for children and women. The communal toilets lining the streets are a sore sight and must be removed, and of course the question will be where to place them. These problems affect more than one department. As discussed earlier, at some point the council will have little choice but to move people to develop the area. Space needs to be created to develop the area otherwise it is near impossible. The municipality has to rely on national departments and it is critical that DWAF prioritises sanitation and that the ward does the same. Sanitation as can be seen as an outcome of several departments it is, therefore, key that in each of the affected departments there are performance indicators at output level that contribute to this outcome. For example for

DWAF it will be water taps, for Human Settlement acceptable accommodation with proper facility as per policy and for Health public education and awareness.

6.1.4 Recommendations for all spheres of government

Government departments must come to the party. The need for an integrated approach cannot be over-emphasised. Delivery of services is a function of many departments such as Water Affairs, Housing, Health and Education. However, national government has been but absent as lamented by the Ward Committee member. Human Settlement was specifically singled out by all respondents except the councilor. During the protests, the current Minister of Human Settlement visited the area and this move was seen by some as a sign of commitment by national government, but by others as a public relations exercise. It is not for this document to interrogate the visit but to point out the importance of involving all spheres of government. In fact, there is that acknowledgment within government. Sanitation for example has been moved to Human Settlement as a recognition that housing and sanitation must be delivered together.

Plans must be easy to understand and be user-friendly. The value of any policy, plan or programme lies in how well it is implemented and evaluated. Often complex and long documents lose people, especially where capacity is in question as in municipalities. It would seem that these plans and programmes were meant for everyone else but users, and in this case councilors. This is often common where users have not been part of the formulation of these policies, plans and programmes.

Improve access to information and knowledge contained in many different documents. During the interview with the Community Development Worker, the researcher observed a one page, user-friendly document that is visible and quick to read explaining and outlining what CDW is what they do. Improving access to information and knowledge also means that documents must be produced in the language easy to understand by the reader. Policies, plans and programmes use particular concepts such as strategies, planning, development, sustainability and so forth. Concepts that are themselves inaccessible to many and, therefore, improving access to information and knowledge will require unpacking these concepts, presenting them in language that is understandable.

That capacity is a problem is well documented in various documents and this will not be dwelt upon here except to ask the question, what is to be done. Lack of experience is a real issue. First the system of skills transfer must be put into place which will require outgoing officials to ensure that skills are transferred. The government will have to develop Knowledge Management Strategy and ensure that this forms part of performance agreements to make sure it is not an add-on. The Intellectual Property policy developed that compels ex-employees not to take or sell property that is within the state whether as consultants or working in other departments. The government must forge relations with Public Administration Leadership and Management Academy (PALAMA) and ensure the development of appropriate courses for local government which include planning, monitoring and evaluation, and financial management. While party loyalty is important it should not be an overriding factor.

6.2. Recommendations for further research

Diepsloot is fast growing within a confined area. The limitations posed by the time limit, difficulty in accessing respondents and unlimited information meant that this research could only cover a limited scope and so the results, while comprehensive also do not go far. However, the research has highlighted a need for further research that can best be served through Participant observation mixed with Longitudinal designs. This is a qualitative approach that "requires the researcher, for an extensive period of time, take part in, and report on, daily experiences of the members of a group, community or organization…" (Kruger *et al.*, 2006, p. 194). On the hand the Longitudinal design requires investigation of changes over time in the same environment (Kruger, *et al.,* 2006). This approach allows for the qualitative and quantitative approaches to complement each other. However this approach will require resources, time and more importantly be located within an organisation that will focus on this. The rationale for proposing further research is that from this research there can be no question that much research has been done. Universities, including Wits and the University of Johannesburg have done some extensive work in Diepsloot, other research focus on informal settlements and reports on Diepsloot are limited such as the recent Munidex study. A research is required that will be of use to government at its various levels and assist in improving developments in Diepsloot. The area remains a boiling point where each day that passes brings more hardships to the community and further challenges to the local government.

Most of the research has only served as basis for other research for archiving in government. Diepsloot requires a robust research such as Active Social Science wherein the research is an advocate of the people's rights. Centre for Applied Legal Studies (CALS) has the capacity for such an approach and

this has been demonstrated through various interventions in which it has been involved including the recent Mazibuko case. What is needed in Diepsloot as proper planning geared towards delivery. But more importantly is for government to deal with this as an urgent matter. So far research conducted in Diepsloot point to this immediate need.

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