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**A MINOR DISSERTATION IN PARTIAL FULFILLMENT OF THE  
REQUIREMENTS FOR STUDIES TOWARDS THE DEGREE OF  
MASTERS IN SUSTAINABLE URBAN PLANNING & DEVELOPMENT**

**In the**

**FACULTY OF ENGINEERING AND THE BUILT ENVIRONMENT  
DEPARTMENT OF URBAN AND TOWN PLANNING**

**Title:**

**Exploring the effectiveness of *in situ* upgrading on improving the quality of  
life: A case study of Slovo Park informal settlement.**

**Name: Kedibone Precious Maganadisa      Registration Number: 200919120**



**We accept this minor dissertation as conforming  
to the required standard**

**SUPERVISOR: Mrs. V. Letsoko.....**

**CO-SUPERVISOR: Mr. O Pretorius.....**

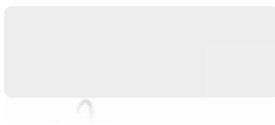
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**DATE: 22 June 2020**

## DECLARATION

I, Kedibone Maganadisa (200919120) hereby declare that this research document submitted at the University of Johannesburg as a partial fulfilment of the requirements for the award of Masters in Sustainable Urban Planning & Development is a product of my own unique, independent work, which was completed under the supervision of Mrs. Vuyiswa Letsoko and Mr. Ockert Pretorius.



22 June 2020



## **DEDICATION**

I dedicate this minor dissertation to my loving grandmother Mrs. Motlakadibe Maganedisa who has been a pillar of strength to me throughout.



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## ABSTRACT

Globally, the urban population is predicted to reach 6.5 billion by 2050. Various studies have shown that in sub-Saharan Africa approximately 14 million people migrate to urban areas every year. Of this number, about 61.7% live in informal settlements. It was predicted that the developing countries alone will constitute about 80% of the global urban population by 2030. Informal settlements have been a recurring problem in South Africa. Failure to eradicate informal settlement in South Africa has shifted the focus to an attempt to improve the quality of life for residents of informal settlements. This study is inspired by the introduction of Upgrading Informal Settlement Programme as an intervention to eradicate informality in human settlements. Thus, the study is set out to explore the effectiveness of *in situ* upgrading in improving the quality of life of beneficiaries living in informal settlement, studying Slovo Park informal settlement.

The location was chosen because it is one of the oldest informal settlements in Johannesburg and recently received a favourable court ruling to have the settlement upgraded through the Upgrading Informal Settlement Programme. Although there are no recent statistics on the total population of Slovo Park, in 2011 the area was indicated to constitute of a total of more than 5000 individuals. The informal settlement was formed in 1994 and has since been expanding. This study is qualitative, thus, explores the natural setting of the study under investigation in terms of behaviours, varied perspectives and life experience. Purposive sampling was utilised to identify ten interviewees that participated in the study, targeting specifically individuals older than 20 years, preferably the elder in the family. Interviewees were chosen by referral by members of the community and participants in the study until sample saturation was reached. The researcher had purposefully selected ten interviewees consisting of ordinary community members, a community leader who is local church pastor and member of the community development forum, and two municipal officials. The collected data was analysed through latent content analysis, through which theme development from the interviews was applied.

The objective of the study was to explore the effectiveness of Upgrading Informal Settlement Programme in improving the quality of life of beneficiaries. Findings from this study reveals

that Upgrading Informal Settlement Programme is effective in ensuring land tenure security and the provided services including electrification, indeed improve the quality of life of residents of informal settlements. Furthermore, the study highlights that effective community participation in the planning process is lacking and contributing as a major factor that hinders the effectiveness Upgrading Informal Settlement Programme. The study revealed that community participation played a major role in the success of the implementation of the electrification project. It has been found that ineffective community participation compromises the sustainability of the upgrading post-implementation, which ultimately defeats the purpose of the Upgrading Informal Settlement Programme. Furthermore, overcrowding is a major problem contributing to unreliability of electricity. The conclusions drawn from the findings are that community participation in both the planning and the implementation phases is crucial for the effectiveness of the Upgrading Informal Settlement Programme. Although the settlement is regularised, the community is still unable to improve their top structures. Community empowerment is lacking and requires government to improve its procurement processes to include Community Builder Programme.

The study recommends that many issues hindering the effectiveness of the Upgrading Informal Settlement Programme can be resolved by effective community participation in the planning and implementation phase. This include, sharing information on the final layout design which will share information on the sewerage lines enabling some of the residents to invest in their top structure and swift access to adequate housing. Effective community participation will inform a suitable upgrading that complements the community's socio-economic status. This include considering implementing an upgrading that will accommodate rentals to enable uninterrupted livelihoods for those who rely on rentals as a main source of income. Overcrowding is a common challenge in informal settlements, therefore, the study recommends that by firstly relocating the identified households, this will make the provided services sufficient for the upgraded informal settlement. It is also recommended that sustainability of the service provided through the Upgrading Informal Settlement Programme is crucial to ensure the effectiveness of the programme in improving the quality of life of informal settlement dwellers, therefore community empowerment affords the community accessibility of the provided services in a long run. Thus, Community Builder Programmes should be improved and included in the government's procurement processes.

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## ABBREVIATIONS

BNG	Breaking New Ground
CODI	Community Organisation Development Institute
CoJ	City of Johannesburg
CUBES	Centre for Urbanism & Built Environment Studies
CWS	Cities Without Slums
DRP	Dharavi Redevelopment Project
GDP	Gross Domestic Product
ISDP	Informal Settlements Development Program
KENSUP	Kenya Slum Upgrading Programme
KIP	Kampung Improvement Programme
MDGs	Millennium Development Goals
MHP	Million Houses Programmes
NDHS	National Department of Human Settlements
NGOs	Non-Government Organisations
NHA	National Housing Authority
NUSP	National Upgrading Support Programme
RSDF	Regional Spatial Development Framework
SERI	Socio-Economic Rights Institute of South Africa
SPCDF	Slovo Park Community Development Forum
SUF	Slum Upgrading Facilities
SDGs	Sustainable Development Goals
UCDO	Urban Community Development Organization
UISP	Upgrading Informal Settlement Programme
UN	United Nation

# **Chapter 1: Introduction and Contextualisation**

## **1.1 Introduction**

Globally, the urban population is predicted to reach 6.5 billion by 2050 (Feleki et al., 2018). UN-Habitat (2010/2011) indicated that in sub-Saharan Africa approximately 14 million people migrate to urban areas annually. According to Ragheb et al. (2016), of this number, about 61.7% live in informal settlements. This was the highest compared to 35% in South Asia, 23.5% in Latin America and the Caribbean and 13.3% in North Africa (Ragheb et al., 2016). It was predicted that developing countries alone will constitute to about 80% of the global urban population by 2030 (Ziblim et al., 2013).

Due to urbanisation, there has been added pressure for development on limited urban land, municipal services and facilities, basic infrastructure and job creation. Although urbanisation has driven rapid economic growth in developing countries, it has also increased income inequality which resulted in urban poverty and the development of informal settlements (Yap, 2016). Informal settlements are commonly unplanned settlements or without official approval found on either state or privately owned land. Residents of informal settlements opt to building their shelters using makeshift temporary building materials. This is used as a strategy for easy removal because demolitions and evictions are frequent due to their illegal occupation nature. Not only does this strategy displace residents, it is also an act against the Prevention of Illegal Eviction from and Unlawful Occupation of Land Act (PIE) 19 of 1998. It is also its illegal occupation status that state basic services and access to health and education facilities is lacking. Consequently, residents of informal settlements are subjected to uncontrolled and unhealthy high density population, inadequate housing, poverty and vulnerability and social stress (Huchzermeyer, 2014). This has been an indication of poor quality of life for residents of informal settlements.

Istanbul Declaration on Human Settlements launched by the third United Nations (UN) Conference in Istanbul in June 1996, which brought change in the global policy dialogue on the need to ensure adequate shelter for all. This policy agenda was later renewed within the framework of the UN Millennium Development Goals (MDGs), which indicate under Goal 7 Target 10, to expressively enhance the lives of more than 100 million informal settlement

dwellers by the year 2020. Developing countries had to oblige by this target, thus instituted various programmes aiming at improving informal settlements (Ziblim et al., 2013). Hence in South Africa, the National Department of Human Settlements (NDHS) refined the National Housing Policy which led to the development of the National Upgrading Support Programme (NUSP) as a housing delivery vehicle focusing on a comprehensive plan for the creation of sustainable human settlements. NUSP provides support to the Upgrading Informal Settlement Programme (UISP) as one of the initiatives to achieve MDG 7 Target 10 (Massey, 2014). For the purpose of this study, UISP (also known as *in situ* upgrading programme) is defined as a programme that promote security of tenure, infrastructure improvement including housing, engineering services, waste management and social amenities within the existing informal settlement through a process of community participation and community empowerment in the planning and implementation stages (Huchzermeyer, 2006). UISP also strives to achieve the constitutional duty as mentioned in section 26 of the Bill of Rights (Constitution of the Republic of South Africa, 1996). According to the Constitution of the Republic of South Africa (1996), the Bill of Right section 26 identifies the right to basic needs, including protecting, fulfilling, promoting and respecting the right to adequate housing for the urban poor. Section 27 (1) (a) (b) and (c) endorses that “every citizen has the right to access basic municipal services and infrastructure such as health care services, water, and social security” (Constitution of the Republic of South Africa, 1996). This is also strengthened by the Housing Code of 1994 that indicates that relocation of informal settlement dwellers must be the last resort in sought to improve the socio-economic circumstance and quality of life of the poor (Tshikotshi, 2009).

According to Huchzermeyer (2006), the ISUP is considered a “progressive informal settlement eradication vehicle” designed under the NUSP as it seeks to respond flexibly to housing demand and move beyond providing low-income housing in the peripheries of the city. ISUP consist of four fundamental phases, namely; (1) application, (2) project initiation, (3) project implementation and (4) housing consolidation. According to Massey (2014), various studies (Abbott, 2002; Charlton & Kihato, 2006; Gardener, 2003 and Huchzermeyer & Karam, 2006) have debated on the principles and approaches of Informal Settlement Upgrading Programme. It has been argued that *in situ* upgrading improves the enviromental aspect of informal settlements through its immediate provision of infrastructure and basic services, without exclusion. It is generally celebrated for its ability to facilitate the regulation of informal settlements and ensure tenure security (Huchzermeyer, 2009).

This research focused on the *in situ* upgrading implemented in the Slovo Park informal settlement. For over two decades, living conditions of residents of Slovo Park have been below the national norm, with lack of access to electricity and multiple fatal incidents of shack fires break out once every two months (Tshikotshi, 2009). The community also has no access to adequate sanitation, adequate housing, accessible healthcare and education facilities and access roads (Tshikotshi, 2009). Since 2005, the community has sent numerous memorandums to different government departments to implement the *in situ* upgrading programme in their settlement. After the ISUP was included in the National Housing Policies, the community identified that it could improve their living conditions without uprooting their existing social networks and livelihoods. Five years later, the Slovo Park Community Development Forum (SPCDF) approached the Socio-Economic Rights Institute of South Africa (SERI) to litigate the non-implementation of the housing project promised to the community since 1994 and to coerce government to consider upgrading the settlement. In response to the community's demands, the City of Johannesburg's (CoJ) Regional Spatial Development Framework (RSDF) 2010/2011, indicated that only 1052 households can be built. After the environment impact assessment, the RSDF revealed that due to the dolomite in the area, half of the mentioned number of households must be relocated (Tissington, 2012).

According to Tissington (2012), the community was informed that the project will commence in September 2007, but the units to be built in the settlement were reduced from 950 to 821. Another geotechnical study was conducted in 2007 and concluded that only 660 houses can be accommodated (Tissington, 2012). However, the housing project in Slovo Park was stalled even further due to the report published by the project manager at Arcus Gibb who indicated that installing bulk sewerage would require costly intervention because a 100-year floodline was discovered on the land, which makes it unsuitable for development. This resulted in the suspension of the township application for Slovo Park, as CoJ had to source funds to resolve the bulk infrastructure issues identified or relocate most of the households to identified suitable land (Tissington, 2012).

In 2014, the community presented their case to the Johannesburg High Court of South Africa, Gauteng Local Division. According to Motion et al. (2016), in 2016, the court found the City of Johannesburg (CoJ) guilty of failure to adhere to the Housing Code, which included the



decision to relocate the community without adequately addressing their needs especially after being promised *in situ* upgrading for over 20 years. The court ruled that CoJ's failure or refusal to apply the UISP Code and Practice must be reviewed and set aside. Furthermore, it was ruled that CoJ is in violation of constitutional rights in this regard, thus an appropriate relief would be for CoJ to commence the process of UISP for the upgrading of the Slovo Park informal settlement. CoJ was, therefore, ordered to apply for funds at the Gauteng Department of Human Settlement to upgrade the Slovo Park Informal Settlement. This was redirected to take place within three months from the date of the order (Motion et al, 2016). Since 2016, CoJ has been working on an incremental development process in Slovo Park informal settlement. For the community of Slovo Park informal settlement, the ultimate verdict to the CoJ to grant them *in situ* upgrading has been a lengthy but successful journey.

Thus, the study intends to explore the effectiveness of *in situ* upgrading programme looking at the contribution it has had on the quality of life of the residents of Slovo Park. For the purpose of this study, quality of life involves how people live, feel and understand their day-to-day condition of living in terms of access to basic services which includes healthcare, education, housing, employment opportunities and the ability to participate in decision-making as a member of a community (Amao, 2012). The main objective of the study is to investigate whether the implemented upgrading programme has improved the quality of life of the residents. This study takes into consideration the residents' perception to determine the success or failure of the *in situ* upgrading programme in improving their quality of life. The gathered information has assisted in concluding the effectiveness of UISP in improving the quality of life for the informal settlement residents and how community engagement was incorporated in the planning and implementation process. This research seeks to contribute new knowledge towards literature on informal settlement upgrading programme. Recommendations to address the identified shortcomings provide an opportunity for a successful UISP implementation that ensures improved quality of life in informal settlements.

## **1.2 Research Problem statement**

Informal settlements have been a recurring problem in South Africa. Various studies have discussed the development of informal settlements and how they have expanded nationwide. Since 2004, South Africa has embarked on a journey to improve the quality of life for people living in informal settlements through the implementation of the UISP (Huchzermeyer, 2006). It is evident that eradication of informal settlements is a goal difficult to achieve. However, the fundamental problem is not the mere existence of informal settlements but the poor quality of life the residents of informal settlements are subjected to. There are limitations to the current literature which proves that the implementation of UISP enhances the quality of life of these communities.

## **1.3 Rationale of the study**

Informal settlements are not only a South African problem, but a global problem. Generally, informal settlements have common characteristics that displays poor quality of living of informal settlement dwellers (Corburn & Karanja, 2014). This study is inspired by the introduction of UISP as an intervention to eradicate informality in human settlements. One of the main UISP objectives is to upgrade the existing informal settlements incorporating community participation in order to achieve effective upgrading (Huchzermeyer, 2009). This study takes interest in uncovering how effective is UISP in improving the quality of life of beneficiaries. The study aims to add literature that indicate the impact of the implementation of UISP in enhancing the quality of life of these beneficiaries living in informal settlements. The study is necessary because implementation of *in situ* upgrading for Slovo Park informal settlement was delayed for over two decades and ultimately implementation is underway.

## **1.4 Aim and objectives**

This research intends to explore how the implementation of projects delivered through UISP have effectively improved the quality of life of the informal settlement residents. To determine the effectiveness of the UISP, the study has the following objectives:

- To explore the impact of the implemented *in situ* upgrading in Slovo Park informal settlement.
- To identify the role of community engagement when planning and implementing the *in situ* upgrading in Slovo Park.
- To explore the quality of life of the residents of Slovo Park after the implementation of *in situ* upgrading.

## 1.5 Main Research Question

How effective was the UISP in improving quality of life of Slovo Park residents?

## 1.6 Sub-research Questions

- How has the UISP influenced residents' life circumstance post-upgrading?
- What role did the community play during upgrading process?
- How has the UISP improved socio-economic circumstances of Slovo Park?

## 1.7 Significance of the study

There is much literature focusing on UISP as a strategy to eliminate informality in human settlements, however, current studies do not indicate the effectiveness of UISP in improving the quality of life of beneficiaries. Therefore, the study is intended to bridge the existing gap by presenting new knowledge indicating the success and failure of UISP in improving the quality of life of informal settlement residents. Findings from this study can also be used to monitor and review the outcomes of *in situ* upgrading in providing quality of life and improving the socio-economic circumstances of residents of informal settlements by highlighting the shortcomings in the planning and implementation process. In addition, findings from this study could assist the NDHS in achieving successful *in situ* upgrading by improving the UISP process using recommendations provided.

## 1.8 Conceptual Framework

The conceptual framework includes informal settlements, *in situ* upgrading, quality of life, socio-economic status, and community participation

### a) Community Participation

Community participation can be defined as a process where the concerned individuals are consulted and empowered to form part of the decision-making about issues they are confronted with in order to influence the changes that are meant to improve their circumstance (El Menshawy et al., 2011). There are two types of participation arenas: (i) an arena where the community makes decisions pertaining issues that involve their day-to-day living and the local authorities support the community in the decisions taken; and (ii) an arena where the community in consultation with parties involved (e.g. local authorities, Non-Governmental Organisations (NGOs)) take decisions pertaining their day-to-day living. In the context of this study, community participation for UISP process can be defined as active involvement of the community in the planning and implementation of *in situ* upgrading in order to for the services to meet the real needs of beneficiaries. Capacity building, both on leadership skills and technical knowledge is imperative for a successful community participation. Real community participation is crucial for the sustainability of the *in situ* upgrading post-implementation. As such, the community must be involved in the physical layout of the project, this is also known as community-driven development (El Menshawy et al., 2011).

### b) Informal Settlement

An informal settlement can be defined as a residential area that was established without legal claims to the land or permission from the relevant authorities to occupy. Furthermore, informal settlements are generally identified with self-constructed iron corrugated shelters, which does not comply with the building plans of the particular area (Amao, 2012). According to Combrinck (2017), the following characteristics generally define informal settlements and these include illegality, inappropriate locations, restricted public and private sector investment, poverty, vulnerability and social stress. For the purpose of this study, this definition and characteristics of informal settlement are adopted. In South Africa, most informal settlements

developed one or two decades ago, have emerged on official approval from relevant municipalities in a form of transit camp or reception area (Huchzermeyer, 2014). In this view, they are not considered illegal but either located on a land not suitable for permanent human development (due to the hazardous environmental conditions such as intensive dolomite) or on privately owned land.

Residents of informal settlements are prone to forceful eviction by governments or land-owners for different reasons including economic development involving urban renewal to accommodate shopping malls, commercial offices or high-market housing development (Yap, 2016). According to (Huchzermeyer et al. (2011), evictions lead to displacement of residents of informal settlements unless a housing programme is rolled-out in a new area to accommodate these households. Individuals not qualifying for the housing subsidy commonly return to rebuild in the same area or develop a new informal settlement elsewhere (Huchzermeyer et al., 2011).

### c) ***In situ* upgrading**

This is a new idea of tackling urban informality challenges instead of eradicating of informal settlements. In this study, *in situ* upgrading is accepted as an approach focusing on promoting land tenure security by firstly regulating informal settlements. It is also an approach that recognise and promote maintenance of existing social relationships and community cohesion in informal settlements. Through land tenure regularisation and infrastructure improvements, *in situ* upgrading aim to gradually improve living conditions of residents living in informal settlements (Khalifa, 2013). *In situ* upgrading or “slum upgrading” can also be perceived as a state initiated programme seeking to give official recognition of informal dwellers, improve livelihoods and meaningfully including the urban poor in project and policy design and implementation. With the goal to integrate informal settlements into the larger fabric of the city, both geographically and socially (Corburn & Sverdlik, 2017).

Braathen et al. (2014) also indicated that *in situ* upgrading of informal settlements is the state’s acknowledgement that informal settlements can form part of housing solution. It is also the

state's recognition that the traditional housing strategies that allocate housing in the periphery of the city have a negative impact on the livelihoods of the poor. There are varied upgrading scopes in term of scale that governments embark on. Depending on the available funds, the state or a municipality can embark on a small-scale project involving electrification, water-taps, paved roads, and street lighting scope of upgrading or an all-inclusive housing and infrastructure projects which involves piped water and sewers into upgraded housing or even go to an extend of integrating the latter with social programs and political empowerment for the community (Corburn & Sverdlik, 2017). *In situ* upgrading is implemented in the community of Slovo Park through UISP.

#### **d) Socio- economic status**

Socio-economic status is determined by access to social and economic opportunities offered by the state. For the purpose of this study, access to the mentioned opportunities is deprived to the residents of informal settlements; therefore, their socio-economic status is poor. Informal settlement residents are deprived socio-economic opportunities and this is reflected in their standard of living in terms of abject poverty, illiterate, high unemployment rate, if employed residents earn low income, poor access to sanitation, water and electricity, lack of adequate housing, educational and healthcare facilities (Naveed & Anwar, 2014). The socio-economic status of residents living in informal settlements depends upon the living standard of individuals and this is dependent on the household income. All these determine the quality of life of residents living in informal settlements (Singh, 2016). The socio-economic status of Slovo Park is another element of quality of life in which this study is interested in observation to see if the implementation of UISP has enhanced or worsened.

#### **e) Tenure Security**

Tenure security is beyond matter of legal or illegal, formal or informal status, it is a matter of perception and the law (Payne, 2009). According to Bizimana et al. (2012), land tenure security exists when individuals that are said to have acquired it have an eternal right to the land without interference by outside sources and are able to benefit from the land either by investment or sale to another holder. There are two common forms of tenure and that is freehold and leasehold. Freehold involves land tenure that allows the holder without interference do

anything they would like with the land if it falls within the planning regulation as prescribed by the state or city management. However, the state holds the right to acquire the land for public interest within which the holder is compensated. On the other hand, leasehold implies that the freehold owner has surrendered the rights of the land or property for a specific period, but the title deed remains in the possession of the freehold owner. The freehold owner in the leasehold is commonly the state (Bizimana et al., 2012). This has been the case in many informal settlements in Johannesburg that emerged before 2000 in a form of transit camps and reception areas. According to Nakamura (2016) the latter, has resulted in lack of tenure security as it does not protect residents from forcible eviction and slows the improvement of living conditions in informal settlements.

This study is focusing on freehold land tenure security as one of the major indicators of an effective *in situ* upgrading programme. Bizimana et al. (2012) indicated that not only does lack of security of tenure deters possibilities of improving the housing structures for informal settlement dwellers, but also hinders the long-term planning in urban areas and fortifies poverty and social exclusion. Residents of informal settlements are generally discouraged from making efforts to improve their housing conditions or even gradually accumulating financial resources to do so. Therefore, ensuring land tenure security through protection against evictions or land tenure regularisation can have noticeable benefits such as enhanced investment incentives, reduction of conflicts related to land amongst communities or between the community and land-owners, especially in urban areas (Bizimana et al., 2012). According to Nakamura (2016), when people have a good tenure security, they tend to hold more control of their properties, and consequently, making households appear willing to invest in infrastructure or property improvements. Furthermore, Payne (2009) indicated that households heads in South Africa are confident to defend ownership claims and rights to the land in which they have a title deed.

Many efforts of tenure security for the poor has been shaped by various which are not necessarily linked to the law, for example, size of settlements and cohesion within communities. However, this provision of legal property rights in a form of land titling has been a direct means of improving legal tenure security. It is therefore argued that land titling achieves tenure security and improves quality of life for the poor, especially because it facilitates access to infrastructure and basic services. Moreover, granting the poor land tenure regularisation

allows them to use their properties as collateral for loans to improve their houses, or run businesses within the premises to lift themselves out of poverty (Payne, 2009).

#### **f) Quality of life**

The term ‘quality of life’ is broadly used to assess the general well-being of individuals and societies. It is an individual perspective that can be drawn by assessing convenient or lack of access to health, education, housing, employment opportunities, general social amenities and the ability to participate in decision-making as a member of a community (Amao, 2012). For the purpose of this study, in the context of informal settlements, quality of life is considered poor due to the lack of the abovementioned basic services as well as high unemployment rate and ineffective decision-making.

### **1.9 Study Area overview**

Slovo Park informal settlement is located in Johannesburg, Region G, next to the Nancefield Industrial Area between Nancefield, Eldorado Park and Bushkoppies. The settlement was established in the early 1990s by mainly individuals seeking accommodation closer to their workplaces and it has since been expanding (Tshikotshi, 2009). In 2011, Slovo Park consisted of a population of more than 5000, about 1600 households. There are no recent statistics of the total number of the population currently living in Slovo Park. However, this settlement has been attracting more migrants since its establishment (Tissington, 2012). Figure 1 below, displays the location of the Slovo Park informal settlement within the Gauteng Province, Johannesburg.



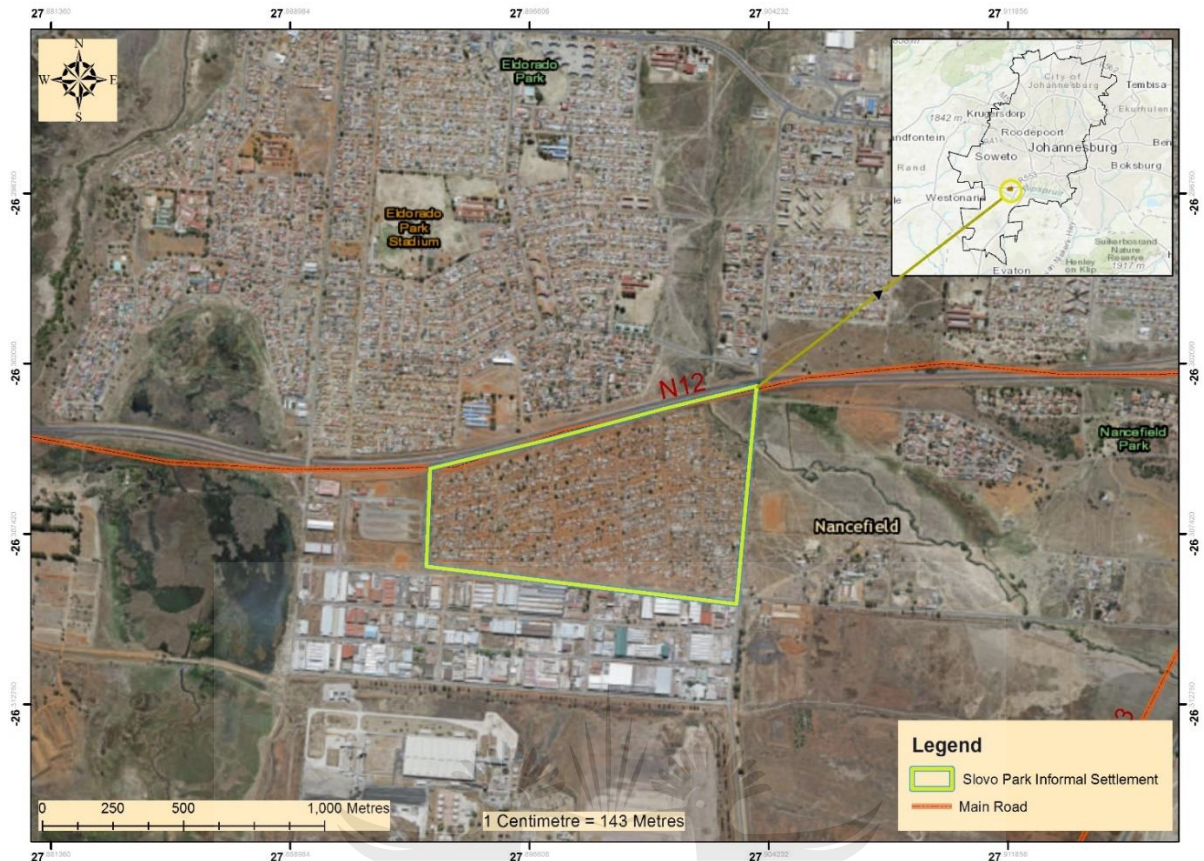


Figure 1: Location of Slovo Park within Johannesburg, South Africa.

Source: Author's compilation

Since the high court judgement in 2016, there has been developments pertaining *in situ* upgrading for Slovo Park informal settlement. Thus, the study focuses mainly on the developments introduced as part of the UISP for this settlement. This is a period of 3 years, from the date of the court judgement in 2016 to the date in which the study took place. CoJ has conducted the feasibility investigation studies, which included socio-economic survey, geotechnical findings, scoping report on bulk civil services and approved layout was achieved (Malau, 2019). Studies done were compiled to derive a business plan. Plan which was used to apply for UISP funding from the office of the Housing MEC. Once project has been approved by MEC then all phases' activities will commence implementation. Slovo Park plans are currently underway in respect of funding application, nonetheless, interim rudimentary basic services are already provided, including water supply, provision of pit toilets, electrification and the weekly refuse removal. The settlement is on course to end up being an approved settlement for township establishment and then having project subsidy number for permanent purposes. This is in line with the Urban Development Framework (1997) that seek to achieve

‘urban development planned and implemented in an integrated and environmentally sustainable manner to improve the general quality of life of all those living in urban areas’. Slovo Park is at Phase 3 of informal settlement upgrading because interim basic services have been provided and moving towards bulk engineering service provision which includes sewerage and storm water drainage, housing provision and roads (Malau, 2019).

The research will mainly focus on the implemented UISP in the Slovo Park informal settlement. The Slovo Park informal settlement will be used as a case study to explore the quality of life of the residents after the *in situ* upgrading programme. The study also seeks to identify the role of community participation when planning and implementing *in situ* upgrading to ensure its effectiveness.

### **1.10 Research Methodology**

The study under investigation is conducted using a qualitative method which entails the use of in-depth interviews and field observation as the key data collection method. Because the study is exploratory in nature, the researcher deemed it suitable to employ an interpretive research methodology in order to explore the real-world setting of the phenomenon relying on the interpretation of the participants. Thus, the target group in this study is the residents of Slovo Park informal settlement, particularly, individuals older than twenty years, who have resided in the settlement longer than ten years. For the purpose of rigor and credibility of qualitative research methodology, this is crucial in attaining reliable and accurate information during data collection. The researcher deemed it suitable to employ content analysis to analyse the collected data which entails the development of patterns or themes to present the collected data.

### **1.11 Chapter outline**

The dissertation consists mainly of five chapters and these include the following:

Chapter 1: The Research Problem- This chapter presents the research thesis by outlining the aim, objectives and also providing a rationalisation for the study.

Chapter 2: Literature Review- This chapter outlines the research by analysing past studies and hereafter utilise it to chart the key terms and concepts of the research. Core themes include; informal settlement *in situ* upgrading, security of tenure, community participation, and quality of life.

Chapter 3: Methodology- This chapter articulates the research design, tools, and techniques that were utilised during the research. The methodology adopted for the study is a qualitative method in which in-depth interviews and observation form the main tools of data collection.

Chapter 4: Data analysis- This chapter provides a description and analysis of the results of the research.

Chapter 5: Summary of Results, Recommendations, and Conclusions- This chapter provides a summary of the findings of the research and offers recommendations and future research themes. Thereafter, an overall conclusion of the research is given.

## **1.12 Conclusion**

This chapter covered the research problem under investigation and provided a brief background on the development of informal settlements around the globe. The aim of the study is to explore the effectiveness of *in situ* upgrading in improving the quality of life of beneficiaries living in informal settlements. This is because there is currently limited literature that indicate that informal settlement *in situ* upgrading is effective in improving the quality of life of residents of informal settlements. The researcher discussed the significance of the study and introduced the area which will be used as a case study, i.e. Slovo Park informal settlement. This is one of the informal settlements that has been approved for UISP in South Africa. Research questions are included in this Chapter to address the listed research objectives in this study.

Conceptual framework included in this study consists of the following: informal settlement, *in situ* upgrading, quality of life, socio-economic and community participation. These themes are discussed in detail in Chapter 2, which is the literature review of the study under investigation.

Additionally, in Chapter 2, the researcher is discussing various *in situ* upgrading strategies implemented by various countries in the attempt to improve quality of life of residents living in informal settlements.



## Chapter 2: Literature Review

### 2.1 Introduction

The objective of this chapter is to outline various implemented informal settlement upgrading strategies around the world as part of existing literature on the topic under investigation. These include Egypt's Informal Settlement Development Facility (ISDF), Thailand's Slum Upgrading Taskforce (SUF), Kenya's Kenya Slum Upgrading Programme (KENSUP), India's Dharavi Redevelopment Project and South Africa's Upgrading Informal Settlement Programme (UISP). People migrate to urban areas for various reasons, including seeking greener pastures. This include; access to economic opportunities, access to basic needs and bettering their living conditions. However, upon arrival, they find it difficult to secure affordable housing and are often forced to find alternative accommodation in informal settlements. Since informal settlements are an unauthorised occupation of either privately/public owned land, dwellers are confronted with a range of negative consequences. This includes lack of basic public services such as portable water, adequate sanitation, electricity, refuse collection, education and healthcare facilities. To a certain extent, they are also exposed to extreme cases of crime and violence (NUSP, 2015).

The third UN Conference in Istanbul in June 1996 launched the Istanbul Declaration on Human Settlements, which brought change in the global policy dialogue on the need to ensure adequate shelter for all. This policy agenda was later renewed within the framework of the UN MDGs, which indicate under Goal 7 Target 10, to expressively enhance the lives of more than 100 million informal settlement dwellers by the year 2020. MDG's were followed by Sustainable Development Goals (SDGs), to ensure that the achievements of improved human well-beings of the current generation is well balanced, not to undermine the well-being of the future generations. Thus, SDGs seeks to link social, economical and environmental aspects of the MDGs (Stafford-Smith et al., 2017). Developing countries had to oblige by this target, thus instituted various programmes aiming at improving informal settlements (Ziblim et al., 2013). For example, since 2004, Egypt implemented Informal Settlement Development Program and later introduced Informal Settlement Facility to fully realise the purpose of improving the quality of life of informal settlement residents. After numerous intervention, Thailand

launched Slum Upgrading Taskforce in 1977 which promoted the involvement of beneficiaries in the planning and implementation of the upgrading projects.

Before various implemented informal settlement upgrading programmes are discussed, it is important to understand the concept of quality of life and its indicators. To understand the grave need for the informal settlement upgrading programme, it is of most importance to understand the characteristics of informal settlements, why they are formed and expanded. Thus, the following sections provide literature on the concept of quality of life, characteristics of informal settlements, causes of the development and expansion of informal settlements as well as how developing countries have attempted to eradicate informal settlements before upgrading programmes were considered a suitable solution.

## **2.2 *In situ* upgrading and quality of life**

The term 'quality of life' is broadly used to assess the general well-being of individuals and societies. Defining the quality of life has been a challenge considering its complexity as it is time determined and dependent on varied individuals' belief. Quality of life involves how people live, feel and understand their day-to-day condition of living. As well as access to healthcare, education, housing, employment opportunities, general social amenities and the ability to participate in decision-making as a member of a community (Amao, 2012). Møller (2007) also indicated that much literature on quality of life mainly concentrate on subjective wellbeing. Thus, Zakerhaghighi et al. (2015) argued that quality of life is determined by the satisfaction that an individual attain from the surrounding human and physical conditions. However, according to Amao (2012), there are three main philosophical approaches that the quality of life can be determined. The first philosophical approach is the normative ideals and belief systems that individuals live by. This describes the personal experience of people. The second philosophical approach describes the satisfaction citizens attain from obtaining the things they desire. The third philosophical approach encompasses the first and second approach, therefore description of quality of life, factors such as feelings of joy, pleasure, contentment, and life satisfaction based on personal experience Amao (2012).

As this is a social science research in the build environment discipline, the third philosophical approach is accepted for the purpose of this study. Individuals in the study have a view about

their quality of life and their interpretation of the concept is accepted. According to Tonon (2015), when qualitative methodology is applied in quality of life study, it becomes imperative to consider people's perceptions, opinions, feelings, ideas and interpretations. This approach is important to help the researcher understand people's experiences of wellbeing and issues related to quality of life. This is because the study of the quality of life has a direct link to the material conditions such as the social welfare and to the psycho-social conditions such as the personal welfare (Tonon, 2015).

### **2.2.1 The role of housing in quality of life**

Housing does not only provide shelter to households, but it is a means to meet basic infrastructure needs, as well as alleviate poverty as it can facilitate access to economic opportunities. Moreover, 'houses are not just places to stay' they are essential for social advancement, thus, when located in good neighbourhoods, they promote conditions for social mobility. The City of Johannesburg is in support of the idea of home-ownership and property ladder as a potential strategy progressively absorb the poor (Charlton, 2014).

For the purpose of this research, the quality of life for informal settlements focuses on the environmental domain. The personal experience and satisfaction with the quality of life assessed based on access to housing, sanitation, electricity, health services, schools, safety and security, roads and jobs. It is argued that the environmental quality of life domain presents a better description of the variances in life satisfaction and that the most important forecaster of life satisfaction is the satisfaction with housing (Zebardast, 2009). Satisfactory social infrastructure such as water supply, electricity, sanitation, roads and drainage; schools, health centres are elements of quality of life that are mostly achieved after satisfaction of adequate housing is provided (Talukdar, 2018). According to Zebardast (2009), the housing domain influences the environmental domain of the quality of life. Adequate housing comprises of access to tenure security, access to portable water and sanitation and drainage systems. It is therefore, crucial to have quality of life indicator that can be used as a guide to gauge the progress of attaining quality of life for residents of informal settlements.

### 2.2.2 Indicators of quality of life

Quality is a subjective judgement dependent on an individual view pertaining significant elements at a specific time. Indicators of quality of life are mainly based on land use and infrastructure, natural environment, health and wellness, economic well-being, education and lifelong learning, public well-being, arts and cultural vitality, civic engagement, enrichment and innovation. According to Beukes & Van Der Colff, (1997), since the 1960's, studies concerning quality of life have been attempting to develop a set of measuring instruments to assess the quality of life of individuals and societies. The contribution of Gross Domestic Product (GDP) per capita as a measuring instrument have proven to be insufficient. It essentially indirectly measures the gap between rich and poor and promotes a race for "catching up" with those ahead. It was crucial to find a wider range of social and economic indicators reflecting a complete picture of how well people live. Social indicators approach of evaluating quality of life was found to be best preferred as it assesses people's reaction to their lives and societies. It assesses the contribution towards the general well-being of health, as impacted by access to water and sanitation, solid waste disposal, and education and other related aspects (Beukes & Van Der Colff, 1997).

Amao (2012) indicated that social indicators are subjective to societal measures focusing on a given cultural or geographic unit. They bring about objective and quantitative statistics and often strive to reflect the standards of a 'normal' society. However, there are shortcomings to social indicators. Measuring its objectiveness remains a problem. Another shortcoming of social indicators is making a subjective decision and measuring the variable (that is the community's life satisfaction, positive and negative emotional experiences of the individual). Therefore, the findings of this indicator may not reflect the factual quality of the community's life as they are dependent on personal emotional experience instead of societal factors (Amao, 2012). Thus, Talukdar (2018) argued that reliable indicators of living conditions in most developing countries are still to be realised. Lack of adequate quality of life indicators have made it difficult for researchers to understand the challenges to overcome. Governments often encounter difficulties justifying, designing and implementing appropriate informal settlement upgrading programmes for specific neighbourhoods due to the lack of basic indicators. It becomes even harder to assess the impact of unimplemented policies and programmes aiming at improving the quality of life of people living in informal settlements (Talukdar, 2018).



According to Beukes & Van Der Colff, (1997), in South Africa, journalist, politicians and ordinary members of the society commonly use the term “quality of life”. South Africa have developed its own method of measuring the quality of life within communities which consists of ordinary citizen’s subjective feeling and opinion about the social, economic and political condition as a contributor to their quality of life. The scientific prerequisite for this process is that the evaluation must correspond with scientific measurement procedure and that whatever conclusion drawn from this method must be made with caution. This is because development involves participation or collaboration with the ordinary person in a situation of poverty or deprivation. The ordinary person has a role to play in the development that is meant to change their life (Beukes & Van Der Colff, 1997).

### **2.3 Informal Settlements: Definitions and Characteristics**

Defining informal settlements requires specific context as its definition varies from culture to culture, social class and often changes with time. Subsequently, the term informal settlement does not apply to all countries. Some countries call them slums and some call them squatter settlements. Corburn & Karanja (2014) describes informal settlement as a representation of human deprivation to adequate access to safe water, adequate access to sanitation and other infrastructure, poor structural quality of housing, overcrowding, and insecure residential status. According to Amao (2012) an informal settlement can be defined as a residential area which was established without legal claims to the land or permission from the relevant authorities to occupy. These are unplanned settlements and built in areas that are sometimes unsuitable and environmentally hazardous using noncompliant building plans.

Despite the varied names, informal settlements have similar characteristics. People living in informal settlements have similar circumstances that suggest their informality. These include unauthorised use of vacant public or private land, illegal subdivision and/or rental of land, unauthorised construction of structures and buildings, reliance on low cost and locally available scrap construction materials, absence of restrictive standards and regulations, reliance on family labour and artisanal techniques for construction, non-availability of mortgage or any other subsidised finance. According to Talukdar (2018), it is acknowledged that in most developing countries, informal settlement is a representation of poverty trap. People living in informal settlements often exists in conditions that expose them to risk on their health,

prosperity, safety and undignified way of life. It is argued that due to their illegal occupation status, informal settlement dwellers have generally limited access to basic social services. Lack of regulation within the settlement have resulted to the overcrowding which contribute to stress where sharing of communal resources such as water stand taps, drainage and toilet facilities is concerned as well as crime and violence (Amao, 2012).

In Iran, informal settlements represent houses in a form of tin-made rooms, tents, sheds and gamier groins usually with limited space for the use of a large family. Residential units are built from weak materials in an insecure and non-technical way. The environment is polluted due to irregular waste collection and access to infrastructural facilities is limited. Violence and criminal activities are inevitable and cultural education is minimal. There is high unemployment and poverty growth. Residents constantly participate in rallies and street riots to demonstrate their dissatisfaction with their quality of life (Taleshi, 2009).

Informal settlements in Kenya, Nairobi are also characterised by lack of most services that are a privilege to urban areas. That is, durable housing of a permanent nature that can protect occupants against extreme climate conditions. This also includes accessible water for the consumption of occupants at an affordable price; private toilet shared by reasonable number of people; and secure tenure that inhibits the risks of forced eviction. Instead, living in informal settlements of Nairobi comprise of finding shelter in inadequate, overcrowded housing, subjected to abject poverty and unemployment, and exposed to constant violence and crime. None of the residents have secure land tenure, physical development is exclusive and infrastructure services are poor (Corburn & Karanja, 2014).

Egypt on the other hand, had a different approach to its existing informal settlements by categorising them into two aspects, that is, unsafe areas and unplanned areas. These areas were further classified into four-degree risk grades depending on their environmental risk (Khalifa, 2015). Unsafe areas of informal settlements are described as posing risks to life, health and tenure or having inadequate housing. Such areas are expected to have severe environmental deterioration over time, residential units are built using makeshift materials and located on sites subject to landslides, floods, or hazardous infrastructure such as high voltage cables, and risky health conditions due to the lack of safe drinking water or improved sanitation and industrial pollution. Most informal settlements are within the category of unsafe areas and their risk is

represented in all four degrees of risk grades designed to measure intervention urgency (Khalifa, 2015).

The South African description of informal settlement is similar to that of Iran and Kenya except that instead of the term “slum”, the term informal settlement is used. The Department of Human Settlement identifies a settlement as an informal settlement with the following characteristics, which forms the basis of the definition of informal settlement; a settlement in an inappropriate location, a settlement that was formed illegally, an area with restricted public and private sector investment, a settlement overwhelmed with poverty, vulnerability and social stress (Ziblim et al, 2013).

### **2.3.1 Causes of the development and expansion of informal settlements**

Webster et al. (2016) argued that living in informal settlements may be perceived as a solution for the low-income residents. However, Alliance (1999) dismisses this portrayal of the existence of informal settlements. According to Alliance (1999), individuals do not make a conscious decision to expose themselves to the ills of living in informal settlements, but it is a lack of options. Beukes & Van Der Colff (1997) further highlight that there are different factors that cause the formation of informal settlements in cities. These include the fast-growing urbanisation and influx of people migrating into urban areas due to poverty in rural areas caused by high unemployment rate; war and natural disasters that lead to massive movement of people (at a national or international level). Seeking places of economic opportunity and safety; futile housing policies that have not planned for expansion of cities; inefficient public administration that fail to accommodate the expansion of cities; and inappropriate planning and inadequate land administration tools. Existence of informal settlements are attributes to the ineffective planning, ineffective land management system and zoning regulations for urban development (Beukes & Van Der Colff, 1997).

According to Beukes & Van Der Colff (1997) most nations have informal settlements as a result of poverty and social exclusion. Rapid industrialisation and urbanisation played a significant role in multiplying the number of people moving to urban areas. For example, the formation of informal settlements in Egypt commence in the 1960s due to political and macroeconomic factors such as Open Door Economic Policy and industrialisation. Egyptian

government had neglected the provision of housing. Local government supplied low-income housing and imposed laws to control rental of these housing units. Although tenants had rights to their units, they could not have ownership. Property developers ceased investment in such rental housing units and began to supply luxury units affordable to upper class (for rental and majority for sale). Low-income earners resorted to occupying previously agricultural land and formed informal settlements. Although there are no new informal settlements established, the existing informal settlements are expanding mainly because the housing policy (Open Door Economic Policy [Infitah]) has empowered liberal market economics which does not priorities the middle-class and lower income residents. Thus, an appropriate solution to meet housing demands of the middle class has been, to date, informal housing (Khalifa, 2015).

Like many other developing countries, South Africa also experienced influx of migrates to major cities over the past two decades (Ziblim et al., 2013). Socio-economic inequalities have left many poor households unable to provide for their needs including accessing shelter and adequate housing. Despite the over million new houses built since 1994, the South African new democracy has since been battling with meeting the growing housing and infrastructure demand. Particularly in metropolitan cities such as Cape Town, Johannesburg and Ekurhuleni, where there has been a backlog inherited from the apartheid regime, leaving many families restoring to seeking affordable accommodation in informal settlements or backyards of formal residence units in the townships (Møller, 2006).

There is currently little understanding of the forces driving the expansion of informal settlements, especially in developing countries. Consequently, existing interventions focuses on the symptoms instead of the cause of the expansion of informal settlement (Arimah & Branch, 2011). Beukes & Van Der Colff (1997), indicated that in the attempt to cease informal settlements, several nations introduces anti-urbanisation policies, demolished and forcefully evicted residents of informal settlements but all those efforts were in vain. Initially rural-urban migration was perceived as a temporary condition led by poor economic growth. The negligence of informal settlements in terms of non-provision of social services was regarded as strategy to send a message to informal settlement dwellers that they are not perceived as a part of the city, and therefore, discourage them from continuing to stay. The major mistake was the perception that given that the formation of informal settlements was a temporary solution for shelter, and therefore, does not pose a permanent threat to the long-term urban development (Beukes & Van Der Colff, 1997).

However, when none of these perceptions materialised, existing informal settlements expanded and new ones developed. Governments pursued programmes to provide low-income housing, however, these programmes were ineffective as they failed to accommodate all the intended beneficiaries. Governments could not provide enough houses, in some cases, the houses were of unrealistically high standards to be affordable to low-income earners and in other cases, housing projects were incomplete or provided poor standards of housing due to incompetency of contractors (Arimah & Branch, 2011).

## **2.4 Eradication of informal settlements**

Given the informality of informal settlements, several governments in developing countries initially pursued forced eviction and demolition of existing informal settlements. This was a misinterpretation of the MDGs' slogan which says "Cities without Slums" (Huchzermeyer, 2011). Although evictions/relocation of informal settlements was regarded as the last resort, many African countries still practice this as the first option solution when dealing with informal settlements. According to Huchzermeyer (2011), in 2005, the Zimbabwean government launched Operation Murambatsvina and demolished approximately 92,460 informal houses and left over 700 000 people without a home or source of livelihood. Forty percent of informal sectors, which provided various employment, were also affected by this initiative (Arimah & Branch, 2011). Many African countries demolished informal settlements using their symptoms (including crime, and health risk) as a justification, but this practice has made the residents of informal settlements poorer as the vacant land created through eradication of informal settlements is later used for development of luxury housing units, and shopping centres, benefiting the upper class (Arimah & Branch, 2011).

This is what Shatkin (2004) interprets as the relationship between the globalisation of cities, spatial change and social inequality. Developing countries have justified eviction of informal settlement dwellers residing closer to cities for their ambition to become "global cities". Increased investment in commercial and office real estate in central business districts call for numerous projects of urban redevelopment and gentrification, which subsequently lead to the displacement of the poor. This approach does not only cause strain to the city's economy but poses an added burden to the urban poor. This has been the case in Metro Manila where many low-income households were displaced to the fringe areas in the 1980's. The displacement

contributed to the city's growing traffic conjunctions, as more low-income commuters travel daily from the peripheral to the city centre for work (Shatkin, 2004).

Eradication of informal settlements in a form of relocation has been prominent in South Africa, especially through the low-cost housing provision. This process of housing provision is made possible under the Housing Development Agency Act 23 of 2008, which requires the state to 'identify, acquire, hold, develop and release state, privately and communally owned land for residential and community development'. However, this housing intervention strategy is flawed because relocation would likely follow the racial zoning created by the apartheid legacy. Providing housing for the poor in the periphery of the city does not address challenges of urbanisation and poverty alleviation, instead it undermines the social networks created by residents of informal settlements as their survival strategies, causes higher transportation costs and perpetuates social exclusion (Tshikotshi, 2009). Although these settlements are informal/illegal, residents of these settlements have established fixed capital and livelihoods, social and safety networks and all this is lost due to relocation. This is mainly because households in informal settlements are often not relocated to the same area due to the common dense population that exist in informal settlements. As such, the number of the provided housing units are often not enough to accommodate everyone in a single area, therefore they are relocated to different areas where housing is provided (Arimah & Branch, 2011).

Alliance (1999) argued that governments often do not take into consideration the effects of relocation on residents of informal settlements as they are concentrated on the symptoms of informal settlements and denial that the existence of these communities might be a real lack of options. It must be noted that most informal settlements are occupied by semi-skilled residents who are often exploited in the labour markets, but their desperate strive to actively connect their lives to the city pressurise them to expose themselves to the dehumanising conditions of informal settlements (Alliance, 1999).

## 2.5 Informal Settlement Upgrading Programmes

### 2.5.1 Overview of related approaches

The existence of informal settlements in urban areas have been perceived as a result of ineffective housing policy, insufficiency of housing finance, unequipped public utilities and local municipalities to create tenure security to the ever-growing population in cities. Therefore, public intervention to address the existence and expansion of informal settlement have been informed by this perspective. Governments' several redress approaches are evidently unsuccessful. Initially African countries turned a blind eye to informal settlements and absolute neglect their social needs, when this approach was ineffective and MDGs compelled them to improve the lives of over 100 million people by 2020, they responded with repressive options including forced evictions and demolitions (Huchzermeyer, 2011).

This approach did not contribute towards achieving this MDGs 7, Target 10 as informal settlements would be re-established elsewhere. Thus, governments began to provide low-cost housing in identified suitable land and relocate residents of informal settlements into those areas. However, this was an attempt to resolve one part of the problem while creating another due to the insufficient housing provided and social networks, livelihoods that residents have established in informal settlements were lost in the process of relocation (Arimah & Branch, 2011).

In the 1970s and 1980s, governments in developing countries started to contribute towards improving the quality of life of residents of informal settlements through the provision of self-help and sites and services. Such government projects deliver a package of shelter-related services, with beneficiaries deciding on the standards they are able and willing to pay. Typically, such projects together with pre-existing government shelter policies focus directly on the poor (Mayo & Gross, 1987). This approach was already in practice in other parts of the world funded by the World Bank even before the 1970's. The self-help and sites and services could reduce the burden of housing delivery by local government. Loans provided by the World Bank were only allocated to the provision of infrastructure. Shortcomings of this approach led to the World Bank refining its policy and by the early 1990s, promoted the informal settlement *in situ* upgrading programmes (Arimah & Branch, 2011).

Until recently, governments in developing countries have adopted the informal settlement upgrading programmes and enabling strategies to allow improvement of the quality of life in informal settlements where they existed. Although the upgrading programmes do not provide a lasting solution to the development and expansion of informal settlements, governments have been implementing this approach since the 1980's using funds from the World Bank. The UN-HABITAT and the World Bank established the Slum Upgrading Facilities (SUF) in 2004 with the core objective of summoning domestic capital for informal settlement upgrading undertakings through facilitating links among numerous local actors that possess resources such as financial, technical and political elements of development projects. The UN-HABITAT and the World Bank have also been driving foreign investment from global capital markets to enable funding of upgrading programmes initiated by municipal authorities, nongovernmental organisations, private property developers and utility companies (Arimah & Branch, 2011).

Informal settlement upgrading programmes are focused on improving the environment within which informal settlements exist. This was a radical change in attitude towards informal settlements. Upgrading programmes provided a locality-based enhancement strategies intended to replace the various degrees of undesirability and deterioration in informal settlement through the initial provision of basic social services and physical infrastructure such as water reticulation, sanitation, waste collection, storm drainage system, street lighting, paved footpaths and streets (Abbott, 2002).

Huchzermeyer (2011) indicated that compared to previous informal settlement intervention strategies, implementation of informal settlement upgrading programmes are relatively cheap and ensures that livelihoods and social support system are uninterrupted. Given the creative manner in which housing is constructed in informal settlements, the upgrading programme acknowledge that if government provide the bulk infrastructure and, formalise the settlements, provide tenure security and improve access to social services, the community is capable of gradually improving their housing structures. Cities Without Slums (CWS) recognises that informal settlements are characterised by urban poverty, it therefore intends to reduce urban poverty existing within informal settlements through the SUF programmes that will empower citizens, improve economic opportunities, create jobs and improve governance capacity to manage future urban growth (Arimah & Branch, 2011).



According to Khalifa (2015), Egypt also battles with an ever-growing informal settlement issue. Egypt's total population was approximately 86.9 million in 2014, growing at the rate of 1.84 per cent per year (Khalifa, 2015). Almost 50 percent of this population resides in the Greater Cairo Region. This is the area in which informal settlements are formed and dramatically expanded mostly on privately-owned agricultural land or on state-owned vacant land. Formations of informal settlement conditions encouraged by the existing conditions of limited economic resources and bureaucratic control (Khalifa, 2015).

There was an expectation that without government intervention, informal settlements will continue to develop and spread to cover nearly half of Egypt's agricultural land by 2025. As preventive measures, government had to adopt policies to enable informal settlement upgrading programmes. After the evident ineffective eviction policy implemented in the 1970s, government started to implement informal settlement upgrading approach from the 1980s. This approach was regarded appropriate due to its capacity to maintain the dwellers existing social relationships and community cohesion where they exist. Residents of informal settlements also welcomed this approach as they expected gradual improvement of their living conditions as upgrading programmes ultimately results in secure tenure (Khalifa, 2015).

Arimah & Branch (2011) also argued that the informal settlement upgrading approach promotes the regulation of informal settlements and results in tenure security. Although residents may not have legal title over the land, upgrading programmes grants them the opportunity to undertake improvements to their property as there is no longer threats of forced eviction and demolishing. Other benefits associated with the security of tenure is the provision of social basic services and physical infrastructure including waste removal, water reticulation and storm drainage system, sanitation, electricity connections and installations of streetlights that was previously absent. Tenure security could also present a financial base and resources of local governments by improving tax recovery on both property and economic activities in the upgraded informal settlements. The World Bank and especially UN-HABITAT have been leading the initiatives endorsing the security of tenure approach. The UN-HABITAT in 1999, further adopted the Global Campaign for Secure Tenure which has been an instrument promoting secure forms of tenure for the poorest groups of the population, mainly residents of informal settlements (Arimah & Branch, 2011).

Security of tenure indeed legalise an informal settlement and removes the application of this term “informal settlement” on such a community. It has been for the conditions of either owner-occupied or rental, formal land tenure categories that the term “informal settlement” does not exist in China, but rather “villages in the city”. Unlike the characteristics similarities of informal settlement found in many countries, informality or illegality of communities in China are characterised by lack of air-rights upon a legally owned land. Although the residents of the “village in the city” are predominately low-income earners, these residents have security of tenure. Creating the main distinct between China’s “village in the city” and informal settlements existing in African countries (Webster et al., 2016).

Arimah & Branch (2011) indicated that although for over two decades, upgrading programmes we implemented and favoured due to their above-mentioned benefits, they have shortcomings. These include: failing to produce citywide effect; insufficient investment to restore decades of neglect and deterioration; implemented on a project-oriented approach which only focus on the life-cycle of the project, therefore lack sustainability strategies to maintain the upgraded infrastructure beyond the life-cycle of the project. Top-down planning and implementation process allowing for little or no input from beneficiary communities, resulting in community resistance to possess sense of ownership and the responsibility to pay for enhanced service. Inability to address major challenges such as accessibility of land and lack of institutional capacity and financial mechanism to attract internal funding instead of relying on external funding. Lastly, the lack of adequately integrated strategies to eliminate urban poverty. It is therefore, for these lacking aspects that the effectiveness of informal settlement upgrading programmes is yet to be realised in the African countries (Arimah & Branch, 2011).

#### **a) Thailand – Slum Upgrading Taskforce (SUT)**

According to the report compiled by Usavaovitwong (2012), 97 percent of Thailand’s population reside in urban areas. According to the survey conducted in 2008, of this amount, almost 730 000 households were reported to have unsecured housing and 3 percent of this population was living in informal settlements (Usavaovitwong, 2012). In Thailand, a house is considered unsecure due to its weak structure and an informal settlement consist of poor land tax system. As an intervention strategy, from the year 1975, NHA introduced various programmes to mitigate housing shortfall. This includes the Affordable Housing Programme and the Market-oriented Housing Provision. However, these encountered challenges such as

financial, land availability limitations. This led to the launching of the SUT in 1977 which focused specifically on enhancing the quality of life in informal settlements by making provision of basic services and social infrastructure. Some of the employed physical solutions to enable the upgrade included land sharing, land readjustment and re-blocking relocation. Beneficiaries had to accept a mortgage loan facilitated by the savings group/cooperatives. According to Usavaovitwong (2012), by 2001, Thailand had managed to improve 94,754 units of informal settlement shelter. This was accomplished in collaboration with Urban Community Development Organisation UCDO, which embraced the involvement of community participation on the upgrading programme (Usavaovitwong, 2012).

In 2003, UCDO was converted into Community Organisation Development Institute (CODI) in order to operate on a nationwide scale. Beneficiaries were actively involved in the planning and implementation process of the informal settlement upgrading programme. For example, the community of Bangbua informal settlement were awarded an opportunity to finalise the plot design and to carefully interlock the entire community. The community played a role in the decision-making of the design alternatives which varied from shelter types ranged on the degree of ability to pay and the number of household members. The architects employed the community recommendations concerning the diversify of the site planning scheme, plot size, and shelter characteristics via simple spatial design tools: grid paper, paper box models, or modeling clay. For further consultation, community representatives were invited at the project approval stage to defend and share their upgrading scheme. This ensured that the chosen project involves the beneficiaries. Furthermore, the construction stage required the beneficiaries to appoint local contractors, labours and material suppliers (Bhatkal & Lucci, 2015).

Usavaovitwong (2012) argued that Thailand's SUT had not only ensured tenure security and improved physical conditions of informal settlements but had also thoroughly developed the grassroots mechanism and had strengthened the community empowerment by creating the platform for sharing experience, knowledge, skills, and information. Post implementation, Bangbua community had two options; to hand over infrastructure maintenance and services to the local authority as public property or to manage these within the community management account. Beneficiaries were bonded to occupy the provided houses for a minimum of 15 years before they could consider moving out or selling the property. In the case where the beneficiary

is unable to repay the monthly instalment, the property would be allocated to a new beneficiary upon screening by the savings group/cooperatives (Usavaovitwong, 2012).

According to Bhatkal & Lucci (2015), since the launching of the Thailand SUT in 1977, tenure security has increased from 88 percent in 1990 to 95 percent in 2010. For residents in informal settlements, tenure security has helped to secure legal access to water, sanitation and electricity at a reasonable cost.

#### **b) India - Dharavi Redevelopment Project (DRP)**

According to Ragheb et al. (2016), India is third on the list of countries that are battling with poverty, diseases, and unhealthy conditions and informal settlements. Yap (2016) indicated that often the poor would occupy vacant land to build their shelters without considering owners of the land or abiding by the set building regulations. In recent years, this practice has discontinued because there has been increased demand for urban land, thus availability of vacant land has ceased. In fact, the poor have found owning informal housing expensive due to the deployment of gatekeeper guards on vacant land, who demand payment for protection against eviction and access to water and power supply. Economic development is rapidly transforming many Asian cities, contributing to land value hikes and increased target on land occupied by the poor for redevelopment purposes. Consequently, government has perceived housing the poor or allocating land for the poor bad for business because it has low financial returns. Thus, it is preferred that vacant land wait for higher profits activities such as offices, shopping malls and condominiums. This presents one of the reasons programmes such as Kampung Improvement Programme (KIP) did not focus on regularisation of land tenure while those that did (e.g Million Houses Programmes (MHP) were later terminated (Yap, 2016).

Despite the lack of political will to regularise land tenure in India, government and companies attract many of the poor population into cities through informal employment which consist of outsourcing and temporary contracts in order to maintain competitiveness in the global economy. This population often leave their non-earning family members behind to later share their send off some of their income home. However, conditions of low wages, irregular employment, lack of entitlements and high costs of living makes it unlikely for the poor to

leave the informal settlements (Yap, 2016). Dharavi has an informal economy in which residents are hired to produce textile to export worldwide. Although most residents did not own the land, they own their homes. The government launched the DRP aimed at altering the physical spatial structure of Dharavi through land readjustment. Dharavi was divided into five sectors to materialise planned and managed urban extension and densification (Ragheb et al., 2016). Figure 2a and 2b below illustrate Dharavi slum before the redevelopment project, while figure 2c shows Dharavi post-redevelopment project.



Figure 2a: Dharavi slum area. Source: Ragheb et al., 2016 Figure 2b: Dharavi slum area. Source: Ragheb et al., 2016



**Circulation of cars ,Pedestrian and internal transportation in slum area**

Figure 2 (c): Dharavi after DRP. Source: Ragheb et al., 2016

Implementation of the DRP required that neighboring landowners share a portion of their land. Furthermore, a collaboration between public bodies, neighboring landowners and developers in equally sharing the costs and benefits of such development. This project empowered the

community and gave residents a sense of ownership and the chance to enhance and build upon. Subsequence to the upgrade, Dharavi's is home to over 600 000 residents (Ragheb et al., 2016).

### **c) Egypt – Informal Settlement Development Facility (ISDF)**

In 1992, Egypt launched a national fund for urban upgrading that comprise of two phases; first phase: 1994-2004 Informal Settlements Development Program (ISDP) and second phase: 2004-2008 Informal Settlement Belting Program. ISDP mainly focus on the provision of infrastructural and basic services such as water supply, electricity, sewerage, paving the streets, and improve the physical environment of informal settlements. Informal settlement belting program on the other hand, mainly aimed at developing and providing local government with a detailed national plan designed to restrict the growth of informal settlement. A survey conducted in advance to the implementation of these programmes identified 1221 areas that requires upgrading (Khalifa, 2015). Of this number, only 325 informal settlements benefited from the implementation ISDP (Khalifa, 2015). Except for the 896 areas that were left out, the implementation of ISDP within the 325 did not incorporate community participation in both planning and implementation (Khalifa, 2015). It also lacked legalisation of property and did not result in security of tenure. Thus, the implementation of ISDP was ineffective (Khalifa, 2015).

In 2008, ISDF was launched to fill the gaps of ISDP. In order to effectively prioritise intervention, this programme began with categorising informal settlements into two main types depending on their risks. That was “unplanned areas” and “unsafe areas”. Unplanned areas on the one hand, were not a priority as they were only characterised as housing not abiding to the building law. Unsafe areas on the other hand were areas posing risks to life, health and tenure and having inappropriate housing. Unsafe areas were represented in all the four risks category designed by the ISDF and such necessitated urgent intervention. The four risk categories included: first grade: areas that threaten life including those located under or above sliding geological formations, in floodplain areas; or under threat from railways accidents; second grade: inadequate shelter conditions such as houses constructed of makeshift materials, e.g. shacks, sites unsuitable for building, e.g. solid waste dump sites. Third grade: areas exposed to health risks including those with poor access to clean drinking water or adequate sanitation, located near manufacturing industries commonly known to contribute towards environmental

pollution, or located under electrical power lines. Lastly, fourth grade: areas of instability due to insecurity of tenure including illegal occupation of privately or state-owned land (Khalifa, 2011).

Each informal settlement was assessed using these grades and intervention was informed by the results of these risks grade. Relocation implemented were regarded inevitable such as in grade 1 and *in situ* upgrading programme was mainly implemented in the other three grades, displacement of some members of the community to the nearing state-owned land in cases where the existing land cannot accommodate all households was facilitated. Although launched in 2004, Participatory Development Programme in Urban Areas (PDP) since 2008, PDP was largely incorporated with the ISDF. The PDP promotes the implementation of participatory practices in urban upgrading between local government and civil society organisations (including residents of the informal settlement) to ensure adequate service provision and subsequent enhancement of the quality of life. The two pilot projects ISDF inclusive of PDP implemented in Manshiet Nasser and Boulaq el Dakrou, have successfully demonstrated that such methods can work (Khalifa, 2015).

However, ISDF review conducted by El Maabady (2015) indicated that there was no real community participation in the ISDF process. According to El Maabady (2015), although this upgrading programme was only focused on providing funding for the construction of housing units for the residents, this was done without taking into consideration the needs and socio-economic circumstance of the beneficiaries. This was discovered during an interview with the residents of Eshash Al-Sudan, when they indicated that only residents with legal contracts were allocated into the housing units. Allocation of these housing units also came with an unfordable payment expectation of EGP 165 per month, which they were not made aware of from the initial stage of the ISDF process (El Maabady, 2015). The community was also informed that failure to settle this monthly fee will result in the non-implementation of Phase 2 of ISDF. According to El Maabady (2015), living in the provided units was a high-priced option for the residents of Eshash Al-Sudan, also because the units were not distributed with power supply installed and installation required an additional EGP 350 once-off payment. Thus, many households went back illegal electricity connection in the newly provided housing units (El Maabady, 2015).

As such, the ISDF project was ineffective in improving the quality of life of residents of Eshash Al-Sudan due to its failure to take into consideration the socio-economic circumstance of the beneficiaries and not infusing community empowerment for the sustainability of the implemented *in situ* upgrading project.

#### **d) Nigeria – Informal Settlement Re-development Project**

Development and regeneration of informal settlements is not a concerning problem only in Egypt and Thailand, but in Nigeria as well. Unused public land in Nigeria is prone to open an opportunity for illegal occupation and turned into informal settlements, also referred to as squatter settlements. According to Obinna et al. (2010), of the total population in one of the major cities in Nigeria, Port Harcourt, was reported that over 65% live in informal settlements. Informal settlements are commonly located at the waterfront of the rivers surrounding the city, especially because the rivers would sustain the traditional water-based livelihoods of the residents. Nwokoro et al. (2015) argued that the River state government claims ownership of Port Harcourt Waterfront, making this a debatable issue between the government and the residents. However, Zakaree (2012) indicated that in Nigeria, Land Use Decree and the (Federal) Compulsory Land Acquisition Law Cap 167 permit the state to acquire or revoke ownership of any land for public interest, despite occupation or privately owned.

Even in this case, many of the families have resided in this area over several generations, yet the state disregarded the residents and earmarked the area for the development of higher end commercial and tourism as part of its Greater Port Harcourt City Master. Which led to attempted forceful removal of the residents (Nwokoro et al., 2015). With the land tenure issues unresolved, the socio-economic conditions in these informal settlements are poor and remain unchanged. The Nigerian government has been persistently attempting to deal with the dilemma. Recommendation ranged from efforts to improve access to public land and to cities having to plan for population growth (Obinna, et al., 2010). According to Nwokoro et al. (2015), if any at all, residents in this area have only received land tenure developmental efforts which involve communal use.



In 1988, the Rivers State Government of Nigeria introduced a policy focusing on improving the quality of life of the residents of informal settlements. Most informal settlement residents were beneficiaries of the re-development project, however, beneficiaries were largely dissatisfied with the standard of housing provided. As such, the selling and the renting out of the provided housing units defeated the government's purpose. It was argued that the re-development project was a top-down initiation, as such was a size one fit all strategy not precisely suitable for the informal settlement upgrade of Port Harcourt. Furthermore, the upgrading project was planned and implemented without the involvement of residents, as part of an important aspect of the project (Obinna, et al., 2010).

**e) Kenya - Kenya Slum Upgrading Programme (KENSUP)**

Kenyan new constitution grants every citizen the right to accessible and adequate housing, and to acceptable standards of sanitation (Anderson & Mwelu, 2013). KENSUP was introduced in 2000 and renewed in 2003 in support of the constitution. The initial project was to upgrade the Soweto village southeastern part of Kibera in 2004. The housing units that were prearranged were accommodative to the middle-class standard and posed affordability challenges to the Kibera- Soweto residents. The housing units consisted of a two-bedroom and a multi-story single unit unsubsidised mortgage that was intended to be rented out to tenants for beneficiaries to afford mortgage repayments. Consequently, many people are tenants in Kibera-Soweto village. In addition, water and waste removal are commodified, making way for a huge range of exploitation entrepreneurial activities. Furthermore, the middle-class landlords who are well-off ultimately move to the multi-story apartments three times more expensive and neglect maintenance of the housing units. This creates room for the poor residents to move into the units. However, when authorities have cut water and electricity supply due to the accumulated debt by previous landlords, rental is reduced to compensate for the circumstances (Huchzermeyer, 2008).

Although the programme received full government support, there were limitations hindering its success, including several institutional and program design challenges. The process of community participation was ineffective, as beneficiaries were not fully engaged especially in setting up of the rent rates, yet it is a key element of the programme (Anderson & Mwelu, 2013). As such, there is a constant fear of losing the two-bedroom or the single-room units

faced by residents as a result of unaffordability. The poor prefer to rent in same priced decayed multi-story apartments with shared sanitation for several individuals. The redevelopment “upgrading” strategy undermines affordability and secure tenure, therefore, it is perceived as a suspension to addressing informal settlements and not a solution. A successful informal settlement upgrade will be determined by government intervention regulating rental for the units. It was suggested that the local council take over as a social landlord, but this makes no contribution towards ensuring tenure security for the beneficiaries (Huchzermeyer, 2008).

#### **f) South Africa – Informal Settlement Upgrading Programme (UISP)**

Under Section 26 of the Bill of Rights, adequate housing is a basic human right to all South Africans (Constitution of the Republic of South Africa, 1996). The Constitution further states that ‘it is the government’s duty to take reasonable legislative and other measures, within its available resources, to achieve the realisation of this right on a progressive basis’ (Constitution of the Republic of South Africa, 1996). The Housing Act (1997) supports the abovementioned section of the Constitution and recognise that amongst other things, housing fulfils a basic human need. As such, the Housing Act (1997) outlines amongst others, the following principles: ‘the needs of the poor must be prioritised; the housing process should provide a wide choice of housing and tenure options, economically and financially affordable and sustainable; government should encourage and support all individuals and community-based bodies in fulfilling their own housing needs, in a way that ensures skills transfer and community empowerment; and individuals and communities affected by housing development should be meaningfully consulted’ (Tissington, 2011).

The Housing White Paper 1994 obligates municipalities to ensure that all residents live in socially and economically integrated communities that sustain livelihoods and provide reasonable access to healthcare, education and social amenities. The policy further state that housing delivery should occur by means of various possible mechanisms because it is government's first and foremost priority to deal with the problem of housing for the poor. Again, this is in promotion of Section 26 of the Constitution. The Comprehensive Plan for Sustainable Human Settlements, 2004 brought about various housing strategies to address issues of adequate housing in South Africa. This include initiations of sites and services, Breaking New Ground (BNG) launched in 2004 (Wekesa et al., 2011). According to Marais & Ntema (2013), the first big-scaled sites and services project was implemented at the Freedom

Square informal settlement and benefited over 100 000 households. BNG projects under the National Housing Subsidy Scheme would provide land, housing and basic services using project-linked capital subsidy programme also known as the 'RDP housing subsidy'. According to Huchzermeyer (2014), BNG also came along as informal settlement eradication strategy in which households qualifying for the once-off capital subsidy were offered the subsidy to later be forcefully relocated to an identified area where completed units were allocated. Although this programme provided many poor communities with low-cost housing, residents were disadvantaged because they were commonly relocated mainly to the peripherals of the city where economic opportunities are scarce. It was recognised that this housing subsidy strategy was only dedicated for developments on vacant land, which presented a policy gap in terms of the availability of subsidy system designed to facilitate in situ upgrading of informal settlements (Huchzermeyer et al, 2014).

To fill this policy gap, during the same year as BNG was launched, the Upgrading of Informal Settlements Programme (UISP) was introduced as Chapter 13 of the National Housing Code. Five years later, UISP was incorporated into Part 3 of the new Housing Code (Huchzermeyer et al, 2014). Not only was this move viewed as closing the policy gap, it was an act of acknowledgement that informal settlements are a part of cities and have the potential to resolve housing backlog for the urban poor, while preserving livelihood (Wekesa et al., 2011). However, implementation of UISP was delayed at the provincial and local government level until 2008 when the NDH establish a National Upgrading Support Programme (NUSP) which was incorporated in the National Department of Human Settlements. NUSP's main task is to promote and support the implementation of the UISP in terms of co-ordination with sectors and partners involved as means to ensure that government's capacity and professional practitioners is strengthened to implement community-based incremental upgrading, mainly in the metropolitan cities (NUSP, 2015). NUSP was established to largely assist UISP in achieving Outcome 8 'Human Settlements' – upgrading of 400 000 households in informal settlements by 2014 as set out by former President Jacob Zuma as part of Ministerial performance output (Huchzermeyer, 2014).

Not only did the state recognise that upgrading informal settlements can be a viable solution to the housing backlog but also acknowledged that housing strategies to relocate the poor fail to recognise that location of housing have a significant impact on the livelihoods of the urban poor. Thus, UISP recognise that the poor are attracted to particular locations due to the

economic opportunities such locations have to offer. Therefore, living in informal settlements is a survival strategy. Within these informal settlements, residents develop strong social networks which are considered their coping strategies. These include access to credit from community groups and the ability to create self-employment opportunities that has a strong customer-seller network and community-based mutual help and support (Braathen et al., 2014)

UISP seeks to achieve effective informal settlement upgrading through ensuring minimal disruption to livelihoods, encourage community empowerment and community participation in decision-making (Huchzermeyer, 2009). According to Huchzermeyer (2006), informal settlement intervention that are not accessible to beneficiaries will result in their displacement to housing options that offer affordability and, in many cases, these are new or existing informal settlements, irrespective of the inclusiveness of the initial allocation procedure. Therefore, if skills development was not possible during the UISP implementation phases, then community based or area-based subsidy mechanisms must be considered (Huchzermeyer, 2009).

UISP offers a completely different approach to dealing with informal settlements. Like any other housing programme, UISP is funded by government subsidy which caters for land rehabilitation, incremental provision of basic services, infrastructure provision and the last phase of the UISP process which is the housing project and sometimes health and educational facilities, recreational centres and shopping centres. The first step towards upgrading an informal settlement through UISP process requires feasibility investigation by the local municipality. When a location is proclaimed suitable for re-development and assumed that relocation is inevitable for community members in some cases, application for funding must consider both *in situ* upgrading and the relocation site (Huchzermeyer, 2009).

While national government is liable for establishment of a funding framework for housing development, negotiating and securing an allocation from the state budget for housing. Provincial government is there to support and strengthen the capacity of municipalities to facilitate housing provision including assessing funding applications received from municipalities, administer national housing programmes and monitor the performance of accredited municipalities. This leaves the local municipality with the responsibility facilitate the development and management of housing stock as per their Integrated Development Plan (IDP) as well as identifying suitable vacant land for relocation (NUSP, 2015). UISP principles and approaches apply also to relocation site and this is done to minimise the additional stress

that comes with relocation. According to Nikuze et al. (2019) there are worse socio-economic impacts associated with awaiting relocation, which is beyond the physical relocation, yet these are not given enough attention. Livelihoods security before relocation helps concerned individuals to become more resilient and can cope with post- relocation (Nikuze et al., 2019).

The importance of focusing on the upgrading of informal settlements has been acknowledged in the National Development Plan 2030 (NDP) and emphasises have been made on the need for experimentation and initiative in this regard. This was emphasis was fuelled mainly by the slow pace of implementation and the common decision to opt for the conventional approaches that involve relocation of residents of informal settlement (NDP, 2012). According to Huchzermeyer (2009), UISP *in-situ* upgrading is a positive response to many court cases of housing rights violation and forceful evictions that have been reported since 2000, going against the Prevention of Illegal Eviction from and Unlawful Occupation of Land Act (PIE) 19 of 1998. UISP had a pilot project in all nine provinces, many of which intends to implement *in situ* upgrading throughout the province. However, Ziblim et al. (2013) indicated that UISP is also a programme that has not received enough support from relevant parties because it considered a complicated programme to implement because it promotes community participation. Yet in practice, officials have been shying away from facilitating real community participation due to lack of institutional capacity at the local government. Community participation sessions are a mere administrative façade in which communities are made to believe that their input will facilitate local decision-making on issues concerning their day-to-day life and that they have an influence in changing their life situation (Ziblim et al., 2013).

- **City of Johannesburg (CoJ)**

From the very beginning, informal settlements have formed an essential part of Johannesburg including contributing to its growth. Although most informal settlements would often be demolished or displaced for formal development, they would re-emerge elsewhere. In 2013, CoJ recorded an existence of over 189 informal settlement, which about 50 are not suitable for *in situ* upgrading, thus relocation was recommended (Huchzermeyer, 2014). Many informal settlements in Johannesburg emerged as transit camp or reception areas, which implies that they are not illegal because residents received official approval from the CoJ to occupy the land one or two decades ago. It is on this basis that informal dwellers in Themb'elihle in Lenasia,

Slovo Park and Ebumandini to the north-west of Soweto have resisted relocation, question the facts that makes the areas suddenly no longer suitable for low-income formal development.

As such, recent debates are discussing the need for clearer policy on the establishment and management of transit areas to prevent the prolonged uncertainty, undignified living conditions. Especially because many of Johannesburg's informal settlements originate from before the year 2000. Informal settlements formed after 2000 include those in Ivory Park, Sweetwaters (Orane Farm), Diepsloot, Motswaledi, and Sejwetla (Alexandra), and Lawley. While some have been indicated to be located on top of a dolomite (e.g. Themb'elihle, Protea South and Slovo Park) others are said to be on privately owned land (e.g. Sweetwaters, Lawley Station and Kathrada) hindering formalisation programme (Huchzermeyer, 2014). Gauteng Provincial government pursued its own approach to enhancing living conditions in informal settlements by means of 'formalisation'. Formalisation of informal settlements as a foundation/intension for later upgrading in this case was meant only in a land that was considered suitable for permanent residential development. CoJ would provide services of interim relief until it has acquired subsidy funding from the Gauteng provincial government to deliver adequate housing to households qualifying for project-linked capital subsidy. These low-income housing projects usually consist of neighbourhoods of newly built houses and basic services, or at times upgrading interventions in existing informal settlement (Huchzermeyer, 2014).

Formalisation programme has been rolled out in several informal settlements in the south of Johannesburg, prominent example is in Nomzamo, where the new layout mirrors a formal layout. Despite much resistance in implementing UISP from the Gauteng province, CoJ hopes that formalisation of informal settlements as previously initiated, will be a big part of UISP (Huchzermeyer et al., 2011). Stories (2016) emphasised the importance of making use of timeous and accurate data when implementing upgrading settlements because delays between the data acquired and the time of implementation, the spatial layout may have dramatically changed. This is due to the rapid expansion of informal settlements including the type of dwelling that is constantly introduced. Fortunately, CoJ is aware of this and together with NUSP are responding to this situation by changing its method of engagement with informal

settlements to ensure that development and upgrading is informed by accurate data (Storie, 2016).

## 2.6 Conclusion

In this Chapter, the researcher has highlighted how informal settlements are primarily identified with their lack of security of tenure due to their illegal occupation. Security of tenure has been identified as the first step towards quality of life in informal settlements as it opens opportunities for the provision of access to healthcare, education, housing, employment opportunities, general social amenities and the ability to participate in decision-making as an ordinary member of a community. It was further argued that the housing domain, which is directly linked to tenure security, influences the environmental domain of the quality of life concept.

This Chapter has discussed how developing countries have moved from eradication of informal settlements by means of illegal eviction to promoting *in situ* upgrading programmes. This has been a critical turn in human settlements. It has been the states acknowledgement that informal settlements are a result of poor planning in responding to rapid urbanisation. It has also been acknowledgement that informal settlement upgrading might be a possible housing solution. Various developing countries implemented different informal settlement upgrading strategies and these were discussed in this Chapter. These strategies include Informal Settlement Development Facility in Egypt, Thailand's Slum Upgrading Taskforce, Nigeria's Informal Settlement Re-development Project, Kenya Slum Upgrading programme, India's Dharavi Redevelopment Project and lastly the South Africa's Informal Settlement Upgrading Programme.

In this Chapter, the researcher indicated the role of community participation in the *in situ* upgrading process. It is evident that were informal settlement residents took an active role in the planning and implementation of upgrading projects, the initiation becomes successful. It has been highlighted that informal settlement upgrading programme that allows beneficiaries to be decision-makers of their own project, allows the sustainability of the project post-

implementation. Thus, has a potential of accomplishing its main purpose and contribute in improving the quality of life of its beneficiaries.

This Chapter provided useful information on the literature related to the study under investigation. Because the study is exploratory in nature, the researcher deemed it appropriate to employ a qualitative method in which in-depth interviews and observation will be conducted to explore the effectiveness of *in situ* upgrading in improving quality of life of residents of Slovo Park informal settlement. Chapter 3 provides details on the research methodology in this study.





## Chapter 3: Research methodology

### 3.1 Introduction

This chapter outlines how research is conducted and its logical sequence. The focus of this study was to explore the effectiveness of *in situ* upgrading programme in improving the quality of life of beneficiaries living in informal settlements, studying specifically the Slovo Park informal settlement. This Chapter entails the research process undertaken in terms of the method that was used to conduct research and the justification for using the method. This Chapter further provides the description of the different stages of the research, which includes the process of selecting participants, the data collection process and the data analysis process. The role of the researcher in qualitative research in terms of reflexivity is also discussed in this chapter as well as the importance of validity and reliability in qualitative research and how they were achieved in this study. The research sub-questions for this study have been clearly outlined in Chapter 1 as follows:

- How has the UISP improved socio-economic circumstances of Slovo Park?
- How has the UISP influenced residents' life circumstance post-upgrading?
- What role did the community play during upgrading process?

### 3.2 Research design

Academic research is commonly conducted for two main reasons, that is to gain better understanding of a specific phenomenon or to resolve a specific unresolved problem. This is also referred to as exploratory study: the researcher identifies a research problem and compile set objectives to be achieved in order to bring a satisfactory closure (Khan, 2014). It is important to note that this is a social science research in the build environment discipline, as such the research design is borrowed from the social science discipline. Du Toit & Mouton (2013), argued that social research is objective, therefore, borrowing its research design can assist the researcher make more sense of the particularities of social research in the built environment. This is because the social reality is studied objectively with the aim of acquiring valid understanding. According to Salkind ed. (2010), based on social sciences, exploratory research refers a variety of systematic data collection mainly designed to produce inductively resulting from generalisations about the group, process, activity, or situation under study. In this case, the researcher would already be in possession of little or no scientific knowledge

about the group, process, activity, or situation, but is convinced that it contains elements worth discovering (Salkind ed., 2010). The aim of this study was to sightsee an un-explored and un-interpreted phenomenon to better understand the problem.

### **3.3 Research paradigm**

The research paradigm employed in this study is interpretative. The researcher deemed it suitable to employ this method because the study is exploratory in nature, thus, aims to understand the social phenomenon in the context of the participant. According to Rehman1 & Alharthi (2016), interpretative research methodology try to understand the interpretations of participants about the social phenomena they interact with, in this manner the social phenomena under investigation is understood through the eyes of the participants rather than the researcher. The benefit in this research paradigm is that it complements the use of qualitative research approach, the use of in-depth interviews as data collection method and the discovery of patterns and themes during data collections and analysis. This is discussed in detail in the succeeding sub-sections.

### **3.4 Research approach**

This research has adopted a qualitative technique to explore the quality of life of the residents of Slovo Park after the implementation of *in situ* upgrading. According to Golafshani (2003), qualitative research defines any form of research that rely on real-world settings (where the subject matter unfolds naturally) to produce findings. The research methodology is an important factor to ensure that research objectives are met (Khan, 2014). According to Abutabenjeh & Jaradat (2018), there are set techniques included in a qualitative method that complement one another and that enable the collection of data and derive findings to reflect the research questions and ultimately achieve the research objectives. Data collection method used in this study was in-depth interviews and narrative observations.

Qualitative research was deemed suitable because the aim of this study was to explore the effectiveness of *in situ* upgrading in improving the quality of life of beneficiaries living in informal settlements. Tonon (2015) also indicated that qualitative research method is recommended for a quality of life study. With this method, the researcher did not attempt to

manipulate findings, but rather deeply explored behaviours, varied perspectives and life experience to un-cover the complexities of a phenomena through a comprehensive framework (Golafshani, 2003). Thus, the use of interviews and observations methods to collect data. Interviews were conducted based on a specific sampling method ensuring that the data collected is from first-hand experience individuals, therefore, provide reliable and valid information. The decision to select qualitative method was also advised by the nature of research questions. Qualitative research employs specific techniques to derive findings, which includes research design, sampling method, data collection instruments and method of data analysis and have been followed on this study. In order to understand the phenomena under investigation in the perspective of the participants, the researcher employed semi-structured interview approach.

### **3.3.1 Reflexibility in qualitative research**

The researcher is considered an important tool for data collection in qualitative research. This also implies that the researcher's bias can influence the data collection process, analysing and interpreting of the data. Thus, the researcher must acknowledge subjectivity in the study under investigation and make it transparent (Drobot, 2012). The researcher in this study has no first-hand experience of living in informal settlements. However, the researcher has acquired desktop knowledge on the living conditions of people living in informal settlements, which has helped create the social interaction required for such research projects. As such, the researcher was able to understand and identify with what has been said during the interviews.

It can be argued that lack of first-hand experience in the subject under investigation was an added advantage to the research project because the researcher was attentive and open-minded to what participants had to share. There was never a point where the researcher was conflicted, bias or imposing her own opinions on the participants. This played a significant role in allowing participants more time to elaborate on each answer they provided, simultaneously allowing the researcher to gather as much information as possible about the participants' experience. Thus, contributing positively on the validity and reliability of the findings, this is discussed in detail under validity and reliability in qualitative research.

This research utilised a combination of two different data collection styles to produce findings, namely, field observation and interviews. According to Abutabenjeh & Jaradat (2018), research design describes a method prescribed as suitable to answer the research questions and ultimately achieve the research objectives. This method was proven to increase the standards of validity or to strengthen the credibility of research findings as compared to the use of a single data collection style (Salkind ed., 2010).

### 3.5 Data Collection Process

Qualitative research emphasises on systematic collection, ordering, description and interpretation of written data generated from a conversation, observation or documentation (Kitto et al., 2008). In this study, key informant are the residents of Slovo Park because the topic is focusing on quality of life as influenced by an *in situ* upgrading programme implemented in the community. The sampling is purposive, relying on referrals by participants. This played a significant role in acquiring useful information for the study and reaching saturation. Although the Ward Councillor did not participate in this study, representative of the SPCDF was interviewed. Two officials from the CoJ was enough representation for the state because unlike at the national level, local municipalities are the closest to the community. As such, they are in a better position to share a complete history and developments pertaining to communities especially if the officials are in a management position as well as working directly on the project under investigation. In which was the case in this study.

#### 3.5.1 Field observations

The field observation conducted brought about actual visuals of the living conditions of the residents and validation data was provided during in-depth interviews. Field observation was conducted as indicated on the table 1 below:

Table 1: Field observation schedule

Field observation days	Duration	What/ Who was observed
28 September 2019	1 Hour	Electricity connection in Slovo Park and activities of the residents
05 October 2019	1 Hour	Activities of the residents of Slovo Park

### 3.5.2 Interviews

According to Salkind ed. (2010), interviewing is an essential aspect of various types of research. It involves conducting an interview—a focused conversation between two people (the interviewer and the interviewee) or a group of people to collect data on a specific subject(s). Thus, for the purpose of this research, interviews were of semi-structured approach, face-to-face and in-depth type to enable the participant to elaborate each answer in order for the researcher to gain a holistic understanding of the complexity of the circumstance. This also allowed the researcher to observe both narrative and non-narrative behaviour of the participant as they answer each interview question. Due to time limitations, not everyone could be interviewed, thus interviews were conducted with ten (10) interviewees, consisting of ordinary community members, a community leader who is local church pastor as a member forming part of the community policing forum as also known as the Committee.

Data collected from the ten interviewees was concluded to be a general view of the community members. As means to retrieve two sides (potentially confirming and deviate sample) of the implemented *in situ* upgrading programme in Slovo Park informal settlement, two (2) relevant municipal official were interviewed as well. This type of method was appropriate because it focused on collecting data only from individuals that have formed a part of the settlement during and after the progressive implementation of the *in situ* upgrading.

#### 3.5.2.1 Sampling Method

Sampling method is about presuming information retrieved from a limited number of people, who would represent the view of most of the entire affected population. Depending on the sampling technique, a researcher can retrieve authentic results. Sampling is the only feasible way of conducting qualitative research especially because it is not practical that a study cannot be based on everyone, everything and everywhere. Therefore, sampling decision is guided by the research purpose and questions (Khan, 2014). The researcher in this study was bias in deciding on the sampling technique which involved identifying which people to interview, what events to observe, settings (in terms of time, accessibility of the participant) and processes. As such, purposive sampling was deemed suitable for this study because this sampling method allowed the researcher to use its own discretion on what potential participants

will make useful input in the study. This guided the decision on the target population suitable for the study and this is discussed in the next section.

### Target Population

Before choosing a sample, one must determine which target group to sample in order to collect useful data to achieve the research objectives. For an exploratory study that seeks to understand issues from the perspective of a specific population, often suitable participants are those who have lived experience of the subject matter. Once the desired population has been identified, one must recruit actual participants using appropriate sampling method (Asbury, 1995). In this study, the target population was the residents of Slovo Park informal settlement, particularly individuals older than 20 years who have resided in the settlement before and after *in situ* upgrading. The researcher considered this target population because they were suitable to provide their credible perception on how *in situ* upgrading has impacted their life circumstance. This is information a participant who recently moved to Slovo Park would not have been able to provide. Table 2 below illustrates the profile of the interviewees from Slovo Park who were sampled in this study.

Table 2: Profile of interviewees

Name of Participant	No. of years residing in Slovo Park range between 10-15 years	No. of years residing in Slovo Park range between 15-25 years	No. of Age range between 20-40 years	No. of Age range between 40-75 years	No. of Stand owners	No. of rentals	Race		Date and time of the interview
							Black	Coloured	
TM	√		√			√	√		2019/09/28 11h12
LG	√			√		√	√		2019/09/28 12h03
AM		√		√	√		√		2019/09/28 13h06
ML		√		√	√			√	
EMM		√		√	√		√		2019/09/28 14h14
Pastor TM		√		√	√		√		
JM	√			√	√		√		05-Oct-2019 11h30
RM	√			√	√		√		05-Oct-2019 11h53
APM		√		√	√		√		05-Oct-2019 12h46
NX		√		√	√		√		05-Oct-2019 13h51
TOTAL	4	6	1	9	8	2	9	1	

### Sample Size

For qualitative study, suitable sample size would be the one that sufficiently answers the research question. While on the field, the researcher could discover new categories and explanations relevant to the study. Therefore, presumptions of the sample size for submission to funding bodies becomes difficult because there is potential of making inaccurate predictions of sample size (Devers & Frankel, 2000). The initial sample size for this study was six participants from Slovo Park informal settlement and one participant from CoJ. In this study, the researcher employed purposive sample because of its ability to allow the researcher to continuously select the most productive sample based on the framework of variables (age, gender and role of the individual in the studied community). As such, the sample saturation was only determined on the field. According to Moser & Korstjens (2018), sample saturation is when the researcher realises that there is no additional information arising from the interviews anymore, and most importantly when the researcher is confident that the study provides maximum information on the phenomenon. During the study, the selected sample would refer the researcher to candidates with potentially useful information that will add value to the study. After interviewing ten residents of Slovo Park and two participants from CoJ, the researcher learned that no new critical information arises, thus, sample saturation was reached. This sampling method was suitable in this study because it aimed at collecting high quality data through the selection of informant sample who amongst them support emerging explanation and those who disagree or confirm. All these samples were considered during the analysis and interpretation of the data collected.

During the research process and especially during the data collection phase, the researcher allowed participants from the Slovo Park informal settlement to decide the venue they were comfortable to have the interview conducted. Because most of the participants were approached from their homes, most preferred to have the interview conducted outside their shacks. Where there was excessive noise that could potentially make the audio recording inaudible, participants were requested that the interview be conducted inside their shacks. The same opportunity was offered to the municipal officials and both preferred the interviews conducted at their workplace. Before each interview was conducted, the participant was asked to complete and sign a consent form subsequent to reading the provided information letter, which contained a brief description about what the study entails.

Interview questions were written in English but the interviewees were interviewed in the participants preferred language, which was mostly Southern Sesotho and IsiZulu. This is because the researcher avoided compromising the quality of the response. Thus, in order to preserve high quality in the answers provided by participants, the researcher allowed the participants to answer in their home language. This made participants more comfortable to express their views without being taken out of context, as the researcher had a good command of both Southern Sotho and IsiZulu. However, this also meant that the researcher had to translate the interviews in English in order to produce an academically acceptable transcript of the interviews conducted with participants from Slovo Park informal settlement.

The researcher approached all participants with humbleness and treated all participants with respect and compassion. Especially because the researcher was aware that she might not be the first person coming to do interviews in this area, therefore anticipating unwillingness in participation. After learning from the first interview that there had been fatal injuries that many suffered from shack fires, the researcher saw it fit to approach the interviews with sensitivity so that she can have emotional connection with the participants. This helped create a safe environment for participants to express their experience. This also formed an important part of narrative observation during in-depth interviews. According to Nastasi & Schensul (2005), a successful narrative observation requires one to actively involve themselves in the research setting in order to study it from the inside. In this study the researcher was expected to conduct a detailed recording of the verbal and nonverbal behaviour of participants, interpersonal interactions, activities, events, and contextual features in the natural setting. This was achieved by a digital camera, taking photographs of the natural setting and an audio recording device, to capture the verbal conversation as it takes place.

The interviews were conducted by the researcher herself and throughout the interviews, the researcher did not assume an expert position and was transparent about the purpose of the interviews. Thus, the participant was always treated as an expert and this enabled the researcher to gather thorough accounts of individual participants' experiences, thoughts, and perceptions about the subject. Data collection was over a period of four days; 28 September and 05 October with the residents of Slovo Park informal settlement and 23 October and 07 November 2019 with the CoJ's municipal officials.



### **3.6 Data Analysis**

According to Cullum-Swan & Manning (1994), content analysis also referred to latent content analysis, which is the intellectual process of grouping qualitative textual data into groups of similar entities to identify consistent patterns and connections amongst subjects. In this study, content analysis was used due to its ability to reduce the collected data in order to make sense of the audio recordings and photographs taken. The collected data was analysed based on the research objectives and main research questions indicated in Chapter 1 of the study. The researcher further analysed the collected data in reference to the literature review as integrated in this study. The main research questions directed the presentation of data during the data analysis process. Presentation of data was also based on the themes derived from interviews conducted and these include the following: maintain the way of life improved quality of life, ineffective community participation in planning *in situ* upgrading, community empowerment, regulating of informal settlement, uncertainty about land tenure security amongst others.

#### **3.6.1 Data analysis process**

Although interviews questions were written in English, during interviews with the residents of Slovo Park informal settlement, the interview questions were translated into the preferred language of the participant in order to enhance understanding of what was asked. The participants answered in their home language which was mostly Southern Sesotho and IsiZulu. Within 24 hours of the interview sessions, the recorded interviews were translated into English by the researcher and a written text of each interview was created. The purpose for this was to allow the researcher to produce translated written text while she vividly recalls the conversations and non-verbal behaviours of the interviews and become familiar with the data as rapid as possible. This was also important for the continuous process of analysing data, especially after the first day of interviews. Being familiar with the data collected on the first day helped the researcher to prepare for the next day of interviews.

Because data collection and data analysis occurred almost concurrently, most of the themes included in Chapter 4, section 4.2.1 were derived from the first day of interviews. Some of the themes emerged on the second day of interviews with the residence of Slovo Park informal settlement. Interview questions for the CoJ municipal officials were slightly different from those prepared for the Slovo Park residents. This resulted in the identification of additional

themes to be added onto the data presentation and data analysis. Not only did the themes guide the presentation of data collected and data analysis, but also the integration of the reviewed literature. During the data analysis process, the researcher learned that there could be relevant data not previously reviewed in this study.

Confidentiality forms a crucial part of the ethical procedures of this research project, as such the identify of study participants during the interviews, transcripts and data analysis was protected by initialising their names, for instance Ms Kedibone Maganadisa to MK or change of participant's name altogether. Although not included on this write up, these transcripts are available on request as part of strategy to achieve validity and reliability in qualitative research. This is further discussed in section 3.7 below.

### **3.7 Validity and reliability in qualitative research**

Rigorousness in both quantitative and qualitative research justifies the worthiness of research because without rigor, research becomes fiction, and loses its value. Thus, emphasises of applying reliability and validity in all research methods (Csikszentmihalyi & Larson, 2014). There has been common critics in the lack of scientific rigour and poor justification of the methods adopted, lack of transparency in the analytical procedures and the findings being merely a collection of personal opinions subject to researcher bias where qualitative research is concerned (Morse et al., 2002). According to Noble & Smith (2015), validity is defined as the accuracy in which the findings reflect the data and reliability refers to the consistency of the analytical procedures, including acknowledgment for personal and research method partialities that may have influenced the findings. For a researcher to achieve a rigorous research, he or she must ensure integrity in the collection of data and ensure that ultimately the findings consistently reflect the data collected. To achieve trustworthiness of the findings, the researcher in the current study applied the following 8 methodological strategies:

1. Accounting for personal biases which may have influenced findings (indicated on section 3.3.1 “Reflexibility in qualitative research” included in this Chapter);
2. Acknowledging biases in sampling and ongoing critical reflection of methods to ensure sufficient depth and relevance of data collection and analysis (indicated on section 3.5.2.1 “Sampling method” included in this Chapter);

3. Meticulous record keeping, clearly demonstrating the decision trail and ensuring interpretations of data are consistent and transparent (recordings available by request).
4. Establishing similarities and differences across accounts to ensure different perspectives are represented (in Chapter 4);
5. Including rich and thick verbatim descriptions of participants' accounts to support findings (transcripts available by request);
6. Clearly thought processes during data analysis and succeeding interpretations (in Chapter 4);
7. Engaging with other researchers to reduce research bias (this was done through the integration of literature review in Chapter 4) and
8. Data triangulation, application of different methods and perspectives to help produce an inclusive set of findings (indicated in section 3.4 "Research approach" included in this Chapter).

### **3.8 Research limitations**

Firstly, the study was conducted under issues of language barrier as the majority of the community members do not understand English. As such, interview questions were translated from English to either IsiZulu or Southern Sesotho during the interview in order to accommodate the interviewee. This limitation contributed to time consuming task of translation of all transcripts to English. Secondly, fixing of appointments with the relevant municipal official proved to be a challenge. The researcher had to postpone the interview because municipal officials were unavailable on dates or times previously arranged. Thirdly, the research had limitation by methodology, as such further study can be conducted using quantitative approach and in other informal settlements to get a broader view of the topic. This study took place while application for UISP funding is underway. As such, the research was limited to the incremental service provision that formed part of CoJ's in situ upgrading process for Slovo Park informal settlement. Therefore, similar study can be conducted after several years, when more services have been provided within the settlement.

### **3.9 Ethical Consideration**

Ethics form one of the most important part of any research undertaken globally and this is because it is meant to protect the welfare of participants in the study (Wassenaar et al., 2012). The researcher obtained consent from all participants in the study before they took part in the interviews. Participants were well informed that participation in the study is completely voluntary and are well within their rights to refuse or withdraw consent at any given time and this will not have any impact against them. Furthermore, confidentiality and privacy of the participants was protected throughout the process of the research and beyond.

### **3.10 Conclusion**

The research saw it fit to employ a qualitative method mainly because the topic was exploratory in nature and relied on real-world settings to produce findings. In-depth interviews and observations were conducted to strengthen the credibility of research findings. In order to conduct the interviews, the researcher targeted specific group of individuals who were thought to be most likely capable of providing reliable and valid information. However, during the interview process, participants would often refer the researcher to other potential candidates who could add value to the study. The natural setting of the different parts of the Slovo Park informal settlements were also photographed to complement data collected from in-depth interviews.

Due to time limitations in this study, sample size was kept to not more than ten (10) participants Slovo Park and two (2) participants from CoJ. However, sample saturation was achieved. The researcher deemed it suitable to employ content analysis method to interpret data collected from the recorded in-depth interviews and photographs taken during the field study in reference to the literature review. Eight methodological strategies were applied in order to accomplish a rigorous research in terms of the validity and reliability of the finding. While these strategies are indicated in this Chapter, evidence is provided in other Chapters of the study.

## Chapter 4: Data analysis

### 4.1 Introduction

This chapter aims to present the collected data on the effectiveness of *in situ* upgrading in improving the quality of life of beneficiaries living in informal settlements, focusing on the Slovo Park as a case study. The participants' interviews were analysed using the main research questions and themes that were developed during the interviews in order to address the objectives of the study.

### 4.2 Interviewees' response

a) Residents views on the impact of the implemented *in situ* upgrading in Slovo Park informal settlement.

- *Maintain the way of life*

It was indicated during interviews that Slovo Park is located near the Nancefield Industrial area which offer unskilled and semi-skilled jobs opportunities. This is a walkable distance between the residence and place of work. Participants referred to the closeness of Slovo Park to neighbouring areas such as Eldorado Park and Klipspruit that have schools in which most of the children in Slovo Park are attending school. Interviewees indicated that they have been staying in Slovo Park for many years and had developed relationships that are critical for their survival. Thus, community members highlighted that the UISP is appropriate because it intends to bring development where they currently live, which brings no interruptions in their way of life. With this programme implemented, they will be able to keep their jobs without incurring travelling costs, and their children will continue accessing schools and health care services in neighbouring communities until they get their own facilities. The following respondents, who indicated that, shared these views:

*“...Slovo Park is located near industrial firms in which people have found jobs. Therefore, having development occurring where we currently stay was better than relocation because we are close to where we work and there are no travelling costs” TM*

*“We have been staying in Slovo Park for a very long time and having to relocate was going to interrupt the relationships we have already built. Thus, having basic services provided here would help us maintain these relationships” APM*

*“The community insisted that government develop Slovo Park because it is close to industrial place where people work. Children has access to schools in neighboring communities” RM*

From the abovementioned, it is understood that people choose to stay in informal settlement for survival reasons, which involve urban economic opportunities and access to social amenities. Residents also have formed social networks that are crucial for survival. Minimal interruption of livelihoods has been achieved in this settlement. Braathen et al. (2014), indicated that UISP recognise that the urban poor stay in informal settlements because they are seeking economic opportunities such areas may offer. So, this can be viewed as a survival strategy in which UISP process embrace. Also, strong coping strategies such as access to credit and community-based mutual help and support is maintained.

- *Regularisation of informal settlement*

The stand owners indicated that the high court’s verdict to have Slovo Park upgraded meant that the informal settlement is finally being regularised. Therefore, they no longer living in constant fear of being evicted. Although stand numbers are changed every ten years (as indicated on figure 6 below), these numbers are reallocated to the existing owners and this has been providing the confidence in property ownership.



Figure 3: Reallocation of stand numbers

Source: Author's compilation

This was indicated by the respondents in the interviews who said:

*“government will never evict us after investing so much money into electricity connection. Although stand numbers change every after 10 years, I am not threatened because all these numbers are allocated onto the same ID number...” NX*

*I have a stand number that reassures me that I will not be relocated. Even if they change these numbers every 10 years, no one can claim my stand. In the yard, I have electricity cable connected only to my house, as such, rentals are not a threat because it is clear to them too that the stand belong to me. If I had financial resources, I would build a formal structure just like some of the community members who have already started” AM*

From these views, it is understood that residents of Slovo Park informal settlement are certain that regularisation of the settlement is achieved and reassured the residents that they will not be forcefully evicted. As such, *in situ* upgrading process was effective in instilling this confidence that residents have a secure place to live by further installing electricity cables into

each shack with a stand number. According to Amos (2011), the definition of informal settlements has been founded mainly by their illegal or unpermitted occupation of land. The fear of illegal eviction and demolition has contributed to residents of informal settlements likeliness to build their shelters using building material that is easy to remove such as corrugated iron.

According to Yap (2016), land tenure is a complex issue, this is the case in the Asian countries such as Sri Lanka. A settlement upgrading programme that promoted land tenure such as the Million Houses Programmes (MHP), was later terminated. However, where land tenure regularisation was implemented (e.g. Karachi), many residents started to feel sufficiently secure because the occupied land was no longer targeted for high profit activities such as offices, shopping malls and condominiums. Unlike in Nigeria where the state can revoke land ownership for public interest without compensation for the residents (Zakaree, 2012), land tenure protects the community of Slovo Park against such in South Africa. According to the Constitution of the Republic of South Africa (1996), Chapter 2 Bill of Rights section 25, indicate that ‘property may be expropriated only in terms of law of general application (a) for a public purpose or in the public interest; and (b) subject to compensation, the amount of which and the time and manner of payment of which have either been agreed to by those affected or decided or approved by a court’.

Thus regularising the settlement has impacted the residents positively because firstly it implies that the settlement forms part of a planned area, it unblocks assets accumulation for the residents as they will be able to invest in their properties within the city’s acceptable building standard and norms. Land tenure regularisation also promote provision of urban services which were previously absent (Arimah & Branch, 2011). This also forms part of what Wekesa et al. (2011) indicated as the state’s acknowledgement that informal settlements are not only a part of the cities but a potential solution to housing backlog.



- *Uncertainty about tenure security*

Despite the confidence that eviction is no longer a threat for stand owners, it was also discovered during interviews that some residents needed more than just stand numbers and electrification to have their tenure security guaranteed. Participants indicated that despite regulating of land tenure security, they are unable to improve their housing structure.

*“If we were to be aligned properly in a sense of sharing the plan with us where the installation of sewerage pipe will be, this would enable us to start investing in our properties in a form of building formal structures. Until then, we are compelled to stay in shacks because we don’t want to risk our limited financial resources in building where we will be forced to demolish...”*

*RM*

These are clear indications of lack of community participation during the planning phase of UISP process. Although the settlement has been regularised in terms of land tenure security, the community is unable to improve their housing structure in order to improve their overall quality of life. This is a clear indication that the community was not actively involved in the layout design of this settlement. Usavaovitwong (2012) indicated that where the community receiving an informal settlement upgrading programme is involved in the planning of the project, such important information is readily available. This has been the case with Thailand’s Community Organisation Development Institute (CODI). The community of Bangbau informal settlement were awarded an opportunity to finalise the plot design and to carefully interlock the entire community. The community participated on the decision-making regarding the diversity of the site planning scheme, plot size, and shelter characteristics via simple spatial design tools: grid paper, paper box models, or modelling clay, which were later applied by the architect. According to Arimah & Branch (2011), regularisation of tenure should encourage beneficiaries living in informal settlements to improve their housing structure given their organisational skills and resourcefulness. However, this is not the case due to lack of crucial information pertaining the sewerage pipes sites and housing layouts. Residents anticipating housing demolition become discouraged from beginning processes of housing improvements including accumulation of financial resources because only people with good tenure security want to hold better control of their property (Nakamura, 2016).

The participants' views reflect dissatisfaction with their environmental domain which forms a core indicator of quality of life. Improvements on the social infrastructure will not lead to improved quality of life if housing is inadequate. Zebardast (2009) indicated that the environmental quality of life domain presents a better description of the variances in life satisfaction and that the most important forecaster of life satisfaction is the satisfaction with housing. According to Zebardast (2009), the housing domain influences the environmental domain of the quality of life. Adequate housing comprises of access to tenure security, access to electricity, portable water and sanitation.

b) The role of the community during *in situ* upgrading process

- *Ineffective Community Participation in planning UISP*

It was discovered from the interviews that the community was frequently invited to an information session hosted by the SPCDF. During these meetings, different opinions were shared but not necessarily considered. The aim of these meetings were to share information on the plans derived for the upgrading and provide progress report. Pastor TM, who is also a committee member in the SPCDF, expressed the following when he was asked if he perceived community as actively involved in the planning of the *in situ* upgrading programme

*“Yes, under the guidance of SERI who also helped us with the court case against City of Johannesburg” Pastor TM*

While the following respondents' views to the same question were as follows:

*“The committee in representation of the community was actively involved. I would not say the community was passively involved” JM*

*“Not directly, the community was frequently invited to meetings which were basically information sessions regarding the upcoming implementations” NX*

Even the municipal officials indicated that *“all inputs, audio recorded and/or written were taken into consideration when developing layout draft mindful of geotechnical, and environmental impact assessment advice”*. (Malau, 2019)

*“...but community participation was limited to the “so called” SERI, Centre for Urbanism & Built Environment Studies (CUBES) and the Slovo Park committee. The ward councillor including the CDW were not participating. My view is that individual residents must be afforded an opportunity to come up with the intervention such as reclamation facilities without necessarily being led by a team, which in my view do not necessarily have their interests”.* (Nkosi, 2019)

*“...beneficiary education of prescripts of the UISP policy is as critical so community buy into a programme they understand holistically, and this is something the municipal officials are not satisfied that it was fully conducted”* (Malau, 2019)

Community participation is a crucial aspect of UISP process, in fact, it is what distinguishes UISP from all other housing strategies under the umbrella of the NUSP. Failure to facilitate this important stage of UISP process has the potential to create community’s misunderstanding and conflict during implementation. Although a community may elect representatives, it is important that the representatives share the same ideas as the community. This helps eliminate resistance or failure to comply with the regulations of the products received from the upgrading programme. It also helps ensure that the products provided are suitable to the needs of the community. To conduct a real community participation, required committees representing beneficiaries to become involved at all levels from strategy level down to project implementation level. El Menshawy et al. (2011), also indicated that a real community participation is essential. Wekesa et al. (2011) also emphasised that physical planning aspect of the process should not be concluded at the top level, but should be based on the inputs derived from public participation in order for the end product to be accessible and affordable to the real end-users

- *Official’s incapacity to facilitate community dialogue*

From interviews conducted with the CoJ municipal officials it was discovered that the meaning of community dialogue as an important part of UISP process was not fully understood. The officials were not fully capacitated to handle challenges that arise when engaging a community that commonly have different opinions. This was indicated by Malau (2019) when he said:

*“Groups of political infighting whenever department conduct meaningful consultations with entire community blocks. Frivolous interruptions with planning processes especially during engagements with each and every stakeholders. Stakeholders availabilities during critical decision-making points in order to move forward with project plan. For instance, layout plan was objected against at a very late stages process after agreeing about it earlier. Earlier agreements on contents of draft layout shaped the following activities, any amendment changes entire complexion of previous agreements” (Malau, 2019)*

This was also admitted during an interview with Nkosi (2019) who is also an official from CoJ. When the participant was asked to identify challenges in planning and implementing *in situ* upgrading programme, he expressed his views and indicated that:

*“...lack of understanding of the programme by government... lack of skills and interest by government” (Nkosi, 2019)*

From what had been said, it is clear that understanding of the UISP process, particularly the aspect of community dialogue where the planning process is consent was lacking. Capacitated agents from the municipality to facilitate community dialogue that would result in mutual agreements. Marais & Krige (1997) argued that community participation to an effective and successful project is complicated, as such cannot be accomplished without conflicts, however, it is essential to lead to effective resource utilisation. According to Wekesa et al. (2011), it remains the official’s responsibility to educate and build capacity to enhance their participation, liaising between the community, local authority and landowners to decide the most appropriate intervention strategy. Ziblim et al. (2013) urged that in practice community participation is an administrative façade. Officials tend to create false expectations and subsequent disappointments in the minds of community members, who thought their views, could significantly shape decision-making in the upgrading of their settlement. This is because earlier to arranged meetings, experts would have already designed and finalised plans, thus allowing little room for community participation and influence. Ziblim et al. (2013) further indicated that public officials often avoid real participatory processes in project implementation, because they think that these are not only “time-consuming,” but also, can be “unpredictable” and “messy”.

- *Community participation in implementing in situ upgrading*

It was discovered during interviews conducted with the residents of Slovo Park that the electrification project encountered numerous setbacks including community infights about how the project must be facilitated and cable theft. Participants emphasised how community involvement played a significant role to ensure that the electrification project was a success. This included each household watching over cables throughout the night to prevent cable theft. It was explained how they had to unite as a community and stand against the deviating group named “Marikana” who did not approve of the project. Views were expressed by various participants who indicated the following:

*“There was a deviant group that was against the ideas and the implementation of this upgrade. They were of the view that the upgrading funds must be in their possession, something that the majority of the community was against. They thought that the committee will be responsible for the funds, so they sort of wanted a share in those funds. However, this electricity project had no financial benefit to anyone, but only focused on upgrading Slovo Park”* Pastor TM

*“Deviant groups within the community that wanted government to give them the project funds for them to deliver this project because this project is happening in their community. I differed with this opinion because those people did not have the necessary skills to implement the project”* RM

*“Community members used to stay in guard on each street to ensure no cables are stolen throughout the project duration. Since the project has been completed, we have not been experiencing cable theft”* ML

*“Some community members including myself volunteered in the project to facilitate easy access to people’s shacks”* LG

From these views, it has become evident that a successful UISP process is not possible without community participation. Although the community receiving *in situ* upgrading may have conflicting opinions, they tend to unite because they share a common goal which is service provision that will improve their quality of life. Ziblim et al. (2013) indicated that lack of public involvement can also hinder speedy and successful project implementation in *in situ* upgrading.

- *Community Empowerment*

Interviews revealed that some of community members were empowered during the electrification project through the offering of temporary employment. It was highlighted that there were no initial intentions to employ community members on the project, which also delayed implementation processes. The decision to employ unemployed members of the community, accompanied by a fair selection process coordinated by the councillor ensured a successful implementation. These were views expressed by TM, who explained that:

*“The Councillor facilitated the employment of unemployed community members. He applied a process called “fuduwa” meaning that individuals would put their names into a container which is shaken, and names are randomly picked. Even people living with disabilities were employed in the project” TM*

From the above, residents from informal settlement expected upgrading projects to not only facilitate provision of services but to also provide employment, even if it is temporary. El Menshawy et al. (2011) indicated that an informal settlement intervention strategy must empower its beneficiaries through transforming their livelihoods. Therefore, community participation should go beyond decision-making and involve the community during the implementation stage. This also contribute to community’s capacity building (both leadership skills and technical knowledge). By achieving this, UISP process would have achieved a successful community participation. According to Wekesa et al. (2011), UISP is one of the few progressive approaches that seeks to contribute towards social and economic empowerment.

c) Residents' perception on their quality of life after the implementation of *in situ* upgrading

- *Safety within the community*

Residents indicated that, since the decision to upgrade Slovo Park in 2016 by the high court, the community got electrification in 2018. Electricity cables and metres were installed into the stand owner's shack and those who rent share with the stand owners. It was also observed that there are streetlights installed on each street (see figure 7). Residents expressed that this has contributed into the safety of the community.



Figure 4: Public lights

Source: Author's compilation

It was revealed during interviews with the residents of Slovo Park that quality of life has improved since electrification project. Firstly, shack fires have ceased. Secondly, health related issues contributed by paraffin gas have stopped. Thirdly, people no longer wake up too early to prepare for work, therefore, have extended resting period since they walk to work. Fourthly, food security has improved because households are able to buy food in bulk and store in refrigerators, which saves money in a long run. Lastly, the degree of crime has declined because streetlights have brought safety within the community. These were views expressed by the following participants, who indicated that:

*“The quality of life has improved intensively between the time we were relying on illegal connections and now. I have changed from using paraffin stove and wooden stove to cook and warm water to bath in the morning, preparing for work” TM*

*“Access to electricity has simplified my life and I no longer fear for the safety of my children. When I leave my children for work in the morning or for a night shift, I am comfortable even if I were to forget the lights on” AM*

*“Having access to electricity has eliminated the health issues I previously had when using paraffin stove, which released gas that affected my lungs and eyes. With electricity, I can simply use electric kettle and a 2-plate stove to prepare meals and warming bathing water. This saves me a lot of time. Through the light provided by the streetlights, we can monitor and ensure safety within the community” ML*

*“...I can buy food in bulk and store in the fridge. I have a monthly budget. In the morning, I can work up a little later than I used to in preparation for work. I no longer rely on ‘mbaula’ to warm up water. So, it saves me plenty of time. The streetlights installed have provided safety within the community as we are able to see everything that is happening on our street at night. So, this has reduced the crime rate. I am also safe walking on the street in the early hours going to work” JM*

Based on the above views, it is evident that residents are satisfied with the social infrastructure improvements meant to improve their quality of life. According to Amao (2012), there are three main philosophical approaches that the quality of life can be determined. The first philosophical approach is the normative ideals and belief systems that individuals live by. This describes the personal experience of people. The second philosophical approach describes the satisfaction citizens attain from obtaining the things they desire. The third philosophical approach encompasses the first and second approach, therefore description of quality of life, factors such as feelings of joy, pleasure, contentment, and life satisfaction based on personal experience. However, because this satisfaction is based on social indicators and individuals’ emotional satisfaction, it may not reflect the factual quality of the community’s life. Nonetheless, this study accepts the third philosophical approach because one cannot explore quality of life in a qualitative research without considering the perceptions of the participants. According to Tonon (2015), these perceptions are essential in understanding people’s experiences of wellbeing and issues related with the quality of life.



- *Affordability of the provided services*

During the interviews, it was revealed that although residents have access to electricity, using it comes at a higher cost. It was indicated that most of the community members are unemployed, they do not afford to top-up electricity units. As such, they often have no choice but to go back to using unsafe options for lights and cooking. APM and TM who were participants in this study had this to say:

*“access to electricity improved our lives because when we could afford to buy the electricity units we are able to charge our phones but because most of us are unemployed, electricity is expensive. As such, if one could not top-up the electricity units we go back to square one, use candles and cook with paraffin stove. Therefore, access is still a problem because of our socio-economic status” APM*

*“electricity is costly and I have come to realise that the units we get are not equivalent to the units people from rural areas get for the same amount of money. We do not get government subsidy towards electricity, yet initially we had free electricity for about 3-4 months”. TM*

It had been learned during an interview with Nkosi (2019) that implementation of community empowerment is an aspect that lacks in this UISP process. When Nkosi (2019) was asked to identify issues with room for improvement in the planning and implementation of *in situ* upgrading to ensure enhanced quality of life and sustainable livelihoods, in his response, he said:

*“...Procurement processes to cater local needs in the form of delivery vehicle, Community Builder Programme”. (Nkosi, 2019)*

Without social inclusion, tenure security and quality of life cannot be achieved through *in situ* upgrading if the UISP process does not incorporate the enhancement of socio-economies of beneficiaries by means of community empowerment. According to Huchzermeyer (2006), informal settlement interventions that are not accessible to beneficiaries will result in their displacement to housing options that offer affordability and, in many cases, these are new or existing informal settlements, irrespective of the inclusiveness of the initial allocation

procedure. Therefore, if skills development was not possible during the UISP implementation phases, then community-based or area-based subsidy mechanisms must be considered. Huchzermeyer (2008) highlighted that displacement due to unaffordability was the reason for ineffectiveness of the Kenya Slum Upgrading Programme in improving the quality of life of its beneficiaries.

- *Health issues related to poor sanitation*

Nonetheless, access to basic services remains a major challenge that negatively impact the social factor of the community of Slovo Park informal settlement even after incremental provision of basic services (including the pit latrine in figure 8 below).



Figure 5: Pit Latrine

Source: Author's compilation

During interviews, it was discovered that poor sanitation contributes to illnesses while there are no reliable clinics within the settlement for residents to visit. One of the interviewees indicated that:

*“The only services that we are satisfied with is electricity. I cannot consider the pit-hole toilets because the ones we have stink and we are getting sick from them. As I speak, my 25 years daughter once got an infection from using these toilets...” NX*

From the above residents' perception, it can be understood that residents are not content with their socio-economic circumstance. They acknowledge that provision of electricity brought improvements in their quality of life, however, this did not address all the social infrastructure challenges the community is confronted with. The provided pit latrines as part of the incremental service has not improved the quality of life in Slovo Park informal settlement, mainly because residents cannot empty their pit once they are full. According to Isunju et al. (2011), unhygienic pit latrines in informal settlements are responsible for the spread of diseases and there has been lack of progress in prioritising sanitation in informal settlements. Sustainable sewage service delivery requires continuous management, as such a service provider of such must ensure that the design of the pit latrine compliments the emptying service. Therefore, it is undeniable that resources have not been allocated to continuously manage the incremental service of pit latrines in Slovo Park informal settlement and this is contributing negatively to the socio-economies of the residents and ultimately on quality of life.

- *Lack of access to medical assistance*

It was indicated during interviews that accessing urgent medical care is a challenge due to poor navigation as there are no street names. This poses life risk to women in labour because they often must be transported to the nearest accessible spot within the settlement, for the ambulance to fetch them. As such, there have been infants born in the settlement without professional medical assistance. The following respondents had this to say:

*"...We rely on clinics situated at Eldorado Park because the recently provided mobile clinic does not have sufficient equipment and medication...In the case where women are in labour, we have to hire a car to drop them off at the fire station where an ambulance can fetch them".*

*NX*

*"Our life is at risk because we lack access to immediate medical assistance. Over the years, I have helped many women in labour because the ambulance could not reach them due to lack of street names" LG*

From the abovementioned comments, it is clear that the residents of Slovo Park have a double-edged socio-economic circumstance that poses risk to their life and quality of life. Firstly, they have no access to reliable clinic facility in which residents particularly women and children can access medical assistance. Secondly, accessing medical assistance outside the settlement proves to be a challenge since there are no street names for easy navigation. The combination of the two challenges increase the risk mortality in both women and children. This is for the following reasons: informal settlements are confronted with poor environmental, overcrowding, inadequate sanitation and housing conditions that are prone to spread of infectious diseases. Children are the most vulnerable, and delays in seeking appropriate medical care can multiply the disease burden and undermine efforts to improve health outcomes (Ndugwa & Zulu, 2008).

- *UISP, a prolonged programme*

During an interview, Malau (2019) indicated that:

*“Quality of lives among dwellers improve as delivery of constitutionally rights services is effected. The provision of water, toilets, electricity, and other amenities improve lives...”*  
(Malau, 2019)

*“It has to be noted that this is 100% government subsidised programme so full implemetantion of upgrading can take 10 years depending on population of occupants; land rights; suitability of ground in terms of habitability; and availability of funds from coffers to attend to each activities of every phase. Other factor which may derail completion is migration of residents”.*  
(Malau, 2019)

Yet the respondents indicated that:

*“If this was not a pro-longed process, it could be effective and efficient. We have tolerated bad living conditions for more than 2 decades in Slovo Park, therefore incremental development process undermines the urgency of basic services. I would suggest that the duration intended to complete this programme be reduced to a shorter period so that our children can have a better future. We are no longer thinking of ourselves but our children”.* NX

*“....Government should source out funds to simultaneously provide most of the basic services. This development will take a long time to be completed and most of us might not be alive to see*

*most of the services. For example, our leaders, Mohau and Mampara passed on without witnessing/enjoying the fruit of their tireless efforts”. ML*

These perceptions indicate that UISP has shortcomings in improving the quality of life of beneficiaries living in informal settlements and this is due to the lengthy period of completing a comprehensive UISP. Funding has been highlighted as a factor that delays implementation completion as this is a 100% government funded programme. However, these delays contribute to other factors which will further delay completion of an effective UISP process that would improve the quality of life of beneficiaries living in informal settlements. This includes migration of residents into the settlement. According to Arimah & Branch (2011) cities authorities have been unable to manage rapid urbanisation which resulted in the development of informal settlements. This has mainly been due to lack of financial and technical capacity. El Menshawy (2011) also indicated that informal settlements upgrading is often avoided because it requires a large financial input to make provision of the entire infrastructure systems. As such upgrading stages would spread the costs over a longer period. According to Huchzermeyer (2006), municipalities apply for UISP funding which provides a once-off project funding of land rehabilitation. Beyond this, the relevant municipality is responsible for bulk infrastructure and maintenance of services post-implementation. This must fall under an approved municipal IDP which implies that products/projects will be provided on the priority and funds availability basis.

- *Overcrowding*

Participant in the interviews were concerned about excess rentals in Slovo Park and indicated that they contribute to the unreliability of electricity. Each stand has more than three shacks and this overloads the transformers, as such, power-cuts are frequent while city power delays response. When asked to point out contributors that lead to the failure of the plans of *in situ* upgrading to focus on improving the quality of life in Slovo Park, respondents pointed out that:

*“Implementation of an informal settlement upgrading is a long and delayed process. Even people that did not live here initially, move here due to the attraction the initiated*

*implementation brings, which in my view will hinder the success of the plan. The community is growing despite some families moving to other places. The identified land is already getting occupied by people that were not initially earmarked for that land”. Pastor TM*

*“So far, this plan to is unsuccessful because we still have excessive rentals and overcrowding which makes the provided services insufficient.... Government has the powers to identify suitable land and do relocations. The sooner this is done the sooner the effectiveness of this upgrading will be satisfactory. At the moment, although we have access to electricity we are overcrowded, as such this electricity is unreliable because the population exceed the electricity capacity, as such the transformer burst frequently. It is clear that the same will happen with all the other services government intends to provide for us” EMM*

It was also discovered during an interview with a participant that is renting that simultaneously, she feels disadvantaged by the delays in implementing the relocation phase. In her view, the *in situ* upgrading implemented in Slovo Park, which she also fought for will not benefit her because she does not have tenure security. TM expressed these views by saying that:

*“I am yet to be relocated. So, I cannot say I have security of tenure” TM*

Poor planning of *in situ* upgrading has compromised the efforts of improving quality of life of beneficiaries post-implementation because access to electricity is unreliable in Slovo Park informal settlement due to overcrowding. Not only that, individuals identified for relocation are not made aware of the details of implementation. According to Nikuze, et al. (2019), application for UISP funding should cater for both *in situ* upgrading and the relocation site. The local municipality has the responsibility to identify suitable vacant land for relocation. UISP principles and approaches apply also to relocation site and this is done to minimise the additional stress that comes with relocation. Institutional incapacity in terms of financial and technical resources are compromising the effectiveness of UISP in improving the quality of life of beneficiaries living in informal settlements.

- *Improved livelihoods*

A resident who relies on income generated through rentals indicated that access to electricity has enhanced their livelihoods. Even the Project Officer from CoJ highlighted that:

*“Those with rental business have dramatically increased their fees after electricity installation” (Malau, 2019)*

However, this landlord expressed her concerns that the upgrading might have negative effects on their livelihoods. For example, relocation of rentals will limit the demand and provision of housing might mean they can no longer have shacks rented in the yards. This was view stated by AM, who indicated that:

*“I mainly rely on the income I get from the rentals. If the upgrading for example housing provision would mean I can no longer accommodate rented shacks, then this upgrading will have negative impact on my livelihood” AM*

The above statement indicates that stand owners benefiting from rentals would like not to be disadvantaged by the upgrading, especially during the housing provision. Once again, it is evident that the community of Slovo Park bought into UISP without fully understanding what it entails and this is concern. Relocation of some of the community members is inevitable in many cases of *in situ* informal settlement upgrading. This is mainly to reduce overcrowding in informal settlements and avoid using unsuitable areas within the settlement. However, Huchzemeyer (2006) highlighted that UISP process considers the socio-economic viability indicators that will trace the households' livelihood strategies. UISP intends to respond flexibly to demand, rather than simply to allocate the same product equitably to all households within a community or every informal settlement. Payne (2009) also indicated that land tenure security, which is one of the achievements of the UISP implemented at Slovo Park should allow residents to use their properties for economic gains including running a business to left themselves out of poverty. Residents of Slovo Park have already identified rentals as a source

income, it is therefore, their livelihoods and this should not be undermined, but rather enhanced.

- *Improved food security*

It was also indicated during interviews that since the electrification, residents not only are they able to save money on monthly groceries but also have improved food security. These were comments made respondents, who said:

*“...having access to electricity has reduced the amount of money I spent on basic food. I can buy food in bulk and store in the fridge”. RM*

*“Access to electricity improved food security in the household and helps me stick to the monthly grocery budget. Having to constantly buy meat, at times rotten because vendors also used ice to keep the meat fresh and this made it very hard for me to save money towards other needs. When I go to work, I know that my children have access to good food during the day because, as you may know a shack is very hot, so when we leave cooked meals in the pots, the food gets rotten and difficult to eat ” NX*

From these views, it is undeniable that socioeconomic status has a direct link to food security. Residents of informal settlements are generally low-income earners, which has implications on the diet or type of food they can afford to buy to sustain them for a month. Lack of access to electricity worsens the circumstance of food insecurity because buying food such as milk and frozen meat in bulk is not an option. Yet, this could reduce the cost of food on a monthly basis as compared to buying single items on a day to day basis. According Naicker et al. (2015), residents of informal settlements face a much higher level of food insecurity due to very low income and lack of full-time employment. This contributes to undernutrition or malnutrition because some of the coping strategies employed during food insecurity include decreasing of the variety of foods eaten. As such, consumption of vegetables, fruit and protein would decrease. Although household income did not improve amongst the residents of Slovo Park, having access to electricity helped households save the little they earn by enhancing the



opportunity to buy food in bulk due to better storage capacity. This also had a direct impact on food security.

#### 4.2.1 Overview of interview responses

Table 3: Overview of interview responses

Interviewee responses		Overview
a) Residents' views on the impact of the implemented <i>in situ</i> upgrading in Slovo Park informal settlement.	<ul style="list-style-type: none"> <li>Maintain the way of life</li> </ul>	Social networks are maintained, and livelihoods are uninterrupted.
	<ul style="list-style-type: none"> <li>Regulating of informal settlement</li> </ul>	Stand numbers are allocated and electricity cables are installed to each shack, particularly the stand owner's shack.
	<ul style="list-style-type: none"> <li>Uncertainty about tenure security</li> </ul>	Residents are unable to upgrade top structure.
b) The role of the community during <i>in situ</i> upgrading process	<ul style="list-style-type: none"> <li>Ineffective community participation in planning UISP</li> </ul>	Indirect community participation resulted in the physical planning aspect of the process unknown to the beneficiaries.
	<ul style="list-style-type: none"> <li>Officials' incapacity to facilitate community dialogue</li> </ul>	Community participation is an administrative façade which undermines beneficiaries' decision-making in the upgrading that is meant to improve their quality of life.
	<ul style="list-style-type: none"> <li>Community participation in implementing <i>in situ</i> upgrading</li> </ul>	Residents were actively involved in the electrification project.
	<ul style="list-style-type: none"> <li>Community Empowerment</li> </ul>	Poor, UISP still require the establishment of Community Builder Programme.
c) Residents' perception on their quality of life after the implementation of <i>in situ</i> upgrading	<ul style="list-style-type: none"> <li>Safety within the community</li> </ul>	Crime rate is reduced within the settlement due to the provided public lights.
	<ul style="list-style-type: none"> <li>Affordability of the provided services</li> </ul>	Potential threat to the success of UISP. Poor socio-economies could result in the displacement of the beneficiaries.
	<ul style="list-style-type: none"> <li>Health issues related to poor sanitation</li> </ul>	Provided latrines contribute to health issues, yet there is no convenient health care facilities within the settlement.
	<ul style="list-style-type: none"> <li>Lack of access to medical assistance</li> </ul>	The lives' of residents, particularly women in labour is at risk.
	<ul style="list-style-type: none"> <li>UISP, a prolonged programme</li> </ul>	A minimum of 10 years to complete UISP process is too long and opens opportunities of overcrowding.
	<ul style="list-style-type: none"> <li>Overcrowding</li> </ul>	Excess rentals contribute to insufficiency of services provided by UISP, i.e. reliability of electricity.
	<ul style="list-style-type: none"> <li>Improved livelihoods</li> </ul>	Stand owners increased rental fees subsequent to the electrification project.

	<ul style="list-style-type: none"> <li>• Improved food security</li> </ul>	Households are able to buy food in bulk and store in the refrigerator for the month.
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### 4.3 Conclusion

This chapter has presented the findings gathered from interviews with Slovo Park residents. From the interviews it was established that residents range from stand owners and rentals, young individuals and retired individuals. Data analysis was based on the findings as presented by the participants in this study, field observation photographs and literature review. Themes discussed in this chapter include the following:

- Maintain the way of life;
- Regulating of informal settlement;
- Uncertainty about tenure security;
- Ineffective Community Participation in planning UISP;
- Official's incapacity to facilitate community dialogue;
- Community participation in implementing UISP process;
- Community Empowerment;
- Safety within the community;
- Affordability of the provided services;
- Health issues related to poor sanitation;
- Lack of access to medical assistance;
- UISP, a prolonged programme;
- Overcrowding;
- Improved livelihoods and
- Improved food security

These themes were linked to the main research questions and will further be linked to research objectives in this study in the following Chapter, where summary of research findings is provided in detail.

## **Chapter 5: Summary of results, recommendations and conclusions**

### **5.1 Introduction**

This research report draws its conclusions and recommendations from the case study of Slovo Park informal settlement with regards to the effectiveness of *in situ* upgrading programme. At this point, it is important to summarise the findings and align the findings with the research objectives. As such, in this Chapter, reference is frequently made to chapter 4 and chapter 1 of the study. The researcher also identifies challenges that were developed from the findings in order to give direction for future research themes. Recommendations are provided mainly based on the findings and drawing lessons from Chapter 2 of the study. This will lead to the overarching conclusion of the study which focuses on the entire research.

### **5.2 Summary of research findings**

Chapter 2 of this study indicate that security of tenure has been identifies as the first step towards quality of life in informal settlements. This is mainly because regularisation of an informal settlement opens opportunities for the provision of access to healthcare, education, housing, employment opportunities, general social amenities. Developing countries have embraced the upgrading of informal settlements as part of a solution to the existing housing issues they are confronted with. The various upgrading programmes by developing countries include Informal Settlement Development Facility in Egypt, Thailand's Slum Upgrading Taskforce, Nigeria's Informal Settlement Re-development Project, Kenya Slum Upgrading programme, India's Dharavi Redevelopment Project and lastly the South Africa's Informal Settlement Upgrading Programme. However, based on the recent literature, it is evident that where community participation is not at the core of these informal settlement upgrading processes, these strategies are unsuccessful. On the other hand, Thailand's SUT was effective in improving quality of life of residents of informal settlements due to its successful involvement of beneficiaries in the planning, and implementation of the upgrading programme.

Qualitative research method was used to conduct this exploratory study. In order to increase the standards of validity or to strengthen the credibility of research findings, a combination of two data collection style was employed, namely; in-depth interviews and field observation. The

data was later analysed using content analysis which required discovering of patterns on the data collected to derive themes.

**a) The impact of the implemented *in situ* upgrading in Slovo Park informal settlement: Maintain the way of life; regulating of informal settlement and uncertainty about tenure security**

The first objective of this research is to explore the impact of the implemented *in situ* upgrading programme in Slovo Park Informal settlement. In Chapter 4, subsection (a), it is highlighted that *in situ* upgrading programme has regularised the settlement by officially allocating stand numbers and securing land tenure as the first step towards improving the quality of life of the residents of Slovo Park. It is clear that relocation was not a desired option for this community due to their fear of the unknown. Residents fear that an intervention that suggested relocation could negatively impact their current social networks which form a crucial aspect of survival within the community. Not only that, residents also make indication of the economic opportunities offered by the closeness of Slovo Park informal settlement to the Nancefield industrial firms. As such, *in situ* upgrading has had a positive impact because it acknowledges the community's social networks by introducing minimal interruption to their current livelihoods while waiting for incremental upgrading implementation.

This approach has brought no interruption in the resident's way of life, instead has instilled more hope that ultimately the community has received the attention it has longed for, over 2 decades. CoJ officials confirm that Slovo Park informal settlement is on course to ultimately be an approved settlement for township establishment and then having project subsidy number for permanent purposes. Despite regularisation of the settlement, residents are unable to improve their housing structures because they face demolition threats as they are unaware of the sewerage site that will be installed within their yards. As such, the current housing structure in Slovo Park is mainly informal and inadequate. From the abovementioned findings, objective 1 of the research is achieved.

**b) The role of the community during in situ upgrading process: Ineffective community participation in planning UISP; officials' incapacity to facilitate community dialogue; community participation in implementing in situ upgrading and community Empowerment.**

Findings as discussed in Chapter 4, subsection (b) addresses objective 2 of this research, which is about identifying the role of community when planning and implementing the *in situ* upgrading in Slovo Park informal settlement. From the respondents' views, it becomes clear that although the community is represented by the SPCDF, ordinary community members did not perceive themselves actively involved in the planning processes. Although it was litigation that facilitated approval of UISP in Slovo Park, the stakeholders involved hindered effective community participation in the planning process. It is indicated that there was a deviant group within the community that contributed to the delays in the implementation of the electrification project. This was caused by level of mistrust in how the project will be facilitated. Nonetheless, municipal officials also admit to the lack skills to facilitate effective public participation that could lead to the involvement of the community members in decision-making pertaining the layout design of the upcoming projects. Not only would this exercise educate beneficiaries about the programme they are buying into but, would also ensure that the products or services provided are suitable for the needs of the community in terms of affordability.

However, it was important that the community come to consensus with the derived plans. Thus, community participation in the implementation process was at the core of a successful completion of electrification project that was meant to contribute towards improved quality of life. The researcher observed how community members pride themselves in the efforts they personally made in the electrification project. The role they play in their own development gives them a sense of belonging and accomplishment.

There is also an expectation from the community that local development must involve the local community by means of job creation even if it was a temporary offer. Nonetheless, this is also an important aspect of community participation process, it is as significant as in the *in situ* upgrading planning process. An informal settlement such as Slovo Park has high unemployment rate and unskilled population. As such, they can only offer labour resources

during a project and temporarily enhance their livelihoods. The challenge with this is that post-implementation, the livelihood circumstance of this community members remains unchanged. This is a factor identified by the CoJ officials and recommend the need for an improved procurement processes that will cater for local needs in terms of introducing a delivery vehicle that will promote Community Builder Programme. It is assumed that this would empower the community and enhance their skills. Community empowerment would not only enhance the livelihoods of the residents of this informal settlement but would also ensure sustainability of the provided services.

**c) Residents' perception on their quality of life after the implementation of in situ upgrading: Safety within the community; affordability of the provided services; health issues related to poor sanitation; lack of access to medical assistance; UISP, a prolonged programme; overcrowding; improved livelihoods and improved food security**

The research findings also provide answers to objective 3 of the research and that is to explore the quality of life of the residents of Slovo Park after implementation of *in situ* upgrading. In Chapter 4, subsection (c), it was highlighted that since 2016, the only upgrading implemented was the electrification. It was discovered that CoJ has not yet received funds for UISP, although the application is underway. Upon MEC approval, all phases' activities will be implemented. Emphasises is made that a programme such as UISP is a 100% government subsidised programme so full implementation of upgrading can take a minimum of ten years, considering the technical challenges that could arise.

Residents of Slovo Park are content with access to electricity because some component of their quality of life has improved since the installation of electricity within the community. These include the improved safety due to public lights installed, the use of electric appliances such as stove to prepare meals and electric kettle for warming water to wash has reduced health issues related to the previous use of paraffin stove. The convenience of using electricity for preparing for work has added more time to rest. The likelihood of shack fires has declined, and food security has improved because there are opportunities to buy food in bulk and store in the refrigerator.

However, there are challenges identified in the *in situ* upgrading that hinder its effectiveness in improving the quality of life of informal settlement residents. These include the unaffordability of electricity due to the socio-economic circumstance of the residents of Slovo Park. There are latrines provided as part of the incremental service provision which are said to be unhygienic mainly because there is no regular maintenance in terms emptying the pit, while residents have no way of doing this on their own. Thus, poor sanitation contributes to illnesses, while the community does not have a local clinic. Inaccessibility to appropriate health care facility does not only hinder treatment to illnesses related to poor sanitation but also life threatening to women in labour, who an ambulance cannot reach to them unless they have been transported to the nearest accessible spot within the community because there are no street names.

Although overcrowding is identified as contributory factor to unreliability of electricity within the community, families identified for relocation are not informed of when relocation will be implemented. In the meantime, this has left their tenure security status unclear. Residents indicate that the issues they are experiencing with electricity supply will be perpetuated in all the services to be provided in the future if overcrowding is not addressed. For stand-owners who rely on rentals for household income, relocation of rentals is a threat to their livelihoods which improved after electricity installation. However, this perception is due to lack of information which could have been provided if effective community dialogue was conducted. In this community dialogue, residents would have discussed socio-economic viability indicators that will trace the households' livelihood strategies and derived complementary solution.

### **5.3 Challenges developed from the findings**

Litigation has successfully facilitated the approval of *in situ* upgrading for Slovo Park informal settlement, but stakeholders involved have failed to follow the UISP process on community participation. Effective community engagement plays a significant role to beneficiary education which help the community buy into programmes they understand holistically. When input is limited to stakeholders such as SERI, CUBES and SPCF, this takes away the opportunity for the ordinary community members to form part of the crucial stage of planning and implementing upgrading process. This also raises concerns that the stakeholders might have alter motives for the work they are doing, and this might be the reason for the division

within the community which later disrupted implementation of the electrification project. On the other hand, government still lacks better understanding of the UISP *in situ* upgrading process. It is a major concern that community participation is still approached as a tick-box exercise in which officials are not capacitated to have effective community engagement. As discussed in Chapter 2, section 2.3 of this study, the ordinary person has a role to play in the development that is meant to change their life. This is supposed to be at the core of an effective UISP in improving the quality of life of residents of informal settlements, as policy describes.

UISP is an incremental upgrading that takes a pro-longed duration to be completed. In the process of planning and implementation, priority is given to the most needed services within a community. Service delivery is expected in every 3-year circle and that is problematic. To date, there has not been a completed UISP recorded nation-wide. Upgrading for Slovo Park informal settlement was not approached as a unique case. Residents have already waited for over 2 decades for improved quality of life. It is logical that due to budget limitation confronted by the CoJ, comprehensive upgrading cannot happen over-night. However, there are enabling strategies that could contribute to fast tracking access to adequate housing for informal settlement residents. For example, sharing information with the community on the sewerage pipe sites could encourage residents to start building their homes while waiting for other basic services.

Migration of residents into Slovo Park was identified as a factor amongst others, that might derail completion of an *in situ* upgrading programme. Currently, there is migration into Slovo Park and the identified land for potential relocation of existing residents. There is a concern that the delays in relocating the identified individuals from Slovo Park might result in government finding the earmarked land overpopulated. There is also a possibility of relocation resistance from the identified families who might fear perceived insecurity of tenure in possibly an area where they might face numerous challenges. These include lack of cohesion amongst new settlers and existing settler, decreased job opportunities or self-employment, and inability to access credit from community groups amongst which are survival strategies for residents in informal settlements. This could imply that the issue of overcrowding might be problematic to resolve, yet this contributes to the poor quality of life for residents. As it stands, the community is overloading the grid and as such, electricity is unreliable.



Although *in situ* upgrading has the potential to improve quality of life of residents, it does not enhance sustainable livelihoods post-implementation. During implementation, residents are offered temporary contracts for the duration of the project which require unskilled and semi-skilled capabilities. Slovo Park has a high unemployment rate and services such as electricity become an expensive commodity to sustain post-implementation. This implies that access to such services become limited to socio-economic circumstance of individual households. Thus, UISP *in situ* upgrading should also focus on skills development. It has been indicated that the existing government procurement processes are not flexible to include a delivery vehicle that will empower the community.

## **5.4 Recommendations**

### *In situ upgrading that is complementary to the community's socio-economic status*

UISP should consider the socio-economic circumstance of the community. Slovo Park has excessive rentals, and this is because rentals are a source of income to supplement low-income earners and in the case of retired individuals, rentals are the main source of income. Therefore, if the plan is to eradicate informality, UISP should incorporate formal structures for rental in addition to housing to allow continuous access to this income. This way, the provided infrastructure will match the expected number of people in a community. If not, households will continue perpetuation renting of shacks, which will defeat the purpose of the *in situ* upgrading programme. The aspect of community participation plays a significant role in this. Top-down planning and implementation process allowing for little or no input from beneficiary communities and should be avoided because they result in community resistance to possess sense of responsibility to ensure compliance with the city's regulations. Chapter 2, subsection (a) show that community participation in the planning process had proven to be a success in Thailand's SUT in collaboration with (CODI). South Africa can learn from the successful programmes of Thailand and take lessons from the contributing elements to the ineffectiveness of the Nigerian re-development project implemented in Port Harcourt.

### *UISP process that promote self-provided adequate housing*

Some of the residents have the financial resources to build a formal top structure but due to lack of information of the plans for engineering services such as sewerage pipes, households are unable to invest in their property and build adequate housing for themselves. Some households have taken the risk of demolition when they built formal structures subsequent to acquiring land tenure. As it was discussed in Chapter 2, section 2.2 of this study, adequate housing influences the environmental domain of the quality of life. It is no surprise that some residents of Slovo Park are eager to improve their housing structure. This is also an indication that availability of information pertaining sewerage pipe sites might encourage many others. While speeding up structural improvements in Slovo Park which would contribute positively to the indicators of quality of life as housing domain influences the environmental domain of the quality of life. Furthermore, this could later help reduce the number of housing applicants on an already burdened housing backlog.

### *UISP that addressed overcrowding as the first step*

It is recommendable that every informal settlement upgrading begins with addressing overcrowding. This will ensure that services provided are adequate and reliable. There is a concern that Slovo Park will remain overcrowded for a long time because individuals previously identified for relocation have not been relocated to the identified suitable land. Yet, other people are migrating to the land. If most people cannot be accommodated on the identified vacant and suitable land, they will remain in the community, overstretching the resources provided for the limited population of Slovo Park. This will defeat the purpose of the upgrading process because the quality of life residents of Slovo Park will remain unchanged. Therefore, if relocation of some of the residents was recommended, it is advisable that this is executed before basic services are provided. This will help with monitoring and discouraging migration into the settlement.

### *UISP that facilitates community empowerment for the sustainability of the upgrading*

Informal Settlement upgrading provides infrastructural development and sometimes adequate housing. However, it was also focused on providing services that are accessible and affordable to beneficiaries. It is undeniable that offering free electricity to a community with high unemployment rate as Slovo Park can be unsustainable. But, ensuring that with every project the community acquire skills development, this would enhance their livelihood post-implementation. As already suggested by the CoJ official, it is imperative that government introduce delivery vehicles that will promote Community Builder Programmes. This would improve their skills and increase their level of employability. The researcher argues that this would be a significant effort to improving the quality of life of residents of informal settlements.

#### **5.5 Future research themes**

The current study did not focus on the impact of relocation on the identified families or individuals. Although it has been indicated that some members of the community of Slovo Park, especially those who currently renting, acknowledge that relocation is imperative, the study did not highlight how the possible relocation affect their current survival strategies in terms of access to credit from community groups and their livelihoods. It has also been said that UISP should also cater for relocated individuals. However, it is unclear how effective is UISP in ensuring that the quality of life of relocated individuals is not worsened in the new settlement. If the quality of life of the relocated individuals become worse in the new settlement, what will stop affected individuals from migrating back to the upgraded settlement where their social networks are still viable? These presents future research themes worth investigating in order to ensure that the quality of life of upgraded informal settlements is not compromised by overcrowding as contributed by excessive rentals.

## 5.6 Conclusion

Informal settlements in cities are a global phenomenon and eradication is not possible due to increased urbanisation and income inequalities encountered by the urban poor. Various countries have derived upgrading programmes to improve the common characteristics found in informal settlements including access to adequate water and sanitation, access to electricity and tenure security. Quality of life of residents of informal settlements has improved since the implementation of SUT in Thailand, which embraced the involvement of beneficiaries in the planning, and implementation of the upgrading programme. Although residents of Slovo Park did not perceive themselves as actively involved in the planning of the UISP *in situ*, they had a consensus with the derived plans because they focused on the needs of the community and improving their quality of life. Thus, the success in the electrification project was the result of community participation.

This is an element omitted by the Nigerian Informal Settlement Re-development Project, as such security of tenure was unsuccessful in Port Harcourt where exist 65 percent of informal settlements. The Kenyan KENSUP was no different because, beneficiaries cannot afford living in the provided two bedroom or single-room housing units. Which defeats the purpose of informal settlement upgrading programme as beneficiaries are prone to move to other areas where they will develop and expand informal settlements under poor quality of life. A similar mistake made by various countries in addressing informal settlements is implementing an upgrading programme without carefully assessing the socio-economic circumstance of the community. Slovo Park has excess rentals for a reason, including supplementing low income and sometimes, the main source of income. Thus, the community members would like to see an accommodating strategy that will allow the existence of rentals but in a formal and controlled manner. Taking into consideration that the implementation of in situ upgrading did not enhance sustainable livelihoods to many residents, the approach to upgrading Slovo Park should not disable the existing livelihoods.

Sometimes informal settlements require an upgrading programme that will ensure land tenure as it was the case with Dharavi Redevelopment Project in India. The fact with illegal occupation is that residents are confronted with a constant fear of eviction as such, although residents have

financial resources, it is futile to invest in a formal structure. Nevertheless, it has been learned that security of land tenure should be accompanied by clear directions of where within the stand can residents build formal structures. In the case of Slovo Park, though residents have attained land tenure, there are still restricted from improving their housing structure because the plans for sewerage pipes have not been communicated. This hinders residents from exercising their property rights and invest in improving their quality of life. But most of all, hinders the potential for residents to reduce the overly stretched housing demand in which government is expected to provide.

It has been learned that the crucial aspect of UISP, that is community participation in planning upgrading for informal settlements is not effectively executed. It is undeniable that government officials need to be capacitated in this regard to ensure effective upgrading process. However, stakeholders also need to acknowledge the importance of ordinary community member's input in the layout design as a beneficiary of *in situ* upgrading. This is because, ultimately upgrading is meant to improve the living conditions of the beneficiaries, thus, understanding of the programme and having influence in decision-making has the potential to instil sense of responsibility and compliance with the prescribed regulations that come with development. This will also eliminate interruptions during the implementation process. Thailand's SUT was effective in improving the quality of life for informal settlement residents and community engagement was at the core. South Africa could learn from the processes of this programme.

Nonetheless, subsequent to the electrification project, residents of Slovo Park perceived their living conditions to have improved as far as access to electricity is concerned. Although there are concerns that upgrading is a pro-longed programme, residents are confident that this programme can improve their quality of life once all services are provided. CoJ has applied for upgrading funding and awaiting MEC approval. Upon approval, all phases of upgrading will be implemented. However, it was emphasised that considering that this is a 100% government subsidised programme, there might be a reshuffling of priorities depending on the availability of funds. This contributes to the duration it takes for a complete upgrading process, which is estimated at a minimum of 10 years. However, Slovo Park is in the process of becoming an approved settlement for township establishment and then having project subsidy number for permanent purposes.

For South Africa to achieve an effective UISP *in situ* upgrading that will improve the quality of life for residents in informal settlements, it must address the following issues; tick-box community participation, overcrowding and improve their procurement processes and promote community builders programme because these are major shortcomings.



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