

https://dspace.org/

Beneficiary participation in enhanced people's housing process (EPHP) projects in rural communities of Chris Hani district, Eastern Cape province

Njikelana, Phaphama Helena

2019
https://hdl.handle.net/10539/28995

Downloaded from a DSpace repository. https://dspace.org/

BENEFICIARY PARTICIPATION IN ENHANCED PEOPLE'S HOUSING PROCESS (EPHP) PROJECTS IN RURAL COMMUNITIES OF CHRIS HANI DISTRICT, EASTERN CAPE PROVINCE

PHAPHAMA HELENA NJIKELANA

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 the Built Environment.

Johannesburg, 2019.

DECLARATION

I declare that this Research Report is my own unaided work. It is being submitted to the Degree of Master of the Built Environment to the University of the Witwatersrand, Johannesburg. It has not been submitted before for any degree or examination to any other University.

_____

Signature

_____

Date

ABSTRACT

Community participation is one of the sustainable human settlement's focuses, intended to guarantee that communities are an integral part that determines the design, implementation and out of the programmes in relation to their developmental needs. Community participation empowers the community members through skills development and capabilities which enables them to negotiate and make appropriate decisions for their development. In South Africa, Enhanced People's Housing Process (EPHP) is one policy that enforces this. However community participation especially in project implementation is not without challenges. The research was aimed at assessing the extent of beneficiary participation in Enhanced People Housing Process (EPHP) in rural Eastern Cape. The study focused on the case study of Zwart Water and Lubisi Villages in the Chris Hani District, where the EPHP (the forerunner of the EPHP) programme is being implemented. The research drew from literature on the development of EPHP in South Africa, self-help housing and community driven development. A qualitative research method was adopted and both primary and secondary data collection techniques were adopted. The study revealed that despite policy assertion putting beneficiaries as drivers of the EPHP, the actual implementation of EPHP clearly shows a disjuncture between policy interface and actual implementation. The majority of the beneficiaries did not have a full control of their projects and have decision making in the initiation, planning and implementation stages of their houses constructions. The study further revealed that the EPHP in both villages is externally driven, top down managed and private contractors/developers driven against the people driven approach as stipulated by the EPHP policy guidelines. The main finding is that beneficiaries only participated as general labourers for a wage during their actual housing construction and were not directly involved in decision making concerning the building plans and other EPHP process. It is therefore recommended that all level of government should ensure strong commitment to community participation in programme implementation as stipulated by the policy.

ACKNOWLEDGEMENT

First and foremost, I thank the Almighty God for his spiritual guidance during difficult times until the completion of my studies.

I wish to express my sincere gratitude for the academic support and beyond from my academic supervisors, Professor Marie Huchzermeyer and Neil Klug. With their guidance, understanding, leadership and motivation I have pulled through.

A special gratitude goes to Professor Monwabisi K. Ralarala who implanted the idea of pushing my limits up to this level of my studies and assured me of my capabilities when I doubted them.

I cannot fail to mention my cousin Nolufefe Maho and my friend, Nobuhle Dyasi for always reminding me never to quit when I was ready to.

There is no doubt in my mind that without these people continued support and counsel I could not have completed this process.

DEDICATION

I would like to dedicate this Masters Research report to my mom, family and my children, Gqwesa and Sinomtha Mkumatela for their undying support throughout this process.

LIST OF FIGURES **PAGE**

Figure 2.1: An organogram demonstrating the interactions between key stakeholders in the Enhanced People's Housing Process Programme (PHP) 23

Figure 2.2: Conceptual Framework for assessing the extent of beneficiary participation in EPHP projects in rural communities of Chris Hani District. 28

Figure 3.1: Study Map of Zwart Water Village 31
Figure 3.2: Study Map for Lubisi Village 31
Figure 4.1: Distributions of Respondents by Ageand gender 36
Figure 4.2: EPHP Housing Typologies in Zwart Water and Lubisi Villages 40

LIST OF TABLES

Table 1 : List of Beneficiary Respondents 7

Table 1.2: List of Key Informants 7

Table 4.1: Questionnaire Response Analysis and Presentation 35

Table 4.2: Interview Response Analysis and Presentation 37

LIST OF ACRONYMS

AA	Account Administrator
BC	Beneficiary Committee
BEE	Black Economic Empowerment
BNG	Breaking New Ground
CRO	Community Resource Organisation
DOHS	Department of Human Settlements
EPHP	Enhanced Peoples Housing Process
GEAR	Growth Employment and Redistribution
HSC	Housing Support Centre
IDP	Intergrated Development Plan
MEC	Member of Executive Council
NGO	Non-Profit Organisation
NHBRC	National Home Builders Regulatory Council
PGDP	Provincial Growth and Development Plan
PHPT	People's Housing Process Trust
RDP	Reconstruction and Development Plan
SA	South Africa
SAHPF	South African Homeless People's Federation
SL	Sustainable Livelihoods
SO	Support Organisation
UNCHS	United Nations Human Settlements Programme

LIST OF TABLES **PAGE**

CONTENT i
DECLARATION i
ABSTRACT ii
ACKNOWLEDGEMENT iii
DEDICATION iv
LIST OF FIGURES v
LIST OF TABLES vi
LIST OF ACRONYMS vii
TABLE OF CONTENTS viii

1.0 CHAPTER ONE

1.1 **Introduction** 1
1.2 Problem Statement And Rationale 2
1.3 Aim of the Research 3
1.4 Research Question and Expected Finding 3
1.5 Definitions Of Key Concepts 4
1.6 Research Methods 5
1.6.1 Research Strategy 6
1.6.2 Data Collection and Sampling 6
1.7 Ethical Considerations 8
1.8 Limitations of the Study 8
1.9 Outline of the Remainder of the Report 9

2.0 CHAPTER TWO – Community Participation, Self-Help concepts and EPHP in South Africa

2.1 Introduction **10**
2.2 People Centred Development **10**
2.2.1 The Evolution of People-Centred Development in South Africa 11
2.3 Community Participation and Self Help Housing **12**
2.3.1 The Origins of Self-Help Housing 15
2.3.2 Debates on Aided Self-Help Housing 16
2.3.3 Background of Self-Help Housing in South Africa 16
2.3.4 Self-Help Housing in the Post-Apartheid Era in South Africa 17
2.3.5 Policy Approaches on Self-Help Provided By International Agencies 18
2.4 Legislative Frameworks and Policy Review in the Eastern Cape for PHP **19**
2.4.1 Constitution of the Republic Of South Africa 19
2.4.2 The Housing Act 20
2.4.3 Monitoring and Evaluation Policy Framework 20
2.4.4 Eastern Cape: Provincial Development Plan (PDP) 2015- 2030 20
2.5 The People's Housing Process (PHP) And Its Implementation **21**
2.5.1 What Is PHP? 21
2.5.2 The Introduction of PHP in South Africa 21
2.5.3 The People's Housing Process (PHP) As a Response towards Self-Help 21
2.6 Stakeholders in the PHP **23**
2.6.1 The Government 23

2.6.2 The Private Sector 24
2.6.3 Non-Governmental Organisations (NGOs) 24
2.6.4 Beneficiaries and Volunteers 24
2.6.5 People's Housing Partnership Trust (PHPT) 25
2.7 From People's Housing Process (PHP) To Enhanced People's Process (EPHP) 26
2.8 Conceptual Framework 28
2.9 Conclusion 29

3.0 CHAPTER THREE – Study Areas of Zwart Water Village and Lubisi Village 30
3.1 Introduction 30
3.2 Zwart Water Village and Lubisi Village 30
3.2.1 Locality of Zwart Water and Lubisi Village 30
3.2.2 Historical Background of Zwart Water and Lubisi Village 31
3.2.3 Physical Infrastructure Assets 32
3.3 Socio-Economic Context of Zwart Water Village and Lubisi Village 32
3.3.1 Population 32
3.3.2 Education and Skills 33
3.4 EPHP Project Location in Zwart Water Village and Lubisi Village 33
3.5 Human Settlements in Zwart Water Village and Lubisi Village 33
3.6 Conclusion 34

4.0 CHAPTER FOUR – Data Presentation and Analysis 35
4.1 Introduction 35
4.2 Questionnaire Response Analysis and Presentation 35
4.3 Demographic Information of Respondents 36
4.4 EPHP Project Profile in Zwart Water Village and Lubisi Village 37
4.5 Beneficiary Committees (BC) 38
4.6 Funding Arrangements for Projects 38
4.7 Stakeholders and the Roles in Zwart Water and Lubisi Villages 39
4.7.1 Beneficiary Members 39
4.7.2 The Community Resource Organisation 41
4.7.3 The Private Sector/Contractors 41
4.8 EPHP Project Implementation Processes 42
4.8.1 Zwart Water and Lubisi EPHP Housing Construction Projects 42
4.8.2 Beneficiaries Training and Community Capacitation 43
4.8.3 Beneficiary Participation and Involvement 43
4.9 Community Development Initiatives 45
4.10 Community Empowerment and Partnership 46
4.11 Conclusion 48

5.0 CHAPTER FIVE – Conclusion, Findings and Recommendations 49
5.1 Introduction 49
5.2 Summary of Key Findings on Zwart Water and Lubisi Villages 49
5.3 Recommendations for Implementation 52

6.0 References 54

7.0 Appendices 60

CHAPTER ONE

1.1 INTRODUCTION

According to Maslow's hierarchy of needs (Maslow, 1970) shelter is one of the basic physiological needs for humans. According to Maslow (Maslow, 1970) cited in Ezdamar (2015), shelter serves as an important survival need. Some country governments provide housing to their citizens to try and fulfil the basic need of shelter (Chawla, 2016). South Africa is one of these countries in the southern hemisphere that has adopted various housing programmes to assist low-income earners (ibid). The post 1994 government constructed houses in poor locations found in the city periphery, and beneficiaries of such houses had no or minimal sense of ownership (Meth and Charlton, 2017). This necessitated the government to come up with an approach that would encourage ownership and move away from the developer-driven housing delivery. In this approach the government was intended at "mobilising and harnessing the combined resources, efforts and initiatives of communities, the private, commercial sector and the state" (DoH, 1994:11). This strategy was given meaning through a programme called Peoples Housing Process (PHP) which was initiated in 1998. Through the PHP approach, beneficiaries are expected to fully participate in the whole process and the state merely assists them in achieving their housing needs.

Greater involvement and participation in their own development is perceived as central in enhancing improvements in the standards of living, unemployment and inequality in rural communities in South Africa (South Africa, 2008). The topic of the research report was developed against the contextual background of rural communities in Eastern Cape, where the Enhanced People's Housing Process (EPHP) has been piloted since 2009 (DoHS, 2009). This study will consider, to what extent the provision of housing through the Enhanced People's Housing Process (EPHP) fulfils not only the need for shelter but also goes beyond that by making a supporting environment for beneficiaries to participate in building their houses.

After the demise of apartheid in South Africa, the post-apartheid government has enacted a number of policies and legislations which, advocates 'the right to housing' (Tissington, 2011). Fundamental to this, is "Section 26 of the Constitution of the Republic of South Africa, 1996, that enshrines everyone's right of access to adequate housing" (Ibid: 8). The

then DoH adopted the PHP in 1998 as a policy instrument to address the housing shortages inherited from the apartheid government (DoHS, 2009). The new strategy which adopted community involvement in the implementation of PHP was established by the National People's Housing Process forums in 2005 and 2006. As a result, a revised version of the programme the Enhanced People's Housing Process (EPHP) was introduced in July 2008 to replace the old PHP programme (Newtown, 2013). This programme, EPHP, was implemented in South Africa initially as a pilot project.

Community participation is a critical ingredient to any successful developmental project and to EPHP in particular. Research (Green and Haines, 2015; Fung, 2015; Chambers, 2014) has shown that in the developing countries, central and local governments are confronted with a challenge to implement community participation in development projects, thereby resulting in the failure of the programmes. In this research report, my focus is on assessing the extent of community participation in EPHP and highlighting the challenges faced by rural communities. This research in community participation stems from my work with rural communities in housing provision in the Eastern Cape Department of Human Settlement for a number of years. Through this research, I would like to find out the extent to which participation is applied in practice and how this concept is understood by the different stakeholders. I seek to identify in what ways the two projects have departed from the policy prescripts, how this inconsistency can be resolved so that greater community involvement in actual housing provision and other developmental projects becomes a reality.

1.2 PROBLEM STATEMENT AND RATIONALE

Community participation and involvement of beneficiaries in their own developmental programmes is fundamental in reducing poverty and inequality and improves the community members' quality of life. The Comprehensive Rural Development Programmes (CRDP) Report (DRDLR, 2011) shows that the development of rural communities is a national challenge despite numerous development initiatives (policy development, programmes and strategies) having been undertaken in South Africa to reduce the housing and other development backlogs in rural communities (DRDLR 2011). Since the

inception of the policy, the EPHP programme is still being piloted in many parts of South Africa. The Eastern Cape Department of Human Settlements is one of the provinces also still piloting the programme. Through my work, I have been aware that there are general complaints from communities that important decisions are taken for them in the project implementation. The question that arises from this is whether beneficiaries make any of the key decisions that concern their development? A further question remains why the programme is still being piloted more than a decade after its inception?

Provision of houses had always been urban biased in the Eastern Cape, few state subsidised houses having been built in the rural areas. Hence, this called for an approach to implement rural housing development projects to redress these imbalances through the EPHP instrument. Beneficiaries in Lubisi and Zwart Water villages expected housing delivery to be implemented using EPHP (as presented to them, and chosen by them, and observed by myself in my position as a Department of Human Settlements Official). However, a Turnkey approach was instead used. The 'turnkey approach' to EPHP involves the appointment of contractors through a tender system, with a contractor chosen through the supply chain management system processes.

Various scholarly views have put forward the reasons why rural community development projects in many countries are failing. Phillips et al (2004) and Akroyd (2003) have found a lack of government commitment, low literacy and knowledge of development projects among rural community members, and low self-esteem; this had resulted in rural community members shying away from interacting and engaging with other stakeholders in EPHP. However, the main view, is lack of community participation (Chambers, 2014 & Rural Dialogue, 2000). Akroyd's (2003) study about the process of rural development planning notes that since the rural communities are not aware of the benefits of their participation, the development programmes fail to meet the intended objectives and often detached from the needs and aspirations of the beneficiary communities. The objectives of community participation are to actively involve the community members in identifying their preferred products, formulate plans and implement decisions and come up with tailor made solutions that answer to their specific needs, thereby empowering and improving their livelihoods and quality of life (DFID, 2002). The rationale of the study is to investigate the extent of beneficiary participation in EPHP projects in rural communities of Chris Hani District. The research also seeks to understand why the two

projects departed from the policy prescripts, despite previous findings that, "the PHP project implementation process did not comply with the policy prescripts, namely being people-driven" (Baumann, 2003:8).

1.3 AIM OF THE RESEARCH

The research was aimed at finding out the extent of beneficiary participation in the Enhanced People's Housing Process (EPHP) projects in rural communities of Chris Hani District.

1.4 RESEARCH QUESTION AND EXPECTED FINDINGS

The main research question is: To what extent do beneficiaries participate in the Enhanced People's Housing Process (EPHP) projects in the rural communities of Chris Hani District in the Eastern Cape Province?

In order to answer the main question, the secondary questions are:

- What is the current level of actual beneficiary participation against what is spelt out in the policy?
- How were the two projects implemented compared to the policy?
- Which aspects of participation did the beneficiaries identify as most critical?

The following were the expected outcomes of the study:

I expected to find that there were very low levels of beneficiary participation in actual housing planning, designing and construction process, although quite extensive participation is spelt out in the policy. I also expected to identify that the departure from the policy was mainly in relation to the fact that the stakeholders driving the project had other interests in the project, and that this would affect extent of community participation, meaningful decision making and actual outcomes in terms of benefits. Among these, I expected residents to identify community participation through meaningful involvement as most critical.

1.5 DEFINITIONS OF KEY CONCEPTS

The key concepts that formed the basis in trying to address the research questions for this research are self-help housing, people' housing process, community participation and people-centered development. These concepts are defined below for clarity purposes.

Self-help housing is defined as solving of housing needs by the low-income groups using their own resources (Zhang, Zhao &Tian, 2003). This can be achieved by beneficiaries organizing themselves to participate in the entire process of planning up to building of the actual house, while contributing with various forms of direct involvement.

People's Housing Process (a South African term) is the housing delivery mechanism through which the beneficiaries build their own houses by organizing themselves. "It therefore requires compulsory contributions/ commitment from the community involved, such as participation, and taking leadership responsibilities and ownership of the project, as a prerequisite for project approval" (Department of Housing, 2008:6). This research report will look at the elements of self-help housing that influenced the PHP in South Africa. These elements include allowing the poor communities to plan, design, manage and implement their housing projects, same elements are prominent in the "dweller control" concept (Payne, 1999; Ward, 1982; Turner, 1976).

Aided Self-Help is a programme through which the state provides basic services and the households take the responsibility of building their own houses. In South Africa the state funds both the top structure and the basic services (Pugh, 2001; Skinner & Rodell, 1983).

Participation is the, "active involvement of people in development programmes in such a way that people are given opportunities to explore their input in planning, decision making and project implementation" (Muller- Glodde, 1991:4). This process allows people to be actively involved in their development and not to be treated as recipients of services. "They must be regarded as responsible individuals or active agents involved in the development" (ibid). The Reconstruction and Development Programme (RDP) in South Africa highlights that participation is about "active involvement and growing empowerment [and not] the delivery of goods to a passive citizenry" (cited in Marais et al. 2003: i) and is a "key mechanism for hearing local voices, engaging local energies, and- ideally- aligning budget and delivery decisions with local needs, rather than the other way around" (Marais et al 2003:2).

Breaking New Ground Plan (a South African term) is the plan required "to redirect and enhance existing mechanism to move towards more responsive and effective delivery to promote the achievement of non-racial, integrated society through the development of sustainable human settlements" (Department of Housing 2005:9).

People-Centred Development "encompasses participation, community-driven action and capacity building" (Pona 2005:2). This is often implemented in the previously marginalized groups for inclusion in the decision making in their lives.

The above concepts are important factors that assisted in answering the research questions which are about investigating the extent to which the beneficiaries participated in the EPHP projects. The EPHP policy framework suggests the inclusion of all the above concepts to achieve its goal, this study dug deep into the implementation thereof.

1.6 RESEARCH METHODS

This research study adopted a qualitative research strategy, which involved aspects of policy evaluation using an exploratory approach through two case studies in the Eastern Cape. The qualitative research strategy was to acquire "the process of understanding, based on distinct methodological traditions of inquiry that explore a social or human problem" (Creswell and Miller, 1997:39). This was done by collecting data from the beneficiaries. This was informed by the fact that, when,

> *"the researcher believes that the reality to be studied consists of subjective experiences of the external world, he or she may adopt an intersubjective or interactional epistemological stance toward that reality and use methodologies, such as interviewing or participant observation, that rely on a subjective relationship between researcher and subject"* (Terreblanche et al 2006: 7).

Purposive sampling technique for both officials, CRO volunteers and beneficiaries was adopted. More so, a purposive sampling method was adopted in the selection of beneficiaries based on age and gender to guarantee that diverse issues related to men and women in participatory development are captured. The sample size was ten beneficiaries (five from each project), two government officials in the regional provincial offices and two Community Resource Organisation (CRO's) volunteers, one from each project. An area of interest for me is that the EPHP projects in Lubisi and Zwart Water villages have been implemented since 2009 and both projects are not being implemented according to the EPHP guidelines and according to what the beneficiaries had chosen. The research report focused on the extent of participation in the EPHP in two projects in the Eastern Cape and investigate the reasons why the programme is still failing to achieve the intended objectives despite previous findings.

1.6.1 RESEARCH STRATEGY

The research adopted a case study approach of two rural communities namely Lubisi and Zwart Water villages in Eastern Cape where the EPHP is being implemented. The reason for choosing these two rural villages is that they are sites for pilot projects for EPHP. As a provincial official, I am familiar with these two villages. Working for the Department of Human Settlement in Eastern Cape with EPHP programmes allowed me to contact and observe how the community members from Lubisi and Zwart Water villages participate in the EPHP programmes. "Case study research is suitable for studying phenomena which are poorly understood or little known" (Leedy & Ormrod, 2005:135). Case study is, "useful when the opportunity to learn is of primary importance. A case study of this nature helped to investigate the expected outcomes of the research. Every case study is unique and generalizations cannot be made on the basis of a single case" (Stake, 1995:244).

1.6.2 DATA COLLECTION AND SAMPLING

The approach of the study is to engage with a selection of beneficiaries of the two selected projects currently ongoing in two rural villages of Chris Hani district in the Eastern Cape Province. In addition, one government official from the Provincial office and two officials from the Regional office and one person from each Community Resource Organisation (CRO) volunteer directly involved in the implementation the programme in each of the two villages were selected as key informants. The purpose was to employ surveys and structured interviews. The data collected from participants was analysed using a qualitative data analysis. I used codes to identify the interviewees during the analysis, as I undertook to keep their names anonymous. The data collected from the implementing organisations, namely provincial government and Community Resource Organisations (CRO), was used to identify reasons why the programme is still failing to achieve the intended objectives I briefly detail the data-collection approach below.

Interviews using semi-structured questionnaires were undertaken face-to-face, with the five selected beneficiaries from each of the two projects. This method is relevant because it actually directly involves the researcher in the case study and allows the research to enquire about the problem being directly involved. The semi-structured interview guides had open ended as well as closed questions. This provided descriptive information and also assisted in gathering information on the actual extent of beneficiary participation and the actual decisions they were able to influence.

The Zwart Water project has 1000 beneficiaries whilst Lubisi project has 1000 beneficiaries. In order to make a purposive selection of respondents, I requested a list of all beneficiaries from DHS which allowed the researcher to conveniently sample since the sample population was readily available at my disposal (Bhattacherjee, 2012; Terreblanche, 2006; Marshal, 1996). Most of the respondents were randomly selected and those who were in the initial choice were the actual final set of individuals I interviewed. The selection of participants was based on beneficiaries who have actually benefited from the EPHP projects and also who were readily available and consenting to participate available in this academic research.

Table 1: List of beneficiary respondents

BENEFICIARY LIST	**NUMBER**
Beneficiaries from Zwart Water project	5
Beneficiaries from Lubisi project	5
TOTAL	10

Secondly, I conducted an in-depth key informant interviews with the CRO volunteers from both projects to gather information on how the implementing agents on behalf of the government view beneficiary participation in the two projects. I also conducted in depth key informant interviews with the project manager for each of the two projects. These interviews were conducted at the Regional Office and one official from the Provincial Office where the programme is overseen.

Table 2: List of Key Informants

RESPONDENT TYPE	**NUMBER**
Community Resource Organisation from Zwart Water (Volunteer)	1
Community Resource Organisation from Lubisi (Volunteer)	1
Government Official from the Regional Office for each project	2
Government Official from the Provincial Office	1
TOTAL	5

1.7 ETHICAL CONSIDERATIONS

The following ethics were considered when conducting the research:

1) Non-maleficence

As Terreblanche (2006: 67) explains, "[t]he researcher [must] ensure that no harm befalls research participants as direct or indirect consequences of the research" (I tried my best to be delicate by ensuring that the research posed no harm or danger to the participants during and or after the study.) Participants' safety was guaranteed even though they had adverse responses concerning the implementation of EPHP. Point three below about anonymity is related to this.

2) Autonomy and Voluntary Participation

Any participant that felt that they could not continue with participating in the interview process were informed of their autonomy to cancel at any time. The participants were informed that their participation was voluntary and no one will be compelled to participate against their consent in the study.

3) Confidentiality and anonymity

Filling in and signing of a consent form was requested from each participant, before an interview proceeded. All information was treated with utmost confidentiality and anonymity. The School of Architecture and Planning's Ethics Committee approved the participant information sheet which explained how confidentiality and anonymity would be ensured, and also approved the consent form. These are provided in appendix. I have received an Ethics Clearance Certificate from SoAP and is also included in the appendix.

1.8 LIMITATIONS OF THE STUDY

The respondents that participated in this study were largely identified due to their role in the housing project. From the government side, the key informants were wary to discuss housing due to sensitivity on the implementation of the two projects. The government officials probably were suspicious that the information collected might be used against them. I continuously reminded them that the research was purely for academic purposes and that anonymity was guaranteed as mentioned in read from the interview consent form which I had read and explained to them. I also explained that the data will be safely

and secured stored. Despite the officials being wary in providing information, their responses proved important in this research study.

Language presented itself as a challenge. I had prepared the questionnaires in English. However, during the interviewing process, some respondents had difficulties with English and this led me to interpret all the questions in Xhosa to some of the respondents who did not understand English. This needed some additional time. However, my background of coming from the rural areas made the beneficiaries not treat me as an outsider initially thought this would limit the study process. Despite the above mentioned limitations, I am persuaded to believe that my personal involvement in the study areas and interactions with the respondents, officials and volunteers, I managed to ask relevant questions and further probe where necessary. During interviewing process, with the permission and consent of the interviewees, I used a recording device and in other instances where permission was not granted, I wrote notes in my notebook during the course of the fieldwork.

1.9 OUTLINE OF THE REMAINDER OF THE REPORT

- Chapter 2 focuses on evolution of EPHP and addresses the underlying analytic framework namely community participation in rural development especially in rural housing development. The chapter further provides an analysis of this concept and also examines the national policies and programmes implemented in South Africa related to it. The chapter also review the people-centred development and community development as overarching concepts where EPHP was derived from.
- Chapter 3 offers a detailed explanation of the case study areas of Zwart Water and Lubisi Villages incorporating the project background, study location, population and socio- economic activities among others.
- Chapter 4 incorporates the findings, analysis and discussions on both areas of research projects i.e. Lubisi and Zwart Water villages.
- Chapter 5 discusses the conclusions of the study and concludes that the actual participation as specified in EPHP has not been adhered to by the implementing agencies, leading to the failure of the participatory component of the projects. As a result the housing that was developed is detached from the needs of the communities. The participation identified during fieldwork is not representative

or bottom up, and fails to adequately empower community members to enable them to plan, implement and take full control of the entire implementation process, which has been hijacked by the private sector along the way and controlled by the government officials who determine the implementation process.

CHAPTER TWO

COMMUNITY PARTICIPATION, SELF-HELP CONCEPTS AND EPHP IN SOUTH AFRICA

2.1 INTRODUCTION

In this chapter, various pieces of literature on the concept of community participation in rural housing provision are discussed, and views on self-help housing and state-driven versus self-help driven provision of houses are examined. Furthermore, this chapter discusses the concepts related to community participation, self-help housing, people-centered development and the link between People Housing Policy (PHP) and Enhanced People Housing Policy (EPHP) is interrogated in depth, related to community participation in rural housing in South Africa. This chapter will further present an analysis of people centered development and how it impacts the provision of housing development in the South African environment. It will also discuss how it is used as a strategy to transform the development in the local spheres of government and approaches to rural development.

All spheres of government and other stakeholders in rural development, especially rural housing provision, acknowledge that there is need for a change and overhaul in the way in which development projects are implemented in rural communities (South Africa, 2008). There is consensus that this process requires "community participation" or a "people centered approach" in project planning and implementation. Through community participation, previously disadvantaged groups are provided with space to actively participate in rural development programmes affecting them (ibid). Raniga and Simpson (2002:36) argues that, "in a newly democratic country such as South Africa, community participation has become a central theme in the broad field of social development as a model for addressing and balancing the injustices of the past." These principles are important as they place people at the centre of rural development. That community participation is lacking means that the principle is not being implemented (Potter et al, 2017).

2.2 PEOPLE CENTRED DEVELOPMENT

People centered development incorporates active involvement of the community in driving the developmental process and projects within their areas (Chambers, 2014). In the process the community should benefit by being capacitated to carry out the process and create sustainable environment. Kenny and Connors (2016) equate people centered development with participatory development since it includes the active involvement and participation of the beneficiaries in the projects. There is a widely held view that if citizens are actively involved in their projects, it creates sustainable projects (Potter et al, 2017). When people are involved in planning, decision-making and implementation of their developmental programmes, they are equipped and therefore become economically and politically empowered (Muller-Glodde, 1991; Coetzee, 1986). To move away from the concept of state control, active citizen participation contributes to their development (Svenskerud, 2003).

2.2.1 THE EVOLUTION OF PEOPLE-CENTRED DEVELOPMENT IN SOUTH AFRICA

During the Apartheid era in South Africa, housing development was more focused on product-oriented development rather than people-centered development (Nshimbi, 2018). The Black and White people could not live together in houses developed in the same area especially in urban areas and in most cases the Blacks were resettled in Bantustans in the rural areas, where Chiefs were the highest authorities (Bantu Authorities Act in Beinart & Bundy, 1980: 305-307). Black people did not participate in decision making of anything that involved them even in the planning of the projects but became employees in them (Bergall 1993:3). This mindset was rather indoctrinated into people where they would wait for the government to decide what was good for them and implement it for them (ibid). In the post-apartheid era in South Africa, the government policy of Reconstruction and Development (RDP) emphasized active involvement and growth through empowerment rather than promoting passive participation by citizens to only wait on government to deliver everything for them (Nshimbi, 2018). Initially, with the introduction of active participation the traditional forms of participation were prioritized. Traditional forms of community participation includes cultural imbedded activities that includes local partnerships, agricultural co- operatives and community development activities (Bergall 1993, 4). Agricultural co-operatives and community development activities were the most popular and most implemented approaches. The

traditional forms were mostly utilitarianism and communitarian with little or minimum transfer on managerial skills. The beneficiaries were mostly interested in the outcome or benefits rather than participating in the whole process hence most of them collapsed due to maladministration.

With the post-independence government of South Africa, transformation was slowly introduced and people were introduced in to participation in development (Nshimbi, 2018). Political movements/parties influenced community members to participate in the development of their communities. The African National Congress even adapted a slogan that "Nothing about us, without us". "In South Africa, development is frequently used to redress the imbalances created by the previous government such as political deprivation, the non-development of black entrepreneurship and lack of skilled technical manpower" (Pona 2002: 17). This transformation brought about change of authority in the spheres of government. Communities are now involved in the drawing of their development plans at municipal level through participating in the Integrated Development Plan (IDP) process which give priority to their basic needs like water, roads, housing and electricity. Citizens were called upon to be more engaged in the development process. The people apply democratic governance through sustainable development and political empowerment political by of means of people-centered development (Ginther, 1998:18). Democracy in South Africa brought about participation of everyone in the reconstruction and development of previously disadvantaged and marginalized communities especially in black African townships and rural areas where development was lagging behind (ANC, 1994: 2).

There is a link between the participation and people-centered development and is often referred to as participatory development (Pona, 2002). Participation is defined as, " the involvement and active people in the development programmes in which they are given opportunities to explore their input in planning, decision-making and project implementation" (Muller-Glodde, 1991:4). To fully achieve this, it requires that people to be capacitated, trained and empowered to uplift their communities and reduce poverty (De Clerq 1994:385). This is what Coetzee (1986:7) refers to as economic growth, autonomy and social reconstruction. This should bring positive change within the society, to reduce poverty and promote equal sharing of resources (Kulipossa 1998: 311-312).

Ginther (1998) adds that political empowerment of people opens their minds to apply democratic governance. Self-help housing implemented through PHP in the South African context emphasized for change within the society, poverty reduction and equity (Kulipossa 1998: 311). Participation in the context of EPHP should also ensure development of youth and women. Generally the youths and women are usually subsumed in the planning of people-centered development but when actually project implementation is undertaken, they are not prioritized (Cornwall, 2002).

2.3 COMMUNITY PARTICIPATION AND SELF HELP HOUSING

"Participation by the beneficiaries is necessary for the development to be relevant, sustainable and empowering" (Hickey & Mohan, 2005:2). This has been the idea that underpins the concept of participation in PHP in SA. Participation in the housing process is regarded as a critical towards the achievement of sustainable human settlements. The demand for shelter and housing in the low income earners is evident in many countries and so is the case in South Africa (Charlton & Kihato 2006). In a call to respond to the housing backlog inherited from the pre-1994 Apartheid government, the post-independence government of SA introduced several forms of programs through the then Department of Housing (now Department of Human Settlements). The Constitution of South Africa in section 26(1) states that "everyone has a right to have access to adequate housing" and that "the state must make reasonable legislative and other measures, within its available resources, to achieve the progressive realization of this right" (Constitution of SA, section 26(2)). "In 1998, South Africa still had about 3 000 000 households that had inadequate shelter (Wilkinson 1998:215). To fulfil these sections of the Constitution of SA, the, "Government would continue to reduce the housing backlog while introducing programmes to alleviate poverty and improve quality of life through creating access to basic services within the new settlements" (Housing in Southern Africa 1999:2 cited in Charlton & Kihato 2006: 257). One of the programmes is the People's Housing Process that was adopted in 1998 to "assist communities to supervise and drive housing delivery process by building their homes themselves" (Tissington 2011: 63). This is a form of self-help housing provision.

The self-help housing approaches using sweat equity was introduced by Turner (1976), where a beneficiary develops their houses incrementally though savings after a certain

period of time. Turner (1976) stated that physical effort and monetary investment is required from beneficiaries to acquire self-help housing. He emphasized that a larger role in the provision of houses should be done by beneficiaries and that communities could more effectively produce their own housing and that the state play a more enabling role (Ibid). This is where beneficiaries' choice is largely exercised. Nientied and Van Linden (1998:139) is against any government setting standards for the poor as it was observed by Turner (1976:7) that the poor have a way of building solid structures from the little income they have.

The ANC led government in the case of South Africa's post the apartheid era, was involved in a series of negotiations in the economic and political platforms to move away from the development that was mainly centred on delivery of goods to citizen without involving them in the process (ANC, 1994). The engagement and discussion process with various stakeholders in the housing sector was done though the "active involvement and growing empowerment" (ANC 1994:5) of the people of South Africa. This was part of the plan called the Reconstruction and Development Plan. This plan was revised when the Black middle class pushed for their interests to be included to ensure economic and political stability (Gelb, 2007). This shift was called the Growth Employment and Redistribution (GEAR) strategy. With the shift to GEAR, the Black capitalist elite gained an opportunity to grow through the Black Economic Empowerment (BEE) (Baumann, 2003). Both the GEAR and BEE concepts brought about compromise to community participation as it gave more power the Black African political elite and middle class that did not apply community participation. This brought about a failure of the intention to the vision by the politicians that advocate for people-centred development (Baumann, 2003.)

In the development of the housing process, the EPHP also emphasizes the development of co-operatives within the project areas (Newton, 2013.) These cooperatives are a collective of people who volunteer to associate and participate to have an active role in the development of their area (Ibid). The co-operative can be in any form according to the needs of the people. Key to participation of people in their development is their representation. The demand for shelter and housing by the low-income earners is evident in many countries and so is the case in South Africa (Newton, C., 2013.) In a call to respond to the housing backlog inherited from the pre-1994 Apartheid government, the post-

independence government of SA introduced several programmes through the then Department of Housing (now Department of Human Settlements) (Baumann, 2003).

2.3.1. THE ORIGINS OF SELF-HELP HOUSING

Self-help housing origins are traced from as far back as in the 1930's and 1940's (Mathey, 1992; Tait, 1997; Harris 1998). Turner introduced this notion in the 1960's as if it was a new paradigm in the housing delivery, but in fact it was as old as mankind (Pugh, 2001). History suggests that in developing countries like Brazil, Cuba and South Africa, people have been living in houses that they have built using the concept of self-help but no name was given to it at the time. The United Nations and World Bank also played a vital role in the introduction of self- help housing, through provision of advice on the lessons learnt for the Second World War (Bredenoord & van Lindert, 2010.)

The concept of self-help was acknowledged by various advocates of it before its introduction by Turner in the 1960's (Walker, 2016; Bredenoord, and van Lindert, 2010.) It is evident that Turner was one pioneer of self-help that brought about the awareness and implementation of self-help housing by various governments. Turner introduced the concept of state control versus the dweller control (Turner, 1976 & Burgess, 1978). The state control housing is when housing delivery is state driven; whereas the people make decisions on what they want in the dweller control concept. According to Turner, every family has a different need based on the family circumstances at the time and housing need would be one crucial need (Turner 1976:7). Turner (1976) advocated for the state to create an enabling and conducive environment for people to develop a house of their choice, therefore government plays the role of an enabler. Turner (1976) strongly criticized people who plan for housing needs as those who do not take self-help seriously and ignore the fact that people are able to produce reasonable dwellings on little income they possess. This suggests that self-help housing is economically friendly and accommodates those with limited funds, whereas the state-driven housing in unaffordable to the poor and only few people can afford it. Turner (1976: 28) states that the concept of self-help requires, on the part of the participants, the investment of both money and physical effort. Turner (1976: 29) further asserts that "it is the user himself who best knows his needs and as such, should be the principal actor in the housing process." In this regard he emphasizes that it is on the personal involvement of individuals that self-help rests.

Several debates and theories have added to the self-help housing debate, some represented by John Turner and Rod Burgess. The liberals support the self-help concept while the Marxists oppose it (Conway, 1982). The liberals condemn the involvement of government in production of housing development. They strongly believe that this role should be played by beneficiaries themselves. This idea is opposed by the Marxists stating the fact that workers building their own housing is double exploitation and that it is the responsibility of the State to provide housing. The role of government in self-help housing is seen purely by provision of land and finance (Turner 1976:18).

2.3.2 DEBATES ON AIDED SELF-HELP HOUSING

There have been and still are several debates on self-help housing, which are still being advocated both locally and internationally. The World Bank has played a central role in promoting self-help housing since the 1970's (Baken and van der Linden 1993:2) although this concept is seen as an ancient idea (Pugh 2001; Burgess 1982). Turner (1976) introduced the concept of self-help and emphasised that "the role of governments should be to inspire, enable and facilitate formal private sector initiative through an appropriate framework, rather than to involve themselves in project implementation" (ibid: 28). In this approach of self-help housing, "housing users know their needs better than government officials and high regulatory standards undermine rather than guarantee more adequate housing" (Jenkins et al, 2007: 86). As early as the 1930's Puerto Rico and India were governments that were implementing self-Help housing and [as] a conventional wisdom that was introduced in the 1960's (Parnell & Hart, 1999; Ward, 1982), hence it was also viewed as "to be a very old idea" (Pugh, 2001; Burgess 1992).

There are three types of self-help housing summarized in Marais et al (2003). The first one being housing without any help from the government, second one being where the government creates a suitable environment for people to build on for themselves and lastly, self-help that is implemented using institutional organizations/ Non-Profit Organisations (NGO's). NGOs and institutional organisations are able to negotiate on behalf of the beneficiaries with the government on issues of land (Keivana & Werna 2001). Institutionalized type of self-help is referred to as "Third Sector Approach" by Turner.

Institutionalized self-help housing has been big in countries like Malaysia with close to 47 housing co-operatives (Khurana, 2001).

The Marxists asserted that this self-help approach was a capitalist notion, which perpetuated struggle of two main classes: the capitalists, who own the means of production, and the proletariat or workers who must work for a pay/salary for them to survive. Burgess (1985) asserted that housing is defined in terms of three dimensions by the Marxists. "Firstly, housing is seen as a necessary good, a means of subsistence that is necessary for the reproduction of the labour force and whose cost enters directly or indirectly into the production of all commodities" (Burgess, 1986: 271). Secondly, "Marxists emphasise that a material precondition for production of a house is that it has to occupy land in a specific location" (ibid.). Thirdly, "housing is seen as becoming a commodity whose consumption can only be realised by those with a housing need who can afford to purchase it and not only as a use-value but also an exchange value" (Burgess, 1985: 272).

This concept of aided self-help housing has been identified as another option to the formal delivery of housing. Whereas Kerr and Kwele (2000:1315) view self-help housing as "the ability of the end user to participate in the construction process of the house by making certain contributions such as finance, sweat equity, administration". According to Ward and Macoloo (1992), when exploring various modes of housing production, namely industrial/capitalist, manufactured/petty commodity and self-help, a high level of organisation results in relatively expensive housing projects (ibid.). The manufactured mode, amongst others, is seen as benefiting private developers at the expense of the actual consumers of the housing objects (ibid.). With reference to the artisanal mode of production, Burgess (1985: 285) analyses the labour power process. He refers to this mode as "simple" co-operation in which the family/community participates in the entire production process and invests its labour power (sweat equity) and part of its subsistence income to build their own houses.

2.3.3 BACKGROUND OF SELF-HELP HOUSING IN SOUTH AFRICA

The history of self-help housing in South Africa dates back as far back as the colonial era and later in the apartheid era (Parnell & Hart 1999). However, self-help housing in SA was

used deliberately to exacerbate the apartheid agenda as it managed to maintain segregation through settling the non- white groups at the urban peripheries and homelands (Gilbert & Crankshaw, 1999; Omenya, 2002). Self-help housing was introduced through the site and services scheme concept in SA. This is contrary to dweller control approach, which is associated with self-help housing as introduced by Turner. The government in this instance made decisions for the people and therefore practiced state-controlled housing delivery.

2.3.4 SELF-HELP HOUSING IN THE POST APARTHEID ERA IN SOUTH AFRICA

To overcome the apartheid inherited housing backlog, the National Housing Forum was formed and negotiated for a new housing policy (Tomlison, 1999). The National Housing Forum set a target of to provide one million houses to reduce the housing backlog inherited from the apartheid era in a period of five years (Jenkins, 1999), consequently leading to the production of the White Paper in Housing in 1994. The paper committed the government to the "establishment of viable, socially and economically integrated communities situated in areas allowing convenient access to economic opportunities as well as health, educational and social amenities". This "right to housing was to be realized progressively" (White paper on Housing 1994). This realization of housing in a progressively manner contextualize Turner's idea that housing is a verb or an ongoing process.

According to Khan & Thurman (2001) South African housing policy had the following as its key strategies:

- "The subsidy scheme
- *A partnership between sectors and spheres of government*
- *Mobilisation of savings, credit and private sector investment*
- *Speedy release and servicing of land*
- *Complementary grants."*

The strategies identified by Khan and Thurman (2001) confirm that the South African housing policy ascribes to the elements of the aided self-help policy through creating an enabling environment and availing adequate resources for beneficiaries to develop houses of their choices. The White Paper managed to set goals for the housing sector but

failed to give a framework on how these strategies were to be implemented. Based on that shortfall there was the adoption of the comprehensive plan for housing called the "Breaking New Ground" (BNG) in 2004 which was "aimed at creating integrated communities instead of just housing areas" (Roux, 2007; Rust, 2006). The difference between the Housing White paper and BNG was that the paper focused on supply-driven delivery whereas BNG advocates for demand-driven delivery (Department of Human Settlements, 2004). The BNG promotes the delivery of human settlements as a concept, which is a shift to a more inclusionary housing delivery model (Department of Human Settlements 2004).

Breaking New Ground's (BNG) key objectives was "progressive eradication of informal settlements" through the in-situ upgrading programme. This programme requires an extensive consultation with beneficiaries, who in turn should choose their housing typologies. This programme had Turner's concepts of self-help housing entrenched in it. The informal settlements eradication was seen as a progressive or a process and dweller control and freedom to build was exercised, where beneficiaries made their own choice based on their economic capabilities. The aims of BNG were not fulfilled as envisioned because "housing delivery has had a limited impact on poverty alleviation and houses have not become the financial, social and economic assets" (Tissington 2011: 61).

After 10 years of insufficient delivery and widespread complaints about the product and process (Department of Human Settlements 2004) the government was forced to re-assess its housing delivery programme. 'Breaking New Ground: A Comprehensive Plan for the Development of Sustainable Human Settlements' (Department of Human Settlements 2004), was a major policy redirection. The policy lent support to in situ upgrading8 and articulated new processes to create 'Sustainable human settlements [that] are supportive of the communities which reside [there], thus contributing towards greater social cohesion, social crime prevention, moral regeneration, support for national heritage, recognition and support of indigenous knowledge systems, and the ongoing extension of land rights' (DoHS, 2004: 11). Although BNG stated an enhanced role for the private sector, it made two noteworthy statements on the role of municipalities and citizens in housing delivering. Beneficiary communities were to be mobilised through a comprehensive communication strategy, dedicated municipal community liaison officer, and the engagement of Ward Committees. The participation of beneficiaries was a strong

feature in housing programmes. Unfortunately, Both RDP and self-built housing failed the habitability test. They suffered from similar serious structural defects that had health and safety implications. Furthermore, they were too small, overcrowded and lacked privacy to be habitable or be culturally suitable (Tissington 2011).

2.3.5 POLICY APPROACHES ON SELF-HELP PROVIDED BY INTERNATIONAL AGENCIES

"In the 1970's and 1980's, the World Bank promoted state-aided self-help housing as an approach to address the scarcity of housing for urban low-income poor households" (Baken & Van der Linden, 1993:2). This influence from international agencies like the World Bank and UNCHS (Habitat) played a vital and direct influence in many countries' housing policies. The World Bank believed that self-help housing would reduce running costs to the government and would be self-sustainable. The involvement of the banks introduced economization of aided self-help housing by emphasizing cost recovery and affordability. The banks introduced the housing loans as opposed to housing subsidies. Turner (1976) advocated for government to play a support role in the housing delivery and not making decision for the people. This indicates, as Harris (1999: 248) observes, that Turner's position was for the beneficiaries to be meaningfully involved in low-income housing projects and that this would lead to housing units "that best suit changing needs and circumstances of their occupants" (ibid.) The problem of relying on the capitalist mode of production and commodified housing is articulated by Smith (1999: 21) when he categorises the limitations of the neo-liberalist theory as having "empirical problems, normative content, and problem with practicability". Under the empirical problems, the neo-liberalist theory attempts to apply a universal solution to housing and places emphasis on Western concepts and ideals (ibid.) The neo-liberalists did not consider that the "trickle down" effect leads to social polarization and entrenches inequality (ibid: 41).

Sites and service schemes, slump upgrading and private investments for self-help projects for low income household were launched by the World Bank from the 1970s (Baken and Van der Linden, 1993). Despite this motivation, the 'site and services projects' which were implemented to provide low cost housing to the large population of the poor communities ended up failing to achieve their intended objectives. In their approach to implantation, they site and services schemes ended up becoming "isolated objects" and ultimately failed to reach the target population. A new approach to implementation was adopted which focused on private sector involvement, reduced government role and greater

community participation as drivers, central to housing development. Huchzermeyer (2001: 308) adds that in South Africa this was facilitated by the Urban Foundation (UF), "which was a business funded think tank on urban and social policy, its objective was to facilitate the emergence, particularly in the African townships, of stable communities of home owning families". It was also aimed at "aggressively promoting self-help as an approach to housing provision" (Wilkinson, 1998: 222). This approach in South Africa was based on market efficiency and economic growth which were regarded as "solutions" to poverty alleviation through a "trickle down" mechanism although a capital subsidy was designed to meet the needs of those reached by the market.

2.4. LEGISLATIVE FRAMEWORKS AND POLICY REVIEW IN THE EASTERN CAPE FOR PHP

2.4.1 CONSTITUTION OF THE REPUBLIC OF SOUTH AFRICA

The Constitution of South Africa (CoSA), 1996 (Act No.108 of 1996) is the supreme law of the country. In the CoSA, there are two aspects which are particularly pertinent to housing and these are, "the specific right to have access to adequate housing," and "the powers of national, provincial and local government with respect to housing are framed by the concept of "concurrent competence" and developmental local government" (Tissington, 2011). In addition, Section 27 (2) states that "the state must take reasonable legislative and other measures, within its available resources, to achieve progressive realisation of each of these rights". "These constitutional rights inform the core of social citizenship, which is defined as the provision of socioeconomic or second-generation constitutional rights to a nation's citizens in a manner that guards against the erosion of their delivery by the profit- driven principles of private capital and the market" (Heater, 1999:15). It is against this constitutional mandate that there arose the need to implement the EPHP.

2.4.2 THE HOUSING ACT

The CoSA particularly address the collective roles of housing provisions among the three spheres of the government although the actual functions of each sphere are not clearly defined. The promulgation of the Housing Act (Act No107 of 1997) was to clearly define and spell out the actual roles of each sphere of the government in housing provision. The functions and responsibilities of each sphere are outlined by the DoH (2000:8-9) as following:

a) "National government must establish and facilitate a sustainable national housing development process.

b) Provincial government must create an enabling environment to promote and facilitate the provision of adequate housing.

c) Municipalities must pursue the delivery of housing by addressing issues of land, services and infrastructure provision and by creating an enabling environment for housing development. The housing Act (Act 107 of 1997) aims to amongst other things provides for the facilitation of a sustainable housing development process and defines the functions of national provincial and local government in respect of housing development (Department of Housing 1997) for the purposes of this study attention will be paid to the role and functions of municipalities in the implementations of the Housing Act."

2.4.3 MONITORING AND EVALUATION POLICY FRAMEWORK

The Eastern Cape Department of Human Settlements is mandated with the responsibility of providing affordable and sustainable human settlements, which would in turn result in improved standard of living for the rural household communities. According to the Monitoring and Evaluation Policy Framework (2013), "creating sustainable human settlements where social, economic and community life flourishes requires that the delivery of houses in new residential areas be simultaneously accompanied by access to schools, clinics, potable water, sanitation , recreation and other basic services."

2.4.4 EASTERN CAPE: PROVINCIAL DEVELOPMENT PLAN (PDP) 2015- 2030

The strategic objective of the PDP is: Better Quality Human Settlements. This objective, "seeks to shift focus from state-driven quantitative housing delivery to a system where people make their own decisions, build their own houses and transform spatial patterns to create vibrant and liveable communities" (ECDoHS, 2015). Sustainable human settlements "should create viable, socially and economically integrated communities, with access to social services and economic opportunities. Settlements should be environmentally sustainable, enable multiple livelihoods options and improve resilience of rural communities to the effects of climate change and other natural disasters" (Ibid). In implementing the human settlement approach, the Province incorporated the local indigenous knowledge and cultures like *ikhaya* (homestead) in designing the EPHP projects. The *ikhaya* design has space for both man and women to live in harmony whilst

performing their duties, community activities *(ibala)* and production *(masinimini).* This traditional approach, which incorporates all aspects of human life is central in the provision and development of sustainable human settlements in rural Eastern Cape through EPHP.

2.5 THE PEOPLE'S HOUSING PROCESS (PHP) AND ITS IMPLEMENTATION

2.5.1 WHAT IS PHP?

"The People's Housing Process (PHP) is a process where beneficiaries are actively involved in making decisions related to the housing delivery process and product, and where they participate in processes related to community development that contribute and add value to general sustainability" (DoHS 2008: 6).

2.5.2 THE INTRODUCTION OF PHP IN SOUTH AFRICA

PHP was introduced as one of the housing delivery programmes by the then Department of Housing in 1998. At the time housing delivery was championed by the private developers who were appointed by the government (DoHS, 2008). With the intervention of the academics, NGO's and communities through their reluctance and observations that the poor were being offered housing product that was not their choice (Ibid). The academics and NGOs advocated for the inclusion of the communities in the active involvement of the beneficiaries when their houses were being built. This included the capacitation of the beneficiary communities. This forced the government to adopt a policy that would include self-help concepts and this is how the PHP came about. The introduction of PHP brought about hope in addressing challenges discussed above, especially in the rural areas.

2.5.3 THE PEOPLE'S HOUSING PROCESS (PHP) AS A RESPONSE TOWARDS SELF-HELP

Self-help housing was formally adopted in South Africa in 1998 through the adoption of PHP. The programme was one of the Department of Human Settlements plans to reignite contract with people and partners in the building sector to achieve sustainable human settlements. The NGO sector also exerted some pressure on the government to include self-help housing (Huchzermeyer 2001:23). Aims of the PHP are to maximize beneficiary involvement when their houses are built and enhancing the beneficiary subsidies to build or better their homes. The PHP also allows beneficiaries to choose the size and shape

(plan) of their houses. "The most important principles behind PHP policy were partnerships, a people-driven process, and skills transfer and community development/ empowerment" (Mani 2009:25). "The process allows beneficiaries to establish a housing support organisation that will provide them with organisational, technical and administrative assistance. Training and guidance on how to build houses are also supplied" (NDOH 2009:26).

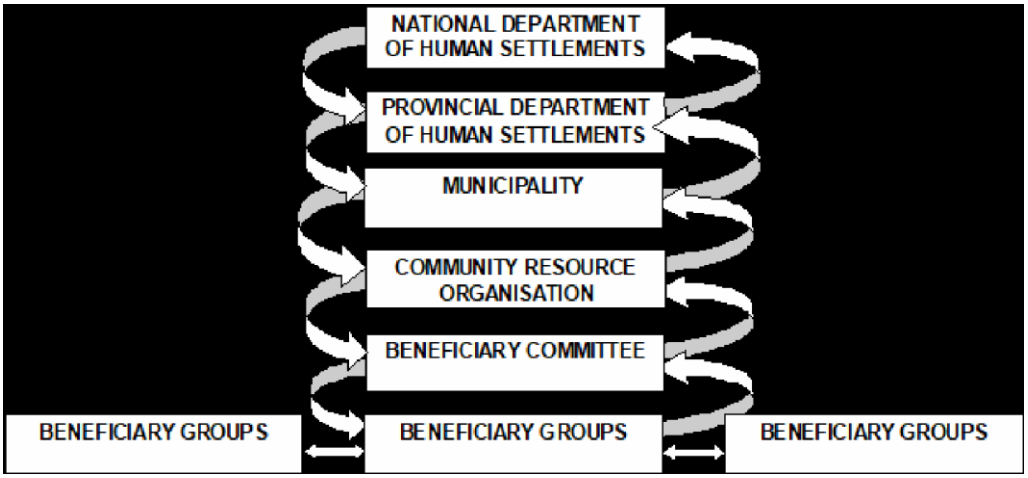
NGO's like People's Dialogue and South African Homeless People's Federation (SAHPF) are amongst the vocal groups within the PHP that lobbied for involvement of beneficiaries rather than developers in housing delivery (Huchzermeyer, 2003:322). PHP was to be implemented using the support organisations and or community- based organisations that are recommended by the beneficiaries and appointed by the provincial government. This is the form of institutional self-help as the beneficiaries are also expected to form self-help groups or housing co-operatives. These co-operatives are based on the housing support centres and shall provide technical advice to the project and help in establishing manufacturing of materials locally. The government aids the communities by providing funding for the housing support centres. Two grants are made available namely; facilitation and establishment grant added to the capital subsidy. This is what Turner referred to as creation of *enabling environment* by the government.

In the actual implementation of the programme, there were more challenges than anticipated. More support was identified to be critical by the National Department of Housing and the People's Housing Partnership Trust (PHPT) was established for that purpose. The main function of the PHPT was to empower and capacitate municipalities and provinces (Department of Housing, 1997:3). In 2005 the National Department of Housing (NDoH) task team produced "policy Framework and Implementation Guidelines for the PHP Delivery mechanism" (NDoH 2009:7). These were later reviewed in 2007 because of non-inclusion of how community driven initiatives should be undertaken and much resistance from the sector. Meanwhile, the " People Housing Process Trust (PHPT) was disbanded in 2007" (Mani, 2009: 26) for their failure to carry out its tasks and more PHP projects were implemented as "managed PHP" projects. The PHP was developed from a continuous work on housing provision guiding documents in South Africa (SA).

The PHP was also to allow beneficiaries to make decisions in relation to the size of the house and be, "involved in the construction process" (National Department of Housing, 2003: 9). In justifying the PHP policy, the National Housing Code (National Department of Housing, 2000) states, "experience has proved that if beneficiaries of subsidised houses are given the chance to either build their houses themselves or organize the building of their houses, they can build better houses for less money". The government believed that if communities are given appropriate institutional support and financial assistance they could improve their housing needs (National Housing Code, 2000). South Africa's second minister in the ANC government concluded in 1998 that, "self-building through the PHP could be seen as one of the most effective strategies in producing quality housing" (Gauteng News, 2001). She also stated that, "most of the houses that are built through this process are of better quality and bigger than those delivered through pure subsidy grants" (ibid.). However, Huchzermeyer (2006: 51), in comparing the PHP with private contractor driven housing delivery notes that, "the PHP approach did not necessarily involve communities in the housing process, but rather focused on the size and quality and not the process". According to Huchzermeyer (ibid.) the PHP housing delivery approach is "paternalistic and delivery oriented".

2.6 STAKEHOLDERS IN THE PHP

Figure 2.1: An organogram demonstrating the interactions between key stakeholders in the Enhanced People's Housing Process Programme (PHP)



SOURCE: *Implementation Guidelines for the enhanced People's Housing Process (PHP) Policy Framework 2008.*

2.6.1 THE GOVERNMENT

The government plays a vital role ensuring that the PHP is a success and providing all necessary support to the targeted households. Baumann (2003) explains that the government has since 1994 given some support to the delivery of self-built houses by the people themselves with state assistance in the form of subsidies. The main function of the government besides enacting legislations and policies in the PHP is to release funds for those beneficiaries who qualify for subsidies. The Provincial Government though its departments approve projects where local authorities are available in certain aspects of administration. According to PHP policy, it is the community groups that are directly involved in the management of the projects, providing a measure of public accountability (National Housing Code, 2000). In essence, the main function of the all levels of government is to play an enablement role for PHP projects. Baumann (2003: 12) states that "the PHP is not a housing delivery route to be implemented but is a housing practise that needs to be supported and facilitated". The provincial officials from Eastern Cape Department of Human Settlement became critical role players during the initial stages of a PHP project until completion. Their main role was to "champion" the PHP, provide provincial guidelines and to support and facilitate access to subsidies and information.

2.6.2 THE PRIVATE SECTOR

Baumann (2003: 13) points out those role players such as the private sector have an "ambiguous role in PHP projects besides their role of supplying goods and services to these projects". The introduction of the managed PHP by some municipalities paves the way for private developers to benefit in exactly the same way as with project-linked subsidy projects. The private sector organisations participate in the PHP though the construction of houses for the beneficiaries. The contractors or suppliers are selected by the DoHS through the tendering system and are heavily involved in the whole procedure form architectural drawings, constructions and supplying of construction materials. In rural housing, the private sector is seen as a supplier of building materials, developer and also employer of the local communities during the construction phases.

2.6.3 NON-GOVERNMENTAL ORGANISATIONS (NGOS)

The NGO community has played a meaningful and critical role in rendering technical and administrative assistance to the communities where the PHP is being implemented. The

South African NGOs like PLANACT and Rooftops Canada were the first to understand the concept of PHP as early as the 1980s when they began working with poor communities and "developed community based and people-centred approaches to access land and to build houses". However Baumann (2003: 44) states that the South African NGO community has been critical of South Africa's housing policy and of the role of the PHP in it. Most PHP projects, especially those undertaken "by newly established NGOs", have "resulted in the construction of similar housing products" as conventional developer-driven housing with "limited choice in respect of design and layout" (Manie (2004: 15). In reality, NGOs together with beneficiary CBOs have ended up acting as developers (Baumann, 2003: 10). Manie (2004: 12) observes that local authorities tend to work with NGOs who sometimes do not fully understand the process. According to Manie (2004: 10), NGOs and CBOs tend to develop their own flexible approaches to the PHP. The lack of well-qualified NGOs saw the rise of an array of fly-by-night NGOs who stepped into the vacuum though they lacked understanding of the PHP (ibid.)

2.6.4. BENEFICIARIES AND VOLUNTEERS

The People's Housing Process has been termed by the government as the "key delivery method for low-cost housing for those who prefer to build their own homes" (Department of Housing, 2000). The tenets of the PHP, as it is understood and interpreted in the People's Housing Process policy, are its reliance on the labour of the beneficiaries to build their own homes. Thus, the PHP is assumed to be a housing delivery process that is aimed at reducing costs by using the labour of beneficiaries as a contribution to the process. The National Department of Housing is of the opinion that if beneficiaries are given the chance either to build houses themselves or organise the building of their homes, they can build better houses for less money (National Housing Code, 2000). In essence, one of the major objectives of the PHP is for the beneficiaries to build or organise the building of their houses. This can be done in the form of sweat equity or a contribution in the form of contributing own labour. This means that beneficiaries over and above being involved in decision-making also take part in the actual construction of their houses. In successful PHP communities, there are volunteers who also join in the construction of the homes of kin, friends or neighbours.

The PHP policy as per the Housing Code (ibid.) recognises beneficiaries as the main drivers of the PHP. The policy is designed to "accommodate involvement in human settlement development, through beneficiaries' choice in key housing decisions". According to Baumann (2003:84), in this respect "the PHP is not a housing delivery route to be implemented, but a people's housing practice to be supported and facilitated". The PHP policy allows beneficiaries to build their houses themselves, hire artisans or appoint contractors, or a combination of all three. They can also build together or individually. They can produce their own building materials, buy them from suppliers or let contractors provide them.

2.6.5 PEOPLE'S HOUSING PARTNERSHIP TRUST (PHPT)

The PHPT was independent of the government with a statutory recognition and was governed by a Board of Trustees. According to the Housing Code, the PHPT was to focus on capacity building. According to Baumann (2003: 18), the PHPT was established in 1997 to drive the implementation of the government's capacitation programme in support of the PHP. The PHP support activities were to be carried out at provincial and local levels. However, according to Bauman (2003: 17), there was never a good relationship between the Department of Housing and the PHPT as the latter is responsible for formulation of policy and therefore tends to "discourage" a PHPT role.

However, as mentioned, the PHPT was dissolved in 2007 by the National Department of Housing and all its functions have been taken over by a new PHP Directorate which has formulated a new Enhanced People's Housing Process (EPHP) policy to be implemented nationally. The new E-PHP guidelines were launched on 1 April 2009 (The EPHP Policy, Department of Housing, 2009). It is believed that one of the reasons for the PHPT's disbandment was that the PHPT had done little to promote the PHP nationally. The formation of the PHPT did not help in fast-tracking the delivery of houses through the PHP. This resulted in the PHP not delivering as was expected in terms of scaling up housing delivery.

2.6.6 FROM PEOPLE'S HOUSING PROCESS (PHP) TO ENHANCED PEOPLE'S PROCESS (EPHP).

The government was to play an enabling environment role in the implementation of the PHP. Hence PHP was implemented with the help of the Support Organisations (SO) employed by the government. The government even went further to have a

Memorandum of Understanding (MOU) with the Cuban government. Cuban Technical Advisers were brought to different South African provinces to assist with the implementation of PHP. These Cubans and SO's were criticized heavily by groups that were actively involved in the monitoring of the implementation of the programme. The Cubans were criticised for ignoring the inputs of the beneficiaries in the designing of the architectural drawings. These groups included the academics, NGO's and Federation groups. This was done to accelerate the huge housing backlog inherited from the apartheid government, to fulfil the right to housing for every citizen of the country and to fulfil the promise the promise that the ANC government had made to prior the 1994 elections (Lodge, 1999).

The National Housing Subsidy Programme was the programme used by the then Department of Housing for financing housing schemes and the PHP was also financed through it (Republic of South Africa, 2002).The approved subsidy amount at the time was R15 000.00. This amount was proved to be very little to build a decent house as it induded an amount for servicing the stands as well. The amount could not provide "a reasonable living space and privacy" (Huchzermeyer 2001:306) as it could build a small house. As a result the houses were called "matchbox" houses or "*vezinyawo*" meaning the whole body can sleep in the house but the feet or legs will be exposed outside because of the small size. Based on these criticism and findings the government introduced an enhancement to the old PHP, called the EPHP.

In 2008, the EPHP Programme was introduced with an objective to broaden the scope of PHP to, "focus on the outcomes of the housing process as a whole, rather than solely on the delivery of a housing product" (DoHS, 2009). The Programme provides, "dedicated support and funding for harnessing community initiatives, community empowerment, and building community partnerships" (Ibid). The EPHP was a build up from the PHP and builds on the strengths of communities. These can be beneficiary commitment, participation and leadership of the project. The key shift was on the concept of support organizations, which is now replaced by the Community Resource Organization (CRO) (Implementation Guidelines for the EPHP Policy Framework, 2008). There are several critical role players in the EPHP. These include the National Department of Housing, Provincial Offices, Municipalities, Beneficiaries, CRO and Beneficiary Committee (BC) members. The Enhanced People's Housing Process Policy Framework builds on the strengths of communities, and the value additions they provide to the Programme. It

therefore requires compulsory contributions/commitment from the community involved, such as participation, and taking leadership responsibilities and ownership of the project, as a prerequisite for project approval.

One of the key shifts from the old PHP model is the moving away from the concept of a Support Organisation (SO) as an intermediary that ensures the effective implementation of the PHP project. The enhanced People's Housing Process Policy Framework has conceptualised a Community Resource Organisation (CRO) to serve as an intermediary for the PHP process. The CRO is positioned to serve the area development objectives while providing the capacity to implement the PHP project and build the capacity of the beneficiary community in the process. The ultimate goal is to transfer skills and to empower the project beneficiaries and community structures they work with. Therefore, it requires that agreements be entered into with accredited CROs to partner with the community to achieve their desired outcomes.

Turner (1976) promoted an aspect where the government provides a conducive environment and resources, which he would in turn allow for the communities to construct or develop their houses incrementally. This influenced the adoption and implementation of the 'site and services' scheme policy in South Africa. Communities in rural Eastern Cape's Chris Hani District communicated that they "do not want uniform houses like in a township" (Eastern Cape Business Plan Report, 2011). The DoHS were informed by this Report's finding to help provide for the housing which the people wished for through Enhanced People's Process (EPHP) as a type of self-help housing from their once off subsidy. EPHP stemmed from Turner's assertion that the owner of the house ought to be in control of the housing construction process. This is supported by Ward (1982:1), "that erection of houses by individuals can be undertaken by the individuals themselves or by groups of households that contribute by maintaining or financing their houses."

Two of the self-help housing approaches are consolidated in the EPHP, which have been identified by The Urban Sector Network (Built Environment Support Group 1998:3) and Ward (1982) namely:

"Aided mutual help*: families work together in groups helping each other to build their houses with supervision from the external body.*

Aided self-help: *people or households work as individuals to satisfy their housing needs receiving any form assistance from private sector, government, NGO's or a combination thereof."*

The EPHP, "is a community driven process and it must be noted that the housing process is phased over time. The programme is not oriented towards delivery at scale over limited time-frames (*what Turner called housing is a verb*). The programme requires skillful technical expertise to assist, train and guide the house building processes (*skills transfer according to Turner*). The achievement of quality housing products remains a fundamental objective. Community contribution is broadly defined and is not limited to a labour contribution (sweat equity) only" (NDOH, 2009:26). In addition, EPHP can be adopted and implemented in several housing development projects which includes, "informal settlement upgrading projects, rural housing developments and 'Greenfield' developments" (NDOH 2009:26).

2.8 CONCEPTUAL FRAMEWORK

Beneficiary participation in EPHP projects in rural communities of Chris Hani District, Eastern Cape Province denote collaboration between public and private and sometimes third sectors in joint decision-making, resource commitment, responsibility sharing, risks and benefits, a division of labour and interdependences and relative comparative advantages (Ibem, 2010 and Miraftab, 2004). Actors and institutions are interdependently involved in participatory development and governance processes to solve intricate rural housing challenges through formulation, implementation and monitoring of housing policies and programmes like EPHP. The implementation and outcomes from EPHP projects are influenced by many factors that include "the composition, aim and objectives of the EPHPs, the roles of the partners as well as the political, economic, socio-cultural, technological and other contextual situations" (Ibem, 2010:29). As such, several other scholars contend that the national political, socio-economic, cultural and institutional contexts are critical in the analysis of EPHP projects.

In light of the above, I developed a conceptual framework for assessing the level of beneficiary participation in EPHP projects in rural communities of Chris Hani District, Eastern Cape Province and the roles of the government and the private partner

developers based on informed knowledge on the composition and characteristics of EPHP, the situational socio-economic contexts and general expected outcomes as informed by the literature review and case studies in this study. The conceptual framework, which is also underpinned by the dominant provider-approach discussed in detail above, falls under the enablement and facilitation discourse where government is providing a conducive environment that allows alternative production of rural housing through EPHP.

Based on the foregoing, the framework is organized into three basic components of the form and structure of the EPHP (i.e. number of partners, the socioeconomic characteristics of partners and the objectives of the EPHPs); the contextual and intervening actors that impact on EPHP operation (i.e. economic, political, institutional operational factors and the stakeholders‟ attitudes) and the outcome of EPHP housing schemes (the quantity and characteristics of the provided housing, its impacts on homelessness and the targeted population) with the indispensable intervening government role See Fig 2.2 below. Each of the four components comprises a number of variables that may explain the various aspects of EPHP operations in the area under study. In adopting this conceptual framework, this study contends that the design, implementation and outcomes of EPHP in housing are a result of the interaction of the three components as guided by the government, private sector and community as these institutions are critical in guiding the operation intervening. Hence this framework guided the research design, data collection, data analysis and interpretation of the findings in this study.

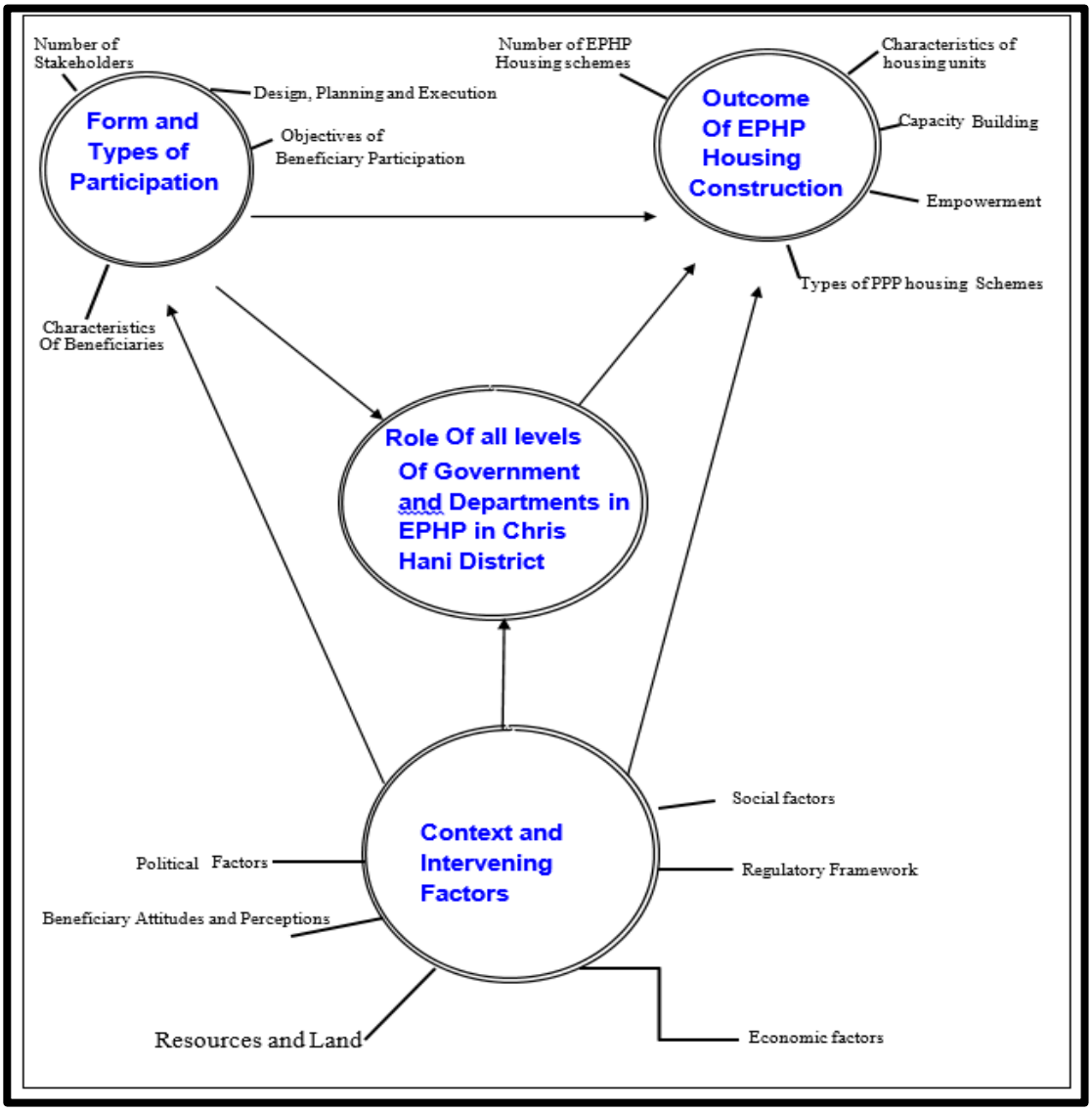


Fig 2.2 Conceptual Framework for assessing the extent of beneficiary participation in EPHP projects in rural communities of Chris Hani District. *Source: Adopted from Ibem (2010)*

2.9 CONCLUSION

This chapter covered a literature review whereby it has presented this chapter specifically interrogating the "community participation" process in rural development initiatives by community members especially in housing development. The chapter addressed the approaches to community participation, the policy and legislative framework, which includes the Policy Development and Legislation on Housing Provision, National Housing Policies, Social Capital and Housing in South Africa, The National, Provincial, and Local Government Oversight on Housing Distribution and Housing Policy in the Eastern Cape.

Furthermore, it addressed the need for community participation specifically looking at PHs, self-help concept and its implication to rural housing development in South Africa. The relationship between PHP and EPHP is interrogated, as well as how the PHP has, "strengthened community initiatives through setting up housing support centres to stimulate and assist self-efforts and community efforts by passing on information, identifying and channelling subsidies, providing technical advice, and developing co-operative arrangements to purchase material (Jenkins 1999:435). The next chapter will deal with the contextual analysis of Zwart Water and Lubisi villages.

CHAPTER THREE

STUDY AREAS: ZWART WATER AND LUBISI VILLAGES

3.1 INTRODUCTION

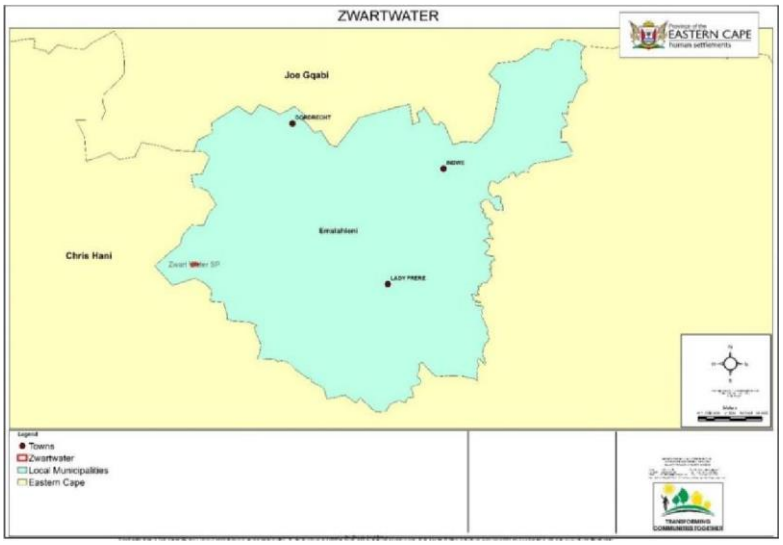
This chapter will profile the local context of the study areas, especially the community profiles of Zwart Water and Lubisi Villages in Emalahleni local municipality where the EPHP projects are being implemented. Hawtin and Percy-Smity (1994) views profiling of community local contexts as an important tool and also not new for community development in developing countries. The use of GIS, GPS systems and other spatial data technologies at all levels of government and its departments produces data in statistical categories and spatial data maps which the Eastern Cape Department of Human Settlements have been able to adopt for use in the community in a bid to effectively implement the EPHP projects and to the target population. . Furthermore, some respondents especially officials acknowledge the importance of community profiles continue to use them, as a tool or development strategy for community participation and bringing rural development at the doorsteps of community members.

3.2 ZWART WATER VILLAGE AND LUBISI VILLAGE

3.2.1 LOCALITY OF ZWART WATER AND LUBISI VILLAGE

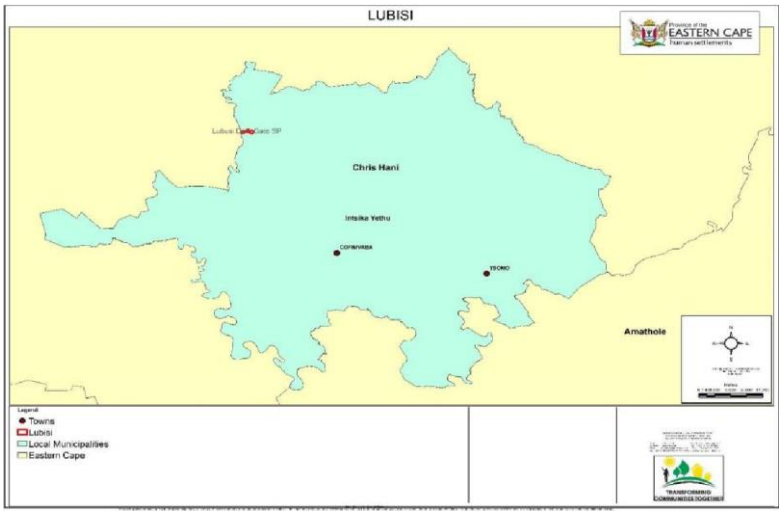
Zwart Water is one of the villages that fall under Lady Frere town in Emalahleni Municipality, about 30 km from the R410 route. The villagers are nomadic farmers and pastoralists who own goats and sheep. The western side of the village has farm boundaries. The area is very rock and sits near mining areas of Qoqodala, where dolerite is being mined. It is also near the town of Dordrecht and Indwe, where coal is mined at Elitheni mine. The village consists of six sub-villages of Gova, Dum-Dum, Qumbu, Tabase and Sdwadweni. The GPS co-ordinates of the village are: 31°40'28"S 26°50'10.1"E. Zwart Water village is found in Ward nine of the 17 wards in Emalahleni Municipality. Lubisi village is situated on the banks of Indwe dam about 30 km from the town of Cofimvaba. The villagers farm on sheep, cattle and goats. Crop farming used to be the main source of living in the area. The village consists of six villages namely: Rwantsana, Lubisi, Esingeni, Mcambalala, Seplan and Tsakana. The GPS co-ordinates of the village are: GPS coordinates: 31.7963 S, 27.4414 E.

Fig 3.1. Study Fig 3.1. Study Map for Zwart Water Village



SOURCE: Eastern Cape Department of Human Settlements, GIS Unit

Fig 3.2 Study Map for Lubisi Village



SOURCE: Eastern Cape Department of Human Settlements, GIS Unit

3.2.2 HISTORICAL BACKGROUND OF ZWART WATER AND LUBISI VILLAGE

A respondent who is one of the oldest residents in the village confirmed that the village is made of people that were forced through the Group Areas Act to move from farms in nearby town of Cofimvaba to Emalahleni area. These people were transferred from working from one farm to another until they settled and formed this village of Zwart Water. As the village grew, other families came to the area on different circumstances like

marriage. Lubisi Village was formed during the Group Areas Act era and later grew in 1968 when Lubisi Dam was built for irrigation purposes.

3.2.3 PHYSICAL INFRASTRUCTURE ASSETS

Zwart Water village have a community hall owned by the Local Municipality of Emalahleni, Thozamisa High School and Emdeni Primary both owned by the Department of Education. For a health facility, a clinic was built and being serviced by the Department of Health. There are several places of worship owned by different church congregations and are all mud structures. The village does not have a police station but is being serviced by Dubeni Police station which is about 65 kilometres away. The village has never benefited from any housing provision by the government. Housing types in the village varies from mud structures to brick houses mostly built by local bricklayers.

Lubisi village has a community hall owned by the local municipality of Intsika Yethu Municipality, and 4 clinics in Mcambalala, Tsakana, Lubisi and Lower Seplan owned by the Department of Health. The village does not have a police station and gets serviced by the police station in the town of Cofimvaba about 30 km away. The village has a big dam owned by the Department of Water Affairs. The dam was built mainly for irrigation purposes but since the irrigation schemes in the province are not fully functional, the dam only supplies water for human and animal consumption. The whole area has about 12 primary and high schools owned by the Department of Education.

3.3 SOCIO-ECONOMIC CONTEXT

3.3.1 POPULATION

The fourth largest population in Eastern Cape is in Emalahleni Municipality which has a total population of 119,460 and includes more than 200 rural villages(including Zwart Water and Lubisi Villages) comprising of seventeen (17) wards. The village of Zwart Water with its sub- villages has a total of 2476 households with 75% of the population being females. Most of the households in the village are female-headed households. The reason given by some respondents were that, “this was a result of widowhood, divorce and de facto headship, arising, for instance, from the illness of a spouse or his migration to an urban area to find work in surrounding farms and town” (Respondent 4, October 2017). The youths constitute of 30% of the total population of the area. Over the last five years, there has been a marginal growth of between 2 – 5 % of the population due to factors

such as death, poverty, HIV/AIDS and/or family planning. The total population of Lubisi Village is 60% female and 40% male. The village of Lubisi's total population is 100% Black African and speak Xhosa. Almost everyone in the village does not have formal sanitation but the District Municipality is implementing a project of sanitation backlog to provide all the villages with the Ventilated Improved Pit latrines. In Emalahleni Municipality, "47% of the population earns just under R3500.00 and 13% of the population live under the poverty datum line and would therefore not be able to afford housing or other services and rely on state subsidies" (ECSECC, 2016).

3.3.2 EDUCATION AND SKILLS

The Eastern Cape Socio Economic Consultative Council (ECSECC) (2016:05) report shows that, "about 35% of the entire population in Chris Hani District Municipality has no schooling whilst only 5% of the population has a matric (Grade 12) qualification and this indicates that the levels of educational attainment are very low." This situation presents a major challenge for community participation in rural development because essential skills for community participation, "are limited and will be further reduced by this situation in which 37% of population has no schooling at all" (Ibid). The residents in Emalahleni Municipality consist of the few who are formally employed,some informally employed and a majority which are not employed at all (ECSECC, 2016).The community members in rural areas rely on subsistence farming, government grants and remittances from relatives employed in surrounding mines, farms and cities. The educational and skills capacity of community members has a huge bearing in how they will participate, contribute and determine the level of their participation in community development projects.

3.4 EPHP PROJECT LOCATION IN ZWART WATER VILLAGE AND LUBISI VILLAGE

The two villages are located in the Eastern Cape Province which is one of South Africa's former homelands and with a poverty gap which is greater than any other province in South Africa (ECSECC, 2016). The province of Eastern Cape serve a, "largely remote and disadvantaged rural locations where unemployment is high, agricultural opportunities limited and resources scarce" (ibid: 08). The EPHP projects are located in ward nine of Emalahleni Municipality (Zwaartwater Village) and ward twenty of Intsika Yethu Municipality (Lubisi Village). These projects have a target of constructing or developing houses for 1000 households in each village. The projects are being implemented and

funded by the government in partnership with private developers, community groups and community members. Since its inception many houses have been developed with a few yet to be completed. The project location is critical for the successful implementation of the PHP in rural Eastern Cape.

3.5 HUMAN SETTLEMENTS IN ZWART WATER VILLAGE AND LUBISI VILLAGE

The greater number of houses constructed in Emalahleni Municipality have been built using bricks and traditional houses mostly built by local artisans. The Municipality has very few informal settlements and the informal settlements have been slowly declining "since 2008. This can be attributed to the increase in brick and traditional structures" (Emalahleni Municipality, 2014-2015: 23). In terms of sanitation, many households use pit latrine system, "due to the rural nature of the municipality" whilst others use flush or chemical toilets and bucket latrine (Ibid: 24). The "usage of a bucket system is still prevalent especially in towns (Indwe and Dordrecht)" despite the goal to eradicate the bucket system by 2014 (Emalahleni Municipality, 2015-2016: 24).

3.6 CONCLUSION

Chapter three has described the local and socio-economic contexts of the study areas. The two villages Zwart Water and Lubisi, came as a result of the black African people being forcible relocated from cities due to Group Areas Act. The province of Eastern Cape, is largely rural and remote with high levels of unemployment, poverty and the EPHP programme poised to improve the rural opportunities through the construction of houses for 1000 households in each village. The following chapter presents and analyses data from the fieldwork.

CHAPTER FOUR

DATA PRESENTATION AND ANALYSIS

4.1 INTRODUCTION

This chapter discusses the data analysis and findings of the study. The questionnaire used in this retrospective study was carefully analysed to ensure that the data gathered was presented clearly with the aid of tables, percentages and graphs, where possible. The overall aim of this study was to determine the extent of beneficiary participation in Enhanced People's Housing Process (EPHP) projects in rural communities of Chris Hani District. Community participation is important in rural development especially in housing development through PHP. Critical to note, is the understanding in depth of the overarching views and behaviours of stakeholders to rural housing development, lack of government enforcement and NGO responsibility and community apathy to participate in EPHP projects.

4.2 QUESTIONNAIRE RESPONSE ANALYSIS AND PRESENTATION

Table 4.1

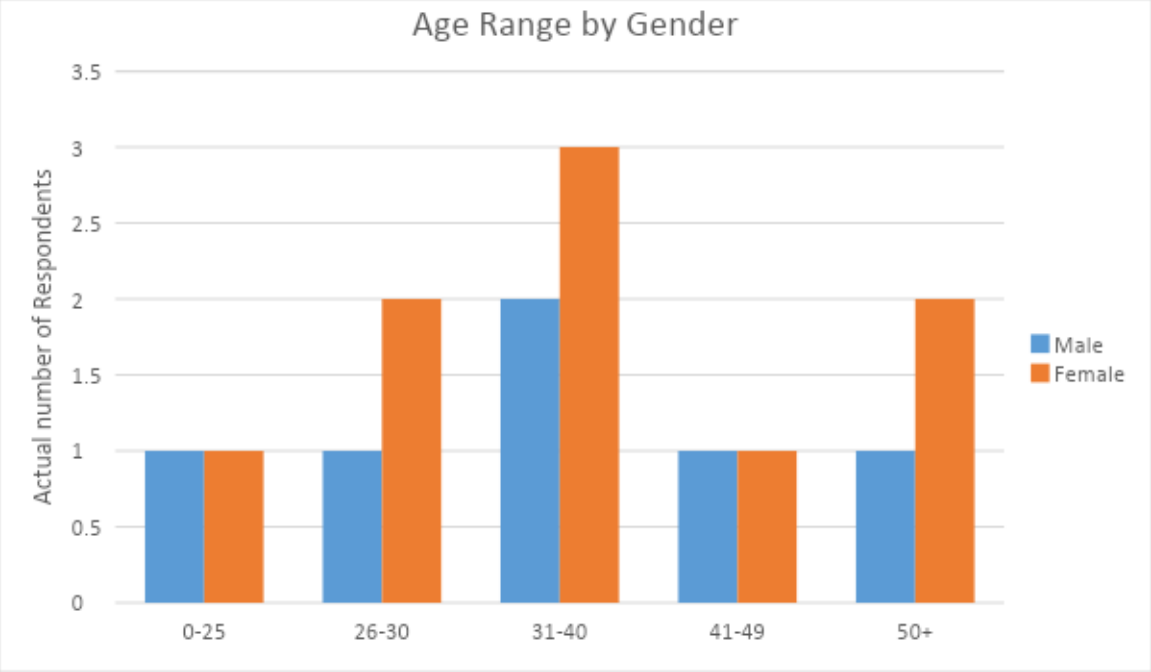
RESPONDENTS	QUESTIONAIRRES DISTRIBUTED	QUESTIONAIRRES COMPLETED	INTERVIEWS PLANNED	INTERVIEWS CONDUCTED
Beneficiaries from Zwart Water project	5	5	5	5
Beneficiaries from Lubisi project	5	5	5	5
Community Resource Organisation from Zwart Water (Volunteer)	1	1	1	1
Community Resource Organisation from Lubisi (Volunteer	1	1	1	1
Government Official from	2	2	2	2

the Regional Office for each project				
Government Official from the Provincial Office	1	1	1	1
TOTAL	**15**	**15**	**15**	**15**

Data was collected through interviews and questionnaires from the respondents. The response to questionnaires by the respondents was excellent, since all the questionnaires were completed as shown in the table 4.1 above. The response rate was excellent as the researcher managed to interview all the participants. During the interviewing process, the participants were easy to communicate with, willing to respond to the questions asked. The participants were so great to converse with and so determined to answer the given questions. As mentioned in Chapter one, the interview process was conducted face to face. This enabled me to probe further whenever the need arose.

4.3 DEMOGRAPHIC INFORMATION OF RESPONDENTS

Figure 4.1 distributions of respondents by age and gender



From Figure 4.1 the majority population of both Zwart Water and Lubisi villages is composed of the economically active age group rendering the community members

capable of to taking part in the planning, implementation and decision making in community projects meant to improve their lives.

From Fig 4.1, it can be seen that 9 out of the 15 respondents in the research were females due to a large population of females in Emalahleni and Intsika Yethu municipalities in particular Zwart Water and Lubisi villages. In fact 6 out of the 10 households which participated in the survey are female headed households which includes the widowed, divorced, married and single (never married) and cohabiting. The communities are relatively poor as evidenced by lack of quality educational facilities such as schools, library and business centres to support the livelihoods mechanisms (Official 1, 2017). The survey revealed that the 7 out of the 10 respondents do not have matric and this entails that many community members lack confidence and educational skills to fully participate with confidence in community projects. The respondents informed the researcher that in previous ward and community meetings their input were despised and ridiculed due to their level of academic status within the community and they no longer have confidence whether their input would be taken into consideration (Respondents 1, 2017; Respondent 4, 2017: Respondent, 9, 2017.) One respondent mentioned that at one community meeting not related to the EPHP, she was told that, "you are a female and not educated, what can you tell us!" (Respondent 4, 2017). This affected her confidence and the courage to raise an important point within the meetings and she has decided to be quiet and say nothing so that she won't be ridiculed or despised any more (Respondent 4, 2017).

4.4. EPHP PROJECT PROFILE IN ZWART WATER VILLAGE AND LUBISI VILLAGE

As set out in the Business Plan for the Department of Human Settlements of the Eastern Cape, the main objective of the projects is to develop rural homestead infrastructure in 1000 households in each project to improve quality of life and support livelihoods in line with the 2010 Eastern Cape Rural Housing Policy. The 2010 Eastern Cape Rural Housing Policy was aimed at assisting the households in rural communities in their endeavor to improve their quality of life with adequate housing as their first priorities. Some of the aspects established in the Business Plan for the Department of Human Settlements of the Eastern Cape needs assessment were to determine the feasibility of the EPHP as an approach to achieve the community's housing needs.

Business Plan for the Department of Human Settlements of the Eastern Cape (2010) outlined the EPHP project proposals for both Zwart Water and Lubisi villages with specific outcomes to be achieved after project implementation namely:

- Implementation of 1000 for each project of rural housing subsidies using the EPHP approach, as selected by beneficiaries.

- Development of local artisan skills related to building projects and rural-development and facilitation capabilities of selected locally resident people within the project area by use of the Enhanced People's Housing Process (EPHP).

Both projects were initiated in 2012 and were implemented in 2016. In this period of 4 years, the Provincial department was engaged in the process of consultation with the beneficiaries in the initial EPHP project planning and designing only. The second stage was to source the CRO's from the Provincial database. CRO's were invited to present to the communities and were recommended by the beneficiaries. The provincial department then appointed the recommended CRO's.

4.5. BENEFICIARY COMMITTEES (BC)

It was noted that the Beneficiary Committee (BC), was chosen by the beneficiaries to represent them in the project implementation. Both projects have BC members that are active. The Zwart Water BC was dissolved in the middle of the implementation of the project; this coincided with the change of the local ward councilor. It is suspected that politics had underlying influence in the change. The Lubisi BC has not changed since they were elected by the community at the beginning of the project. The BC's were workshopped by the appointed CRO's social facilitator on conducting meetings, conflict resolution and communication channels. Despite having the BC, this did not make beneficiaries actually become an integral part in the planning and decision-making processes, since the government department implemented a top down approach to project implementation. The DoHS made decisions on behalf of the beneficiaries/communities and relayed these decisions or directives to lower level structures like municipalities for adoption and implementation (Official 2, 2017). The top down approach stifled community participation in EPHP project implementation and reduced the autonomy of municipalities and communities to drive the implementation

process. Since the BC and communities were the last on the line of command as shown below on a one way chain, they lacked authority and power to control the implementation process (Official 1, 2017).



The site observations and responses from community members and community resource organisations revealed that although the BC is the only formal institution from grassroots level put in place to mobilize or involve people to participate in the EPHP implementation, its formal authority and power only exists as theorized. Despite the shortcoming, the BC was purported to represent the community, make decisions on beneficiaries' behalf and was the only grassroots connection between the communities and government.

4.6. FUNDING ARRANGEMENTS FOR PROJECTS

Both projects have capital funding and do not have the social facilitation grant and establishment grant. This is a serious deviation by the Department as the projects are EPHP and are reported as such even by the Member of Executive (MEC) of the Department of Human Settlement as reflected in the Policy Speech of the Department of 2016-2017. Official 2 (2017) said that in an EPHP project, on top of the normal subsidy for top structure (House), there is Facilitation grant (3% of the total project amount) and Establishment grant (2,5% of the total project amount). These two grants are used to capacitate communities at large. During the interviews undertaken with the Regional officials, it was not known why these projects were not approved to access these grants. However one informant mentioned that, maybe the reason could be eluded to reduce funds into the EPHP as the DoHS was committed to funding other projects. Due to other funding priorities by the DoHS, it was decided not to allocate the Capacity grants to the EPHP projects as per the policy prescripts. The beneficiaries did not make any contributions whether financial or material to enhance their houses. The EPHP funding is regulated by the subsidy quantum that changes almost every year to accommodate price escalations (Official 1, 2017).

4.7. STAKEHOLDERS AND THE ROLES IN ZWART WATER AND LUBISI VILLAGES

Apart from the Eastern Cape Department of Human Settlements, Beneficiaries' Committee and the CRO, there were other stakeholders who were involved in the project implementation of EPHP in Zwart Water and Lubisi villages. The CRO were brought in for

technical support, capacitate and sensitize the Beneficiaries' Committee, to effectively and efficient execute their duties and responsibilities in the implementation of the projects.

4.7.1 BENEFICIARY MEMBERS

In both projects the beneficiaries confirmed that they were workshopped on the PHP and what it entails. However, when the projects were implemented they were not given a choice to choose their house plans as promised but were given few house plans to choose from. Anything that was not on the few house plans presented to them was not allowed. On the question wanting to establish if the beneficiaries know who made the decisions on their behalf, the answers varied from few thinking it is the Department and many respondents said it was the municipality. In responding to what decisions they would have made if they were given a chance, more answers were on increasing the size of the house since they have additional contributions from their children working in the cities. About 80% of the respondents indicated that they would've liked to have an eight cornered house built for them instead of the box shaped houses as shown below in Fig 4.1. Most respondents felt that they were betrayed by the Municipality or Department which made the decision to implement the construction of the box houses against the interests and desires of the community. This act or decision was interpreted by the communities as undermining their voices and contributions during the consultative and planning process.

Beneficiaries revealed as community members they were consulted during project planning, however there was little or non-community involvement in project implementation as shown with top down approach in the construction of the box house which some respondents ridiculed as a "one size fits all" and doesn't apply to differing family contexts and setups. Data from interviews from the officials revealed that 80% of the community members were included during consultation and planning of their housing development with 20% involved in the actual implementation of the schemes through provision of labor (Official 2, October 2017).

Figure 4.2 EPHP Housing Typologies in Zwart Water and Lubisi Villages



Source: Author (2018)

During the actual construction phase, some beneficiaries did not want to volunteer their labor (sweat equity) but would opt to be a general employee in the construction of their houses (Official 1, October
2018). One beneficiary said that, "since we are without work, we have to use every chance we have to get employed and get money. And this is our chance as a community to get employed and have money" (Beneficiary 3, October 2017). The main argument put forward was that since contractors are given money to undertake construction projects, they also wanted that share or portion of the cake even if it's their actual house being constructed. Despite this, they were other community beneficiaries who volunteered

with their sweaty equity within the construction teams of the private contractors. Thus the beneficiaries, other community members who were involved in actual housing construction were paid by the contractors. In Zwart Water and Lubisi, the private contractors employed the local labor to dig trenches and slabs thereby improving the livelihoods approach and standard of life for the community members.

4.7.2 THE COMMUNITY RESOURCE ORGANISATION

The role of the CRO played an important and critical role for the successful implementation of the project through playing the developer status on behalf of the beneficiaries and providing technical assistance and advice to the Beneficiaries' Committee. In addition, the CRO acted as a viable link between the community and the Beneficiaries'' Committee. The CRO helped in both projects to manage a spreadsheet which had all the costs, lists of materials ordered and purchased. Furthermore, the CRO also worked with other stakeholders involved in the project implementation which included private sector companies, municipality and the Department of Human Settlements. One of the volunteers mentioned that in terms of procuring the building materials, the actual beneficiaries were not involved in the decision making of that process. The CRO also advises the beneficiaries of any changes in the project implementation. The CRO and DoHS makes the orders for the building materials and delivers them to the respective beneficiary houses where construction is taking place (CRO Volunteer 2, October 2017). This clearly shows that beneficiaries were not involved in the actual procurement of their housing construction materials for their houses.

4.7.3 THE PRIVATE SECTOR/CONTRACTORS

The private sector through contractors is heavily involved in the implementation of rural construction and development in rural Eastern Cape. The contractors are chosen through the tender and supply chain management system processes by the DoHS and not by the beneficiaries (Official 1, October 2018). The contractors it is alleged, were involved in every aspect of the EPHP implementation which included supplying building materials, drawing of building plans, and the actual construction of the houses. Although the beneficiaries were consulted on designing houses structure of their choices, they were

ignored as the actual building drawings did not reflect their choices and input. The contractors drew the final building plans in conjunction with the DoHS officials and ignored the input made by each individual beneficiary and this did not conform to the EPHP policy guidelines.

The contractors acted as implementers of the projects where they supplied the building material and also involved in the actual construction of the houses. In Lubisi EPHP project, the contractor employed the beneficiaries and other community members for a wage. In Zwart Water, one company was both the supplier of building material, constructor of houses and employed community members as labours in the digging of trenches and mixing cement for construction. Eventual some beneficiaries were merged into the contractors' construction teams where they gained some building and construction skills and money to purchase some of their wants in their homes. However as earlier mentioned, since the contractors were drawing building plans in conjunction with the DoHS, the beneficiaries were left with no choice to choose from since only one plan was applied to all the beneficiaries. One respondent lamented the process and said that, "they consulted me on what kind of a house I would want, however they came with a different building plan which they used to construct this box house against my wish to have an eight cornered house" (Beneficiary 8, October 2017). This example clearly illustrate the differing interest by stakeholders in the project implementation where all of them wanted to benefit but the differing power dynamics would impact the extent of involvement and decision making between the beneficiaries, contractors and DoHS.

4.8 EPHP PROJECT IMPLEMENTATION PROCESSES

One of the key project implementation process outcomes of the EPHP is to ensure that, "beneficiaries actively participate in decision making over the housing process and housing product" (DoHS, 2009). This section will establish to what extent did the beneficiaries participate and how the EPHP projects in Zwart Water and Lubisi villages has led to improved livelihoods through community capacitation, skills transfer and increased opportunities to the members of the community.

4.8.1 ZWART WATER AND LUBISI EPHP HOUSING CONSTRUCTION PROJECTS

The two EPHP projects had a total of 20 building contractors, directly involved in housing construction chosen by the DoHS through the tender process. These teams were led by a site foreman who was responsible for allocation of particular stands or sites on which a specific team had to work on. Each team was made up of 15 members, 3 - 5 of whom had to be women. Preference on general labor was given to locals and beneficiaries and others community members who had received training and on the list provided by the Department of Labor (Official 2, 2017). The project was aimed at constructing houses to for 1000 households in each village. When I visited the projects, some houses had been completed as shown in Fig. 4.2 above.

4.8.2 BENEFICIARIES TRAINING AND COMMUNITY CAPACITATION

Before the actual construction of the houses and implementation of the EPHP in Zwart Water and Lubisi Villages, a need assessment and skills audit was made to identify the needs and skills for successful implementation of the projects. The beneficiaries whose subsidies were approved, they were trained for building skills through the Department of Labour. These community members were trained for free in administration, plumbing, painting, bricklaying and slab reinforcement for the foundations (Official 2, October 2017). Due to time limits, the training however was meant to equip the beneficiaries with minimum skills to merge and be able to work with qualified and experienced builders and thereafter be able to gain more experience, skills and knowledge to be able to construct their house with less external participation and involvement. Despite these training, the contractors had an upper hand over beneficiaries during the actual construction of the houses as most beneficiaries were merely recruited as general laborers only. The training was useful in skill capacitation, however the contractors did not make use of the new skills because they already had workers in their companies who had similar skills.

4.8.3 BENEFICIARY PARTICIPATION AND INVOLVEMENT

The participation and involvement of beneficiaries in the actual housing construction and project implementation in houses built in Zwart Water and Lubisi villages has been discussed earlier in this dissertation. Although the beneficiaries were hired as labourers and participated in planning of their houses they were mainly interested in getting a house and never in participating in the whole process from project inception. Thus one

may be tempted to believe that this meant whoever built the house, it was insignificant to them compared to the product which is the house itself. This also resulted in some actual beneficiaries refusing to participate in actual housing construction without being paid, despite the fact that it was his/her house being constructed. Since some beneficiaries refused to participate without being paid, it simply meant that whoever was in charge in that particular house made the decision on behalf of the actual beneficiary. The presence of the actual beneficiary is critical as he/she can contribute and make decision if there is any changes during the construction. What remained significant was the fact that most beneficiaries refused to volunteer their sweaty equity or work for free without being paid during their actual housing construction.

In Lubisi Village, there were demands by beneficiaries to be employed during the construction process of their houses. Of the five beneficiaries who were interviewed only two beneficiaries volunteered a little with their labour during the construction of their houses whilst the other three refused to volunteer without being paid. In Zwart Water, one lady provided storerooms in form of her house to store the building material and tools during the night and take them out in the morning when the construction team comes to continue working on her site. In addition, the beneficiaries had no say on the final drawings of building plans except for little choice on one plan in Lubisi village. More so, there was little feedback between the DoHS and beneficiaries hence, any decision made by the Department, the beneficiaries could not question the officials but since they were not afforded that opportunity but through the Beneficiaries Committee and CRO. The issue of final plans drawn by the DoHS and implemented in the projects was not addressed and is still a bone of contention within the community members as they feel their contribution was insignificant. This is despite the policy stipulation affording the beneficiaries a wider pool of choice in deciding the house they want to own.

The officials interviewed knew very well what decisions are supposed to be made by the beneficiaries. They stated which decisions can be by the beneficiaries from the inception, implementation and post the project implementation. Although that is the case, the officials agreed to what the beneficiaries had revealed that they did not make a decision on the type of housing plan they wanted. They revealed that it is a cumbersome assignment for NHBRC to approve many plans for one project. This is also the case for

design purposes, it would cost more for architects to design more plans. This is viewed as a cost saving measure but it compromises the right that the beneficiary has. This is also not a fair thing to undertake because each and every subsidy is approve with a portion of amount set for that purpose.

The officials also disclosed that some decisions were made by the municipality for example in the case of Lubisi the politicians of the local municipality instructed the Department to only have two types of housing plans and not the eight-cornered house as the third option and what was proposed by the beneficiaries. The same goes for Zwart Water where the officials could not disclose who made the decision of two house plans.

Both respondents from the two CRO's know what decisions that are supposed to be made by the beneficiaries, however they confirmed that only the few decisions are made by the beneficiaries. These included local labour recruitment strategy in Lubisi. In the case of Zwart Water the beneficiaries made a labour recruitment strategy but the CRO confirmed that at some stage they have to deviate from it because the local labour was causing delays in the production.

Three respondents expressed satisfaction with the quality of houses built for them through EPHP in both villages. However, it was noted that two showed appreciation since they had received a house without paying something for it. In addition, the satisfied respondents have been owning tradition huts and receiving a brick structure of this nature is a great fortune and luck coming from a shack and receiving a shelter of this nature is lucky for them. Five respondents revealed that they were happy to have a brick house being built for them by the government however they were not happy with how the project is being implemented. They gave the following reasons:

- Type of house is decided by the government for them without considering their family structure.

- Houses are small and they want big houses mentioning an eight roomed house.

- Poor workmanship by the contractors who leaves the jobs unfurnished especially inadequate plastering.

4.9 COMMUNITY DEVELOPMENT INITIATIVES

Both CRO's confirmed that at the time of making presentations to the communities for recommendation to be appointed, they had made commitments to the community to assist them with community upliftment initiatives. The CRO for Zwart Water was going to assist the community to get their quarry licensed for mining of Sabunga (stone material used for building). The CRO for Lubisi project had promised to assist the community with agricultural co-operative since they have a big irrigation dam and the community is keen on farming. Both CRO's confirmed that they have not fulfilled their promises because the capacity building grants were not approved for their projects. These grants are paid to the EPHP Resource Organisation (CRO) on completion of work done and will need to be costed and measured by the CRO from pre-project phase, project implementation phase and project closure.

Respondents from both projects said they were promised programs to develop the community when the CRO's came to present for being selected but those were never fulfilled. The implementation of EPHP in Chris Hani District came as a result of the Rural Human Settlements Development Policy and Provincial Development Plan (PDP) 2030 which remains central and a key anchor in outlining the goals and outcomes of rural development. The Provincial Development Plan (PDP) 2030 has resulted in 11 EPHP projects at various stages of implementation in line with the Provincial Development Plan's goal of a less state driven housing programme (Official 1, 2017). The PDP 2030 document identified and selected the following areas for EPHP projects: Lubisi, Xuma, Vuyisile Mini, Zwartwater, Lesseyton, Toisekralal and Zola. The respondents think they were scammed by the CRO's because they chose them over others based on the promises they made. When questioned more on this, some beneficiaries stated that the CRO's were engaged by the communities on this and disclose that the Department did not approve funds (referring to the Capacity Building Grants) for the fulfilment of those promises.

4.10 COMMUNITY EMPOWERMENT AND PARTNERSHIP

The EPHP schemes in its planning and implementation; it should capacitate local communities and create partnership between the local community and other external stakeholders (Official 3, 2017). Community empowerment is seen in decision making, designing the project and implementing it with local resources whilst partnering with outside resources like machinery, expertise and technology for sustainable and effective implementation of the community EPHP projects (Official 1, 2017). The officials confirmed that although the EPHP is under pilot in the province the reality is that it is under implementation like any other programme. It is perceived that it is safe to report the programme as under pilot should it be implemented with mishaps. The officials are well aware of the purpose of the programme, to not only provide housing for beneficiaries but to also capacitate them while they participate by making decisions when their houses are built. They also disclosed that the two projects have not provided any accredited training of the beneficiaries, which is one way of capacitating the beneficiaries. They also confirmed that there are no community initiatives implemented in the projects. They also confirmed that the capacity grants were not given to the CRO's and it was a "Decision by the Department". Most of the respondents claim that poor communication among project managers, Government and the steering community meant they were not taken as the important group of stakeholders in the project.

The EPHP implementation in Zwart Water and Lubisi villages has displayed some kind of power sharing in the projects through community participation, decision making and empowerment. The beneficiaries were able to participate though labour and construction phases of their houses. The projects are being implemented for the benefit of the community and also there is employment creation through labour. The beneficiaries were only involved in manual work for instance digging of trenches and mixing cement and providing storage facilities for the construction materials since some companies brought their labour who had technical expertise sidelining the locals thereby not benefiting or empowering the rural communities. Thus, some respondents especially women, faced challenges being employed in manual labour required in the construction sector felt that this programme of job creation seems to be benefitting the male counterparts in the expense of the female folk.

Community Participation can succeed in empowering beneficiaries and communities when people drive the development process, communities actually participate in the project implementation and their collective effort is recognized, widened and shared (Johnston, 1982). Although the government purports to implement PHP to capacitate and empower local communities, the process has been hijacked by the technocrats, elite and politicians at the expense of the target population. Some respondents revealed of "job for the boys" approach to companies involved in construction and also favoring to employ youth and people linked to a certain political party. This approach has not lived up to its objective of improving the lives of the communities especially women who find it difficult to undertake manual labor jobs offered by these companies. When asked if they are empowered, one respondent said that:

> "*Not at all. All developments are discussed in parliament, sub-council and by political organisations. As the community we are only taken when, if you lucky, there is going to be temporary employment. The employment itself is to dig trenches and make mud, thereafter the contractor brings in their people."*(Respondent 4, 2017).

This therefore entails that, the EPHP has failed to enable skill capacitation and empower the locals with a platform to acquire new skills for future projects.

The fact the actual beneficiaries participate in the actual housing construction and also being helped by the subsidy schemes, enables affordability of the projects to beneficiaries. It is believed that, this participation reduces the profit margin to the private contractors as the beneficiaries are actually involved in housing construction. In some instances, the contractors would employ the local labor especially the actual beneficiaries in the construction of houses for a pay. One official said that, *"the money used to pay the beneficiaries for their labour is drawn from their subsidies and this further affects the size and quality of the house"* (Official 2, October 2017.) This approach although it gives the beneficiaries access to money, it has been criticized for affecting the size and quality of the house being built.

Finally, when asked about partnerships with external stakeholders, the community respondents mentioned that the councilors were not visible as required by the statutes to assist then linking with other organisations and institutions in the implementation of EPHP. The Municipal Systems Act (2000) provides for consultation in municipal affairs, notably through the generation of dependable structures for community participation in these affairs. Through the improvement of service delivery on this participatory basis, this piece of legislation aims to advance the plans and programmes of developmental local government and good governance by putting 'people first' (Pottie 2003: 614). The advent and presence of forceful NGOs, "are seen as crucial in building linking capital (specifically networks between ordinary citizens and those in authority), hence allowing ordinary people to influence, and be engaged in, decisions made by state structures which directly affected their community" (Lake and Huckfeldt 1998: 567).

4.11 CONCLUSION

An analysis of data has been presented in this chapter. The chapter used data collected through interviews, field observations and questionnaire. The data gathered from the data collection instruments was analysed into themes and where possible graphical illustrations were used to simplify the presentation of information. The data collection instruments were used to collect data on the extent of community participation in PHP. This was attained through interviewing the all the participants. The following chapter gives the conclusion, findings and recommendation based on the information gained from the population and literature review.

CHAPTER FIVE

FINDINGS, CONCLUSIONS AND RECOMMENDATIONS

5.1 INTRODUCTION

The implementation of EPHP in rural Eastern Cape Province is aimed at providing sustainable, affordable and adequate housing for the rural poor or low incomes groups in South Africa. At the core of the project implementation, the EPHP Policy guidelines categorically emphasise the participation of communities or actual beneficiaries in the project from its inception to project completion. The participation of beneficiaries in the housing development enhances quality control, project sustainability, community empowerment and improved livelihoods. In these two projects in Zwart Water and Lubisi villages, the beneficiaries were consulted during project planning, however there was little community involvement in the actual project due to top down approach, divergent views between the beneficiaries, private sector and the DoHS. Despite the EPHP policy asserting on greater beneficiary participation, it was noted that in both projects this was not the actual case.

5.2 SUMMARY OF KEY FINDINGS ON ZWART WATER AND LUBISI VILLAGES

The two EPHP projects seem to illustrate a similar approach to implementation in relation to how the EPHP principles and guidelines were applied. The implementation of EPHP projects in Zwart Water and Lubisi villages clearly illustrates a departure on the application of the actual EPHP policy guidelines and principles. However this does not mean to say that the actual guidelines should be applied as they are. One has to consider the different context in applying these principles in EPHP implementation. Mani (2009:68) argues that, "[i]t is well understood that communities are not homogenous and therefore every community responds to its housing needs in a unique way." The Zwart Water Project was better managed than the Lubisi project in that there was less political interference and the Zwart Water Beneficiary Committee (BC) did make meaningful decisions unlike the Lubisi BC, which was disbanded, thereby utterly removing the representative participation of Lubisi beneficiaries in the EPHP implementation. Hence, it is clear that in Lubisi Village projects there was minimum beneficiary participation in planning, designing and implementation of the actual project implementation.

The beneficiary involvement in actual housing construction was subject to the beneficiaries being paid during the construction of their houses. Beneficiaries in both communities viewed the project implementation as a source of employment and assisted only where there was a payment. This clearly shows that their participation was a means to an end. In both projects, beneficiaries were on the one hand employed as labourers during the building of their own houses and it improved their livelihoods although on the other hand this affected the quality and size of their houses.

The EPHP guidelines assert that beneficiaries should be the actual drivers of the whole process from its inception until completion. However, during the fieldwork I noted that the external stakeholders who had been incorporated to help the beneficiaries where actually the ones driving the whole process. This was particularly evident in the case of Lubisi Village. The local politician disbanded the Lubisi Beneficiary Committee and thus the project was run without the representative participation of the BC. Further the skills training to the beneficiaries was minimal and could not have capacitated the communities much especially after the completion of housing construction of the trained beneficiaries. The National Housing Code (2009) emphasises that the beneficiaries themselves must be at the centre at the PHP programme. The method that was followed in these cases was not as stipulated in the Code, namely that communities should be capacitated to drive the process. Thus the Zwart Water and Lubisi Projects are clearly projects managed in a top down manner, in addition to being contractor/developer driven.

Greater beneficiary participation and involvement is at the centre and core of EPHP implementation as stipulated by the policy guidelines (DoHS, 2009). In its design, EPHP was designed to, "accommodate maximum beneficiary involvement through their exercise of choice in key housing decisions" (DoHS, 2009: 15). Sowman and Urquhart (1998: 6) assert that, "one of the processes of housing development involves housing being initiated, planned, built and managed by the communities themselves." However, my two case studies suggest this not to be the case and the main question remaining is how communities can achieve an EPHP which is people driven and owned by the beneficiaries.

As earlier alluded to, these two projects instead of being community driven, were externally managed and developer driven since the project inception. The DoHS, developers and other stakeholders controlled and managed the entire process. During inception, the DoHS and developers drew up housing plans which were contrary to the beneficiaries' specifications. More so, the lack of adequate training and advice made beneficiaries unaware of their roles and duties during the actual housing construction. In some instances, beneficiaries viewed the EPHP as an employment opportunity and as a government strategy for job creation as they were unable to distinguish between contractor-driven rural housing development and EPHP implementation, as both approaches require labour. These communities barely understood that they should have been the drivers of the EPHP. According to the EPHP's intentions, they should take possession of the process, taking command of their future and be capacitated in doing things for themselves in a sustainable way, well beyond the construction of houses.

The study has shown that beneficiaries did not have full control of their projects and only participated in project designing, planning, and employment aspects and with none or minimum decision making authority. This was evident in the case of Lubisi where the eight-cornered house that some beneficiaries wanted could not be built because of political decision and professionals wanting to save costs and time. This is not a new finding in the implementation of PHP. Mani (2009) also found the same in the study that he undertook in Vosloorus Extension 28 and Ivory Park Ward 78 PHP projects in the Gauteng Province. He states that,

> "*my findings for the two case studies have revealed that PHP in its purest form has not been implemented in the same way that is contained in the PHP guidelines and policy despite the fact that these have been redefined from time to time. The fact that beneficiaries should be in the forefront was not realized in both test case projects as outside stakeholders were brought in, albeit with good intentions of supporting the beneficiaries*" (ibid).

This is still the case with the findings in the Zwart Water and Lubisi projects. It is evident in the findings that the beneficiaries were not fully empowered in the two projects, there were no partnerships created and the houses built were not best aligned to what the

beneficiaries would have wanted. Positive findings, however, were that youth and women were being involved in the process and were not discriminated against. The youth were involved in the actually construction as brick layers, plumbers and painters whilst women were involved in storing the tools and materials, painting and cement mixing during the actual construction. Another positive finding was that skills transfers were to some extent ensured by employment and workshopping for local labour. However, the non-availability of accredited training remains a cause for concern.

Two of the expected outcomes of the study were proved right. Firstly, there has been little or no shift in pushing for quality rather than quantity of houses. Secondly, there was disappointment from the rural communities for not getting what they had expected. One of my expected outcome was proven wrong, and that was my assumption that there is a misinterpretation of the EPHP policy by the implementers. To the contrary, the study found that the government officials at project management level and the CRO's know exactly the intentions of the EPHP policy, and yet they were not implementing it according to its intention. This is an aspect that requires deeper interrogation, and therefore is an area for further study.

5.3 RECOMMENDATIONS FOR IMPLEMENTATION

The EPHP in its implementation in rural Eastern Cape has faced challenges of participation by beneficiaries. I recommend that there in need for maximum training of beneficiaries on the actual concept of EPHP to create a clearer understanding of EPHP. This clearer understanding would enable beneficiaries to understand their roles and responsibilities and participate fully in the project implementation from its inception until completion. This would result in communities building their houses themselves and being empowered during the process. The beneficiaries as ultimate users of the houses should be the real controllers of the process in terms of the choice of CRO, technical support, house design and building materials.

The findings also lead me to suggest that the CRO and BC involved in EPHP projects need constant support and expertise to develop community involvement skills and management so that they can have meaningful control rather than limited participation in their projects. Firstly, there needs to be a policy environment that is supportive of the

concept and ensures that the Beneficiaries Committee (BC) cannot be disbanded through political interference, and that only the beneficiaries and or Committee members themselves can disband the committee. More so, in relation to housing delivery, all the stakeholders should understand the "freedom to build" (Turner, 1972: 142) concept, which is based on the capacity to support rather than to instruct; to accommodate rather than to impose. The EPHP requires a mind-shift, from among the beneficiaries and officials, from a technical to a "people's process". There has to be limited provincial or local government interference over the implementation of EPHP, which currently leaves the beneficiary choice limited.

Rural Housing Policy (DoHS, 2010) recognizes that rural communities have various wants which demands for investment in diverse forms of shelter and other infrastructures in support of rural livelihoods. Policy sets out that options include the more conventional option of an RDP house, or alternatively a range of other built forms including: upgrading of existing structures, fencing, alternative energy, improved water supply, water harvesting, and beyond the individual household domain, joint investment in social structures such as footbridges, crèches, and dipping tanks among others. The value of these would add up to be equal to an RDP house.

Further, the EPHP implementation process is funded and includes additional grants to cover for community mobilisation, mentoring and training and overall project facilitation. The subsidy quantum applies to the household and the EPHP funding is for the entity managing the EPHP process with much increased facilitation, participation, local employment and training than the conventional contracting route. It is critical that the Facilitation Grant (3.0% of subsidy quantum) and Establishment Grant (2.5% of subsidy quantum) be approved by the Department to ensure full funding for the implementation of the programme.

Current Human Settlement Policy (DoHS, 2010) highlights the need to invest in and support needs for shelter as well as livelihoods through the provision of alternatives to an RDP house. The EPHP logically provides for individual spending on the built environment, including preferences for smaller shelters, fencing, water-storage, energy supply, animal housing, workshops and additional livelihood options.

Lastly, a certain level of intervention needs to be undertaken especially at the senior management level of the Department to ensure that EPHP is fully understood and decisions that are made at that level do not compromise full implementation of the EPHP.

REFERENCES

A critique of current World Bank thinking on low-income housing delivery in Third World Cities. *Third World Planning Review,* 15(1) 1-22.

African National Congress. 1994. Reconstruction & development Programme: A policy Framework. Umanyano Publications, Johannesburg.

Akroyd, H.D., 2003. *Agriculture and Rural Development Planning*. Routledge, London.

Alan, G. 2000. Financing self-help housing: evidence from Bogota, Colombia. *International Planning Studies,* 5(2), 165-190.

Baken, R.J. and van der Linden, J, 1993. 'Getting the Incentives Right': Banking on the Formal Private Sector. A Critique of World Bank Thinking on Low-Income Housing Delivery in Third World Cities. *Third World Planning Review*, *15*(1), 1-22.

Baumann, T., 2003. The People's Housing Process in South Africa. Review for the People's Housing Partnership Trust, Pretoria.

Beinart, W and Bundy, C. 1980. State Intervention and Rural Resistance: The Transkei, 1900-1965. In Klein, M, A (ed). Peasants in Africa. Sage Publications, London.

Bergdall, R, D. 1993. Methods for Active Participation Experiences in Rural Development from East and Central Africa. Oxford University Press, Nairobi.

Bhattacherjee, A., 2012. Social Science Research: Principles, methods and practices. Open Access Textbooks, USF Tampa Bay.

Bredenoord, J. and van Lindert, P., 2010. Pro-poor housing policies: rethinking the potential of assisted self-help housing. *Habitat International*, *34*(3), 278-287.

Burgess, R. 1992. Helping some to help themselves. Third world housing policies and development strategies. In K, Mathey (ed) Housing policy in the socialist third world. Mansell, London.

Chambers, R., 2014. *Rural development: Putting the last first*. Routledge, London.

Charlton, S. and Kihato, C., 2006. Reaching the poor? An analysis of the influences on the evolution of South Africa's housing programme. *Democracy and delivery: Urban policy in South Africa*, *254*.

Chawla, L., 2016. *Growing up in an urbanizing world*. Routledge, London.

Coetzee, J.K. 1986. Development is for People. Macmillan, Johannesburg.

Cornwall, A. 2002. *Making spaces, Changing Places: Situating Participation in Development, Institute Of Development Studies*, IDS Working Paper 170.

Creswell, J.W. and Miller, G.A., 1997. Research methodologies and the doctoral process. *New Directions for Higher Education*, *1997*(99), 33-46.

De Clerq, F. 1994. 'Putting Community Participation into Development Work: The difficult case of Winterveld'. In Vink, N. (ed). Development Southern Africa. Vol 2(3), 379-393.

Department of Human Settlements. 2000. National Housing Policy and Subsidy Programmes. Department of Human Settlements, Pretoria

Department of Human Settlements. 2009. Incremental Interventions: Enhanced People's Housing Process. Part 3, Vol. 4, 1-39.

Ferguson, B. and Navarrete, J. 2003. A financial framework for reducing slums: lessons from experience in Latin America. *International Institute for Environment and Development* 15(2), 201-215.

Friedman, A. and Phillips, M., 2004. Continuing professional development: Developing a vision. *Journal of education and work*, *17*(3), 361-376.

Fung, A., 2015. Putting the public back into governance: The challenges of citizen participation and its future. *Public Administration Review*, *75*(4), 513-522.

Gilbert, A. and Crankshaw, O. 1990 Comparing South African and Latin American experience: migration and housing mobility in Soweto. *Urban Studies*, 36(13), 2375-2400.

Gilbert, A., Mabin, A., Mc Carthy, M. and Watson, V., 1997. Low-income rental housing: are South African cities different?. *Environment and Urbanization*, *9*(1), 133-148.

Ginther, K. 1998. 'Participatory and Action Research: Lessons from the Methodology' In Holland, G and Answell, G (eds). Winds of Small Change: Civil Society Interaction with the African States. Afesis-Corplan. East London.

Gough, K, V., 1996. Self-Help housing in urban Colombia: Alternative for the production and distribution of building materials. *Habitat International*, 20(4) 635-651.

Green, G.P. and Haines, A., 2015. *Asset building & community development*. Sage publications, Thousand Oaks.

Hardoy, J.E. and Satterthwaite, D., 1997. Building the future city. Oxford University Press, Oxford.

Harris, R. 1991. Self-Building in the Urban Market. *Economic Geography*, 67(1), 1-21.

Hart, T. and Hardie, G.J., 1987. State-sanctioned self-help and self-help homebuilders in South Africa. *Environment and Behavior*, *19*(3), 353-370.

Heater, D. (1999). What is citizenship? Polity Press, Cambridge.

Hickey, S & Mohan, G (2005). Relocating participation within a radical politics of development. *Developmant and Change*, 36(2) pp.237-262.

Huchzermeyer, M. 2001. Housing for the poor? Negotiated housing policy in South Africa. *Habitat Internationa*l, 25(3), 303-331.

Huchzermeyer, M., 2002, April. Upgrading through the project-linked capital subsidy: Implications for the strategies of informal settlement residents and their community organisations. In *Urban Forum* (13) 2, 67-85.

Huchzermeyer, M., 2006. Challenges facing people-driven development context of a strong delivery-oriented state. Joe Slovo village, Port Elizabeth, *Urban Forum*, 17 (1), 5-53.

Jenkins, P. 1999. Difficulties encountered in community involvement in delivery under the new South African housing policy. *Habitat International*, 24(4), 431-446.

Johnston, M., 1982. The labyrinth of community participation: experience in Indonesia. *Community Development Journal*, *17*(3), 202-207.

Keivani, R. and Werna, E. 2001. Refocusing the housing debate in the developing countries from a plurarist perspective. *Habitat International*. 25, 191-208.

Kenny, S. and Connors, P., 2016. *Developing Communities for the Future 5ed*. Cengage AU.

Kerr, D. and Kwele, N, 2000. Capital accumulation and political reproduction of urban housing problem in Botswana, *Urban Studies*, 37(8) 313-1344.

Khan, F & Thurman, S. (2001) *Setting the Stage: Current Housing Policy and Debate in South Africa*. Isandla Institute. Cape Town

Khurana, M, L. 2001. Organisation and management of housing cooperatives. National Housing Cooperative Federation, India.

Kranzt, L. 2013. The sustainable Livelihood Approach to Poverty Reduction: An Introduction. *SIDA. Division for Policy and Socio-Economic Analysis*. Swedish International Development Cooperation Agency (SIDA), Stockholm.

Kulipossa, F. P. 1998. 'Mozambique: Democracy and Development in Academic Debate'. In Holland, G. and Aswell, G. (eds). Winds of Small Change: Civil Society Interaction with the African State. Afesis- Corplan, East London.

La Due Lake, R. and Huckfeldt, R., 1998. Social capital, social networks, and political participation. *Political Psychology*, *19*(3), 567-584.

Landman, K and Napier, M., 2010. Waiting for a house or building your own? Reconsidering state provision, aided and unaided self- help in South Africa. *Habitat International*, 34 (3), 299-305.

Leedy, P.D. and Ormrod, J.E., 2005. *Practical research*. Pearson Custom, New York.

Lodge, T., 1999. Policy processes within the African National Congress and the tripartite alliance. *Politikon*, *26*(1), 5-32.

Mani, M, E. (2009). Who has been driving the People's Housing Process? A case study of Vosloorus Extension 28 and Ivory Park Ward 78 PHP Projects in Gauteng Province. Johannesburg.

Mani, M.E., 2009. *Who has been driving people's housing process?: a case study of Voslorus Extension 28 and Ivory Park Ward 78 PHP Projects in Gauteng Province* (Masters Dissertation).

Marais, L., Van Rensburg, N. and Botes, L. 2003. An empirical comparison of self-help housing and contractor-driven housing: evidence from Thabong (Welkom) and Mangaung (Bloemfontein). *Urban Forum*, 14(4), 347-365.

Marais, L; Ntema, J & Venter, A. State control in self-help housing: evidence from South Africa. Center for Development Support. University of Free State, Bloemfontein.

Marshall, M, N. 1996. "Sampling for qualitative research". *Family Practice*, 13(6), pp522-525.

Maslow, A.H., Frager, R., Fadiman, J., McReynolds, C. and Cox, R., 1970. Motivation and personality (Vol. 2).

Meth, P. and Charlton, S., 2017. Men's experiences of state sponsored housing in South Africa: emerging issues and key questions. *Housing Studies*, *32*(4), 470-490.

Midgley, J., Hall, A., Hardiman, M., and Narine, D. 1986. Community Participation, Social Development and the State. Meuthen, London.

Midgley, J., Hall, A., Hardiman, M., and Narine, D. 1986. Community Participation, Social Development and the State. Meuthen, London.

Mitlin, D. 2001. Housing and urban poverty: a consideration of the criteria of affordability, diversity and inclusion. *Housing Studies*, 16(4), 509-522.

Muller-Glodde, U. 1991. Where there is No Participation: Insight, Strategies, Case Studies. "Do's and Don't's" in Regional Rural Development in Asia. GTZ, Eschborn.

Newton, C., 2013. The people's housing process….getting the quality in the quantity? *Journal of Housing and the Built Environment*, 28 (4) 639-651.

Nientied, P. and van deer Linden, J. 1998. Approaches to low-income housing in the Third World. Chapter 9 (136-156) in Gugler, J. (ed) *The Urbanisation of the Third World*. Oxford University Press, New York.

Nshimbi, C.C., 2018. Rethinking Regional Integration for Development and Eradication of Poverty in Africa: The Missing Link. In *The Palgrave Handbook of African Politics, Governance and Development* (pp. 645-660). Palgrave Macmillan, New York.

Omenya, A., 2002. *Sustainable Self-help Housing in South Africa*? A paper presented at the Conference of Housing and Urban Development in Sub Saharan Africa, in Accra, Ghana, from 22nd July 2002 to 26th July 2002.

Parnell, S. and Hart, D. 1999. Self-help housing as a flexible instrument of state control in 20th-century South Africa. Housing Studies, 14(3), 367-386.

Payne, G. (ed) 1999. Making Common Ground. Public-private partnerships in hand for Housing. Intermediate Technology Publications, London.

Planact. 2010. Participation & Development. From the perspective of the poor. Planact, Johannesburg.

Pona, F, Z. 2002. *People-Centred Development in Practice: The case of the Zikhova-Ngqinisa Sidibene Woodlot Trust Project.* Rhodes University, Grahamstown.

Potter, R., Binns, T., Elliott, J.A., Nel, E. and Smith, D.W., 2017. *Geographies of development: An introduction to development studies*. Routledge, London.

Pugh, C. 1991. Housing Policies and the Role of the World Bank, *Habitat International*, 15(1/2), 275-298.

Pugh, C. 2001. The theory and practice of housing sector development for developing countries, 1950-99. *Housing Studies,* 16(4), 399-423.

Raniga, T. and Simpson, B., 2002. Community participation: Rhetoric or reality?. *SOCIAL WORK-STELLENBOSCH-*, *38*(2), 182-192.

Republic of South Africa National Housing Policy, 1997: Supporting the People's Housing Process. Housing the Nation. Government Documents, Pretoria.

Republic of South Africa. 1996. Constitution of the Republic of South Africa. Government of South Africa, Pretoria.

Republic of South Africa. 1997. The Housing Act. Government Printer, Pretoria.

Republic of South Africa. 2000. Department of Housing. National Housing Code. Pretoria, Government Printer, Pretoria.

Republic of South Africa. 2009. Enhanced People's Housing Process. National Department of Housing. Government Publication, Pretoria.

Roodt, M.J. 1996. 'Participatory Development: A jargon Concept' In Coetzee, J.K. and Graaf, J. (eds). Reconstruction, Development and People. International Publishers, Johannesburg.

Roux, J. 2007. *The Urban development programme housing.* Swedish-South African Cooperation. Pretoria.

Rust, K. 2006. *Analysis of South Africa's housing sector.* Finmark Trust, Johannesburg.

Rwegosira, H. 2006. A Guide to Social Science Research. Mnukina Nyota Publishers, Dar es Salaam.

Singh, K. 2007.Quantitative Social Research Methods. Sage Publications, Delhi.

Skinner, R.J. and Rodell, M.J. eds., 1983. *People, poverty and shelter: Problems of self-help housing in the third world* (Vol. 817). Taylor & Francis, London.

Smith, H.C., 1999. *Networks and spaces of negotiation in low-income housing: the case of Costa Rica* (Doctoral dissertation, Heriot-Watt University, Edinburgh).

Sowman, M. and Urquhart, P., 1998. *A place called home: Environmental issues and low-cost housing*. Juta, Cape Town.

Stake, R.E., 1995. *The art of case study research*. Sage, Thousand Oaks.

Stewart, J. and Balchin, P. 2002. Community self-help and the homeless poor in Latin America. *The Journal of the Royal Society for the Promotion of Health*, 122(2) 99-107.

Sukumar, G. 2001. Institutional potential of housing cooperatives for low-income households: the case of India. *Habitat International,* 25(2), 147-174.

Svenskerud, M., 2003. *Community participation and participatory development in Post-Apartheid South Africa* (Masters Dissertation, University of Cape Town, Cape Town).

Terreblanche, M., Durrheim, K., and Painter, D. 2006. Research in Practice. Applied Methods For The Social Sciences. 2nd (ed) University of Cape Town Press, Cape Town.

Tissington, K. 2011. SERI: A resource guide to housing in South Africa 1994-2010. Legislation, Policy, Programmes and Practice. Socio-Economic Rights Institute of South Africa (SERI), Johannesburg

Tomlinson, M. 1999. South African Housing policy and Programme Review. Department of Housing. Government Gazette, Pretoria.

Turner, F, C and Fichter, R. 1972. Freedom to Build, dweller control of the housing process. Collier Macmillan, New York.

Turner, J., 1976. Housing by the people: Towards Autonomy in Building Environment. L. Marion Boyars, London.

Walker, A.P.P., 2016. Self-help or public housing? Lessons from co-managed slum upgrading via participatory budget. *Habitat International*, *55*, 58-66.

Ward, P. and Macoloo, C. 1992. Articulation Theory and Self Help Housing Practice in the 1990's. *International Journal for Urban and Regional Research*. 16(1) 60-80.

Ward, P., 1982. Self-help Housing. A critique. Mansel, London.

Wilkinson, P., 1998. Housing policy in South Africa. *Habitat International*, 22(3), 215-229.

Zhang, L. Zhao, S.X.B. and Tian, J.P. 2003. Self-help housing and Chengzhongcun in China's Urbanisation. *International Journal of Urban and Regional Research*, 27(4), 912-937.

Zonke, N.M., 2015. *Community involvement trends in the housing development processes in a selected township in Cape Town, South Africa* (Masters Dissertation, Cape Peninsula University of Technology, Cape Town).

ANNEXURE A

Consent Form:

<u>Participation in the study, entitled</u>: THE EXTENT TO WHICH BENEFICIARIES PARTICIPATE IN THE ENHANCED PEOPLE'S HOUSING PROCESS (EPHP) PROJECTS IN THE RURAL COMMUNITIES OF CHRIS HANI DISTRICT IN THE EASTERN CAPE PROVINCE.

This consent form confirms that I have been briefed, have read and understood the scope of this research study. I have also been informed of:

- ☐ the nature of my participation in the form of an interview
- ☐ the place and duration of the interview
- ☐ the reasons for why I was selected to participate in the study
- ☐ the voluntary nature of my participation, meaning I may refuse to answer, and may withdrawing from the interview at any point
- ☐ that there are no payment or incentives related to my participation

☐ that there are no loss of benefits or risks related to my participation

☐ confidentiality (meaning what I say in my interview will not be given to anyone else)

☐ anonymity (meaning my identity will not be disclosed unless I give permission to do so)

☐ how the research findings will be disseminated

I_____
(respondent's name) hereby agree being interviewed

I agree/disagree [cross out as relevant] to have the interview audio-recorded

I agree/disagree [cross out as relevant] to my name being used.

Signature of Participant: _____

Date: _____

Signature of Researcher: _____

Date: _____

ANNEXURE B

Participant Information Sheet

TOPIC: THE EXTENT TO WHICH BENEFICIARIES PARTICIPATE IN THE ENHANCED PEOPLE'S HOUSING PROCESS (EPHP) PROJECTS IN THE RURAL COMMUNITIES OF CHRIS HANI DISTRICT IN THE EASTERN CAPE PROVINCE.

School of Architecture and Planning, Private Bag 3, Wits 2050, Johannesburg

South Africa

Supervisor: Neil Klug (Tel: 082 461 7343, e-mail: Neil.Klug@wits.ac.za)

Dear Sir/Madam

My name is Phaphama Mkumatela. I am currently enrolled for a Master's degree in Master in Built Environment (Housing) in the School of Architecture and Planning at the University of Witwatersrand. One of the requirements of the degree is the completion of a research report. I am undertaking my research on beneficiary participation on EPHP projects. For this reason, I would like to interview you for this study.

My research sets out to investigate the role of beneficiaries when their houses are built.

Participation in this research will entail being interviewed by myself, at a place and a time that is convenient for you. Participation is voluntary, and you can withdraw from this study at any time. There are no identifiable risks associated with your participation in the research. The interview will last for 40 minutes and with your permission this interview will be audio recorded, in order to ensure accuracy. Direct quotes from the interview may be used in the research report. Unless you would like the quotes attributed to your name, your anonymity will be ensured, meaning I will not use your name and no information that could identify you would be included in my report. The interview tapes and transcripts will not be seen or heard by any person at Wits or elsewhere, and will only be accessed by myself.

Upon completion of this research study, the audio tapes, transcribed material and other material will be kept secure on a password protected computer for a period of six years. Once the study has been examined, it will be publically available through the university library on the internet and copies are available from me on request.

If you agree to the interview, please fill in the consent form provided prior to the commencement of the interview. Your participation in this study is greatly appreciated. While this is a strictly academic study, it is hoped that the results may lead to concrete recommendations to improve beneficiary decision making in EPHP projects.

Kind Regards

Phaphama Mkumatela

Tel: 0835431627

Email: 1534009@students.wits.ac.za

Annexure C

Formal (Signed) Consent Form for Key Informants

Master's Research Report titled: THE EXTENT TO WHICH BENEFICIARIES PARTICIPATE IN THE ENHANCED PEOPLE'S HOUSING PROCESS (EPHP) PROJECTS IN THE RURAL COMMUNITIES OF CHRIS HANI DISTRICT IN THE EASTERN CAPE PROVINCE

I hereby confirm that I have been informed of the purpose, procedures and my rights as a participant. I have received, read and understand the written participant information sheet. I have also been informed about the voluntary nature of the study. The researcher informed me of the rights of refusal to answer some questions I do not feel comfortable with as well as the right to withdrawal from the study interview anytime I might feel the need to do so.

I have been informed that this interview will remain confidential, meaning nobody except the researcher will have access to it. I was also informed that my name and

identity will not be disclosed at any time (unless I give permission below that my name be used), meaning the data is published in a journal or other publications without my name or disclosing my identity. I am aware that people directly familiar with the project, however might identify me with statements I make in this interview.

I agree to participate in this interview.

I agree / do not agree to audio recording during the interview.

I agree / do not agree to my name being used.

Respondent Name……

Signature…….. Date……

ANNEXURE D

Beneficiary Questionnaire

SECTION 1 – RESPONDENT'S DETAILS

1	Code of respondent	
2	Name of village	
3	Age of respondent	
4	Gender of respondent	

SECTION II

A. LEVEL AND PERCEPTION OF BENEFICIARY INVOLVEMENT

1. Do you know what decisions are supposed to be made by a beneficiary in building their houses? If yes, please describe your understanding. If not, what do you think it means?

.....
.....
.....
.....
.....

2. What decisions did you make in building your house?

.....
.....
.....
.....
.....

3. If the answer to 2 is none, what decisions would you have made?

.....
.....
.....
.....
.....
.....

4. If you did not make the decision, who do you think made the decision on your behalf?

.....
.....
.....
.....
.....

5. How does it make you feel that decisions were made on your behalf?

.....
.....
.....
.....
.....
.....

6. Why do you think decisions were made on your behalf?

……
……
……
……
……
……

B. COMMUNITY DEVELOPMENT INITIATIVES

1. What programs are done to develop the community? If none, answer number 2.

……
……
……
……

2. What programs of community development you would have wanted?

……
……

3. Were there any promises made to develop the community? If yes, name them.

……

4. Do you the reasons why the promises in 3 were not met? If yes, name them.

……
……
……

ANNEXURE E

Official's Questionnaire

SECTION 1 – RESPONDENT'S DETAILS

1	Code of respondent	
2	Name of Office (Regional or Provincial)	
3	Age of respondent	
4	Gender of respondent	

SECTION II

A. LEVEL AND PERCEPTION OF BENEFICIARY INVOLVEMENT

1. Do you know what decisions are supposed to be made by a beneficiary in building their houses? If yes, please describe your understanding. If not, what do you think it means?

……
……
……
……
……
……

2. Did beneficiaries make these decisions in the projects? If no, what were the reasons for that?

……
……
……
……
……
……

3. If the answer to 2 is NO, who made the decisions on behalf of the beneficiaries?

……
……
……
……
……
……

4. What do you think the people in 3 made the decisions on behalf of beneficiaries?

……
……
……
……
……

B. COMMUNITY DEVELOPMENT INITIATIVES

1. What programs are done to develop the community? If none, answer number 2.

……
……
……
……
……
……

2. What programs of community development would have been appropriate i n the area?

……
……
……

3. Were there any promises made to develop the community? If yes, name them.

……
……
……

4. Do you the reasons why the promises in 3 were not met? If yes, name them.

……
……
……

C. STATE OF THE PROGRAMME IN THE EASTERN CAPE PROVINCE

1. Can you confirm that the EPHP is still under pilot in the Eastern Cape?

---

2. Do you know the reasons why the programme is still under pilot? If yes, name them.

---

3. Would say the program is serving its purpose in the Eastern Cape?

---

4. What is the EPHP programme's purpose?

---

5. What makes EPHP unique from other housing programmes?

---

6. Does Lubisi and Zwart Water projects have these (mentioned in 5)?

---

7. If No to 6, please name the reasons

ANNEXURE F: **CRO QUESTIONNAIRE**

1	Code of respondent	
3	Age of respondent	
4	Gender of respondent	

SECTION II

A. LEVEL AND PERCEPTION OF BENEFICIARY INVOLVEMENT

1. Do you know what decisions are supposed to be made by a beneficiary in building their houses? If yes, please describe your understanding. If not, what do you think it means?

.....
.....
.....

……
……
……

2. What decisions did they make if any?

……
……
……
……
……
……

B. COMMUNITY DEVELOPMENT INITIATIVES

1. What programs are done to develop the community? Name them, if any

……
……
……

2. Were there any promises made by you to develop the community? If yes, name them.

……
……
……

3. Do you know the reasons why the promises in 2 were not met? If yes, name them.

……
……
……

4. Do you feel you are implementing the EPHP fully? State reasons for your answer

90 Seventieth Avenue

Gonubie

5257

18 April 2017

The Head Of Department

Department Of Human Settlements

Chiselhurst

EAST LONDON

5200

REQUEST TO CONDUCT RESEARCH RELATED WITH THE EASTERN CAPE PROVINCIAL DEPARTMENT OF HUMAN SETTLEMENTS.

I am currently registered with the University of Witwatersrand for Master in Built Environment (Housing). In 2016 I completed the course work for this degree. In order for me to complete the course, I have to undertake research and produce a dissertation.

I have a special interest in the implementation of policies and have chosen the topic of my research as "SELF-HELP HOUSING PROVISION IN SOUTH AFRICA: ASSESSMENT STUDY ON THE EXTENT TO WHICH ENHANCED PEOPLE'S PROCESS IS IMPLEMENTED IN THE RURAL COMMUNITIES OF CHRIS HANI DISTRICT IN THE EASTERN CAPE PROVINCE". The intention of the study is gather information from beneficiaries on the programme, Departmental officials and Implementing agencies to measure the extent to which Self-Help Housing is implemented in the Eastern Cape Province.

When conducting the study, I ensure that ethical considerations will be held very high and no respondent will be compromised in any way. The study will be undertaken solely for academic purposes and the findings will be utilised as such. The study will not affect my normal working hours, since I have approved study leave to utilise for this purpose.

It is for the above background that I humbly request the Head Of Department to grant me permission to conduct the study.

P. MKUMATELA

DEPUTY DIRECTOR: EPHP

Approved

19/04/2017

DATE

Provided that does not impede the work of colleagues

SCHOOL OF ARCHITECTURE AND PLANNING
HUMAN RESERCH ETHICS COMMITTEE

CLEARANCE CERTIFICATE
PROTOCOL NUMBER: SOAP051/06/2017

PROJECT TITLE:	The extent to which beneficiaries participate in the enhanced people's housing process (EPHP) projects in the rural communities of Chris Hani District in the Eastern Cape Province
INVESTIGATOR/S:	Phaphama Mkumatela (Student no #1534009)
SCHOOL:	Architecture and Planning
DEGREE PROGRAMME:	Master of the Built Environment
DATE CONSIDERED:	11 August 2017
EXPIRY DATE:	11 August 2018

DECISION OF THE COMMITTEE: APPROVED

CHAIRPERSON _____
(Professor Daniel Irurah)

DATE: 14 - 08 - 2017

cc: Supervisor/s: Neil Klug

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 _____ **Date** 29/08/2017