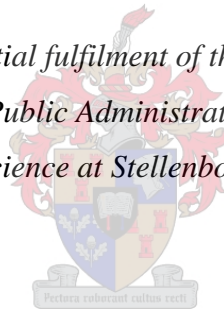


Assessing community participation in the upgrade of informal settlements: A case study of the formalisation of the Democratic Resettlement Community, Swakopmund, Namibia

by

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Thesis presented in partial fulfilment of the requirements for the degree of Master of Public Administration in the Faculty of Management Science at Stellenbosch University



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December 2019

Declaration

By submitting this thesis electronically, I declare that the entirety of the work contained therein is my own, original work, that I am the sole author thereof (save to the extent explicitly otherwise stated), that reproduction and publication thereof by Stellenbosch University will not infringe any third party rights and that I have not previously in its entirety or in part submitted it for obtaining any qualification.

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Abstract

Community participation has become an important aspect in the practice of upgrading informal settlements. Since the commencement of democracy in Namibia, municipalities have increasingly been encouraged to promote and empower the people to participate in municipal affairs. This case study assessed community participation in a formalisation project by evaluating the approach taken by the Swakopmund Municipality (SM) during the formalisation of the Democratic Resettlement Community (DRC) informal settlement.

The objectives of this study were to evaluate the effectiveness of the municipality's approach to community engagement. This was achieved by evaluating the structures and open spaces adopted to allow the participation of project beneficiaries in the upgrading process. Furthermore, the study aimed to evaluate the level of participation by community members, which was achieved by examining the strategies/platforms used to participate during the upgrading of the DRC settlement, using the International Association for Public Participation (IAP2) Spectrum model and Arnstein's (1969) ladder typologies. Lastly, the study made recommendations to improve communication between Swakopmund Municipality and the DRC during the on-going upgrading of the informal settlement.

A random sample of thirty participants of the DRC community (both ordinary community members and community leadership committee members) and a purposive sample of three municipal officials and four councillors took part in the study. Due to work obligations, the mayor and general manager of the community development services department were not available for interviews. A questionnaire was used to gather data from DRC participants and interviews were held with municipal officials and councillors. Research observations were made regarding participants' behaviour under natural conditions (not experimental conditions). A corpus analysis of archived governance documentation was made and a literature study conducted to determine the theoretical grounding of the study and the level of compliance of the Swakopmund Municipality to legislation, regulations and best practice regarding community participation.

This study relied on the arguments of the IAP2 (2007) public participation spectrum and Arnstein's (1969) ladder of participation and its typologies concerning community participation, as conferred by Theron, Ceaser and Davids (2007:8), who argue that the two schools of thought can significantly influence the processes in the upgrading of an informal settlement.

In the analysis of the level of participation by both ordinary community members and community leadership committee members, it was revealed that participation is still at a tokenism level and has not yet reached a level where participants are empowered by the process. In this case, participation is applied as a form of information sharing and, although done with the best intentions, it does not serve to empower the affected community.

This study adopted a mixed methods approach using both quantitative and qualitative methods and an evaluative research design. The aim of the evaluative design was to measure the level of participation which is indicative of the municipality's perspective on community participation.

It was discovered that the SM does not have a principal strategy in place towards achieving meaningful participation, which is the community participation policy. The structures to advance community participation are not properly used and also not enough efforts have been made to promote community participation. This is seen in the absence of ward committees and democratically elected community leaders. SM showed a tendency to use platforms for information-sharing and not one for meaningful community input. This study recommends that a detailed community engagement policy be drafted with the relevant stakeholders, while the existing platforms of participation and exiting strategies to promote community participation in the SM be reviewed.

Opsomming

Gemeenskapsdeelname het 'n belangrike aspek in die opgraderingspraktyk van informele nedersettings geword. Sedert die aanbreek van demokrasie in Namibië is munisipaliteite toenemend verplig om deelname van mense aan munisipale sake te bevorder. Hierdie gevallestudie het gemeenskapsdeelname in 'n formaliseringsprojek beoordeel deur die benadering van die Swakopmundse Munisipaliteit (SM) tydens die formalisering van die Democratic Resettlement Community (DRC) informele nedersetting te evalueer.

Die doelwitte van hierdie navorsing was om die doeltreffendheid van die munisipaliteit se benadering tot gemeenskapsbetrokkenheid te evalueer. Dit is bereik deur die strukture en ruimtes wat gebruik is om die deelname van projekbegunstigdes in die opgraderingsproses te evalueer. Voorts het die studie probeer om die vlak van deelname van gemeenskapslede te evalueer. Daarin is geslaag deur die strategieë/platforms wat aangewend is met deelname aan die opgradering van die DRC-nedersetting te ondersoek deur gebruikmaking van die spektrummodel van die Internasionale Vereniging vir Openbare Deelname (IAP2) en die leerpatroon-tipologieë van Arnstein (1969). Laastens is met dié studie ook aanbevelings gedoen om kommunikasie tussen die SM en die DRC tydens die deurlopende opgradering van die informele nedersetting te verbeter.

'n Ewekansige steekproef bestaande uit 25 deelnemers en 'n doelgerigte steekproef van sewe deelnemers was deel van die studie. 'n Vraelys is gebruik met die oog op data-insameling van die deelnemers uit die geleedere van die DRC-inwoners (gewone gemeenskaps- sowel as gemeenskapsleierskap-komitee lede) en onderhoude is met munisipale amptenare en raadslede gevoer. 'n Korpusontleding van argiefdokumentasie en 'n literatuurstudie is aangewend om die teoretiese begronding van die navorsing te bepaal en om die SM se vlak van voldoening aan wetgewing, regulasies en beste praktyk betreffende gemeenskapsdeelname na te gaan.

Hierdie studie onderskryf die argumente van die IAP2 (2007) spektrum van openbare deelname en die leerpatroon en tipologieë van Arnstein (1969) betreffende

gemeenskapsdeelname, soos bespreek deur Theron, Ceaser en Davids (2007:8), naamlik dat die twee denkskole 'n belangrike rol kan speel in die opgradering van 'n informele nedersetting. Met die analise van die vlak van deelname deur gewone gemeenskaps- sowel as gemeenskapsleierskap-komiteede is dit duidelik dat dié deelname nog op die vlak van tokenisme verkeer waar dit nog nie 'n bemagtigingsfase bereik het nie. In hierdie geval word deelname as 'n vorm van inligtingdeling toegepas en, hoewel dit met die beste bedoelings gedoen word, dien dit nie oor die geaffekteerde gemeenskap te bemagtiging nie.

Hierdie studie het 'n kombinasie van kwantitatiewe en kwalitatiewe navorsingsmetodes, asook 'n evaluerende navorsingsontwerp, gevolg met die doel om 'n antwoord te vind op die vraag of die SM genoeg gedoen het om 'n sinvolle opgraderingsproses tydens die formalisering van die enigste informele nedersetting op Swakopmund in plek te plaas.

Daar is bevind dat die SM nie 'n hoofstrategie, dit wil sê 'n gemeenskapsdeelnamebeleid, in plek het om betekenisvolle deelname te bewerkstellig nie. Die onvoldoende strukture wat bestaan word nie behoorlik aangewend nie en daar is ook nie genoegsaam pogings aangewend om gemeenskapsdeelname te bevorder nie. Dit verduidelik die afwesigheid van wykskomitees en demokraties verkose gemeenskapsleiers. Die SM is geneig om slegs van platforms gebruik te maak om inligting te deel en nie vir betekenisvolle gemeenskapsbydraes nie. Derhalwe beveel hierdie studie aan dat 'n omvattende gemeenskapsbetrokkenheidstrategie, in samewerking met alle belanghebbendes, opgestel word en dat die bestaande platforms vir deelname, asook dat die strategies om gemeenskapsdeelname binne die SM te bevorder, hersien word.

Acknowledgements

I would like to extend my gratitude to the following people who made this study possible through various ways:

- My supervisor, Mr Francois Theron for his professional guidance and enthusiasm towards producing quality graduates.
- Prof Charles Keyter, for assisting me, guiding me and constantly offering words of wisdom.
- The Stellenbosch University Language Centre, for equipping me with professional academic writing skills towards producing this document.
- Mrs Jennifer Saunders, for her incredible technical support services.
- The research participants i.e. DRC informal settlement, the Swakopmund Municipality's officials, as well as councillors for their kind contribution and knowledge in producing the thesis.
- My good friends, Helena David, Martha Luanda, Jennifer Paulus for the constant encouragement during the academic journey.
- My Mother Tresia Matias, my siblings; Lazarus Ndalifilwa and Paulina Ndalifilwa for reminding me on the importance of education.
- Last but never the least, the Almighty Lord, for granting me the power through him to achieve a milestone of this magnitude.

Dedication

I would like to dedicate this thesis to the following people:

-My life partner Mr Nikanor Nangolo who had gone extra miles by providing me with emotional, financial and spiritual support during my thesis journey, for the constant encouragement even during the times I had given up on myself. You have been my pillar of strength.

- My 18 month old daughter who has been and continues to be an inspiration in my life.

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List of abbreviations

ALAN:	Association for Local Authorities in Namibia
CLIP:	Community Land and Information Programme
COW:	City of Windhoek
DUS:	Development and Upgrading Strategy
DRC:	Democratic Resettlement Community
FAO:	Food and Agriculture Organization of the United Nation
GRN:	Government of Republic of Namibia
HPP:	Harambee Prosperity Plan
IAP2:	International Association for Public Participation
IPPR:	Institute of Public Policy Research
NDP:	National Development Plan
NGO:	Non-Government Organisations
NHAG:	Namibia Housing Action Group
NSA:	Namibia Statistics Agency
SM:	Swakopmund Municipality
SDFN:	Shack Dwellers Federation of Namibia
UISP:	Upgrading of Informal Settlement Programme
UN:	United Nations

CHAPTER 1: GENERAL ORIENTATION TO THE STUDY

1.1 Introduction

Adequate housing is one of humanity's fundamental needs and is essential for protection from weather elements (United Nations (UN)-Habitat, 2010:13). Adequate housing is measured in terms of certain core factors including security of land tenure, the availability and affordability of rent or building costs, clean water, sanitation, cooking facilities, safe buildings, and access to jobs, healthcare and other services (Hakijamii, 2012:8-13). Housing is recognised by several international human rights protocols and the constitutions of many countries as a fundamental right that states strive to provide to their citizenry. States are called on to take administrative, legislative, budgetary and other measure to ensure that their citizenry can access affordable, habitable, culturally appropriate and secure housing without prejudice and also to prohibit unlawful evictions.

One of the biggest problems with supplying adequate housing is the rise in urbanisation as this puts extra strain on government systems. For instance, Asia has the highest population (2.11 billion or 53% of the world's urban population) living in urban areas, followed by Europe, Africa and Latin America (UN-Habitat, 2016:9). It is estimated that half of the world's population (54%) lives in urban areas; however, by 2050, the population residing in urban areas is expected to nearly double, resulting in immense challenges in housing, infrastructure, basic services and employment (UN-Habitat, 2016:10). UN-Habitat (2015:15) notes that urbanisation is happening at a rapid and unprecedented rate, particularly in the developing world.

During 1995-2015, the highest urban growth rate was experienced in Africa whose growth rate is 11 times that of Europe (UN-Habitat, 2016:9). Africa's exponential urban growth is mainly due to natural increase, reclassification of rural areas, rural-urban migration and in some contexts the adverse effects of conflicts and natural disasters. Despite this growth, Africa's urban areas remain the poorest in the world; hence, urban growth brings about major resource constraints in providing and sustaining both infrastructure and basic services for the expanding population. Urban growth is paralleled by an increasing incidence of poverty. In

sub-Saharan Africa, the number of people living in extreme poverty increased from 205 million in 1981 to 414 million in 2014 (UN-Habitat, 2016:9).

This extraordinary growth in urbanisation is contributing to an overwhelming growth of informal settlements that are characterised by a lack of adequate infrastructure and services, overcrowding and inadequate housing. Land invasions take place daily in local authorities' jurisdictions. A key contributor to the spreading of informal settlements is rural-urban migration. This migration is out of desperation and without resources to support themselves, which is extensive in most countries in the developing world where there is a massive influx of populations from rural settings to urban areas in search of better services and employment. The outcome is that the demand for housing, infrastructure and services in urban areas is exceeding supply, resulting in a myriad of socio-economic challenges, which include overcrowding, congestion and inadequate housing.

One of the stumbling blocks in providing adequate housing is the isolation of intended beneficiaries' during informal settlements upgrades. They are to be afforded the opportunity to render their knowledge in issues affecting their lives, because only they know their needs better. To this end, this chapter sketches the route taken throughout the research. It briefly outlines the background to the study, the purpose of the study, the problem statement and research objectives of the study, the scope and focus of the research, the research design, the research methodology and the significance of the study.

1.2 Background of the study

As an African country, Namibia is no stranger to problems with adequate housing provisions. Namibia, currently faces severe shortage of affordable housing, which is negatively impacting purchase and rental prices, especially for the poor. In 2013, the national housing backlog was estimated at 100 000 housing units, of which the number was growing at an annual rate of about 3 700 units (Remmert & Ndhlovu, 2018:8; Government of the Republic of Namibia [GRN], 2013:16). A current and detailed analysis by Institute of Public Policy Research [IPPR] of informal settlements in Namibia shows that there are around 140 000 shacks in the country's urban areas (IPPR, 2011). The housing backlog is highest in the

lowest income sectors: those with monthly incomes of N\$0 to N\$1 500 (estimated at 45 000) and incomes of N\$1 501 to N\$4 600 (estimated at 30 000) (IPPR, 2011).

1.2.1 Namibia's colonial legacy

Just like in South Africa, many academics including Turok (2012:3) and Barnes, Volkmann, & Muller, (2015:1) were of the opinion that urbanisation challenges were attributed to the country's colonial history. The researcher acknowledges their sentiments; in fact, Namibia's colonial history with the German occupation during the 1880s, when contract black workers were sheltered in informal settlements is a result of the influx of rural dwellers to the urban areas (Remmert & Ndhlovu, 2018:12). This pattern continued until the implementation of South African apartheid policies in Namibia into the 1960s, resulting in the replacement of informal settlements with racially divided townships. When Namibia gained independence in 1990, those in need of better income opportunities or shelter acted on their new freedom of movement and migration to urban areas increased. In an attempt to address past imbalances such as the land issue, the Namibian Constitution called upon the Local Authorities Act 23 of 1992, as amended, to provide power to local authorities to ensure the provision of affordable land tenure and basic services by liaising with the public during the provision of services, rendering the idea from the core values for public participation by the International Association of Public Participation (IAP2, 2007).

1.2.2 Urbanisation today after colonialisation

Today, Namibia, like other African countries, continues to experience rapid urbanisation. The 2011 census indicated an increase in the rate of urbanisation, with 42% of the country's population living in urban areas compared to 33% in 2001 (Namibia Statistics Agency [NSA], 2012:19). The NSA attributes this exponential urban growth to rural-urban migration. The fast urbanisation is resulting in numerous socio-economic challenges, which include overcrowding, congestion and adequate housing. The influx of migrants into the country's urban areas is resulting in a high demand for housing. However, due to high urban poverty in the country, housing development is visible in informal settlements.

1.2.3 Participatory governance

The Republic of Namibia aims to address the housing challenges brought about by urbanisation through “participatory governance”. The Constitution (1990) of the Republic of Namibia addressed community participation through the establishment of the Local Authorities Act 23 of 1992, as amended. The Act outlines the duties of “Part 1 municipalities” and “Part 2 municipalities” these organisations are tasked to encourage communities to actively participate in their own development. Swakopmund Municipality (SM), a Part 1 municipality, is characterised as having a “solid financial basis. As a Part 1 municipality, SM is expected to provide adequate, secure and affordable housing under the provisions of the Local Authorities Act” (Ministry of Regional and Local Government, Housing and Rural Development, 2009:4). On the other hand, Part 2 municipalities have a “more fragile financial basis and are subject to control exercised by the Ministry of Regional and Local Government, Housing and Rural Development” e.g. soliciting financial resources for housing development, which makes it difficult to tackle informal settlement challenges (Ministry of Regional and Local Government, Housing and Rural Development, 2009:4).

Local government institutions such as municipalities have an important role in providing a legislative framework to prevent community participation from failing. Therefore, municipalities are expected to have a community participation strategy, referred to by some as a “community engagement strategy”, for achieving greater levels of community participation. Community engagement is a key role of local authorities working with communities to make more informed decisions regarding housing issues (Mitchell Shire Council, 2016:5). Solving problems in informal settlements requires that decision-making be informed by the underlying issues facing affected communities. This partnership is to be maintained through an effective communication structure (Theron & Mchunu, 2016:1-26).

The neglected aspect of “authentic engagement” between the residents and the local authorities has resulted in local authorities, which previously demolished any unapproved structure, recognise that they cannot meet the demand for shelter and so allow the building of informal settlements within formally planned areas (Barnes, *et al.*, 2015:5; Chakraborty, Wilson, Sarraf & Jana, 2015, cited in Clark *et al.* 2016:3). With the constant changes in population and the escalation of informal housing structures overnight, for example, in the DRC in Swakopmund, it is hard to maintain accurate demographic data for municipal use

(Palmer, 2017). Without this updated information, municipalities are unable to maintain compliance with the national housing policy (Clark *et al.*, 2016:3; World Bank, 2002). Due to these informalities, it is difficult for municipalities to identify the needs of these rapidly appearing communities and to establish timely and appropriate responses (Chakraborty, *et al.* 2015, cited in Clark *et al.*, 2016:3), which normally leads to impatience and anger among the residents. Therefore, keeping track of the latest developments in an informal settlement, allows the municipality to acknowledge the problems and work with the residents to find viable and affordable ways to tackle the issues facing the residents. In this way, residents are afforded the opportunity to influence, direct, control and even own the process, a key argument of IAP2 (2007).

In the case study of the DRC (chapter four) and the quest to address housing shortages and the influx of rural-urban migration being experienced, SM upgraded the only informal settlement in Swakopmund. Currently, DRC is divided into more than five extensions due to on-going land servicing initiatives. This study focused on the oldest extension called DRC “proper”. The extension has started to take shape properly, based on the characteristics of a formal settlement, hence it is known as DRC “proper”. DRC “proper” was established in 2000 as the result of a relocation process and houses approximately 1 370 residents (Awaseb, 2017). The settlement was erected at the edge of the town of Swakopmund, where land was cheap and neglected (Moser & Satterthwaite, 2008:3; Mahanga, 2002, in Victor, 2009:2). As the only informal settlement in Swakopmund, the DRC is beset by many problems, including lack of proper housing, unsuitable basic services, ineffective sanitation facilities, lack of infrastructure and recurrent shack fires.

The formalisation of the DRC project entailed upgrading the area to a legal settlement, which started in 2010. The upgrading process consisted of erf registration and title deeds for all erven, and provision of basic services such as water and electricity, sanitation facilities and road infrastructure. The former Head of State, Hifikepunye Pohamba, during his term of office (2010), expressed government concern about the provision of adequate housing and lack of adequate sanitation in some settlements and cited the DRC as an example (Xamases, 2013).

A good relationship between the municipality and community is necessary for effective implementation of a project, and effective communication is key to driving, establishing and maintaining such relationships. However, a gap in communication regarding relocation processes and basic service provision between the municipality and the community has characterised the project from its inception. Plagued by limited feedback from the municipality regarding service delivery left residents confused and frustrated.

This broken communication interfered with the efficiency of service delivery and the effective management of the informal settlement. The problem was addressed by considering the community's views regarding their needs through conducting community-driven profiles and enumerations that promoted community participation in the process. This was done with the help of two non-governmental organisations (NGOs), namely the Shack Dwellers Federation of Namibia (SDFN) and the Namibia Housing Action Group (NHAG). The purpose was to collect relevant data that would aid in community growth and development and give feedback to the people while also giving them a sense of empowerment. The problem is, however, that these surveys are normally a once-off activity while needs change over time. Communication between municipal officials and residents should, therefore, be continuous to consider the changing needs. Unfortunately, communication between the SM and the informal settlement residents is still flawed (Gao *et al.*, 2007:26; Clark *et al.*, 2016:3). The seeming lack of effective communication is perpetuated by a top-down style of upgrading informal settlements, which has led to dissatisfaction regarding the participation of settlement residents.

Different participation strategies have a different impact on participatory influence. For this reason, Theron and Mchunu (2016:4) postulated that “if change agents are not actively engaging the effected community, the extent to which the community members participate in the development project will be affected”. The International Association for Public Participation (IAP2, 2007), through the spectrum of different participatory influences, indicates the interventions used with the aim of achieving authentic community participation. This spectrum guided the study and determined whether people had a voice in the pace and types of service, and whether unique communication strategies had been implemented to achieve the desired goals (Theron & Mchunu, 2016:36).

One of the best public participation interventions for improving informal settlement is finding an appropriate mix of context specific community participation strategies. This new approach was born after there had been a breakthrough in communication between informal settlement residents and government officials internationally. Both local and international research indicates a need to improve communication practices in insisting on the importance of urbanisation and informal settlement upgrading in broader debates about development. Improving communication can also address transparency issues in the public sector, which both limit effective upgrading. It has been the objective of international public institutions and NGOs to encourage communication via authentic dialogue and participation to help reach overall developmental objectives.

There have been varied policy responses to improving informal settlements and different policies regarding informal settlements in Namibia, recently returning to an emphasis on *in situ* upgrading. Previous policies focused on formal developments and relocations. Recent years, however, The Development and Upgrading Strategy (DUS) had been implemented in various parts of the country (World Bank, 2002:9-15), through bilateral assistance from sister countries such as Denmark, France and Luxembourg. It was argued that these projects focused on *in situ* upgrading. The United Nations (UN) also realised the urgency of slum improvements by promoting the recent “transformative approach”. Through this approach, the Sustainable Development Goals and Millennium Development Goals are to “make cities and human settlements inclusive, safe, resilient and sustainable” (UN, 2018:9).

For SM to improve the provision of services in DRC, it is necessary to authentically engage the primary stakeholders (DRC residents) by encouraging them to participate in the selection (identification), construction and maintenance of services (Gao *et al.*, 2007:18). Authentic, empowering and sustainable development encourages community participation (Theron & Mchunu, 2016:34). This means that "if the process is managed well, [residents might] claim ownership of projects, ensuring sustainable grassroots development. This is an ideal community participation planning partnership, one founded on collaborative co-production between (external) change agents and (internal) beneficiaries” (Theron, 2008:14).

What has been and still is ignored in Namibia is the language barrier during informal settlement upgrades. English is the official language. The majority of DRC inhabitants are Oshiwambo speaking with high illiteracy levels (Van der Merwe & Esterhuizen, 2010:5). The language barrier thus prevents some residents from actively participating in the development process.

1.3 Research problem

Before undertaking any study, a research problem is important as it narrows down the focus of a study (Brynard and Hanekom, 1997:15). In the process of outlining the research problem, the researcher is able to describe the underlying problem more accurately. Although national legislation makes provision for community participation to be incorporated into the in-house policies of municipalities, there are still municipalities that fail to integrate or successfully implement the policies or strategies at the local level by devising detailed and easily understood community engagement frameworks. Municipalities' role in providing an in-house framework is an important factor in minimising failure (Bhengu, 2013:25). Therefore, community participation should be undertaken within the context of a structured agreement between the community and the municipality. One finds that in many projects, the process of community participation is considered a formality rather than an important opportunity to engage the community (Williams, 2006:200). In the absence of in-house regulations (or a framework), community participation is a mere tool of formality, which tends to be top-down and prescriptive, often becoming mere "window-dressing" and compliance driven (Theron & Mchunu, 2016:115-148).

In the colonial era, during both the German and the South African regimes, the majority of Namibians were excluded from engaging in issues pertaining to housing development. In support of the above, Bhengu (2013:3) argued that although many democratic governments has made community participation an integral part of housing development processes, it is still overlooked in many development projects.

Emphasising the importance of community participation, Hauptmann (2001:398) argued that community participation gives people a better understanding of their own interests and the interests of others and, in some cases, enables them to assess what would be best for the

entire group. Therefore, communities should be viewed not as passive participants but as active agents of change and development. Participation should empower people to become more resourceful and should aim to ensure that service and infrastructure delivery is enhanced through community participation.

In municipalities where community participation has been implemented, the level of participation by a community is often associated with the strategies used to engage. This means that residents are to be afforded relevant strategies and platforms for communicating that suit their lifestyles and socioeconomic status (Thwala, 2010:972; Lizarralde & Massyn, 2008:2; IAP2, 2007:1). Thwala observed that community participation is generally more successful when the community takes on much of the responsibility than when higher level public agencies attempt to assess consumer preferences through surveys or meetings. Lizarralde & Massyn (2008:2) argued that the level of local participation is circumstantial since there are no rules that prescribe such levels. The IAP2 places emphasis on the strategies of participation used when engaging residents. Irrelevant communication interventions lead to unsustainable and unwanted development. The current study used the IAP2 spectrum, which has five levels of engagement and Arnstein's (1969) ladder of participation and typologies to assess community participation in DRC. This means that the level of participation defines the residents' role in the project, in this case, the formalisation of the DRC "proper".

The DRC came into existence through a relocation decision by SM. The Department of Health [DOH] (2004:14) as in Victor, (2009:7) argued that relocation is considered where development is dreadful or not required and must be based on a "voluntary and cooperative basis". The SM made the decision to temporarily relocate people who were based at the single quarters and compounds to the cheap land situated at the edge of Swakopmund with the aim of slowly upgrading the settlement with proper basic services such as a clean water supply, proper sanitation, drainage systems and electricity supply and to provide residents with erven to construct affordable houses.

Today, the members of the DRC have lost hope of accessing proper basic services from SM (Nampa, 2016) as a result of flawed communication between them and the municipal officials after their plea for improved basic services a decade ago. This has been highlighted by a

public outcry in the local print and electronic media (Xamases, 2013; Palmer, 2017; Ipinge, 2018). The monthly report of SM reaffirms the stagnated development of the DRC (Swakopmund Municipality, 2014). According to Xamases (2013), DRC residents submitted numerous petitions in August 2012 in the quest for erven registration, proper basic sanitation and clean running water. In this regard, the IAP2 (2007) and the Association for Local Authorities in Namibia [ALAN] (2001:65-66) called for effective implementation of a community participation strategy to guide development at local levels; without a policy guiding the municipality on how to engage with the intended beneficiaries, innovations are prone to fail. Seemingly, studies to evaluate the most effective strategies of participation are lacking (Theron & Mchunu, 2018:129-133).

According to Meyer and Theron (2000:2), community participation is often practiced in a confusing manner and it is often not clearly structured, evidently, coordination is lacking. The current communication problems experienced between the SM and the DRC results in the lack of local community-based structures being in place. The upgrading of informal settlements poses participatory challenges in that community participation requires authentic contributions from community members and an enabling communication structure.

The key hypothesis that was generated is: In the SM's DRC project, authentic and empowering community participation will only be reached if and when project beneficiaries not only influence and direct the process, but control and own it.

It is against this background that the study, which is evaluative in nature, sought to determine the approach of the SM towards achieving authentic levels of community participation. Authentic community participation strongly relies on effective communication between the development workers and community members.

1.4 Aims and objectives of the study

1.4.1 Aims of the study

The aim of the study was to assess the route taken by SM towards creating an enabling environment with the sole purpose of promoting authentic community participation, during the formalisation of the DRC. The study was also determined to find a practical and workable

approach to emphasise community participation in the upgrading of informal settlements to assist in improving the service delivery to these settlements. To accomplish this, the current communication structures between the SM and DRC residents were analysed. These communication structures are pivotal as inappropriate strategies of participation and interventions by the masses can lead to a poorly planned and costly upgrading programme.

1.4.2 Research objectives

Research questions or objectives serve as a starting point and a guide for planned research (Martin, 2014:7). Similarly, Brynard, Hanekom & Brynard (2014:11) refer to research questions as a mind-map for data collection and problem-solving. Social research requires either a hypothesis or research questions; at times, researchers use both tools to structure and plan their studies. In this case, the study was guided by the following research objectives:

- To evaluate the effectiveness of SM's approach to community engagement by assessing whether a detailed community participation framework/policy was implemented.
- To evaluate the level at which the DRC members as the (internal) project beneficiaries were participating in decision-making towards the upgrading of their settlement. This was achieved by assessing the selected participation strategies and the level of effectiveness of the strategies, as illustrated by the IAP2 spectrum (2007) and Arnstein's typologies (1969)
- To formulate recommendations to improve the communication and community participation strategies and structure between SM and the DRC.

1.5 Significance of the study

This study makes an important contribution in clarifying the role a municipality can play to prevent issues that may lead to a decline in community participation. The study also sought to identify the challenges confronted by SM regarding fractured communication during the upgrading process. Moreover, the findings of the study could assist SM in addressing the challenges regarding the participation of DRC residents in municipal affairs. Furthermore, the study could serve as a reference point for future researchers and scholars who desire to conduct research on the upgrading of informal settlement and related topics in municipal and community partnerships. The results of the study may add to the existing body of knowledge in

the field of Public Administration studies, especially towards enhancing community participation levels at the local government level.

The study could enable the SM to develop a mix of community participation strategies to be used to ensure authentic participation by the community during any future development projects. At the same time, this study could assist other Namibian local authorities experiencing similar issues to overcome poor community participation. The study generated suggestions on creating an enabling environment that promotes authentic community participation. Equally important, this study could serve to supplement the currently limited Namibian literature on community participation.

1.6 Limitations of the study

As indicated, this study only focused on interviewing members of the DRC and development workers of SM as well as the councillors, hence the narrow scope. From the onset, the study consisted of only 39 participants, 4 municipal development workers, 5 councillors and 25 participants from the DRC. This sample represented only a small part of the population of 1 370 residents of the DRC. Therefore, research studies with a much larger sample size would be required to ensure appropriate generalisation of the findings of the study. Unfortunately, the researcher only managed to interview seven participants and not nine as primarily planned. This was because the mayor and general manager had very busy schedules. This study concisely evaluated the approach taken by the SM to promote community participation, and structures adopted by the SM with regard to community participation. However, not every document was available to be reviewed.

1.7 Research design

Social research methodology requires deliberation on the preparation, arranging and implementation of the research process to comply with the demands of facts, objectivity and validity (Brynard et al., 2014:38). The research design specifies how to collect and analyse data. A good research design should be theory grounded, flexible, feasible and efficient. This allows for investigated theories that can be used as a reference to strike a balance between redundancy and a tendency to overdesign.

The research was evaluative in nature, with the purpose to examine a policy or working on a project from the point of view of levels of awareness, attainment of objectives and effectiveness of structures (Trochim, 2006; Walliman, 2011:18). The researcher considered a combination of qualitative and quantitative methods, semi-structured questionnaires for members of the community, which are quantitative in nature. The qualitative research method entailed in-depth interviews using a questionnaire guide for municipal officials as well as municipal political office bearers (councillors).

Social research has changed, new democratic and radical approaches has surfaced (Martin, 2014:9). Theron (2008:17:20) argued that it is time to “expose ourselves to alternative qualitative social research methodology like PAR and PLA”. The researcher utilised the Participation Action Research (PAR) and the Participation Learning and Action (PLA) methods with the aim of discovering the real reasons behind the status quo regarding community participation during the formalisation of DRC “proper”. By applying PAR and PLA, the researcher also aimed to produce practical recommendations to ensure authentic and sustainable communication during community participation in informal settlement upgrades. In this study, PAR and PLA were applied in the researcher’s observations in the local setting, in dialogues with recommended individuals, “reading between the lines” during interviews and general discussions with participants.

The research mainly focused on the qualitative aspect, which dealt with subjective data produced through the inputs of the research participants (Creswell, 2003:45).

The researcher used a case study approach to gather the necessary data that would meet the research objectives, *inter alia* by describing the actions of the research participants in detail (primary data) and then attempting to comprehend these believes in accordance with the participants’ own philosophies, past experiences and the local setting (Babbie & Mouton, 2015:271). A case study is a valuable and holistic strategy used in various areas of research to collect data and to interpret the data (Ouyang, 2009, cited in Babbie & Mouton, 2015:278).

1.7.1 Research methods

The study was of an evaluative nature. The study addressed how the SM promoted authentic community participation, specifically assessing participation structures between the SM and the DRC residents. This objective was attained by collecting two types of data: primary data (first hand) and secondary data (archival documentation), such as reports, journal articles, completed theses and various types of legislation. The secondary data assisted in analysing the effectiveness of communication structures during informal settlement upgrades, which helped to narrow the gap in knowledge that emerged from new patterns in in-house and national policies in the case study municipality.

In order to achieve the research objectives, the data was collected with the aid of two instruments. Firstly, semi-structured interviews were conducted with the municipal development workers as well as the councillors who were part of the DRC formalisation project. Secondly, structured questionnaires were distributed and explained to the DRC residents in a form of a dialogue to help explain the aim of the study and probe for relevant information that might have been left out. The aim of the study was to assess the readiness of the municipality and to examine the extent of community participation during the formalisation of DRC, based on information collected from municipal officials (development workers), councillors, ordinary members of the DRC and the community leaders of the DRC. For the purpose of this study, both municipal officials and councillors were purposefully selected for interviews. The ordinary community members of DRC were approached randomly. The aim and the relevance of the study were explained to all participants. This approach entailed that “each element of the population has the same chance, likelihood or probability of being chosen for the sample” (Bless & Higson-Smith, 1995:89). In agreement, Burger et al., (2015:18) stated that each individual participant, irrespective of sex and race, should have an equal opportunity to be selected in random sampling.

1.7.2 Population

Bless and Higson-Smith (1995, cited in Nampila, 2005:5) defined a population as a group of people who are targeted to be studied, in order for the researcher to identify specific features and make a generalised conclusion. They further stated that it is essential to describe the target population accurately to collect and obtain relevant and valid information. The population of this research consisted of DRC residents (both ordinary and community

leaders) and SM officials and councillors. The DRC consists of 1 370 inhabitants (Awaseb, 2017).

1.7.3 Sample

The active research participants who were investigated by a researcher and whose characteristics could be generalised to an entire population is called a sample. The targeted participants, DRC community leaders (also referred as ward committees), municipal officials and councillors who participated in the study made up the sample.

For the purpose of this study, municipal officials, councillors and community leaders were selected by means of nonprobability sampling, by using purposive sampling. This meant that only people who were accessible and had the necessary information were targeted (Welman *et al.*, 2006, in Martin, 2014:10); thus, only those councillors who directly participated in the formalisation of the DRC were interviewed. The same applied to the municipal officials; only the community development/housing officer and the housing assistant, manager and general manager of the Community Development Services Department who had adequate knowledge of the process of formalisation of the DRC since 2011 and who could realistically comment on how they perceived the effectiveness of the community participation policy/public participation strategy, were consulted.

The ordinary community members (DRC proper), who were selected randomly from the extension (DRC proper), were selected by means of probability sampling. Evaluative research usually requires the use of a probability sampling design to ensure generalisability of the findings to the population being researched (Siegel, 1985:48).

The overall sample size was chosen with the aid of an internet sample size calculator (Survey Monkey, 2018). According to the Survey Monkey website, calculating the sample size consist of three elements, “which is the population size; defined as the total number of people whose opinion or behaviour your sample will represent. The second element is the confidence level; which is the probability that your sample accurately reflects the attitudes of your population, the industry standard is 95%. The last element was the margin of error, the range (measured as a percentage) that your population’s responses may deviate from your sample. The sample size is calculated by inserting the three elements based on the researcher’s authentic

information”. This study’s sample size is scientifically in line with the standard calculations; this means the sample size was not based on a guess.

The study included thirty (30) participants from the 1 370 inhabitants of the DRC. Five were community leaders and twenty-five (25) were ordinary community members. From the municipality, two community development officers and the manager and general manager at the Community Development Services Department were interviewed. From the councillors, the mayor with her four counterparts (councillors), were directly responsible for the informal settlement. Thus, the study had a sample of 39 participants, as indicated in Table 1.1:

Table 1.1: Study sample

Participants		Number of participants	
1.	Homeowners		
	• Community leaders	5	
	• Ordinary community members	25	
2.	Municipal officials and politicians		
	• Administrators • General manager: Community Development Services Department	1	
	• Manager: Community Development Services Department • Community development officers	2	
	• Politicians	Mayor	1
		Councillor 1	1
		Councillor 2	1
		Councillor 3	1
		Councillor 4	1

	Total		39

1.8 Research ethics

Research ethics has highlighted the significance of objectivity by arguing that “the researcher is obliged to adhere to the guiding principles of objectivity and integrity on his or her pursuit of the truth” (Brynard & Hanekom, 1997:95). The research ethics that were applied in this study included assurance of nondisclosure of respondents’ identity, advice to potential respondents on their right to refuse taking part in the research, adherence to stipulated interview timelines, respect for company property and premises, and assurance of no alterations to information supplied. Ethical clearance was required due to the sensitive nature of the research. The researcher received the necessary consent from the Chief Executive Officer of SM in 2017. Consent forms were drafted for participants. The researcher requested permission from the Research Ethics Committee of Stellenbosch University to conduct the study.

1.9 Key concepts

The following key concepts directed the study and are defined here according to the context of the study:

1.9.1 Community participation

Community participation is defined in the context of upgrading informal settlement projects and, specifically, the role that project beneficiaries can/should play as project participants to improve their livelihoods. A primary concern for community participation remains the authenticity of the engagement with communities, and the ability to participate beyond “consultation” and “involvement”, to the “empowerment” of individuals (Theron, 2005:117; Theron & Mchunu, 2016:115-147). Community participation aims to achieve specific socioeconomic goals to ensure a “better life for all”, especially for those who are living in poverty (Williams, 2006:199).

Williams (2006:199) also argued that the nature of community participation rests on to a great extent on the nature of the organisation, mobilisation at grassroots and the programmatic

purpose of such participation. Community participation entails the “engagement of communities in issues affecting their lives” and “having a significant degree of power and influence” (Burns et al., 2004:7), to secure a better life for all, if not most (Williams, 2006:199). It is noted that everyone might not be interested to participate but should nevertheless be afforded the opportunity to do so (Burns *et al.*, 2004:7).

The researcher contends that community participation is a process, through participation, by which participants actively influence, direct, control and even own decisions affecting their livelihoods (Jelagat & Barasa, 2013:400; Mosotho, 2013:26). This calls for community members, both as project beneficiaries and participants, raising their concerns and letting their voices be heard during the upgrading of informal settlements from which they are supposed to benefit. This means that the principle of communication and authentic community participation cannot function without the other. In the study, the researcher made reference to community participation and communication because they are interwoven.

Community participation thus entails a mutual social learning process in which project planners and participation facilitators’ coproduced plans with project beneficiaries in a collaborative manner (Theron & Mchunu, 2016:1-26). The study highlighted the relationship between upgrading of informal settlements and community participation in a Namibian case study.

The term “participation” in the context of this study is an attribute of the strategies and platforms used to interact with stakeholders in development. The level of participation is determined by the strategies or interventions used to participate; it refers to communication among the project beneficiaries (DRC residents), the community leaders and SM in the DRC formalisation process. In-house structures and policies had to be clearly articulated for participants to understand. This was done by providing a clear outline of the public participation programme, highlighting functions of various committees, maximum term of office of the community leadership committee and allowing flexible and mix of context-specific communication strategies that are essential to the success of the project (Theron & Mchunu, 2016:115-147). The term “participation” is often linked to terms such as “community participation”, “citizen participation” and “public participation”. In this study,

community participation was preferred; the words are synonymous and refer to the same principle.

1.9.2 Informal settlement or slum

For the sake of this study, the terms “slum” and “informal settlement” were used interchangeably. To the researcher, they referred to the same reality. In the perspective of this study, informal settlement denotes to the unplanned, unserviced land normally situated on the outskirts of town where low-income people live (Guevara, 2014:251; Moser & Satterthwaite, 2008; Mahanga, 2002, cited in Victor, 2009:4; Jordhus-Lier & Tsolekile De Wet, 2013:1). These settlements are characterised by a lack of basic services and unhygienic living conditions, and the houses are made of cheap building material such as corrugated iron, wood, cans and plastic (Ndahafa, 2013:1).

1.9.3 Formalisation (upgrading) of informal settlements

There is no concise definition for the term “informal settlement upgrading”. It is often applied to any sector-based intervention in a settlement that results in quantifiable improvement in the quality of life of the affected residents. This means that there is a range of potential interventions and as a result, a number of different approaches have emerged. In this case, the term “informal settlement upgrading” referred to the legal establishment of a township with formal services and security of land tenure (Sibiya et al., 2013:34; SM, 2010:5). The terms “formalisation” and “upgrading” were used interchangeably and *upgrading of an informal settlement* referred to the physical improvement of the livelihood of the residents through effective communication channels and strategies. Physical improvement denoted the provision of standard basic services. The following are services that are vital to the lives of human beings: water is life, and unclean water can lead to diseases; proper sanitation facilities are necessary to avoid loss of dignity, moral decay and diseases; electricity provision is essential to avoid shack fires; and rubbish should be removed as often as possible to avoid flies, which cause diseases.

1.9.4 Community engagement

According to Mcgee (2009:4), community engagement is important in that it involves those who might not always be included in community affairs. Community engagement can provide for side-lined residents to develop the skills and networks to enable them to tackle

social exclusions (Kagan, 2008). Community engagement, also referred to as “public participation”, is the process of including community members in collective decision-making that affects their lives (City of Sydney, 2016:02). It also encourages good governance and informed decision-making by promoting shared responsibility for decisions. It is a crucial approach because it helps to support an open approach to managing risks by providing a strong foundation for understanding decisions and building trust within the community about the decision-making process.

Establishing community engagement is a key role of local government working with communities to make more informed decisions towards achieving local development goals (Mitchell Shire Council, 2016:5). The Mitchell Shire Council identified several crucial elements for any local authority striving for an active and successful community participation outcome. The community engagement in-house strategy:

- assists the council in decision-making;
- covers a wide variety of council-community connections and interactions;
- shares information through community participation;
- enables community development initiatives;
- promotes active participation in government policy development and its decision-making processes.
- relies on active and constructive participation from the community and council;
- uses a range of strategies such as surveys, public meetings, media releases, social media and listening posts (one strategy is not better than the other);
- Needs to be meaningful and respectful with all community members provided with the opportunity to participate in community participation;
- is constantly evolving and changing, and local authorities need to keep pace with the changes. This will enable any local authority to engage with as many residents as possible; and
- should be considered as a statutory requirement in some instances, such as planning permits.

1.9.5 Levels of community participation

The level of community participation defines the community's role in any community development programme. The IAP2 (2007) provides a community participation spectrum that has five levels of engagement; the level of participation is determined by community participation programme goals, time frames, resources and the level of full participation. Arnstein's (1969) ladder of public participation and its typologies will also be used in the study to determine the level of participation of DRC participants. Thus, the strategies of participation are to be evaluated to test the validity (effectiveness) based on the goal (objective) of the case study.

1.9.6 Community development

Community development refers to livelihood improvements in a community, influenced by the members living in that specific community. Community development is a continuous process and should be facilitated by development workers or change agents. These improvements are achieved in logical sequence, starting with the participation element all the way to sustainability to upgrade the DRC (the project under study) (Theron & Mchunu, 2016:34; Swanepoel & De Beer, 2016).

1.10 Outline of the study

Chapter 1: This chapter introduces the purpose of the study and states the aims and objectives of the research. The chapter also states the research hypothesis and gives an introduction to the study area.

Chapter 2: The literature review unpacks literature surrounding the participatory development debate. It discusses the fundamentals of community participation in the upgrade of informal settlement, firstly in an international context and thereafter in the national context and finally in the local context. This chapter also provides a contextual framework by pointing out the models guiding the study.

Chapter 3: This chapter discusses how the research was undertaken, what methods of data collection were used, and justifies why these were used. The chapter also provides details as

which individuals were identified for the research. Findings from the interviews, questionnaires and participatory observation will be analysed to provide answers to the research objective.

Chapter 4: This chapter describes the case study based on the study objectives. The case study is described in its contextual location, as an area in Namibia, Swakopmund. This chapter also outlines the facts on what has been achieved and challenges experienced with regard to community participation during the upgrading of DRC.

Chapter 5: This chapter outlines the interpretation of the findings on community participation through questionnaires, interviews and through observations that were undertaken in the previous chapter and evaluate the research objectives and hypothesis.

Chapter 6: This chapter provides recommendations on improving community participation during the upgrading of informal settlements and is based on the research findings that were uncovered in chapter 5. This chapter provides closure to the research.

1.11 Chapter summary

Before taking on any academic socially oriented research project, a well-detailed research plan is crucial. It will enable the researcher to know exactly which path to take and which tools to use to gather data relevant to what the researcher wants to discover (study aims). This chapter gave a preview of how the study was conducted, which tools were utilised and who participated in the study. The next chapter will provide a theoretical background of the participatory debate, particular focusing on local government, while creating participatory spaces to influence, direct control and owning development at the periphery level.

CHAPTER 2: LITERATURE REVIEW: THE COMMUNITY PARTICIPATION DEBATE

“The myth that informal settlement population is uneducated on development and helpless to take responsibility for their own survival is superseded by the reality that on the contrary, many find new strengths during development projects” (Goyet, 2009:1).

2.1 Introduction

This chapter focuses on a literature review of the role of community participation during the upgrading of informal settlements. It examines local and international literature on community participation and the upgrading of informal settlements to provide a conceptual framework for the study. This chapter explains how community participation, through proper communication between the development planners and the intended beneficiaries, can bring about meaningful and sustainable development during a settlement upgrade; therefore, the question on the platforms used to engage with the community is assessed.

This chapter consists of two sections. The first section deliberates the phenomenon and philosophy of community participation and the theoretical underpinning of community participation in upgrading of informal settlements. The section further examines the paradigm shift; how far community participation has come and where we currently are, with the aid of theories regarding the upgrading of informal settlements that are briefly discussed. It also examines the framework for community participation adopted for the sake of the study and presents housing trends and patterns in Namibia, the reasons why upgrades of informal settlements are necessary and the approaches used to upgrade these settlements.

The second section briefly discusses the environment suitable for upgrades, such as the structures that need to be in place and the establishment of community participation outreach programmes towards achieving the principles of community participation. It further outlines the communication aspect with regard to the different strategies suitable for authentic and empowering community participation as well as the levels of community participation. This is important as it establishes the type of strategies that the SM should utilise.

Section 2.3 aims to prove, through legislative policies, that the primary emphasis of community participation should indeed be on active participation by communities and on earning power and control. The section further tries to determine the readiness towards achieving authentic community participation of the country, and as such SM, by identifying the implemented framework addressing community participation in informal settlement upgrading. It also serves as platform to analyse and criticise the vague and unclear legal framework for the discussed matter.

2.2 Theoretical overview of community participation and the Namibian experiences in housing provision

Housing is recognised in Namibia's Constitution (1990:9-17) as a fundamental human right. After independence, the Namibian government sought to address imbalances in social welfare entrenched by the apartheid regime. Under this regime, human settlements were segregated by ethnicity. The black and coloured communities resided in areas that were overcrowded and lacked infrastructure and basic services. To address these imbalances and to increase access to housing, the government identified housing as a fundamental right and a key pillar of economic and social development (Mwilima *et al.*, 2011:21-29). From the time we have attained democratic independence, the government has developed a number of national and sectorial development frameworks to address housing.

2.2.1 Introduction: Housing trends and patterns in Namibia

The problem of housing provision has become a global phenomenon, and Namibia is no exception. The most profound constraint in Namibia is the mismatch between housing supply and demand. This remains a key concern for policy-makers who recognise that addressing this persistent imbalance will not only unleash the full potential of the housing market and its contribution to the economy, but will also address the social aspects related to sustainable and affordable housing (Mwilima *et al.*, 2011:21-29).

In 2013, the national housing backlog was estimated at 100 000 housing units, of which the number was growing at an annual rate of about 3 700 units (GRN, 2013:13). The largest backlog of housing is in the lowest income sectors, those with monthly incomes of N\$0 to

N\$1 500 (estimated at 45 000) and incomes of N\$1 501 to N\$ 4 600 (estimated at 30 000) (FNB, 2011, cited in IPPR, 2016). The *Blueprint on Mass Housing Development Initiative in Namibia* (GRN, 2013:13) further noted the following as the key challenges in delivery of housing in Namibia:

- Lack of available serviced land, which is slowing down the process of housing delivery and pushing up the prices of serviced land.
- Limited availability of serviced land, which is mainly due to a lengthy and out-dated approval process for the proclamation of townships; lengthy surveying, subdivision and registration of land; limited financial capacity at local authorities; and a lack of surveyors and other qualified personnel at local and regional authority levels.
- Inflexibility in the current land tenure system that exacerbates the situation.
- Fragmented laws and policies for regulating settlement development and maintenance require reviewing (GRN, 2013:13).

Namibia, like other African countries, is experiencing rapid urbanisation. The 2011 census indicated an increase in the rate of urbanisation, with 42% of the country's population living in urban areas compared to 33% in 2001 (Namibian Statistics Agency [NSA], 2013:11). The NSA attributes this exponential urban growth to rural-urban migration. The rapid urbanisation results in a myriad of socio-economic challenges that include overcrowding, congestion and inadequate housing.

The influx of migrants into the country's urban areas results in a high demand for housing. However, due to high urban poverty in the country, much of the new housing development takes place in informal settlements. A significant proportion of the country's population, approximately 28.7%, lives in poverty with 15% considered as extremely poor (NSA, 2013:11). Although poverty is widespread in rural areas, urban poverty is on the rise.

The 2009 Namibia Occupational Wages Survey revealed that most employees (32 096) surveyed only earned between N\$1 001 and N\$5 000. In the absence of affordable housing, low-income groups resort to finding housing in informal settlements (Kalili *et al.*, 2008:5). Though informal settlements offer affordable housing to the poorest households, households living in such areas face challenges of inadequate basic services and infrastructure. Access to

safe water and sanitation has been identified as a severe problem facing Namibia, especially in informal settlements (NSA, 2012:13).

2.2.2 Challenges in the provision of affordable housing in Namibia

Several problems plague the provision of affordable housing in Namibia. Despite great strides made in improving housing delivery, provision of affordable housing remains an insurmountable task. The challenges are economic, social, environmental and political in nature. Understanding these challenges is essential to ensure development of correct remedial measures.

2.2.2.1 Lack of access to housing finance

Finance in housing delivery is very important because of the huge financial requirement for housing production. In Namibia, mortgages have been noted to be the largest portion of banks' portfolios, with mortgages directed at individuals being dominant. Several authors have noted that lack of capital as one of the major barriers to affordable housing (Mateev & Anastasov, 2010:36; Nichter & Goldmark, 2009:44). Lack of access to finance includes lack of the sources of finance, the high cost of capital, high collateral demands and bureaucratic procedures of financial institutions and banks (Okpara & Wynn, 2007:27; Bukvic *et al.*, 2003:32). The lack of housing finance or unsupportive finance terms, for instance due to high deposit requirements and short loan periods, directly exclude low-income groups.

Most formal financial institutions are structured in a way that favours high-income earners above low- to middle-income earners. Most, if not all, potential providers of finance are willing to commit their financial resources to high-income earners whom they perceive to have the means to pay the mortgage. In the absence of formal financial support, poor households primarily rely on their own savings, self-help initiatives and informal loans to access decent housing.

According to the 2011 Housing study led by the Bank of Namibia, over 73% of Namibians do not have access to credit facilities offered by the financial service sector and thus can't stand to purchase urban land and decent housing (GRN, 2013). A 2008 research paper by the then Namibian Economic Policy Research Unit noted that most of the households in the country (38-72%) financed their housing through personal savings. The paper further stated that

nearly 50% of households that did not qualify for housing finance from banks were also ineligible for any other forms of housing finance. Eligibility for housing finance is difficult for many Namibians considering that the country has a severe shortage of skilled labour and widespread unemployment.

National data drawn from the 2014 Labour Force Survey (NSA, 2014:67-71) indicates that many individuals earn low incomes, with an average monthly income of N\$6 626. The survey found that even though salaries were one of the major sources of household income in the country, the majority of the population was employed in domestic labour that was characterised by low salaries, usually below N\$1 500 per month. The survey concluded that within such an environment of low housing finance participation, scaling up housing delivery is challenging (NSA, 2014:47).

2.2.2.2 Regulatory and institutional frameworks

The regulatory and institutional environment in most developing countries is extremely cumbersome, discouraging affordable housing and slowing its progress (UN-Habitat, 2010:10). Provision of affordable housing is characterised by excessive red tape, corruption and complex regulatory systems (Fjose *et al.*, 2010:14). The burdensome procedures and bureaucracy result in diversion of scarce resources to noncore activities, which is a disincentive (Levie & Autio, 2011:26).

According to UN-Habitat (2010), such regulations, though developed with good intentions, are likely to have negative impacts. Such processes are prone to rent seeking by different actors at different levels. Corrupt government officials are likely to swindle money from desperate home seekers, and powerful elites are likely to enjoy upward mobility and benefit through corrupt dealings. In addition, they are likely to make housing more expensive and less available, driving more people, particularly the poor, to living in substandard housing.

In response to these administrative bottlenecks, the government has made an effort to readjust and align the regulations to the needs of the people, particularly the poor. Through the legal and administrative reform sanctioned by Cabinet in 2015, the Urban and Regional Planning Act 5 Of 2018, was formulated. The Cabinet directive meant a review and reform of legal and policy frameworks on land and housing. The Act replaced the out-dated urban and regional

planning laws, making it possible to streamline and consolidate the currently fragmented processes. In addition, it will decentralise currently centralised functions to the periphery (regional and local authorities), thus facilitating delivery of affordable housing (Genis, 2015:1-4).

2.2.2.3 Scarcity of serviced land

Land is a primary input in housing provision. The scarcity of serviced residential land in major urban areas is widely recognised as a key hindrance to affordable housing. Land servicing is a costly and lengthy process. Local authorities are faced with severe financial deficits, making it impossible to have a substantial budget for land servicing. During the period 2012/2013, the estimated budget for land delivery for the City of Windhoek (COW) was N\$41 million. The approved budget was only N\$21 million. Apart from the process being costly, it is also lengthy. The sub processes are fragmented and performed by different units. This prolongs the process, and the appointment of professionals to provide these services is costly.

2.2.2.4 High cost of inputs

Several resources are required in housing production. These include building materials and technical expertise. The predominant building materials for formal urban houses in Namibia are burnt bricks for walling and corrugated iron sheets for roofing. Despite global and national calls for alternative building technologies, there has been slow penetration of these technologies into the Namibian housing sector (NSA, 2014:49). Slow adoption and implementation of alternative building technologies is due to several reasons that include community resistance to these alternatives, lack of expertise and research in the field, inhibitive procurement systems and restrictive regulatory frameworks. The prices of building materials have been rising exponentially, partly due to import tariffs. In addition, the construction industry grapples with rising labour costs. Certain technical services (surveying and engineering) are offered at very high prices. All these costs influence the overall housing costs.

2.2.3 Understanding informal settlements

The term “informality” has been used differently by scholars in different senses and contexts; however, this study was concerned with community participation in the formalisation of

informal communities by carrying out a situational analysis in the DRC informal settlement. To this end, the study defined “informality” from the perspective of social forces (Guevara, 2014:251) that intended to create collective efforts for survival of the poor, a sort of “opportunity creating tendency” (Friedmann, 2005, cited in Guevara, 2014:251).

It is important to understand the dynamics of informal settlements. To have the capacity to attempt coordinated improvement interventions, it is essential to have solid and forward-thinking information about the community, for example about affordability levels and sustainable livelihood. This will provide a better understanding of informal processes and people’s everyday lives (M’ithai, 2012:36).

The perception of informal settlements determines the effectiveness of upgrades. Many still view informal communities negatively, hence the pejorative name-calling of such areas. Even though such areas are described as illegal shantytowns lacking decent services and infrastructure, denigration is not necessary. The names for informal settlements vary, for example slums, *ciudades perdidas* (Spanish for ‘lost cities’) and *Mukhukhu* (South Africa in “shack” or “shanty”) (Kramer, 2006, cited in Victor, 2009:4). In Namibia, informal settlements are known as *Ke-mbasha* (ghettos). The term originated from the United States of America and was a derogatory term for the areas in which poor black people lived. For the sake of this study, the researcher used the terms “informal settlement” and “slum” to refer to the DRC settlement reality.

2.2.4 State of informal settlements in Namibia

Most, if not all, African countries suffer from poverty. It is projected that 70% of Africa’s urban population live in informal settlements (Arimah, 2010, cited in Bhengu, 2013:21). The UN stated that 400 million people in Africa live in urban areas; this figure is expected to exceed 750 million by 2030 (Allen *et al.*, 2015:90). According to the census between 1991 and 2011 in Namibia, most cities and towns had a national growth rate of 4% (Weber & Mendelson, 2017:15). Weber and Mendelson recognised urban growth as the result of two processes: natural growth of the urban population and internal migration from rural to urban areas or from smaller towns to bigger ones. The 2011 census indicated that nearly 62% of Windhoek city’s 324 470 residents had been born outside the Khomas Region (Pendelson *et al.*, 2014, cited in Weber & Mendelson, 2017:20). The reason behind the internal migration

was the search for greener pastures, such as better job opportunities, better education institutions and a better livelihood.

The housing market in Namibia was and still is mostly controlled by a minority of middle income and high income people who assert that poor people cannot afford decent houses; thus, they are forced to occupy land illegally or to live in informal settlements. As a result, up to 25% of Namibia's two million inhabitants live in informal settlements (Cities Alliance, 2016:1). This could be attributed to the absence of necessary knowledge on the part of local and national authorities to incorporate these people into urban planning. To fill this gap, the community profiling initiative came into being. These profiles serve as guiding tools for upgrading and securing land tenure for low-income households. Among the successful community profiles is an informal settlement in Gobabis, which is referred to as a cattle county because of its livestock farming activities. In Swakopmund, the DRC too has experienced some fruitful profiling activities since 2010.

Informal settlements are usually built at the edges of cities where land is cheap and neglected (Moser & Satterthwaite, 2008; Mahanga, 2002, cited in Victor, 2009:2). This is evident in Namibia, hence the geographical location of the DRC. Houses in the DRC are made of cheap material such as wood, cans, plastic and corrugated iron. Normally, living conditions inside these settlements are poor with occupants confronting a scope of social courtesy challenges, including "poor access to fundamental water supply, sanitation facilities, sewage, waste disposal, electricity supply and proper roads; intermittent shack fires; safety and security dangers; and a scope of health hazards" (Ndahafa, 2013:1). The DRC remains one of the informal settlements where living conditions are questionable; with extension areas where no basic services are traceable.

2.2.5 The phenomenon and principles of community participation

Urban development and planning initiatives in developing countries that emphasise collaborative planning are changing the morphology of cities. Collaborative urban service provision and development approaches based on community participation in municipalities, agencies and NGOs have changed the face of the upgrading of informal settlements (Abbott, 2002; Khalifa, 2015:3; Guevera, 2014:251; Choguill, 1996:439; Patel, 2013:212)

The participatory development paradigm is increasingly being associated with people and their aspirations to make decisions affecting their own lives (Jelagat & Barasa, 2013:398). Community participation in project planning is essential in enhancing development at the basic community level. It is a critical tool for sustainable development and a foundation for local government development. Theron and Mchunu (2016:35) also regarded community participation as an essential element towards an empowered community, thus ranking participation first in Theron's building blocks of development model. The early stages of a project are crucial to the lifespan of a project. In project management, community participation should be prioritized through all stages.

2.2.5.1 Paradigm shift

In achieving informal settlement development, the top-down and bottom-up approaches as forms of community participation are used worldwide (World Bank, 2002; Kyessi, 2002; Makereani, 2007). The 1980s witnessed an important shift from centralisation to decentralisation of informal settlements, with the emphasis on the participatory approach, which puts people at the centre of their own destiny (Jeppe, 1990:62)). This study departs from the human development perspective in which the bottom-up approach is associated with community participation. It starts at the periphery and helps to build self-reliance in beneficiary communities. In Namibia, the bottom-up approach has taken the form of Build Together Housing and the newly formed Mass Housing Programme while legitimising the SDFN, which is an NGO that aims to assist low-income earners by engaging with the affected community to work towards improving the community. The bottom-up approach means that the beneficiaries of development are at the centre of any project (Theron & Mchunu, 2016:1-26).

Most governments in developing countries used the top-down planning approach in their development planning processes, including Namibia. In Namibia, in some instances, one finds municipalities accepting planning proposals for communities from the Ministry of Rural and Urban Development without considering local realities and contexts of intended beneficiaries. According to research done in Gobabis (Namibia),

“a common norm with local authorities (LA) is they hire consultants to draft developmental plans in settlements. This in the end, side-lines the community inputs and their dreams or desires and their advice on how they can assist. Power is placed in the

hands of the LA and residents usually have to comply” (Shack/Slum Dwellers International and the Association of African Planning Schools, 2014:26).

The top-down approach is the opposite of the bottom-up approach; decisions are made at the top without considering participatory influence by the intended beneficiaries. This approach believes that beneficiary communities are “less capable” and they do not understand the planning process, let alone are able to identify priority needs and rank them. Arimah (2010, cited in Bhengu, 2013:12) criticised the “intended beneficiaries” as mere “receivers” and stated that they were reluctant to pay for the improved services. This means that he favoured the top-down approach.

For instance, in a study done in 2003 by Van der Merwe and Esterhuizen (2010:36), it was found that the SM was under the impression that DRC required water as its most basic need but the DRC required electricity instead. The poor appreciation of basic service needs is why Jelagat and Barasa (2013:399) argued that “community members must be involved in prioritising and ranking of the needs and building a consensus around what they believe amounts to the problems facing the community”. For this to be achieved, pressing questions should be asked, for instance, what are the DRC’s urgent needs? Has the DRC ranked these needs in order of priority? Has the DRC participated in ranking them? Jelagat and Barasa further stated that communities should not be influenced to accept a need as a problem affecting them because it amounts to imposing a priority from outside. Herein lays the difference between authentic participation and “involvement” or “consultation strategies” in a top-down manner (Theron & Mchunu, 2016:115-147).

Jelagat and Barasa (2013:399) further established that “if the intended community does not actively participate in needs identification, even if the need is identified by a consultant company (outsider), the community will not accept it, this can lead to stalling at the implementation stage” (National Upgrading Support Programme [NUSP] 2015:19). Because of this, the top-down planning approach failed to address the challenges and problems of most local government planning processes. Jelagat & Barasa, (2013:399) blames the top-down approach for the collapse of most community development projects such as dams, bridges, schools and even health facilities. The issue of a sustainability component remains a mystery in this approach.

To cope with the challenges and in the hope of encouraging community ownership, the bottom-up approach was introduced as a slow-fast, incremental and co-produced planning partnership in development planning and management (Theron & Mchunu, 2016:27-59). This approach believes that the “planning process should be instigated by residents of a particular area who furthermore seek government support to process and complete the agenda” (Magigi & Barasa, 2013:75; Mulwa, 2008:15). Hamdii and Goethert (1997:67-72) referred to the same scenario as a “community action planning partnership” (Theron & Mchunu, 2016:1-26). These approaches allow communities as planning partners to decide on the level of services that they want. It should be emphasised that the community that is being upgraded is a key element in the supply of information because it possesses indigenous knowledge and the problems that it faces can be understood better than any development practitioner; thus, a structured information system should be in place to facilitate the guidelines on best practices such as security of tenure and access to land information between development workers and communities (Maselwanyana, 2007:22) as a collaborative community participation planning partnership.

Participatory development calls for partnership that is built on the basis of dialogue among the various actors during which the agenda is jointly set and local views and indigenous knowledge are deliberately sought and respected (Jelagat & Barasa, 2013:399). Mulwa (2008:15) argued that recognition of and respect for local knowledge and experience of project beneficiaries are vital for the success of community development. In this case, SM was supposed to ensure that all parties were available during deliberations on the DRC formalisation project. Even though participatory development is “glorified” in the new era, it is no secret that development workers are finding it challenging to implement (Shawn, 2017:23).

The transition from top-down to bottom-top, provided that the process is effectively implemented, will enable “project beneficiaries or groups to influence the direction and execution of development projects with a view to enhancing their well-being in terms of income, personal growth, and self-reliance” (Jelagat & Barasa, 2013:400). For development to occur, communities must be engaged through the use of project implementation committees to coordinate project planning and other aspects such as budgeting, resource

identification, procurement and allocation. It should be noted that during the inception stage of the DRC, Turn-Halle community planning was established (in 2003), with the DRC planning committee (as it is called now). The DRC inhabitants chose the DRC planning committee, which serves as intermediary between the councillors and the residents.

Effective implementation of the bottom-top approach requires extensive understanding of principles of community participation, as highlighted by the Manila Declaration of 1989 (Theron 2005, 112; Mosotho, 2013:33). This understanding assisted in assessing the level of community participation and the readiness of SM for the upgrading programme. Community participation is contextual in nature. Therefore, it varies from each informal settlement to the next. In Namibia, community participation is the central theme in the field of social development as a model for addressing and balancing the injustices of the past (Raniga & Simpson, 2002, cited in Dube, 2009:10). It is based on beneficiaries' directing their own development process (Theron & Mchunu, 2016:115). Directed by people-centred development theory, community participation allows community members to raise their concerns and demands through "collective efforts pulling together such efforts and resources to enable them to attain objectives they set for themselves" (Oakley & Marsden, 1984, cited in Sibiya, 2010:17).

Comprehension of these principles is of significance to the community participation process as part of people-centred development. Below are the principles of community participation based on the Manila Declaration (1989), as applied to the case study:

1. "Sovereignty resides with the people, the real actors of positive change:" This call for the SM and its development workers to change the perception that communities are mere recipients of development projects as opposed to being active actors during the upgrading of informal settlements.
2. "Those who would assist the people with their development must recognise that it is they who are participating in support of the people's agenda, not the reverse. The value of the outsider's contribution will be measured in terms of the enhanced capacity of the people to determine their own future." This means that the SM, as an organisation, should ensure that the development facilitators, councillors and NGOs seek the contribution of the affected community members in terms of project implementation to enhance the community's skills and knowledge. They should not presume to know the problems of the DRC without prioritising community

participation. Through enumerations by the SDFN, this aim can be achieved. Information sessions and public meetings should be frequently combined with an appropriate mix of additional community participation strategies.

3. “The legitimate role of government is to enable the people to set and pursue their own agenda.” The SM needs to identify various platforms on which communities can set their own agenda and plan the implementation thereof. Budgets should be compiled according to communities priority needs. Communities should be allowed to identify priority services themselves.
4. “To exercise their sovereignty and assume responsibility for the development of themselves and communities, the people must control their own resources, have access to relevant information and have the means to hold the officials of the government accountable.” This point suggests that SM must put into practice policies that require the community to participate and ensure that relevant information is provided to the community for development projects and sustainable service delivery. This principle is in accordance with the IAP2 framework for ensuring that a community participation policy is in place. SM should continue working hand in hand with NGO’s to create awareness about the developmental needs in the community.

The responsibility for enforcing these principles will rest upon the government agency facilitating development during the development project. In this case, SM should ensure that its development facilitators and councillors put the above principles into practice by educating and constantly engaging with the DRC members. However, community members should also be willing to participate in upholding these principles. It is a two-way approach, one which is based on collaborative co-produced social learning regimes. Furthermore, the reinforcement of the above principles of community participation will only be realised if it is guided by an appropriate context-specific legal framework.

In addition to the general principles of community participation, the IAP2 core values (IAP2, 2007) of community participation are important to the community participatory debate. The researcher suggests that SM recognise and be guided by the core values during the formalisation of the case study to ensure an authentic and empowering community participation process (Theron *et al.*, 2007:8). The IAP2 core values are highlighted as follows:

1. “The community should have a say in decisions about actions that affect their lives:” SM should identify structures through which the DRC inhabitants can participate in decision making regarding the issues of service delivery. Having a say means affording DRC project beneficiaries to have input in the decision-making affecting their lives. This means, “consulting” them regarding how they prefer to be engaged, which brings us to the context-specific participation strategies argument, to be discussed later in the study.
2. “Community participation includes the promise that the community’s contribution will influence the decision:” It is difficult to ensure that all decisions taken are strongly influenced by the input of the community members. A mere information session does not result in authentic participation. This core value will materialise when appropriate context-specific strategies are applied by SM with the assistance of politicians and NGOs. The current situation at SM is that decisions are manipulated by politicians and power vested in officials.
3. “The community participation process communicates the interest and meets the process needs of all participants:” This can only be viable when appropriate capacity-building structures are in place. The duration of the community leadership committee selected by the DRC has lapsed; thus, currently there is no community leadership committee representing the views of the DRC members during decision-making. This is undermining the core values, which can manifest in ineffective community participation, leading to protests.
4. “The community participation process seeks and facilitates the engagement of those potentially affected:” In every project, there is a need to identify those affected and facilitate their participation. A sound stakeholders analyses is thus of key importance.
5. “The community participation process defines how project beneficiaries are to be engaged:” Community participation is time-consuming; the challenge is to balance the project time frame and the response of the community as to how it wants to participate as well as how the project will be sustained. From the literature the researcher consulted, this core value appears to be difficult to achieve. This is because most case studies indicate that communities do not choose how to participate, but are rather briefed in a top-down manner by officials on how they are to participate in a project.
6. “The community participation process communicates to participants how their input affected the decision:” Feedback is the essential aspect. SM should create platforms

that would enable DRC members to air their views regarding the outcome of projects and programmes aimed at improving the community.

7. “The community participation process provides participants with the information they need in order to participate in a meaningful approach.” Information sessions are highly recommended, provided that residents are given an opportunity to ask questions and to make suggestions and to actually influence proceedings.

When the Manila Declaration (1989) principles of community participation are dovetailed with the core values of the IAP2, a key hypothesis is generated: in the SM’s DRC project, authentic and empowering community participation will only be reached if and when project beneficiaries not only influence and direct the process, but control and own it.

Based on the above principles and core values, the researcher is of the view that community participation in the upgrade of the DRC can be addressed thoroughly by SM if the development workers and any other relevant stakeholders in development would bear in mind these principles and core values in facilitation of the DRC formalisation project.

2.2.5.2 Self-help approach to housing

This theory concerns an effort by ordinary community members to actively improve their living conditions within informal settlements (Turner, 1969:158). The relationship between community participation and the John Turner approach to self-help housing is that they both relate to the participation of the residents of human settlements. Turner (1976) believed that urban communities should engage in ways to overcome their disadvantages so that they could earn decent housing. Thus, a community engagement strategy during efforts to improve housing is crucial. Turner concludes that good results in housing improvements are common when the process is administrated through local network structures (Turner, 1976:20).

Throughout history, the poor usually had to build their own houses and almost always built outside the official plans of local authorities (Hardly & Sattertwate, 1995, cited in M’ithai, 2012:16). They built partnerships in neighbourhoods to improve their living conditions. Turner (1976) was of the view that community members’ benefit from technical skills and that to some extent, the use of family labour makes projects cheaper and more affordable to low-income earners. Today, this is still evident as development beneficiaries are at the forefront of initiating improvement of their living standards. Turner observes that deficiencies

and imperfections in people's housing are infinitely more tolerable if it is their responsibility rather than somebody else's (Bhengu, 2013:36). These self-help principles deal with sustainability underlying the people-centred approach. Turner referred to dweller-control. Although this strategy is frowned upon by the private sector, it is a practical and sustainable way of addressing the current shelter challenges in a rapidly urbanising world (Nekwaya, 2010:25).

2.2.6 Theorising community participation in informal settlement upgrading

To bring about understanding of community participation practices in the upgrading of informal settlements, different theories have been put forward, providing a theoretical context in which the level of community participation can be assessed.

2.2.6.1 Dependency theory

The dependency theory does not seek to justify revolutionary action in terms of rectifying past wrongs, but it uses the historical development of society that views the world dualistically as a developed centre with a strong dependent periphery as the theoretical basis for a more radical transformation of society. This study used the dependency theory due to the analysis of society in terms of the dualistic model that argues that a minority of oppressors controls the majority (Abbott, 1996:33). In this theory, education was seen as the key to effecting the transformation of society by overcoming the fear of freedom and building self-respect. The dependency theory emphasises the issue of participation amongst minorities, since development is in their hands (Korten, 1990:67). Therefore, with regard to settlement upgrading, it is imperative for communities that wish to improve their existing settlements to do that by interacting the efforts of people that are united with those of government authorities to improve the economic, social and cultural conditions of communities (Korten, 1990:68).

2.2.6.2 Radical theory

According to the radical theory, planning is most effective when it is performed by nonprofessional neighbourhood planning committees that empower citizens to experiment with solving their own problems because that results in collective action to promote self-reliance. This theory regards development from "primitive" to modern life. There is a belief that through community participation, people become able to self-balance and self-correct.

According to Midgley (1986:20), more radical approaches to community work are influential, which means people adopt radical approaches in their way of living instead of seeking to help deprived communities to improve their social and environmental circumstances.

2.2.6.3 Marxist theory

Understanding of Marxist theory is essential in order to cut out propaganda by the ruling class and to gain a class perspective on and a class solution for problems. The theory enables the thinking needed for understanding a thread that is capable of leading people through the web of the complex processes of society, economics, the struggle of classes and politics (Gilbert, 1981, in Bhengu, 2013:47). For Marxists, community participation means double exploitation and they view participation of people in the upgrading of informal settlement as favouring the interests of capitalists who are exploiting communities since participants in local community projects are not well equipped, which results in waste of material and building failures. Gwala and Theron (2012:13-14) were also aware that participation can be manipulative. Those in power order the voiceless to do things that benefit them and not necessarily benefit the community.

2.2.6.4 Understanding the community participation approach

Participation is a rich concept that varies in its application and definition (Regional Partnership for Resource Development, 2009:6-7; Jordhus-Lier & Tsolekile De Wet, 2013:2). Its definition is also context specific; for some, it is a matter of principle, practicality and an end in itself (World Bank, 1996). According to the community participation approach, all stakeholders share ownership of decision-making. Bassett *et al.* (2003), cited in Bhengu (2013:24) identified three important characteristics of community participation which the researcher found relevant to this study: i) authentic community participation is an important ingredient for the success of upgrading projects; ii) community participation is necessary to ensure sustainability of project interventions as communities will be keenly interested in maintaining services and facilities that they helped to plan and pay for; and iii) community participation is seen as a process of democratisation and empowerment. Without substantial community support and initiative, slum upgrading is difficult, if not impossible. Community cooperation is particularly important when it comes to resolving questions of tenure, mutual help, relocation, compensation, the type of quality of services, charges, tax or fee collection and enforcement of requirements.

This study aimed to assess the level of community participation during the upgrade of the DRC. This was done by evaluating the “appropriate mix of participation strategy” argument, by scrutinising the strategies SM applies per the IAP2, Arnstein Typologies, and Manilla Declaration models to assess the status quo regarding community participation. Therefore, clarifying the term “participation” was of the utmost importance. The way in which participants participate should be meaningful. It is believed that authentic participation of community members in the formulation of an upgrading plan allows people to build their capacities to identify and own the project (Theron & Mchunu, 2016:38). This also reduces the pressing dependency problem, especially in Africa.

Authentic and empowering community participation stems from the appropriate mix of participatory strategies used to engage with the intended community (IAP, 2007; Arnstein, 1969; Gwala & Theron, 2012:14). According to Jordhus-Lier and Tsolekile De Wet (2013:1), there are many recorded participatory strategies in informal settlement upgrading that are not experienced as meaningful to those living there (Oakely & Marsden, 1984:19). Therefore, the authors warn authorities to refrain from using “meaningless interventions” that create expectations if not met which can lead to dissatisfaction and unrest. In the context of informal settlement upgrading, community participation is a means to fulfil basic needs such as water and electricity, proper sanitation and infrastructure through appropriate means of communication. This means that authentic participation leads to a sense of ownership and sustainable development. For instance, if SM would actively engage with the DRC, it would be encouraging to the community and the members would feel the need of taking care of the provided services (Choguill, 1996, in Patel, 2013:212), i.e. ownership.

In a policy brief, Jordhus-Lier and Tsolekile De Wet (2013:1) further recommended that informal settlement upgrading should be based on active participation, dialogue and continual engagement with communities. Simultaneously, they insist that policy-makers should be precise about the form of participation and clearly indicate at what stage in the process the community requires to participate during the upgrading process. The introduction of participation is context-specific, and the background plays a major role. This means that before a municipality introduces any development project, it should consider the meaning-giving context (Theron & Mchunu, 2016:61-83). This will help it to understand the socio-

economic dynamics within the community, which is essential to the success of a development project. SM is required to understand these developmental dynamics of the DRC, for example by organising group discussions with the elders who have lived there many years and have experienced the “road to development”, before undertaking an informal settlement upgrade.

However, there is often little understanding of authentic or meaningful community participation due to communication breakdown (Centre for Development and Enterprise [CDE], 2013:21). Often, “The language of participation is used by national government in speeches and policy documents, but in practice it often becomes too formal, legalised and politicized” (Jordhus-Lier & Tsolekile De Wet, 2013:2). This is because governments and communities view participation differently. To illustrate, with regard to the Building Technology Housing Scheme (alternative building technology project) in South Africa, the Government did not comprehend the needs of the affected people. Some government officials were under the impression that people were happy with houses, which was not the case (CDE, 2013:21). The people were happy simply because they had received land, and they did not mind what structure was erected on the land.

The researcher has learned that in 2010, SM hired a consultant to do community enumerations at the DRC. It was established that the residents saw electricity as a basic priority while for a decade the municipality had been spending huge budgets on water facilities and toilets. This resulted in damage of facilities because of lack of ownership by residents. SM should learn from such experiences and engage with DRC residents on the type of services to improve. Friedmann (1992:7) in Bhengu, (2013:47) argued on the mixed interpretations of participation debate, stating that “everybody is in possession of a world of his/her own and nobody can interpret this world better than he/she can”, this means that informal settlement upgrading should not be tackled by local authorities in isolation and that they should include the residents, who understands their world better than officials. This is why Theron, (2008:14) calls on policy-makers to design an integral approach to development aimed at addressing poverty in a holistic manner.

Without community participation, democratic government will cease to exist. The public must govern or at least be actively engaged (Mzimakwe & Reddy, 2008, cited in Mosotho, 2013:26). It is important that government, particularly at local government level, continue to

provide community members with a platform to participate and directly influence issues affecting them and be part of decision-making.

For any development initiative, such as an upgrading plan, to gain ground, beneficiaries should be informed of their rights and responsibilities (Kugonza & Mukobi, 2015:7). It goes beyond being made aware of their rights, though: community participation is entirely achievable once the beneficiaries are also aware of the channels through which they can exercise these rights (Omolo, 2010, cited in Kugonza & Mukobi, 2015:7). Hence, one of the research objectives of this study was assessing whether the residents in the case study (chapter 4) had been made aware of their rights by the community development workers by further assessing the channels, structures and participation strategies in place through which they exercise their rights.

In light of the above principles (*see* 2.2.5) of community participation approval, a key ingredient of community participation is an empowered community (Sibiya, 2010:20). For Theron (2005:119) the true meaning of empowerment should be understood, “as developing intended beneficiaries’ skills and abilities so that they can negotiate with the service delivery system and can make their own decisions in terms of their development needs and priorities”. However, caution is advised, especially when communities develop a “do-it-all” attitude, which should rather not be the case as community development officers are required to be trained in the field of community development, specifically as facilitators of development (Tsolekile De Wet, 2013:3). What is required here is a partnership.

The principle behind a public participation policy is to educate and ensure that all the stakeholders affected by a municipality’s decision or actions have a right to influence, direct and even control and own the decision-making process. This is why international and regional government constitutions maintain that a municipality is obliged to take into account the interests and concerns of the residents when it crafts by-laws, policy and implements its programmes and communicate with the community regarding its activities (Eastern Cape NGO Coalition, 2019). Municipalities that lack a public participation policy are not respecting the democratic rights of communities to participate in local governance. Therefore, the researcher will assess whether a community participation policy is in existence in the case study in chapter 5. There are a lot of municipalities with public policies that are attractive and

indicate all the elements of democratic local governance but then again, how far do they put those approaches in practice? The researcher hopes that future research can answer this question in detail, probably through evaluative research.

Another way to ensure authentic and empowering community participation is through the establishment of a community representatives committee or ward committee. Such committees can be introduced to inform municipalities about the needs and challenges in communities, such as clean water and proper sanitation (Mosotho, 2013:13). The Namibian Local Authority Act 23 of 1992 calls upon municipalities to implement the ward committee systems. According to the Act, “the object of a ward committee is to enhance participatory democracy in local government”. Informal settlements are growing at a rapid speed thus; municipalities should create viable participation spaces. Ward committees are a common participatory space, which are “broadly applied and accepted” (Stewart, 2003:9), that aims to influence the project beneficiaries to direct, control and even own the decision-making process. It is therefore recommended for subcommittees to be created, for instance “a new committee should then set up its own street and block subcommittees, which will then deal with the community’s immediate problems such as crime and health issues, and also lead the fight against poverty” (Shiceka, 2009:19 in Gwala, 2011:118-119). The researcher is in agreement with the community leaders of street or block committees, especially in the context of DRC to liaise with the ward committees on issues affecting their lives on a day-to-day basis. The ward system has been successfully implemented in the majority of the municipalities in Namibia (Shack Dwellers Federation of Namibia [SDFN], 2015:10). Many other approaches and channels to achieve authentic community participation should be encouraged at the local levels.

In terms of the authenticity of the process, community participation goes beyond merely attending a public meeting and asking a few questions. Burkey (1993:56-60) stated that “people’s participation in development activities should be seen not only as a means to an end, but an end in itself”. The only thing that should end is the “involvement” of the development workers who ought to pull back when the people themselves can retain the development process on the basis of their own initiatives (Martin, 2014:35).

This is the reason why accepted participation by community members has moved from being practised in a passive manner to active participation during formalisation of informal settlements (Wasilwa, 2015:13). Namibia has come a long way and has recorded success stories of communities using information as a tool to actively participate in their own development in partnership with government. The increased capacities of individuals enable communities to organise and assist themselves to reduce dependence on the state and lead to a bottom-up approach as planning partners (Wasilwa, 2015:14).

To illustrate this, in Namibia, through the CLIP, in Mariental, Ondangwa, the COW and Swakopmund community members were trained to actively collect profiles of their informal settlements. This information helped in the planning regarding the development needs of their settlements (SDFN, 2010:2). The survey at the DRC is seen as a great achievement. The then mayor of Swakopmund, Samuel Nuuyoma, said, “This is the very first settlement that has finished this survey in the period of two months done by the communities themselves”.

Following the above, contextualisation of community participation in project planning, for community participation to be regarded as effective, the “building blocks of development” principle was rendered in this study. This principle of collaborative co-produced planning argues that a community development process goes through the below stages (Theron & Mchunu 2016:150).

In departing from the “building blocks” approval, Theron and Mchunu (2016:151) stated that for development to take place, community participation is the power of departure of the building blocks of development. As argued, community participation is a complex and challenging approach to improving the lives of all people but particularly those of the poor and disadvantaged (Rifkin, 2001:43). Burkey (1993:57) concurred by stating that community participation must be more than merely mobilisation of community members or the coming together to hear about predetermined plans. With that said, the DRC must ensure that it actively participates during the formalisation of the DRC. Participation should be encouraged by the SM.

The second stage of the building blocks pertains to a collaborative and mutual social learning. The social learning approach can be seen as a state of outcome. According to Meyer and

Theron (2000:5) and Theron and Mchunu (2014:111-128), a collaborative mutual social learning process is the result of a community participation process that has been authentically carried out. Therefore, we need to consider the outcomes of social learning. These outcomes can be the awareness that has been created; people become aware of their environment, their needs and their resources. During this stage, beneficiaries become aware of positive objectives that can change their situation and shape their future for the better (Swanepoel & De Beer, 2016:48-60). Pieterse (2002:12) supported the principle of social learning and empowerment by defining community participation as “..... a process of social learning because it serves to empower uniformed, marginalised residents about how they can advance their interest in conjunction with their (multiple) communities”. The current popular principle of resilience is of value in this regard

The third building block is capacity-building. Swanepoel and De Beer (2016:98) asserted that “capacity building means strengthening of personal and institutional ability to undertake tasks”. De Beer and Swanepoel (1998:21) argued that capacity-building rests on the norm that people can lead their own change processes. Davies (2009:380-389) noted that effective capacity-building programmes, “seek to build internal capacity of communities to achieve long-term socio-economic sustainability through developing local leadership and thus limiting the need for government intervention”. As the building blocks link, adopting a social learning approach capacitates the beneficiaries of development to eventually take control of their own development. Capacity-building requires a shift in thinking from both development workers and the beneficiaries (Siphuma, 2009:24).

The fourth building block, which the researcher adds in addition to Theron and Mchunu’s (2018:17-20) blocks is self-reliance. Haque, Mehta, Rahman and Wignaraj (1977), in Burkey, 1993:205) defined self-reliance as “the expression of the individual’s faith in his or her own abilities and the foundation in which genuine development can proceed”. According to Grebremedgin (2004:24), community participation is the basis of self-reliance. As argued by Dotse (1997:18), in order to strengthen self-reliance as a principle in working with the poor, it is necessary to develop structures, channels and organisations as discussed above that can help the poor to become self-reliant.

The fifth building block is empowerment. This principle takes place once the above mentioned structures and an appropriate mix of participation strategies are applied in development programmes. This process enables residents to use their acquired skills with the assistance of the development workers to participate in the development initiatives that impacts their livelihood.

The final building block is sustainability. According to Theron (2005:123), community participation should lead to sustainable development. Community participation and sustainability involve local choice because people are the local experts, in line with the idea of an indigenous knowledge system. This principle binds beneficiaries to look after the provided services or resources.

The researcher has noticed that community participation is difficult to put into practice although it sounds easy on paper. Evidently, in most informal settlement upgrading scenarios, the plans are defined by “development experts” while community members are merely “consulted” or briefed at a later stage in the process (Jordhus-Lier & Tsolekile De Wet, 2013:2; Good Governance Learning Network, 2014).

2.2.7 Community coproduction in informal settlement upgrading

Upgrading an informal settlement is a complex and sensitive issue, especially when the target population is already on site. This makes it necessary to ensure stakeholders’ participation, specifically the affected community, in the preparation of the regularisation and upgrading plans (M’ithai, 2012:2). A possible solution to informal settlement upgrading is doing it through a coproduction process (Baptist, 2012:1).

According to Baptist (2012:1), the term “coproduction” has gained momentum in the past decade and has been used in internal development circles. Coproduction refers to an enhanced process of partnership across institutions, combining the strengths of civil society groups, the state and private firms to produce policies and programmes. The aim is to integrate service providers and recipients into a partnership. In simple terms, coproduction involves the working together of professionals, NGOs and residents to formulate policies and programmes to collectively develop an effective informal settlement upgrading plan.

Without active cooperation, upgrading plans cannot be implemented and no municipality is in a position to finance the upgrading of all informal settlements. Partnerships are very important for formalisation of informal settlements (Hendler, 2016). That is why municipalities are to lobby support from NGOs that provide funding to facilitate community participation processes (Ziblim, 2013:26). NGOs also provide guidance to communities in applying to council for upgrading schemes in accordance with the guidelines when undertaking upgrading of informal settlements.

With the current financial deficits reported by the Namibian government, the Ministry of Urban and Rural Development has reduced its budget to respond to the worsening economic situation in the country. This has had a direct impact on the development of informal settlements in both Part 1 and 2 municipalities. For that reason, applying external funding is crucial for the success of most upgrading processes. Unfortunately, availability of project funds alone is not a guarantee for the success of the project, rather community participation in management, monitoring and evaluation is important (Jelagat & Barasa, 2013:400). With that said, according to a casual conversation which the researcher had with the general manager of the Community Development Services Department at SM, 2018; funds seem to be the key reason for the snail pace of development in the case study. The researcher is concerned about the constricted mind-set in top management. In fact, addressing the sensitive problem of mind-sets is recognised as a crucial prerequisite for successful informal settlement upgrading support (Huchzermeyer, 2004). It is crucial that information sessions take place to educate and capacitate SM management responsible for the facilitation of the upgrading of the DRC.

2.2.8 Training of development workers and community leaders

In any dialogue among parties, proper training and education should take place to ensure effective communication and engagement. According to Siphuma (2009:24), the formalisation of informal settlements necessitates a fundamental change of attitudes and structures. In the realisation of this, community members should be made to see the importance of choosing the right expressions in the right context so that their ideas and opinions on community development, as expressed by each community member, would be understood, appreciate and eventually lead to collaborative efforts (Adedokun *et al.*, 2010:105). Community members' capacities and skills should be developed so that they can negotiate and seek the resources that they require for the betterment of their lives. This, as the

building blocks depict, should be a mutual social learning process between officials and local beneficiaries (Theron and Mchunu, 2016:1-26).

Development facilitators or change agents, referred to as municipal officials, need training to facilitate healthy participation. Martin (2014:40) recommended training of change agents to improve skills. Theron and Mchunu (2016:20-24) argued that development workers need to be re-sensitised and equipped with new skills. For that to happen, Burkey (1993:88) suggested effective training methods to which development workers can be exposed. This would imply an integration of traditional and unconventional models to enable municipal development workers to assemble information and gain experience in local context, through field research, which would enable them to receive specific context training and to think innovatively (Swanepoel & De Beer, 2016:281-298). In the researcher's view, SM officials should acquire better skills in strategic planning/communication and working with appropriate strategies.

Burkey (1993:90) introduced six objectives of training programmes, which the researcher found useful for today's training of development workers:

- i) "they should clearly understand their role as development workers working as equal partners within their community";
- ii) "they should develop their human and social skills in communicating and working with the poor (Swanepoel & De Beer, 2016:113-199)";
- iii) "they should develop their understanding of group dynamics, social capital and the importance of "analysis-action-reflection" in a self-reliant participatory development process";
- iv) "they should develop their ability to accept and handle criticism and they should learn to criticise others constructively with tact and sympathy";
- v) "they should develop their skills to identify and analyse issues and problems that confront them when interacting with the poor"; and
- vi) "they should increase their understanding of the connections between local community structures and problems (micro analysis) and national and international policies and structures (macro analysis)".

The above arguments explain why it is important for the DRC community members to request basic services from SM, provided that they are capacitated to sustain the services that they are requesting (Burkey, 1993:90). Theron and Mchunu (2016:30) argued that community members possess vital knowledge that contributes to the success of the upgrading project and this is why they are key role players.

An important way of encouraging empowering participation is by capacitating community leaders with the right skills to facilitate community meetings (Swanepoel & De Beer, 2016:178-189). Good community leaders listen and ask questions and they do not listen just for the sake of responding. Community meetings should be facilitated by well-trained development workers to avoid chaotic behaviour. Training of community leaders will be assessed in the case study in chapter 4.

2.2.9 Contextualising community participatory models

There are many models on which community participation are grounded. This study considered the IAP2 spectrum model in the DRC upgrading process, the Mathbor (2008:525) model and Arnstein's (1969) typologies of participation (see Figure 2.1). The models are positioned according to who controls the development process – most models make the assumption that the community must possess the ability to become “active citizenry” as indicated by Theron and Mchunu (2014:129). The selected model argue that communities begin dialogue when there is a need for a development initiative and continue to work together until the end of the project and until it is fully evaluated and integrated into future planning, thus sustainable.

2.2.9.1 Mathbor model

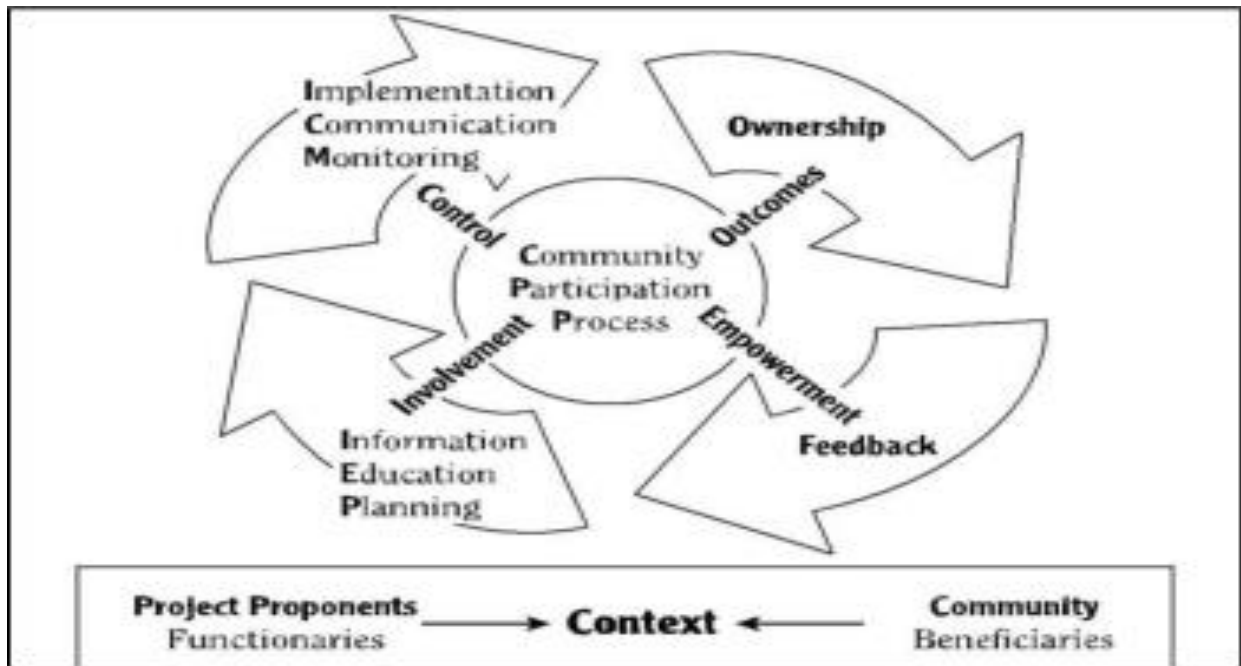


Figure 2.1: Mathbor model of community participation

Source: Marthbor (2008:525)

In this model as depicted in the figure above, community participation in development projects is hypothesised to be effective if local people participate in all stages of a participatory engagement. Mathbor (2008:528) contended that each stage is the result of a set of interrelated elements that emerge from the views, opinions and perspectives of the stakeholders who participated in the process. Furthermore, although elements in the model are seen as representing different stages, in practice they are interrelated and interwoven (Mathbor, 2008:528). The model further assumes that community participation is a key tool for addressing the value of indigenous knowledge and promoting social change in communities. The model in Figure 2.1 is in line with the appropriate mix of participation strategies argument, which states that for a community participation process to be regarded authentic/meaningful, project beneficiaries should be able to influence, direct, control and own the project in which they participate.


This model serves as a guiding spectrum to the upgrading of DRC as a case study, whereby the project beneficiaries approach SM officials when a need arises, they engage in dialogue. During this stage, SM officials and councillors educate the residents by supplying necessary information about the planning process and residents share their indigenous knowledge to give meaning to the context. Effective communication between SM officials and DRC

residents during all stages of a project is crucial, this leads to positive outcomes of the community participation process, such as empowerment and sustainability.

2.2.9.2 The International Association for Public Participation Spectrum model

The best known international model for community participation is the IAP2 (2007) so-called spectrum. In this study, it was used as an analytical framework, as set out in Chapter 5 (data analysis). In this model, community participation in the DRC upgrading process is argued to take place in stages, starting from “informing” the intended beneficiaries up to the “empowerment” of the residents (IAP2, 2007). The spectrum also helps with identifying the appropriate level of participation that defines the role of the public and the public’s contribution to the process.

The IAP2 spectrum model (see Figure 2.2) indicates that there are different levels of participation that are legitimate, depending on the goals, time, resources and levels of concern in the decision to be made. At each level, relevant interventions, tools or strategies are to be used to achieve effective participation. Therefore, this framework was used to assess the level of community participation during the upgrading of the DRC Township. The participatory levels include the following stages: “inform”, “consult”, “involve”, collaborate and empower, as outlined in Figure 2.2 (IAP2, 2007). As per Theron & Mchunu (2018:129-133), if only strategies from level 1 are used, it is to “inform”; if strategies from level 2 is used, it is to “consult”. What is needed is level 5 (empowerment), as per the spectrum, collaboration and empowerment. . Theron & Mchunu (2016:132) identified participation strategies presenting three levels (see annexure F).



	INFORM	CONSULT	INVOLVE	COLLABORATE	EMPOWER
PUBLIC PARTICIPATION GOAL	To provide the public with balanced and objective information to assist them in understanding the problems, alternatives and/or solutions.	To obtain public feedback on analysis, alternatives and/or decision.	To work directly with the public throughout the process to ensure that public issues and concerns are consistently understood and considered.	To partner with the public in each aspect of the decision including the development of alternatives and the identification of the preferred solution.	To place final decision-making in the hands of the public.
PROMISE TO THE PUBLIC	We will keep you informed.	We will keep you informed, listen to and acknowledge concerns and provide feedback on how public input influenced the decision.	We will work with you to ensure that your concerns and issues are directly reflected in the alternatives developed and provide feedback on how public input influenced the decision.	We will look to you for direct advice and innovation in formulating solutions and incorporate your advise and recommendations into the decisions to the maximum extent possible.	We will implement what you decide.
EXAMPLE TOOLS	<ul style="list-style-type: none"> • Fact sheets • Websites • Open houses 	<ul style="list-style-type: none"> • Public comment • Focus groups • Surveys • Public meetings 	<ul style="list-style-type: none"> • Workshops • Deliberate polling 	<ul style="list-style-type: none"> • Citizen Advisory committees • Consensus-building • Participatory decision-making 	<ul style="list-style-type: none"> • Citizen juries • Ballots • Delegated decisions

Figure 2.2: IAP2 spectrum model

Source: IAP2 (2007)

(i) “Information sharing”

This is the first level in the IAP2 (2007) participation model or so-called spectrum. The information sharing stage serves to “provide the public with balanced and objective information to assist them in understanding the problems, alternatives, and/or solutions” (IAP2, 2007) during the upgrading of an informal settlement. Empowerment is assessed when the local communities are able to make use of the information provided to improve their ability to participate in decision-making. Even so, these strategies do not necessarily encourage the community to actively participate during the infant stages of the project but rather it encourages the evaluation of the completed product (Theron *et al.*, 2007:3-12). The opportunity to negotiate becomes even less when the “information” is given late or not at all in the planning process. In simple terms, “information n sharing” takes place when a decision has already been taken or when an action is required (City of Sydney, 2016:2).

At the information level, the community is not directly “invited” to participate in decision-making and the implementation of decisions taken. However, it will depend on the capacity of the affected community to position themselves while participating in the implementation stage. Information sharing is a way to ensure that those affected are aware of the pertinent

facts. Participation platforms to “inform” the residents during an upgrading programme is carried out by the use of websites, billboards, pamphlets, noticeboards, newspapers and radio announcements. During this stage, it is of paramount importance that space is created to enable people to express their ideas. The primary concern is not “gaining long-term social advantages and sustainable development but rather what community participation contributes to the end product” (Meyer and Theron 2000:3 cited in Nampila 2005:37). When it comes to participatory impact, “information sharing” is considered as the lowest level of community engagement (Theron, 2008:113).

(ii) “Consultation”

The second level in the Spectrum model is the “consultation” stage. According to IAP2 (2007), “consultation” is intended to “obtain public feedback on analysis, alternatives, and/or decisions”. According to the IAP2, at this stage, “the community is promised that they will not only be kept informed but that the community will also be listened to; their concerns and aspirations will be acknowledged and that feedback shall be given on how their inputs influenced decision-making by participation facilitators”. “Consultation” allows the community to voice its opinions; however, there is no share in decision making by the community (Pretty *et al.*, 1995, cited in Theron & Mchunu, 2016:24; Sibiya, 2010:26). It is important that communities identify the best notification strategies (Nittel, 1999:11) and that technical jargon be avoided during community engagement. Empowering participation platforms such as community-based structures, public meetings and suggestion boxes should be used to “consult” the community. Information should also be presented in more than one language. Theron and Mchunu (2016:34) stated that no particular qualitative communication, learning or exchange takes place during the “consultation” stage. This is why Arnstein (1969) cited in Fyhr (2012:13) recommended that participation strategies are to be combined with other modes of participation; otherwise, there is no assurance that citizens’ concerns will be taken into account. If “consultation” is the only mode in the participation process, there is a risk that citizen concerns will not count and will thus have little or no “influence” on the decision-making process.

(iii) “Involvement”

This is considered as the third level of participation in the spectrum model. Participation through “involvement” is defined as follows: “to work directly with the public throughout the process to ensure that public concerns and aspirations are consistently understood and considered” (IAP2, 2007). The “involve” dimension also seeks to ensure that inputs made by the community are reflected in the decisions and alternatives developed. However, Nampila (2005:12) argued that community participation as “*involvement*” represents a top-down decision-making process and is regarded as *weak* participation. Therefore, SM should do away with strategies that result in weak participation and apply participation strategies that would improve the residents’ social capital by empowering them. It should be kept in mind that participation strategies will be applied according to the aim or objective of communication (what is expected from the public). For instance, councillors can simply disseminate information regarding the schedules of public meetings, and there is no need to employ the decision-making strategy for participation.

Theron *et al.* (2007:45) were also of the view that the public should be an “active citizenry”, which means a full partner in decision-making with government or the private sector. According to Theron *et al.* (2007:46) this requirement does not mean that; “each partner must have exactly the same degree of influence over decisions; and also it does not mean that each partner must have a say in all aspects of the decision-making process.”

(iv) “Collaboration”

This is the fourth level of community participation according to the spectrum model. Collaboration is required “to partner with the public on each aspect of the decision, including the development alternatives and the identification of the preferred solution” (IAP2, 2007). The promises carried by this participation dimension “collaborate”, includes the fact that the participation facilitators engage the community for “direct advice and innovation” in generating answers to service delivery challenges and in incorporating the advice, inputs and recommendations of the community into the decisions to be made, maximising their use to improve service delivery.

The SM, as the participation facilitator, should create platforms for community participation and feedback which will serve as proof that decisions made jointly with the community are actually being implemented by the participation facilitator (Theron, 2008:1-22). This is the level where the SM requests the community members for advice and recommendations so that they could include this in its decision-making. It is the ideal setting to not only accommodate the social learning building block, but introduce collaborative co-produced planning partnerships.

(v) “Empowerment”

The fifth level of participation is empowerment in the spectrum model, which is “to place the decision-making power in the hands of the public” (IAP2, 2007.) Participation as empowerment entails self-mobilisation and control of the development process by its beneficiaries (Theron & Mchunu, 2016:40). The people themselves retain control over how resources are used. This bottom-up approach allows people to develop contacts with external institutions for resources and the technical advice that they need (Theron & Mchunu, 2016:28). These participation strategies lead to active participation whereby the DRC members have an opportunity to *influence* directly and execute a programme or project with a view to *enhancing* their quality of life (Pretty *et al.*, 1995, cited in Theron & Mchunu, 2016:24). At this level, beneficiaries are considered as partners in the project because the decisions made by the beneficiaries can affect the course of the project (Taylor, 1994:195). The dimension is also characterised by the delegation of decision-making, which allows community-based decision-making processes to proceed unhindered and with less interference from higher levels of authority. Level 5 of the IAP2 spectrum model was crucial to this study as it had a strong participatory impact. Therefore, a close look at the strategies implemented by SM was pivotal. This study leaned heavily on this framework. Unfortunately, in the community participation discourse, policy-makers are still experiencing trouble linking relevant participation strategies to the principles of participation (Theron, 2008:11).

At Level 5, public meetings are an important strategy. Public meetings are very common with the emphasis on open discussions and question-and-answer sessions. Theron and Mchunu (2016:131) suggested an effective application of an appropriate mix of participation strategies, which are more effective than an individual strategy. However, they argued that a

public meeting as the only strategy will only empower participants provided that it is well planned.

Furthermore, at Level 5 citizen juries are an essential strategy that has a strong participation impact (IAP2, 2007; Theron & Mchunu, 2014:122). Theron and Mchunu (2016:56) defined these as small groups of public representatives who come together to learn and to exchange information regarding pressing issues and to make recommendations that influence and direct similar future development projects.

2.2.9.3 Arnstein's ladder of community participation

One of the most recognised models of participation is Arnstein's (1969) ladder of participation (Cornwall, 2008:270), which describes a situation of non-participation and the ideal of citizen power. The latter is a scenario that sees the beneficiary as a co-producer of its own development.

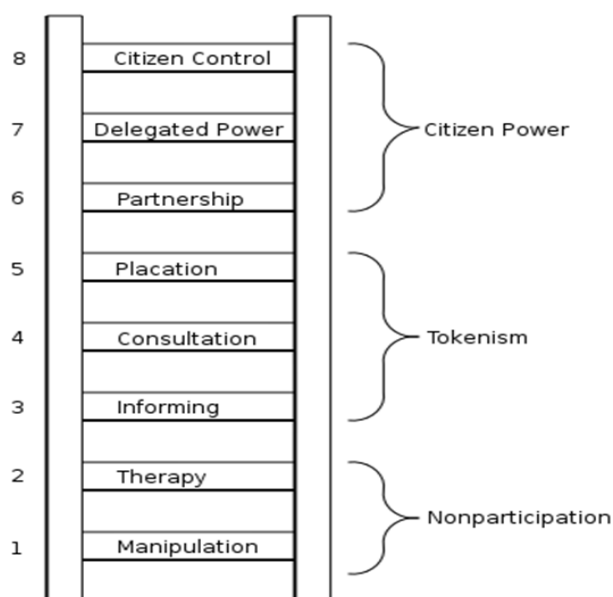


Figure 2.3: Arnstein's ladder of community participation (1969)

Source: Cornwall (2008:270)

According to Arnstein's (1969) ladder of community participation, the ideal level of participation during the upgrading of an informal settlement is when the affected residents

have power and control over the decision-making process. She regards consultation, information and placation as levels of participation where the degree of tokenism is high.

She warns against the level of community participation where therapy and manipulation is used, and argues that therapy and manipulation do not encourage meaningful participation, thus, regarding it as “non-participatory”.

The model represents 8 levels of “poor” to “strong” community participation. Arnstein (1969:65) explains the impact of the type of community participation as a typology, a classification of impact:

1. Public control	The public has the required power necessary to govern a programme, project or institution without the influence of the powerful (degree of public control and power)
2. Delegated power	The public acquires the dominant decision-making authority over a particular plan or programme (degree of public control and power)
3. Partnership	Power becomes distributed through negotiations between the public and those in power (degree of public control and power)
4. Placation	A few handpicked members of the public area appointed to committees while tokenism is still the main motivation for the powerful (degree of tokenism)
5. Consultation	The public is free to give opinions on the relevant issues, but the powerful offer no assurance that these opinions will be considered (degree of tokenism)
6. Information	A one-way, top down flow of information in which the public is “informed” of their rights, responsibilities and options (degree of tokenism)
7. Therapy	Instead of focusing on the programme or project, the public's attitudes are shaped to conform to those in power (non-participation)
8. Manipulation	The public is part of powerless committees and the notion of community participation is a public-relation vehicle for the powerful (non-participation)

Figure 2.4: Arnstein's Typologies (1969)

Source: Adapted from Davids *et al.*, (2005:118)

The researcher will determine the level of participation of the DRC residents in the upgrading of their settlement by rendering from both the IAP2 (2007) and Arnsteins's (1969) model.

2.2.9.4 Public participation policy/community participation strategy

It is impossible to discuss community participation without simultaneously considering the principle of representation. The IAP2 (2007) and the CDE (2013:26) agreed that a well-detailed legal, ethical and constitutional community participation policy should be in place that guides how participation is to take place. In the absence of legislation, anything can happen (Mrs Palmer, interview on 15 August 2017). A memorandum of understanding/ social contract should be legitimate and understood by all. This means that it should be written in a simple manner and without complicated concepts.

It is important that community engagement policies or programmes articulate in detail the types of incentives to be awarded to respective community leaders based on the community leadership structure. Often people assume some sort of award for a job done (Jordhus-Lier & Tsolekile De Wet, 2013:3-4). The authors warn that false expectations of awards can discourage people and prevent participation. A community engagement memorandum of understanding should, among others, be transparent about how it will engage with representatives of the community and substantiate their approach of selecting or appointing community leaders. Namibia is a democratic country; hence, community members should elect or appoint community leaders who serve their best interests. This is why community engagement programmes should noticeably inform the form of legitimacy that leaders possess in their community and how their role affects legitimacy in the upgrading process (Jordhus-Lier & Tsolekile De Wet, 2013:3-4). A brief description of the roles of various community leaders should also be indicated in such memorandum of understanding. This is to ensure that each person knows what is expected of her/him and to avoid conflict in the leadership structures that tends to accompany upgrading initiatives.

From a broader view of community participation, the legislation on local government puts in place a clear mechanism for the establishment of community representative committees to work hand in hand with municipalities. Community representatives are mandatory for municipalities (Mosotho, 2013:18) as they represent the community. Municipalities are

expected to create an enabling setting by making sure that participation takes place through the established structure and is institutionalised. Representative committees are the brainchild of legislation in the form of the Local Authority Act 23 of 1992 and provide vitality to the Namibian Constitution. A community representative committee is independently voted in by community members based on municipal legislation. No development workers should appoint community leaders based on unknown reasons, this will assist in curbing manipulation.

According to Gao *et al.* (2007:117) in the City of Windhoek, the Twahangana settlement leadership had a leadership committee of eight members who had been independently voted for or elected by the community members. The leaders had meetings with community members twice a year. However, the researcher identified a need for leaders to make provision for calling meetings for emergency matters. The committee members had meetings every two months in following a theory that most municipalities had adopted and successfully implemented, namely the community participation policy as previously highlighted (IAP2, 2007).

To illustrate an international example, also guided by the IAP2 (2007), the Brisbane City Council (municipality) has adopted a community engagement policy (Brisbane City Council, n.d:1). This policy is guided by the City of Brisbane Act 2010 (Brisbane City Council, n.d:1), which places emphasis on community engagement. Under the Act, the Brisbane City Council is guided by five key principles to ensure accountable, effective, efficient and sustainable governance. Therefore, the Council has a consistent approach to community engagement and consequently it implements effective engagement practices.

According to the Brisbane City Council (n.d:1-2), the policy has not only supported the Council's decision-making but has also engendered a sense of ownership of outcomes in the community, such as services are more tailored to local needs, people take greater responsibility for what is happening in their area, there are more lasting and sustainable changes, and resources are more effectively targeted and applied.

Most importantly, the Brisbane City Council emphasises community engagement but clearly indicates that the policy does not replace the decision-making of Council. Rather, the

implementation of the policy is designed to ensure that Council has access to a range of information about community needs, opinions and options prior to making-decisions. This means that an effective community engagement policy increases the likelihood that Council decisions are understood and supported by the community. This will be subject to the provision that enumerations and creation of community profiles have been taking place as municipalities often dictate the type of services to provide as opposed to finding out from the community what it desires.

The COW has a superb community participation policy. For the COW, such a policy indicates awareness of a democratic process of engaging people, which improves public understanding of the city's responsibilities and ensures greater compliance through increased ownership of solutions. This, in turn, improves the city's credibility within the community (COW, 2017:27-28). Furthermore, the following frameworks, policies and programmes are available: communication and community participation strategy, capacity-building at ward level, and effective administrative support at meetings with communities.

According to the COW Strategic Plan of 2017-2018 (COW, 2017:28), the municipality has an excellent track record in meeting the ethical and constitutional requirements of community participation. It intends to further improve its open and transparent dialogue with residents in planning, implementing and monitoring programmes and projects, which is underpinned by the principles of mutual respect, trust, inclusivity and transparency. The COW further aims to ensure maximum participation and feedback. Tailored strategies of engagement and communication will also be developed considering that different circumstances require different communication platforms. The researcher finds the COW plan towards community participation remarkable, particularly with proper documentation as well as frameworks of community participation at COW, thus, improvement in the standard of living has been noticed in informal settlements in Windhoek. However, a lot is still to be done. SM can learn a lot from COW's proactive approaches towards achieving sustainable community participation. COW is also seen as a gateway for community participation by many other municipalities in Namibia.

2.2.10 Communication in informal settlement upgrading

Communication is a crucial condition for effective implementation of a settlement upgrade. It requires the initial approach to be communicated to the settlement members in a way that they will understand. The plan for upgrading must then be negotiated and jointly developed by the lead organisation or local government and the community, a process during which opposition may arise and communication becomes more crucial than ever.

Research has shown that the lack of communication within municipalities results in many problems within settlements (Gao *et al.*, 2007:24). Notably, a gap in communication between government institutions (municipalities) and the public (communities), particularly informal settlements, is visible. Instead, strong knowledge occurred, which is practice-based, advocating communication to improve dialogue and send a positive message about informal settlement upgrading (CDE, 2013:9). The CDE called upon “innovation” and “strategy” in communication with poor communities (CDE, 2013:9).

From the wealth of literature on communication in settlement upgrading, effective or proper communication is not a new concept (Theron & Mchunu, 2016:108; Ziblim, 2013; Adedokun *et al.*, 2010:101; Gao *et al.*, 2007; The Food and Agriculture Organization of the United Nations [FAO], 1989). Adedokun *et al.* (2010:103) described effective communication as the “existence of a two-way communication, and not merely a dissemination of information, nor telling people what to do and not to do”. Communication should not be regarded as a way to motivate people to participate in activities they did not have any input in (CDE, 2013:2), this is a fundamental dilemma underlying authentic and empowering community participation.

It is unfortunate that politicians involved in the upgrading of informal settlements often use to rally for votes, knowing that poor communication often occurs. In most cases, politicians use upgrading of settlements as a platform to inform the residents of their manifestos while promising greener pastures. Therefore, SM should not use public meetings to encourage DRC residents to participate in activities that they do not have a say in or are forced to participate in.

When it comes to the appropriate mix of community participation strategies, electronic media are mostly available in institutions, and the content is in languages that low-income people do

not use to communicate in; therefore, such media have little relevance to their needs and little use in training. For electronic communication to be effectively used in low-income communities, the issues of connectivity, content and context must be addressed to realise the potential of information technologies (Thussu, 2000). This issue of context and relevance of a particular community strategy is important and requires to be prioritised (Theron & Mchunu, 2016:129-133). Low-income urban residents often rely on face-to-face communication (CDE, 2013:27) as well as cellular telephone and radio technologies (Skulse & Cousins, 2008:5-22). This is evident in the DRC. Without electricity as a basic service, residents who wish to charge their cell phones walk to the nearby township (Mondesa) or Swakopmund Airport; alternatively, they pay N\$2 to N\$5 to shebeen owners who use generators in the DRC.

To exemplify such behaviour, during data collection and using the Participation Action Research (PAR) methodology, the researcher was informed that some homeowners had received letters from the community development worker from SM that ordered them to vacate (destroy) their homes (structures) as these were allegedly interfering with the Municipality's development plans. The homeowners claimed that they had not been "informed" about possible relocations from the municipality officials or the councillor they voted into power to represent their interest. According to the CDE (2013:2), creative and strategic communication interventions can effectively inform, engage and empower the poor, facilitating the development process. Poor communication can also plague a development programme or project with controversy (Skulse & Cousins, 2008:5-22). This was evident when the researcher asked residents living in the DRC about the formalisation of the DRC project: they claimed not to know anything about the development initiative.

Unlike top-down and prescriptive planning in the past, communication is expected to be used to facilitate community participation in a development initiative. Because development decision-makers in the past mostly adopted a "know-it-all" approach, most projects failed as a result of ineffective communication (Sibiya, 2010:43). Therefore, communication should be conducted effectively as early as possible during the planning process to avoid misunderstandings that can possibly result in a dreadful upgrading process or lead to failure of settlement upgrading. Nittel (1999:14) also recommended providing residents with information early in the planning processes and acknowledging their concerns before and during project implementation (Theron & Mchunu, 2018:27-59)

Community development officers or development facilitators have to become partners with the beneficiaries of development. The FAO (1989) warns about unrealistic expectations about community participation, arguing that “even the best projects, designed with its beneficiaries, cannot be cast in concrete; as it progresses, there will be an inevitable need to fine-tune its activities and introduce changes of emphasis”.

A good communication system backed-up by authentic community participation can keep dialogue open among all stakeholders during a development, thereby solving problems as they arise. Furthermore, such an ongoing information flow can also help to ensure coordination and proper orchestration of inputs and services in a development initiative (FAO, 1989). Community coordination is crucial during informal settlement upgrading (Nisich, 1997). Another way of encouraging community participation is by using appropriate communication strategies that are well-known to the community. This means that SM should encourage community participation by making use of communication strategies easily accessible to the DRC, such as suggestion boxes and active public meetings that allow the DRC members to ask questions and make suggestions that provide feedback to beneficiary (Swanepoel & De Beer, 2016:115-128). Councillors assigned to the DRC should have a legitimate open-door policy. SM should refrain from using communication platforms that are irrelevant. For example, in some instances the schedule for public meetings is published on the municipal website; when the DRC members do not have electricity, how does the municipality expect them to charge their phones and access the internet? This indicates the seriousness of relevant communications and community participation strategies.

Another way of encouraging communication in community participation within committees is by capacitating committee members by holding open meetings while allowing residents to fully participate from the first meeting that they attend (City of Minneapolis, 2014:1). Committee members should announce meeting agendas, times and venues and ensure that clear feedback is given to the settlement residents (Swanepoel & De Beer, 2016:178-189).

2.2.10.1 *Informal settlement upgrading approach*

The innovation of upgrading of informal settlement became fundamental when municipalities were forced to demarcate land and find suitable residential areas to relocate people who are flooding to the towns and cities.

This innovation can be traced back to the 1970s (Mukando, 2016:31) and 1980s, based on John FC Turner's inputs (Werlin, 1990, cited in Bhengu, 2013:30). Turner argued that government prerogatives are limited to providing basic environmental improvements and public goods to citizens; this enables informal settlement dwellers to progressively upgrade their living conditions. It was found that this had led to positive improvements in Calcutta, Jakarta and Manila even though they were not necessarily at the same level of success (Werlin, 1999, cited in Bhengu, 2013:30).

Upgrading of informal settlements is the latest effort put forth by governments and donor countries. It recognises the need for individual households to access basic services and infrastructure and, in some cases, the right of ownership of the properties that each household owns by (City of Minneapolis, 2014:1) providing security of land tenure (Patel, 2013:216). Even today, the use of the term "informal settlement upgrading" varies from scholar to scholar. Abbott (2000) defined it as a "sector-based intervention in the settlement that results in a quantifiable improvement in the quality of life of the residents affected". Abbot and Douglas (2000, cited in Mukando, 2016:29) also noted that "upgrading is the improvement of informal settlements without the total relocation of existing population". According to the World Bank (1996:20-38), upgrading at its most basic level involves improving the physical environment of informal settlements. It includes the improvement and installation of basic services such as water, sanitation, waste collection, access roads, storm water drainage, lighting and public telephones, and also land regularisation.

The City Alliance, which is a global partnership for urban poverty reduction and the promotion of the role of cities in sustainable development, defines upgrading differently. According to the organisation, upgrading consists of physical, social, economic, organisational and environmental improvements undertaken cooperatively and locally among citizens, community groups and local authorities to ensure improvements in the quality of life for individuals (City Alliance, 2002, cited in Mukando, 2016:30).

Since the time when upgrading was accepted as a solution to the situation of informal settlements, several approaches have been identified in various international projects. However, there is no one single upgrading approach that is uniformly applicable to all settlements (Abbot & Douglas, 2001).

2.2.10.2 *Upgrading initiatives and programmes*

An upgrading strategy is a formal plan that municipalities and the intended beneficiaries set up to guide them through the process. In South Africa, municipalities are guided by the Upgrading of Informal Settlement Programme (UISP). The UISP offers financial assistance to municipalities to undertake sustainable housing development projects aimed at improving the conditions of slum communities. The main idea of the programme is to facilitate a phased *in situ* upgrading of informal settlements as opposed to the relocation of informal settlement residents. The UISP seeks to achieve three interrelated objectives: land tenure security, health and safety, and empowerment of the inhabitants of slum communities through participatory processes (Ziblim, 2013:25).

In Namibia, the DUS (1999) of the COW Municipal Council defines informal settlement upgrading as an action whereby an existing formal or informal settlement is regularised to provide a form of security of land tenure, or whereby new or additional municipal services are installed, or whereby a combination of these is pursued. An upgrading programme may consist of various combinations, depending on the target community's needs and priorities and on affordability (DUS, 1999). The COW is trying to upgrade informal settlements within the city. At present, the services in some informal settlement areas have been upgraded or are in the process of being upgraded. Informal settlements such as Onyika, Onghuwo Yepongo, Okahandja Park D, Greenwell Matongo D and C, and Freedom Land A and B have been upgraded, with 1 371 households representing 5, 484 people benefiting (COW, 2003, cited in Mukando, 2016:29).

However, upgrading programmes have not lived up to their promise as they had some shortcomings. The programmes did not do much to secure land tenure for informal settlement dwellers as their vision was short term and ineffective (Palmer, Friciska & Wehrman, 2009, cited in Mukando, 2016:29). Eventually, urban policies and strategies generated artificial land

shortages in the formal sector, resulting in creating a breeding ground for insecurity of tenure, non-serviced settlements and decreasing urban land value, all of which contributed to a vicious circle of poverty (UN-Habitat, 2010).

2.2.11 Methods to informal settlement upgrading

Though there is no single right answer to upgrading, there are general approaches that have been used and combined in achieving community participation while upgrading an informal settlement. Some of the most applied methods of upgrading include sanitation and water supply, community choice projects, housing improvements, formal tenure provision, infrastructure improvements and an integrated approach to planning (Mukando, 2016:31). However, as previously mentioned, there is no one upgrading approach that is uniformly applicable to all settlements. Approaches to upgrading are context specific and development need oriented. Informal settlement upgrading also requires a thoughtful, carefully planned methodology (Nekwaya, 2007:35). This would determine whether the community authorities would actually allow the community to participate and make its own decisions.

The primary goal of the upgrading process and programmes is to provide security of land tenure, often to illegal communities, and to improve basic infrastructure and service delivery (Gulyani & Connors, 2002, in M'ithani, 2012:24; Huchzermeyer, 2006b). Upgrading of informal settlements is surrounded by uncertainties as to what exactly the process entails, its objectives, appropriate methods and approaches, and the desired outcomes (Luthango *et al.*, 2016:1; Mark, 2008). This poses a serious concern for international agencies such as the World Bank and UN Habitat and for national governments alike.

It is important that the different types of approaches to informal settlement upgrading are properly understood. The common approaches mostly include *in situ* upgrading and relocation (Huchzermeyer, 2006a; Abbot, 2002; Luthango *et al.*, 2016:2; M'ithani, 2012:24).

2.2.11.1 *In situ* informal settlement upgrading

The upgrading of informal settlement approach entails the improvement of an informal settlement while community members are already on site. This is a very common practice in African countries. This approach is the result of developmental pressure from community members on the local authorities. A long-term vision is present. For instance, talks of

formalising the DRC started as early as 2003 and the programme is still in progress. These improvements can take years, depending on many aspects such as participation, resource allocation and availability of land. It requires active participation from the stakeholders involved (M'ithani, 2012:25). Different types of improvements are implemented during an *in situ* upgrading approach, such as participatory enumerations and profiling (SDFN, 2015), saving for housing improvements and self-building (ISULabaNtu, 2017:1), reblocking and provision of basic services (Huchzermeyer, 2006b; Maselwanyana, 2007:25; Abbot, 2002). In Namibia, the Freedom Square informal settlement in Gobabis had an enumeration success whereby the community members were driving the process of collecting information from other members in the community to help the local authority to prepare for upgrading projects (Urban Africa.Net, 2013).

2.2.11.2 Relocation

In the past, most cities focused on “eradicating” informal settlements (Aldrich & Sandhu, 1995, cited in Victor, 2009:3). This entailed moving the community members away from the place that they had occupied for years for various reasons, including unsuitable topography, unhygienic conditions and land earmarked for development. In most cases, relocations are done against the affected community members’ will. They are often forceful evictions. The problem with such informal settlement upgrading is that it disturbs community networks that have been built over the years. In fact, the South African UISP calls for the “principle of minimal disruptions” (Tissington, 2011, cited in Ziblim, 2013:26).

In Namibia, relocations are very common. For instance, the COW has experienced uncontrolled urban growth since independence; thus, the Tweetheni and Ehanangano communities were relocated against their will from single quarters in 2000 for upgrading purposes.

In the Kenyan context, the Kayole Mihang’o Muungaano settlement is a good example of successful relocation. The settlement was established by a group of squatters invading the land belonging to the armed forces of Kenya Embakasi who established temporary buildings. The government decided to relocate the residents to the adjacent government land between the armed forces’ land and the Ngong River because the armed forces’ land was a restricted area (Appida, 2009, cited in M’ithai, 2012:26).

Relocations can be constructive, provided that the main reason for relocating is the best interest of the community and that proper communication and community participation takes place between the municipality and the community affected.

2.2.11.3 Forms of upgrading

Upgrading of an informal settlement takes different forms. This study evaluated the most common form, namely re-blocking, which is the preferred form of upgrading activity in an informal settlement. The approach is taken in blocks in accordance to the town planning layout, whereby community members actively assist in planning the restructuring of their settlement (Musungu *et al.*, 2013:36) with the help of NGOs such as the SDFN. The researcher observed the re-blocking initiative in the case study (chapter 4) whereby proper streets are identifiable, with most having street names.

The main aim is to restructure the shacks to create proper streets. These streets are structured to allow provision of services and access for vehicles. The shacks at the corners of the streets are left untouched. The layouts of the streets are neat and easily identifiable from an aerial view.

Such an approach creates more space for emergency vehicles to arrive at locations; for example, fire brigade vehicles are large. Without proper streets, it is difficult to reach a shack on fire without destroying the shacks in the way. In Namibia, many informal settlements adopted this approach. For instance, the DRC (proper) had a very positive re-blocking experience and streets received formal names.

2.2.12 Barriers to effective upgrading of informal settlements

An evaluation of past upgrading projects revealed both negative and positive outcomes for beneficiaries. On the one hand, the projects had a significant impact on housing and improvements in the living conditions of beneficiaries. On the other hand, the upgrading was negatively impacted by policies and procedures (Genevieve & Gulyani, 2002, cited in Bhengu, 2013:32).

The common problem remains funding (Sibiya, 2010:43), due to inadequate allocation of resources accompanied by ineffective cost-recovery strategies and lack of effective and efficient policies and programme implementation, especially those related to service delivery. The upgrading process can also have a negative impact on the living standard of the informal settlements' residents if precarious livelihood strategies are interrupted during the upgrading process (Ziblim, 2013:33).

A major obstacle to ensuring effective community participation during informal settlement upgrades is that there are often divisions within communities that undermine participation (Martin, 2014:4). These divisions are the result of residents' having different aims in a community, with water being the first priority to some while others want electricity as a basic service as it happened in DRC. This explains the importance of establishing and maintaining excellent human relations (Dukeshire & Thurlow, 2002 cited in Sibiya, 2010:44) among DRC residents through representative committees and between SM and the DRC.

Access to information on local development programmes remains an issue. Dukeshire and Thurlow (2002:3) also seemed to think that a lack of capacity-building of community members seems to be hindering participation. In agreement, Mosotho (2013:22) argued that essential planning skills and experience are lacking at local authorities.

In addition, corruption hinders the informal settlement upgrading process; contracts are often given to friends, family members and those willing to pay bribes (Sibiya *et al.*, 2013:35). Unlike other countries, such as South Africa, that have pledged to improve informal settlements through the UISP, Namibia is crippled by the syndrome of a lack of policies implementation. However, the COW municipality showed courage in attempting to improve informal settlement by adopting the DUS.

2.3 Legal framework for community participation in Namibia

2.3.1 Introduction

This section is concerned with the legislative and policy framework regarding community participation in upgrading of informal settlements, which give participants the ability, as stated by IAP2(2007) and Manila (1989) principles, to actually influence, direct, control and

own the local development programmes and projects in which they are considered beneficiaries. This section focuses on the international, national and local (institutional) legislative and policy perspective which guides community participation during informal settlement upgrading. In its attempt to redress the past imbalances due to apartheid policies by the South African regime, the issues of community participation with regard to upgrading informal settlements, the Namibian government developed legislation, and policies and policy pronouncements and housing initiatives that involved the citizens of Namibia.

Gutas (2005:32) is of the view that “development efforts cannot succeed without authentic and sustainable community participation”. The researcher is of the view that, similarly, upgrading of informal settlements cannot succeed without the authentic and sustainable community participation, a key point of departure from this strategy.

2.3.2 International perspective

2.3.2.1 Manila Declaration

As previously indicated, this is the original document that seeks to address the issue of community participation internationally. The assertion was the result of the Inter-Regional Consultation on People’s Participation in Environmental Sustainable Development held in Manila, Philippines in 1989, where the members focused at developing principles towards people-centred development (Theron & Mchunu, 2014:111-128). The results were the detailing of four community participation principles, which tried to widen political participation built from a base of participatory local government as depicted in 2.2.6.4. The Manila Declaration (1989) proposed a change in "mind-set" and consequent transformation of development institutions, which would include redefining community participation.

It expresses that whatever community members contribute, it ought to have the capacity to impact the direction of the decisions made. Persistent efforts should be made to ensure that representatives of a community participate. For instance, the committee members of the DRC should be representative in terms of the number of men and women. If the event that this does not occur, the women might feel that their needs are not considered (Nampila, 2005:18).

The researcher recommends that SM organisational framework to be guided by the Manilla Declaration (1989).

2.3.2.2 The African Union's Agenda 2063

The last three decades have witnessed a proliferation of global attention and commitment to tackling the emergence and growth of informal settlements across the world's cities. Various policy documents have enumerated the pledge to address issues resulting from uncontrolled urbanisation, such as tenure insecurity, inadequate spatial planning and rising poverty levels; and to couple the solutions for land reform, sustainable urbanisation and spatial integration with those for more inclusive socio-economic transformation (Remmert & Ndhlovu, 2018:18).

Agenda 2063 is a strategic framework for socio-economic transformation on the African continent. Consultation between the African Union was held in Addis Ababa, Ethiopia. The framework outlines aspirations towards a Pan-African vision of “an integrated, prosperous and peaceful Africa, driven by its own citizens and representing a dynamic force in the international Arena” (African Union, 2019:1). The Agenda is premised on seven aspirations whose pillars include poverty eradication; shared prosperity through socio-economic transformation; socially and economically advanced cities and settlements that boast modern infrastructure and affordable and decent housing with the attendant basic services; as well as a high standard of living for Africans on the continent and within the diaspora (Remmert & Ndhlovu, 2018:18).

Agenda 2063 was as a result of bottom-up approach, through the consultation between African countries. This means Agenda 2063 is the brainchild of the African citizenry, enhances ownership of both the process and the outcomes of the initiative for having a continental agenda for socio-economic development (African Union, 2019:2). The researcher believes the plan to upgrade DRC by the SM is part of their efforts to work towards achieving the goals as set out in Agenda 2063 from a local authority perspective. This is done by improving the standard of living, through provision of basic services and infrastructure development in the midst of co-producing with DRC inhabitants.

2.3.2.3 International Association for Public Participation (IAP2) (2007)

As previously stated, the IAP2's contribution to the practice of community participation cannot go unnoticed. They provided seven core values for practitioners that ought to be

required when intending to ensure authentic participation (Theron et al., 2007:8). The values were developed over a two-year time span with contribution from numerous universal partners (Theron, 2005:112) as examined in 2.2.9.3. The motivation behind these values is to more likely mirror the interest and concerns of affected people through appropriate decision-making (IAP2, 2007). Theron (2005:113) and Theron and Mchunu (2014:111-128) contended that the community participation process should pursue the standards of the IAP2, however, Theron et al. (2007:31) evaluated the values as guidelines that are complex, inflexible and problematic, especially in the context of South Africa's IDP as previously featured.

The researcher applied the reality at DRC on the IAP2 spectrum and evaluated the status quo of the appropriate mix of participation strategies argument. This assisted in finding viable approaches that will work for their context.

2.3.3 National perspective

2.3.3.1 *The Constitution of Namibia*

Housing is highlighted as a priority area in several national legal and policy frameworks. The Namibian Constitution (1990), although it does not directly protect the right to housing, calls for community participation during efforts of addressing the housing challenge. That is why community participation cannot be swept under the rug anymore. What can be deduced from the Constitution (1990) is that government is liable for promoting the well-being of communities (Article 95) and that it protects the right to privacy. Since everybody is equal before the law, the Constitution (1990) calls upon the DRC members to be treated fairly, like those people living in middle income communities.

The Namibian government has developed several regulations and programmes in its efforts to deliver affordable housing. However, the pace of delivering affordable housing has been slow compared to the demand. The programmes have also faced severe challenges that include quality problems, mismanagement of funds and rising costs of building materials, just to mention a few. The following legal frameworks and programmes are worth discussing:

2.3.3.2 *Vision 2030*

The country's overarching development framework underlines the need for all Namibians to access adequate housing with basic infrastructure and services (Namibia's National Planning

Commission, 2004). The vision is to provide affordable housing to all Namibians by 2030 through increased investment in the housing sector and in the process eliminate all shacks in Namibia. Vision 2030 is Namibia's strategic plan aimed at eliminating poverty and reducing inequality by 2030 (NPC, 2004).

The significance of housing is reiterated in the national development plans, from the National Development Plan (NDP) 2 (2001-2006) to the NDP4. The NDP for the period 2012/13 to 2016/17 (NDP4) identifies housing as a national priority. The National Development Plan forms an important part of nation building as these plans have both a psychological and motivational impact on citizens (Theron, 2008:48). The NDP4 states that the government undertakes to have a "robust and effective housing delivery programme, where affordability is the key feature of the programme" and that 60% of households will be living in modern dwellings by 2017 (GRN, 2012:20), which unfortunately has not been the case due to unaffordable newly built modern dwellings by low-income earners.

The researcher recognised that DRC is also affected by unaffordable newly build modern dwellings by low-income earners. The newly built houses are too expensive for the majority of the DRC residents. Thus, many are occupied by civil servants and not by DRC residents.

2.3.3.3 The Harambee Prosperity Plan

The Harambee Prosperity Plan (HPP) has recently been adopted as a contribution during his first 100 days in office by the current head of state towards the fight against poverty and enhancing economic activities in order to achieve national development. The HPP is enriched by "consultative" community engagement through town hall meetings in all 14 regions of Namibia (Republic of Namibia, 2016:5). Namibians from all walks of life were given an opportunity to address, engage with and challenge the status quo and to make suggestions on how planning can be done differently. This document does not replace any national development roadmap but aims at complementing the long-term national development goal of prosperity. The document demonstrates that Namibians do not seek hand-outs. They seek an enabling environment in which they can survive and thrive. The HPP includes some elements on housing. It states that at least 6 500 serviced residential plots and 5 000 housing units should be delivered annually.

This document is important because it ushers in a new era of empowerment for the urban poor through security of land tenure and national documents supporting community participation, which leads to development.

2.3.3.4 The Mass Housing Delivery Programme

The Mass Housing Delivery Programme was launched in 2012 with the aim of constructing affordable housing (185 000 housing units by 2030) and in the process creating new jobs. The programme was envisaged to construct on average of 10 278 houses on a yearly basis (GRN, 2013). Even though this programme is surrounded by negativity such as corruption, the success stories cannot be ignored.

2.3.3.5 The Massive Urban Land Servicing Project

The Massive Urban Land Servicing Project was launched in 2015 to speedily service land needed for affordable housing. One of the key challenges in providing affordable housing is lack of serviced land, which is a costly and lengthy process. In the public sector, local authorities are the sole providers of serviced land. However, due to financial deficits, most local authorities are not able to deliver adequate serviced land, leading to huge housing backlogs in their jurisdictions. The protracted process of land servicing, which happens in multiple stages, exacerbates the backlogs. The time-consuming sub-processes include approval of town plans, environmental assessments and classification of the residential area. The Massive Urban Land Servicing Project was launched to fast-track land servicing, considering the abovementioned administrative bottlenecks. The HPP set the target for serviced residential plots at 6 500 per annum.

Through this programme, communities are invited on a voluntary basis to provide labour in order to speed up the process that strives for more serviced land to build affordable housing. In the researcher's view, this act is a great advantage to SM that will guide it in the new era of empowerment of the urban poor through security of tenure.

2.3.3.6 The National Housing Enterprise

The National Housing Enterprise was established to address affordable housing. The National Housing Enterprise Act 5 of 1993 (GRN, 1993) states that the National Housing Enterprise Corporation fulfil the housing needs of Namibians. According to the Act, it is "an executing

agent of the then Ministry of Regional and Local Government, Housing and Rural Development in all spheres of low-income housing provisions and other related developments”. It has a mandate to promote homeownership through housing development programmes and provision of housing loans to low- and middle-income groups (GRN, 1993). Its target groups are the low- and middle-income groups: from households earning over N\$5 000 per month and not more than N\$20 000 or a maximum joint income of N\$30 000 per month (IPPR, 2016). The collateral is pegged at 20% or a deposit of 5%. To achieve its mandate, the Namibian Housing Enterprise Corporation works with local authorities in infrastructure development.

2.3.3.7 Decentralised Build Together Programme

The programme was first implemented during the 1992/93 financial year. The programme was decentralised to the regional councils and local authorities. The decentralisation process and especially housing provision was seen as a way of empowering local communities to take part in the decision-making processes on issues that affected their way of living. The programme comprised the following four sub-programmes that were implemented nationwide:

1. Urban-rural housing loans: This sub-programme promoted homeownership through provision of housing loans to low- and middle-income households that did not qualify for housing finance from financial institutions and the National Housing Enterprise. Low-income people could apply for loans to build their own houses. Beneficiaries included households living in informal settlements. The beneficiaries constructed their houses with the assistance of families or hired builders.
2. Social housing: This sub-programme provided loans to small local authorities and regional councils to facilitate housing provision for welfare cases. The target population was pensioners, people living with disabilities and destitute people.
3. Informal settlement upgrading: This sub-programme was geared towards upgrading of informal settlements through provision of basic services such as water, sewerage and electricity. This was achieved through provision of grants to local authorities to use in the provision of basic services. In turn, the people living in informal settlements were required to make monthly contributions to the local authorities for the provision and maintenance of services.

4. Single quarter transformation: This sub-programme intended to transform single quarters that had been constructed for male labourers during the apartheid era to accommodate families. The programme was implemented on a cost recovery basis.

2.3.4 Shack Dwellers Federation of Namibia and Namibia Housing Action Group

Unlike the abovementioned government-formulated legislation and policies, these legal initiatives are the brainchildren of NGOs that work hand-in-hand with municipalities to reduce the shortage of housing for low-income residents.

The SDFN is a “network of saving schemes that aims to empower low-income people living in shacks, rented rooms and for those without accommodation” (Weber & Mendelson, 2017:39). It was formed in Namibia in 1998. The SDFN has over 600 saving groups with 20 400 members all over Namibia. To date, it has built about 3 488 houses and secured land for some 6 230 families (Weber & Medelsohn, 2017:39). The NHAG was formed in 1999 as a supporting NGO to the SDFN. These initiatives help the upgrading process, anchored in self-help and solidarity.

NGOs promote the building of community participation through financial support as well as working hand in hand with the communities to derive important information that will assist in generating funding.

2.3.5 Institutional framework

The most important policy response to informal settlements has been to recognise or legalise informal land development, specially related to the practice of squatting, through judicial-administrative tools or through public policy. This response is the clearest example of the state’s need to know and recognise what really happens or what should be part of its territory (Guevara, 2014:259).

The Local Authorities Act 22 of 1992 (GRN, 1992) defines the role of local authorities as, among other things, establishing and financing housing schemes, establishing a housing fund and providing services. In SM, the overall management of these processes falls under the municipal council, with the help of the housing manager from the Community Development Services Department. The policy also recognises that service delivery goes hand-in-hand

with housing provision and that municipal departments have a key role to play if affordable low-cost services are to be achieved (World Bank, 2002:9).

Unlike South Africa with detailed municipal policies, integrated development plans and in-house policies, SM makes use of a strategic plan that is tabled in bullet points, is very brief and does not clearly indicate the task to be performed and by whom. There is also no indication of a timeframe. This can hinder community participation as information is limited to the development planners and is often not available to the community.

The COW, which is a Part 1 local authority in Namibia, has implemented a land and housing policy to ensure that all low-income inhabitants of the COW have adequate and affordable access to housing as a way to reduce poverty and to increase the quality of life. The policy expects to instill a sense of pride and ownership among the inhabitants. It expects to ingrain a “culture of cooperation” and participation within the communities of the COW to accomplish its goals (COW, 2000, cited in Nampila, 2005:25).

2.4 Chapter summary

Informal settlements or slums are a serious concern to municipalities and efforts to upgrade these communities are continuous. Selecting an appropriate upgrading strategy depends on the local context. Thus, it is important to use relevant interventions to engage with the affected community. The organisation in charge should create an enabling environment for interactions between it and the affected community. Development programmes and projects are deemed likely to succeed if the affected communities are actively included during the early stages of planning and implementation. Change agents must not assume that they are familiar with all the problems facing informal settlements; rather, they should discover these issues by engaging the community members as collaborative planning and coproduction partners.

It is also important that communities should not develop a “do-it-all” attitude as change agents are trained officials who are tasked with facilitating community participation. Therefore, they should encourage community participation by giving feedback on how the

views of community members have been implemented in decision-making, keeping in mind that not everyone's views can be implemented and that people have different problems.

Despite impressive and comprehensive legal and policy frameworks for housing, development of affordable housing has been proceeding at a slow pace since independence in Namibia. Although housing is understood to play a key role in national development and all sectors are making concerted efforts to provide affordable housing, a myriad of challenges hamper the accessibility of affordable housing. One of the key challenges has been the mismanagement of funds. Financial and institutional deficits in most local authorities have led the authorities to divert funds earmarked for affordable housing to other functions. In addition, skills deficit and technical capacity constraints have also compromised the quality of the housing provided.

CHAPTER 3: RESEARCH METHODOLOGY

3.1 Introduction

This study was designed to evaluate the communication and community participation process during deliberations on the upgrading of the DRC, which ultimately assisted in improving basic services to the settlement. This chapter provides an overview of the research methodology used and explains the procedures utilised in administration of the data collection instruments. It further includes the population statistics, data collection and testing procedures to ensure the reliability of the data.

To enhance the current communication and community participation structure between the municipal officials, councillors and the DRC residents, the following objectives were developed to address the participation of community members in the upgrading process:

- To evaluate the effectiveness of SM's approach to community engagement by assessing whether a detailed community participation framework/policy was implemented.
- To evaluate the level at which the DRC members as the (internal) project beneficiaries were participating in the decision-making towards the upgrading of their settlement. This was achieved by assessing the selected participation strategies and the level of effectiveness of the strategies, as illustrated by the IAP2 Spectrum (2007) and Arnstein's typologies (1969).
- To formulate recommendations to improve the communication structures and community participation strategies between SM and the DRC.

3.2 Research methodology and design

Research methodology is defined as the overall approach, from the identification of the problem to the final strategies for gathering and analysing data (Burns & Grove, 2001:223). Social research methodology requires consideration on the planning, structuring and execution of the research process to comply with the demands of truth, objectivity and validity (Brynard *et al.*, 2014:38). Bogdon and Taylor (1975:1) defined methodology as the

processes, principles and procedures by which researchers approach problems and seek answers to questions. The explanation below provides more detail about each instrument used to collect data.

A research design is a plan according to which researchers collect information (Welman *et al.*, 2006:46). Yin (1994:19) indicated that the aim of a research design is to guide the researcher through the process of collecting, analysing and interpreting data. According to Brynard *et al.* (2014:38), a good research design should be theory grounded, flexible, feasible and efficient. This allows for investigated theories that can be used as reference to strike a balance between redundancy and a tendency to overdesign.

Babbie (2007:89) identified two major aspects of a research design, namely that the researcher should first specify what needs to be investigated and then determine how best to do it. This should be done depending on the purpose and orientation of the study; qualitative or quantitative methods or a combination of methods may be applied (Blanche & Durrheim, 1999:31).

The researcher primarily used an evaluative research method and a combination of quantitative and qualitative methods of data collection in this study.

3.3 Evaluative research

The research was evaluative in nature, with the purpose of examining a specific policy or work on a project from the point of view of the effectiveness of community participation structures (Robson, 1993, cited in Walliman, 2011:18; Trochim, 2006). According to Babbie (2007:350), evaluative research is undertaken to determine the impact of a special intervention, for instance a programme/policy aimed at solving social problems. Evaluative research is appropriate whenever social interventions occur or are planned.

The aim of the study was to assess the readiness of SM regarding communication and community participation during the formalisation of the DRC project. This was achieved by evaluating the in-house framework promoting community participation, particularly the

community engagement framework. The study evaluated the extent to which community members participated in the upgrading process by examining community participation under each strategy of participation, with a view to deriving the level of participation. The study further evaluated the structures put in place to enable community participation by DRC residents, which resulted in determining the extent of the communication during participatory interactions between the two parties.

According to De Vos (2005:34), “evaluative research entails the solicitation of research methods to the body of knowledge that is useful in assessing the effectiveness of technologies and programmes.” Sibaya (2010:92) places emphasis on the importance of the researcher’s understanding of the local setting and socio-political context of the research target. The purpose of evaluative research is not to discover or come up with new theories, as done in basic research, but to study the effectiveness of existing theories or knowledge in informing and guiding practical action. Normally, recommendations are very useful in this instance. In this study, an evaluative research method assessed a project from different perspectives and sought causal linkages among programme activities. The study also presents recommendations.

3.3.1 Qualitative and quantitative methods

As stated in chapter one, the study made use of a mixed methods approach, consisting of both qualitative and quantitative methods of data collection. The quantitative research method uses numeric data that is selected only from subgroups of the population being studied, and their findings are generalised to the population. In simple terms, quantitative research methods compress the research and apply it to a bigger picture. This research method requires a computer system that allows research findings to be presented by using graphs, such as pie charts, line graphs and so forth.

Even though the researcher used a mixture of qualitative and quantitative methods, the study was mainly focused on qualitative research, which dealt with subjective data and was generated through the inputs of the respondents (Creswell, 2003:45). Neuman (1997:125) stated that a qualitative study is an inquiry into a social or human problem based on building a complex, holistic picture, formed with words and conducted in a natural setting, as done at the DRC informal settlement.

In qualitative research, research designs are more open, fluid and changeable and are not defined in technical terms (Blanche & Durrheim, 1999:31). This means that the original plan of the researcher is not rigid and can change as the research proceeds. The researcher attempts to understand the meaning that respondents attach to their situation. According to this approach, the researcher builds a complex, holistic picture, analyses words, reports detailed views of informants and conducts the study in a natural setting. Qualitative research methods rely on impartiality and adherence to ethical elements to enhance the quality of the findings.

The researcher used a case study approach to follow a suitable research plan and to gather the necessary data that would meet the research objectives, *inter alia* by describing the actions of the research participants in great detail (primary data) and then attempting to understand these actions in terms of the actors' own beliefs, history and context (Babbie & Mouton, 2015:271). A case study remains an effective and holistic strategy used in various areas of research to collect and analyse data in complex settings (Ouyang, 2009, cited in Babbie & Mouton, 2015:278).

3.3.2 Participation Action Research and Participatory Learning and Action

As indicated in chapter one, social research underwent a democratised transformation, which presents qualitative radical approaches to social learning. The researcher applied Participation Action Research (PAR). Theron and Mchunu (2016:17-20) describes it as a process "...whereby the researcher (outsider) forms a research partnership with the participant (insider) through which (1) we get closer to local grassroots realities and solutions; (2) the empowerment of both parties (outsider and insider) and (3) the integration of two knowledgeable systems". Through this approach, the researcher applied the PAR methodology to observe the real feeling, views and patterns of participation by participants without manipulation from the researcher (MacDonald, 2012:34). PAR is defined a subgroup of action, which is the "systematic collection and analysis of data for the purpose of taking action and making change" by producing workable knowledge (Gillis & Jackson, 2002:264). Being employed by SM enabled the researcher to share in activities with regard to the DRC development process, making it possible for the researcher "to gain deeper insight into the research problem and being able to observe and understand the feelings, behaviour, beliefs and attitude... of development worker, councillors, and DRC residents better, ... since it was

possible to enjoy the confidence of the participants and sharing in their experiences without disturbing their behaviour” (Bless & Higson-Smith, 1995:43-105). The researcher utilised PAR, with the aim of producing practical recommendations to ensure authentic and sustainable communication during community participation in the informal settlement upgrade. In this study, PAR and PLA will be applied in the researcher’s observations in the local setting, in dialogues with recommended individuals, reading between the lines during interviews and general discussions with participants.

The above qualitative social approaches are time consuming and need many resources. It was, therefore, important for the researcher to keep a sample to a manageable size to ensure there is in-depth information collected from respondents, as recommended by Schuink (2009:808), stated in Sefora (2017:71). The population and sampling for this study is discussed in the next section.

3.3.3 Population

The researcher identifies the population in which the study is to be undertaken. De Vos (2005:193) referred to a population as a set of entities in which all the measurements of interest to the researcher are represented. Bless and Higson-Smith (1995, cited in Nampila, 2005:5) defined a population as a group of people who are to be studied and of which the researcher tries to determine certain characteristics. Welman et al., (2011:52) considered a population as “the study of object and consists of individuals, organisations, human products and event or the conditions to which they are exposed”.

Neuman (2006:224) described a target population as a “specific pool of cases that the researcher wants to study”. The population is, therefore, not limited to people; it might be a pool of things, documents, towns and others. However, in social programme research, we usually study how programmes operate, the recipients of the programme or policy and the type of information. Neuman (2006:224) further stated that it is essential to describe the target population accurately to collect and obtain relevant and valid information. For the purpose of this study, “population” meant the members of the DRC (ordinary members or home owners), community leaders, municipal councillors and community development officials, also referred to as municipal officials.

3.3.4 Sampling

The sample is derived from the population. Sibaya (2010:93) described sampling as selecting a manageable group of respondents from an entire population. According to De Vos (2005:193) and Kerlinger (1986:24), sampling means selecting any portion of a population or universe in research. The researcher used both probability and nonprobability sampling for the purpose of this study. Municipal officials, councillors and community leaders were selected by means of nonprobability sampling, by using purposive sampling (Welman *et al.*, 2006, cited in Martin, 2014:10). This is because only people who were accessible and had the necessary information were targeted; thus, only those councillors who were directly “involved” in the DRC settlement were interviewed. The same applied to the municipal officials; only the community development/housing officers, manager and general manager of the Community Development Services Department who had adequate knowledge of the process of formalisation of the DRC since 2011 were interviewed. Purposive sampling enables researchers to be thorough in choosing the participants that are readily available but also must meet the requirements of the study (Holyle, Haris & Judd, 2002:188). This is important because availability and relevance of the respondents is vital to the study’s success, as these could compromise the reliability and validity of the results. This means, these respondents could realistically comment on how they perceived the effectiveness of the community engagement policy or public participation programme; that is, they could outline how community members were to participate, detailing the structures and the community participation strategies.

The ordinary community members were selected randomly from DRC “proper” by means of probability sampling. As highlighted in chapter one, DRC “proper” is the extension (area) of the case study. The naming “proper” is given by SM, hence the extension has started to take shape properly, based on the characteristics of a formal settlement. Random sampling means that each respondent has a fair chance of being selected. Evaluative research usually requires the use of a probability sampling design to ensure generalisability of the findings to the population being researched (Siegel, 1985:48).

As for the community leaders, it was not clear whether a ward committee was or is in existence; thus, the researcher found snowball sampling effective. This is a type of purposive sampling. Initially, the process aims to utilise community knowledge about those with skills

or information in particular areas. Snowball sampling is a process designed to identify respondents with characteristics that are needed in a study, programme, committee, organisation, etc, (Edwards & Holland, 2013:6). In this study, the researcher applied a snowball approach to speak to respondents who were certain that a ward committee exist(ed), and assisted in identifying the members. This was as a result of conflicting views the researcher obtained from SM and DRC residents.

The study consisted of 30 individuals from the 1 370 possible participants of DRC “proper”. From the 30 participants, five community leaders and twenty ordinary community members participated. From the SM side, two community development workers and their manager at the Community Development Services Department were interviewed. Unfortunately the general manager was not available to be interviewed even after countless attempts due to a busy schedule. Among the councillors at SM, only four were interviewed, the mayor was not available to be interviewed due to work obligations. Thus, after the data was analysed, the study had a sample of 32 participants.

3.4 Methods of data collection

The following research instruments and approaches were used to collect data at different levels and stages of the study. The researcher used both primary and secondary sources.

3.4.1 Primary sources

To achieve the research objectives, data was collected with the aid of two instruments. Firstly, semi-structured interviews were conducted with the politicians and officials of SM who were part of the formalisation of the DRC (see annexure B). During these types of interviews, “the interviewer can probe and expand the interviewee’s responses” (Rubin & Rubin, 2005, in Alshenqeeti, 2014:40). To simplify this in practice, a “basic checklist” is recommended by Berg (2007) to cover all relevant areas concerning the study (research question). The checklist also keeps the discussion within the parameters as indicated by the aim of the study. The checklist is synonymous with the questions on the interview sheet. Patton (1980:278) argued that interviews are used to extract from research participants information that we cannot directly observe, such as their feelings, thoughts and intentions. The researcher used the interviews as the main method for data collection to supplement the literature study. The interviews were conducted in a natural setting with one respondent at a time for them to feel

free to express themselves fully and truthfully. Therefore, interviews with municipal officials were conducted in their respective offices, to allow privacy and to make them feel comfortable in a familiar environment. Councillors are part time employees of the municipality of Swakopmund, thus, they do not have offices at the institution. Some councillors opted to be interviewed at their homes, and place of work. Conducting interviews offers low refusal rates and promote “ownership” of findings (Mouton, 2011:142 in Sefora, 2017:75).

The interviews were scheduled for 10-15 minutes, as advised by Denscombe (2010:182) who stated that it is important to have a fixed time for an interview, as an indication for busy people to have an estimate of how much time they can dedicate to the interview. However, respondents exceeded the scheduled time, and some went up to 30-40 minutes, which was helpful because, “the purpose of qualitative research is to understand rather than to predict” (Powell, 1997:154).

The researcher made detailed field notes and observations by hand, use of a tape recorder during the interview with the permission of the respondents see (annexure D and E). Audio-recordings provide more permanent and accurate recordings (Denscombe, 2010:182), provided they are stored in a safe place as described by research ethical guidelines.

The researcher did not make use of focus groups as it could be very time-consuming and characterised by irrelevant discussions if not properly managed. Instead, the researcher applied the PAR and PLA approaches to attain first-hand information from relevant observations and well managed dialogues with respondents.

Secondly, questionnaires as part of an interview were administered to the DRC residents (see annexure A). The questionnaires consisted of both open-ended questions, which enabled participants to be free to tell their side of the story, and closed-ended questions supported by factual information, such as the biographical information that was relevant to the study. According to Brynard *et al.* (2014:38), a relevant research design should be flexible, feasible, and efficient and determine the best way to investigate. The questionnaires were disseminated and read to the participants, and a “discussion” took place. The DRC members had high illiteracy levels and there were unclear participation structures (the researcher had to probe for more information); therefore, a combination of a questionnaire and an interview was used

as an instrument of data collection. Blanche and Durrheim (1999:31) supported the idea of a combination of instruments of data collection, namely interviews and questionnaires.

Thirty structured questionnaires were used to generate data from community members. These included both closed-ended and open-ended questions. The questionnaire consisted of two sections. The aim of Section A was to collect biographical information about each respondent. This data was essential to compile a brief profile of each respondent. Section B (see annexure A) consisted of open-ended questions that were intended to elicit information about participation of community members in development initiatives. The purpose was to generate both quantitative and qualitative data.

Qualitative social research related to beneficiaries' livelihood is very sensitive; thus, questionnaires are very appropriate as participants want to stay as anonymous as possible (Gee, 1994:314). The questionnaires were administered by the researcher personally to explain the purpose of the study to the respondents. Sometimes, residents of informal settlements cannot read or write.

3.4.2 Secondary sources

The secondary data assisted in analysing the effectiveness of community participation structures during informal settlement upgrades, which helped to narrow the gap in knowledge that emerged and led to new patterns of thinking about in-house and national policies. Using document analysis offered an opportunity to recollect the history of the DRC and offered an assessment of its progress; it also acted as a verification of the validity and reliability of the views collected through the interviews (Da Silva, Kernaghan & Luque, 2012:7). This part of the study relied on written data, where the data collection of literature sources was done through libraries and web searches. Electronic journal articles, textbooks, internet searches, research reports, thesis and legislation relating to public participation in the upgrading of informal settlements. The researcher had access to internal documents on the subject matter, namely, the strategic plan of the SM, personal information on DRC residents, such as erf numbers, contact details and salary scales of the DRC residents which assisted the researcher to build a current reflective profile of DRC community, hence the out-dated data. This is why "researchers should check in advance whether their access to documentary data sources will need authorization or require payment" as argued by Denscombe (2010:220). Documents were

analysed in order to understand the conceptions, strategies and nature of public participation at the local level. Analysis of these documents assisted the researcher to better understand the topic after visiting various websites, both internationally and regionally, especially the public participation policy/strategy for municipalities. Document analysis helped to confirm the accuracy of data from empirical research (Andrews *et al.*, 2012; Smith *et al.*, 2011). This means that existing data on a similar topic is utilised; this type of data is also ideal when time and resources are constrained (Johnston, 2014:619). Unfortunately, secondary data output does not apply to all situations. For instance, what happened in an informal settlement in the COW is not necessarily applicable to DRC. It is not a one-size-fits-all situation. However, the information collected embodied the literature review on community participation, which enabled understanding of community participation and related participation strategies through the establishment of a relevant engagement (appropriate mix of participation strategies) during project implementation.

3.5 Procedure of data presentation and analysis

The researcher should first complete the data collection, and then only proceed with data analysis. Data analysis refers to the way in which researchers make sense out of and learn from raw data collected in the field (Hallett, 2003:47). As this study used quantitative and qualitative research methods, appropriate graphical and tabular illustrations, measures were taken to screen the data for errors, to measure relationships and to compare groups that had been randomly assigned (Strewing & Stead, 2001:172). Furthermore, the data produced by this study was presented according to appropriate themes. The coding method was used to analyse the data into themes or categories. Coding is used to reduce unwanted data collected (Alshenqeti, 2014:41). The answers from both the interviews and questionnaires were presented by utilising bar and pie diagrams to abridge the data, and some answers from the respondents were outlined by featuring the primary concerns.

3.6 Research ethics

Social science is a discipline that makes use of “human subjects” in research. Leedy & Ormrod (2005:101) warned that, when this happens, a close look must be taken at the ethical

implications and what is intended. Adhering to research ethics is important. Mouton (2001:239) considers it as “entering in a moral contract, which is neither optional nor negotiable”.

The study required ethical clearance from the Stellenbosch University’s Research Ethical Committee. This was to prevent harm to the subjects and to combat bias. The researcher abided by the ethical guidelines that sought to avoid harm to respondents or organisations (Tshabalala, 2006, cited in Sibaya, 2010:97). Neuman (2006:129) qualified ethics in research as a set of principles that reveals what is or is not legitimate in research practice.

The researcher adhered to the research ethics as outlined in Bless, Higson-Smith & Kagee (2006:93). The researcher had to request permission to undertake the study from SM (from the Chief Executive Officer) who permitted the researcher to carry out the study both within the municipality as well as the DRC (see annexure C). The overall aims of the study were explained to the target population, and their consent was sought for participation in the research project. Participants’ consent was requested, and they were also told that if they wished to withdraw at any point during the study, they were free to do so (see annexure D and E). All participants were assured that sensitive data would be kept confidential and that their identity would remain anonymous since this study was for academic purposes only. Participants were told that the study had not been commissioned by the municipal authorities because many feared victimisation. The participants were also informed that their data will be kept in a safe place.

As a participatory observer, following the principles of this research methodology by Babbie and Mouton (2015: 36), the researcher carefully considered and adhered to ethical principles underlying field work at all times in interaction with research participants.

As an employee of SM, the researcher had access to a database that stores personal information of residents, such as their salaries, erf information and contact details, thus, the researcher ensured that care was taken in handling this information.

3.7 Chapter summary

This chapter presented the research methodology and design, which indicated how the research was conducted, the methods that were used and the manner in which the data was analysed. This information would be used to answer the research objectives, hypothesis and evaluate public participation in the upgrade of DRC, by evaluating participation spaces, strategies employed, as well as offer context specific recommendations to improve public participation.

CHAPTER 4: UPGRADING OF INFORMAL SETTLEMENTS: CASE STUDY OF THE DEMOCRATIC RESETTLEMENT COMMUNITY (DRC)

4.1 Introduction

This chapter provides a profile of the DRC that was compiled for the purpose of analysing the problem statement as presented in chapter one. Community profiling is a common tool used when intending to upgrade settlements (Hawtin & Percy-Smith, 1994, cited in Sibaya, 2010:68). Thus, NGOs such as the Shack Dwellers Federation of Namibia, through the Community Land and Information Programme, were introduced to the planning of settlement upgrading, in partnership with the DRC community. This chapter details the readiness of SM with regard to the upgrading of the DRC. It further sets out the facts relating to the research objectives as presented in chapter one.

4.2 Background information: Swakopmund

Swakopmund is situated on the coast of the Namib Desert and covers over 213 km² (Robertson *et al.*, 2012, cited in Iiping, n.d.:26). The growth of Swakopmund was and still is due to migration. It specifically began in 1970 with the uranium exploration in the Rossing area and has increased gradually over the years. SM has been in existence for over 105 years while the local government has been in existence since post-independence in 1990 (United Cities and Local Governments, 2014:37).

SM, like other local municipalities in Namibia, experiences its share of socio-economic and political challenges. Common problems are the non-delivery of essential services such as water, proper sanitation facilities, electricity and housing; health-related problems; unemployment and crime. The most critical issues faced by the municipality are land invasion and ignorance relating to the operations of local government (Sibaya, 2010:69).

SM was challenged not only to find legitimate ways to restore its relationship with the DRC residents but also to implement a systematic and sustainable process that enables and

encourages the application of appropriate participation strategies in achieving community participation. In that way, residents would be able to meaningfully suggest solutions to their problems and be part of the planning, implementation and evaluation of the upgrading processes. As argued, community participation is stated to be a key ingredient of effective and accountable governance at the local level (Sibiya, 2010:70).

The DRC is mainly the result of relocations from the single quarter's compounds, dating back to the early 1990s, current relocations from the area surrounding the DRC and people moving from within the DRC towards the outskirts, which resulted in a new illegal settlement (SM, 2017:2). This state of affairs prompted the Community Development and Services Department to issue notices in the form of letters that were delivered by municipal officials, requesting these residents to vacate the area and urging them to return to their original residences. Unfortunately, those who came from within the DRC found it difficult to find a place as the original site was occupied by the newly installed services. There was nothing cooperative about the relocations because some homeowners argued that there was no proper engagement between the council and the DRC residents regarding the temporary or permanent relocations towards development. Thus, residents remained discontented and unhappy regarding the communication and public participation process.

The National Development of Housing, (2004:1) alluded that "relocation is considered where development is impossible or not desirable and must be carried out on voluntary and cooperative basis". In the same vein, SM made the decision to relocate the affected people who were based at the single quarters and compounds in Mondesa to the cheap land situated on the outskirts of Swakopmund with the aim of upgrading the single quarters. Single quarters are defined as "dormitory housing, generally used by male labourers or migrant workers" (Namibia National Housing Acting Group, 2010, cited in Muller & Mbanga, 2012:72). As time went by, the aim was to upgrade the new settlement in stages with proper basic services such as clean water supply, proper sanitation, drainage systems and electricity supply and to provide residents with erven to construct affordable houses.

Previously, the houses at the settlement consisted of temporary structures made of plastic, wood, boxes and corrugated iron. Today, permanent houses are visible as a result of the government's Mass Housing Programme. Three thousand low-income houses were planned;

however, most houses are occupied by public servants, such as police officers and nurses, instead of the really needy. Unfortunately, the shacks are still dominating and seem to increase monthly (Ipinge, 2018).

4.3 Population

Swakopmund town had a population of 44 700 as recorded by the 2011 census (NSA, 2012:50). Today, the population has increased by 19% (Mutjavikua, 2015:124). The DRC settlement is estimated to house over 7 500 residents. However, the studied extension (DRC “proper”) consists of 1370 inhabitants. This was confirmed in an interview with the community development officer responsible for the DRC (Awaseb, 2017). Roughly, more than 17% of the Swakopmund population live in the DRC.

According to the Windplan town and regional consultants (Van der Merwe & Esterhuizen, 2010:13), approximately 50% of the 1 370 permanent household members of the DRC “proper” are 25 years or younger while 5% of permanent household members are above 50 years. This indicates a youthful population that can or is able to actively engage in their community affairs by liaising with the community development workers from SM.

4.4 Geographical information

Swakopmund consists of a flat-lying area. Its climate is dominated by extreme aridity, cool temperatures, southerly winds and frequent fogs due to the influence of sea breezes from the cold Atlantic Ocean (Klintonberg *et al.*, 2007, cited in Ipinge, n.d.:26). “Although rainfall is extremely rare, averaging less than 20 mm per year, fog occurs at Swakopmund about 125 days each year, usually during the mornings and evenings” (Robertson *et al.*, 2012, cited in Ipinge, n.d.:27). Ipinge (n.d.:27) indicated that September and December had the highest fog frequencies.



Figure 4.1: Map indicating the DRC

Source: SM (2010:31)

4.5 Economic situation

The majority of the DRC residents are categorised as part of the informal sector. The Global Development Research Centre, (2016:1) describes an informal sector as a “non-regulatory and non-tax paying activities”. Most people are contract workers earning on average N\$1 163 per month (Van der Merwe & Esterhuizen, 2010:5). In addition, large percentages are self-employed, while 53% of the residents are food and beverage sellers on local markets or by the side of the road (Van der Merwe & Esterhuizen, 2010:8).

4.6 Unemployment level

Namibia has an unemployment rate of 53%, mainly affecting the rural poor who are mostly unskilled and illiterate. The DRC also has high levels of unemployment, which aggravates the situation in the settlement. Namibia, similar to first world countries, is moving towards tertiary employment sectors. When the Windplan consultants were conducting a survey, they

recorded that 50.1% of all permanent DRC residents were in search of employment and 31.4% were employed full time while the remaining 18.5% were employed part time (Van der Merwe & Esterhuizen, 2010:13).

4.7 The long walk to community development

Formalisation of the DRC is the first priority of council's five-year plan that was compiled shortly after the election of council and approved during February 2011. This huge project is segmented into assignments that have to be carried out, with set annual targets that ought to be reached. The capital budget for that specific year is then based thereon.

The DRC informal settlement dates back to 2000. It is situated in the north-eastern part of Swakopmund in the Erongo Region. The settlement is characterised by informal housing structures and inadequate access to water and sanitation, amongst others (Ministry of Urban and Rural Development, 2015:1). In 2003, various consultative meetings took place that led to gradual progress relating to the provision of some basic services, especially sanitation, which was a key concern of the residents. Residents were provided with simple waterborne toilet facilities such as the enviro loo and the jojo toilet (Ministry of Urban and Rural Development, 2015:2). It was recorded that residents opted for the jojo toilets that according to them were less cumbersome than the enviro loo. A year later, the disgruntled community members handed in a petition to the municipality, dated 21 August 2004, in which they outlined the following concerns about the toilet system: the issue of safety measures, unhygienic conditions, sharing of toilets and maintenance of the toilets. Swakopmund town has only one informal settlement, known as the DRC. In the past, the community referred to the DRC as the Democratic Republic of Congo (a country known for war), because the residents experienced their living conditions as a war (SDFN, 2010:1). Today, DRC is referred to as the Democratic Resettlement Community

Deliberations concerning the upgrading of the settlement were held in 2010 and initial implementation was formalised in 2013. The formalisation of the DRC entails upgrading the area into a legal settlement. The upgrading process consists of erf registration and the issuing of title deeds for all erven, and the provision of basic services such as water and electricity, sanitation facilities and road infrastructure.

DRC, like any other informal settlement, is a result of the quest to address the issue of affordable housing shortages. The DRC has experienced little development in service provision since its establishment. The community has made many demands for proper basic services and has expected service delivery immediately without understanding SM's limitations and plans to formalise the settlement.

The study aimed to assess the readiness of the SM in the upgrading process with relation to community participation through its in-house policies or frameworks that guide how community participation is to take place, as well as the level of participation by project beneficiaries to be assessed based on the participation strategies applied.

4.8 Community participation in SM

The study previously explained that Article 102(4) of the Namibian Constitution 1990 (Act No.1 of 1990) provides for the establishment of regional and local government structures. It requires both structures to adhere to constitutional provisions by ensuring participation by the marginalised communities in policy issues to achieve meaningful participation in taking decisions meant to improve their livelihoods. Among other legislative frameworks to address the issue of representation is the Decentralisation Enabling Act No. 1 of 2000, which aims to bring development to the periphery and solve problems of red tape delays in public administration.

It has been 29 years since a democratic government came into power, but yet, participatory approaches are not satisfying their guarantee of strengthening and transformative improvement for marginalised individuals (Hickey and Mohan, 2005:3). Moreover, the former chapter argued that municipalities are expected to properly document the participatory approaches (strategies and structures) in an official public document, which many refer to as a community participation policy.

As much as national legislation makes provision for community participation to be incorporated into the in-house policies of municipalities, the municipality's role in providing an in-house framework is an important factor in minimising failure (Bhengu, 2013:25). Regardless of communities' expectations of their municipality, Van Donk et al., (2008:18)

and Gwala and Theron (2012) alluded that these municipalities are depicting a “dysfunctional participation mechanism”. This can be attributed to the fact that the “community participation process has more often than not been approached as an activity, an event, or perhaps even a regrettable legislative requirement, with little meaning to local setting and development” (Gwala, 2012:103). This study departed from the argument of the IAP2 Spectrum and Arnstein’s (1969) typologies that maintains that a well-detailed legal, ethical and constitutional community participation framework should be in place to guide how participation is to take place, highlighting an appropriate mix of context-specific participation strategies. The researcher will assess whether a community participation framework is in place and how it can influence participation.

In support of the research objectives, the researcher embarked on a search for primary and secondary data to address the research problem highlighted under section (1.3). The study consisted of a small sample size, thus, the researcher also embarked on participatory observations to support questionnaire discussions. PAR allows the researcher to gain deeper insight into the research problem by observing and understanding the feelings, behaviour, beliefs and attitudes of development workers and project beneficiaries. In this study, development workers are referred to as municipal officials; whilst project beneficiaries are referred to as DRC residents. The researcher found that SM had minimal documentation available in the form of articles or booklets; this limited access to archival documentation. From the minimal archival documentation and other mixed data collection methods indicated above, the researcher discovered that a communication policy/strategy was submitted to the Planning Forum’s agenda in July 2014, which was not approved. This was confirmed by two officials (Plaaitjies, 2018; Kaulinge, 2018). The officials argued, however, that they had overcome the lack of a community participation policy by employing the guidance of various decision-making bodies or frameworks such as the Council’s Strategic Plan of 2016-2020 as well as the council resolutions.

4.8.1 Participatory approaches in SM

The following will briefly discuss the participatory approached SM applied to ensure community participation:

Based on the above narrative, SM (2018:1) defines a strategic plan as a long-term document that outlines the priority areas that an organisation intends to tackle periodically. From a well-detailed strategic plan, one can ascertain the degree of importance that a municipality places on community participation. Council resolutions, however, are the result of scheduled deliberations by elected councillors on matters related to community participation. The SM councillors liaise with the administrators from the Community Development and Services Department and with the community members based on the settlement committee's or community leaders' objective of identifying ways to resolve the issues affecting the public.

Council meetings are normally held every last Thursday of the month unless otherwise decided (NSA, 2013:2). These meetings are public meetings and enable residents to gain first-hand information on matters discussed and decisions taken by council. As a participatory observer, the researcher attended many of these meetings. It is a democratic requirement for full participation of residents in matters of governance. This is why the council chambers have sufficient capacity to accommodate a sizable number of people and is centrally located near the suburbs of Mondesa and Tamariskia where the majority of residents do not have their own transportation. A state-of-the-art public announcement and audio-visual system has been installed to improve communication in the council chambers (NSA, 2013:3). As much as the council chambers are well equipped for public meetings, the DRC residents live on the outskirts of town. They don't find the location convenient, often staying away from public meetings. The researcher believes distance was the main reason SM officials and councillors started having public meetings on site, which is at the DRC settlement. The public meetings were shortly held at the DRC fire brigade station.

It was informative that the recent strategic plan regarding the DRC did place priority on community engagement. What is worrying is the use of a strategic plan that is tabled in bullet points and that is very brief and does not clearly indicate the tasks to be performed and by whom. Using a vague strategic plan can hinder the space for participants to influence, direct, control and own the decision-making process as information is limited to the development planners at the exclusion of the community members.

As stipulated by the IAP2 (2007:1) tool box of community participation (World Bank, 1996; Theron & Mchunu, 2016:28) an appropriate mix of context-specific strategies of participation

are to be selected and implemented during an upgrading process in order for DRC residents to influence, direct, control and own the project in which they participate. Therefore it is important that the community participation process provides for strategies of participation that are matching with the level of community interest. In this case study, the argument will be assessed whether the appropriate mix of (selected) strategies actually influence the outcome of participation.

Based on a broad spectrum of literature, participatory observations, as well as interviews, questionnaires and the general discussions undertaken by the researcher, it indicated that SM applied the following participation strategies during the upgrading process of DRC:

- Public meetings

According to SM (2018:5), regular public meetings provide council with an opportunity to keep the public informed and also provides council with direct feedback from the public. SM continues to support their strategy of participation by stating that, during public meetings, much information is made available and many issues that council can discuss with the members of the community is addressed on this platform.

SM further states that the objective of public meetings are to engage a wide audience in information sharing and discussions to sensitize the communities, receive feedback on the efficiency of council's programmes and projects, and to avoid the alienating of various groups in the community.

On the IAP2 Spectrum, well-planned public meetings are ideal for meaningful participation because they mostly empower the community. Gwala (2011:84) warned that empowerment is only achievable, provided that the strategy being used in the upgrading process "opens the opportunity for the intended beneficiaries, through his/her participation, to influence, direct, control and own the process of participation". Notwithstanding, Gwala (2012:82) insinuated the abuse of public meetings, which are disguised as "participation" when the group is utilized as a vehicle to advance selfish agenda. He and Arnstein (1969) referred to this reality as participation through therapy.

- Loud Hailing

Context-specific strategies are crucial to the participation outcome. The researcher found that SM opted for loud hailing as a strategy to inform the DRC communities about activities to take place; whether it is to announce a date or venue of community meetings. Most DRC residents found the strategy effective. However, others requested SM to consider other strategies, because this alone was not effective. This confirmed Theron et al., (2007:3) caution, which stated that facilitators of development should be “careful to treat any strategy as a stand-alone”.

Based on the IAP2 Spectrum, this strategy has an informative nature. This implies the community is given information on what is going to happen (or has occurred). This means that the community is deprived of the opportunity to openly engage in the development process, to influence. Direct, control and own it.

- Websites

The researcher has observed websites as an important information sharing strategy to the general public. Accessibility plays a crucial role in strategies of participation, and because the case study is on the DRC informal settlement, the researcher found it difficult to believe that websites are local-setting specific. There is no formal provision of electricity as a basic need in DRC. The people earn a minimum wage as described under section (4.5). Most residents cannot afford smartphones to surf the Internet to check the latest updates on the municipal websites.

- Notices

Notices are often pasted at communal water points in DRC. As much as the strategy is informative in nature, the intended beneficiaries at DRC find the strategy flexible.

- Letters

According to the research participants, SM makes use of letters to inform DRC residents about certain events. For instance, the local municipal officials send out letters to inform the affected homeowners about future relocations to make way for the construction companies to dig trenches. Most residents claimed that the construction companies threw *lime* (whitewash) on their homes and threatened to evict them forcefully. Some residents indicate that they were not informed prior the letters. For some residents, the issue was with the language of the letter, they claimed

that not everyone could speak or write in English. The question is why SM selected letters as a means of communication, and in English? This is why selecting a context-specific mix in the participation strategies debate is crucial to this study.

- Radio announcements

Information was often shared by means of radio announcements (SM, 2018:4). The question of language barriers was also highlighted in council resolutions. Thus, chapter 6 will provide recommendations to current challenges in greater detail.

- Home Visits

This strategy is described as the process of which ordinary community members pay a visit to the community leaders at their respective homes to discuss persisting challenges in the settlement. This strategy allows the ordinary members to seek information, as well as advice from community leaders, who act as the “middle man” between the ordinary residents and the municipality. This allows for one on one discussion between the community leaders and municipal officials and councillors, which is a great platform for both community leaders and ordinary members to be empowered.

The researcher assessed the above strategies of participation against the IAP2 Spectrum, with the view to derive the level of community participation during the on-going formalisation of DRC. The next chapter will explain the findings and give recommendations.

4.8.2 Structures of community participation in SM

As highlighted under section 3.1, the study aimed to recommend viable structures towards achieving meaningful participation. This is only possible when the current structures are identified and assessed in their contribution towards achieving meaningful participation in DRC.

The case study found that archival documentation was essential to disclosing the on-going activities of the DRC and the municipality regarding their communication pattern and community participation process.

The formalisation process of the DRC has brought about the establishment of many organisational structures as well as representative committees with participatory approaches, such as the DRC inhabitants, Backyard Squatters, DRC East and DRC West, as indicated in council resolutions (SM, 2013a:8-9). Amongst other important structures are the settlement committee or community leaders also known as ward committee and the DRC planning committee. The settlement committee is a group of elected community members who liaise with the community development workers from SM, professionals, NGOs and private individuals regarding matters concerning the DRC (SM, 2017:5). Normally, a community leadership committee has a maximum period that it serves, ranging from three to five years. Once their term lapses, new committee members are elected, as outlined by council resolutions. According to interviews the researcher conducted with two community development workers (2018), the tenure of community leaders is five years; the last committee was legally active until 2010. After the lapse of its term, an informal self-proclamation of certain community leaders was instituted by some councillors with the intention of appointing them as a favour. Arnstein (1969) referred to this type of participation as placation. Arnstein (1969) argued that hand-picking community members into powerless committees is manipulative and has a non-participatory nature. Cooke and Kothari (2001:1) were also of the opinion that community participation that is undertaken ritualistically, in turn harm those who were supposed to be empowered. According to the head of the housing section at SM, a settlement committee existed until 2010. According to her, the committee members were chosen by the community and were assigned to specific blocks within the DRC to provide their area with regular feedback and to report any concerns raised by residents to the DRC planning forum (Palmer, 2017). The committee is small with five members per committee (SM, 2013a:8-9).

A good example of a municipality that is well equipped in terms of community participation is COW. In Namibia, COW has a superb track record in meeting the ethical and constitutional requirements of community participation. To this municipality, its community participation policy “indicates awareness of a democratic process of engaging people, which improves the public’s understanding of the city’s responsibilities and ensures greater compliance and increased ownership of solutions, and improving the city’s credibility within the community” (COW, 2017:27-28). The following participatory approaches were introduced: first of all, the

COW has a community participation policy in place. As indicated in the previous chapters, Theron and Meyer (2000:42) emphasised that community participation should become a philosophy and the obligation of every municipal employees, particularly those in the Community Development and Services Department. It is ideal to have a framework that acts as a guiding tool to the participatory approaches. The framework also provides capacity-building at ward level and details the importance of effective administrative support at public meetings. The researcher believes a framework will act as an educational document to municipal employees, especially those who are not knowledgeable in the area of community development. Furthermore, the researcher believes that SM can learn a lot from the readiness of COW.

The establishment of the abovementioned structures required an appropriate mix of participatory strategies that were suitable and relevant to the community and to the objective of the project. According to council resolution H5/4 of 2013/02/28, community meetings should be arranged as soon as possible for the election of committees representing the various interest groups and commence with discussions on the formalisation of the DRC (SM, 2013b:37). Thus, during the early stages of the formalisation process, the DRC Consent Group was elected by the community. Community meetings were imperative for the discussion of community issues (Hartmann, 2012:1). It is from these meetings that participation strategies were identified and recommended. This means that the “problem at hand” will influence the appropriate mix of participation strategies considered.

4.9 Establishment of the Democratic Resettlement Community (DRC) planning committee

It is important to establish committees that will deal with queries from all stakeholders regarding the upgrading process. These committees are to represent as much as possible members of the community with the aim to assist council in the execution of all aspects regarding the formalisation of the DRC (SM, 2013b:5-8). Communication committees are the cornerstone of any upgrading process. Settlement upgrading objectives are complex and can change anytime; thus, the formation of committees who participate is important from the perspective of both the organisations and the communities who participate. SM’s holistic

approach towards community development has led to establishing the DRC planning committee, which was highlighted in the training offered to the DRC planning forum in March 2013. The composition of the representatives was as follows (SM, 2013b:5-11):



Figure 4.2: Composition of the DRC planning committee

- All councillors
- General manager: Community Development and Services Department
- Community development housing officer
- Manager: Town Planning
- Manager: Health Services
- DRC subcommittee (Ward Committee)

The elected committee members were introduced to the community at a public meeting held on 24 February 2013 for approval by the community. Without any objections raised by the community, a committee consisting of 21 members was appointed and trained on 13 April 2013. The training included the roles of the committee, which were as follows:

- Formulate rules on matters regarding the handling of new arrivals at the DRC.
- Register and approve new arrivals.
- Hold regular public meetings with community members and address grievances raised by the community.

- Discuss and present community grievances to authorities and provide feedback to the community.
- Present the community's future development plans to the local authorities for consideration.
- Actively participate in community projects and development initiatives.
- Establish community accountability activities, such as management of refuse and measures to ensure peace and harmony, among others.

In a nutshell, the committee members gather concerns from the community and submit these as discussion points for the agenda prior to committee meetings. The DRC subcommittee, which is synonymous to a ward committee, is essential to a democratic process during informal settlements upgrading. Interestingly, the researcher was reliably informed that it does not exist during the time the research was conducted. In fact, the researcher confirmed this by conducting interviews and making observations during data collection.

4.10 Infrastructure and basic services development

According to the survey done by Windplan consultants (Van der Merwe & Esterhuizen, 2010:6) and an article by Hartman (2017), the installation of bulk services has been evident in the DRC settlement. The DRC area is well supplied with street networks. They are *in situ* gypcrete ripped, graded and rolled, as indicated in Addendum H5/4 of the council resolutions (SM:2017). By utilising the reblocking strategy, streets are easily identifiable; however, not all streets have names. The reblocking initiative in the DRC “proper” is meant to make way for standard streets as required by the township board. During the re-blocking initiative, the national cabinet also issued a directive that layout plans should avoid and minimise the use of cul-de-sac streets and panhandle erven (Van der Merwe & Esterhuizen, 2010:6).

During the site visits, the researcher made numerous observations; firstly, that limited services such as communal water points are still a concern. Secondly, toilets are not linked to a sewer reticulation network. Thirdly, sanitation is a major concern to the residents and the municipality as DRC residents are forced to relieve themselves in open spaces or at the railway lines, which leads to moral decay. Fourthly, there is also a limited electricity network

and insufficient streetlights. Lastly, there are no individual electricity points at erven, and streetlights are found only on the main road.

Besides the mentioned challenges above, since the inception of the DRC, positive development can be observed in the settlement although sanitation remains a big problem. However, to many the new developments also seemed to disturb the community. The residents living in the houses built with temporary material were within the demarcated areas of installation of water pipes and electricity cables but were forcefully removed from their erven that they had occupied for years. As previously indicated under section 4.8.1, the local municipal officials sent out letters to notify the affected homeowners about future relocations to make way for the construction companies to dig trenches. Most residents claimed that the construction companies threw *lime* (whitewash) on their homes and threatened to evict them forcefully. This led to anger on the part of the construction companies, the homeowners, the community development workers and the councillors. This exercise opened up a can of worms because poor community participation and communication strategies were used.

The community development workers stated that they had hand delivered letters to all affected homeowners and that they should have obeyed the instructions. However, the homeowners claimed that those letters had been delivered at short notice. Some claimed that they did not understand the content as it was in English and they were also illiterate. The majority of the DRC population are Oshiwambo speaking. During interviews undertaken by the researcher, some community members suggested that the municipal council could use a loud hailer announcer (loudspeakers) to inform the residents about the possible relocations or use radio services to announce similar issues. However, the Community Development and Services Department was under the impression that the councillors were at fault as they were supposed to further liaise with the DRC leadership committee and explain the temporary relocation strategy. This is the very committee that exist by default.

The researcher argued that flawed communication and a poorly constructed mix of community participation strategies led to delays in the formalisation project. The councillors

seemed afraid to inform the affected homeowners about possible relocations because relocations could cause disruptions in the community. The councillors feared that disgruntled community members would not vote for them in the next election.

Possible solutions to ease the tension between the DRC resident, SM officials and councillors will be discussed in chapter 6.

4.11 Chapter summary

The chapter analysed the reality of the case study. Initially, the DRC consisted of only temporary structures (shacks). Today, neighbouring DRC areas have permanent structures. This was made possible when SM devised a plan to build subsidised houses on the site, as an initiative of the Mass Housing Project. Even though high subsidisation is provided due to the low income levels, most people still cannot afford the permanent structures (Van der Merwe & Esterhuizen, 2010:5).

The DRC is a disadvantaged area with a poor economic status and a low level of education. Proper infrastructure and services remain problematic to both the residents and the local municipality. The communication and public participation structure is also still very sketchy; consequently, the community leadership structures and the identification of legitimately elected community leaders present a challenge to engage in empowering participation. It is very difficult for ordinary members to participate in community affairs without a representative to represent the majority of his/her community.

In the next chapter, the researcher presents the data collected from research participants and presents the findings with the guide of the research objectives, while using data collection instruments. The researcher will make sense of the findings by using key arguments of the participatory debate while critically analysing the local realities.

CHAPTER 5: DATA ANALYSIS AND PRESENTATION

5.1 Introduction

This chapter presents the research participants' responses as collected using the research instruments as previously indicated. The chapter portrays to what extent the DRC residents were participating in community affairs as well as the approach taken by the SM. The chapter further details the analysis while responding to the research objectives as stated under section (1.4.2).

5.2 Findings

5.2.1 Data collection and analysis

This segment presents how data was collected as highlighted in chapter 1 (section 1.7.1) and chapter 3 (section 3.4.) of the study. The analysis of DRC and the SM is based on several interviews (see annexure B); including a questionnaire session with the DRC residents (see annexure A). A conclusion was drawn on the basis of their views and facts at hand.

Questionnaires were completed by the researcher to ensure that the real sentiments of the DRC participants were expressed. Thirty questionnaires were circulated, as discussed in chapter 3; section 3.3.5 and semi-structured interviews were conducted with the municipal officials of the Community Development Services Department. Four personal interviews were scheduled, of which three were successfully carried out. Interviews with the councillors were also carried out and from the five scheduled, only four managed to render their opinion (see section 3.3.5). The researcher applied the participatory observation method to validate the opinions as well as draw perspectives that help explain the realities as indicated under section 3.3.3. This was effective as the researcher could observe the behaviour and attitude of participants during data collection. The method is very flexible, which allowed the researcher to talk with participants. Participatory observations were informative as the researcher could determine the feelings towards the topic, especially participants who did not agree with how things were going with the upgrading process of their environment. The researcher also perused archival documents such as minutes of council meetings, council agendas and

strategic plans. This documentation was analysed and evaluated with regard to the municipality's approach to a successful community participation process.

5.2.1.1 Questionnaire

The questionnaire (see annexure A) consisted of three sections. Section 1 consisted of biographical information; section 2 had an objective to determine the participation of DRC residents during the decision-making of the upgrading process; and section three's objective was to assess personal views of the DRC residents on how they perceived their invitation by the SM to participate in the upgrading of their settlement.

Section 1: Biographical information

- **Gender of respondents**

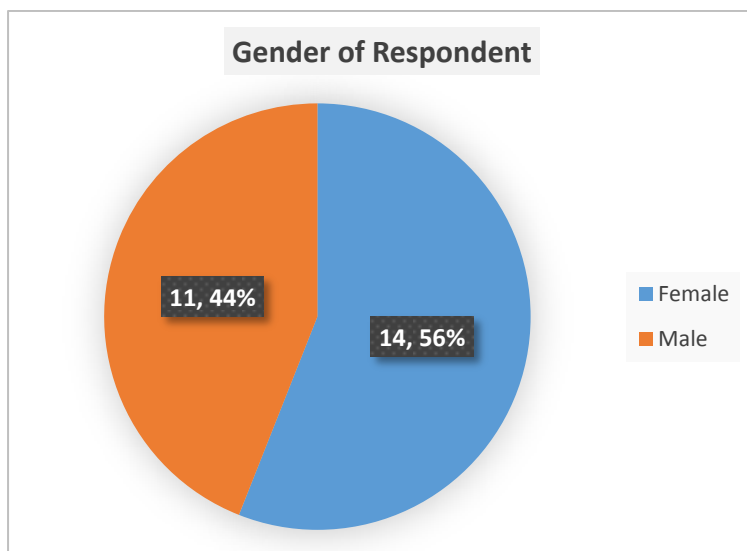


Figure 5.1: Gender of respondents

The majority (56%, n=14) of respondents who participated in the study were female while males represented 44% (n=11). Results are displayed in Figure 5.1.

Age group of respondents

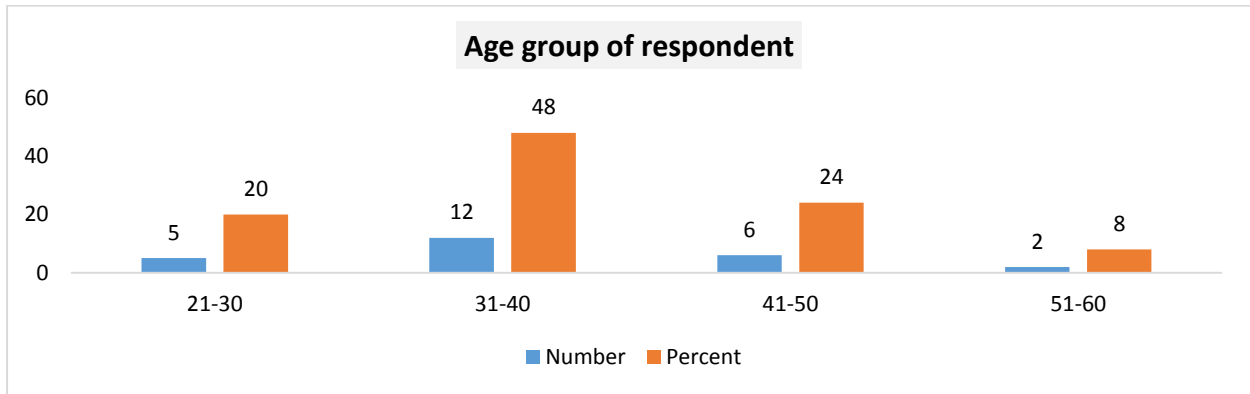


Figure 5.2: Age group of respondents

Most (48%, n=12) of the respondents were aged between 31 and 40 years old as presented in Figure 5.2 above. The age group between 31 and 40 years, was considered to be active and able to participate in matters concerning their community.

Home language of respondents

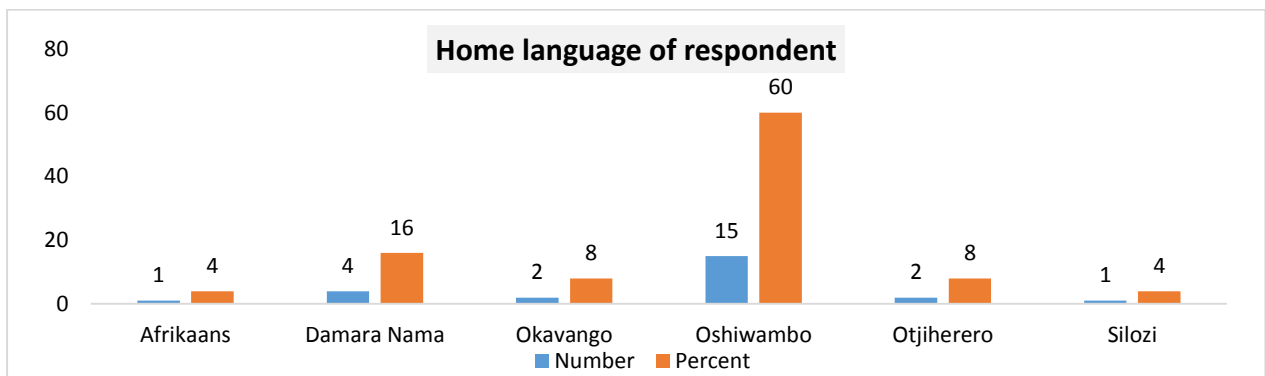


Figure 5.3: Home language of respondents

Based on results in Figure 5.3 above, the majority (60%, n=15) of respondents spoke Oshiwambo while only 4% (n=1) spoke Afrikaans or Silozi. This means that Oshiwambo speakers dominate the DRC. If these Oshiwambo speakers struggle with English, interpreters are to be considered by the SM during community meetings or and the language the flyers are written in.

Highest educational qualification

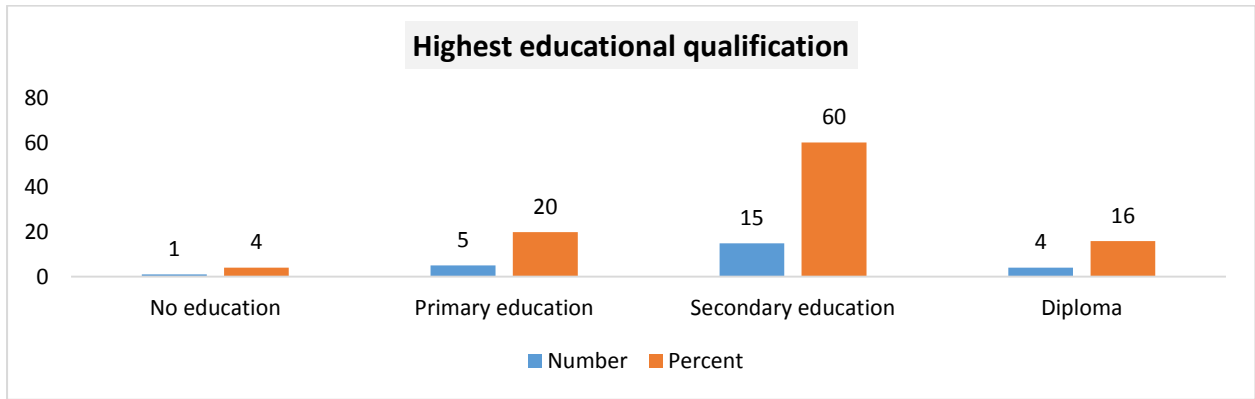


Figure 5.4: Highest educational qualification

The majority (60%, $n=15$) of respondents earned a secondary education, only 4% ($n=1$) of respondents never attended school as no education was indicated. Results are shown in Figure 5.4.

Position in the community

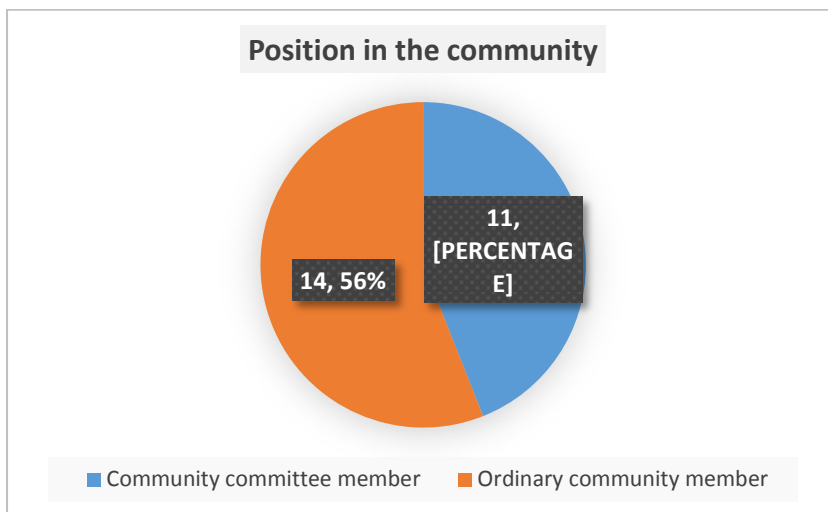


Figure 5.5: Position in the community

The researcher wanted to classify the DRC participants as either a community leader or an ordinary community member. This was important because one of the sub-research objectives was to assess whether a community leadership committee existed. Thus, the majority (56%, $n=14$) indicated that they are ordinary members, while fewer (44%, $n=11$) identified themselves as community leaders.

Section 2: Sub-section A (Only for ordinary community members)

To find out the DRC resident's personal views on how they are encouraged to participate by SM regarding the on-going upgrading process.

(1) Do you know the community leader for your extension?**Table 5.1: Do you know your community leader for your extension?**

		Frequency	Percent
Valid	No	11	44.0
	Yes	9	36.0
	Total	20	80.0
Missing	System	5	20.0
Total		25	100.0

Table 5.1 indicates that the majority (44%) of respondents did not know their extension community leaders while (36%) knew their leaders and 20% (mostly community leaders) of respondents (n=5) didn't respond to this questionnaire item. This means most of the ordinary community members did not know who their community leaders were.

(2) How was your community leader elected?

The majority (40%) of respondents elected their community leaders while 16% have municipality appointed community leaders and 40% (mostly community leaders) didn't respond to this question as it was not applicable to them or to the participant who did not know whether the community leaders were elected or appointed.

Table 5.2: How was your community leader elected?

		Frequency	Percent
Valid	Elected by the community	10	40.0
	Chosen by the councillors	1	4.0
	Appointed by the municipality officials	4	16.0
	Total	15	60.0
Missing	System	10	40.0
Total		25	100.0

(3) How does your community leader communicate with you?

The (24%) of respondents who answered the question communicated with their community leaders via public meetings, 20% via home visits and 40% (mostly community leaders) didn't respond to this question item as per table 5.3 below. Clearly, the mode of participation is via public meetings and a small group of people did not know thus they skipped the question; results are presented in table 5.3 below.

Table 5.3: How does your community leader communicate with you?

		Frequency	Percent
Valid	Home visits	5	20.0
	Public meetings	6	24.0
	SMS	1	4.0
	Loudspeaker	3	12.0
	Total	15	60.0
Missing	System	10	40.0
Total		25	100.0

(4) How often do you talk to your community leader?

Based on results in Table 5.4 below, the majority (32%) of respondents talked to their community leaders whenever they want, 16% only at public meetings, and 24% never talked to their community leaders. This means, most people are free to address problems and share ideas with their community leaders whenever they see fit, while others have to wait for public meetings to discuss problems with their leaders. However, 6 respondents indicated that they did not communicate with community leaders at all.

Table 5.4: How often do you talk to your community leader?

		Frequency	Percent
Valid	Whenever I need to	8	32.0
	Only during public meetings	4	16.0
	Never	6	24.0
	Total	18	72.0
Missing	System	7	28.0

Section 2: Sub-section B: [Only for community leaders]**(5) How did you become a community leader?**

Table 5.5 indicates that the majority (24%) of respondents showed that they were elected by their community to be leaders while 4% were chosen by councillors.

Table 5.5: How did you become a community leader?

		Frequency	Percent
Valid	Elected by the community	6	24.0
	Chosen by the councillors	1	4.0
	Total	7	28.0
Missing	System	18	72.0
Total		25	100.0

(6) Did you receive any training during your term?

Most (16%) of the community leaders received training for their roles while 12% didn't receive any training. This means that most community leaders are capacitated and empowered to perform their duties accordingly through training programmes. Results are displayed in Table 5.6 below.

Table 5.6: Did you receive any training during your term?

		Frequency	Percent
Valid	No	3	12.0
	Yes	4	16.0
	Total	7	28.0
Missing	System	18	72.0
Total		25	100.0

(7) How long have you been a community leader?

As per results in Table 5.7, all community leaders were appointed or elected five years or more ago by their community or councillors. From those who indicated to be community leaders, all alleged to be leaders for a period of five years or more.

Table 5.7: How long have you been a community leader?

		Frequency	Percent
Valid	Five years	6	24.0
Missing	System	19	76.0
Total		25	100.0

Section 2: Sub-section C [for both community leaders and ordinary community members]

(8) Do you know the municipal officials for your community?

Based on Figure 5.6, the majority of respondents (56%, n=14) know their municipality officials who work with matters concerning their community, while (44%, n=11) don't know their municipality officials. This means most respondents were not aware of the officials at the Community Development Services Department, particularly the DRC housing office, who are administratively liable to them.

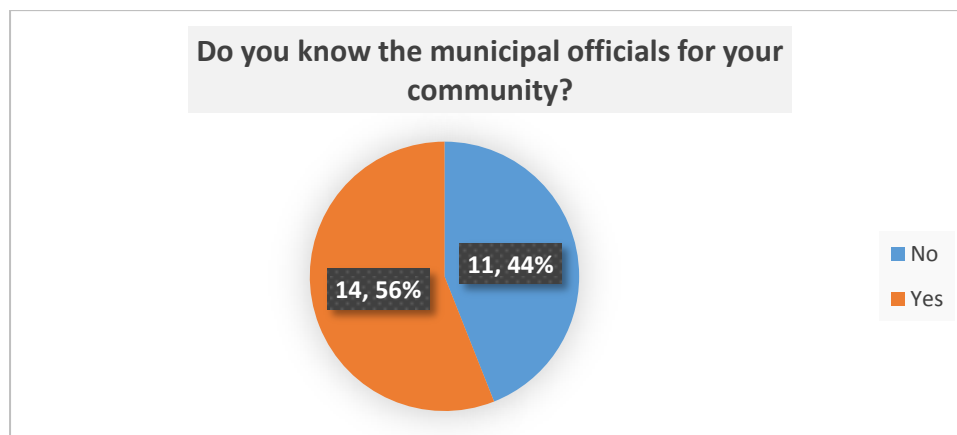


Figure 5.6: Knowing your municipality official

(9) What are the main reasons that municipal officials visit your community?

According to community members, the majority (36%) indicated that municipal officials visit the community they want to share information with. 12% indicated that municipality officials visited them only when there were elections. This means, most respondents said that

municipal officials mainly came to their settlement for information sharing; while a few respondents felt that the municipal officials only paid a visit to their settlements during elections and evictions. Results are presented in Table 5.8 below.

Table 5.8: What are the main reasons that municipal officials visit your community?

		Frequency	Percent
Valid	When there are elections	3	12.0
	When there are evictions	8	32.0
	When they want to tell us something	9	36.0
	Don't know	5	20.0
	Total	25	100.0

(10) How does the municipality communicate with you?

The majority (88%) of respondents indicated that the municipality communicated to them via public meetings, while few respondents indicated the use of loud speakers, notice boards, letters and flyers as a means of participation, which are referred to here as “other”.

Table 5.9: How does the Municipality communicate with you?

		Frequency	Percent
Valid	Public meetings	22	88.0
	Other	2	8.0
	Total	24	96.0
Missing	System	1	4.0
Total		25	100.0

(11) How would you like the municipality to make sure that your community participates meaningfully in projects?

The majority (52%, n=13) of the respondents would like the municipality to make sure that they participate meaningfully in projects via community radio. Most respondents suggested that community radio should be considered a vital platform by the municipality in encouraging community participation. Current platforms used should be continued, but a mixture of platforms is preferred.

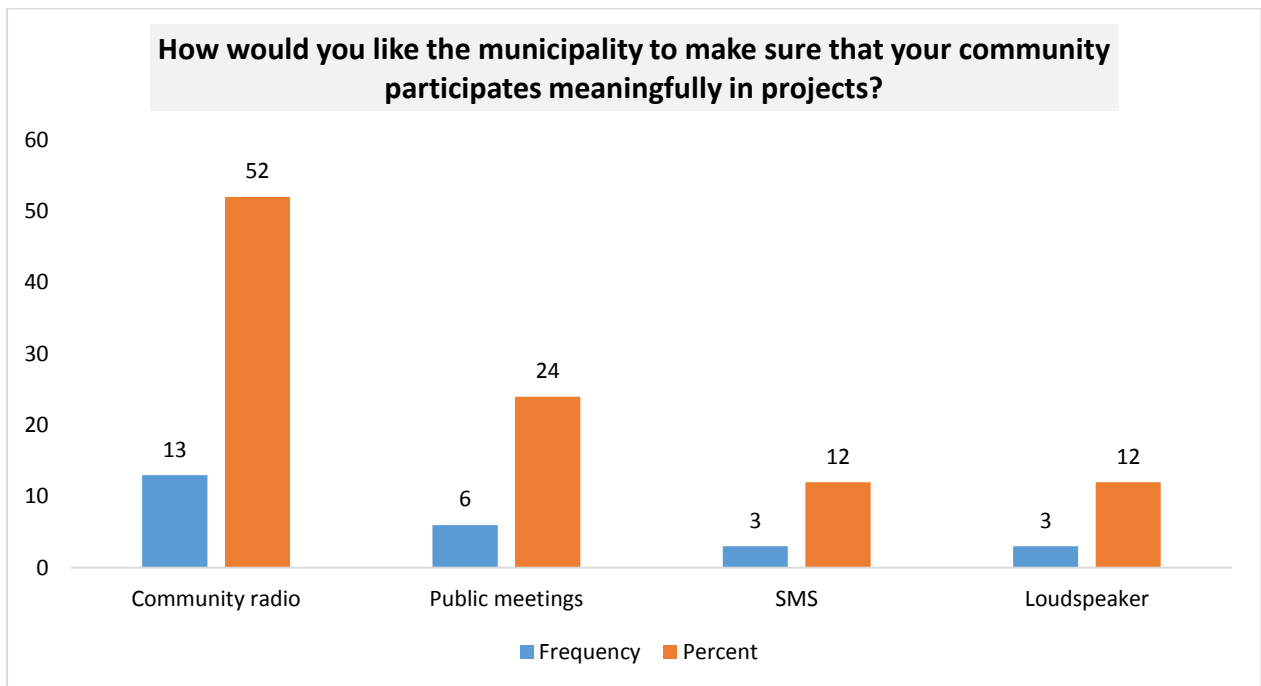


Figure 5.7: Preferred strategies of participation by community members during the upgrading process

(12) Do you have anything else to say about communication between your community members and the municipal officials?

Community members indicated that there is a lot that needs to be done to improve communication between the municipal officials and themselves, *inter alia* putting emphasis (26%) on investing in translators during information sessions or any type of gathering.

Table 5.10: Do you have anything else to say about communication between your community members and the municipal officials?

		Frequency	Percent
Valid		6	24.0
	Invest in translators	1	4.0
	Community radio	1	4.0
	Create a community office at DRC to be able to communicate with municipal officials	1	4.0
	E-governance, software data system in place	1	4.0
	Elect new community leaders	1	4.0
	Frequent community check-ups e.g. Hepatitis out break at DRC - send health workers for advice in community	1	4.0
	Improve communication and communicate in all mother toques	2	8.0
	Inform a key person to spread the word	1	4.0

Keep informing residents via letters, notices written in all languages	1	4.0
Form wards and have respective committees for each ward. Let the masses choose their own people	1	4.0
Need to visit more to discuss issues regarding housing and toilets	1	4.0
Not happy, they must change and start to give us change to ask questions during public meetings	1	4.0
Officials must come often to communicate with community and explain the right structures	1	4.0
They must not make us feel low class, they must come talk to us weekly	1	4.0
They must recognise “concern groups”	1	4.0
They must come to visit the settlement	1	4.0
Translators	2	8.0
Total	25	100.0

(13) Do you understand the language that the municipality uses to communicate with you? If you do not, please make an “X” in the box next to the language that you would understand

A high percentage (48%) of respondents indicated that they didn’t understand the language that the municipality uses to communicate with them. 44% indicated that they understand the language the municipality uses to communicate with them. This means the majority of the respondents in DRC did not understand the official language in which all correspondences were done, which is English.

Table 5.11: Do you understand the language that the Municipality uses to communicate with you? If you do not, please make an “X” in the box next to the language that you would understand

		Frequency	Percent
Valid	No	12	48.0
	Yes	11	44.0
	Total	23	92.0
Missing	System	2	8.0
Total		25	100.0

(14) Language that community member understands and prefers to be communicating in

The largest group of respondents would like to communicate with municipality officials in Oshiwambo, only 8% would like to communicate in English to fully understand municipal communication. This means, since the biggest group of respondents were not comfortable with the current language used by the municipality, the community requested Oshiwambo interpreters to be present at all community meetings in order to enhance communication with residents.

Table 5.12: Language that community member understands and prefers to be communicating in

		Frequency	Percent
Valid	Damara	1	4.0
	Nama		
	English	2	8.0
	Kavango	1	4.0
	Oshiwambo	10	40.0
	Otjiherero	1	4.0
	Total	15	60.0
Missing	System	10	40.0
Total		25	100.0

Section 3

AIM 2: To find out the personal views of the residents on how the SM administered community participation during the formalisation of the DRC project

(1) Did you know that the DRC project will be formalised/developed with full services and permanent housing?

The majority (56%) of respondents knew that the DRC project will be formalised/developed with full services and permanent housing while 36% do not know. This means that many DRC residents were uncertain of DRC's future.

Table 5.13: Did you know that the DRC project will be formalised/ developed with full services and permanent housing?

		Frequency	Percent
Valid	No	9	36.0
	Yes	14	56.0
	Total	23	92.0
Missing	System	2	8.0
Total		25	100.0

(2) Who informed the community member about formalisation of the DRC project?

The biggest group (20%) of respondents were informed by their friends about the formalisation of DRC project, while 16% were informed by community development officers or councillors.

Table 5.14: Who informed the community member about formalisation of DRC?

		Frequency	Percent
Valid	Community development officer	4	16.0
	Representative committee	1	4.0
	Councillor	4	16.0
	Friend	5	20.0
	Total	14	56.0
Missing	System	11	44.0

(3) Did you know about the temporary relocation process to make way for the services process?

As per Table 5.15, the majority (64%) of respondents knew about the temporary relocation process to make way for the services process, while 32% did not know. The majority of the residents indicated that they were aware of the temporary relocations that took place, although they were not “informed” by municipal officials or councillors.

Table 5.15: Did you know about the temporary relocation process to make way for the services process?

		Frequency	Percent
Valid	No	8	32.0
	Yes	16	64.0
	Total	24	96.0

Missing	System	1	4.0
Total		25	100.0

(4) Did the municipality listen to opinions from community members regarding where to be moved temporarily?

Most (64%) of the respondents indicated that the municipality didn't listen to the opinions of community members regarding where to be moved temporarily (results are presented in Table 5.16 below). This means, the majority of the respondents believed the municipality relocated the residents on their own terms, and that they were not properly "consulted".

Table 5.16: Did the municipality listen to opinion from community members regarding where to be moved temporarily?

		Frequency	Percent
Valid	No	16	64.0
	Yes	4	16.0
	Total	20	80.0
Missing	System	5	20.0
Total		25	100.0

(5) Did you participate in any way in the formalisation of the DRC project?

As per results in Table 5.17, most (68%) of the respondents participated in the formalisation of the DRC project, while 28% did not. This means that the majority alleged to participate through the provided means, while the 28% opted not to or perhaps did not know how to participate.

Table 5.17: Did you participate in any way in the formalisation of the DRC project?

		Frequency	Percent
Valid	No	7	28.0
	Yes	17	68.0
	Total	24	96.0
Missing	System	1	4.0
Total		25	100.0

(6) They gave input into the plan for the essential basic services that should be provided

A high percentage of participants (64%, n=16) indicated that they gave input directly or via their leaders to the municipality for the essential basic services plan that should be provided to them. This means that the majority participated by giving their input to their leaders, while nine of the participants either used other means, or the issue was not applicable to them.

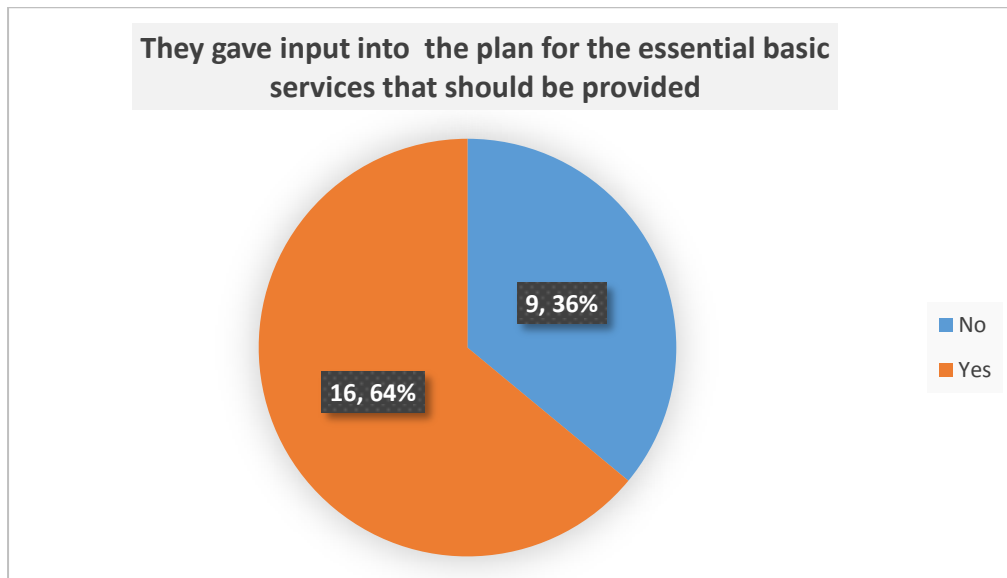


Figure 5.8: Residents provided input during the drafting of a plan for basic services

(7) Co-operation on the developmental plans: were they part of negotiations on relocation?

A high percentage of participants (60%) indicated that they didn't co-operate directly or via their leaders on developmental plans, and they were not part of negotiations on relocation. Results are presented in Figure 5.9.

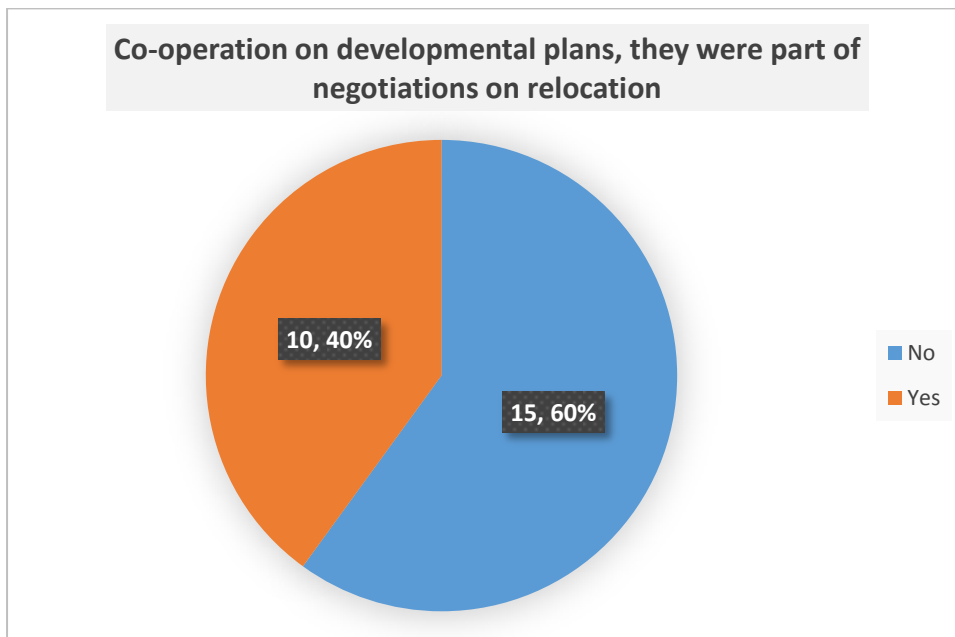


Figure 5.9: Co-operation on developmental plans, they were part of negotiations on relocation

(8) Do they continue to attend public meetings with councillors and give input regarding their concerns?

As per the results in Figure 5.10, the majority of participants (52%, n=13) indicated that they didn't continue to attend public meetings with councillors to give input regarding their concerns. This means they opted not to attend public meetings with reasons unknown. However, 48% (n=12) continued to attend public meetings as a platform to participate in their developmental affairs.

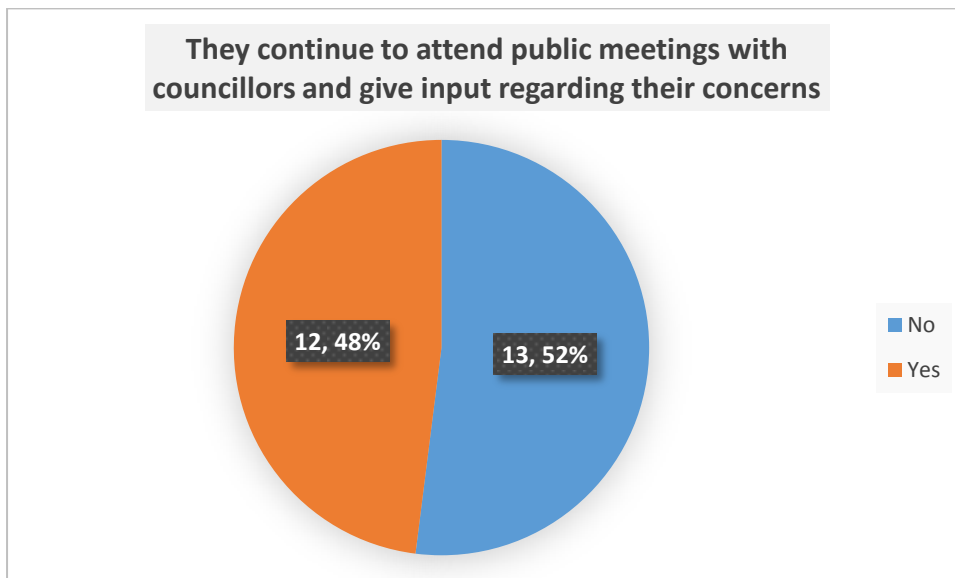


Figure 5.10: Continue to attend public meetings with councillors and give input

(9) Did they discuss issues with community leaders and community development workers?

The majority of participants (60%, n=15) indicated that they didn't discuss issues with community leaders and community development workers, while (40%, 10) indicated that they were collaborating and co-producing plans with the community leaders and community development workers (municipal officials).

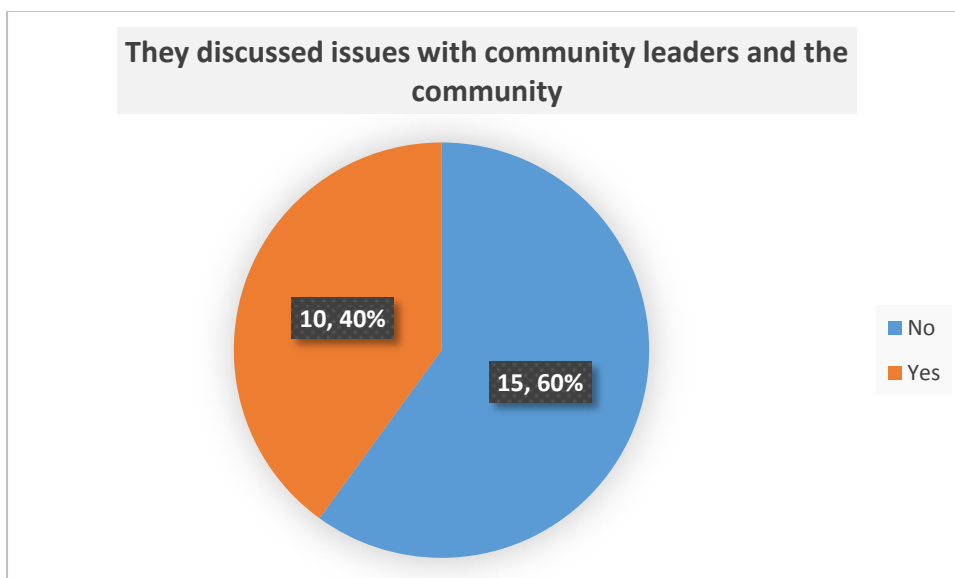


Figure 5.11: They discussed issues with community leaders and the community

(10) Are they now looking after (take care) of the services that have been provided?

The majority (64%, n=16) indicated that they are not looking after the services that have been provided, while only (36%, n=9) said they are participating in development by looking after the services that have been provided, this means that they take care of the provided communal taps as well as toilets.

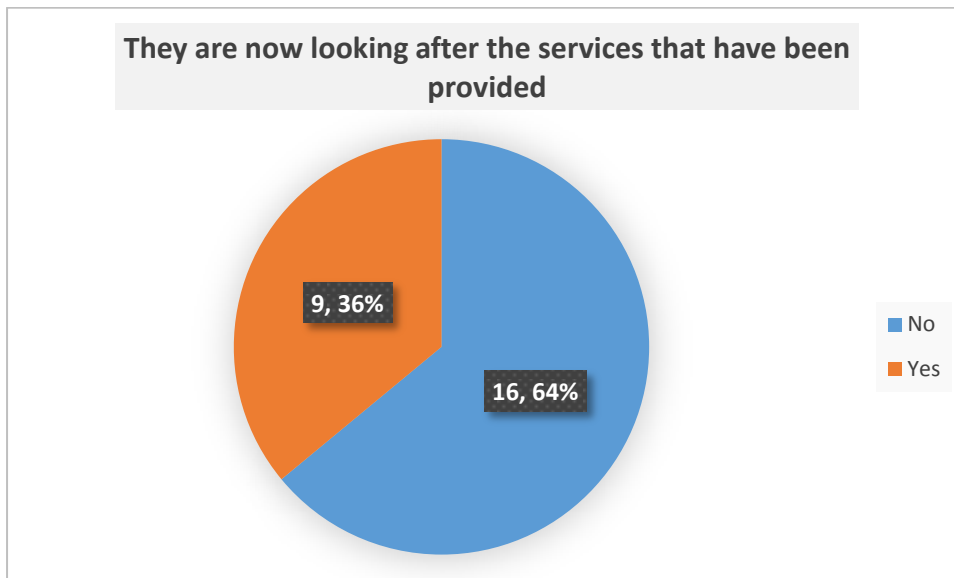


Figure 5.12: They look after the services that have been provided

(11) There were five ways or levels in which the community members could participate.

Which of these ways do you think worked?

Information level – the municipality gave the community members objective, neutral information to help them understand the problem, the alternatives, the opportunities and the solutions

The majority (84%, n=21) of participants indicated that the municipality provided them with information regarding the route to formalisation at DRC, including a realistic timeframe and, possible limitations on the side of the municipality which happens during information sessions and public meetings. 16% (n=4) felt the opposite.

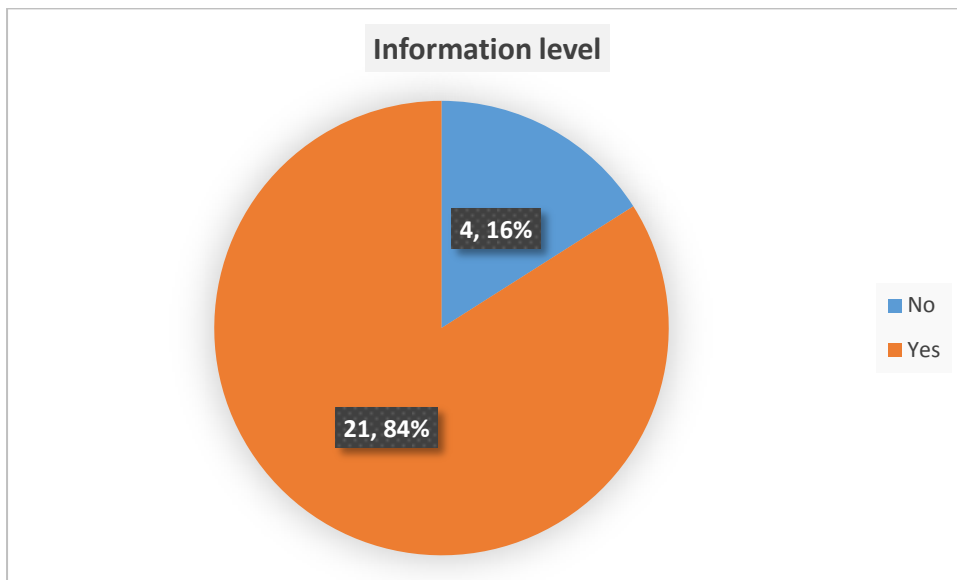


Figure 5.13: Participation at information level

(12) Consultation level – did the municipality ask community members to give feedback on alternatives and solutions

Results in Figure 5.13 indicate that the majority (80%) of participants indicated that the municipality didn't seek the input of the intended beneficiaries, which is a fundamental of community participation

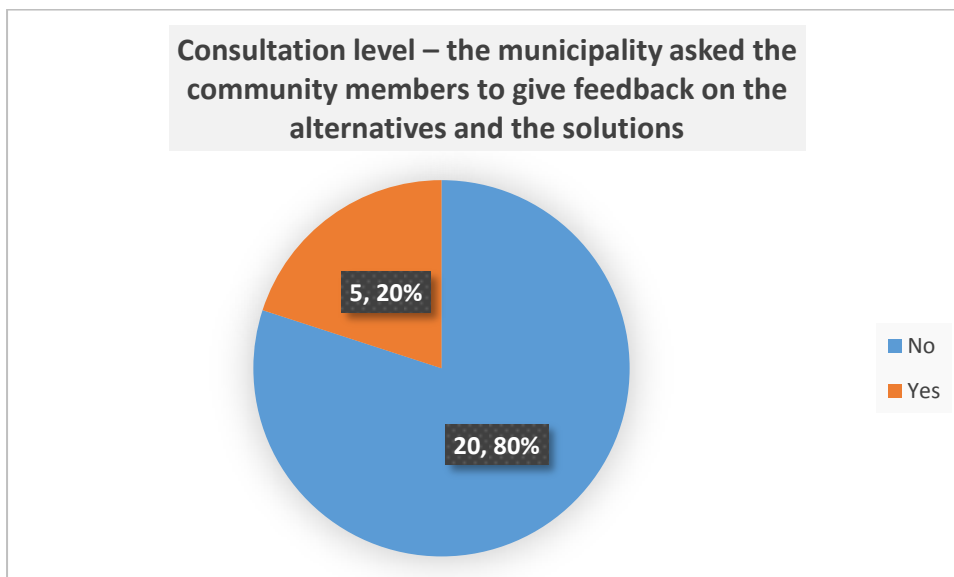


Figure 5.14: Participation at consultation level

(13) Involvement level – did the municipality work directly with the community members throughout the whole process? Did the municipality make sure that it understood the concerns that the community members had?

Most (88%, n=22) of the community members indicated that the formalisation process was not entirely open to the public and many respondents stated that their concerns were not met in this regard. Results are presented in Table 5.15 below.

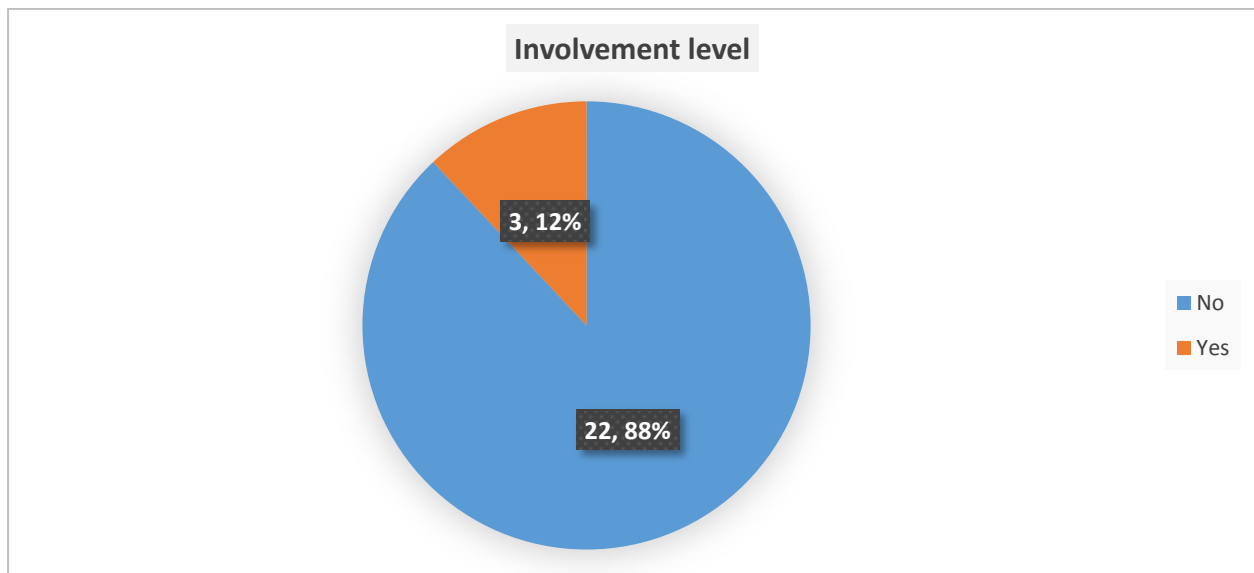


Figure 5.15: Participation at involvement level

(14) Collaborative level – did the municipality ask community members for advice and recommendations so that it could include this in its decision-making?

Results in Table 5.18 indicate that none of the community members were requested by the municipality to give advice and recommendations so that it could include this in its decision-making. Indigenous knowledge of the intended beneficiaries is a key ingredient for an effective settlement upgrade.

Table 5.18: Collaborative level

		Frequency	Percent
Valid	No	25	100.0

(15) Empowering level – did the municipality implement what the community members suggested?

The majority (96% n=24) of participants indicated that the municipality didn't implement what the community members suggested as shown in Figure 5.16. This means that, if community members are not given the platforms to participate with regard to matters affecting their lives, or if their collective opinions are simply rejected, then it can be concluded that they are not empowered, though what is supposed to be a participatory process.

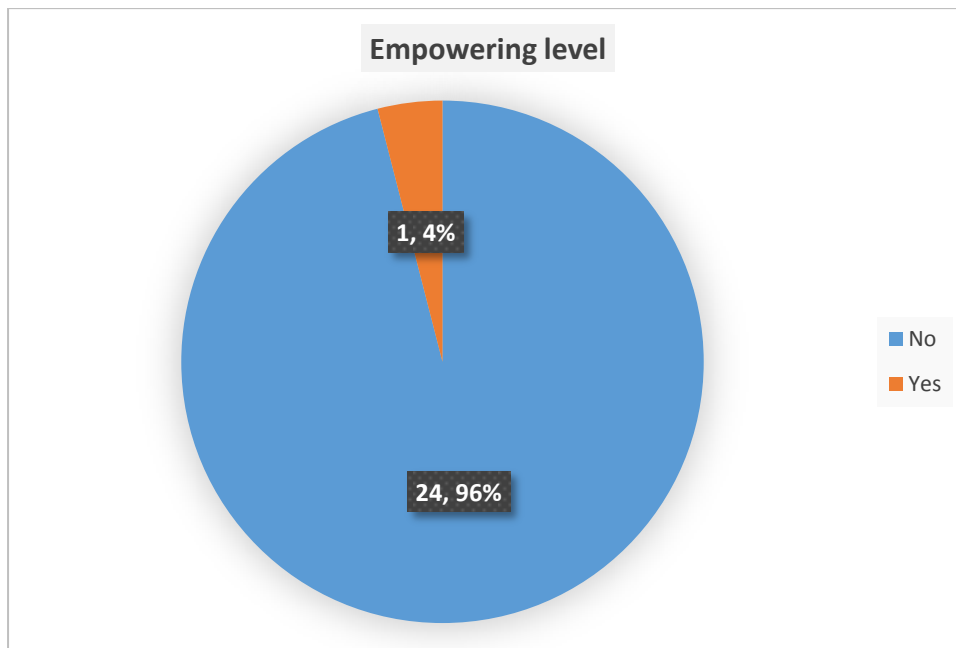


Figure 5.16: Participation at an empowerment level

5.2.1.2 Interviews with the community leaders and the municipal officials

The semi-structured interviews consisted of three sections. Section 1 consists of the biographical information; section 2 had an objective to evaluate the effectiveness of the SM's approach towards community engagement; and section 3 assessed community participation in the formalisation of the DRC project.

(a) Section 1

The results from in-depth interviews with three municipal officials and four local municipality councillors are presented below. The results are shown as per questions asked to the respondents.

Question 1: Biographical information

The respondents comprised of six males and one female. Four respondents had bachelor or honours degrees, one had only a grade 12 certificate and one had a diploma.

Question 2: Do you understand the term “community engagement”? If, yes, please explain the above concept.

The councillors and municipal officials saw community engagement through the same lens; they described the process as working in collaboration with community groups to address issues concerning the well-being of such groups. This includes involving community members in issues which affects their lives whether development or social in nature. Engagement with the community can be feedback originating from both side (e.g. municipality and DRC community), which involves going to the community and asking them what they want, in this case community members identified low-cost housing as one of their needs. Local authority councillors and administrative officials can have meetings with the community to inform them about new development and get ideas/proposal from the community. The manager emphasised that community engagement is very important at SM.

Question 3: Is there a policy framework or a community engagement strategy that outlines how community members are to participate and that details the structures and the strategies?

Both groups indicated that there are structural groups such as community representatives, councillors, municipality officials and NGOs working in informal settlements forming the DRC Planning Committee chaired by the Swakopmund Mayor. DRC sub-committees include section/extension representatives sometime used by councillors to convene meetings with the community to address issues affecting residents. SM only had a brief summary document (strategic plan) of how community members are to participate in their development issues. This brief document on community participation can be accessed by the general public at municipality offices only as it is not published. The municipality does not have a policy framework or a community engagement strategy document. Community engagement is mainly guided by council resolutions, where community meetings are scheduled for

municipality officials and councillors to engage with residents to discuss issues affecting their daily lives.

Question 4a: If there is no policy framework, which guidelines document how community members are to participate with the municipality and detail the structures and strategies?

According to the housing officer, there are different committees such as the Build Together Committee that is comprised of DRC residents as well as the non-profit organisation officials, and the former DRC Steering Committees that were used to engage with the public. These committees form a bridge to obtain vital information from the community. The councillors indicated that it was mandatory to have public meetings to “inform” the community and to allow opportunity to community members to ask questions for clarity on development and social issues in their settlements. The DRC Planning Committee was introduced by council for the engagement of DRC residents.

Questions 4b: What is the communication structure in DRC supposed to be from the point of view of the municipality? Is there a diagram that illustrates the structure?

Both municipal administrators and councillors indicated that community representatives conducted meetings with community members and submitted/reported issues to the DRC Planning Committee and if there is a need, such reports are tabled at the Planning Forum or Municipality Council. The manager alluded that the DRC Planning Committee needs to be the link between the municipality and DRC residents. According to the administrators, DRC sub-committees need to consist of elected representatives from each section/extension of DRC who should get training and their roles must be explained to them. Currently there are local leaders, local committees in DRC created to address local issues and to assist in organising public meetings.

c: Is there a community leadership committee in the DRC? If so, how long has it been operational?

All five councillors as well as the three administrators indicated that there is no elected leadership committee in DRC. The previous community leaders’ term expired in 2010, since then no official leaders have been elected. Committee members’ terms in office used to be a maximum of three years. One of the councillor also indicated that they currently used people

from their political parties as “spies” in the community. Another councillor argued that community leaders caused confusion and panic in the community. However, both groups mentioned that plans on drafting a ward committee constitution is in progress. This means that a new DRC community committee is expected to be constituted in the future.

D: How are community leaders appointed? Are there guidelines on how to appoint leaders?

According to the DRC housing officer, community leaders used to be elected during public meetings by DRC residents. The councillors added that ordinary community members used to nominate and elect their representatives in each section/extension of DRC. Both groups agreed that there was no guideline on paper on how to elect a leader, however a normal, democratic election process applied.

e: What incentives are there for being community leaders? Are they paid to be leaders? If so, how much?

Both groups indicated that there were no incentives or remuneration paid to community leaders as it was voluntary work. The manager of the Community Development Services Department indicated that in some special cases transport to meetings and airtime for their telephones was provided as they needed to be in contact with the municipality. He also pointed out that incentives are considered for future community leaders to motivate them to work hard and be motivated to effectively participate in the development process of DRC.

F: What mechanisms are in place to ensure that community leaders are doing their jobs?

The councillors were very serious regarding the availability of community leaders, thus, stressed that community leaders needed to be available to the community 24 hours a day and regularly attend municipality and public meetings. The municipal official also indicated that training of community leaders is provided by the municipality to assist these leaders in carrying out their duties successfully. Community leaders are expected to know their responsibilities as clearly communicated to them and they need to avoid negative habits such as corrupt practices.

G: What are the duties of community leaders from the point of view of the municipality?

The municipal officials stressed that community leaders need to organise meetings with residents, submit findings to the municipal office and organise municipal feedback meetings with the local community. The councillors indicated that community leaders need to provide the municipality with information on new issues arising from the community report on new residents in the areas and report on crime/health issues. Moreover, community leaders need to ensure that DRC residents are well informed about public meetings and distribute meeting agendas and consolidate grievances from members to the formal Municipal Planning Forum. They also need to give feedback from the municipality to residence, they need to be the voice of the community, involve themselves with issues of national interest and assist in addressing the problems of the local community. Community leaders need to stick to the majority decisions of the community and encourage community members to be compliant to municipal processes and decisions.

H: In the absence of community leadership, what is the communication channel between the municipality and the DRC residents?

According to municipal officials, residents contact municipality offices and the office of the mayor directly. This has led to a rapid increase in enquiries due to absence of community leaders. The administrators are concerned because the municipality is not able to give timely feedback on every enquiry. The communication with the DRC community takes place mainly during public meetings where not all questions from community members are answered. The main purpose of public meetings is just to “inform” residents of new issues and decisions of the municipality. Municipal officials and councillors sometimes announce important information via local megaphone announcers (loudspeakers) and open a temporary municipal office at DRC to handle enquiries. There are also ethnic group representative, representing the masses at the local levels. Furthermore, councillors have identified key groups of people with whom to share important information and to distribute to their members. Notices for meetings are usually distributed to community members, and sometime temporary leaders are appointed, especially in areas where municipal services are being provisioned. Municipal officials and councillors sometimes still use previously active community leaders to ensure that DRC residents are well informed on new developments and other social issues.

(b) Section 2**AIM 2: TO ASSESS COMMUNITY PARTICIPATION IN THE FORMALISATION OF THE DRC PROJECT****(1) At what level did engagement with the DRC community take place during the upgrading process and why?**

Both groups of participants pointed out that residents were provided with information as a way of keeping them updated with the plans of the DRC upgrading process, whereby affected residents were informed by municipality officials and contractors to move their house to, for example, make way for service lines like when a road is to be made close to a house, the owner needs to move the house a little bit. Residents identified to relocate were given time to move before implementing underground sewer pipes as well as electrical lines. In some instances, the housing officer indicated that uncooperative residents were threatened by the contractor to move or face demolition. They came to an understanding, and were not forcefully removed. Only few relocated, most of the affected residents just had to slightly move their structures. However, some of the people identified for relocation did not feel well informed due to the language barrier upon which the means of communication utilised. As it deemed inconsiderate as they found letters at their doors informing them about re-location without prior warning.

(2) Which strategies of participation does the municipality use with DRC residents during an upgrading process?

According to the councillors, the municipality used public meetings as the most common strategy for community participation. Meeting were also held where residents provided input on issues concerning them. The municipality also made use of other platforms to communicate with residents such as erecting notices at communal water points and writing letters as an information guide to the residents, which were often dropped at their houses by the housing officer. Loud hailer announcers were also used in the past and have proven to be effective, while councillors used radio talk shows. Municipal officials also made use of Facebook, with the help of the communication officer from the Corporate Services Department for announcements on social media.

(3) Does the municipal council convene open, public meetings with DRC residents?

There have been two public meetings with residences, one was held in January 2018 and the other was in the October 2018. The last meeting was for the presentation of the municipal strategic plan to inform the public of the intentions of the municipality towards encouraging community participation. According to the chairman of the management committee, who is also a councillor, public meetings are usually open and democratic.

(4) How frequently does the municipal council convene public meetings?

According to the councillors and both administrators, there has been few public meetings since the DRC subcommittee collapsed. Currently the municipality has public meetings every quarter (every after 3 to 4 months). Ad-hoc public meetings take place, depending on the needs of the community.

(5) Does the municipality provide DRC residents with feedback on its decisions about issues affecting the community?

The councillors and the administrators both indicated that at public meetings DRC residents get feedback from the municipality. However, this was not the case as residents did not share the same sentiments. The councillors also pointed out that DRC residents were given opportunities to ask questions and to share ideas with the municipality. The administrators indicated that the municipality sometimes sent notices to residents; however they used to obtain more information when DRC Planning Committee and sub-committees were in place.

(6) Would you agree that convening public meetings with DRC residents would solve most of the problems affecting a DRC upgrading process? If so, how?

Both groups informed the researcher that public meetings were effective to solve problems the DRC residents experienced. Community members were allowed to ask questions at public meetings, the municipality did not only share information in a top-down manner during these meetings. Public meetings are effective as people trust councillors. People can voice what they want from the municipality and offer different ideas and give advice to the municipality on where to improve.

(7) To what extent did the community members participate in decision-making for the relocations that took place in the DRC proper?

According to the administrators, town planners drew up plans for formalisation, which dictated the relocation process. Relocation was not negotiable. Councillors argued that residents who were identified for relocation were informed and it was explained why the move was necessary.

(c) Section 3

AIM 3: TO MAKE RECOMMENDATIONS ON SUCCESSFUL COMMUNITY PARTICIPATION

(1) How do municipal officials plan to maintain and enhance communication during community participation with community members?

The municipal officials indicated that they had an “open door” policy for residents. The municipal officials and councillors saw the need to regularly engage with the DRC community. Proposal for new committees that will ensure residents participate meaningfully in issues affecting them is under way. This strategy will re-introduce a DRC Planning Committee and members will meet every month. The committee will represent all ethnic groups in the DRC and community leaders will receive incentives and training from the municipality. The municipality will publish information for the DRC community in the local municipal newspaper usually supplied freely to community members. Even so, the municipal officials indicated that loud hailer announcers will be used more often for announcements in the community in all local languages for community members to better understand. The officials also deliberated on the need for the DRC community to elect their leaders to represent them at municipal meetings, adding that for effective communication during these meetings, Councillors will communicate in different languages to DRC residents.

(2) What, in your view, should be done to encourage community members to participate in matters affecting their lives?

Both groups of participants indicated that there is a need for a diverse availability of local language interpreters to improve participation. Community members need to join community groups and disassociate from the “concern groups,” which keep them from participating

meaningfully. There is a need for regular communication that is easily accessible and understood by residents when utilising participatory approaches.

(3) What would you say are some of the main problems within the municipal council that hinder effective community participation?

Both groups of participants indicated that the political environment is important as people attend meetings their leader organised. One thing that may overcome this bias towards their own ethnic political leaders is a coherent community participation policy, which is currently still lacking and which hinders effective participation because community members do not know what to expect and how to react. If procedures are not properly documented and distributed, it could lead to distrust and a lack of cooperation. On the municipality's side, a lack of commitment from administrator support of politicians in accelerating community development serve as a damper on effective community participation.

5.3 Analysis

This section aims to analyse the presented data in section (2.2.10.3) by assessing the level of participation against the Public Participation Spectrum of the AIP2 (2007), and Arnstein's typologies (1969). The analysis is based on the findings presented in sub-section 5.2 and discussed against relevant theories and arguments that are internationally recognised and extensively used in development planning, as advised by Theron *et al.* (2007:15).

The first research objective was to assess the effectiveness of the approach taken by the municipality towards overseeing successful community participation. In doing this, the researcher will consolidate the findings to reveal the role the municipality plays in accordance to the IAP2 framework. The second research objective was to determine the level of participation in the formalisation of DRC, which will be evaluated against the Public Participation Spectrum of the AIP2 (2007), and Arnstein's typologies (1969).

5.3.1 Approach taken by municipality towards community participation

The study was guided by a hypothesis which stated that authentic and empowering community participation is reachable, provided that project beneficiaries not only directly influence and direct the process, but actually and ideally control and own it.

Therefore, authentic and empowering engagement between development workers and project beneficiaries is important. This is why national legislation such as the Namibian Constitution (1990) addressed community participation through the establishment of the Local Authorities Act 23 of 1992 (GRN, 1992) for community participation to be incorporated into the in-house policies of municipalities. Evidently, there are still municipalities that fail to integrate or successfully implement the strategies at the local level by not providing a detailed and easily understood community engagement framework. Matshe (2009:3) stated that many municipalities are particularly challenged by the “inadequate local structures and systems” in addressing the problem of participation by community members.

Today municipalities recognise the need to account participatory governance by drafting a community participation policy-framework. As previously indicated, a community participation policy-framework is an official document drafted with “authentic engagement of municipal officials, council, workshops, focus groups, public survey and stakeholder analysis done after extensive research to improve community participation” (The County of Grande Prairie, 2018:5). Such a policy-framework should indicate a transparent and accountable process. Thus, it is a key requirement to authentic and empowering community participation. The document should also highlight the community participation model it resembles and further details the participatory structures a municipality applies. This is why community participation should be undertaken within the context of a structured agreement between the community and the municipality. It also entails a collaborative co-produced participation planning partnership that accommodates the building blocks of development previously discussed. It is worth noting that many municipalities are guided by the IAP2 Spectrum Model.

It is the researcher’s position that SM is also crippled by a syndrome of “inadequate local structures and systems”. The findings indicated that the majority of the participants from both groups of participants (community members, municipal workers and councillors) indicated

that there is no document that outlines the community engagement process, as prescribed by participatory development theories. According to Bhengu (2013:25), providing an in-house development planning framework is an important factor in minimising failure. The current findings are worrisome towards attempts on achieving authentic and empowering community participation. For instance, one of the municipal general managers indicated in an interview that he did not waste time with documenting aspects such as strategies of community participation because he believes it is a waste of money. He argued that community members should simply contribute when asked to do so. To him, the public does not need a document outlining how they are to participate. In the context of promoting community participation, such a point of view is problematic as it may lead to massive miscommunication between parties with differences in expectation. Looking forward, therefore, it would be wise for SM to prioritise the drafting of a community participation policy-framework in order to provide DRC project beneficiaries a chance to influence, direct, control and own the decision-making process that have an influence on them.

The researcher evaluated a strategic plan of 2011-2016 by SM, particularly its goals and objectives towards the upgrading process. Unfortunately, the document does not outline how the objective will be achieved and by whom. This document lacks contextual detail, is vague and cannot in its current form act as a guiding kit for community participation. Table 5.19 below reflects the key objectives of the strategic plan of 2011-2016.

Table 5.19: SM's strategic plan 2011-2015/6

Strategic plan (2011-2015/6)
• Formalisation DRC and new informal settlement area to be created
• Planning of second PDA
• Affordable serviced erven in the relevant areas
• Additional parking – re-investigate parking meters/parking garage
• New CBD area in north Mondesa
• Recreational areas – to be included in town planning scheme
• Development of a centre of excellence
• Surfacing of roads
• Creating of youth development officer position for the Community Development Section
• Environment/waste management plan: 2-bin system to be fully implemented
• Replace mid-block services in Mondesa

<ul style="list-style-type: none"> • Contingency and final management plan for airport to be in place
<ul style="list-style-type: none"> • Road safety awareness education

Source: Swakopmund Municipality (2013c)

In the South African perspective, municipalities are encouraged to formulate integrated development plans (IDP) that make provision for the participation of communities. Theron (2008:160) defined an integrated development plan as a “principle strategic planning instrument that guides and informs all planning, budgeting, management and decision-making in a local municipality”. This instrument enables the public to authentically take part in planning, budgeting, management and decision-making processes. Unlike the bullet point strategic plan of SM, IDPs are more detailed and the document is available to the public. The shortfall of SM’s strategic plan is that it merely “informs” communities of plans, instead of including the intended beneficiaries in the planning process. This denotes the contrast between the informing, consultation, collaboration and authentic empowering participation, as clarified by the IAP2 Spectrum (2007; Theron, 2008:112-134). It will be interesting to develop documents with similar principles detailing the participatory route in local municipalities in Namibia. On this basis, the local authority ought to be viewed as a corporate substance comprising of a well-incorporated management, structures and functionaries, and a “beneficiary community” (Theron, 2008:140).

5.3.2 Ward Committee

According to the Local Authority Act 23 of 1992, ward committees should be functional because they “provide opportunities for the community members at the periphery levels to participate in the development planning process” (Ministry of Regional and Local Government, Housing and Rural Development, 2013:43). Putu (2006:14), as indicated in Gwala (2011:84), maintained that ward committees assists communities in ways such as:

- 1) ensuring and improving community input and participation in governance processes;
- 2) structuring co-produced partnerships for service delivery;
- 3) publicizing information to communities from municipalities;
- 4) recognizing problems in the ward; and
- 5) conveying the above issues to the consideration of the municipality.

As much as national legislation makes provision for ward committees, the researcher found that SM does not currently make use of the ward system. This means that DRC is not yet divided into wards, thus, a ward committee also referred to as the community leaders committee, is absent. This is as a result of a non-democratic nomination process to elect community leaders. The researcher was alarmed at how a vulnerable community appeared without democratic representatives for nearly a decade. Through the participatory observation approach, guided by snowball strategy for sampling, the researcher tracked down previous community leaders and committee members who indicated that the formal committee was active until 2010. They reported that when their term came to an end, the incoming councillors abolished the ward committee system due to political interference. The researcher found that there were committees and groups who acted as development “front-runners”.

In the case study, structures of participation were assessed through the lens of community participation. Arnstein (1969) and Choguill (1996:439) warned about such powerless committees, and regarded them as being manipulated by development workers and councillors. Both models argued that such committees are non-participatory because their attitudes are shaped by those in power, which is referred to as therapy, as discussed in Table 5.17. From Choguill’s perspective, participation by committees that are weak is manipulative as the DRC upgrade process emerges.

The case study uncovered a lack of acknowledgment of the power and influence of the current, self-proclaimed and politically appointed community leaders over who benefits from the upgrade, this echoes what has happened in a slum upgrade in Durban as analysed by Patel (2013:213).

During a recent meeting the researcher had attended for the Community Development Services Department, the need to implement a ward system in the near future was discussed. This is ideal for participatory governance. Since ward committees are absent, community engagement is currently mainly guided by council resolutions where community meetings are facilitated by municipal officials and councillors can engage with residents to discuss issues affecting their daily lives. Even when the committee of community leaders were operative, there were no portfolios for the leaders; they were simply chosen by community members

and loosely served the DRC “proper” community. The effective implementation of the ward system will create an open and safe place for DRC project beneficiaries to authentically participate, which will assist DRC project beneficiaries to influence, direct, control and own the project.

5.3.3 Community participation strategies

The issue of context and relevance of a particular community participation strategy argument, as discussed in Chapter 2, is important and requires to be prioritised. Community participation strategies applied by SM were discussed in the case study (chapter four). In this section, the researcher provides an analysis of the applied strategies.

As previously indicated, Annexure F provides an ideal toolbox for public participation. Theron and Mchunu (2016:132) and the IAP2 identified the following participation strategies presenting three levels. These participation strategies are tested against those strategies employed in the case study to determine the level of participation of DRC project beneficiaries.

As indicated in the case study, public meetings were the common strategy applied by SM. In Annexure F, public meetings as a strategy exude empowering characteristics, and considered is ideal for creating participatory spaces through which to influence, direct control and owning development at community level. In fact, Meyer and Theron (2000:40) argued that community meetings are widely recognised as a public participation strategy. This is because they are aimed at gathering information from the community, which is done by attentively listening to the opinions of the local people (Gwala, 2011:82). Gwala further alluded that public meetings serve as a dialogue, aiming to provide opportunities for the community to influence council decisions. The researcher found that community meetings were frequently held in the past during the planning stages of the upgrading project. However, many participants also indicated that they were not given the opportunity to ask questions. This is why Theron and Mchunu (2016:123) stated that community meetings are only “empowering if well planned and presented”. It does not seem that the community meetings held at DRC by SM were empowering because people were not allowed to express their opinions freely. Gwala (2011:84) advised that empowerment is only achievable, provided that the strategy

being used in the upgrading process “opens the opportunity for the intended beneficiaries, through his/her participation, to influence, direct, control and own the process of participation”. Authentic engagement in settlement upgrading leads to project beneficiaries taking ownership of the project, which is an empowering element, key to the previously discussed building blocks of development.

An obstacle to authentic community participation is evidently reported to be the language barrier. Many indicated that community meetings were addressed in the formal language, which is English. According to the study done in 2010 by the Windplan (Van der Merwe & Esterhuizen, 2010:34), Oshiwambo people are the majority in the DRC settlement. Thus, many participants were Oshiwambo speaking and indicated that they don't understand English. They suggested that translators were extremely important as participation depends on whether they understand what is expected from them.

The researcher studied official documents of SM that shaped the strategies of the community participation ideology between 2010 and 2018. The approaches were as follows:

➤ **Information sharing:**

- Loud hailing announcers
- Websites
- Notice boards
- Official letters
- Newsletters
- Radio announcements

➤ **Collaborative and empowering strategies**

- Public meetings
- Training workshop for “hand-picked” community leaders
- Home visits
- Field offices

Based on Theron and Mchunu (2016:131-132) and the three levels of the IAP2 Public Participation Toolbox (2007), the community participation process at DRC depicted participation where project beneficiaries were only “informed” about developmental plans by SM, and not participating actively as desired by the public development debater. Arnstein’s (1969) model argued that this form of participation is “poor”. It does not allow the project beneficiaries to influence, direct, control and own the decision-making process.

The researcher observed that “home visits” were also a form of participation strategy in the case study. They DRC participants alluded that some people still approached the previous community leaders to be updated on matters of development and discussions on the challenges faced in the settlement. The default community leaders approach the DRC office at the municipality in search of answers to the challenges identified. This strategy works for the DRC community and can be applied by other settlements, it possess “strong participation”, which is crucial in an upgrading project. In chapter 6, the researcher will devise an appropriate mix of context-specific strategies for the SM to consider when engaging with the DRC settlement.

A high percentage of respondents also indicated alternative methods of communicating with the residents, among others using different language radio stations to announce the date of public meetings and clearly introducing the meeting agenda. This is because the current method used by the municipality, which include pasting notices at some water points was deemed insufficient. Participants indicated if these notices were not pasted at their water point, they might not come to know about the meetings.

5.4 Level of participation by the DRC residents

The researcher’s intention was aimed at assessing the level of participation by community members, which would be achieved by examining the platforms/strategies used to participate during the upgrading process by using the IAP2 Spectrum model (2007) and the Arnstein (1969) model of participation.

From the above discussions, the DRC community was assessed to only participate at the information level of the upgrading project. According to Arnstein’s (Figure 2.3) model, this type of community participation is “poor”.

The level of community participation at DRC was also tested on Mathbor's model of community participation. As previously indicated, Mathbor (2008) argued that community participation undergoes four stages. The first stage being "involvement", according to her, here municipalities are to provide adequate and timely feedback. Among others, people are to be educated on the development initiatives and outline a plan of action.

Based on assessments of the case study, community participation seemed to be taking place at stage one "involvement". The other stages such as control, ownership and feedback were not reached in this regard.

The above included attending community meetings without any guarantee of feedback. One of the participants indicated that most of the time, they were not allowed to respond with questions as it is too time consuming – it will lengthen the meetings. Some participants indicated that community meetings were a great form of keeping them informed that encouraged the municipality to continue with the strategy, however, they requested the number of community meetings to be held more often as well as make time for "feedback".

The IAP2 Spectrum (2007) indicated that at the information level of participation, an organisation is to provide "balanced and objective" information regarding the upgrading process. The residents requested the re-introduction of loud hailer announcers to be used in order to share information. This is when a vehicle moving among streets to extend a general invitation to the community, requesting that they attend a specific meeting at a specific spot on a predefined time and date (Baloyi, 2013:56). In such a case, the affected community stakeholders were afforded the opportunity to exercise their choice, whether or not they want to participate in the meeting. The community couldn't later say they were not educated regarding the up and coming gathering when decisions have been taken by the individuals who attended, provided the purpose of the meeting was part of the announcement (Baloyi, 2013:56). According to the respondents, councillors and municipal officials, the SM also makes use of noticeboards and radio announcements (as per the request of residents) as previously discussed. Amongst other participation strategies, the website and monthly newsletter aims to encourage community participation. This means that the community is not openly requested to participate in decision-making and the execution of decisions taken.

However, it will rely on the capacity of the affected community to position themselves and participate.

The researcher argues that the SM uses information dissemination as a way to keep the DRC community “informed” about possible development. However, Arnstein’s (1969) model of community participation suggests that information sharing is a top-down form of participation. The process is depicted below:

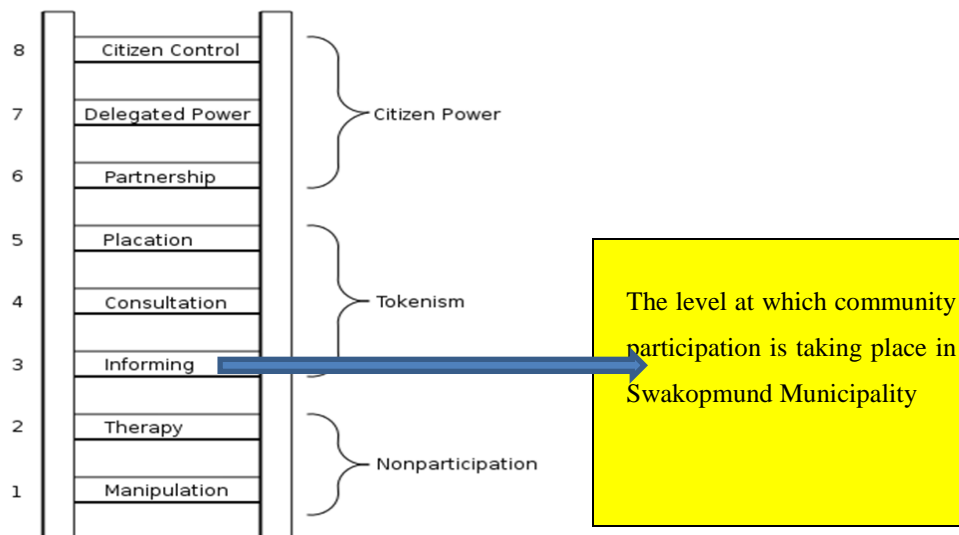


Figure 5.17: Ladder of participation

Source: Adapted from Arnstein (1969)

Arnstein (1969) indicates that in this form of participation, residents are merely “informed” about their responsibilities and suggested on how to participate. She warns and argues that this level of participation has a high degree of tokenism, which is clearly not suitable for meaningful participation. Thus, SM should start engaging and collaborating with the communities with the hope of empowering the DRC community in engaging co-produced partnerships.

In other models, the level of community participation by the DRC residents points to the “input zone”. The input zone is normally used when a municipality has significant clarity on “what it is trying to achieve and how it will get there” (County of Grande Prairie, 2018:13). For instance, an input zone would be used when a municipality has developed a draft proposal/policy and is seeking feedback from residents and stakeholders (Town of Okotoks,

2019:12-17). The questions included are typically: “What do you think of this proposal or decision?” “Did we get it right?” “Have we missed anything?” Timely, thorough, and diverse communications are essential for success in this zone, where the goal is to ensure that potentially concerned audiences are informed and given a chance to weigh in (County of Grande Prairie, 2018:13). Input should be treated as valuable, even if municipal officials and council are fairly certain the bulk of the groundwork has been laid to make the decision or draft the policy, etc. (Town of Okotoks, 2019:12-17). It is important to note that this is not a “hoop-jumping” exercise but a meaningful opportunity for people to understand and potentially help refine an initiative.

In other words, the researcher did not disregard the approaches of community participation by DRC residents. In fact the researcher acknowledged the institution’s efforts to even “involve” the DRC residents in the upgrading of the settlement because each project has different objectives and outcomes. Ultimately, “information and involving” participation strategies are not leading to authentic and empowering participation. Theron *et al.* (2007) indicated that meaningful participation will require participation at the “engagement zone”. This is where the municipality seeks to “figure things out together” with community members and stakeholders. This is more of a partnership approach (County of Grande Prairie, 2018:13).

As previously indicated, the researcher used Annexure F to identify at which level community participation takes place in the case study.

As indicated in Chapter 3, the researcher used PRA to conduct observations. The researcher has observed that the recent public meetings reflect poor public attendance and it does not allow ample time for “Q and A” sessions. As a result, the communication and marketing officer took on the SM Facebook to engage with the public as to why the public turnout is so low. In fact she converted the questions in the format of questionnaire. The possible reasons were as follows:

- the venue is not suitable (council chambers at the municipality building in town);
- public meetings do not allow ample time for “Q and A”;
- distance of venue or
- other reasons as to why residents don’t attend public meetings.

This means community meetings did not serve its purpose of soliciting views for community participation in the decision-making process. This minimises the space for project beneficiaries to influence and direct, control and own the community participation process.

The researcher also observed that the community meetings are presented in English. This is a major concern to which many respondents indicated that they did not understand well, yet did not make it known to the meeting facilitator.

While in the field (DRC community), the researcher requested to talk to respective community leaders, which was a challenge to the researcher. This was because many DRC ordinary members did not know who their community leaders were. In fact there were no legitimate ward committee members. This undermined the principle of community participation in the affairs of the local government.

5.5 Chapter summary

In order to find answers to the research objectives as indicated in chapter one, the researcher conducted observations, interviews and general discussions with research participants as pointed out in chapter three. It was found that the important objectives of community participation at SM appeared to be largely information-dissemination (public meetings are considered as a platform to defend the integrity of the municipality rather than allowing for open-engagement and influence by the community). This means that the chances of DRC residents influencing, directing, controlling and owning the decision-making process are jeopardised. This explains the choice of community participation strategies, which is a concern to the DRC settlement. The researcher does not disregard the efforts of the SM, but community participation approaches have proven to be inadequate and ineffective in the case study.

CHAPTER 6: RECOMMENDATION AND CONCLUSION

6.1 Introduction

The intent of this chapter is to provide recommendations for the findings discussed in Chapter 5 and in light of the research objectives and hypothesis stated in Chapter 1.

The researcher recognises the value of the research findings and recommendations and has engaged with relevant stakeholders and possible participants to disclose the community participation process at DRC. The researcher has further taken steps that should assist the SM management in drafting a community participation policy by highlighting approaches intended to improve the community's scope to influence, direct, control and own the decision-making process.

6.2 Conclusion

It can be concluded, based on the observations and analysis of the data, that the DRC does not follow a clearly defined community participation model. However, testing the level of community participation at DRC against the IAP2 Spectrum Model of Public Participation (2007), it lays at the "level of information dissemination". The informing level is considered to be of value, provided that the information disseminated is timely and accurate. However, information dissemination is not considered an empowering process, it does not improve the likelihood of the DRC residents to influence, direct, control and own the decision-making process, because respondents are not afforded the opportunity to effectively engage with the SM officials and councillors. On Arnstein's (1969) community participation ladder model, community participation at DRC occurs in the early stages, which falls into the tokenism category. This means that community participation for SM is currently only a concept that pays lip service to the constitutional requirement of community participation and does not currently aim to empower the DRC community. For empowering community participation to occur, the public should have the opportunity to influence, direct and control, as well as own decision-making processes and the community-based development. Therefore, authentic and empowering community participation will only be reached if and when project beneficiaries

not only influence and direct the process, but control and own it. Owning it in such a way that “we want this thing, let’s work together to not prevent it from happening and break it down in future”. The findings are in agreement with the hypothesis, community participation by DRC project beneficiaries is authentic and empowering provided that opportunities are created to influence, direct, control and own community-based development.

The following recommendations are suggested based on the assessment of the approaches of community participation at DRC. It is believed that these recommendations will boost community participation in community development (Swanepoel and De Beer, 2016). This transformation will not only improve the sustainable use of communal services, but will bring the area on par with the rest of the country in living under a system of democracy and encouraging a healthy community engagement process during the upgrading of informal settlements. The promotion of community participation is an important ingredient for participatory democracy.

It is concluded that in the case study the existing participation strategies and approaches to encourage community participation are ineffective. This means efforts made by SM towards achieving authentic and empowering community participation in the upgrading of the DRC, unfortunately are inadequate.

6.3 Recommendations

This chapter will provide recommendations based on the findings, which can authenticate and empower the community participation process. The recommendations are discussed as follows:

- a. The first step towards ensuring a meaningful participation process kicks off with SM drafting a community/public participation policy as depicted by the democratic associations and international school of thoughts, such as the IAP2 (2007). This means that there should be extensive engagement between the municipal officials, councillors, stakeholders and the community in order to achieve meaningful participation of all parties. “The development of a policy that creates a framework

within which community participation can be effected serves to validate the commitment of council to create an enabling environment conducive to the engagement of the public in its governance and performing the duties and obligations set out in the legislation with regard to community participation” (Nelson Mandela Bay Municipality, 2014:3-5). A community participation policy should be accessible to the public. By following this approach, the DRC community will be given the rightful position as a change agent, one that can influence, direct and control and own (working together with relevant stakeholders) the decision-making process.

- b. In light of applying the appropriate mix of context-specific participation strategies at DRC, as previously discussed, the researcher established that the majority (88%) of the respondents indicated that the municipality engages with them via public meetings. However, 52% of respondents would like the municipality to make use of community radio announcements. Even though the manager of community development services department indicated that radio announcements have been used in the past, it could be taken a step further and include radio phone-in programmes. This is because, radio phone-in provides a superb participation platform for communities as they provide interactive announcement aired live on radio to which the community can listen and respond to municipal representatives (radio guest). This platform is a relevant method to encourage community participation during the informal settlement upgrading process. Local communities tend to be empowered by radio as a participation platform. Radio phone-in as a successful platform of participation, is also recommended in similar studies such as the Baloyi’s (2013:82) study on the implementation of sector policing in the Limpopo province. In his studies, he indicated that his participants illustrated that radio phone-in programmes lead to lively debates that have a tendency to focus on current issues affecting the communities and can assist in joint problem-solving. Home visits as a strategy of participation was indicated to be effective by community members, thus, SM should recognise it, in that way DRC project beneficiaries can authentically influence, direct, control and own the decision-making process. All in all, an appropriate mix of context-specific strategies should be applied to ensure meaningful and empowering community participation.

- c. SM structures and approaches of community participation are ineffective, thus, a ward committee is vital in achieving meaningful participation. Thus, SM in conjunction with municipal officials and the councillors should see to it that a ward committee is fairly nominated and elected by the masses. These committees will act as the intermediary between the development workers and DRC. These committees are also in agreement with the principles of community participation as depicted in the core values of IAP2 (2007). Cooke and Kothari (2001) addressed the issue of power with regard to development workers, in their simplification of inherent power struggles. Cooke and Kothari (2001) argued that power must be “analysed as something that circulates, or rather as something that only functions in the form of a chain; it is never localised here or there, is never in anybody's hands, never appropriated as a commodity or piece of wealth”. This means that community leaders should be fairly voted in and not be a leader by “default” to represent their wards respectively.
- d. Among other issues that are worth recommending is the training for development. Burkey (1993) and Theron & Mchunu (2016) indicated that proper training of development workers is crucial to ensure authentic and empowering community participation. It is clear some SM municipal officials did not understand the importance of creating open spaces of participation for the community. Training of such individuals eliminates the chances of ineffective communication. Educating project beneficiaries on community development is equally important (Swanepoel & De Beer, 2016). In this regard, workshops are a great platform for implementation. This is in agreement of the core values of the community participation through the IAP2 principles as indicated in Chapter 2. Educating community members about their rights to participate in developmental matters is crucial to sustainable community development. Training of municipal members assists project beneficiaries in understanding the functions of municipalities and understanding their financial capacities and strategic plans.

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ANNEXURES:**ANNEXURE A: QUESTIONNAIRE OF THE DRC RESIDENTS****STELLENBOSCH UNIVERSITY****QUESTIONNAIRE FOR DRC COMMUNITY MEMBERS: FORMALISATION OF THE DRC**

RESEARCH TOPIC: ASSESSING COMMUNITY PARTICIPATION IN THE UPGRADE OF AN INFORMAL SETTLEMENT: A CASE STUDY OF THE FORMALISATION OF THE DEMOCRATIC RESETTLEMENT COMMUNITY (DRC) IN SWAKOPMUND, NAMIBIA

Dear Madam/Sir

Please answer the questions below. The questions are assessing how effectively your community participated during the upgrading of the DRC settlement. They are also about communication between the municipal officials and the DRC residents. As a member of DRC, your answers are very important because they will add value to this study.

Please remember that you are taking part in this study as a volunteer. You can therefore stop taking part at any time during the study.

Also remember that your name and your answers to the questions will be strictly confidential.

INSTRUCTIONS: PLEASE MAKE AN "X" IN THE BOX NEXT TO THE ANSWER THAT YOU CHOOSE. YOU CAN ALSO EXPLAIN YOUR ANSWER IN MORE DETAIL IN THE OPEN SPACES PROVIDED.

Section 1**BIOGRAPHICAL INFORMATION**

1. Gender

Female	<input type="checkbox"/>
Male	<input type="checkbox"/>

2. Age group

21-30		31-40		41-50		51-60		61-70	
-------	--	-------	--	-------	--	-------	--	-------	--

3. Home language

Afrikaans	
Damara Nama	
English	
Kavango	
Oshiwambo	
Tjiherero	
Caprivian/Zambeian	

4. Highest educational qualification

No education	
Primary education	
Secondary education	
Diploma	
Degree/Honours	
Postgraduate	

5. Position in the community

Community committee member		Ordinary community member	
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Section 2

AIM 1: TO FIND OUT WHAT YOU THINK ABOUT HOW SWAKOPMUND MUNICIPALITY ADMINISTERED COMMUNITY PARTICIPATION BY YOUR

COMMUNITY

(a) Answer the questions below only if you are an ORDINARY COMMUNITY MEMBER.
The questions ask how accessible your settlement leaders and committee are to you.

(1) Do you know the community leader of your extension?

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

(2) How was your community leader elected?

Elected by the community	<input type="checkbox"/>	Chosen by the councillors	<input type="checkbox"/>	Appointed by the municipal officials	<input type="checkbox"/>
--------------------------	--------------------------	---------------------------	--------------------------	--------------------------------------	--------------------------

(3) How does your community leader communicate with you?

Home visits	<input type="checkbox"/>	Public meetings	<input type="checkbox"/>	SMS	<input type="checkbox"/>	Loud hailing	<input type="checkbox"/>
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(4) How often do you talk to your community leader?

Whenever I need to	<input type="checkbox"/>	Only during public meetings	<input type="checkbox"/>	Never	<input type="checkbox"/>
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(b) Answer the questions below only if you are a COMMUNITY LEADER

(1) How did you become a community leader?

Elected by the community	<input type="checkbox"/>	Chosen by the councillors	<input type="checkbox"/>	Appointed by the municipal officials	<input type="checkbox"/>
--------------------------	--------------------------	---------------------------	--------------------------	--------------------------------------	--------------------------

(2) Did you receive any training during your term?

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

(3) How long have you been a community leader?

A few months		1 year		2 years		3 years		5 years	
--------------	--	--------	--	---------	--	---------	--	---------	--

(c) Answer the questions below if you are an ORDINARY COMMUNITY MEMBER or if you are a COMMUNITY LEADER.

The questions ask how accessible your municipal officials/development workers are to you.

(1) Do you know the municipal officials for your community?

Yes		No	
-----	--	----	--

(2) What are the main reasons that municipal officials visit your community?

When there are elections		When there are evictions		When they want to tell us something		Don't know	
--------------------------	--	--------------------------	--	-------------------------------------	--	------------	--

(3) How often would you like see municipal officials visit your settlement?

Every month		Every second month		Every third month		Every time that we need answers	
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(4) How does the Municipality communicate with you?

Public meetings	
Monthly reports	
Website	
Training sessions	
SMS	
Community surveys	
Advisory committees	

Other.....

(5) How would you like the Municipality to make sure that your community participates meaningfully in projects?

Community radio		Public meetings		SMS		Loud hailing	
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(6) Do you have anything else to say about communication between your community members and the municipal officials?

.....

(7) Do you understand the language that the Municipality uses to communicate with you? If you do not, please make an “X” in the box next to the language that you would understand.

Yes		No	
-----	--	----	--

Afrikaans	
Damara Nama	
English	
Zambezi/Caprivi	
Kavango	
Oshiwambo	
Tjiherero	
Other	

Section 3

AIM 2: TO FIND OUT WHAT YOU THINK ABOUT HOW SWAKOPMUND

MUNICIPALITY ADMINISTERED COMMUNITY PARTICIPATION BY YOUR COMMUNITY IN THE FORMALISATION OF THE DRC PROJECT

(1) Did you know that the DRC project will be formalised/ developed with full services and permanent housing?

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

If you did, who told you?

Community development officer	<input type="checkbox"/>
Representative committee	<input type="checkbox"/>
Councillor	<input type="checkbox"/>
Friend	<input type="checkbox"/>
Media platform	<input type="checkbox"/>
Other	<input type="checkbox"/>

(2) Did you know about the temporary relocation process to make way for the services process?

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

(3) Did the municipality listen to the opinion of the community with regard to where to be moved temporarily?

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

(4) Did you participate in any way in the formalisation of the DRC project?

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

If you did not, do you know of other community members who participated or are still

participating? If you do, please make an “X” in the boxes next to the ways in which they did participate or are still participating.

They gave input into the plan for the essential basic services that should be provided.	
Collaboration on developmental plans, they were part of discussions on relocations.	
They continue to attend community meetings with councillors and give input regarding their concerns.	
They discussed issues with community leaders and community development workers.	
We are now looking after the services that have been provided.	

(5) There were 5 ways or levels in which the community members could participate. Which of these ways do you think worked? If you do not think that any of these ways worked, do not make an “X” in any of the boxes.

1. Information level – The municipality gave the community members objective, neutral information to help them understand the problem, the alternatives, the opportunities and the solutions.	
2. Consultation level – The municipality asked the community members to give feedback on the alternatives and the solutions.	
3. Involvement level – The municipality worked directly with the community members throughout the whole process. The municipality made sure that it understood the concerns that the community members had.	
4. Collaborative level - The municipality asked the community members for advice and recommendations so that it could include this in its decision-making.	
5. Empowering level – The municipality implemented what the community members suggested.	

ANNEXURE B: INTERVIEWS WITH THE MUNICIPAL OFFICIALS AND COUNCILLORS

STELLENBOSCH UNIVERSITY

INTERVIEW SHEET FOR THE SWAKOPMUND MUNICIPAL OFFICIALS AND COUNCILLORS: FORMALISATION OF A DRC

RESEARCH TOPIC: ASSESSING COMMUNITY PARTICIPATION IN THE UPGRADING OF AN INFORMAL SETTLEMENT: A CASE STUDY OF THE FORMALISATION OF A DEMOCRATIC RESETTLEMENT COMMUNITY (DRC) IN SWAKOPMUND, NAMIBIA

Dear Madam/Sir

Please answer the questions below. The questions focus on assessing community participation during the upgrading of the DRC informal settlement. The focus is on the significance of the communication and participation between the municipal officials, councillors and DRC residents. Your response as a municipal official or councillor would be greatly appreciated, as it will enhance the factual authenticity of this research study.

Please remember that you are taking part in this study on a voluntary basis. You may therefore withdraw your participation at any time during the study.

Also please remember that your name and answers to the questions will be kept strictly confidential and that, even though your interview will be recorded, it will be used for study purposes only.

Do also feel free to ask for clarification on any of the questions.

Section 1

BIOGRAPHICAL INFORMATION

- (1) Gender
- (2) Highest educational qualification
- (3) Position in the municipal structure

Section 2

AIM 1: TO EVALUATE THE EFFECTIVENESS OF SWAKOPMUND MUNICIPALITY'S APPROACH TOWARDS COMMUNITY PARTICIPATION

- (1) Do you understand the term "community participation"? If, yes, please explain the above concept
- (2) Is there a policy framework or a community participation strategy that outlines how community members are to participate and that details the structures and the strategies?
- (3) If not, which guidelines document how community members are to participate with the municipality and detail the structures and strategies?
- (4) **Community leaders and committees**
 - (4.1) What is the communication structure in DRC supposed to be from the point of view of the municipality? Is there a diagram that illustrates the structure?
 - (4.2) Is there a community leadership committee in the DRC? If so, what is its duration?
 - (4.3) How are community leaders appointed? Are there guidelines on how to appoint leaders?
 - (4.4) What incentives are there for being community leaders? Are they paid to be leaders? If so, how much?
 - (4.5) What mechanisms are in place to ensure that community leaders are doing their jobs?
 - (4.6) What are the duties of community leaders from the point of view of the municipality?
 - (4.7) In the absence of community leadership, what is the communication and participation

channel between the municipality and DRC residents?

Section 3

AIM 2: TO ASSESS COMMUNITY PARTICIPATION IN THE FORMALISATION OF A DRC PROJECT

- (1) At what level does participation with a DRC community take place during the upgrading process and why?
- (2) Which participation strategies does the municipality use with DRC residents during an upgrading process?
- (3) Does the municipality convene open, public meetings with DRC residents?
- (4) How frequently does the municipal council convene public meetings?
- (5) Does the municipality provide DRC residents with feedback on its decisions about issues affecting the community?
- (6) Would you agree that convening public meetings with DRC residents would solve most of the problems affecting a DRC upgrading process? If so, how?
- (7) To what extent did community members participate in decision-making for the relocations that took place in DRC proper?

Section 4

AIM 3: TO MAKE RECOMMENDATIONS ON SUCCESSFUL COMMUNITY PARTICIPATION

- (1) How do municipal officials plan to maintain and enhance communication and participation with community members?
- (2) What, in your view, should be done to encourage community members to participate in matters affecting their lives?
- (3) What would you say are some of the main problems within the municipal council that hinder effective community participation?
 - Political environment

- Lack of skills
- Ethnic composition of the office bearers
- Lack of clarity on administrative policy

(4) If there are other reasons, what would you say they are?

(5) What do you think should be done to resolve the above-mentioned problems?

ANNEXURE C: PERMISSION LETTER TO CONDUCT RESEARCH



MUNICIPALITY OF SWAKOPMUND

Ref No: B 1/1/12

Enquiries: MPC Swarts

(064) 4104100
0886519124
53 Swakopmund
NAMIBIA
www.swkmun.com.na
mswarts@swkmun.com.na

6 April 2017

Ms R Ndalifilwa
P O Box 4385
Vineta
SWAKOPMUND

Dear Madam,

**REQUEST FOR PERMISSION TO CONDUCT RESEARCH: ASSESSING
COMMUNITY PARTICIPATION: CASE STUDY OF THE DRC FORMALISATION
PROJECT**

I acknowledge receipt of your letter dated 5 April 2017 with regard to the subject matter.

You are hereby informed that your request to conduct research on **ASSESSING COMMUNITY PARTICIPATION: CASE STUDY OF THE DRC FORMALISATION PROJECT** at the Swakopmund Municipality has been approved.

Furthermore, you are requested to present the findings of your study to the Municipality as the information collected may deem useful in enhancing service delivery.

We wish you all the best in your studies.

Yours faithfully


M P C Swarts
ACTING CHIEF EXECUTIVE OFFICER

All correspondence must be addressed to the **Chief Executive Officer**

ANNEXURE D: CONSENT FORM FOR DRC RESIDENTS



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STELLENBOSCH UNIVERSITY CONSENT TO PARTICIPATE IN RESEARCH

You are invited to take part in a study by Rosalia Ndalilwa, from the School of Public Leadership, Faculty of Economic and Management Sciences, Stellenbosch University, South Africa.

The study that I am doing is part of my Master's Degree in Public Administration, under the supervision of Mr François Theron, School of public leadership at the same university.

You have been chosen randomly as a possible participant in the study because you live in the Democratic Resettlement Community (DRC) settlement. The study is about communication and participation between Swakopmund Municipality and the DRC residents during the formalisation of the DRC project.

1. PURPOSE OF THE STUDY

The purpose of the study is to find out how deeply the Municipality engaged the DRC residents during the formalisation of the DRC project. The study will do this by looking at the level of involvement by the DRC residents under various methods of participation. The study will then make recommendations to the Municipality on how to improve the level of participation of communities in future upgrading projects of other informal settlements.

2. WHAT WILL BE ASKED OF YOU?

If you agree to take part in the study, you will be asked to complete a questionnaire with the help of a researcher. If you would like help with reading the questionnaire and/or completing it, the researcher will read the questions in the questionnaire to you, explain them and then write down your answers exactly as you give them. You are welcome to ask the researcher questions about the questionnaire or to discuss the upgrading process of your settlement. All this will probably take 10 to 15 minutes.

Ordinary residents are approached randomly at their homes or anywhere suitable. Five community leaders who are available at that moment are also approached randomly.

Written consent template. REC: Humanities (Stellenbosch University) 2017

3. POSSIBLE DISCOMFORTS

You may feel uncomfortable reading the questionnaire and/or completing it, so the researcher will help by reading the questions on the questionnaire to you, explaining them and then writing down your answers exactly as you give them.

4. POSSIBLE BENEFITS TO PARTICIPANTS AND/OR COMMUNITIES

The purpose of the study is to find out how deeply the DRC residents participated in the upgrading process of their settlement. This will help the Municipality to identify areas that it needs to fix and/or narrow gaps that prevented the DRC residents from participating in the process.

5. PAYMENT FOR PARTICIPATION

There is no payment for anyone who takes part in the study.

6. PROTECTION OF YOUR IDENTITY AND INFORMATION, AND CONFIDENTIALITY

Any information that you share with the researcher during the study that could identify you as a participant will be protected. This will be done by making sure that your full name does not appear in the study, that all the information is stored in software and that all the questionnaires and information will be scanned and stored in one folder on the researcher's computer.

Only the researcher who helps you will have your information. However, the Ethical Clearance Committee of Stellenbosch University might also need your information but only for academic purposes.

Swakopmund Municipality needs a copy of the researcher's thesis to help improve effective communication and participation but neither your name nor any of names of the other participants will be included in the copy. Instead, you will be referred to as "participant" or "anonymous" or by the type of group that you are associated with, e.g. "one of the ordinary community members" or "one of the community leaders".

Any discussions about the questionnaire or the upgrading process will be recorded with a tape recorder. The recordings will then be written down. In order to keep time, you will not be able to go through what is written down yourself.

Again, only the researcher who helps you will have your information. The Ethical Clearance Committee of Stellenbosch University might also need your information but only for academic purposes.

The tape recordings will be kept safe for three years. None of the information will be made public.

Written consent template. REC: Humanities (Stellenbosch University) 2017

7. PARTICIPATION AND WITHDRAWAL

You can choose if you want to take part in the study or not. If you choose to take part in the study, you can withdraw from the study at any time during the study without any problems because of that. Also, if you do not want to answer any of the questions in the questionnaire, you do not have to and you can still be part of the study.

The researcher can also withdraw you from the study if you do not follow simple instructions, if you try to persuade other participants to stop taking part in the study or if you become abusive towards the researcher.

8. MY CONTACT INFORMATION

If you have any questions or concerns about the study, please feel free to contact me, Rosalia Ndalifilwa, at 081 378 3995 or rosalia3783@gmail.com. You can also contact my supervisor, François Theron, at +2721 808 2195 or ft1@sun.ac.za.

9. RIGHTS OF PARTICIPANTS

You can withdraw your consent at any time during the study and stop participating in it without any penalty. You will not be waiving any legal claims, rights or remedies because of your participation in the study.

If you have any questions about your rights as a study participant, please contact Ms Maléne Fouché, Division for Research Development, Stellenbosch University, at +2721 808 4622 or mfouche@sun.ac.za.

ANNEXURE E: CONSENT FORM FOR MUNICIPAL OFFICIALS AND COUNCILLORS



UNIVERSITEIT•STELLENBOSCH•UNIVERSITY
jou kennisvenoot • your knowledge partner

STELLENBOSCH UNIVERSITY CONSENT TO PARTICIPATE IN RESEARCH

You are invited to take part in a study conducted by Rosalia Ndalifilwa from the School of Public Leadership in the Faculty of Economic and Management Sciences at Stellenbosch University, South Africa.

As part of my studies towards my Master's Degree in Public Administration, I am required to submit a research study in partial fulfilment of my degree. I am conducting the research under the supervision of Mr François Theron in the School of public leadership.

You have been approached purposefully as a possible participant in the study because you possess the necessary knowledge regarding the formalisation of the democratic resettlement community (DRC) process. The study concerns the relationship between DRC members and Swakopmund Municipality during the deliberations of the formalisation of the DRC project.

1. AIM OF THE STUDY

The aim of the study is to assess the readiness of the Municipality regarding community participation during the formalisation of the DRC project. The study will do this by looking at the extent to which the community members participate in the upgrading process by examining community participation under each strategy of participation with a view to deriving the levels of participation. Recommendations will then be made to the Municipality on how to improve levels of participation in future informal settlement upgrading projects.

2. WHAT YOU WILL BE ASKED

If you agree to take part in this study, you will be asked to be interviewed by a researcher in the honest, open discussion. This will take the form of the researcher asking you the questions in the interview sheet, writing down and tape-recording your answers and then transcribing your answers from the tape-recording according to the relevant themes. You are welcome to discuss any issues that may arise. This activity should take 10 to 15 minutes.

3. POSSIBLE DISCOMFORTS

It is possible that you may feel uncomfortable answering some of the questions, in which case you do not have to.

Written consent template. REC: Humanities (Stellenbosch University) 2017

4. POSSIBLE BENEFITS TO PARTICIPANTS AND/OR COMMUNITIES

The study aims to make a neutral assessment of the participation of the DRC residents in the upgrading process, in this way helping the Municipality to identify problems that it needs to rectify and narrow any gaps that prevent a healthy relationship with the DRC residents.

5. PAYMENT FOR PARTICIPATION

There is no payment for any of the participants in the study.

6. PROTECTION OF YOUR IDENTITY AND INFORMATION, AND CONFIDENTIALITY

Any information that you share with me during the study that could identify you as a participant will be protected and none of it will be made public. Your information will be protected by ensuring that your full name does not appear in the study and that all the questionnaires and transcribed texts are scanned and stored in one folder on my personal computer. The tape-recordings will be kept safe for three years, by having a password on the folder, after the considered 3 years, the file will then be deleted from both the folder and the recycling bin.

Only the researcher will have your information. However, the Ethical Clearance Committee of Stellenbosch University may also require your information but then only for academic purposes.

Swakopmund Municipality needs a copy of my thesis but neither your name nor any of the names of the other participants will be included in the copy. Instead, you will be referred to as participant or 'anonymous' or by the type of group that you are associated with, such as 'one of the council members' or 'an official from the community department'.

7. PARTICIPATION AND WITHDRAWAL

You may choose whether to take part in the study or not. If you choose to do so, you may withdraw from the study at any time without any consequences to you. You may also choose not to answer any of the questions if you do not want to and still remain part of the study.

The researcher may also withdraw you from the study if you do not adhere to simple instructions, if you campaign for others not to take part in the study or if you become abusive towards the researcher.

8. MY CONTACT INFORMATION

If you have any questions or concerns about the study, please feel free to contact me, Rosalia Ndalifilwa, at +264 81 378 3995 or rosalia3783@gmail.com. You may also contact my supervisor, François Theron, at +2721 808 2195 or ft1@sun.ac.za.

9. RIGHTS OF PARTICIPANTS

As mentioned, it is your right to withdraw from the study at any time without any consequences to you and you will not be waiving any legal claims, rights or remedies because of your participation in the study.

If you have any questions about your rights as a study participant, please feel free to contact Ms Maléne Fouché, Division for Research Development, Stellenbosch University, at 021 808 4622 or mfouche@sun.ac.za.

DECLARATION OF CONSENT BY THE PARTICIPANT

As a participant in this research study, I confirm the following:

- I have read the above information and it is written in a language that I am comfortable with.
- I have had the opportunity to ask questions and all my questions have been answered.
- All issues related to confidentiality, privacy and the use of the information that I provide have been explained to me.

By signing below, I, _____, agree to take part in this research study by Rosalia Ndalifilwa.

Signature of participant

Date

DECLARATION BY THE PRINCIPAL INVESTIGATOR

As the **principal investigator**, I hereby declare that the information contained in this document has been thoroughly explained to the participant. I also declare that the participant has been encouraged and has been given ample time to ask any questions.

I would like to select the following option:

<input type="checkbox"/>	The conversation with the participant was conducted in a language in which the participant is fluent.
--------------------------	---

Signature of principal investigator

Date

ANNEXURE F: PARTICIPATION STRATEGIES PRESENTING THREE (3) LEVELS

The study aims to assess community participation during the formalization of DRC, Namibia. This will be achieved by assessing the participation strategies. The IAP2 (2007) toolbox for public participation and Theron & Mchunu (2016:132) identified the following participation strategies presenting three levels. These participation strategies will be tested against those strategies employed in the case study to determine the level at which project beneficiaries are partaking.

LEVEL 1 (Strategies which mostly only inform the public)	Legal notices; advertisements; press releases; information material; exhibits; technical reports; websites; field trips; press conferences; radio/tv talk shows; expert panels
LEVEL 2 (Strategies which mostly only consult the public)	Public hearings; open days/houses; briefings; central info contacts (info persons); field offices; comments/questionnaires/complaint registers; surveys/ polls; interviews; focus groups; telephone hotlines; e: communication.
LEVEL 3 (the ideal, strategies which mostly empower the public)	Well planned/ presented public meetings; workshops; stakeholder meetings; advisory committees; task forces; conferences; imbizo's; participatory appraisal (action research)