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Making cities of tomorrow more inclusive: evaluating the adequacy of City of Johannesburg's fiscal tools in realising SDG 11

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Making cities of tomorrow more inclusive: Evaluating the adequacy of City of Johannesburg's fiscal tools in realising SDG 11

Mokgadi Sophie Ngobeni

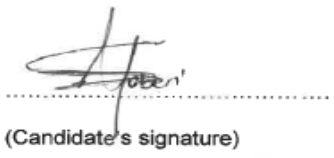
A research report submitted to the faculty of Engineering and the Built Environment, University of the Witwatersrand, Johannesburg, in partial fulfilment of the requirements for the degree of Masters of Science in Development Planning.

Supervisor: Dr Tsepang Leuta

Johannesburg 2020

DECLARATION

I, Mokgadi Sophie Ngobeni, make a declaration that the work contained in this report is my own independent work undertaken in 2019. It is being submitted to the degree of **Master of Science in Development Planning** to the University of Witswatersrand. This report has never been submitted before any university for examination or degree.



(Candidate's signature)

24 March 2020

(date)

ABSTRACT

South African cities are faced with issues of poverty, inequality, climate change and resilience emanating from the past spatial imbalances caused by apartheid. In response to these issues, the country has ascribed to the implementation of Sustainable Development Goals (SDGs) whose success can only be realised at municipal level. The capacity of municipalities is highly reliant on finance which is often not given attention in spatial planning. Insufficient funding for capital projects slows down the delivery of services to communities, impacting negatively on their standard of living. The City of Johannesburg Metropolitan Municipality (CoJMM) is one of the leading municipalities in South Africa experiencing an alarming rate on housing and job mismatch as a result of spatial inequality which is to be addressed by the 2030 Spatial Development Framework (SDF). However, this has an impact on the municipality's budget for the provision of basic infrastructure and services.

This study aims to understand the nature and extent of funding for SDG 11 in the CoJMM with a focus on inclusive cities. Furthermore, we explore the challenges faced by the municipality in implementing the goal of an inclusive city. A qualitative research method will be employed for this study. Documents analysis will be used to collect information supported by semi-structured interviews through a purposeful sampling of participants from the government as well as NGOs who have an understanding of the municipal finance as well as fiscal tools enabling the municipality to deliver services. This study expects to find that the CoJMM’s fiscal capacity is dependent on the priority policy mandate from the national government.

ACKNOWLEDGMENTS

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ACRONYMS

ASGISA	Accelerated and Shared Growth Initiatives for South Africa
BEPP	Built Environment Performance Plan
CoJMM	City of Johannesburg Metropolitan Municipality
GDS	Growth and Development Strategy
GEAR	Growth Employment and Redistribution
HSDG	Human Settlements Development Grant
IDP	Integrated Development Plan
IS	Informal Settlements
ISUPG	Informal Settlements Upgrading Programme Grant
IUDF	Integrated Urban Development Framework
NDP	National Development Plan
NPC	National Planning Commission
RDP	Reconstruction and Development Programme
SACN	South African Cities Network
SDBIP	Service Delivery Budget Implementation Plan
SDF	Spatial Development Framework
SDG	Sustainable Development Goal
SPLUMA	Spatial Planning and Land use Management Act 16 of 2013
UDZ	Urban Development zones
UN	United Nations
USDG	Urban Settlement Development Grant
GDOHS	Gauteng Department of Human settlements

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DEFINITION OF TERMS

Gini coefficient: A measure of income equality across the whole population.

Informal Settlements: refers to unplanned settlements with houses built illegally on land without permission and non-compliant to the building regulations.

Local Government: refers to municipalities in the South African context.

SDG 11: A goal that works towards making cities inclusive, safe, resilient, and sustainable.

Upgrading: An incremental process of providing services from rudimental engineering services to adequate services. It is a process implemented in line with part three of the National Housing Code, and the upgrading of informal settlements programme.

CHAPTER ONE: INTRODUCTION

1.1. Introduction

The City of Johannesburg Metropolitan Municipality (CoJMM) is a vibrant and culturally rich city located in the Gauteng province which serves as the economic centre of South Africa (see figure 1). It is one of South Africa's biggest municipalities in terms of population size and the number of economic activities. It is also a home to approximately 4.4 million people according to census 2011. Perpetuation of high population provides opportunities for the city as well as challenges in planning for the delivery of services, infrastructure, and other developmental needs of the community. Having inherited the legacy of apartheid planning, the city is well-recognised with a fragmented urban form that has placed poor people in the periphery away from economic opportunities and resources. According to IHS Global Insight (2018), the municipality recorded the highest level of inequality with a Gini coefficient of 0.62 compared to other countries in the world which means that there is a considerable gap between the poor and the wealthy.

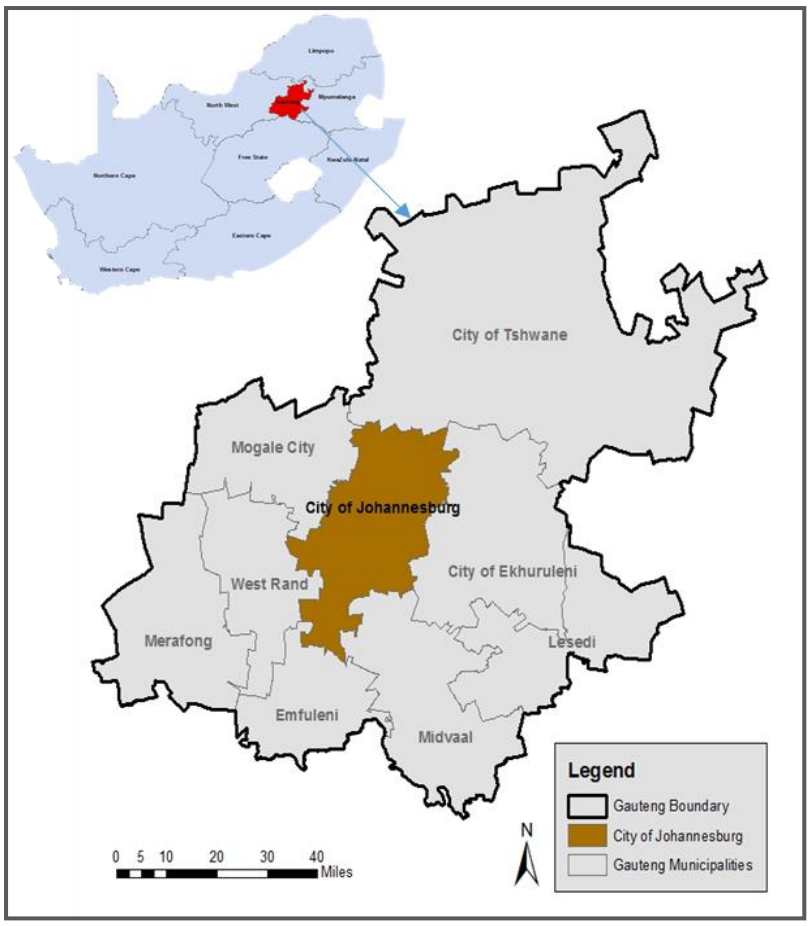


Figure 1. 1: Location map of City of Johannesburg (Source: Author's own)

Like any other city in a developing country, the CoJMM struggles with the usual concerns such as rapid population growth which contributes to high urban poverty, inequality, environmental degradation, housing and infrastructure backlogs. These concerns have transformed into the local needs of communities, impacting enormously on the spatial and financial plans of the municipality. Addressing all the aforementioned needs of communities has become an impossible task for the municipality to achieve due to financial constraints, even though the National Treasury is providing financial assistance. In 2016, the United Nations accepted a 2030 Agenda for Sustainable Development, an action plan ascribed to by most countries with the hopes of reducing poverty and counteracting climate change. Often, global frameworks are perceived as a top-down approach to planning which takes little or no cognisance of community needs and responses to planning. If not carefully mainstreamed into the country's national plan, they could lead to competition for funding the developmental mandate of municipalities (SACN, 2016:15). My study evaluates over a period of 10years the fiscal tools that the CoJMM uses to fund the inclusive city concept within goal 11 of the Sustainable Development Goals (SDG) aiming to build safe, inclusive, sustainable, resilient cities and human settlements.

1.2. Background

SDGs are refined Millennium Development Goals with detailed targets and indicators to measure progress and performance of countries in addressing issues of poverty, inequality, climate change and resilience. Arslan *et al*. (2016:185) and Patel *et al.* (2017:785) argues that successful implementation of SDGs depends on many varying factors per country or city. They also point out that some of these factors are not reflected in the action plan. This concern led the United Nations to call for engagements amongst various stakeholders in the process of implementing SDGs at a municipal level. In so doing, a knowledge base can be built to better understand how municipalities adopt a new policy agenda and incorporate into its business plan (Patel *et al*, 2017:788).

In South African context, municipalities are assigned with an important role for the implementation of national policies and plans striving to reduce inequality and poverty. It is believed that municipalities have close relations with communities and are better equipped to address community challenges driven by both bottom-up and top-down approaches. However, worldwide plans such as the SDGs is yet to be fully reinforced by principal plan known as the National Development Plan; as well as the government’s Medium Term Strategic Plan for the implementation of the NDP (Hendricks, 2018:759). Cascading this down to a municipal level means ensuring alignment with the municipal plans namely the Integrated Development Plans (IDPs), Spatial Development Frameworks (SDFs) and the Medium Term Revenue and

Expenditure Framework also known as the municipal budget book which are tools utilised by municipalities to implement national objectives.

1.3. Problem Statement and Rationale

In order to identify and understand the needs of local communities, municipalities in South Africa are required by the Constitution along with the White paper on Local Government (1998) to become developmental which will enable them to work closely with its communities. This will enable better and appropriate service delivery. However, with finite budget and adoption of a global framework, municipalities have to find a way to deliver the needs of its local communities whilst responding to the global mandate.

South Africa voluntarily committed to the execution of SDGs whose success can only be realised at the municipal level. However, the capacity of a municipality to implement projects relating to SDGs is highly reliant on finance and supporting policies. The rationale for undertaking this research study is to unpack and understand the extent of funding for a global framework or mandate in the COJMM as well as the planning and fiscal tools employed to support implementation thereof.

1.4. The Objective of the Research

This research report aims to explore from the perspective of informal settlements upgrading how the CoJMM is implementing SDG 11, particularly the inclusive city goal. The first objective of the research is to examine the role and the approach of municipalities in localizing SDGs. It is understood that there are various ways in which one can create or build an inclusive city which is component of SDG 11. The second objective is to examine the relationship between planning and financial tools utilised by the municipality to build an inclusive city. The last objective is to understand how the inclusive city goal translates into the CoJMM's budget and the challenges thereof.

1.5. Research Question

To what extent is the City of Johannesburg able to finance SDG 11, in particular, the target of inclusive cities?

1.6. Sub-questions

- What targets have the CoJMM set up to meet the inclusive city goal which will address the conditions of people living in informal settlements?
- What planning and financial tools does the CoJMM have in place to implement the goal of an inclusive city?

- What institutional barriers prevent the CoJMM from achieving the inclusive city goal, concerning the population living in informal settlements (indicator 11.1.1)?

1.7. Research methods

The study adopts a qualitative research method approach. This method allows the researcher to collect comprehensive information addressing the research question (Creswell, 2008:64). The research design for this study is a descriptive and interpretive case study that is analysed through qualitative methods. Data was collected in two ways for this study, namely through documents analysis as well as interviews. The interviews is semi-structured. This allows the interviewer to probe further and the interviewee to be flexible and elaborate on various questions asked. Alshenqeeti (2014:40) and Creswell (2008:13) recommend the use of semi-structured interviews to assist in covering all relevant areas of the research study. However, these interviews are supplementary to the documents used in evaluating the CoJMM's fiscal capacity to support and strengthen the research study.

Table 1.1: List of officials interviewed

Interviewees	**The rationale for their selection**
Local Government: City of Johannesburg Planning Officials: • Development Planning • Housing Department • Finance/Budget office	To understand how the City Officials are planning for inclusive cities. How the officials align the City's spatial plans with the budget and reporting. What fiscal tools are used to fund spatial policies or new policy agenda.
National Government: National Treasury Officials	To understand how National Treasury supports the CoJMM in funding SDG 11, the inclusive city agenda To also understand the views of National Treasury officials on municipalities' fiscal capacity.
Non-Governmental Organisation: South African Cities Network (SACN) officials	To understand the views on whether or not the inclusive city's goal is achievable given the state of South African cities.

1.8. Ethical Considerations

Collecting data from people is a highly critical process in research which always raises ethical questions that researchers need to be cautious of. In conducting research, the researcher

needs to think about ways to protect the participants and ensure that their privacy is not invaded or that they feel unsafe, while devising ways to collect value add information from participants.

1.9. Delimitations

The study evaluates the planning and financial tools that the CoJMM uses to implement SDG 11. However, given the number of concepts that SDG 11 encapsulates, the report focuses only on the inclusive city although it relates to other concepts such as sustainable and resilient city. The financial tools that will be evaluated are loans, equitable share, grants and revenue raised by the municipality. There are various ways in which one can adopt to assess the financial standing of a municipality. For the purpose of this research, I used a qualitative approach which does not include complex calculations that are typically used by the National Treasury in compliance to the Municipal Finance and Management regulations. The approach I have chosen enables professions from the built environment with limited knowledge on economics and accounting to understand how the financial tools in this report.

1.10. Conceptual Diagram

A conceptual framework is derived as an outcome of the research and according to Maxwell (2013:39) it can be defined as "the systems of concepts, assumptions, expectations, beliefs and theories that support and inform your research" which ultimately affect the research design. It can be represented in either a narrative form or graphically regarding the research key elements such as “the factors, variables, or constructs, and the presumed relationships among them (Miles *et al.,* 2014:20). It is constructed by the researcher even though concepts and ideas can be borrowed from other research works.

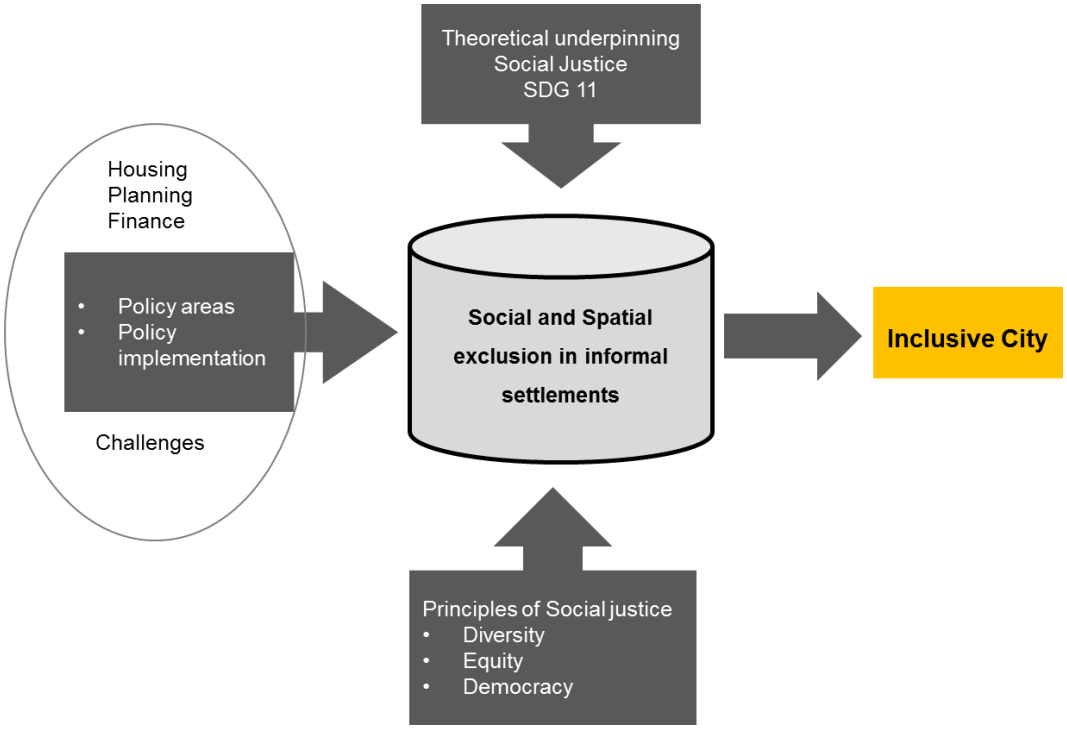


Figure 1.2: Conceptual diagram (Source: Author's own, 2019)

Figure 1.2 shows the conceptual diagram conceived by the researcher as a guideline towards addressing the research aim and objectives. It entails various concepts that ground the research and identifies relationships that links them together. Critical concepts that stem out from the conceptual diagram are social justice theory or concept that strengthens the inclusive city concept, understanding of exclusion and inclusion, policy areas as a lens in which SDG 11 is supported at the level of local government.

1.11. The Organisation of the Research Report

Chapter 1: Introduction

The research question is introduced in this chapter by giving background information on the subject investigated. In essence, it introduces the tension between the SDG global framework and the municipal developmental mandate. The background captures the reality of the CoJMM, looking at the challenges it is faced with and how it is responding to them. It puts into context the objective of pursuing the study.

Chapter 2: Situating the Inclusive City Concept in Theory

This chapter reviews the literature on the Inclusive City concept and the theory underpinning it, namely the social justice theory together with analysis of the emergent discourse on localising and financing SDGs. This discourse is penetrating urban planning with a full force. The intention highlights the significance of inclusive city concept through planning and management of cities perceived as engines of growth and places where people live. One way

to show this is by looking at indicator 11.1.1 of SDG 11 which focuses on population living in informal settlements.

Chapter 3: Research Methodology

In this chapter, the research methods to be used in undertaking the study is unpacked. It thoroughly elaborates specific tools that will be used to identify, process and analyse information about the study. It further examines the purpose, reliability and validity of the tools used for data collection.

Chapter 4: Contextualising the Inclusive City in CoJMM

This chapter contextualise the term Inclusive City in the CoJMM, how it is understood and applied. It unpacks the approach that this municipality is utilising to adopt and implement the inclusive city agenda as part of SDG 11. Critical policies developed by CoJMM are identified and examined in terms of alignment to support the creation or building of an inclusive city. It further investigates the existing relationship between spatial policies and budget as the key drivers for the successful implementation of any policy agenda.

Chapter 5: Findings and Analysis

Findings and analysis of the data collected, aiming to provide answers to the sub-questions and the main research question are presented in this chapter. The chapter unpacks the planning and financial tools that the municipality utilises to build an inclusive city as a way of addressing exclusion. Furthermore, reveals how informal settlements are being upgraded as a way of making a city inclusive.

Chapter 7: Conclusion and Recommendations

Chapter seven summarises the key findings of the research, according to the three sub-questions and answering the main research question. A number of suggestions are offered as a way forward for the CoJMM in realising SDG 11.

CHAPTER TWO: SITUATING THE INCLUSIVE CITY CONCEPT IN THEORY

2.1. Introduction

Cities in the global South are undergoing rapid urbanisation which brings forth several developmental challenges ranging from high unemployment rate, unpredictable economies, to urban informality and deepening inequalities amongst others (Dyson, 2010:140 and UN, 2018:1). According to Devas (2004:54), these challenges make it difficult for cities to create an environment that will attract economic opportunities for its people to be lifted out of poverty. As a result cities' demand for basic services continues to increase uncontrollably, thus affecting the municipal budget (Dyson, 2010:139 and UNFPA, 2011:12). Not only do the issues at hand affect the spatial form, but they are also costly to rectify, thus placing government under fiscal burden in pursuit of delivering services to the people.

A literature review is conducted in this chapter regarding the inclusive city concept and the theory underpinning it, namely, the social justice theory together with an analysis of the developing discourse on localising and financing SDGs. This discourse is penetrating urban planning with a full force. The objective is to highlight the significance of inclusive planning for and management of cities as engines of growth and places where people live. One way to show this is by looking at indicator 11.1.1 of SDG 11 which focuses on the population living in informal settlements. This indicator pushes countries and cities to provide adequate housing for the deprived through the upgrading of informal settlements.

The study seeks to understand how the global agenda is localised and financed to make it easier for local government to implement. Furthermore, this study also seeks to understand the nature of trade-offs and how they affect the less privileged or marginalised groups. The study also shares Brazil's approach to the inclusive city concept. Both Brazil and South Africa are burdened with persistent inequality and poverty even after democracy and have developed social policies to address developmental challenges. First section of this chapter defines the inclusive city and reviews or analyse the theoretical framework. Moreover, the indirect encounters for developing and transforming cities will be presented, followed by a discussion of the significance of financing a policy agenda and development practices at a local or global scale.

2.2. Defining an Inclusive City

The concept of an inclusive city is broad and can be derived in many ways varying in scale. It is underpinned by the idea of democracy which stipulates that a city belongs to the people and have the rights and responsibility towards changing or shaping it in accordance to their lifestyles. This concept is embedded in three interrelated notions contributing to the awareness of citizenship which according to Phoram *et al.* (2015:10) recognises human rights, authority and growth in an equitable manner.

The Human Development Report (UNDP, 2000:4) provides principles and standards on human rights set internationally, which can be used to assess and redress inequality. These rights impact on human dignity and have been categorised into seven streams of freedom from fear; want; discrimination; injustice; to participate in decision making; for decent work and realisation of human potential (UNDP, 2000:4,5). Human rights can only be realised within a society depending on the state and quality of governance. This means that good urban governance is crucial for addressing common affairs in situations where various stakeholders obliged work in unity.

The concept of inclusivity is broad and can be applied at different scales depending on preference and the goal to be attained. It can be applied at a specific development site and areas within a city or as a city-wide scale. These scales also bring forth the element of trade-offs that can compromise the marginalised group and perhaps defeat the purpose of making a city inclusive. The concept itself is understood from various lenses depending on the root cause of exclusion, for example, the UN-Habitat defines an “inclusive city as one that promotes growth with equity, i.e. a place where everyone is enabled and empowered to fully participate in the socio-economic opportunities that the city has to offer” (UN-Habitat, 2015:14). This definition is silent on environmental issues brought forth by industrialisation which boosts the economy, and this can be construed to be one of the trade-offs for economic growth. It is also silent on what people are entitled to as indicated in the Universal Declaration of Human Rights. However, academics such as Sharp *et al* (2005:106) agree with UN-Habitat’s definition by indicating that an inclusive city acknowledges the existence of different social groups and cultural dominations with varying interest. In my view, it can be challenging, if not impossible to cater to all individuals.

According to Hambelton (2015:25), a city that allows all residents to partake and equally reap economic and social benefits while caring for the environment defines an inclusive city. This definition aligns incredibly well with that of the Asian Development Bank, which emphasize the importance of human dignity, equality, and the environment. It assumes that this emphasis

made has a potential to uplift people, especially the disadvantaged or marginalised group (Asian Development Bank, 2017:4). In the South African context, an inclusive city is one where residents are given a voice in all issues that affect them socially, economically and spatially (SACN, 2016:32). These definitions clearly indicate that the main focus is on people and their livelihoods. It is about providing residents with access to resources and rights to genuinely impact how the city evolves or develops over time without compromising the future generations (Hambelton, 2015:25). However, rights to participation in the planning processes do not automatically result in inclusion, but they need to be coupled with other elements such as access (SACN, 2016:130). For example, residents of informal settlements, whether they are well located or not, continue to be excluded from making significant contributions to urban economic growth despite having citizenship. This then forces them to informally adapt and shape their habitat spaces simply because government policies do not embrace informal settlements (Huchzermeyer, 2014:13).

Based on the above discussion, it can be assumed that the concept of an inclusive city is a development model with the sole aim of achieving equality and justice. It shares the same sentiments and principles as the concept of a “Just City” as described by Fainstein (2010:8). Winkler (2005:24) and Shah *et al.* (2015:17) concur in that both these concepts are aimed at promoting social, economic, and spatial justice encompassing the principles of equity, democracy and diversity. However, according to Fainstein (2005:15), the impact should bear on all public decisions without venturing to such an extreme as to build up a hypothesis of the good. The model further equates to a utopian vision as it proposes radical changes in correcting the injustice and increasing equality. One can also say it is an ambitious term with an ambitious agenda of catering to all people through urban planning, however, it does not take into consideration the theory of individualism and the challenge that lies with implementation.

The main question in regards to the CoJMM is whether the spatial transformation agenda driven by the 2030 idea of a “world-class African city” which encompasses the values of social justice. Building an inclusive city infuses social justice concerns throughout the planning and design process. It also envisions an intergovernmental relations amongst various stakeholders to work collaboratively towards a vision and strategy for the city to function at its optimum (Cities Alliance, 2002:56). The argument of an inclusive city is to do away with policies and strategies that foster exclusion and develop strategies that incorporate an anti-poverty agenda together with that of economic growth and investment. The success to include all these strategies into urban planning rests on the ability of the local government to have an influence on national policies that focus on capital growth.

It is the contention of this research study to define an inclusive city by first describing what the term “inclusive” refers to, given that it is broad. Inclusiveness in this study has a spatial dimension and stands in opposition to urban segregation. It refers to accommodating vulnerable social groups who have been isolated and placed in marginalised areas with limited, if not, a lack of access from important urban services, jobs, and amenities. Therefore, an inclusive city in this context is a city that recognises human rights for the welfare of its citizens and promotes a sense of ownership and enables people to develop themselves and their communities. Such undertakings enables the city to draw skills and talents from its people, making them to become resilient as indicated by Harvey (2003:140), when he pointed out that people have the rights to change the city by the way they live their lives. The concept of inclusive city is relevant for this study as it forms part of SDG 11, which aims at tackling spatial transformation through the provision of human settlements that are affordable, non-discriminatory, and representative of the city’s diverse population. The concept in the discussion is more socially just, works against the division of a city into poor and wealthy by encouraging compact and sustainable growth. It enables a wide spectrum of people to access pathways for social and economic advancement. This means that all people, regardless of their economic, social, and political status, are afforded an equal opportunity to partake in the development of their city and can obtain the benefits of urbanisation such as better living conditions. Even the history of South Africa calls for an inclusive city as a redress mechanism to fix or undo what the apartheid policies have created.

2.3. Programmes and Policies for an Inclusive City

As highlighted above, equity, democracy, and diversity are the three primary qualities that constitute urban justice which is the cornerstone of an inclusive city. According to Fainstein (2010:56), based on the merits of these three principles, it should be mandatory for government or any office bearer to use them for policy evaluation. Although politics mediate urban rights and justice, they have to be rooted in the governance system that caters for several interests (Marcuse *et al.,* 2009:42). This section of the literature review observes the possible strategies and policies that will enable government to advance to an inclusive city by realising justice in urban planning. To successfully implement the inclusive city agenda that mostly benefits the excluded group, planning reforms on existing policies and programmes need to take place. This is to attempt tackling the questions posed by Connolly and Steil (2009), who wondered “what would constitute justice in an urban setting? What social, political, economic, and other structures are needed to build a city that is inclusive?” City and country dynamics will dictate the kind of intervention needed for housing and how it balances with its local economic development activities.

According to Harvey (2003:931), the right to the city is more about the ability to change the city in relation to the changing needs of people. Therefore, it is common as opposed to an individual right as radical transformation certainly depends on the exercise of a collective power so as to reshape the process of urbanisation, shifting it from a class phenomenon to a more inclusive and just situation (Harvey, 2008:19). Governance has uprooted government; rights and opportunities are organised over majority rules system; lack of transparency has replaced democracy. As Connolly and Steil (2009:29) point out, the right to the city is a desire to reshape the political and moral connections between space, social provision and social justice which aligns with the goal of an inclusive city. However it is believed that the responsibility to enforce social justice lies with local government. To stress this point moves the discussion forward in a vital way; presenting the theory of social justice below. Equity, diversity and democracy are critical to building an inclusive city and should be applied through policy.

2.4. Social Justice Theory

Social justice is a progressive idea that gives importance and criticalness to life, and makes the standard law flexible to accommodate change. It is loaded with different implications based on its ambiguity. According to Thrift and Sugarman (2018:3), there is no consensus regarding the meaning, thus it can be associated to a welfare state and or considered to be corresponding to an egalitarian society. Since social equity should abide for the most part in the end of a wide range of inequalities, be it wealth, opportunity, race, social group or religion, it aims to afford all citizens equal opportunities in social matters as well as economic activities. Social justice cannot be defined without first explaining what justice entails (Campbell, 1988:72). Justice means providing fairness to the deprived and bringing an egalitarian order under which opportunities are afforded to the disadvantaged group (Miller, 1991:71). Therefore, social justice can be characterised as the reasonable and fair distribution of rights and responsibilities to all individuals paying little attention to race, ethnicity, age, sex, capacity, status, sexual orientation and religious or spiritual background.

According to Thrift and Sugarman (2018:4), social justice thought and action can be seen throughout history working as a notable contrast to human tendencies for greed, power and violence. It does not separate from the context of history and human social relations. It gradually grew as a reaction to exploitation and oppression. Social justice begun in the mid-nineteenth century in Europe as a reaction to growing inequalities between the working class in a capitalist institution (Barry, 2005:45; Thrift and Sugarman, 2018:5).

This was when Karl Marx established the theory that "forms the material framework for the development of individual abilities and potentials on an equal footing" (Barry, 2005:45). The theory of social justice continued to grow throughout most of the events that took place in histories such as industrialisation, colonialism, wars, and globalisation. It also contributed to the establishment of social movement and social institutions such as the social democratic parties in Europe, Germany, and Sweden (Klaufus *et al.,* 2017:238). By the end of the Second World War, social democratic parties united on key ideas such as the establishment of trade unions to restrain the power of capitalists, and the introduction of taxation to balance the distribution of income (Thrift and Sugarman, 2018:6).

The application of social justice requires a topographical, sociological, political and social structure inside which relations among people and gatherings can be comprehended, surveyed, and portrayed as just or unfair. The Universal Declaration of Human Rights and the International Covenant on Economic, Social and Cultural Rights are the most significant treaties that reflect global agreements on basic human rights. In the South African context, these human rights are inscribed in the Constitution which is the highest law adopted to restore the division of the past and strives to create a socially just country, free from discrimination and inequality. A national institution called the Human Rights Commission was established to support the Constitution by giving lawful guidance to help courts in cases that include human rights standards.

The institution is mandated to align with international mechanisms on human rights and treaties for effective implementation. Adequate housing is one of the most basic human rights due to its effect on human dignity, security, wellbeing, prosperity and access to vocations. In this way, understanding the right to housing is generally viewed as a foundation of human improvement and a political need (Leckie, 1989:93 and Kolocek, 2017:26). The scope and definition of human rights is vague thus depending on specific political and financial situation, however. A country's failure to respect the human rights of its inhabitants is a common concern that opens its government to universal condemnation.

2.4.1. Justice as Fairness

Justice is a broad concept and can take on different implications across space, time and people with different cultures or belief system (Fainestein, 2010:11). Rawls (1999:13) in his book on Theory of Justice, equates or associates justice with fairness based on the social contract theory. The theory itself states that people's good or potentially political commitments are reliant upon an agreement or understanding among themselves to shape the general public in which they live. In a nutshell, it means people in a community decide and agree

collectively to the values that entail justice which will then be used to gauge a situation to either be just or unjust. This agreement will spare members of the community from any unjust decision-making process (Mandle, 2009:11). Rawls (1999:45) indicates that there are two basic principles which strengthen the social justice theory. The first states that each person has equal rights, meaning that no one can be above the law. The second principle states that social and economic inequality are to be arranged to benefit the least advantaged and must operate under conditions of fair equality of opportunities. This proposition by Rawls indicates that he is more concerned with the welfare and benefits of the people. He believes that goods and freedoms should be shared in society to uplift the least advantaged group. However, Nozick (1974:151) indicates that the collective "good" of human beings is simply to cloud the truth that a person is used to advantage another which has some element of injustice to it. He supports the idea of individualism where each person is given control or rights to exercise.

Nozick (1974:140) unpacks the concept of individualism in his theory of entitlement which is embodied with ideas on private property and free market with minimal endorsement on the social programme for the poor. In essence what he means is that individuals have a right to own property and of self-ownership, which gives them the freedom to determine what to do with what they own (Pogge, 1981:50). He regards any distribution of resources as just, as long as it aligns with three principles: firstly is the justice in acquisition where there is an appropriation of things that do not have owners and can be given to others; secondly is the justice in transfer where acquired holdings from someone who is entitled to that holding; and lastly rectification of any unjust transfers are to be rectified by compensation. In a nutshell, Nozick's explanation of social justice does not support any kind of redistribution of resources with taxation imposed on rich people as a way to support social programs for the poor. He regards it to be an unjust process on the basis that the state/government is acquiring money by force instead of this being a voluntary transaction (Nozick, 1974:142).

2.4.2. Justice as Equality.

Ake (1975:220) acknowledges and describes two principles of Rawlsian social justice, which are both related to equality and difference. The principle of equality expresses that "every individual has the equivalent indefeasible case to a completely sufficient plan of equal basic rights (Rawls, 1999:504). The principle of difference, in turn, states that "social and economic inequalities are to satisfy two conditions: first, they are to be attached to offices and positions open to all under conditions of fair equality of opportunity; and secondly, they are to be the greatest benefit of the deprived group within a society" (Rawls, 1999:508).

The above discussed theory of social justice links to this research study through the basic principles of equality, equity, democracy, and diversity. These principles are not only embedded in social justice but they also provide a strong foundation for creating and/or building an inclusive city as a response to the ills of exclusion. Both the theory and the concept of inclusivity have one goal in common, which is to uphold basic human rights and dignity by addressing key drivers of exclusion. This helps in understanding how spatial planning can affect people's lives and prohibit them from exercising their human rights.

2.5. Principles of Social Justice

2.5.1. Diversity

The principle of diversity refers to embracing and valuing individuality. In urban planning this means catering to various people as individuals, in their belief, religion, race and preferences. A mixture of land use and various densities to the practical extent desired by affected population is ideal to achieving inclusivity (Fainstein, 2010:174). According to the Constitution (RSA, 1996:81) municipal authorities have been assigned a role in provision of basic services which entails amongst others provision of access to economic and social opportunities especially the previously disadvantaged groups which can be achieved through the use of spatial planning tools such as town planning schemes. For instance, zoning can be used for encouraging inclusion, and not marginalise people based on affordability and other statuses. Of course one has to emphasize the careful point that for the sake of achieving diversity, building of new communities outside the urban boundary should be discouraged at all cost to avoid the expansion of marginalised areas and segregation.

2.5.2. Equity

The principle of equity is about values, what is right and just. It is about justice where all rights and liabilities should be equalised amongst all interested. Fainstein (2010:172) suggests that the principle of equity can be driven by planners and municipal authorities in pushing for equal resolutions, restricting and minimizing those that already benefited to create a balanced community. This means that the previously disadvantaged group should be compensated or offered more resources that will afford them an equivalent opportunity with those who benefitted from the system (Fainstein, 2010:173).

2.5.3. Democracy

Democracy means freedom. People in a democratic country are given the right to participate in decision making, however, they have to show a level of willingness to take part in the process. According to Fainstein (2010:175) the purpose of public participation should benefit

various groups of people and be fairly represented. To achieve inclusivity, democracy must be used as an instrument to assist those with less power. In reality, this can be achieved a better representation in decision-making for greater affected populations than to broader participation. The problem that needs to be addressed therefore is making elected representatives to respond to the needs of their constituents. Fainstein (2010:175) further suggests that there be consultation, proper representation of affected parties to advance democracy.

2.6. Benefits of an Inclusive City

The importance or relevance of a just city, according to Rachmawati (2016:164) is realised through the effects of exclusion in cities of marginalised people, be it social, economic or political exclusion. This means that for cities to be inclusive they must address the issue of exclusion through accommodating marginalised people. Inclusive city can be promoted by the physical make up of space in which form and function are inherently linked. For instance a housing supply can be a key foundation for inclusivity in a situation where most people are placed in informal settlements without security of tenure. Providing accessible and inhabitable housing for the needy is a priority according to the South African Constitution. Participation, justice and empowerment are some of the benefits brought forth by the inclusive city concept. They link directly to the exercise of human rights identified in the Universal Declaration on Human rights. Participation encompasses the freedom to voluntarily participate in decision-making that enables one to access public resources and services; whereas justice provides ways to remedy situations of those whose rights were denied. Empowerment in this context refers to access to resources, for example the marginalised group often lack access to resources such as sanitation and water which in turn acts as a key barrier to their empowerment.

2.7. Social Inclusion/Exclusion

Social inclusion and exclusion can be construed as two ends of a continuum of binary opposites. They are context-specific concepts that can be defined in various lenses like how social inclusion is defined or perceived (Lombe, 2007:3). Another lens is through places; it must be acknowledged that there are different cultures, histories and social structures in different places which then influence how one defines social inclusion or exclusion (Silver, 2019:2). Lastly where one lives makes a material contribution to social inclusion, shaping access to resources. This is what Espino (2015:23) refers to as socio-spatial segregation, which is a major challenge to urban development. Inclusion in social relations is described as a process for broadening social ties of respect and recognition. This is normally done by

increasing opportunities for social participation, enhancing capabilities to fulfil prescribed social roles (Neilsenk, 1979:210 and Silver, 2019:8).

Exclusion alludes to a disappointment of the instruments of social coordination to fuse the urban poor into the standard of urban life (Lombe, 2007). It is driven by laws, policies, institutions and structures that serve to systematically exclude groups of people. It can also be shown as a loss of status in society, humiliation and lack of recognition, making one feel lonely or alone (Klaufus *et al*., 2017:2). The lack of affordable residential accommodation and exceptionally confined access to the physical and social infrastructure of the city has rendered the everyday lives of the urban poor in vulnerable situation (Davoudi and Atkinson, 1999:226). The objective of social inclusion is to uplift and empower the poor in various ways such as human capital investment and promoting community participation in decision-making (Gupta and Vegelin, 2016:436). According to Silver (2019:6), social inclusion/exclusion concepts are multidimensional, manifesting in different ways with different ideological differences. They can be separated into parts i.e. social, economic and spatial. This concept of exclusion is important to understand as it strives to answer the fundamental question regarding the inclusive city concept, inclusivity of who to what. It explains exclusion concerning people, space, activities and how it adopts a social inclusion processes as a solution.

2.8. Social Exclusion in Planning

Social exclusion in planning can be experienced or witnessed in many ways: from an access point of view to participation in decision making. It affects people both in rural and urban areas, subjected to discrimination of some sort (Cass *et al.,* 2005:542). Through planning, people can be socially excluded, intentionally and unintentionally. This is because planning in itself is a tool used to develop and improve city life, this entails addressing social, economic and spatial issues connected to development. Spatial planning is one concept used in planning to regulate land uses and is generally carried out by urban planners (Turok *et al.,* 1999:363). In other words, it is used to guide development in terms of where and how it should occur. How one makes decisions on land can have both positive and negative consequences depending on who is at the receiving end. It is usually the urban poor who suffer the consequences for many reasons, maybe development is favoured more in the inner city and they cannot afford to live in that area. For this reason, spatial planning can be construed to be discriminatory (Todes, 2014:42). This view leads to the significance of creating and or building an inclusive city to integrate all groups of people in planning processes to ensure that their voices are heard.

According to my understanding, the theory of social justice assumes that members of a community value many different goals with good intentions however, they may conflict with each other to the extent that they make incompatible demands on social resources (Mandle, 2009:12). This does not mean that they are immoral or irrational but normal to occur in such a setting. The social justice theory strives to address such conflicts reasonably. These conflicts will be common in creating an inclusive city. Achieving an inclusive city can be a method for acknowledging human rights including of those who live in informal settlements and want to access social and economic opportunities (Mcgranahan *et al.*, 2016:24).

In the book "Just City", Fainstein hopes to have an influence on how planners are geared to think from an economic perspective to a more social perspective that will enable them to address social inequality (Fainstein, 2010:8). In essence, planning decisions should favour the less fortunate given that economic growth does not trickle down to the poor. Connolly and Steil (2009) articulate "justice" as multidimensional; and needs to be understood from different perspective social, economic and spatial.

2.9. Localising Sustainable Developmental Goals

The Sustainable Development Goals were adopted in 2015 and since then, countries have come forward with the challenges they are experiencing in successfully implementing the agenda. As indicated in chapter one of this research report, implementation of SDGs is affected by many factors which most are not indicated in the action plan (Arslan *et al.,* 2016:185 and Patel *et al.,* 2017:785). These factors relate to the roles and responsibilities of government thus calling for the need to localise the agenda. This means that implementation has to be conducted by the level of government which is a position to access local communities.

The localisation of SDGs has taken centre stage in urban research. Many countries who are signatories to the United Nations have a common understanding towards the implementation of these goals and the need to translate the agenda into a local setting. Localisation is commonly understood as a role taken by the local government in the implementation of global frameworks with support from the central government (Lucci, 2015:2). According to scholars like Lucci (2015:2) and Reddy (2016:13) localisation brings forth complexities with the global urban agenda that stems from ideologies of globalisation and local developmental agenda that stems from local practices. This in particular raises the question of what happens at the point where global policies intersect with local priorities. Are there linkages, inter-connectedness, and challenges at that point? According to Leaf and Pamuk (1997:15) in a local setting, the global urban agenda will bump into a response from a localised context that may be unusual.

Governance and power can be an unusual response at a local level in the sense that the governance structure may not support the implementation of the global policy. This calls for a deeper understanding of how these agendas can be contextualised in different settings to achieve a significant impact.

For the local government to be able to implement and deliver on the realised set of goals, they need to have adequate capacity and resource which in most cases they lack or have little to work with. Some of the major challenges that some countries face concerning implementation include data availability which plays a crucial part in the status quo of a city, identifying what is already there and what is missing. Measurability of the SDGs at a local level proves to be difficult to work with. Adequate funding is one other challenge which according to Reddy (2016:12) is essential for implementation thus financial resources and responsibilities taken by local government should be adequate and equitable to make SDGs a reality. In other words, the central government must increase allocations of budget to support localisation of SDGs, capacity development and institutional building. There ought to be a thorough effort to upgrade the quality of local human resources, political administration, the executives and technical capacity of local government.

Shand and Colenbrander (2018:175) argue that localising SDGs also requires localising finance to enable successful implementation and also establish other supporting mechanisms such as a new balanced portfolio of financing instruments that meet or take into consideration the needs of all cities and their challenges, especially in developing countries. This is because law and finance are the two most powerful tools for implementing any policy agenda regardless of the magnitude of impact. When local government or municipalities are tasked with the implementation of global policy, it is important to cross check the fiscal capacity to take up such a responsibility given that they are already mandated to fund expenses that come forth in delivering public services as well as investments in infrastructure. Municipalities fund these expenses from internal resources (taxes and user charges) and external resources such as credits or loans from development partners, foundations and intergovernmental transfers. However, the size of a city is a big determinant of how much it can rely on its internal resources which is the money it raises from payments of services by citizens.

2.10. Example of Inclusive City and localising SDGs

The UN had over the years advocated for the cities to be more inclusive, intercultural, and accessible. To achieve this vision, cities around the world went through the transformation process to unite a once divided community. This section provides an overview on other cities that had gone through social exclusion and approaches adopted to redress the divide.

Example of building an inclusive city through slum upgrade in Brazil

The inclusive city in Brazil is understood from an economic point of view using the term inclusive growth which is defined as a sustainable growth to create and expand economic opportunities that can be accessed by members of society aiming to better their living standards. This definition assumes that inequality is simply a side effect of the level of development**,** with a view that economic growth can alleviate poverty. Inclusive growth as understood in policy and practice by Brazil covers only the social and economic dimensions and neglects the environment. It is known that economic growth leads to urbanisation which can create environmental concerns such as pollution and an increase in household.

Brazil is faced with development challenges such as poverty, inequality, and a high rate of urbanisation despite having a high productivity growth (Pamuk and Cavallieri, 1998:452). Urban neighbourhoods are overwhelmed by inadequate housing and land reform irregularities. The presence of slums is another urban challenge that the country is faced with given that they are diverse in terms of location, size, density and living conditions. Nonetheless, the issue needed to be addressed and in doing so, public policies considered informality, particularly slums and upgraded them through provision of infrastructure (Pamuk and Cavallieri, 1998:458). The slum upgrading approaches or strategies in Brazil are tailor-made to suit a specific slum. They are taking into consideration important elements that will enable the results to be achieved. The following points were considered key in the approach:

- Identification of key role players from various sectors to take part in solution finding. Offices were formed to connect residents with various profession within the built environment to devise better plans to address housing issues.
- Development of public policies that specifically deal with spatial issues such as natural resources, environment, proposing solutions to housing.
- Assessments of slums to be able to design plans accordingly given that in Brazil the slums are very diverse.
- Bringing various components of planning together to transform slums to sustainable human settlements which means they become habitable as basic infrastructure was provided along with social and economic facilities.
- Single implementation agency to facilitate partnership different stakeholders with a clear assignment.
- Community participation in decision making

- Development of slum prevention strategies to ensure that there is no further establishment or growth of slums.
- Development of a financial framework to finance the slum upgrade programmes or projects.

In terms of financing the slum upgrading programmes and projects, the federal government, state and Inter-American Development Bank (IDB) used various fiscal tools such as loans, borrowings and international grants depending on the availability of funds (Bahl *et al* 2014:371).

South Africa managed to deliver approximately R3.3 million houses since 1994 to 2018 (City Press, 2019). Despite this improvement, the growing rate of informal settlements indicates limitations and failures of housing policies. Some lessons can be learnt from the skill or practice of public authorities and community organisations in Brazil. Informal settlements in Brazil have created better housing options for majority of the urban population than their few governmental housing policies whereas South Africa is still struggling (Devas, 2004:26). Apart from the inequality, informality in cities is perceived to be practical for the use and needs of the community at large. However, financial implications of these processes have raised concern on the objectives set out in the policy agendas and programmes and cannot be undermined. According to Baumann (2003:51), it is imperative to perceive informal settlements as platforms for government to primarily confront and attend to society's wellbeing. However the Latin American experience as indicated by Smit (2006:1) shows that housing policies are inadequate to solve all issues pertaining to housing. It is wise to prevent the mushrooming of informal development than regularising.

2.11. Informal settlements upgrading in SA

The political vision of South Africa since 1994 has always been to eradicate or eliminate informal settlements and this has shaped many of the housing legislations in the country such as the Housing Code, Breaking New Ground and the Housing Act (Huchzermeyer, 2008:94). This was mainly influenced by global frameworks such as the UN-Habitat as well as the UN's Millennium Development Goals which later were converted to SDGs. Target number 11.1 of the SDGs in particular, provides housing and slum upgrade actors with the unique opportunity to make intensive efforts towards developing human rights-based strategic and globally aligned approaches geared to inclusive urban development. This means that informal settlements should be upgraded in a manner that elevates human dignity and allows the residents to benefit from the economic and social opportunities offered by the city.

Informal settlements are phenomena that exist in many parts, if not all, and are characterised by bad living conditions, poor service standards and absence of secure tenure. Informal settlements arise when people build on land they have no legal tenure to or by not conforming to planning, registration and/or the building regulations of the respective local authorities in which they are located. The structures are irregular; the dwellings are low-cost, often built of non-permanent materials and the settlements usually have a higher population density than other formal areas of housing. Upgrading of such settlements requires cooperative work between government and local communities in reaching consensus of the greater good of the project. It also requires grassroots understanding of how and why the particular settlement emerged to be able to apply a proper solution in upgrading the settlement. Challenges encountered can vary from economic, social and environmental.

According to Tshikotshi (2009:56) failure of informal settlement upgrade is a result of inadequate allocation of resources, accompanied by ineffective cost recovery strategies and limited funding constraints. Others include shortage of skills at local government, lack of management as well as leadership strategies, policies and programmes that are not implemented effectively and efficiently, especially those relating to service delivery which makes the process of upgrading informal settlements worthless. The situation is apparently now at critical levels and is made worse by failure of governance at the level of implementation. Furthermore the severe scarcity of developable and well located land in the urban area for partial or full scale relocations is an issue. Land appropriate for low-income people is expensive if available, and in most cases is under the traditional authorities and private land owners (Aigbavboa, 2010: 32).

In the South African context, municipalities as per the Constitution (RSA, 1995) are tasked with improving living conditions and transforming informal settlements into liveable, integrated, vibrant and resilient neighbourhoods. They are required to do so by speeding up the delivery of sustainable human settlements whilst faced with intergovernmental challenges brought forth cross-cutting responsibilities between the three spheres of government. The role of service delivery, settlement control lies with local government and the function of housing delivery which is the main intervention approach to informal settlements, remains at the provincial sphere (SACN, 2014:15). Despite all this it is fair to acknowledge that the government's response to informal settlements has regularly been controlled and responsive (Tshikotshi, 2009:50).

2.12. Conclusion

This chapter has discussed the inclusive city concept and how it is understood by various people from different walks of life, be it academics or organisations around the world. It further unpacked the main objective of rectifying injustice. The social justice theory was found fitting to relate to the inclusive city which unpacked the term justice and how it can be translated in planning. Throughout the discussion in this chapter, it is clear that there is a relationship between the two as they focus more on people and their rights as human beings. The underpinning theory dictates what an inclusive city should realise given that a city is made up of spaces, buildings and most importantly people who bring various dynamics like religion, culture and belief systems. How people relate with each other, the spaces and buildings around them has the potential to bring forth social issues. These issues are weighed against the human basic right to qualify them as just or unjust. Localising SDG 11 has also been discussed with an example on how Brazil is creating an inclusive city through the upgrading of informal settlements. Nonetheless, the country's inclusive approach seems to be a success although it lacks detailed discussion on how the informal settlements projects or programmes are funded. This makes it challenging to unpack the funding model of Brazil, thus we are unable to learn about their financing tools used for the implementation the inclusive city concept.

CHAPTER THREE: RESEARCH METHODOLOGY

3.1. Introduction

This chapter discusses in detail the methodology employed in gathering data from various sources. This is a process I, the researcher, pursued to be able to adequately answer the research questions. An appropriate research methodology does not only afford me a clear-cut path, but it also ensures that the right techniques are used to obtain the data required to complete the research. As Goddard and Melville (2001:135) point out, "we cannot skim across the surface, but we need to dig deep to get a deep understanding of the phenomenon we are studying".

3.2. Research Approach

There are essentially three types of research methods that can be used to collect, analyse, and interpret data, namely quantitative, qualitative, and mixed methods. These methods are identical to deductive and inductive approaches, respectively. However, for the purpose of this research, the qualitative method is employed which implies that I developed a theory after collection and analysis of data. This means that I collected data concerning the financial state of CoJMM then analyse it before concluding on whether the municipality is financially fit or unfit. Qualitative research allows for the use of different data across various studies to analyse and draw conclusions (Mack *et al*., 2005:31).

The inductive approach applied attempts to explain how CoJMM funds and implements the inclusive city agenda through content analysis. According to this approach, I evaluated municipal documents, published government data, books and reports amongst other sources. Furthermore, I supplemented the analysis with interviews of experts within the planning and finance professions. In response to the objective of the study, this research study is explorative. This entails searching for ideas to address the research question. There are two instruments used in this research to collect data, namely: document analysis and interviews. These two instruments complement each other as they both provide detailed information.

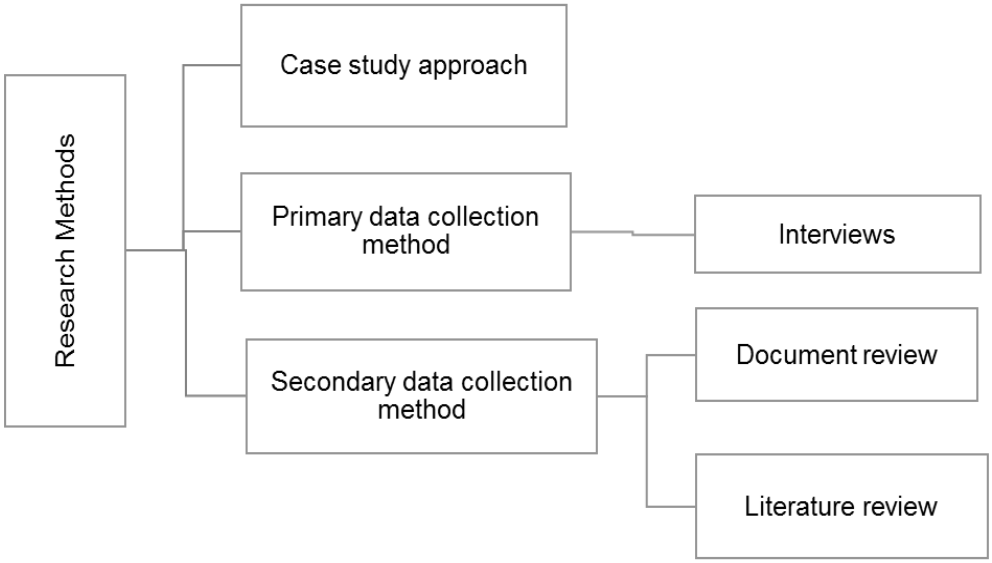


Figure 2.1: Research methods

Figure 3 above depicts the research approach for this study. Data was collected through primary and secondary methods. Semi-structured interviews were conducted with town planners, budget analysts and researchers within the SDGs and/or inclusive city portfolios. These targeted officials will be from the National Treasury, City of Johannesburg Metropolitan Municipality, and the South African Cities Network. The secondary data collection will focus mainly on the document analysis. This entails an analysis from books, journals, policies, and other legal documents that address the concept of an inclusive city. The use of such readings will assist in thorough understanding of the area of research. The chosen instruments will benefit the study in acquiring the municipal personnel's knowledge, attitudes, and practice on the inclusive city concept. The data gathering process took approximately two months and followed the process diagram as indicated in Figure 3.1.

3.3. Case Study Selection

The case study chosen is the City of Johannesburg Metropolitan Municipality (CoJMM). It is a category A municipality in South Africa, as defined by the Municipal Structures Act 117 of 1998. Municipalities within this category are understood to have either extraordinary developments with multiple centres of business, experiencing a high rate of urbanisation with an influx of in-migration. However, the CoJMM is selected based on the following criteria:

1. It has a capital budget of over R7 billion every year to spend on service delivery as opposed to the other metropolitan municipalities in South Africa, with a characteristic of a divided city still prevalent.

2. Johannesburg has a diversified economy and has a commanding position in the national social imagination assuming number one African city which is economically powerful according to global financial centre index of 2015.

3. Johannesburg has been recognised in international urban literature as an example of urbanity in the global South and it is expected to be leading with the implementation of SDGs.

One of the main benefits of using a case study in planning is that it empowers one to explore various techniques or models employed to address a question based on context and setting (Mack *et al*., 2005:25). For example, in this research the financial mode of the CoJMM was explored and unpacked to understand how it aligns to the policies that support SDG 11. In addition, the CoJMM can be used to demonstrate the application of a particular funding model and a planning policy in an attempt to achieve an inclusive city, demonstrating the effectiveness and credibility of the model.

3.4. Data Collection

It is important that the right data collection method is employed to ensure that unnecessary mistakes are avoided. Mistakes have the potential to make the research invalid and unreliable.

3.4.1. Documentation Analysis

The study seeks to analyse and assess policies endorsing the inclusive city concept. According to Goddard and Melville (2001:51), documentation review refers to reviewing what other researchers have written in relation to the research topic. This can be in the form of undocumented or unpublished reports, as well as historical documents (Creswell 2008:13 and Alshenqeeti 2014:40). The documents reviewed for this research study included CoJMM IDP, SDF, budget book and budget reviews from the National Treasury to interrogate the alignment of both the municipality's finance and the spatial transformation agenda. The assessment of the documentation seeks to address the following objectives:

- To evaluate the municipality's inclusive city initiatives;
- To evaluate the CoJMM's fiscal tools utilised towards building or creating an inclusive city; and
- To explore the issues hindering the implementation of SDG 11, particularly the inclusive city goal in the CoJMM.

Various documents were analysed in order to unpack and understand the financial standing of CoJMM as it relates to SDG 11. Documents such as:

- Local Government Budget Expenditure Review (LGBER) of 2008 and 2011

The document is produced by the National Treasury every three years detailing the financial and non-financial performance of South African municipalities. It unpacks the state of municipalities in a particular time period, for example between 2008 and 2011. This is to understand effects of government approaches and resources designed to actualise them. This is another way of government being held accountable and being transparent to its people. For the purpose of this research, the document provides a broader view on how CoJMM is implementing the National Development Plan (NDP) which aligns to Agenda 2030.

- The State of City Finances of 2013 and 2015

These reports are produced and published by the South African Cities Network (SACN). The SACN conducted studies on the financial standings of Category A municipalities in South Africa. This is because according to Municipal Structures Act 117 of 1998 (MSA 1998), such municipalities are experiencing rapid urbanisation. This could possibly mean that they are able to generate revenue. Since these reports focus on eight metropolitan municipalities and amongst which the City of Johannesburg is listed, I was able to extract information pertaining to CoJMM. These reports provide a spatial and financial analysis of metropolitan municipalities in SA. They are easy reads for planners as opposed to the LGBER, which is written from an economic and financial perspective, and chances are it might have been written by budget analysts with little understanding of spatial planning.

- Medium-Term Revenue and Expenditure Framework (MTREF)

This document refers to the municipality's financial intentions over three financial years which is required by the Municipal Finance Management Act 56 of 2003. All municipalities in South Africa are compelled to produce an annual budget approved by council. The budget is split into operational and capital budget linking the financial sources for projects prioritised by the municipality. In the case of CoJMM, the budget allocation is guided by the outcomes of the GDS and spatially allocated as per the guidance of the SDF. For the purpose of this research, more focus was placed on the capital budget apportioned to multiyear projects. Capital budget allocation towards informal settlements was extracted from 2009 to 2019 MTREF. This was to unpack and understand the intension of the municipality. Various sources of the capital budget were identified from the framework.

3.4.2. Interviews

The interviews with key informants investigate the genuine logical understandings of what is expected of the CoJMM as far as contributing towards the usage of available resources and knowledge in making the city inclusive. According to Bechhofer and Paterson (2000:92), one of the advantages of conducting an interview is to probe for new information. Thus, in this context, a face-to-face interaction with municipal personnel introduces me, the researcher, to in-depth data. However, the semi-structured approach allows respondents to add additional

insights as they relate to the questions asked. It also allows for clarification and confirmation of any responses, concepts or occurrences explained by participants during the interviews (Bechhofer and Paterson, 2000:90). The research interviews are recorded electronically using a voice recorder (i.e. cell phone). The duration of an interview is 60 minutes on average with an estimated seven hours of audio recording in total which is collected and transcribed in Microsoft Word® as primary data. Coding of data is done to form a narrative and themes for discussion in the findings chapter.

3.4.3. Respondent Information

Other municipal documents not mentioned above were analysed. Some of the data was gathered from the thirteen participants from three institutions, namely the CoJMM, the National Treasury and the South African Cities Network. The interviews conducted act as supplementary support to the documents analysed to check for convergence and validation of information contained in the documents.

Respondents' information is provided below in Table 3.1, indicating institutions and the positions they are occupying at their respective places of work. This information assisted in aligning their contribution to this research based on their expertise. However, with ethical consideration in place respondents were guaranteed anonymity by withholding their names and descriptive position, providing only background information to describe their office and position.

Table 3. 1: List of respondents from various institutions

RESPONDENTS	INSTITUTION	POSITION
Respondent A1	City of Johannesburg Metropolitan municipality	Management in planning
Respondent A2	City of Johannesburg Metropolitan municipality	Senior strategic planner
Respondent A3	City of Johannesburg Metropolitan municipality	Management in finance
Respondent A4	City of Johannesburg Metropolitan municipality	Grants administrator
Respondent A5	City of Johannesburg Metropolitan municipality	City wide informal settlements, programme, and projects manager
Respondent B1	National Treasury	City support programme project coordinator
Respondent B2	National Treasury	Local government budget analyst

Respondent B3	National Treasury	Local government economist
Respondent B4	National Treasury	City support programme project coordinator
Respondent C1	South African cities Network	Researcher
Respondent C2	South African Cities Network	Urban planner
Respondent C3	South African Cities Network	Inclusive City portfolio manager
Respondent C4	South African Cities Network	Researcher

The intention was to interview fifteen participants as supplementary data to document analysis. It was also to obtain enough information from people who are knowledgeable with the subject matter, which in this case is municipal finance but only thirteen participants responded to the request. There was no target set towards gender or age, but years of experience in the same position proved to reveal deeper knowledge. On average, the respondents had over five years of experience in their current position. They all occupied positions that directly link either to spatial planning and/or finance which are the core components of this research.

3.5. Data Analysis

Data analysis is a critical part in research as it positions me closer to the research answer. However, it can be a demanding task given the amount of data collected and the need to narrow it down to a meaningful insight. Document analysis is used to scrutinise data gathered from interviews as well as documented information from the CoJMM and National Treasury. According to Creswell (2008:21), this analysis can assist me in categorising data gathered into comparable themes. In addition, it can assist in simplifying data collected to produce meaningful insight that fulfils the achievement of the research objectives. The tools used to analyse data are graphs, charts, and maps to compare data over a specific time period such as the budget allocation over ten years. Maps indicate the spatial location of funded capital projects. In evaluating the financial standing of the CoJMM, the single indicator that will be used to assess the capital budget is “income” which refers to money generated locally through collection of rates and taxes etc. For the municipality to have a strong financial standing, money generated locally must always be higher than money received from government (own revenue = high, grants/borrowing = low).

3.6. Ethical Considerations

Since ethical issues are inevitable when conducting research that involves interaction with people, certain measures have to be put in place for the concern of their safety. Consent forms

and participant information sheets has been created to reassure participants that their participation in the research is voluntary and withdrawal from the process at any point in time and for any reason is permitted. They were also fully informed about the objectives of the study, with the reassurance that their answers will be treated as confidential and used only for academic purposes and only for the particular research. No harm or abuse in any manner was imposed on the participants. Written acceptance of participation in the research is expected through a signed consent form to proceed with the interviews.

3.7. Limitations

The study evaluates the planning and fiscal tools used by the CoJMM to implement SDG 11 which calls for inclusive, safe, resilient, and sustainable cities and human settlements. However, given the number of concepts that SDG 11 encapsulates, the report focuses only on an inclusive city although it relates to other concepts such as the sustainable and resilient city. The capital budget of the CoJMM was interrogated to understand the use of various fiscal tools and their purpose, namely; loans, equitable share, grants, and revenue raised by the municipality. In assessing the financial standing of a municipality, various methods can be employed. The National Treasury uses a quantitative approach guided by the Municipal Finance Management Act regulations. I used the qualitative approach which is easier to understand and does not require complex calculation done by economist and accountants. It is important to note that the themes drawn from the research conducted with the primary and secondary over a period of 10years (from 2009 to 2019) to see the impact made policy wise as well as financially on upgrading of informal settlements. It is also to be noted that data sample cannot be generalised across all South African municipalities which are striving to implement SDG 11, particularly the goal of an inclusive city. It also cannot be generalised to apply to other African countries. This shows a limitation in the generalisation of the themes highlighted in the research findings, and the inability to generate a theory that is widely applicable to impact investors in various markets (Baxter and Jack 2008:547).

CHAPTER FOUR: CONTEXTUALISING THE INCLUSIVE CITY IN COJMM

4.1. Introduction

This chapter explores the term "inclusive city" in the City of Johannesburg Metropolitan Municipality (CoJMM). There are two sections, the first section looks into the brief history of CoJMM before and post 1994, specifically the policies and plans that led to exclusion. Section two unpacks the approach employed or adopted by the municipality to become inclusive, looking at the spatial plans and budget supporting the inclusive city agenda.

4.2. Brief History

4.2.1. Spatial Planning before 1994

The CoJMM is well known and recognized as a divided city which continues to bear the spatial scars of the apartheid planning system. Since proclamation in 1886, Johannesburg has grown to become the centre of economic activities, characterised by the influx of migrants seeking economic opportunities. Accompanying this growth was the construction of the apartheid city and injustice through race-based segregation and forceful relocation of marginalised population as indicated in figure 4.1. This has resulted in a rapid expansion of high cost residential places dominated by colonial white authority and informal settlements predominately occupied by the majority black population.

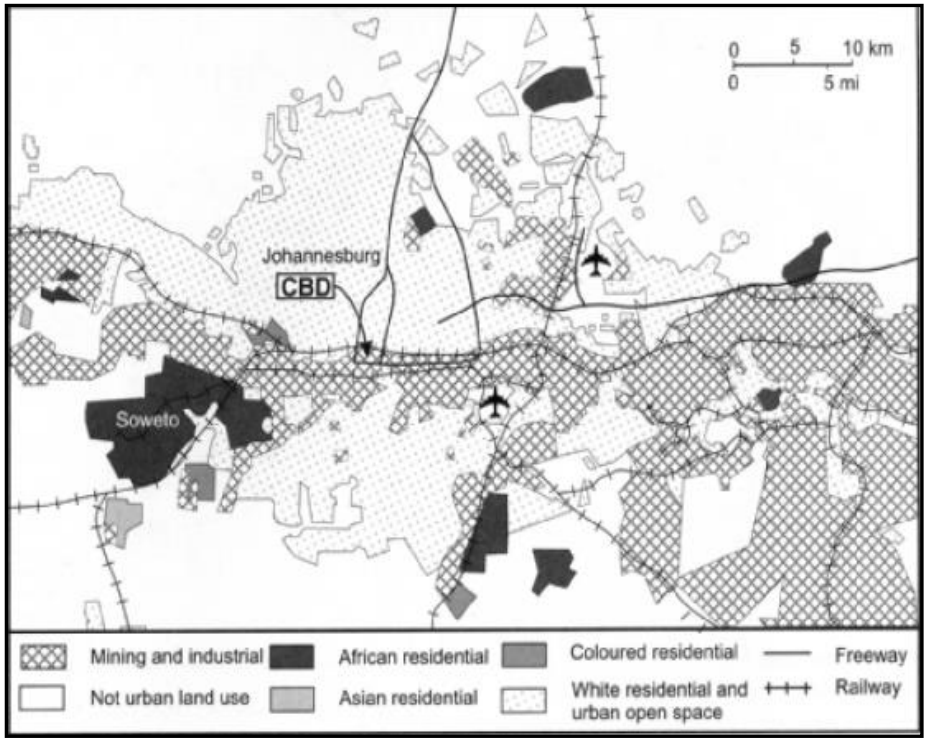


Figure 4. 1: Settlements layout in Johannesburg before 1994. (Source: Cole and Blij, 2007)

The passing of the Group Areas Act in 1950 and 1966, formed the core of the apartheid regime, which resulted in the forceful removal of the black, coloured and Indian populations within a designated area, into the periphery. The practical operation of this legislation was to protect the interest of the dominant minority through engineering social and economic power by employing unskilled African migrants to support industrial development, while restriction them from participating in the political and economic discourse. Furthermore, the Act prohibited the acquisition and occupation of immovable property within a designated group area, further controlling the means of production, limiting economic mobility, distribution, and ownership of wealth. The Act promoted deliberately underinvesting in townships largely occupied by black marginalised communities. These forms of exclusions acted as barriers particularly for the poor or marginalised, making it difficult for them to take part in the city's economy thus leading to the mushrooming or establishment of informal settlements.

4.2.2. Spatial Planning after 1994 (status quo)

The post-apartheid government inherited engrained social and spatial iniquities. The government recognised that it needed a well-coordinated approach to address the institutional weakness that influenced spatial planning. As such, a spatial targeting approach was needed to address deep-rooted inequalities. Figure 5 below depicts the spatial changes that the CoJMM has experienced from 1995.

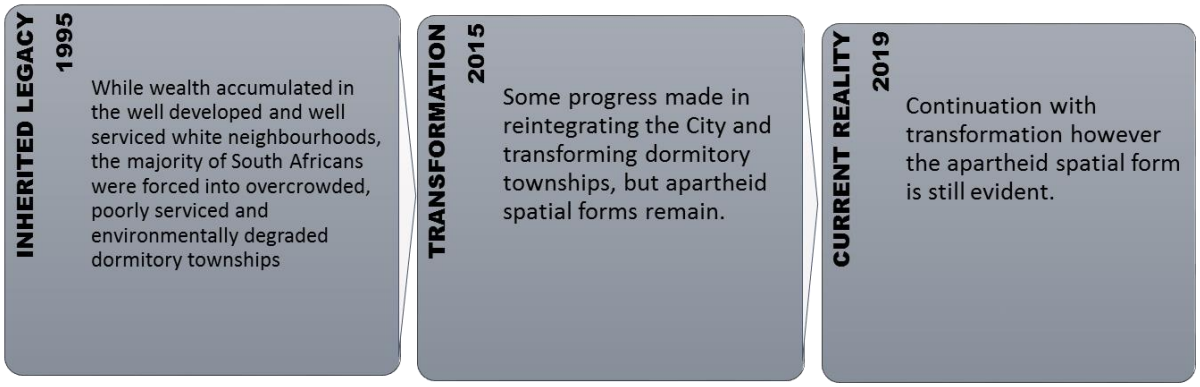


Figure 4. 2: Transformation of CoJMM (Source: Author's own, 2019)

Spatial transformation does not happen overnight, it is complex and many factors have to be considered in the process. Figure 4.2 tells a story of spatial transformation in the CoJMM and the status of the municipal landscape to date. It is clear that the inequalities rooted in the municipality are deep and that it will take a long period to redo. Over the past 22 years, the City of Johannesburg has continuously reinvented itself and its strategies have laid the ground work for each shift. It started with the iGoli Plan of 2002 where the municipality was striving to distribute services to its residents equitably. This was later topped up with the Johannesburg

Growth Development Strategy (GDS) 2030 which focused on economic and human development.

The approach required the national government to introduce social and economic redistribution policies to allow municipalities to reallocate resources from the urban economy to fund service delivery in rural and marginalised areas. The national government first introduced RDP as an overarching reconstruction programme aimed at introducing social-economic policies to eradicate legacies of apartheid. The White Paper of Land Policy 1997 came second, and was aimed at restitution and redistribution, promoting the equal right to land ownership. Thirdly, the Growth, Employment and Redistribution (GEAR) was introduced; it was aimed at implementing laws and programmes that would improve the economic condition of the marginalised (Kloppers and Pienaar, 2014:43).

4.2.2.1. Reconstruction and Development Programme (RDP)

In the context of addressing spatial injustice, the RDP was based on an integrated approach in linking the infrastructure programme to efficiency, providing bulk infrastructure such as electricity, housing, water, health, and education to all citizens (Mosala, Venter and Bain, 2017:333). Faced with these challenges, the government introduced area-based initiatives to enhance the living conditions of marginalised groups within the township. Apart from providing electricity, health service and education, the provision for housing to marginalised groups was a major challenge. The RDP housing programme funded by the government in 1994, aimed at providing decent, well-located, and affordable housing to all by 2003 (RDP White Paper 1994). By 2009, 2.6 million houses were built. However, the supply of the formal houses within the municipality failed to keep up with the population growth, consequently resulting in mushrooming of backyard dwelling (Todes and Turok, 2018:45). Adding up to the existing housing backlog challenge in the CoJMM. The success of RDP was based on creating a social welfare system in which the government could cater to the needs of the elderly, children, disabled and foster parenting among others. However, it failed in addressing unemployment and creating economic initiatives. As such, the programme could not empower poor people to sustain themselves independently without relying on the government.

4.2.2.2. Growth Employment and Redistribution (GEAR)

Therefore, the government launched the Growth, Employment and Redistribution (GEAR) programme in 1996 to address the failure of RDP. This programme was designed firstly to balance the macroeconomic condition of South Africa, reducing budget deficits, as well as realising employment creation from economic growth and labour reforms (Katle, 2017:8). The GEAR is a neo-liberal framework which was premised on a capitalist world market economy,

a system which the national government believed would be appropriate for both wealth creation and distribution. The GEAR frameworks were successful in liberating the market and removing trade barriers, but failed to engage and increase the economic participation of the majority of the population into this market economy (Mosala, Venter and Bain, 2017:330). The outcomes of this move from state welfare to the market-driven economy firstly led to an increase in tariffs of basic services for the marginalised. Secondly, the result of wealth creation could not be distributed equitably, but rather, it increased wealth in the hands of the rich. As such, GEAR was seen as a policy for the rich and affluent, and continues to increase the gap between the rich and poor. Other policy directions the government adopted to resuscitate the economy and address growing inequality including Accelerated and Shared Growth Initiative for South Africa (ASGISA), National Development Plan, and Radical Economic Transformation, have yielded no positive results on the economic welfare of the majority of the poor (Mosala, Venter and Bain, 2017:334). It is therefore clear that the government does not have a concrete implementable plan to address growing unemployment and inequality.

4.3. South Africa's move to a developmental local government

Post attainment of democracy in 1994, the new government of South Africa adopted the Constitution of 1996 which aims to create a democratic, united and racially mixed society. Furthermore it promotes the nation's value of human dignity, freedom and equality. This meant that the local government which is believed to be closer to the people, would have to transform and assume a new role of being democratic and developmental to combat exclusion, poverty and underdevelopment. In essence this means become people oriented being accountable and offering people freedom to participate in decision making in issues that affect them whilst promoting economic and social development (White Paper, 1998:17). Legislations such as the White Paper on Reconstruction and Development 0f 1994, Municipal Systems Act of 2000 and the Municipal Service Partnership Policy of 2000 amongst others were established to assist local government to focus on human centred development. This allowed local government to initiate and lead development, to involve and empower its people and also act as a primary link between national government and citizens' of South Africa.

The CoJMM as a municipality in South Africa, adopted the changes brought forth and became developmental through the adoption of the integrated development planning and budgeting which deepens democracy and community participation; introduced performance management systems in order to have a clear view of its constitutional objectives and works closely with its communities to improve their quality of life and also works with various

stakeholders. According to Scheepers (2015: 28) the above mentioned approaches adopted by the CoJMM are believed to be geared towards achieving developmental outcomes.

4.4. CoJMM's approach to SDG 11 for the Inclusive City concept

As articulated in chapter one and two, SDGs are a common agenda worldwide to end poverty and honour human dignity. They are more focused on offering people equal rights to the city to enable them to better themselves. Post-1994 as the country embarked on the journey to reverse the ills of apartheid, CoJMM took the lead with its spatial policies. The municipality approved its first SDF in 2001, guided by the Joburg 2030 Growth and Development Strategy. This occurred in a period where the concept of sustainable human settlements did not dominate the global urban planning agenda. The 2001 SDF embraced the compact city approach through spatial planning tools and policies such as the Urban Development Boundary (UDB), nodal and density policy, and mobility routes policy. To ensure implementation and realization of these spatial policies, the city's capital investment regime was geared to direct investment into the city's nodes and along its designated mobility routes. This was augmented by development objectives for each administrative region and sub-region in the municipality, which were used to inform land use and infrastructure investment decision-making.

In 2015, former Mayor Parks Tau participated in the launch of the Urban Sustainable Development Goals which took place in New York. According to Cartwright and Marrengane (2016:22), Mr Tau reflected his pursuit for new urban identities by framing his strategies in emotive language (e.g. 'Corridors of Freedom') and capturing the imagination of citizens. He offered the hope of a new Johannesburg urban identity that transcended old categories. The "world-class African city" vision encapsulates the aspirations of the SDGs by aiming to create a diverse, vibrant, resilient city in Africa with the potential to uplift its communities. The municipality has continually re-invented itself over the past 25 years with strategies laying the groundwork for each strategic shift from a development model that focused on equitable access to service and spatial transformation. There are various tools that the municipality has developed over time to be able to drive the spatial vision stipulated in the SDFs. Planning and fiscal tools are geared together to support each other to make the implementation of the vision a reality. These can be seen spatially with the projects that have been implemented to date and through IDP public participation.

- Plans, Policies and Budget

The CoJMM has produced a number of policies, plans and frameworks for action in the past 25 years. This informs the work of individual departments and guides operational efforts to improve service delivery. A full overview of all these plans is not appropriate here. Amongst the most important for supporting and driving the inclusive city agenda are the Spatial Development Framework (SDF) and its related regional SDFs; Housing Master Plan (HMP); Integrated Development plan (IDP) and Medium Term Revenue and Expenditure Framework (MTREF). In one way or another, most of these plans cross-reference each other in a way that creates a seamless fabric of strategic thinking. They are all informed by the municipality's core strategy, notably the Johannesburg 2040 Growth and Development Strategy (GDS). The GDS outlines the long-term growth plan of the municipality in detail, describing where and how development should happen. The strategy is engrained in the social and economic transformation agenda to redress the legacy of apartheid. According to Peyroux (2015:564), the GDS frames the Integrated Development Plan (IDP) as the medium-term strategy which translates the objectives into programmes for implementation.

These strategies are aligned and have common objectives amongst which is to build liveable communities. The concept of liveability refers to the collection of different issues reinforced by a common set of guiding principles namely accessibility, dignity, participation, and empowerment which are similar to the principles of a just city. In the context of this research study, the concept translates into the need to upgrade informal settlements which can be achieved through provision of key infrastructure (i.e. water, sanitation, electricity etc.) which preserves human dignity. Building liveable communities in the context of the CoJMM translates into one outcome which focuses on advancing the quality of life. The municipality measures this outcome using a number of indicators found in the SDBIP.

In 2016, the CoJMM adopted an SDF 2040 with the core objective of creating a spatially just city, as described by Fainstein (2010:8). The spatially just city resonates with the inclusive city concept by echoing the importance of access to equal opportunities by residents grounded by the principles of equity, access, and participation. The SDF defines an inclusive city as one where service provision and access to opportunities is balanced across different social groups whilst promoting a social mix with diversified land uses. The main emphasis of the plan has been to create sustainable housing environments by providing bulk infrastructure and the upgrading of informal settlements. In doing so, the municipality is still reliant on the directive from the national policy (Breaking New Ground, the National Development Plan, National Development Outcome 8, and the National Upgrading Support Programme). A substantial amount of funding has been invested in providing basic services and improving infrastructure

in areas like Soweto and other marginalised areas. Projects and programmes relating to formalisation of informal settlements have been established as a way of implementing the SDF, however it has taken several years to set up the necessary components to bring through the goals of the SDF, and a few strategies are yet to be created. Hence, the analysis can be regarding as premature.

Out of all, the plans that exist in the municipality, the MTREF is one of the most critical that indicates the location and types of projects approved for implementation. It is a financial plan that supports the strategy emphasised by the SDF and the GDS. CoJMM has sources of funding for capital projects, however intergovernmental transfers also known as conditional grants are mostly used to finance projects relating to informal settlements. Three grants have been identified: first, the Urban Settlements Development Grant (USDG) which is aimed at alleviating the proliferation of informal settlements. It was established in 2011/12 as a replacement of the Municipal Infrastructure Grant (MIG) which focused mainly on the provision of bulk infrastructure to the poor. Complementing the USDG is the Human Settlement Development Grant (HSDG) used to fund internal infrastructure for housing projects. Another sources of funding for informal settlements is the Local Government Equitable Share (LGES) which plays a significant role in funding poor households (National Treasury, 2012:10). Revenue generated by the municipality from rates and taxes; traffic fine and permits; basic services and interest earned on investments are also used to fund informal settlements.

To ensure alignment of plans, budget, and reporting, the CoJMM uses a capital budget planning and prioritisation system called JSIP (Johannesburg Strategic Infrastructure Platform). The system assesses capital projects against the strategic vision and priorities of the municipality. It is a GIS based system which uses the SDF and GDS to align projects to the municipality's business plan. Assessment of municipal capital budget over the past ten years indicates that there has been consistency with the GDS and SDF objectives where budget is spread over strategically targeted investment areas as identified in the SDF, such as TODs, marginalised areas, and informal settlements.

4.5. Conclusion

This chapter discussed the inclusive city agenda in CoJMM, focusing on how it is understood and interpreted in policies, plans and frameworks of the municipality. Background information about the history of CoJMM is scrutinised in order to comprehend the needs and benefits of an inclusive city. The chapter proceeded to identify ways in which the inclusive city agenda is financed in CoJMM and how this could in turn be related to localisation of SDGs.

CHAPTER FIVE: FINDINGS AND ANALYSIS

5.1. Introduction

This chapter presents the financial tools evaluated in implementing the inclusive city agenda in CoJMM. There are three section covered within this chapter. The first discusses the application of principles of social justice as discussed in the literature review on informal settlements. The second section examines the approach to financing informal settlements in the CoJMM which answers the main research question and the first objective. The section further scrutinises the capital budget allocation towards the formalisation of informal settlements over a period of ten years (2009-2019) to identify the progress or failure of housing delivery. The last section provides institutional barriers that exist and that hinders the achievement of building an inclusive city in the CoJMM.

5.2. Upgrading of Informal Settlements as a Strategy for Building an Inclusive City

Informal settlements upgrading and housing development is an important process in solving urban poverty, growth of informal settlements, illegal squatting, inequality and unhealthy living conditions on a big scale (Nassar and Elsayed, 2018:239). It is therefore recognised as one of the interventions aimed at creating inclusive cities. The CoJMM, just like all the other metropolitan municipalities, considers the proliferation of informal settlements as a serious urban challenge seeking urgent attention, and as such, it has been placed as one of the mayoral priorities since 1994. This form of housing has been mushrooming over the past 20 years, such that there are currently over 190 such settlements within the municipality (CoJ, 2018:10). The growth of these settlements is a symptom of the growing housing crisis in CoJMM. To address this urban challenge, the municipality adopted the informal settlements upgrading approach which entails provision of bulk infrastructure (i.e. water and electricity); security of tenure and provision of shelter. In so doing the municipality will be empowering its people, enabling them to contribute positively to the economy while strengthening social contracts. Becoming inclusive means creating equal societies which lays a foundation for empowerment.

Upgrading of informal settlements has been perceived as an appropriate brownfield strategy towards eradicating informal settlements whether through relocation or upgrading existing structures (in-situ) and environment. Taking a glimpse at the past, in-situ programmes provides phased upgrading, beginning with basic services and possibly ending with the provision of a top structure. Department of Housing within CoJMM is the custodian of housing related matters. However other departments such as Development Planning, Finance, and

Infrastructure (Joburg Water, City Power etc.) provide support to ensure that sustainable and habitable settlements are built. Although housing is a function from the National and Provincial Department of Human Settlements in South Africa, municipalities are implementers and receive guidance from the above mentioned department to execute their duties accordingly. This means that the CoJMM uses the National Support Upgrading Programme (NSUP) for the fast tracking of informal settlements upgrading and stimulate the development of a viable local economy in areas that require attention of upgrading through public-private partnerships and strengthening law enforcement. At metro level, Cosmo City is one example of upgrading such settlements into sustainable housing developments and integrated with economic activities for residents of different income brackets. Although there are a number of stakeholders involved in the NSUP, the municipality has contributed to establishing the programme and continued to enable development through a hundred million investment in infrastructure (Cities Alliances 2006:15).

Informal settlements upgrading in CoJMM aligns with some of the indicators derived from the UN-Habitat in the World Cities Report 2006/7 namely: durable shelter; adequate living space; safe water; sanitation; waste collection; and security of tenure from any arbitrary eviction (UN-Habitat, 2007). If the CoJMM is measured using the above mentioned indicators, smaller pockets of the municipality will be described as informal settlements with different levels of deficiency.

5.2.1. Principles of Social Justice (Equity, Diversity and Democracy)

As highlighted in the literature review, an inclusive city comprises justice, equity, democracy and diversity in city formation. When we speak of an inclusive city, we are referring to a just city where regulation favours the poor or marginalised with an aim creating an equal society and affording equal social and economic opportunities to all people irrespective of their race, belief, religion, and economic status (Fainstein, 2010:62). In the process of building an inclusive city, it is thus considered an injustice to exclude the politically and economically weak from accessing housing, employment and other services that improve their lives. It is critical for development strategies and policies to incorporate pro-poor agenda, economic growth, and investment strategies to support inclusivity in urban planning. Proper representation of the marginalised group in the decision-making processes is also important for shaping the spaces and the city. Speaking to respondent A5 about the principles of social justice in an inclusive city, emphasis was made on rights to the city. This was said:

> "…. we have the best interest of people living in informal settlements, thus each year, there is budget allocation towards improving the lives of people

living in marginalised areas. We have ensured that through the use of JSIP guided by the SDF".

The marginalised areas are indicated in the SDF part of the capital investment priority area (see figure 5.1 below). Yellow colour represents marginalised areas whereas the green colour is transformation zones.

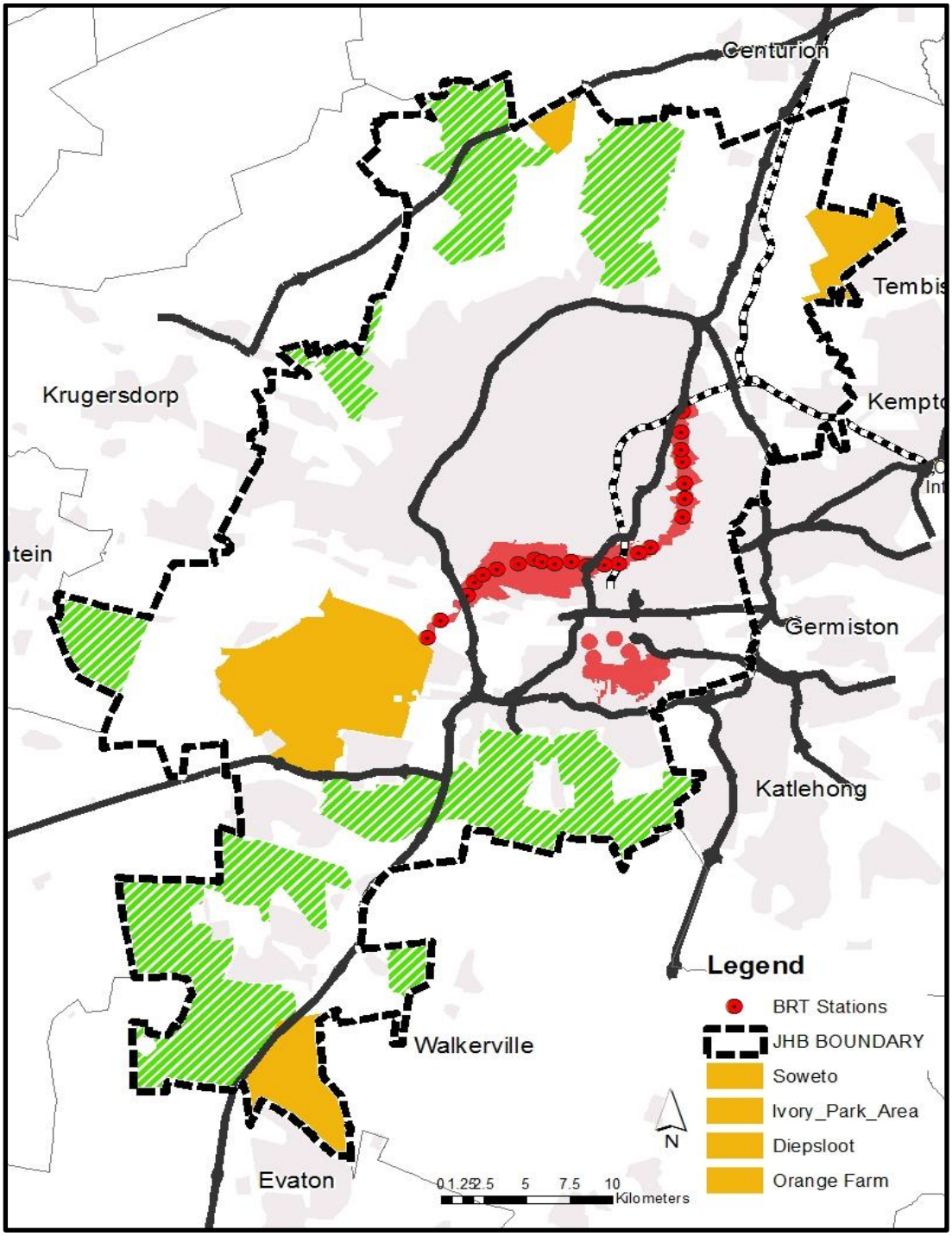


Figure 5. 1: CoJMM Capital Investment Priority Areas (Source: SDF, 2016)

In the last ten years, the housing department within the CoJMM implemented its housing mandate as guided by the Breaking New Ground and human settlements policies. However, with the adoption of Agenda 2030, the CoJMM's response to housing matters, particularly informal settlements proved to be yielding little results. The studies conducted by the City Support Programme (CSP) from the National Treasury reveal that housing strategy needs to be more commanding in terms of driving the growth of settlements within the municipality. It must not be a strategy or a plan that driven by crisis meaning provision of housing is done only when there is a crisis like of upgrading informal settlements which were not planned. The Upgrading of Informal Settlements programme (UISP) grant established in 2018, requests that metropolitan municipalities develop a housing strategy indicating amongst others the detailed plan or approach to upgrading the existing informal settlements (DoRB, 2019:225). This is a way of assuring National Treasury that the grant will be spent accordingly and the municipality is ready. The CoJMM has developed a housing strategy, however it has not yet been approved or adopted by council. The strategy aligns to the concept of an inclusive city promoting social, economic, and spatial justice. Respondent B1, indicates how the strategy will transform the housing trajectory. He mentioned that informal settlements in well-located land will be upgraded with the assistance of the National Upgrading Support Programme (NUSP).

5.2.2. Financing Informal Settlements in CoJMM

Finance is one other critical part of planning, which enables a plan to be implemented. The CoJMM has a funding model used to fund its expenditures coupled with different financing tools designed for specific projects. As expressed by respondent A3 (8 October 2019), the model allows for the municipality to fund its needs only when they are aligned to its policies and the business plan. This means that mayoral priorities are first translated into programmes, then projects as per line department or municipal entity. In 2011, the municipality identified 180 informal settlements to be upgraded with no deadline (IDP, 2011) whereas in 2018 the IDP review stated that there are 190[1] informal settlements. This shoes that there has been an increase in the number of informal since 2011 however it is not clearly indicated in numbers. Table 5.1 below indicates the targets set forth by the CoJMM and actual targets achieved in upgrading informal settlements for a specific financial year. According to Del Mistro and Hensher (2009:338) "upgrading" can be approached in two ways, either *in situ* or total redevelopment. *In situ* upgrading entails progressive improvement to housing delivery. This

[1] This number is based on data collected by CoJMM and is subject to differ from data collected by external agencies dealing with informal settlements. The municipality has a way in which they prefer to record their informal settlements to ensure accountability and plan for them with minimum challenges.

means addressing basic health needs, catering for the social and cultural norms of the community at a convenience to the community.

Table 5. 1: Number of Informal Settlements upgraded each year in CoJMM (Source: SDBIP, yearly from 2011-2019)

SDBIP Indicator: Number of informal settlements upgraded		
Financial year	Target	Actual
2011/2012	63 over 5 years	8
2012/2013		11
2013/2014		7
2014/2015		19
2015/2016		18
2016/2017	10	??
2017/2018	10	23
2018/2019	10	20

Table 5.1 above indicates the number of informal settlements targeted for upgrading over a period of eightyears, as per the yearly Service Delivery Budget Implementation Plans (SDBIP) of the CoJMM. There are 93 informal settlements targeted for upgrading from 2011 to 2019 with 12 informal settlements targeted yearly from 2011 to 2015 and 10 of them from 2016 to 2019. The municipality has managed to upgrade 106 of them as per table 5.1, which reflects over achievements although in the first 3 years there was underperformance or failure to meet the set targets. The number of informal settlements indicated in the SDBIPs deviates to the number indicated in the 2018 IDP. This causes confusion in terms of which data is valid. It is understood that the SDBIP is the management tool which links each service delivery output to the budget informed by the IDP. Such reporting in the SDBIP which is a requirement by the Municipal Finance Management Act (MFMA) 56 of 2003 could mean that the municipality at that time could only afford to upgrade 93 informal settlements although they identified over 190 in the 2018 IDP review.

Respondent B4 indicated that the SDBIP is used to hold management accountable for their performance on service delivery thus always advising municipalities to link their targets to the budget to be able to account for the spending thereof. This however does not have to limit them from sharing information of what is happening on the ground i.e. the backlogs and demands of services by communities. This response could possibly be used to understand the deviation of the numbers provided in the IDP and the SDBIP. In the 2016/17 financial year,

there was no indication of the number of informal settlements upgraded by the municipality, however, there was an indicator that stipulated the number of informal settlements provided with electricity. In that instance it was not factored in to table 5.1. This finding brought forth a need for more clarity in terms of how the CoJMM defines upgrading and what it entails. Most of the respondents often emphasised the issues around definition. According to Respondent A5:

> "CoJMM's council identifies and approves a list of informal settlements on the basis that they are located within the CoJMM's owned land thus making it easier to upgrade or formalise"

This basically means that those located on private land are not prioritised, given the challenges they bring forth, such as land acquisition. Respondent B4 further indicated that according to the CoJMM the process of upgrading entails three phases: Phase one entails public participation with local residents and stakeholders to unitedly draft layout of the envisioned settlement and provide inputs on how the provision of services can be rolled out. Phase two includes basic services and access to communal standpipes and sanitation in various forms (i.e. ablution blocks, Ventilated Improved Pit (VIPs)). Phase three entails the actual work of installing bulk infrastructure and communal basic services such as standpipes, Ventilated Improved Pits and ablution blocks which includes basic services in line with municipal entities (e.g. Joburg Road Agency, Joburg Water, and City Power) standards. Once an informal settlement passes all the above mentioned phases, it will be recorded as upgraded. With that being said, the information captured in table 5.1 with 106 informal settlements, proves to have under gone the three phases, hence they are recorded in the SDBIP which gets audited. Despite the definition of upgrading as provided above, CoJMM recognises various indicators used per phase such as provision/availability of bulk infrastructure (water, electricity, sanitation) and settlement layout to measure progress on upgrading. This enables the municipality to be recognised for their efforts in addressing the challenges brought forth by informal settlements.

In financing informal settlements, the municipality uses the capital budget as a budget used to fund infrastructure projects with a time frame. Although the focus is on informal settlements upgrade, the goal cuts across different departments. The housing department uses various programmes to implement housing projects across the municipality, such as affordable housing, security of tenure and the upgrading of informal settlements amongst others. These programmes are allocated capital budget which is divided amongst various projects for implementation as captured on JSIP to compete with other projects for funding - projects such as water connections, electrification of sites and tarring of roads amongst others within a particular informal settlement.

The housing mandate cuts across various departments. This calls for interdepartmental planning within the CoJMM, creating an opportunity to increase potential returns of an investment made on certain housing projects/programmes. According Respondent B1, intergovernmental relations is important in addressing informal settlements as it enables various departments, municipal entities, provincial and national departments to work together, making the implementation of housing programmes and projects a success. Figure 5.2 below depicts the capital budget of the CoJMM over a ten-year period which tells a story of the financial standing of the municipality.

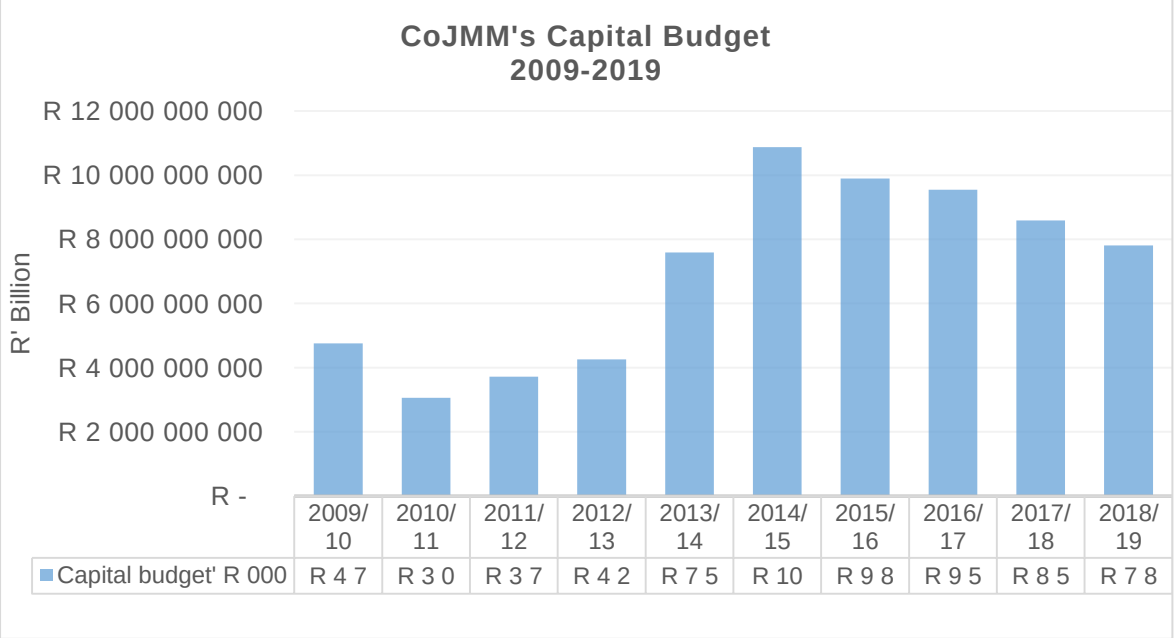


Figure 5. 2: CoJMM capital budget 2009-2019 (source: CoJMM MTREF, 2019)

Over the past ten years, the CoJMM's capital budget grew annually from 2010/11 to 2014/15 by more than R1 billion. According to the MTREF (2012:45), this occurs due to growing demands of services and backlogs that needed to be addressed, as well as the ability of the municipality to collect revenue through taxes (rates, traffic fines, interests on investments, etc.). However, the budget allocation for 2009/10 was high due to the CoJMM's improved ability to source capital finance. This means being able to get external funding in the form of investors. In 2015/16 and 2018/19, there was a slight decrease in capital budget due to changes in strategic focus and the inability to collect revenue based on price increases of electricity, and community members being unable to pay their rates and taxes, especially in the townships (IDP, 2017: 43 and MTREF 2017).

As the population keeps growing in the CoJMM, it becomes harder for the municipality to deliver services to all its residents while also collecting revenue. For this reason, innovative

ideas by the municipality are critical to attract investment and external funding to finance its expenditures. National Treasury as the central government of South Africa plays a critical role in assisting municipalities that are in financial distress through the allocation of grants and the Local Government Equitable Share (LGES). Figure 5.3 below indicates sources of funding that the CoJMM utilises for its capital projects. The illustration below tells a story of the municipality's financial capability. According to Respondent A3, for a municipality to be financially stable, the revenue generated must be higher than all other sources of funding. This means that the CoJMM must continually derive innovative ways to generate revenue to assist in funding its expenditures.

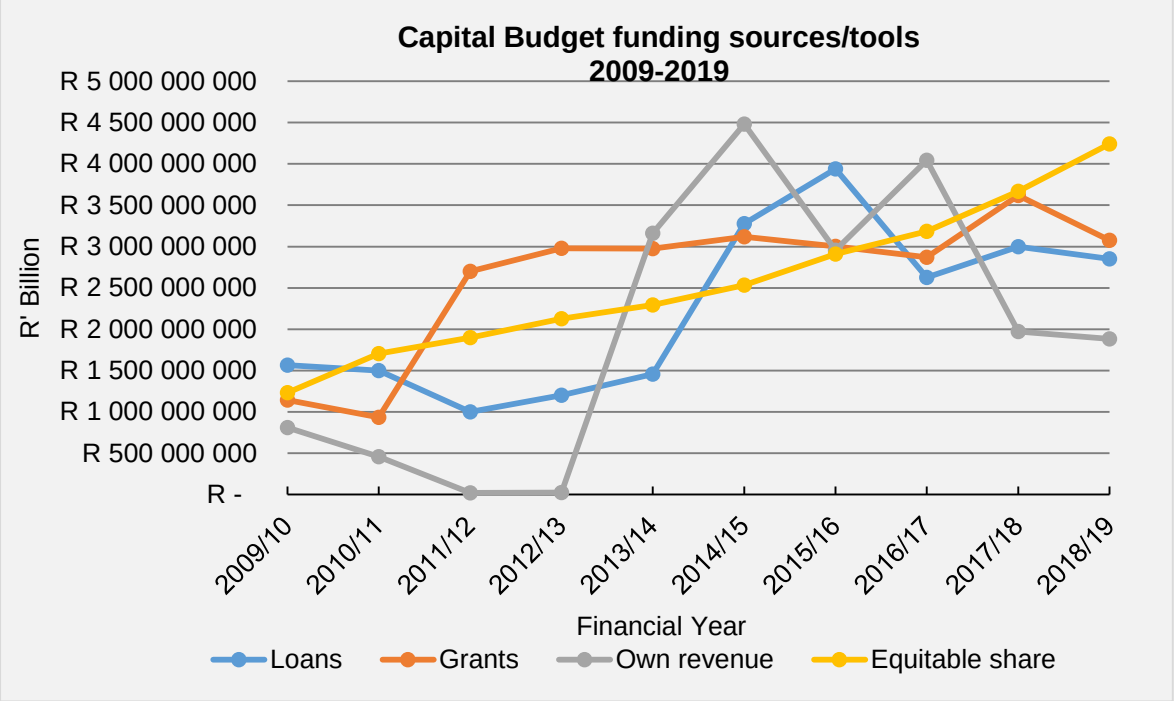


Figure 5. 3: Capital budget funding sources (source: CoJMM MTREF, 2019)

Figure 5.3 is a representation of the CoJMM's various sources of capital funding which make up the capital budget. It also shows the versatility and ability of the municipality to attract investments and its ability to loan money from financial institutions. In the past ten years, the CoJMM has had an unstable financing model as illustrated by Figure 5.3 above. In the first four years, the municipality was dependent on grants and the local government's equitable share, which means that without those allocations from National Treasury, the municipality would be extremely challenged in delivering services to its people. In 2013/14, the financial standing of the CoJMM improved due to an increase in revenue collection. However, from 2017/18 to 2018/19, the allocation for equitable share increased by approximately R1.5 billion

which according to the LGES formula[2], means that the CoJMM's population increased, and so did the demand for basic services. Looking at the rate at which things are going, LGES allocation for the CoJMM will continue to increase until there is such a policy that controls immigration.

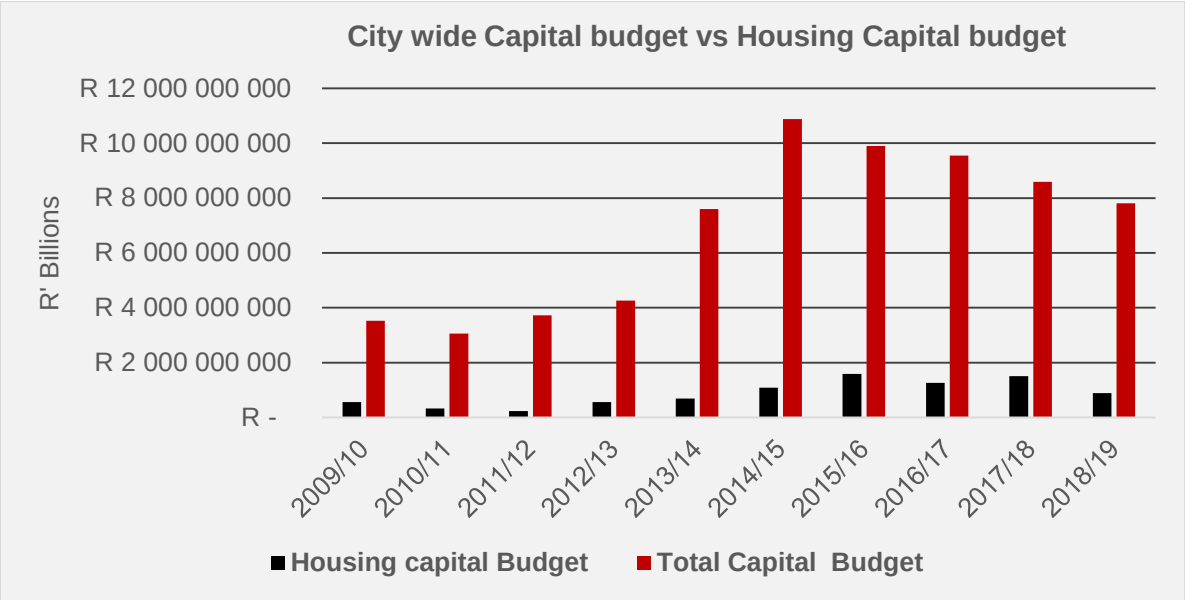


Figure 5. 4: Capital budget allocation to Department of Housing (source: CoJMM MTREF, 2019)

CoJMM's capital budget is divided amongst 16 departments and 12 municipal entities[3]. In analysing the municipality's MTREF, Department of Housing is amongst the top three departments that receives the highest budget allocation each financial year. This is because most of its capital funding is from grants. Figure 5.4 reveals the municipality's commitment towards addressing housing backlogs. Since 2011/12 there has been a steady increase of capital budget allocated to the housing department. According to Respondent B1, the above mentioned increase relates to the introduction of the USDG. This grant was introduced as a supplementary capital allocation to metropolitan municipalities aimed at improving access to basic services through provision of bulk and reticulation infrastructure and 50% of the grant directed towards households living in informal settlements. Accordingly this increase was supposed to have been seen through the improvement or decrease in the number of informal settlements, however, that is not the case in the CoJMM. This can be further explained by

[2] *LGES=BS+ (I+CS) x RA±C* where **BS** is the basic service, **I** is the institutional component, **CS** is the community service, **RA** is the revenue adjustment factor, **C** is the correction and stabilisation factor (National Treasury, (2012:24).

[3] City power, Joburg water, Joburg Road Agency, Joburg Development Agency, Joburg Property Company, PikitUp, Joburg Social Housing Company (JOSHCO), Joburg Market, Metro Trading Company, Metrobus, City parks & Zoo, Joburg City Theaters.

figure 5.5 which shows a percentage split of funds from the Department of Housing's capital budget directed towards upgrading of informal settlements.

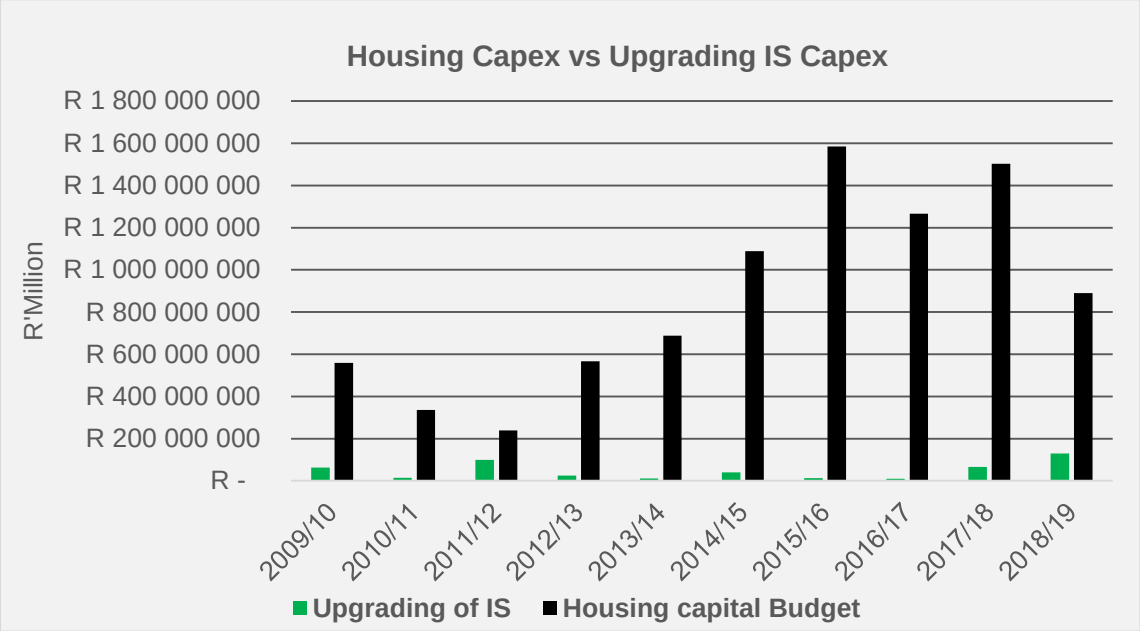


Figure 5. 5: Housing capital budget allocation towards informal settlements upgrading programme (source: CoJMM MTREF, 2019)

Since informal settlements upgrading is one of the housing mandate, a certain allocation is made directly from the Department of Housing in the CoJMM. Figure 5.5, indicates funds that the Housing Department has apportioned from their capital budget towards the informal settlements upgrading programme. At first glance, one would assume that less attention is placed on upgrading, overlooking other housing programmes that the municipality is also prioritising. The municipality allocated approximately R470 million (5% of the housing capital budget of R8.7billion) for upgrading 190 informal settlements over the 10 year period. This shows that the municipality is committed to addressing this issue however according to one of the respondents, there are many barriers encountered throughout the process of upgrading. However, the level of commitment is questionable as shown in figure 10 with fluctuating allocations each year. According to Respondent A4, this is caused by some of the institutional challenges such as land availability and grant conditions amongst others. Land availability is one of the critical challenge that is impeding the CoJMM from addressing the backlog in upgrading of informal settlements. Some of the grant conditions, specifically those mentioned in the USDG framework are considered to be very stringent. One of the condition indicates that communities must plan their township, which according to Respondent A4 it has a tendency of being lengthy thus delaying the process of housing allocation or upgrading.

Municipalities are expected to spend the entire budget (particularly the grants) allocated for that specific year as a sign of competence and to be able to secure more finance in the future.

This expectation according to Respondent A4, leads to smaller portion of the capital budget within housing department being allocated to informal settlements programmes or projects. Most informal settlements in the CoJMM are located on either private or government land unsuitable for development, delaying the implementation process and the budget spending. In 2013/14 and 2015/16 financial year, 1.7% and 1% of the housing capital budget, was allocated to upgrading informal settlements respectively. This means that less focus was placed on upgrading, or perhaps other components of upgrading where applied in pursuit of addressing the challenges thereof. It is imperative to remember that upgrading entails three phases as indicated in page 52. Failure to complete the three phases means the informal settlement is not upgraded but it does not mean the lives of people in those settlements have not been advanced. From the 2017/18 to 2018/19 financial year, there was an increase in allocation for informal settlements upgrading as the National Treasury, through Circular 88, required that metropolitan municipalities report on upgrading of informal settlements given that they are in receipt of the USDG. Figure 5.6 below gives a detailed focus on the budget allocation for upgrading of informal settlements.

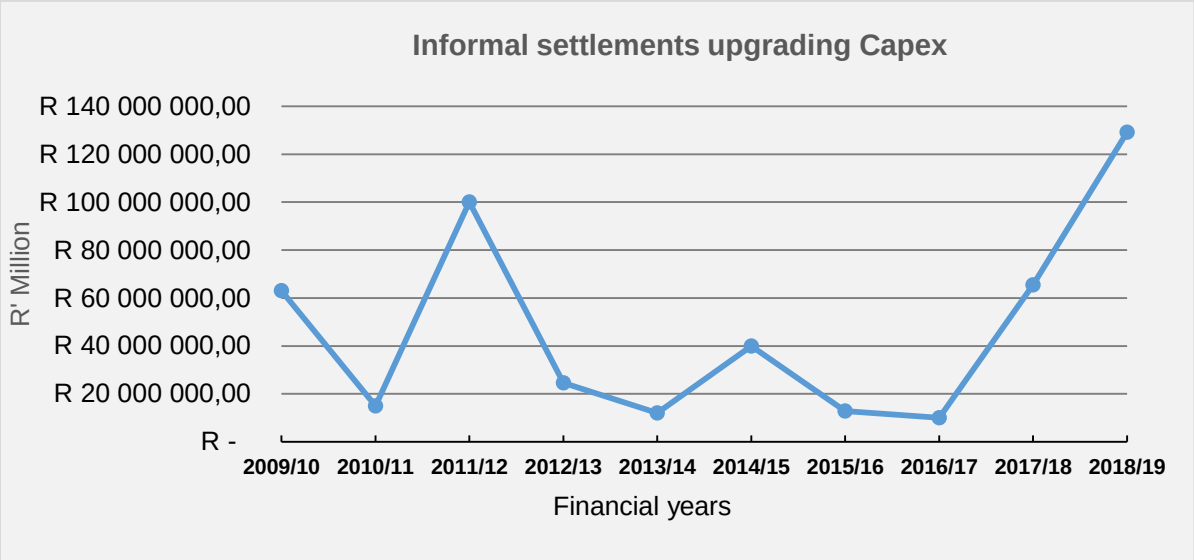


Figure 5. 6: Detailed Capital budget for informal settlements upgrading (source: CoJMM MTREF, 2019)

Figure 5.6 is a representation of the municipality's capital budget allocation towards the upgrading of informal settlements. It shows the trend of the capital budget over a ten-year period. 2012/11; 2013/14; 2015/16 and 2016/17 financial years indicate a budget allocation less than R20 million, which according to Respondents A5 and A1, was affected by changes in priorities of the municipality and events happening in South Africa affecting the economy. For example, in the 2010/11 financial year, the municipality was prioritising the 2010 Soccer World Cup, where most of the capital budget was geared towards infrastructure (new and old)

to boost the municipality's ability to host international events. From these responses, it becomes clear that there was a shift on targets set by the CoJMM, leading to failure on achieving targets for informal settlements. In 2013/14, the focus shifted to corridors of freedom as a way of making public transport more efficient. In 2015/16 and 2016/17, CoJMM was led by the Democratic Alliance (DA), Mayor Mashaba. His administration made some changes on municipal priorities, placing less focus on corridors of freedom and more focus on the Inner City and *Diphetogo* which is a Sesotho word for transformation.

The aim of doing this as indicated in the 2018/19 IDP was to improve the experience of the CoJMM residents by rising service delivery standards. This new change also translated into the municipality's budget, with more money allocated to projects aligning to the new priorities. The focus on addressing informal settlements remained a priority. This can be seen with the increase in the capital budget allocation from 2016/17 to 2018/19. Informal settlements are not only a municipal issue, but also a provincial and national government issue in South Africa. The CoJMM receives financial assistance from the two aforementioned governments in the form of grants. The Human Settlements Development Grant (HSDG) and Urban Settlements Development Grant (USDG) as depicted in figure 12 below are infrastructure grants geared towards achieving outcome 8 of the national government which is about building sustainable human settlements and improving the standard of living. They are recognised in the municipality's IDP as key sources of funds for housing specifically.

This means a portion of each grant must cater to informal settlements. The aforementioned conditional grants have certain conditions that must be fulfilled by a municipality. HSDG is an indirect grant administered by Department of Human Settlements at a provincial level from National Treasury. The allocation is divided amongst the municipalities within a particular province to address housing related issues. USDG is a direct grant from National Treasury to metropolitan municipalities to enhance the capital revenues in order to support the National Human Settlements Development Programme that focuses mainly on poor households. Some of the outputs of these grants are providing basic services in informal settlements, and land for upgrading or relocation. According to Respondent C1, USDG is good in forcing cities to direct funds to poor areas and close the gap in terms of funding for infrastructure.

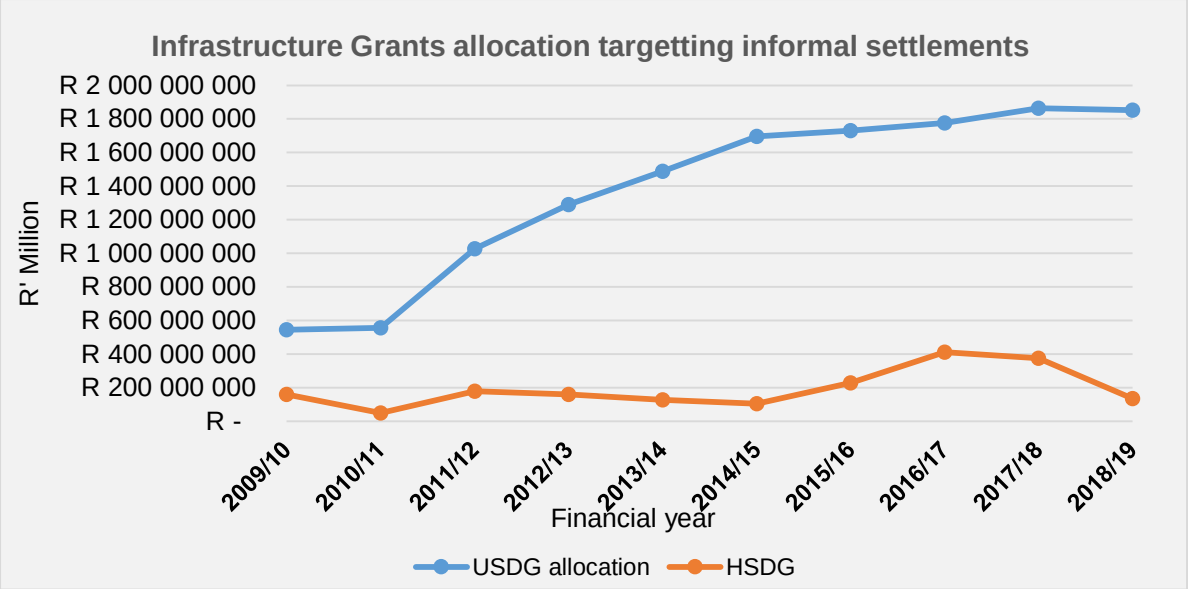


Figure 5. 7: Infrastructure grants for informal settlements upgrades (source: COJMM MTREF, 2019)

Figure 5.7 above shows the USDG and HSDG allocation for the CoJMM over a period of ten years (2009-2019). USDG allocations have been increasing as the national government has been providing vast financial support to metropolitan municipalities in addressing housing issues, however the issue of informal settlements, along with the grants conditions imposed as per the interviews with Respondents A5, B4 and A1, are proving to be more challenging to address. They all agree that the unavailability of strategically located land for relocation as well as in-situ upgrades are challenges that portray the CoJMM as incapable of addressing its housing issues. The municipality currently has over 190 informal settlements, despite the attempts made each year to upgrade some of them (Respondent A5, 2019). This indicates deficiency in the municipality's approach to informal settlements upgrading.

The above findings indicate that the CoJMM has adequate policy in place supported by a mix of financial tools to enable implementation of strategies to address informal settlements. The ability of the municipality to attract external funds and grants shows the eagerness in changing its status quo regarding the housing backlogs. Although there is funding made available from various departments that compliments the day to day work of housing, it is however a small portion directed towards upgrading of informal settlements. This makes it impossible for the CoJMM to upgrade over 190 informal settlements in a period of 8 years. This becomes even harder when applying the CoJMM definition of upgrading which strictly requires an informal settlement to undergo all 3 phases before it gets recorded as upgraded. Making the municipality look as if there is little progress made. This finding does not discredit efforts made by the municipality in a sense of creating a habitable environment for informal settlers. Besides upgrading as per the definition provided on page 52, the municipality continues to provide

electricity, water, sanitation and other bulk infrastructure in informal settlements which is part of the upgrading process yet not having completed all the phases. The municipality has done so by proving 52.8% of households living in informal settlements with access to sanitation and 100% with access to water (IDP, 2017). It is critical that when analysing the municipality's progress towards upgrading to consider various factors such as definition of upgrading by the municipality as well as other efforts pursued to counteract the stumbling blocks that may exist.

5.3. Institutional Barriers

CoJMM is building itself towards becoming an inclusive city. However, the journey is not smooth sailing given the various dynamics that exist within the municipality. Often, these dynamics act as blockages that are challenging to overcome. Dynamics such as administrative stability impacts negatively on the municipality. As narrated by most of the respondents from CoJMM, a mutual understanding of the term "inclusive city" is critical for the achievement of SDG 11. The interviews conducted with respondents from CoJMM reveal a common understanding of the term in relation to their-day to-day roles and functions within the municipality. In their own definitions, they all indicated basic principles of human dignity, equality and sustainability which are key for social cohesion. This already shows that the municipal officials are familiar with the SDGs and their roles in its implementation. The challenges faced by CoJMM in becoming more inclusive are not unique but similar to those of other metropolitan municipalities in South Africa as they all experienced the apartheid era which is the root cause of social and spatial exclusion.

5.3.1. Funding Deficits

Funding is an issue in CoJMM as demands for services keep increasing beyond what the municipality can afford. It has been indicated by the National Treasury that the national envelop is shrinking, affecting grant allocations to municipalities. However, CoJMM has been advised to explore other sources of funding for its expenditures. Funding deficit is an institutional barrier that makes it challenging for the municipality to address all its issues and creates backlogs on service delivery. Respondent A2 reiterated a lack of enough capital budget and logarithm in the Johannesburg Strategic Infrastructure Platform (JSIP) to elevate and prioritise the upgrading of informal settlements located outside strategic target investment areas. Ineffective intergovernmental relations also worsen the municipality's issue on infrastructure backlog, hence the City Support Programme (CSP) from National Treasury is assisting municipalities in building transparent and effective relations with provincial departments to form joint planning which will enable both parties to spend strategically and save where possible.

5.3.2. Administrative Capacity

Administrative capacity is critical to the operation of an institution. It enables an institution to achieve its vision or mandate. It can manifest in many ways i.e. human resources, structures, systems, and overall governance. Limited administrative capacity creates barriers towards implementing reforms or restructuring of the city. In terms of governance, CoJMM as a municipality cannot be isolated from politics. In 2015/2016, the CoJMM experienced a change in leadership for the first time when the Democratic Alliance (DA) won the municipal elections. Since 1994, the municipality has always been under the leadership of the African National Congress (ANC). Political parties in South Africa are well-known for competing against each other and when given an opportunity to lead, they often override efforts of the previous party. In the case of CoJMM, a change in leadership translated into a change in vision which can be attributed to administrative dynamics. For instance, during the period of Parks Tau as the Mayor, the municipality's focus was on Corridors of Freedom (COF) which aimed at connecting people to places of opportunities and improving the public transport system. COF along with other areas such as marginalised areas and the inner city were recognised as spatial targeted investment areas. This can be seen through the budget allocation made into these areas from 2013/2014 to 2018/2019. In the 2016/2017 financial year the capital budget allocation on COF started declining as a symbol of a change in vision. However, the new leadership shifted the municipal's focus to *Diphetogo* in service delivery. The municipality's slogan also changed from *"*A world-class African city" to "A Joburg that works is a South Africa that works." These changes have already impacted on the vision and direction of CoJMM.

In terms of structures[4] the CoJMM is often caught in planning misalignment with other sectors that are investing in the municipal space such as the Department of Housing, whose mandate is to provide housing. An example is the none-alignment of HSDG and USDG between GDOHS and the CoJMM; they plan separately on similar housing deliverables. This weakens the intergovernmental and interdepartmental planning which has the potential to attract funding for various programmes through project packaging. In simple terms this refers to coordination issues underpinned by political, legal and financial divisions and mostly require political will, vision, shared goals, performance measure etc. Shared vision and goals is one way to gather various planning elements in a single project to tackle various issues and provide a range of opportunities. For example, the creation of dignified human settlements requires a team comprising of various departments such as infrastructure, housing, health, community development and urban management investing in one place to make it more liveable and improved standard of living. Communication amongst national, provincial and

[4] Precise designation of responsibilities, tasks and functions.

local government is important to attain all requirements stipulated in the municipal laws. I concur with Robinson (2008:76), who says that cities have to react to the needs of its communities and assist in achieving equality through redistribution of services and stimulate economic opportunities that accommodate everyone. This makes building an inclusive city attainable.

Resources as a part of administrative capacity enables the municipality to deliver services to its residents, but insufficient resources pose a threat to the implementation process. For example, the CoJMM housing department is confronted with the challenge of accessing land that is located strategically in order to build houses particularly for people living in informal settlements. Respondent A4 noted: there are a number of informal settlements located on private land making it more challenging to acquire such land for formalisation as the municipality enters into complex negotiation with the private land owner. This affects the ability of the municipality in meeting the set target of upgrading informal settlements coupled with the length formalisation process. The prevailing entitlement to land in the periphery and the spread of informal settlements within the CoJMM mean that housing development has in the past years failed to redress the disjunctive spatial patterns set in motion by apartheid planning (Respondent C1 and B4, 2019). I agree with this statement as it reflects on spatial exclusion which led to the movement of people into areas that did not enable them to access economic opportunities without negative financial impact. These people often reside in informal settlements temporarily. Once their settlements are formalised or upgraded they relocate back to their shacks. Some use this as a way to access land for ownership, as land is perceived to be an asset. In addition, Respondent A4 and C4 indicated the need to re-look the conditions contained in the ISUP which have the potential to delay the process of upgrading informal settlements.

5.4. Conclusion

This chapter contains the findings and analysis from the work carried out through interviews and document analysis of the CoJMM. The findings are on municipal funds available or used to finance SDG 11, particularly the concept of an inclusive city. The upgrading of informal settlements is an approach recognized by the municipality as one way to make a city inclusive. This chapter considered the alignment of planning and fiscal tools that addresses inclusivity and also seek to upgrade informal settlements. Furthermore, it discussed barriers faced by the municipality in upgrading informal settlements.

The most important point emanating from this chapter is the alignment between planning, budgeting, and reporting, which enables the municipality to achieve its vision. These three

components translate the vision into budget and indicators to measure performance. Planning, regulatory, and fiscal reforms are critical for addressing the institutional barriers that CoJMM is facing. The findings in this study indicate that the inclusive city concept is broad and realistically attainable at a smaller scale when applying the principles of social justice.

As Nozick indicated in his theory of entitlements, with democracy individuals cannot be prevented from doing what they want with their own property to benefit the less fortunate. It is also evident that building an inclusive city in an already existing city like Johannesburg is a lengthy process which requires stringent laws (social and economic) that are aligned to ensure that the goal is achieved. My findings support the ideas of Fainstein in her book titled the just city. People can only feel included in decision making if they are given equal rights and opportunities. Upgrading informal settlements means giving those communities access to economic and social opportunities which are similar to those living in the suburbs. Above all building an inclusive city is a challenging task to do given that it requires restructuring of the city which impacts on people.

CHAPTER SIX: CONCLUSION AND RECOMMENDATIONS

6.1. Introduction

This chapter concludes the research with a summary of the key findings, answers to research questions, contribution to knowledge, areas of further research and recommendations.

6.2. Summary of Key Findings

This research focused mainly on the inclusive city concept as a component of the SDG 11 in the CoJMM and how it is planned and financed through the local government funding model. This was based on published and unpublished documents together with interviews conducted. It evaluated the funding model of the CoJMM to determine the extent to which the municipality can finance SDG 11 given the widespread discussions around localisation. This was done through using the upgrading of informal settlements as a way of making a city inclusive. There is common understanding of what “inclusivity” means across the three institutions that were selected for the interviews. The definition focused on people and their livelihood. For instance professionals in the finance sector understand inclusivity from the economic perspective in a sense that growing the economy has high potential of improving the quality of lives, whereas a town planner understands it from both economic and social perspective, using space to enable people to take part in spatial planning matters.

As recounted by respondents, planning and budget must align to ensure that a municipality achieves its vision. Often, plans are made without taking into consideration funds to make the plan a reality. The CoJMM has a different story since its spatial plan incorporates a financing strategy. For instance, the SDF identifies areas of potential investments which also includes the formalisation/upgrading of informal settlements and uses JSIP for the allocation of capital budget to projects that fall within those areas. In terms of financing a policy agenda, it is clear that a new policy agenda need to be fitted first in the SDF to be able to receive finances for implementation. The municipality’s funding model comprises of various sources of funding for its capital expenditure ranging from grants, borrowing, own revenue and equitable share. In terms of financing informal settlements the municipality uses a combination of funds such as grants (HSDG and USDG) and its own revenue given that there is hardly enough money to upgrade informal settlements.

6.3. Research Questions

Three sub-questions were derived from the research question seeking to unpack the question at hand so as to address it appropriately. The first sub-question for this research is on the targets that the municipality has set forth to achieve inclusivity through the upgrading of informal settlements. It is indicated in the CoJMM's SDF that the municipality has set a vision of becoming inclusive to accommodate the marginalised and underprivileged population using various mechanisms such as corridors, densification, mixed land uses and community participation to offer people rights to the city as well as access to economic and social opportunities. In simple terms to offer people a choice of where they prefer to live given the existing spatial form of Johannesburg.

The second sub-question speaks to planning and financial tools promoting inclusivity. The aforementioned tools rely on each other to make the municipality functional. Finance is needed to implement plans and policies which are translated into projects and programmes. Findings from the documents analysed show that policies underpinning the inclusive city agenda are good, but there are challenges experienced in the implementation with the conditions that come with the funding sources such as grants, which are sometimes not favourable for the municipality in terms of how the institution is structured.

The last sub-question addressed in the research is on institutional barriers that deters the municipality from becoming inclusive. This has been covered in the findings and analysis chapter where most of the respondents, particularly those who work for the municipality related to the challenges within the institution and it's planning and financing tools. The challenges that the municipality faces to a certain extent can be resolved with intervention from the central government for enforcement and accountability. The National Treasury can influence the planning and reporting of municipalities through holding of grants.

In addressing the main research question, upgrading of informal settlements can be used as a tool to address exclusion, however, there are certain reforms that need to be in place especially in a democratic country like South Africa because not all people will be affected positively by this approach. The upgrading of informal settlements can also be a way of creating safe, inclusive, and sustainable human settlements. Application of relevant financial tools at a municipal level makes it practical to achieve the implementation of SDG 11, but the time horizon needs to be stretched further by maybe by additional 5 to 10 years. Apart from that evaluating the financial capacity of the municipality is important before adoption of any new policy agenda, to check readiness of the municipality should it have interest in implementing new policies. In measuring the financial capacity various components were

looked into to unpack the fiscal situation of the municipality as indicated in the findings chapter. The fiscal situation of CoJMM is good since it is able to collect revenue from services it renders to its residents, borrowing within the norms, which means the municipality has the ability to pay its debts. Lastly there is less dependency on grants. The conceptual framework as indicated in chapter one remains the same as all the components prove to have a relation to the output (Inclusive city). Chapter five of the study indicates the findings which reveal a dependent relationship between plans and finance. This means finance is an enabler, making it possible for the plans to be implemented whereas policies are enforcement levers from a legal perspective.

6.4. Research Conclusion

This research set out to explore various mechanisms used by the CoJMM in funding the upgrading of informal settlements. From the research findings, it is evident that the CoJMM is pursuing the implementation of Agenda 2030. Policies and frameworks of the municipality indicate how the SDGs have been incorporated and aligned to the current plans. SDG 11, in particular as the core focus of this research, is sufficiently covered in the GDS and the SDF which are the overarching spatial polices of the CoJMM. In terms of funding, this means that the sustainable development goals are blended with the developmental goals of the municipality although there are still issues of reporting. The availability of funds makes it easier to implement. Achieving this goal of inclusivity in a municipality like the CoJMM seems like an attainable long-term goal rather than a short-term goal which requires more radical transformation. This research has viewed the upgrading of informal settlements as one other intervention of building or creating an inclusive city. This means that communities in these settlements are excluded in many ways: socially, economically, and spatially, hence they resorted to informality. However, the upgrading of informal settlements is a small scale solution that has the potential to address most of the urban challenges like poverty, unemployment and ultimately, raising the standard of living.

6.5. Recommendations

This research highlighted various planning and financing mechanisms that need to be aligned to address the issue of exclusion to achieve successful implementation of sustainable development goals for communities and cities. It also highlighted the need for joint planning with various stakeholders (provincial departments and state entities) to maximise efforts on the limited budget. Inclusive city is quite broad, and when pursuing such concept, it is important to explain in detail who is to be included and to what extent, because inclusivity has a scale. It can be articulated at a precinct level, which is fair and feasible as opposed to a city scale like CoJMM which has seven regions all with different dynamics and challenges. The

inclusive city goal can become elusive given that different communities want different things, and inclusivity means accommodating everyone irrespective of their religion, beliefs, or any other differentiating factor. In terms of localisation, it is commended that the SDG agenda be integrated into the municipal plans and the indicators be aligned to those of the municipality for accountability and proper reporting. In so doing, there will be seamless process of planning, budgeting and reporting to the National Department who are driving the implementation of the National Development Plan and also avoid duplication of work at the municipal level.

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APPENDICES

Appendix A: Ethics clearance certificate

[redacted]

SCHOOL OF ARCHITECTURE AND PLANNING
HUMAN RESERCH ETHICS COMMITTEE

SCHOOL OF ARCHITECTURE PLANNING

PROVISIONAL CLEARANCE CERTIFICATE
PROTOCOL NUMBER: SOAP072/07/2019

PROJECT TITLE:	Making cities of tomorrow more inclusive: evaluating the fiscal capacity of the City of Johannesburg in realising SDG 11
INVESTIGATOR/S:	Molgadi Ngobeni (Student No: 1758565)
SCHOOL:	Architecture and Planning
DEGREE PROGRAMME:	Master of Science Developmental Planning (MScDP)
DATE CONSIDERED	03 September 2019
EXPIRY DATE:	03 September 2020
DECISION OF THE COMMITTEE:	Approved

CHAIRPERSON B Boshoff
(Dr Brian Boshoff)

DATE: 9/9/19

cc: Supervisor/s: Tsepang Lebza

DECLARATION OF INVESTIGATORS
I/We fully understand the conditions under which I am/we are authorized to carry out the abovementioned research and I/we guarantee to endure compliance with these conditions. Should any departure to be contemplated from the research procedure as approved I/we undertake to resubmit the protocol to the Committee.

Signature

11/09/2019
Date

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Appendix B: Participant information sheet

PARTICIPANT INFORMATION SHEET

Making cities of tomorrow more inclusive: evaluating the fiscal capacity of the City of Johannesburg in realising SDG 11

Greetings

My name is **Mokgadi Ngobeni** and I am studying towards a **Master of Science in Development Planning** in the School of Architecture and Planning at the University of Witwatersrand. I am currently conducting a study on making cities of tomorrow more inclusive: evaluating the fiscal capacity of the City of Johannesburg in realising SDG 11.

The aim of this research is to evaluate the extent which the City of Johannesburg able to finance SDG 11, in particular the target on inclusive cities.

The objectives of this study are therefore to:

- Explore various fiscal tools used by the City to implement the goal of inclusive city.
- Unpack the challenges or barriers experienced by the City in implementing the goal of inclusive city.

I am inviting you participate in the **interview process.** You have been selected to participate in this study based on your work experience and knowledge of the City's Budget process. The interview will take no longer than **one (1) hour** of your time. The interview can be held at your offices or at a suitable location at a time agreed to be most convenient for you. During the course of the interview you will be asked questions regarding the City's budgeting process and its alignment with spatial plans. If you agree, the interview will be **recorded** using an audio recorder and hand written notes.

Please note that your participation is **voluntary and no payment or other incentives will be given for your participation.** You are allowed to answer questions that you are most comfortable with and should you feel uncomfortable with the whole interview, you are allowed to withdraw within two (2) weeks after the interview, in which case the material will be deleted.

Your participation will remain anonymous, and a pseudonym will be used to hide your identity. In the event that I use direct quotations from this interview, please note that your identity will not be revealed. Any information that you share will be kept **confidential** and can only be accessed by me on a **password protected computer**. There are also no foreseeable risks associated with your participation. The research undertaken is **solely for academic purposes** and once completed will be written up into a research report and made available electronically and can be accessed publicly.

If you have questions you may contact the researcher (Mokgadi Ngobeni) at 073 042 6508, 1758565@students.wits.ac.za or Dr Tsepang Leuta (supervisor) at tsepang.leuta1@wits.ac.za

Mokgadi Ngobeni
Master of Science in Development Planning

Appendix C: Consent form

Coding number: ____

UNIVERSITY OF WITWATERSRAND
CONSENT FORM FOR RESEARCH PARTICIPATION

Study Title: Making cities of tomorrow more inclusive: evaluating the fiscal capacity of the City of Johannesburg in realising SDG 11
Student Researcher: Mokgadi Sophie Ngobeni

I am a student at the University of the Witwatersrand, in the School of Architecture and Planning within the Faculty of Engineering and the Built Environment. I am evaluating the fiscal capacity of the City of Johannesburg in realising SDG 11, particularly the target on Inclusive city and I hereby invite you to take part in this study. This form has important information about the objectives of the study, the type of information I need should you agree to participate in the research, and how the information you share will be used.

Why are you doing this study?

You are being asked to participate in a study about making cities of tomorrow more inclusive: evaluating the fiscal capacity of the City of Johannesburg in realising SDG 11, based on your work experience and knowledge of the municipal environment.

The purpose of the study is to understand the nature and extent of funding for SDG11 in the City of Johannesburg Metropolitan Municipality with the focus on inclusive cities. Furthermore, the study explores challenges faced by the municipality in implementing the inclusive cities goal.

What will I do if I choose to be in this study?

You will be asked question in relation to fiscal planning of the City of Johannesburg Metropolitan Municipality.

- My participation will remain anonymous, and a pseudonym will be used to hide my identity.
- I can withdraw permission to use data from my interview within two weeks after the interview, in which case the material will be deleted.
- The researcher may use anonymous quotes in her research report.

- I will not benefit directly from participating in this research.
- All the information I provide for this study will be treated confidentially.
- The study poses minimal risk given that my response does represent the institution I work for.

Study time: Study participation will take approximately 1 hour with one visit
Study location: All study procedures will take place at the participant's work place

What will the researcher do?

- The researcher will take notes and also record the interview which will be stored in a password protected computer for a period of five (5) years and will not be shared with anyone.
- The researcher may quote the participant's remarks in presentations or reports resulting from this work. However a pseudonym will be used to protect participant's identity.

If you have questions, you are free to ask them now. If you have questions later, you may contact the researcher (Mokgadi Ngobeni) at 073 042 6508, 1758565@students.wits.ac.za. Dr Tsepang Leuta (supervisor) at tsepang.leuta1@wits.ac.za.

Consent

I ..... agree to participate in this research project.
I have read this form and objectives of the research have been explained to me. I have been given the opportunity to ask questions and my questions have been answered. If I have additional questions, I have been told who to contact. I agree to participate in the study willingly and will receive a copy of this consent form.

_____ _____
Participant's Signature Date

_____ _____
Researcher's Signature Date

Appendix D: Questions used to guide the interview

INTERVIEW QUESTIONS FOR CITY OF JOHANNESBURG METROPOLITAN MUNICIPALITY

Thank you for taking the time out of your busy schedule affording me an opportunity to interview you, I really appreciate it. As indicated, the interview forms part of a research study that evaluates the fiscal capacity of the City of Johannesburg Metropolitan Municipality (CoJMM) in realizing SDG 11. Before we begin please note the following:

- The interview will not be more than 1 hour.
- It will be recorded
- Anonymity is guaranteed and the write-up will not implicate you in anyhow.

The purpose of this interview is to obtain your professional views on the City's fiscal capacity in funding a policy mandate such as inclusive cities. South African Cities Network (2016:127) defines **inclusive city** as "a city that values all people and their needs equally. It is a city in which all residents benefit equally".

SECTION 1: SOCIO-ECONOMIC DEMOGRAPHICS

Gender		Position	
Age		Role/Responsibility	
Race		Length in this position	

SECTION 2: UNDERSTANDING THE LEVEL OF INCLUSIVE CITIES KNOWLEDGE AND THEIR ROLE IN THE MATTER

1. Are you familiar with the concept of inclusive cities?
2. What is your understanding of the concept of inclusive cities?
3. What do you think your contribution is towards creating inclusive cities?

SECTION 3: EVALUATE THE MUNICIPALITY'S' BUDGET BOOK AND SPATIAL POLICIES

4. How is the inclusive cities concept filtered into CoJMM spatial policies (Joburg GDS 2040, IDP, SDF)? And how is it implemented?
5. Is the spatial policies of CoJMM aligned to its budget? If yes, please elaborate?

SECTION 4: FINDING OUT THE ISSUES UNDERMINING THE REALISATION OF SDG 11 IN THE MUNICIPALITY

6. What can Spatial Planning do to promote inclusive cities?
7. What challenges do you have in implementing the inclusive cities concept?

8. Do you think CoJMM has been responsive to the implementation of SDG 11? If yes please elaborate
9. Indicator 11.1 of SDG 11 promotes upgrading of informal settlements, how is the municipality addressing this indicator?
10. In your own view, do you think there is a need for planning and regulatory reforms to make CoJMM more efficient in addressing informal settlements?

SECTION 5: FINDING OUT AND ASSESSING HOW THE MUNICIPALITY FUNDS INCLUSIVE CITIES

11. How does the municipality fund the projects aimed to achieve the goal of inclusive cities?
12. How is the municipality funding the upgrading of informal settlements?
13. How does the municipality appropriate its funds to pursue any new policy agenda?

INTERVIEW QUESTIONS FOR NATIONAL TREASURY

Thank you for taking the time out of your busy schedule affording me an opportunity to interview you, I really appreciate it. As indicated, the interview forms part of a study that evaluates the fiscal capacity of the City of Johannesburg Metropolitan Municipality (CoJMM) in realizing SDG 11. Before we begin please note the following:

- The interview will not be more than 1 hour long.
- It will be recorded.
- Anonymity is guaranteed and the write-up will not implicate you in any way.

The purpose of this interview is to obtain your professional views on the City's fiscal capacity in funding a policy mandate such as inclusive cities.

SECTION 1: SOCIO-ECONOMIC DEMOGRAPHICS

Gender		Position	
Age		Role/Responsibility	
Race		Length in this position	

SECTION 2: MUNICIPAL BUDGET

1. What is the municipal budget and what is its importance?
2. How do you assess the municipality's budget?
3. How do you measure a municipality's fiscal capacity?
4. What do you think of the CoJMM's budget since the year 2009?
5. Do you think CoJMM has aligned its planning, budgeting and reporting?

INTERVIEW QUESTIONS FOR SOUTH AFRICAN CITIES NETWORK

Thank you for taking the time out of your busy schedule affording me an opportunity to interview you, I really appreciate it. As indicated, the interview forms part of a research study that evaluates the fiscal capacity of the City of Johannesburg Metropolitan Municipality (CoJMM) in realizing SDG 11. Before we begin please note the following:

- The interview will not be more than 1 hour.
- It will be recorded.
- Anonymity is guaranteed and the write-up will not implicate you in anyhow.

The purpose of this interview is to obtain your professional views on the City's fiscal capacity in funding a policy mandate such as inclusive cities. South African Cities Network (2016:127) defines **inclusive city** as "a city that values all people and their needs equally. It is a city in which all residents benefit equally".

SECTION 1: SOCIO-ECONOMIC DEMOGRAPHICS

Gender		Position	
Age		Role/Responsibility	
Race		Length in this position	

SECTION 2: INCLUSIVE CITIES

1. What is your understanding of inclusive cities?
2. To what extent is the city regarded to be inclusive?
3. How can CoJMM become an inclusive city?
4. What is your understating on localizing SDGs?
5. Do you think CoJMM has been responsive to the implementation of SDG 11? If yes please elaborate
6. How would you describe the CoJMM funding model?