

A formative evaluation of Johannesburg's Diepkloof Hostel housing intervention

Lindiwe Mchunu

WITS Graduate School of Governance

**Thesis presented in partial fulfilment for the degree of Master of
Management (in the field of Public Sector Monitoring and
Evaluation) to the Faculty of Commerce, Law, and Management,
University of the Witwatersrand**

February 2023

DECLARATION

I, Lindiwe Mchunu, declare that this research report entitled 'A formative evaluation of the Johannesburg's Diepkloof Hostel housing intervention' is my own unaided work. I have acknowledged, attributed and referenced all ideas sourced elsewhere. I am hereby submitting this research report in partial fulfilment of the requirements of the degree of Master of Management at the University of the Witwatersrand, Johannesburg. I have not submitted this report before for any other examination degree or to any other institution.

Name of candidate	Lindiwe Mchunu
Student number	1620308
Signature	
	Signed at Johannesburg on 28 th February 2023
Telephone numbers	0730515795
Email address	Mchunu.lindiwe@ymail.com
First year of registration	2019
Date of proposal submission	July 2021
Date of report submission	28 February 2023
Name of supervisor	Kambidima Wotela

ABSTRACT

Author: Lindiwe Mchunu **Supervisor** Kambidima Wotela
Thesis title: A formative evaluation of Johannesburg's Diepkloof Hostel housing intervention

Johannesburg, February 2023

It is evident that the apartheid system was created for the sole benefit of South Africa's White population and that this political structure led to many imbalances in the provision of basic services, land allocation and participation in the economy. Apartheid's spatial planning was at the forefront of the creation of these imbalances through establishments such as the migrant hostels. Therefore, this study seeks to conduct a formative evaluation of fundamental government interventions intended to address social problems, such as housing, by using the Diepkloof hostel as a case study. Several studies have been conducted on the effectiveness of the Community Residential Units programme. However, there is limited interrogation on the programme's impact on the Diepkloof hostel. To this end, the study employs a qualitative approach and uses thematic content analysis to interrogate the contributing factors that lead to the mis-formulation of fundamental interventions. Findings show that mis-formulation and poor implementation is caused by mismanagement and corruption, the lack of regulatory controls, transparency, and clear communication. The study recommends an efficient monitoring and evaluation process for strengthen the housing interventions among other things.

TABLE OF CONTENTS

DECLARATION	ii
Abstract	iii
Table of contents	iv
List of tables	vii
List of figures	viii
Acknowledgements.....	ix
1 Introduction to the research	10
1.1 Background	10
1.1.1 A brief history of hostel accommodation in South Africa	12
1.1.2 Johannesburg's Diepkloof Hostel affordable housing intervention	13
1.1.3 A brief introduction to formative evaluation	14
1.2 A formative evaluation of Johannesburg's Diepkloof Hostel housing intervention	15
1.2.1 The research problem statement.....	15
1.2.2 The research purpose statement.....	17
1.2.3 The research questions as well as accompanying propositions...	18
1.3 Delimitations of the research.....	19
1.4 Justification of the research	200
1.5 Preface to the research report	200
2 Reviewing Literature to derive the conceptual framework	223
2.1 The history and description of the South African hostel housing system	
2Error! Bookmark not defined.	
2.1.1 South Africa.....	24
2.1.2 The discovery of diamonds and the birth of migrant labour.....	24
2.1.3 Apartheid.....	25
2.1.4 South Africa's hostel housing system	26
2.1.5 An overview of Dipkeloof	27
2.2 The symptoms, root causes and consequences of the Diepkloof hostel situation and the challenges of formulating upgrading interventions..	Error! Bookmark not defined.1
2.2.1 The symptoms and established trend of the problem.....	493
2.2.2 The root causes and symptoms of the problems facing hostels	Error! Bookmark not defined.4
2.2.3 The consequences to the symptoms of the problem.....	517
2.2.4 Intervention for Housing	510
2.3 Methods, data, findings, and conclusions of studies on evaluations of formulating key interventions	42
2.3.1 Aims and objectives.....	449
2.3.2 Method	4Error! Bookmark not defined.
2.3.3 Target population and sample	44
2.3.4 Data processing and analysis	45
2.3.5 Results- research findings	45
2.3.6 Limitations	527

2.3.7	Considerations for future studies	48
2.4	An introduction to public policy	49
2.4.1	Describing public policy	50
2.4.2	The purpose of public policy	51
2.4.3	Established facts in public policy	51
2.4.4	Key issues and debate in the study of public policy	52
2.4.5	Major components/processes of public policy	52
2.5	Key attributes in public policy studies that are key to formulating interventions	53
2.5.1	Policy diagnostics	5Error! Bookmark not defined.
2.5.2	Policy adoption	55
2.5.3	Policy implementation	56
2.5.4	Economic Determinants	58
2.5.5	Political Determinants	59
2.5.6	Social Determinants	60
2.5.7	Policy evaluation	60
2.6	Established public policy frameworks for interpreting results on formulation of interventions	61
2.6.1	Theory of change	62
2.6.2	Theoretical approaches to public study	6Error! Bookmark not defined.
2.7	A formative evaluation of Johannesburg's Diepkloof Hostel housing intervention 66	
3	Research strategy, design, procedure and methods	73
3.1	Research strategy	73
3.2	Research design	766
3.3	Research procedure and methods	788
3.3.1	Research data and information collection instrument (s)	788
3.3.2	Research target population and sampling	811
3.3.3	Ethical considerations when collecting research data	82
3.3.4	Research data and information collection, processing and analysis	83
3.3.5	Description of the research respondents	83
3.4	Research strengthens—trustworthiness and credibility	86
3.5	Research weaknesses—technical and administrative limitations	86
4	Presentation of research results	90
4.1	Key factors underlying the mis-formulation of fundamental interventions Error! Bookmark not defined.	
4.2	The influence of institutional arrangements on the implementation and management of affordable housing	Error! Bookmark not defined.
4.3	The Community Residential Units role in promoting social integration between the hostel dwellers and the rest of the community, and in addressing their housing needs?	Error! Bookmark not defined.
4.4	The impact that the Community Residential Units Programme has had on the cultural norms and value systems of people living in the Diepkloof hostel	Error! Bookmark not defined.1
5	Discussion of research findings	105

5.1	Mis-formulation of fundamental interventions	Error! Bookmark not defined.
5.2	Institutional arrangements' influence on the implementation and management of interventions	Error! Bookmark not defined.
5.3	The lack of social intergration	Error! Bookmark not defined.
6	Summary, conclusions, limitations, and recommendations	1110
6.1	Summary	1110
6.2	Conclusions	Error! Bookmark not defined.
6.3	Limitations	1Error! Bookmark not defined.
6.4	Recommendations	117
	References	119
	Appendix 1.1: Consent form	130
	Appendix 2.1: Research instruments	132
	Appendix 3.1: Participants response.....	132

LIST OF TABLES

Table 1 Approaches to Policy Evaluation- Summative and Formative.....	ix
Tabel 2 Diepkloof community profile	ix
Tabel 3 Housing beneficiaries.....	ix

LIST OF FIGURES

Figure 1 Access to formal Dwellings %, 2016- 2020	ix
Figure 2 Map of Diepkloof, Soweto	ix
Figure 3 Diepkloof hostel and new rising flats	ix
Figure 4 Problem Tree Analysis.....	ix
Figure 5 An outline of the results chain framework of the CRU programme	ix
Figure 6 Public policy and its processes and components	ix
Figure 7 Main stages of the public policy cycle	ix
Figure 8 Implementation and its key components	ix
Figure 9 Results chain	63
Figure 10 A formative evaluation of Johannesburg's Diepkloof hostel's housing intervention	ix
Figure 11 Image of Diepkloof hostel and the surrounding Diepkloof Zone 6.....	ix
Figure 12 Temporary units	96
Figure 13 Communal toilets at the Diepkloof hostel	101
Figure 14 The Diepkloof hostel's foundation is collapsing	107

ACKNOWLEDGEMENTS

The completion of this research paper was made possible by the following:

- Thank you to the Almighty and Everlasting God for carrying me through this journey.
- My mother for affording me the constant support, space and time to complete this research.
- My supervisor: Dr. Kambidima Wotela for the guidance, patience and commitment.
- Residents of the Diepkloof zone 6 community in their willingness to participate in this research.
- Finally, the residents of the Diepkloof Hostel for the warm welcome and invaluable insights shared.

1 INTRODUCTION TO THE RESEARCH

1.1 Background

South Africa has enjoyed democracy for over 25 years, however, some members of its population still face the challenge of not having adequate housing. Housing is a basic human right that all people in South Africa should be enjoying but are not. Why is that? The City of Johannesburg (CoJ) in its Drafted Integrated Development Plan (IDP) report (2022-27) states that there is a housing backlog and only 80 per cent (1.6 million) of households are living in formal dwellings in Johannesburg (reflected in Figure 1 below). The housing backlog is currently 20 per cent and has worsened from the 2017 of 18.5 per cent. The backlog comprises non-regulated backyard rentals, informal settlements, overcrowding in hostels and homeless people. Further, the CoJ's report (2020/21) argues that South African cities are faced with complex challenging dynamics that are forever changing at such a rapid rate that government cannot determine its future responses. Unforeseeable disruptions, such as the coronavirus pandemic that affected South Africa from March 2020, have presented socio-economic hardships, especially for underprivileged communities.

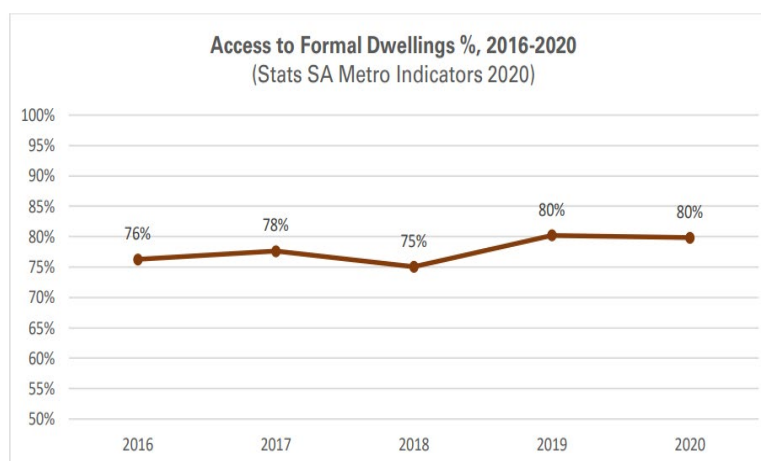


Figure 1: Access to Formal Dwellings %, 2016-2020.

Source: 2022-27 CoJ's draft IDP report (as cited in Stats SA, 2021).

In addition to the above information, the City of Johannesburg (2020: p.31) states:

“In December 2019, the World Health Organization (WHO) China country office reported a cluster of pneumonia cases in Wuhan, Hubei Province of China. On 7 January 2020, the causative pathogen was identified as a novel coronavirus (SARS-CoV-2). South Africa, to date has registered 97 302 confirmed cases of coronavirus with Johannesburg having 9 322 cases out of 20 822 confirmed cases in Gauteng”.

Further, The City of Johannesburg (2020/21) states that on 15 March 2020, the President of South Africa announced the coronavirus (COVID-19) pandemic as a national disaster. This announcement was followed by the country being placed under alert level 5 lockdown regulations, to curb the spread of infections. These regulations have since brought the spotlight on South Africa's housing challenges. Xolo (2020) confirms that these regulations African's exposed the dire position of neglected hostel dwellers.

Therefore, the purpose of this study was to conduct a formative evaluation of the fundamental government interventions intended to address social problems such as housing, by using the Diepkloof Hostel, situation in a township located in Soweto, Johannesburg. In this chapter, the reader will be introduced to concepts and terms that have been used in conceptualising the research. Furthermore, this chapter will cover five key objectives: namely to provide a brief description of the decisions taken in conceptualising this research (Sections 1.1.1 to 1.1.3), to provide the research problem statement (Section 1.2.1), to articulate the research's purpose (Section 1.2.2), as well as the research questions (Section 1.2.3), to then discuss the delimitations of the research (Section 1.3), followed by providing a justification of the research (Section 1.4), as well as a preface to the research report. A more detailed discussion that is more specific to the research context and the intervention will be provided in Section 2.

1.1.1 A brief history of hostel accommodation in South Africa

The discovery of gold and diamonds in the later part of the 19th century was the catalyst for an economic explosion, there was an increase in demand for cheap labour and widespread migration from the rural to the urban areas (Smit, 2001). In 1948, South Africa implemented apartheid, a system that represented the separate economic development of races, supported by forced removals and restricted movements of the Black population (Thurman, 1997). Elder (2003) argues that this system was based on the idea of restructuring Black families across different spaces and reconstructing their bonds to ensure the reproduction of a racialised system. The apartheid government then adopted the British capitalist migrant labour system, a process which led to the creation of hostels in townships that were situated on the peripheral of major cities. As a result, worker identities were formed – the male being the migrant worker and wage earner and the female being the unpaid worker. Adding to this situation, Pienaar and Cloete (2005) state, hostels were built next to mines and cities as a means of providing temporary cheap housing for migrant workers from rural areas who were seeking jobs in the cities. Hostels are an important part of South Africa's history because they were key to the apartheid economy (Ubisi, 2019). Hence, they were built neither for comfort nor to house families. Despite the demise of apartheid in 1994, hostels are still viewed as places of fear that are isolated from the rest of society (Elder, 2003) and hostel dwellers still struggle to redefine what hostels represent. The Diepkloof hostel, for example, upon which this study is primarily focused, is situated next to Diepkloof's old settlement and remains marginalised by society, even though according to Dlamini (2017) it is located adjacent to one of Soweto's most expensive suburbs – Diepkloof extension 3. This hostel is characterised by the old dormitory styled, dilapidated U-shaped buildings that have communal kitchen and bathroom facilities. Furthermore, Marx and Rubin (2008) argue that the Diepkloof hostel has experienced an increase in sanitation problems, caused by the lack of facilities due to inadequate housing facilities. There is a high potential for cholera outbreaks due to contaminated water and inadequate drainage systems. The hostel lacks sufficient taps, a fact that necessitates the sharing of one communal tap among many people.

To correct the injustices of apartheid's spatial planning, Marx and Rubin (2008) state that after 1994 the democratically elected government was set to redevelop several hostels in Soweto as a means of removing the earlier single-sex hostel buildings to integrate hostel dwellers into the larger community. Hoosen and Mafukidze (2009) further argue 'structural integrity surveys' were commissioned by the Provincial Housing Department. The findings of these surveys revealed that the Diepkloof Hostel needed to be demolished in its entirety and replaced with the new family units, whereas other hostels required only an upgrade. Dlamini (2017) states that some hostel residents have since moved into the new family units, however, some of these units remain unoccupied and have been vandalised.

1.1.2 Johannesburg's Diepkloof Hostel affordable housing intervention'

Cole (2021: p.7) stated that:

"In 2007, Gauteng Provincial Housing launched the Gauteng Hostel Eradication Programme in line with the Community Residential Units Programme which aimed at fast tracking the upgrading of hostels within Gauteng Province".

The purpose of the Community Residential Units (CRU) programme is to correct the injustices of the past. However, before discussing the intervention, it is important to explain why the problem exists and the nature of its symptoms and consequences. The establishment of inner-city hostels can be attributed to the migrant labour system and the apartheid policies (Vosloo, 2020). The abolishment of the Influx Control Act (86 of 1986), led to inadequate housing, an increase in the overcrowding of public hostels and the lack of basic services delivered by municipalities (Shole, 2018). Various researchers (Mashele, 2015; Phala, 2016; Pienaar & Cloete, 2005; Shole, 2018; Tissington, 2010) state that as a direct consequence of inadequate housing and overcrowding, the living conditions in hostels are not conducive for human habitation. Hostel

residents are subjected to living in spaces that lack privacy and basic services and are not properly maintained by the state.

To address these issues, in December 2006, the democratic government introduced the CRU programme, the core purpose of which is to "facilitate the provision of secure, stable rental tenure for lower-income individuals" (Burger, 2011: p. 299). Its target population being households with a monthly income of between R800 and R3,500 (Social Housing Regulatory Authority, (SHRA) 2018). The SHRA (2018) argues that to achieve the desired impact, the theory of change (ToC) approach has been adopted, to develop, implement and evaluate the CRU programme. This initiative has since funded 78 projects and has refurbished and developed over 29 000 units (SHRA, 2018). However, the CRU programme has been poorly implemented due to the inadequacy of feasibility studies, the lack of specific regulatory policies and/or clarity of roles and responsibilities, plus the fact that it is only deemed to be a hostel redevelopment scheme (Pienaar, 2010).

1.1.3 A brief introduction to formative evaluation

As previously mentioned, the purpose of this study is to conduct a formative evaluation of the South African government's housing process, with specific focus on its CRU programme. According to Well, Stetler, Legro, Wallace, Bowman, Guihan, Hagedorn, Kimmel, Sharp and Smith (2006: p.1) a formative evaluation can be defined as follows:

- "Evaluative activities undertaken during the design and pretesting of programs to guide the design process.
- A method of judging the worth of a program while the program activities are forming or happening. Formative evaluation focuses on the process.
- An assessment that focuses on the internal dynamics and actual operations of a program in order to understand its strengths and weaknesses and changes that occur in it over time".

According to Burns (2008), the term formative evaluation was coined by Scriven (1967). Stetler et al. (2006) suggests that the advantages of using a

formative evaluation approach are that it saves time by facilitating the early identification of whether the policy outcomes will be achieved and the bottlenecks likely to occur in the various processes. However, its disadvantages stem from it being a new concept, thus, researchers need to understand how to incorporate it into their research approach. Also, formative evaluation is time-consuming. Furthermore, Burns (2008) and Williams & Dzhekova (2014) point out that to measure the effectiveness or ineffectiveness of a policy, data is collected either for summative or formative evaluations, both of which are equally important. Summative focuses on outputs (whether it works), whereas formative place focus on the processes (how it works). According to Burn (2008: p.2):

“... summative evaluation is defined as the collection of data after instruction occurred to make judgments about the instruction such as grading, certification, evaluation of progress, or research on effectiveness”.

Table 1 below details the approach that summative and formative evaluations take.

Type of Evaluation	Evaluation Question	Methods
Summative (impact- and out-come-focused)	Does it work?	Quantitative methods (meta-analysis, systematic reviews, experiments, impact assessments etc)
Formative (process-focused)	How does it work?	Qualitative methods (narrative review, interviews, focus-groups, case studies, observations etc)

Table 1. Approaches to Policy Evaluation - Summative and Formative
Main Source: Adopted from Williams & Dzhekova (2014)

1.2 Research conceptualisation: A formative evaluation of Johannesburg's Diepkloof Hostel housing intervention

1.2.1 The research problem statement

It is evident that the apartheid system was created for the sole benefit of South Africa's White population and that this political structure led to many imbalances in the provision of basic services, land allocation and participation

in the economy. Thurman (1997) found that the legacy of apartheid spatial planning continues to linger amidst South African hostels. Similarly, Vosloo (2020) argues that hostels formed an important part of the apartheid and migrant system and remain as physical representations of the economic exploitation and racial discrimination of South Africa's indigenous people. In 1948, South Africa implemented apartheid, a system that, as previously mentioned, enforced the separate economic development of races, thus stripping Black South Africans of their lands and restricting their movements. With the abolition of the Influx Control Act in 1986 and South Africa gaining democracy in 1994, the newly democratically elected government adopted the 1994 White Paper on Housing with the aim of creating a more inclusive nation by correcting the spatial inequalities enforced by the apartheid government (Department of Housing, 1994).

As South Africans celebrated over 25 years of democracy, the strict lockdown regulations that the South African government enforced to manage the spread of infections resulting from the COVID-19 pandemic, exposed the continued neglect of hostel dwellers and highlighted their continuous fight against the legacy of apartheid, namely: inequality and poverty (Xolo, 2020). Literature points to hostel dwellers being subjected to living in overcrowded and dilapidated dormitories, with little access to water, electricity and sanitation while continuing to be marginalised by surrounding communities (CoJ report, 2018). To break free from the legacy of apartheid, the 'Housing Department of the City of Johannesburg' has implemented a Social Housing Policy intervention, through the redevelopment of the old, dilapidated hostel buildings in Johannesburg. The already mentioned CRU Programme, that has replaced the Hostel Redevelopment Programme, is aimed at restoring dignity and integrating hostel dwellers into the communities (Department of Housing, 2009).

In 2015, it was anticipated that the city of Johannesburg would refurbish 240 units in the Diepkloof hostel (Mashele, 2015). According to the 2018/2019 National Treasury Report, R60 million was allocated to the Johannesburg Housing Department for the further redevelopment of the Diepkloof and

Madala hostels (Niselow, 2018). Between 2012 and 2015 the Gauteng Provincial Department of Human Settlements spent R5 482 287.36 on a security system to guard the Community Residential Units (CRUs) and still need to spend a further R1 484 433.78 to repair vandalised units (Parliamentary Monitoring Group 2015). The continued existence of vandalised and unoccupied redeveloped hostels has confirmed that no matter how important an intervention is, if it is not contextualised or properly diagnosed it will not be effective and, later, will become unsustainable or irrelevant. Amid the COVID-19 pandemic, a time when quality housing was a necessity for survival, over 70 units in the Diepkloof hostel remain unoccupied and damaged (Molosankwe, 2021). Therefore, this research study sought firstly to identify and explore the key factors underlying the mis-formulation of fundamental housing interventions by using the Diepkloof Hostel as a case study. Secondly, it explored the knowledge gap identified by Xulu (2012), by assessing the impact that the CRU programme has had on the cultural norms and value systems within the Diepkloof hostel, with specific focus to how the role of Induna (a tribal headman or an African foreman) has been impacted.

1.2.2 The research purpose (aim and objectives) statement

The study is housed in the academic field of public policy, with its primary purpose being that of conducting a formative evaluation of fundamental government interventions intended to address social problems, such as housing, by using the Diepkloof hostel as a case study. Several studies (Fenyane 2016; Xulu 2012; Moloto 2015) have been conducted on the effectiveness of the CRU programme. However, there is no significant research on the impact of this programme on the Diepkloof hostel. Also, Xulu (2012) points out that there has been limited work conducted on assessing the impact that the CRU programme has had on the cultural norms and value systems within the upgraded hostels. Therefore, the study fills an identified gap by focussing its attention to the Diepkloof hostel and exploring how the role of the Induna has changed as a result of the implementation of the new units.

To pursue this goal, in this chapter, the researcher will firstly unpack the key underlying factors affecting the mis-formulation of fundamental interventions and highlights the importance of interventions such as the CRU programme within the Diepkloof hostel. Secondly, this chapter will explain how this programme has impacted the cultural norms and value systems within the Diepkloof hostel. Thirdly, the researcher will review previous literature to gain an understanding of the problem in its context. Thereafter, the adopted ToC will be reviewed, and the results chain framework will be discussed by demonstrating the links between the components. Fourthly, this researcher will adopt a qualitative research approach and identify the procedures that were followed when collecting, interpreting, and analysing the data utilised in this study. Lastly, the chapter will conclude with a proposed set of recommendations that can be adopted during the implementation of similar programmes. Ultimately, as mentioned previously, the aim of this paper is to contribute to public policy by adding knowledge pertaining to affordable public housing.

The following objectives were formulated to ensure that the study achieved its aim:

- To critically review relevant literature, to establish the key factors underlying the mis-formulation of fundamental interventions.
- To determine the influence of institutional arrangements on the implementation and management of affordable housing.
- To determine if social integration between the hostel dwellers and the rest of the community has been achieved and housing needs have been addressed.
- To determine the impact that the CRU programme has had on the cultural norms and value systems within the Diepkloof hostel.

1.2.3 The research questions as well as accompanying propositions

The aim of the CRU programme is to alleviate the shortage of affordable housing and to integrate hostel dwellers into the larger community. Thus, the primary research question is “To what extent has the City of Johannesburg successfully implemented the CRU intervention in Diepkloof?” This question

will be answered through using the Johannesburg, Diepkloof Hostel as a case study and by interrogating the questions below.

- What are the key factors that may lead to the mis-formulation and poor implementation of fundamental interventions?

Proposition: The identification of key factors underlying the mis-formulation of fundamental interventions, leads to creating an effective implementation process for interventions.

- What influence do institutional arrangements have on the implementation and management of affordable housing?

Proposition: Institutional arrangements are influential in the implementation and management of affordable housing.

- How instrumental has the Community Residential Units programme been in promoting social integration between the hostel dwellers and the rest of the community, and in addressing their housing needs?

Proposition: The Community Residential Units programme has successfully addressed the housing needs of the Diepkloof Hostel dwellers and has promoted social integration.

- What impact has the Community Residential Units programme had on the cultural norms and value systems within the Diepkloof Hostel?

Proposition: The cultural norms and value systems within the Diepkloof hostel have been impacted by the Community Residential Units programme.

1.3 Delimitations of the research

This research has numerous limitations. By virtue of its being a case study, the results will not be generalizable. Also, due to the qualitative approach adopted, results will not reflect the entire population of the Diepkloof hostel's views

because only ten respondents participated in the interview process. Further, the study will only target respondents living in the Diepkloof hostel and those living in the surrounding neighbourhood, thus, making the results one-sided because public officials will not be interviewed.

1.4 Justification of the research

McCarthy (2010) states that many low-income families living in South Africa, are left with very few options regarding housing. This situation is due to limited access to financing and capital, low affordability levels in urban areas, coupled with rising costs of housing. The influx of migrants into South Africa's urban areas, has increased competition in the housing market. Many families are left living in spaces that have unhealthy overcrowded and adverse environmental conditions.

The COVID-19 pandemic 'lifted the veil' and revealed how housing remains a problem in South Africa. Marcus and Marcus (2022) argue that the COVID-19 pandemic has spotlighted the importance of proper housing in containing the spread of the virus. They also state (Marcus & Marcus, 2022: p.571) that:

“From first detection of severe acute respiratory syndrome coronavirus 2 (SARS-CoV-2) on the 5 March 2020 to the 6 October 2021, the country experienced over 2.9 million COVID-19 infections – the highest number of confirmed COVID-19 cases in Africa”.

In 2015, as already mentioned, there were 240 refurbished units in the Diepkloof hostel that were expected to be allocated to families by the City of Johannesburg (Mashele, 2015). However, due to the COVID-19 pandemic over 70 of these units remained unoccupied and have since been vandalised (Molosankwe, 2021). This situation is a cause for concern.

1.5 Preface to the research report

In conclusion, this report comprises six chapters. Brief summaries of the five remaining chapters are provided below.

Chapter 2 comprises four main objectives: (1) understanding the research problem, (2) identifying the knowledge gap, (3) developing a theoretical framework for interpreting the research result findings and (4) conceptualising the research report. This chapter commences with the unpacking of the problem and providing an overview of the series of events that led to the problem's existence. The context of research problem is Johannesburg, South Africa, also known the 'City of Gold'. Within this city lies an area named Diepkloof that is in the Soweto township. This research study focuses attention on the Diepkloof hostel and its neighbouring community. Chapter 2 discusses the following issues relating to the current lack of low-cost housing in South Africa namely: the root causes (colonialism, apartheid, spatial planning and migration), consequences (overcrowding and lack of adequate housing), and symptoms (inhumane living conditions). This section is followed by a discussion of the proposed housing intervention (CRU programme) that was developed with the intention of providing affordable housing to lower-income households. Furthermore, the views of scholars who have conducted studies on similar interventions are tabled with the aim of exposing the knowledge gap. This discussion is followed by the positioning of the research study within the academic discipline of public policy. Lastly, this chapter identifies the Toc and its results chain as the most relevant explanatory framework, before concluding with the conceptual framework.

Chapter 3 has five key objectives: the research approach, the design, the research procedure and methods, the trustworthiness and credibility of the research study and, lastly, it's the administrative and technical limitations. This chapter begins by adopting a qualitative methodology approach because it was the researcher's intention is to capture the voices of people who have lived experiences of the shortage of low-cost housing. The research was based on a single community, namely the Diepkloof community, and primarily focused on the hostel dwellers, thereby, making this research project a case study. Data was sourced by conducting a thematic analysis of published and unpublished research literature and includes continuous reference to the work

of previous scholars who have conducted similar studies, as well as using a data triangulation process.

Chapter 4 presents the empirical research results that were gathered from ten hostel dwellers and four members of the Diepkloof zone six community. The data collection process included both primary and secondary data instruments. The primary aim of this chapter is to answer the sub-questions posed, using themes that were identified during the data collection, with the objective of answering the main research question: '*To what extent has the City of Johannesburg successfully implemented the CRU intervention in Diepkloof?*'. The aim of the CRU programme is to alleviate the shortage of affordable housing and integrate hostel dwellers into the larger community.

Chapter 5 describes and interprets the main research findings presented in the previous chapter and, where applicable, connecting these results to reviewed previous literature conducted on similar studies. The main idea behind this chapter is to enable readers to understand the nature of the research study and why it is important.

Chapter 6 being the final chapter of the study will summarise the issues that have been discussed in previous chapters and, thus, restate the research problem, questions, purpose and main findings. It will also highlight the study's limitations as well as its significance in addressing the knowledge gap and, therefore, contributing to existing literature of the study's topic.

2 REVIEWING LITERATURE TO DERIVE THE CONCEPTUAL FRAMEWORK

The previous chapter provided a background to the study, introduced the research problem statement, purpose statement, research questions and concluded by providing an outline to this research study. In this chapter, four main objectives will be addressed by reviewing critical literature that is relevant to the study, namely to understand the problem in its context (Sections 2.1 and 2.2), identify the knowledge gap (Section 2.3), develop a theoretical framework for interpreting the findings (Sections 2.4, 2.5 and 2.6), and conceptualise the research approach (Section 2.7). Specifically, in Section 2.1, the study briefly describes the research context in preparation for Section 2.2 in which the research problem is detailed. In Section 2.3, existing literature on previous studies that have attempted to evaluate the formulation of fundamental interventions is reviewed. Based upon this knowledge, the research study is positioned within public policy studies and its key component and attributes are outlined in Sections 2.4 and 2.5. The ToC is identified as the most relevant explanatory framework for this research because it seeks to evaluate the impact of the interventions such as the CRU programme, and the ToC its results chain is examined in Section 2.6. Finally, Section 2.7 provides a mapped-out process of how this research study intends to identify and explore the key factors underlying the mis-formulation of fundamental interventions by using the Diepkloof hostel as a case study.

2.1 The history and description of the South African hostel housing system

Hostels remain invisible to the greater society, even though it is estimated that they are home to over one million people in the country. This situation results from the fact that hostels are characterised as the home of violence, poverty and political conflict. They are a true representation of the shadow of post-colonial exploitation and racial discrimination (Thurman, 1997). Section 2.1 will provide a brief history and description of South Africa's housing system and

the legislation that governs it, with specific focus placed on the hostel housing system, to assist the reader with understanding the problem in its context in preparation for Section 2.2. Section 2;2 will present a review of literature relating to how hostels were first established in South Africa, post-apartheid hostel accommodation, and the contributing factors that led to the establishment of the CRU Programme.

2.1.1 South Africa

South Africa is home to 60,6 million people (2022 Census). It is known as “one of the most unequal countries in the world, reporting a per-capita expenditure Gini coefficient of 0,67 in 2006, dropping to 0,65 in 2015” (Stats SA, 2020). Pienaar and Cloete (2005: p.43) describe South Africa as “a land of contrasts”. On one hand, it has the Bill of Rights and one of the most advanced Constitutions in the world, covering a list of socio-economic rights (Francis & Webster, 2019). In addition, it is one of Africa's largest economies, having a wealth of mineral resources, agricultural exports and well-developed infrastructures (Pienaar & Cloete, 2005). However, Francis and Webster (2019) agree with Pienaar and Cloete (2005), that South Africa has a high-level of inequality. Half the population live in poverty while a small portion live in extreme wealth. Unemployment and inflation continue to rise, while economic growth remains slow. People lack access to basic services such as clean water, electricity and sanitation. A total of approximately 54% of South Africans live in the country's main cities, which are Johannesburg, Pretoria, Cape Town, Durban and Port Elizabeth. A large portion of this population is comprised of migrant labourers who live in dormitory styled buildings, known as hostels (Pienaar & Cloete, 2005). Chatterjee (2019) further states, that such inequalities are the product of apartheid and persist even though South Africa has experienced over 20 years of democracy.

2.1.2 The discovery of diamonds and the birth of migrant labour

The discovery of gold and diamonds in the latter part of the 19th century was the catalyst for an economic explosion, the increased demand for cheap labour and widespread migration from the rural to urban areas (Smit, 2001). Ubisi (2019) defines the term migration as the movement of people from one place

to another with the intention of returning home. There are different types of migrant labourers but for the context of this paper the focus will be on the voluntary migrant, who is said to be the hostel dweller. Voluntary migrants temporarily leave their home to seek employment in order to better the lives of their family. Smit (2001) argues, the increase in migrant labour was due to poverty in the rural areas, cattle diseases and migrant labour recruitment agencies such as the Witwatersrand Native Recruiting Corporation. Smit (2001) also states that the colonial government put policies and procedures in place to encourage migrant labour, such as the Native Land Act of 1913. Under this Act, squatter farming was illegal which then led to the downfall of African agricultural production due to the heavy restrictions on the farming activities of black farmers.

2.1.3 Apartheid

In 1948, the ruling Nationalist Party implemented apartheid in South Africa, a system that represented the separate economic development of races, supported by forced removals and restricted movements for Black South Africans (Thurman, 1997). Elder (2003) argues that this system was based on the idea of restructuring Black families across different spaces and reconstructing their bonds to ensure the reproduction of a racialised system. This policy also meant having a Whites only ruling government. The apartheid government adopted the British capitalist migrant labour system. This meant pushing Black men into migrant labour which would result in them having to leave their homes in the rural areas and seek temporary accommodation in hostels in the city, under the surveillance of Whites. In addition, Elder (2003) argues, the denying Blacks the right to own property in White urban areas, cheap migrant labour, and the reconstruction of Black families and shaping their identities in spaces designed for Blacks only, secured the reproduction of the White's wealth while ensuring Black workers remained impoverished. Hence, hostels were created around townships and worker identities were formed, the male being the wage earner or migrant worker or migrant in urban areas and the female being the unpaid worker operating in the rural areas.

2.1.4 South Africa's hostel housing system

Hostels are an important part of South Africa's history because they were key to the apartheid economy (Ubisi, 2019). Pienaar and Cloete (2005) state that hostels were built next to mines and cities with the intention of providing temporary cheap housing for migrant workers from rural areas seeking work in the cities or on the mines. Hence, they were not built for comfort and comprised single sex dormitory-styled buildings that housed anything from 100 to 12 000 Black males. These hostels, however, have in recent years provided accommodation for Black men and their families. There are three types of hostels: private compounds, public hostels owned by provincial or local authorities and "grey sector" hostels Thurman (1997). These hostels served as a controlling tool to restrict the movement and monitor the behaviour of Black people in urban areas Thurman (1997) while ensuring there was an influx of cheap labour. However, such hostels separated Black families by allowing only employed men to live in the hostels and prohibiting their wives and families from joining them in the city. Only short family visits to the hostels were allowed and monitored.

Hostels were designed to ensure that a domestic environment in the city would not become a reality for the hostel dwellers, thus, if they wished to live with their families they had to return to the rural areas. Various researchers (Elder, 2003; Pienaar & Cloete, 2005; Smit, 2001) compare the overcrowded, dilapidated dormitory styled buildings to prisons or army barracks. In addition, Ubisi (2019: p.461) states that:

“...in 1986, the apartheid government repealed the segregate laws (influx control laws or regulations) by promulgating the Abolition of Influx Control Act (68 of 1986)”.

One of the consequences of the abolition of the influx control regulations in 1986 was the total disregard of public hostels that resulted in their overcrowding and lack of municipal basic services. This legislation also provided public hostel dwellers with an opportunity to illegally bring their wives and children into the hostels, a practice that resulted in non-registration of new hostel dwellers, poor management of the hostel blocks and overcrowding.

Since the demise of apartheid in 1994, hostel dwellers have struggled with redefining what hostels represent. Such residences are still viewed as places of fear that are isolated from the rest of society (Elder, 2003). In order to restore the dignity of hostel dwellers and integrate them into the surrounding communities (Department of Housing, 2009), South Africa's democratically elected government needs to eliminate past wrongs by delivering affordable housing to families who have migrated into urban areas (Crush, 1992). Hence the establishment of such interventions as the CRU programme.

2.1.5 An overview of Diepkloof

Marx and Rubin (2008) and Hoosen and Mafukidze (2009) state that Diepkloof, was established in the late 1950s with the aim of housing victims who had been forcefully removed from areas such as the Alexandra township. (Hoosen and Mafukidze, 2009: p.6) claim that:

“Land in Diepkloof has been and still is dominated by residential use, due to its history of being a township. Under the Black Communities Development Act, No. 4 of 1984 and the Black (Native) Laws Amendment Act, No. 46 of 1937, no property rights were given to Black people prior to and during the apartheid era when residential areas were racially divided”.

Hoosen and Mafukidze (2009) further state that, over the years, Diepkloof has been characteristic as a very politically active township that seeks to address the relocation injustices of the past. This situation led to the birth of the Diepkloof Civic Association that mobilised the community into action after the council “increased rents, evicted defaulters and demolished shacks” – such practices were “further fuelled by the lack of services rendered and allegations of widespread corruption” (Hoosen & Mafukidze, 2009, p.6). The formation of the Diepkloof Civic Association has since shaped political activism within the Diepkloof community (Hoosen & Mafukidze, 2009).

Diepkloof is situated alongside Soweto's eastern border, 15km southwest of Johannesburg's Central Business District (CBD), covering an area of approximately 2 50218 square kilometres, with a total population of approximately 104 098 persons (Hoosen and Mafukidze, 2009). Diepkloof is

spatially divided into three sections – firstly, the old settlement that is characterised by the four-room houses spread across zones 1-6; secondly, the affluent suburb (classified as Soweto’s most expensive area) consisting of extensions 1 to 3; lastly, there is the Motswaledi informal settlement located behind the Chris Hani Baragwanath Hospital and comprised mainly of shack dwellings. However, the fourth area of Diepkloof encompasses the Diepkloof hostel and is located next to zone 6 and extension 3 (Hoosen & Mafukidze, 2009; Marx & Rubin, 2008). Figure 2 below is a map of Diepkloof, Soweto.



Figure 2: Map of Diepkloof, Soweto

Source: <https://goo.gl/maps/fB2NNA1TBR9se84y8>. [Accessed: 27 March 2021].

The Diepkloof Hostel

During 2009 there were approximately 1 954 adults residing in the Diepkloof Hostel (Hoosen & Mafukidze, 2009: p.25) although:

“...the hostel register showed that there were approximately 2 900 households in the hostel and about half of these (1 400) were single member households, predominantly male”.

The register did not record the details of about 258 individuals, a fact that demonstrates the extent of movement in and out of the hostel (Hoosen &

Mafukidze, 2009). Adjacent to the hostel, there are three abandoned buildings illegally occupied by tenants, in which there were approximately 10-15 people per room (Marx & Rubin, 2008). In a more recent study, Cole (2021) stated, that there are approximately 1000 units in Erf 23743 Diepkloof that need to be demolished and replaced with new family units.

Dlamini (2017) describes the Diepkloof Hostel as being located close to one of Soweto's most expensive suburbs, Diepkloof extension 3. The hostel comprises decrepit dormitory styled U-shaped buildings that have communal kitchen and bathroom facilities.

All the blocks of the hostel, from A to H, are falling apart. The exterior wall of the room is peeling off, collapsing into a pile of bricks outside. In some of the rooms, one can see inside through the large cracks on the walls. The foundation of the block has cracked and is falling apart (Dlamini, 2017).

The Diepkloof hostel experiences ever increasing sanitation problems caused by the lack of facilities due to overcrowding. There is a high potential for cholera outbreaks due to contaminated water and inadequate drainage systems. There one communal tap shared among many residents and, "as a result, wastewater tends to run downhill into the adjoining wetland, which is also used for washing clothes by the women of the hostel" (Marx & Rubin, 2008: p.33). The hostel also experiences illegal dumping. The Municipal Council takes little responsibility for the hostel, hence the introduction of hiring hostel dwellers to clean the hostel at a fee of R120. However, this practice leads to hostel residents dirtying the hostel area to earn money (Marx & Rubin, 2008). These researchers further indicate that the main problems experienced by the Diepkloof Hostel dwellers include rodent infestations and illegal dumping, rather than the loss of land use.

As observed by the author when driving through the Diepkloof area, the "U-shaped" dilapidated hostel buildings, are surrounded by colourful single storey and high rising flats (Figure 3 below depicts the colourful flats built alongside the old dormitory style buildings.) Dlamini (2017) relatedly states these flats comprise beautiful family units, built by the city, some of which are occupied

while others remain vacant and have been vandalised by hostel dwellers protesting the R700 monthly rental fee.

The upgrading of the Diepkloof Hostel

To correct the injustices of the apartheid's spatial planning, Marx and Rubin (2008) stated that the government is set to redevelop several hostels in Soweto as a means of eradicating the old hostel buildings and integrating hostel dwellers into the larger community. The structural integrity survey identified the Diepkloof Hostel as one that needed to be demolished and replaced with the new family units, whereas other hostels required only an upgrade (Marx & Rubin, 2008). The re-development of the Diepkloof hostel was set to take place in three phases. (Figure 3 below depicts the old dormitory style buildings of the Diepkloof hostel together with the adjacent new blocks of flats.)



Figure 3: Diepkloof hostel and new high rising flats that stand contrast to the old dormitory style hostel buildings. Source: <https://www.iol.co.za/news/hostels-must-fall-says-housing-minister-1855516>. [Accessed: 27 March 2021].

2.2 The symptoms, root causes and consequences of the Diepkloof hostel situation and the challenges of formulating upgrading interventions

The impact of past housing policies under apartheid has left South Africa characterised by diversity and inequality. Due to forced separation, societies have become deeply divided, a practice that makes governing and administering to such groups very difficult for government. The extent of the success of interventions is influenced by societal contextual realities and the needs of the people (Schwella, 2001). Section 2.2 will first discuss issues relating to the hostel housing system. It will then highlight its symptoms and root causes together with the challenges of formulating interventions to overcome the consequences of this system by reviewing previous literature relating to such interventions and providing a description of the social housing programme (CRU). The objective of this section is to detail the research problem.

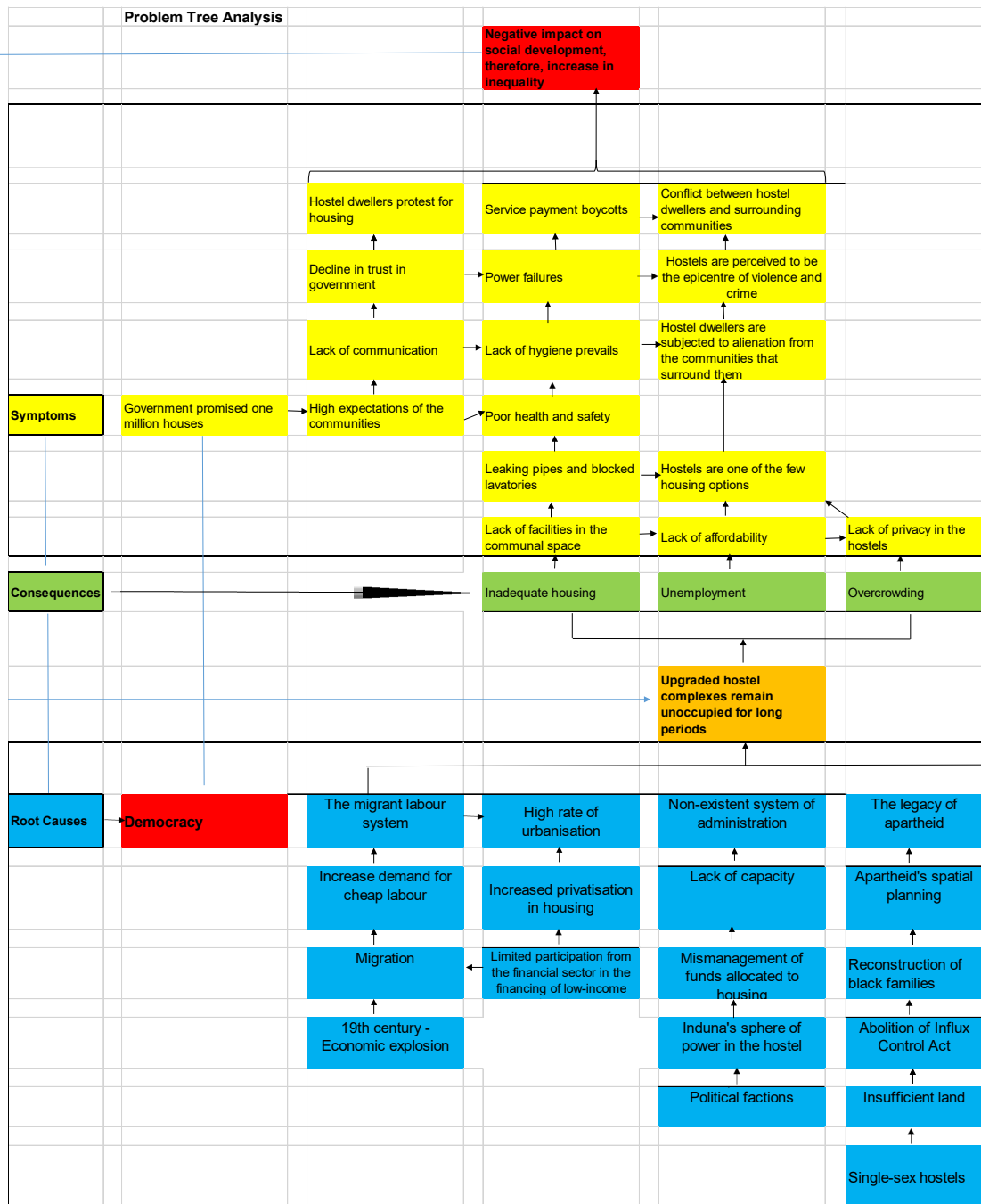


Figure 4: Problem Tree Analysis

Source: Author

Figure 4 above demonstrates the brainstorming of undertaking a research problem analysis before sourcing literature to support or reconfigure the identified cause-effect relationship.

2.2.1 The symptoms and established trend of the problem

Many researchers (Mashele, 2015; Phala, 2016, Pienaar & Cloete, 2005; Shole, 2018; Tissington, 2010) state that as a direct consequence of overcrowding and inadequate housing, the living conditions in hostels are not conducive to human habitation. As previously indicated, hostel residents are subjected to living in spaces that lack privacy and basic services and are not properly maintained by the state. The rise in unemployment and a government that fails to respond to this problem, has led to the outbreak of service delivery protests across South Africa, including those staged by residents of hostels situated in Diepkloof, Mamelodi and Jeppe. Phala (2016) states that hostel residents in Jeppe have expressed concern over the lack of service delivery and the government's attempts to close the hostel.

Millions of South African households do not have the access to basic services such as water, electricity and sanitation. According to the Department of Human Settlements:

"3.95 million households require access to water; 3.2 million households' access to sanitation; 2.6 million households' access to electricity and 4.56 million households [access to] weekly refuse removal" (Tissington, 2010: p.68).

Hostel dwellers find themselves in a worse situation than people residing in rural areas because they have less access to basic services (Dlamini, 2017). It was reported by Phala (2016) that the entrance to the Wolhuter hostel in Johannesburg was covered in sewage water and filled with flies and maggots that hover around the heaps of refuse bags that have been dumped at the corner of the hostel. Mpehle (2012) and Shole (2018) reported finding similar conditions at the Mamelodi and Kagiso hostels. Both residences were characterised by unsanitary living conditions due to blocked toilets and uncut grass that had become a refuge for rats. Some hostel dwellers had also started to use the grass as toilets and for sewage waste. Shole (2018) pointed out that overcrowding and poor living conditions had increased social problems such as the spreading of infectious diseases, lack of both privacy and sleep, resulting in physical withdrawals. According to Shola (2018: p.62)

“Some of the most common infectious diseases which are caused by overcrowding are rheumatic fever, childhood pneumonia, skin infections, influenza, tuberculosis and diarrhoea. The most reported airborne infectious diseases caused by overcrowding include malaria, skin rashes, colds, flu, respiratory and urinary tract infections”.

The legacy of apartheid spatial planning lingers over hostels. As indicated previously, some hostels are still comprised single sex dwellings, thus, preventing women and children from living with their husbands and fathers. Hostel residents also find themselves marginalised by their surrounding communities (Phala, 2016). The Department of Housing (1994) and Pienaar and Cloete (2005) argue that the advent of democracy, while having a neutral effect, has created high expectations for many people that the current government has failed to meet. This fact is due to the poor public administration of public hostels, that has such residences impossible to control. Hostel residents have little or no faith in the current democratically elected government because of its lack of consultation and participation with affected communities.

As a means of addressing these issues, the current government has introduced programmes for the re-development of hostels. In the case of the Diepkloof hostel, some residents have already moved into the new family units, although as previously stated, some of these units remain unoccupied and vandalised (Dlamini, 2017). This situation is a cause for concern because the longer these units remain unoccupied, the more money the government will have to spend on repairing them and hiring security personnel to guard the units from further vandalism.

Therefore, whereas apartheid policies enforced a place of settlement for Black people, the post-apartheid trend is that economic forces are shaping the settlement patterns that urbanisation is normalising (Krige 1998).

2.2.2 The root causes and symptoms of the problems facing hostels

As previously indicated, the establishment of inner-city hostels can be attributed to the migrant labour system and the apartheid legislation. The migrant labour system was used to meet the increased demand for cheap

labour and the resultant widespread urbanisation, by capitalists and apartheid powers (Vosloo, 2020). Van Wyk and Oranje (2014) argue that apartheid spatial planning laid the foundation for separating land by using race as the determining criterion. This forced Black people into specific “Bantu areas” (a practice that segregated people according to their mother-tongue) within townships and hostels (Pienaar & Cloete, 2005). Hostels, as already stated, were built as single sex institutions that controlled Black people's movement and reconstructed Black families. The Abolishment of the Influx Control Act (86 of 1986) resulted in the overcrowding of public hostels and the lack of basic services delivered by municipalities (Shole, 2018).

As mentioned in Section 2.1 above, the discovery of gold and diamonds in the later part of the 19th century was the catalyst for an economic explosion within the area known as the Witwatersrand, the increased the demand for cheap labour and widespread migration from rural to urban areas (Smit, 2001). Many researchers (Pienaar & Cloete, 2005; Shole, 2018; Vosloo, 2020) argue that the migrant labour system laid the foundation for racial discrimination by restricting Black people's movement within White urban areas. After the ending of the second Boer War in South Africa 1902, there was a growing need for the use of more sophisticated equipment in the mines, that resulted in the mine owners seeking the cheapest possible accommodation for migrant labourers. Therefore, hostels were created to minimise labour costs and provide the surveillance of Black labourers. While the hostel system shielded migrant labourers from expensive living costs, Pienaar and Cloete (2005) argued that it destroyed communities and deconstructed Black family life, that had negative future consequences.

The CoJ report (2019) argues that the increase in Johannesburg's population growth rate has been largely influenced by the influx of migrants due to Gauteng being the most ‘popular’ province in South Africa. It is estimated that the city has a population of 5.05 million people and that by 2021, the number would increase to 5.3 million. In addition, the CoJ report (2019) stated that migration and urbanisation are key contributors to growth factors in the country. The number of South Africans living in urban areas increased from

55.1% in 1996 to 65.9% cent in 2017. Johannesburg continues to attract migrants in pursuit of improved economic opportunities and access to better basic services. This situation has amplified the city's challenges, including job creation and the housing backlog.

Van Wyk and Oranje (2014) point out that in South Africa, regulations on spatial separation based on race date back to the 1830s. In the 1870s, the South African government passed 15 Gold Laws to maintain order in the Witwatersrand gold fields, thereby reserving the right to mine and settle in these areas for Europeans. This legislation marked the beginning of economic exclusion and spatial separation was based on race. The 1913 Black Land Act was passed at a national level and gave Black South African people the right to purchase and occupy only areas of land that were marked as 'Black land'. Structural planning in South Africa can ultimately be attributed to the apartheid regime, that forced many Black people into informal housing schemes in which ownership was impossible (Fogel, 2019). In addition, Pienaar and Cloete (2005) argue that spatial segregation according to race pushed African people living in urban areas into 'townships' and residential dormitories (hostels) built on the peripheral of towns and cities.

Shole (2018) and Vosloo (2020) state that in 1986, the Influx Control Act was abolished. One of the major consequences of this practice, was the collapse of the processes and procedures that were put in place by the apartheid regime to manage and maintain the upkeep of the hostels and. ultimately, led to the lack of municipal basic services. Consequently, the hostel demographic profile changed because hostel dwellers illegally brought their wives and children to live in previously male only hostels. In addition to people seeking employment, hostels also became overpopulated with the male residents' families. With the collapse of the apartheid control system, hostel residents took it upon themselves to create their own managerial structures. Unfortunately, these structures could not keep pace with the influx of migrants moving into the hostels. Therefore, the infrastructure started deteriorating as physical conditions worsened. In addition, Segal (1992) points out that hostels were geographically isolated and, subsequently, hostel residents were marginalised

by surrounding communities and referred to as 'outsiders'. The abolishment of the Influx Control Act was a double-edged sword for hostel dwellers – on the one hand, it brought freedom of movement within the hostels, while on the other it collapsed the structures that maintained the social order of hostel life. Consequently, the spread of rapid violence, can be attributed to the new pressures that hostel dwellers were facing (Segal, 1992). Even today hostels remain a physical representation of the legacies of apartheid, namely overcrowded and poorly resourced housing. Therefore, these buildings need to be refurbished and integrated into their surrounding communities. Hence, the government's introduction of the CRU programme in 2006.

2.2.3 The consequences to the symptoms of the problem

Overcrowding, inadequate housing, and unemployment are products of apartheid and the migrant labour system. Shole (2018) and The Department of Housing (1994) state that overcrowding remains a problem across many hostels in South Africa, while its severity differs from hostel to hostel. It is estimated that there are 450,000 people living in hostels that require upgrading. As indicated previously, hostel residents lack privacy, they are subjected to sharing communal spaces such as the entrance, kitchen and toilets. Phala (2016) states that in some hostels, 10 000 people share less than 1 000 communal toilets and even fewer communal taps. Residents use curtains to separate the different households living in one room and Shole (2018) argues that such overcrowding causes intimacy and marital problems, as well as health issues such as stress and anxiety and increases the chances residents transmitting diseases.

Thurman (1997) argued that in the Western Cape, it was estimated that during 1997 there were 84 470 people living in hostels. These hostel dwellers occupy 22 000 beds in the public hostels and an additional 3 363 beds in the 'grey sector' hostels. In addition, Xolo (2020) further states that in KwaZulu Natal, there are officially 22 000 hostel dwellers in the Glebelands hostel while, unofficially, there are close to 30 000 inhabitants, with rooms having become even more overpopulated due to the COVID 19 pandemic lockdown regulations. Hlope (2020) further states that the social distancing required to

prevent the spread of the coronavirus is almost impossible to achieve due to hostel dwellers sharing rooms and communal spaces. The Hostel Dwellers Association has called for the government to intervene as result of this situation.

Housing alternatives are very limited for many low-income households in South Africa. Housing costs are expensive and the lack of access to financial assistance from financial services, makes it nearly impossible for low-income families to be able to afford housing situated within the periphery of urban areas (McCarthy, 2010), therefore, making informal sector structures more attractive because they are more affordable compared to formal sector renting options (McCarthy, 2010). Tissington (2010), argues that the housing backlog has continued to increase since 1994 due to the changes in family structures, urbanisation, migration, lack of economic opportunities in rural areas and access to housing finance. Approximately 12 million people in South Africa require adequate housing. It was reported that by mid-2009, 13,4% of the total number of households in South Africa were living in informal dwellings. There is an ever-growing need for the current democratic government to provide adequate housing.

Pienaar and Cloete (2005) again stress the fact that hostel dwellers still find themselves living in decrepit old dormitory style buildings, with communal kitchens and bathrooms, cement washed or painted concrete hollow block walls, no ceilings and unfinished flooring. Dlamini (2017) reported that:

“All blocks of hostels in Diepkloof, Soweto from A to H are falling apart. There are no ablution facilities, no water, no electricity. A bucket system is used, and hostel dwellers must go out of the facility to get water from communal tap, which sometimes runs dry”.

However, Mashele (2015) has argued that some former Diepkloof hostel dwellers have been moved into Temporary Residential Units (TRUs). However, according to the chief of the Diepkloof hostel (Induna), this is not a permanent solution because hostel residents expected to move into the new built blocks of flats. As already indicated, after the Influx Control Act was abolished in 1986, numerous rural migrants moved into the hostels in pursuit

of employment in the cities, therefore, hostels have become home to the unemployed (Shole, 2018).

According to the CoJ report (2019), one of South Africa's greatest challenges is the fight against unemployment that at the time of completed this research study stood at 32.3%, with youth unemployment sitting at 40% percent. Phala (2016) and Dlamini (2017) both stated that the consequences of unemployment are seen across hostels.

In the Diepkloof hostel, the consequences of unemployment are everywhere. Every other person we meet is drunk or looks drunk. Each block seems to have its own shebeen, and these watering holes are full of women, (Dlamini, 2017).

The COVID-19 pandemic and the strict lockdown regulations that the South African government enforced during 2020 and 2021 to manage the spread of infections, exposed how neglected hostel dwellers are and highlighted their continuous fight against the legacy of apartheid namely inequality and poverty (Xolo, 2020). This situation, in turn, provides a justification for the importance of pursuing this research study. The longer CRU initiatives remain vandalised and unoccupied, the more money the government will need to repair these units and the risk of coronavirus infections continue. Between 2012 and 2015 the Gauteng Provincial Department of Human Settlements spent R5 482 287.36 on security measures for guarding the CRUs and will need to spend a further R1 484 433.78 to repair vandalised units (Parliamentary Monitoring Group 2015).

This section has highlighted the two root causes of the problems facing the hostel system that are the migrant labour system and the apartheid system. It discussed how the consequences of overcrowding, inadequate housing and unemployment have resulted in living conditions in hostels becoming conducive to human habitation. This discussion will assist the researcher to identify the factors underlying the mis-formulation of fundamental interventions, by collecting data from books, unpublished and published

dissertations, journal articles, newspaper articles and government documents, as well as interviewing participants.

2.2.4 Intervention for Housing

As discussed in 2.2.2 above, hostels remain a physical representation of the of apartheid system and because of which the democratic government has introduced the CRU programme.

Results chain level		Description	Indicator(s)	Baseline values	Targets
Impact		To facilitate the provision of secure, stable rental tenure for lower-income individuals.	Number of identified targeted households.	Municipal stock (pre 1994) + hostels – R100 to R900 per month	Incomes of between R800 to R3,500 per month
	Outcome 1	Stabilise the housing environment and market especially in township, suburb and inner city areas.	Number of affordable rentals provided to the targeted households.	29 837 units (2016)	
	Outcome 2	Support integration of public housing into broader housing market & environment	Number of accredited housing & projects units delivered in strategically located areas.	29 837 units.78 projects (2016)	
	Outcome 3	Ensure the creation of sustainable public housing assets	A strategy to increase the supply of affordable housing and access to	29 837 units (2016)	
	Outcome 4	Address dysfunctional and/or distressed buildings in cities	Number of units refurbished	2 000 public hostels	

Figure 5: An outline of the results chain framework of the CRU programme.

Source: Adapted from SHRA (2018)

Burger (2011) states that both the National Redevelopment and the Affordable Rental Housing programmes have been replaced by the CRU programme, that is linked to the Social Housing programme. It is estimated that there are 2 000 public hostels that require the attention of the democratic government. The core purpose of the CRU is to "facilitate the provision of secure, stable rental tenure for lower-income individuals" (Burger, 2011: p.299). Its target population being households with a monthly income of between R800.00 and R3 500.00 (SHRA, 2018). The key outcomes of the CRU programme are:

“Stabilising the housing environment and market especially in township, suburb and inner-city areas; supporting the integration of public housing into the broader housing market and environment; ensuring the creation

of sustainable public housing assets; and addressing dysfunctional and/or distressed buildings in cities” (McCarthy, 2010: p.12).

In addition, Burger (2011) states that the CRU programme covers public hostels owned by municipalities and provincial governments, "grey" hostels owned by the public and private sector, and run-down buildings amongst other facilities.

The SHRA (2018) argue that to achieve the desired impact, the ToC approach has been adopted, to develop, implement and evaluate the CRU programme. To deliver this programme certain inputs, activities and outcomes are required. Inputs include funding, a well-defined policy and regulatory framework and a sustainable location. Activities include detailed project plans, property management and project pipelines. Outputs include a stock ownership and tenure; property management, the delivery of accredited social rental housing projects and the maintenance thereof, investment and an accredited projects' plan and accredited SHIs (The Department of Human Settlements and Department of Planning, Monitoring and Evaluation, 2016). The key assumptions associated with this intervention is that firstly "improved opportunities for individuals and households arise because of their moving to well-located rental housing" (The Department of Human Settlements and Department of Planning, Monitoring and Evaluation, 2016: p.33). In addition, McCarthy (2010) argues that not all hostel redevelopment requires the intervention of the CRU programme, each hostel redevelopment project needs to be assessed individually.

The biggest risk identified is that the CRU intervention is isolated and is not sustainable in the long-term. The programme's success is measured through the number of targeted households identified, affordable and refurbished rentals delivered, accredited projects and a strategy to sustain affordable housing (The Department of Human Settlements and Department of Planning, Monitoring and Evaluation, 2016). The CRU programme has funded 78 projects and has refurbished and developed over 29 000 units (SHRA, 2018).

However, the programme has been poorly implemented due to absence of specific regulatory policies, lack of clarity on roles and responsibilities, the inadequacy of feasibility studies and the programme being regarded as only a hostel redevelopment programme (Pienaar, 2010). Knowledge of these reasons can assist with answering the research questions.

2.3 Methods, data, findings and conclusions of studies on evaluations of formulating key interventions.

After having detailed the research problem in Section 2.2 above, the aim of this section, is to synthesise the existing literature by using a systematic review to identify the knowledge gap. Wotela (2019: pp.253-254) states:

“To identify the theoretical research knowledge gap, we should review past and current empirical or primary research articles on the research topic under study so we can point out what others have pursued. In doing so, we can infer what has not been pursued- that is, the theoretical research knowledge gap”.

This section presents a review previous empirical studies that have researched hostel housing interventions in South Africa. Seven research reports were reviewed. These were (1) "Implementation of Hostel Redevelopment Project Within the City of Johannesburg Metropolitan Municipality" by Fenyane (2016), (2) "CRU Regulation Report Recommendation Report on SHRA's Implementation of Community Residential Unit (CRU) Regulation" by SHRA (2018), (3) "Land Use Management and Democratic Governance in The City of Johannesburg. Case Study: Diepkloof" by Hoosen and Mafukidze (2009) (4) "Implementation of Hostel Redevelopment Project Within the City of Johannesburg Metropolitan Municipality" by Mothotoana (2011) (5) "Changing Migrant Spaces and Livelihoods: Hostels As community Residential Units, Kwamashu, KwaZulu-Natal " by Xulu (2012), (6) "Hostel redevelopment programme of the Kagiso Hostel in the Mogale City Local Municipality" by Ubisi (2013) and (7) 'Family Units to Address the Stigma of Hostel Life? A Study of Sethokga Hostel" by Moloto (2015).

This chapter focuses on documenting the objectives, methods, data processing and analysis, results, limitations and recommendations of these above listed studies. The knowledge gained here will assist with the writing of Chapter 5, in which the results presented in Chapter 4 relate to the previously reviewed literature.

2.3.1 Aim and objectives

The common thread found in previous studies conducted on hostels, is that many authors (Fenyane, 2016; Moloto, 2015; Mothotoana, 2011; Ubisi, 2013; Xulu, 2012) focus on understanding hostels in the context of the spatial spaces that they physically occupy, and the livelihoods and the challenges experienced by those occupying these hostels. Further, these studies seek to understand the rationale of the hostel redevelopment programme and whether it has been effective in addressing the housing challenges of the hostel dwellers. However, the SHRA (2018) takes a different approach, because it places emphasis on the regulatory aspect of the earlier hostel redevelopment programme, which has been replaced by the CRU programme. Whereas Hoosen and Mafukidze (2009) are more concerned about how the land is managed. Nonetheless, the main objective of all the reviewed studies was to recommend possible solutions that could be adopted in future hostel redevelopment projects.

2.3.2 Method

Out of the previous studies that have been reviewed for this section, 50% of them applied a combination of qualitative and quantitative strategies, that are referred to as mixed methods research. While the other 50% adopted a purely qualitative approach. This research study will apply a qualitative strategy. The idea is to focus on collecting data by capturing the voices of those hostel dwellers who have experienced hostel life, in combination with reviewing previous academic and non-academic data.

Most of the reviewed studies (Fenyane, 2016; Hoosen & Mafukidze, 2009; Moloto, 2015; Mothotoana, 2011; SHRA, 2018; Ubisi, 2013) applied a case

study research design. This approach was primarily because a case study can provide the researcher with a thorough understanding of the problem's physical context. This method is also useful because the researcher can examine the effectiveness of the intervention under review in a practical setting. However, Xulu (2012) adopted a multi-sited ethnography because she did not want to limit the results to a single case. All the reviewed studies selected the same instruments as a means of collecting data. Primary data was collected using questionnaires, semi-structured interviews and observations. In addition, these studies collected secondary data in the form of documents.

2.3.3 Target population and sample

The common target population from all the above-mentioned studies comprised employees from the Johannesburg Social Housing Company (JOHSCO) and the City of Johannesburg Metropolitan Municipality (COJMM), together with community members, hostel dwellers and other stakeholders such as town planners and project managers. In addition, Xulu (2012) included relatives and the social network of hostel dwellers who lived either in rural or urban areas. However, all the studies differed in their method of sampling. Fenyane (2016) used purposive sampling based on the general assumption that those beneficiaries of hostel upgrade programmes, were hard to reach. Whereas Mothotoana (2011) used stratified sampling to select officials who were directly involved with the implementation of the redevelopment project. The two main variables used for this purpose were age and income level/s. Xulu (2012) employed snowball sampling to select participants. She initially had difficulty reaching out to the older men living in the hostels because they were often at work. However, the lack of accessibility of these participants changed when she took up occupation within the hostel. Ubisi (2013: p.101) preferred using systematic sampling and employed criterion such as "gender, age, marital status, employment status, monthly income, province and place of origin, country of birth, language and educational level". Whereas Moloto (2015) used judgemental sampling with the intention of selecting key informants.

2.3.4 Data processing and analysis

Similarly, data triangulation was the preferred method of the data collection process across the reviewed studies. This process entailed gathering primary data from interviews, questionnaires, observations and meetings. The secondary data collection process included sourcing data from documents, books and journals. In addition, Moloto (2015) made use of online media and radio podcasts.

The data processing stage was different for all the studies that were reviewed. Fenyane (2016) organised his data into tables to compare responses from interviewees and then to draw the similarities. Ubisi (2013) used graphs to process the data. Xulu (2012) processed the collected transcripts and fieldnotes by translating and then transcribing them to identify common themes. She then coded, grouped and analysed these themes. This process enabled her to identify the gaps in her research. In addition, Moloto (2015) collected data through desktop searches and library sources. She then processed the data by thoroughly examining previous literature in books, journals, and earlier interventions such as the hostel redevelopment programmes.

The data analysis step involved the use of different methods across the reviewed studies, but the common thread was stimulating discussions by graphs. Fenyane (2016) analysed his data by using frequency distribution and percentages and then presented the data in the form of tables and graphs. Mothotoana (2011) used case analysis and the cross-case analysis to categorise and analyse the data through themes. Ubisi (2013) firstly, numerically coded the data then used the Statistical Package for Social Sciences (SPSS) version 21, to analyse it. In addition, Xulu' (2012: p.80) analysed data using "critical ethnographic analysis, qualitative relational comparative analysis and the hermeneutic approach".

2.3.5 Results – research findings

The research findings presented by Fenyane (2016) demonstrated that officials and hostel dwellers in Diepkloof and Orlando West, were aligned in

their view that community participation did take place. However, hostel dwellers had concerns over the allocation of the new upgraded units, while officials confirmed that this process had been delayed due to inefficient bureaucratic processes. Hoosen and Mafukidze (2009) presented their results through two perspectives – the first being access to land and the latter being the management of land. Mothotoana (2011) and Xulu (2012) used themes to present their results. With the CRU programme having replaced the hostel redevelopment programme, Ubisi (2013) divided the presentation of the results between the two programmes with process one being the CRU programme results and process two being those of the earlier hostel redevelopment programme. This practice ensured an easy interpretation of the study findings.

The key findings of the previous studies reviewed are different due to each investigation being set in a specific physical context. Fenyane (2016) points out the key findings in his research are related to poor communication, that has created expectations on the part of hostel dwellers that when they are relocated to temporary units, they will then be prioritised during the allocation phase of the new CRUs. The second finding is related to the lack of affordability. Only a few hostel dwellers could afford to pay the proposed rental rates of the new CRUs. The findings of the SHRA (2018) study indicated that the CRU programme has a weak institutional framework, and its projects lack regulatory control. Without an additional subsidy, the existing financial mechanisms will not be sustainable. CRUs that are managed by Social Housing Initiatives are in a better financial situation than those managed by the municipalities. The latter CRU initiatives receive extensive political interference. The findings stated by Hoosen and Mafukidze (2009) are as follows. (1) Diepkloof residents enjoy the informal housing system due to it being cheaper than the formal system, which speaks to Fenyane (2016) and Moloto (2015) comments regarding the new unit's lack of affordability that has created a culture of an unwillingness to pay rent amongst hostel dwellers. (2) The slow bureaucratic administrative process. Residents are left waiting for long periods to be allocated places in redeveloped hostels. Mothotoana (2011) further found that municipalities struggle with the property management of the pre-existing public stock that has resulted in the overcrowding issue faced by

many hostels. In addition, Xulu (2012) argues that despite the unsatisfactory nature of hostel units, they are still the preferred accommodation for many migrants from the rural areas due to their being affordable and the family relationships that exist between these hostels and the rural areas. Lastly, Ubisi (2013) points out that both the hostel redevelopment programme and the CRU programme have been unsuccessful in addressing the housing challenges of hostel dwellers.

2.3.6 Limitations

The commonly documented limitation across all studies was the physical context. A further limitation is that some of the interviewed participants are employed by the departments that have implemented both the hostel redevelopment programme and the CRU programme (Mothotoana, 2011). It is unreasonable to expect that such persons would wish to speak negatively about their employer, nor want to implicate themselves in inefficient processes. Another limitation that is raised by Ubisi (2013) is that of access to data. The socio-economic survey report was the only document used to gather secondary data for this study because Ubisi (2013) was unable to access the progress reports of either the hostel redevelopment programme or the CRU programme. She also had difficulty with the implementation of SPSS version 20 that resulted in a delay of over two months in data analysis. Moloto (2015) also states that she was unable to engage with the hostel dwellers due to time constraints and could only gain access to the officials involved with the two development programmes. This fact alone, indicates that the research findings have the potential of being biased. Lastly, although Xulu (2012) had spent considerable sufficient time interviewing hostel residents, she did not spend adequate time researching the views of their family members living in rural areas – a situation that provides an opportunity for further research to be conducted in rural areas in northern KwaZulu-Natal and other regions. Furthermore, only a few authors managed to articulate the theoretical framework. Fenyane (2016) was able to state that project management was the theoretical framework used. The SHRA (2018) used the evaluation

framework, while Xulu (2012: p.40) used "the production of space, the rural-urban continuum, the feminist perspective and conceptions of space".

2.3.7 Considerations for future studies

Fenyane (2016) advises authorities to prioritise community participation because it is key to the success of any project. Through the participation process, authorities should clearly communicate the tenure and ownership options available, allocation criteria and the unit's size. SHRA (2018) considers including the CRU programme into the Social Housing Act. Mothotoana (2011: p.87) suggests that future studies should focus on the following areas:

“...the implementation of the Hostel Eradication programme in COJMM, capacity-building and the readiness of municipalities to administer national housing programmes, the improvement of living conditions for hostel residents through the appointment of property management agencies [and] an investigation into the financial management within COJMM”.

In addition, Xulu (2012: pp.237-238) recommends:

“...the need for more ethnographic, intensive and comparative studies specifically on the hostels and in South Africa generally. It would also be fruitful to conduct studies which examine the impact of the kind of housing that the South African government provides for the poor, i.e., RDP and CRUs. It would be interesting to examine what impact the new kinds of settlements have on the cultural value systems and norms of the Black African people”.

Further, Ubisi (2013: p.142) recommends that it would be beneficial for future studies to focus on the following:

“Evaluate the outcome of the CRU programme in the Mogale City Local Municipality (MCLM), determine whether the Kagiso hostel dwellers have benefited from the MCLM's indigent policy, investigate the cooperation between the MCLM and the Gauteng Department of Local Government and Housing (GDLGH) in providing adequate houses, determine the responsibilities of the role players in the CRU programme”.

In closing, it can be stated that this section has reviewed the objectives, methods, data processing and analysis, results, limitations and

recommendations of the seven selected empirical research studies. From reviewing the data, this study has committed to using a mixed method strategy and will adopt the case study approach. After reviewing Xulu's work, this study will consider focusing on exploring the impact of the "high-rising new buildings" in the hostel, on the urban-rural relationships, and on the relationships between those people who have moved into the new buildings and those who still live in the dilapidated hostel dormitories. Additionally, in response to Xulu's (2012) suggestion, this study will focus on pursuing the knowledge gap that exists regarding the impact that the CRU programme has had on the cultural norms and value systems of the Diepkloof hostel residents.

2.4 An introduction to public policy

Section 2.3 presented knowledge regarding how researchers have attempted to evaluate hostel housing interventions in South Africa. The objective of this current section is to position the research within the academic discipline of public policy, demonstrated in Figure 6 below, to gain a better understanding of concepts and ideas related to the research. Identifying the academic field of study is key for the research as it assists with understanding the related interpretive frameworks. This section will commence by providing a detailed description of what is meant by public policy, accompanied by unpacking what its purpose is, then followed by discussing the established facts and key debates, and will then conclude by reviewing its key components/ processes.

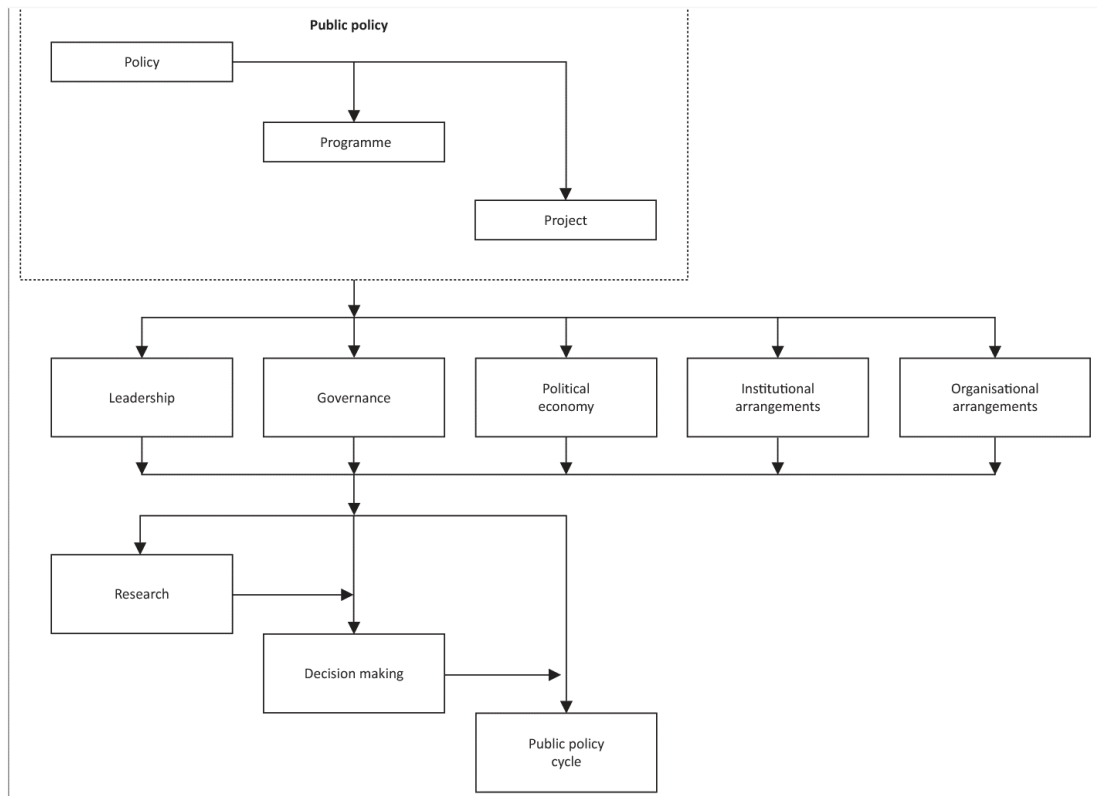


Figure 6: Public policy and its processes and components

Source: Wotela (2017)

2.4.1 Describing public policy

The study reviewed various studies (Cloete, Wissink & de Coning, 2006; Knoepfel, Larrue, Varone & Hill, 2007; The Presidency Republic of South Africa, 2020; Yagboyaju, Ojukwu, Salawu & Oni, 2016) relating to public policy that comprises decisions articulated in the form of an authoritative proposal, that has been agreed upon by government officials, to address a societal problem. These decisions are taken with the aim of improving the livelihood of society members and can only be officially implemented once they have undergone the policy making process.

Furthermore, Cloete, Wissink and de Coning (2006) define public policy in greater detail as follows:

A series of patterns of related decisions to which many circumstances and personal, group and organisational influences have contributed. The policy making process involves many subprocesses and may extend over a considerable period. The aims or purposes underlying a

policy are usually identifiable at a relatively early stage in the process, but these may change over time and, in some cases, may be defined only retrospectively. The outcome of policies requires to be studied and, where appropriate, compared with the policy makers' intentions...policy [making] requires an understanding of behaviour, especially behaviour involving interaction within and among organisational relationships. For a policy to be regarded as a public policy it must to some degree have been generated or at least processed within the framework of governmental procedures, influences and organisations.

2.4.2 The purpose of public policy

The reviewed literature states, as mentioned above) that the main purpose of a public policy is to solve the problems that society is facing. Researchers (Knoepfel et al., 2007; The Presidency Republic of South Africa, 2020; Yagboyaju et al., 2016) all agree that this process is achieved through identifying a problem, formulating a plan, implementing it and then measuring its success. Furthermore, a public policy is used to communicate to the public the government's set plan for addressing the identified societal problems. It is also to ensure that the government is accountable for its actions. In addition, it is the government's strategy to encourage the public and various interest groups to participate in the policy making process. Public policy also provides a clear articulation of the roles and responsibilities of actors, and it brings professionalism to government. Yagboyaju et al. (2016: pp.328-329) point out that "public policy thus helps government to reconcile the numerous public demands and scarce resources based on priority". Further, The Presidency Republic of South Africa (2020) states that public policy ensures that democratic values and the rule of law are maintained by government and upheld by all citizens.

2.4.3 Established facts in public policy

Cloete et al. (2006), Peters and Pierre (2006) and The Presidency Republic of South Africa (2020) agree that public policy can be studied through three levels, namely the political, executive and administrative. At the political level, the ruling party sets a political manifesto that aims to address societal problems. At this level, the decision makers are the legislature or political parties, and they decide on the policies that will affect the administrative/

operational level. The executive level predominately comprises the cabinet members who collaboratively formulate and take decisions on central objectives. The administrative level includes departments and municipalities that are mandated to execute and manage the implementation of policies.

What is evident in the above summary, is that the reviewed studies all agreed that there are different levels at which public policy can be studied. However, there is a difference in the naming convention of these levels, for instance, Peters and Pierre (2006: p.22) state "we see the policy process as governance, as consisting of three broad sets of activities that we call constitutive, directive and operational governance".

2.4.4 Key issues and debates in the study of public policy

There are numerous debates that have emerged concerning the public policy the reviewed studies (Fischer, Gerald, Miller, Mara & Sidney, 2007; Peters & Pierre, 2006; Wanna, Ayres, Head & Mercer, 2021). The focus of these debates has been primarily on the different stages of the policy making process, instead of studying the cycle in its entirety, a practice that has led to a deeper understanding of the policy making cycle. However, questions have been raised regarding the practicality of separating the stages, because this process does not reflect the actual reality of the policy making cycle during which policy formulation and implementation are not clearly divided. Furthermore, there have been deliberations on the government's capacity to fully run with the entire policy making cycle, and its ability to transfer and teach policy skills. Lastly, there are discussions regarding policy making not having developed into its own theoretical programme.

2.4.5 Major components/processes of public policy

The examination of various literature relating to public policy has indicated that the components and processes of this practice comprises four cyclical stages. Various studies (Cloete et al. 2006; Fischer et al. 2007; Knoepfel et al., 2007; The Presidency Republic of South Africa, 2020) point out that stage one is policy development, a process that involves identifying, defining and

prioritising the societal problems that need government interventions and, thereafter, adding them to government's agenda for consideration. The second stage is policy adoption that includes presenting the draft policy to the relevant bodies for approval and policy decision making. The draft policy contains a clear articulation of the policy's 'road map' (inputs, activities, outputs, outcomes and impact). The third stage is the policy implementation comprising the actual execution of the policy programme. The last stage is the evaluation stage that encompasses assessing the policy's impact on society.

After having reviewed the existing literature on public policy it is clear that policy making has cyclical stages. However, both the number and the names of these stages differ. Some literature refers to a five cyclic stage, whereas others refer to a four cyclic stage. Cloete et al. (2006) lists the five stages as agenda setting, policy design, decision making, implementation and evaluation. However, The Presidency Republic of South Africa (2020) refers to the first stage as policy formulation (or diagnosis phase) and to the last stage as monitoring and evaluation.

Section 2.4 of this study has located the research within the academic field of public policy and has covered the description of public policy, the established facts, key debates and key components/processes as demonstrated in Figure 6 above. The next section will identify and explain the key attributes, concepts and interpretive frameworks related to the research in this field.

2.5 Key attributes in public policy studies that are key to formulating interventions.

After having positioned this research study within the academic discipline of public policy (Section 2.4 above), together with a discussion of the components of public policy, this section deconstructs the components of public policy research in order to highlight its key attributes. The identification of these traits requires paying attention to their information needs and sources as well as how they feedback into each other. As mentioned in Section 2.4 above, the application of public policy is demonstrated through a policy cycle, consisting

of four stages: namely diagnostic, adoption, implementation and evaluation. These phases are reflected in Figure 7 below.

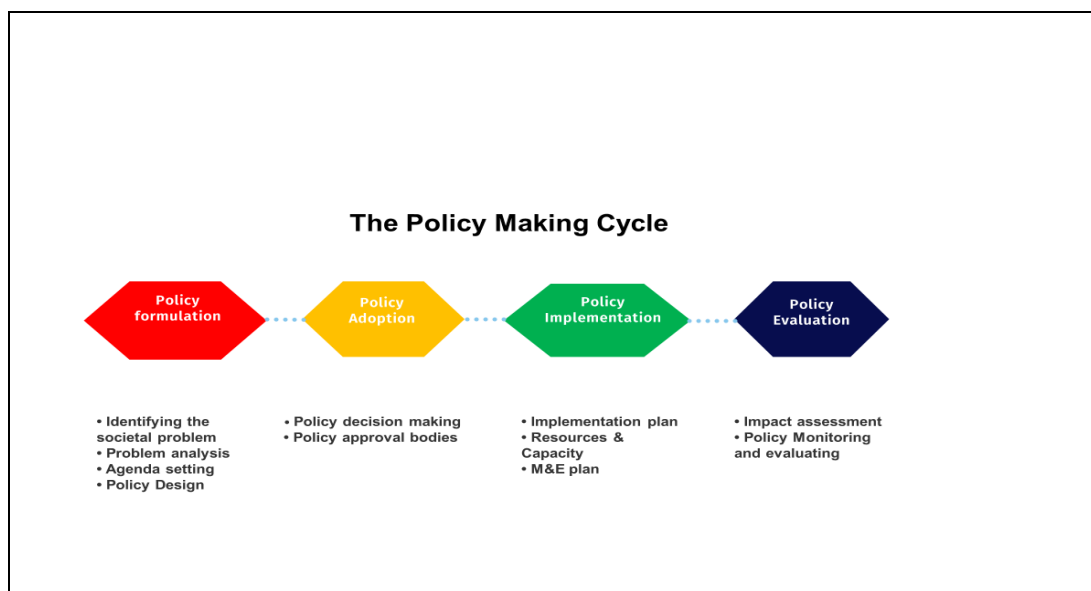


Figure 7: Main stages of the public policy cycle

Main Source: https://www.gov.za/sites/default/files/gcis_document/202101/national-policy-development-framework-2020.pdf. [Accessed: 7 September 2021].

2.5.1 Policy diagnostics

Various studies (Gamakulu & Wotela, 2016; The Presidency Republic of South Africa, 2020; Wotela, 2017) agree that the diagnostic or formulation stage is the first phase of the policy cycle. This stage involves using evidence to define and understand the problem in its physical context, identifying the root causes, behaviours and consequences of the problem, and agenda setting. According to The Presidency Republic of South Africa (2020), there are different types of evidence: research-based evidence that has undergone a formal or compressive process; practice informed evidence that is sourced from previous monitoring and evaluation policies; participatory evidence that is sourced directly from the citizens; and evidence based on evaluations. While gathering evidence, the following points should be addressed: details of the problem, the beneficiaries and their needs, and the key stakeholders and their interests. It is crucial for stakeholders to be involved from the beginning of this

process. In addition, Walser and Riedl (2011: p.58) state that the core activities in this first phase include "communication and collaboration between stakeholders and administrations; integrated business administration and document management".

Both Wotela (2017) and The Presidency Republic of South Africa (2020), argue that core purpose of the diagnostic/formulation stage is to design a sustainable and effective solution to address the needs of the intended beneficiaries, thus, making this stage fundamental for any intervention. This process is necessary because it details the design, implementation, allocation of resources and the monitoring process of the intervention. In addition, this phase allows by practitioners to use of the ToC to think through the desired outcomes and impact of the intervention.

In reference to this study, the researcher consulted various relevant literature such as that of Mashele (2015) and her own practical assessment experience. The problem investigated was the fact that hostel dwellers in the Diepkloof hostel are living in dilapidated and overcrowded structures that are a legacy of apartheid policies. The democratic government's proposed solution to this problem is the CRU programme. This intervention's targeted beneficiaries are low-income households earning below R3 500 per month.

2.5.2 Policy adoption

After having defined and explained public policy in its context and its beneficiaries, the policy adoption stage is now discussed. Wotela (2017) refers to this stage as providing a prognosis for the diagnostics. Further, Fischer, Miller and Sidney (2007) state that this stage involves the conversion of problems and proposed solutions into government programmes. This process involves identifying objectives, followed by alternative analysis (selecting different alternative actions), thereafter, the results chain with the ToC is formulated. This pattern is followed with the objective of connecting all five development intervention elements/results chain, namely: inputs, activities,

outputs, outcomes and impact. The ToC, its results chain and framework will be detailed in Section 2.6 below.

Obviously, the policy adoption process is not a simple one. The Presidency Republic of South Africa (2020) explains that problems and proposals are converted to government programmes once they have been agreed upon by key approval structures. Not all proposals, however, are presented to the approval structures due to substantial parameters, such as the scarcity of resources.

2.5.3 Policy implementation

Once the policy has been approved by the relevant structures the implementation process begins. Implementation involves translating the approved policy into a practical implementation plan that details the activities, institutional arrangements, roles and responsibilities, resource allocation, timelines, and monitoring systems that will measure the progress of the intervention (The Presidency Republic of South Africa, 2020).

Fischer et al. (2007: p.51) further define implementation as:

“...what happens between the establishment of an apparent intention on the part of the government to do something, or to stop doing something, and the ultimate impact in the world of action”.

This stage is normally executed by institutions and organisations. In addition, Wotela (2017) refers to this stage as gathering the most interest from academics and practitioners, because it is viewed as the stage that practically delivers change. Also, it touches on different fields such as policy, management and public administration studies. Both Fischer et al. (2007) and Wotela (2017) point out that implementation has had three generations. Firstly, the field's challenges were raised, and these required a deeper understanding. Secondly, there were issues that stem from the 'top-down versus bottom-up' approaches. The third wave aimed at bridging the gap by creating a hybrid approach, that would incorporate both these practices.

Further, Wotela (2017) notes under the implementation stage, there are two key components that this study will focus on. These comprise the management and monitoring of the inputs, activities, outputs, outcomes and impact of the policy. Management can either point to operations or performance management. The Presidency Republic of South Africa (2020: p.8) defines monitoring as:

“...continuous collecting, analysing and reporting data on inputs, activities, outputs, outcomes and impacts as well as external factors in a way that supports effective management. It aims to provide managers, decision makers and other stakeholders with regular feedback on progress in implementation, results and early indicators of problems that need to be corrected. Monitoring usually reports on actual performance against what was planned or expected”.

After having covered the implementation stage and highlighted its key components, this study will now discuss the attributes identified during this stage, which are relevant to this research study. There are numerous factors that influence the success of an intervention. For this study the economic, political, and social factors influencing the housing intervention (CRU) will be reviewed, as illustrated in Figure 8 below.

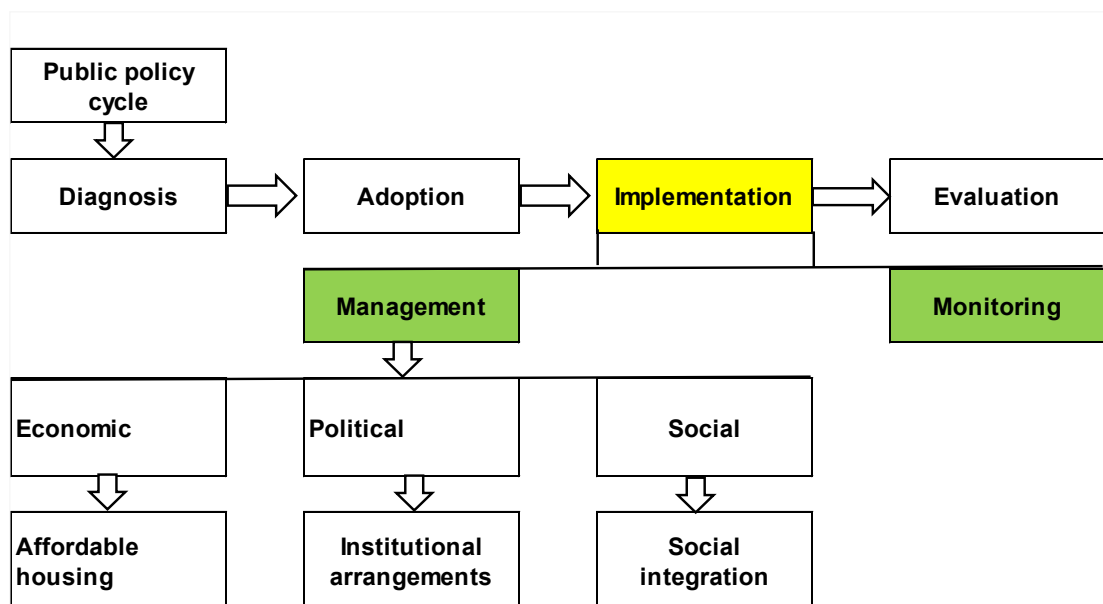


Figure 8: Implementation and its key components

Main Source: (Adapted from Wotela 2017).

2.5.4 Economic Determinants

Public policy is influenced by economic determinants so, therefore, will the success of an intervention. The economic environment influences how the wealth and resources will be distributed in society (The Presidency Republic of South Africa, 2020). The Department of Human Settlements (2009: p.9) states that "the Community Residential Units Programme aims to facilitate the provision of secure, stable rental tenure for lower income persons". The researcher interprets this statement as meaning that the programme intends to provide adequate, affordable housing to lower income citizens. To gain a better understanding of who qualifies as 'lower income individuals', the researcher will pose the following questions to the study participants: 'Are you currently employed, if yes, is this a contract (how long is the duration), or is a permanent role?', 'How much do you spend on monthly rent?' and 'What is your monthly income?'. These questions will assist with assessing whether the CRU programme, that is a developmental intervention, has addressed the housing needs of the Diepkloof hostel dwellers.

SHRA (2020) states that by the second quarter of 2020 the unemployment and poverty rate in South Africa was estimated at 23.3%, with the Covid-19 pandemic having worsened the problem. This fact could explain why Drummond (2020) states that finding affordable adequate housing remains a challenge for lower income households. According to The United Nations High Commissioner for Human Rights (2014: p.4) "housing is not adequate if its cost threatens or compromises the occupants' enjoyment of other human rights". Furthermore, SHRA (2020) adds that affordable adequate housing, requires institutional management and is a housing option that is provided by social housing institutions.

The South African Cities Network (2014) states that the 1994 White Paper provided a housing programme policy that is intended to address the housing shortage in South Africa. This programme has since been criticised because it has failed to contribute to the economic and spatial transformation of cities. One of the reasons for this failure is that several households no longer qualify for the lower income subsidies, because they fall above the R3 500 basic

monthly income criterion. This fact should be a positive one, however, even though their income has increased, many households still cannot afford housing due to a lack of access to housing finance provided by the private sector.

2.5.5 Political Determinants

Another determinant that influences the success of an intervention is the political environment and its institutional arrangements, including the maladministration of these arrangements. Public policy is informed by the ideology of political parties and society (The Presidency Republic of South Africa, 2020). The Fuller Centre for Housing (2014) states, apartheid left South Africa with several inappropriate laws that needed to be amended. It, therefore, is the responsibility of the democratic government of South Africa, to prioritise addressing the lack of access to affordable quality housing. However, this practice remains a challenge due to the fragmentation of the housing sector, the lack of clarity around roles and responsibilities, the inconsistency of funding and the lack of capacity (human and material and resources).

The South African Cities Network (2014) agrees with the above statement and outlines the roles and responsibilities of government for delivering housing: the development and implementation of policy is the responsibility of the national and provincial government, while the local government is tasked with creating a conducive environment for the delivery of housing by locating suitable land and providing facilities, services and infrastructure. In addition, The Presidency Republic of South Africa (2020) lists some of the key institutional arrangements that drive public policy: Executive Authority of the Republic, Executive Authority of Provinces, Executive Authority of Municipalities, The Intergovernmental Relations Framework Act No. 13 (Act No. 13 of 2005) and Roles of Executive Authority and Accounting Officers. The issue of the government's roles and responsibilities is linked to the secondary research question – 'What influence do institutional arrangements have on the implementation and management of affordable housing?'.

2.5.6 Social Determinants

The last determinant that this study will discuss are the social factors that influence the success of an intervention.

" The social environment covers issues such as the population size (demographic profile), language, ethnic and cultural practices, values and beliefs, socioeconomic needs such as access to food, water, land, housing, health, employment, safety and protection, migration, and immigration patterns" (The Presidency Republic of South Africa, 2020: p.18).

One of the key objectives of the CRU is to contribute towards the transition of integrating public housing into the larger housing environment's market (The Department of Human Settlements, 2009). The Social Housing Policy (2003) argues that housing programmes can contribute to social integration through creating cultural environments that support sustainable developments that promote mixed communities.

There are three factors that influence the delivery of an intervention: economic, political and social. To expand on the above-mentioned attributes and address the research questions, information was gathered using multiple sources. However, Drummond (2020) and SHRA (2020) caution that before collecting data, the criterion for affordable housing needs to be understood. The following data sources were used for this purpose: Statistics South Africa, government reports and documents, credit regulators, interviews conducted with financial institutions, SHRA officials, SHIs/ODAs and government sector experts. Furthermore, The Presidency Republic of South Africa (2007: p.8) states "within the National Statistics System (NSS), SASQAF distinguishes between national statistics and official statistics. National statistics are those in the public domain, but which the Statistician General has not certified as "official" in terms of section 14.7(s) of the Statistics Act. In addition, The Presidency Republic of South Africa (2020) recommends using citizen (participatory) evidence as a data collation tool.

2.5.7 Policy evaluation

After implementation, the last stage of the policy making cycle, is evaluation. Various studies (Fischer et al., 2007; The Presidency Republic of South Africa,

2020; Wotela, 2017) point out that this stage measures the effectiveness of the intervention. By assessing the set outputs against the actual outcomes, it is possible to determine whether the desired impact has been achieved. There are different forms of evaluation. Summative evaluation "implies asking questions such as: Did the intervention work? Was it effective?, Was it sustainable? Was it relevant? and Was it efficient?" (Wotela, 2017: p.12). Further, Wotela (2017) states that summative evaluation is the last stage of any intervention, however, this statement is dependent upon whether one believes that interventions end. Fischer et al. (2007) adds that evaluation is linked to the last stage of the cycle, whereby the policy is either terminated or redesigned. Other evaluations include, but are not limited, to formative and implementation evaluations.

This study focused on formative evaluation. Stetler et al. (2006) describe the term formative evaluation as a method used to measure the success of a programme while its activities are taking place and focuses on the actual process. As indicated above Burns (2008) argues that Scriven coined the term 'formative evaluation' in 1967, in reference to the development of a curriculum. Burns (2008) further states formative evaluation refers to data collection that takes place before the instruction occurs. Flagg (1990) likewise stresses that the formative evaluation process involves collecting data to provide insight on the design, production and implementation of decisions.

This section has discussed the four components of public policy: diagnostics, adoption, implementation and evaluation. The key attributes for this research study have been identified and will be explored in detail in the following sections.

2.6 Established public policy frameworks for interpreting results on formulation of interventions

Further to the contextualisation of public policy (Section 2.4 above) and description of the main attributes of evaluating the formulation of key

interventions (Section 2.5 above), Section 2.6 introduces theories and frameworks that have been developed by political scientists for analysing policy making. These established frameworks were employed to interpret the empirical results presented in Chapter 5 below in general and, specifically, the CRU programme applied to the Diepkloof hostel.

Anderson (2006: p.18) states "theories are needed to guide the study of public policy, to facilitate communication and to suggest possible explanations for policy action". Therefore, Section 2.6 begins with a discussion on interpretive frameworks specifically the monitoring and evaluation processes in the policy cycle in relation to the ToC and its results chain. Followed by, a discussion on the theoretical approaches to policy study that include the following: political systems theory, group theory, elite theory, institutional theory and rational-choice theory.

2.6.1 Theory of Change

This section will review the ToC's benefits and limitations in light of the writing of various researchers (Armitage, Arends, Barlow, Closs, Cloutis, Cowley, Davis, Dunlop, Ganowski, Hings, Rotich, Schang, Tsuji & and Wiens, 2019; Dhillon & Vaca, 2018; Funnell & Rogers, 2011; Martinez, Premand, Rawlings & Vermeersch, 2011; SHRA, 2018; Stein & Valters, 2012; The Center for Theory of Change, 2021; Weiss, 1995).

The common trend amongst all the above reviewed sources is the reference to Weiss having made the term 'theory of change' popular. Stein and Valters (2012) suggest the ToC grew from the logical framework approach and was originated in the United States in the 1990s. However, Funnell and Rogers (2011) challenge this claim and argue that the ToC approach can be traced back to the mid-twentieth century. Dhillon and Vaca (2018) add that the ToC was introduced to evaluation in the 1990s under various names, including impact pathways, programme logic, and programme theory.

SHRA (2018: p.27) argues that:

“...a Theory of Change defines all building blocks required to bring about a given long-term goal. This set of connected building blocks – interchangeably referred to as outcomes, results, accomplishments, or preconditions – is depicted on a map known as a pathway of change/change framework, which is a graphic representation of the change process”.

Relatedly Martinez et al. (2011) state that the ToC explicitly maps interventions against the casual logical pathways and identify assumptions and conditions required for change. Therefore, making the TOC a sequence of activities and events that result in outcomes. The ToC, thus, is a strategic plan that follows a results/logic chain to achieve desired results. In addition, this plan demonstrates the relationships between the inputs, activities, outputs, outcomes and desired impact as indicated on Figure 9 below.

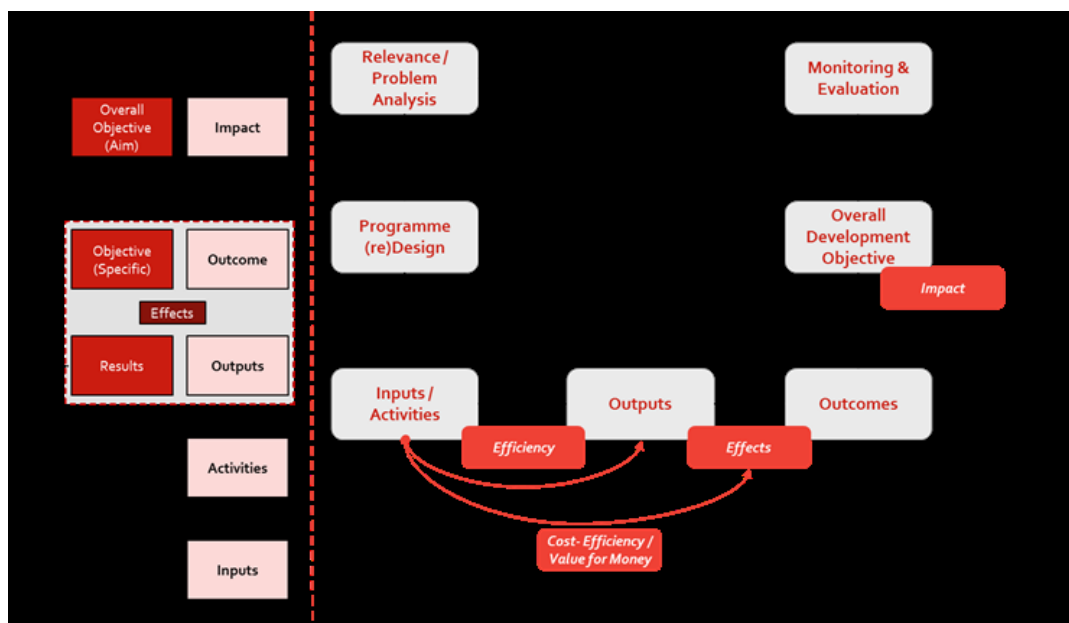


Figure 9: Results Chain

Main Source: SHRA (2018)

Various researchers (Armitage et al., 2019; Dhillon & Vaca, 2018; Funnell & Rogers, 2011; Martinez et al., 2011; Stein & Valters, 2012; The Center for Theory of Change, 2021; Weiss, 1995), agree on the following benefits and limitations of the ToC. ToCs are beneficial for organisations because they serve as a blueprint for change and ensure staff alignment. They provide a testable hypothesis that demonstrates how change will take place and also

unpack the assumptions. ToCs limitations include problems related to implementation such as theorizing, interpreting, testing and measuring. Also, they lack clarity with regards to terms such as 'evidence' and 'assumption'.

Based on the above discussion of the ToC, SHRA (2018) argues (as already stated) that the purpose of the CRU programme is to provide an affordable house rental option to lower income households earning from R800.00 to R3 500.00 per month with. Secondly, it is to bridge the gap between public rental stock and social housing rentals. To achieve this purpose, the requisite practices relating to the inputs, activities, outputs and outcomes of the intervention would have needed to take place. These actions have been discussed in greater detail under Section 2.2.4 above.

2.6.2 Theoretical approaches to policy study

Firstly, Anyebe (2018) and Oni (2016) suggest the political system theory was developed by David Easton in 1952. Various researchers (Anderson, 2006; Anyebe; 2018; Cloete et al. 2006; Oni, 2016) agree that this theory is linked to Easton's input-output model and centres on the activities that take place in the political system, also referred to as the 'black box'. This theory talks to the political system responding to the needs and demands (inputs) of interest groups or individuals through policy. The outputs refer to decisions taken by authoritative structures, such as rules, regulations, laws and judicial decisions. Inputs are fed into the black box with the aim of achieving outputs, while the flow of such inputs is dependent on gatekeepers who have a common interest (Oni, 2016).

Anderson (2006) and Cloete et al. (2006) agree that the advantage of the political system theory is that it provides a framework for policy making that describes the interactions between the demands raised by interest groups, the black box, and the expected outputs. However, its main disadvantage is that it fails to give a practical guide on how these inputs are transformed into outputs.

The second approach is the group theory and, according to Anderson (2006: p.20) "public policy is the product of the group struggle". Both Cloete et al. (2006) and Oni (2016) define this theory as a political system whose actions and policy outcomes are determined by the pressures and forces of groups. Oni (2016) adds that group theory is based on a negotiation between government structures and organised groups. The advantage of group theory is policy-making processes can be analysed by policy analysts using the demands of the participating interest groups (Cloete et al. 2006). Its greatest disadvantage is that it leaves out society and individuals in its analysis (Anyebe, 2018) while this theory assumes policy makers are concerned about the demands raised by the groups (Cloete et al. 2006).

The third approach is the elite theory. Oni (2016: p.344) suggests that "this theory is a reaction to the pluralist perspective of the distribution of power in society". Cloete et al. (2006) and Oni (2016) describe the elite theory as being based on the notion that policy decisions are taken to benefit the governing elite and not the masses. A disadvantage of this theory is that some interest groups do not challenge the elite and simply accept their fate (Fischer et al., 2007).

The fourth approach is institutionalism and, according to Anderson (2006: p.23):

“... traditionally, the institutional approach concentrated on describing the more formal and legal aspects of governmental institutions: their formal structure, legal powers, procedural rules, and official functions or activities”.

Cloete et al. (2006) states that this theory highlights how governments emphasise public policy that applies to all members of society. Anderson (2006) claims its main advantage is that it can assist with the analysis of various public institutions' behavioural patterns. A major disadvantage is that this theory does not provide a practical picture of how institutions operate.

The last approach is the rational-choice theory. Oni (2016) describes this theory as scientific process of selecting policy choices through logical reasoning. Anderson (2006) argues that it originates from economists and their studies of political behaviour through the application of principles of microeconomic theory. Anderson (2006: p.26) also states that:

“...rational-choice theory both alerts us to the importance of self-interest as a motivating force in politics and policymaking and provides a better understanding of decision-making processes”.

A common disadvantage of this model is its inadequately tested and unrealistic assumptions (Fischer, et al. 2007).

This section has discussed theories and frameworks that have been developed by political scientists for analysing policy making. As indicated above, the ToC and its results chain and framework will be adopted to interpret the empirical results in Chapter 5 in general and, specifically, in relation to the CRU programme for the Diepkloof hostel.

2.7 A formative evaluation of Johannesburg's Diepkloof Hostel housing intervention

The following section reflects on issues that have been covered thus far during Sections 2.1 to 2.6, with the aim of deriving the conceptual framework for this research. This paper commenced by stating the research problem, research purpose, research questions, the physical location of the problem and the knowledge gap pointed out by previous scholars. This information was followed by the identification of the academic lens most appropriate to this research and, lastly, reviewed theories and interpretive frameworks that can assist with interpreting results/findings.

As indicated previously, the primary aim of this research is to conduct an assessment of the South African government's housing programmes by identifying the contributing factors that influence the effectiveness of housing interventions, in particular the CRU programme's implementation efforts in the Diepkloof hostel located in Soweto township, Johannesburg. This study also

indicated why and how the research objectives were pursued. This process involved interrogating previous academic and non-academic literature related to fundamental government interventions that were intended to address social problems, such as housing, to derive a conceptual framework.

The term conceptual framework is described by Wotela (2017: p.377) as “an advanced outline of how research should advance after interrogating key literature on the research under study”. The purpose of this framework is to obtain an understanding of the problem by situating the research in its physical context, followed by identifying the knowledge gap and establishing the interpretive framework (Wotela, 2017). Ravitch and Riggan (2017) likewise state that a conceptual framework provides a rationale for the research’s relevance and demonstrates how the research design will appropriately answer the research questions. Thus, this framework is at the heart of an empirical study, because it acts as an integrating ecosystem that guides research with the intention of connecting components with one another.

Simply put, a conceptual framework is a summary of the related literature that has been interrogated in the previous subcomponents of the research, in order to provide a roadmap, detailing the key steps that need to be taken throughout the research process to reach the desired outcome. Therefore, this section is twofold because it provides a concluding summary of the previous six sub-components. Figure 10 below is a summarised presentation of the proposed conceptual framework for conducting an evaluation of Johannesburg's Diepkloof hostel's housing intervention.

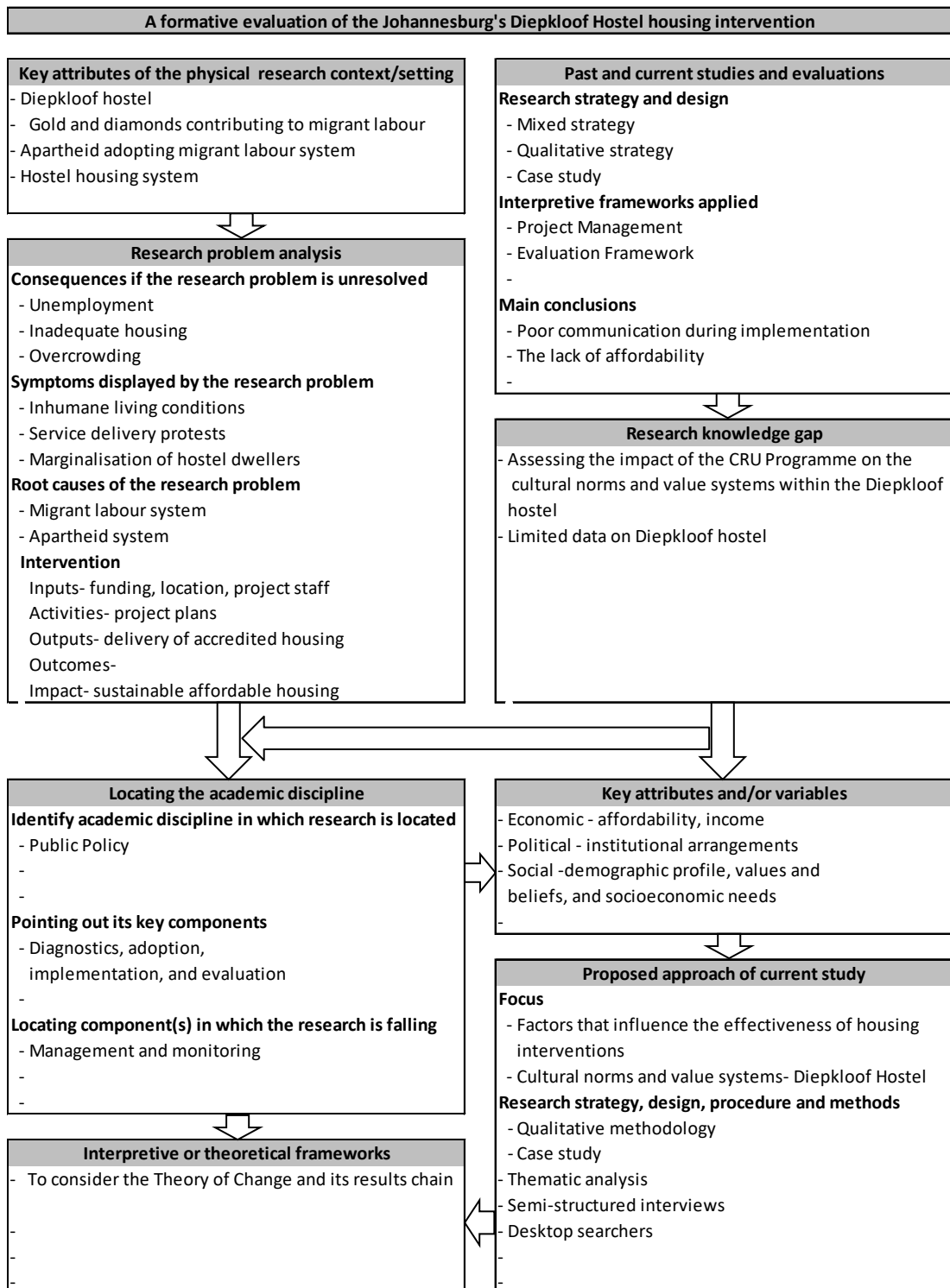


Figure 10. A formative evaluation of Johannesburg's Diepkloof hostel's housing intervention

This research report will now discuss the components listed in Figure 10 above. Firstly, as already argued, the coronavirus pandemic unmasked the housing crisis in South Africa and highlighted the important of reasonably

priced housing. The study placed specific focus on the neglect that hostel dwellers have continued to face even after the inception of South Africa's democratic government in 1994. Xulu (2020) points out that although South Africans have experienced over 25 years of democracy, hostel dwellers are still fighting against the legacy of apartheid's inequality and poverty. For this research, the Diepkloof Hostel, situated in Soweto township in Johannesburg, South Africa, was used as a case study. As indicated earlier, scholars (Pienaar & Cloete; 2005; Smit, 2001; Ubisi, 2019) argue that hostels were built during the apartheid era as a result of the discovery of gold and diamonds in the later part of the 19th century that was the catalyst for an economic explosion, increased demand for cheap labour and widespread migration from rural to urban areas. The establishment of inner-city hostels also is attributed to the apartheid system and Thurman (1997) argues that this system served as a controlling tool to restrict the behaviour and movements of Black people within urban areas.

Secondly, the general problem analysis points to its symptoms arising from the fact that hostel residents are marginalised by surrounding communities and subjected to living in spaces without privacy or access to basic services and proper maintenance the state, thus, resulting in hostels not being conducive to human habitation (Pienaar & Cloete, 2005). Also, the rise in unemployment, together with a government that fails to respond appropriately to this situation, has led to the outbreak of service delivery protests across South Africa.

The ripple effect of the already mentioned migrant labour system resulted in an influx of migrants moving to the city in search for work, that was not always available, a practice that led to the consequences of unemployed people being forced to live in overcrowded hostels because it was only option accessible to them in the city. This practice is a direct consequence of the lack of adequate affordable housing that, as previously mentioned, resulted from the apartheid era's spatial planning policies consequent upon the increased demand for cheap migrant labour by capitalists and apartheid powers that resulted in widespread urbanisation (Vosloo, 2020). With the Abolishment of the Influx Control Act (86 of 1986), public hostels experienced an increase in

overcrowding and the continued lack of basic services delivered by municipalities (Shole, 2018).

Hostels remain as a physical representation of the legacies of apartheid and the failure of the democratic government to fulfil the tenets of South Africa's constitution. Hostels need to be refurbished and integrated into the surrounding communities to ensure sustainable living conditions and prevent the spread of diseases such as those resulting from during the COVID-19 pandemic. Hence the current government's introduction of the already discussed CRU programme. SHRA (2018) argues that to achieve the desired impact, the CRU programme requires certain inputs (funds, staff and location), activities (project plans), outputs (products, stock ownership and delivery of accredited housing), outcomes (short term attainable goals) and a desired impact (sustainable long-term goal).

Third, most of the already referred to reviewed studies adopted a mixed methodology case study approach with the aim of understanding hostels in the context of their spatial location, the livelihoods and challenges experienced by hostel dwellers and the rationale behind the CRU programme. The common target population from all the studies, comprised employees from JOHSCO and COJMM, community members, hostel dwellers and other stakeholders. These studies differed in their sampling methods. Data triangulation was the preferred data collection process. Common findings included poor communication and a lack of affordable housing, with the major limitations being physical context and access to information.

Only a few of the reviewed researchers managed to articulate the theoretical framework – Fenyane (2016) employed a project management theoretical framework, SHRA (2018) used the evaluation framework while Xulu (2012. p.40) engaged in "the production of space, the rural-urban continuum and the feminist perspective and conceptions of space". A major knowledge gap was highlighted by Xulu (2012: pp.237-238), who stated "it would be interesting to examine what impact the new kinds of settlements have on the cultural value

systems and norms of the Black African people". Limited information is available on the Diepkloof hostel, thus, increasing this knowledge gap. Therefore, this research study focuses on assessing the impact that the CRU programme has had on the cultural norms and value systems within the Diepkloof hostel.

This study adopted a qualitative methodology approach in order to capture the voices of those who have experienced hostel life. Qualitative methodology is appropriate for this study because it is "a research design that collects information in the form of words" (Wargner, Barbara, Kawulich & Garner, 2012: p.8). This study focused on hostel dwellers within a single community – the Diepkloof community, therefore, it uses a case study because such an approach focuses on the nature and complexity of the specific situation being studied (Bryman, 2016).

The data for this study was sourced by conducting a thematic analysis of published and unpublished literature together with a data triangulation process. Primary data was collected using semi-structured interviews and observations and secondary data through desktop searches, newspaper articles and library sources. Triangulation refers to the application of different data collection processes to ensure the credibility and trustworthiness of the data (Leavy, 2017) and thematic analysis refers to sorting data according to themes or patterns (Wargner et al, 2012).

Lastly, as explained above, this research study was positioned within the academic discipline of public policy. The reviewing of studies by various researchers (Cloete et al., 2006; Knoepfel, Larrue, Varone & Hill. 2007; The Presidency Republic of South Africa, 2020; Yagboyaju, Ojukwu, Sala & Oni, 2016) confirmed that the term 'public policy' refers to the decisions articulated in the form of an authoritative proposal, that have been agreed upon by government officials, to address a societal problem. The main purpose of a public policy is to solve the problems society faces. In this study it refers to

solving the housing issues experienced by the Diepkloof hostel dwellers. The application of public policy is demonstrated through a policy cycle, consisting of four stages: namely diagnostic, adoption, implementation and evaluation. After covering the implementation stage, the research identified two key components; management and monitoring that led to the identification of key attributes that influence the success of an intervention; economic (affordability and income), political (institutional arrangements), and social (demographic profile, values and beliefs, and socioeconomic needs). To conclude this chapter, it was anticipated that the ToC and its results framework, together with theoretical approaches to policy study, would assist with the interpretation of the research results because it is an evaluation strategy.

3 RESEARCH STRATEGY, DESIGN, PROCEDURE AND METHODS

In the previous chapter, the research problem was situated within its physical context (Diepkloof), relevant literature was reviewed, the research then located in the academic field of public policy, this process involved identifying the research's key attributes and selecting the ToC as the interpretive framework. The chapter concluded by developing the conceptual framework that guides the methodology, tools and procedures that were deployed in this study.

The purpose of this chapter is to identify the output and describe the research strategy, applicable design, procedure and methods that were deployed for collecting, processing and analysing the data. There are five key parts to this chapter: (1) the research approach (Section 3.1); (2) the design (Section 3.2); (3) the research procedure and methods (Section 3.3); (4) trustworthiness and credibility of the research process (Section 3.5) and (5) the administrative and technical limitations (Section 3.5). The outcome of this chapter is the development of techniques that will assist with addressing the main research question: To what extent has mis-formulation influenced the success of the CRU housing intervention programme? The aim of this programme is to alleviate the shortage of affordable housing and integrate hostel dwellers into the larger community.

3.1 Research strategy

The above literature review assisted the researcher to understand that a research strategy is a plan of action that gives the research direction with the aim of achieving the proposed purpose and objectives set out in Section 1.2.2 above. Based on Leavy's (2017) analogy, the researcher compared a research strategy to an architect's design plan. Before a physical building can be constructed, an architect needs to draw a plan that is guided by his/her primary goal which will influence the decision-making process. Leavy (2017) also describes a research strategy as building a structure for the research project that will assist in addressing how the research process will be executed. In

addition, Bryman (2012) defines a research strategy as a research paradigm or approach.

Further, Wagner, Kawulich & Garner (2012: p.52) state:

“The paradigm guides your methodology – that is, how the research will proceed. The research process, therefore, is guided by philosophical beliefs about the nature of reality, knowledge, and values, and by the theoretical framework that informs comprehension, interpretation, choice of literature and research practice on a given topic of study”.

According to Leavy (2017), research has five approaches: arts-based research, community-based participatory research, qualitative, quantitative and mixed method research. This paper elaborates on quantitative, qualitative, and mixed research.

Quantitative research gathers, processes and analyses data based on numerical values. Bryman (2016) states this strategy is informed by testing and measuring relationships between variables to understand the casual relationships and patterns. This approach is adopted when the research’s primary purpose is either to explain or evaluate social phenomena.

Qualitative research collects data through words. The primary objective of this strategy is to attain a better understanding of people’s experiences. Both Wagner et al., (2012) and Leavy (2017) state that qualitative research is adopted by a researcher when the study’s purpose is to identify, describe, explain or explore social phenomena. Leavy (2017: p.9) adds that it is:

“Generally characterized by inductive approaches to knowledge building aimed at generating meaning. Researchers use [qualitative research] to unpack the meanings people ascribe to activities, situations, events or artifacts; or to build a depth of understanding about some dimension of social life”.

Mixed method research is a combination of both quantitative and qualitative approaches found within one study (Bryman, 2016; Wagner, Kawulich & Garner, 2012). Leavy (2017: p9) states:

“It may result in a comprehensive understanding of the phenomenon under investigation because of the integration of quantitative and qualitative data. It is generally appropriate when your purpose is to describe, explain, or evaluate”.

This study will adopt a qualitative research approach. Denzin & Lincoln (2018) argue that qualitative research is transdisciplinary, interdisciplinary and may even be counter-disciplinary. It is rooted across different fields such as physical and social science and humanities. Researchers who use qualitative methods are mostly focused on understanding the interpretive and naturalistic perspective of human experience.

Denzin & Lincoln (2018: p.47) found that:

“Qualitative research/inquiry embraces two tensions at the same time. On the one hand, it is drawn to a broad, interpretive, post-experimental, postmodern, feminist, and critical sensibility. On the other hand, it is drawn to more narrowly defined positivist, postpositivist, humanistic, and naturalistic conceptions of human experience and its analysis”.

In addition, Vanderstoep & Johnson (2009) state that this approach is descriptive in nature, rather than predictive. It accepts that people think and see things differently, hence, participants have their own perspectives based on personal experiences. This approach claims to represent the perspectives of those studied, therefore, it does not generalize results. Alternatively, Peshkin (1993) argues that a qualitative approach can be either interpretive, descriptive, a verification or an evaluation (this latter practice was only noted by Peshkin, 1993). This study sits between descriptive, evaluation and interpretation.

Several studies that have applied a qualitative approach when investigating similar phenomenon. However, Robb's (2018) more recent study investigated the role that the private and public sector played in the delivery of affordable housing to poor families in Johannesburg's inner city, more specifically looking at the availability of housing opportunities for groups that fell into the lowest income bracket. The study utilised a qualitative approach because it was based on a social problem that was identified at a local context. The benefit of

applying this method was that the researcher gained a deeper holistic perspective of the problem by understanding its human aspect. This study adopted a qualitative approach because the researcher wanted to understand the identified social problem from the perspective of the hostel dwellers who are living it and not necessarily from those who were tasked to fix the problem. it.

3.2 Research design

Nayak & Singh (2015) and Bryman (2016) describe research design like a map that is developed to provide direction to the research. It is a framework that has been formulated to guide the researcher's selection of the methods and procedures to be used for gathering and analysing data. The researcher believes the design assisted her to identify the most applicable methods of data collection. In addition, Bryman (2016) mentions experimental, cross-sectional, comparative, longitude, and case study as the five general research designs. These generic designs are discussed below.

The study discusses the quasi-experimental designs rather than the classic experimental designs. The characteristics of these former designs are like those of experimental designs; however, participants are not randomly assessed (Wagner et al., 2012). Neuman (2014: p.294) states "quasi-experimental designs help us test for causal relationships in situations in which the classical design is difficult or inappropriate". Leavy (2017) argues that quasi-experimental designs are best used in cases in which other designs are not as feasible.

The second design mentioned is the cross-sectional/survey design and is defined by Bryman (2016. p.690) as:

"A research design that entails the collection of data on a sample of cases and at a single point in time in order to collect a body of quantitative or quantifiable data in connection with two or more variables, which are then examined to detect patterns of association".

The third approach is a comparative design that involves comparing two or more cases. Leavy (2017) points out that with such a design, the researcher needs to consider the extent of the sampling strategies for comparisons as well as the extent of the sampling strategies for comparisons.

The purpose of the fourth longitude design is to measure change over a period, therefore, it happens on multiple occasions (Bryman, 2016; Leavy, 2017). Lastly, the case study research design was utilised by this study due to the research being centred around the Diepkloof Hostel. The researcher's interpretation a case study as one that is conducted on the premise of there being a single case; to gain an in-depth understanding of that case. Supporting this view, Neuman (2014) and Bryman (2016) point out that a case study involves an extensive investigation and detailed analysis of one case, that could be related to organisations, individuals, geographic units, movements or events. The analysis could take place during a particular period or over time. In addition, Pandey & Pandey (2015) argue that depending on its content, case study research can be quantitative or qualitative in nature. Vanderstoep & Johnston (2009) point out that a case study differs from a phenomenological and an ethnography study in which the researcher's perspective and voice are more dominant than those of the informants.

Yin (2018, pp.45-46) summaries a case study's key characteristics as follows:

- "Investigates a contemporary phenomenon (the "case") in depth and within its real-world context, especially when the boundaries between phenomenon and context may not be clearly evident.
- Relies on multiple sources of evidence, with data needing to converge in a triangulating fashion".

The case study research design has also been utilised by previous scholars. Hoosen & Mafukidze (2009) conducted case study research on land management in Johannesburg. The objective was to provide a holistic and an integrated perspective of the management of land by using Diepkloof as a case study. The chosen design benefited the study because it provided a qualitative account of the land management operations, events, practices and procedures

employed in Diepkloof. The case study research design was employed due to the nature of this research project being focused on the CRU hostel public development programme. A sample was drawn from the Diepkloof hostel because the hostel dwellers formed the main population for this research study.

3.3 Research procedure and methods

In this section, the methods and procedures that were applied for gathering, processing and analysing the research data are documented. This section has six key objectives: it details (1) the data collection instruments; (2) the population (3) the sampling of respondents; (4) the ethical considerations; (5) the data process and analysis and (6) a brief description of the selected respondents.

3.3.1 Research data and information collection instrument(s)

Research data is generally gathered from groups or individuals, also referred to as participants. Pandey & Pandey (2015) argue that data collection tools vary in design, administration, interpretation and complexity. Each technique is applicable for specific data. Wagner et al., (2012) explains that qualitative research mainly uses three techniques for gathering data: interviews; document analysis and observations. Each technique has its own structure and application process, however, researchers seldom use them in isolation, preferring to combine them. This process allows researchers to strengthen the trustworthiness of the study through triangulating data. The data for this study was sourced by using the data triangulation process and conducting a thematic analysis of published and unpublished literature.

Collection instruments

Primary data was collected using questionnaires, semi-structured interviews and observations. Secondary data was collected through desktop searches, newspaper articles and library sources.

Questionnaire: This is an essential instrument that assists researchers structure the main points they want to cover, using questions. Miller and Yang (2008) state that the responses to questions reveal new information that was previously unknown. Based on the findings of Vanderstoep & Johnston (2009), the researcher commenced the interviews by providing the participants with the study's context and then asking questions based on participants' demographics such as gender, ethnic group and age. The purpose of these demographic questions was to ease respondents into the conversation before asking questions related to their hostel experience (The researcher had hoped to query the participants' education level, socioeconomic status and marital status, however, after assessing their physical and emotional status, opted not to do so).

Observations: In the researcher's view observation is a primary tool used to collect data in its physical setting that can provide additional valuable that was not sourced during the interview – participants might not divulge certain information in an interview setting for reasons such as fear and possible discrimination. Both Wagner et al., (2012) and Vanderstoep & Johnston (2009) argue that observations are dependent on the researcher's access to the group under study. The role of the researcher can change from being a complete participant that involves the researcher becoming a member of the group and studying other members of the group without their knowledge; to being a participant as observer that entails the researcher forming part of the group and informing other members of the observation process; to being an observer participant and, thus, remaining outside the group with members being aware of the observation; to lastly being a complete observer which involves no participation from the researcher and not informing participants of the observation.

Interviews: Wagner et al., (2012) describe interviews as an essential tool of gathering data from participants in qualitative studies, that involves a two-way dialogue between the interviewer and interviewee. Interviews, if used correctly, provide the researcher with in-depth descriptive data that comprises the participants' beliefs, opinions, views, behaviour and experiences. This process

allows the researcher to understand the phenomena being studied from the perspective of the participant. In addition, Leavy (2017) and Vanderstoep & Johnston (2009) found that interviews can extract more data from participants because people are conversational by nature. Interviewing requires finesse, experience, skill and knowledge. Interviews can either take place via email, telephone, face-to-face and/or video. The researcher believes that the COVID-19 lockdown restrictions popularised video interviews using Skype, Teams or Zoom. The researcher would have liked to use this virtual technique; however, the targeted participants preferred face-to-face interactions because it helped to establish trust between interviewer and interviewee. Leavy (2017) advises that interviews vary from highly structured to semi-structured to unstructured practices. This study employed face-to-face, semi-structured interviews.

The researcher chose semi-structured interviews in order to prevent the conversation be limited to the prepared questions. The objective was to use the schedule to guide the interview and, hopefully, gain more insight during the conversations with interviewees. The researcher works in the Human Resource field and the 'rule of thumb' when interviewing people is always to be consistent to ensure a comparative analysis. Some researchers (Leavy, 2017; Vanderstoep & Johnston, 2009; Wagner et al., 2012) argue that commonly used semi-structured interviews are usually short – no longer than one and half hours and allow the interviewer to deviate from the prepared questions to explore fruitful information. The researcher believed using a semi-structure approach would help to achieve the research objective of understanding the impact of the CRU hostel redevelopment programme on hostel dwellers. Semi-structured interviews enabled the researcher to listen attentively for any lines of enquiry that emerged through the conversations and observations.

For this study, interviews were conducted in isiZulu and averaged between 40 minutes to one hour. The researcher experienced financial constraints and, therefore, was unable to utilise the services of a professional translator. However, the researcher relied on her own knowledge of the language (the researcher's ethnic group is Zulu, she was raised in KwaZulu-Natal) and used

a former isiZulu qualified teacher to translate the responses from the source language (isiZulu) to the target language (English).

3.3.2 Research target population and sampling

This next section discusses the target population and sampling methods. Researchers (Leavy, 2017; Pandey & Pandey, 2015; Wagner et al., 2012) define the target population (also termed the study population) as a group of people from whom the research will draw its sample and from which the research findings could be generalised. The target population for this study included ten Diepkloof hostel residents, both those living in the old hostel and in the new flats adjacent to the hostel. In addition to these participants, the study will target four community members from Diepkloof zone 6 who live in the first row of houses directly facing the Diepkloof hostel. The intention was to generalise the result findings to the entire population living in the Diepkloof hostel and the residents of Zone 6, who live adjacent to the hostel.

A sample comprises the individuals who are selected to participate in the study from the larger population group (Leavy, 2017; Vanderstoep & Johnston, 2009; Wagner et al., 2012). Sampling is important because it is realistically not feasible to study an entire population. Leavy (2017) argues that quantitative research favours a large sample size, while qualitative favours a smaller size; however, there are no prescribed rules regarding sample size. There are two types of sampling, probability or non-probability (Leavy, 2017; Wagner et al., 2012) that Vanderstoep and Johnston (2009) terms random or non-random sampling. For this study, the sampling methods are referred to as probability or non-probability approaches. Probability sampling, is used in quantitative research, entails the random and non-systematic selection of participants which increases the chances of the population being represented versus non-probability sampling (Leavy, 2017; Wagner et al., 2012). Probability sampling comprises cluster-, stratified random-, simple random- and systematic sampling.

Non-probability sampling is usually more cost effective because it takes up less time. Researchers (Leavy, 2017; Vanderstoep & Johnston, 2009; Wagner et al., 2012) agree that during non-probability sampling participants are usually selected based on their availability or certain characteristics; making it less likely for each member of the population to be selected. Non-probability has four types of sampling: quota-, snowball-, convenience- and purposive sampling. Purposive sampling was selected for this study. The focus of this sampling method is to select the participants that are better positioned in relation to the study, to gain in-depth answers, that are usually based on the researcher's practical knowledge of the physical context (Vanderstoep & Johnston, 2009; Wagner et al., 2012). Purposive sampling is also referred to as judgmental sampling and is generally considered the most effective type of non-probability sampling.

In a similar study, Moloto (2015), selected purposive/judgemental sampling and purposively selected key informants based on her practical knowledge and previous experience of the Sethokga hostel. However, she still faced some limitations due to time constraints. Similarly, this study has selected to use purposive sampling due to the researcher's previous knowledge of the Diepkloof hostel and the intention of gaining more in-depth insights due to the selection of the key informants.

3.3.3 Ethical considerations when collecting research data

The term ethics is described by Leavy (2017: p.24) as "coming from the Greek word *ethos*, which means character. Ethics involve morality, integrity, fairness, and truthfulness". Researchers (Leavy, 2017; Vanderstoep & Johnston, 2009; Wagner et al., 2012) state that ethical research is conducted to ensure that participants are protected, and that no mental, physical or emotional harm has caused them. Aspects consider when conducting ethical research according to researchers (Leavy, 2017; Vanderstoep & Johnston, 2009; Wagner et al., 2012) state it is to ensure no harm comes to participants due to their participation in the research study; secondly, regarding informed consent, it is the researchers' responsibility to declare their interest in the proposed

research study and fully explain the research process to the participants and then allow them the option of giving their consent, should they be comfortable about participate in the research; lastly, researchers should ensure participants that they will maintain their privacy and treat their responses as confidential.

This study ensured that no harm, in any form was caused to the residents of the Diepkloof hostel and to the neighbouring areas. The researcher provided potential participants with a brief personal background and explained in detail the aims and objectives of the study. The consent process was detailed and accompanied by the consent form that all participants signed. Both the hostel dwellers and community members signed the forms after the interviews because they first needed to trust the researcher. The research was conducted in accordance with the POPPI Act; participant's privacy and confidentiality has been maintained using a pseudonym.

3.3.4 Research data and information collection, processing and analysis

As noted in Section 3.3.1 above, the study used questionnaires, semi-structured interviews in conjunction with observations as data collection instruments for primary data. In qualitative research, results are generally presented under the analysis and interpretation of data (Vanderstoep & Johnston, 2009). The analysis and interpretation of data has four stages: (1) preparing and organising data; (2) initial engagement with the data; (3) coding and grouping the data into categories and themes; and 4) interpreting the data (Leavy, 2017) These stages are discussed below.

The second stage of initial engagement with the data involves researchers immersing themselves in the data to develop ideas on sorting and prioritising the data (Leavy, 2017). The coding process reduces large amounts of data and, according to Leavy (2017: p.151) coding involves:

“The process of assigning a word or phrase to segments of data. The code selected should summarize or capture the essence of that

segment of data. Coding may be done by hand or using computer-assisted software (CAQDAS)".

The fourth stage involves grouping the data into categories and themes. Leavy (2017) states that once the data has been coded, the relationships and patterns between codes can be identified. Codes that are related are then grouped together, a process termed categorising and theming data. This study used data thematic analysis to explore its data. Wagner et al., (2012) posits that qualitative research generally employs thematic analysis, a process that comprises identifying patterns or themes in the data collected from interviews. Once interviews have been conducted, the researcher should select a unit of analysis, use a code to label it and start drawing a comparative analysis between new pieces of data and the previous codes. The last stage is interpretation and involves the researcher understanding what has been learned through collecting, interrogating and analysing the data.

For this study, preparing and organising the data involved gathering the data collected from the interviews and field notes, and initially storing it in a locked drawer in the researcher's study at home. Next these documents were scanned and transcribed from the interview recordings. Files were stored under labelled folders and were backed-up on a flash drive. The desktop upon which these notes had been stored is accessed via a password. A thematic analysis was then employed to analyse the data, through the identification of key themes and patterns derived from the research questions, interviews and observations.

3.3.5 Description of the research respondents

Physical entry to the Diepkloof hostel is easy, however, access to the person in charge, is not. The researcher first asked to meet with the induna (referring to the headman or chief of the hostel) and was given the hostel manager's contact details. The researcher summarised the purpose of the meeting and scheduled an appointment for this meeting with the hostel manager. The hostel manager asked if the researcher would be comfortable attending a meeting at the hostel, which reassured the researcher of this. The following day, the

research met with the hostel manager, who is young (aged 35 to 40) and two chairmen and the chief induna who were aged between 35 and 55. The men were welcoming and happy to assist the researcher with her study. The men formed part of the Diepkloof hostel's leadership team, who are referred to as izinduna. Before the researcher discussed the research, she introduced herself by giving a brief overview of her origins, including the location in KwaZulu- Natal where family lives in. This information made it easy for the men to relate to the researcher because all of them are Zulus.

The second day, the researcher met with the 'blockmen' of the hostel, four were women and two were men. The discussion was arranged by the hostel manager who was also present on that day. Three of the 'blockmen' lived in the old Diepkloof hostel and three lived in the adjacent new flats. All participants were from the Zulu nation apart from one woman, who was Xhosa (a fact that surprised the researcher). The study participants were aged between 35 and 55 and with regard to their tenure, this ranged between 10 to 40 years of living in the Diepkloof hostel. The researcher struggled with asking personal questions such as their employment status because participants initially did not trust the researcher. Once the interviews were concluded, some of the residents escorted the researcher around the hostel and allowed her to take photographs. As the party walked past the hostel block that had a disintegrating foundation, residents invited the researcher into their rooms. The researcher required assistance with entering the room as the 'step' was unstable. The room's entrance had no roof, previously this area was used as the kitchen.

The following day, the researcher met with the four community members who had lived close to the hostel for more than 20 years. These members' ages ranged between 40 and 60 years, there was an equal representation of gender and 50% were formally employed.

3.4 Research strengthens— trustworthiness and credibility

Qualitative researchers are not usually concerned with accurate measurement as are quantitative researchers, hence, qualitative research uses credibility and trustworthiness versus reliability and validity (Wagner et al., 2012). Therefore, this study focused on ensuring that the data's credibility and trustworthiness. According to Denzin & Lincoln (2018) trustworthiness has four criteria: dependability, confirmability, credibility and transferability.

Relatedly, Wagner et al. (2012: p.243) defines these criteria below:

- “Creditability- the term used to address activities that make it more credible that the findings were derived from the data.
- Transferability- the basis for making similarity judgements.
- Dependability- a reliability measure achieved by triangulation of methods and providing an audit trail.
- Confirmability- ensuring that the findings are grounded in the data and gauging the degree of biases present to demonstrate that the data and findings were derived from events, rather than being solely from researcher construction”.

This study ensured that the above criteria were met by acknowledging the researcher's positionality (from Diepkloof) and how this fact might have influenced how she engaged with the respondents and data that may have caused the researcher's interpretation to be subjective and biased. Secondly, the process of peer review decreased the chance of bias together with the use of data triangulation and thematic analysis. According to Wagner et al., (2012) this process refers to the application of different strategies for collecting data in order to ensure its credibility, while thematic analysis involves sorting data according to themes or patterns.

3.5 Research weaknesses—technical and administrative limitations

A few limitations to this study were anticipated after reviewing previous studies. Firstly, the study's physical context could have prevented its results from being generalised. Secondly, regarding the access to data, the participants might have refused to speak to the researcher, or gatekeepers such as the induna

might have made the data collection process difficult for the researcher. Thirdly, although the COVID-19 lockdown restrictions have ended and people are free to move around without wearing masks, the researcher needed to be mindful that the coronavirus still exists and, therefore, still had to honour health and safety regulations to prevent the spread of disease. Fourthly, due to time constraints, the study only targeted the Diepkloof hostel dwellers and neighbouring residents (the researcher interviewed ten hostel participants and four from the surrounding community) the voices of officials were not captured, thus, making the study one-sided. However, to solve this problem, the researcher used previously documented responses from officials that were recorded in other studies. Fifth, hostels are known to be violent places, which increases the dangers of conducting research in this area. Sixth, the fact that the researcher is a young woman, might have prevented her from gaining the participants' respect and the fact that she had grown up in Diepkloof had the potential for producing a biased perception of the Diepkloof hostel and its residents. In addition, the researcher experienced financial constraints and, therefore, was unable to utilise the services of a professional translator to transfer the data from source to target language.

The above limitations were listed before the researcher started collecting primary data. The fear of the unknown is quite powerful. Before entering the hostel, the researcher had certain fears and preconceived ideas of the area. There were moments when the researcher worried about the safety of herself and her car and wondered if what she wore was appropriate. However, when the researcher first visited Diepkloof hostel, she was made to feel very welcomed and safe by the hostel manager, izinduna, and the chief induna. The other hostel residents who participated in this study initially were reluctant to speak to the researcher but soon relaxed and some even escorted the researcher around the hostel. They mentioned they had not trusted the researcher initially because they suspected that she could be a 'spy' and, in the past hostel residents had been killed after they were seen speaking to the 'wrong person'.

Nkosi (2020) found that the CRU hostel redevelopment project started experiencing adverse issues after the Gauteng Department of Human Settlements and the City of Johannesburg (CoJ) built rental units to eradicate the housing problems in Diepkloof, Mzimhlophe, Dube and Meadowlands. Further, Nkosi (2020) explains that during the consultation process, residents of these hostels believed that once the project was completed, they would become beneficiaries of the Reconstruction and Development Programme (RDP) houses. Only after the completion of the flats, were hostel residents informed they would need to pay rent for the flats. Hostel residents became angry owing to this new requirement and rejected the offer due to poverty and unemployment.

Fenyane (2016: p.68) explained:

“The preference for fully subsidised RDP units is a legitimate preference seeing that six hundred and forty-nine people of the audited nine hundred and sixty-three community earned under R1500, representing 67 per cent of the entire population at Diepkloof Hostel”.

Table 2 below demonstrates those audited in the Diepkloof hostel. These findings may have changed after 2020, as unemployment continued to rise due to the coronavirus pandemic and the current load shedding.

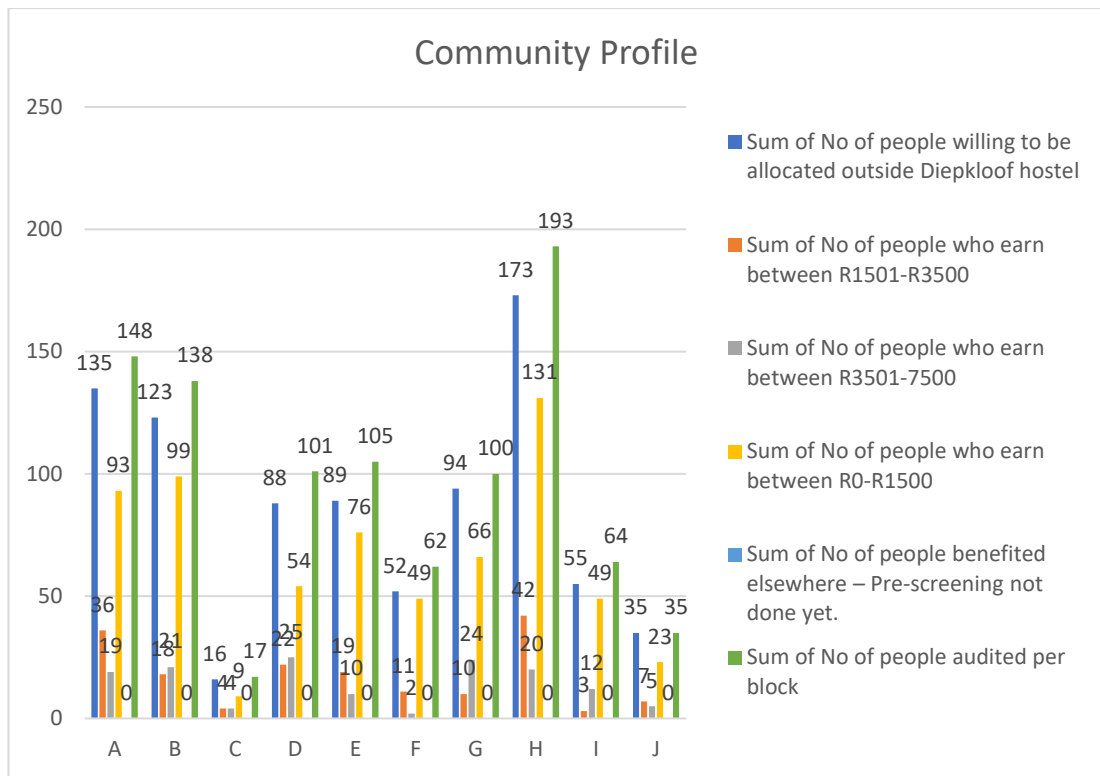


Table 2: Diepkloof Community profile

Source: Adapted from Fenyane (2016) (as cited in CoJ Housing Deputy Director)

4 PRESENTATION OF RESEARCH RESULTS

The previous chapter provided a detailed discussion of the research methodology that this paper adopted. This discussion included the adoption of a qualitative approach and case study design. The study chose to use questionnaires, semi- structured interviews and observations as its primary data collection instruments. Also, the target population, sampling and data analysis procedures, together with the research's credibility, limitations and ethical considerations, were covered. The following section will present the empirical research results that have been gathered from ten hostel dwellers and four members of the Diepkloof, Zone Six community (living in the houses facing the hostel); both primary and secondary data collection instruments, were utilised for this purpose. Figure 11 provides the visual, physical context from which the data was gathered.



Figure 11: Image of Diepkloof hostel and the surrounding Diepkloof Zone 6.

Source: Nkosi (2020) [Photo Essay|City of Joburg ring-fences housing: New Frame](#). [Accessed: 16 February 2023].

The primary aim of this chapter is to answer the sub questions posed, using themes, with the objective of answering the main research question: *‘To what extent has the City of Johannesburg successfully implemented the CRU intervention in Diepkloof?’* The aim of the CRU programme is to alleviate the shortage of affordable housing and integrate hostel dwellers into the larger community.

4.1 Key factors underlying the mis-formulation of fundamental interventions

‘What are the key factors underlying the mis-formulation of fundamental interventions?’. Makhija (1993) describes a government intervention as an action that stems from government that intends to influence change in behaviour through regulations and policies. For this study, the focus is on South Africa’s democratic government’s housing interventions.

“Housing is a necessity and is recognized as a basic human need and right, which is also overwhelmingly considered to be one of the effective indicators of the extent to which poverty has been eradicated in any country, (Manomano, Tanga & Tanyi, 2016: p.111).

This process would mean that for a country such as South Africa, the government would need to ensure that all its citizens have adequate housing before it can say it has eradicated poverty.

Presentation of empirical results and discussion of key themes

Theme 1: Corruption and mismanagement

Manomano et al. (2016) explains that in South Africa, corruption and mismanagement are at the centre of its housing problems. Corruption is a global issue, however, its prevalence in housing projects in South Africa is high. In 2010, a total of 1 910 government officials were arrested for having benefited illegally from housing subsidies that were meant for housing beneficiaries. Furthermore, Manomano et al. (2016) argues that 20 housing

projects were compromised due to dishonest dealings between government officials and contractors that were calculated to amount to R2 billion.

When the participating hostel residents were asked about factors that led to a portion of the hostel being developed while another was not, and there were some unoccupied units in the developed sector, Participant 1 replied, *"...corruption led to this, that is why we don't have electricity and water. We thank our current leadership; we are happy now"*. Participants explained that the previous leader was allegedly corrupt. During the process of allocating the "flats" under the CRU programme, he allegedly received money that he kept for his private use. Participant 1 mentioned, *"...we had to pay R2, 500 to move into the flats. When we complained, about this, the previous leader viewed us as the enemy"*. Participant 4 added, *"...the previous leader said he didn't want electricity to be installed in this hostel. When I exposed what he said on my WhatsApp status, I suddenly did not qualify to move into the flats, whereas previously I did"*. Participants also alluded to allegations around women in the hostel, having sex with the previous leader, in exchange for receiving work within the hostel. To make matters worse, participants said it was alleged that some members of the Diepkloof Police force were also corrupt and, thus, part of the housing allocation problem.

Theme 2: No instruments of control

Housing interventions such as the RDP programme lack regulation. SALL (2018: p.5) argues "the main problem was these houses were given out for free without instruments of control". SALL (2018) also explains that between 1994 and 2015, three million RDP houses were built; providing both water and electricity to residents. The intention was to build these houses for Black people who were identified as previously disadvantaged. However, the reality was that some beneficiaries sold these free houses to middle-class people because they considered it an opportunity for making a profit. Also, some beneficiaries could not afford the new standard of living/investment that came with the RDP programmes due to their low household income.

Participants from the Diepkloof community shared these sentiments and spoke about some hostel dwellers having speculations of profiting from the CRU project. Some hostel residents who have qualified for the new flats are rumoured to be renting their old rooms in the dilapidated Diepkloof hostel, to family members from KwaZulu-Natal. Further, participants stated that most hostel dwellers own large houses in the rural areas and just come to Johannesburg to work.

Theme 3: The lack of good communication and transparency

The Presidency Republic of South Africa (2020: p.11) stated”

good communication – the people must know! The public will know of services which will be implemented through the policy, partner with and hold government accountable as well as providing feedback on policy experience as it gets implemented.

In contrast to the above statement, miscommunication and the lack of transparency were at the centre of discussions held with hostel participants. Participants unanimously pointed to JOSCHO as the culprit. Participants stated that they initially they had been unaware of the rental costs associated with the new flats. The izinduna explained that when the redevelopment process commenced, hostel dwellers were told that the new family units would be part of the RDP process. All that was required was for residents to complete and sign the application forms, that are referred to as C-forms, in order for the development to start. They further explained that due to a lack of schooling and understanding of the English language, they were not aware of the contents of the C forms they had signed.

In addition, participants advised that they were not told that outsiders would also be eligible to apply for residency in the new flats. Induna 1 explained, *“...us paying rent was never disclosed to us, initially. However, later in the process, those that moved into the new flats (after having agreed to paying rent) were told they would rent-to-own. Again, this changed, and ownership was no longer on the table”*. Induna 2 argued, *“...our issue is not that we don’t want to pay, we are used to paying. When these hostels were built by the whites, we paid for our beds. The issue lies with us having to pay while others*

enjoy RDPs. Why is it that people from Freedom Park and Motsoaledi enjoy rent free houses? Is it because we are Zulu and not ANC?”

Contrary to the above views, in a previous study Fenyane (2016) interviewed a JOSCHO official who was involved with project managing the hostel redevelopment at the Diepkloof Hostel. The official advised that there was participation and sufficient information that was communicated to hostel dwellers. Further, the official explained that before any project was implemented, socio-economic surveys are conducted. This statement concurs with Fenyane (2016: p.56) comment that:

“Since JOSCHO projects invariably leans towards the rental option, being open in the beginning regarding the qualifying criteria is crucial for the success of the upgrade project, especially if the new units are to be built close to the old existing one”.

Table 3 below depicts the lack of interest demonstrated by hostel dwellers, in applying for the rental units. Therefore, this fact implies that JOSCHO did not follow the correct screening processes to measure the tenant’s willingness or financial ability to pay rent. In addition, Fenyane (2016) explains, that of the original 963 people who were audit to reside the Diepkloof hostel, only 150 submitted their applications to rent a flat and only 33 of them were approved, whereas 250 units were completed.

Total applicants	Approved	Deposit payments	Beneficiaries to be profiled	Number of CRUs
150 Applications received to date.	33 Beneficiaries have been paid to date.	20 Beneficiaries have paid to date.	2 Beneficiaries have been identified.	215 Units have been completed and 60 units are ready for allocations.

Table 3: Housing beneficiaries

Source: CoJ Housing Deputy Director (as cited in Fenyane, 2016).

4.2 The influence of institutional arrangements on the implementation and management of affordable housing

‘What influence do institutional arrangements have on the implementation and management of affordable housing?’. The Presidency Republic of South Africa (2020) highlighted, that the public policy-making process involves numerous stakeholders who are either within or outside government institutions.

Presentation of empirical results and discussion of key themes

Theme 1: JOSCHO’s involvement

The CoJ, in March 2004, established a council-owned body called the Johannesburg Social Housing Company (JOSHCO); an implementation strategy to assist with the eradication the city’s housing backlog. JOSCHO was tasked with providing and managing affordable rental and social housing to households with an income ranging between R1 850.00 to R22 000.00 per month, especially to the lower income households (JOSCHO, 2020). JOSCHO (2020) explains its primary purpose is to develop rental and social housing through refurbishments, upgrades and conversions of existing housing stock, namely city-owned rental stock, such as hostels.

According to hostel participants, the Diepkloof hostel upgrade project commenced in either 2003 or 2004. Some residents were moved to temporary units within the hostel, while the new family units were being built. Once units were completed, they were informed that the “temporarily housed residents” would then be placed in the new structures. Therefore, temporary accommodation was supposed to last for a few months only, however, these months eventually became years. This delay is one of the reasons that have resulted in hostel participants unanimously expressing their frustration over JOSCHO’s mismanagement of the Diepkloof hostel upgrade project. Figure 12 below is a picture of the temporary units that have become people’s permanent homes.



Figure 12: Temporary units

Source: Author

Izinduna explained that some units (flats) remain unoccupied and vandalised because of JOSCHO's failure to run a transparent process. As mentioned previously, JOSCHO did not communicate that people would have to pay rent for the new units, that outsiders would also qualify to live in these units and that these units were not regarded as part of the hostel land. Induna 4 asked: *"...tell me, how is it that people who have never been subjected to living in the old crumbling buildings, are now occupying what was promised to our people?"*. Participant 5 adds: *"...how does JOSCHO expect us to pay rent, considering most of us don't work?"*.

JOSCHO has since been replaced and hostel residents are happy that the CRUs are back to being RDP developments. When members of the izinduna were asked how they would allocate the unoccupied units, now they are RDP units, Induna 1 responded, *"...we'll consider those with C-forms and also throw names into a bowl and randomly select from there"*.

Theme 2: Politics and tribalism delaying the upgrading of the hostel

Maseko (2015) wrote in an article that:

"The hostels, where many Zulu nationalist Inkatha Freedom Party (IFP) supporters lived, were used as bases for those determined to derail the peace process. The IFP spurred on by white extremists who did not want change, were behind attacks across townships, mostly targeting

supporters of Nelson Mandela's African National Congress (ANC) party
“(para.35-36).

It is views such as Maseko's that fuel the ideas of hostels not being prioritised for redevelopment s is the case with other townships. Izinduna expressed that Diepkloof hostel residents are discriminated due to their political affiliations and the characterisations of hostel residents as being predominantly Zulu. Izinduna pointed out that the Diepkloof hostel residents were largely IFP supporters, however, there are members of other parties such as the DA and the ANC, in the hostel. In addition, hostel participants, excluding Induna, expressed their frustrations regarding the role politics have played in delaying the refurbishment of the hostel. Participant 6 explains, “...*our problem is that we said we don't want the ANC. The previous leadership did not want freedom because of the ANC*”. Participants further explained that “Lady D” (this is the name they have given to the women who oversaw the Diepkloof ward and hostel), advised them that there was budget for the hostel upgrades. However, the only thing that was missing was a hostel representative (leader) who would manage this budget. Participant 3 shared the same sentiments, adding “...*Rasta was shot eight times after having been spotted walking ANC, Lady D to her car. They shot him a few hours after Lady D had left*”.

4.3 The Community Residential Units role in promoting social integration between the hostel dwellers and the rest of the community, and in addressing their housing needs?

‘How instrumental has the CRU Residential Units Programme been in in addressing their housing needs and promoting social integration between the hostel dwellers and the rest of the community?’ The CRU programme was initiated to restore hostel dwellers' dignity and integrate them into the communities (Department of Housing, 2009).

Presentation of empirical results and discussion of key themes

Theme 1: Social integration

'The more things change, the more they stay the same.' When participants from the Diepkloof community were asked about their present relationship with hostel dwellers, they responded by saying *"not much has changed"*. Most participants preferred starting with a brief history lesson on the establishment of hostels. Hostels were established to temporarily house migrant workers, mainly men. After the end of apartheid and the abolishment of the Influx Control Act, the new government over committed itself to providing free housing, electricity and water. At this stage problems began to surface. There was an influx of people from KwaZulu-Natal, both men and women. Community Member 2 stated, *"...we were shocked at the increased number of women who now live in the hostels. Hostels were never designed to house women"*. Further, community members stated that they do not frequently visit the hostel, however, and only do so when they desperately need something. Community Member 1 stated: *"...Zulus are entrepreneurial, there is everything in the hostel; people own taxis, sell meat, alcohol, repair appliances, sell furniture and can weld amongst many things"*.

In response to questions regarding their relationship with community members, hostel dwellers stated that it has changed and explained that during the time of our previous leadership, outsiders could not walk freely into the hostel. Participant 4 explained, *"your car would have been stoned, the questions you are asking would have gotten you into trouble and we would probably be shot within a few hours of having this conversation. We are grateful to our new leader"*. Hostel residents also stated that they now have a good relationship with the rest of the community. People living in different parts of Diepkloof have partners and children living in the hostel. The only people who regard themselves as superior to hostel dwellers are those who live in Extension Three. Participant 2 added, *"...those people don't see us, they think they think they live in the suburbs"*.

Theme 2: Challenges of living next to a hostel

When asked to identify the challenges they faced living next to Diepkloof hostel, community members provide a list of problems ranging from crime, illegal electricity connections, strikes and goats. Firstly, community members

explained that even though the Diepkloof Hostel is not the most dangerous hostel in Johannesburg, there is still a great deal of crime. They said they experience people breaking into their houses and then find their belongings being sold in the hostel. During the 2021 unrest period, the people who benefited most from the looting were those in the hostel who stole goods from stores. Also, they opened brothels inside the hostel and young depressed girls seek work there.

Secondly, as a result of the illegal electricity connections there are wires stretching from the hostel to the streetlights. Community Member 4 pointed out the small transformer box next to the hostel, *“...I think the old hostel not only connects from the streetlights, but from the transformer box designed to support the CRUs”*. In 2020, LED lights were installed in the hostel, Community Member 2 adds, *“I called the police as I watched hostel thieves shake the polls until they fell, to connect”*. Other members expressed frustration with the fact that streets are dark during the evenings due to there being no streetlights.

Thirdly, the issue of strikes. Community members are not only inconvenienced by striking hostel dwellers but also must clean up after them. When there are strikes over service delivery, hostel dwellers block the street shared by the hostel and zone six and the main highway exiting Soweto. They burn tyres and throw stones. Doctors who travel to Baragwanath Hospital, cannot reach their place of due to these strikes. Once the strike is over, hostel dwellers leave their rubbish on the streets. Community Member 3 stated, *“...I then have to sweep up the streets for us to use the road again”*.

The final challenge pertains to the presence of goats. Generally, community members found hostel dweller's goats very annoying because they walk freely on the streets, eat the grass, obstruct traffic and give birth to their kids in the members' yards.

Theme 3: CRUs addressing their housing needs

Generally, community members viewed the establishment of the CRU programme as a good initiative and one that could also house their own

children. Many of them stated that in a democratic country such as South Africa, they cannot accept the fact that some citizens are still living in inhumane conditions such as the present dilapidated Diepkloof hostel structures. Members found it unacceptable that hostel dwellers have been living without electricity for over twenty years, hence the illegal connections. The only issue that was echoed was that of hostel dwellers gatekeeping the units build by the CRU programme. Community Member 1 stated, “...*Zulus think they own the hostel and are refusing entry for our children to rent the CRUs. They want the flats to themselves at no cost, whereas our children are prepared to pay rent*”. Further, community members explained that the only way to end the hostel’s dwellers isolation is for the government to continue financing the CRU project and build sufficient units to house all hostel residents so that both community members and current hostel dwellers can reside in harmony. Also, with the building of these flats, hostel dwellers should pay for electricity and water as community members do.

In response to questions regarding their housing needs, hostel participants initially stating that they are happy living at Diepkloof hostel because it is perfectly positioned next to schools, the hospital and transport. They then pointed out to the strategic construction of the new units; they are built around the hostel and cover the old crumbling, apartheid structures. Participants viewed these flats as government’s attempt at hiding what Participant 2 described as, “...*the massive scrapyard that is, the hostel*”.

Hostel participants who had moved into the CRUs, expressed that at the beginning these units had addressed their housing needs. However, with the passing of time, residents became dissatisfied. They could not afford the monthly rent and the maintenance costs – there are constant water leaks and a broken geyser. This response reaffirms SALL’s (2018) earlier point regarding the need for controls. However, the participants then confirmed that with the change of leadership, introduction of electricity and the conversion of the CRUs to RDPs, they were now once again content with the situation.

Furthermore, participants who were still living in the old hostel, were not concerned about the new flats, but with their own need for electricity and toilets. Participants explained that they have been living in filthy conditions, crumbling walls, rain flooding their rooms due to the lack of a solid roof, they have been without electricity and sharing toilets for years. The women hostel dwellers complained about the communal toilets and stated that they are constantly contracting vaginal diseases that cause disagreements with their male partners and spouses. Therefore, they want the government to continue to renovate the hostel and stated that their first request is for electricity and separate toilet facilities. Fortunately, due to the appointment of a new hostel manager, they will soon have access to electricity.

In response questions regarding the integration of hostel residents and community members living harmoniously in the new CRUs; the hostel participants disapproved of community members occupying these units, due to the inhumane conditions that they have had to endure whilst living in the old hostel buildings. Figure 13 below is a photograph of the current communal toilets that hostel dwellers share.



Figure 13: Communal toilets at the Diepkloof hostel

Source: Author

4.4 The impact that the Community Residential Units Programme has had on the cultural norms and value systems of people living in the Diepkloof hostel?

'What impact has the CRU programme had on the cultural norms and value systems of people living in the Diepkloof hostel?

Frese (2015: p.1328) states:

“Norms prescribe certain behaviours, and once these behaviours are socially routinized, they become practices. Thus, cultural norms lead to cultural practices and vice versa. Both are inferred by perceptions of common behaviour of others—how do people think and behave around here? ... Whereas values are associated with what is socially accepted is good or bad”.

Presentation of empirical results and discussion of key themes

Theme 1: Change in leadership

Hostel participants explained how much turmoil has been caused by the building of the new flats and stated that people had *“died for these units; there have been mass killings over occupancy”*. Participant 6 highlighted, *“...we would hear gunshots on a daily basis, they began to sound like fireworks after some time”*.

The introduction of family units is not a new concept in the hostel. In the old hostel, some people were already living with their families (despite that fact that there is no privacy) – it is no longer just single men who occupy the hostel. Participants stated they still visit the rural areas, however, they prefer to have their nuclear families living with them in the hostel. They did not elaborate regarding the norms and values practiced by hostel dwellers; their interest was more on the change of leadership. Participants reported that the corruption, murders and lack of electricity within the hostel had prompted the leadership change. In 2021, a new leadership council was voted in. Participants agreed that this the new leadership team brought about positive changes in the hostel. They mentioned that the Induna's role and responsibilities have not changed; and that this position is above all others in the hostel.

When izinduna were asked about who oversees the hostel, they advised that it was the hostel manager, who is elected during the local elections. The hostel runs an election process in concurrence with the local government one. Therefore, even though the ward was won by the ANC, the Diepkloof hostel voted in an IFP manager. It was through this hostel manager that the electricity installation process began in November 2022. However, even though there is a hostel manager, the Induna is still the person that everyone reports to. He too was elected at the same time as the hostel manager. The izinduna stressed the importance of such a role and advised that the Induna had been preparing himself for this position years before his actual term commenced.

The induna's appointment process is as follows; he is first elected by the blockmen in the hostel who then motivate his appointment to the rest of the hostel residents during a meeting, that is then followed by the residents agreeing or disagreeing with his appointment. There is no set duration associated with his term of office, he can lead until the residents vote him out or he decides to retire. The Induna then has a leadership council – the members of the izinduna whom the researcher consulted – followed by the blockmen (sectional izinduna) who are responsible for different blocks in the hostel (the hostel consists of blocks A to J). All development initiatives must go through chief Induna, because he is mandated to represent the best interests of the people at large, whereas the hostel manager is more politically inclined. During the discussion with izinduna, they advised that as part of the new leadership team, there were women who formed part of the blockmen.

When the izinduna were asked about the impact of the CRU flats on the hostel's culture and norms, they stated that the only change was the introduction of 'outsiders' (people who previously did not reside in the hostel) into the hostel. The more outsiders are allowed to reside in the hostel, the harder it is to maintain law and order within the hostel. In addition, hostel participants mentioned that there were other nationalities who were starting to occupy the new flats, i.e., Nigerians. Furthermore, regarding JOSCHO's statement that the CRU flats were not built on hostel land, the izinduna

condemned it as a senseless statement because JOSCHO has no authority in relation to the hostel.

Theme 2: Necessary changes that the hostel recommends.

In closing, the researcher asked each participant what recommendations they had for government regarding improvements to the hostel.

- Electricity and toilets: Participants expressed joy about the new leadership and the improvements that have already been made, such as the installation of electricity. They requested the continuation of the electricity project, prepaid electricity for the hostel residents and internal flushing toilets.
- Walls around the hostel: it was suggested that a wall should be built around the hostel grounds with only one point of entry because the wall would hopefully control crime. Participants added that there is an opening directly onto the highway that is used as an escape route by criminals.
- RDPs: hostel dwellers want to be treated in the same manner as other township residents. They would like the hostel redevelopment project to continue with the building of RDPs/CRUs.
- Building of skills: the izinduna suggested that instead of the R350 government grants, the government should invest in upskilling its people in the same manner as was implemented by Prince Mangosuthu Gatsha Buthelezi. Induna 2 explained: *Gatsha, "with the little budget that was available, he would upskill us by ensuring we are taught technical skills such as painting, welding and sewing. The purpose was to build a society that starts creating its own income streams".*

5 DISCUSSION OF RESEARCH FINDINGS

The previous section presented this study's empirical results that were sourced using both primary and secondary data collection instruments. This chapter describes and interprets the main research findings presented in the previous chapter and, where applicable, relates the findings to existing theories and literature on evaluating the formulation of key interventions. The main idea behind this chapter is to evaluate the worth of the CRU Programme while its activities are taking place. The interpretation of results can then be used as lessons going forward when implementing interventions of a similar nature.

This study is grounded in the academic field of public policy. A theory can predict the impact of fundamental interventions such as the Diepkloof hostel CRU programme. Therefore, the theories and interpretive frameworks that have been discussed in Chapter 2, will be used to guide and interpret the meanings of the findings in Chapter 4: theory of political systems, group theory, elite theory, institutionalism, rational-choice theory, and ToC and its results chain framework.

5.1 Mis-formulation of fundamental interventions

Corruption and mismanagement are a catalyst to mis-formulation of not only the CRU intervention, but housing interventions across South Africa, bringing clarity to the first research question. In line with previous research, Manomano et al. (2016) stated that 20 housing projects were compromised due illegal dealings between government officials and contractors that amounted to R2 billion. Research results in this study pointed to corruption and mismanagement's prevalence in the Diepkloof hostel being at the centre of the housing problem, which then led to inadequate service delivery. Evidence suggested that the hostel's previous leadership engaged in corruption activities, such as charging additional fees to hostel dwellers for the allocation of the new rental units. In addition, findings revealed that some beneficiaries profited from the CRU programme by reselling or renting out their allocated units. The political systems theory appears to be applicable. Several scholars

(Anderson, 2006; Anyebe, 2018; Cloete et al. 2006; Oni, 2016) have linked the theory of political systems to Easton's input-output model. This theory talks to the political system responding to the needs and demands (inputs) of interest groups through (outputs). Outputs include judicial decisions, rules, and laws. The challenge with this theory is that it fails to give a practical guide on how these inputs are transformed into outputs. Which is evident in the case of the Diepkloof hostel. Though the Department of Human Settlements has attempted to respond to the housing challenge in the hostel, during the policy formulation stage, it has failed to develop clear regulatory controls to assist with the prevention of corruption and mismanagement. To date, there have been no laws that have held the hostel's previous leadership accountable for the misallocation and corruption that has taken place.

5.2 Institutional arrangements' influence on the implementation and management of interventions

Aligned to the second research question, evidence collected from respondents and previous literature suggests, the Department of Human Settlements and JOSCHO played an influential part in the mis-formulation of the CRU programme. The Theory of Change is most suitable to interpret findings related to the influence of institutional arrangements.

The term 'theory of change' is described by Breuer, De Silva, Shidaye, Petersen, Nakku, Jordans, Fekadu and Lund (2016: p.55) as:

"A theory-driven approach to programme design and evaluation that starts by making explicit a theory of how a programme will achieve its impact by describing the hypothesised steps along the causal pathway and uses this theory to guide the evaluation of the programme".

SHRA (2018) found that the CRU programme was established to provide an affordable house rental alternative for lower income households, i.e., those with a monthly income of R800.00 to R3 500.00. The findings indicated that the CRU programme was successful in targeting lower income households that earned between R800.00 to R 3 500.00 monthly. However, most hostel residents' income falls below R800 per month, therefore, immediately disqualifying the majority from being eligible to occupy these units. Which

undermines the programme's aim of correcting apartheid's spatial planning and exclusion legacies. Also, based on the study findings and in conjunction with those of SHRA (2018), evidence points to JOSCH conducting little to no screening of tenants in terms of affordability levels and their ability/willingness to pay rent. The study findings also revealed that those who do qualify to occupy the CRUs, later cannot afford the maintenance costs. Therefore, making the CRUs increasingly less affordable.

Connell and Kubisch (1998) explain that during an evaluation, the activities and outcomes of a programme must be quantifiable. These measures will provide evidence that a programme has occurred and will be able to provide the required results. However, the outcomes demonstrated in research results found the CRU programme to be ineffective, firstly due to the lack of research conducted on its affordability and its inability to stabilise the housing market. Secondly, it did not create public housing assets that were sustainable due to its high maintenance and administration costs. Lastly, over 50% of the Diepkloof hostel property still comprises dilapidated buildings that have not been refurbished, in fact Figure 14 below demonstrates that the foundations of some of the units are collapsing.



Figure14: The Diepkloof hostel's foundation is collapsing.

Source: Author

5.3 The lack of social integration

A reoccurring theme revealed by respondents is the lack social integration; in sync with the third research question. Findings pointed to the divisions within the hostel and those between hostel dwellers and the Diepkloof residents. The CRU programme's objective is restoring the hostel dwellers dignity and promoting integration between the community and hostel dwellers. However, in the case of the Diepkloof hostel, this has been unsuccessful. The criterion of monthly incomes being between R800.00 and R3 500.00, created 'pockets' within the hostel, between employed and unemployed residents. The latter group being mostly hostel residents. The building of new rental flats, in which families could gain some privacy, next to old crumbling apartheid structures, and then limiting their access based on financial means, reinforced segregation. The spill over then brought about the current 'black-on-black discrimination i.e., the constant political spats and tribal discrimination that now occur in Diepkloof hostel and the surrounding community.

Also, JOSCHO's failure to inform hostel residents timeously of the financial implications of occupying one of the CRUs, created false expectations, because hostel dwellers initially expected that they would be the beneficiaries of an RDP housing programme, whereas members of the surrounding community had expectations of moving into the CRUs and paying the stipulated rental. This miscommunication has further divided the two communities because each believes they are entitled to occupy the new family units, which speaks to the group theory. Agreeable, Anyebe (2018) argues there is a competition between groups that determines the allocation of resources. The group theory, described by Cloete et al. (2006) and Oni (2016) as a political system whose actions and policy outcomes are determined by the pressures and forces of groups. Oni (2016) adds that group theory is based on a negotiation between government structures and organised groups. Due to the pressures from the hostel dwellers, findings revealed that the CRU programme has been replaced by the RDP.

To conclude, this chapter has attempted to align interpretations of findings to the research questions, to answer the main research question, '*To what extent has the City of Johannesburg successfully implemented the CRU intervention in Diepkloof?*'. From the literature and findings, we have learned that the effectiveness in which an intervention (CRU programme) is successful, is said to be marred by various economic, political, and social factors. Findings in this study pointed to common themes around corruption and mismanagement, the influence of institutional arrangements, and the lack of social integration. These themes revealed the mis-formulation and poor implementation of the CRU programme has led to its demise and replacement by the Reconstruction and Development Programme.

6 SUMMARY, CONCLUSIONS, LIMITATIONS, AND RECOMMENDATIONS

This chapter, being the final chapter of the study will summarise the issues that have been discussed in previous chapters and, thus, restate the research problem, questions, purpose and main findings. It will also highlight the study's limitations as well as its significance in addressing the knowledge gap and, therefore, contributing to existing literature of the study's topic.

6.1 Summary

The following section reflects on issues covered in Chapters 1 to 5. This dissertation commenced by stating the research's problem, purpose, questions, context and the knowledge gap pointed out by previous scholars and which this study aimed to reduce. The researcher also identified the most appropriate academic lens for this research study, and reviewed theories and interpretive frameworks that would assist in the interpretation of the study findings and then used this information to derive the conceptual framework. This dissertation then explained the research methodology and, finally, presented, analysed and interpreted the research findings.

The primary aim of this research was to conduct an assessment on the South African government's housing process by identifying the contributing factors that led to the mis-formulation of fundamental housing interventions i.e., the hostel redevelopment project (CPU programme). To do this, the study interrogated previous academic and non-academic literature related to fundamental government interventions intended to address social problems such as housing in order to derive a conceptual framework. It then used the Diepkloof hostel situated in Soweto in Gauteng province, as a case study.

This chapter will now discuss the components previously covered. As already mentioned, the coronavirus pandemic revealed the housing crisis in South Africa and highlighted the importance of adequate affordable housing. This problem led this research study to focus on the neglect that hostel dwellers initially faced during the apartheid era and have continued to experience since

the inception of South Africa's first democratic government in 1994. In support of this statement, Xulu (2020) points out that although South Africans have celebrated over 25 years of democracy, hostel dwellers are still fighting against the legacy of apartheid, inequality and poverty. Scholars (Pienaar & Cloete, 2005; Smit, 2001; Ubisi, 2019) argue that hostels were built as a result of the discovery of gold and diamonds in the latter part of the 19th century that was the catalyst for an economic explosion, the increased demand for cheap labour, and widespread migration from rural to urban areas. Furthermore, Thurman (1997) argues that during the apartheid era, the inner-city hostel housing system served as a controlling tool to restrict the movements of Black people in the cities and monitor their behaviour in urban areas.

The general purpose of this research study was to investigate the inhumane conditions under which hostel dwellers currently live as well as the reasons for the continued lack of social integration between hostel dwellers and surrounding communities. The ripple effect of the migrant labour system has resulted in an influx of migrants moving to the city in search for work that is not always available, resulting in high levels of unemployment. With the Abolishment of the Influx Control Act (86 of 1986), people began overcrowding the hostels because they were the only accommodation option accessible to them in the city, due to the dearth of affordable housing. Pienaar and Cloete (2005) confirm that many hostels are not conducive to human habitation, a fact that has its roots in apartheid's spatial planning but has been exacerbated by the current government's failure to provide sufficient affordable housing and the lack of basic services being delivered by municipalities (Shole, 2018) – a situation that has led to the outbreak of service delivery protests across South Africa.

Hostels remain as a physical representation of the legacies of colonialism and apartheid. Therefore, they need to be refurbished and their tenants integrated into the surrounding communities to ensure sustainable living conditions and to prevent the spread of diseases such as those resulting from the COVID 19 pandemic. Hence, the current government's introduction of the CRU programme that replaced the earlier Hostel Redevelopment Programme.

SHRA (2018) argue that to achieve its objective the CRU programme requires certain inputs (resources such as funds, staff and location), activities (project plans), outputs (products- stock ownership and delivery of accredited housing), outcomes (short term attainable goals) and a desired impact (sustainable long-term goal).

As indicated earlier in this report, most of the previous related studies reviewed had adopted a mixed method approach using a case study with the aim of understanding hostels in the context of the spatial spaces that they physically occupy, the livelihoods and the challenges experienced by those occupying these hostels and the rationale behind the various hostel redevelopment initiatives. Many of these studies had a common target population comprising employees from JOHSCO and COJMM, hostel dwellers, community members and other stakeholders. However, studies differed in their method of sampling. Similarly, data triangulation was the preferred method of the data collection process amongst the reviewed studies. The common findings related to poor communication and lack of affordability, with the studies' limitation being the physical context and access to information.

Only a few of the reviewed authors managed to articulate the theoretical framework that they employed in their research. Fenyane (2016) stated that project management was the theoretical framework used. SHRA (2018) used the evaluation framework while Xulu (2012: p.40) used "the production of space, the rural-urban continuum and the feminist perspective and conceptions of space". A knowledge gap that stood out after completing the literature review was the limited research conducted on the Diepkloof Hostel. Xulu (2012: pp.237-238) stated that "it would be interesting to examine what impact the new kinds of settlements have on the cultural value systems and norms of the Black African people". Therefore, this research's intended to focus is on assessing the impact that the CRU programme has had on the cultural norms and value systems within the Diepkloof hostel.

The research study was positioned within the academic discipline of public policy. According to the work of various researcher (Cloete, Wissink & de Coning, 2006; Knoepfel, Larrue, Varone & Hill, 2007; The Presidency Republic of South Africa, 2020; Yagboyaju, Ojukwu, Salawu & Oni, 2016), public policy can be defined as the decisions articulated in the form of an authoritative proposal, that has been agreed upon by government officials, to address a societal problem. The main purpose of a public policy to solve problems faced by society, such as the adverse housing issues experienced by the Diepkloof hostel dwellers. The application of public policy is demonstrated through a policy cycle, consisting of four stages: namely diagnostic, adoption, implementation and the evaluation stage. After explaining the implementation stage, this research report acknowledged two key components: management and monitoring, a practice that led to the identification of key attributes that influence the success of an intervention, namely: economic (affordability and income), political (institutional arrangements) and social (demographic profile, values and beliefs and socioeconomic needs).

In Chapter 3, this study adopted a qualitative methodology approach in order to capture the voices of those who have actual experience of the phenomena being researched. Qualitative methodology was appropriate for this study, because, according to Wargner, Barbara, Kawulich and Garner (2012: p.8) this research design” collects information in the form of words”. This study was based on a single community, namely the Diepkloof community and primarily focused on the hostel dwellers. The target population included ten hostel residents, consisting of people living in both the old hostel and in the new flats adjacent to the hostel. In addition, the researcher met four community members from Diepkloof zone 6 who live in the first row of houses directly facing the Diepkloof hostel.

Data for this study was gathered through triangulation. Primary data was collected via questionnaires, observations and semi-structured interviews conducted in isiZulu and averaging between 40 minutes to one hour. Secondary data was sourced desktop searches, newspaper articles and library

sources. Due to financial constraints the services of a professional translator were not utilised, and the researcher relied on personal knowledge of her mother-tongue, having been in KwaZulu- Natal, assisted by a former qualified isiZulu teacher who translated participants' responses from isiZulu into English. A thematic analysis was employed to analyse the data, through the identification of key themes and patterns derived from the participants' responses to the research questions and personal observations.

The study also sought to answer the research sub-questions, using themes, with the objective of providing further information regarding the main research question: 'To what extent has mis-formulation influenced the success of the housing intervention, which in this case is the CRU programme?' The purpose of this intervention is to alleviate the shortage of affordable housing and, in so doing, integrate hostel dwellers into the larger community.

Nkosi (2020) found that the hostel redevelopment project started experiencing issues after the Gauteng Department of Human Settlements and the CoJ built rental units to eradicate the housing problems in Diepkloof, Mzimhlophe, Dube, and Meadowlands. Further, Nkosi (2020) explains that during this project's consultation process, hostel residents were led to believe that once the project was complete, they would become beneficiaries of these RDP units. After the completion of the flats, however, these residents were suddenly informed they would need to pay rent for them. Hostel residents were both surprised and disappointed and, thus, rejected the offer due to poverty and unemployment.

SHRA (2018) found that the CRU programme was established to provide a rental housing alternative to lower income households, i.e., those with a monthly income of between R800.00 and R3 500.00. As indicated in the reviewed literature, this initiative be conducted through the refurbishment and conversion of public owned rental stock.

According to SHRA (2018: p.9):

“The programme is also aimed at bridging the divide between social housing rentals and public rental stock, thereby creating a continuum of rental housing options at the lower end of the market”.

The theoretical approaches to policy study, and ToC and the results chain and framework were used to interpret the study's empirical results. The study based the ToC for the CRU programme on the narrative that was adapted from The Department of Human Settlements Planning, Monitoring and Evaluation Department (2016) statement that the high cost of land and rent serve as barriers to people seeking access to urban areas. Apartheid spatial planning policies forced previously disadvantaged populations, such as Black South Africans, to live in locations outside the city and urban areas, with the purpose of enforcing social exclusion.

6.2 Conclusions

When South Africa gained its democracy in 1994, the newly elected government adopted the 1994 White Paper on Housing with the intention of creating a more inclusive nation by rectifying the spatial injustices created by the apartheid government (Department of Housing, 1994). Regretfully, over two decades later the housing backlog has increased to 20% compared to 18.5% in 2017, 18.5 per cent. Unforeseeable disruptions such as the COVID-19 pandemic have presented even greater socio-economic hardships for underprivileged communities (CoJ, 2020/21). Therefore, the researcher felt that it was imperative to conduct a formative evaluation that assessed the activities of the CRU programme to determine the causes of the mis-formulation of this intervention.

Public policy is influenced by political, social and economic determinants, therefore, so is the success of any politically motivated intervention. Therefore, although the study focuses on the CRU programme, the mis-formulation that took place can be generalised to other social housing interventions, because the determinants are not unique to the CRU project. Challenges experienced

in this programme were influenced by the South African context. The legacies of colonialism and the spatial planning policies of the apartheid government still haunt the country. The outcome of the thematic analysis conducted for the purposes of this research, highlighted several contributing factors have influenced the failure of the CRU programme and to it being replaced by the RDP. Factors include mismanagement and corruption, the lack of regulatory controls, transparency and clear communication. The absence of appropriate institutional strategies such as proper planning led to the CRUs being built in the incorrect location, while the affordability of the proposed rents and the tenant's potential and/or willingness to pay these were never investigated. An interesting finding of this research study is that while the Diepkloof hostel dwellers have experienced only limited changes to their social norms and value system as a result of the CTU programme, the evidence suggested a change in the role of Induna. Hostel dwellers spoke highly of the current hostel manager and the successful impact that he has had on the hostel versus the role of the current induna.

In addition, the research findings highlighted a new risk regarding the allocation of hostel accommodation now that the CRU programme has been replaced with the RDP. The suggested method by izinduna of "throwing people's names in a bowl" is an unsuitable one. The Department of Human Settlements will need to ensure that the correct procedures are implemented to avoid further dissatisfaction regarding the above issue. Also, there needs to be communication between officials and hostel dwellers regarding the criteria required to become a beneficiary of the RDP units, together a project plan for their allocation. Further, it is essential for the Department Human Settlements to implement an effective monitoring and evaluation process for the Diepkloof hostel.

6.3 Limitations

Firstly, although the research provided a detailed assessment of the implementation of the CRU programme at in the Diepkloof hostel, the applicability and robustness of the components in the ToC and its results chain

and framework (i.e., output, activities, outcome, and impact) could have been more fully interrogated.

Secondly, the target population and sampling may not be sufficient as a means of representing the study's potential population. In this regard, the researcher may have not captured the true voices of most hostel dwellers because the participating residents were purposively selected by the hostel manager. Therefore, the views expressed in the responses could be based on a single narrative.

Thirdly, the adoption of a case study has limited the research to the Diepkloof hostel. Although, this restriction does not stop the study's results from being generalised to other housing interventions due to the presence of determinants that are common in the South African public policy context. However, evidence pointing to the CRUs being replaced with the RDPs may not be generalisable to other hostel redevelopment projects.

6.4 Recommendations

Although this paper focused primarily on the CRU programme that took place within the Diepkloof hostel, the following recommendations are applicable to most housing interventions.

- The CRU programme was successful in targeting households that earned between R800.00 to R3,500.00, however, this criterion immediately disqualified most hostel dwellers as they earned less than R800.00 per month. Therefore, to ensure that hostel dwellers are included in benefiting from such housing interventions, the Department of Human Settlements should continue to replace the CRU programme with the RDP programme.
- The Department of Human Settlements should redesign clear strategies and frameworks outlining the allocation process of the newly constructed RDPs adjacent to the Diepkloof hostel, together with an efficient monitoring and evaluation process. The Department of Human

Settlements should partner with property management agencies when implementing RDP housing projects.

- As mentioned in the findings, electricity has proven to be a continuous struggle in the hostel, which has impacted the surrounding community too. Therefore, the Department of Human Settlements should fast track the delivery of electricity by adding prepaid electricity in the hostel. In addition, prioritise proper sanitation facilities.
- The Department of Human Settlements should consider introducing skills development workshops in the hostel to foster learning and promote entrepreneurial mindsets.

REFERENCES

- Anyebe, A.A. (2018). An overview of Approaches to the study of public policy. *International Journal of Political Science (IJPS)*, 4 (1), 08-17. doi:10.20431/2454-9452.0401002.
- Armitage, D., Arends, J., Barlow, N. L., Closs, A., Cloutis, G. A., Cowley, M., Davis, C., Dunlop, S. D., Ganowski, S., Hings, C., Rotich, L. C., Schang, K., Tsuji, S., & Wiens, C. (2019). Applying a “theory of change” process to facilitate transdisciplinary sustainability education. *Ecology and Society*, 24(3). <https://www.jstor.org/stable/26797000>
- Badenhorst, C. (2007). *Research Writing Breaking the Barriers*. Pretoria: Van Schaik Publishers.
- Bhat, B., & Bhat, G.H. (2019). Formative and Summative Evaluation Techniques for Improvement of Learning Process. Retrieved from: (PDF) Formative and Summative Evaluation Techniques for Improvement of Learning Process (researchgate.net).
- Brooks, E., de Ruijter, A., & Greer, S.L. (2021), The European Union confronts COVID-19: Another European rescue of the nation-state? in Greer, S.L., King, E.J., da Fonseca, E.M., & Perlata-Santos, A. (eds.). *Coronavirus politics: the comparative politics and policy of Covid-19*. Ann Arbor: University of Michigan, 580-599. doi.org/10.3998/mpub.11927713
- Burger, D. (Ed). *South Africa Yearbook 2011/12*. Department of Government Communication and Information System. <https://www.gcis.gov.za/content/resourcecentre/sa-info/yearbook2011-12>
- Burns, M.K. (2008). What is Formative Evaluation? Minnesota Center for Reading Research. Retrieved from

https://www.researchgate.net/publication/239588953_What_is_Formative_Evaluation

Bryman, A. (2016). *Social Research Methods*. United Kingdom: Oxford Press.

City of Johannesburg. Final Integrated Development Plan 2018/2019. https://www.joburg.org.za/documents_/Documents/Annexure%20A%20%202018-19%20IDP%20Review.pdf.

City of Johannesburg. Final Integrated Development Plan 2020/2021. https://www.joburg.org.za/documents_/Documents/Joburg%20IDP%2020/Final%202020-21%20IDP.pdf.

Cloete, F., Wissink, H., & de Coning, C (Eds.). (2006). *Improving public policy from theory to practice* (5th ed.). Pretoria: Van Schaik Publishers.

Cole, S. (2021). Motivational memorandum: In support of an application for the rezoning of Erf 23743 Diepkloof. Koplan iNtuthuko Planning and Development t/a KiPD. <http://kipd.co.za/wp-content/uploads/2021/11/Site-1-Rezoning-memorandum-Sept-2021.pdf>

Connell, J.P., & Kubisch, J.P. (1998). Applying a Theory of Change Approach to the Evaluation of Comprehensive Community Initiatives: Progress, Prospects, and Problems. Retrieved from <https://www.semanticscholar.org/paper/Applying-a-Theory-of-Change-Approach-to-the-of-and-Kubisch/b5ae8eceb15ffaf10e2268af2a045c62b4e13f51>

De Groot, J., & Lemanski, C. (2021). COVID-19 responses: infrastructure inequality and privileged capacity to transform everyday life in South Africa. *Environment and Urbanization*, 33(1), 255–272. doi.org/10.1177/0956247820970094.

Denzin, N. K., & Lincoln, Y. S. (Eds.). (2018). *The SAGE Handbook of Qualitative Research* (5th ed.). Los Angeles, CA: Sage.

Department of Housing. (1994). White Paper on Housing. A New Housing Policy and Strategy for South Africa. Pretoria: Department of Housing.

Department of Human Settlements and Department of Planning. (2016). *Impact and Implementation Evaluation of the Social Housing Programme*. Pretoria: The Department of Human Settlements and Department of Planning.

Dlamini, P. (2017, July 13). Rare view of the raw life of Gauteng's hostel dwellers. *Times Live*. <https://www.timeslive.co.za/news/south-africa/2017-07-31-rare-view-of-the-raw-life-of-gautengs-hostel-dwellers/>.

Dlamini, P. (2017, September 12). R95m down the tubes as housing project pricked apart brick by brick. *Sunday Times*. <https://www.timeslive.co.za/news/south-africa/2017-09-12-r95m-down-the-tubes-as-housing-project-picked-apart-brick-by-brick/>.

Elder, G. (2003). Malevolent Traditions: Hostel Violence and the Procreational Geography of Apartheid. *Journal of Southern African Studies*, 29(4), 921-935. Retrieved from <http://www.jstor.org/stable/3557394>.

Elliot, B.R. (2011). 'Formative assessment: a critical review'. *Assessment in Education: Principles, Policy & Practice*, 18 (1), 5-25. doi.org/10.1080/0969594X.2010.513678.

Fenyane, T. (2016). *Project Implementation of The Hostel Upgrade Programme in The City of Johannesburg*. (Unpublished master's thesis). University of Witwatersrand, Johannesburg.

- Flagg, B.N. (1990). *Formative evaluation for educational technologies*. New Jersey: Lawrence Erlbaum Associates, Inc., Publishers.
- Frese, M. (2015). Cultural Practices, Norms, and Values. *Journal of Cross Cultural Psychology*, 46, 10. doi: 10.1177/0022022115600267
- Gruzd, S., Bosman, I., & Zikalala, M. (2020). Regions Apart: How South Africa and Nigeria Responded to COVID-19. *South African Institute of International Affairs*. Retrieved from: <https://www.jstor.org/stable/resrep28259>.
- Harris, J. (2021). "Confronting legacies and charting a new course? The politics of Coronavirus response in South Africa" in Greer, S.L., King, E.J., da Fonseca, E.M., & Perlata-Santos, A. (eds.). *Coronavirus politics: the comparative politics and policy of Covid-19*. Ann Arbor: University of Michigan, 580-599. doi.org/10.3998/mpub.11927713.
- Hoosen, F., & Mafukidze, J. (2009). Land Management and Democratic Governance in the City of Johannesburg. Case Study: Diepkloof. *Human Sciences Research Council: Urban, Rural and Economic Development*. Retrieved from <https://planact.org.za/wp-content/uploads/2020/02/2009-Case-Study-Diepkloof.pdf>.
- John, P. (2008). Book Review: Peter Knoepfel, Corinne Larrue, Frédéric Varone and Michael Hill (2007) *Public Policy Analysis*. Bristol: The Policy Press, ISBN-13 978—1—8613—4907—1. *Public Policy and Administration*, 23(4), 416–418. <https://doi.org/10.1177/09520767080230040504>.
- John, P. (2012). *Analyzing Public Policy* (2nd ed.). London and New York: Routledge.
- Krige, D.S. (1998). The challenge of dismantling spatial patterns constructed by apartheid in the Bloemfontein-Botshabelo-Thaba Nchu region. *Acta Academia* (Supplementum), 1, 174-218.

Leavy, P. (2017). *Research Design*. New York: The Guilford Press.

Makhija, M.V. (1993). Government Intervention in the Venezuelan Petroleum Industry: An Empirical Investigation of Political Risk. *Journal of International Business Studies*, 24(3), 531-555. Retrieved from <http://www.jstor.org/stable/154777>.

Margoluis, R., Stem, C., Swaminathan, V., Brown, M., Johnson, A., Placci, G., Salafsky, N., & Tilders, I. (2013). Results Chains: a Tool for Conservation Action Design, Management, and Evaluation. *Ecology and Society*, 18(3). <http://www.jstor.org/stable/26269365>.

Marx, C. & Rubin, M. (2008). *Land Management and Democratic Governance in the City of Johannesburg: Joint Planact and Cubes Study, 2007*. Centre for Urban and Built Environment Studies (CUBES). http://www.urbanlandmark.org.za/downloads/1_Land_Management_and_Democratic_Governance_inCoJ.pdf.

Maseko, N. (2015, May 13). Inside South Africa's 'dangerous' men's hostels. *BBC News*. <https://www.bbc.com/news/world-africa-32692461>.

Mashele, S. (2015, April 20). Diepkloof Hostel demolished. *Soweto Urban*. <https://sowetourban.co.za/18086/diepkloof-hostel-demolished/>.

Mbambo, S., & Agbola, S. (2020). The Impact of the COVID-19 Pandemic in Townships and Lessons for Urban Spatial Restructuring in South Africa. *African Journal of Governance & Development*, 9 (1.1), 329-351. Retrieved from <https://journals.ukzn.ac.za/index.php/jgd/article/view/1748>.

McCarthy, M. (2010). *CRU Implementation Toolkit*. Johannesburg: Social Housing Foundation

- Mercer, T., Ayres, R., Head, B., & Wanna, J. (Eds.). (2021). Learning policy, doing policy: interactions between public policy theory, practice and teaching (1st ed.). ANU Press. doi.org/10.2307/j.ctv1j9mjmg.
- Miller, G.J., & Yang, K. (2008). *Handbook of research methods in public administration*. New York: CPC Press.
- Mnaomano, T., Tanga, P.T., & Tanyi, P. (2016). Housing Problems and Programs in South Africa: A Literature Review. *Journal of Sociology and Social Anthropology*, 7(2), 111-117. doi:10.1080/09766634.2016.11885707.
- Molosankwe, B. (2021, April 5). R230m poured into Soweto hostel project down the drain. *IOL News*. <https://www.iol.co.za/news/r230m-poured-into-soweto-hostel-project-down-the-drain-fd9f6661-58c0-4801-97a7-d6dbf5063f3b>.
- Moloto, S. (2015). *Family Units to Address the Stigam of Hostel Life? A Study of Sethokga Hostel*. (Unpublished honours thesis). University of Witwatersrand, Johannesburg, South Africa.
- Mothotoana, M. (2011). Implementation of Hostel Redevelopment Project Within the City of Johannesburg Metropolitan Municipality. (Unpublished master's thesis). University of South Africa, South Africa.
- Mpehle, Z. (2012). Perceptions of Hostel Dwellers the Conversion of Hostels into Family Units. *Mediterranean Journal of Social Sciences*, 3(12), 214. Retrieved from <https://www.richtmann.org/journal/index.php/mjss/article/view/11666>.
- National Treasury. (2003). Intergovernmental Fiscal Review. Republic of South Africa. https://www.gov.za/sites/default/files/gcis_document/201409/igfr2003.pdf.

- Nayak, J., & Singh, P. (2015). *Fundamentals of Research Methodology: Problems and Prospects*. New Delhi: SSDN Publishers & Distributors.
- Neuman, W. L. (2011). *Social Research Methods*. Boston: Pearson Education, Inc.
- Niselow, T. (2018, May 25). Joburg's budget cuts capital spending amid cost saving by Treasury. *News24*. <https://www.fin24.com/Economy/joburgs-budget-cuts-capital-spending-amidst-cost-saving-by-treasury-20180525>.
- People's Assembly. (2015). Questions & Replies: Human Settlements. Parliamentary Monitoring Group. https://pmg.org.za/question_reply/542/.
- Peshkin, A. (1993). The Goodness of Qualitative Research. *Educational Researcher*, 22(2), 23–29. doi.org/10.2307/1176170.
- Peters, B.G., & Pierre, J (Eds.). (2006). *Handbook of Public Policy*. London: SAGE Publications Ltd.
- Phala, M. (2016, June 2). Jeppe hostel residents say their public image is affecting service delivery to the hostels. *The Daily Vox*. <https://www.thedailyvox.co.za/jeppe-hostel-residents-say-public-image-affecting-service-delivery-hostels/>.
- Pienaar, J., & Cloete, C. (2005). Hostel conversion through the Institutional Housing Subsidy as affordable housing: Case study of the Sethokga pilot project, Gauteng, South Africa. *Acta Structilia*, 12(1). Retrieved from http://www.prres.net/Papers/Pienaar_Cloete_Hostel_conversion_as_social_housing_in_south_africa.pdf.

- Ravitch S. M., & Riggan M. (2017). *Reason & Rigor: How conceptual frameworks guide research* (2nd ed.). Los Angeles: SAGE.
- Republic of South Africa. 1997. White Paper on Transforming the Public Service Delivery. Pretoria: Government Printer.
- SALL, T. L. (2018). The Rainbow Myth: Dreaming of a Post-racial South African Society. *Institute for Global Dialogue*. Retrieved from <http://www.jstor.org/stable/resrep19352>.
- Segal, L. (1992). The Human Face of Violence: Hostel Dwellers Speak. *Journal of Southern African Studies*, 18(1), 190-231. Retrieved from <http://www.jstor.org/stable/2637187>.
- Shole, G. (2018). Social Housing Solutions: Rental housing a national priority for urbanisation and economic transformation. *BNG Human Settlements Sector Journal*. Department of Human Settlements. Retrieved from <http://www.dhs.gov.za/sites/default/files/documents/BNG%20HUMAN%20SETTLEMENTS%20JOURNAL-EDITION%2001-01.pdf>.
- Smith, R. (2001). The impact of the labour migration on African families in South Africa: Yesterday and today. *Journal of Comparative Family Studies*, 32(4), 533-548. doi:10.3138/jcfs.32.4.5333.
- Social Housing Regulatory Authority. (2018). CRU Regulation Report: Recommendation Report on Shra's Implementation of Community Residential Unit (Cru) Regulation. <https://shra.org.za/download/cru-regulation-report-2018/>.
- Stetler, C.B., Legro, M.W., Wallace, C.M., Bowman, C, C., Guihan, M., Hagedorn, H., Kimmel, B., Sharp, N.D., & Smith, J.L (2006). The role of formative evaluation in implementation research and the QUERI

experience. *Journal of general internal medicine*, 21 (Suppl 2), S1-S8.
doi.org/10.1111/j.1525-1497.2006.00355.x.

Sultan Sidi, N. S. (2009). Quality Affordable Housing: A Theoretical Framework for Planning and Design of Quality Housing. *Journal of Techno Social*, 1(1). Retrieved from
<https://publisher.uthm.edu.my/ojs/index.php/JTS/article/view/305>.

The Fuller Center for Housing. (2014). Housing Delivery in South Africa. Draft Report.
<https://fullercenter.org/wpcontent/uploads/sites/default/files/Housing%20delivery%20-%20South%20Africa.pdf>.

The National Housing Code. (2015). *Social and rental interventions: Community Residential Units*. (Revision draft V02_20151105). Department of Human Settlements.
https://static.pmg.org.za/211201__1_Vol_6_Community_Residential_Units1.pdf.

The Presidency Republic of South Africa. (2020). National Policy Development Framework 2020.
https://www.gov.za/sites/default/files/gcis_document/202101/national-policy-development-framework-2020.pdf

Thurman, S. (1997). Umzamo: Improving hostel dwellers' accommodation in South Africa. *Environment and Urbanization*, 9 (2).
doi:10.1177/095624789700900221.

Tissington, K. (2010). A Review of Housing Policy and Development in South Africa since 1994. South Africa: Socio-Economic Rights Institute of South Africa (SERI). Retrieved from
https://www.researchgate.net/publication/236144170_A_Review_of_Housing_Policy_and_Development_in_South_Africa_since_1994.

- Ubisi, S. (2013). Hostel redevelopment programme of the Kagiso Hostel in the Mogale City Local Municipality. (Unpublished doctoral dissertation). University of Pretoria, Pretoria.
- Vanderstoep, S.W., & Johnston, D.D. (2009). *Research Methods for Everyday Life: Blending Qualitative and Quantitative Approaches*. San Francisco: Jossey-Bass.
- Van Wyk, J., & Oranje, M. (2014). The post-1994 South African spatial planning system and Bill of Rights: A meaningful and mutually beneficial fit? *Planning Theory*, 13(4), 349–369. doi.org/10.1177/1473095213511966.
- Vosloo, C. (2020). Extreme apartheid: The South African system of migrant labour and its hostels. South Africa: University of Pretoria, South Africa. doi.org/10.17159/2617-3255/2020/n34a1.
- Wagner, C., Kawulich, B., & Garner, M (Eds.). (2012). *Doing social research: A global context*. London: McGraw-Hill Education.
- Walser, K., & Riedl, R. (2011). Policy Cycle-Based E-Government Architecture for Policy-Making Organisations of Public Administrations. *International Journal of E-Services and Mobile Applications*, 3(3), 49-68. Doi:10.4018/jesma.2011070104.
- Williams, C.C., & Dzhekova, R. (2014). Evaluating the cross-national transferability of policies: A conceptual framework. *Journal of Development*, 19(4). doi:10.1142/s1084946714500228.
- Wotela, K. (2017). Using systems thinking to conceptually link the monitoring and evaluation function within development interventions and public policy. *The Journal for Transdisciplinary Research in Southern Africa*, 13 (1), 398. doi.org/10.4102/td.v13i1.398.

Xolo, N. (2020, April 23). Face coronavirus, hunger, and the legacy of apartheid. *War on Want*. <https://waronwant.org/media/hostel-dwellers-face-coronavirus-hunger-and-legacy-apartheid>.

Xulu, N. (2012). Changing Migrant Spaces and Livelihoods: Hostels as Community Residential Units, Kwamashu, Kwazulu Natal South Africa. (Unpublished doctoral dissertation). University of Cape Town, Cape Town.

Appendix 1.1: Consent Form

Dear Sir / Madam,

My name is Lindiwe, and I am a Masters student in **Master of Management in the field of Governance** at the University of the Witwatersrand in Johannesburg. As part of my studies, I must undertake a research project, and I am exploring the impact that the Community Residential Units (CRUs) Programme has had in alleviating the affordable housing shortage.

The study is housed in the academic field of public policy, with its primary purpose being that of conducting a formative evaluation of fundamental government interventions intended to address social problems, such as housing, by using the Diepkloof hostel as a case study. Several studies have been conducted on the effectiveness of the CRU programme. However, there is no significant research on the impact of this programme on the Diepkloof hostel. Also, Xulu (2012) points out that there has been limited work conducted on assessing the impact that the CRU programme has had on the cultural norms and value systems within the upgraded hostels. Therefore, the study fills an identified gap by focussing its attention to the Diepkloof hostel and exploring how the role of the Induna has changed as a result of the implementation of the new units.

You will not receive any direct benefits from participating in this research, and there are no disadvantages or penalties for not participating. You may withdraw at any time or not answer any question if you do not want to. The interview will be completely confidential and anonymous as I will not be asking for your name or any identifying information, and the information you give to me will be held securely and not disclosed to anyone else. I will be using a pseudonym (false name) to represent your participation in my final research report. If you experience any distress or discomfort at any point in this process, we will stop the interview or resume another time.

If you have any questions during or afterwards about this research, feel free to contact me on the details listed below. This study will be written up as a research report which will be available online through the university library website. If you wish to receive a summary of this report, I will be happy to send it to you. If you have any concerns or complaints regarding the ethical procedures of this study, you are welcome to contact the University Human Research Ethics Committee (Non-Medical), telephone +27(0) 11 717 1408, email hrec-medical.researchoffice@wits.ac.za

Yours sincerely,

Lindiwe Mchunu

1620308@students.wits.ac.za

0730515795

Supervisor:

Kambidima Wotela

Kambidima.Wotela@wits.ac.za

+27 11 717 3677

Appendix 2.1: Research instrument

The study is housed in the academic field of Public Policy, with the primary purpose of conducting a formative evaluation on fundamental government interventions; intended to address social problems such as housing, by using the Diepkloof Hostel as a case study. Several studies (Fenyane 2016; Xulu 2012; Moloto 2015) have been conducted on the effectiveness of the Community Residential Units Programme (CRUs). However, there is no significant research on the impact this programme has had on the Diepkloof hostel. Also, Xulu (2012) points out that there has been limited work done on assessing the impact that this programme has had on the cultural norms and value systems within upgraded hostels. Therefore, the study fills an identified gap of focussing its attention to the Diepkloof hostel and exploring how the role of the Induna has changed, with the implementation of the new units.

All participants will be informed that the purpose of gathering this information is for the sole reason to complete the Masters in Management Degree.

Section A: Personal**Gender**

Male	
Female	
Don't wish to disclose	

Disability

Yes	
No	
If yes, what disability do you have?	
If yes, don't want to disclose	

Age:

18- 29 years	30-39 years	40- 49 years	50-59 years	60- 64 years	65 years+

Origins:

Nationality	Country of birth	Province of origin	Language

Rural village	Township	Suburb

Marital status:

Single	Married	Divorced	Widow

Employment type:

Student	Unemployed	Self- employed	Part- time	Full- time	Pensioner

Income range:

R0-R800	R800- R3500	R3500- R6200	R6200- R8900	R8900- R11600	R11600+

Education level:

Did not attend any form of schooling	Completed grade 7	Completed grade 10	Completed matric	Obtained tertiary qualification	Obtained postgraduate

--	--	--	--	--	--

Tenure at Diepkloof hostel:

0- 5 years	5-15 years	15-25 years	25-35 years	35 years+

Notes:

-

Section B

	Questions for the hostel residences
1	Do you stay in the old hostel or in the new flats?
2	What initially brought you to this hostel and what has kept you here?
3	Is the rest of your family here with you? Given the chance, would you want them to move here?
4	Is this your first hostel or have you lived in another hostel?
5	What do you enjoy most and least about staying here?
6	On average, how many people share a room/ the new CRUs?
7	What benefit has the Community Residential Units Programme (CRUs) had on your life, here at the hostel?
8	Have you found the CRUs to be successful? Why?
9	What do you think should have been done differently with the implementation of this programme?
10	How is the relationship between hostel dwellers and people from the surrounding community?
11	Since the implementation of the CRUs, has this relationship changed?
12	Do you feel integrated with the rest of the Diepkloof community?
13	How has the implementation of the CRUs changed the culture and systems here at the hostel?
14	What is the role Induna and has this changed with the implementation of the CRUs?
15	Do you have access to basic services, water, electricity and waste removal?

16	Has there been any effort made to place people into the unoccupied units? How long have they remained unoccupied and why?
17	How much do you pay for rent? If any.
18	How much do you pay for rates and electricity?
19	What can government do to improve your life here?

	Questions for Induna
1	How many Indunas are there?
2	What process is followed when electing Induna?
3	What is the duration for Induna's term?
4	What is the nature of your role here at the hostel?
5	How has your role changed with the implementation of the CRUs?
6	Who determines who gets to live in the CRUs?
7	Have you found the CRUs to be successful? Why?
8	Do you stay in the old hostel or in the new flats?
9	How has the implementation of the CRUs changed the culture and systems here at the hostel?
10	What can government do to improve your life here?

	Questions for surrounding community members
1	What is your perception of the hostel?
2	What is your relationship like with the hostel residents?
3	Has the Community Residential Units Programme been successful in integrating the hostel residents into the Diepkloof community? If yes, how so?
4	What are some of the challenges that you experience with the hostel being across from you?
5	Have these challenges been alleviated with the implementation of the CRUs?

Appendix 3.1: Participant's response

Gender

Male	X
Female	
Don't wish to disclose	

Disability

Yes	
No	X
If yes, what disability do you have?	
If yes, don't want to disclose	

Age:

18- 29 years	30-39 years	40- 49 years	50-59 years	60- 64 years	65 years+
	X				

Origins:

Nationality	Country of birth	Province of origin	Language
South African	South Africa	Kwa-Zulu-Natal	isiZulu

Rural village	Township	Suburb
X		

Marital status:

Single	Married	Divorced	Widow
	X		

Employment type:

Student	Unemployed	Self-employed	Part-time	Full-time	Pensioner
		X			

Tenure at Diepkloof hostel:

1- 5 years	5-15 years	15-25 years	25-35 years	35 years+
				X

Questions for Induna/ izinduna	
How many indunas are there?	There is only one Induna who leads all. However, the blockmen are also referred to as izinduna, including the hostel manager.
What process is followed when electing Induna?	The blockmen also consist of women. We believe in empowering our women. The hostel is very safe for women. Don't you feel safe? The hostel is made up of block A-J. The Induna is first elected by the blockmen. They gather for a meeting a select the chosen candidate. Then the blockmen invite the rest of the hostel dwellers to another meeting, where they then campaign for their candidate. Hostel residents can choose to agree or disagree.
What is the duration for Induna's term?	Induna has no set term. If he decides to retire in the next three years and go back 139 home, that is up to him. If the people are not happy with his conduct, then they can remove him.
What is the nature of your role here at the hostel?	My role is to ensure that I carry out my mandate, that all my decisions are for the benefit of the people.
How has your role changed with the implementation of the CRUs?	Induna's role hasn't changed. People still respect his authority.
Who determines who gets to live in the CRUs?	The previous leadership and JOSCHO. However, with the change to the RDPs. We as

	izinduna will choose who lives in the unoccupied flats.
Have you found the CRUs to be successful? Why?	Not really. They have caused further issues like bringing in outsiders to reside in the hostel, the killings that have taken place. They have divided our community between the old hostel and the new.
Do you stay in the old hostel or in the new flats?	I have lived here for over forty years. I live with my wife and children in the old hostel. I can't go live in the flats when my people still live in the old hostel. I need to be close to the people.
How has the implementation of the CRUs changed the culture and systems here at the hostel?	n/a
What can government do to improve your life here?	The Hostel is not redeveloped because the ANC doesn't want to see a fellow black man free. It was easier when the Whites were still in charge. They built this hostel for us, ensured it was maintained. Look now, look at the hall! You don't find halls like this in the township, it has broken windows and is surrounded by.