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Rethinking the Upgrade of Informal Settlements in the Western Cape:

A critical assessment of the Upgrading of Informal Settlements Programme

A Mini Dissertation submitted at the School of Government (SOG), Faculty of Economic and Management Sciences (EMS) in partial fulfilment of the requirements for the award of Master of Public Administration (MPA) degree at the University of the Western Cape (UWC)

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DECLARATION

I declare that "*Rethinking the Upgrade of Informal Settlements in the Western Cape: A critical assessment of the Upgrading of Informal Settlements Programme"* is my own work, that it has not been submitted for any degree or examination in any other university, and that all sources I have used or quoted have been indicated and acknowledged as complete references.

Carla Wilkinson

Signed: Date: 10 November 2023

DEDICATION

This dissertation is dedicated first and foremost, to my mother, Rani- Anne Wilkinson, who has raised and taught me everything, despite my disability challenge. She has fought for me throughout my educational years and experiences from the age of 3, and still continues to do so. To my late father, Vivian "Blackbird" Wilkinson, who was always proud and encouraged me to complete my studies. To my daughters, Nadia, and Zara, who has been my motivation and rock from the day they were born. To my late husband, Yusuf Ahmed, who was there from the start of my university journey and push me to finish regardless of the circumstances. To my late only sister, Samantha Hendricks, who stood up for me and taught me it is never impossible or too late. We all never thought I would get this far. Lastly, to the Almighty God, Your grace and mercy has shown me that all things are possible.

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ABSTRACT

South Africa is faced with the triple challenge of unemployment, inequality, and poverty. The growth of informal settlements is a manifestation of afore. The first democratic government post 1994 has formulated different policies and strategies aimed at eradication of informal settlements. Despite the efforts, the number of informal settlements had been increasing in most developing countries affected and remains a global challenge to end by the year 2030. Upgrading of Informal Settlements emerged as a human settlements' strategy in most developing countries, including South Africa. While the core aim of the study is to question why informal settlements are not decreasing, the first aim of the research is (1) to assess the Upgrading of Informal Settlements Programme (UISP) through assessing whether the programme is implemented soundly. A second objective of the study is to determine if government has rethought interventions for the non-qualifying informal settlements residents that influence housing policies.

The Upgrading of Informal Settlements Programme will form the basis of the study. The case method was used for the study employing the qualitative research method approach. Qualitative research will be used from the key stakeholder's responses to understand the experiences and challenges of the UISP phenomena in the Western Cape Province (WCP). The qualitative method approach helps to understand the phenomena better using the key stakeholders' experiences and interactions with the communities. The study complied the ethical requirements. This study contributed to the knowledge on the housing crisis with an anticipated outcome.

Keywords: Informal Settlements, Upgrading, slums, informal dwellers, shacks, housing, policy, sustainable human settlement; household, legislation, programme, Western Cape Province, housing need

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ACRONYMS AND ABBREVIATIONS

ANC	African National Congress
APP	Annual Performance Plan
AR	Annual Report
BNG	Breaking New Ground
CoCT	City of Cape Town
CoRC	Community Organisation Resource Center
COVID-19	Coronavirus Disease of 2019
DA	Democratic Alliance
DAG	Development Action Group
EHP	Emergency Housing Programme
ESS	Enhanced Service Sites
FBS	Free Basic Services
HSS	Housing Subsidy System
GAA	Group Areas Act
GEAR	Growth, Employment and Redistribution
HDA	Housing Development Agency
IDT	Integrated Development Trust
IRDP	Integrated Residential Development Programme
ISSF	Informal Settlements Strategic Framework
ISSP	Informal Settlements Support Plan
IUDF	Integrated Urban Development Framework
LUPA	Land Use Planning Act
MDGs	Millenium Development Goals
MTEF	Medium- Term Expenditure Framework
MTSF	Medium-Term Strategic Framework
MURP	Mayor's Urban Renewal Programme
NDOHS	National Department of Human Settlements
NGOs	Non- Governmental Organisations
NDP	National Development Plan
NUSP	National Upgrading Support Programme
PEP	People's Environmental Planning

PERO	Provincial Economic Review and Outlook
PHP	People's Housing Process Programme
PSP	Provincial Strategic Plan
RAC	Rapid Appraisal and Categorisation
RDP	Reconstruction and Development Programme
RSEP	Regional Socio- Economic Programme
SDGs	Sustainable Development Goals
SPLUMA	Spatial Planning and Land Use Management Act
TRA	Temporary Relocation Area
UISP	Upgrading of Informal Settlements Programme
UN	United Nations
UN HABITAT	United Nations Habitat
USDG	Urban Settlements Development Grant
VPUU	Violence Prevention through Urban Upgrade
WB	World Bank
WCDEADP	Western Cape Department of Environmental Affairs and Developmental Planning Department.
WCDEDAT	Western Cape Department of Economic Development and Tourism
WCDOHS	Western Cape Department of Human Settlements
WCDOI	Western Cape Department of Infrastructure
WCDTPW	Western Cape Department of Transport and Public Works
WCHDDB	Western Cape Housing Demand Database
WCP	Western Cape Province
WCG	Western Cape Government

CHAPTER 1
INTRODUCTION AND BACKGROUND OF THE STUDY

1.1. Chapter Overview

This chapter introduces the overall research study. It gives a description of the research case study overview in the WCP, the background of the study, the research problem, research questions, and the research objectives. It highlights the aims of the research, along with the significance of the study. It provides details on the research study budget, dissemination, and ethics. Lastly, the chapter outlines the mini-thesis chapters throughout this research study.

1.2. Background of the Study

The growth of informal settlements has a major socio-economic implication and impacts on government planning to provide services to all. Informal settlements are not planned but organic in nature. The informal settlements are not constructed according to formal town planning conventions and lacks basic amenities.

There are many factors that relates to the emergence of informal settlements such as population growth, rural-urban migration; lack of affordable housing; unemployment or low paid work, marginalisation; displacement by conflict (i.e., apartheid), natural disasters/climate change, and weak governance. Governments around the world refuses to acknowledge the existence of informal settlements and this undermines the sustainable development of the wide urban society. City official's behaviour towards the informal settlements residents ranges from evictions or politically engaged of the oppositions to reluctant tolerance/ support for legalisation and upgrading. (GSDRC, 2016:30).

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In the WCP (one of the nine provinces of South Africa), the population has increased from 4 524 335 to 5 822 734 people from 2001 to 2011 (WCG, 2021). Recently, the population now lies at 7 433 019 in 2022 (STATSSA 3,2023:04).

This shows an average increase of 3% per year. Approximately 77% of the total population is stimulated by natural growth while 15% is from in-migration from other provinces followed by 8% in foreign in-migration. A large proportion of people coming in from the Eastern Cape move in informal settlements (45%) According to the Provincial Economic Review and Outlook (PERO) 2014, the population is likely to increase by 10.5% between 2014 and 2024 (ISSF, 2016:07).
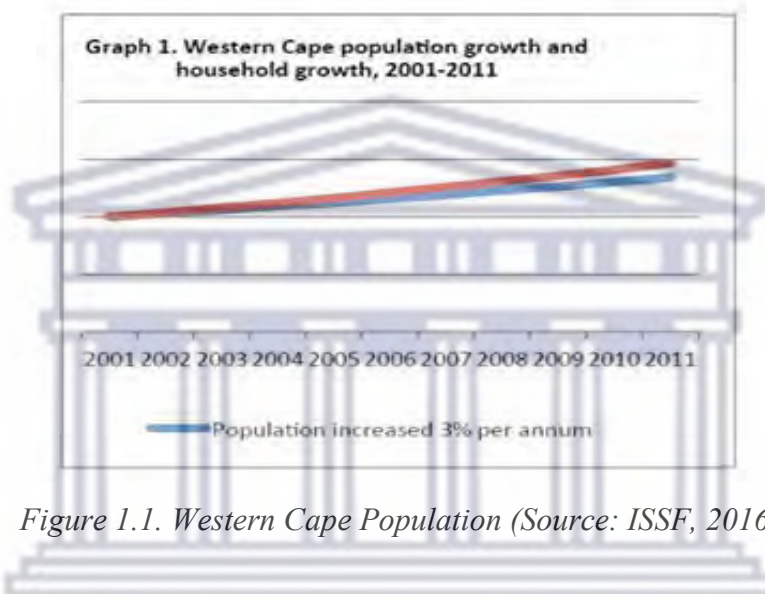
Figure 1.1. Western Cape Population (Source: ISSF, 2016:07)

In 2020, over a half a million (550 889) households' backlog is on the waiting list in the WCP, and over 300 000 (59.4%) of these are from the City of Cape Town. The likelihood of getting a house in the next 10 years is slim (Gontsana, 2020).

Figure 1.2. Registered Housing Demand Database in the Western Cape (WCHHDB), as at end August 2020 (Source: APP 2021-2022, 2021:26).

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Informal settlements had become a growing problem in the WCP. Significant to this, and South Africa, it is estimated in 2011, around 2.9 to 3.6 million people were living in informal settlements. By 2016, it was found that 1 in every 5 household are living in informal dwellings in the metropolitan area. The number is likely to be increased since the number of formal dwellings household has increased to 5.6% between 2002 and 2016 (OCHCR, 2018:6). The challenge remains critical as South African policies and plans, despite its implementation failed the decrease informal settlements. Instead, more informal settlements sprung up across the Western Cape.

The Covid-19 pandemic placed many people in the poverty trap as a result of business closing and spike of people to informal settlements spreading rapidly across the province. Some informal settlements are named after the pandemic phases such as "Covid" in Mfuleni, Cape Town (Kalipa, 2021). Due to Covid-19, in 2020, 19.24% of households lived in informal settlements which shows an increase of 5% since the previous year cycle (2019) (APP 2021-2022, 2021:27). There is a crisis of increasing informal settlements and is a major concern for the province.

1.3. Research Problem

Informal settlements are a state of emergency and should be prioritised or assisted urgently. WCP "home for all" vision by former premier of WCP, under the ANC leadership, Mr Ebrahim Rasool, seen an increase in migration to the province placing further pressures on government to provide for more schools, clinics, housing, and related services. Many resorted to residing in informal settlements without basic services creating a social crisis. Government responded in developing focus programs to address the unfolding crisis.

The Upgrading of Informal Settlements programme, is one of the housing programmes of South Africa, as contained in the National Housing Code 2009 (revised) (DHS, 2017: 04-06). This is an important housing policy which all government officials use as a guide in the Department of Human Settlements. As such, the Upgrading of Informal Settlements Programme (UISP) was developed in 2004 as part of the "Breaking New Ground" (BNG) comprehensive housing policy plan for sustainable human settlements, from where it was then included as a housing programme in the National Housing Code (Sept 2009).

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The incremental housing programme, UISP, is designed for in situ upgrading by ensuring access to basic interim services (water, electricity, and sanitation) (Massey, 2014:291; Ntema & Marais, 2013:87).

According to the National Housing Code, the UISP consists of 4 stages to allow for the housing project in the provision of basic services, a site and then the top structures. As such, the Western Cape Government (WCG) and the Western Cape Department of Human Settlement (WCDOHS) have prioritised UISP as part of the Provincial Strategic Goal (PSG 4) to "enable a resilient, sustainable, quality and inclusive living environment". The WCDOHS has developed strategic documents such as the Rapid Appraisal and Categorisation (RAC) 2016 Model which states the demographics understanding of all current informal settlements in the WC and another namely the Informal Settlements Strategic Framework (ISSF) 2016 (Alli, 2021). Based on research (NUSP, ISSP stats) the numbers of informal settlements and provision of basic needs increases exponentially. Further to the above, many UISP beneficiaries are limited to certain options in the UISP, such as a service site.

The UISP aim is to better the lived experience of the informal settlements residents that are left behind with no hope for a suitable sustainable human settlement lifestyle. This shows the reason behind why more informal settlements are formed at a fast-increasing pace in both South Africa and the Western Cape Province. Authorities from national government to local government play an important role in the development process of all sustainable economies and the Western Cape Province is no exception.

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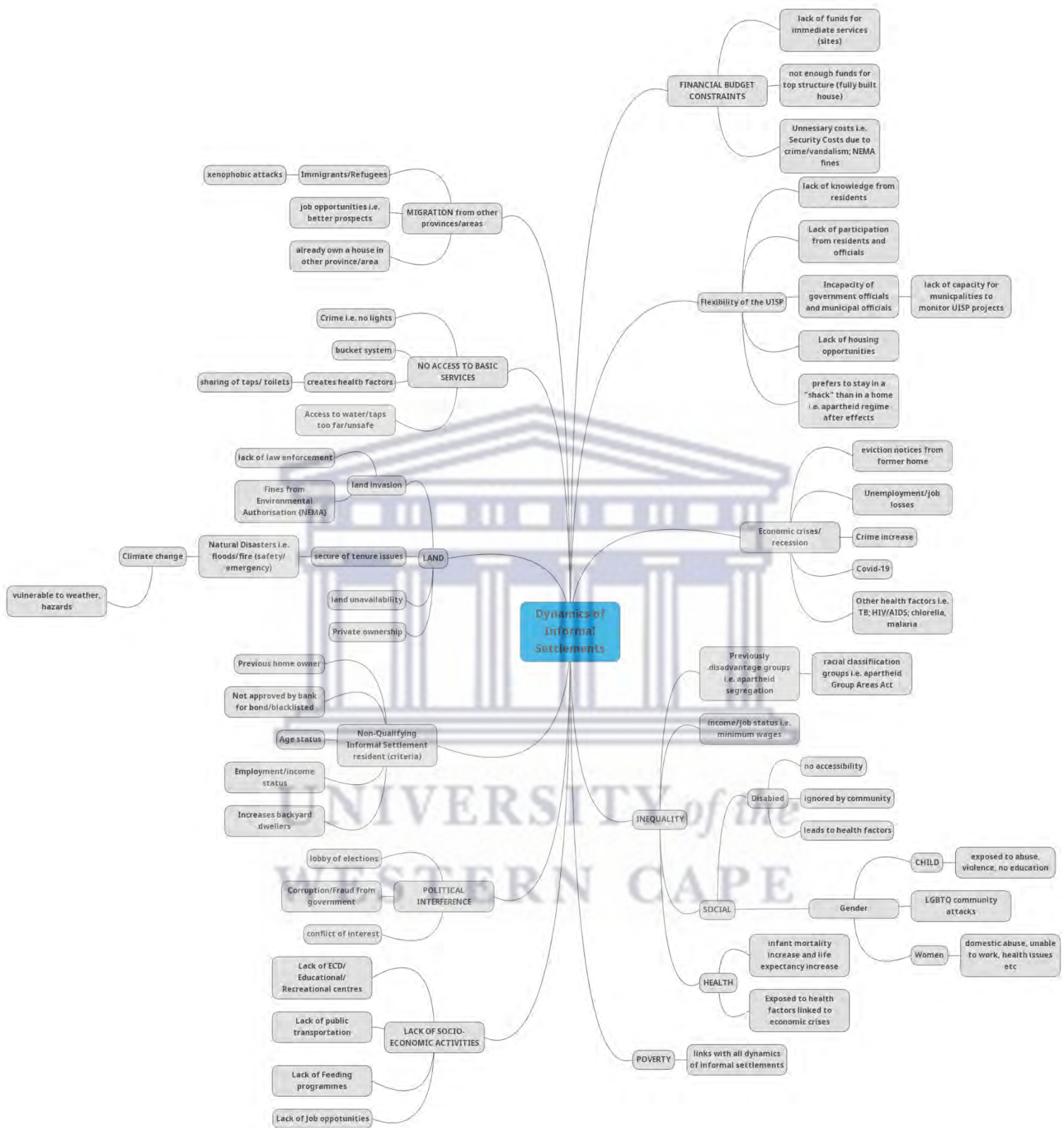
Figure 1.3. Dynamics of Informal Settlements in the WCP (Source: Author Construct; 2023

Irrespective of the various programmes introduced the informal settlements are still growing and the need to arise to analyse how effective the UISP is.

1.4. Research Questions

The Primary research question is whether or not the UISP has reduced the number of informal settlements since it was introduced?

The secondary research questions of this study are as follows:
- What are the number of UISP products delivered?
- What is the impact of UISP in the WCP?
- What are the challenges faced by informal settlements?

1.5. Research Objectives

The Primary objective of the study is to critically assess the Upgrading of Informal Settlements Programme (UISP) in the WCP, from 2009 to 2022.

The secondary objectives are:
- To identify the numbers of UISP products delivered.
- To determine the impact of UISP.
- To identify the challenges faced by the informal settlements.

1.6. Aims of the research study

With small changes that have been added to the existing policy the incremental approach to the Upgrading of Informal Settlements Programme (UISP) has not been reviewed since 2009. Given this context, the aim of this study is to focus on the UISP in the Western Cape over a period of thirteen years.

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The study covers the period from 2009 when it was last reviewed till 2022 with a view to explaining the complex and diverse challenges faced by the province in its bid to meet the housing needs of informal settlement residents. Consequently, the purpose is to understand informal settlement challenges and how they can be addressed through the adoption of a sustainable housing settlement programme.

1.7. Significance of the study

A study of this topic is extremely important to ensure that the housing development agenda is followed, and human dignity is restored. The findings of the study can be used to benefit other all three spheres of government authorities, policy makers, policy implementers, and housing officials in South Africa to identify suitable incremental solutions interventions strategies for communities living in informal settlements. The study will contribute to strengthening policy on the eradication of informal settlements.

UISP has been the housing priority (not only at national but also at provincial) since 2004. It would be assumed that the need is addressed and that the programme is working. However, to the contrary, more challenges given the complexities hampers the planning and delivery thereof. Due to the overcrowding conditions, it further leads to disasters (fire and floods); that arise to queue jumping and densification issues.

1.8. Assumption of the study

Although the informal settlements are a global phenomenon, not all informal settlements are the same – although they display similar characteristics. The approach to deal with the informal settlement, needs to be attended on merit, and will vary from case to case, settlement to settlement.

The assumption is that UISP "triggers" the increasing numbers of informal settlements in the Western Cape.
UISP is a trap to pressure government to provide houses quicker for those Informal Settlements.

- The UISP is a relatively simple task, as all informal settlement residents effectively qualify (irrespective of income level, citizenship, lack of dependents, or past home ownership).

- The usual eligibility criteria for other housing subsidy programmes do not apply for the UISP.

- Consideration for waiting list, age, and income is ignored, which has had the unintended consequence of too many informal settlements being formed and increased migration from other provinces to WC.

Beneficiaries are faced with barriers in the housing sector for the following reasons:

- do not have access to land

- No security of tenure

- Non- qualifying beneficiaries do not qualify for top structure or other housing opportunities

Support systems from government is not adequate because

- there is not enough funding for the housing sector to address all beneficiaries

- The UISP seems to be the only way in benefitting the housing programmes

- There is no amendment to the Housing Code policy since 2009

- There has been limited interventions since 2009

Informal settlements are products of failed policies by dysfunctional and poor management by government. The struggle to combat poverty, inequality, and discrimination with the persistence of informal settlements growth (Mears, 2011:02).

1.9. Budget

The thesis research will be partly funded by a WCG bursary from the WCDOHS. Travelling, photocopying and internet resources will be under the researcher own cost.

1.10. Dissemination of Research

Acknowledgement of the autonomy of the authors used and that the WCDOHS can used this research to possibly amend the UISP and related housing policies. This study will contribute to all parties related to the UISP by the end of 2023.

1.11. Ethics

Formal Ethical Clearance was applied for in terms of the University protocol and approved by the Higher Committee of the University of the Western Cape. See Appendix VII.

1.12. Chapter Outline

Chapter one: Introduction
This chapter will provide a context of the study, its background, the significance of the study and outlines the rational research objectives, research questions and the current problem that underpinned the study.

Chapter two: Literature Review
This chapter gives an overview of research that has been done on informal settlements. Firstly, informal settlements are discussed both in international and South African context. Secondly, an overview of Western Cape Province policies and legal framework relating to informal settlements is discussed. It provides an analysis of the legislative and policy framework guiding the upgrading of informal settlements. Thirdly, the concept upgrading of informal settlements is defined and discussed. Furthermore, the number of the waiting list, the number of informal settlements growth in the WCP, and the number of UISP sites connected with Basic services for the period 2009 to 2022 is discussed and analysed.

Chapter three: *Research Methodology*

Chapter three outlines how the research was conducted with the qualitative research method approach, looking at the UISP delivery since 2009, literature review, interviews as a desktop study and using the thematic analysis tool to collect primary data and information.

Chapter Four: *Data analysis and presentation of findings*

This chapter gives a thorough discussion of the findings based on the research objectives and research questions and present the empirical results after analysing the primary data collected. The chapter commences with a summary of the qualitative results, with the desktop study. It specifically presents findings relating to the participants responses using a content and thematic analysis method to provide the accurate remarks and results.

Chapter Five: *Conclusions and recommendations*

This chapter will provide key findings of the research and the implications for future research and policy. It will also provide practical recommendations for future development initiatives. This chapter will conclude with a brief summary of the overall study.

1.13. Chapter Summary

This chapter introduced the background of the research study. This chapter also included the research problem, the research questions, the research objectives, and aims, as well as the significance and assumptions of the study. Finally, the chapter concluded with a clear overview of the mini thesis chapter that will unfold in the rest of this study.

CHAPTER 2
LITERATURE REVIEW

2.1. Chapter overview

Against background of Chapter one, this chapter is dedicated to the research study on existing literature on the upgrading of informal settlements. The approach followed with this chapter is a twofold, i.e. at first it will review the informal settlement thinking through a planning lens in terms of the different levels. Hereafter, we will review the policies, legislation and frameworks affecting the Western Cape Province, as the study area.

2.2. International challenges: slums/informal settlements

Sustainable development can be defined as how it is measured with the current challenges without compromising its goals beyond generations (Kates, Leiserowitz, and Parris, 2005:02). Hope (1996: 24), states that the challenge for Third World policy reforms is sustainable development. Sustainable development is that it meets the needs of the people without compromising their ability to self-help, growth, and development for future generations. This is specifically relevant to Africa and the indicators of poverty and inequality that is slowly progressing in practice.

Dyer et al (2014:08-11), states that sustainability as a 'radical rethinking' shift from social and environmental injustice, inhumane to a relational ethics of justice responsibility of individual transformed leaders. Such attempts have been initiated in the United Nations (UN) to achieve transformation like the 8 Millenium Development Goals (MDGs). According to the MDGs 7, it states that to ensure environmental sustainability and specifically to target 7D, at least 100 million urban informal settlements by 2020 were to be improved. Due to lack of data on slums in 2014, the target was not met as indicated below (STATSSA 2, 2015: 104).

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MDG Goal 7: Ensure Environmental Sustainability						
Indicator	1994 Baseline (or closest)	2010 status (or nearest year)	Current Status 2015 (using latest year of data availability)	2015 Target	Target Achievability	Indicator Type
7.7 Proportion of species threatened with extinction (% of total)	Not Applicable	No data	No data	By 2010, restore, maintain or reduce the decline of populations of species of selected taxonomic groups and improve the status of threatened species.	Not Achieved	MDG
Plants	No data	No data	14 (2014)			
Inland mammals	No data	20 (2004)	No data			
Birds	No data	No data	11 (2013)			
Amphibians	No data	No data	14 (2010)		Post-2015 Agenda	MDG
Reptiles	No data	No data	9 (2011)			
Freshwater fish	No data	No data	21 (2007)			
Butterflies	No data	No data	7 (2011)			
Target 7C: Halve, by 2015, the proportion of people without sustainable access to safe drinking water and basic sanitation						
7.8 Proportion of population using an improved drinking water source (%)	76.60% (1996)	89.10% (2011)	90.80% (2013)	88.30% (2015)	Achieved	MDG
7.9 Proportion of population using an improved sanitation facility (%)	49.30% (1996)	66.5% (2011)	76.80% (2013)	74.70% (2015)	Achieved	MDG
Target 7D: By 2020, to have achieved a significant improvement in the lives of at least 100 million slum dwellers						
7.10 Proportion of urban population living in slums	No data	No data	No data	No data	Not Applicable	MDG

Figure 2.1. MDGs Goal 7.7 target (Source: STATSSA 2, 2015)

According to the latest progress report by the UN secretary- general for SDGs 11 (UNESC, 2019:17), globally urban settlements are expanding at a faster rate than their population. In 14 years between 2000 and 2014, occupation of the city grew 1.28 times faster than their populations. Globally, 2 billion people do not have access to waste collection services and 3 billion people lack access to controlled waste disposal facilities (UNESC, 2019:17). However, in other parts of the world, for example developed countries such as the US and the UK, between 1990 and 2016, the proportion of the global urban population living in slums fell from 46 to 23 per cent. In 2016, just over 1 billion people lived in slums or informal settlements, with over half (589 million) living in East, South-East, Central and South Asia. At the beginning of 2019, 150 countries had developed policies around the upgrading of informal settlements, and almost half are already implementing them (UNESC, 2019:17).

With the growing of informal settlements globally, the world population is expected to increase by 2 billion people by 2030 (Hegazy, 2016:254)

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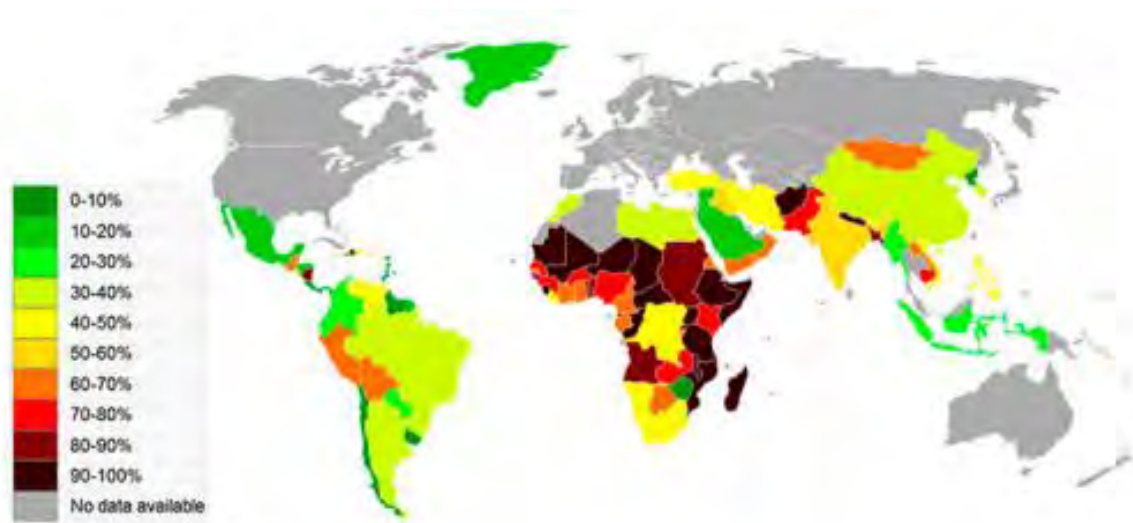
Figure 2.2. Urban population living in slums and informal settlements around the world (Source: Hegazy, 2016:265)

2.3 Africa

In the **Agenda 2063 "The Africa we want"** guided booklet, it derives seven (7) aspirations guided by a 50-year strategic long-term framework that aims to implement socio-economic transformation with growth and sustainable development initiatives, through a participatory process by African people. The first aspiration revolves around "A prosperous Africa based on inclusive growth and sustainable development" which includes a call to action (number 72) to "provide opportunities for all Africans to have decent and affordable housing in clean, secure and well planned environments by improving the livelihoods of the great percentage of the people working and living in slums and informal settlements" (AU, 2018: 2&14).One of the targets indicated for aspiration 1 in the Agenda 2063 First Ten Year Implementation Plan (2014-2023), is to reduce slums by 10% by increasing investments in urban settlements (AUC, 2013: 50;129)

The Sustainable Development Goals (SDGs) 11, aims to "Make cities and human settlements inclusive, safe, resilient and sustainable". This vision was created to ensure access for all to adequate, safe and affordable housing. It includes basic services and upgrade slums, access to transport, and improvement of road safety that enhance the quality of life both in rural and urban areas. With all countries involved to participate, this was to ensure the capacity for participation,

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integrated and sustainable human settlement planning and management by 2030. With MDGs having failed to address informal settlements in a comprehensive manner and the new proposed Sustainable Development Goals (SDGs) 2030 along with the Agenda 2063, the question lies on how sustainable development plays a role with slums/informal settlements in Africa and South Africa (UNSDGS, 2021).

2.4. South Africa
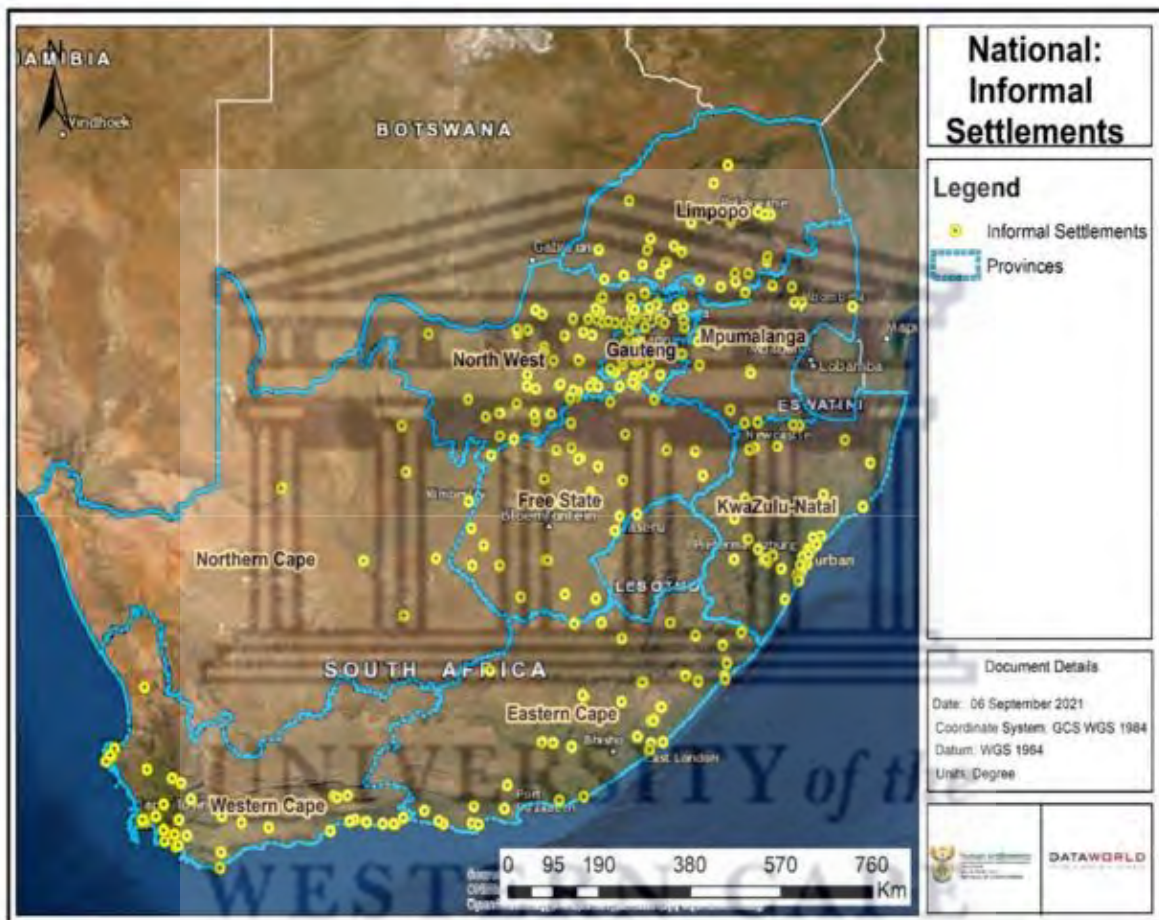
Figure 2.3 South African overview of Informal settlements projects (Source: DHS, 2021:140)

Nearly half the population in South Africa reside in the urban areas with over 200 informal settlements in Cape Town (Massey, 2014:290). Only few countries like Brazil, Singapore and Egypt have developed policies and programmes for incremental in situ or upgrading of informal settlements. South Africa has a series of studies on informal settlements with pre- and post-

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apartheid shift towards an equal society for all (Marais & Ntema, 2013:85). With the imposed concerns from the World Bank (WB) and United Nation (UN) Habitat agencies, the South African (SA) government is liable for improving the living conditions of the informal settlements' residents. As expressed on the SA government as part of the **National Development Plan (NDP),** the aim and goals were to eradicate all informal settlements by 2014 (Brown- Luthango et al, 2016:471), a misinterpretation of the NDP?

Upgraded informal settlements consist of services and economic activities (illegal) which clearly demonstrated that the phenomena of illegal electricity connection are not just temporary but continues to exist even when living standards and income have improved (Giampietro & Kovacic, 2017:383). Therefore, by looking at the physical conditions such as the housing maintenance, location, and funding of these projects, city planners and other authorities may have failed to address the underlying political, social tensions, including the informal entrepreneurship, both legal and illegal. Be that as it may, the policy making process have various challenges represented by upgraded informal settlements. For example, the illegal electricity connection from the upgraded formal housing to backyard dwellers are facing high risks such as unsafe exposure to bare wires. It is unfortunate that the most vulnerable, in these cases, are the children.

According to Marais and Ntema (2013:86), since 2004 the UISP has made critical amendments in 2007 and 2009 and in Huchzermeyer (2004) assessment of the upgraded informal settlements process, the policy approaches have rather been influenced by market- orientated development (neo-liberalism). She argues that many of these projects display limited community participation and control by private sector development through a "one- size- fits- all solution". Massey (2013:291) further explains that in situ upgrading was under the ill-conceived assumption of a "fix all" solution. This process has also been delayed by various challenges such as the lack of administrative capacity, lack of skills, lack of leadership, thus preventing government from implementing the projects. Nor were the community voices heard.

Using Massey's (2013:291) arguments, the question arose: have the informal settlements formed a committee and discuss the future of the UISP project to be implemented? De Wet et al. (2015) contends that the knowledge of politics matters in all communities, and they insist on participation in and resolution of their personal *in situ* upgrading. Active community participation is key to

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effective urban upgrading of informal settlements and especially in the policy development process. By implication, knowledge between the community and government is not straightforward but a complex challenge especially where there are dissimilar and conflicting interests (De Wet et al, 2015:426).

According to Marais & Ntema (2013:86), over the last two decades the upgrading of informal settlements has retained five key aspects that relates to the programme not effectively addressing the issues of health, violence, and social- economic challenges after the completion phase (implementation). These five key aspects are namely the demographic trends and migration; targeting and poverty alleviation; community building; changes in the housing landscape; and the overall settlement development. This is consistent to the research topic, directed to over twenty years from 1990 to 2008 as a longitudinal research design.

According to De Wet et al (2015:425), the knowledge from community and experts i.e. project managers constantly evolves in disputes with misinterpretation and mismanagement. Who owns the knowledge and does the community know their rights, who really is in control and has power? The perception of both the role players and stakeholders have different views which involves political constraints and risks of knowledge exchanged (2015:439). Why are they not involved in the decision making with the stakeholders? Communicating with the community is meant to be a constant matter as one project manager mentions the need for rethinking strategies to avoid risk management (2015:437). This article links to this research exploring the knowledge and relationship with the main role-players (engineers, planners, regional project managers). In their public participation practice, it outlines various challenges in the upgrading of informal settlements process. It uses comparative research design methodology through the illustration of two case studies in the N2 Gateway project: Joe Slovo and Europe, Cape Town.

According to Massey (2014: 290), Cape Town has over 204 informal settlements, and many of the upgraded informal settlements projects have failed to meet the needs of the people such as backyard dwellers with illegal electricity, illegal water connections, and illegal businesses. This has increased the crime and violence levels due to the manifestation of formal housing. Massey (2014: 290), used comparative research design with two case studies in Makhaza, Khayelitsha and New Rest, Gugulethu situated in Cape Town.

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Jordhus-Lier (2015:169-171), states how one of Cape Town's completed upgraded informal settlements megaprojects, N2 Gateway – Joe Slovo, located very close to the Cape Town International Airport and the City, was transformed into a mixed housing subsidy project. The experiences of these residents, who had faced evictions and relocation to other areas like Delft, while others did not qualify for gap market housing due to the UISP (Phase 1) housing that will be highlighted. The experiences of these informal settlements residents who lived for decades in shacks along the N2, shows that they were pressurized in different ways with little or no say in community participation. In this case study design of the N2 gateway project- Joe Slovo, Jordhus-Lier (2015:169-171), argues how the community with limited constitutional freedom rights were unable to mobilize themselves and present their interests effectively to the government and their stakeholders, which turned into conflict of interests (protests, legal disputes etc.).

Cape Town, an international tourist destination, experiences a large number of in-migration. The socio – spatial segregation and poverty is revealed along the N2 highway with dense informal settlements, which creates an eyesore and discourages tourism to South Africa and the Western Cape chose to locate this major housing project in 2004 as part of the "dress up" before heading to the FIFA World cup 2010. The City of Cape Town Metropole had and continues to have problems with the large number of backlogs across the city. Upgrading informal settlements have generated complex political and social dynamics between the community of the informal settlements, government (all three spheres), private contractors, civil society networks, and other stake holders (Jordhus-Lier, 2015:169).

On the one hand, the community requested for quality homes for all despite their income or status. On the other hand, the government objectives were to rapidly deliver homes to the informal settlements' residents at a fast pace due to the imposed approached 2010 FIFA World Cup event. The author argues that it is important for the community to engage from the planning stage with the project managers/developers and government to avoid disputes, disempowerment and divisions (Jordhus-Lier, 2015:169-171). This article links with the experiences and interactions with the community and the outcomes that government had to face and learn from. This is a good example to how government is able to rethink and change the way they plan and operate in such

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big projects like the N2 Gateway. However, does this work in all UISP projects? Should the Engineers first understand the community request before drawing their reports for approval?

Brown-Luthango et al (2016: 472) describes the experiences of the community in the upgraded informal settlements. These experiences express the current living conditions of the communities in Cape Town while informality has increased with high rates of poverty and inequality. The main concern is to observe the quality of life that has impacted the people of these communities after the upgraded project. As an objective of upgrading informal settlements, it was to reduce the vulnerability and risks involved such as improving the economic, social, and health outcomes. In a broad and complex matter of this research, it looks at the safety experiences that leads to the outcomes of these issues (2016:475).

This research was done in three upgraded settlements in Cape Town namely the Freedom Park, Mitchells Plain; Sheffield Road, Phillipi; and Monwabisi, Khayelitsha using qualitative research with interviews that examined the perception of their life circumstances, perception of safety, and the perception of nature/extent of violence changed post upgraded settlement. The main argument is how has the improvement of the full package of basic services been aligned with social and economic programmes to improve the safety of the informal settlement, living conditions and reduce vulnerabilities which are the root causes of violence and crime. This excellent article links on how to rethink strategies for the conditions of the upgraded informal settlements, given the community experiences on crime and violence due to little or no social economic activities. How has government played the role in the monitoring and evaluation, and have they rethought, made changes to address these issues?

As noted by Cloete et al (2018:02-04), a longitudinal research design method on the case study of Freedom Square was used. Mixed research methods were used but the focused was mainly on qualitative responses. Systematic sampling from a map were used on beneficiaries living in Freedom Square for over 24 years. The main question is what are the changing housing patterns, and how do they affect access to physical infrastructure and residents' changing experiences of the houses provided during the upgrading process?

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There were 199 households as respondents and trained Xhosa and Sesotho speaking fieldworkers to complete the questionnaires. This was separated between first generation households (64%) as those who settled before 1995 and the second-generation households (36%) from 1995 till 2014. Coding was then formed into five focus areas from open ended questions that related to the change's experiences of the living environment in Freedom Square. These important findings were based on what can be learnt "from the residents' changing experience given the critics that has been made of government policy" (Cloete et al, 2018:03).

Despite the fact that there is little or no longitudinal research on the upgrade of informal settlements in South Africa and the globe (2018:04), Oldfield (2002) argues that research often stops when beneficiaries have received basic services and infrastructure in the upgrading informal settlements process (2018:02). It is critical to evaluate the research gap on the upgraded informal settlements outcomes after its birth stage over a long period determines the impact it has on the UISP. The authors Cloete *et al* (2018) noted that Freedom Square was not a Greenfield project and was involved in the upgrade of invaded land during apartheid. The authors argue that the significance of the community resulted particularly due to the forced removals, which is largely indicated as an *in-situ* upgrading site and this could not be verified from a Greenfield development control group. This project began in 1992 and beneficiaries were provided basic services and a stand. During the 1996-1998, the consolidation housing subsidy provided housing units by the contractor through a tender.

The results found empirically that research is incomplete. However, it is believed that basic services improved, and the health and wellbeing of the residents will benefit from the upgrade informal settlements initiatives (2018:05). Joshi (2002), Massey (2013), and Oldfield (2002) have found that there is an increase in female literacy, promoting economic activities for sustainable livelihoods, while the lack of social cohesion between the communities have seen an increase in upgrading of informal settlements (Cloete *et al*, 2018:05). Based on Cloete *et al* (2018), findings on the Freedom Square project, as a spatial integration of the region, it is very complex. The average household still remains 3-4 people since 1990 and what is interesting is that "informality remains evident although the settlement has been upgraded" (Cloete et al, 2018:09). The living environment on the residents' expectations shows a declining trend from 90% (1990) to 65%

(2014). Some of the reasons were the struggle to find work, the size of the houses (28m²), and considerable problems with the municipality.

The most positive aspect of this project was receiving a house or ownership of a stand as indicated by some respondents that the area means freedom (2018:10). The most negative aspect of the project is the provision of basic services maintained such as blocked drains, bad roads, dumping site on the property etc. failed by the municipality. This shows the respondents expectations from government to "fix" instead of self-help in the community engagement. The second most aspect is the increase level of crime and violence (Cloete et al, 2018:14). Similarly, Turok (2015:11), states that informal settlements should not be seen as shacks dwellings packed full of people desperate and deprived, but rather as spatial parts of the city occupied by capable driven people.

In light of the above mentioned, this article may not be related to Western Cape Province, but it can be a learning experience from many upgraded informal settlements that were established during the pre-apartheid era. In contrast, the idea is to promote self-help and involve communities after the services are provided by government. However, urban management should be seen as essential to the existing physical infrastructure with evolving upgrading investments for the sustainable livelihoods. Lastly, "more thinking is needed" on the informality issue in upgraded informal settlements and should be reviewed in the housing policy (Cloete *et al*, 2018:15-16). This article has shown a great example on the latest stats being assessed using a case study of an upgrade area that began before the new government policy took place. All of these articles written from year 2013 to 2018 above, mention links to the research study as relevant literature information and insights to the objectives of this study.

Informal settlements have become a shelter solution for many households. This goes along with land invasions, and people placing themselves in unsafe environments. This causes problems to the landowner and the responsibility of the different spheres of government.

2.5. Other longitudinal studies for South Africa.

Urban informal settlements have complex challenges to both the communities and policymakers alike. Informality "makes urban informal settlements somewhat attractive to migrants also makes

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them vulnerable to policy neglect" (Moses, 2020:08). Therefore, a period of time, policy being neglected, and rapid urbanisation contributes to the increase of urban informal settlements. The "poverty trap" makes migration easier to access to the WCP as income -maximisation and diversification strategies becomes an attractive option for individuals and households who can engage in the process. Spatial inequalities persist in urban areas while high formal housing prices encourages migrants to settle in establish new urban informal settlements with the marginalisation of economic activities (Moses, 2020:07). Historically, the growth of urban informal settlement areas is seen as providing in-migrants a key into the urban labour market. Ideally, the informal settlements labourer (in-migrant) can gain the necessary skills and contacts and once their situation has improved, they are able to afford better housing options. "Modernisation" transition of informal settlements is based on the first-generation resident's income status improving which allows them for upgrading or relocate. However, this perspective or assumption has not been the case due to no facilitation of social mobility. Such cases are due to high-cost housing and low economic growth, others are due to the promises or nature of informal settlements upgrading to low-cost housing projects). There are many factors to social mobility in urban growth informal settlements in African countries specifically, but the underlying issues remains a concern toward the large increase of informal settlement population sizes (Moses, 2020:47-52). Low economic growth is one of the main explanations relating to the increase of informal settlements.

According to Friedmann (2005:194), most major cities in Africa is faced with massive migration. These African states are unable to provide "long term ability" of rural areas provision for "subsistence needs" and rely on global aid. Open markets have led to greed and corruption in African governments as a failed modernity (Friedmann, 2005:196). South Africa transition remains incomplete along with several indicators and targets not being met (WB, 2018:06).

A lot of research focussed on the social/living conditions in the informal settlements, affecting households' dignity and quality of life. In some cases, due to the overcrowding, inadequate housing, and lack of basic services, this has contributed to serious infectious diseases such as tuberculosis (TB), diarrhoeal diseases, chronic respiratory diseases, and other health issues such as HIV/Aids, accidents, injuries and mental disorders (Peak Urban, 2022). While this research seeks to mitigate the health impacts of inadequate housing, this still remains an ongoing challenge and struggle in the WCP today.

It has been noted by Oni & Weimann (2019:11), that the upgrading of informal Settlements also impacts health over time. This includes lack of access to clinics, health awareness campaigns (HIV/TB infected). There is a need to improve health through sustainable housing development as emphasized on global policy such as the UN SDGs 11. This shows that there are still ongoing health implications in upgraded informal settlements and links conceptually with embracing informality.

Similarly, several case studies were undertaken focussing on townships such as Khayelitsha in the metro area, City of Cape Town. The overall aim of the research was to investigate the challenges of the informal settlements residents faced during bad weather conditions (Tabi, 2013:05). Many informal settlements in the WCP have experienced harsh natural disasters such as the rain weather conditions due to climate change. Some weather conditions such as floods / strong winds have caused major damages to the informal "shack "dwellings leaving the households homeless and stranded. During the last decade with the increase in informal settlements in the WCP, there have been a concern for newly formed informal settlements occupying disaster prone areas such as flood plains, hillsides, and low-lying coastal location in the WCP (Tabi, 2013:07). Some have set up their shacks along the canals, slopes, riverbanks, railway reserves, and flood prone swamplands which are not suitable for any human habitation. Approximately, 50% of informal settlements represent the gross housing backlogs in the metro areas (Tabi, 2013:14-15). This is a major constraint for housing waiting lists and backlogs which informal settlements keeps increasing.

In understanding that housing/shelter is a basic need; in the past few years, the economic viability of these informal settlements was investigated.

It is to be noted that while there are only 1500 informal settlements that have been identified in the 2019-2024 MTSF framework for upgrading, only 1061 projects have submitted business plans by provinces and municipalities. Majority of these projects are in Phase 3, and some of these projects are greenfield projects which defeats the main purpose of the UISP on a national mandate level (DHS3, 2021:184).

2.6. Western Cape province

According to the **WCP guideline handbook that deals with informal settlements** (WCDHS, 2005:10), informal settlements exist as urbanisation is increasing faster than the ability of government to provide land, infrastructure, and housing accommodation for all. Informal settlements tend to be characterised by:

Inadequate infrastructure, Unsuitable environments, uncontrolled population densities, inadequate dwelling, poor access to health, lack of education, lack of employment opportunities, lack of effective government and management, high risks of natural disasters and crime. Along with these factors informal settlements cannot be eradicated due to insufficient land and finance to provide housing by government (WCDHS, 2005:10). The handbook further elaborates that there is no "real alternative" with the acceptance to improve informal settlements or "embrace informality". Is there an alternative to eradicate informal settlements?

Evidently, NDOHS had undertaken dedicated research to class the informal settlements through the NUSP programme. In the year 2019, WCP had 763 informal settlements, falling within the following classes.

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Figure 2.4. Overview of Informal Settlements in the WCP (Source: WCDOHS and Alli, 2021).

The WCDOHS is responsible for the funding and implementation of the UISP in partnership with the municipalities while the District municipalities are mandated to provide assistance and technical support to the local municipalities (DHS, 2021:38-39). There are six districts in the WCP with the following municipality for each district listed as follows:

District	Municipality
Metro	
City of Cape Town	City of Cape Town
Non-Metro	

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Cape Winelands	Breede Valley, Witzenberg, Langeberg, Stellenbosch, Drakenstein
Overberg	Overstrand, Theewaterskloof, Swellendam, Cape Agulhas
West Coast	Swartland, Saldanha Bay, Bergrivier, Cederberg, Matzikama
Garden Route	Bitou, George, Knysna, Mossel Bay, Oudtshoorn, Kannaland, Hessequa
Central Karoo	Beaufort West, Prince Albert, Laingsburg,

Table 1 – Western Cape Province Six Regions (Source: Municipal Demarcation Board,2023)

The ISSP programme accepts that many informal settlements are here to stay and that the government does not have enough funding to stop the number of informal settlements growth by building enough houses. Even with settlements in areas like Mfuleni, many thought that it would be temporary. Today, Government had to adapt and accept that they are permanent structures and that they are staying. The ISSP also has shown an approach to informal settlement upgrading in neglected towns across the Western Cape. For some to mention like in Villiersdorp, Theewaterskloof Municipality, there are approximately 8 large informal settlements with 4500 structures for 2000 families that still has no access to sanitation and use the "bucket system". In the Breede Valley Municipality, Worcester, there is approximately 4600 households in the Zwelethemba Informal settlements. The ISSP programme found an establishment to utilize community leadership to be involved in the plans for upgrading the settlements using the EPWP process. In Cape Agulhas Municipality, a list of informal settlements in areas like Bredasdorp, Struisbaai, and Napier helped the municipality to develop plans for the upgrading process for each settlement. These projects will be lead and funded by the government. A good example of public participation. These are the few examples of non-metro areas in the WCP that is often neglected and not seen as priority due to the smaller size compared to the metro areas. Despite the lack of capacity, some of these municipalities have indicated the political will to proceed. A partnership between these communities and the state can provide a sustainable outcome for support (GroundUp; 2023).

According to the National Housing Code 2009 Informal Settlement Upgrading Programme, the NUSP implements a broad and comprehensive definition for informal settlements based on the

following characteristics, i.e., illegality and informality; inappropriate locations; restricted public and private sector investment; poverty /vulnerability; and social stress (HDA, 2022).

Informal settlements "accepted" definition for what it establishes as a sensitive matter to address is a key issue. Therefore, the NDOHS has divided into two main issues of informal settlements under the Rapid Assessment and Categorisation (RAC) are namely, Low Density Rural settlements and Well-Established Peri-Urban settlements (HDA, 2017:07).

These two main issues are explained below:

Low Density Rural	Well Established Peri-Urban
Incorrectly included on informal settlements lists by municipality or provincial governments	Incorrectly regarded as rural or included in rural housing programmes falling out of informal settlements list
Outcome 8 does not focus on low density rural informal settlements. Only on rural development programmes such as land reform, rural housing, rural agriculture and rural water and sanitation.	Outcome 8 focus on dense inner city "slums" and urban/peri-urban informal settlements. Can be already old and well established on the path towards formalisation. Complications for underlying traditional land ownerships and municipal rating can cause unsatisfactory results from this type of settlement status.
Precautions for including different types of settlements on the list especially coming from far rural areas.	Precautions when emerging urban form from settlements should be excluded from the list.

Table 2- RAC : Low Density Rural and Well – Established Peri – Urban Settlements (Source: HDA, 2017:07)

Based on the Categorisation Model designed by NUSP, the following is divided to determine the type of informal settlements by four categories namely A; B1; B2; and C (HDA, 2017:12).
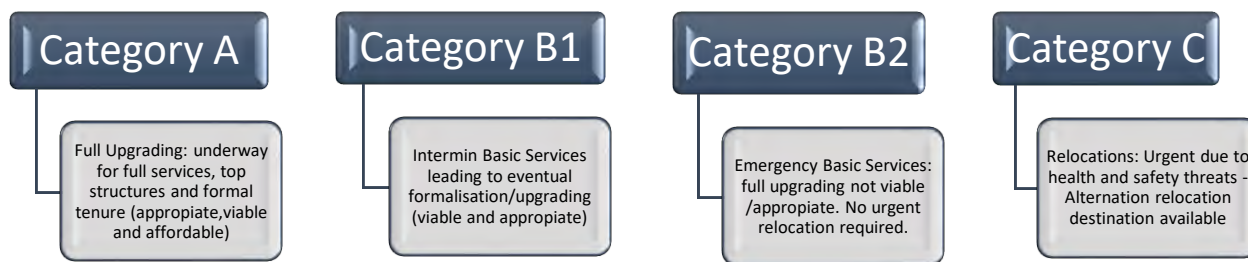
Figure 2.5. Categorisation Model NUSP (Source: HDA, 2017:12)

Furthermore, HDA also undertook research on informal settlements in the WCP. According to the Census data 2011, households have increased at a faster pace than the individual population with smaller average households' sizes in the proportion of one-person households. In 2011, 22% of households living in demarcated urban areas were one person households while the majority multiple member households have indicated financial interdependency and these questions the number of provisions made for suitable accommodation for larger households (HDA, 2013:08). The 40-page report has indicated the number of informal settlements with categories of household types, access to services, employment and income rate, age groups including the number of children, backyard dwellings (shacks in backyards) up to the year 2011. The number of informal settlements in the non-metro areas total to 230 informal settlements with 51 224 informal dwellings "shacks" spread across. In the metro area, there were 378 informal settlements with 141 765 shacks recorded with the use of survey, physical dwelling counts and an aerial view shot. (HDA, 2013:35). There is evidence that the number of informal settlements has increased post 2009 with the pressure of government failing to decrease the number of informal settlements.

Hereto, the ability of the spheres of government to address the housing needs including the informal settlements, escalates given the limited funding and available land. It becomes a changing goal post. Given the COVID-19, this has caused further pressures as more people were evicted from their houses due to job loss, as well as the redirection of funds to address the pandemic crisis. This calls for a creative/innovative approach to address the informal settlements problem in the Western Cape province.

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2.7. Policy and Legislative Framework

It is important to understand the historical background and policy context of housing in South Africa. This explains the factor why there are so many informal settlements increasing especially in the major cities.

From the colonial rule (1652) to racial segregation, especially through the Native Land Act (1913), housing policies and legislation played a major role in the creation of the informal settlements phenomena. We acknowledge that there were no informal settlements during the colonialism era (1600s) however there is no existing source to claim this.

With white minority, they established various segregationist and apartheid policies, such as the **Native Land Act of 1913**. This Act was introduced as a territorial separation between the newly formed racial classifications system, dividing people into different racially defined groups. This system left the smallest percentage of land to the majority non-whites, allowing the minority white to own 90% of land. Of course, this is culminating in the current need for upgrading informal settlements today. This spatial dispossession was stated in the **Development Trust and Land Act No 18 of 1936**. The non-whites were given limited (only work) or no freedom to live or farm in these areas. (UWC, 2016:03-04).

Racial segregation is known to begin in the colonial era, however in the twentieth century, the majority black group was faced with harsh conditions such as forced removals during the 1950s – 80s. The **Group Areas Act (GAA) of 1950** was formed to divide racial classification groups from urban areas to several parts of South Africa. In addition, blacks were divided into groups such as Xhosa, Zulu, etc., independent self-governing "homelands" were created, known as Bantustans (Mabin, 1992:406). As time passed, many people where dispossessed of their land and their majority land ownership rights were taken away. Consequently, the number of marginalised poor people in society increased by millions through these actions. The number of informal settlements affected by the harsh apartheid legislation did not end the growth of informal settlements, almost 30 years there is still a proliferation of informal settlements.

Before the 1994 transition period, self-help models were used in South Africa for decades since the colonial period was apparent. In the 1940's after the Second World War, Johannesburg (the biggest city in South Africa) implemented emergency site and service projects due to a housing crisis for 10 000 families that "squatted" in Soweto. During the 1950's overcrowding and densification was a major concern that impacted new initiatives for fast land release and self- help building of homes. A shift in housing focus during the 1960's to total segregation with limited access rights for the poor, led in the 1970's and 1980's a recovery road towards increasing violence and racial dissatisfaction in the townships (WCDHS & ACC, 2013:16).

During 1983, the white led government initiated a pilot project in Khayelitsha where 5000 complete homes were constructed. In the early 1990's, the **Independent Development Trust (IDT)** launched the first systemised plan for site and service projects nationwide as part of the Urban Foundation proposal for a national housing policy exhibit after the World Bank programmes. Over 100 000 citizens gained access to serviced sites nationwide. Site development was funded by the government and outsource to private contractors through a project linked subsidy and secure of tenure model which is used currently offering a free site and basic services to qualifying beneficiaries. The IDT initiative discovered lack of consideration, slow process and non-existent development due to the poor that was unable to build which led to a failure (WCDHS & ACC, 2013:16).

After apartheid ended in 1994, the **White Paper on Housing 1994** was created by the elected political party, African National Congress (ANC) in South Africa. It aims was to provide one million state-funded houses in the first five years. In the early stages of this housing policy a programme called the **Reconstruction and Development Programme (RDP)** was developed which was later abandoned and replaced by **Growth Employment and Redistribution (GEAR)** in 1997. (SERI, 2011:21).

The **Land Restitution Act No 22 of 1994** was established to address the past of apartheid Native Land Act 1913. It allowed for those dispossessed during apartheid, to lodge claims of land known as restitution. Claims were received in the form of land restored, financial compensation, or alternative land that is available (Seymour, 2019:28-29). However, it appears that the majority affected have not claimed for various reasons. Now given the extensive delay in land restitution,

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the issue of land expropriation without compensation has become an urgent priority for government today.

According to the **Constitution 1996** in the Bill of Rights (chapter 2 section. 26), everyone has the right to adequate housing in South Africa and it also states that it is the government responsibility to ensure this is achieved (DHS,1996). The **Housing Act No 107 of 1997** further elaborates that those sustainable human settlements are required in all three spheres of government. In section 2(1) of the Housing Act No 107 of 1997, it states that the government must develop a policy in each sphere to address the issues related in an integrated manner. National government has the role to establish and formulate housing policies as stated in section 4 which then led to the formulation of the National Housing Code 2000. Provincial government has the responsibility to ensure that sufficient and adequate housing is provided in its provinces and has allocated various housing subsidies to local government. (SERI, 2011: 14).

The **Prevention of Illegal Evictions Act 1998,** which links with the Constitution 26(3) and states that no one may be evicted from their home without a court order when occupied illegally (SERI,2011:16; NUSP, 2016:08). The reflections of apartheid era with the force removals contributes to the development of the upgrading of informal settlements policies (Marais & Ntema, 2013:86).

The **Breaking New Ground (BNG) 2004**, national policy adopted by the South African Cabinet laid a foundation for the "journey from building houses to building integrated human settlements". Cabinet states that the Department of Human Settlements should ensure that all projects should promote densification and integration of different races and income groups. This was argued that the BNG policy was underdeveloped due to the large-scale projects saga such as little or no consultation between the developer and potential beneficiaries (Ballard & Rubin, 2018:43)

It is important to note that the **National Norms and Standard 2007 Act** (amended since 1992 and 1999) allows for houses to be built at the size of 40m² with two bedrooms, a full bathroom, and an open plan kitchen in a consolidation subsidy. For services it allows a single standpipe for water, sanitation, roads, storm water, and street lightning (SERI, 2011:19)

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The **National Housing Code 2009 (revised)** was first published in 2000, upgraded in 2004 and amended in 2009. It provides rules and regulation with regards to housing subsidy programmes to assist the potential beneficiaries for example the Integrated Residential Development Programme (IRDP) and the Upgrading of Informal Settlements Programme (UISP) (DHS, 2017: 04-06). This is an important housing policy which all government officials use as a guide in the Department of Human Settlements. Reflecting on the Housing Code 2009, ten years later it has not been amended or changed to address the problems.

The **National Upgrading Support Programme (NUSP) 2010** is an initiative designed to implement the UISP incremental development where municipalities are to act as developers in partnership with National Department of Human Settlements, Provincial Department and the Housing Development Agency (HDA) (DHS, 2017:07). This can be measured by the Outcome 8 – Delivery Agreement 2010 adopted by cabinet (NUSP, 2016:15). By 2013, the National Upgrading Support Programme (NUSP) as funded by national government opted for an improved pledge to in situ upgrading target to at least 400 000 households in 1 774 informal settlements for interim basic services and security of tenure. The key question facing the upgrading incremental initiatives is whether enough funds can be used to transform these dwellings into physical infrastructure (Turok, 2015:11).

Chapter 8 of the **National Development Plan (NDP) 2012** visions the spatial planning frameworks for the existing informal settlements in better living environments by 2030. It looks at the slow pace of housing implementation while it seeks to address the issues of informal settlements with recommendations such as consideration of long-term spatial transformation, community engagements, and acceptance of informality (DHS, 2017:07).

In Section 12(1) of **Spatial Planning and Land Use Management Act (SPLUMA) [Act no 16 of 2013]** requires as part of the municipal's SDF, informal settlements should be inclusive and integrated into the spatial, economic, social and environmental objectives of the pertinent sphere (IUDF, 2016:64). Spatial planning is critical part within the surrounded housing inclusive system (APP 2021-2022, 14).

In South Africa, during the year **2014-2019** the **Medium-Term Strategic Framework (MTSF)** states that informal settlement upgrading will be extended approximately to 750 000 households (in roughly 2200 informal settlements) safeguarding basic services and infrastructure (NUSP, 2016:17). This has not been the case to meet these targets.

The **Integrated Urban Development Framework (IUDF) 2016** contributes to the NDP Chapter 8 development with the vision to guide urban investments as inclusive, resilient and liveable urban settlements and addressing the challenges/conditions of urban cities and towns in South Africa. Provincial Human settlements departments have been advised to provide sufficient budgets for the UISP and accelerate along with the municipality's IDP and budgets (IUDF, 2016: 47).

Developing a national policy framework to support settlement densification along strips/pavements bumps should be developed based on former experiences like the **Urban Settlements Development Grant (USDG)** (IUDF, 2016:42).

The *Western Cape Human Settlements* department alone receives just over R 2 billion a year. An inadequate budget which leads to the rate of in migration and many people who do not qualify for free subsidized houses. Between 20 and 25% of the budget is allocated to UISP projects while the bulk is allocated to **Integrated Residential Development Programme (IRDP)**, and other housing programmes (Madikizela, 2017). The informal settlements residents tend to rely on the UISP and government at all levels. This is supposed to accelerate interventions to upgraded informal settlements and create partnership with intermediaries. Has government on all three levels collaborated departments worked together to fight this? What is taking so long?

The **Western Cape Land Use Planning Act (LUPA) [Act no 3 of 2014]** states that the WCP consolidates legislation with regards to provincial and regional planning and development, urban and rural development, regulation, that supports and monitors municipal planning at local level. This includes municipal regulation of public places such as roads near subdivisions, and to make provision for provincial spatial development frameworks. The minimum standards and norms are adhered to and to ensure more efficient and effective coordination and management land use planning principles apply to land use matters and applications (WCPP, 2014:02). LUPA enables municipalities in the WCP to implement their own land use planning bylaws in order to provide

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easier access use of land. LUPA is a municipal process, that allows land to be rezoned for developments. In this instance, making room for residential, i.e., informal settlements, as a township. Due to the past, spatial and other development imbalances should be redressed, through improved access and utilisation of land. In the housing sector, land markets and developments become a challenge with high costs while majority is unable to afford in the "so called" land markets. Has this been redressed for those living in informal settlements?

The WC-DOHS dedicated approach has recognises that a paradigm shift on informal settlements is need and created a programmatic approach as a strategy namely the **Informal Settlement Strategic Framework, 2016 (ISSF)**. This approach guides the key stakeholders and actors in the housing sector acknowledging that the informal settlements in the WCP is complex and urgent to address. In the WCP, the ISSF was created to address the informal settlements as a operational subsidisation policy which is crucial for integration, the vulnerable groups, densification of cities, and successful operation of the networks. Promoting densification with economic activities, transport links, and formal areas is not the case with informal and uncontrolled areas such as townships and backyard dwellers. This is important to provide rental accommodation for low-income groups to support different typologies such as permanent structures i.e., high rise opportunities in urban areas (IUDF, 2016:48)

According to the WCDOHS **Living Cape Framework 2019** (2019:15), the national and provincial government argue that the state should not be the provider of housing, rather an enabler of housing opportunities therefore the state as an enabler is supposed to expand and improve housing opportunities for all in informal settlements. The existing informal settlements should prioritise the development for:

in-situ upgrading with a focus on security of tenure, services, public infrastructure, and incremental housing opportunities

Enhancing quality of life and active citizenship

Strengthening sector capability, governance, and resources.

With the help of the **Informal Settlement Support Plan (ISSP) 2016** guidelines for upgrading of the informal settlements in the WCP, the vision statement is by 2030 the informal settlements in the WCP are "expected to be transformed into liveable, integrated, vibrant and resilient

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neighbourhoods" (Living Cape, 2019:33). With 7 more years to 2030 is this the case for all informal settlements.

A strategic framework for the provincial strategic plan 2019-2024 looks at the WCP vision and strategic priorities that is set out in the **Provincial Strategic Plan (PSP) 2019-2024** looking at the last 10 years. One problem identified in the PSP is the rapid growth of informal settlements due to migration (PSP, 2019:61) and the gender-based violence especially with women in the informal settlements (PSP, 2019:17) with inadequate access to basic services. This social cohesive problem shows there is a misalignment between spatial planning, and long-term infrastructure planning which informal settlements are found densified along the peripheries of urban areas with inadequate social amenities, far from economic activities which makes room for criminal activities (PSP, 2019:27). With the proposed PSP 2019-2024, the focus was to send an expert team in collaboration with municipalities to the identified strategic areas such as the crime hot spots including those informal settlements. It will support the Informal Settlements Upgrading Programme to improve access roads, lighting, social amenities, and basic services (PSP, 2019:32).

The **PSP 2019-2024** also contributes towards initiatives such as the **Regional Socio-Economic Programme (RSEP)** and the Mayor's Urban Renewal Programme (MURP) in the city, which employs the **Violence Prevention through Urban Upgrade (VPUU)** principles. These initiatives all focus on social interventions and community participation. This is closely linked to the Mobility and Spatial Transformation Vision-Inspired Priority (VIP 4).

One of the ways of upgrading in the informal settlements, were to utilize Non-Profit Organizations (NPO), Community Based Organisation (CBO's) and Non – Governmental Organisations (NGO's) that creates innovative ways to upgrade informal settlements. The "**Better Living Challenge**" **2019** as part of WCG initiative in partnership with the NPO Craft and Design Institute was designed to improve the living conditions in the low-income communities like the informal settlements. The focus was to find new ways to support incremental upgrading of homes and used innovative, sustainable home improvements products bringing communities together and tackling the tough living conditions they are faced with daily in the WCP. With the use of the tutorial video and classes provided, an example is, using waste and rubble materials and products to create a

higher and more solid foundation to protect from water damaged (flood) for the dwellers/shacks (CDI, 2019).

In the WCDOHS **Strategic Plan 2020-2025**, the MEC Tertius Simmers made a statement that more resources will be directed and scaled up to the UISP with provisions and access to basic services (SP, 2020:01). The WCDOHS acknowledges that more people will continue to live in low income in informal settlements due to many reasons and will continue to focus on UISP until they receive a housing opportunity (2020:17). With the SWOT Analysis discussed in the strategic planning sessions 2019, one of the threats that the housing sector faces besides land invasions, is **the increase in informal settlements**. The discussions further elaborated on how to address the threats or challenges listed that the Department is to assist municipalities in the development of housing plans with capacity and implement projects stretching over a number of years. The strategic focus did not specifically clearly state how the increase of informal settlements will be addressed (2020:24). However, the strategic plan will continue to implement the ISSP and UISP contributing to focus areas by "improving the places where people live" (2020:30). Risk Mitigation measured from the Key Risks on addressing the inability to provide housing stock to meet the growth in urbanization, has been pointed to priorities the UISP while the utilization of law enforcement for land invasions should be controlled. Another point was to liaise with community leaders to manage the growth of informal settlements (2020:32). With the ongoing pandemic, living costs increased and higher unemployment rates, the people are desperate for shelter and will do whatever it takes even if they have to invade land, how will the department control the number of increased informal settlements?

OneCape 2040 is a WCP initiative that accompanies the NDP and build on the WCP Strategic Objectives on the long-term economic vision and plan with the goal to create a resilient, inclusive and competitive WCP improving the lives of the citizens. The aims of OneCape 2040 are to identify the transition from 2012 when it was first introduced to 2040. One of the identified aims is the transitions of the informal settlements which is accompanied with the Living Cape Framework. The transition and aim were to change informal settlements from an "unhealthy, low access, often alienated, low opportunity neighbourhoods to a healthy, accessible, liveable, multi-opportunity communities" (WC PSDF, 2014:20).

All in all, all policies, and legislative frameworks from national to provincial, related with the informal settlements in the WP are listed and mentioned to understand where the UISP stands today.

2.8. Interpretation of Key Terms

Informal settlement/Slum

Informal Settlements are defined as "slums". The terms originated in French as "taudis" then "bidonville". These terms were eventually adopted as part of official development terminology. "Slums" were used in Victorian England to describe unsanitary housing conditions or poor housing stands/dwellings. Moreover, in Africa, the term Informal settlements were given to neighbourhoods after the word "slums" was adopted by the UN. (Deboulet, 2016: 14). Informal settlements are further described as an area where large groups occupy land in the form of shelter units that have no legal claim which is illegally occupied. Dwellings are constructed with materials such as wood, steel and other available material. Most times, these shelters are unsafe and unstable. In South Africa, informal settlements are commonly associated with backyard dwellers, townships, squatter camps and "shacks" (OECD, 2021). The City of Cape Town defines an informal settlement in relation to the STATSA source which describes the number of unplanned settlements on land with or without the consent of the local authority or the owner of the land (HDA, 2013:6).

Upgrade

Upgrading in terms of informal settlements refers to interventions for improvements of housing infrastructure. The acceptance of upgrading underlines the problems that national governments face in urban areas, especially low- and middle-income areas surrounded by urban dwellers, it takes away forced evictions and gives recognition of people's rights for land and shelter which includes basic public services. Upgrading in this sense can then be seen as improving people's lives by improving their living conditions (Satterthwaite,2012:207).

Townships/ settlements

Towns and settlements are either large or small areas of land that fall outside of the urban area and have limited resources available in the area with the limited economic activity such as jobs. From the late 19th century until 1994, townships were racially segregated reserved for non-whites (Bahr et al, 2013: 256). In terms of informal settlements, towns or settlements could be seen as areas outside of urban areas that lack the resources needed to improve the areas which only provision as a place of residence, little possibility of infrastructure and development upgrades to the area.

Basic services

In terms of the Constitution of the Republic of South Africa (1996) Section 27 (1) (b), states that "everyone has the right to access to water and food". As part of the right to housing in Section 26, the Constitutional Court has read section 152 and 153 along with the other legislation of provision the "right to basic municipal services". These are water, sanitation, electricity, and refuse removal (SERI 2, 2013:13).

Free Basic Services (FBS) implemented by government in 2000 has announced that the poor households are entitled to free basic level of water, sanitation, refuse removal and electricity and is to be administered by local government under the Municipal System Act (SERI 2, 2013:15). These are provided with the minimum standards on a daily and monthly basis.

2.9. Understanding the UISP

The UISP is split in 4 phases and funding is allocated up to Phase 3. This comprise as seen below:
[1]. Phase 1 – Project Application
[2]. Phase 2 - Project Initiation
[3]. Phase 3 – Implementation Readiness
[4]. Phase 4 – Housing Consolidation

All UISP phases are based on specific projects within each settlement. Not all informal settlements are the same and each project processes can either be short or long periods of time. Before an UISP

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project can begin to process and register within the WCDOHS and municipality, the municipality has to follow three steps namely (1) to follow the Rapid Appraisal and Categorisation (RAC) to understand the informal settlements in each settlement and start planning which development is suitable best for the settlement; (2) to prioritise the most urgent needs in informal settlements within the available budget; (3) to budget for interventions using the Medium- Term Expenditure Framework (MTEF). This 3-year municipality budget plan is used to allocate funds from different grants and funding sources (ISSP, 2020).

- *Phase 1 – Project Application (with emergency/interim services)*

The first step in a UISP project is to know who lives in the settlements and what is required such as housing and infrastructure needs. The municipality consults with the community to ensure meaningful engagement. The municipality can also provide temporary emergency essential services during this phase.

- *Phase 2 – Initiation (with interim services)*

The second phase ensures that government with the DHS gets available land (if necessary) and proceeds with Geotechnical Investigations mainly for the safety of the residents living in informal settlements.

- *Phase 3 – Implementation (with permanent services)*

During the third phase, this is focus on detailed town planning, project management and township establishment. Services such as the streets are aligned and widened, drains is improved, and homes being connected to water and sanitation grids. The residents secure tenure/ occupational rights and are provided with relocation assistance, if needed.

- *Phase 4 – Housing Consolidation*

All UISP project funding is only provided up to phase 3. The final phase of UISP is the construction of a top structure (house/unit) and registered ownership of a house to qualifying beneficiaries. This is an important point to note as non-qualifiers do not receive top structure (ISSP, 2020).

Figure 2.6 Roles of different agencies to implement the UISP products (Source: DHS, 2021:40-42)

2.10. Analysis of the waiting list (housing backlog) in the WCP

Western Cape Province	Status (Waiting)	Grand Total on the Housing Demand Database (WCDHHDB)
Metro[1]	356 524	694 826
Non-Metro[2]	242 431	367 771
Total	**598 955**	**1 062 597**
[1] Data received from City of Cape Town as at 07 September 2022 from WCDHHDB [2] Data received from all Municipalities in Non-Metro area as at 31 January 2023 from WCDHHDB		

Table 3. The number of people on the waiting list (backlog) in the WCP (WCDOHS and WCDHHDB, 2023)

The housing demand database for WCP is captured on the Western Cape Housing Demand Database (WCDHHDB) system. It is a tool that is managed by the WCDOHS and can be classified in categories such as gender, income status, age breakdown, as well as the status of the beneficiaries. The status is classified as waiting, pending, cancelled, assisted, and dormant.
The information shows in table above shows only the status on "waiting" and the total amount of people waiting on the housing demand database.

There are 598 955 potential new and current beneficiaries on the waiting list while there are 118 243 (90 678- Metro & 27 565 – Non-metro) that have been assisted (either received a service site or top structure- house) identified with their ID numbers. Some of these beneficiaries that have been assisted have either sold their home or moved back to the informal settlements.

Majority of the people on the housing database are in the income brackets of R0-R3500 in total of 528 314 and in the highest age breakdown gap of 30-39 years in the total of 193 449. The grand total is the total amount of people that are still on the housing database is just over 1 million in the WCP as at 31 January 2023. All information was received by the WCDOHS via email that works on the WCHDDB.

2.11. Analysis of informal settlements growth in the WCP (2009-2022).

According to WCDOHS, the number of informal settlements in the non-metro and metro areas of WCP has increased from 2009 to 2022 as follows:

WCP	2010	2015	2020	2022
Non-Metro: Informal Settlements	230	277	390	417
Non-Metro: Structures	52 866	55 640	82 464	111 218
Sources*:	Sourced dataset by external service provider.	Internal update based on aerial image counts and data provided by municipalities	Internal update based on aerial image counts. Dataset reflects post Covid-19 land invasion increase.	Internal update based on data provided by municipalities via various means (e.g., Meetings, forums, reporting requests).
Metro: Informal Settlements	424	438	634	806
Metro: Structures	130 600	158 673	205 000	269 811
Sources	Data provided by CoCT	Data provided by CoCT. These figures reflect 2013 data, as 2015 dataset is not available. Therefore, the actual numbers reflected are probably much higher than depicted here.	Data provided by CoCT. These numbers do note yet include/depict Covid-19 related land invasions/informal settlements	Data provided by CoCT

Total: Informal Settlements	654	715	1024	1223
Total: Structures:	183 466	214 313	287 464	381 029
* All data provided by WCDOHS				

Table 4 - Number of Informal Settlements in the Non-Metro and Metro of WCP 2010-2022, (Source: WCDOHS, 2023).

2.12. Analysis of UISP sites connected with Basic services 2009-2022.
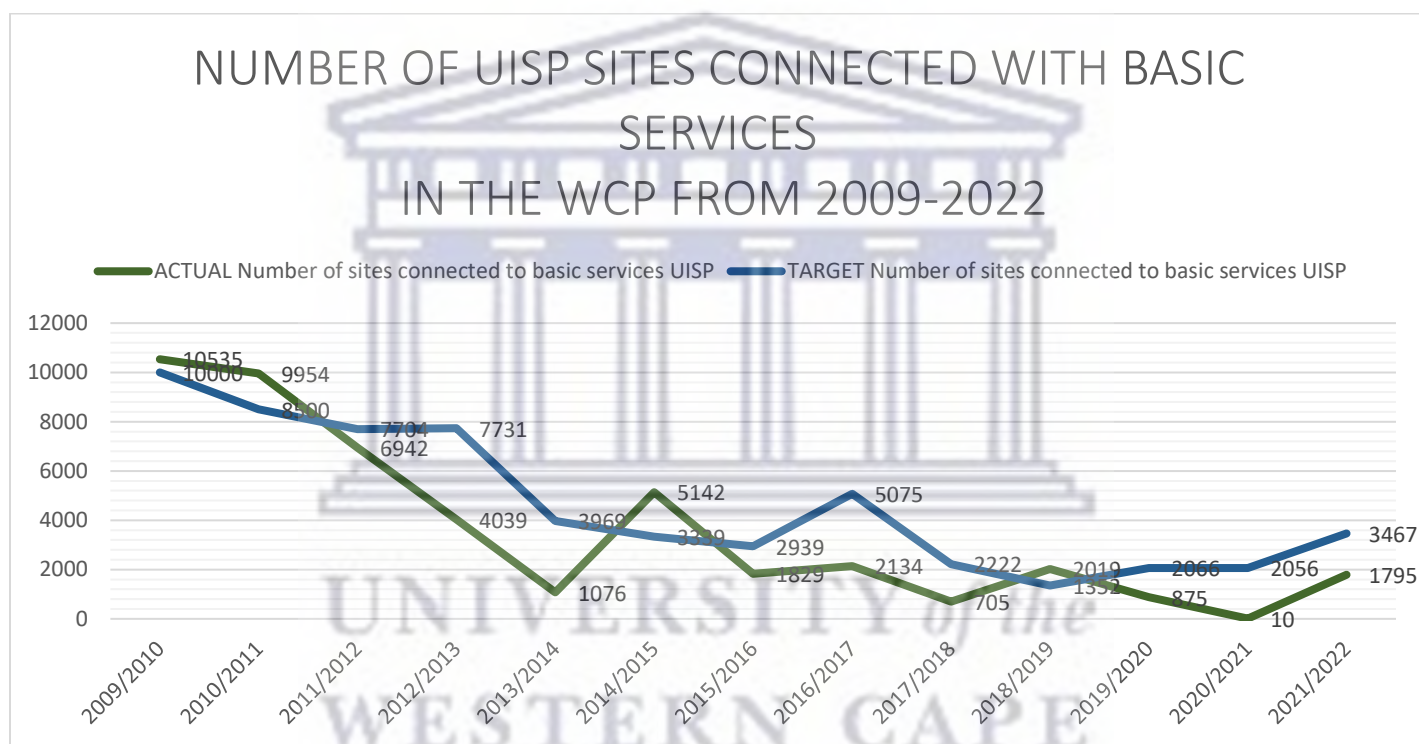
Figure 2.7. Number of UISP sites Phase 1-3 with Basic Services in the WCP (Actual vs Target) [2009-2022] (Source WCDOHS APP &AR, 2009/2010-2021/2022)*

Note that the Annual Reports (AR) for the financial year begins 1 April and ends 31 March [2009-2022].

In 2009, when the Housing Code was last reviewed, the total number of delivery of services were above the target of 10535 sites. During the year 2010/11, the year of the FIFA World Cup, there was a slow delivery on the N2 Gateway due to the IRDP projects being implemented and it was acknowledged by the Department that informal settlements are arising/increasing. Therefore, 9954 UISP sites were delivered while the target was 8500. This adjusted the focus to provide more upgrading service sites. There was a backlog of 426711 people on the waiting list in the WCP (AR 2010/11: 12&30).

In year 2011/12, R221 million was spent on UISP projects which is 13.5 % of the department total budget. 6942 sites were delivered in 11 projects, which was less than the target of 7704 (12 projects). The increasing of the backlog of people waiting were over 500 000 which led to an initiative to create a better database system such as the WC Housing Demand Database (WCHDDIP) (AR 2011/12:26).

For 2012/13 year, the delivery of UISP sites were decreased drastically to 4039 due to the unwillingness of community to relocate such as the Joe Slovo and Boystown project in CoCT. There were objection of planning approvals, and procurement process. The inability to secure tender contracts due to the low subsidy quantum amount (AR 2012/13: 38).

In year 2013/14, there were 2528 UISP sites delivered according to the department, however the Auditor General found that the calculation was unreliable requested for fully completed services sites. The actual service sites were 1076 which shows a drastic decrease compared to the previous year. The WCHDDB was implemented across all 24 municipalities in the WCP in order to update or clean up the number of people on the waiting list database records (AR 2013/14:36).

By year 2014/15, the number of UISP sites increased to 5142 and achieved ahead of the target of 3339 sites. This was due to the implementation of new green fields subsidy housing, while acknowledging the increase of informal settlements (AR2014/15: 48).

During year 2015/16, 1829 UISP sites were delivered, and the low number was caused by delays due to community dynamics and provincial projects. This brought about the realization of the dynamics of informal settlements and upgrading is more complex. The small changes and

initiatives allowed for more research to be done which initiated the ISSP and George UISP research on GPS co-ordinates (AR 2015/16:52).

In year 2016/17, 2134 UISP sites were delivered which did not reach half of the target numbers of sites. There were delays on decanting issues, the community refused to move and had conflicts. Gangsterism and vandalism were on the rise, and labour demands with the community and developer were not met (AR 2016/17:44). The Department led a study to 11 informal settlements in CoCT linked to the Southern Corridor Catalytic Project. This included the detailed profile of households and a comprehensive report per informal settlement. Some of the catalytic projects were Airport Precinct UISP (7400 sites) and Kosovo UISP (10 000 sites) that were in the planning phase to enumerate bulk services during year 2018 (AR 2016/17:33).

The actual number of basic services for 2017/18 delivered was much lower at an amount 705 UISP sites. This was mainly due to the cause of delays in the informal settlements' community dynamics (AR 2017/18:39). The Department's Informal Settlement Support Forum was established to monitor the progress in the various municipalities across the WCP. Eight NGOs were registered on the Department Database to collect information from the informal settlements serving as intermediaries to plan and action for each municipality base on each informal settlements needs (AR 2017/18:125). The former Minister of the WCDOHS under the Democratic Alliance (DA) leadership, Bonginkosi Madikizela, in his capacity and final year, prioritised upgrading of informal settlements to improve living conditions. 24% was overachieved in the amount of 9773 service sites (actual) compared to the target of 7860 service sites for other programmes in the IRDP and UISP. The ISSP, in its early stages of implementation, has realized the objectives of this plan has reached as reported from the Department (AR 207/2018:05). A research project was investigated on the health-related objectives with the focus on informal settlements in the WCP. The intended outcomes of the social and wellbeing of citizens living in informal settlements shows little or no impact within the human settlements policy (AR 2017/2018:07).

For 2018/2019, the newly appointed minister, Tertius Simmers (DA), for the WCDOHS, commented on creating a radical shift on directing more resources for the UISP and the provision of basic service as a strategic priority, continuing to deliver on the ISSP within the UISP (AR 2018/2019:10). 2019 UISP sites were delivered, due to construction of UISP serviced sites and

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handling over to municipalities that was accelerated (AR 2018/2019:80). Mossel Bay was granted approval for the planning, feasibility, and implementation for the NUSP (ISSP) within 23 pockets of informal settlements consisting of over 4203 service sites (WCDOHS BizProjects, 2023). This was in the implementation readiness stage starting with the interim basic services (AR 2018/2019:23). The approval for these temporary basic services calculated to over R20 million (WCDOHS BizProjects, 2023).

The Living Cape Framework was launched in January 2019, with the Better Living Challenge, which is a joint initiative with the WCDOHS and Western Cape Department of Economic Development and Tourism (WCDEDAT) to improve the informal settlements living conditions. 82 informal settlements were identified for upgrading in the MTEF period with 36 projects in planning phase and 12 projects in the implementation phase (AR 2018/2019:65).

During 2019/2020, 875 UISP sites were delivered against the target of 2066 sites. The cause for delays were due to the community dynamics, such as the refusal to relocate. Therefore, the services could not be installed to the remaining sites (AR 2019/2020:53). It was realized that there was an inability to provide settlements/stock to meet the growth in urbanization ever increasing (the growth in population requires increasing bulk services). Since the launches of the ISSP 2016 to 2019/2020, 450 000 households across 42 settlements in the WCP has benefit from basic services (AR 2019/2020:10). The WCDOHS embarked on a housing demand databased registration drive across the WCP using the employees of the WCDOHS to assist municipalities with the registration and updating of the beneficiaries on the waiting list/demand database (AR 2019/2020:42&193).

During the year 2020/2021, the WCDOHS delivered only 10 UISP sites. With the Covid-19 pandemic, everything was put on hold during lockdown within the country and globally. The WCDOHS has to cut budgets by R331 million, while major issues arise such as land invasions, gangsterism, unemployment increased drastically during the most intense year of the global pandemic where millions lost their lives (AR 2020/2021:33&50). The NDOHS identified the need to de-densify overcrowded settlements. Three areas were identified in the WCP namely, Phillipi Kosovo, Ithemba; and Du Noon. This would provide opportunities for 6500 households with the collaboration of WCDOHS, CoCT and the HDA (AR 2020/2021: 31).

Currently, slow progress has been implemented across the WCP with the UISP since the COVID – 19 pandemic, with some returning to construction work, below see examples of one of the biggest NUSP projects with the allocation of ESS in Mossel Bay, WCP.

Figure 2.8 Mossel Bay NUSP ISSP 23 informal settlements UISP Project 2019 (Source: Zutari, 2023).

Based on the figures of the UISP service delivery from 2009 to 2022, it did not meet the target, and has gradually declined over the last 13 years.

2.13. Analysis of Projects per financial year 2019-2022. [Services and Top Structure projects]

According to the baseline evaluation report 2021, the WCP has registered 71 UISP projects on their Business Plans for a period of 4 financial years [2019/2020-2022/2023]. In South Africa, the WCP has the highest number of UISP projects running over the multiple financial years.

However, in 2019/2020 financial year, there was a total of 50 projects that steadily decreased to 13 in the year 2022/2023. 46 of these projects are in Phase 3 and one is in Phase 4. 58% of the projects fall under Category A and B1, while 33% are combine of all four Categories A-C (DHS3, 2021:164-166).

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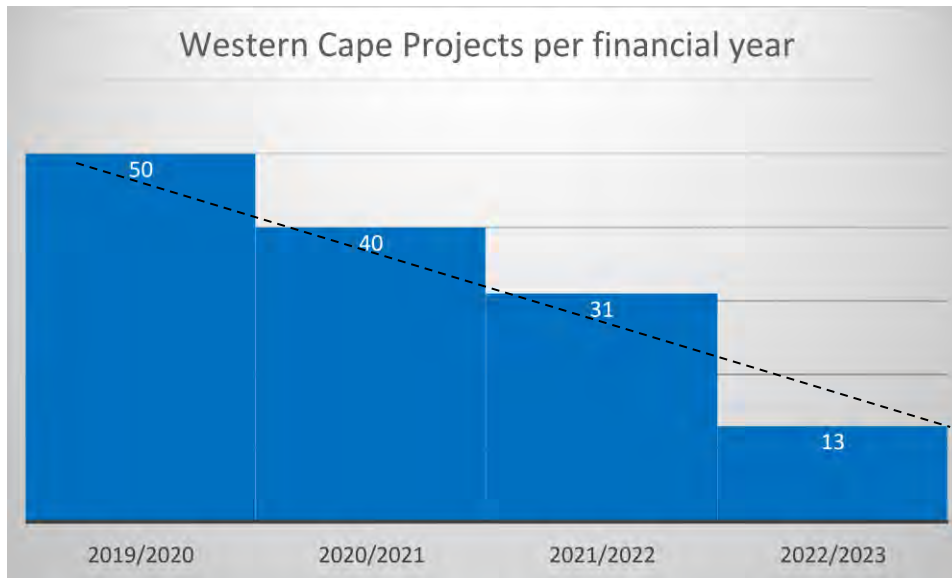
Figure 2.9. Number of Projects per financial year [2019-2023] in the WCP (Source: DHS3, 2021:164)

2.14. Chapter Summary

This chapter reviewed the various literature of informal settlements on the different levels internationally, nationally in South Africa and the WCP context. The chapter also highlighted South African and the WCP policies and legislative frameworks that is related to the informal settlements. The chapter explains the interpretation of key terms for informal settlements, upgrade, townships, access to basic services, and explains the understanding of the UISP phases. Finally, the chapter concludes with analysis of the WCP waiting list housing backlog, the number of informal settlements products 2009-2022, and the number of projects per financial year 2019-2022/23.

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CHAPTER 3
RESEARCH METHODOLOGY

3.1. Chapter overview

This chapter outlines how the research study was conducted and the empirical data collection process. It explains the research methodology, research design, the sampling process, and the instruments used to collect data. Lastly, this chapter mentions the ethics declaration, limitation of the study, and highlights data analysis and presentation.

3.2. Research Methodology

Research Methodology can be defined as the study of method that are involved in the different types of techniques used in the conduct of research. The aim is to gain knowledge and provide the work plan of research which will be carried out by the researcher by "describing, explaining and predicting the phenomena" (Goudar, 2012:9-10). The common research approaches are quantitative, qualitative, and mixed- methods. According to Goudar (2012:9), quantitative research is defined as research based on the measurement of one or more quantities in numerical form. Qualitative research is defined as "non-numerical, descriptive, applied reasoning and uses words" (Goudar, 2012:9). On the other hand, the mixed method approach is defined as a combination of both qualitative and quantitative methods, ensuring collection of higher quality of data (Goudar, 2012:18; Babbie and Mouton, 1998). Qualitative research is a broad methodological approach that focus on obtaining information based on the subject, collecting data, and analysing it. Qualitative research is a favourable subjective research discipline designed to gain understanding of viewpoints. Using a qualitative model should represent evidence of engagement with the experts (Babbie and Mouton, 1998). For example, policy documents pertaining to housing for the period 2009 to 2022 such as the WCDOHS Annual Reports (AR) (2009-2022). This research study will be using a qualitative research approach.

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3.3. Research Design

According to Kumar (2005:84), research *design* is a question adopted by the researcher to study on the subject and how it will be structured and completed. It is an investigation that aims to meet the objectives of the study and focus on the researcher's viewpoint for the purpose of the study. As noted by Durrheim and Terre Blanche (2004:29), it can be observed as a mental roadmap as a tool a researcher uses to plan how the study will be laid out. It determines what observations to use when testing the hypotheses (Abbott and Mckninney, 2013). With different views on the different types of research designs, such as surveys, experiments, field research and secondary resources and further categorize into qualitative, quantitative and mixed methods (Abbott and McKinney, 2013).

This research will be a critical assessment of the UISP, using the qualitative research method. This study will be an empirical evidence research which aims to answer the question on whether the programme (UISP) has been implemented effectively to the upgraded informal settlements.

3.4. Population and Sampling procedure

According to Bayat & Fox (2007:30), population is the total number of a group of all elements about which a researcher requires to reach conclusions. As noted by Mouton (2001), a sampling is a process of choosing actors from the larger population. A sample is any division of the elements of the population that is part of the process of the study drawn from (Bayat & Fox, 2007:54). It is critical to select a sample population which represents the target population when embarking on the research study. The sample population should not be biased (Blumberg et al, 2008). Moreover, Webster (1985) states that a sample is a portion of the population that share the same elements one may draw inferences as a whole population. Non-probability sampling, also known as purposive sampling, is where the researcher targets a particular group used in small scale research. It represents the findings that relevant important individual role models or stakeholders can provide in terms of their profession, power, knowledge, and experience in a particular topic of interest. Additionally, convenience sampling was used by picking participants that are easily available, willing, and ready to participate in the research study (Cohen et al, 2007: 113-115).

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The participant selection will be the officials from the WDOHS that consist of highly trained skill experts specialised and work hands on in the informal settlements under the UISP. They consist of project managers, developers, planners, engineers, and the technical team of WCDOHS. They will be selected according to the criteria that places a huge focus on expertise and knowledge regarding the target issue.

The participants selected where municipal officials from each municipality in the 6 regions of the WCP selected randomly, and NGO's (DAG, Isandla, CoRC, PEP) that work hands on and closely with informal settlements residents. Additionally, other participants come from the various WC government departments such as the Premier office, and Environmental Affairs and Development Planning (WCDEADP). Approximately, 40-50 experts - participants was selected and used for the questionnaires.

Furthermore, to reduce bias, semi structured interviews (in depth) was conducted with academics to provide critical reviews of WCP informal settlements. Municipal, and provincial officials was interviewed with a view to getting more detailed information on the state of conditions, and broader contextual problematic issues surrounding the informal settlements. Approximately, 5-10 participants was selected for semi-structured interviews with audio note taking research instrument.

Lastly, this study used primary data (questionnaires and semi- structured interviews) which was communicated and collected via email and face to face with audio recording. This will determine the qualitative responses (different contexts), group in themes (subheadings) in the findings, based on the number of responses.
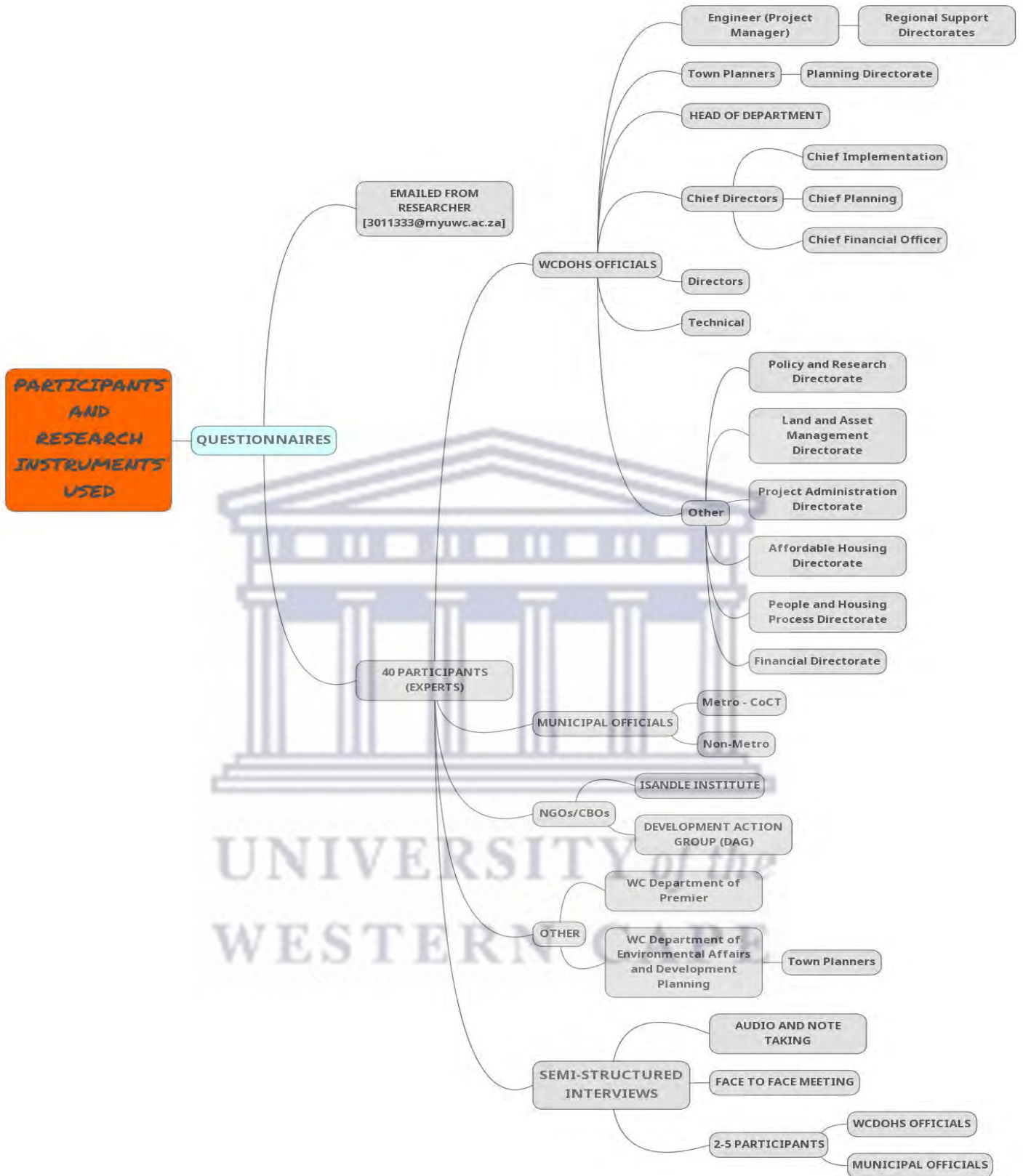
Figure 3.1. Participants and Research Instrument used (Source: Author's Construct,2023)

3.5. Qualitative research methods

This research was a longitudinal study, covering the period of 13 years (2009-2022) of the UISP in the WCP. The WCP as a geographical location was chosen because of the increase in migration from the other provinces and the rapid rising of informal settlements across the province.

By carrying out this research study, **primary data** (questionnaire and semi- structured interviews) was collected where a **qualitative methodological approach** was followed. Qualitative research is a broad methodological approach that focuses on obtaining information based on the subject, collecting data, and analysing it. Using a qualitative model should represent evidence of engagement with the key stakeholders (Babbie and Mouton, 1998). The qualitative responses will be able to determine the number of UISP projects in the Western Cape over a short period has improved or not and if so, why? An example is the question around the challenges of working with municipalities and the beneficiaries' relationships. What are the participants' perception and perspective working in these UISP projects with the municipalities and beneficiaries in the community? The empirical research will be able to determine the qualitative responses from the key stakeholders to understand the experiences and challenges of UISP both in metro and non-metro areas in the region. For example, for the non-qualifying informal settlements residents, what happens to them? This helps us understand the phenomena better using the key stakeholders' experiences and interactions with the communities. In order to verify the authenticity of the secondary sources, the subsequent discussions and recommendations, based on the analysis of all the documentation consulted. Part of this study aims is to answer the question on whether the programme (UISP) has been implemented effectively to the upgraded informal settlements with secondary analysis.

Secondary data was assessed to gather as much information needed for this study. Also, secondary studies or research, such as Statistic South Africa (STATSSA) provides data on the 2011 census in South Africa that estimates the country's population and size. **Desk top study** was used, to source for the relevant reviewed literature, to influence the analysis and its interpretation (B2B, 2006: 59-60). Desktop research can be used as a start point to benchmark the research process and it saves times and money if the researched topic is undefined (B2B, 2006: 59-60). Secondary information/data that already exists or has been collected can be compiled into a

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comprehensive and complete described overview of the study. The secondary analysis will be assessed over the period from 2009-2022 to determine the increase of informal settlements.

3.6. Data collection

After forming the research problem, developing a research design, choosing a sample from the population, the researcher then *collects* data which will draw from the findings to draw a conclusion and make recommendations. As mentioned above, the research study will embark on qualitative methods which includes primary and secondary data.

3.7. Data Collection methods/ Research instruments

The research topic should indicate the nature of the research study and how data was collected with the research instruments or tools used in the study. For this research, the researcher strived to understand and attain the participants responses to the research problem, that aims to address the research objectives outlined previously. The fieldwork was done from 23 March 2023 to 26 July 2023 in the course of the week [Monday- Friday] working hours [8am-3pm] upon their availability via an appointment-based system.

3.7.1. Questionnaires

Data was collected using questionnaires, to gain information on the participants responses faced on the challenges and problems with the informal settlements and the housing programme UISP, faced by the officials of the WCDOHS, City of Cape Town (metro), other municipalities (non-metro), and the NGOs. As noted by Cohen et al (2007:317), "Questionnaires are widely used and a useful research instrument for collecting survey information, structured, straightforward, often used for numerical data and easily administered without the presence of the researcher". The questionnaire will be open-ended questions for possible answers that could be "unknown or exploratory" which allows the participants to answer as much as they wish especially when the problem is very complex. The qualitative and open- ended questions are easier to "capture the specificity of a particular situation" (Cohen et al, 2007:321). The questionnaire was administered to the selected participants as indicated above and in the diagramme shown, which focused mainly

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on the research question posed. The questionnaire included a clause that guaranteed the identity of the participants would remain anonymous, and the crucial information would be kept strictly confidential. The information was not used for any other purpose apart from this research study. The questionnaire was done with 40-50 participants and via email.

3.7.2. Semi – structured interviews

All types of interviews in a research study play a significant role as a tool for data collection. The research questions probe the type of questions ask in an interview to obtain its objectives. According to Adams (2015:500), semi-structured interviews begin with specific questions that allows the participants to elaborate on different aspects. While Bloom and Crabtree (2006) notes that formerly, semi-structured interviews process contained close ended questions via formal conversation, subsequently the use of open-ended questions via informal steered conversation provides more in-depth information about the specific research problem. In- depth interviews help the researcher to understand the challenges seen from another's' perspective, providing rich and relevant information for data collection (Boyce and Neal, 2006).

These are key informal interviews that are in depth qualitative interviews who have knowledge on the community and their challenges. Based on Kumar (1989) key informant interview method, the goals is to gather information from a large amount of people such as the leaders, experts in this field that gives great insight on the challenges faced as well as to provide suggestions/solution to the problems. In this study, semi-structured key informal interview was administered to all key stakeholders such as the regional directors, planners, engineers/project managers, NGO's, etc. and others that have been mentioned in the sampling population. This method seeks to ensure a successful clear and concise understanding the scenario and challenges in the informal settlements upgrading. The interview can be between 1-2 hours long and will be administered to approximately 5-10 participants selected randomly from each region in the WCP to ensure it is not bias. This will be in the form of MS teams/Skype with captions, emails, and/or face to face interviews with audio recordings.

The main reasons are for their voices to be heard and contribute to detailed data information on the situation in the informal settlements. This study comprised of minimum of 2 members to 5

members from various NGO's such as DAG, CoRC, PEP, and Isandla Institute as well as the key stakeholders to form part of it to discuss the issues and understanding around the informal settlements in both the metro and non-metro areas in the WCP. The researcher attended various workshops and noted down the voices of these members and key stakeholders and continued to attend workshops / meetings as such during the course of writing this thesis. The researcher will not be able to use the telephone/ cellular phone as she is hard of hearing (deaf).

3.7.3. Recordings and note taking

According to Mosleh and Baba (2013), note taking as a method of capturing responses from a transient source, such as oral dialogues which are commonly used to record events. Wengraf (2001) states that recording opinion and ideas during interviews is fundamental for data analysis. In this study, this technique is used during all interviews and discussions subject to informed consent from the respondents, using sound recorders, note pad and laptop. This is fundamental for the storing of information as a qualitative method which can be used at a later stage.

3.7.4. Literature Review (Secondary data)

As noted by Mouton (2001), a literature review is a method to allow the researcher to avoid repeated or duplicate studies and identifies the gaps on the specific topic or focus within the existing research studies. The review of important literature formed a significant part of the study as it further the research context, the theoretical framework and background to assist with identifying the relevant theories and policies that creates a clearer understanding of the arising problems related to the topic. This method or tool plays a critical role in this study and was used in the form of articles, books, journals, internet sources, policies documents, reports, and specifically existing documentary sources such as annual performance plans (2009-2023), annual reports (2009-2022), government gazette reports (housing policies, housing legislation, and housing frameworks) in the WCP. Other primary sources was used by the permission of the WCDOHS department such as the Housing Subsidy System (HSS), Western Cape Housing Demand Database (WCHDD), and WCDOHS BizProjects system.

3.8. Data Analysis and Presentation

Data Analysis in the process of converting raw data into information collected from different sources (Caudle, 2004:417). These sources was provided from the data collection techniques such as questionnaires, semi-structures interviews, focus group discussions, and literature reviews methods which will be interpreted in order to grasp what the data reveals. According to Terre Blanche et al, (2011), data analysis can be divided into quantitative and qualitative methods. Data will first be inspected, categorised in groups and compared or scale down separately from relevant to irrelevant data. Data is then summarised, coded, clustered and transcribed categorizing themes that will be identified. The themes helped the researcher to explain and interpret the gaps and analysis findings. Data was *analysed* with qualitative findings using the *thematic analysis* approach to establish an argument with facts related. *Results* will be presented in graphs, charts and divided in sub-headings of each question interviewed which was based on the most relevant useful information found.

3.9. Validity, Reliability, and Credibility

Validity verifies the information by integrating and assessing the tools used in the research methods (Rachman & Yeasmin, 2012:156). The researcher used multiple methods, such as the interviews, and analysis of documents which examines the research questions. Reliability research is results that are trustworthy over a period with accurate interpretation of the study. This study ensured truthful qualitative responses with the use of questionnaires and semi-structured interviews provided by the participants as well as to eliminate bias (Joppe, 2000:01). Author Bless and Higson-Smith (2007:123) emphasizes that to ensure credibility of the study, qualitative research is used to understand the phenomena of the topic from the participants' eyes. The truthful findings are found through the responses of the participants interviewed. The participants can judge the credibility of the results.

3.10. Limitation of the study

The researcher was unable to go to the various informal settlements for a number of reasons, mainly as the researcher is the sole bread breadwinner of 3 dependants, two children and a

pensioner mother, the researcher could not take risks to visit the various informal settlements as this could jeopardise the researcher and her family health. Safety is another concern as there are more violence and protesting happening during this crucial period due the number of factors such as unemployment is increased due to the pandemic. Hence, this is the reasons for undertaking the research study and fieldwork with the various main stakeholders that works hands on and close with the informal settlements. The informal settlements residents' voices are not ignored, therefore, on behalf of the informal residents their voices will be heard with the support of the NGOs.

Research Study permission was not approved by the CoCT research department. Therefore, could not pursue the study for 4 officials in the Directorate Housing: Informal settlements unit. Research Study Permission was denied by CoCT Research unit on 26 July 2023, after the application was submitted on 23 March 2023. Comment: "Unable to participate due to resources constraint ".

From the 50 participants selected, a total of 10 participants did not participate in the study. As mentioned above, 4 participants from CoCT, 3 participants (municipality officials) that indicated there are no informal settlements or UISP projects, and 3 participants (WCDOHS) could not participate due to their unavailability/lack of knowledge on the UISP.

3.11. Ethics Consideration

As noted by Laws et al (2003), ethics plays an important role in any research study. Therefore, it is important to consider careful attention with regards to ethical issues to avoid any harm or disruption during the course of this study between the researcher and participants. By doing so, information was communicated and informed to the participants and that the study is only for academic purposes (SEE APPENDIX I & IV). Upon agreeing to engage in the study, the participants signed a letter of consent. Each participant's privacy and confidentiality were respected, and no participant was forced to partake in the study. The participants were free to withdraw should they feel uncomfortable during interviews or affecting their well- being i.e. affecting their working hours.

The ethical code of conduct of the University of the Western Cape (UWC) was adhered to. The study was commenced upon approval granted by the Higher Senate Degrees Committee Board of UWC. Permission was granted by the Economic and Management Sciences (EMS) faculty and the School of Government (SOG) (SEE APPENDIX VII). All participants and key stakeholders were granted permission with the use of the consent letter (SEE APENDIX II & V). They were to remain anonymous, and the interviews was done in English only. The researcher was approachable, sensitive, sincere, and objective when asking questions to the participants. Sensitive issues for this study involve the political agenda and circumstances of the WCDOHS, municipal officials, NGO's staff, WCDEADP, and all relevant key stakeholders. All Covid regulations were followed.

Permission was granted from the WCDOHS for the use of information. Costs involved with this research was all resources needed such as logistics, data, transportation to various role players/stakeholders' offices (outside the Department - if needed), and to workshop/seminar venues/offices. To ensure safety at the Western Cape Department of Human Settlements and municipalities' office, research was taken in a precautious matter and funding was requested from various research bodies at universities. The Head of Department of the WCDOHS granted permission to embark on this institutional research study (SEE APPENDIX VIII).

Permission was granted by the WC Environmental Affairs and Developmental Planning Department (WCDEADP) (SEE APPENDIX IX).

3.12. Chapter summary

This chapter presented the research methodology used for the research study, including the research design, and qualitative data collection methods employed in the study. The population and sampling techniques for the fieldwork where provided. Non-probability sampling, also known as purposive sampling, as well as convenience sampling, was implemented in order to sample participants for the qualitative research study. A diagrammed was provided to show easier explanation whom the participants are. Furthermore, data collection and the research instruments were discussed for the data analysis and presentation. Lastly, this chapter addressed the limitations of the study and all ethical consideration or procedure were followed and adhere to.

CHAPTER 4
DATA ANALYSIS AND DISCUSSIONS

4.1. Chapter Overview

This chapter presents the data analysis from the data that was collected in order to answer the research question posed. The first part of the chapter is a description of the Western Cape Province as the case study used to undertake the research. This is followed by the demographic information of the sample selected. The analysis of the data collected followed and lastly some concluding remarks are presented.

Much of the discussion by the participants relies on the incremental theory of the UISP. Through a thematic analysis approach, the study is discussed and analysed in line with the objectives of the study.

4.2. Description of the case study

The WCP was used as the case study. The City of Cape Town commonly known as the mother city because the National Parliament is situated in the city and is one of the economic hubs of the country. The province is known for the inward migration of people and has a fast-growing informal settlement community. The upgrading of informal settlements is a key programme of the provincial housing department.

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Figure 4.1. Western Cape Province in South Africa (Source: WCG, 2021).

4.3. Profile of Interviews

Demographic Information

This section provides the demographic information of the sample.

4.3.1. Response Rate

Questionnaire administration	Frequency	Percentage (%)
Total Questionnaires distributed	50	100
Via emails	50	100
Via interview- face to face	5	100
Total Questionnaires completed	40	80
Via emails	35	70
Via interview /by hand	5	100

Table 5 – Participants Response Rate (Source: Author's construct, 2023)

4.3.2. Participants Gender

Participants	Male	Female
WCP	22	18
Total	40	

Table 6 – Participants Gender (Source: Author's construct, 2023)

The sample was a fairly balance representation of gender which allows a balance perspective from a gender perspective on the topic being researched.

4.3.3. Participants Professions/Skills – Built Environment Human Settlements

Engineering skills	Planner	Architectural	Management i.e. Financial, Public,	Other (Undergraduate diploma/degree; Post graduate degree)
11	7	1	13	8
40				

Table 7 – Participants Professions/Skills – Built Environment Human Settlement (Source: Author's construct,2023).
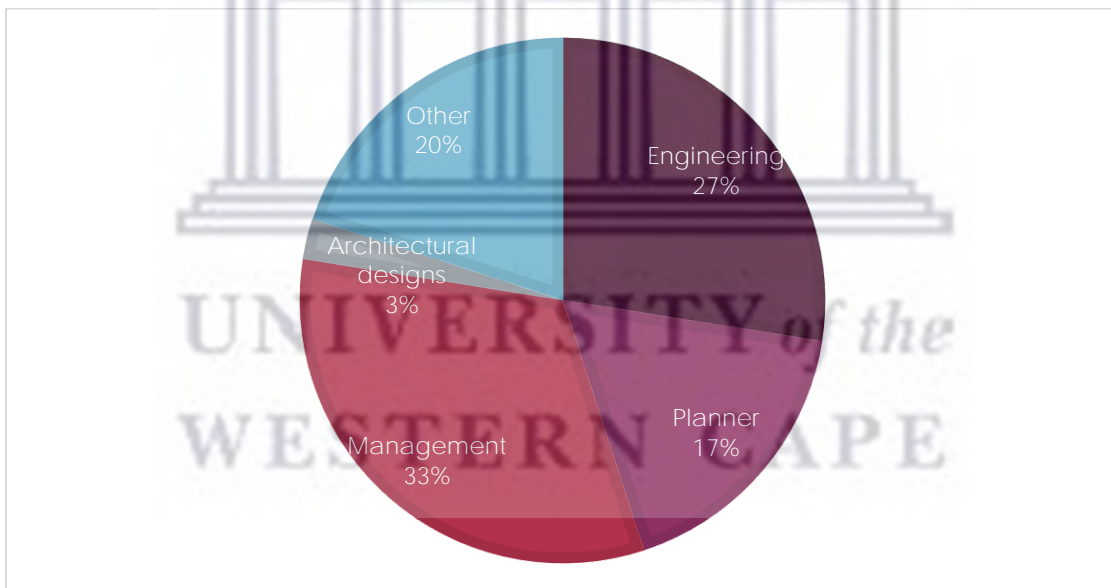
Figure 4.2. Built Environment – Human Settlement: Participant Skills/Profession.(Source: Author's construct,2023).

All participants are mostly qualified and have skills or experience for over 5-40 years as follows:
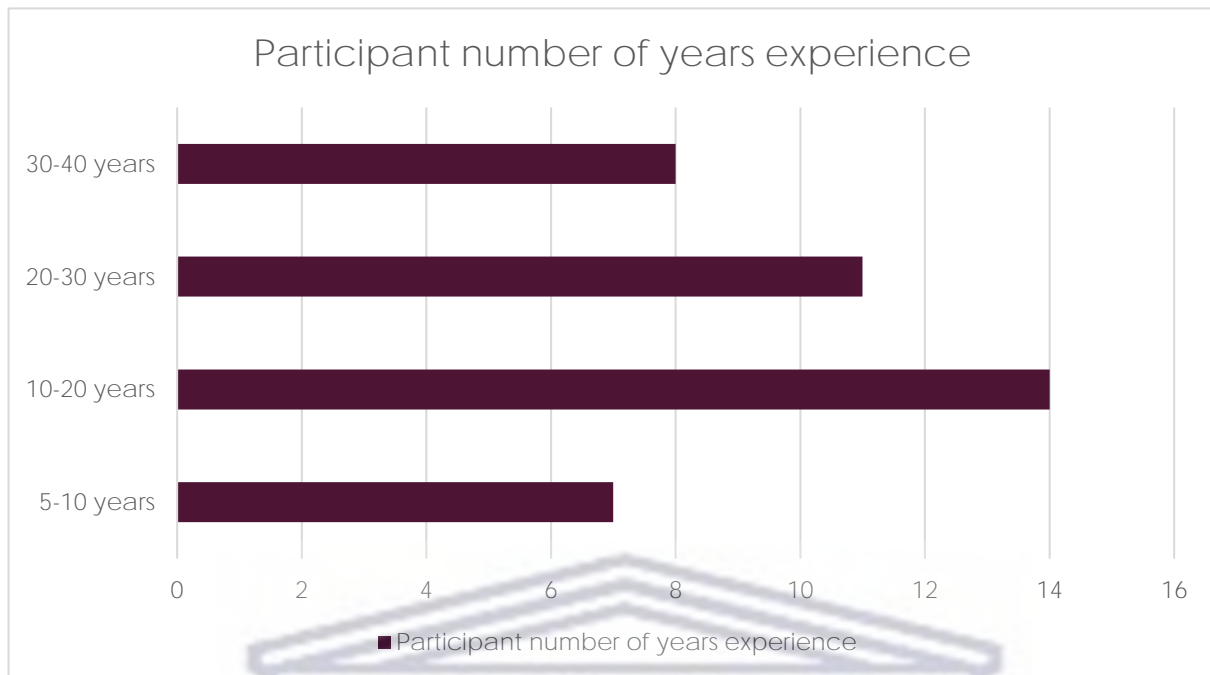
Figure 4.3. Participant Number of years' experience (Source: Author's construct, 2023)

The sample was thus suitable from a knowledge perspective to express a view on the phenomenon being studied. The sample comprises of the following that works within the domain of the in-situ upgrading of informal settlements. The sample was selected from various municipalities resulting in a provincial representative sample. See below:

Participants: WCP	Number:	Dept/Unit	Region/Municipality	%
Engineers/Project Manager	7	WCDOHS	CoCT, Overberg, Cape Winelands, West Coast, Garden Route.	17.5%
Town Planners	3	WCDOHS, WCDEADP	WCP*, CoCT, Garden Route, West Coast.	7.5%
Environmental Officer	2	WCDEADP	WCP*	5%
Architectural	1	WCDOHS	WCP*, CoCT	2.5%
Director	3	WCDOHS	WCP*	7.5%
Manager/Deputy Director	3	WCDOHS	WCP*	7.5%

Municipal Manager: Housing	7	Oudtshoorn Matzkikama Bitou Mossel Bay Cederberg Swartland Knysna	Oudtshoorn Matzikama Bitou Mossel Bay Cederberg Swartland Knysna	17.5%
Implementing Agent/Project manager (private)	3	ASLA, Zutari, HDA	CoCT, Outshoorn, Kannaland, Mossel Bay	7.5%
Director/Manager:NGO	4	PEP, DAG, Isandla, CoRC,	CoCT, Garden Route, Witzenberg, Knysna, Mossel Bay,	10%
Officials	6	WCDOHS, Project Administration, Project Approvals, Subsidy Administration, Contract Management, People Housing Process.	WCP*	15%
Researcher	1	UCT: African Centre for Cities	CoCT	2.5%
Total	**40**			**100%**
Note: * WCP - Across Province – 13 participants functional to metro and non-metro area				

Table 8 – Participants as a provincial sample selection (Source: Author's construct, 2023)
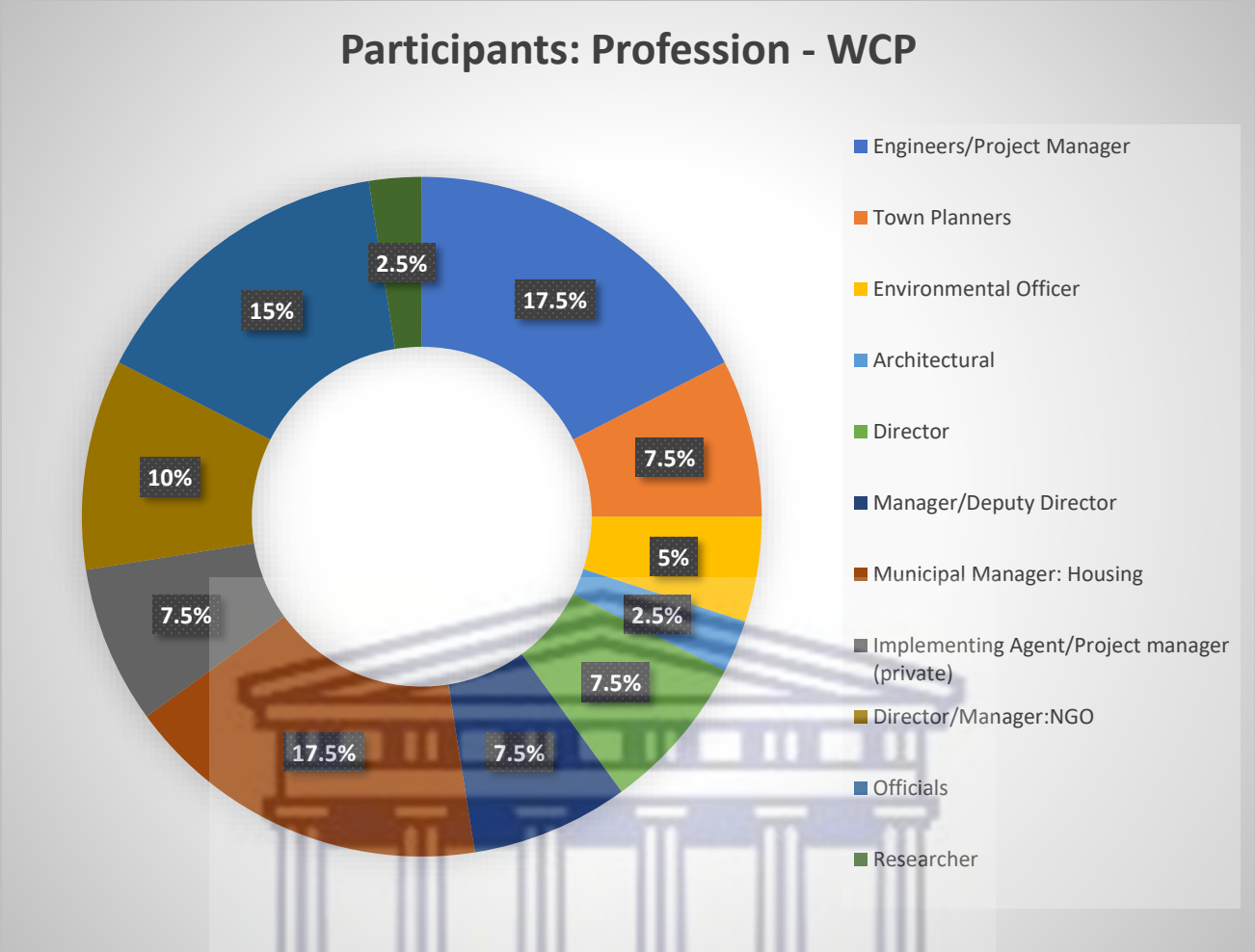
Figure 4.4. Participant: Profession – WCP (Source: Author's construct, 2023)

4.3.4. True Reflection on the sample population

Participants	
Metro	8
Non - Metro	19
Both	13
Total:	**40**

Table 9 – True Reflection on the sample population of participants (Source: Author's construct, 2023)

4.3.5. Non- Responses

Participants: WCP	Number:	Dept/Unit	Reasons/Closing Remarks
Municipal Managers: Housing	3	Berg River Laingsburg George	There is no Informal Settlements in the municipality, therefore does not participate in the UISP. No response
Engineers	1	WCDOHS: Central Karoo	Unable to participate due to unavailability
Town Planners	2	City of Cape Town: Housing: Informal Settlements unit	Permission to do research was decline, due to "resources constraints".
Officials	2	City of Cape Town: Housing: Informal Settlements unit	Permission to do research was decline, due to "resource constraint".
Senior Management	2	WCDOHS	Stated does not have much knowledge on UISP, referred to Departmental Planner: Informal Settlements unit
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Table 10 - Non- Reponses of participants as per provincial sample selection (Source: Author's construct, 2023)

It is important to note that during the course of this research study, from 1 April 2023, the Western Cape Department of Human Settlements (WCDOHS) amalgamated with the Western Cape Department of Transport and Public Works (WCDTPW) as Western Cape Department of Infrastructure (WCDOI). In the WCDOI there are now three Head of Branches as subdivision. Head of Branch Human Settlements still continued with the normal operational and line functions for providing housing and services to the public.

4.4. Discussion of Data Collected

Perspective on the UISP [2009-2022]
4.4.1. What is your perspective on the UISP generally?

The data indicated that 100% participants indicated that their perspective on the UISP is based on access to basic services provided in the informal settlements, and all mentioned that there are still challenges to UISP. 10% of the participants clearly stipulated that UISP is not working and should be abolished, should be reviewed, replaced with brick/mortar, even though is it an interim measure of the housing programme. 37.5% of the participants stated that the UISP is a good programme. 15% of the participants stated it is a measure of dignity, however it still encourages illegal invasion. 10% of the participants stated that the qualifying beneficiaries will eventually receive a top structure (house) and security of tenure. 5% of the participants mentioned that the reality is informal settlements will never be eradicated and this services as a "realistic manner to increase time" since building formal housing takes much longer. 7.5% of the participants mentions the UISP assists residents as an Emergency Housing Programme (EHP), and/or a Temporary Relocation Area (TRA) project, where residents are moves to another area to ensure the land is safer, and developable for building top structures/ or services (taps, toilets, roads etc.). 12.5% of the participants speaks about the non-qualifying beneficiaries that will not receive top structures, while 7.5% of the participants mentions how the residents takes advantage of the UISP to jump the waiting list (housing demand database) to be assisted, even the young residents are assisted while the elderly is being ignored. Some participants mentioned a few challenges such as Land Ownership, does not guarantee security of tenure, does not alleviate poverty, there are illegal migration, not suitable for the disabled as they are unable to use ablution facilities, there are funding constraints, government does not use UISP as more focus on IRDP (top structures), IRDP takes longer to build, however in some cases the UISP is almost the same amount for an IRDP house (ESS).

One of the participants had this to say:

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"I do not think UISP: "reinforcing informality" should be encouraged given SA's beneficiary profile. It is good as an interim measure, but not a solution to empower and equip its citizens to create a better South Africa".

Another participant supported the above statement, saying:

"UISP is simply a funding mechanism and does not really enable informal settlement upgrading any differently than other funding mechanisms. It makes provision for the installation of services but does not guarantee security of tenure or necessarily alleviate poverty".

While these participants shared different views saying:

"The UISP was introduced in 2009 to find an innovative way to address the people that are waiting for homes, to live in a little dignified manner. With share toilets and shared water taps. To create easier roads paths for fire services to reach shacks that are exposed to fire hazards etc".

"The UISP is meant to improve the quality of life for people living in informal settlements. I believe the UISP can make a huge difference, but there are major challenges that is preventing the UISP from fulfilling its promise".

"In terms of the UISP, I think it is a very good programme, looking to improve the livelihoods and living conditions of our community. To upgrade is to provide services to the community living in informal settlements. It is an incremental housing programme provided to the public and the community in general while there are still challenges".

It is evident from the above remarks that UISP provides basic services to the informal settlements while there still remains challenges in addressing the need to reduce the number of informal settlements in the WCP. There is a need to review or rethink how the UISP should be rolled out in a dignified manner.
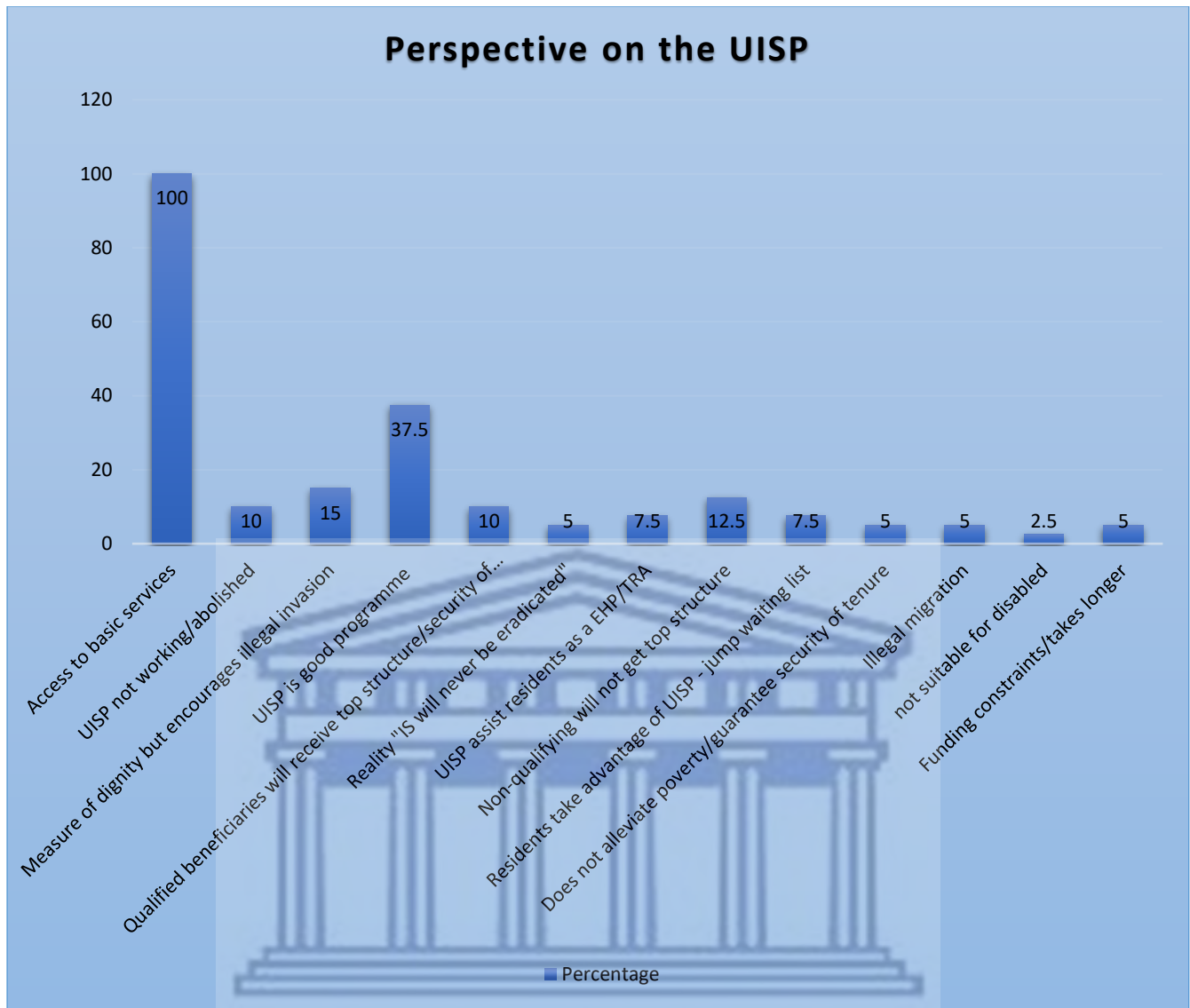
Figure 4.5. Participants responses: Perspective on the UISP in the WCP.(Source : Author's construct, 2023)

4.4.2. How has this changed over the last 11 years?

In the past 11 years since the Housing Code was last reviewed, 17.5% of the participants clearly stipulated that access to basic services such as water and sanitation is most needed and provided, even with the sharing/ratio of toilets and taps. The introduction of the wetcore, a safety measure such as retaining walls in areas like Knysna, the national budget directive HSDG & USDG, and new guidelines such as under 35 have been altered. 7.5% of the participants mentioned the notion around the re-blocking and super-blocking of UISP projects. 10% of the participants stated it has

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improved living conditions and provided ownership of land/site. 12.5% of the participants make mention that the UISP is another mechanism for housing and a way forward to qualify for a top structure, while 5% of the participants states that many still will not qualify for a BNG top structure and other housing options. One participant stated that the elderly and the longest standing applicants are now more recognised on the waiting lists. 10% of the participants stated that NGO's are also now recognised for being a role player in UISP projects. Challenges were already mentioned in this question, with the majority stating the negative response with the increase of informal settlements (67.5% of participants). 65% of the participants stated the invasion of land, while 20% of the participants mentioned the migration of the population trailing into the WCP. Some other challenges are mentioned individually by 12.5% of the different participants, such as the informal settlements are still close to flood lines/power lines which is a danger risk, fire hazards are still continued, crime is a hot spot in informal settlements, victims of eviction i.e. from farms, and political unrest. 7.5% of the participants stated that the municipality does not have enough capacity to manage UISP. 5% of the participants interestingly stated that this is a way for poverty trap with an economy growing inside informal settlements. 25% of the participants stated that there has been NO CHANGE in the past 11 years.

A participant shared this:

"The UISP programme came with its good, bad and wicked challenges. The good is that it allowed needy households to gain access to water and sanitation, as we have seen during COVID-19 time. We were able to undertake studies and tools, to determine better approaches to provide for the people. The bad is that people are negatively encouraged to continue to invade land, place them at risk (Close to flood and power lines, on the road reserves), and prone to fires due to too dense settlements. Through the formalization of these informal settlements and undertaking reblocking and superblocking; emergency services can gain access to the informal settlements. Unfortunately, the housed individuals don't get title/ownership of that land or structure. The wicked challenge is that this informal settlement becomes a crime hotspot, and a poverty trap for many households. In time, social ills and health problems (TB, teenage pregnancy and STI's, malaria & chlorera). This is also the place where elderly people house themselves after farm evictions, and the municipality is not able to assist them".

One participant emphasized that:

"There is a "secondary economy" that is benefitting from the informal settlements. This is why the informal settlements keeps on growing and why we have problems implementing the UISP".

This comment summaries the majority responses such as:

"In some areas it changed lives, but the uncontrollable growth makes it impossible to sustain the services provided by the local authorities".
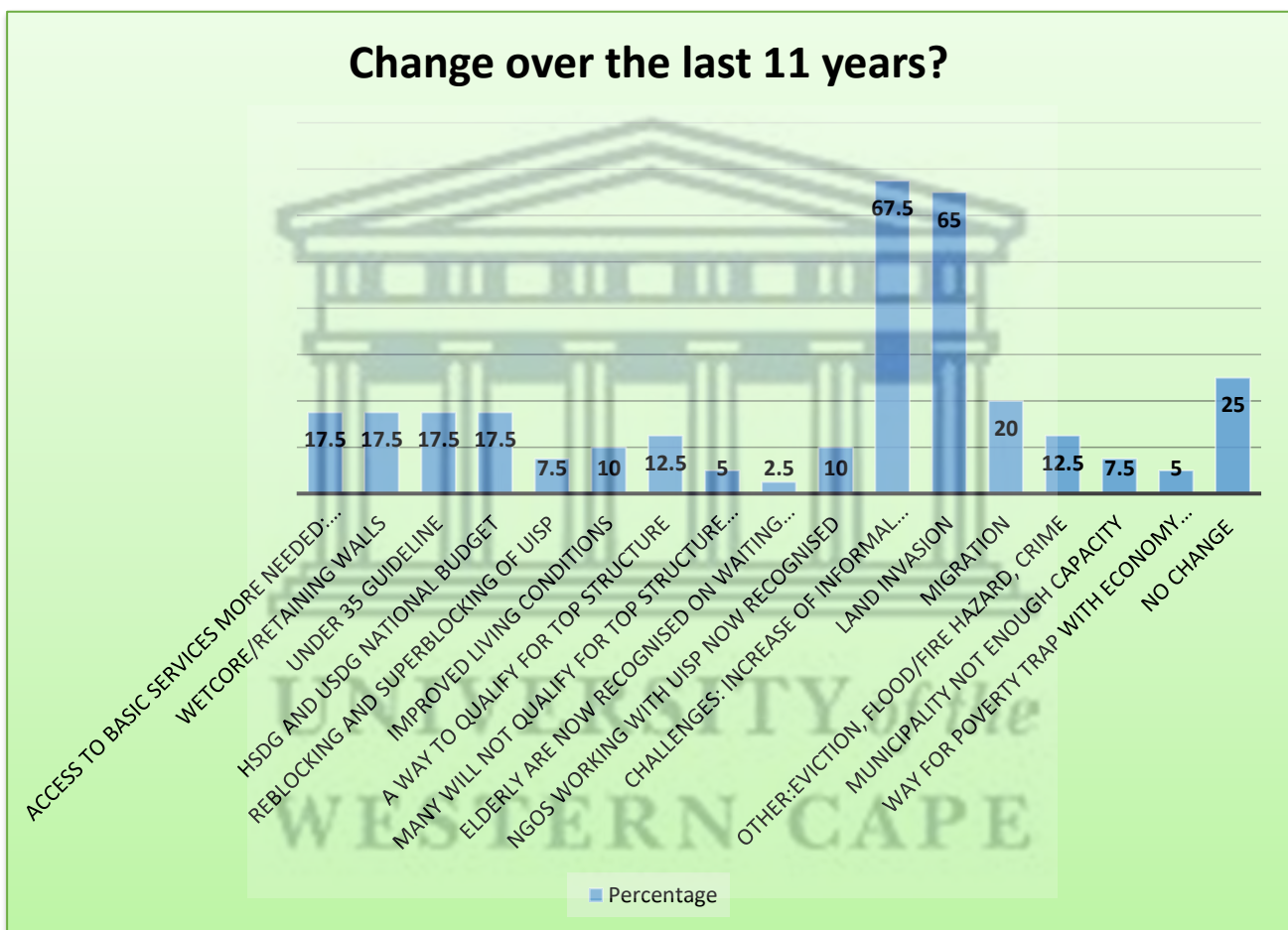
Figure 4.6. Participant responses: Change over the last 11 years in the WCP (Source: Author's construct, 2023)

Monitoring and Evaluation of the UISP

4.4.3. Has the UISP been monitored after the project is completed?

Most participants (65%) have stated "NO" the projects are not monitored and evaluated and stated that the Department does not have a Monitoring and Evaluation unit. While 25% of the participants stipulated that the perhaps at the municipal level, they are responsible. 12.5% of the participants have mentioned that the Policy and Research unit in the Department has appointed a service provider to monitor the UISP projects and also to determine if beneficiaries have sold or rented their site out. Some participants (7.5%) mentions that ISSP unit (WCDOHS -Planning Directorate) is part of the monitoring and evaluation unit. Meanwhile, 12.5% of the participants arguments that it is not necessary to monitor once the project is closed, or once the beneficiaries have received a service site. Interestingly, 10% of the participants have mentioned that there is no closure of UISP project and beneficiaries have not received a title deed, only basic services after the project are completed. 10% of the participants states that there is no capacity or funding resources to monitor on both the provincial and municipalities level and mentioned that it is not practical. 10% of the participants from different municipalities states that there is some form of monitoring in the organisational structure/beneficiary administration and also makes use of NGOs, while 7.5% of other participants have mentioned that the NGO's are used to monitor the UISP projects.   5% of the participants stated that they only monitor from and EIA (Environmental Affairs) perspective. 10% of the remaining participants have stated they are not sure, with no response.

These are the participants comments:

"The programme does not make provision for monitoring after projects have been completed as beneficiaries could have received serviced sites. Municipalities does provide services to the upgraded settlements as per their mandate in the Constitution".

"We only stop from the implementation phase of the project. After the project is completed, we hand over the project to CoCT as part of Section 137. To state that it is now done and their responsibility to accept and maintain, for example services to provide – rates and taxes etc. and to ensure that the services are looked after. On a provincial basis, that is not our job to monitor, it is the local level authority such as the municipality to monitor. CoCT is argumentively

responsible for the project thereafter. For departmental projects, the land may belong to province, however all services are provided by CoCT. Therefore, there is a debating issue on who is to monitor the projects, but my understanding is that the CoCT is responsible for monitoring. We do not have a monitoring and evaluation unit in this department which is a weakness to address. This for especially after the implementation phase, and how the services will be provided going forward".

"No, the monitoring should be done by the municipalities. It's not being done, Unlawful, and the informal settlements is growing bigger, while there is no funding provided for the monitoring units, department does not pay the municipalities to monitor, they must make sure. Never seen it, over the night time, they can invade land, can create more dwellings, there is no overtime- overnight workers to monitor these projects afterhours. Which is when land invasion usually takes place as well as more dwellers push in. Municipality does not have capacity to monitor it".

One participant comment which stood out was:
"Many revert back to Informal settlements with limited basic services and maintenance" which questions the increasing of informal settlements.

This question clearly underlines "a red flag" for the need of a monitoring and evaluation unit within the WCDOHS especially on a provincial level.

Has the UISP been M&E

Category	Percentage
Not sure/no response	10
M&E from EIA perspective	5
NGOs are used to M&E	7.5
Some form of M&E at municipal level	10
No capacity to M&E:provincial and local	10
No closure of UISP:beneficiary not received title deed	10
Argue not necessary to have M&E: project completed	12.5
WCDOHS: Planning is responsible	7.5
WCDOHS Policy and Research unit appointed service provider	12.5
Perhaps at municipal level	25
NO: Dept has no M&E unit	65

Figure 4.7. Participant responses: Monitoring and Evaluation (M&E) of the UISP in the WCP. (Source: Author's construct, 2023)

Challenges of the UISP in the WCP

4.4.4. What are the challenges you are faced with in these UISP projects giving a few examples?

With regards to the dynamic of informal settlements upgrade and the challenges faced: majority of the participants (55%) mentioned the never - ending growth on informal settlements. Lack of unoccupied land space and the density which makes it impossible for contractors to work on is stated by 37.5% of the participants. This makes relocation of household difficult to move which is mentioned by 22.5% of the participants. 17.5 % of the participants mentions land availability as a challenge, and 12.5% of the participants explained that land is not suitable due to wetlands, flood line areas etc. 20% of the participants states that there is slow responses from the municipality for statutory approvals for land use on EIA, LUPA, LUMA, ownership, etc. which delays or cancels the UISP project. The EIA/NEMA approvals seems to be triggered with regards to the lack of

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information as stated by 7.5% of participants. 50% of the participants, explains the uncontrolled land invasions due to many reasons such as illegal occupants/ foreigners and non- qualifying beneficiaries by 37.5% of participants. Therefore, the waiting list just increases (mentioned by 37.5% of the participants) the issue of backyard dwellers (20% of the participants), and in some cases previously assisted beneficiaries who received a house (top structure) returns back to informal settlements.

Another top topic of access to basic services seem to still lack due to various reasons such as pressure of too many people, is mentioned by 15% of the participants, and the lack of bulk infrastructure by another 15% of the participants. Hazards such as fire (12.5% participants), floods (5% participants) and crime (7.5% participants), illegal dumping/waste - factor of health (12.5% participants) are increasing daily, while the illegal connection of electricity (10% participants) creates a danger to the community. The lack of socio - economic issues around UISP projects fails/delays to deliver as part of planning phase, such as schools, creches, shops, clinics etc. mentioned by 20% of the participants, and does not facilitate or encourage economic growth for the community.

The alarming new issue of "Shack farming" is mentioned by 12.5% of the participants, while occupants renting out their site (20% participants), and 5% of participants mentioned that UISP somewhat encourages secondary economy such as taverns/"shebeens" and the renting out of their site. Local authorities feel threatened, demotivated to assist as mentioned by 12.5% of participants, while there is inconsistencies between the beneficiaries and local authorities with lack of communication/participation stated by 12.5% of the participants, and there is also inconsistencies between provincial authorities and local authorities (10% of the participants). This makes it difficult to provide service delivery especially when local authorities rely only on technical consultants and not beneficiaries. Still, contractors fail to deliver on time while provisions of top structures are slowly delivered to the long awaiting beneficiaries as stated by 7.5% of the participants. The occupants left behind uses their own old/not good materials which is also a danger and threat to the household (2.5% of the participants).

Budget constraints is mentioned by 30% of the participants, and the misuse of funding by 7.5% of the participants. 5% of the participants states that they cannot budget to foresee the future as an

informal settlement can grow in a week, therefore UISP is not prioritised. Capacity/technical constraints by the local authorities is mentioned by 12.5% of participants and UISP is not a viable housing option as occupants can stay, they are not forced to move (mentioned by 7.5% of participants) Political interference and agenda is mentioned by 12.5% of the participants and the lack of knowledge/information on housing options (10% of participants) creates havoc for community unrest. Lastly, 5% of the participants stated there is a lack of research data and some is outdated.

One participant described an example:

"An example of a UISP project with regards to the never - ending growth in Mossel Bay "in 2019 the Municipality provided basic services on the basis of the ration that is approved by the National Government. Which for toilets 1:5, meaning you provide 1 toilet seat for 21 people (5 Families) and for the standpipe is 1: 25, meaning you provide 1 standpipe for 25 households. The services which were provided in 2019 were suitable for the 2900 that were there at the time but now in 2023 the people are more than double the number that was provide since 2019".

Similarly, this participant shares the same view:

"Informal settlement control is not well managed. As soon as settlements are upgraded newer settlements are formed. Municipalities does not have the ability to manage the growth in their areas. We are in many instances' reactors rather than planners- due to the magnitude of the phenomenon".

Another participant shared this:

"Funding is little, we usually give R55 000-R65 000 approximately per site. Including the Geotech. Which is quite little. Especially where the project is less than 100 opportunities. When tender comes in its higher than the subsidy quantum. It is difficult to monitor informal settlements. Which is why its increasing. Difficult to monitor, some of the occupants are renting out to others, in some case more than one dwelling on one erf. Biggest challenge is normally the UISP projects, you can't foresee, it's not budget for in some municipalities, a UISP project can grow in a matter of weeks, it impacts the bulk services. For example, the time municipality budget for 20 people later on realise it much more than 20 people. Due to the housing code policy on UISP, people can stay, and there is growth over a period of time including backyarders. In the UISP projects they lack

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capacity, as they are using more electricity, and more usage of the sewerage etc. this put pressure on the municipalities".

Another participant added that:

"There is community pushback – lack of participation / buy in / consensus in many cases Land Use Management programmes and policies have not been adapted to facilitate UISP. It still must go through extensive and lengthy statutory processes. UISP projects do no facilitate or encourage economic growth".

Another example that stood out during this finding is the mention of *"construction mafias or local business owners who demands stake in a project illegally and end up disrupting implementation of the project".*
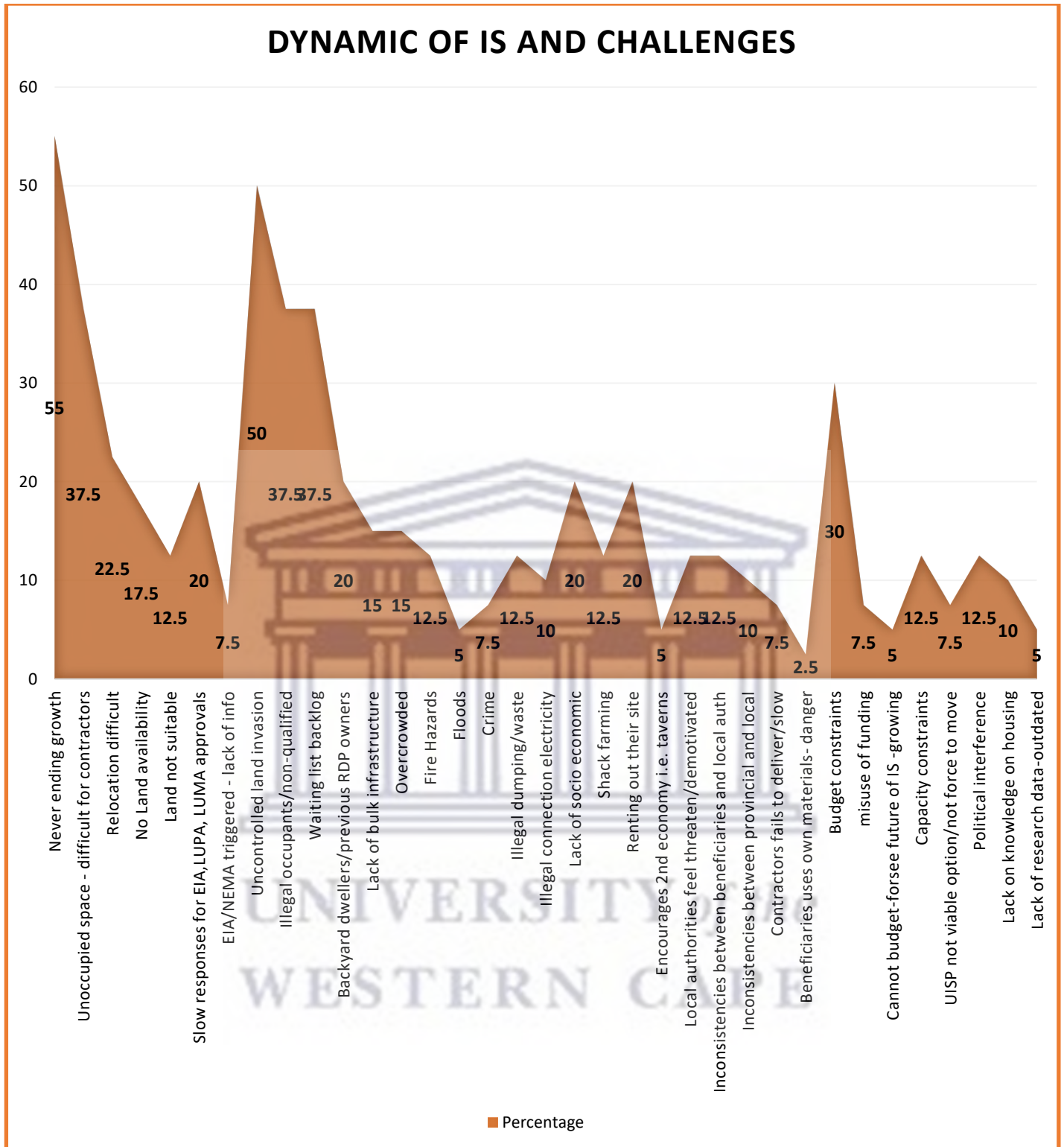
Figure 4.8. Participant responses: Dynamic of IS and Challenges in the WCP. (Source: Author's construct, 2023)

Impact of the UISP in the WCP

4.4.5. What is the impact of UISP in some of these projects?

Participants shared positive and negative impacts of the UISP in various projects across the WCP. 47% of the participants have indicated that there is access to basic services, and 20% of the participants added that their dignity, human rights have been addressed. Some other positive impacts included: that it is out of harm's way (7.5%), Qualifiers have own service sites (12.5%), and non- qualifiers can obtain a lease agreement (2.5%). Building top structures for stage 4 of UISP for qualifiers (7.5%) and provides temporary relocation (2.5%). NGOs in UISP projects have better understanding and communication between the beneficiaries and municipalities/developers involving them in decision making (5%), and there is easier access to services such as transport (7.5%) while is helps to prevent disease from spreading (2.5%). Better living conditions (22.5%), there is more space and easier road access (7.5%) while the ration per toilet to a household of 1:4 or 1;5 toilets and 1:25 for water is better than nothing (12.5%). It provides economic opportunities by participating in the projects (7.5%). Negative impacts are that there are still issues that persists which is mentioned by 43% of the participants. Some of these issues are capacity, bulk infrastructure, fire hazards (death), decline in economic activities (no income), waiting list increases, unfairness on who gets chosen as beneficiaries (animosity), the informal structures are poor, there is still land invasions, fear of relocating, densification issues, and the informal settlements are ever increasing. 10% of the participants could not answer this question.
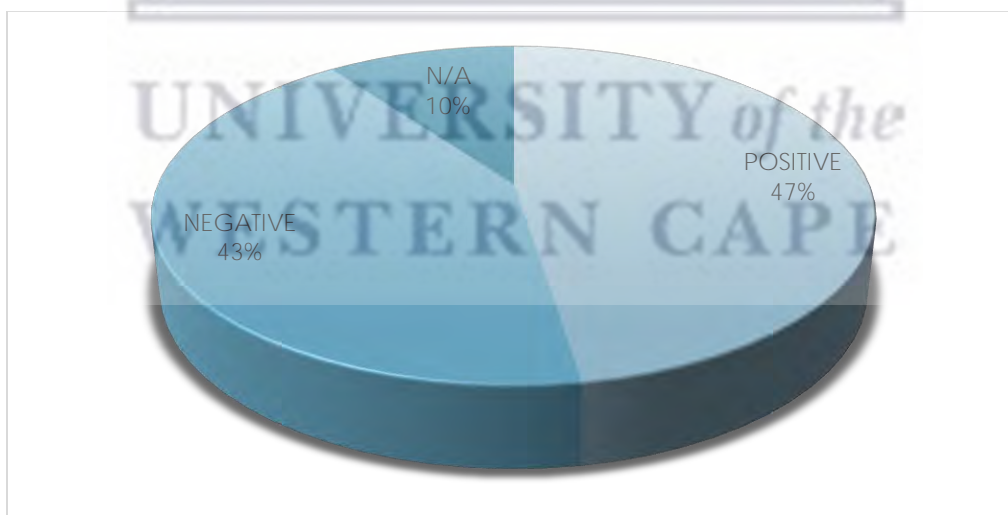
Figure 4.9. Participant responses: Impact of the UISP in the WCP. (Source: Author's construct, 2023)

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A participant shared an example of both impacts are such as in:

"Taiwan, Khayelitsha, the impact is positive in the community, through the PSC is working closely with government and they are safeguarding their settlement against intruders."

A participant shared a comment from an NGO perspective:

"By working directly with residents in the community there was an opportunity to strengthen the capacity of leaders to represent their communal issues in a competent manner. Through collaborative action research processes the community could undertake sustainable livelihoods projects to address food insecurity and job creation. Most of these livelihood initiatives continued way past the completion of the ISSP contracts with NGOs. Residents were keen to engage in the development processes when they were involved in decision making and capacitated about why some of their wishes could not be met. When leaders felt that their presence in meetings with officials and technical consultants were not merely 'window dressing or tokenism attempts' they were more willing to facilitate communication meetings with their community residents to explain the intricacies of the project and its boundaries. There were no service delivery protests when communities understood that their grievances were heard and addressed. It is critical to manage expectations early on. Communities need to understand the budget constraints, limitations, and timelines so that they do not feel lied to or betrayed."

Which is why a similar participant shared that:

"In situ upgrading has a positive impact in solving problems of redeveloping as an approach, and this often creates anxiety amongst beneficiaries who is fearful to move away from the place they consider their home".

Lastly a participant emphasizes that:

"In the non-metro areas, UISP seems to show some positive impacts, however more negative impacts are still existing, such as protesting and damage to infrastructure. For example, the Enhanced service sites project in Mossel Bay showed negative impact, with the toilet and basin provided. The costs compared to this, and a formal structure house (40m²) is slightly difference, therefore they should have been provided a home. There is a lot of space in non-metro areas compared to the metro areas. Whereas in the metro areas, there is more challenges and still there

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a long way to go dealing with UISP projects in metro (CoCT). We have seen on a daily basis that informal settlements are forever increasing. The employment rates have increased, people cannot afford homes, and with the current global economic crisis it is not solving the problem. "

4.4.6. Has the UISP improved the lives of the informal settlement's beneficiaries? YES or NO, WHY and HOW?

Majority of the participants (73%) has stated "YES". From the majority, their reasons such as the provision of basic services (21 participants) has improved their lives. While other reasons are they received their own site (9), health improved (7), social economics (3), share services (1). 22% of the participants stated "NO" and the reasons for "NO" is it is a poverty trap and dependant on state (2.5%), there is conflict management (7.5%), there is lack of funding availability (2.5%), there is no secure of tenure and non- beneficiaries are left behind (2.5%), the disabled are not assisted (2.5%), shack farmers refused services (2.5%), and "not acceptable to embrace informality after almost 30 years of democracy but rather think differently" (2.5%). Other participants stated, "YES in some cases" (12.5%), and "MAYBE" (5%).

Figure 4.10. Participant responses: Has the UISP improved lives of beneficiaries or not. (Source: Author's construct, 2023)

One participant shared both reasons why:

"Yes, a larger number of beneficiaries have access to basic services and housing in better located areas or areas which were previously illegal settlements. No, because what was intended for in theory did not work out in practice. It is difficult to deal with the soft engineering (Social aspects) of the upgrade which is very complex in nature. Shack farmers don't want the upgrades as it will hinder their income streams".

Most participants shared that:

"Generally, it definitely has improved their lives in view of the fact that post the implementation of the programme they would have access to running water, ablution facilities and in certain instances ownership. The aforementioned, all contributing to quality of life".

While a participant shared a different response:

"No. Most informal settlers stay without even consulting the government, as a result the resources and shared services are never enough. There is also no concerted effort to assist people who are disabled. How can they be expected to share ablution facilities which are far away from them, especially at night? The sideway is also not straight enough to allow wheelchairs to have easy access. I feel the basic human rights of disabled people are not respected. Government must legislate and provide that disabled people must not share with others and improve the roads in informal settlements which are mostly dark during the night".

Another participant shared that:

"It has obviously improved their lives tremendously as they have property that they have received for free and can make a profit by selling or renting which happens all the time".

Recommendations of the UISP

4.4.7. What do you think can change over the next five years to cut down the number of informal settlements and waiting list (backlog)

40% of the participants indicated that the reality is informal settlements will still increase and 42.5% of the participants added that it will never be eradicated. They shared that the waiting list will increase, and nothing will change. In order to cut down in the next five years, more funding is required for UISP projects as indicated by 22.5% of the participants. 17.5% of the participants explained that quicker intervention to access service and housing opportunities can trigger the growth. Again 50% of the participants shared their view such as to prevent / control of land invasion, stricter measures with the use of law enforcements.

Additional comments by various participants shared their views such as:

- Stricter measures should be in place for the illegal sell of RDP houses (7.5 % participants);
- Monitor and regulate UISP projects (15%);
- Border control with Home Affairs for illegal occupants (12.5%);
- Priorities according to national strategies and objectives, such as PHSHDA etc (10%);

- Release of land or give land via a contract agreement for quicker progress on UISP project (10%);

- provide starter house (2.5%);

- provide bulk infrastructure (20%);

- Densify housing by moving away from plot and plan and build multi-storey apartments (10%),

- Move away from "free housing" (25%),

- Embracing informality is a debate (10%).

- Participation is important for community support and communication with the use of NGOs (10%),

- Municipality to provide capacity (12.5%),

- provide more economic opportunities (17.5%),

- the use of open space should be used for economic activities (7.5%),

- government must look at other ways to provide housing opportunities and be creative/innovative - design thinking (20%),

- change should be made by higher levels and not for political favour (10%).

- the mindset of occupants should change and educate (12.5%),

- non-qualifiers should be given a chance, entitlement per case (7.5%).

- Shack farming should be abolished (10%),

- and 10% participants stated that UISP should stop.
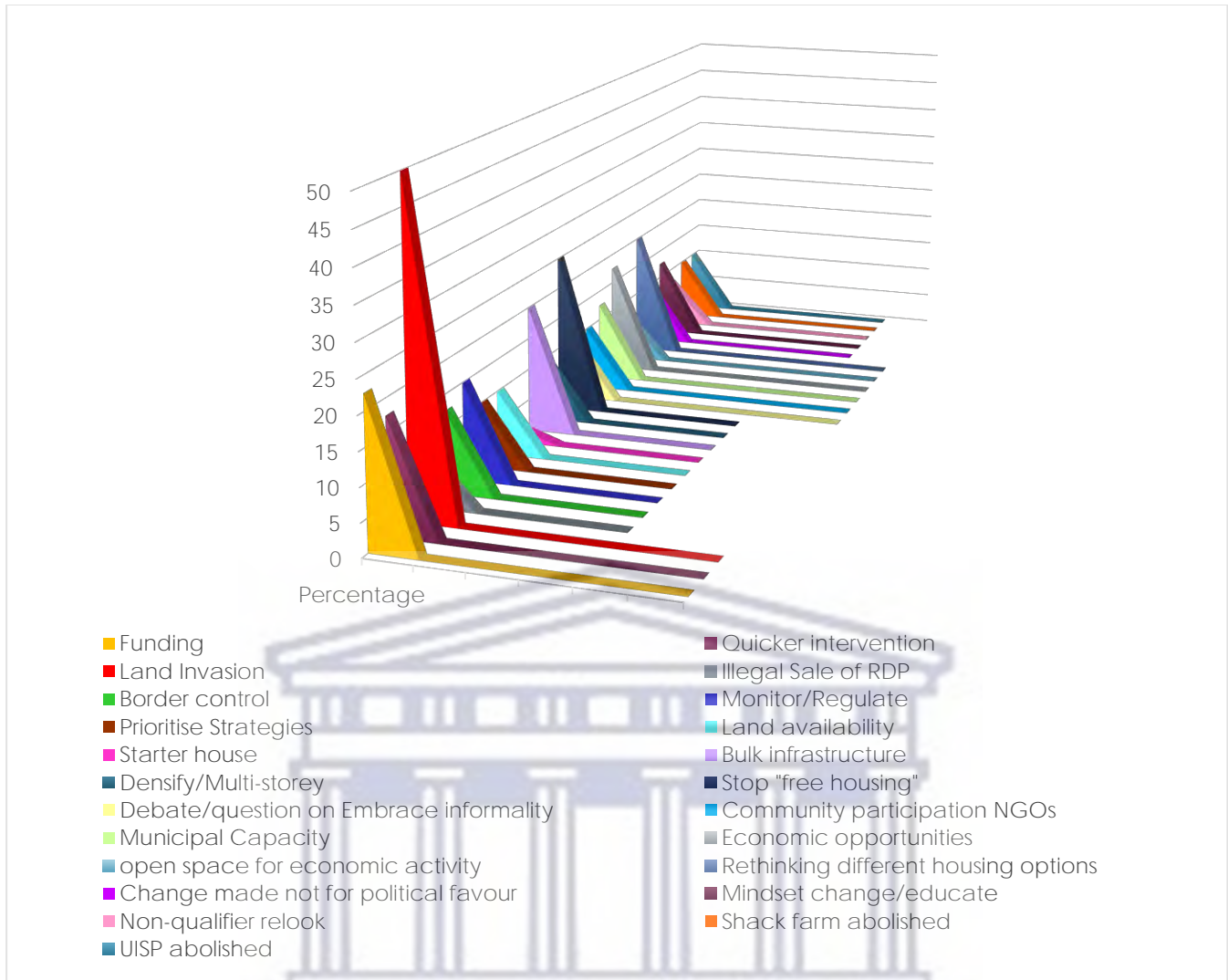
Figure 4.11. Participant responses: Views/Opinions to cut down informal settlements and waiting list from 5 years onwards in the WCP. (Source: Author's construct, 2023).

A participant shared their view:

"Firstly, the control of land invasion is critical. On all levels the laws of the country must be enforced this includes ensuring that Home Affairs control our border to prevent the illegal influx of foreign nationals which forms a large component of the informal dwellers. Our commercial farmers that focus on intensive farming practices that require seasonal works should also be held accountable for the role they play in contributing to this growth and employing illegal immigrants. Then, National Department of Human Settlements should ideally move away from "free housing". All potential qualifiers should make a financial contribution towards receiving either a plot or top structure. The country should on a executive level refocus on growing the economy of this country

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and encourage a culture of residents that pay for services, even if it is only a minimal contribution".

Another participant shared the similar view:

"Possibly better monitoring of informal settlements and managing their growth. This will require better law enforcement and policing. Unfortunately, it will never be prevented from happening as there will always be invasions and people in need of accommodation, looking for better opportunities outside of where they are to better their living conditions and standards. As long as they feel entitled and that government owes them something, informal settlements and the backlog on the housing waiting list will never be eradicated".

A participant shared that:

"You need to develop the informal settlements where they are (In situ development). Remember the informal settlements no Municipality plans for them, people just decide to occupy vacant land unauthorised, so in most cases the Municipalities finds itself in a position where they are forced to provide basic services to the newly forced settlements. Nonetheless the way to minimize the risk of unlawful occupation would be to fence all unoccupied land and perhaps use it as dumping sites for stockpiles just to create an atmosphere that discourages occupation".

Another participant had to say this:

"Informal settlements are here to stay. We need to start embracing them as a phenomenon which is part of our lives. The situation is compounded by the fact that informal settlements are now homes to foreign nationals and to some extent to those who might have benefitted from government assistance and for whatever reason gave away their opportunity".

"Furthermore, people have now become creative in the informal settlements environment by becoming landlords and thus propelling shack farming. Because the informal settlement environment is an unpleasant and dire situation, government tends to priorities the upgrading thereof, people ordinarily see that as a quick way of being allocated a housing opportunity and therefore exploit government's helpfulness, an issue of "your own success and good story coming back to haunt you".

"Instead of government giving houses for free, instances where potential beneficiaries are contributing towards their own houses needs to be encouraged and only build for the most vulnerable (elderly and people living with disabilities only). Those who are still economically activities should not be enlisted in the waiting list but rather be assisted with job opportunities for them to build their own homes in the long run".

While another participant shared different view:
"What should change is that they should stop UISP altogether as it's like land capture and just barbaric as these people are not on the waiting list and the backlog just gets longer".

Based on the above responses, this question the UISP housing programme, does it really contribute to the increasing of informal settlements as a "quick way" to receive a home and services?

4.4.8. Do you think that the UISP is actually working or not, why?

50% of the participants stated "YES". Each participant shared opinions such as: Access to Basic Services: 12, Improves livelihood of beneficiaries: 8, and secure tenure of land: 2, while there are many issues that still persists surrounding UISP projects: 13.

37.5% of the participants stated "NO". Each participant shared opinions such as: Informal Settlements is still increasing: 11; not enhancing people lives and creates a state dependency, sense of entitlement: 4; Encourages informality: 2; bankrupting municipality/funding is limited: 5; other complex issues: 3.

While 12.5% of other participants shared both "YES" and "NO" (7.5%), and 5% of the participants could not give an answer instead commented: *" UISP model must be redeveloped due to rapid urbanisation"* and *"depends on the area and community dynamics"*
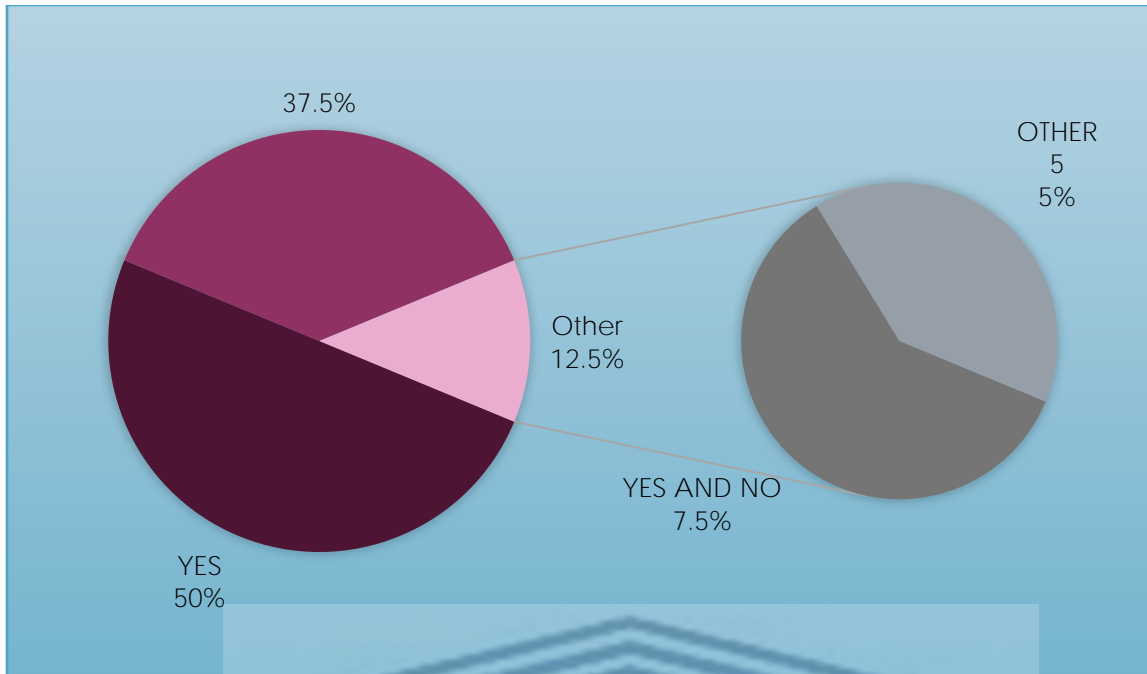
Figure 4.12. Participant responses: UISP working or not in the WCP?
(Source: Author's construct, 2023).

Three (3) participants like majority of others that indicated "Yes" stated:
"Yes, it is working but still has many challenges. Once you develop one settlements people sell their serviced sites and go to start another informal settlement. They know that the UISP policy helps all the people in a settlement irrespective of they had benefited before".

"Yes, it is working, providing people to basic services, and no, you can't eradicate informal settlements, growing by the day (minute)".

"In terms of providing access to basic services, yes, it is working. It is however challenged by the speed at which informal areas are established and the need to then respond/ priorities efforts to deliver on constitution responsibilities".

Another three (3) participant that indicated "No" said that:

"No, it's not. The UISP helps with the provision of basic services, however it is also encouraging informality. Informal Settlements are increasing and there's not enough funding to address the housing need".

"No. It is creating more informal settlements, and not eradication. Rationally, "Dignity" is not clearly defined in South Africa, and WCP".

"No, it is just encouraging informality which is potentially leading to bankrupting our local municipalities. On the flip side there is a local economy within these settlements which has extreme potential and needs to be optimised".

While majority has indicated "YES" it is working they still have mentioned that there is challenges and issues that contradicts the question whether the UISP is actually working 100%.

4.4.9. What is your recommendation for the UISP going forward?

All the participants have discussed and indicated various recommendations for the UISP going forward in the new future. The following items discussed per participant has been comprised as follows:

- Revised National Code: (5%);
- Holistic reform policy with HSP i.e., education, health et.: (7.5%);
- provide own home (15%);
- social housing and rent to own options (10%);
- De- densification (10%);
- starter house/slab (10%);
- Increased bulk services/infrastructure (20%);
- provide shared services (2.5%);
- Strict measures on land invasion and border control (50%);
- three tiers of government to work together (5%);

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- better financial planning/budget (22.5%);

- Superblocking and reblocking of projects (10%);

- Use NGOs (10%);

- Community empowerment/participatory (15%);

- capacity building and training with flexibility (5%);

- Innovation (17.5%);

- Disability to be assisted (2.5%);

- alternative structures that contain AI technology - optic fibre (5%);

- economic opportunities (17.5%);

- get updated data - database (5%); and

- while 10% of participants mentioned that UISP should be scrapped and abolished.

Bear in mind that some of the participants shared the same view as in question 4.4.7 with the way going forward in 5 years' time to reduce the number of informal settlements and waiting list.

These participants discussed and shared their recommendations:

"Revise the National Housing Code – enabling /greater opportunity for households to building their own homes People Housing Process (PHP). Non- South African, with limited border control: need to revisit their (immigration) rights @ holistic policy reform (health, education, etc.). De-densification – provide other land use (on the invaded site) after people has been relocated to safer areas. The floodplain area could become an Amphitheatre, for example, that the community can be proud of".

"I would recommend a pro-active exercise be undertaken by a newly created unit within the CoCT or even the Department of Human Settlements whereby all the applicable legislation that will be triggered from the upgrading of informal settlements is identified. Firstly, I would undertake an audit within the CoCT to determine the number of informal settlements present and/or developing. From there a screening process needs to be done of the sites in order to determine what types of legislation will be triggered from the implementation of a UISP (i.e., NEMA, WULA, Heritage etc.) A database can then be created which will include all informal settlements present in the city,

and by clicking on each site, it will take you to a folder containing all the background history of the site including checklists of processes that will need to be undertaken in order to streamline and fast track the process".

"Strict measures on illegal invasion of land to enable better financial planning and to better assist beneficiaries on the waiting list. This would further enable to have a realistic goal to equally assist informal settlers and backyarders with housing, thus saying that more people are moving into informal settlements to gain easy access to serviced sites and houses".

"Innovation, out of the box thinking and partnerships would be the way to go. This is an area which will take decades to address and then we might still be in the same situation".

"Provide a starter home or a foundation with a slab and provide block in services (10-20 toilets outskirts)".

"Government to strengthen private partnership. Share ideas with other countries and see what work for them. Look at alternative building measures, i.e., instead of brick and mortar, look at containers, fire resistant wooden structures. There are many empty vandalised train carriages standing in Woodstock, Government should look at concerting these into housing units".

"Change the department of Human Settlements to the Department of Infrastructure and stop promising free housing for the masses. Jobs and education need to be prioritised to break people out of the poverty barrier".

"They should scrap it and build more rental units as people need to know that they should work for the roof over their heads".

"Focus on economic growth and job creation.   Harness entrepreneurship and create environments that encourage small scale developers and entrepreneurs to assist with the provision of residential accommodation. Less reliance on state assistance. Direct funding to enablement programmes rather than end-product delivery (BNG houses)"

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"I recommend that people living with disabilities be fully engaged and accommodated. They have a right to dignity and safe environments. They must not be included in the shared services, but rather be accommodated individually in line with their disability. It doesn't help to only cater for them in the provision of a house suitable for their needs whereas the informal settlement is not catering for them".

"That the Superblocking or Reblocking be re-evaluated and consider eradication of informal settlements rather than upgrading them".

"Funding must made available quicker than any other national housing programme. There are too many red tapes when it comes for funding. ONLY existing informal settlements are earmarked, and people are relocated to new area / development. My concern is the backlog vs funding vs years to eradicate the backlog. it will take years. you can also work it out it, for example if municipality receive R30m building houses vs the subsidy for each qualifying applicant is now R202 888.00 vs backlog/ waiting list ends up in years to eradicate the backlog, whilst the waiting list is growing on a daily/yearly basis".

"I think it could help to create tenure systems through land pooling and replotting and incremental regularization of informal properties. Government should also look at ways to implement localized planning and an add-on to the waiting list where information for informal dwellers can be added. The regularization and improvement of exterior public spaces should also be explored as well as improvement of informal settlements. Different housing options should also be looked at as well as basic needs such as schools, healthcare, policing, etc."

"Provision must be made for unsolicited bids from the private sector which should be written into policy of government to create a platform and receiving environmental for mor innovative interventions towards sustainable human settlements".

"Implement superblocking as a means to frame a footprint of intervention by installing major infrastructure (Roads, bulk service infrastructure, etc.) and then incrementally dealing with the pocket of informality that results internal to these larger super blocks. This will provide an

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opportunity to move away from dictated subsidy quantum of households which are not financially sustainable".
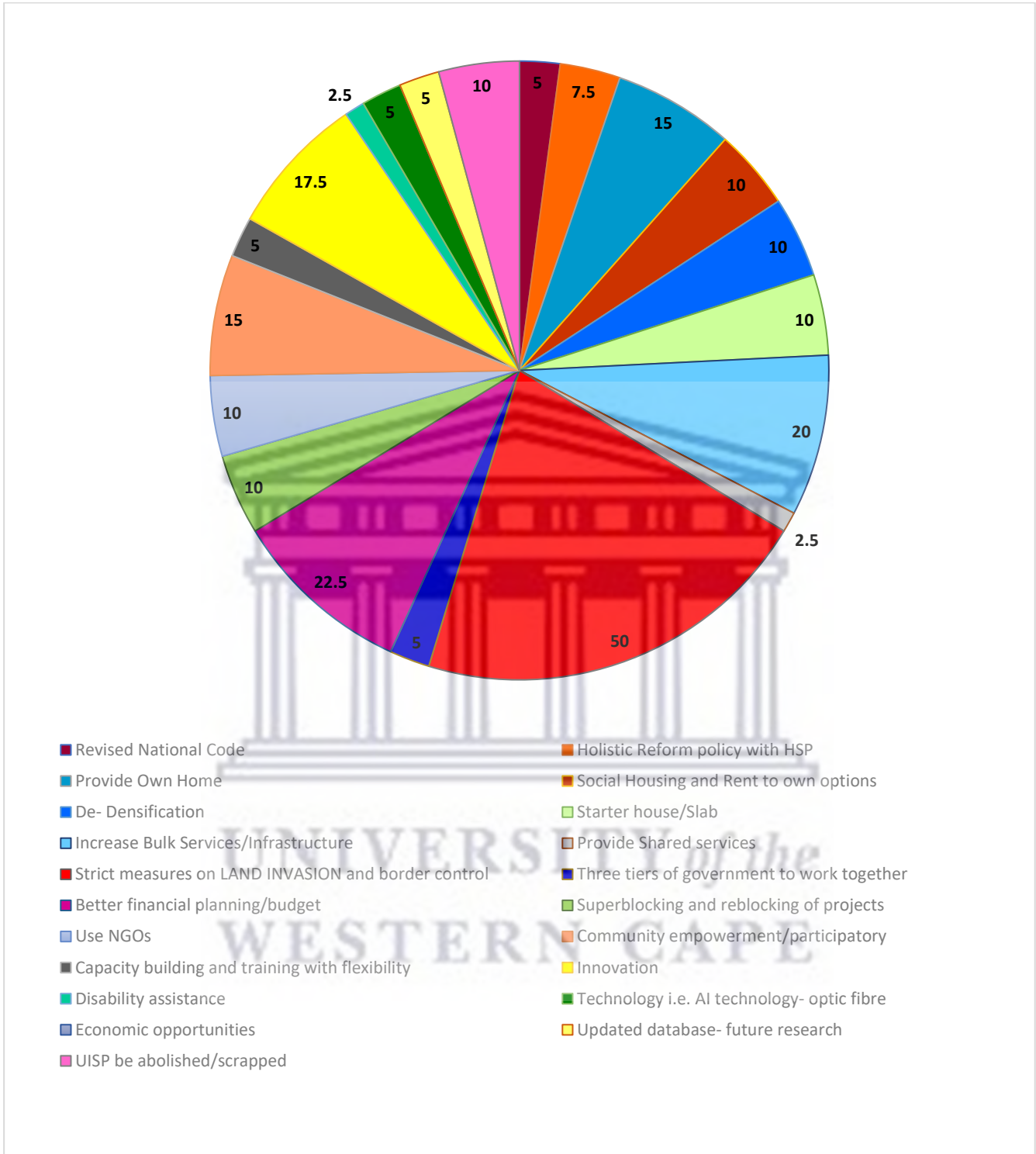
Figure 4.13. Participant Responses: Recommendations on UISP in the WCP. (Author's construct, 2023)

It is important to note the above responses of the participants in order to find a solution to the issue on the increasing of informal settlements and relooking at the housing code policy especially the UISP.

4.5. Chapter Summary

This chapter presented the data, analysis and the discussion of the responses received from forty (40) participants. The chapter provided an analysis of the data collected from the questionnaires distributed to participants from the provincial level to local government level officials, and NGOs. The purpose of the research study was to critically assess the UISP in the WCP.

The preliminary findings from the data analysis indicates that in- situ upgrading of informal settlements is well described on housing policy and guidelines with access to basic services but the outcome is marred by grey areas among policies, practices, and rational sense from "embrace informality" to the reality of informal settlements ever increasing issues triggered. The next chapter will discuss the findings, recommendation, and conclusions.

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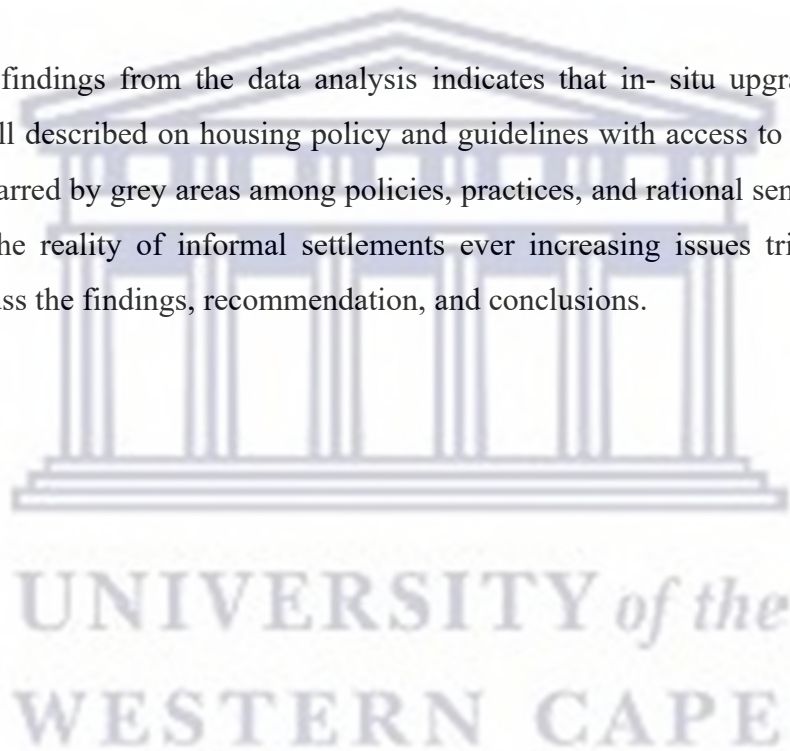
CHAPTER 5
FINDINGS, RECOMMENDATIONS AND CONCLUSION

5.1. Chapter Overview

The previous chapter analysed the data, presented with interpretations and discussions. This chapter provides a summary of the research findings of this study. It further provides recommendations to the various main stakeholders related to this research study. It demonstrates the importance of this study in the WCP, contributing to knowledge to both South Africa and Internationally. Furthermore, the conclusions of this research study aim to drawings together the main findings, linking with the research problem and data analysis.

This chapter concludes the mini- thesis by weighing on main answers to the research question:
The Primary research question is whether or not the UISP has reduced the number of informal settlements since it was introduced?
The secondary research questions of this study are as follows:

    What are the number of UISP products delivered?

    What is the impact of UISP in the WCP?

    What are the challenges faced by informal settlements?

A number of research objectives were set to guide the study.
The Primary objective of the study is to critically assess the Upgrading of Informal Settlements Programme (UISP) in the WCP, from 2009 to 2022.
The secondary objectives are:

    To identify the numbers of UISP products delivered.

    To determine the impact of UISP.

    To identify the challenges faced by the informal settlements.

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To reflect, Chapter 1 introduced background of the research study, the overview of the case study area – WCP, the research problem, questions and objectives, aims, significance, and the assumption which set the main platform of this research study. In Chapter 2, the researcher discussed the literature relates to (upgrading of informal settlements) housing and human settlements from and international, nationally in South African and the WCP context. From here on, the interpretation of key terms is defined and the policy and legislative framework with the historical background of South Africa context to the WCP policies in date order/format. Furthermore, the understanding of the UISP was discussed and explained as phases and the role it plays in South Africa government. In Chapter 3, the researcher presented her research methodology, ensuring that all aspects including the limitations and ethics were addressed. With an established background to the WCP housing context and its challenges, the researcher discussed her findings in relation to the UISP in the form of questionnaires and semi-structured interviews in Chapter 4. Through a critical and assessed lens, the researcher questioned the impact, and challenges of the UISP that contributes to main research question posed and the policies to create a better integrated and sustainable human settlements. In addition, the researcher focused on the participant responses conducted seeking answers to the research questions. Lastly, in Chapter 5 concludes the research that indicates the gaps and contribution to knowledge that paves the way forward to future research. The conclusion drawn and recommendations made are based on the research responses.

5.2. Synopsis of the background and research study

As noted in Chapter 1, the purpose of this research was to critically assess the UISP, as part of the housing code policy, and the reason why informal settlements are currently increasing on a daily basis. The discussion focused on the symptoms of informal settlements upgrading and the continuous aftereffects, which have a ripple effect on other sectors (economic, social, and infrastructure) as well as the informal settlements resident's human dignity and well-being. It is important to understand the background and when informal settlements started during the apartheid era, and the current affairs of an almost 30-year post-apartheid "democracy" state. During this study, WCP, as a study area, confirmed these challenges and impact. Questions were raised as the whether the increase of informal settlements is attracted by the UISP housing

programme. The move away from "free housing" brings the question to unlock investments and infrastructure and bring a "better together" for all on a sustainable human settlement environment in the WCP. There is room for change, should South Africa and the WCP wants to rethink on the UISP on how to combust and reduce informal settlements moving into a new era i.e. with interesting technologies such as AI technology, as seen in international studies. With the acknowledgement that all countries differ on the broader context of informal settlements or slums, it is important to rethink and relook at how solutions can be developed to deal with informal settlements and UISP challenges, as well as look for different ways to deal with the rising number of informal settlements.

5.3. Summary of the research findings

This section presents the findings emanating from the data analysis. During the research the semi-structured interview, the questionnaires survey as well as the literature review revealed a range of different interpretations, and gaps to the research study.

5.3.1. Vagueness on definition of sustainable development and human settlements

Although many welcomed the definition within the sustainable development and human settlements seeing South African human settlements goals fit into the international vision (Africa Agenda 2063, Sustainable Goals (SDGs – UN), there remains vagueness about the UISP and sustainable human settlements definition for an all-inclusive and long term sustainable human settlements environment.

Although UISP, seeks to address the right to basic services such as water, sanitation, refuse removal and electricity, the question lies with the long term acceptance of "embracing informality" and making change towards an inclusive society to create a improved quality of life for all in the long term, while many are forcing their way to land invasions treating it as their right to live and taking advantage while others are desperate for a place to live. The attempt to answer this research question resulted in uncertainty around the definitions, understanding and perception of the apartheid thinking and the constitutional rights to "free services" mindset instead of looking to a more positive sustainable human settlement. Many of the respondents understood the context and

the reasons for land invasions in UISP housing projects, and based on their experiences there lies a significant aspect of what the aim of UISP is and seeing how it triggers the increase of informal settlements contradicting the measure towards an all-inclusive sustainable livelihood that the greatest confusion or uncertainty lies for the future of South Africa and the WCP. The UISP definition has some aspects to more clear clarity to contextualizing, and equip the professionals and stakeholders to be able to measure the housing programme accordingly, such as:

- Is the UISP working in the long term?
- How does it resolve the issue of the reducing informal settlements?
- How does it provide sustainable development and human settlements?

Despite the above definition and measures, the participants raised their concerns with a wide range of different responses.

5.3.2. Contribution to knowledge: Housing Code policy

The researcher found potential gaps to this study, and one of them is the contribution to knowledge. This mini thesis provided finding such as sustainable housing programmes specifically in the category of informal settlements, which has not been handled well over the last 2 decades in the provincial and national planning and human settlements field. Further, confusion and lack of clarity on the housing programmes, specifically in the UISP has been created and not addressed on all three levels of government in South Africa. This absence of clarity contributes to the unequal society of post-Apartheid, within the fragmented settlements and contradicts to the Bill of Rights of the South African Constitution.

This study reveals that there had not been enough done to plan and provide for informal settlements upgrade as a sustainable human settlement in the long-term manner and opens or triggers to social ills and ripple effects of the housing crisis. The data and facts given to the rising number of informal settlements shows that policies are failing as a trap to poverty. Despite these failures, housing delivery systems should be rethought on all levels starting from the grassroot level to rethinking radical sustainable planning. Upgrading of informal settlements generates new

dynamics politically, socially, and economically from the community which makes the process difficult for authority to assert power. The ongoing spatial inequality across the province should come to an end.

5.3.3. Monitoring and Evaluation of the UISP

Another gap is the monitoring and evaluation (M&E) of the UISP projects in the Western Cape. Monitoring and Evaluation (M&E) is critical in all policies and provides a platform to observe the policy activities. Officials in the Human Settlements departments should ensure that money allocated is spent efficiently and effectively therefore as value for public funds there is a need for continuous M&E (Ile, 2014:203-204). This is studied through a result chain pyramid with the following below approach:
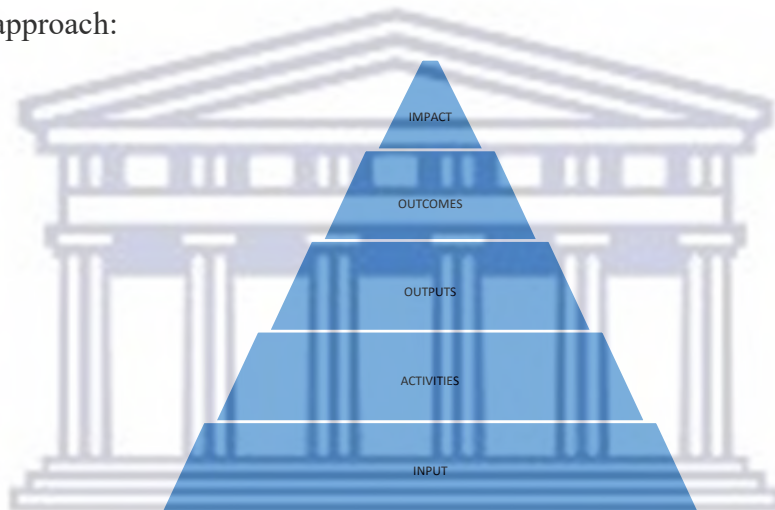
Figure 5.1. M&E - Result Chain pyramid (Source: Ile, 2014:203-204).

There lies a research gap that may have enhance the aim of the research study. For example, studies on monitoring and evaluation and its impact on informal settlements that is lacking in the provincial department of infrastructure -branch human settlements.

Although NGOs have declared they do M&E in their UISP projects they work with, the municipalities at local level declared there is some form for M & E in the WCP. Some of the municipalities also claimed that there is no capacity or staff for rolling out the role of M&E functions for UISP.

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The Provincial and National Departments of Infrastructure – Branch Human Settlements has little or no M&E on UISP projects due to the fact that:

- Project Managers claims that once a service is completed there is no need for further M&E of the project.

- Officials and project managers claim that it is the municipality duty to do the M&E of the project thereafter.

- Some mentioned that the role of M&E has been outsourced to a service provider such as an NGO (not for all UISP projects)

- There is no M&E unit in the WCDOI – Branch Human Settlements previously as WCDOHS.

This is crucial to highlight as a red flag, and to note that there is no real M&E functional unit in the provincial department of human settlements. This needs to be addressed in order to ensure that UISP projects do not continue to become overcrowded, and to avoid the growth of informal settlements.

A suggestion and recommendation why M&E is crucial for the UISP. The researcher suggested as a proposal using the result-based chain and measure it with the Logic Framework Model as illustrated by Ile (2014:203-204). The Logic Framework Model observes the programme objectives as part of planning and the results as seen below:

Logic Framework Matrix Model

	Objectives	Assumptions	Summary
INPUT	As part of IDP –National, Provincial and Local level. Housing Code 2009, NUSP, UISP, All Legislative and Policies Frameworks on Housing, Funding, Resources: government officials, beneficiaries, contractors,	As part of implementation this is required for the activities to take place	

	engineers, planners, technical, raw materials, NDOHS, WCDOHS, NHBRC, municipalities for land or being the developer, Other Departments: Environmental and Developmental Planning (DEA&DP), Technology (software), logistics. Timeframe etc.		
ACTIVITIES	Inputs are formed providing basic services with main objectives for the project. No of beneficiaries No of raw materials No of serviced sites Timeframe of the projects, Important factors in policy implementation	NDOHS and all stakeholders officials are to ensure the role out of the planned resources are used correctly. Intervention may be required. Training is required.	
OUTPUTS	No of service sites delivered No of satisfied or unsatisfied beneficiaries with the services No of beneficiaries empowered No of beneficiaries with secured tenure No of beneficiaries on the waiting list	The ISSF Framework provided for WCHSD to apply the M&E information and knowledge with Developers	

	Yearly Report of the WCDOHS and NDOHS		
OUTCOMES	No of complaints from beneficiaries in WCP UISP projects –variance/deviations i.e. protests, refused to move, instability, crime: gangsters, vandalism No of beneficiaries received service site under age of 35. No of beneficiaries have access to other amenities and participate in empowerment programmes No of beneficiaries have a form of income to provide/maintain No of feedback from contractors/project managers/engineers/planners to ensure responsiveness. No of funds allocated from NDOHS and WCDOHS. No of M& E reports provided annually, quarterly with performance indicators ***Enhance a new form of policy to UISP incorporating compulsory social and economic development programmes and to react to complaints in the community**	The M&E plan is created such as ISSF/ISSP in the WCDOHS to study the results based measurement	New policies and programmes are reviewed and amended to ensure targets are met.

IMPACT	No of clients and coalitions responses and feedback No of community participation. No of votes of confidence in the political elections.			Enhanced service sites satisfied with improved policy implications such as the social and economic programmes incorporated

Table 11 - Logic Framework Model on the UISP (Author's construct, 2023).

The outcomes will now be used in the result measurement matrix table to be able to established enhanced targets on the proposed policy implemented for forecasts.

Result Measurement Matrix

Outcomes	Indicators	Baseline	Interim Targets	Targets
*Enhance a new form of policy to UISP incorporating compulsory social and economic development programmes and to react to complaints in the community – Enhance Upgrading of Informal Settlements	No of complaints addressed in community	2026- 75 % of complaints by beneficiaries in community project	2027 - reduce to 50% of complaints	2030 - reduced to 25% of complaints
	No of social programmes implemented	2026 – 15% participated with Dept of Social Dev.	2027- 25% participated with Dept of Social Dev.	2030-30% participated with Dept of Social Dev.
	No. of empowerment/economic programmes opportunities with Dept. of Economic	2026- 25% integrated as a priority and provided to beneficiaries	2027- 30% integrated as a priority and provided to beneficiaries	2030-45% integrated as a priority and provided to beneficiaries

Programme [EUISP]	Dev. And Agriculture			
	No of beneficiaries that have not been assisted	2026- 60% have not been assisted	2027- reduced to 45% that have not been helped or assisted	2030 - reduced to 25% that have not been helped

Table 12 – Result Measurement Matrix on the UISP (Source: Author's construct, 2023)

5.3.4. Implications and the way forward for future research

There lie research gaps that may have enhances the aim of the research study. For example, the studies on UISP and its impacts on the informal settlement's residents are lacking as well as the challenges, while it may only provide basic services to informal settlements, how does it address the issue of quality of life in the long-term basis. Another, is the fact that informal settlements are increasing, how does the UISP and the housing policies really make a difference to the society as a whole? This requires urgent and more future research studies to address the problems faced and make real solutions.

The study on all informal settlements in the WCP at an entry level is limited due to capacity constraints and the overwhelming number of informal settlements increasing by the day. A suggestion for future research in this domain would be short surveys indicating why they have move or invaded land, as well as would they exit the informal settlements for a better life? The fact that many take advantage and protest for better services, only to jump the waiting list queue and receive homes is quite unjust.

Implications for future research was listed to inform public policies makers affiliated with human settlements in the WCP as well as South Africa on a national level.

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All relevant stakeholders and officials from governments (all 3 levels), Cabinet, Ministers, National and Provincial Department of Human Settlements now officially known as Department of Infrastructure, National and Provincial Department of Development Planning and Environmental Affairs, National and Provincial Department of Health, National and Provincial Department of Social Development, Municipalities, NGOs/civil society, Implementing Agents, Private sectors, and the beneficiaries of the informal settlements contributes to the interventions for future resolutions.

The above-mentioned points could be a basis for future studies to comprehend on the UISP and informal settlements in South Africa, bearing in mind that all informal settlements complexities differs internationally.

5.3.5. The Role of the NGOs in UISP

Another finding in the research study is the role of NGOs and their part to play in the UISP projects. NGOs are entrusted to play a crucial role in the society especially in the informal settlements upgrading projects. They have much more to contribute to all stakeholders and beneficial to government as a whole.

Participant from an NGO perspective share that:

"Informal settlement upgrading should involve ALL stakeholders from the very beginning – the planning stages. In one municipality, the officials and consultants preferred to do ALL the planning without involving the community at all. The first time the community were represented at a Project Steering Committee meeting was at the insistence of the NGO appointed by the Province. Incidentally this was only at the 13th PSC meeting! UISP is not a housing or human settlements function only. All relevant departments from all different spheres of government should be involved from the beginning of the process. In more than one project the municipality were reluctant to bring in Home Affairs and this became problematic down the line when residents subsidy eligibility was assessed as there were many undocumented foreign nationals living in the settlements (and thus not eligible for Stage 3-4 of the UISP). Top structure design is predominantly a free standing

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unit and the layout is designed to accommodate this typology. No real thought given to settlement management in terms of growth and encroachment."

Another NGO shared that:

"*By working directly with residents in the community there was an opportunity to strengthen the capacity of leaders to represent their communal issues in a competent manner. Through collaborative action research processes the community could undertake sustainable livelihoods projects to address food insecurity and job creation. Most of these livelihood initiatives continued way past the completion of the ISSP contracts with NGOs. Residents were keen to engage in the development processes when they were involved in decision making and capacitated about why some of their wishes could not be met. When leaders felt that their presence in meetings with officials and technical consultants were not merely 'window dressing or tokenism attempts" they were more willing to facilitate communication meetings with their community residents to explain the intricacies of the project and its boundaries. There were no service delivery protests when communities understood that their grievances were heard and addressed. It is critical to manage expectations early on. Communities need to understand the budget constraints, limitations, and timelines so that they do not feel lied to or betrayed."*

Another NGOs shared their concerns on not being heard:

"*...the lives of the beneficiaries has not materially improved in the UISP projects besides a lot of information gathering and capacity building. Little or no implementation has yet been delivered that has improved the lives of the residents. We have long argued with WCDOHS about this fact and have tried tirelessly to extend the contracts in order to actually implement some of the proposals and thereby improve the lives of the residents. Whether through apathy, lack of commitment or lack of resources, this has never materialised and is an enormous cause of frustration within our NGO".*

This is crucial to take note that the use of NGOs who are working closely with the community of UISP projects as a community participatory approach, and their views, opinions are heard.

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5.3.6. Addressing the increase of informal settlements

Based on the analysis below and literature review (secondary data), it has clearly indicated that the number of informal settlements and the structures growth increased and the number of UISP products delivered is a clash and big problem for the WCP. Perhaps, government realized the challenges and dynamics of UISP and there shows a rising number of informal settlements.
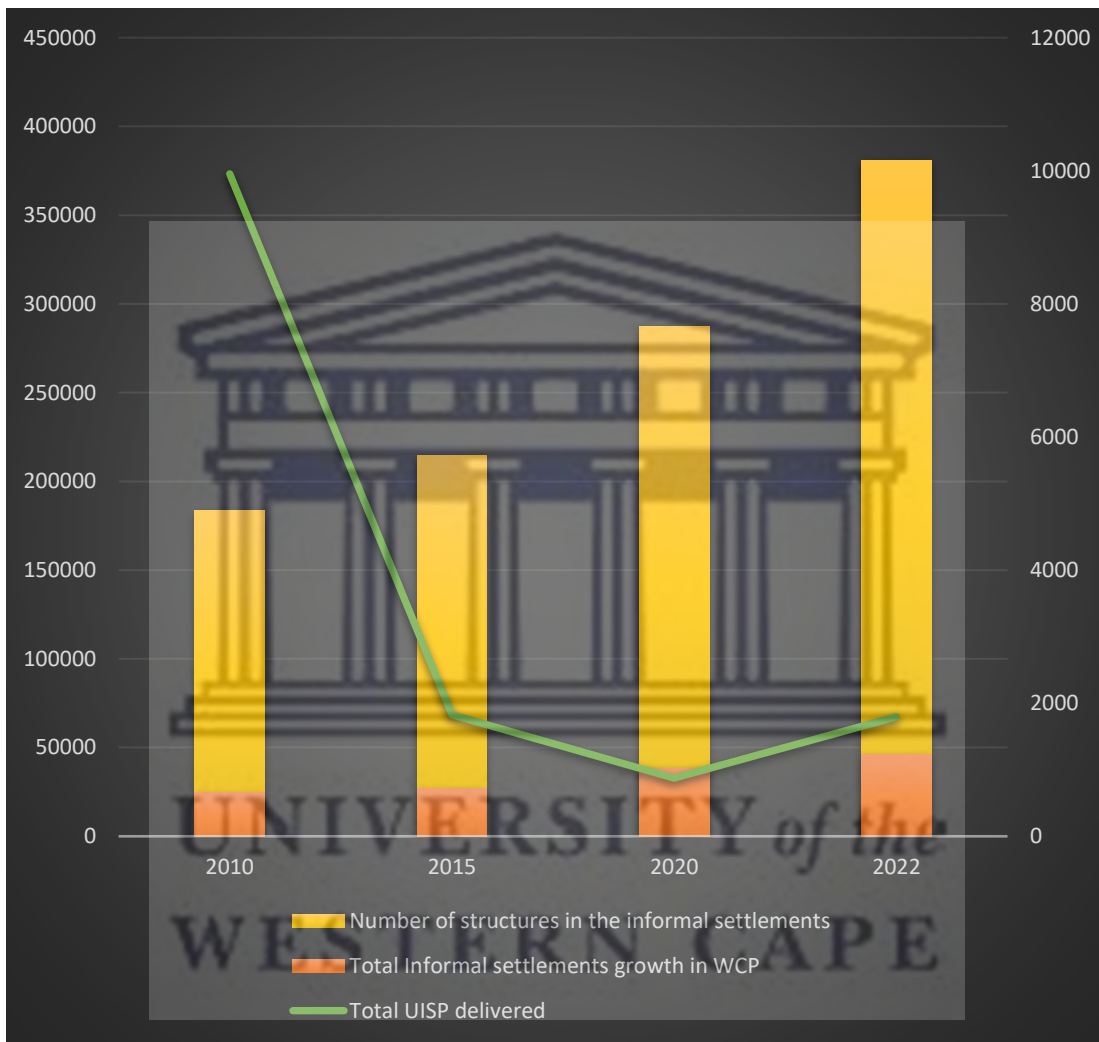

Figure 5.2. Informal Settlements VS UISP delivered in the WCP (Source: AR & WCDOHS 2010/2011-2021/2022)

Informal settlements are increasing due to many reasons like the number of non- qualifying households that cannot obtain a top structure (Home – like IRDP). It is either because of the age

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or income status. Some might have been previously homeowners, blacklisted for losing their homes, and can never become a homeowner again unless their bonds are fully paid and their employment status has become better. Many banks do not qualify previous homeowners therefore it leaves them with no choice but to live in an informal shack dwelling, board with a family member, become a backyard dweller or homeless. Upgrading of Informal Settlements programme only allows them to have basic services, but not a real home. It is unrealistic and unfair. Ripple effects of poor financial education, poor financial management, leading to a big problem of credit regulations. Banks, financial institution are partially to be blamed for this, forcing the consumer to keep buying on credit knowing their affordability is over and above the credit limits. In reality, the economy relies on consumers, they don't care about their credit affordability or financial status.

With the rising number of unemployment, covid pandemic, and all underlying issues faced nationally with its ripple effects, the question probes whether UISP did indeed contribute to the increase of informal settlements.

The NDOHS strategic plan 2020-2025, proposed a recommendation that the UISP is to be revised, and more funding to be granted for the UISP. This has been realized that there is a need for revise policies in the housing sector, and that interventions are required to address the issues on the increase informal settlements. (NDOHS SP: 2021:38).

This has clearly indicated that the housing code policy and its programmes such as the UISP should be reviewed since it was last amended in 2009. It has failed, with the hindrances and untouching arguments, the UISP as a debating topic, needs to be rethought to avoid possible increase of land invasion and more informal settlements.

5.4. Recommendations

Based on the above findings, the researcher proposes a number of recommendations to enhance the efficiency and effectiveness of the UISP.

Consumer and Housing Education: One can never obtain a government subsidy more than once; it will be unfair. Therefore, it is extremely important to explain clearly to the community that received their home to know the housing consumer rights and educate them. Ways to reduce

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informal settlements, cutting out the "informality" of informal settlements mindset with education, and to state "it is not ok to live in a shack with just services".

Rethink: Give room for employment to allow beneficiaries to pay for their own home/site and cut out "free houses". The mentality to stay **"unemployed"** to qualify for a service site or home (R3500 bracket) is not OK! Another is a "Rent to Own" option as part of social housing programme. This can reduce the number of backlogs and the number of informal settlements in the Western Cape, and South Africa. It can produce fast track results for housing options at an easier pace and better service delivery. Infrastructure of these "rent to own" options can vary from apartments to houses in the series of 15-20 years of affordable payments**.** Significant hereto is to learn from other 3rd world countries, and how they expedite delivery, with quality programme, that enhance life quality. One such is India from informal settlement to rental unit for extended family.

A service stands of 45m2 on the land (not owned by CoCT/WCG government) with a **MOU agreement** between the owner and member– almost like a title deed letter but a letter to allow them to live on the land and build their own home under their own costs.

Those that received a serviced site in the UISP project- should be given options to build their own home. i.e., obtain building materials from NGOs and government. Future thinking ahead, should encourage residents to live in a human dignified manner and improve quality of the household.

Spatial development in the WCP. Urban and rural areas, by providing more economic opportunities in the non- metro areas such as seen in George. It is starting to become the 2ⁿᵈ largest city in the WCP. This will reduce migration to the metro area (CoCT) and reduce the number of informal settlements in the metro area.

Ensure the **implementation and monitoring of the UISP policy**. It is recommended to monitor the project every 3 months. Have the objectives been met when monitoring, is UISP working? Have the informal settlements formed a committee and discuss the future of the UISP project to be implemented? Have the UISP integrated with other programmes from other departments to

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ensure the efficiency and effectiveness success of the upgraded informal settlements i.e., food programmes.

The project application for UISP is implemented fairly provided sufficient basic services as phase 1 to 3. The social and economic factors have not yet been met in some cases. Food insecurity and nutrition still remains a factor especially in women and children. Economic opportunities are still to be provided and arranged within a new spatial planning framework. In other words, if there is no new city formed with all the amenities and shops, the upgraded informal settlements won't work to allow for long term sustainability to maintain the top structures/tenure once completed. Ensure that livelihoods and economic opportunities are made priority with the use of other departments such as Social Development and Agriculture to provide programmes. i.e., Food Garden. This will reduce the number of vandalism and crime.

The housing demand database and age group of the beneficiaries list should be reconsidered before implementing the project. For example. Would it be reasonable if the beneficiaries is 21 still young and able to go work etc.? We do know that the criteria for housing in general has been amended to 40 years old, but with UISP Despite if they are single parents, the role of society is also important. With exception of disabled young beneficiaries that are unable to work. This will reduce the number of migrations, reduce the backlog of housing delivery, and relieve strain on housing departments that receive a low budget annually.

From an NGO perspective it was recommended that:
"The UISP implementation should address social and economic exclusion by focusing on community empowerment and promotion of social and economic integration. Building social capital through participative processes and addressing the broader social needs of communities There is a lack of clear implementation guidelines: "community empowerment" and "participatory development" is essentially open for interpretation by the official responsible for overseeing this."

Change the UISP vision, to avoid more land invasion and more informal settlements, but creating other housing opportunities. There is no "quick fix" to solve all the problems at once but every little solution makes a big difference to society. The fact that attempts on alternative techniques

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such as the NDOHS 2020-2025 and WCG ISSP 2016, has shown we are moving towards a robust society of change. After 30 years of democracy in South Africa, nothing has changed. Extreme high rates of poverty, inequality, unemployment, crime, and corruption etc. still exists and we seriously need to change our way of thinking.

With the above-mentioned recommendations, it is therefore recommended to create an amended policy: *Enhanced Upgrading of Informal Settlements Programme (EUISP)*.

5.5. Conclusion

Although a number of research study have estimated the current situation on informal settlements and upgrading in the South African and international context, a few if not many, have analysed the upgrading of informal settlements programme in the WCP. This mini- dissertation contributes to the WCP and the Housing Code policy namely the UISP.

This mini dissertation indicates that informal settlements are still products of FAILED POLICIES, dysfunctional, poor urban management, and the exclusion of urban development.

The critical analysis presented in this dissertation shows that the current UISP is contributing to the increase of informal settlements while still addressing the need for basic services and some form of "human dignity". The challenges and impacts of the UISP that is still faced, is poorly managed and very slow changes or progress is shown in the last 30 years of a democratic society in the WCP. To rethink on UISP and review policy, is a definite requirement since it was last reviewed 2009.

The assumption that UISP attracts and "triggers" the increase of informal settlements in the findings of this research study is quite clear. All participants have indicated one way or another that land invasion and other challenges are still occurring in the UISP projects of WCP.

Lastly, WCG may have good intentions to deal with the informal settlements however it is not good enough to handle the current drastic situation. The never-ending increase of informal settlements is never going to stop unless change is made. Tough decisions and clear direction is

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required to make this change completely. There is a clear need to address the dysfunctional housing problem within the informal settlements. Only time will tell how successful the decrease of informal settlements is happening, however with the current situation it is impossible. Change is needed, and the best chance of success will determine the outcome of reducing the number of informal settlements in the WCP. All the relevant stakeholders coming together with unity, can only make this change. Now is the time to make the change.

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FACULTY OF ECONOMIC AND MANAGEMENT SCIENCES

SCHOOL OF GOVERNMENT

Participation information sheet for Questionnaire

RESEARCH TITLE: Rethinking the Upgrade of Informal Settlements in the Western Cape: A critical assessment of the Upgrading of Informal Settlements Programme

Dear Participant

You are invited to participate in a research study. It is in partial completion of the researcher's thesis towards the *Master of Public Administration (MPA)* Degree at the School of Government, at the University of the Western Cape.

PURPOSE OF THE STUDY

Given this context, the aim of this study is to focus on the UISP in the Western Cape over a period of eleven years. It will look at the period from 2009 when it was last reviewed till 2020 with a view to explaining the complex and diverse challenges faced by the province in its bid to meet the housing needs of informal settlement residents. Consequently, the purpose is to understand informal settlement challenges and how they can be addressed through the adoption of a sustainable housing settlement programme.

DESCRIPTION OF STUDY AND YOUR INVOLVEMENT

We are inviting you to participate in this research project because you meet the set criterion for the population of interest and your participation will help other people. You will also be asked questions. The study will be done in Western Cape Province. The interview will last approximately 1 hour.

CONFIDENTIALITY & ANONYMITY

Please be advised that the results of the study will neither divulge the organization's particulars nor the individual particulars, as to maintain confidentiality at all times. Any information that can connect the responses to an individual or organization will remain confidential. The researcher shall keep all records and tapes of your participation, including a signed consent form, which is required from you, should you agree to participate in this research study, locked away at all times.

RISKS OF THE RESEARCH?

There are no foreseeable risks to participating in this research and the research will be based on individual's preference. i.e. face to face, email. All COVID regulations will be followed.

BENEFITS OF THE RESEARCH

The benefits of this research are outlined as follows:

- Give a more detailed information on the state of conditions, and broader contextual problematic issues surrounding the informal settlements.
- Understand the phenomena better using your experiences and interactions with the communities in the informal settlements.
- Contributes to the world of knowledge on the housing crisis with an anticipated outcome.

VOLUNTARY PARTICIPATION AND WITHDRAWAL

Your participation in this research is entirely voluntary, which means that you are free to decline from participation. It is your decision whether or not to take part. If you volunteer to be in this study, you may withdraw at any time without consequences of any kind - and without giving a reason. You may also choose not to answer particular questions that are asked in the study. If there is anything that you would prefer not to discuss, please feel free to say so.

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FACULTY OF ECONOMIC AND MANAGEMENT SCIENCES

SCHOOL OF GOVERNMENT

PAYMENT FOR PARTICIPATION

Participants will not be rewarded for participating in the study.

PERSONAL INFORMATION ACT (ACT 4 OF 2013)

➤ *What type of personal information will be collected?*
Participant name, job title and role

➤ *Who at UWC is responsible for collecting and storing my personal information?*
The researcher (student) and the academic supervisor

➤ *Who will have access to my personal information outside of UWC?*
WCG Human Settlements

➤ *How long will my personal information be stored?*
It will be stored in a filed cabinet, USB and on the pc (backups) for a period of 5 years.

➤ *How will my personal information be processed?*
It will be only be used to show proof that you consented to the research. The researcher will not use your identity in the report. Coding will be used to process personal information.

INFORMED CONSENT

Your signed consent to participate in this research study is required before I proceed with the interview. I have included the consent form with this information sheet so that you will be able to review the consent form and then decide whether you would like to participate in this study or not.

QUESTIONS

Should you have further questions or wish to know more, I can be contacted as follows:

Name   : Carla Wilkinson
Mobile Number   : 062 248 9418
Work Number   : 074 681 0644
Email   : 3011333@myuwc.ac.za

I am accountable to my supervisor   : Prof. Alfred G. Nhema, PhD
Department   : School of Government
Telephone   : 021 959 3804/3801/3850
Fax   : 021 959 3826
Email   : anhema@uwc.ac.za agnhema@gmail.com

This research project has received ethical approval from the Humanities and Social Sciences Research Ethics Committee of the University of the Western Cape,
HSSREC
Tel. 021 959 4111,
email: research-ethics@uwc.ac.za

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APPENDIX II – CONSENT FORM (QUESTIONNAIRES)

Questionnaire

Consent Form

University of the Western Cape

Project Title: Rethinking the Upgrade of Informal Settlements in the Western Cape:

A critical assessment of the Upgrading of Informal Settlements Programme

Researcher: CARLA WILKINSON

Please <u>initial</u> the boxes to show your agreement and understanding of what is expected for this study.

1. I confirm that I have read and understood the information sheet explaining the above research project and I have had the opportunity to ask questions about the project. ☐

2. I understand that my participation is voluntary and that I am free to withdraw at any time without giving any reason and without there being any negative consequences. In addition, should I wish to withdraw, I may contact the lead researcher at any time to do so). ☐

3. I understand my responses and personal data will be kept strictly confidential. ☐

4. I give permission for members of the research team to have access to my responses without revealing any part of my identity. ☐

5. I understand that my name will not be linked with the research materials, and that I will not be identified or identifiable in the reports or publications that result for the research. ☐

6. I hereby agree that my anonymized responses collected through the questionnaire can be used for this research. ☐

7. I agree for the anonymized data collected to be used in future research ☐

In terms of the requirements of the Protection of Personal Information Act (Act 4 of 2013), personal information will be collected and processed:

☐ I hereby give consent for my personal information to be collected, stored, processed and shared as described in the information sheet.

☐ I do not give consent for my personal information to be collected, stored, processed and shared as described in the information sheet.

Name of Participant (or legal representative)	Date	Signature
CARLA WILKINSON	02 03 2023	

Name of person taking consent (if different from lead researcher)	Date	Signature
Alfred G Nhema	02-3-2023	

Supervisor	Date	Signature

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Copies: All participants will receive a copy of the signed and dated version of the consent form and information sheet for themselves. A copy of this will be filed and kept in a secure location for research purposes only.

Researcher:	Supervisor:	HOD:
Carla Wilkinson 3011333 0622489418 (whatsapp/sms 3011333@myuwc.ac.za)	Professor Alfred G Nhema School of Government +27219593804 anhema@uwc.ac.za	Professor Alfred G Nhema School of Government +27219593804 anhema@uwc.ac.za

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APPENDIX III - QUESTIONNAIRE

QUESTIONNAIRES:

Background:

1) What is your name?

2) Which organisation do you represent or work for?

3) What is your relationship with the main stakeholders (Human Settlements Department, beneficiaries, municipalities, construction companies etc.) and how well do they engage with you?

Challenges and Impact of the UISP

4) What is your perspective on the UISP generally?

5) How has this changed over the last 11 years?

6) Has the UISP been monitored after the project is completed?

7) What are the challenges you are faced with in these UISP projects giving a few examples?

8) What is the impact of UISP in some of these projects?

9) Has the UISP improved the lives of the informal settlement's beneficiaries? YES or NO, WHY and HOW?

Way forward for the UISP

10) What do you think can change over the next five years to cut down the number of informal settlements and waiting list (backlog)

11) Do you think that the UISP is actually working or not, why?

12) What is your recommendation for the UISP going forward?

FACULTY OF ECONOMIC AND MANAGEMENT SCIENCES

SCHOOL OF GOVERNMENT

Participation information sheet for Semi - Structured Interviews

RESEARCH TITLE: Rethinking the Upgrade of Informal Settlements in the Western Cape: A critical assessment of the Upgrading of Informal Settlements Programme

Dear Participant

You are invited to participate in a research study. It is in partial completion of the researcher's thesis towards the *Master of Public Administration (MPA)* Degree at the School of Government, at the University of the Western Cape.

PURPOSE OF THE STUDY

Given this context, the aim of this study is to focus on the UISP in the Western Cape over a period of eleven years. It will look at the period from 2009 when it was last reviewed till 2020 with a view to explaining the complex and diverse challenges faced by the province in its bid to meet the housing needs of informal settlement residents. Consequently, the purpose is to understand informal settlement challenges and how they can be addressed through the adoption of a sustainable housing settlement programme.

DESCRIPTION OF STUDY AND YOUR INVOLVEMENT

We are inviting you to participate in this research project because you meet the set criterion for the population of interest and your participation will help other people. You will also be asked questions. The study will be done in Western Cape Province. The interview will last approximately 1 hour.

CONFIDENTIALITY & ANONYMITY

Please be advised that the results of the study will neither divulge the organization's particulars nor the individual particulars, as to maintain confidentiality at all times. Any information that can connect the responses to an individual or organization will remain confidential. The researcher shall keep all records and tapes of your participation, including a signed consent form, which is required from you, should you agree to participate in this research study, locked away at all times.

RISKS OF THE RESEARCH?

There are no foreseeable risks to participating in this research and the research will be based on individual's preference, i.e. face to face, email. All COVID regulations will be followed.

BENEFITS OF THE RESEARCH

The benefits of this research are outlined as follows:

- Give a more detailed information on the state of conditions, and broader contextual problematic issues surrounding the informal settlements.
- Understand the phenomena better using your experiences and interactions with the communities in the informal settlements.
- Contributes to the world of knowledge on the housing crisis with an anticipated outcome.

VOLUNTARY PARTICIPATION AND WITHDRAWAL

Your participation in this research is entirely voluntary, which means that you are free to decline from participation. It is your decision whether or not to take part. If you volunteer to be in this study, you may withdraw at any time without consequences of any kind - and without giving a reason. You may also choose not to answer particular questions that are asked in the study. If there is anything that you would prefer not to discuss, please feel free to say so.

FROM HOPE TO ACTION THROUGH KNOWLEDGE

FACULTY OF ECONOMIC AND MANAGEMENT SCIENCES

SCHOOL OF GOVERNMENT

PAYMENT FOR PARTICIPATION
Participants will not be rewarded for participating in the study.

PERSONAL INFORMATION ACT (ACT 4 OF 2013)
- *What type of personal information will be collected?*
  Participant name, job title and role
- *Who at UWC is responsible for collecting and storing my personal information?*
  The researcher (student) and the academic supervisor
- *Who will have access to my personal information outside of UWC?*
  WCG Human Settlements
- *How long will my personal information be stored?*
  It will be stored in a filed cabinet, USB and on the pc (backups) for a period of 5 years.
- *How will my personal information be processed?*
  It will be only be used to show proof that you consented to the research. The researcher will not use your identity in the report. Coding will be used to process personal information.

INFORMED CONSENT
Your signed consent to participate in this research study is required before I proceed with the interview. I have included the consent form with this information sheet so that you will be able to review the consent form and then decide whether you would like to participate in this study or not.

QUESTIONS
Should you have further questions or wish to know more, I can be contacted as follows:

Name : Carla Wilkinson
Mobile Number : 062 248 9418
Work Number : 074 681 0644
Email : 3011333@myuwc.ac.za

I am accountable to my supervisor : Prof. Alfred G. Nhema, PhD
Department : School of Government
Telephone : 021 959 3804/3801/3850
Fax : 021 959 3826
Email : anhema@uwc.ac.za/ agnhema@gmail.com

This research project has received ethical approval from the Humanities and Social Sciences Research Ethics Committee of the University of the Western Cape.
HSSREC
Tel. 021 959 4111,
email: research-ethics@uwc.ac.za

FROM HOPE TO ACTION THROUGH KNOWLEDGE

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APPENDIX V – CONSENT FORM (SEMI- STRUCTURED INTERVIEW)

Participant (Interview)

Consent Form

University of the Western Cape

Project Title: Rethinking the Upgrade of Informal Settlements in the Western Cape:

A critical assessment of the Upgrading of Informal Settlements Programme

Researcher: CARLA WILKINSON

Please <u>initial</u> the boxes to show your agreement and understanding of what is expected for this study.

1. I confirm that I have read and understood the information sheet explaining the above research project and I have had the opportunity to ask questions about the project.

2. I understand that my participation is voluntary and that I am free to withdraw at any time without giving any reason and without there being any negative consequences. In addition, should I wish to withdraw, I may contact the lead researcher at any time to do so).

3. I understand my responses and personal data will be kept strictly confidential.

4. I give permission for members of the research team to have access to my responses without revealing any part of my identity.

5. I understand that my name will not be linked with the research materials, and that I will not be identified or identifiable in the reports or publications that result for the research.

6. I agree for the anonymized data collected to be used in future research. (*Circle the appropriate answer*). Yes / No

7. I hereby agree to be audio recorded. (*Circle the appropriate answer*). Yes / No

In terms of the requirements of the Protection of Personal Information Act (Act 4 of 2013), personal information will be collected and processed:

☐ I hereby give consent for my personal information to be collected, stored, processed and shared as described in the information sheet.

☐ I do not give consent for my personal information to be collected, stored, processed and shared as described in the information sheet.

Name of Participant (or legal representative)	Date	Signature
CARLA WILKINSON	02 03 2023	
Name of person taking consent (If different from lead researcher)	Date	Signature
Alfred G Nhema	2-3-2023	
Supervisor	Date	Signature

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Copies: All participants will receive a copy of the signed and dated version of the consent form and information sheet for themselves. A copy of this will be filed and kept in a secure location for research purposes only.

Researcher:	Supervisor:	HOD:
Carla Wilkinson 3011333 0622489418 (whatsapp/sms 3011333@myuwc.ac.za)	Professor Alfred G Nhema School of Government +27219593804 anhema@uwc.ac.za	Professor Alfred G Nhema School of Government +27219593804 anhema@uwc.ac.za

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APPENDIX VI – SEMI-STRUCTURED INTERVIEW QUESTIONS WITH DISCUSSION

QUESTIONS

Background:

1) What is your name?

2) Which organisation do you represent or work for?

3) What is your relationship with the main stakeholders (Human Settlements Department, beneficiaries, municipalities, construction companies etc.) and how well do they engage with you?

Challenges and Impact of the UISP

4) What is your perspective on the UISP generally?

5) How has this changed over the last 11 years?

6) Has the UISP been monitored after the project is completed?

7) What are the challenges you are faced with in these UISP projects giving a few examples?

8) What is the impact of UISP in some of these projects?

9) Has the UISP improved the lives of the informal settlement's beneficiaries? YES or NO, WHY and HOW?

Way forward for the UISP

10) What do you think can change over the next five years to cut down the number of informal settlements and waiting list (backlog)

11) Do you think that the UISP is actually working or not, why?

12) What is your recommendation for the UISP going forward?

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Directorate: DVC: Research and Innovation
Research Development & Postgraduate Support
Tel: +27 21 959 4111
Email: research-ethics@uwc.ac.za

16 March 2023

Ms C Wilkinson
School of Government
Faculty of Economics and Management Sciences

HSSREC Reference Number:	HS22/8/64
Project Title:	Rethinking the upgrade of informal settlements in the Western Cape: A critical assessment of the upgrading of informal settlements programme (UISP)
Approval Period:	14 March 2023 – 13 March 2024

I hereby certify that the Humanities and Social Science Research Ethics Committee of the University of the Western Cape approved the methodology, amendment and ethics of the above-mentioned research project.

Any amendments, extension or other modifications to the protocol must be submitted to the Ethics Committee for approval.

Please remember to submit an annual progress report at least two months before expiry date. Failure to submit your annual progress report on time will result in the immediate lapse of your ethics approval and you will have to resubmit an entirely new ethics application.

For permission to conduct research using student and/or staff data or to distribute research surveys/questionnaires please apply via: https://sites.google.com/uwc.ac.za/permissionresearch/home

The permission letter must then be submitted to HSSREC for record keeping purposes.

The Committee must be informed of any serious adverse events and/or termination of the study.

Ms Patricia Josias
Officer: Research Ethics
University of the Western Cape

NHREC Registration Number: HSSREC-130416-049

University of the Western Cape, Robert Sobukwe Road, Bellville 7535, Republic of South Africa

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Western Cape Government

Department of Human Settlements
Stiaan Moolman
Support Services
Stiaan.Moolman@westerncape.gov.za | Tel: 021 – 483 4564
Reference number 8/1/R

INSTITUTIONAL PERMISSION LETTER TO CONDUCT RESEARCH

INSTITUTION NAME & ADDRESS: Department of Human Settlements, P/B X9083, Cape Town, 8000
INSTITUTION CONTACT PERSON: Ms Phila Mayisela
INSTITUTION CONTACT NUMBER: (021) 483 2854
INSTITUTION EMAIL ADDRESS: Phila.Mayisela@westerncape.gov.za

TITLE OF RESEARCH PROJECT:
Rethinking the Upgrade of Informal Settlements in the Western Cape: A critical assessment of the Upgrading of Informal Settlements Programme

RESEARCHER: Carla Wilkinson
Student Number : 3011333

CONTACT NUMBER: 062 248 9418 (sms/whatsapp)

Email : 3011333@myuwc.ac.za

I am accountable to my supervisor: Professor Alfred G Nhema.

DEPT NAME & ADDRESS: School of Government (SOG)

EMAIL ADDRESS: bmoart@uwc.ac.za /anhema@uwc.ac.za

Telephone : 021 959 3801/3804/3850

My request (project proposal):

My name is Carla Wilkinson employed by the Department of Human Settlements. I am also a student pursuing a Master's in Administration degree at the School of Government (SOG) of the University of the Western Cape (UWC), Cape Town, South Africa. I am conducting research on the Upgrading of Informal Settlements in the Western Cape. The purpose of the research is purely academic as it forms the requirements of my masters by mini thesis.

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As part of my research I would like to interview Department of Human Settlements employees to pose some questions (note questions to be posed is attached as annex 1 below) related to their experiences in the informal settlements upgrading programme, the UISP. Firstly, I will give an introduction of what the research study is about. I will ask questions on their background to understand their role in the housing sector. Secondly, the questions asked, will be about the challenges, and impact on the UISP. Lastly, I will ask questions on the way forward for UISP and the informal settlements in the Western Cape. The interview will be approximately 30-60min.

Your approval of my above request will be much appreciated.

Kind regards,

Ms Carla Wilkinson

Dear Ms Carla Wilkinson

I have reviewed your above request to conduct a research project involving data related to Department of Human Settlements (Upgrading of Informal Settlements). You have permission to utilize the data for this research project as defined in your "Project Proposal".

The following stipulations should be observed:
- List of names of staff to be interviewed to be provided to the HOD office for record purposes.
- Managers of staff to be interviewed to be informed in advance of the scheduled interviews that will be conducted.
- Two (2) copies of anecdote research paper to be donated to the Department of Human Settlements for record purposed (One copy to be placed on official file and one copy to be made available in Virtual resource Centre)

Sincerely,

Signature: _____
Name: Phila Mayisela
Acting Head of Department
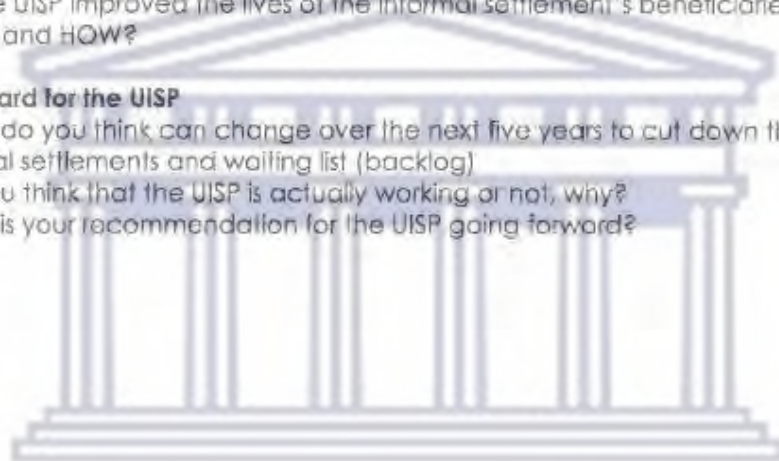Date: 02.08.2022

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QUESTIONNAIRES:

Background:

1) What is your name?

2) Which organisation do you represent or work for?

3) What is your relationship with the main stakeholders (Human Settlements Department, beneficiaries, municipalities, construction companies etc.) and how well do they engage with you?

Challenges and Impact of the UISP

4) What is your perspective on the UISP generally?

5) How has this changed over the last 11 years?

6) Has the UISP been monitored after the project is completed?

7) What are the challenges you are faced with in these UISP projects giving a few examples?

8) What is the impact of UISP in some of these projects?

9) Has the UISP improved the lives of the informal settlement's beneficiaries? YES or NO, WHY and HOW?

Way forward for the UISP

10) What do you think can change over the next five years to cut down the number of informal settlements and waiting list (backlog)

11) Do you think that the UISP is actually working or not, why?

12) What is your recommendation for the UISP going forward?

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Mr Tertuis Simmers
Provincial Minister of Infrastructure
4th floor, 27 Wale Street, Cape Town
Tel: 021 483 4466

Ms PN Mayisela
Chief Director: Human Settlement Implementation
27 Wale Street
Cape Town
8001

Dear Ms Mayisela

APPOINTMENT AS ACTING HEAD OF DEPARTMENT: HUMAN SETTLEMENTS

In terms of section 32 of the Public Service Act, 1994 (as amended), you are hereby directed to temporarily perform the duties attached to the post of Head of Department: Human Settlements with effect from 11 July 2022 and terminating on 31 August 2022 or when the posts is filled whichever date occurs first. The acting arrangement will be without the benefit of an acting allowance and 10% HOD allowance.

You are herewith mandated to perform all the management functions, duties and responsibilities attached to the post of Head of Department for the above-mentioned period.

In the performance of the assigned duties, please be mindful of all the appropriate legislation, prescripts, control measures and delegations that are applicable. You must also ensure that you note and adhere to the Department's management philosophy and work ethos.

You are reminded that the appointment to this acting position does not assign you the legitimate right to either the full term of the acting assignment or that of the permanent post.

Kindly note that the Department retains the right to make the necessary adjustment, in terms of section 38 of the Public Service Act, 1994, and to recover from you any amount you may have been overpaid as a result of the error, irrespective of the cause of such error.

Yours faithfully

Tertuis A.
Simmers

Digitally signed
by Tertuis A.
Simmers
Date: 2022.07.12
09:08:33 +02'00'

MR TERTUIS SIMMERS
PROVINCIAL MINISTER OF INFRASTRUCTURE
DATE:
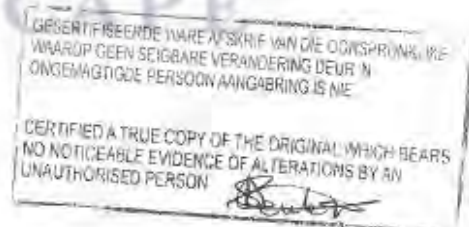
www.westerncape.gov.za
Ministry of infrastructure

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Western Cape Government

Department of Environmental Affairs and Development Planning
Corporate Relations Unit
Mariana Kroese
Mariana.Kroese@westerncape.gov.za

Reference: 3/3/3/5/2/W4

Carla Wilkinson
University of the Western Cape

Dear Carla

PERMISSION TO CONDUCT RESEARCH: RETHINKING THE UPGRADE OF INFORMAL SETTLEMENTS IN THE WESTERN CAPE: A CRITICAL ASSESSMENT OF THE UPGRADING OF INFORMAL SETTLEMENTS PROGRAMME

On behalf of the Western Cape Department of Environmental Affairs and Development Planning, I herewith confirm the Department's awareness of the research for your Master of Public Administration degree regarding the **Rethinking the Upgrade of Informal Settlements in the Western Cape: A critical assessment of the Upgrading of Informal Settlements Programme.**

As confirmed in your email dated 27 March 2023, your proposed research study will be towards a Master of Public Administration degree at the Faculty of Economic & Management Sciences, at the University of the Western Cape.

The topic of this research is "Rethinking the Upgrade of Informal Settlements in the Western Cape: A critical assessment of the Upgrading of Informal Settlements Programme" and the research methodology will involve the gathering of data by sending out questionnaires. The data collected will be analysed for statistical composites while allowing the identity of respondents to remain fully anonymous. The data will furthermore be viewed by the supervisory panel, editors and proof-readers assigned by the University, in order to validate the legitimacy of my thesis.

We agree that any information that will be provided to you should strictly be used for academic purposes and no reference will be made to the information of private companies and representatives involved.

As the Head of Department, I grant you permission to conduct interviews with the relevant officials in the Directorates within the Department to interpret their view on the above research focus areas.

Please contact André Oosthuizen at 021-483 4282 or André.Oosthuizen@westerncape.gov.za for assistance.

Sincerely,

Gerhard Gerber
Digitally signed by
Gerhard Gerber
Date: 2023.04.19
14:20:39 +02'00'

GERHARD GERBER
HEAD OF DEPARTMENT

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