Evaluating the implementation process of the Cornubia Housing Programme (Phase 1 A) in the eThekwini Municipality

by

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Thesis presented in partial fulfilment of the requirements for the degree Masters in Public Administration in the faculty of Management Science at Stellenbosch University
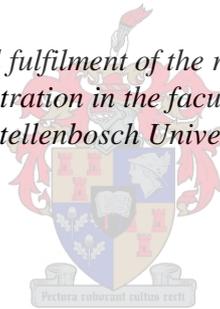
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March 2016

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March 2016

Abstract

The South African democratic government has adopted various housing policies since 1994, including the Breaking New Ground policy. As part of this policy, the KwaZulu-Natal provincial government allocated R26 billion to implement the Cornubia Housing Programme in the eThekwini Metropolitan Municipality. The housing programme was aimed at integrating the provision of housing, land use, transportation and bulk municipal infrastructure investment planning in order to achieve spatial, social and economic inclusion for poor people.

The purpose of this study was to evaluate the implementation process of Phase 1A of the Cornubia Housing Programme, to identify the challenges experienced and to record the corrective measures taken to ensure the successful completion of the project.

A literature review was undertaken to provide an in-depth report on the existing body of knowledge on the topic of the study. The review covers the different types of housing found in South Africa; the policy cycle; and a comprehensive analysis of programme evaluation, including a philosophical perspective of evaluation as well as theoretical perspectives of programme evaluation. The literature review concludes with the requirements for the successful implementation of a housing programme.

To gain an understanding of the implementation process of the Cornubia Housing Programme, a programme evaluation was conducted using a case study analysis. In-depth interviews, document reviews and programme data analyses were conducted to understand the implementation process.

Since challenges were experienced during the implementation process of the housing programme, corrective measures needed to be taken to ensure the successful conclusion of the programme.

The data obtained from in-depth interviews, document reviews and programme data were analysed using the programme evaluation guidelines, requirements for successful implementation of programmes, and the policy requirements. The

results indicated that the Cornubia Housing Programme had met most of the programme evaluation guidelines and requirements for the successful implementation of programmes. Nevertheless, challenges had been experienced during the implementation process, in respect of topographic and geo-technical conditions, noise pollution, industrial strike action and housing allocation issues. The eThekwini Municipality together with its project partner Tongaat Hulett took corrective actions, such as the removal of bad soil, the imposition of restrictions to noise pollution, providing consumer education, undertaking political interventions, as well as bringing a court interdict. These corrective actions resulted in the successful implementation of the housing programme.

Opsomming

Die Suid-Afrikaanse demokratiese regering het sedert 1994 verskeie behuisingsbeleide aanvaar, onder meer die beleid "Breaking New Ground". Ingevolge hierdie beleid het die KwaZulu-Natalse provinsiale regering R26 miljard toegeken om die Cornubia-behuisingsprogram in die metropolitaanse munisipaliteit eThekwini in werking te stel. Hierdie behuisingsprogram is daarop toegespits om die beplanning van behuisingsvoorsiening, grondgebruik sowel as infrastruktuurbelegging vir vervoer en massa- munisipale dienste te integreer ten einde ruimtelike, maatskaplike en ekonomiese insluiting vir arm mense te bewerkstellig.

Die doel van hierdie studie is om die inwerkingstellingsproses van fase 1A van die Cornubia-behuisingsprogram te beoordeel, die uitdagings in die proses te identifiseer, en vas te stel watter regstellende maatreëls getref is om die suksesvolle voltooiing van die projek te verseker.

'n Literatuurstudie is onderneem om deeglik oor die bestaande kennis van die studieonderwerp verslag te doen. Dit handel oor die verskillende soorte behuising wat in Suid-Afrika aangetref word, die beleidsiklus, en 'n omvattende ontleding van programbeoordeling, met inbegrip van 'n filosofiese beskouing van beoordeling in die algemeen en teoretiese beskouings van programbeoordeling in die besonder. Die literatuurstudie sluit af met die vereistes vir die suksesvolle inwerkingstelling van 'n behuisingsprogram.

Ten einde 'n begrip te vorm van die inwerkingstellingsproses van die Cornubia-behuisingsprogram is 'n programbeoordeling met behulp van 'n gevallestudieontleding onderneem. Hiervoor is diepteonderhoude gevoer, dokumente bestudeer en programdata ontleed om die inwerkingstellingsproses te verstaan.

Aangesien uitdagings gedurende die inwerkingstellingsproses van die behuisingsprogram ervaar is, moes regstellende maatreëls getref word om die suksesvolle voltooiing van die program te verseker.

Die data wat uit die diepteonderhoude, dokumente en programinligting bekom is, is aan die hand van die programbeoordelingsriglyne, vereistes vir suksesvolle programinwerkingstelling en die beleidsvereistes ontleed. Die resultate dui daarop dat die Cornubia-behuisingsprogram aan die meeste van die programbeoordelingsriglyne en vereistes vir suksesvolle programinwerkingstelling voldoen het. Nietemin is uitdagings gedurende die inwerkingstellingsproses ondervind, wat swak topografiese en geotegniese omstandighede, onbevredigende geraaskontoere, werkerstakings en kwessies met behuisingstoewysing ingesluit het. Die munisipaliteit eThekwini tesame met sy projekvennoot Tongaat Hulett het regstellende stappe gedoen, soos om swak grond te verwyder, geraaskontoerdesibels te beperk, verbruikers van inligting te voorsien, polisie in te gryp sowel as 'n hofinterdik te verkry. Hierdie regstellende maatreëls het tot die suksesvolle inwerkingstelling van die behuisingsprogram gelei.

Acknowledgements

My sincere gratitude goes to the following:

To Almighty God for giving me strength to complete this thesis.

To my supervisor, Ms Junay Lange, for all her guidance, patience, tolerance, invaluable advice and encouragement throughout the construction of this thesis.

To my mother, Ms Bonisile Constance Mzolo, for her support throughout the study and for instilling in me the importance of education, discipline and ambition.

To my siblings, Samukelisiwe and Thandeka Mzolo, as well as my niece, Honey Mkhize, and my nephews, Ayanda Khumalo and Okuhle Mzolo, for their support and encouragement throughout the study.

Finally, to my friend, Ayanda Msomi, for helping me to conduct the interviews.

Table of Contents

LIST OF ADDENDA

LIST OF FIGURES

LIST OF A TABLE

CHAPTER 1

1.1 INTRODUCTION

This study evaluates the implementation process of the Cornubia Housing Programme carried out in the eThekwini Metropolitan Municipality in KwaZulu-Natal, South Africa. The introductory chapter focuses on the background and the rationale for the study which examines the implementation process of the Cornubia Housing Programme by eThekwini Metropolitan Municipality. A brief overview of the programme process evaluation theory as a theoretical framework is provided for the study. This chapter further gives the aims and objectives of the study, including the research questions and the research problem. In conclusion, an outline of all the chapters provides the general structure of the study.

1.2 BACKGROUND TO THE STUDY

The provision of low-cost housing has been a major challenge for the South African government in the post-apartheid era, especially in urban areas, owing to various factors such as the effects of apartheid housing policies and rapid urbanisation (Napier, 1993:1). At the centre of the housing problem is the inadequacy of housing supply, as well as the unaffordability of housing as the majority of people who need housing are very poor (Napier, 1993:2). The government has attempted to deal with racial housing inequalities, lack of service delivery and urbanisation, through the implementation of housing policies such as the New Housing Vision and 'Breaking New Ground' (BNG) aimed at improving housing provision.

The Breaking New Ground policy supports an integrated and non-racial society through the creation of quality housing and sustainable human settlement (*KZN Industrial & Business News*, 2011). As part of Breaking New Ground policy, KwaZulu-Natal allocated R26 billion for the Cornubia Housing Programme launched in 2004 (Jacob & Baud, 2013). The intention of the Cornubia Housing

1

Programme is to integrate the provision of transportation, housing, land use, and bulk municipal infrastructure investment planning with the intention to develop economic, social and spatial inclusion of poor people (Financial and Fiscal Commission, 2014).

The Cornubia Housing Programme site is situated in the Cornubia area, which is seven kilometres south of the King Shaka International Airport (KSIA) in KwaZulu-Natal. The land is of substantial size and was previously under the ownership of Tongaat Hulett Development (THD). The land was used to plant sugar cane in the northern area of eThekwini. A private sector property developer, Moreland Development, originally conceptualised the Cornubia Integrated Human Settlement in 2004 and discussions followed between eThekwini Municipality and THD to create different housing typologies for people across different income groups (Sutherland, Sim, Scott & Robbins, 2011:2).

The conceptualisation of the housing programme commenced in 2004 between eThekwini Municipality and TDH through a public-private partnership. The programme comprises five phases, starting with Phase 1A comprising of 482 low-cost housing units. These pilot phase units were officially handed over to beneficiaries on 5 April 2014 (SA Government News Agency, 2014). The targeted beneficiaries included households from informal settlements within the eThekwini Municipality, such as Kennedy Road Informal Settlement. The pilot phase will be followed by further phases for either low- or middle-income households that will be finalised over the next 20 years. These phases will offer housing typologies (community residential units, using a social or institutional subsidy mechanism) that will cater for various income groups in order to meet inclusionary housing objectives (Iyer Urban Design Studio, 2011:11).

1.3 RESEARCH PROBLEM

Housing is an essential element of human settlement. It is critical in defining the basic needs of an individual and has an effect on the quality of life, productivity, health as well as the welfare of an individual. The majority of people in developing

countries are still without proper housing. As a result, lack of proper, affordable housing is becoming a huge challenge that is occupying centre stage in social science studies (Ibem & Amole, 2010:88).

Governments and private companies are continuously taking steps to deal with economic and social challenges caused by lack of housing provision especially in developing countries. These steps have come in the form of strategies, legislation, reforms, and policies that have led to a variety of housing programmes (Ibem & Amole, 2010:89). In South Africa, housing provision is still a challenge owing to apartheid policies that promoted residential segregation and inequalities in living conditions to the disadvantage of the majority of people such as blacks, Indians and coloureds (Goodlad, 1996:1631).The racial segregation resulted in economic and social division in the urban spaces (Gardner, 2003:5).

After 1994, the democratic government implemented housing policies including the Cornubia Housing Programme, which are aimed at addressing the housing shortage. The implementation of the Cornubia Housing Programme was, however, faced with numerous challenges such as delays in completion, poor topographic and geo-technical condition of the land used to build houses, noise contours owing to close proximity to the KSIA, industrial strike action, lack of facilities such as schools, clinics and community halls, and deviations from housing regulations.

1.4 RESEARCH QUESTIONS

The study answers the following research questions:

• What was the implementation process of the Cornubia Housing Programme?

• What were the challenges experienced in the implementation of the Cornubia Housing Programme?

• What corrective action was taken to ensure the successful implementation of the Cornubia Housing Programme?

1.5 RESEARCH OBJECTIVES

It is important to mention that the housing issue in post-apartheid South Africa is an emotive issue. It lies at the core of government service delivery obligations. Therefore, the objectives of this study are to do the following:

- To evaluate challenges experienced during the implementation process of the Cornubia Housing Programme.

- To evaluate whether or not the Cornubia Housing Programme meets the requirements for successful implementation of programmes.

- To evaluate whether or not the Cornubia Housing Programme is in compliance with the requirements from a housing policy perspective.

1.6 OUTLINE OF CHAPTERS

Chapter 1 provides an introduction to the study. Accordingly, the chapter includes the background and introduction to the study, the problem statement, study questions, and objectives of the study.

Chapter 2 provides a literature review of programme evaluation theory. It provides a comprehensive review of programme evaluation and concludes with requirements for effective implementation of programmes.

Chapter 3 provides a macro policy review of housing policy in South Africa, before moving to the specific strategies and programmes that govern the actions of the municipality, including the Integrated Development Plan (IDP) process. Chapter 3 concludes with the requirements from a policy perspective to which housing programmes should comply.

Chapter 4 provides the research design and methodology of the study.

Chapter 5 analyses Pilot Phase 1A of the Cornubia Housing Programme implemented at Cornubia, by first describing the implementation process, problems experienced and corrective actions taken, in as much detail as possible

4

(case study analysis). This includes a review of documents, as well as in-depth interviews with selected experts. Section B evaluates the actual implementation process using the programme evaluation guidelines, the requirements for effective implementation of programmes (chapter 2), and the policy requirements (chapter 3).

Chapter 6 concludes with recommendations for future housing programmes.

CHAPTER: 2

LITERATURE REVIEW

2.1 INTRODUCTION

The literature review is based on the subject of housing in South African context, with reference to its definition, various types and the role thereof. Literature on policy cycle as well as programme evaluation theory is also reviewed. The study will also provide a comprehensive review of programme evaluation and conclude with requirements for effective implementation of programmes.

2.2 DEFINITION OF HOUSING

The word housing is both a noun and a verb. The term housing is defined as shelter, economic goods, a social or collective good, a package of services and a sector of the economy. As a form of shelter, housing could be limited to the top structure (Mmakola, 2000:5). King (2009:42) refers to housing as a dwelling that people use to do their daily activities and fulfil their interests in a manner that this singular dwelling becomes an important asset to them.

When seen as an economic good, housing is a commodity that can be exchanged in economic transactions. Whether it is a social or economic good, housing is the centre of relations in the community as it defines the social position of various members of society and shapes interactive patterns among societal members (Mmakola, 2000:5).

As a package of service, housing is more than a structure; it also needs accessible land with provision of all the necessary services such as electricity, water, infrastructure, removal of sewage and finance to build the house itself (Human Sciences Research Council, 2002:21).

6

2.3 TYPES OF HOUSING

2.3.1 Formal housing

Ahsan and Quamruzzman (2009:2) describe formal housing as structures that have a legal basis in the planning agency and are built within government regulations, conforming to controls and rules that are imposed by the national housing authorities. Formal housing has access to services such as running water, electricity and sanitation. Formal housing can also be taken as a representation of 'adequate housing'. For the purposes of this indicator, formal housing consists of the following housing types: a dwelling structure on a separate stand, an apartment, a flat, a town/cluster/semi-detached house and even a house in a retirement village (Hall, 2014:1).

2.3.2 Informal housing

Informal housing is made up of unplanned settlements within cities or towns, often located near the city centre or workplace, with shacks as the main housing type. The main characteristics of informal housing are lack of service delivery, poor infrastructure and insecurity of tenure, as the dwellings are often constructed with pieces of tin, corrugated iron, plastic timber and metal sheeting, with some having pit latrines (Narsai, Taylor, Jinabhai & Stevens, 2013:373). Informal housing does not meet the legal prescriptions for various reasons. Those building such structures do not comply with the formal procedures of legal ownership, transfer of ownership or urban planning regulations prevailing in their respective countries (Ahsan & Quamruzzman, 2009:2).

The phenomenon of informal housing is common in urban areas of developing countries owing to urbanisation, lack of public investment in housing, and the implementation of western-based urban policies (Ahsan & Quamruzzman, 2009:1).

2.3.3 Backyard dwellers

Housing policies did not take into account backyard dwellers and census statistics categorised them in the informal settlement group prior to 1996. According to Shapurjee and Charlton (2010:3), backyard accommodation involves tenancy of the property owner and tenants on the same plot, although in separate dwellings. Lemanski (2009:472) defines backyard dwellings as informal shacks, usually built in the yards of other people's properties, and as being a distinctively South African occurrence. Some backyards have several shacks. Landlords usually share refuse collection, water, electricity and sanitation with backyard tenants, and tenants pay an increased rent to cover these amenities. This form of settlement is affordable for poor migrants entering urban systems, thereby supporting economic livelihoods and proving easy access to less expensive, flexible housing, which may be situated close to employment opportunities. While most landlords across various South African settlements make profits from rental, others function as 'subsistence landlords' and are not profit-maximisers, but, like their tenants, they may be struggling financially (Shapurjee & Charlton, 2010:4).

2.3.4 Traditional housing

Traditional housing is defined as "structure/traditional dwelling/hut that is constructed out of traditional materials" (Hall, 2014). This housing is built with traditional materials such as daub clay, wattle, mud, thatch and clay but some are constructed with bricks (Narsai *et al.*, 2013:373). According to Ahsan and Quamruzzman (2009:4), traditional housing is that which emerged over a period of time without any consciousness of measures, legal or illegal. People residing in rural areas have traditionally been responsible for the construction of their own (traditional) houses, which are usually situated far from areas of employment. The characteristics of traditional housing include that they are built on land that is communally owned under the leadership of the local chief and a ward councillor (Narsai et al., 2013:373).

For the purpose of this study, the Cornubia Housing Programme falls under formal housing, as it meets all the housing legal requirements, which include the necessary services such as the provision of proper infrastructure, water, electricity and removal of sewage. The reason for the inclusion of other types of housing in this discussion was to show the different types of housing available to people in South Africa depending on their levels of affordability. The following section will discuss the Cornubia Housing Programme in greater detail and how it fits into the policy cycle.

2.4 WHAT IS A PROGRAMME?

A programme is a set of coordinated projects implemented to meet specific objectives within defined time, cost and performance parameters (IFRC, 2010:57). Fink (2005:4) defines programmes as systematic efforts intended to achieve certain planned purposes such as improvement in the provision of housing by a government department. A programme may be relatively small or relatively large and can take place in different geographic and political climates (Fink, 2005:4). Most government programmes undergo a policy cycle. It is therefore essential to understand the policy cycle in the evaluation of the programme. Traditionally, a policy-making exercise has been regarded as a mechanical process consisting well-defined steps and it is presumed that if those are taken care of a sound policy will be put in place. These key steps usually include: a) agenda setting, b) policy formulation, c) decision making, d) policy implementation, e) monitoring, and f) evaluation, as depicted in Figure 2.1.
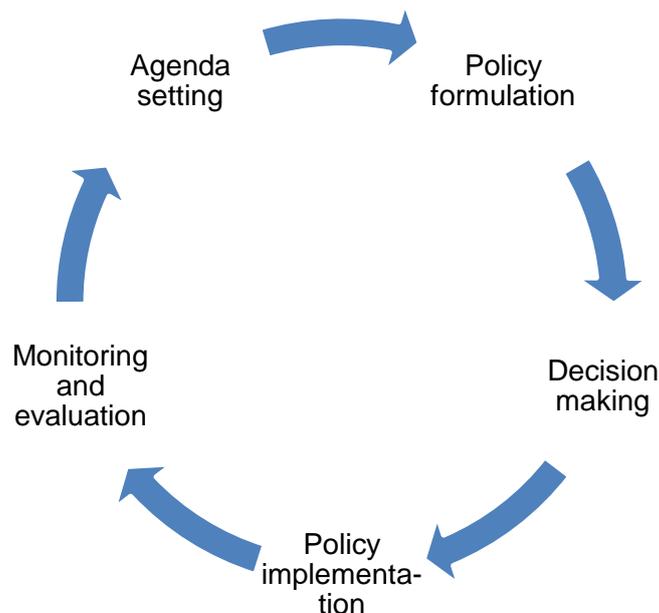
Figure 2.1: Policy cycle

Source: Cairney, 2013:1.

2.5 STAGES OF THE POLICY CYCLE

Scholars have challenged rational models of policy making, as they view them to be ineffective in practice. Geol (2014:300) argues that policy process is very messy owing to its complex dependence on different factors. Stone (2002:261) asserts that a policy resembles an endless game of monopoly rather than a quick bicycle repair. However, Falastein et al., (2010:3) argues that agenda setting is the initial step in the policy cycle as it deals with the identification of a problem that requires the attention of government. As soon as government has identified a problem that requires being resolved, policy formulation is the next phase after agenda setting in the policy process.

The policy formulation stage is a pre-decision phase of policy making. This phase includes identification of policy alternatives to address the social problem and legitimise policy choices so that they are credible for the next stage (Hai, 2010:3). Once the policy has been formulated, the decision-making process takes place. Decision making is a process of gathering and analysing all information relevant

10

for the decision so that an ideal policy is designed and selected (Haddad, 1995:34).

After choosing a policy, planning for policy implementation follows immediately. Implementation is a policy phase where policy decision is translated into action in order to carry out government decisions (DeGroff & Cargo, 2009:49). According to Falastein et al., (2010:15), implementation is a central part of policy process because the outcome of the policy is highly dependent on the implementation phase of the policy. This stage requires the participation of stakeholders, resource mobilisation and adoption, compromise, contingency planning and conflict resolution (Sutton, 1999:23).

During or after the implementation, monitoring can be conducted. It is a crucial step in a programme as it provides information about the consequences of adopting policies, thus assisting with the policy implementation phase. Monitoring examines the level of compliance, discovers unintended consequences of policies, identifies implementation challenges and constraints, and promotes administrative accountability of a programme (Dunn, 2012:55). Monitoring is then followed by evaluation, which will be discussed in greater detail below.

2.6 COMPREHENSIVE REVIEW OF PROGRAMME EVALUATION

Evaluation is a method of scientifically collecting and synthesising different kinds and types of data with the intention of depicting the value of a certain programme (Wilde & Sockey, 1995:2). Mark, Greene and Shaw (2006:3) define "to evaluate" as "to work out the value (of something)", from its Latin root "valere". Informal evaluation takes place regularly regarding how desirable or undesirable, or how good or bad, something is. Formal evaluation involves similar judgements, but is more scientific and thorough than informal evaluation, with proper control for the validity and reliability of the findings and conclusions (Rabie & Cloete, 2009:2).

2.6.1 Role of evaluation

The evaluation process has different roles to play with regard to a programme, including *formative, summative* and *perspective* evaluation. Formative evaluation is concerned with designing and utilising the evaluation procedure in order to ameliorate negative aspects of a programme so that it performs better (Chen, 2005:5). The target audience for formative evaluation is usually those with an interest in maximising the success of the programme such as programme funders, planners, oversight boards and administrators. The evaluation data may relate to the requirement for the programme, the programme design, its implementation, its impact, or its efficiency (Rossi, Lispey & Freeman, 2004:34). The evaluator in this situation usually works closely with the programme stakeholders and management in designing, conducting and reporting on the evaluation. Evaluation for programme improvement characteristically emphasises findings that are concrete, timely and immediately useful.

Chen (2005:5) defines *summative evaluation* as an impact or outcome evaluation which is performed at a later stage of intervention or at the end of the evaluation in order to establish the degree to which the expected outcomes were realised. This type of evaluation aims to give information about the value and the effect of the programme. Summative evaluations consist of case studies, impact evaluations, cost-effectiveness evaluations, quasi-experiments and randomised experiments (Morra-Imas & Rist, 2009:10).

The third type of evaluation is called perspective evaluation (Morra-Imas & Rist 2009:10). Perspective evaluation examines possible outcomes of the proposed programme. It is similar to an evaluability assessment that focuses on the worthiness of the programme being evaluated in order to assist various stakeholders to improve their programme. Perspective evaluation is used to synthesise the results from earlier studies in order to examine possible outcomes of the proposed programme (Morra-Imas & Rist, 2009:10).

2.6.2 Background to evaluation

The evaluation profession emanated from a wide range of disciplines at the beginning of the 20th century. The profession was influenced by the American perspective. Research into the commencement of programme evaluation found Ralph Tyler's programme evaluation (Alkin & Christie 2004:17–18) relating to a juvenile delinquency educational programme. Tyler's procedure was passed by the United States Congress in 1962 as the first regionally subsidised evaluation study (Weiss, 1991:25). However, the scientific evaluation of public programmes had already been conducted at the end of the Second World War (1943) in the United States (Auer, 2007:541; De Leon & Vogenbeck, 2007:504).

The immense increase in government social programmes during the 20th century is considered as one of the key drivers of programme evaluation (De Leon & Vogenbeck 2007:519; Shadish & Luellen, 2005:184). The evaluation field grew exponentially in the 1960s and 1970s, with the extension of social policies and programmes intended to affect a variety of normative and empirical goals to enhance socioeconomic development.

During this era, various evaluations were conducted in response to national, provincial and local programme managers' mandates. Cost restraints and concerns about the success of social programmes in attaining outcomes led to the evaluation profession (Shadish & Luellen, 2005:185; Shadish, Cook & Leviton, 1991:22). Chelimsky (2006:34) agrees that the main intention of evaluation efforts was to control the distribution of resources as well as to enhance the management of programmes. In the 1970s there was increasing opposition to the extension of social development programmes, partly because of the additional financial support required to maintain these programmes and the noticeable failure of many programmes (Posavac, 2003:10). During the 1980s a decrease in evaluation activities was experienced under the funding constraints of the Reagan administration (Cronbach, 1991:27). By the 1990s, financial and social conservatism had begun to lead to the discontinuation of further extension of government programmes, resulting in a decrease in the financial support accessible for evaluation studies (Shadish & Luellen, 2005:186).

2.6.3 Philosophical perspective to evaluation

Evaluation has for a long time been influenced by four main philosophical perspectives. These include positivist, realist, constructivist and naturalist perspectives. The positivist perspective, also known as a scientific method, is based on reliable and objective data, measurable experiments, tests and statistical procedures (Ibem & Amole, 2010: 94). Positivism represents the view that the method of natural science constitutes the only legitimate method for use in social science (Lee, 1991:343). Epistemologically, positivists emphasise the neutrality of the policy analysts as they regard them to be "detached, neutral observers of facts" who conduct value-free inquiry (Khakee, 2003:341). This approach is clearly acknowledged and supported, as the "natural-science model" of social science research (Lee, 1991:343) that provides a well-defined, explicit road to the causes of social or psychological phenomena (Ryan, 2006:13).

The realistic perspective, as Marsh and Smith (2001:530) argue, is different from the positivist perspective for three important reasons. Firstly, realism emphasises the importance of structure, including social, economic and political structures. This approach considers that the matter of social structure might have an influence on human behaviour and social action. However, realism agrees with the positivist perspective that, firstly, there is a real world that exists out there which is observable. Secondly, realism is founded on the notion that there are deep structures which are not observable through scientific methods as mentioned in the positivist perspective. Rather, the realistic perspective believes that we can view the structure of social relations and not judge the conclusion, because there are on-going casual relations like positivism. Thirdly, the realistic perspective sees the world as socially constructed, therefore, impossible to detach the value and bias of the researcher from the object that is observed.

The naturalistic perspective gives the evaluator a choice to select the process used to collect, analyse, and interpret data (Owston, year unknown: 608). This perspective comes from two schools of thought, namely responsive evaluation and naturalistic methodology from qualitative research. They are known as 'responsive' because they consider and value the positions of several audiences.

14

Naturalist evaluation is, therefore, not pre-designed before it is conducted (Wilde & Sockey, 1995:9). It allows for the emergence of design and workings of hypothesis from the data gathered from the field, through open-ended research methods. Naturalistic methodology relies on interactive, qualitative methods and is oriented toward uncovering and generating propositions based on natural settings and context (Ibem & Amole, 2010: 94). Unlike the positivist evaluator where instruments such as questionnaires and tests are typically utilised, the naturalist evaluator utilises interviews and observation as instruments to gather qualitative data.

In contrast, the constructivist perspective to evaluation originates from different disciplines such as philosophy, history of science, education, psychology, and philosophy and science education. According to Kushner (1996:189), constructivism emerged because of a general criticism of science for its inability to recognise that theories and realities are not just there waiting to be discovered or uncovered, but are constructed in the minds of people or in the discussions of groups.

Epistemologically, constructivism emphasises the subjective interrelationships between evaluees and evaluators as realities discovered by constructivist inquiry and developed into co-construction, then re-construction (Mouton, 2007:498). Particularly, the constructivist perspective to evaluation is based on the qualitative method, which is a context-based and criterion-reference approach, with programme theory evolving as data are collected. From the constructivist's perspective, evaluation focuses on actual effects or outcomes of programmes, without the necessary knowledge of intended goals. Reliability and validity are regarded as unimportant because, as proponents have argued, the purpose of evaluation is not to measure programme outcomes in terms of statistical figures, but, rather, programme outcomes are individual and personal constructions (Ibem & Amole, 2010:96).

From the above-mentioned philosophical approaches that have been presented, it is obvious that evaluation research is deeply embedded in ideological underpinnings, which manifest in the aims and objectives of the research. The philosophical approach chosen for this study was the constructivist perspective,

because its views on truth are relative and dependent on the holder's perspective. This perspective acknowledges the significance of the subjective, human creation of meaning even though it is not against the idea of objectivity (Baxter & Jack; 2008:545). The advantage of this perspective is the good relationship between the researcher and participants that allows the latter to tell their own stories, thus describing their own realities, and the former to understand their actions.

2.6.4 Theoretical perspectives in programme evaluation

Evaluation research emerged from many disciplines with various theoretical underpinnings. The key theoretical perspectives in programme evaluation are method-based theory, value-based theory, use-based theory, objective-oriented theory and theory-based perspective. Method-based theory, also known as method-driven evaluation, highlights the importance of 'methods' as a theoretical basis for evaluation practice (Mertens & Wilson, 2012:60). Alkin and Christie (2004:17) argue that research is the genesis of a programme, therefore, method of evaluation is of paramount importance. It is essential that experimental studies and other controls are well-designed when assessing the level of social problems and measuring the implementation, relative effectiveness and cost efficiency of social intervention programmes.

Value-based evaluation originates from the works of Michael Scriven, who made extensive contributions to the role played by the evaluator in making value judgements. Michael Scriven is of the view that the aim of evaluation is to establish the worth and importance of the evaluand (Mertens & Wilson, 2012:138). This theory addresses the significance of putting value on the findings (Alkin & Christie, 2004:32). Alkin and Christie (2004:33) compare the responsibility of the evaluator with that of a consumer report, where the evaluator establishes a suitable criterion upon which judgements are formulated and then presents these judgements. Therefore, the theory argues that what differentiates evaluators from other researchers is that evaluators place value on their findings. Value-based theorists disregard the method used in the evaluation, and instead they focus on making value judgements about the quality of the object, process or situation.

16

Alkin and Christie (2004: 44) refer to use-based theory as a "decision-oriented" theory. The decision-oriented theorists are of the opinion that evaluations were designed specifically to assist the main programme stakeholders in programme decision making. This means that evaluation is intended to give information to programme management and stakeholders on a continuous basis in order to make sure that programmes improve their services on a continual basis. Key proponents suggest that evaluations should assist decision makers in allocating resources to programmes that best serve clients (Alkin & Christie, 2004: 44).

Use-based theory rejects the notion that evaluators are value agents as mentioned in value-based theory. Instead use-based evaluations are intended to meet the requirements of primary users in management processes as well as in decision making. The power of use-based theory lies in utilising findings of evaluation research to make decision-making processes that require to have a direct effect on programme and organisational efficiency. In contrast, the objective-oriented theory, also known as objective-referenced theory, highlights the importance of programme objectives and outcomes (Ibem & Amole, 2010:97). Proponents of this theory argue that the purpose of evaluation is to validate programme hypotheses by focusing on the intended goals, actual effects or outcome of social intervention programmes.

Closely related to objective-based evaluation is theory-based evaluation, which is also known as logical framework. At its core, theory-based evaluation has two essential parts which are conceptual and empirical. Conceptually, theory-driven evaluation should explain a programme theory or model. Empirically, theory-driven evaluation intends to examine how programmes cause intended

17

or observed outcomes (Corney, Noakes, Westine, & Schotter, 2011:203). Figure 2.2 provides a logical framework depicting how the programme causes the intended outcome.
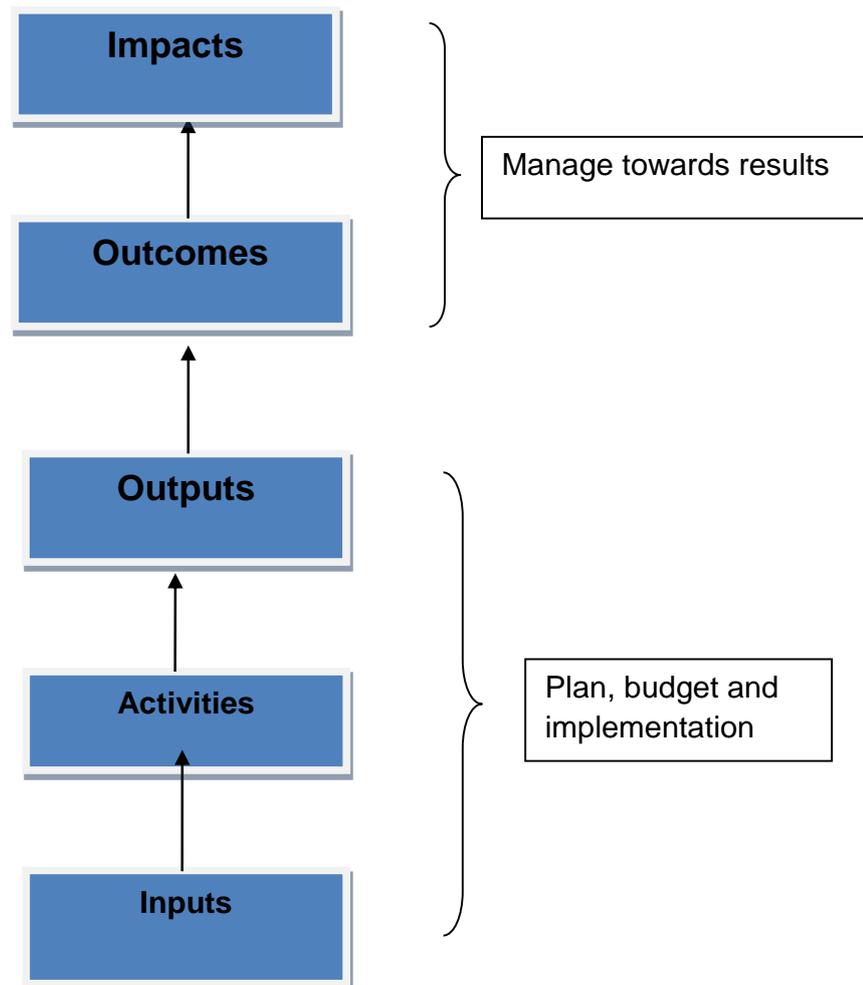
Figure 2.2: Logic framework

Source: Morra-Imas & Rist, 2009: 124.

2.6.5 Components of the logical framework

Inputs: Financial, technical and human resources as well other inputs that are needed to facilitate the programme. Funds, information and partnerships are some

18

of the examples of important resources for the programme (McLaughlin & Jordan, 2010:57). It is, therefore, essential that the implementing organisation is able to secure and manage its resources that will be utilised to implement the programme (Chen, 2005:4).

Activities: According to McLaughlin and Jordan (2010:57), activities are critical action steps required to produce programme outputs. They consist of actual services or work that the programme offers to meet its objectives. Examples are building housing units, recruiting and training of staff, and providing a referral service (Chen, 2005:25).

Outputs: Outputs are the result of the achievement of the programme's goal, which alone justifies the existence of the programme (Chen, 2005:5). They include goods, products and services offered to the programme's direct customers or programme participants. For instance, a number of housing units produced as part of the programme could be seen as an output of the activity. McLaughlin and Jordan (2010:58) note that some evaluators do not make a distinction between activities and outputs in their models. However, activities generally characterise what the programme does, while outputs are what the programme produces. It is, therefore, essential to separate the two as this assists implementation evaluation.

Outcomes: These are benefits of, or changes to, the organisations, people or programme targets, which take place after the latter have been exposed to activities as well outputs (McLaughlin & Jordan, 2010:58). There are three types of outcomes. The first one is the short-term outcome, being the changes or benefits that are linked with or result from the outcomes of the programme. The second one is the intermediate outcome. And the third one is the long-term outcome which is expected to follow from benefits accrued through the intermediate outcomes.

Impacts: McLaughlin and Jordan (2010:58) state that impacts are expected to follow from benefits accrued through outcomes, such as the creation of employment opportunities.

The use-based theory was chosen for the purposes of this study as it is aimed at giving continuous information, which would help decision makers involved in the implementation of the Cornubia Housing Programme to improve their services on

a sustained basis. It should be noted that the study focused only on the pilot phase that was followed by other phases for either low- or middle-income households to be finalised within 20 years. The following section provides the requirements that the housing programme must meet for successful implementation.

2.7 REQUIREMENTS FOR SUCCESSFUL PROGRAMME IMPLEMENTATION

Successful implementation of a policy can be defined as a policy implementation initiative where an administrative arm of government has carried out an adopted strategic action and is regarded to have brought the expected policy decision and to have accomplished the expected outcome (Giacchino & Kakabadse, 2003:140). Turner (2002:324) further describes "success criteria" as the qualitative and quantitative measures that determine the success of the programme and if the value achieved for the measure surpasses a predefined hurdle rate, the programme can be considered to be a success. According to this definition, the criteria for interpretation of a successful policy implementation are: i) the manner in which terms of reference defined for a policy initiative were adequately addressed, and ii) the manner in which the policy initiative delivered the expected 'functionality' to the identified stakeholders. The criteria that were used to measure successful policy implementation in this study are provided in Section 2.7.1.

2.7.1 Social, political and economic context

Social, political and economic context is part of the environment that directly interacts with a programme (Chen, 2006:76). Policy formulation and implementation cannot be separated from the context in which they occur as they influence what policies are developed and the manner in which those policies are implemented (Bhuyan, Jorgensen & Sharma, 2010: 6). The contextual and environmental factors have the ability to hinder or provide opportunities for the successful policy implementation. These factors are present at different levels (i.e. international, national and local) and change over a period of time.

2.7.2 Leadership for policy implementation

Leadership is critical for the successful policy implementation. Strong leadership is required to ensure follow through, resources and accounting required for putting policies into practice (Bhuyan *et al.*, 2010:7). Leaders can communicate about the policy's goals, rationale and mechanism, and can champion the policy to ensure the coordination of implementation needs as well as cooperation. The degree of consensus between leaders and other policy stakeholders on the content of the policy and its requirements for implementation will have an impact on the level and timing of its roll-out. However, different leaders may be responsible for carrying out policy directives from those who were involved in the policy formulation, since the latter may be deployed to other projects as soon as the policy is adopted. As a result, the implementation of the programme may be assigned to new leadership.

2.7.3 Commitment to policy implementation

Commitment to a new programme is essential to ensure successful implementation of the policy. According to Giacchino & Kakabadse (2003:146), the fundamental concept of commitment is about the capability to keep focus on the programme from commencement through to the delivery phase. Some proponents of administrative reform and change management initiatives view commitment as a requirement for strong political backing (Caiden, 1999:815) and political will (Polidano, 1995:455), meaning that commitment is more of a top-down, leadership issue. Others view commitment from the bottom up. They see commitment as the commanding [or capturing] of employees' attention for the purposes of completing a project and maintaining it over a period of time (Drennan, 1989:305), and getting this through participation, involvement, as well as the development of trustful relationships between management and employees.

21

2.7.4 Stakeholder involvement in policy implementation

Policy stakeholders include groups or individuals responsible for the implementation of the policy. Stakeholders also include people that may be affected positively or negatively by the implementation, or lack of implementation, of the policy (Bhuyan *et al.*, 2010:7). According to Chen (2006:76), the implementing organisation is also a stakeholder, being responsible for allocating resources, organising staff, and coordinating activities to implement the programme. The capacity of the organisation has an effect on the quality of the implementation. It is, therefore, essential to make sure that the implementing organisation has the ability to implement the programme (Chen, 2012:18). Chen (2012:19) further states that programme implementers are also part of stakeholders. Programme implementers are people such as project managers, engineers, housing experts and administrators, who have the expertise to deliver services to clients. (Chen, 2006:76). The qualifications and competency, commitment, enthusiasm and other attributes of implementers are crucial as they can directly affect the quality of service delivery.

In addition, the target population forms part of the stakeholders. The target population is the group of individuals whom the programme is expected to serve. The success of the programme is the result of the presence of well-established eligibility criteria, the possibility of reaching qualifying people and effectively serving them, and the willingness of potential clients to cooperate with or become committed to, the programme (Chen, 2006:77).

The involvement of stakeholders in the policy implementation depends on a variety of factors, including the context, policy content, and stakeholders' needs and resources, level of knowledge of the policy and relative power and influence. Participation of stakeholders in the implementation can be difficult to achieve at times as it usually needs "joint actions" in response to new partnership that did not exist previously (Bhuyan *et al.*, 2010:7). In some instances, stakeholder groups may be unrelated or may not be committed to the same outcomes, but reach an agreement to support the implementation. As the policy implementation takes place, additional people may be affected by the changes and, by virtue thereof, become stakeholders who seek to assert themselves in the process.

The successful engagement of different groups within the public, civil society and private sectors is essential for implementation because each sector contributes different resources, perspectives and skills (Bhuyan *et al.*, 2010:8). Stakeholders can also play a role in monitoring implementation and advocating for specific strategies to improve implementation and may serve as watchdogs to ensure adequate distribution of funding and suitable activities are carried out.

2.7.5 Planning for implementation and resource mobilisation

Effective implementation necessitates planning and mobilisation of adequate resources. In relation to planning, it is essential that plans and guidelines are developed. This step includes drawing up strategic action plans, budgets and operational objectives, and holding workshops. As soon as strategies are determined, the implementing organisation may be needed to abandon or modify old practices and embark on the new activities (Bhuyan *et al.*, 2010:8). In most instances, implementers may require training on the content of the policy and required skills. Resource mobilisation refers to the availability and accessibility of concrete or tangible resources (logistic, financial, human, and technological, etc.) (Brynard, 2005:19). Resources, especially financial resources, play an important role in the implementation process of the policy as they promote implementation activity which fits with central aims of the policy (Hambleton, 1983:411–412). Resources may also be intangible, such as endurance, motivation, commitment, courage, willingness, leadership, and other characteristics required to change rhetoric into action.

2.7.6 Feedback on progress and results

Policies usually include monitoring and reporting requirements, which differ in relation to clarity and quality. Some policy implementers appoint an entity to be responsible for monitoring, such as a government agency or an official body consisting of government and non-governmental stakeholders. Other groups from civil society, the private sector, the media or the public sector may also participate,

either officially or on their own initiative, in monitoring the policy implementation process (Bhuyan et al., 2010:9).

Programmes require information to measure whether inputs are sufficient and organised, interventions are implemented in a suitable manner, target groups are reached, clients get quality services and outputs show the achievement of goals, and whether the goals of decision makers' (stakeholders) are being met (Chen, 2005:5). The agreed-on set of indicators and feedback systems to monitor progress towards attainment of results facilitates a comprehensive and measurable process. Furthermore, it is essential to consider perspectives of beneficiaries of the policy, or clients of services delivered by the policy. By receiving feedback and using information on how policy implementation is being conducted, policy makers and implementers are able to measure short-term accomplishments, make necessary course corrections (Bhuyan *et al.*, 2010:9). Chen (2005:5) warns that without feedback, a programme is likely to deteriorate and eventually fail. Figure 2.3 sets out the requirements for successful policy implementation schematically.

Stakeholder involvement

(Effective) Resourcing

(Effective) Planning

(Use of) Networks

Role delineation

(Effective) Approach

Location of political responsibility

Skills and abilities

Commitment

Cooperation

Successful policy implementation

(Positive) attitude

Enthusiasm

Value/Belief

Leadership

Management style

Ownership

(Will/ Disposition)

Project team/management dynamics

Figure 2.3: Requirements for successful policy implementation

Source: Giacchino & Kakabadse, 2003:145

2.8 CONCLUSION

This chapter has reviewed literature on basic concepts and types of housing. A comprehensive review of programme evaluation that focused on different philosophical perspectives of evaluation research was provided. The key philosophical perspectives that were discussed in great detail are positivist, realist, constructivist and naturalist perspectives. Ultimately, constructivist evaluation was chosen for this study as it assumes that the truth is relative as it depends on one's perspective. This perspective also acknowledges the importance of the subjective human creation of meaning without rejecting the notion of objectivity. The exposition on philosophical perspectives was followed by a review of theoretical perspectives that covered various evaluation theories such as method-based theory, value-based theory, use-based theory, objective-oriented theory and theory-based perspective. The use-based evaluation was deemed suitable for this study as its intention is to provide information to decision makers with an intention of improving the implementation process of further phases of the Cornubia Housing Programme. The chapter concludes with requirements for successful implementation of programmes.

CHAPTER 3

POLICY AND LEGISLATIVE FRAMEWORK

3.1 INTRODUCTION

This chapter reviews macro housing policies in South Africa, such as the White Paper: A New Housing Policy and Strategy for South Africa; Constitution of the Republic of South Africa (RSA 1996); Housing Act 107 of 1997; National Housing Code of 2000; Breaking New Ground: A Comprehensive Plan for the Development of Sustainable Human Settlements (2004); Inclusionary Housing Policy 2007; and National Housing Code 2009 (Integrated Residential Development Programme). It also explores specific strategies and programmes that govern the actions of municipalities (including the IDP process) in the provision of housing. The chapter concludes with the requirements, from a policy perspective, with which housing programmes should comply.

3.2 INTERNATIONAL PERSPECTIVE ON HOUSING POLICY

In terms of the international human rights law, everyone has a right to have access to suitable standard of living including proper housing. The recognition of adequate access to housing became part of the 1948 Universal Declaration of Human Rights and the 1966 International Covenant on Economic, Social and Cultural Rights. As a result, all states have committed themselves to take necessary steps, within their available resources, to realise adequate housing for its citizens through these international declarations. In spite of the international declarations, well over a billion people around the world continue to be without adequate access to housing (UN Habitat; 2009:1). To address the challenges of inadequate housing, the following are the lessons that can be drawn from the developing country, Chile and the developed country, United State of America (USA).

3.2.1 Case study: Chile

The Chilean housing policy is considered successful because of its ability to meet many of its goals that were set by developing nations such as eliminating illegal occupation of land, offering housing solutions to people that require them (including poor families) and issuing basic services to almost the entire population (Ducci, 2000:149). Below are the exemplary features that led to the successful Chilean housing policy:

Sustainable allocation of resources

The Chilean government manage to sustainably allocate resources to reduce housing backlog through prioritisation of housing spending. Chilean government allocated an approximately 6 per cent of its spending on housing, while the international average spending for developing countries is 2 per cent. In the 1990s, Chilean government was able to build 116 000 houses per year and reduced housing backlog from 800 000 to 200 000. The increase in the construction of houses led to the economic growth due to the steady flow of work for construction companies as well as material manufacturers (Smith, 2006 :2).

A range of subsidy options and subsidy types

The Chilean housing policy offers a wide range of subsidy options and subsidy types for both low and middle income groups. The low income group falls under the supply-side subsidy which is linked to the state housing bank. The decentralised housing agency is responsible for building these houses through a rent-to-buy arrangement. The demand side subsidy is intended for middle income groups and these houses are built by private developers. Recipients of these houses are given vouchers with an expiry date, which they can use to purchase these houses. The unified subsidy ranges between 5 to 25 per cent of the total cost of the house, depending on the house price. There are other different types of subsidies including the Special Workers Programme, Urban Renewal Subsidies,

subsidies for leasing, Rural Subsidies as well as subsidies for people above the age of 60 years (Smith, 2006:3).

High density urban environments with basic facilities

The Chilean housing projects have a high density urban environment with basic facilities. The high density assist in contributing towards urban compaction which makes access to public transport easy, resulting in the greater access to basic services as well as facility provision. None of the subsidies houses are freestanding, all of the subsidies houses that have been built by Chilean government have a density of more than 50 dwelling units. The subsidies houses consist of block of flats, row housing and semi-detached housing (Smith, 2006:3).

3.2.2 Case study: US

The Low-Income Housing Tax Credit

The United State of America (USA) government introduced the Low-Income Housing Tax Credit (LIHTC) which offers investors financial incentives to invest in the low-income rental housing. Investors receive the credit for 10 years on provided that their properties remain occupied by low-income households for at least 15 years. The amount of credit depends on the cost and location of the housing development as well as the number of housing units occupied by low-income households. This has resulted in most developers to allocate most if not all of their units to low-income households in order to increase the amount of credit they receive (Buckley & Schwartz, 2011:10).

HOPE VI and the Transformation of Public Housing

In 1993, US government launched the HOPE VI programme aimed at demolishing and redeveloping dilapidated public housing. The programme replaced public housing with lower density developments and a broader mixed-income housing as part of federal government strategy to eliminate severe concentration of crime and poverty within public housing by changing tenant eligibility criteria and eviction

policies. To enhance security, residents were given the responsibility to take care of the areas just outside their homes. Traditionally, public housing consists of communal areas such as parking lots, hallways, swimming pools which led to the victimisation of residents by crime. The HOPE VI programme gave residents private and semi-private spaces and reduced public spaces over which residents were less likely to have control. The HOPE VI programme had better amenities than public housing it replaced because the new units were fitted with washers, dryers, dishwashers, and central air-conditioning (Buckley & Schwartz, 2011:14).

Mortgage Revenue Bonds

The Mortgage Revenue Bond allows low and middle income groups, to become home owners for the first time, by obtaining mortgages below market interest rate (Buckley & Schwartz, 2011:14).

Inclusionary Zoning

Inclusionary Zoning is aimed at increasing the supply of "affordable" housing within affluent communities. This allows lower income households to live in areas with little affordable housing. For this to happen, developers are required to allocate a percentage of housing they build to low or middle income households. This type of zoning takes place in many different forms including mandatory and voluntary inducement (Buckley & Schwartz, 2011:24).

3.3 SOUTH AFRICAN HOUSING POLICY CONTEXT

In 1994, South Africa's housing sector was experiencing challenges due to severe housing backlogs caused by the increase of informal settlements, a result of apartheid policies which had created social and economic divisions (Gardner, 2003:1). Housing policies and legislative frameworks, administration and institutions were split or separated according to race and geography, resulting in

institutions performing similar responsibilities in parallel. A large number of subsidy systems created more confusion by resulting to unfairness in the distribution of state housing assistance and to failure to maintain a long-term housing subsidy programme. As a result, private sector participation in low-income housing delivery was marginal. Many families were unable to afford basic housing, owing to the limited finance provided by the financial sector. Civil unrest and inexperienced housing consumers further complicated the housing market and pointed to the need to normalise the housing market (Gardner, 2003:2).

3.4 NATIONAL HOUSING FORUM

The National Housing Forum was established in 1991 with an aim of addressing the housing crisis in South Africa with sound public policy planning (Nell & Rust, 1996:1). Participants from the private sector, government, civil society and the then extra-parliamentary political parties came together to formulate a future housing approach for the democratic government in South Africa that commenced in 1994 (Gardner, 2003:6).

The intention of the NHF was to create a consensus around a new non-racial housing policy. Two fierce debates which characterised the process were about whether housing should be offered by government or the private sector and whether the standard dwelling should be a completed four-roomed house or a 'progressive' (instrumental) house. The National Housing Forum took a decision that the public sector would provide the framework for housing provision and facilitate the delivery. The private sector would apply for subsidies on behalf of communities, and identify and service the land for the building of structures, where possible (Tissington, 2010:32).

The following legislation and policy guidelines are reviewed to provide a legislative context for housing implementation in the South African public service:

• White Paper: A New Housing Policy and Strategy for South Africa, 1994

• Constitution of the Republic of South Africa (RSA, 1996)

• Housing Act, 107 of 1997

31

- National Housing Code, 2000

- Breaking New Ground: A Comprehensive Plan for the Development of Sustainable Human Settlements, 2004

- Inclusionary Housing Policy, 2007

- National Housing Code, 2009 (Integrated Residential Development Programme)

3.5 WHITE PAPER: A NEW HOUSING POLICY AND STRATEGY FOR SOUTH AFRICA, 1994

The African National Congress (ANC)-led government enacted the 1994 White Paper on Housing after its democratic election in 1994 (Tissington, 2010:33). The White Paper aimed at delivering 350 000 houses per annum in order to eliminate housing backlogs. The principles of the new housing policy include economic empowerment, affordability, accountability, sustainability, innovation, economic empowerment, people-centred delivery and partnership, fairness and equity, fiscal affordability and choice (Republic of South Africa, 1994:20–27).

The South African housing vision as spelt out in the 1994 White Paper on Housing intends to meet the housing challenges by providing the following:

- A permanent residential structure with secure tenure, ensuring privacy and providing adequate protection against the elements

- Potable water, adequate sanitary facilities including waste disposal, and a domestic electricity supply

The Housing White Paper further states that necessary steps will be taken to recognise this vision for all South Africans, while acknowledging the importance of economic development, employment and the contribution of housing credit providers as a requirement to fulfil the national housing vision. The National Housing Subsidy Scheme administered by the Provincial Housing Board played an important role in reducing the plight of the poor through offering a once-off capital subsidy for land and housing infrastructure to individuals in certain economic categories (Republic of South Africa, 1994:41).

Households that qualify for the housing subsidy should earn between R3500 and R15 000 per month, which it is inadequate to allow them to participate in the private property market, yet it is too much to qualify for the state assistance. This is a huge improvement to the 1994 White paper on Housing which qualified households earning between R2501 to R3500 for the housing subsidy (Republic of South Africa, 1994:46).

3.6 CONSTITUTION OF THE REPUBLIC OF SOUTH AFRICA, 1996

The Constitution of the Republic of South Africa (Republic of South Africa, 1996) (hereafter referred to as the Constitution), is the supreme law of the Republic and all other laws and acts that are inconsistent with it are regarded as invalid (Republic of South Africa, 1996:2).

The provision of housing is an attempt to meet the prescription of both the democratic Constitution and the Bill of Rights of the Republic of South Africa which state the rights of citizens, such as the right to housing (Republic of South Africa, 1996:12). These are second-generation constitutional rights, defined alongside the provision of essential services and goods such as water, sewerage, and electricity services. Section 27 of the Bill of Rights in the Constitution states that "everyone has the right to have access to housing" (Republic of South Africa, 1996:13).

Furthermore, Section 27 (2) states that "the state must take reasonable legislative and other measures, within its available resources, to achieve progressive realisation of each of these rights". These second-generation constitutional rights inform the core of social citizenship, which is defined as the provision of socioeconomic or second-generation constitutional rights to a nation's citizens in a manner that guards against the erosion of their delivery by the profit-driven principles of private capital and the market (Heater, 1999:15). The fundamental rule here is that the state, as stated in the Constitution, has the mandate to provide socio-economic goods and services, such as housing. Therefore, the need for the implementation of the Cornubia Housing Programme emerged from this constitutional mandate.

3.7 HOUSING ACT, 107 OF 1997

The Housing Act, 107 of 1997 (hereafter referred to as the Housing Act), followed the Housing White Paper as a continuation of guidelines, programmes and provisions stipulated in the White Paper. The Housing Act aims to offer the facilitation of a sustainable housing development process. This is done through "establishment and maintenance of habitable, stable and sustainable public and private residential environments to ensure viable households and communities in areas allowing convenient access to economic opportunities, and health, education and social amenities" (Republic of South Africa, 1997:141).

The Housing Act together with the Constitution further outlines the role of the national, provincial and local governments in relation to provision of housing (Republic of South Africa, 1997:139). The national department is mandated to set up and facilitate a sustainable national housing development process. This is done through development of policy and strategy, determining delivery goals, and monitoring and evaluating the performance of the housing sector. In addition, it offers capacity building and implementation assistance to provincial and local government and it creates a framework for the distribution of provincial housing projects. Provincial governments promote, coordinate and implement housing sub-frameworks within the framework of the national policies. Provinces approve housing subsidies and projects, and give assistance to municipalities for housing development (Republic of South Africa, 2003:64). However, provinces have proactively developed their own housing policies that push the boundaries of this framework, for instance the Gauteng Investment Partnership for Housing and the Mayibuye Upgrading Programme that is intended to improve housing delivery by offering land settlement first before servicing and developing houses (Gardner, 2003:31).

The Housing Act also accredits municipalities to manage national housing programmes (Republic of South Africa, 2003:64). Municipalities can do so by actively pursuing the development of housing, addressing the issue of land, services and infrastructure provision with an intention of creating an environment

that is suitable for housing development within the area of their jurisdiction (Tissington, 2010:11).

The Housing Act further provides for the establishment of funds which are sustainable for the development of housing. The act stipulates that the National Department of Housing may allocate funds for the purpose of financing the implementation of the housing programme in provinces on condition that the programme is consistent with the national housing policy. The amount allocated by the National Department of Housing must be determined by the Minister of Housing after consultation with the Member of the Executive Committee (MEC) of Housing of that particular province that is implementing the housing programme. The act further holds authorities accountable for funds spent on housing programmes and encourages provinces to create their own provincial housing development funds (Republic of South Africa, 1997:147).

3.7.1 Seven housing strategies

The South African government came to the realisation that the provision of housing required a coordinated, multifaceted approach to alleviate poverty and maintain sustainable socioeconomic development. Seven strategies form part of the integrated approach by government to address housing challenges through mobilisation. These strategies harness the combined resources, efforts and initiatives of the commercial, private and public sectors and the communities themselves (Republic of South Africa, 1994: 27).

The housing strategies include: 1) stabilising the housing environment, 2) mobilising housing credit, 3) mobilising savings and subsidies, 4) institutional arrangements, 5) facilitating the speedy release of land, 6) servicing of land, and 7) coordinating state investment for development.

3.7.1.1 *Stabilising the housing environment*

A stable public environment is needed to maximise the benefit of state housing expenditure and mobilising private sector investment. The stabilising the housing environment strategy is intended to produce a stable and effective public

environment, as well as decrease perceived risk associated with the lower-income housing market by making sure that the rule of law is maintained, and thus making a marketplace which is favourable to provide credit to the low-income housing sector (Department of Human Settlements, 2000:9). However, the creation of a stable public environment depends on the needs, benefits and incentives linked with the improvement of people's living conditions by access to credit as well as private investment. It is crucially important that the cycle of despair in large parts of the country be converted into a cycle of development and reconstruction through an integrated and immediate intervention by both the private and public sectors in consultation with the affected communities. This will, however, need intervention by the state as whole, because housing departments are not able to deal with stabilisation of the housing environment in isolation (Republic of South Africa, 1994:28).

Government, therefore, adopted an incentive-based approach to stabilise residential areas in various dilapidated communities and unstable living environments. According to the Housing White Paper, the approach is considered to be divided into the following two parts:

- A general government strategy, comprising a unique national and provincial campaign, intended to recommence the payment for services and goods, and also to come up with a coordinated multifunctional public investment and management focus in areas where the public environment has under-performed (Republic of South Africa, 1994:28); and

- The holding of regular engagements organised by the public sector (with the State's permission) in areas where the public environment has stabilised significantly in relation to identified criteria. Housing credit will be the key focus even though private investment will still be required across the full spectrum of business activities (Republic of South Africa, 1994:28).

As part of stabilising the housing environment, "Memorandum of Understanding" and "New Deal" interventions were initiated to reduce the high risk of investing in low-income areas. Five interventions were aimed at maximising elements of trust in stabilising the housing environment. They are the Masakhane Campaign, The Mortgage Indemnity Fund, Servcon Housing Solution, Thembelisha Homes and

the National Homebuilders' Registration Council (Department of Human Settlements, 2000:28). A brief outline of these interventions is given below:

- The **Mortgage Indemnity Fund (MIF)** was created in 1995 to persuade mortgage lenders to start lending to inexpensive housing markets in a sustainable manner in areas, such as townships, where mortgage lending was neglected as a result of past circumstances. The MIF became the interface between government, banks and communities in order to close the gap that existed in the past and promote housing finance investment. The MIF was intended to compensate accredited financial institutions against loss in instances where they were unable to repossess properties owing to a breakdown in the process of law. While MIF's operations were transitory, they played a major role in ensuring that lenders committed themselves to providing finances in areas that needed it, but where finance was not readily available, and people committed themselves to meet their obligations and responsibilities (Department of Human Settlements, 2000:29).

- The **National Homebuilders' Registration Council** (NHBRC) was established in 1995 to offer guidelines for the building industry and safeguard housing consumers against unregistered building contractors. As a self-regulatory body, NHRBC gave other procedures of redress for consumers in response to increasing concerns from consumer bodies and mortgage lenders (Department of Human Settlements, 2000: 29).

- **Servcon Housing Solutions** was established in 1995 as a partnership between the public and the private sector to address the challenges associated with repossessed properties and under-performing loans held by the banks as a result of bond boycotts and defaults. Servcon's mandate was to help households which were failing to pay their loans to start paying in a manner that was equally beneficial to financial institutions and households through a process called the payment normalisation programme (Department of Human Settlements, 2000:27).

- **Thembelisha Homes** was established by government and Servcon to develop and acquire housing stock that is suitable for rightsizing in order to

37

fully implement the payment normalisation programme (Department of Human Settlements, 2000:28).

- **Masakhane Campaign** was an initiative of the Department of Housing, Constitutional Development and the office responsible for the Reconstruction and Development Programme (RDP) to transform perceptions and attitudes of the public about the rights and responsibilities of individuals, communities and local government. The initiative was intended to encourage residents to pay their rates, services mortgages and rent, and also to make a contribution in their communities as well as feel a sense of pride (Department of Human Settlements, 2000:24).

3.7.1.2 *Mobilising housing credit*

A large number of households that require housing in South Africa can afford to access housing credit, if it were available (Republic of South Africa, 1994:29). The provision of private sector housing credit is considered to be a crucial requisite for continuous improvement of housing conditions for households that qualify for mortgage finance. Related to their need for private sector credit, households also need to save. This strategy aims to advocate savings by households so that those in the lower-income sector can contribute towards improving their own housing and, more crucially, can establish their creditworthiness so that they are able to have access to housing finance in the future (Department of Human Settlements, 2009:10).

Credit complemented with savings can allow a significant number of individuals that require housing to qualify for government housing subsidies, which will provide access to formal starter housing within various tenure options. This will guarantee progressive consolidation and amalgamation of originally less formal areas with the formal urban environment (Republic of South Africa, 1994:29).

 (i)   *Short-term mobilisation*

In order to mobilise credit on a large scale within a short space of time, the following aspects will require attention: a code of conduct, targets, reporting and monitoring mechanisms, various risk interventions and incentives designed to

mobilise considerable resources and capacities of prominent banks (Republic of South Africa, 1994:29). The Housing White Paper identified short-term interventions to mobilise credit. These include:

- **Redlining and discrimination**: An agreement was reached regarding the code of conduct for mortgage loans in order to oblige banks to make sure that the credit criteria for offering loans to people and the area criteria on which the value of the security established will not be discriminatory and will remain the same regardless of the geographic area in which the property is located (Republic of South Africa, 1994:29).

- **Mortgage Indemnity Scheme (MIS):** In relation to the proposed scheme, the state will underwrite financial institutions for losses (within certain limits), where normal contractual rights to beneficially access and attach securities provided for mortgage loans cannot be exercised owing to a breakdown in the processes of law. This scheme will need concerted effort from government to deal sternly with illegal occupation of residential properties in such areas (Republic of South Africa, 1994:29).

- **Existing properties in possession (PIPs):** Financing institutions are presently withholding thousands of properties from many people in South Africa. These securities, against which mortgage loans have been provided, cannot be attached owing to a breakdown in the processes of law. There is a lack of payment by residents of these properties and the financial institutions are struggling to get assistance in accordance with the contractual stipulations and court orders. It is, therefore, crucial that the situation is stabilised so that housing developments can occur in these areas and that the necessary steps taken are aligned with the approach adopted under MIS (Republic `of South Africa, 1994:29).

- **Rightsizing**: The need has been identified for suitable institutional competence at a local level, to help borrowers who are struggling financially. A suggestion is under consideration to form service organisations together with government and mortgage lenders to help borrowers to downsize their properties so that they are more affordable. This service will be used by MIS to help residents of these properties that are purchased by the MIS to leave

their properties voluntarily and for financial institutions to help, on a continuous basis, to address cases where there are difficulties relating to non-payment. This will enable the release and the refinancing of such properties (Republic of South Africa, 1994:29).

- **Home Builders' Warranty Fund**: Government's involvement in the Home Builders' Warranty Fund would be for regulatory purposes to make sure that the involvement of previously disadvantaged, mostly black contractors takes place. This mechanism will ensure that contractors receive funding through a scheme with the assistance of government despite the lack of financial resources and insufficient track records (Republic of South Africa, 1994:29).

(ii)   *Long-term mobilisation*

In terms of the Housing Act, a variety of long-term interventions have been put in place to facilitate continuous mobilisation of suitable funding for low earners in the housing market. This involves detailed programmes to aid the development of the capability of non-traditional retail borrowers to maximise their role in the lower end of the market. Owing to the wide variety and complications of the short- and long-term interventions needed, National Housing Finance Corporation (NHFC) and National Urban Reconstruction and Housing Agency (NURCHA) were established to facilitate and promote the mobilisation of all kinds of housing credits (Republic of South Africa, 1994:30).

a). National Housing Finance Corporation

According the National Housing Code, the National Housing Finance Corporation (NHFC) was created in 1996 as a development finance institution. Its main aim was to pilot and explore methods of granting housing loans to low- and moderate-income earners in a sustainable manner. The NHFC was also expected to create a situation in which the capacities in the finance sector can be mobilised to service the under- and unserviced sector of the housing market (Department of Human Settlements, 2000:34).

To achieve this mission, the NHFC focused its efforts on three distinct areas:

- Debt finance: The NHFC ensures the availability of loans in order to establish housing institutions for households that qualify for credits.

- Equity finance: The NHFC gives fiscal support to social housing institutions and non-bank lenders.

- Capacity building: The NHFC gives support to upcoming and new institutions with institutional capacity that will allow them to get involved in the market.

The following institutions complement the NHFC:

- Industrial Development Corporation (IDC), which provides industrial development finance for and investments in industrial concerns

- Development Bank of Southern Africa (DBSA), which focuses on infrastructural development finance for provincial and local authorities, parastatals and utilities

- Khula Enterprise Finance (KEF), which makes loans for small, medium and micro enterprise development

- Land and Agricultural Bank (LAB), which specialises in financing agricultural development

b). The National Urban Reconstruction and Housing Agency

The National Urban Reconstruction and Housing Agency (NURCHA) was established in 1995 as a Presidential Lead Project to deal with previous housing backlog and inequalities. Operating as a non-profit (Section 21) company, its aim was to facilitate the development of low-cost housing, concentrating on the needs of families earning less than R1 500 per month (Department of Housing, 2000:39)

NURCHA has two categories of programmes:

Guarantee Programmes: Facilitating bridging finance and facilitating end-user finance

41

Firstly, NURCHA gives guarantees to persuade banks to create bridging finance loans to contractors and developers. For larger and established developers, NURCHA will split up to 60 per cent of the risk with the financial institution making the loan. Whereas with small and emerging contractors who are viewed to be high-risk borrowers NURCHA gives guarantees of up to 70 per cent, with the intention of encouraging lending to this critical sector of the economy. With regard to facilitating end-user finance, savings-linked credit schemes enable credit extension based on the end user's savings record. Secondly, housing institutions were created to accommodate both rental and instalment sale schemes. Finally, established banks may qualify for NURCHA's guarantees to persuade lenders to move beyond the existing lending programmes (Department of Housing, 2000:40).

c). Joint Venture Development Fund

The Joint Venture Development Fund was created by government and placed with the NHFC. In April 1998, the NHFC entered into an agreement with NURCHA to take over the fund with its approved projects on behalf of the NHFC. The government's intention with this R100 million fund was to invest it into joint ventures with developers and contractors from the private sector in order to facilitate and encourage housing in the R20 000–R60 000 range in certain areas that were not fully developed. This construction financing tool applies equally to home ownership and rent-to-buy projects in areas targeted for the promotion of social, physical and densification integration (Department of Housing, 2000:40).

3.7.1.3 *Providing subsidy assistance*

The Housing Subsidy Scheme is intended to support individuals that are struggling to meet their housing needs on their own. This capital subsidy support is offered to low-income households to allow them to have access to minimum standards of accommodation. The strategy to give subsidy assistance has led to different national housing programmes supplemented by a variety of other grants offered government departments (Department of Human Settlements, 2009:10).

3.7.1.4 *Supporting the Enhanced People's Housing Process*

The Enhanced People's Housing Process (EPHP) intends to facilitate the setting up of various logical, institutional and technical housing support mechanisms to allow communities to, on a regular basis, enhance their housing conditions. It includes setting up of organisations and institutions that will assist communities that are not able to access housing finance or to make any financial contribution towards their housing needs through savings. Communities are assisted to construct their own housing in order to increase the value of their houses, so that they can accumulate assets to leverage finance in the market (Department of Human Settlements, 2009:10).

3.7.1.5 *Rationalising institutional capacities*

The rationalising of institutional capacities is a strategy which aims to make a single transparent housing process and institutional system subsequent to the enactment of the Housing Act in 1998. The act clearly establishes a new institutional framework and clearly defines housing roles and responsibilities in the public sector (Department of Human Settlements, 2009:10). Capacity building is an important element in creating an enabling environment for national, provincial and local government spheres to fulfil their respective roles as regulators and implementers of housing policies. This includes the creation of a competent labour force, the introduction of suitable legal and policy frameworks, and the installation of suitable equipment, technology and systems for monitoring, evaluation and reporting purposes. The National Capacity Building Programme intends to make sure that provincial departments for Human Settlements and municipalities have the ability to execute their housing responsibilities (Department of Human Settlements, 2009:11).

3.7.1.6 *Facilitating the speedy release and servicing of land*

In order to meet the ever-increasing demand for housing and to achieve government's goal relating to housing development, land which is appropriate for housing must be released quickly and be serviced. Government has, therefore,

put measures in place to simplify and expedite the process of identification, release and servicing of land (Department of Human Settlements, 2009:11).

The promulgation of the Development Facilitation Act, 67 of 1995, is the most comprehensive legislation dealing with matters of land release and servicing. The approach of the National Department of Human Settlements to land delivery policy is one that advocates for the adherence to the principles of land development as stipulated in Section 3 of the Development Facilitation Act (Department of Human Settlements, 2009:11).

The Housing Development Agency (HDA), in pursuit of government's goal of economic, social and spatial integration, assists with the speedy release of land that is well situated for human settlement (Department of Human Settlements, 2009:11).

a). The Development Facilitation Act

The Development Facilitation Act, 67 of 1995, serves to expedite land development projects, particularly those relating to the provision of service land for low-income housing and to circumvent restrictions in the existing legislation (Department of Human Settlements, 2009:63).

b). Land development objectives

Land development objectives are aimed at enhancing efficient and integrated development of land through a stipulated set of objectives established at local government level as a basis for future land development (Department of Human Settlements, 2009:63).

c). Development tribunals

Premiers of all provinces are entitled (but not required) to appoint development tribunals. Tribunals are made up of officials, experts and stakeholders to amend,

review, overturn or uphold executive decisions relating to development. Tribunals also settle disputes and suspend restrictive legislation relating to development and prescribe timeframes for development decisions (Department of Human Settlements, 2009:63).

d). Development and Planning Commission

The Development and Planning Commission is mandated to formulate policy, administrative practice, frameworks and legislation relating to land-use planning, identification, assembly and release, with a specific focus on the requirements of previously disadvantaged groups and low-income people (Department of Human Settlements, 2009:64).

3.7.1.7 *Coordinating government investment in development*

Human settlement creation needs the coordinated and integrated involvement of various stakeholders both in the private and public sector. The coordination of government investment in the development aims to increase the effect of government investment and planning. As a result, investment in one sector of development complements other sectors. In addition, integrated human settlement creation needs a public/private partnership between the housing finance institution, the housing developer and the state (Department of Human Settlements, 2009:11).

The strategy aims to increase the impact of the overall government investment in development through the following mechanisms:

- **The Urban Development Framework** gives the policy framework for planning and implementing all programmes undertaken in the urban areas and for achieving coordinated and integrated budgeting. The Urban Development Framework helps to achieve a cons istent urban development approach for effective urban reconstruction and development. The framework also provides guidance with the development of policies, strategies and actions of all stakeholders in the

urban development process and directs them towards the attainment of a common vision (Department of Human Settlements, 2000:22).

- **The Rural Development Framework** is aimed at coordinating the integration of government programmes in the rural areas. The framework is intended to combat rapid and sustained rural poverty. The Department of Land Affairs is responsible for the implementation of this framework (Department of Human Settlements, 2000:22).

- **Greenfield projects** are sites that do not have pre-existing, legal occupants and the municipality has a right to select beneficiaries provided that they meet the requirements to qualify for the subsidy (Department of Human Settlements, 2000:22).

- **Brownfield projects** are sites that have been affected because of the previous usage, may be in a dilapidated state and underused, may have serious or perceived contaminated problems. They are found mainly in developed urban areas and require intervention in order to bring them to beneficial state (Ferber and Grimski, 2002:9).

- **Integrated Development Plans** is a single, inclusive strategic plan for the development of a municipality that links, integrates and coordinates plans and takes into account proposals for the development of the municipality. IDP further aligns resources and capacity of the municipality with the implementation plan and is compatible with national, provincial development plans as well as planning requirements binding on the municipality in terms of legislation. Housing planning is also included in the IDP as depicted in the following figure 3.1.
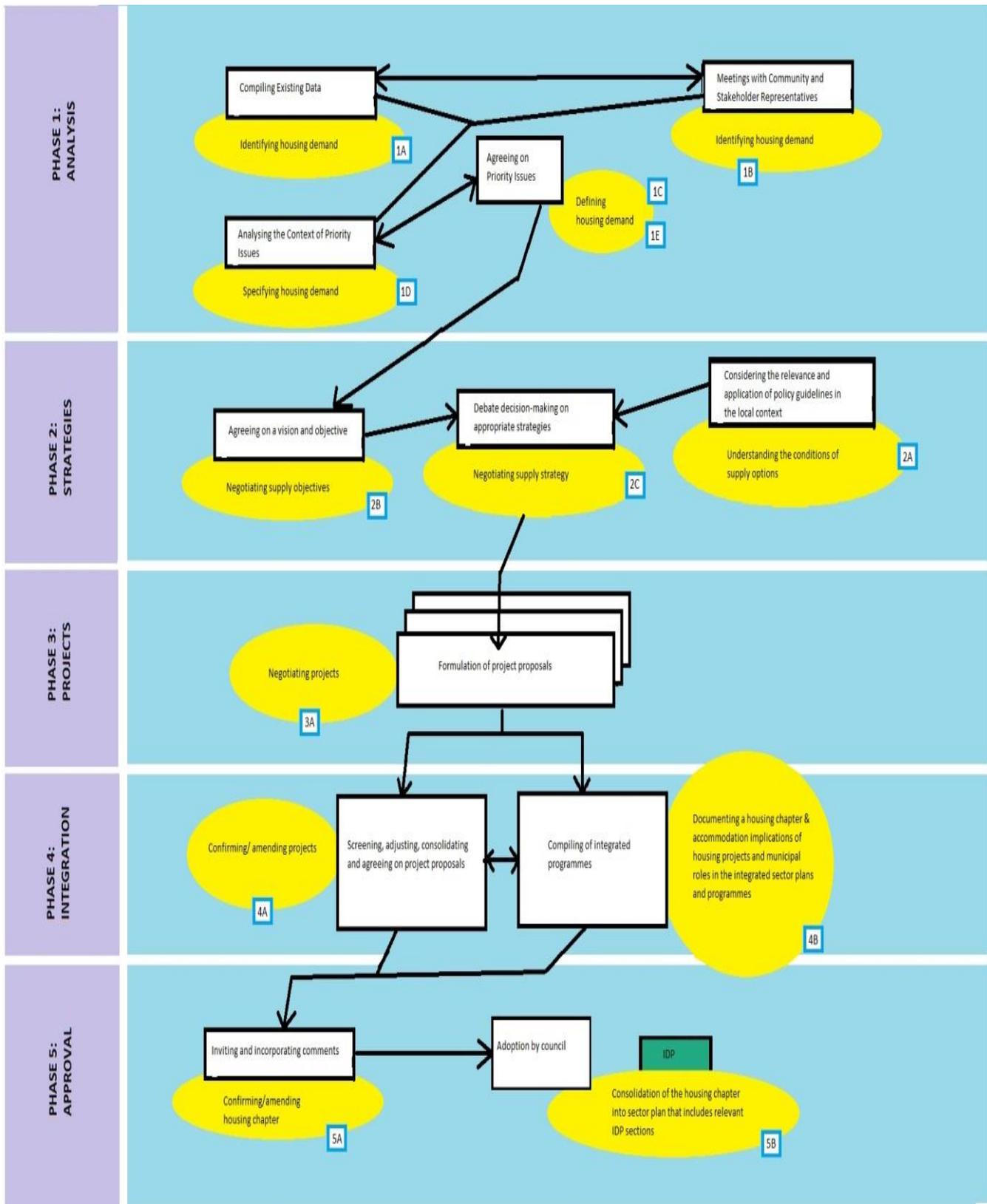
Figure 3.1: Housing in the IDP process

Source: Department of Human Settlement, 2009:8

3.8 NATIONAL HOUSING CODE, 2000

The National Housing Code published in 2000 sets out the National Housing Policy of South Africa and procedural guidelines for the effective implementation of the policy. The Code's vision for housing in South Africa echoes the definition of 'housing development' contained in the Housing Act. The National Housing Code (Department of Human Settlements, 2002:4) states that:

> the establishment and maintenance of habitable, stable and sustainable public and private residential environments to ensure viable households and communities, in areas allowing convenient access to economic opportunities and health, education and social amenities, in which all citizens and permanent residents of the Republic of South Africa will, on a progressive basis, have access to:
>
> (a) Permanent residential structures with secure tenure, ensuring internal and external privacy and providing adequate protection against the elements; and
>
> (b) Potable water, adequate sanitary facilities and domestic energy supply.

This vision is reiterated in both the Urban and Rural Development Frameworks which both extend the vision to focus on enhancing conditions for all South Africans, with particular focus on the underprivileged and those who have been previously disadvantaged.

The National Housing Code further aims "subject to financial affordability, to increase housing delivery to a peak level of 350 000 units per annum until the housing backlog are overcome". The process may take many years and the accomplishment of the goals requires government to ensure that the implementation system in all three spheres of government is within the budget allocation and delivery programme (Department of Human Settlements, 2000:5).

3.9 BREAKING NEW GROUND: A COMPREHENSIVE PLAN FOR THE DEVELOPMENT OF SUSTAINABLE HUMAN SETTLEMENTS, 2004

Breaking New Ground: A Comprehensive Plan for the Development of Sustainable Human Settlements, 2004, aims "to promote the achievement of a non-racial, integrated society through development of sustainable human settlement and quality of housing" (Department of Housing, 2008:4). Breaking New Ground describes human settlement as "well-managed entities in which economic growth and social development are in balance with the carrying capacity of the natural systems on which they depend for their existence and result in sustainable development, wealth creation, poverty alleviation and equity". The key element of this framework includes public transport planning, integrating land use, mixed land-use development, facilitating higher densities and more compact urban form in order to ensure more responsive and diverse environments, while minimising travelling distances. This is part of commitment of the South African government to develop sustainable, liveable and equitable cities (Department of Housing 2004:11).

The recent human settlement plan supports the vision of the Department of Housing which aims at promoting racial integration as well as social cohesion through the creation of quality housing and sustainable human settlements. The vision includes the increase of housing delivery as a main strategy to reduce poverty and utilising housing development as a major job creation strategy. The vision will also be used as leverage for economic growth, to promote social cohesion, to combat crime, and to improve the quality of life for the poor. Finally, it will create an entire single residential property market to minimise a duality within the housing sector by breaking the barrier between the first economy residential property boom and the second economy slump (Department of Housing, 2004:7).

3.9.1 Four pillars of sustainable human settlements

3.9.1.1 *Addressing environmental challenges*

Addressing environmental challenges entails decreasing depletion of limited resources. Housing is considered as a means of addressing the scarcity of resources efficiently through reducing the impact of pollution on the environment. Addressing environmental challenges includes greening the environment, land conservation and urban integration. Water conservation and efficient renewable energy use also need to be addressed. Waste management, resource recovery, alternative sanitation and use of waste material can be a challenge which is dealt with through the sustainable development of human settlement. Sustainable human settlements provide alternative approaches to housing rather than conventional ones that involve traditional building material such as cement with aggregate, concrete blocks, and non-renewable and non-recyclable blocks. Alternative materials and methods include using recycled cement, clay bricks and recycled, renewable and eco-friendly building materials (Darkwa, 2006:28).

3.9.1.2 *Generating economic empowerment*

Generating economic empowerment through sustainable development is intended for people from previously disadvantaged groups who are either unemployed or have lost their jobs due to retrenchment as well as public and private sector restructuring. Methods of creating economic empowerment are land provision and secure tenure (which involve rural land reform and informal settlement upgrading), entrepreneurship, job creation, and emerging contractor support. This supports the role housing plays in creating employment for emerging contractors and entrepreneurs, as previously stated. Affordable and alternative finance deals with housing subsidy programmes that are issued by government. Costs can be reduced through appropriate location of housing developments and efficient use of energy and water conservation (Darkwa 2006:28).

3.9.1.3 *Enhancing social capital*

Social capital is enhanced through sustainable development by being responsible to socio-cultural needs and practices of occupants. Sustainable settlements should have integrated housing through providing diverse accommodation in terms of tenure to deal with the individual needs of each household. Socio-cultural amenities and services should be integrated. In a sustainable human settlement, planning, designing and managing the physical environment can reduce crime and make communities safer. Community members can initiate this through various efforts, for example by developing safety plans such as community watches (Darkwa, 2006:28).

3.9.1.4 *Building institutional capacity*

Building institutional capacity through sustainable development means creating a transparent and stable environment that is inclusive and efficient. People should be held accountable for the decisions they make. Decisions should be implemented by optimising limited resources in order to achieve sustainable housing. The private and public sectors, civil societies and housing project beneficiaries play a role and should be held accountable for all the decisions they make regarding housing development. Sustainable human settlements help to establish effective, efficient communities that do not harm the environment. The stakeholders including the national, provincial and local governments, non-governmental organisations and community-based organisations need to work together to create viable communities (Darkwa, 2006:28).

3.10 INCLUSIONARY HOUSING POLICY, 2007

The Inclusionary Housing Policy, 2007, is aimed at harnessing the private sector in its initiative to deliver housing to middle- and higher-income households and also to ensure the delivery of affordable housing opportunities for low-income households in order to achieve a better socio-economic balance in residential developments as well as to make a contribution to the provision of reasonable

priced housing (Department of Housing, 2007:9). Inclusionary housing caters for households that are earning between R1 500 and R7 000 per month to enable them to qualify for mortgage finance from a financial institution that is accredited by the Provincial Housing Department (Department of Housing, 2007:11).

3.10.1 Objectives of inclusionary housing in South Africa

The key objectives of inclusionary housing are to enhance greater social inclusion integration and to do away with the highly segregated areas in the built environment in South Africa. It further intends to improve the provision of affordable housing (Department of Housing, 2007:11).

The main objectives of inclusionary housing in South African are as follows:

- To improve the provision of affordable housing (both for rent and purchase)
- To make progress in achieving racial integration in new residential developments
- To encourage the private sector delivery capacity to build affordable housing
- To improve the existing sustainable human settlement infrastructure
- To provide accommodation opportunities for low-income and middle-class income households in areas that they might be excluded from owing to dynamics in the land market
- To leverage new housing opportunities from existing stock while at the same time contributing to the densification of South African cities

3.10.2 Essence of the policy proposal

According to the Inclusionary Housing Policy, all levels of government have the following roles and responsibilities:

National Government will set direction, give certain incentives, specify certain parameters and articulate intended outcomes that will ensure that similar basic logic is followed uniformly throughout the country and that certain key guidelines and parameters are observed (Department of Housing, 2007:13).

Provincial Government will further develop policy for the provincial areas that are aligned to the national parameters (Department of Housing, 2007:13).

Local Government will draw up and implement an inclusionary housing plan, while observing parameters set by the National Government (Department of Housing, 2007:13).

3.10.3 Strategies of the Inclusionary Housing Policy

3.10.3.1 *The voluntary proactive deal-driven component*

The main characteristic of the voluntary proactive deal-driven (VPADD) approach is pro-activity, without need of any compulsion, because willing partners find each other and enter more readily into a mutually beneficial arrangement of delivering a housing environment that is socio-economically inclusive. The process is, therefore, considered to be project-driven (Department of Housing, 2007:14).

As part of their inclusionary housing plan, local authorities will identify projects that they want to implement actively with private sector partners. Usually, local government will provide land that belongs to the municipality and expedite the development application process. In return, they will generally need the provision of a considerable proportion of units that low-income households can afford (this will differ, depending on the extent of the incentives given). Private sector partners are also encouraged to be proactive and approach municipalities with project-partnerships in mind. Both national and provincial spheres of government may also become involved in proactively pursuing partnerships with the private sector. As a general rule, municipalities form part of such partnerships; however, their roles differ depending on the project (Department of Housing, 2007:15).

3.10.3.2 *The town planning-compliant component*

The town planning-compliant (TPC) component ensures that compulsory requirements are offset as far as possible by appropriate incentives in order to achieve a win-win outcome. The main instruments in the application of TPC are those that relate to the overall land-use planning and development control process. Such instruments include local planning ordinances, township establishment, town planning schemes, zoning/rezoning, development approval process and sub-division approval process (Department of Housing, 2007:15).

TPC is largely a local business which is driven and implemented locally by the application of instruments by local authorities. The essential levers are re-zonings, township establishment procedures and sub-division approval processes. The principle of TPC is that development permission and rezoning or subdivision approval are made contingent on meeting specified inclusionary requirements in return for being awarded certain development rights (Department of Housing, 2007:16).

3.11 The inclusionary housing prescription

The basis for inclusionary housing prescription is housing units, because they are simpler and immediately transparent compared to other bases of prescription such as bulk, project value and coverage. It is easy for policy makers, implementers, residents and developers to comprehend the implication of inclusionary requirements when units are used (Department of Housing, 2007:20). The percentage of housing units that are needed to meet the requirements of inclusionary housing will differ subject to specific circumstances in a local area as well as the extent of the offsetting benefits. The maximum percentage applicable in the TPC component of the strategy is 30 per cent of the unit. Compulsory prescription will thus differ between zero per cent and 30 per cent. The maximum percentage that applies in the VPADD component is 60 per cent. The inclusionary housing policy will apply to all private residential developments of three or more projects developed through rezoning, subdivision or township establishment. However, residential projects facilitated via the National Housing Subsidy Scheme

will be excluded from inclusionary requirements, but they must make up an affordable part in a wider inclusionary housing project (Department of Housing, 2007:21).

3.12 Incentives of the Inclusionary Housing Policy

- Tax benefits

The National Treasury is in the process of assessing a wide variety of alternatives to reward the private sector for providing affordable housing at a large scale. This includes the possible introduction of a tax credit scheme similar to schemes in the United States of America (USA). This will provide an incentive to suppliers of all affordable housing and not only to those who are building affordable housing in the inclusionary housing schemes (Department of Housing, 2007:22).

- Land

All levels of government will take the necessary steps to mobilise, acquire and release land that belongs to national, provincial and local government for the purpose of inclusionary housing. This process will in many instances strengthen the deal-driven component (VPADD) of the inclusionary policy. It should also be noted that the National Department of Housing is planning to put together a special purpose vehicle (SPV) aimed at assembling, acquiring and injecting land into housing. Municipal Finance Management Act (MFMA) provisions will be adhered to in the procurement and partnership arrangements (Department of Housing, 2007:22).

- Fast-tracking of approval processes

Fast-tracking of approval processes is a benefit that will be provided in deal-driven initiatives (Department of Housing, 2007:22).

- Development and use rights

Development and use rights benefits are fundamental to the CIS components of the inclusionary housing policy and include density incentives and allowances, and in certain instances use rights (Department of Housing, 2007:23).

- Bulk and link infrastructure

Local government and developers will reach an agreement regarding provision of bulk and link infrastructure in development projects. The progress of the development projects will depend on whether or not local government finances the required bulk and link infrastructure (Department of Housing, 2007:23).

- Access to government housing subsidies

Various government subsidies will be made available to help developers in meeting inclusionary housing requirements. The government subsidies are not limited to social housing subsidies and credit-linked subsidies (Department of Housing, 2007:23).

3.13 THE NATIONAL HOUSING CODE, 2009

According to Tissington (2010: 53), the revised National Housing Code, 2009, is aimed to align and adhere to the Breaking New Ground policy so that its goals and objectives can be implemented. The National Housing Code, 2009, accommodates changes that have taken place since 2000 in order to change the national housing programme into a flexible provision and guidelines. The National Housing Code sets the fundamental policy principles, guidelines, norms and standards which apply to government's different housing assistance programmes since 1994 and their updates (Department of Human Settlements, 2009:9).

The National Housing Code echoes government's vision for housing development as outlined in the Housing Act and Breaking New Ground. It states that government in response to the Constitution must take all reasonable legislative and other measures within its available resources to achieve the progressive realisation of right to access to adequate housing. The limited resources available from the funds necessitate provision of housing, security and comfort to all over

time. The policy principles set out in the White Paper on Housing further aims to provide the poor with housing with basic services such as sanitation and potable water on an equitable basis. After ten years of introducing housing programmes since 1994, a comprehensive review was undertaken of the outcome of the programme. This resulted in the Breaking New Ground. The Breaking New Ground has shifted the focus to improving the quality of housing and the housing environment by integrating communities and settlements (Department of Human Settlements, 2009:9).

The code is expected to be revised on an annual basis to make sure that it keeps up-to-date of policy and legislative changes. The code itself is extensive and deals with various housing programmes that are mentioned in the Breaking New Ground, as well as old programmes. The national housing programmes include the Individual Subsidy Programme, the Consolidation Subsidy Programme, the Provision of Social and Economic Facilities, the Emergency Housing Programme, the Integrated Residential Development Programme (IRDP, the Enhanced People's Housing Process, the Informal Settlement Upgrading Programme, the Community Residential Unit Programme, the Institutional Subsidy Programme, the Social Housing Programme, Rural Subsidy: Communal Land Right and the Residential Housing Assistance Programme) (Tissington, 2010:54).

In the following sections, the study focuses on the key programmes included in the new National Housing Code.

3.13.1 Integrated Residential Development Programme

The Integrated Residential Development Programme (IRDP) aims to expedite the development of human settlements in well-located areas that will provide easy access to urban amenities such as schools, places of employment, etc. The housing programme was influenced by the realisation that low income settlements were continuously being built in the urban periphery with no provision of social and economic amenities. In summary, the IRDP provides for the following:

a) Land acquisition

b) Servicing of stands for a variety of land uses including recreational, commercial, clinics and schools

c) Residential stands for low-, middle- and high-income groups

d) The land use and income group mix based on local planning and needs assessment

3.13.2 Upgrading of informal settlements

Informal settlements are prevalent in most developing countries owing to rapid urbanisation and the fact that their governments do not have the means to provide for the needs of all citizens, especially the poor, who come to the cities to look for employment opportunities. The upgrade of informal settlements, therefore, remains one of the most critical programmes of governments that intend to improve living conditions of a large number of poor people through provision of secure tenure and access to basic services and housing. This is because housing with basic services and secure tenure plays a huge role in improving people's social and economic conditions. In order to empower communities to be in control of their settlements and to make sure that community survival networks are not compromised, beneficiary communities must be involved throughout the project cycle. It is part of the programme's aim to promote social cohesion, stability and security as part of integrated development, and to create employment and well-being for communities that did not in the past have access to land, business services, formal housing, and social and economic amenities (Department of Human Settlements, 2009:16).

3.14 SPATIAL PLANNING AND LAND USE MANAGEMENT ACT, 2013

The Spatial Planning and Land Use Management Act, 2013 (SPLUMA) is intended to assist with the effective and efficient planning and land use management. In the context of spatial transformation agenda, it is a piece of legislation to give effect to spatial transformation (Department of Rural

Development and Land Reform, 2014:1). SPLUMA is so crucial that all physical developments which are planned in any municipal area within South Africa cannot happen without consulting it. There has been no clear definition of spatial transformation; however, Turok (2014:74) describes spatial transformation as a "major urban change or restructuring".

3.15 THE REQUIREMENTS FROM A POLICY PERSPECTIVE TO WHICH HOUSING PROGRAMMES SHOULD COMPLY

According to the National Housing Code, project-linked subsidies should comply with the following (Department of Human Settlements, 2000:197–198):

- The project-linked subsidies will be made available to developers who will be responsible for the implementation of the approved projects.

- Developers do not necessarily have to identify and initiate the projects; however, developers are required to satisfy the Provincial Housing Development Board (PHDB) that they have adequate access to financial resources as well as technical and managerial experience to implement the project. In cases where the developer constitutes a joint venture, the financial composition, legal competence and technical expertise of the joint venture will be examined by PHDB. The aim of the assessment is to ensure that the developer is technically, managerially and financially competent to implement and successfully complete the project.

- Community-based organisations, also known as community-based partners (CBP), can also act as a developer and apply for approval of a housing project or may identify an appropriate developer and enter into a project partnership with that developer. The CBP together with the developer make the application.

- The amount of the project-linked subsidy will be determined by PHDB when it approves the project. In the process, the PHDB will:

    a) determine the number of residential properties that will be constructed in the project.

b) determine the number of houses to be sold to beneficiaries in each of the three subsidy bands based on their socioeconomic profile of the beneficiary community.

c) add the subsidies payable in each of the three subsidy bands in order to arrive at the total subsidy amount payable in respect of the project.

- The total amount of the project-linked subsidies will be paid to the developer while the project is in progress.

- The developer is required to sell individual residential properties to the qualifying beneficiaries at a product price. According to the National Housing Code, qualifying beneficiaries must meet the six following requirements (Department of Human Settlements, 2000:175):

a) The applicant must be married or cohabiting with another person, or must be single with proven dependants who rely on the applicant's financial support.

b) The applicant must be a legal South African resident.

c) The applicant must be legally competent to enter into a contract, implying that he or she must be above the age of 21, if not married.

d) The gross monthly household income of the applicant must not exceed R3 500 per month.

e) The beneficiary or spouse must not have received a subsidy from the government to purchase a house previously.

f) The applicant must be a property owner for the first time.

- A developer must disclose all the financial assistance that may have been received in order for it to be deducted from the total subsidy amount.

- Housing projects should be based on an inclusive agreement between all relevant stakeholders involved in or directly affected by such a project. These include suppliers of infrastructure, beneficiary communities, housing products, and services and finance on the specific project. This is part of the social impact that falls under the provincial requirement; therefore, the MEC of each of the provincial governments must specify the consultative requirement for the purpose of a housing project. The MEC has powers to

60

relax, strengthen or remove such requirements in any manner deemed appropriate.

- Projects will only be considered if there is assurance that the local municipality will supply all bulk and connector services required for the project.

- Housing projects have to address the requirements of the previously disadvantaged communities, and new developments should align to the housing policy and strategy.

- There must be an increase in economic and social benefits to the beneficiary community, local participation, and local initiative in and contribution to the planning and implementation of the project.

- Project planning and implementation must create an environment that is conducive to all parties meeting their respective obligations.

- Local initiative, participation in, and contribution to the planning and implementation of social and physical development should be maximised.

3.15.1 **Responsibilities of the developer**

According to the National Housing Code, the developer for the project-linked subsidies is required to:

a)   identify the land, which should:

- afford easy access to health care and education facilities, and employment centres.

- be serviced by sufficient bulk and/or connector services or must be capable of being provided bulk and/or connector services within a reasonable period. Preference will be given to those who have land that is serviced by sufficient bulk and/or connector services.

- have access to sufficient transportation facilities.

- direct development towards existing economic opportunities and should enhance economic efficiency and spatial integration of towns and cities.

- must be consistent with the national housing policy (Department of Human Settlements, 2000:198–199).

  After the project agreement has been entered into between the PHDB and the developer, the following should take place:

a) **Sale agreement**

- The developer shall sell all residential properties in the development to qualifying beneficiaries within such time period that may be agreed on between the developer and PHDB. In the process of selling residential properties, the developer must take all the necessary steps to ensure that they are sold to qualifying beneficiaries.

- The sale must be concluded in terms of the written sale agreement complying with the provisions of any relevant laws.

- The sale agreement must state the agreed amount to be paid to the developer (Department of Human Settlements, 2000:207).

b) **Defining the sale price**

- In cases where the property purchased is funded entirely out of the subsidy amount, the developer may agree with the beneficiary that legal costs relating to the transaction also be paid out of the subsidy amount.

- In cases where loan finance is needed in addition to the subsidy amount, the legal costs may not be paid out of the subsidy amount.

- The selling price of the property by the developer where no finance is required will be the agreed product price as set out in the subsidy agreement, less the net amount of the subsidy for which the beneficiary qualifies.

- Where the selling price of the property needs loan finance because the property is not funded entirely out of the subsidy, the selling price must be an agreed product price set out in the subsidy agreement, less the amount of the subsidy which the beneficiaries qualify to receive from the PHDB (Department of Human Settlements, 2000:208).

3.15.2 Application forms to be completed

The developer must make sure that beneficiaries complete the application form for the grant of a project-linked subsidy.

a)   The Provincial Housing Development Board

- The PHDB shall consider the application from the Provincial Housing Development Board Secretariat ("Secretariat"), consider the application and advise the developer of the decision within 21 days after the Secretariat's acknowledgement of receipt of the application form.

- If the application is rejected the PHDB shall, via the Secretariat, give reasons in writing (Department of Human Settlements, 2000:209).

b)   Database

If any application is approved, the Secretariat shall record the name and identity number of the applicant and his or her spouse already appeared on the National Housing Data Base (database). Upon approval of the application by the PHDB, the developer must proceed to:

- transfer the property to the beneficiary.

- Complete the housing product in accordance with the subsidy agreement on the relevant property (Department of Human Settlements, 2000:209).

3.16   CONCLUSION

This chapter has provided an overview of the challenges that the South African housing sector faced prior to the democratic government coming into power in 1994. These challenges were due to severe housing backlogs caused by a rapid growth of informal settlements resulting from the apartheid city structuring which created social and economic divisions. In 1991, National Housing Forum as established with the intention of addressing the housing crisis in South Africa with a sound public policy planning.

The policies included the White Paper: A New Housing Policy and Strategy for South Africa. This policy aimed at delivering 350 000 houses per annum in order to eliminate housing backlogs. The Constitution also spelt out the rights of citizens, such as the right to housing.

In 1997, the Housing Act was enacted as a continuation of guidelines, programmes and provisions that are stipulated in the White Paper. The act outlines the role and responsibilities of the national, provincial and local governments with respect to provision of housing. This was a consequence of the realisation that the provision of housing required a coordinated, multifaceted approach to alleviate poverty and maintain sustainable and socioeconomic development. As part of the integrated approach, government introduced seven strategies to address housing challenges through mobilisation and harnessed the combined resources, efforts and initiatives of communities and the private, commercial and public sectors.

In 2000, government published the National Housing Code which sets out the procedural guidelines for the effective implementation of the policy. The Code's vision for housing in South Africa echoes the definition for 'housing development' contained in the Housing Act. The code promotes the establishment and maintenance of habitable, stable and sustainable public and private residential environments.

In 2004, a comprehensive plan for the development of sustainable human settlements called Breaking New Ground came into effect. Its aim was to promote

a non-racial, integrated society through development of sustainable human settlements and quality housing. The Breaking New Ground has four pillars of sustainable human settlement, which include addressing environmental challenges, generating economic empowerment, enhancing social capital and building institutional capacity.

In 2007, the Inclusionary Housing Policy came into effect to harness private initiative in order to deliver housing for middle- and higher-income households and also to ensure provision of affordable housing opportunities for low-income households. The policy has two strategies, namely a voluntary proactive deal-driven component and a town planning complaint component. These strategies intend to achieve a better socio-economic balance in residential developments as well as to contribute to the provision of affordable housing.

In 2009, the National Housing Code was revised in order to accommodate changes since 2000 and reiterates government's vision for housing development as outlined in the Housing Act and Breaking New Ground. The National Housing Code sets the underlying policy principles, guidelines, norms and standards which apply to government's various housing assistance programmes introduced since 1994.

The chapter concludes with the requirements from a policy perspective to which housing programmes should comply. The next chapter discusses research design and methodology.

CHAPTER 4

RESEARCH DESIGN AND METHODOLOGY

4.1 INTRODUCTION

Different evaluation studies use different research approaches depending on the nature, purpose and questions of the study. Since the study is evaluating the implementation process of the Cornubia Housing Programme, a qualitative approach using a case study design was adopted.

4 .2 RESEARCH DESIGN

The design was adopted because, as Stake (2004: 96) indicates, it is suitable for evaluation studies that focus on programme implementation and delivery.

4.2.1 Case study design

A qualitative case study is an approach to research that facilitates exploration of a phenomenon within its context using different data sources. This ensures that the issue is not explored with one lens, but instead with different lenses to enable multiple facets of the phenomenon to be revealed and understood (Baxter & Jack, 2008:544). Stake (1995: xi) explains it as "the study of the particularity and complexity of a single case, coming to understand its activity within important circumstances".

In this study, the case study design assisted in capturing views and interests of different stakeholders that were involved in the implementation of the Cornubia Housing Programme. Stake (1995:3) advocates for different types of case studies.

4.2.1.1 *Types of case studies*

Stake (1995:3) distinguishes between different kinds of case studies: the intrinsic case study, instrumental case study and collective case study.

The intrinsic case study is used by researchers who have a genuine interest in the case. The study is not undertaken to represent other cases, but because the case is of particular interest to the researcher (Baxter & Jack, 2008:548).

The instrumental case study is conducted to provide a general understanding of a phenomenon using a particular case (Harling, 2002:2). The case is of secondary interest as it plays a supportive role by facilitating comprehension of something else and to pursue external factors. As a result, the case may or may not be seen as typical of other cases. The instrumental case study assists in providing an insight into the issue or in refining the theory (Baxter & Jack, 2008: 549).

Baxter & Jack (2008:549) defines the collective case study as a group of case studies that are similar in nature and serve as a description of multiple case studies. In other words, the collective case study may be explained as an extension of an instrumental case study in order to better understand a phenomenon. Stake (2000:437) explains further: "With even less intrinsic interest in one particular case, a researcher may jointly study a number of cases in order to investigate a phenomenon, population, or general condition... It is instrumental study extended to several cases."

In this study, the instrumental case study was used in order to provide a general understanding of the implementation process of a housing programme between the public and private sectors with the Cornubia Housing Programme, serving as a case study, as a secondary interest.

4.2.1.2 *The aims of case study design*

Stake (1995:8) summarises the aims of the case study by stating that:

> the real business of a case study is particularisation, not generalisation.
> We take a particular case and come to know it well, not primarily as to how it is

67

different from others but what it is, what it does. There is emphasis on uniqueness, and that implies knowledge of others that the case is different from, but the main emphasis is on understanding the case itself.

Case studies are intended to give an in-depth understanding of a single or a small number of cases. Furthermore, case studies focus on the uniqueness of the case as well as on lessons that can be learned from cases. In this study, the case study assisted the researcher in obtaining an in-depth understanding of the implementation process of the Cornubia Housing Programme. It also facilitated the researcher's interaction with those who were involved in the implementation of the housing provision process.

It is worth noting that the case study approach has advantages and limitations.

4.2.1.3 *Advantages of case study design in programme evaluation*

Case studies are essential in capturing different views of different stakeholders (Stake, 1995:12). Since stakeholders capture a diversity of views, the use of a case study in this study assisted in providing a holistic picture of the housing programme. Case studies are also able to give a detailed picture of phenomena, such as, in this case, programme operations, which led the researcher to a deeper understanding of how and why programme operations relate to outcome. Unlike other research designs, case studies are most helpful in acquiring experiential knowledge. The evaluators in this particular study reported on what they experienced and the researcher thus gained an insight into the feelings that stakeholders had about the programme. Martinson and O'Brien (2010:164) state that it was these factors that made a case study the ideal choice for understanding the housing programme implementation process Furthermore, a case study, like other research designs, allows a presentation of data from multiple sources such as observation, interviews, document reviews and surveys (Neale, Thapa & Boyce, 2006: 4).

4.2.1.4 *Limitations of the case study design in the implementation evaluation*

Case studies, firstly, lack generalisation, therefore, cannot be statistically representative. This implies that it is difficult to generalise a case study from one case to another (Neale, Thapa & Boyce, 2006: 4). Secondly, case studies can be time consuming and costly because of multiple source of data, the depth of data and the common desire to include multiple sites (Martinson & O'Brien, 2010:164). Thirdly, they can be lengthy because they provide detailed information about the case in a narrative form which the reader may find difficult to understand. Finally, they lack rigour because qualitative research is still considered to be unscientific as researchers may not have been systematic in their data collection or may have allowed bias to affect their findings (Neale, Thapa & Boyce, 2006: 4).

In this study, the use of a qualitative case study was informed by the research topic, namely evaluating the implementation process of the Cornubia Housing Programme. The case study assisted in the understanding of the phenomenon (implementation process) and the interpretation of meanings within the context and through the eyes of various stakeholders that were involved in the programme. This was done by being open and flexible in accommodating different views of stakeholders in the Cornubia Housing Programme.

4.3 RESEARCH METHODOLOGY

4.3.1 The research site

The study was conducted in the eThekwini Metropolitan Municipality situated in KwaZulu-Natal, South Africa. The eThekwini Metropolitan Municipality falls under Category A (The Local Government Handbook,2012-2014). The municipality consists of a council and administration. The Council comprises 200 councillors (100 ward councillors and 100 councillors reflecting proportional representation (PR) from different political parties such as the African National Congress (ANC), Democratic Alliance (DA), Inkatha Freedom Party (IFP), National Freedom Party (NFP), and Minority Party (MF). The eThekwini Municipality has a mayor who is

also the chairperson of the Executive Committee (Exco) of the Council and a speaker who is also the chairperson of the Council. The city manager is the administrative head and the accounting officer of the municipality (South African Human Right Commission, year unknown: 4).

The municipality has legislative and executive authority to govern local government affairs of its community provided that it is in compliance with national and provincial legislation found in the South African Constitution. The municipality's responsibility is to carry out the constitutional mandate by striving, within its financial and administrative capacity, to achieve the following objectives of the local governments:

- To enhance social and economic development

- To ensure there is service delivery to communities in a sustainable manner

- To provide democratic and accountable government for local communities

- To provide safe and healthy environments

- To encourage the involvement of communities and local organisations in matters concerning local government (South African Human Right Commission, year unknown: 5).

4.3.2 The setting

The Cornubia Integrated Human Settlement is one of the three national priority projects and it is strategically situated in the Northern Corridor of eThekwini and lies adjacent to Umhlanga in the east, Mount Edgecombe in the south, Ottawa in the west and Waterloo in the north (Tongaat Hulett 2014:1). The settlement is bordered by the N2 freeway, the M41 arterial and Ohlanga River, seven kilometres south of the KSIA (Maharaj, year unknown: 1). For the exact location of the Cornubia Housing Programme, see Figure 4.1.
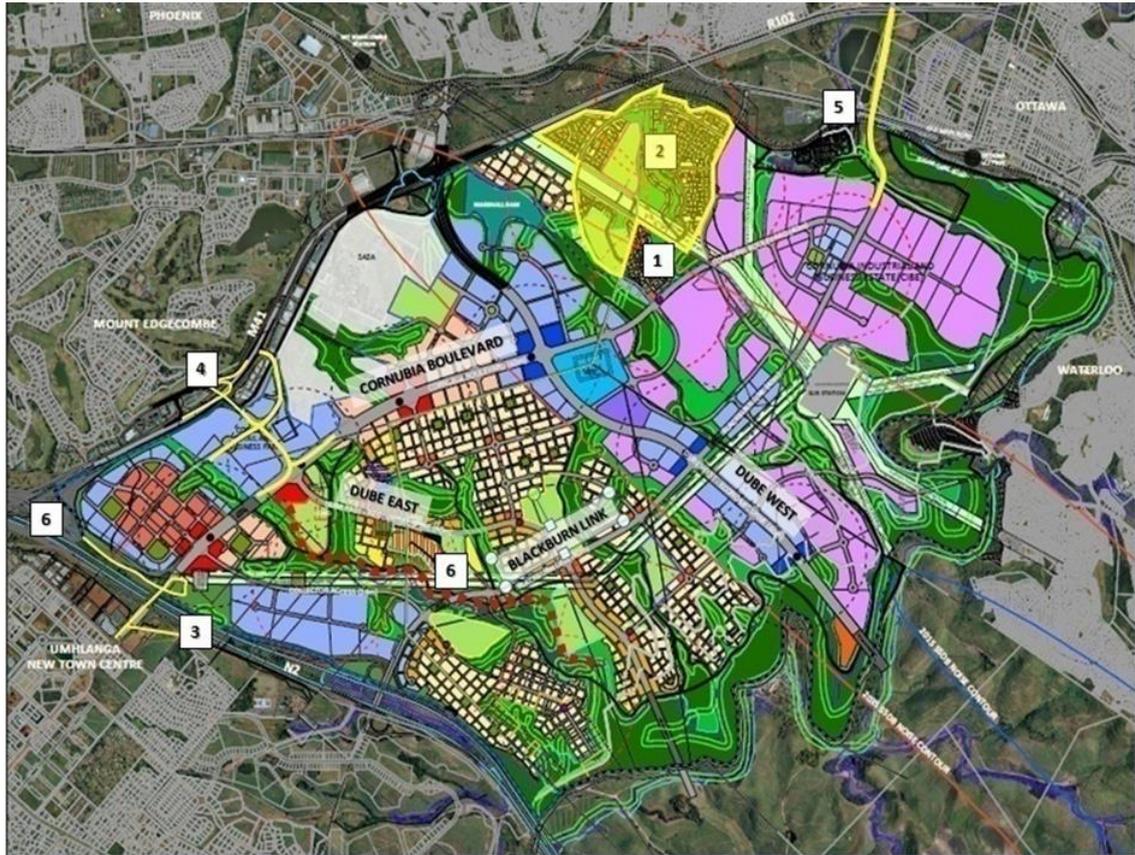
Figure 4.1: The location of the Cornubia Housing Programme

Source: Tongaat Hulett (2014:10)

Legend
1. **Phase 1A Housing**
2. **Phase 1B Housing**
3. **N2 access and bridge**
4. **Flanders Interchange and Link Main Road**
5. **Blackburn/R102 Link Blackburn/102 Link**
6. **N2/M41 Interchange Upgrade-Gateway**

4.4 SELECTION OF THE CASE STUDY

A single case study was selected. The selection of a single case study, the Cornubia Housing Programme, flowed from the research topic, which was to evaluate the implementation process of the Cornubia Housing Programme. The

sampling adopted for the case study was purposive in order to select certain individuals those cases that represent important variations across the group of people that was involved in the implementation of the programme as a whole (Martinson & O'Brien, 2010:171).

4.5 DATA COLLECTION TECHNIQUES

The most appropriate research methods used for evaluating the implementation process using the case study approach were interviewing, document reviews and programme data. The use of multiple sources was supported by Martinson and O'Brien (2010:174), who stated that "the richness and complexity of the data collected in case studies distinguishes them from many other forms of qualitative research".

4.5.1 Interviews

The interviews were conducted with various stakeholders from THD, eThekwini Municipality and KwaZulu-Natal Provincial Department of Human Settlements that were involved in the implementation of the Cornubia Housing Programme. The interviews were semi-structured and the questions were open-ended. In the interview, key respondents were asked to comment on the implementation process of the Cornubia Housing Programme, challenges that were faced during the implementation process and corrective measures that were taken. The interviews were conducted on a one-on-one basis, were recorded on tape, and lasted for approximately 60 to 90 minutes each in respondents' respective offices. The interviews were conducted over a period of two months: November and December 2014. The selection criteria of respondents that were interviewed during the study were as follows:

- Stakeholders who would shed light on the implementation of the Cornubia Housing Programme

- Stakeholders who held positions that had something to do with the implementation of the Cornubia Housing Programme
- Stakeholders who were willing to be interviewed

4.5.2 Document reviews and programme data

Documents play an essential role in complementing data obtained from interviews and other sources that are important for the case study (Martinson & O'Brien, 2010:174). Various documents relating to the implementation of the Cornubia Housing Programme were consulted. These documents included books, journals and internet articles, which were presented in the literature review in Chapter 2. Government legislation on housing was also consulted and forms part of the legislative framework in Chapter 3. In addition, programme data such as the Cornubia Framework Plan and Phase 1 Design Report and Status Quo Report: Cornubia Phase 1A Housing Project form part of the data presentation and analysis. Some of the documents and programme data were available in electronic format and some were in hard copy.

4.5.3 Challenges

The challenges encountered during the data collection include the non-availability of some of the respondents who had agreed to be part of the study. The other challenge was the refusal by officials from the KwaZulu-Natal Department of Human Settlements to share documents on the implementation of the Cornubia Housing Programme because they regarded them as a confidential.

4.6 CONCLUSION

This chapter has focused on the evaluation design and methodology used in the implementation process of the Cornubia Housing Programme. The use of the case

study approach was helpful as the researcher was able to obtain a holistic picture of the implementation process of the Cornubia Housing Programme in the eThekwini Municipality. This was done through document analysis and interviews that were conducted with different stakeholders involved in the implementation process of the programme. The interviews were semi-structured and the questions were open-ended. Criteria were set to select respondents that were interviewed for the study.

The next chapter focuses on the presentation and analysis of data that were collected during the interviews and document reviews.

CHAPTER 5

DATA PRESENTATION

5.1 INTRODUCTION

This chapter presents the data collected during the evaluation of the Cornubia Housing Programme. The data describes the implementation process, problems experienced and corrective actions taken, in as much detail as possible in a case study analysis. The data presentation will mostly include in-depth interviews with selected experts as well as document reviews and programme data.

5.2 BACKGROUND TO CORNUBIA HOUSING PROGRAMME

The housing development on the 1 200 hectare site includes 15 000 fully subsidised houses linked with social infrastructure, commercial and industrial developments as well as 10 000 houses to be sold by the eThekwini Municipality. The main aim of the development is to bring people from lower socio-economic strata closer to employment opportunities by systematically aligning various financial, human, institutional and managerial resources in order to improve provision of service delivery (Tongaat Hulett, 2014:1).

The implementation of the Cornubia Integrated Human Settlement is managed through intergovernmental relations consisting of representatives from three levels of government, namely national, provincial and local. The implementation of the programme was to ensure that key components of the programme give effect to the strategic goals of the constitutional obligations of government and its priority of making a better life for all. The first phase consisting of 482 housing units is already complete and the units were allocated to low-income households from different informal settlements in the eThekwini region on 6 April 2014. Beneficiaries are occupying double-storey, semi-detached units and were given freehold tenure (Tongaat Hulett, 2014:1–2).

Cornubia represents the largest public-private partnership (PPP) between eThekwini Municipality and THD. As part of the integrated human settlement development of eThekwini and KwaZulu-Natal, the multi-million rand project is designed as a mixed-income, mixed-use development, incorporating residential, commercial, industrial and open space uses. As part of the PPP, THD agreed to sell 659 hectares of land to the eThekwini Municipality for the construction of subsidised housing. On the balance of the land, THD is applying a variety of industrial, commercial and market-related residential uses to complement and support the lower-income housing (Tongaat Hulett, 2014:2).

The project will be implemented in different phases, spanning a period of 20 years. The overall development will deliver housing products and typologies, including terraced houses, duplexes, multi-storey apartments, three- to four-storey walk-ups, 15 000 subsidised houses and commercial bulks. The development will also include public open space in the form of gardens, landscaped parks, rehabilitated wetlands and the Durban Metropolitan Open Space System (DMOSS) (Tongaat Hulett, 2014:2).

5.3 THE SUMMARY OF THE PROGRESS TO DATE OF THE IMPLEMENTATION PROCESS OF THE CORNUBIA HOUSING PROGRAMME

The internal services installed in the Cornubia Housing Programme were the following:

- Sanitation   : waterborne as per municipal standards

- Water   : individual metered connections

- Stormwater   : piped stormwater drainage

- Electricity   : readi-board

- Roads   : black-top roads as per municipal standards

- Top-structure :double storey (50 square metres), terraced houses aimed at creating a fine grain, walkable residential precinct structured around courtyards and well-defined streets as a basis for building a sense of community

Table 5.1: Resource allocation for the Cornubia Housing Programme

MILESTONE – PHASE 1A	AMOUNT SPENT	RESPONSIBILITY
Land acquisition	R366, 777.190	KwaZulu-Natal Department of Human Settlements
Installation of bulk services	R6 000 000	EThekwini Metropolitan Municipality
Environmental approval	Approved	KwaZulu-Natal Department of Environmental Affairs
Engineering design	R97 200	SLB Consulting
NHRBC enrollment	R408 240	National House Builders' Registration Council
Township establishment	Approved	Corporate Governance and Traditional Affairs
Township registration	General plan was approved	Corporate Governance and Traditional Affairs
Appointment of a contractor	Approved	Gralio Precast (Pty) Ltd
Internal services	R25 000 per house	Gralio Precast (Pty) Ltd
Top structures	R120 000 per house	Gralio Precast (Pty) Ltd

As soon as the construction of the Cornubia Housing Programme was completed, 299 housing units were allocated to beneficiaries from informal settlements and they were classified into the following categories, as per the housing allocation policy:

- Essential relocations taking into account health and safety issues

- People living in transit camps

- Partial relocations from approved upgrade projects of the Department of Human Settlements

- People living in Blackburn and other closely located informal settlements

- People with special needs (the aged, people with disabilities and child-headed households)

- Strategic relocations (in the way of future developments that have economic, social or environmental significance)

- Minority groups

The eThekwini Municipality further allocated 183 housing units to beneficiaries from the following informal settlements:

- Stonebridge (38 beneficiaries)

- Constantia Road (73 beneficiaries)

- NPA/Zamani (48 beneficiaries)

The remaining 24 housing units were allocated to minority groups, namely Indians, whites and coloureds for representation on the basis of demographics. Representation was determined by the percentage of a particular race in the eThekwini region. The overall criteria were approved by the eThekwini Municipal Council.

The land that was earmarked to build the Cornubia Housing Policy has the following facilities:

5.3.1 Education facilities

In terms of education facilities, the planning for primary and high schools has been finalised. Temporary schools have been operational since January 2015. The KwaZulu-Natal Department of Education bought 25 mobile classrooms and were on site by December 2014. Prior to the installation of the educational facilities, the Department of Education was expected to provide funding to transport learners to nearby schools, but did not do so (KwaZulu-Natal Department of Human Settlements, 2014:7). As a result, some learners dropped out of school because they were struggling to afford taxi fares.

Adult Basic Education Training (ABET) is also on site and commenced services on 1 July 2014 at the Social and Economic Development (SED) offices. ABET is assessed by the Department of Education and operates with the assistance of the eThekwini Skills Development Unit (KwaZulu-Natal Department of Human Settlements, 2014:8).

5.3.2 Health facilities

There are no major health facilities planned in the Cornubia Area as the KwaZulu-Natal Provincial Department of Health recently built a regional hospital for Bridge City in close proximity to the housing development. There is also an existing clinic in Blackburn Settlement whose services have been extended to accommodate Cornubia residents. Moreover, a mobile clinic is available on site every second week of the month (KwaZulu-Natal Department of Human Settlements, 2014:8).

5.3.3 Transportation facilities

The Cornubia Housing Programme is within reach of the Bus Rapid Transport routes passing through the Cornubia area. The Cornubia route connects Umhlanga with Waterloo, Phoenix and Dube Trade Port north of KSIA (KwaZulu-Natal Department of Human Settlements, 2014:8).

a). N2/M41

The construction of the N2/M41 interchange is progressing well, following the agreement by all stakeholders to share the operational costs of R900 million. The South African National Roads Agency (SANRAL) is project managing the upgrade of the interchange (KwaZulu-Natal Department of Human Settlements, 2014:8).

b). R102 road and bridge towards Ottawa-Blackburn Link

The Blackburn Link is managed by THD and is 40 per cent complete. Agreements need to be reached between eThekwini Municipality, THD and KwaZulu-Natal Provincial Department of Transport regarding the funding of the current deficit of R50 million. The KwaZulu-Natal Provincial Department of Transport is refusing to provide funding as it views the road in question to be municipal (KwaZulu-Natal Department of Human Settlements, 2014:8).

5.3.4 Social and economic development

The Cornubia Incubation and Empowerment Centre was established to facilitate, package and drive the implementation of Social and Economic Development (SED) programmes. The multipurpose hall was completed in June 2015 (KwaZulu-Natal Department of Human Settlements, 2014:8).

Play lot equipment for children has been arranged for one open space area within a priority zone earmarked for immediate occupation (KwaZulu-Natal Department of Human Settlement, 2014:8).

5.3.5 Employment opportunities in Cornubia Industrial and Business Estates

The entire development of Cornubia Industrial and Business Estates (CIBE) is expected to create approximately 43 000 new sustainable jobs and 387 000 short-term construction jobs over a 15-year period. THD has sold 63 hectares of the

serviced land, leaving only 17 hectares of land still available for purchase. In 2014, three light industry factories were completed and four are due to be completed in 2015. This business park is a light industry zone and has major industry leaders taking ownership of this development opportunity. The Cornubia Housing Programme's close proximity to KSIA will further increase employment opportunities for the beneficiaries of the Cornubia Housing Programme.

5.4 Objective One: To evaluate challenges experienced during the implementation process of the Cornubia Housing Programme

In order to address the first objective of the study, which was to evaluate challenges experienced during the implementation process of the Cornubia Housing Programme, data were gathered from interviews conducted with role players in the project, namely the project manager, an official from the provincial government, and an official from the eThekwini Municipality.

5.4.1 Interview result with the project manager from Tongaat Hulett Development

The project manager stated that the first challenge was the deviations from the original plan which was drafted in the Cornubia Framework Plan, owing to a six-year gap between programme design and implementation of the housing programme. The Cornubia Housing Programme was conceptualised in 2004 and the implementation process commenced on 28 July 2010 and was finalised in March 2014. The changes to the implementation of the housing programme were made to accommodate new legislation which had not been enacted at the time of the conceptualisation of the Cornubia Framework Plan. The Project Manager further stated that many decisions and assumptions about implementing the housing programme were made on the basis of the information that was available to stakeholders (from both the public and private sectors) during the design of the housing programme. The details of the actual implementation of the housing programme only became clear during the implementation process.

81

The second challenge was the delays in the completion of the Cornubia Housing Programme implementation process, which resulted in the eThekwini Municipality incurring additional costs to finish the housing programme. The delays in the completion compelled the eThekwini Metropolitan Municipality to inject into the project additional funds of approximately R16 million from the initial budget of R43 million that was allocated for the housing programme. Such delays were due to the necessity for the re-alignment of roads, which planners previously thought would lead into the N2 freeway. The N2 freeway does not belong to the eThekwini Metropolitan Municipality or THD, but is owned by SANRAL, and the latter was against the re-alignment.

5.4.2 Interview results from an official in the KwaZulu-Natal Provincial Department of Human Settlements

The official from the KwaZulu-Natal Provincial Department of Human Settlements mentioned that challenges experienced during the implementation of the Cornubia Housing Programme included poor topographic and geo-technical conditions of the land used to build the Cornubia Housing Programme. The poor topographic and geo-technical condition was due to the conversion of agricultural land that had been used to plant sugarcane into a building site for houses. The ground conditions were, therefore, not suitable to build housing, roads, and other infrastructure. The poor topographic and geo-technical condition resulted in a need for design changes in the housing structures after the eThekwini Municipality had rehabilitated the land at an additional cost of approximately R15 million. The late detection of the poor condition of the ground was the result of eThekwini Metropolitan Municipality's failure to test the land during the design phase in order to assess its suitability as a housing site.

The official stated that the sub-contractors had, in dealing with topographic and geo-technical challenges, removed the clay and replaced it with rocks and other suitable material to allow the building of housing units. The eThekwini Metropolitan Municipality had, however, been required to obtain permission from the KwaZulu-

Natal Provincial Department of Environmental Affairs to remove the clay and replace it with rocks in order to be able to build housing units.

Another challenge was noise contours owing to the proximity of the housing programme to the newly established KSIA. The noise contours resulted in changes in the design layout during the implementation phase of the housing programme, which forced the eThekwini Municipality to reduce the number of housing units from 486 to 482.

As the implementation process of the Cornubia Housing Programme progressed, eThekwini Metropolitan Municipality Environment Division implemented a mitigation strategy to reduce noise pollution by imposing restrictions to 203555 decibel in order to sanitise land used for residential purposes. The contractors were, thereafter, required to use special building material to prevent the exposure of the Cornubia Housing Programme beneficiaries from air pollution coming from KSIA as well as local businesses.

The official mentioned a further challenge experienced during the implementation of the Cornubia Housing Programme, namely the industrial strike action by workers that were contracted to build different phases of the Cornubia Housing Programme. The strike action was triggered by a wage dispute between workers and their respective employers, as workers were being paid different hourly rates since they were governed by different pieces of legislation. The strike action resulted in work stoppages during the construction of the housing programme.

The political leadership from eThekwini Municipality eventually intervened in the wage dispute between workers and their employers with the intention to resolve the strike action. The matter was resolved amicably between the employers and workers, whereafter the implementation of the housing programme proceeded.

5.4.3 Interview results from an official in the eThekwini Municipality

The challenge experienced by the official from eThekwini Metropolitan Municipality in relation to the implementation of the Cornubia Housing Programme concerned the allocation of housing to beneficiaries by the housing allocation committee. The

municipality had set an additional criterion which was used in allocating housing to all the qualifying beneficiaries. The additional criterion used to select beneficiaries was informed by the guidelines that targeted the most vulnerable people across the eThekwini region. Vulnerable people included senior citizens, people with disabilities, child-headed households, people living in transit camps, and people living in dangerous areas, e.g. in the vicinity of power-lines and in low-lying flooding areas. The municipality set up this additional criterion because the demand for housing was such that it had found itself unable to provide housing units to all the people who met the requirements of the National Housing Code. In 2014, there were approximately 420 000 families that were in desperate need of proper housing. The Cornubia Housing Programme Phase 1A was only able to accommodate 482 families.

Another criterion used by eThekwini Municipality was to include people from the minority groups such as Indians, whites and coloureds to obtain representation on the basis of demographics. Representation was determined by the percentage of a particular race in the eThekwini region. This criterion was approved by the eThekwini Municipal Council.

Upon the selection of beneficiaries, they were required to submit their names for inclusion in the database. The allocation of houses did not proceed in the manner expected when the housing programme was completed as some beneficiaries who had been earmarked for houses were not in possession of the required documentation such as identity documents (IDs) or affidavits stating that beneficiaries were unemployed or earned a certain salary.

Some beneficiaries who were residing in the south of Durban declined their allocation of housing from the Cornubia Housing Programme, which is situated in the north of Durban. The reason for declining was that they did not want to be uprooted from the areas where they were employed or where their relatives lived in the south of Durban. The relocation of beneficiaries to double-storey housing units proved to be a challenge, especially for those beneficiaries with physical disabilities – this was another factor preventing beneficiaries from occupying their allocated housing units. Some beneficiaries died prior to the completion of the Cornubia Housing Programme. Upon completion of the housing programme, some

beneficiaries were earning more than R3 500, which was the required income limit set for beneficiaries, as specified in the National Housing Code.

In addressing the challenges relating to the allocation process of housing units to beneficiaries, eThekwini Municipality with the assistance of the KwaZulu-Natal Department of Education conducted consumer education programmes for all the beneficiaries of the Cornubia Housing Programme. The consumer education programme was aimed at educating beneficiaries about the processes that need to be followed in the allocation of the housing units, such as the provision of the correct documentation prior to the occupation of housing units. The eThekwini Municipality further assisted those that did not have the required legal documents, such as IDs, by providing them with transport to take them to the Department of Home Affairs in order to obtain the needed documents. However, some beneficiaries did not go to the Department of Home Affairs as they were working; hence, further housing units remained unoccupied.

The challenges relating to the allocation process of housing units resulted in the non-occupation of 43 housing units. The non-occupation of housing units led to an illegal invasion by members of the Umkhonto we Sizwe Military Veteran Association (MKMVA) in early November 2014. In addressing the illegal invasion of vacant housing units by MKMVA members, eThekwini Metropolitan Municipality took the matter to the Durban Magistrates' Court to have MKMVA members evicted from housing units that they were illegally occupying.

Another challenge in the implementation of the Cornubia Housing Programme was the delays in the completion of facilities to be utilised by residents of Cornubia. The facilities included schools, clinics and community halls in the Cornubia area. Such facilities fell outside the mandate of the eThekwini Metropolitan Municipality that is responsible only for the implementation of the housing programme. With regard to the provision of education facilities, children of beneficiaries were enrolled in schools situated far away from the area in 2014 because schools from neighbouring areas were unable to enrol all the learners from the Cornubia area. Each of the affected learners was spending approximately R250 on taxi fares every month in order to be able to go school. Some of the children from indigent

families were no longer going to school because their parents could not afford taxi fares.

In terms of lack of facilities in the Cornubia area, eThekwini Metropolitan Municipality signed a Memorandum of Understanding with all the relevant departments, such as the Department of Education and the Department of Health to expedite the process of providing services such as schools and clinics to residents of Cornubia subsequent to the completion of the occupation of housing. For instance, a mobile clinic visits the Cornubia area once every two weeks to provide medical services to residents of Cornubia. The existing clinic in Blackburn Settlement will also be extended to Cornubia residents. The KwaZulu-Natal Department of Education installed temporary structures in January 2015 that will serve as primary and high schools. The temporary structures house 25 classrooms.

The final challenge regarding the implementation of the Cornubia Housing Programme was the deviation from some of the housing regulations that govern the size of the housing units. The provincial legislation stipulates that low-cost housing should be 40 square metres, whereas the housing units in the Cornubia Housing Programme are 50 square metres. The deviations were done with the understanding of setting a new standard for greenfield projects across South Africa since Phase 1A was a pilot phase. The officials from the NHBRC, however, were on site to monitor any deviations to housing legislation on a continual basis.. When the programme was complete, the housing programme was awarded a certificate of compliance by the NHBRC.

SECTION B: DATA ANALYSIS

5.5 Programme evaluation guidelines

The evaluation community requires principles and standards to promote accountability, facilitate comparability, and enhance reliability and quality of services provided (Morra-Imas & Rist, 2009: 29). In this case, the service provided was the implementation of the Cornubia Housing Programme. According to the Austrian Development Cooperation (1999:1), programme evaluation guidelines should, therefore, be used systematically and objectively to assess the on-going or completed programmes in order to determine a number of desirable standards, as listed below.

a) Relevance

Relevance can be ascertained by the extent to which goals of a given programme are suitable for the needs and priorities of a target group and are aligned Cornubia Housing Programme to national development policies and goals (Kathmandu, 2013:22). It is suitable for the needs and priorities of a target group as it provides houses to people who have not had access to proper housing. The beneficiaries of the programme include people that were residing in the informal settlements within the eThekwini region. The Cornubia Housing Programme is relevant in that it is aligned to the national development policy. The national development policy is BNG, which aims at promoting a non-racial, integrated society through development of sustainable human settlements and quality housing (*KZN Industrial & Business News*, 2011).

b) Effectiveness

Effectiveness can be assessed and ascertained by the extent to which a given programme has achieved its objectives (Kathmandu, 2013:22). The Cornubia Housing Programme met its main objective, which was to build 482 low-cost

87

housing units for its beneficiaries. The handing over of the housing units took place on 5 April 2014.

c) Efficiency

Efficiency can be measured by the outputs of a project in relation to the inputs in order to examine whether the output is proportional to the input. It further can be ascertained by the extent to which the programme achieves the desired results using the least possible input and the most efficient process (Kathmandu, 2013:22). This implies that a project utilises the least costly resources possible to obtain the desired results (Morra-Imas & Rist, 2009:29). There was wastage of resources and inputs in the Cornubia Housing Programme as a consequence of the challenges that were experienced during the implementation of the programme. Those challenges included poor topographic and geo-technical conditions, industrial strike action, failure to allocate housing units to beneficiaries, and litigation costs to remove MKMVA members who occupied vacant houses. These challenges resulted in the escalation of operational costs of the housing programme from the initial budget of R43 million to R59 million.

d) Impact

Impact can be measured by the direct and indirect, positive and negative, intended and unintended changes and impacts caused by a project (Kathmandu, 2013:22). Measuring impact involves determining the main effect of an activity on local economic, social, environmental and other developmental indicators (Morra-Imas & Rist; 2009:30). The positive impact of the Cornubia Housing Programme is that beneficiaries were able to receive proper housing with access to basic services such as water, electricity and sanitation, as well as infrastructure. A further positive impact is the employment opportunities that have come about as a result of the development of CIBE.

A negative impact resulting from the housing programme was the delay in completing the construction of facilities, such as schools to be utilised by the

children of beneficiaries upon relocating to the Cornubia area. For most learners, delays in the completion of facilities resulted in incurring unbudgeted expenditure of approximately R250 every month on taxi fares in order to travel to schools that were situated far from their homes, prior to the installation of temporary classrooms. Some of the learners from indigent families ended up not going to school because their parents could not afford taxi fares, which meant that children were unable to receive education that year.

e) Sustainability

Sustainability can be measured by ascertaining whether, or to what extent, the outcomes or outputs produced by the project are likely to continue over time (Kathmandu, 2013:22). This refers to the likelihood of continued long-term benefits. Morra-Imas and Rist (2009:30) state that projects and programmes need to be environmentally and financially sustainable. The Cornubia Housing Programme is likely to continue over time because the pilot phase that is being evaluated will be followed by other phases for either low- or middle-income households and will be completed within the next 20 years. These phases are to cater for a variety of income groups and housing typologies to meet the objectives of inclusionary housing (Iyer Urban Design Studio, 2011:11).

In terms of financial viability, the Cornubia Housing Programme is financially viable since it was allocated R26 billion. Its close proximity to KSIA is also increasing employment opportunities for the beneficiaries of the housing programme, enabling them to pay for services such as water, electricity and school fees. The housing programme also addresses skills shortages – fulfilling a great need, as beneficiaries are poor – through a structural intervention focusing on facilitating workforce preparation, job links, food security gardens, open space management programmes, waste recycling, and SMME incubation. The aim is to ease access to employment opportunities so that beneficiaries can be in a position to pay for services they receive from the eThekwini Municipality, such as water and electricity (KwaZulu-Natal Provincial Human Settlements, 2014:9).

In relation to the environmental sustainability of the Cornubia Housing Programme, the programme is part of the Breaking New Ground, which advocates for the good management of entities in which economic growth and social development are in balance with the carrying capacity of the natural systems on which they depend for their existence and result in sustainable development, wealth creation, poverty alleviation and equity. The key element of this framework includes integrating land use, public transport planning, mixed land-use development, facilitating higher densities and more compact urban form in order to ensure more responsive and diverse environments, while reducing travelling distances (Department of Housing 200411).

5.6 Objective Two: To evaluate whether or not the Cornubia Housing Programme meets the requirements for successful implementation of programmes

5.6.1 The requirement for successful programme implementation

a) *Social, political and economic context*

Social, political and economic context is a part of the environment Cornubia Housing Programme that directly interacts with the programme (Chen 2006:76). The political context did not negatively affect the implementation process of the Cornubia Housing Programme. The ANC-led government which was in control of the formulation was also responsible for the implementation phases of the housing programme in the eThekwini Municipality. The same government continues to address historical race-based housing inequalities, poor municipal service provision and rapid urbanisation through the implementation of housing policies in order to improve housing provision.

In terms of social context, provision of low-cost housing continues to be a major challenge for the majority of people in post-apartheid urban South African due to various factors such as apartheid housing policies as well as rapid urbanisation (Napier, 1993:1). Finally, the economy positively impacted on the beneficiaries

because government and THD were able to allocate R26 billion for the housing programme in 2004 (Jacob & Baud, 2013).

Policy formulation and implementation cannot be removed from the context in which they occur as they influence what policies are developed and the manner in which those policies are implemented (Bhuyan et al., 2010:6). The contextual and environmental factors provided opportunities for effective implementation of the Cornubia Housing Programme.

b) *Leadership for policy implementation*

Leadership is critical for effective policy implementation owing to its ability to develop and command the following that is characterised by clarity of a vision and a legitimate mandate (Giachino & Kakabadse, 2003:144). Leadership from both eThekwini Metropolitan Municipality and THD was visible during the implementation of the Cornubia Housing Programme. The leadership from eThekwini Metropolitan Municipality and TDH was involved in the conceptualisation of the programme since 2004 and eventually formed a public-private partnership to provide housing for low-income earners.

Strong leadership is essential to ensure follow through in respect of resources and accounting required for putting policies into practice (Bhuyan *et al.*, 2010:7). The leadership from both private and public sectors was involved in the negotiations over the details of the housing programme. In 2005, eThekwini Municipality insisted on 15 000 low-income units, while the THD wanted to plan an integrated and sustainable development which would necessitate detailed planning before making a decision on the appropriate number of low-cost units for the programme. THD was reluctant to create another poor housing development (such as Waterloo, which is located north of Cornubia), and would not go ahead without it being integrated with economic prospects. The leadership eventually agreed to a housing programme of five phases over a period of 20 years with a budget allocation of R26 billion (SA Government News Agency, 2014).

High-level actors and leaders from THD and eThekwini Municipality were able to communicate about the policy's goals, rationale and mechanism, and thus

champion the policy in order to ensure that there was coordination as well as cooperation in the implementation of the Cornubia Housing Programme. The level of consensus achieved between leaders and other policy stakeholders on the content of the policy and its need for implementation did to some extent affect the degree and timing of the roll-out of the housing programme, as leaders were involved in negotiating the details of the programme. As a result, the gap between the conceptualisation and implementation phases was extensive. The programme was conceptualised in 2004 and the implementation phase commenced in 2008. Finally, the leadership responsible for the formulation of the Cornubia Housing Programme was the same as that involved in the implementation as soon as the policy was adopted.

c) *Commitment to policy implementation*

Commitment to a new initiative is essential in ensuring its successful implementation of policy. The level of commitment to the implementation of the Cornubia Housing Programme varied. Commitment is defined as the tangible and visible political and administrative will to deliver a project or programme. According to Giachino and Kakabadse, (2003:146), the underlying notion of commitment is about the ability to maintain focus on the initiative from its inception through to its delivery. To some extent, the contractors that were sub-contracted to build housing units did not show the required level of commitment at the beginning of the implementation stage of the programme, as some of them engaged in an industrial strike. The industrial action was due to a wage dispute between workers and their respective employers, because they were paid different hourly rates since they were governed by different pieces of legislation. The strike action led to work stoppages during the construction of the housing programme.

Some proponents of change management initiatives and administrative reform view commitment as the need for strong political backing (Caiden, 1999:815) and political will (Polidano, 1995:455), suggesting that commitment is more of a top-down, leadership issue. In the Cornubia Housing Programme, political backing from the eThekwini Municipality was strong, because the political leadership from eThekwini Municipality intervened in the wage dispute between workers and their

employers and the matter was resolved amicably, whereafter the implementation of the housing programme could proceed.

Others view commitment from the bottom up. They see commitment as a need to command [capture] the attention of employees for the purpose of completing the initiative and sustaining it over time (Drennam, 1989:305), and achieving this through involvement and participation as well as through the development of a trusting relationship between managers and employees. After the intervention by the political leadership of the eThekwini Metropolitan Municipality, the employees' level of commitment increased and they were able to complete and hand over 482 low-cost housing units to beneficiaries on 5 April 2014.

d) *Stakeholder involvement in policy implementation*

Policy stakeholders include groups or individuals responsible for the implementation of the policy. In the CHP, stakeholders include the National Department of Human Settlements, Provincial Department of Human Settlements, eThekwini Municipality and THD. Stakeholders are also people that may positively or negatively be affected by the implementation (or lack of implementation) of the policy (Bhuyan *et al.*, 2010:7). Such stakeholders include beneficiaries of the programme that were positively affected by the implementation as they would be able to have access to housing.

According to Chen (2006:76), the implementing organisation is also a stakeholder, since it is responsible for organising staff, allocating resources, and coordinating activities to implement a programme. The capacity of the organisation has an effect on the quality of the implementation. It is, therefore, essential to make sure that the implementing organisation has the capacity to implement the programme (Chen, 2012:18). Chen (2012:19) further states that programme implementers are also stakeholders. The eThekwini Municipality was the implementing organisation and was responsible for the employment of staff, allocating resources, and coordinating activities to implement the programme. The eThekwini Municipality had the capacity to implement the Cornubia Housing Programme because of its previous experience to implement other housing programmes.

Programme implementers are people responsible for delivering services to clients such as project managers, engineers, housing experts, administrators (Chen, 2006:76). The qualifications and competency, commitment, enthusiasm and other attributes of implementers are crucial as they can directly affect the quality of service delivery. In addition, the target population is also a stakeholder. In the CHP, project managers, engineers, housing experts and administrators were part of the team that was responsible for the implementation of the housing programme. It should be noted that some of the implementers that were involved in the programme, especially contractors, were outsourced from the private sector, namely Gralio Precast (Pty) Ltd. The programme implementers had experience, held national diplomas, Bachelor's degrees and postgraduate qualifications, and had the necessary skills in their respective fields that enabled them to deliver quality service.

The target population is a group of people that the programme is intended to serve. The target population for the CHP were beneficiaries of the programme and the eThekwini Municipality established eligibility criteria. The success of the programme is the result of the presence of well-established eligibility criteria, the feasibility of reaching eligible people and effectively serving them, and the willingness of potential clients to become committed to or cooperative with the programme (Chen 2006:77). The criteria used to select beneficiaries were informed by the guidelines that targeted the most vulnerable people across the eThekwini region. Beneficiaries therefore needed to fit the following categories:

- Essential relocations taking into account health and safety issues

- People living in transit camps

- Partial relocations from the approved upgrade projects of the Department of Human Settlements

- People living in Blackburn and other closely located informal settlements

- People with special needs (the aged, people with disabilities and child-headed households)

- Strategic relocations (in the way of future developments that have economic, social or environmental significance)

- Minority groups

Some of the beneficiaries were from the following informal settlements:

- Stonebridge (38 beneficiaries)

- Constantia Road (73 beneficiaries), and NPA/Zamani (48 beneficiaries)

e) *Planning for implementation and resource mobilisation*

Effective implementation necessitates planning and mobilisation of adequate resources. In relation to planning the CHP, plans and guidelines such as strategic action plans, workshops, budgets and operational objectives were developed. The implementing organisation may be required to abandon or modify old practices and undertake new activities (Bhuyan *et al.*, 2010:8). In most instances, implementers may require training on the content of the policy and necessary skills. The eThekwini Municipality has officials with adequate experience in the implementation of low-cost housing programmes; therefore, training was not necessary since officials had the requisite skills.

Resource mobilisation refers to the availability of and access to concrete or tangible resources (human, financial, technological and logistical, etc.) (Brynard, 2005:19). Resources, particularly financial resources, are central to the implementation process of the policy as they promote implementation activity which fits with central aims of the policy (Hambleton, 1983:411–412). Government together with THD had sufficient resources to allocate R26 billion for the CHP (Jacob & Baud, 2013). Intangible resources such as leadership, motivation, commitment, willingness, courage, endurance and other intangible characteristics were present during the implementation of the Cornubia Housing Programme to transform rhetoric into action.

f) *Feedback on progress and results*

Policies often include monitoring and reporting requirements, which differ in terms of quality. Some policies also designate an entity to be responsible for monitoring, such as a government agency or an official body consisting of governmental and non-governmental representatives (Bhuyan *et al.*, 2010:9). In the case of the CHP, all the stakeholders met on a monthly basis to monitor and report on the progress of the programme. The public sector (including the National Department of Human Settlements, KwaZulu-Natal Provincial Department of Human Settlements and eThekwini Municipality) held meetings with all other stakeholders from the private sector, including THD, a day before the monthly meeting.

Other groups from civil society, the private sector, the media or the public sector may also be involved, either officially or on their own initiative, in monitoring the policy implementation process (Bhuyan et al., 2010:9). The media, including newspapers and television, reported on a regular basis about the progress and challenges that were experienced during the implementation of the Cornubia Housing Programme. Information on the Cornubia Housing Programme was available to measure whether or not inputs were sufficient and organised, interventions were implemented appropriately, beneficiaries were reached, clients received quality services, and outputs showed the achievement of decision makers' (stakeholders) goals. The agreed-on set of indicators and feedback systems were also created to track progress towards achievement of results in order to facilitate a comprehensive and measurable process. The provision of feedback and information on the implementation of the Cornubia Housing Programme made it possible for policy makers and implementers to assess interim achievements and make necessary course corrections themselves as part of the larger effort.

5.7 Objective Three: To evaluate whether or not the Cornubia Housing Programme is in compliance with the requirements from a policy perspective

5.7.1 Policy requirements for housing programmes

The Cornubia Housing Programme complied with the following requirements set out in the National Housing Code (2000:197–198):

- The project-linked subsidies were made available to the eThekwini Municipality which undertook the approved Phase 1A of the Cornubia Housing Programme.

- The need for the Cornubia Housing Programme was identified and initiated by THD and the initiative did satisfy the Provincial Housing Development Board (PHDB) as it had adequate access to financial resources, technical and managerial experience to undertake the Cornubia Housing Programme. The aim of the assessment was to ensure that both the eThekwini Metropolitan Municipality and THD were technically, managerially and financially competent to implement and successfully complete the housing programme.

The amount of the project-linked subsidy was determined by PHDB when it approved the project. In the process of determining the amount of the project-linked subsidy, the PHDB established the following:

- The number of fully subsidised low-cost residential properties that were constructed in the Cornubia Integrated Human Settlement Phase 1 is 482. The housing units do have access to social infrastructure, commercial and industrial developments.

- The overall number of housing units handed over to beneficiaries after Phase 1A, based on the socioeconomic profile of the beneficiary community, is 482.

- The total amount of project-linked subsidies spent by eThekwini Metropolitan Municipality and THD was R59 000 000.

The eThekwini Municipality handed over housing units to the qualifying beneficiaries that met the following requirements stipulated in the National Housing Code (Department of Human Settlement, 2000:175):

- The applicants were married or cohabiting with another person, or were single and had proven dependants who rely on the applicant's financial support.
- The applicants were legal South African residents.
- The applicants were legally competent to enter into a contract, implying that they were above the age of 21, if not married.
- The gross monthly household income of the applicant did not exceed R3 500 per month.
- The beneficiary or spouse had not previously received a subsidy from the government to purchase a house.
- The applicants were property owners for the first time.

In terms of housing policy requirements, the Cornubia Housing Programme was expected to provide the following.

Bulk and connector services

The Cornubia Housing Programme was based on an inclusive agreement between all relevant stakeholders involved in or directly affected by the housing programme. The agreement covered the suppliers of infrastructure, beneficiary communities, housing products, and services and finance of the housing programme. The eThekwini Municipality agreed to supply the following bulk and connector services required for the housing programme:

- Sanitation : waterborne as per municipal standards

- Water :individual metered connections

- Stormwater :piped stormwater drainage

- Electricity : readi-board

- Roads   : black-top roads as per municipal standards

- Top-structure   :double storey (50 square metres), terraced houses houses aimed at creating a fine grain, walkable residential precinct structured around courtyards and well-defined streets as a basis for building a sense of community.

Addressing the needs of the previously disadvantaged communities and new developments aimed at achieving the basic points of departure of housing policy and strategy

The CHP has addressed the needs of the previously disadvantaged communities by bringing people from lower socio-economic strata closer to employment opportunities by systematically aligning various financial, human, institutional and managerial resources in order to improve provision of service delivery (Tongaat Hulett, 2014:1). The housing programme has achieved the basic points of departure of the housing policy and strategy as it is strategically situated in the Northern Corridor of Durban. In terms of economic and social benefits to the beneficiary community, the programme is building social infrastructure and commercial and industrial developments in order to create employment opportunities for beneficiaries.

Economic and social benefits to the beneficiary community, local participation and local initiative

Programme planning and implementation of the CHP created an environment that was conducive to all parties meeting their respective obligations. During the implementation, stakeholders held steering committee meetings on a monthly basis to ensure that all the parties were fulfilling their respective obligations regarding building, funding, and coordinating the implementation of the housing programme.

The National Housing Code further states the responsibilities of the developer in identifying land that has the following:

Easy access to health care and education facilities, and employment centres

The land that was earmarked for the Cornubia Housing Programme has education and health facilities to be utilised by Cornubia residents. It should be noted that these facilities were installed 9 months after the handing over of housing units to beneficiaries. Prior to the installation of these facilities in 2014, children of beneficiaries were enrolled in schools situated far away from the area because the schools from the neighbourhood did not have adequate space to enrol all of them. This resulted in learners spending approximately R250 on taxi fares every month in order to enable them to go school. Some of the children from indigent families were no longer going to school because their parents could not afford taxi fares. The KwaZulu-Natal Department of Education installed temporary structures in January 2015 that are used as a primary and high schools. The temporary school structures have 25 classrooms.

In relation to health facilities, the KwaZulu-Natal Department of Health has provided a mobile clinic that visits the Cornubia area once every two weeks to give medical services to residents. The eThekwini Municipality signed a Memorandum of Understanding with the KwaZulu-Natal Provincial Department of Education and Department of Health to build permanent education and health facilities, respectively.

Access to sufficient transportation facilities

The land has access to sufficient transportation facilities. The CHP lies within reach of the Bus Rapid Transport routes passing through the Cornubia area. The Cornubia route connects Umhlanga with Waterloo, Phoenix and Dube Trade Port north of KSIA. The following are the major roads passing through the Cornubia area:

- N2/M41

- R102 road and bridge towards Ottawa-Blackburn Link

Directing development towards existing economic opportunities

Directing development towards existing economic opportunities has already commenced and is aimed at enhancing economic efficiency and spatial integration of the eThekwini region. The entire development of CIBE is expected to create approximately 43 000 new, sustainable jobs and 387 000 short-term construction jobs over a 15-year period. In 2014, three light industry factories were completed and four were also completed in early 2015. This business park is a light industry zone and has major industry leaders taking ownership of this development opportunity. The Cornubia Housing Programme's close proximity to KSIA increases the availability of employment opportunities for the beneficiaries of the Cornubia Housing Programme. These factors will bring people from lower socioeconomic strata closer to employment opportunities. The systematic alignment of various financial, human, institutional and managerial resources will serve to alleviate poverty and enable beneficiaries to pay for their services (Tongaat Hulett, 2014:1).

Consistency with the national housing policy

The CHP is consistent with the requirements of national housing policy as it was developed along the principles of the VPADD Component of the Inclusionary Housing Policy. The main characteristic of this approach is pro-activity with lack of compulsion, since willing partners (government and Tongaat Hulett) found each other and entered into a mutually beneficial arrangement of delivering a housing environment that is socio-economically more inclusive (Department of Housing, 2007:14).

After the project agreement had been entered into between the PHDB and the developer, eThekwini Municipality, the following took place:

Sale agreement

All housing units in the Cornubia Housing Programme were funded entirely out of the subsidy amount granted to qualifying beneficiaries within such time period that was agreed upon between the eThekwini Municipality and PHDB. As part of the process of selling residential properties, eThekwini Municipality took all the necessary steps to ensure that housing units were allocated to qualifying beneficiaries.

Defining the sale price

The housing units in the Cornubia Housing Programme were funded entirely out of the subsidy amount. EThekwini Metropolitan Municipality came to an agreement with the beneficiary that legal costs relating to the transaction be paid out of the subsidy amount as well.

The completion of the application forms

The eThekwini Metropolitan Municipality made sure that qualifying beneficiaries completed the application form for the grant of a project-linked subsidy.

The submission of the application

The eThekwini Metropolitan Municipality submitted the application forms of qualifying beneficiaries to whom it had allocated housing units to the Secretariat.

Not all application forms were accompanied by all the required documents as set out in the application form, which included proof of gross monthly household income of qualifying applicants.

The Secretariat

Upon receiving an application form, the Secretariat proceeded as follows:

- The Secretariat acknowledged the receipt of the application in writing within seven days.

- The Secretariat verified the legitimacy of the applicant's identity number and established whether the applicant's name and/or identity number and that his or her spouse already appeared on the National Housing Data Base (database), and if this information did appear, forthwith advised the eThekwini Municipality accordingly, in which case the application was rejected.

- Through the deeds office, the Secretariat confirmed whether any immovable property was registered in the name of the applicant and/or his or her spouse, and if it was, forthwith advised the applicant accordingly that he or she was rejected.

- If the application was procedurally correct, the Secretariat submitted the application forthwith for consideration to the Housing Board.

The Provincial Housing Development Board

On receipt of the application form from the Secretariat, the PHDB proceeded as follows:

- The PHDB considered the application from the Secretariat and advised the eThekwini Metropolitan Municipality of the decision within 21 days after the Secretariat's acknowledgement of receipt of the application form.

- If the application was rejected, the PHDB, via the Secretariat, gave reasons in writing.

The database

When a number of applications had been approved by the PHDB, the Secretariat recorded the names and identity numbers of the applicants on the database. Thereupon, the process was concluded as follows:

- The eThekwini Metropolitan Municipality transferred the property to the applicants, who now became beneficiaries of the Cornubia Housing Programme.

5.8 CONCLUSION

This chapter has conducted a case study analysis of the Cornubia Housing Programme by describing the implementation process, problems experienced and actions taken throughout the implementation process. During the implementation process, the study focused on the inputs that were made to ensure the successful implementation of the programme. The inputs included resources such as funds, officials, companies and departments. The implementation process of the Cornubia Housing Programme faced several challenges in the areas of topographic and geo-technical conditions, noise contours, industrial strike actions and housing allocation. The eThekwini Metropolitan Municipality, however, took corrective actions which led to the successful implementation of the programme. The corrective actions included the removal of bad soil, imposing restrictions on decibel of noise pollution, consumer education, political intervention, as well as a court interdict.

The second part of the chapter evaluated the implementation of the Cornubia Housing Programme using the programme evaluation guidelines, requirements for effective implementation of programmes and policy requirements during the actual implementation process. The programme evaluation guidelines were intended to promote accountability, facilitate comparability and enhance reliability and quality of services provided in the Cornubia Housing Programme. It was found that the Cornubia Housing Programme complied with most requirements for effective policy implementation.

CHAPTER 6

6.1 CONCLUSION AND RECOMMENDATIONS

The main aim of this study was to conduct an evaluation of the implementation process of the Cornubia Housing Programme in order to assess whether the public housing scheme is consistent with its original intent and purpose, particularly in the area of the implementation process. In this chapter, the conclusion and recommendations of the research study are presented and discussed in relation to the objectives of the study.

6.2 CONCLUSION

The results from semi-structured interviews, document reviews and programme data were used to draw a conclusion about the implementation process of the CHP. The documents studied indicated that the eThekwini Municipality and THD mission was intended to provide low-cost housing to people who did not have access to housing. The findings reveal that the housing programme was successfully implemented and that 482 low-cost housing units were officially handed over to beneficiaries on 5 April 2014 (SA Government News Agency, 2014).

The implementation process of the Cornubia Housing Programme was, however, faced with challenges. The respondent from THD indicated that there were deviations from the original plan that was part of drafted in the Cornubia Framework Plan. The deviations were the result of the six-year gap between the conceptualisation phase and the implementation phase. The Cornubia Housing Programme was conceptualised in 2004 and the implementation process commenced on 28 July 2010 and was finalised in March 2014.

The programme evaluation guidelines advocate for efficiency during the implementation process of the programme in order to achieve the desired results using the least possible input and most efficient process (Kathmandu, 2013:22).

The Cornubia Housing Programme experienced inefficiencies caused by delays in the completion of the housing programme because the land on which the housing units were to be built was in a poor topographic and geo-technical condition. It emerged during an interview that the poor topographic and geo-technical condition was due to the conversion of agricultural land that had been used to plant sugarcane into a site for building houses. Since the land was unsuitable for building houses, roads, and other infrastructure, the eThekwini Municipality was compelled to spend an additional R15 million to rehabilitate the land to increase its suitability for building.

The inefficiencies were also the result of the delays in the completion of the housing programme owing to disagreements over the re-alignment of roads which stakeholders previously thought would link to the N2 freeway. The N2 freeway does not belong to the eThekwini Municipality or THD, but is owned by SANRAL, and the latter was against the re-alignment of the freeway. These delays resulted in the escalation of operational costs of the housing programme from an initial budget of R43 million to R59 million.

The programme evaluation guidelines advocate for the programme to be relevant in order to be suitable for the needs and priorities of the target group and to be aligned to the national development policies (Kathmandu, 2013:22). The results showed that the Cornubia Housing Programme is suitable for the needs and priorities of the beneficiaries as it was able to provide housing to people that had none previously. In terms of alignment to the national development policy, the Cornubia Housing Programme forms part of the Breaking New Ground initiative – which is aimed at promoting a non-racial, integrated society through the development of sustainable human settlements and quality housing (*KZN Industrial & Business News*, 2011). The programme evaluation guidelines advocate for effectiveness of the programme so that it can achieve its objectives (Kathmandu, 2013:22). The results of the research reveal that the Cornubia Housing Programme was effective because of its ability to achieve its main objective of building 482 low-cost housing units for its beneficiaries.

For the implementation of the programme to be successful, it requires commitment from those involved in the implementation process of the housing programme

106

(Giachino & Kakabadse, 2003:146). Further findings from the interviews revealed that, to some extent, contractors that were sub-contracted to build housing units did not show the required level of commitment, as some of them engaged in an industrial strike. The strike action led to work stoppages during the construction of the housing programme and delayed the completion of the housing programme.

The successful implementation of the programme also required leadership. The leadership from eThekwini Municipality and TDH was evident from the successful conceptualisation of the programme in 2004 and the eventual formation of a public-private partnership that delivered housing units to the beneficiaries in 2014.

The success of the programme needed the involvement of stakeholders during the implementation period. In the Cornubia Housing Programme, stakeholders including the National Department of Human Settlements, Provincial Department of Human Settlements, eThekwini Metropolitan Municipality, THD and beneficiaries of the programme were involved in the implementation of the programme.

Another requirement for the successful implementation of the programme was well-established eligibility criteria for beneficiaries that would be allocated housing units from the programme (Chen, 2006:77). The criteria used to select beneficiaries of the Cornubia Housing Programme were informed by the guidelines that targeted the most vulnerable people across the eThekwini region, namely those who met the following requirements:

- Essential relocations taking into account health and safety issues

- People living in transit camps

- Partial relocations from approved upgrade projects of the Department of Human Settlements

- People living in Blackburn and other closely located informal settlements

- People with special needs (the aged, people with disabilities and child-headed households)

- Strategic relocation (in the way of future developments that have economic, social, or environmental significance)

- Minority groups

The planning and resource mobilisation also took place for the successful implementation of the programme. Plans and guidelines such as strategic action plans, workshops, budgets and operational objectives were developed for the Cornubia Housing Programme. In terms of financial resource mobilisation, government together with THD were able to allocate R26 billion for the Cornubia Housing Programme (Jacob & Baud, 2013).

In relation to the feedback on progress and results, stakeholders held meetings on a monthly basis to monitor and report on the progress of the Cornubia Housing Programme. In addition to regular meetings, the public sector (including the National Department of Human Settlements, KwaZulu-Natal Provincial Department of Human Settlements and eThekwini Municipality) held meetings a day before the monthly meetings with all other stakeholders from the private sector, including THD.

As soon as the Cornubia Housing Programme was completed, eThekwini Municipality handed over housing units to the qualifying beneficiaries that met the following requirements stipulated in the National Housing Code (Department of Human Settlement, 2000:175) as required by the policy:

- The applicants were married or cohabiting with another person, or were single with proven dependants who relied on the applicant's financial support.

- The applicants were legal South African residents.

- The applicants were legally competent to enter into a contract, implying that they were above the age of 21, if not married.

- The gross monthly household income of the applicants did not exceed R3 500 per month.

- The beneficiaries or spouses had not previously received a subsidy from the government to purchase a house.

- The applicants were property owners for the first time.

There were, however, challenges with regard to the handing over of housing units to beneficiaries because some of them did not have the required legal documents, such as IDs or affidavits stating that they were unemployed or earned salaries below R3 500 as required by the housing policies. It was also mentioned in an interview that some of the beneficiaries, especially those who were located in the south of Durban, did not want to be uprooted from the areas where they were employed or had relatives. It also emerged that some of the beneficiaries had disabilities and were, therefore, unable to occupy storeyed housing units housing units while using wheelchairs.

As required by the policy, eThekwini Metropolitan Municipality installed the following bulk and connector services in the Cornubia Housing Programme:

- Sanitation : waterborne as per municipal standards

- Water : individual metered connections

- Stormwater : piped stormwater drainage

- Electricity : readi-board

- Roads : black-top roads as per municipal standards

- Top-structure : double storey (50 square metres), terraced houses aimed at creating a fine grain, walkable residential precinct structured around courtyards and well-defined streets as a basis for building a sense of community.

The policy stipulates that the housing programme should address the needs of the previously disadvantaged communities. The Cornubia Housing Programme met this policy requirement as it brought people from lower socioeconomic strata closer to employment opportunities by systematically aligning various financial, human, institutional and managerial resources in order to improve provision of service delivery (Tongaat Hulett, 2014:1).

The policy further required that land used to build housing was to have easy access to healthcare and education facilities. It emerged during an interview that education facilities were built nine months after handing over housing units to the beneficiaries. As a result, learners ended up enrolling at schools that were situated far from their residential area and were spending R250 a month on taxi fares. The delays in the construction of schools led to some learners dropping out of school owing to their parents' inability to pay taxi fares. With regard to health facilities, the KwaZulu-Natal Provincial Department of Health provided a mobile clinic that is operational once every two weeks. The reason that the Department of Health did not build a clinic is that the services of the existing clinic in the Blackburn Settlement were extended to Cornubia residents.

The policy also requires that the land has access to sufficient transportation facilities. The land used for the Cornubia Housing Programme has access to sufficient transportation facilities as it is situated within reach of the Bus Rapid Transport routes passing through the Cornubia area. The routes connect Cornubia to Waterloo, Phoenix and Dube Trade Port to the north of KSIA. The major routes are N2/M41 and R102 road and bridge towards Ottawa-Blackburn Link.

Finally, the policy requires that the land shall have direct developments towards economic and employment opportunities. The Cornubia area has an entire development of CIBE and is expected to create approximately 43 000 new sustainable jobs and 387 000 short-term construction jobs over a 15-year period. There are three light industry factories that were completed in 2014 and four more were completed in early 2015.

6.3 RECOMMENDATIONS

Based on the conclusions above, this study makes the following recommendations:

- The eThekwini Metropolitan Municipality and THD should attempt to adhere to the budget when it implements further phases of the Cornubia Housing Programme in order to prevent a repeat of the kind of inefficiencies that

happened in Phase 1A when costs escalated from R49 million to R59 million. This can be done through proper planning by those involved in the implementation of the programme.

- The implementation of further phases should take place as soon as possible in order to avoid further deviations from housing regulations caused by a huge gap between conceptualisation phase and implementation phase, as occurred in Phase 1A.

- Stakeholders should apply labour laws in a fair manner so that employees do not engage in strike actions, such as occurred in the case of contractors in Phase 1A who reacted to unfair labour practices, namely discrepancies in salary payment.

- The eThekwini Municipality should take all the necessary steps to assist those who have been selected to benefit from further phases of the housing programme to obtain the required documents, such as IDs and affidavits, so that illegal invasion of completed housing units will not take place as a result of the failure of beneficiaries to occupy housing timeously.

- The government departments should build adequate facilities, such as additional schools and clinics, to cater for the expected increase in the population in particular areas as a result of the implementation of further building phases in the next 20 years. The construction of new facilities will prevent a situation where learners drop out of school because nearby schools within the Cornubia area are already fully subscribed and they cannot afford the transport fare to schools further afield.

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APPENDIX

Interview questions

1.   To describe the implementation process of the Cornubia Housing Programme:

- Were its service delivery and support functions consistent with programme design specification?

- Were all necessary programme functions performed adequately?

- Was staffing sufficient in numbers and competencies for the functions to be performed?

- Did the programme coordinate effectively with other agencies (public-private partnerships) with which it worked?

- Were resources, facilities and funding adequate to support important programme functions?

- Were resources used effectively and efficiently?

- Was the programme compliant with the housing legislation as well as with requirements imposed by THD?

- Was the programme compliant with housing regulations, and legal standards, e.g. NHRB?

- Were stakeholders satisfied with the interactions with programme personnel and procedures?

- Were participants (stakeholders) satisfied with the services they received?

- What resources were being expended in the conduct of the programme?

- Were administrative and service objectives of the Cornubia Housing Programme achieved?

- Were ear-marked houses delivered to the intended beneficiaries?

- Were administrative, organisational and personnel functions of the Cornubia Housing Programme handled well?

2. What problems were experienced during the implementation process of the Cornubia Housing Programme?

3. What corrective actions were taken to address problems experienced during the implementation process of the Cornubia Housing Programme?