

**THE VIABILITY OF LOCAL GOVERNMENT INFORMAL SETTLEMENT
UPGRADING STRATEGIES**

J NKOANA MALOKA

A research report submitted to the Faculty of Management, University of Witwatersrand,
in partial fulfilment of the requirements of the degree of Masters of Management in the
field of Public and Development Management.

Johannesburg, May 2006

DECLARATION

I declare that this research report is my own, unaided work. It is submitted in partial fulfilment of the requirements for the degree of Masters of Management in the field of Public and Development Management in the University of the Witwatersrand, Johannesburg, South Africa. It has not been submitted before for any degree or examination here or in any other university.

Name of Candidate

J Nkoana Maloka

Date:.....day of..... 2006

ABSTRACT

The South African local government is under constant criticism for its inability to deliver low cost housing to poor citizens who do not own houses, and who end up living in hazardous environments such as shallow mine dumps. They live in informal settlements that are generally inhabitable for human beings.

The purpose of this research is to determine the viability or workability of local government informal settlement upgrading strategy. One of the critical findings, contrary to general perceptions is the effective communication of the strategy with beneficiaries in the municipality. Informal settlement dwellers participated in the strategy formulation from its conception as well as towards implementation. The strategy is comprehensive in “social processes or sociological approach” as well as international and national framework policy thrust, but lags in “micro strategic planning and implementation processes”.

The other critical findings are lack of resources, in particular, financial resources; staff capacity; and inter-departmental cooperation. These factors have adverse effect on the informal settlement upgrading strategy. They constitute what would make the strategy not viable or workable. The study proposes review of micro strategic planning and implementation, pursuance of accreditation as well as continuously adaptation to international “slums” or informal settlements improvement strategies and policy imperatives. Accreditation of local authorities is an important vehicle that can enhance speedy implementation of the South African low in-come housing national policy shift dubbed “breaking new ground.”

DEDICATION

To the Maloka clan, referred to as Bathokwa.

ACKNOWLEDGEMENTS

I wish to express my fervent gratitude to Mr C Ogutu Miruka, my supervisor, for his critical support, constructive criticism and guidance throughout the research. Thanks are also due to Ekurhuleni Metropolitan Municipality informal settlement dwellers, ward and proportional representational councillors, and Housing Department officials for their probity in the completion of questionnaires. Without their unqualified support, this research would not have been possible and accomplished.

TABLE OF CONTENTS

CHAPTER I: INTRODUCTION	1
1.1 BACKGROUND	1
1.2: RESEARCH PROBLEM.....	3
1.3: RESEARCH QUESTIONS	6
1.4: RESEARCH STRATEGY.....	7
1.4.1 RATIONALE FOR METHOD AND SOURCES EVIDENCE	9
1.4.2 DATA COLLECTION AND ANALYSIS.....	9
1.4.3 RESEARCH LIMITATIONS.....	11
1.4.4 ETHICAL CONSIDERATIONS.....	11
1.5: CONCLUSION.....	12
CHAPTER 2: LITERATURE REVIEW	14
2.1 GLOBAL POLICY AND STRATEGY TRAJECTORY.....	14
2.2 POLICY AND STRATEGY APPROACH	19
2.3 STRATEGIC PLANNING FOR THE PUBLIC SECTOR.....	21
2.4 RELATIONSHIP BETWEEN STRATEGY AND OPERATIONS	25
2.5 INFORMAL SETTLEMENTS STRATEGY OPTIONS.....	28
2.6 EMM INFORMAL SETTLEMENT STRATEGY CONTEXT.....	32
2.7 HIGH PERFORMANCE HOUSING DELIVERY SYSTEM	37
2.8 STRUCTURES AND DEPARTMENTAL CAPACITY	38
2.9 THE “TWIN TRACK STRATEGY”	40
2.10 CONCLUSION.....	44
CHAPTER 3: PRESENTATION DATA	46
3.1 DATA AND PRELIMINARY OBSERVATION	46
3.2 OPEN QUESTION	56
3.3 CONCLUSION.....	57
CHAPTER 4: DISCUSSION OF FINDINGS.....	59
4.1 CRITICAL DISCUSSIONS ON FINDINGS AND ANALYSIS	59
4.1.1 BIOGRAPHICAL INFORMATION.....	59
4.1.2 EXTENT OF STAKEHOLDERS PARTICIPATION	61
4.1.3 RESOURCES AND CAPACITY.....	63

4.1.4	VIABILITY OF THE UPGRADING STRATEGY	65
4.1.5	PROMOTING INTER-DEPARTMENTAL COOPERATION	67
4.2	EFFECTIVE COMMUNICATION.....	68
4.3	CONCLUSION.....	70
CHAPTER 5: PRESENTATION OF FINDINGS AND ANALYSIS		71
5.1	BIOGRAPHICAL INFORMATION.....	71
5.2	EFFECTIVE COMMUNICATION.....	71
5.3	MEANINGFUL PARTICIPATION.....	72
5.4	VIABILITY OF THE STRATEGY.....	73
5.4.1	EXISTENCE OF COMPREHENSIVE IMPLEMENTATION PLAN....	73
5.4.2	LINKS BETWEEN TARGETS AND IMPLEMENTATION PLAN.....	73
5.4.3	ACHIEVABILITY OF SET TARGETS	73
5.4.4	CAPACITY WITHIN THE HOUSING DEPARTMENT.....	74
5.4.5	AVAILABILITY OF FINANCIAL RESOURCES	74
5.4.6	INTER-DEPARTMENTAL COOPERATION	75
CHAPTER 6: CONCLUSION AND RECOMMENDATIONS		77
6.1:	LOCAL GOVERNMENT LOW COST HOUSING STRATEGY.....	77
6.2:	RECOMMENDATIONS BASED ON STUDY FINDINGS.....	78
6.2.1	SOCIAL PROCESS.....	78
6.2.2	VIABILITY OR WORKABILITY OF THE STRATEGY	79
6.2.3	INTER-DEPARTMENTAL COOPERATION	80
BIBLIOGRAPHY AND REFERENCES		83

LIST OF ACRONYMS

ANC – AFRICAN NATIONAL CONGRESS

BNG – BREAKING NEW GROUND

EM – EXECUTIVE MAYOR

EMM – EKURHULENI METROPOLITAN MUNICIPALITY

GDS – GROWTH & DEVELOPMENT STRATEGY

MDG – MILLENNIUM DEVELOPMENT GOALS

IDP – INTEGRATED DEVELOPMENT PLAN

ISUS – INFORMAL SETTLEMENTS UPGRADING STRATEGY

KATHORUS – KATLEHONG, THOKOZA, VOSLOORUS

MDG – MILLENNIUM DEVELOPMENT GOALS

MI – MUNICIPAL INFRASTRUCTURE

PMT – PROFESSIONAL MANAGEMENT TEAM

PHB – PROVINCIAL HOUSING BOARD

REM – REGIONAL EXECUTIVE MANGER

R, T, C&W – ROAD, TRANSPORT & CIVIL WORKS

SDDR – SOUTHERN SERVICE DELIVERY REGION

SDBIP – SERVICE DELIVERY BUDGET IMPLEMENTATION

UNH - UNITED NATIONS HABITAT

UK – UNITED KINGDOM

LIST OF FIGURES

Figure 1: Map of Ekurhuleni Metropolitan Municipality (EMM) Land Use Distribution Pattern

Figure 2: EMM Informal Settlements on Esibayeni (Kraal) and Marathon on Dangerous Land and Environment

Figure 3: EMM Informal Settlement Makausi (Socks) – Potential for “In situ” Development

Figure 4: Interfaces between Public Value and Stakeholders

Figure 5: Policy and Strategy Approaches Continuum

Figure 6: Types of Strategies – Deliberate and Emergent

Figure 7: Balance between Strategy and Implementation Plan

LIST OF TABLES

Table 1: Relationship between Strategy and Operations

Table 2: Ekurhuleni Metropolitan Municipality Socio-economic Dynamics Overview

Table 3: Raw Data Presentation and Preliminary Observation as well as Analysis

APPENDICES

Appendix A - Map 4: Service Delivery Boundaries and Key Population Statistics

Appendix B: Southern Service Delivery Region Ward Councillors

Appendix C: Sample Letter to Respondents and Survey Questionnaire

Appendix D: Frequency Table Report