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THE VIABILITY OF LOCAL GOVERNMENT INFORMAL SETTLEMENT

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CHAPTER 1: INTRODUCTION

1.1 BACKGROUND

Enormous housing backlog poses a serious challenge to Ekurhuleni Metropolitan Municipality (EMM) located about 10 kilometres to the east of Johannesburg in the largely urban Gauteng Province in the Republic of South Africa. The former Greater Germiston, that is; "total area of the former Greater Alberton and the larger part Greater Boksburg towns", located in the Southern Service Delivery Region (SSDR) of Ekurhuleni Metropolitan Municipality. It is one of the most affected areas by the proliferation of informal settlements, including those built illegally on dangerous inhabitable land for human habitat and settlement.

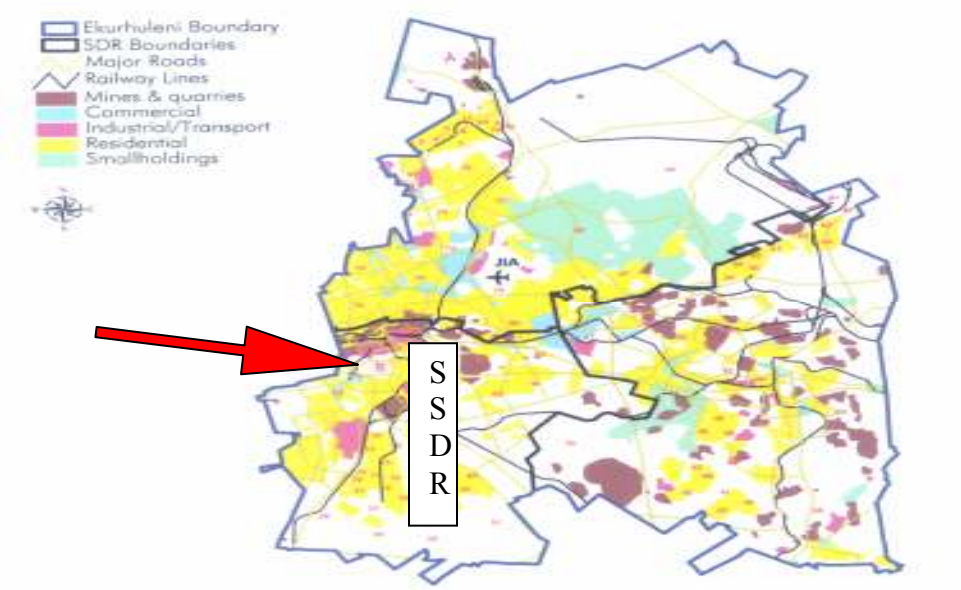
Human habitat and settlement within the municipality was and continues to be, influenced by complex multiple factors. These factors are traceable to South Africa's physical, social, economic, and political history of racial segregation. According to EMM Development Profile (2001:6):

> "The basic pattern of development within Ekurhuleni Metropolitan Municipality is characterized by low to medium density suburban residential land, supported by a variety of commercial activity centres and urban residential areas."

Mines and quarries, residential smallholdings and urban residential land occupy 111 466 191; 135 915 451; and 439 161 540 square metres respectively, EMM Development Profile (2001). The two other prominent physical features of the landscape of the municipality are huge tracks of land occupied by mine dumps as well as variable degrees of dolomite that spans some of the current residential areas. Some of the mine dumps are adjacent to strategic national road links such as N12, leading to the Maputo corridor; N17 to Witbank and Secunda; as well as N3 to Durban coast in Kwa-Zulu Natal Province, which links to N1 through the Limpopo gateway to Zimbabwe, EMM, Growth and Development Strategy (2005). Land is a scarce resource. Reclaiming some of the mine dumps as well as rehabilitating them will assist in making land available for residential zoning.

The municipality is not as compact as cities such as Johannesburg. It is characterised by vast and sparse land covering an area amounting to about 2000 square kilometres. The vastness as well as the sparseness of land does not translate into abundant land for low cost housing delivery, as most of the land is not necessarily suitable for housing development.

Figure 1: Ekurhuleni Metropolitan Municipality Map with Representation of the Southern Service Delivery Region (SSDR) & Land Use Distribution Patterns



Source: Map of Ekurhuleni Metropolitan Municipality. Southern Region (undated)

Urban residential and smallholdings constitute about 30% of the land occupied within the metropolitan municipality. According to the Ekurhuleni Spatial Development Framework (2003:15-16); "the total population is approximately 2, 38 million, showing the average growth 2, 7 percent per annum by 2002 based on recent and updated statistical figures," citation from Census (2002).

Ekurhuleni Metropolitan Municipality has approximately 112 informal settlements. It is related to an increment of about 59 000 people or 17 000 dwelling units per year since 1996 when the total population was about two (2) million, Statistics South Africa's Population Census (1996). It also signifies accelerated inward migration and growth as opposed outward migration and growth, putting more pressure on housing needs.

The Ekurhuleni Metropolitan Municipality grew into a manufacturing hub with huge industrial area or base "providing a range of heavy, noxious and light industries activities with a ratio of 8000 primary manufacturing and 5000 secondary support industries", EMM Spatial Development Framework (2003:24). It is also recorded that some 40 000 registered businesses exist within EMM area. Most of them are in the Southern Service Delivery region. Ekurhuleni municipality is also 'the home' of the O R Tambo Airport.

Fourteen (14) million passengers pass through the airport per annum. There is another additional small airport in the Southern Region the Rand Airport in Germiston. Germiston is also the largest railway hub in South Africa; links the Ekurhuleni Metropolitan Municipality with all major population centres as well as ports in the Southern Africa Region, EMM 2025 Strategy, GDS (2005). It is this phenomenon, which attracts people from all over South Africa, if not Southern Africa, or the continent Africa as a whole. A high concentration of 65 % historically disadvantaged communities within EMM is located in the Southern Service Delivery region in the Kathorus area. When compared to other areas, the Kathorus area has 24% as opposed to 14% and 12% in the Tembisa and Ketsadutsa areas respectively, Ekurhuleni Spatial Development Framework (2003). For ease of reference, attached is the Population Dynamics Map, Annexure A.

Thus, the Kathorus area is the largest area with the highest proliferation of informal settlements. As a result, the foregoing existential situation lead to a pull effect of industrial and transportation hubs bringing about high demands for accommodation and low to medium housing delivery. This phenomenon is not special to Ekurhuleni Metropolitan Municipality, but typical of many other growing as well as rapidly urbanising cities in the world and developing countries, Allan (2006).

1.2 RESEARCH PROBLEM

Local governments are at the 'coalface' of service delivery for communities worldwide. Ekurhuleni Metropolitan Municipality, like all other municipalities, is no exception to such observation. There has been recent outcry periodically exposed in the print and electronic news media. Slow housing delivery are reported, notwithstanding about two (2) million housing subsidies as well as security of tenure processed by the South African government since the advent of democracy in 1994, Msomi et al (2005).

The low cost housing delivery has been relatively good and satisfactory, but unceasing as well as perpetual demand overshadows the quantitative results of low-cost housing delivery for the poor. According to a Reuters report (2005:1), "house prices recorded nominal year to year growth of 22, 5 percent in May 2005 as compared to a revised growth rate of about twenty four (24) and twenty six (26) percent in April, 2005." The rate of growth in the house prices further reduces the chances of low-income earners to own houses, let alone some form of tenure, both rental and individual ownership. Rental stock in well-developed areas is beyond their reach as expected rental payments increase rapidly at high rates.

Low-income earners as well as the unemployed are unable to access capital for housing development from commercial banks. Commercial banks treat them as investment risks whereas in their personal capacities, given their low salary levels and high unemployment, they cannot save money for building houses for themselves. This is due to their economic position; under-employment and unemployment, which is about 40% within Ekurhuleni Metropolitan Municipality, EMM Growth and Development Strategy (2005). The state is expected to provide low cost housing for low-income earners and the unemployed or poor. The Strategy document on the Framework for Upgrading of Informal Settlements in Ekurhuleni (2004:6) states that:

> …approximately 29 percent of the households in the EMM are classified as living in informal dwellings constructed from hazardous inflammatory material and situated in inappropriate locations such as health hazardous landfill sites, under-mine land and vulnerable to floods.

EMM Corporate Strategy admits in its executive summary that:

> "A host of people within its jurisdiction live in informal settlement without adequate access to engineering and social infrastructure; the creation and promotion of sustainable human settlements is a priority, Ekurhuleni 2025 Growth and Strategy, (2005:5)."

Land for about 37 000 sites needs to be identified in order to address the present housing backlog estimated at approximately 240 000 with about 135 000 or 56 percent representing informal settlements and 36 000 backyard dwellers, EMM Migration Plan (2004). The current general housing delivery rate of an average of 7 000 per annum within a population growth rate of about 2 % as well as in-ward migration of about 7,5 % per annum cannot sufficiently deal with the problem, EMM Upgrading of Informal Settlement Document (2004). Land remains a critical initial resource towards the delivery of low cost housing. Huchzermeyer (2003) purports that the land intrinsic value is closely associated with the proximity to "hard" infrastructure such as bulk water as well as electricity supply, including "soft" social amenities and commercial outlets. The redlining of areas build on the periphery by the banks further leading to decline as well as depreciation in land value on the outskirts complicates the possibility for economic growth in those areas. Huchzermeyer (2003:214) notes that:

> "This is a reality in the United States as in South Africa, notably, in South Africa Conventional mortgage system serves only the upper 6.5% of the population," Venter (2002) cited in Huchzermeyer (2003).

The research foci is on assessing the viability of EMM Upgrading of Informal Settlement Strategy, which is linked to adherence to international protocols; policy and strategic imperatives (national and local); institutional capacity; financial resources; communication; community participation as well as micro implementation management of the process. These intertwined variables constitute the criteria for assisting the researcher to refute or confirm the viability or workability of the informal settlement strategy.

In so far as the viability or workability of low cost housing strategy, it is apparent that multiple factors such as land costs; increase in mortgage bonds; regulatory environment; costs of bulk services as well as availability of skills capacity and financial resources will have serious effect on the success of low cost housing delivery. A careful balance as well as interfacing and interconnectedness of all these has to be weight against the overall strategic thrust.

Policy, systems as well as strategies through which governments commit to guide and intervene in the housing market is shaped by local, national and international imperatives. For instance, the quest to fast track and accelerate the delivery of huge quantities of low in-come housing is a product of pressure of housing demands at local level. Government is compelled to press for short-term popular fulfilment of such demands, but sometimes compromising the overall long-term goal of fundamentally altering the urban form, Huchzermeyer (2003). While rapid low cost housing delivery has to be encouraged, it tends to replicate compartmentalised and segregated urban form. Fernandes (2003) further locates the problem as the contestation of two contrasting or "opposing ideological" perspectives in many developing countries, namely:

> "The individualistic approach typical of legal liberalism and
> the more progressive principle of the social function of property."

While South Africa has embraced international acceptable principles as well as protocols, the problem of low cost housing delivery remains at country implementation level. There has to be some strategic way found to accelerate micro implementation strategic plans. The need for acceptance of universal principles should juxtaposed to practical operational plans to efface contradictions of "compact versus sprawl; ecological versus non-ecological; just versus unjust cities", Borshoff et al (2003). It is in the latter context the solution to the problem of low income housing strategy is located in change in international thinking related to shifts in paradigm from the "neo-liberal as well as Marxist divide to socio-political pragmatism," asserted by Huchzenmeyer (2004). It may not be a question of either the neo-liberal as compared and opposed to Marxian paradigms, rather practical measures with their nexus as well as praxis on experiential implementation.

1.3 RESEARCH QUESTIONS

The researcher intends to address the following questions:

Primary Research Question

- How viable is the current informal settlement upgrading strategy of the Ekurhuleni Metropolitan Municipality? Subsequently, if we find the existing strategy to be found to be sub-optimal, how the action plan can be improved?

Secondary Research Questions

- Is there institutional capacity to implement the informal settlement upgrading strategy?
- Is the strategy communicated effectively to interest groups, stakeholders and those who are supposed to benefit from the housing delivery systems?
- Is the strategy formulation and implementation all-inclusive?
- How macro as well as micro factors, elements and components influence the strategy?

1.4 RESEARCH STRATEGY AND METHODOLOGY

The research is a quantitative non-experimental design. In taking cue from the research design defined by Du Ploy (2001), cited in Maepa and Machet (2004), it constitutes the planned process as well as the path to be followed in response to the "how" question indicating "who and/or what" is involved; and "where and/or when" the study will take place. The study took place in Ekurhuleni Metropolitan Municipality Southern Region, interviewing councillors, officials, and informal settlement dwellers.

Purpose

The purpose of this section is to outline the type of research methodology that will assist the researcher to arrive at appropriate findings in response to the overall research question. How data are gathered and techniques of soliciting relevant data are set out in conjunction with the rationale for using them.

Probability Sampling - Sample Size and Sampling Method: Councillors

When dealing with councillors, probability sampling became appropriate because of the small population of ward councillors. The Southern region of the municipality has thirty (32) two ward councillors. Find the annexure of the Sample Frame. It constitutes the sample frame within which the researcher determined the percentage of the total number of the target population of councillors within the Southern region. Simple random sampling became the technique to select the councillors. Sample frame – Appendix B

It is because it not only provides each element of the sampling frame of councillors with known probability of being selected, but they each have the same possibility as well as probability of being selected, Leedy (1989). For the purpose, as it is a small sample frame, an average of 30% is necessary, which amounts to about eleven (11) councillors from the total sample frame that had to complete the survey. Whereas fifteen (15) councillors of the total sample frame of the total target population of thirty two (22) councillors within the Southern Region completed the survey. They constitute about 47% of the sample frame. Simple random sampling, in this instance, is the most appropriate way of sampling in that the total list of councillors is available to the research and the sample frame.

Officials

In the case of officials, indications were that three (3) officials on average are directly working with prospective low cost housing recipients as well as housing delivery projects. It is so because municipalities are not yet accredited as most "developers of choice" by both the National and Provincial housing Departments, Housing Code (2000). It is against this background that, "they are not fully resourced to implement the whole function of housing delivery." The sample frame of (9) officials is so small such that it cannot be a representative sample frame. Four (4) other senior officials at the municipality's head office had to complete the survey. The total number of thirteen (13) officials completed the survey. As a result, non-probability sampling became the most appropriate form of sampling of the official's limited population. No principles of statistical randomness are used. "Convenience and accessibility" were principles that guided the sample selection rather than statistical randomness used in probability sampling.

Informal Settlement Dwellers

Informal settlement dwellers were the most difficult to have access to. Only eleven (11) completed the survey. Like officials, they are not a representative sample frame. Non-probability sampling based on the principle of access as well as convenience also applied. Large populations of these dwellers exist within the Ekurhuleni Metropolitan Municipality, but they are sensitive to strangers seeking information from them. They were not readily open about disclosing information as well as the completion of survey questionnaires.

1.4.1 RATIONALE FOR METHOD AND SOURCES EVIDENCE

The quantitative non-experimental research method requires collection, analysis, and interpretation of data. The data has to be relatively appropriate and representative to assist the researcher to answer the research's main question, Leedy (1989). The main research question remains: "The viability of the Ekurhuleni Metropolitan Municipality's Informal Settlement Upgrading Strategy."

The subjects of the study and primary sources of evidence are councillors as custodians of the strategy in that they have to oversee its implementation; informal settlement dwellers as beneficiaries of the housing delivery system; officials who are regarded as the drivers or catalytic implementers of the strategy. The establishment of whether the strategy is viable or not depends on their responses to critical points of confluence as well as in-confluence that have to be 'distilled' from the analysis and interpretation of data collected from surveys or telephonic interviews conducted. The latter will inform as well as determine the probability of overall success or failure of the strategy. Multiple components are involved in the strategy formulation processes, other variable components that may influence the success and failure led to the researcher structuring secondary questions to test as well as validate the effect of other variables to the overall research question.

1.4.2 DATA COLLECTION AND ANALYSIS

Data was collected from fifteen (15) out of thirty two (32) ward councillors in the Southern region, five (5) Housing Portfolio Committee members as well as (6) proportional representation councillors in the Southern service delivery region. Those serving in the Housing Portfolio Committee were included to compare the data collected; eleven (11) informal settlement dwellers; nine (9) junior officers and (5) middle to senior management in the housing Department who are directly involved in the development as well as the implementation of the strategy. Fifteen (15) ward councillors in the Southern region represent about fourty seven (47%) percent of the total number.

The questionnaire solicited specific responses related to the following interconnected themes associated with the overall thrust of the strategy:

- Biographical information of respondents;
- Viability of the strategy;
- Communication with stakeholders;
- The extent of stakeholders participation in the strategy;
- Resources and capacity to implement;
- Financial resources invested in low cost housing development;
- Cooperation amongst delivering Departments.

The questionnaires comprised two sections, A and B. Section A of the survey covers variables associated with race; language; gender; and whether participants are aware of the immediate neighbourhood's challenge or problem of informal settlements requiring intervention from the municipality. Section B foci is on total viability of the strategy which has to be informed by responses to the above thematic thrusts. Section B of the survey goes to the core elements or components that are to assist in establishing the criteria for arriving at the appropriate findings. It also designed to measure the extent to which participants participated in the formulation of the strategy.

The rationale to structure the survey in this manner is because of the need to measure the viability of the strategy using "tangible" variables. Questionnaires for informal settlement dwellers, councillors, and officials are similar, except to confirm the existence of informal settlements in their area of service for councillors; area of work for officials; and whether there are informal settlements that need development near their own settlements. Ekurhuleni Metropolitan Municipality comprises three Service Delivery Regions (SDR's) namely; North, East and South.

The choice of the region is because of the region where the existing housing needs are high. It is established that, "people drift or migrate inwardly in the direction of the "urban edge", where current commercial as well as industrial areas are highly concentrated within the Alrode/Wadeville industrial area/corridor situated in the Southern region of the municipality, EMM Spatial Development Framework (2003).

1.4.3 RESEARCH LIMITATIONS

There are 88 ward councillors in the whole of Ekurhuleni. Thirty three wards are located in the Southern region, which represents about a quarter of the total number of councillors within the whole municipality. Resources available to the researcher often determine the approach to data collection, Leedy (1989).

The following constitute the limitations and delimitations of the research:

- The findings cannot be generalized to other municipalities because the target population and samples used are not representative of the neighbouring municipalities;
- The findings cannot be generalized to the whole organization and Departments as it focused only on the viability of the housing delivery strategy, namely; Housing Department's political, administration 'arms' of Ekurhuleni Metropolitan Municipality as well as informal settlement dwellers;
- The exclusion of other officials from complementary or supporting Departments such as Municipal Infra-structure, Health and Social Services, Planning and Development and Roads, Transport, and Civil Works etc.
- The exclusion both of ward councillors whose wards do not have informal settlements currently and some proportional representation councillors who are allocated wards with informal settlements to service;
- The exclusion of financiers of housing developments, developers, and contractors involved in the housing delivery constitutes;
- Numeric as well as literacy levels of informal settlement dwellers.

1.4.4 ETHICAL CONSIDERATIONS

It is of critical importance for the researcher to uphold high standards of professionalism and ethical conduct when engaging in the research exercise. Mouton (2001:238) refers to the concept of "epistemic imperative" and goes on to define it as "the moral commitment that scientists are required to make to the search for truth and knowledge". In essence, this implies that the researcher must have integrity as well as be trustworthy in all his/her dealings with the target population and selected samples.

Their responses cannot be tempered with, and the results of the data analysed cannot be distorted to suit the researcher pre-determined or pre-conceived assumptions before and after the research was conducted. This remained a challenge to the researcher in that the researcher is an employee of the municipality.

The researcher is still currently involved in the "day to day" business of the Ekurhuleni Municipality in his capacity as one of the senior management officials. The researcher acted as the Executive Director of the Housing Department, but later left the Department to join another.

Therefore, the researcher did not directly take part in the development of the Informal Upgrading Strategy. In the process, the researcher should respect the confidentiality of the information acquired through text, oral interviews or questionnaires administered in the search for the purpose, problem, and research question.

The fundamental rights of vulnerable target groups such as beneficiaries or informal settlement dwellers "to remain anonymous or confidential" must be respected at all times, Mouton (2001:243-5). It is within the latter context that councillors, officials, and informal settlement dwellers responded to the questionnaires or surveys with integrity.

1.5 CONCLUSION

The background deals with creating contextual comprehension of the nature; socio-economic influences; demographics; land distribution of the human habitat as well as settlement patterns of Ekurhuleni Municipality. The municipality can be regarded as 'the capital of informal settlement,' arguably the largest concentration of informal settlement in South Africa. The chapter provides the framework within which the research problem; purpose; sampling frame; sampling method as well as the survey structure. The survey as well as the questionnaire is the main instrument of data collection with samples determined within the area of jurisdiction selected by the researcher, namely, the Southern Region. The use of the probability and non-probability sampling methods as well as research design is a product of the nature of target groups that had to complete the surveys.

Methodology Theoretical Rationale

The chosen non-experimental quantitative design and methodology is encouraged by the need to solicit the viability of the local government informal settlement upgrading strategy. This can be established by researching on the relations amongst the process involved in the management of formulation of the informal settlement upgrading strategy within "a sociological approach" as opposed to "a technocratic approach" purported by Bond (2003). The former approach primarily focuses on human interactions of participants or stakeholders in the strategy formulation; what is referred to as; "bounded rationality" and stakeholders/interest group's "satisfying behaviour"; matters of resources allocation; as well as capacity to deliver quality service to beneficiaries/customers.[1]

The technical approach leaves the responsibility of housing delivery predominantly in the hands of technocrats within state Departments in collaboration with developers and financiers, with minimal or absolute exclusion of the beneficiaries. As a result, beneficiaries are expected to trust the largely technocratic process in housing delivery.

Underlying issues contributing to adoption of certain strategic thrusts are exposed for purposes of not only dealing with symptoms of research problem rather than un-conspicuous influences originating from paradigms or thought patterns against which symptoms manifest, namely, neo-liberal; neo-marxist as well as pragmatist approach to the teething problem of upgrading of informal settlement.

[1] Wikipedia (2005:2), Strategic Management, the free encyclopaedia retrieved on November 21, 2005 from http://en.wikipedia.org/wiki/Business_strategy.

CHAPTER 2: LITERATURE REVIEW

2.1 GLOBAL POLICY AND STRATEGY TRAJECTORY

The United Nations Human Settlement[2] programme's goal is; "to improve the lives of at least 100 million slum dwellers globally by the year 2020." It provides guidelines of how to proceed with the strategies to improve the conditions as well as reduce informal settlements or slums worldwide. The challenge of slum or informal settlements is regarded as; "the worst of urban poverty and inequality." The world is purported to have abundant resources, "know-how" as well as the power to reach the targets established in the Millennium Declaration. The UN-Habitat's new Global Report on Human Settlement (2003) puts the growth of slums or informal settlements at about "1 billion mark", representing 32 % of the population globally.[3]

In developing countries, slum dwellers account for 43% of the population in comparison to about 6% in more developed countries. In sub-Saharan Africa, where South Africa 'belongs'; "the proportion of urban residents in slums is highest at 71, 9 %," the UN-Habitat Report (2003). Clearly, the scenario presents a huge challenge to those with the responsibilities of evolving strategies, not only to ameliorate slums but also to obliterate the proliferation of slums or informal settlements in the world through locally formulated delivery strategies.

As a sphere closest to the people, local authorities are perceived to be bestowed with resources and the capacity to develop decisive strategies 'to reverse the tide of growth' of informal settlements or slums. A Framework for the Upgrading of Informal Settlements in Ekurhuleni Metropolitan Municipality (2004), taking its cue from the UN-Habitat slogan, "Cities without slums" asserts that; "it is about local government ascertaining that the condition of human settlement is qualitatively improved; hence the phenomena/concept of "sustainable human settlements". The assertion represents a shift in the ambivalence within which local governments regarded informal settlements previously. Hitherto forced removals have sometimes formed part of the government's strategy to deal with informal settlements.

[2] Under the auspices of UN-Habitat, the agency mandated to implement target 11 of the Millennium Development Goal 7.
[3] Annan, retrieved on December 01, 2005, from http://www.unchs.org/global_report.asp).

There is now recognition of informal settlements in their current form. It is a commonplace that most of them were initiated through illegal occupation of land. Whether this can be translated into a viable strategy by local government committing resources and working with interest groups as well as the affected informal dwellers is something that has to be looked into.

The latter highlights the challenge of how best to link policy, strategy pronouncements and viable strategic implementation. It also raises questions about the lofty policy and strategy making processes and pronouncements, without paying much attention to best ways of delivering on them that are often are only 'superficially' linked to the reality of implementation complexities. A host of factors may also be contradictory, such as property market forces; land availability; accreditation of local authorities; unintended consequences of the regulatory frameworks as well as beneficiary interests. If not harmonised, these factors may affect negatively on low cost housing delivery efforts, Huchzermeyer (2003).

Local government informal settlement strategies have to be conceptualised, formulated, and implemented by carefully negotiating their 'way through' these myriad of complex multiple factors. Khosa (2003: 5) puts the challenge into perspective by extrapolating that:

> "Complex relationships between policy and strategy making or formulation as well as implementation, which sometimes turn out to be contradictory; and it is in the articulation of policy and implementation that often result in a crisis of implementation.

Thus, the housing policy and strategy pronouncement does not refer to how well policy is articulated. It also imply substantial attention having to be paid to the ability to translate policy into viable strategic plan for implementation as well as investing resources in the institutional capacity to delivering qualitative low cost housing. It also relates to the empowerment of the "street level bureaucrats" with the capacity; provision of adequate financial resources; holistic strategic and tactical implementation understanding.

There has to be a way of working intimately with the housing informal settlement beneficiary community. This partly entails the relevant housing departments should possess strategic and tactical acumen to translate complex policy pronouncements into viable implementation strategy and plans with specific deliverables. It can only happen in an environment where physical, financial and personnel resources as well as institutional arrangements that are aligned to achieve such challenges.

In essence, the formulation and implementation of strategies at local authorities should not only focus on the ridding of informal settlement but also on the improvement of their conditions. It should incorporate the sustenance of informal settlement dwellers by creating communities with work opportunities, social and physical development amenities and economic enablers. It has to be under extraneous circumstances that informal settlements dwellers are removed.[4] It is in a similar context that Todes (2003:119) underscores the need to link new housing developments in an integrated fashion. Such that new housing developments should become components of integrated area development that includes economic and social development elements.

In the wake of international frameworks as well as agreements such as Habitat II Agenda in Instanbul (1996), which support "integration and sustainable development," the Urban Development Framework of the South African Government (1997), produced by the Housing Department, significantly attempted to depart from unintended consequences of housing policy and strategy (1994).

[4] i.e. in conditions that are extremely inhabitable human environments that threaten the very existence of inhabitants-- for example, highly dolomite conditions prone to sinkholes, shallow mining environment, flood-prone environments.

Figure 2: EMM Informal Settlements on Dangerous Land and Environment



Hazardous Environment: Informal Settlement called Esibayeni ("kraal"), left picture, built on mine residue. Informal settlement called Marathon in Germiston area, right picture, with women recycling paper in un-healthy environment. Source: Photographs by the researcher, Mine Dump site, 11 April 2006 at 13:33:59 & Recycling, 5 April 2006 at 11:21:59

The Record of Understanding of 1994 "aimed at stabilizing the housing market environment, but 'somewhat continued' to perpetuate unstructured or formalized segregation as well as fragmentation," Huchzenmeyer (2003). It recognizes "integration as a spatial strategy," leading to the acceptance of "integrated development planning" as a strategic planning tool to implement new housing developments, Pieterse cited in Huchzermeyer (2003:127). There is a realization that low-cost housing delivery is part of the overall socio-economic development landscape, not only in local government, but also provincial and national governments in South Africa.

Crucial policy and strategic shifts indicate a focus as follows:

- Focus on existing informal settlement on suitable land for "in situ" development;
- Focus on a pro-poor agenda;
- Human settlements should be sustainable and address key issues of poverty as well human development;

- Compliance to international obligations, in particular UN-Habitat as well as "the Millennium Development Goals;
- Move focus from stabilizing the housing environment to housing delivery that is demand driven;
- Shift from investing in subsidy instruments that focus on individuals to those that contribute to the overall socio-economic development;
- Shift from costly green fields development to in situ upgrading; brown fields development; and urban or rural renewal;
- Shift from quantity to quality housing to sustainable housing leading to sustainable human settlement;
- Use the concept or phenomena of in-migration to grow the economy through managed urbanization processes

Source: Adapted from Breaking New Ground Policy and Strategy (2004)

Figure 3: Potential "In situ" Development Informal Settlements



Informal Settlement on Suitably Located Land: Possible "In Situ" Development; its un-official name, Makausi ("Socks"), 500m away from Primrose CBD and 1000 m from Germiston CBD.

Source: Photograph by the researcher, shot on 5 April 2006 at 11:08:42

Makausi informal settlement is located on suitable land close to viable transport (road and rail); developed infrastructure such as water supply; sanitation as well as job opportunities. It is within acceptable distances from both the Primrose and Germiston central business districts.

It has a huge potential to develop into a vibrant sustainable community in close proximity to economic activities, as well as historically developed social amenities such as parks, halls, sports complexes, or facilities.

2.2 POLICY AND STRATEGY APPROACH

Strategy framework and strategic planning processes are not formulated in isolation, but rather within specific context. The strategy should represent detailed and well thought-out road map with the determination of strategy and specific milestones time-bound targets as well as a systemic way of continuous assessment or evaluation of the strategy.[5] It has to be a "detailed blueprint", not cast in stone or sacrosanct, but characterized by elaborateness; logic; sequence as well as systematic planning articulation of the strategy. The results and outcomes of a good strategy have to be measured both quantitatively (results) as well as qualitative (outcomes) performance objectives. Thus, there should be room for reviewing and discarding of a strategy if it is not viable. Most importantly, there should be infusion of new knowledge flowing from data or information, and translating that into some form of crucial knowledge for learning. Learning can invariably take different forms; *inter alias*, the discovery of new technology to accelerate delivery systems; improvement of methodology to enable the leadership of the organization. This is aimed at scanning both the external and internal environment as well as opportunity-cost; not only in monetary or economic sense, including social process value-add.

It is also confirmed by Mintzberg (1998) when projecting on an organizational strategy as; "an organizational plan," mainly conceptualised by the leadership with a view of "creating an analytical process for establishing long range tools and action plans for the organization; that is, the formulation followed by implementation." Strategy formulation and implementation connotes as well as denotes a dynamic ongoing process; with realistic as well as systematic implementation plan; interactive process among stakeholders or interest groups requiring continuous review; including re-assessment or reformation.

[5] Various Definitions of Strategy: retrieved in November 21, http://www.google.co.za/search?hl=en&1r=&oi=defmore&defl=en&q=define:strategy

This plan has to take into consideration external as well as internal environments within which the organization operates and exists. Mintzberg (1998) defines strategy as; "a pattern in the stream of decisions." The flow of decisions has to be consistent, follow a certain sequence or logical framework, interface, reflect, as well as interconnect with original decisions continuously. The strategy definition is within Minztberg and Pascale's processual and "holistic systems school" of thoughts. A perspective that is compatible with Senge (1990) systems as well as holistic approach. It is process-oriented and systematic course of action to achieve specific tangible targets ('quantifiable results') as well as make valuable impact ('qualitative improvement').

The latter technical process should incorporate stakeholder involvement. The sociological approach also requires that the intangibles such as fundamental change in values systems of communities and socio-economic development be integrated into the measures of high performing strategy intervention. In the context of low cost housing delivery in South Africa, driven at local government level, it has been difficult to accelerate low cost housing delivery as well as producing high quality housing within a sustainable socio-economic environment that leads to change in value systems. Huchzermeyer (2003:212) attests to the acknowledgement of South Africa's massive quantities of low cost housing delivery internationally, as more than a million new units were built in the first seven years after the launch of the housing policy in 1994.

On the contrary, it is lamented that the location of these houses as they tend to produce what is referred to as; "a segregated urban form." Housing delivery in these locations ignored "the social, environmental, and long term economic consequences of inadequate access," Huxhzermeyer (2003). In contrasting what Bond (2003) calls "mainstream and critical" perspectives, vis-à-vis the critical paradigm, the current low cost housing implementation in South Africa has historically had insurmountable flaws. These flaws are identifiable "where municipal management or those who drive the implementation of low cost housing still rooted in apartheid zoning practices. Housing developments are developer driven; bank centred housing policy driving most funds into new housing delivery, with projects located far from economic opportunities.

For the housing delivery strategy system as well as housing landscape to change, most of those stated characterizations have to drastically be altered to effect fundamental socio-economic integration of society. Stakeholders as well as beneficiary contribution seemed minimal if not non-existent, except at a point of application. Technical drivers and policy makers determine the size of the house and stand; financial resource allocation; credit arrangements; location; and amenities. This makes low-cost housing delivery strategy extremely deterministic as well as instrumentalist, Bond (2003).

2.3 STRATEGIC PLANNING FOR THE PUBLIC SECTOR

Preferred strategic planning process in the public and private sector are not supposed to be similar or identical. Private sector market-oriented approach and strategic process management cannot be transplanted in its entirety with its profit-motive, or bottom-line, product and profitable market niche or market offing orientation into the public sector environment. Aacoin (1998:338) asserts that; "Service to the public sector cannot emulate the private sector without running the risk of undermining the legitimacy of public administration of public goods." Fitzgerald (2003) also supports the perspective of Aacon (1998). He argues that there are three sharp differences between public and private sector strategic planning approaches, namely:

- the starting or entry point to the process needs to be very different;
- the inevitable external politics and/or policy factors are always going to be stronger and more significant during the process; and
- the evaluation phase, as well as smooth continuing the cyclical nature of the strategic planning is usually much more difficult.

This does not imply that private sector 'best practices' cannot necessarily be adapted for the public sector. Rather, there can be synthesis of the 'best practices' in both sectors of operations by contextual adaptation and emerging them, with an effective strategic planning approach that takes into cognisance the specificities of the public sector. To this end, Bryson (1991:46); "the process encompasses broad policy and strategic direction setting; internal and external assessment; identification of key issues; development of strategy to deal with each issue; decision making; action steps; and continuous monitoring of results."

The strategic planning process is worthwhile when it enhances the key decision makers as well as implementing agencies (officials) to think or act strategically. The infusion of paradigm changes in thought processes or patterns has to lead to the realization that most of the problems that exist in society today cannot be resolved while people are still thinking in the manner in which the problem arose. Strategic planning involves making key decision makers seeing beyond the immediate deliverables, because the strategy is not about the current outputs only, but also medium to long-term sustainability of the community as well as their existential environment. Fitzgerald (2003) stresses the need for a value adding strategy.

It should engender good strategic planning process and culture by its quality of ongoing strategic thinking; strategic management and monitoring executed by the management leadership of the institution as well as the department within an organisation. What Mintzberg (1998:68-69) calls strategy as seeing in almost all directions: "Seeing beyond; besides; behind; through; along; above and ahead." The public sector environment requires that, in the first instance, there be what Brayson (1991) refers to as "plan for planning." Fitzgerald (2003) thinks of it as "a mini-process by which stakeholders and participants are socialized into the need for the process; the objectives; desired outcomes; the model and methodology to be used; the political legitimisation of the process."

This represents an initial agreement on the strategic direction, where stakeholders and interest groups are "taken with", and there is confirmation of initial mandates before embarking on the traditional strategic planning process that normally starts with mission and vision; strategic objectives; scanning the environment (external and internal analysis); action plan; and evaluation.

There are more complex as well as multiple bottom-lines in the public sector ecology. This brings to the fore the concept *public value*. Whereas a good return on investment determines private sector benchmark and results, for a public domain activity such as sustainable human settlements that includes housing delivery to be successful and of public value, citizens are central to its evolution. Thus, most public agencies have multiple objectives with no single 'bottom-line'. The public have to forfeit some benefit as well as determine their preference, Kelly et al (2002).

Public value can be decreased or increased by the extent to which the inclusiveness of the due process, equity and efficiency are applied to the situations. The strategy has to factor as well as integrate the important components of public value. Unlike in the private sector, there is no universal mechanism such as price to aggregate individuals' decisions. Rather, there are likely to be fundamental differences between individuals as to what constitutes "value," let alone "public value."

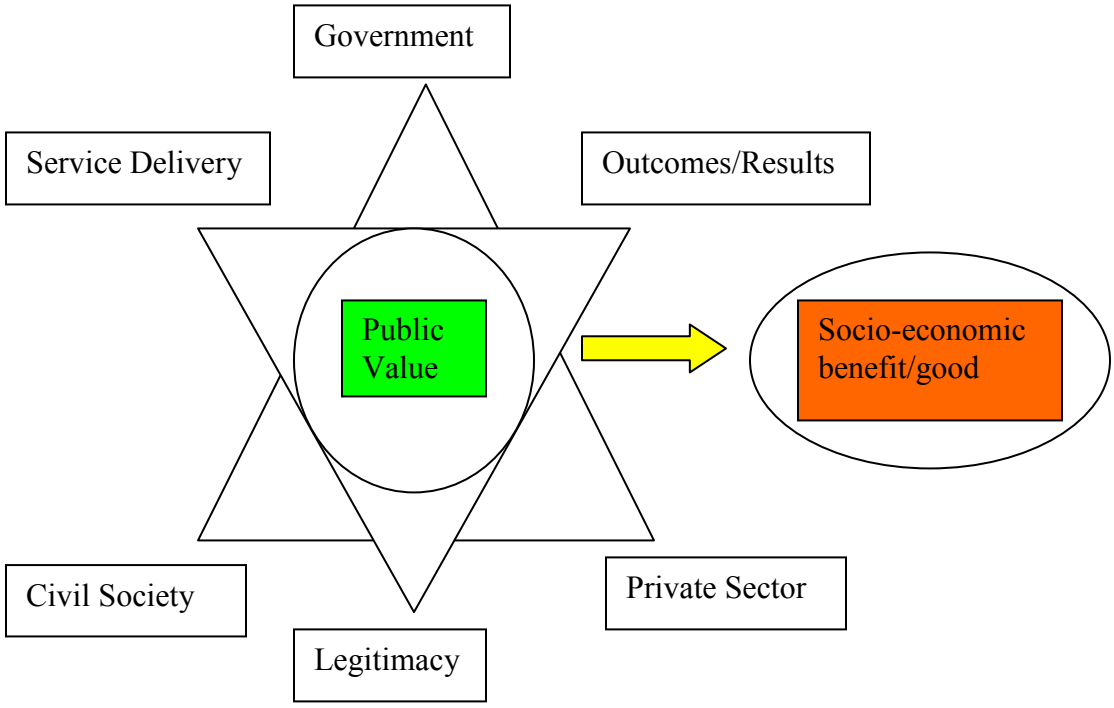
Consequently, there are complexities and multiple objectives in the public life. It is important to define a strategic value framework that is inclusive from the beginning in the direction of a service or public good that needs to be delivered. In the public sector, the strategic public value framework can be adapted and illustrated in the analytical framework for public services reform, Kelly et al (2002).

In the South African context, the public value strategic framework is demonstrable; adaptable by the illustration of the relationships between major stakeholders as well as interest groups, namely, civil society, government and the private sector. The three stakeholders in low cost housing delivery have to interface as well as interconnect with the "key building blocks of public value. This can be divided into three broad categories of service, outcomes as well as trust," Kelly et al (2002:11). In the process of creating the interfaces as well as interconnections, user satisfaction is central and critical to public value.

In a case of low cost housing, the poor will make demands as they are confident that the legitimate government will deliver on their high expectations. In the past era, less attention was "paid" to beneficiary preferences or satisfaction as just minimal service delivery was "seen" as adequate. The public was sometimes grateful for the little it received regardless of the quality of service. Illegitimate leadership were thrusted on communities. This meant 'unquestioning' mainstream thinking of the time dominated critical strategic approach. Policy and strategy goals must be tested by civil society. The importance of introducing the concept of public value in the determination of the strategy brings to the fore components of public choice as well as preferences. It also implies the public having to forfeit certain benefits with a view of accruing other benefits prioritised by them in conjunction with government institutions that drive the policy and strategy.

The integration of the public value within the current strategic planning framework in South Africa requires the following understanding of the interfaces as well as interconnections amongst crucial role players and the three public value broad categories, Nell (2002). The following figure as an adaptation of the types of strategy models by Mintzberg (1998) as well as Kelly et al (2002) public value categories reflects the interfaces and interconnections necessary in the development of the strategy in the public sector. There has to be a prior consultative and socialization process, which prepares the route as well as the path-away to the actual joining of "the strategic communion of the stakeholders" or interest groups (Fitzgerald, 2003). It is in the latter sense that a "community of strategic planners" will be created. The following represents the interfaces anticipated in ideal consultative processes with the public.

Figure 4: Interfaces: Public Value and Stakeholders



Source: Modelled & adapted by the researcher from Mintzberg (1998)'s types of strategies as well as Kelly et al (2002:8-11) to contextualize public value incorporating prominent role players in the delivery of low-cost housing, and overall outcomes of the interfaces – interconnections resulting ideally in socio-economic 'good'.

The community of strategy formulators and implementers is characterized by high level of commitment to making the strategy workable or viable. The public sector environment is highly politicised and derives mandates from outside the organization. Creating a common framework, understanding as well as common vision from the conceptual stage is essential for forward movement. These mandates are directed by provisions in the constitution; legislative requirements; policies, international treaties; agreement with other social partners; and administrative functions that have been decentralized or passed to other spheres of government, Fitzegerald (2003).

In the South African context, local sphere has been affirmed the status of local government as independent of other spheres of governance. It is a distinct sphere of governance. It has also to work interdependently with the provincial and national spheres of governance.[6] It provides local governments with the space to evolve its own locally based by-laws; regulations; procedures; including developing strategic plans to deliver services within their jurisdiction. It presents an opportunity for local government to be strategically creative or innovative.

2.4 RELATIONSHIP BETWEEN STRATEGY AND OPERATIONS

There has to be symbiotic and aligned relationship between strategy ("what") and operations ("how"). Any disjuncture between the strategy and operations has a huge potential for failure. Clear strategy as well as effective operations have achieved success in the past and might do so in future. In a situation where either the strategy or operations are mal-aligned, the delivery system is bound to fail.

There are operational functions such as Municipal Infrastructure Department or the Marketing and Communication Department within the municipality that resides outside the scope of the Housing Department operations. They are equally strategically crucial to complement low-cost housing delivery. For instance, the Marketing and Communications Department may well assist the Department in planning how best to communicate their strategy, without having direct responsibility for low cost housing delivery. Pycraft et al (2003) explains inter-departmental relations in terms of two broad categories as "direct and indirect activities."

[6] The Republic of South Africa's Constitution (1996), section (40)1, section (152 & 156), 1-2; Handbook by South African Local Government (2000), including 153 of the Act (108 of 1996).

In this instance, it becomes the direct responsibility of the Housing Department or the relevant unit responsible for the informal settlement strategy to explore the possible value-add of the consequence of their integration of their communication plans with the Marketing and Communications Department. It is in this manner that the functional and business (organizational) strategy. Direct as well as indirect activities have to synchronized or synergies to avoid the possible failure of the strategy.

The research has also to establish whether such cooperation exists amongst operational Departments to enhance the capacity of the informal settlement strategy to deliver within a framework of the set low-cost housing performance objectives. This 'symbiosis' of strategy as well as operations can be illustrated as in the table below.

Table 1: Relationship: Strategy and Operations

STRATEGY (WHAT) / **OPERATIONS (HOW)**	**CLEAR** ↓	**UNCLEAR** ↓
EFFECTIVE →	**I** Clear strategy and effective operations have led to success in the past and might do so in the future.	**II** Unclear strategy but effective operations led to success in the past, but success is doubtful in future.
INEFFECTIVE →	**III** Clear strategy but ineffective operations have sometimes worked previously, success is doubtful in future.	**VI** Unclear strategy but Ineffective operations have amounted to failure instantly, previously and will not lead to success in future.

Source: Created by the researcher to illustrate the relationship between strategy and operations

Within a managerially perspective, Thompson & Strickland (1998) argue that the efficient and effective ("competent") implementation of a well thought-out ("conceived") strategy does not only translate into "organizational success" but also represents the best challenge of managerial brilliance ("excellence"). The housing delivery strategy and its viability can be located within the realm of operations strategy as local government is a "critical implementation organ or agency" of both national and provincial governments. It is also in consonant with the functional specialized configuration of Departments. At local government Department such as Housing have to contribute to the overall broad organisation's corporate and business strategy, Pycraft (2003).

In Ekurhuleni Metropolitan Municipality, the Growth and Development Strategy (2005) is the city's corporate and business strategy with physical, economic, social as well as environmental landscapes as its strategic focal points. The Informal Settlement Upgrading Strategy constitutes one of operational strategy to be linked to the corporate and business strategy. The Growth and Development Strategy 2025 (2005), aims at changing social, physical, and economic development landscapes of Ekurhuleni Metropolitan Municipality through operational interventions such as the Informal Settlement Upgrading Strategy.

The physical landscape, in particular includes aspects of fundamentally changing the current settlement patterns, and land uses, transportation links and infra-structural services, as well as the physical environment alterations, EMM, GDS 2025 (2005:6). The changing of the physical landscape associated with the current patterns of settlements has to integrate social and economic needs as a way adding value to the situation for the beneficiaries of low cost housing.

In the operations function, there are several units or "micro" operations. Within the EMM, such operational units are social housing, policy, and research, housing administration and programme implementation units. These units have to be complementary to one another in their contribution towards achieving strategic objectives and priorities of the Housing Department as well as the organization in general. Interventions at unit or micro level should include social housing with tenure options such as rental stock with an option to buy and own the property.

The strategic approach points in the direction of the centrality of coordination and integration with operational strategy. At the level of the micro operations strategy, decisions are divisible into those that define the contents of the strategy and those indicating the process of its formulation. In turn, the EMM Housing Department setout operational components reflected in terms of a myriad of perspectives through an operational plan informed by the new housing policy shifts, operational strategy, directives from the national and provincial spheres of government, as well as specific interventions, EMM Strategic Framework (2005). Interventions, programmes and projects presents major focus, inter alias:

- establish common understanding of housing delivery programmes and products;
- ascertain relevance, effectiveness of housing delivery programmes and products;
- ensure that the Department has clear objectives and strategies to achieve its targets, outputs, and outcomes;
- align budgets to tools to monitor and evaluate housing delivery on a metropolitan scale;
- set clear deliverables and targets with medium term expenditure frameworks;
- Outline tools to monitor, assess and evaluate all programmes and projects to deliver housing products.

EMM Strategic Framework on Creating Sustainable Human Settlement (2005:25)

2.5 INFORMAL SETTLEMENTS STRATEGY OPTIONS

Informal settlements have been approached differently in the developing world. South Africa is no exception to those policy and strategy approaches. The strategic approaches can be summarized as repressive/reactive, ambivalent, as well as pro-active (transformational).[7] In between some of these strategies to approach informal settlements, there are short-term reactive strategies that are not necessarily permanent. Short-term reactive strategies include transitional ("creating transit camps/locations") and giving reprieve ("amnesty") for a period thereafter the informal settlement dwellers being compelled to re-locate.

[7] http://www.wits.ac.za/informalsettlements/keyfindings.html.

In essence, the strategic approaches depended on interests, in particular those that have power (governments) and resources (capital) to influence policies and strategies to deliver low cost housing. South Africa, since the advent of democracy in 1994, has in the past decade vacillated between the three policy and strategic approaches. Ekurhuleni Metropolitan Municipality did not escape the vacillation from repressive, ambivalence and pro-active approaches. Several incidences have occurred within the cited vacillation of strategic approaches.

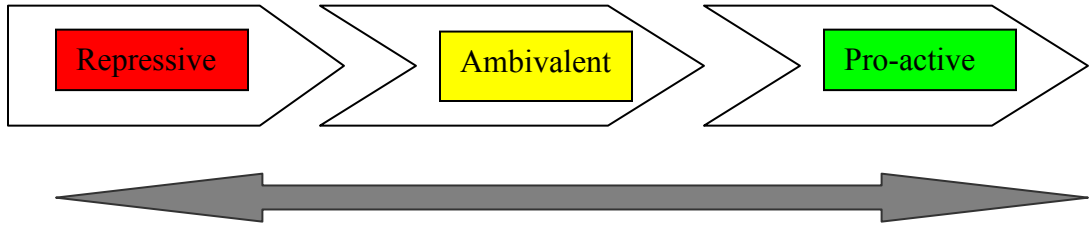
The following example illustrates the mixture of the strategic approaches dealing with informal settlement dwellers in 2005:

- Ekurhuleni Municipality applied to the Boksburg Magistrate Court for an eviction order against informal settlement dwellers and removed them forcibly on 1 June 2005. The reasons cited were that; "living in dangerous inhabitable open mine shafts; unstable soil conditions; proximity to mine dumps; water that is unhealthy for human consumption; no formal ablution or sewerage services; and increased crime." *The Star*, June 11, 2005.
- Court rules in favour of thousands of shack dwellers at Chris Hani and instructs Ekurhuleni Metropolitan Municipality to provide interim relief such as alternative accommodation and basic services such as water. "The order provides that the main requirements of excess to sufficient water should be implemented by five o'clock today, and in respect of the order relating to access to shelter and to sanitation services those should be implemented by Friday afternoon." SABC News, June 8, 2005
- Orderly relocation of settlement from Alberton Station to 717 stands at Tinasonke, South of Alberton adjacent to Alrode and Vereeniging railway station. Before their movement, they were housed in tents erected next to the Civic Centre. "The project is driven by VIP Consulting Engineering for Gauteng Department of Housing in conjunction with Ekurhuleni Municipality", Alberton Record, October 20, 2005.

The above examples confirm the occasionally repressive ways in which Ekurhuleni Metropolitan Municipality dealt with informal settlement dwellers such as in Boksburg, and the pro-active methods used in other situations such as in Alberton. Other informal settlements are left un-touched for more than 10 years.

This confirms the ambivalence of the municipality in dealing with informal settlements. Informal settlements such as "Marathon", located 300-500 m away from the Germiston Central Business District is located in shallow mining as well as extremely dangerous environment. The have existed for many years under such conditions. It represents the generic trend in which informal settlements were approached in the past 10 years of democracy in South Africa. The following continuum illustrates policy as well as strategy approaches pursued previously:

Figure 5: Policy and Strategy Approaches Continuum



Source: Adopted and adapted by the researcher from http://www.wits.ac.za/informalsettlements/keyfindings.html, retrieved June 7, 2005.

From reading policy and strategy approaches, it can be extrapolated that they have been predominantly deterministic, where the policy and strategy driver have always been governments under the influence of resourced forces in the economies. The relationship with beneficiaries remains oppositional, indifferent, and cooperative, depending on the policy and strategy drivers. The overall strategic thrust is technical and deterministic. Generically, most state interventions in the past eleven years occurred through project-linked subsidies earmarked for unoccupied land or "greenfields" developments on the periphery of business or commercial as well as industrial centres.[8]

Housing projects where the beneficiaries were at the core of processes of implementation were piloted before. Projects such as People's Housing Process were piloted and abandoned. They were regarded as cumbersome as well as time-consuming and characterized by perpetual conflicts between parties involved.

[8] This is designed for unoccupied land; one size fit all or "standardised low cost housing developments", that is, 250 square metres stand and 30 square metres top structure for all end-users; and based on individualized subsidy, Retrieved June 7, 2005 from http://www.wits.ac.za/informalsettlements/keyfindings.html.

On ‘paper,’ the Housing Act 1997, Urban Development Framework 1997, current “Braking New Ground” 2004 pursued by the present Minister of Housing Ms L Sisulu, and many other supporting legislation such as the Development Facilitation Act (1995), the South African policy and strategy approaches can be regarded as pro-active on the continuum. Periodically, the three spheres of governments are ambivalent to informal settlements growth and repressive at times such as the Boksburg forced removals that happened in June 2005.

The current change and emphasis on housing policy and the “new strategy” may also be interpreted as a reaction to the shortcomings of the housing strategy in the past decade, which had unintended consequences of keeping those in need of not only shelter but also economic opportunities continuously marginalized on the periphery of the urban urge. Sisulu (2004) confirmed this when unveiling the New Housing Plan. The new plan introduced a new housing trajectory for housing delivery in South Africa with facets asserting “the integration and building of secure communities; a three tier strategic categorization of housing beneficiaries; and redefining the role of government in the housing market.”

The three-tier strategic categorization aims to include a market or beneficiary category that is excluded by virtue of non-qualification to low cost housing. It will also enhance mixed use where different beneficiary communities are integrated to create a sustainable community. It is premised on the concept of “sustainable human settlements.” The plan provides a framework for integration and the building of homes in healthy and secure environments where everyone will have access to the services and economic opportunities. It is admitted that there were strategic flaws in the implementation of low cost housing delivery from 1994 to 2004.

The plan indicates a strategic shift from quantitative (‘mass production’) to qualitative focus in low cost housing delivery within an economically enabling environment. A shift in emphasis from individualized to a sociological approach, where sustainability of community is paramount. Huchzermeyer (2003) attests to this because the plan stemmed from the necessity to fundamentally alter the housing landscape in South Africa, where low cost housing continue to be erected in the periphery of the socio-economic core.

In so doing Sisulu (2004:2), confirms that, the Housing Policy and Strategy (1994) focused on mainly stabilizing the housing environment to transform "the extremely fragmented, complex and racially-based financial and institutional framework that was inherited from the previous government, whilst simultaneously establishing new systems to ensure delivery to address the housing backlog." Pre-occupation with numbers or quantities derailed the integration as well as building sustainable communities.

The strategy does not represent anything much new, but a change in emphasis, which does not necessarily depart much from what the National Housing Code (2000:17-18). It shows that the South African housing policy is based on seven key strategies, namely:

- Stabilizing the housing environment;
- Mobilizing Housing credit;
- Providing subsidy assistance;
- Supporting the people's housing process;
- Rationalising institutional capacities;
- Facilitating speedy release and servicing of land
- Coordinating and integrating public sector investment; and
- Intervention on a multi-functional basis.

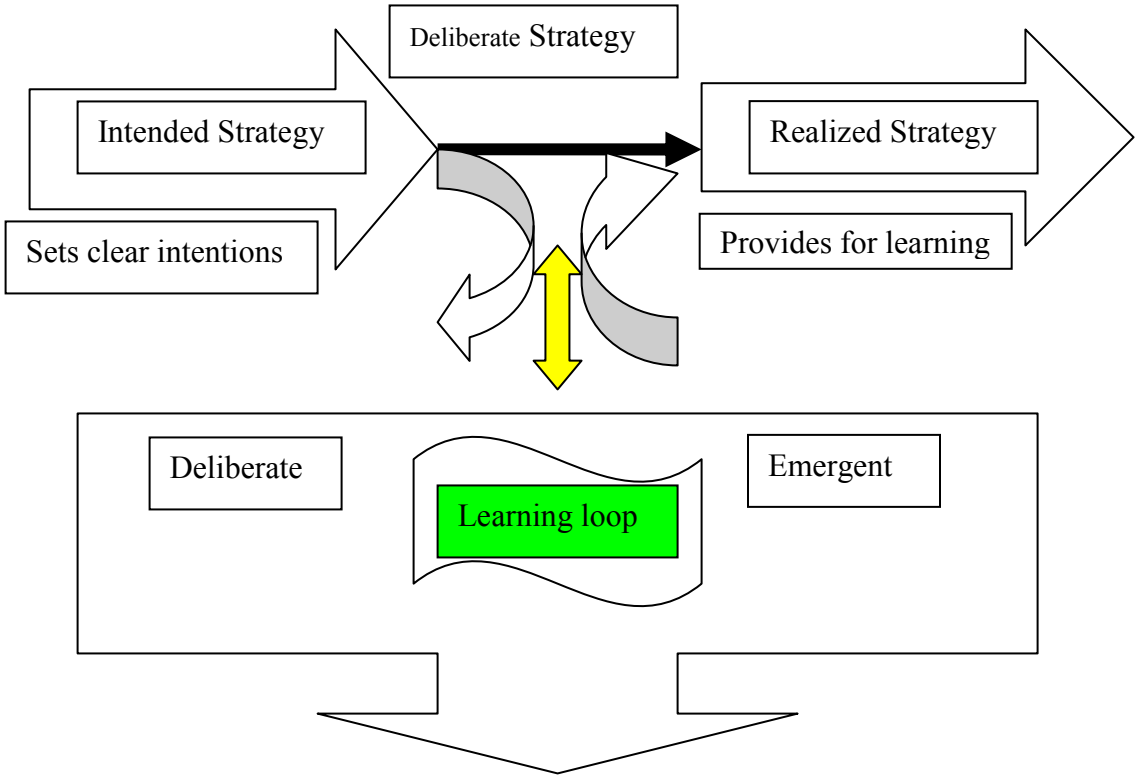
2.6 EMM INFORMAL SETTLEMENT STRATEGY CONTEXT

There are many strategic processes frameworks by many theoreticians. Mintzberg (1998) argues that; "strategy is either deliberate or emergent." In the case of Ekurhuleni's upgrading of informal settlement strategy, it is both deliberate and emergent. The strategy influences are mainly by the international declarations as well as related to the existential situation. National and Provincial spheres of government determined legislative directives, policy and strategic shifts, as well as regulatory frameworks. Municipalities determine their prioritised programmes.

The deliberate as well as emergent strategies are not necessarily diametrically opposed to one another. Rather, the former is distinctly premised with clear intention, whereas the latter emergent strategy considers contextual imperatives. To some extent, with the presence of intention and 'the reality check' allows for a learning the loop, Minzberg (1998).

The following diagram represents the adaptation of interfaces as well as inter-connections between 'deliberate' and 'emergent' strategies necessary to enhance experience, as well as learning by the leadership and organization as a whole. The model from Mintzberg (1998), below distinctly illustrates theoretically the strategy direction, interfaces or interconnections of deliberate strategies.

Figure 6: Types of Strategies: Deliberate and Emergent Strategies



Source: Modelled & adapted by the author from Mintzberg (1998) by linking deliberate and emergent with the experiential learning loop.

The deliberate strategy should have precise intention (goal) and must be realistically realizable. It is influenced by the facets, which were pronounced by Minister Sisulu, specifically; "the integration and building of secure communities." As it is generically pronounced that: "start with the end in mind." A careful look at the means to the end after appropriately defining the problem is necessary. There has to be clear intentions within an organization, articulated with precise details such that there cannot be any ambiguity in the desired results or outcomes before any action or implementation start.

Another critical condition is that, there has to be shared collective commitment to the intentions of the strategy by actors, Mintzberg (1998). The EMM Agenda, 2025, EMM GDS (2005:74) clearly states that:

> "All people in Ekurhuleni must be housed in integrated and functional sustainable human settlements."

The strategy has set goals, milestones, targets and outcomes, but they appear fragmented and compartmentalized, as they follow a sequence that gives an impression that they would deal with upgrading and formalization including the eradication of the basic services backlog by 2012; housing backlog including the formalization of backyard shacks by 2015; and social amenities backlog by 2020 separately. On its key focus area, namely, human settlements, the EMM GDS 2025, emphasizes its goal as:

> "to eradicate the current backlog of about 134 000 informal structures in informal settlement and 36 000 backyard shacks by 2014 in line with the UN-Habitat Millennium goals and the delivery goals put forward by the Provincial Member of the Executive Council for Housing in Gauteng."

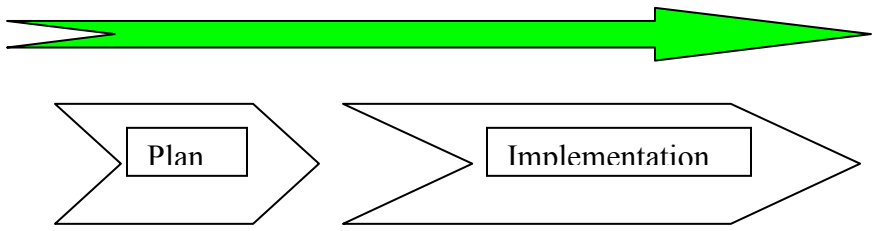
The EMM Strategic Framework (2005) confirms the observation of compartmentalization by separating interventions, specific programmes and their partnerships without detailing synergies and interfaces of those programmes or interventions. Mintzberg (1998) elucidates a planned strategy when suggesting clear and articulated intentions, supported by formal controls to ensure their pursuit, in an environment accepted without contest or protest, that is, "acquiescent."

In this instance, a centrally triggered planned strategy from the top may be viable with a conscientious effort made to involve a myriad of interests and establish consensus strategy. It will enhance and entrench a sociological approach. A rigid and inflexible deliberate strategy without a consideration of changing environments and stakeholders' participation does not create an opportunity for learning. Strategy formation has to vacillate between "deliberate and emergent" facets to allow for a review of the relevance of the original intentions while at the same time responding to an unfolding pattern of action as well as emerging needs.

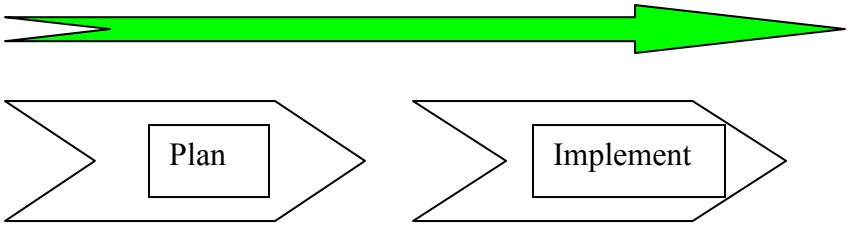
Thus, strategic learning becomes a continuous part of the path towards realizing the intention (goal) of the strategy. Thompson and Strickland (1998) operational perspective purport that; "strategy is both planned (intended) and adaptive." It implies that strategy is both pro-active and reactive. The viability of a local government strategy depends on the strategic instruments used to attain desirable outcomes. The blending as well as balancing of minimal relocation from extremely dangerous environments as opposed to repressive or ambivalent approaches is pivotal for success.

There are no shortcuts to strategic interventions. Without advocating for protracted strategic planning processes with less results or outcomes, many projects fail because of rushing into implementation without well thought out strategic as well as implementation plan. Lofty and novel as their goals may be, the point of their failure as well as success is illustrated as in the following model:

Figure 7: Creative Balancing Planning Strategy and Implementation Plan
Less Strategic Planning and Rushed Implementation



Balanced Strategic Planning and Implementation Plan



Source: The researcher's creation of a simple illustration of the need for balance in strategic planning and implementation of the strategy

The strategic intervention has to be aimed at anchoring the beneficiary community at the centre of the low cost housing developments. Strategic objectives, roles, responsibilities, milestones and accountabilities have to be streamlined in tandem with the implementation strategic plan. Latent as well as local skills and capacities must be used to enhance the possibility of high delivery.

These linked to clear work plans per project; encapsulating all dimensions of sustainability; objectives; action steps; and deliverables as in set milestones; targets; as well as timelines, Fitzegerald (2003). Projects, by their very nature are, in many instances, supposed to be short-term delivery of a product or service. They are tight to a set timeframe for them not to lose legitimacy and trust of the public as well as the beneficiary community. They aim at addressing as well as redressing specific needs.

Housing projects cannot escape such characterisation, in the context of the need to move away from individualized to sustainable human settlements. For purposes of factoring sustainability components, municipalities should include these housing projects in both their crucial strategic planning tools, namely, Spatial Development Frameworks and Integrated Development Plans. In the final analysis, strategic planning exercise should not be for legal compliance or mere ritualistic purposes. It should assist in taking appropriate decisions as well as appropriate systematic action steps with a goal of continuous learning from the experience.

In essence, the strategic plan should serve to:

- Create a common vision and understanding within the organization, without suppressing variances in opinions;
- Clarify the strategic direction, strategic objectives, milestones as well as targets;
- Enhance cross-functionality and inter-departmental cooperation as well as integration;
- Promote collective approach towards the organizational strategic objectives;
- Enhance experiential learning;
- Enhance "spirit de corps"- team building or a sense of belonging or ownership;
- Organisational open-mindedness.

Source: Fitzgerald (2003)

2.7 HIGH PERFORMANCE HOUSING DELIVERY SYSTEM

For any performance systems or operations to be of high quality, there has to be a set of normative factors or characteristics informed by the contextual experiences, theory and practice (researched both nationally and internationally) within the specific industry or sector. Burger (2002) outlines the characteristics of a high-performance housing delivery system by distilling specific indicators; recognising the need to link or relate those characteristics to the strategic objectives of serving a vision, results, and outcomes.

At a glance, the processes that informed the Ekurhuleni Upgrading Informal Settlement strategy followed the logic and sequence of linking their strategy to both national and international directives. The earlier South African general housing strategy was driven by individualized standardized subsidies and other important amenities and infrastructure necessary at informal settlements. It emphasized quantity rather than quality, where mass production is central to output. Burger (2002:1-8) identifies the following specific indicators of high performance housing systems or operations:

- Strategic functioning;
- Performance;
- Structure;
- Industry and task environment;

- Housing finance; and
- Resources.

For any system to be properly conceptualised and to function strategically, the strategic vision has to be defined first and followed by the structure (vehicle), system of delivery (tools) and resources (inputs - financial, physical and human). A strategic functioning of the system is defined first before the vehicle (structure), operational systems (tools) and resources are considered. Performance objectives give credence to the implementation process. It is done by integrating the quality of the product, speed, flexibility associated with product delivery; dependability as well as cost effective Pycraft (2002).

Over and above these crucial components of a quality housing system, it should be complemented with a conducive regulatory or legislative environment, as well as participation of stakeholders and interest groups. Industry players such as financial institutions and developers have to be on board as their cooperation and involvement will add value to the strategy. That is what brings about the importance of the industry and task environment. It is also linked to the availability of financial resources as well as scarce technical skills.

For the low-cost housing industry to strive for performance excellence and to contribute to the necessary shift from quantitative unsustainable to quality sustainable communities, the indicators of high performance have to form an integral part of the Informal Settlement Upgrading Strategy. The exploration of high performance housing delivery system discussed does not imply any focus on the provision of shelter only. Rather, it implies delivery of houses and services, with other environmental or amenities considerations required by the household during their stay in the house and vicinity.

2.8 STRUCTURES AND DEPARTMENTAL CAPACITY

The current municipal structural design, albeit attempts to introduce some changes, are still substantially configured in conventional and silo functional manner, where Departments are only specialized rather than integrated, covering elements of specialization and necessary generic skills such as financial as well as project management.

The Ekurhuleni Metropolitan Municipality housing Department does not escape such categorization. According to Atkinson (2003), skills such as project management and community interaction are lacking within municipalities in South Africa. It is the responsibility of EMM Housing Department to identify relevant projects, whether it is *"in-situ"* upgrades, or green fields' developments to cater for communities where land cannot be upgraded *"in-situ"*. The responsibility covers the inclusion of the identified projects in the Integrated Development Plan of Council.

The Provincial Housing Department carried out the budgeting as well as pre-planning process, after completion of the feasibility studies by the Regional Professional Teams constituted by the Provincial Housing Department. Their facilitation and coordination start and end when the Provincial Housing Departments receives their proposed low cost housing priorities.

The Provincial Housing Department decides on which projects and programme are to be funded. After the Regional Professional Teams has procured the services of a suitable contractor, implementation takes place with local government having to facilitate the involvement of the community. The next interaction happens when low cost housing projects are approved for the municipality to implement. Housing waiting lists are still administered at Provincial level, with the local authority only responsible for beneficiary assistance in completion of low cost housing application forms and data processing.

There are factors that are still hindering municipalities from optimally functioning such as 'overworked street bureaucrats', skills gaps, lack of accreditation for the municipality to become a "developer of choice", as the procured goods and services that are still outsourced to consultants and contractors by Province, Tomlinson (1998).

There is also no effort as far as possible to integrate related functions into single departments with 'sub-business/functional units' to enhance coordination and integration Atkinson (2002). For the Ekurhuleni Housing Department Informal Settlement Upgrading Strategy to be successful in building sustainable human settlements there is a great need to rethink the manner in which the Department is configured, designed, and staffed. The accreditation as well as building capacity (personnel and financial) of municipalities is crucial for them to be able to optimally deliver low-cost housing.

Crosscutting as well as complementary functions such as water provision and sanitation have to be clustered together to maximize output and add value. There is need to eliminate duplication and wastage in a form of personnel, financial and physical resources in line with re-defining function to enhance development impact of many municipal services. Securing inter-departmental strategic cooperation is central to the success of the strategy.

The presence of such synergies between municipal Departments will enhance the designing of low-cost housing strategy into municipality's Integrated Development Plans and Strategy, Hologram (2003). The institutions or Departments within local municipality are the link between government and the citizenry. They are the ultimate front-line structures relative to Provincial and National governments, Ngema (2004). There should be regular as well as continuous interface with developing (beneficiary) communities.

On the contrary, their participation should not be nominal. It should be meaningful as opposed to patronage as well as pacification. Beneficiaries continue to be passive recipients of 'below average quality' house products or top structure. They do not have much 'say' in its development as they are regarded as what Huchzermeyer (2004) defines as; "class beneficiaries, which, over the past ten years, had to passively accept government housing delivery as an entitlement." Specifically, Ngema (2004) emphasizes the need to pay more attention to service delivery institutions in order to enhance and reinforce their capacity to deliver requisite services within a "user-friendly environment".

2.9 THE "TWIN TRACK STRATEGY"

The most critical challenge is to determine a 'strategic road map' towards the elimination of informal settlements with less or no negative impact on the current informal households. There are about 135 000 shacks or informal shelter; about 50 000 on the waiting list; 112 informal settlements. This rapid growth continues unabated, EMM Housing Summit, January (2004). A concerted strategic effort is critical for purposes of containing the accelerated pattern of growth of these informal settlements.

A new trajectory of the challenges surfaced in 2004, namely:

Table 2: Ekurhuleni Overview

New Trajectory	2004	Salient Features
Population growth In-migration Official Unemployment, 2002 Unofficial Unemployment, 2006 Poverty level	4,12% 7,5% 31,38% 40,41% 55,55%	Ekurhuleni has the highest population growth, in-migration, and unemployment in Gauteng Province, and is regarded as "manufacturing hub" of South Africa.
Economic growth Household income	1% 65 676,77	Ekurhuleni has the lowest growth and household income compared to the other three Metropolitan areas in Gauteng Province

Source: EMM Sustainable Human Settlement Summit (2006) & South African Cities Network (2005)

The trajectory presents a plethora of challenges, *inter alias*:

- The expansion or alternatively the management and formalization of informal settlement as a top priority;
- Urban management as opposed to formalization;
- The management of public open spaces in relation to secure and safe environments;
- Transport accessibility to economic opportunities becomes one of the key interventions;
- The administration and regulation of registration of households becomes critical in terms of both tenure and integration of informal economy into the mainstream economic activity.

Source: Reynecke (2006) Adapted from the Presentation, Upgrading of Informal Settlements. Ekurhuleni Housing Summit held in January 2006

All these elements and components are crucial for the establishment or creation of sustainable human settlements. They also require a strategic and policy paradigm shift, which require a departure from the mainstream policy that is "target driven standardized housing delivery and within entrenched capital subsidy framework" to new foci with imperatives. These imperatives include agenda setting informed by pro-poor interests; human settlement used as a vehicle to address key issues of poverty; human and socio-economic development as well as redressing joblessness, Huchzermeyer, (2004).

These myriad of challenges are driven in compliance with international obligations defined by UN Habitat II within a framework of Millennium Development Goals 7. In as much as these goals are set, Payne (2005) refutes a focus on one goal, without looking at other goals and targets that may complement one another. A point illustrated by relating targets to what is achievable and deliverable within set timeframes. For instance, it is estimated that, there are 1 billion people living in slums globally, and it is projected that the number will increase exponentially to about1 billion by 2015 and 2 billion by 2030 respectively. Governments, including municipalities as well the international bodies such as UN Habitat should aim at exceeding their targets rather than perceive their targets as sacrosanct. Payne (2005) advocates for "twin track strategy or approach" towards improving existing and avoiding future growth of informal settlements. The strategic approach involves the improvement of tenure security in existing unauthorized settlements, which in turn can improve living conditions of for current informal settlements dwellers as well as revising the regulatory frameworks to accommodate the possibility of more illegal slum dwellings possibly developed.

This will be compatible with De Soto (2001)'s suggesting ways of integrating the poor and vulnerable in the mainstream legal economic environment. Like Huchzermeyer (2004), Payne (2005) opinions that; "target driven policy agenda, whilst important for measurability of goals, detracts attention from the real complex issues that need to be addressed." The essence of "the twin track strategy" is vigorous foci on improving the living conditions of the current 100 million informal settlement dwellers, including Ekurhuleni Metropolitan Municipality's 134 000 informal settlement dwellers.

Various types of unauthorized settlements such as brown settlements have to be swiftly improved. Conditions in which all sections of the urban society, especially the poorest and most vulnerable, can obtain access to legal; affordable; appropriate shelter in ways that prevent the need for future illegal informal settlements and unauthorized settlements need to be created, Payne (2005).

The twin track strategy should create security of tenure for informal settlement dwellers so that they can look at their houses as investments and assets to be made "fungible", De Soto (2001:55-60). In turn, their areas will be sustainable and habitable livelihoods, with adequate municipal services as well as access to credit from banking institutions. Municipalities such as Ekurhuleni have to change their urban land planning and development schemes. For example, they have to have by-laws to accommodate the twin track strategy. The availability of land for the poor within formal land market context alienates the poor. EMM cannot afford land in prime areas where land costs are 'sky-rocketing' and increase exponentially beyond the reach of the vulnerable poor. For the extremely vulnerable, living close to where there are opportunities for economic activities such as jobs is more important than having permanent security of tenure or formal credit, Payne (2005). The overall objective of the twin track strategy is to ascertain that; "the poor are extricated from a vicious circle of vulnerability, dependency, and most importantly, the poverty cycle."

The poor must be able to increase their incomes exponentially by 'graduating' from their poverty circle to participation in the mainstream economy. This is in line with Payne's objective of providing adequate security and maintenance or increase access by the poor to locations where they can increase their incomes," Payne (2005:137). In changing the regulatory frameworks to suit the poor, attention should be paid to the reduction of elaborate administrative procedures. These procedures discourage the poor to follow acceptable standard procedures. The poor choose to 'take the law into their hands' by occupy land without proper land acquisition. Central to the twin track strategy is various tenure options, including rental stock; and regulatory framework reform, which is simple to manage and administer. For municipalities, the passing of by-laws that enable the poor to access land, credit and administrative procedures that are simple is crucial.

De Soto (2000) elucidates the latter finding when asserting that; "the poor are alienated from the mainstream legal environment by long; elaborate; and tedious administration processes as well as requirements. Sometimes procedures that are protracted cause illegal land occupation. It is the short cut for informal settlement dwellers to receiving attention. The "twin track strategy" includes formalization of the current informal settlement located at suitable land closer to economic opportunities.

2.10 CONCLUSION

From the preceding literature review; critique as well as discussions, there are several observations that can be drawn. The strategic thrust of dealing with informal settlements is influenced by international or macro interventions by international institutions such as the United Nations supported Habitat (2002). The Informal Settlement Upgrading Strategy of municipality is influenced by complex as well as multiple factors. The viability of the latter strategy cannot only be assessed from a managerial or technical strategic planning process point of view. Rather, it has to be analysed with a consideration of public value, as purported by Kelly (2002).

The UN-Habitat as an international agency bestowed with the responsibility to drive global slum development strategies has a major influence on member countries such as South Africa's legislation, policy, as well as low cost housing strategy formulation. South Africa is a signatory to a number of UN-led initiatives that seek to put rights of those in dire need on the pedestal, to promote sustainable development, Habitat Agenda 21 (1992).

Thus, the Ekurhuleni Metropolitan Municipality Informal Settlement in its Informal Settlement Upgrading Framework refers to the UN Habitat slogan "cities without slums." The global framework within which member countries are guided to delivery of housing to the poor is premised on the discourse that, housing the poor is no longer considered a privilege, but is regarded as "a fundamental human rights issue globally." It is regarded as high on the agenda in the same vain as poverty and health. As Leckie (1994:44) purports that:

> "Cities cannot be inclusive without human rights."

The influences of the UN Habitat is assessed and evaluated with reference to the strategic approaches that informal settlements were handled differently depending dominant economic thrust. There is also contestation of what paradigm should drive low cost housing, that is, the state; civil society; market forces. A shift in strategic approach is realizable over a period. Informal settlements are recognized in their current forms as a challenge. Therefore, informal settlements cannot be superficial improved. It translates into building communities with economies around them. It is within this context that:

> "Breaking New Ground intervention" by the South African Minister of Housing, Ms Sisulu aims to achieve.

CHAPTER 3: PRESENTATION DATA

Chapter 3 presents raw data from the three categories of respondents with specific reference to the themes derived from the survey questionnaire as well responses of participants, Appendix D. Both specific percentages as well as cumulative percentages are used to make sensible observations and present the raw data extracted from the categories of respondents. Transversal observations and trends are to be presented in detail in Chapter 4, where those trends are to be analysed and discussed in comprehensively. The raw data presented focuses on individual or specific categories of respondent's survey questionnaire. The themes do not depart from those identified earlier, namely; biographical information, extent of participation, resources and capacity, including financial resources, viability of the strategy, linkages with supporting Departments, and communication strategy.

3.1 DATA PRESENTATION AND PRELIMINARY OBSERVATION

Table 3

COUNCILLORS	INFORMAL SETTLERS	OFFICIALS
BIOGRAPHICAL INFORMATION The fact that about 76% of the respondent councillors have been residence of EMM for over 30 years is significant. It is a critical mass of those involved in governance institutions having 'first hand' information about development of the social landscape of the Ekurhuleni Metropolitan Municipality.	**BIOGRAPHICAL INFORMATION** About 50% of informal settlement dweller has been residing in the area for below 10 years. About 3 % have been residence for less than five (5) years. It also confirms rapid in-migration. A point emphasised in the municipality's 2025 Strategy (2005).	**BIOGRAPHICAL INFORMATION** There is a relatively 'even' spread of officials in the categories of the number of years that they have been residing in the municipality. The percentage doubles exponentially with officials who are relatively new into the municipality, from about 8% to 16 % within a period of ten years.

Issues of population growth as well as the proliferation of informal settlements are presumably well understood. There is valuable "knowledge bank or memory" that will add value to the strategy formulation processes. Consequently, there is about 80 % awareness about informal settlements that need upgrading. On the contrary, for about 19% of councillors not to be unaware of such a mammoth challenge must be a source of serious concern as they are supposed to oversee community development broadly, including low-cost housing within the municipality. The domination of male respondents as opposed to female is a source of concern. In South Africa, it is generally accepted that females care for most households.	They have relatively short span of years living in the municipality compared to about 76% of councillors who have been resident of the municipality for more than thirty years. As they are the most affected by the need for housing, it is not astounding for 100% of the informal settlement respondents to be fully aware of other informal settlements that need/require upgrading. The 50% male and female respondents from informal settlements is relatively fair, satisfactory and equally distributed. The distribution signifies balanced findings representative of both male and females affected. The spread of languages spoken by the respondents provides for multi-lingualism.	A high level of awareness of about 84% is not astounding, notwithstanding about 15% that seems unaware of informal settlements that need upgrading. Swift action to inform them is crucial in that their core work is to supply low cost housing to the poor. Most officials who responded speak South Sotho, that is about fourty five percent (45%) officials. The other languages such as Swati, Venda ect, are also spoken in the Southern Service Delivery Region.

A combination of languages used by councillors provide for multi-lingualism. This will enhance swift communication in languages that inhabitants are comfortable with, accept and understand.	The language of communication may be adapted based on the constituency engaged in dialogue with councillors and officials.	
PARTICIPATION Participation of about 60% of councillor respondents in the formulation of the informal settlement strategy represents a significantly high number of councillors who participated within the Southern region. It is equally concerning to have about 40% having not participated in the formulation of the strategy. A concerted effort should be made to bring them 'on board'. The area they service is potentially or already having informal settlements or backyard dwellers. Their participation in workshops as well as work	**PARTICIPATION** The fact that about 60% of respondents confirm to have been part of the strategy formulation represents a significant number as opposed to about 40%. In other instances or many instances, there is a generally made assumption that there is lesser participation of beneficiaries. Therefore, it is a satisfactory. Their form of participation, namely, workshops or seminars about 33%	**PARTICIPATION** For about 30% of respondent officials to have participated in the formulation as opposed to about 69% who did not participate should be a source of serious concern. Most of the respondents are "street bureaucrats" who are supposed to implement the strategy. The success or failure of the strategy does hinge on officials ability to translate the strategy into workable projects. In may not exclusively depend on them alone, but they have a major role to fulfil in the strategy implementation.

groups reflects a cumulative 81%. It is a high level of broad community involvement, interest groups and stakeholder's involvement or participation. On the contrary, they will be expected to take decisions in formal Committees and council meetings about what they broadly consulted in with the broad community of interest. Critical decisions were taken in fewer formal meetings, that is, cumulative, 18%. As a result, of the above, then they have been efficient in managing the broad consultative processes and taking swift decisions on the strategy.	provided a platform for meaningful participation as contrasted with council meetings at about 66 % %, where they just passively listen to politicians debating "in committee". Nonetheless, it also allow for those who may not have been part of open seminars/workshop to follow the discussions of the strategy at council meetings. It increases the awareness level of informal settlement dwellers. The adequacy of stakeholder involvement is high. It is obviously concerning to observe that the percentages of those who strongly agree and disagree are equal at 25%, and the cumulative percentage of those who are unsure and disagreeing is 37%.	Only about 30% of officials participated in the formulation in contrast or comparison with about 69% who did not participate in the formulation is a source of serious concern. This concern is as a result of the reality that the core function or business of the Housing Department is to facilitate the deliver low cost housing and related infra-structures such as water, sanitation and electricity. Almost all officials in the Housing Department have to be informed about the details of the informal settlement upgrading strategy. They have participated in the core services associated with their function. The fact that about 84% of officials are aware, it confirms the high level of awareness, which should be translated into in-depth participation in not only the formulation, but also the implementation and evaluation of the strategy.

For about 23% of those who should be 'custodians' of community participation in the governance of the metropolitan city to be unsure of the extent of the participation of their constituencies, it is source of serious concern. There is also 'close spread' of those who agree and strongly disagree with the extent to which stakeholders were involved, that is, about twenty eighi (28%) and twenty three (23%) respectively, with those who disagree equal to those who are unsure. The latter mixed response to stakeholder participation is confirming about 61% custodians (councillors) of governance believing that stakeholder proposals were not taken into cognisance/account. Their response to which sections stakeholders participated also confirms that only about 21% believe that stakeholders participated in all sections	The evenness of the adequacy in relation to strongly agree, disagree, and agree should be satisfactory for those involved in the formulation and implementation of the informal settlement upgrading strategy. The cumulative spread of those who participated in specific areas and those who were involved in all sections is about 66%, and is in consonant with cumulative percentage of about 62% stakeholders who participated in the strategy formulation process. The overwhelming 72% of informal settlement dwellers believing and confirming that their proposals were taken into consideration is reflective of the relatively high confidence beneficiaries have in the strategy.	Increase in participation of officials will go a long way in adding value to the whole cycle of the strategy. These are incumbents who should be the drivers in the facilitation or coordination of the implementation process, assessment and evaluation mechanisms in conjunction with stakeholders and interest groups such as councillors, developers and beneficiaries.

of the strategy formulation. On the contrary, the same numbers believe they did not participate in all sections of the strategy development.	It can be extrapolated that; "the informal settlement strategy may have been widely involved and communicated to the beneficiaries."	
VIABILITY OF STRATEGY COMPONENTS OF PLAN **Targets and Achievability** A mere approximately 13% strongly agree as well as about 31% agreeing that the targets are achievable, it represents a low confidence level in the achievability of set targets. The low confidence level in the achievability of targets is further accentuated by approximately 31% of councillors being unsure. The equal spread of 13% of those who strongly agree as well as those who strongly disagree further confirms the low confidence in the achievability of the set targets.	**VIABILITY OF STRATEGY COMPONENTS OF PLAN** **Targets and Achievability** Approximately 37% of dwellers strongly agree with the achievability of set targets. A relatively low percentage confirming the achievability of set targets. Even those who agree represent about 12%, which is a low confidence in the achievability of the set targets. About 25% of those who disagree are a relatively high representation of those who do not have confidence in the achievability of the set targets.	**VIABILITY OF STRATEGY COMPONENTS OF PLANS** **Targets and Achievability** Only about 30% agrees that set targets are achievable with approximately 46% uncertain about set targets achievability amongst official. It signifies a low level of confidence in the achievability of the set targets. The level of uncertainty should be concerning, in particular from those who play a prominent role in their determination.

Linkage of Targets and Implementation Plans About 52% of councillors believe that there are linkage between the targets and achievable implementation plans of the strategy. The attainment of the linkage in the strategy is crucial. The confidence level is satisfactory about the linkage of targets and achievable implementation plans. **Resources and Capacity** The requisite capacity relates to skilled personnel, existence of physical infrastructure and financial resources. The equal spread of responses on requisite resources and capacity of about 19% of councillors who strongly agree, disagree and unsure follows the trend of uncertainty from the custodians (councillors) of the informal settlement upgrading strategy.	**Linkages of Targets and Achievable Plans** The overwhelming 81% of informal settlement dweller respondents believe that there is a detailed comprehensive plan within the Informal Settlement Upgrading Strategy. It represents a vote of confidence in the strategy from the beneficiary community. It also corroborated by the confirmation of about 57% dwellers who believe that the strategy is linked to achievable implementation plans as opposed to about 42% of those who are unsure. On the contrary, the confidence, the percentage of uncertainty is relatively high and needs measure of attention to reduce the level of hesitancy and doubtfulness.	**Linkages of Targets and Achievable Plans** A relatively satisfactory 53% official respondents believe that, there is are linkages between targets and achievable plans. When the above is juxtaposed to the unsure 30%, it is a source of concern. It is a substantial number of officials, who in essence should be driving the implementation uncertain about the linkages of targets and achievable plans. A fair amount of time should be spent in building confidence of those officials in the Informal Settlement Strategy It is also important to note that, only about 7% of officials who responded totally disagrees that such linkages exists. **Resource and Capacity** Officials who agree are about 38%, which is a relatively low. About 30% who participated in the formulation of the strategy.

Those who strongly agree and agree; as well as strongly disagree and disagree, that is, about 34% and 38% respectively is recorded. It is a fairly even distributed and close variance between relative agreement and disagreement about achievability of targets. The extent to which, financial resources are budgeted to support personnel and the existing physical infrastructure is crucial. Only about 37% of responding councillors agree to the availability of adequate financial resources. On the contrary, to about 23% of those who strongly disagree, whereas about 26% is un-sure. As a result, it amounts to low level of confidence among the councillors.	**Resource and Capacity** The trend of confidence in the strategy continues in that, about 57% believe that the Housing Department possesses requisite capacity to deliver on the strategy**.** On the contrary, the level of confidence in the availability of financial resource is low. It is confirmed by the substantive percentage of uncertainty, that is, about 42% unsure of the adequacy of financial resources. A percentage of uncertainty is equal to the uncertainty about the strategy targets linkage with achievable plans. This will need to be worked on in order to consolidate the trend of confidence beneficiaries have on the Informal Settlement Strategy.	When those who agree ,about 38%, is compared with those who disagrees, about 15%, the trend of doubling in the requisite capacity being available for the implementation of the Informal Settlement Upgrading Strategy continues. The down side of their responses is when only about 7% strongly agrees that; there are sufficient financial resources. On the contrary, about 23% agrees that, there are adequate financial resources. The down side of the findings is further exacerbated by substantive 46%, officials who seem to be uncertain or doubtful about the adequacy of financial resources.

The overall resources and capacity of the Department to drive the implementation and attainment of outputs of the Informal Settlement Upgrading strategy are doubted. **Links with Other Departments** For about 57% of councillors to be uncertain or unsure whether the strategy has linkages with other supporting Department is concerning. Integration at local government is central to their overall strategic planning. Only about 14% strongly agree and 28%, which are relatively low percentages for confidence in integration and coordination amongst related Department.	Only about 14% disagrees that the Housing Department does not possess requisite capacity. **Links with Other Departments** For only about 14% to strongly agree with the linkages is concerning. For about 57% of uncertainty, as well as about 28% of those who agree about linkages should be a source of serious concern. Joint coordination and integrated service with other 'sister' or supporting is pivotal. It will enhance the development of other amenities to build a sustainable local community. It will also go against the grain of the overall national policy shift goal of building sustainable communities and bringing the poorest in the community closer to economic opportunities.	On the contrary, when those who disagree, about 23% and those who agree are compared, that is about 23%, a balance is observed whereas the uncertainty doubles. **Links with Other Department** For about 30% to be doubtful and about 15% to disagree, this represent a cumulative of about 46%. It should be a source of serious concern about those who should enhance coordinated. Another concerning observation is that, the officials who are doubtful, about 30% are equal to those who agrees, about 37% compared to those who strongly agree, about 23% as well as agree, about 30%, respectively. On the contrary, those unsure, about 30% as well as disagree, about 15%, represent a substantive 46%, which is a substantive measure of uncertainty as well as disagreement.

COMMUNICATION EFFECTIVENESS	COMMUNICATION EFFECTIVENESS	COMMUNICATION EFFECTIVENESS
54% of councillors as opposed to 45 % believe that the strategy is communicated effectively to stakeholders. For communication to make impact, it has to be periodic and continuous**.** Effective communication need not take a singular form, but in multiple approaches. **Forms of Communication** Councillors believe that workshops,40% and public meetings, 30% are forms that can enhance communication. They also prefer public meetings as 54% of them endorse the latter form of meetings. For about 18% to refute that, any of the methods such as print and electronic media as well as public nor workshops were used is concerning as it represent fairly a relatively high percentage of councillors.	80% of the dweller respondents believe that the strategy is effectively communicated to them. It is confirmed by the cumulative 75% about the periodicity and continuity of communication. **Forms of Communication** Informal settlement dwellers also prefer both workshops and public meeting, with workshops mostly preferred with a 60% as opposed to 40% of public meetings. Interestingly, they also prefer diversified forms of communicating in a form of print and electronic media such as radio or newsletters. It augurs well as it can sustain information flows and can lead as a consistent form of communication with beneficiary community.	An overwhelming 83% of officials believe that the strategy has been effectively communicated to stakeholders. On the contrary, 50% of the same officials regard the form of communication as ad-hoc contradicts their endorsing the overwhelming response of about 83%. The above is confirmed by about 8% on the use of different methods/forms of communication. It is equal to about 8% of the response to the consistency of their communication models/forms. A point also confirmed by about 16% associated with periodicity and continuity of the communication forms.

	A consideration for multiple forms of communication is high as about 41% favoured using print as well as electronic forms. Public meetings as well as workshop or seminars to communicate the strategy contents are seen as crucial for its implementation.	**Forms of Communication** Officials emphasize the ward committees, that is, 50% compared to public meetings and workshops compared to other forms of communication. They also most poignantly record a mere about 14% on ward committees as a means of enhancing or bettering community participation and communication.

3.2 OPEN QUESTION

The last question of the survey is open-ended, and provided for relevant comments associated with the success, improvements, as well as factors that may contribute to the failure of the EMM Informal Settlement Upgrading Strategy. The following salient features are pervasive in the respondent views. Respondents raised a number of pointers, including those surfacing for the first time, as follows:

- "Political will to eradicate informal settlement" – a point that can be related to the manner in which different approaches or strategies are adopted in dealing with informal settlements;
- "EMM should monitor population growth" – a point related to migration patterns, inward as well as out-ward posing a possibility of new or expansion or diminishing of informal settlements;
- "Involvement of private sector, directly or indirectly affected by the existence of informal settlements to take part in low-cost housing development"

- "Improvement of communication strategy by using organs of civil society" such as churches as well as community based or non-governmental formation to communicate the strategy;
- "Use of local print or electronic media" such as local newspapers as well as community based radio stations;
- "Ward committees" is identified as weak medium of communication due to interest, as well as working through a specific party councillor who may use the vehicle to enhance narrow political interests rather than broader community issues/needs;
- Scarcity of suitable land – "availability of suitable land for low cost housing"
- "Inflexible land availability agreements" hampering low cost housing development leading to suitable land lying without any development;
- The need to expropriate unused land;
- Low cost housing developments dominated by being "located at the periphery of the urban urge";
- "Lack of knowledge by low cost housing beneficiaries about the implications of owning a house leading to fraudulent";
- "Human capital lags the skills" to accelerate low cost housing delivery;
- "Accreditation" of the municipality as "a developer of choice";
- "Insufficient financial resources invested" in low cost housing development by the state as well as the private sector.

Most of the latter pervasive features are encapsulated as "weaknesses" in the Strategic Planning Work (2003:7) for Ekurhuleni Metropolitan Municipality Housing Department facilitated by Digital Eco Systems.

3.3 CONCLUSION

Chapter 3 presents the researcher's raw data, showing the extent to which the three categories respondents, namely, councillors, beneficiary community, and officials view the strategy.

On targets set as well as their achievability, the confidence level of the three categories of respondents appears to be below 40%. Whereas, on resources and capacity, only the informal settlement dwellers at about 57% that there is resources as well as capacity to deliver low cost housing. Both councillors and employees registered less than 40% confidence level in the capacity as well as availability of resources to implement the strategy.

For about 57% of both councillors and beneficiary communities to be uncertain about links as well as coordination, there needs to be substantial improvement in enhancing inter-departmental cooperation. The trend on weak inter-departmental cooperation appears with about 30% uncertainty by official.

Links between targets and implementation plans seem to be confirmed by above 50% of the three categories of respondents. It represents a relatively satisfactory confidence about the relationship of targets as well as implementation plans.

The emerging trends are that there has been relatively satisfactory communication without examining the depth of such communication model or instruments. The same applied to their responses to participation as well as the extent of community involvement. Both informal settlement dwellers and officials are above 80% confident about effective communication of the strategy.

CHAPTER 4: DISCUSSION OF FINDINGS

4.1 CRITICAL DISCUSSIONS OF FINDINGS AND ANALYSIS

Chapter 4 discusses key finding with specific reference to thematic areas of the survey findings, namely:

- Biographical Information;
- The extent of Stakeholder and Interest Group Participation in the Formulation of the Strategy;
- Workability or Viability of the EMM Informal Settlement Upgrading Strategy;
- Links with other Departments;
- Resources and Capacity, including financial resources;
- Communication forms, models and tools;

The discussion flows from responses administered and presented in the afore-going tables with categories of councillors as well as informal settlement dwellers within the Southern Service Delivery Region of the Ekurhuleni Metropolitan Municipality. It includes officials' responses to the survey in the Housing Department in the other two regions (North and East) or municipality as a whole. The choice of officials is not confined to the Southern Service Delivery Region.

4.1.1 BIOGRAPHICAL INFORMATION

The first key finding is that the time span of the three categories of respondents to the survey presents a mixture of those who have stayed in the area for more than thirty years predominantly located in the political governance institutions. Fifty percent (50%) beneficiary (target) community has had a shorter time span of less than ten years and officials (facilitators of strategy formulation implementation) have been in their job locations ranging from 5-10 years. The finding confirms the rapid mobility of informal settlement dwellers as they from time to time mostly migrate inwardly or sometimes outward depending on areas of economic growth and opportunities for their livelihood.

The rate of inward migration is purported to be at about seven (7%), EMM Housing Summit (2006). It is against this backdrop that the level of awareness is substantially high

about the challenge of informal settlement upgrading. For about nineteen 19% and fifteen 15% percents of councillors as well as officials respectively unaware of informal settlements that need upgrading should be seen as representing a relatively high cumulatively of about thirty four percent (34%). It is concerning as these two categories of respondents are at the centre of service sustenance and delivery.

Overall, the trend of the time span of the three categories of respondents points to "value-add" in knowledge sharing about the municipality's population growth as well as subsequent proliferation of informal settlements. This contributes to "knowledge bank and memory retention" about the complex dynamics of the municipality, most importantly, the challenge of building "sustainable informal settlement communities." In turn, this greatly assists in innovations in the implementation of the strategy.

The second key finding is the need for multilingualism in communicating the Informal Settlement Upgrading Strategy as most of the respondents in the three categories who completed can speak indigenous languages with ease. Therefore, their communication models, instruments, and forms should seriously take into consideration the spread and trend of multiple languages spoken in the municipality.

Another feature of the respondents is the male domination in both councillors and officials, but among informal settlement dwellers there is a balance of gender in those who responded to the survey. Whether the latter will have any bearing on the Informal Settlement Upgrading Strategy is a matter of further future research.

4.1.2 EXTENT OF STAKEHOLDERS PARTICIPATION

On average, approximately sixty percent (60%) of councillors and informal settlements dweller respondents participated in the formulation of the strategy. On the contrary, only about thirty percent (30%) of officials participated in the formulation in comparison with about sixty nine (69%) who did not participate in the formulation.

Participation has been mostly in terms of public information meetings and workshops, which have created space for vigorous debates, discourse, as well as engagement with stakeholders and interest groups on housing delivery. On the contrary, councillors, whilst acknowledging the manner in which stakeholders are involved in the strategy formulation, about 61% of them do not believe that the proposals from stakeholders were taken into consideration.

About seventy two percent (72%) of informal settlement dwellers and approximately sixty six (66%) of officials confirm that their proposals of stakeholders were considered. The former and the latter introduce a contradiction about how the depth or extent of their participation. Participation may take different forms. It may be information dissemination; rigorous engagement in debate; a mixture of both dissemination as well as rigorous debate. In this instance, it is necessary to differentiate those who participated such as stakeholders as those who are directly affected by delivery or non-delivery from interest groups represent lobby groups such as community based and non-governmental organization, developer's formations (construction companies) and/or financiers (banking institutions).

Thus, one can say, "Informal settlement dwellers broadly participated, and were widely involved as well as communicated with." Such a conclusion is drawn because of the overwhelming seventy two (72%) of informal settlement dwellers believing and confirming that their proposals were taken into consideration. It also augurs well for the legitimacy of processes beyond conceptualisation, formulation, and implementation.
Public participation cannot be ignored. Any public institution or local government that disregard public participation does so at a high risk and at its 'own peril'. As such, deliberate alienation of stakeholders and interest groups will "backfire" over a period.

Trueman et al (2004:4) corroborates this point when they assert, “Any strategy for the regeneration that does not incorporate the wider community is unlikely to gain universal approval or be sustainable over time, and therefore would not meet the criteria for successful brand.” In a case of Bradford Council in the United Kingdom, where Trueman et al (2004) conducted out the research, the challenge was a degenerating as well as declining town. It is noted that by giving people more control over their working environment also enhances participation.

The key finding in the Ekurhuleni Metropolitan Municipality is that there is relatively good participation in the formulation of the Informal Settlement Upgrading Strategy. On the contrary, if those forms of participation are “weak” or they take the form of information dissemination, as confirmed by councillors surveyed without any meaningful participation as observed by Chambers (1997), then it goes against the grain of genuine consultation, rather introduces a discourse around issues of power relations between officials and the community. Somehow it would amount to co-option of the community with the objective of legitimising processes that were inward looking rather than “outward looking in the direction of meaningfully redressing beneficiary needs.”.

The whole situation can also be ‘blurred’ by the Municipal Systems Act (2002) that makes “community participation” compulsory as well as mandatory legal requirement for municipalities. Another polemic about participation is whether participation of beneficiaries is a pre-condition for development, in situations where “the needs are already known or determined” with interest groups. Needs may also be seen as fluid rather than static. Therefore, consistent interactions as well as communication should be a permanent feature of interfaces amongst stakeholders or interest groups.

In as much as participation is crucial, it should not impede nor hinder swift delivery of low-cost housing. Participation should not translate into “ultra democracy” where vocal stakeholders, however minute constituencies they represent, cannot hold low-cost housing delivery processes or developments at ransom by raising narrow selfish interests as well as minority interests at the expense of the majority of beneficiaries of low-cost

housing. On the one hand, weak participation by stakeholders who support all that is communicated to them unquestioningly is as dangerous as those who hold delivery at ransom. The depth of influence of stakeholders or interest groups is a matter that can be researched further for purposes of establishing the extent to which stakeholders are involved in most matters affecting them within the municipality.

4.1.3 RESOURCES AND CAPACITY

Resources and capacity have a bearing on personnel, physical infra-structure, as well as financial resources. The confidence level of councillors on the Housing Department possessing the necessary requisite resources as well as capacity is low. Their response to latter is a spread of about 19% equivalent responses of those who strongly agree, unsure and disagree. A point corroborated by a mere 38% officials agreeing that resources and capacity does exist within their Department. On the contrary, about 57% of informal settlement dwellers are relatively confident that the Department possesses requisite resources as well as capacity. Since the advent of democratic elections in 1994 in South Africa, the delivery of low cost housing remained a "private sector delivery in a state facilitated framework."

According to Tomlinson (1998:5), "It is weak approach at best." The observation is drawn because of the ongoing discourse about whether housing should be delivered by the private sector or the state. When carefully analysing the relationship between state and the private sector, the chosen route or approach is "a resounding compromise"-partnership, Tomlinson (1998). Tomlinson's Research Report (1998) refers to the new municipality suffering from "a dearth of skills" needed to deliver infrastructure, services and housing to the increasing number of people who require goods. It is highlighted that personnel capacity as well as financial resources poses the biggest threat to low-cost housing delivery at local authority levels.

The compromise approach has serious implications on the product (quality, size, and costs) as well as resources or capacity invested in the delivery of low cost housing. A contradiction that emerges is that the beneficiary community hoped for a better or bigger product, whereas developers cut costs on material expecting higher returns or profits.

It led to mass production of low-cost housing regarded or perceived as of lower standard. Business regards the approach as lower risk as well as increased profiteering.

The issue of resources and capacity is at the core or centre of the success or failure of the Informal Settlement Upgrading Strategy. It presents complexities for the success of the Informal Settlement Upgrading Strategy. It is because of the current complexities of the low-cost housing sector that the spread of responses is evenly distributed with no dominant thrust about the adequacy or inadequacy of capacity as well as the availability of financial resources. Their responses are tilting in the direction of uncertainty or less confidence in the availability of capacity, inter alias, personnel, technical and financial. The challenge to EMM is to create capacity as well as allocate substantial budgets to achieve its goal of effacing informal settlement by 2014.

Because of the latter finding, the researcher conducted "snap telephonic interviews" with Regional Executive Managers (South, East, and North) responsible for Housing operations and they indicated that their personnel capacity levels are at less than 30%. For them to be able to take over the total responsibility from the Provincial Housing Board, they need to operate above 60%, approximately double their current capacity. As previously indicated, EMM has to provide services to 135 000 stands to be able to upgrade all informal settlements. The backlog does not remain static, rather there will be increases registered per annum. The increase would be as a result of possible population growth. A projection of funding required as well as possible phasing of these projects were done taking into consideration practical restrictions such as geotechnical studies and environmental impact assessments. R1.452 billion is required at present value to eradicate the backlog by 2010, Ekurhuleni Housing Summit (2006). If, annual escalations are taken into consideration, at an average of 10% per annum increase, the current projections will increase at about R100 million over a period.

The Breaking New Ground (BNG) policy and strategy suggests a shift from developer driven (informed by market forces) to demand driven process, where the state, local government in particular, is bestowed and have to assume overall responsibility for housing programmes in areas of jurisdiction, through a greater devolution of responsibility as well as resources to municipalities. The BNG policy and strategy shift provides the municipality with a "window of opportunity" to determine the location as well as nature of low-cost housing to be supplied as part of a strategic plan to link demand and supply of housing.

This strategic approach will have to instil value partnership with the private sector as the primary vehicle to the delivery of low-cost housing. Research conducted by the Banking Association in 2005 found that even with access to housing loans for households with a maximum of R7500, there is very little affordable housing for a prospective borrower to buy. The research puts the shortage at about 650 000 affordable housing units. It shows that only 15 000 houses costing less than R200 000 are delivered annually, Nell (2006).

Developers are not interested in delivering houses in a market where the risks are higher and returns are low. Importantly, the Financial Charter commits financial institutions to provide about 42 Billion Rand towards housing by 23 December 2008. The vast majority is expected to be used for housing units for households in the affordable housing sector Nell (2006). The challenge of financial resources as well as capacity of local government Housing Departments holds the key to "unlock the logjam" to achieve lofty goals of the BNG policy and strategy of building sustainable communities in municipalities.

4.1.4 VIABILITY OF THE UPGRADING STRATEGY

The responses of the three categories of respondents confirm high consideration of their proposals. Their participation in the specific crucial sections of the strategy such as developing strategic objectives, implementation plan, setting targets as well as communication is about 21% councillors, 33% informal settlement dwellers, and 42% officials.

The three categories of respondents all agree that there is a comprehensive plan. The viability of the Informal Settlement Upgrading Strategy lies in the operational domain of the municipality. It has to be directly linked to the operational strategy of the municipality. In this instance, the municipality is located in the public domain operating in an environment where accountability lies in the public sphere, as contrasted with the private sector where accountability lies in the board of directors as shareholders based on return on their investment.

The viability of a delivery strategy depends on appropriately determined and on the strength of partnerships with business and communities. After the macro processes of consultation, officials have the responsibility to re-align "logical and sequential work plans" linked to strategic objectives, performance objectives, milestones, and deliverables. Work plan processes have to be in line with "the corporate and business strategy", EMM 2025 Growth and Development Strategy (2005). Set targets have to be in tandem with achievable realistic plans aligned to available resources, in particular, financial and skills capacity. This approach is within the realm of new public management.

The general critique about new public management strategic framework is that; "although it is useful in the public sector, it focuses on efficient use of inputs in relation to pre-determined outputs." It pays lesser attention to outcomes or effectiveness in terms of the impact on fundamental changing social relations. It is also seen as premised from neo-liberal or market-oriented or profit-driven paradigm, .

It is critical to have the "pre-planning phase to create a communion of strategic planners" contextually relevant to the public sector environment. When carefully perusing the three categories of respondents on achievability of plans, there is a high measure of uncertainty from councillors on the capacity of the strategy to deliver low-cost housing optimally. It is in this context that the current Minister of Housing solicited agreement with the Banking Association or financial institutions to mobilize partnerships as well as 'buy-in' from those institutions.

It is the case because of the EMM Informal Settlement Strategy Framework outlining lofty commitments and targets such as the time line for basic services at every informal settlement without breaking them into clear individual work plans with set out objectives per project, activities or action steps and deliverables linked to specific short-term periods. The three categories of respondents acknowledge and accept links between targets to comprehensive implementation plans. A point demonstrated by the overwhelming 81% of informal settlement dwellers and 77% of officials confirming the existence of a detailed implementation plan.

The presence of a detailed plan does not translate into viability. There are many other factors that may hinder the strategy such as the availability of financial, skills, land availability endorsement by stakeholders, and other associated factors. The presence of implementation plan represents a step in the right direction towards making the strategy work. Lack of accreditation remains a major threat for the strategy. Local government has to be a "developer of choice" in collaboration with the private sector as well as the beneficiary community. The municipality will then have both financial and legislative authority. Most of the work currently fulfilled by the provincial as well as national government will be to the municipality.

4.1.5 PROMOTING INTER-DEPARTMENTAL COOPERATION

It is a matter of concern that 40% of councillors confirm links as well as cooperation amongst Departments. About 28 % of informal settlement dwellers also agreed as well as about 30 % of officials agree on integration between departments. Convergence of inter-departmental activities or procedural frameworks in order to increase turn around time linked to inter-departmental cooperation is fundamental to improvement of housing delivery strategy. The latter point is one of the most important as confirmed by Payne's "Twin-track Strategy", Payne (2005).

The three categories of respondents are uncertain about inter-departmental cooperation and integration. Critical areas of land availability, basic services provisioning such as water, sanitation, and electricity and zoning issues have to be streamlined in order to contribute rather than impede turnaround time to accelerate the Informal Settlement Upgrading Housing Delivery Strategy. For instance, zoning or environmental impact assessment study of land from a park to residential land should not take too much time; otherwise, it undermines the timelines set out to initiate the housing project. These critical elements of housing delivery are 'driven or championed' from other operational Departments other than Housing Department.

It is critical that synergy, coordinated efforts, as well as integration happen between concerned Departments. The foregoing is associated with "internal business processes" and decision-making within portfolio committees responsible for different outcomes. Inter-departmental cooperation as well as integration constitutes a major threat to the viability or workability of the informal settlement upgrading strategy. A lot of attention should be paid to inter-departmental links, integration, as well as cooperation.

4.2 FFECTIVE COMMUNICATION

Contrary to 'existing perceptions' as well as media reports, Msomi (2005)'s report on several protests giving an impression that local government is not always communicating well, about 54% of councillors, 80% of informal settlement dwellers as well as about 83% of officials confirm that the strategy has been effectively communicated to stakeholders with Ekurhuleni Metropolitan Municipality. The outcome vindicates the effectiveness of the Mayoral Outreach Programme 2005 -2006.

The three categories of respondents gave an account on forms of communication centred on ward committees, workshops, and public meetings as a dominant form of "communication model. Notably, officials prefer ward committees to relay their strategy and ad-hoc meetings, as and when required.

Effective communication should not focus only on organizational-public relationship as well as relationship building, as and when required or determined by authorities, as many

public relations exercises generally do. This type of communication objective may be effective at the beginning, but it un-sustainable in the long-term.

There should be space for meaningful communication where the beneficiary community can persuade politicians or officials to change proposals put forth to them, which do not necessarily suit them. It is something that appears to have been the trend with EMM forms of communication. For example, when assessment rates were increased, 2003 to a point where some ratepayers had 200% increase, the Executive Mayor through direct consultation with the affected ratepayers agreed on "a window period" as well as rebates for those who are affected negatively by the rise. Kovacs (2004) asserts:

> "To achieve real inclusion and balance in public relations, research must begin to address the public communications needs and constraints of previously excluded segments of the population."

Special attention must be given to ways in which the beneficiary community can overcome the constraints on time as well as to resources that often prevent them effectively communicating with government institutions. Poor communication of a municipality can have far-reaching implications on its image and prosperity. Trueman et al (2004) distinctly distinguish between two type of communication relationships, namely, "communal and exchange." The latter creates room for meaningful dialogue as well as reciprocal relationship; whereas the former is regarded as an "act of altruistic concern" for recipients "welfare." It is critical for the communication plan to encapsulate risk communication. The informal settlement dwellers to be re-located because of their dwellings location at life threatening dolomite as well as shallow mine-dump have to comprehend the extent of the danger they are facing.

As Hough (2006) purported in a case in the United Kingdom, where there was a need to remove resident from contaminated land. The fact that good communication with developers and residents can help avoid many issues, which surround contaminated land in a way that:

> "The process involves building relationships through mutual trust and respect for other viewpoints, rather than forcing the decision of experts on the community."

It is therefore crucial that the municipality understand community risk perceptions as an important part of the development of an acceptable, as well as ethical, risk-communication strategy. Good communication tends to modify, and reduce risk perceptions by either increasing the extent to which the risk is taken serious through raising awareness about the implications of the risk. It is acknowledged that some communication relationship mature from communal to exchange. In essence, without knowing details of the depth of communication relationship, the communal type can make the public or community belief they have quality communal relationship with the municipality as attesting to successful communications relation management. It is something that the municipality did well as confirmed by the responses of the three categories of participants. For purposes of validating the impact of the communication model, it may be necessary to embark on "un-mediated dialogue" with the informal settlement dwellers. The researcher is not able to engage in un-mediated dialogue because of time constrains.

4.3 CONCLUSION

Chapter 4 discussed the responses of the three categories of respondents in detail. It also details and expands on the observations made from the raw data as well as preliminary observations made in Chapter 3. It is found that, notwithstanding the good processes followed in determination of the informal settlement upgrading strategic path, there are other factors such as inter-departmental cooperation as well as capacity or other resources that can hinder the viability of any the strategy within a municipality. The research findings suggest that these factors will make the Ekurhuleni Metropolitan Municipality 's Informal Settlement Upgrading Strategy not workable or viable.

CHAPTER 5: GENERIC PRESENTATION OF FINDINGS AND ANALYSIS

Chapter 5 presents the details of trends in the responses of the three categories of respondents to the survey. The commonalities and variances in their responses will be presented with a view of utilizing those trends to assist the researcher to formulate recommendation in the conclusion of the research report. The logic as well of the sequence of the themes followed in the survey will be used to present the trends of the findings amongst the three categories without presenting them individually as in Chapter 3. The trends are presented in a geodesic manner to enable the researcher to make sensible observations as well as interconnections based on concrete findings.

5.1 BIOGRAPHICAL INFORMATION

There is a widespread and even use of almost all official languages in South Africa amongst all the categories of respondents to the survey at the Ekurhuleni Metropolitan Municipality. Interestingly, most councillors have been resident of the area for about thirty years whereas both the informal settlement dwellers and officials who have been resident mostly just for about ten years. The respondents in the three categories were mostly black, with a few white councillors. Most were employee of the municipality. The spread of females and male is equal with dwellers (50% each group) with the other two categories dominated largely by males.

5.2 EFFECTIVE COMMUNICATTION

The strategy and other related issues on low-cost housing seem to be communicated well amongst stakeholders. Respondents generally admit that the strategy is communicated to stakeholders, in particular, informal settlement dwellers. The researcher went on to solicit information about how the strategy is communicated and the level of participation of the stakeholders.

Indications are that various mediums are utilized, including:

- Workshops and mass meetings (including road shows as well as “Imbizos” – ‘loosely translated meaning the gathering of the community or clan’);

- Open formal council meetings freely attended by the public chaired by the Speaker of Council;
- Executive Mayor's programme to visit informal settlement which started in March to November 2005, and is planned to continue or proceed in May to November 2006;
- Two days' Housing Summit held in January 2006 in Alberton to map the way - forward in housing delivery within the municipality;

The above approach consolidated EMM's satisfactory communication strategy.

5.3 MEANINGFUL PARTICIPATION

In relation to meaningful participation of stakeholders, it is indicated that the Executive Mayor, D Nkosi has a Mayoral Outreach Programme. Its objective is to solicit informal settlements dweller's concerns. Between March to November 2005 (the researcher attended one of the meetings in un-official capacity at Thokoza Stadium in November 2005), indications are that there is a plan to formal programme planned for report-back between May to November 2006. These mass meetings with the community are un-mediated with the Executive Mayor and a team of Housing Department officials. The latter approach, including communication tools stated as used in communicating the strategy in 5.2 above, signify the rigorousness with which communities are engaged.

The dual approach of soliciting concerns and returning to them to report-back on those concerns constitutes in-depth as well as meaningful participation. Stakeholders freely interact with those who run the municipality in a those public gatherings. They are also free to comment as well as make comments (negative or positive) on low-cost housing issues. The three categories of respondents agree, confirm and accept that the there is effective communication and meaningful participation. A point confirmed by about seventy two percent (72%) of informal settlement dwellers as well as about sixty six (66%) of officials when agreed that the proposals of stakeholders were taken into consideration.

5.4 VIABILITY OF THE STRATEGY

5.4.1 EXISTENCE OF COMPREHENSIVE IMPLEMENTATION PLAN

Two out of three of the three categories of respondents confirm the existence of detailed implementation plans. The fascinating or 'intriguing' fact about the finding is that 56 % of respondent councillors refuted the existence of the comprehensive implementation plan whereas fourty percent (40%) confirmed the existence such a plan. By contrast, about 81% of informal settlement dwellers as well as about seventy six (76%) of officials confirmed the existence of the comprehensive implementation plan. Ultimately, at least, a plan does exist. What is contested is the comprehensiveness of the plan. When carefully analysed, the rate of percentages of the three categories of respondents 'the scale tilts' in the direction of the existence of the comprehensive implementation plan. The two categories confirming the existence of the plan are too high to be refutable.

5.4.2 LINKS BETWEEN TARGETS AND IMPLEMENTATION PLAN

The trend of negativity or "pessimism" about the plan by councillors persists. Only about fourty percent (40%) of them agreed to have links between set targets and the implementation plan. By contrast, , informal settlement dwellers and officials respectively held a positive believed that "there are links between set targets and the implementation plan, albeit with reduced percentages of about fifty seven percent (57%) and fifty three percent 53% respectively."

5.4.3 ACHIEVABILITY OF SET TARGETS

The three categories of respondents are projecting "uneven as well as ambivalence" on whether set targets are achievable. Less than thirty five percent (35%) in the three categories agree that the targets are achievable, with informal settlement dwellers recording a "record low" of about twelve percent (12%). Interestingly, about thirty seven percent (37%) of informal settlement dwellers strongly agree that the set targets are achievable whereas as about twenty five (25%) of the same category of respondents disagreeing that the set targets are achievable.

Twelve percent of councillors and about seven per cent of officials respectively strongly agreed that the set targets are achievable. Another fascinating finding is that about fourty six (46%) of the officials recorded a high level of uncertainty about the achievability of the set targets. Thirty-one per cent of councillors and about twelve per cent of informal settlement dwellers were uncertain about their achievability. It is in the latter sense that we suggest a "the low confidence trend" in the achievability of the set targets by the three categories of respondents.

5.4.4 CAPACITY WITHIN THE HOUSING DEPARTMENT

One out of the three categories of respondents displayed some confidence on the adequacy of resources as well as capacity compatible with the implementation of the Informal Settlement Upgrading Strategy. Indeed, about fifty seven percent (57%) of informal settlement dwellers agreed that there are requisite resources and capacity within the municipality to implement the strategy. The observation is attributed to the manner in which the strategy has been consistently communicated well to them.

Thus, their confidence level seemed to be high on the viability of the strategy. By contrast, only about twenty six percent (26%) of councillors as well as about thirty eight percent (38%) of officials agreed that there were resources and capacity within the Housing Department to deliver on the strategy. councillors and officials engaged a more detail scrutiny of the available resources and capacity. They are in a better position able to determine the availability of resources as well as capacity as they jointly inform the budgetary processes. Therefore, those who plan together by virtue of their oversight role as well as those who draw the financial plan after priorities are established can have their low confidence validated based on the availability of resources and capacity within the Housing Department.

5.4.5 AVAILABILITY OF FINANCIAL RESOURCES

The three categories of respondents have relatively low confidence in the availability as well as adequacy of the financial resources to implement the Informal Settlement Upgrading Strategy.

Less than thirty percent (30%) of the three categories agreed that there are adequate financial resources set aside to ascertain that the strategy is implemented effectively and efficiently. About thirty percent (30%) of councillors and twenty eight (28%) of informal settlement dwellers agreed to the availability of financial resources. A mere twenty three (23%) of officials agreed to their availability. Furthermore, fourty six percent (46%) officials who have the responsibility of drawing the budget were uncertain about the availability of adequate financial resources to implement the strategy. Officials played a pivotal role in the formulation and determination of budgets. Their scepticism on the availability of adequate budget was a signal of the limitation of financial resources.

Therefore, we suggest that the financial resources are not adequate to ascertain the realization of the set targets of assuming collective responsibility to eradicate all the 112 informal settlements within Ekurhuleni Metropolitan Municipality. Consequently, the achievement as well as the realization of the Millennium Goals and UN-Habitat Strategy might be a 'pipe dream' or 'far fetched', more so the Ekurhuleni Sustainable Human Settlement Declaration that: "All houses must have access to basic services including electricity by 2012, Ekurhuleni Housing Summit (2006)."

5.4.6 INTER-DEPARTMENTAL COOPERATION

The three categories of respondents are less confident about inter-departmental cooperation within Ekurhuleni Metropolitan Municipality. They recorded about thirty percent (30%) confidence in integration as well as synergy with other Departments such as Municipal Infrastructure; Planning and Development; Sports, Recreation, Arts, Culture and Heritage; Communications and Marketing; Civil Works, Transport, etc. About thirty (30%) of officials agreed that there was inter-departmental cooperation and support to the Housing Department.

About twenty eight (28%) of informal settlement dwellers agreed to such cooperation amongst supporting Department existing. Twenty-one per cent of councillors agreed to the existence of inter-Departmental cooperation.

The three categories of respondents agreed on minimal inter-departmental cooperation, which has serious implications on integration of operational activities. Other services such as water and electricity, as well as sports amenities or layout plans are coordinated from supporting Departments. Nevertheless, they form an integral part of providing complete services in order to create a sustainable environment for informal settlement dwellers.

CHAPTER 6: CONCLUSION AND RECOMMENDATIONS

6.1 LOCAL GOVERNMENT LOW COST HOUSING STRATEGY

At a macro-level, international directives associated with the United Nations Habitat Strategy interventions influence the EMM Informal Settlement Upgrading Strategy[9]. South Africa, as a member state of the United Nations, is compelled to respect treaties. At the national level, most UN treaties translate into legislation, policy, regulation as well as procedures. Strategic frameworks are further development into "local strategy interventions" taking into consideration local conditions within which municipalities operate. It is in this context that the ANC Local Government Manifesto (2004) and their controlled municipalities such as Ekurhuleni established their Informal Settlement Upgrading Strategy.

Their set targets are aligned to the Millennium Development Goal (MDG) 7 and aim to have "all informal settlements formalized, developed and provided with full services by 2014". Critics of the approach such as Bond (2003) and Huchzermeyer (2005) argue that the underlying paradigm is neo-liberal as well as influenced by market-oriented approach to housing delivery and settlement. Its main drivers are global financiers such as the IMF or World Bank. Neo-Marxists further attribute the perpetual class contradictions that manifest in under-development to such strategic interventions influenced by global international bodies aimed at sustaining exploitative unequal production relations Huchzermeyer (2004).

Neo-Marxists do not suggest any alternative delivery mode of low cost housing, but challenge its repository of the dominant class. At the implementation level, the strategies are seen as "top-down" initiated by conservative capitalist private sector in collaboration with governments where a class of beneficiaries are passively receiving a "one size fit all" product. It is asserted that, there are alternatives to such strategy approaches that were experienced in Brazil. Progressive social movements in cities such as Sao Paolo, government; the private sector drive informal settlements improvements in line with What Huchzermeyer (2004) calls; "a bottom up instead of top down approach."

[9] as an agency globally mandated to steer the global strategic framework towards the eradication as well as provision of basic services such as water, electricity and sanitation to all informal settlements or slums worldwide

The researcher recommends that a socio-political pragmatism rather than orthodox ideological approaches to informal settlement upgrading strategy. South Africa, without duplicating the Brazilian model, has a lot to learn from the Brazilian experiences. South Africa need not "re-invent the wheel" of informal settlement upgrading strategies. Learning has been identified in the literature review as a very important part of strategic planning. Learning from own contextual implementation experiences as well as learning from others who may have gone through the same experience before.

6.2: RECOMMENDATIONS BASED ON STUDY FINDINGS

6.2.1 SOCIAL PROCESS

The research shows that a lot of effort is invested in the communicating the strategy as well as community participation. It is something that the municipality has to be applauded and commended for.

The fact that categories of respondents confirmed the existence of both the informal settlement strategy and the comprehensive implementation plan constitute a step in the right direction of creating appropriately detailed roadmap to informal settlement upgrading within Ekurhuleni Metropolitan Municipality. It is not only about improvement of informal settlements, but also their obliteration. The "social process" asserted as progressive is well on track. The phase referred to as "planning for the plan or legitimisation of process as well as the socialization of stakeholders to the process are achieved." It will obviate the persistent allegation and the perception of councillors as well as officials driving strategy interventions without community involvement.

The dual approach of dialogue that takes concerns as well as reporting-back constitutes meaningful participation, as there is follow-up to matters raised before for redress. One major finding associated with communication comes out of Section (A) on biographical information. The finding points in the direction of "multi-lingualism" in the communication and the socialization processes of stakeholders The dual approach has to

be sustained as it is a good way of communicating as well as heightening participation and involvement of stakeholders.

6.2.2 VIABILITY OR WORKABILITY OF THE STRATEGY

Overall, the strategy in its current form seems to be "riddled with gaps" that need "plugging into." Therefore, it is sub-optimal. Multiple factors contribute its sub-optimality.

6.2.2.1 Targets and Achievability

The research findings suggest a need for review of set targets in order to make them realistic as well as achievable. There is low level of confidence in the current set targets as well as their achievability. Links with the implementation plan benchmarks and time lines will go a long way in strengthening the level of confidence. There is a need to link the possible achievability of the targets (results) and outcomes of the implementation plan. Targets set are projections over number years without breaking them down into annual as well as bi-annual achievable targets within the framework of multi-year budgeting system as well as cycle.

Specific intervention project need to be further broken down into monthly to quarterly benchmarks in the direction of annual and bi-annual achievable targets. The other component of the review should be the ability to be flexible in changing set targets; mostly in the direction of their acceleration rather than the deceleration of such set targets. These set targets have to be achievable, and revised under stringent circumstances. Such approach to managing the implementation plan is crucial.

6.2.2.2 Resources and Capacity

Issues of resources in general and capacity in particular, including financial resources are crucial in the "wider scheme" of the need to eradicate informal settlement to build sustainable communities. In the researcher's opinion, based on experiences, they are core factors that will contribute to the success or failure to the strategic intervention over and above social processes.

Findings indicate that resources and capacity are limited. What needs to be done is to extensively expand personnel skills by way of taking them through training as well as development programmes that will accelerate their capacity to manage low cost housing projects. Such training and development should be conducted after a skills audit in order to focus on scarce or critical skills such as project management. Linked to the latter is the pursuance of accreditation that comes with funded mandates as well as concomitant resources. Financial institutions need to be engaged to increase financial resources they invest in low cost housing development or delivery.

Accreditation means the municipality becomes a "developer of choice by legislation" rather than a facilitator, contactor or consultant. Accreditation also comes with devolution of financial resources and skilled personnel. Financial institutions should be engaged to consolidate the agreement reached with the National Minister, Ms Sisulu after the policy shifts contained in Breaking New Ground in housing policy and delivery strategy. The responsibilities that are currently controlled by the Provincial Housing Board (PHB) such as budget allocation to specific projects; management as well as the administration of waiting lists; and Professional Management Teams (PMT's) will have to be delegated to the municipality where resources and capacity is needed after the accreditation.

6.2.3 INTER-DEPARTMENTAL COOPERATION

Research findings points out that: "There is low level of cooperation amongst supporting Departments within the Municipality." The latter finding has serious implications on integration of operational activities in order to shorten the turnaround time of low cost housing delivery, sharing of resources, and avoidance of duplication as well as wastage. The municipality should form or establish focused "multi-disciplinary teams as well self directed work teams" per low cost housing development project with supporting Departments. The coordination responsibilities should to be left to Housing Department officials. These teams should be flexible and dynamic comprising of multi-skilled officials who should be able to "chair as well as steer" them, as and when required depending on the stage or phase of the project.

For instance, if the housing project is at layout as well as allocation or basic services provisioning phase/stage, development planners and engineers respectively from supporting Departments should steer the proceedings whereas the Housing Department coordinates the activities of these teams as the "championing" Department or "custodian" of low cost housing delivery.

A phased-out process has to be developed as the framework to manage the current sub-optimality of the Ekurhuleni Metropolitan Municipality Informal Settlement Upgrading Strategy. The following proposal constitutes phases of work plan that should remain guidelines for low cost housing development projects:

Figure 8: PROPOSED WORK PLAN PROCESS FRAMEWORK



2 Months	6 Months	6 Months
• Develop a fact base to drive individual or specific low cost housing projects • Develop prioritisation matrix • Develop project business plans • Review set targets • Align set targets to the comprehensive	• Identify critical success factors based on specificities of the informal settlement housing projects • Synchronise business plan links with the implementation plans that will define the scope, including charting a path towards the successful execution	• Execute implementation plan by activating resources - physical, human, & financial resources. • Identify and bring on board strategic partners in particular banking and funding institutions • Solicit appropriate funding and support from councillors or stakeholders for the

implementation plan • Constitute multi-disciplinary teams with supporting Departments based on required skills at a specific time of the projects • Accelerate the accreditation process by garnering of the necessary political support from the Executive Mayor for the devolution of responsibility as well as resources to the municipality	of the projects • Develop overall funding strategy or model as well as specific financial tools • Complete operational rollout plan • Develop baseline key sustainable human settlement indicators – both quality standards as well as local socio-economic imperatives • Develop service level agreements with supporting Departments	execution plans • Mobilise the implementation of projects • Reach milestones on monthly or quarterly basis • Establish a monitoring and evaluation framework – Business Intelligence Tool at the Individual Project level • That the above framework be "in sync" with the Municipality's medium-term budget cycle, IDP and SDBIP.

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