

**IMPACT EVALUATION OF BATHO-PELE PRINCIPLES IN DELIVERY  
OF HOUSING SERVICES: A CASE STUDY OF COGHSTA IN LIMPOPO  
PROVINCE**

by

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## **DECLARATION**

I, Mamokgage Papiki Tjebana declare that the mini-dissertation hereby submitted to the University of Limpopo (Turffloop Graduate School of Leadership) for the degree of Master of Public Administration and Management has not previously been submitted by me for a degree at this or any other university; that is my work in design and in execution, and that all material contained herein has been acknowledged.

Tjebana MP (Mr)

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Surname, Initials and Title

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Date

## **DEDICATION**

I would like to dedicate this project to my supervisor MRS MF Rachidi and Co-Supervisor Dr S Mokoena for their unwavering support and guidance. Indeed it wasn't a journey immune of challenges but worth traveling. My wife Evah and children for selflessly allowing me to undertake such a vigorous journey and never complained about the long hours I could not spend with them.

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Secondly, it is befitting to pass my greatest gratitude again to my supervisor, Mrs MF Rachidi, for providing guidance and light during this tedious process. She provided a pillar of strength throughout this project.

Thirdly I would like to thank CoGHSTA for having granted me a permission to utilize departmental information for academic purposes. The acknowledgements would be incomplete without mentioning the positive influence the MPAM class of 2017 and entire lecturing staff had on my sojourn with them.

## **ABSTRACT**

The Low-cost housing delivery programme was launched at the dawn of democracy under the negotiated housing policy in year 1994 with the aim of addressing the backlog in housing provisioning. The programme was also meant to address the past injustices. The democratic government launched Batho Pele Principles in the year 1997 as a framework within which public services would be provided. The purpose of the study was to evaluate the impact of adherence to Batho Pele Principles in the provisioning of low-cost housing services by the Cooperative Governance Human Settlements and Traditional Affairs Department in Limpopo Province.

The qualitative research methods were applied to generate data relevant for the study. The study involved the reviewing of secondary data available in the department in the form of Annual performance plans, Annual performance reports, Service delivery improvement plan, Service standards, Citizens' report and minutes taken during departmental self-evaluation meetings.

The findings reveal that CoGHSTA underperformed on delivery of low-cost houses targets for three consecutive years. The underperformance was attributed to protracted procurement of service providers and non-approval of application forms due to insufficient/irrelevant information provided by the applicants. Inadequate consultation and involvement of beneficiaries prior to and during the implementation of low-cost housing projects appeared to be a major issue of concern. The adherence to Batho Pele Principles was not adequately implemented.

The study recommends that enhancement of housing consumer education will help a great deal in reducing the number of application forms with insufficient/irrelevant information being submitted for processing. The appointment of service providers during the year preceding the implementation year would provide ample time for planning.

## **LIST OF ABBREVIATIONS AND ACRONYMS**

<b>CoGHSTA</b>	Co-operative Governance Human Settlements and Traditional Affairs
<b>CRU</b>	Community Residential Units
<b>FLISP</b>	Finance Linked Individual Subsidy Programme
<b>NHBRC</b>	National Home Builders Registration Council
<b>DPSA</b>	Department of Public Service and Administration
<b>WPTPSD</b>	White Paper on Transforming Public Service Delivery
<b>RDP</b>	Reconstruction and Development Programme
<b>ANC</b>	African National Congress
<b>PHP</b>	People's Housing Programme
<b>BNG</b>	Breaking New Grounds
<b>NHF</b>	National Housing Forum
<b>NGO</b>	Non Governmental Organisation
<b>CBO</b>	Community Based Organisation
<b>NPO</b>	Non Profit Organisation
<b>SDIP</b>	Service Delivery Improvement Plan
<b>APP</b>	Annual Performance Plan
<b>APR</b>	Annual Performance Report

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## **CHAPTER ONE**

### **INTRODUCTION AND BACKGROUND OF THE STUDY**

#### **1.1. INTRODUCTION**

Over the past 24 years, the advent of a democratic dispensation in South Africa brought along a beacon of hope for the majority of previously disadvantaged citizens that there would be a better life for all. The White Paper on Transforming Public Service Delivery (1997: 8) recognises the centrality of the Public Service as key machinery through, *inter alia*, efficient service delivery. The government put in place a number of policy frameworks through which public service delivery can be transformed and reoriented towards the imperative of the new democratic order.

This chapter presents the introduction of the study on an evaluation of adherence to Batho Pele principles in the provisioning of service delivery by the Department of Cooperative Governance, Human Settlements and Traditional Affairs (CoGHSTA) in Limpopo Province. It gives the background and rationale to the study, the statement of the research problem, the research questions, significance, aim and objectives of the study, definition of concepts and structure of the mini-dissertation.

#### **1.2. BACKGROUND INFORMATION**

The Department of Cooperative Governance, Human Settlement and Traditional Affairs (CoGHSTA) provides three categories of housing delivery programmes; Low-Cost houses (previously known as RDP houses), Community Residential Units (CRU) and Financed Linked Individual Subsidy Programme (FLISP) meant for middle income earners. The housing delivery programme was started at the dawn of democracy and was launched under the negotiated housing policy in 1994 with the aim of addressing the backlog in housing provision. The housing service delivery is experiencing challenges of unlawful occupation of low-cost houses, the

protracted application process and poor workmanship. Poor workmanship is evidenced by some houses that have cracked walls or leaking roofs (National Housing Builders Registration Council, (NHBRC) Snack Least Report, 2015/2016) CoGHSTA in Limpopo does not have a policy that guides on how to deal with the identified challenges. There is only the National Housing Policy Framework (2010) that guides the housing service delivery across the country. The existence of the above mentioned challenges leads to CoGHSTA receiving housing service delivery queries and complaints.

In an endeavour to prevent and drastically reduce the housing delivery queries and complaints, the government introduced Batho Pele principles in a White Paper on Transforming Public Service Delivery (1997). These principles are designed to give all public servants guidance on how to improve customer relations and services. It was government's conviction that the implementation of Batho Pele Principles when providing service would make citizens happy and satisfied. Whether there is an implementation of the principles and what their impact is as alluded to above, by the CoGHSTA employees when providing housing service delivery is the investigative research question that will be answered by this research.

### **1.3. PROBLEM STATEMENT**

The housing delivery programme was started at the dawn of democracy and was launched under the Negotiated Housing Policy in 1994 with the aim of addressing the backlog in housing provision. Housing service delivery is marked with the challenges of unlawful occupation of low-cost houses, the protracted application process and the poor workmanship on building of houses. These challenges keep the service recipients unhappy. This is evidenced by citizens, including those who have already benefited from the programmes, always complaining which seems to indicate dissatisfaction among the communities. These citizens on daily basis visit or call the CoGHSTA Call-Centre to either complain or inquire about the status of their applications. While those who have received houses display a serious attitude of dissatisfaction; this has been observed during public participation meetings where they complaint about the quality of houses.

Madzidzela (2008) states that “one of the major factors that affected housing delivery in Nyandeni Local Municipality was the slow pace of building low-cost houses, as such people became impatient and occupied the houses before they were completed.” The recommendation made is that full information should be given to the citizens on the duration of the project, as well as the challenges experienced during the implementation of the project. Information is one of the Batho Pele principles.

The White Paper on Transforming Public Service which was developed and published on the 18 September 1997 by the Department of Public Service and Administration outlines the eight Batho Pele principles and the guidelines in which the principles should be applied in providing services to the clients. The principles are expected to be implemented by all government departments in all spheres.

Proper implementation of Batho Pele principles by CoGHSTA employees implies that service delivery provision takes place under the guidance of the White Paper on Transforming Public Service Delivery, while the complaints and cases of dissatisfaction with the housing services rendered are indications of non-adherence. The non-adherence to Batho Pele principles amount to the transgression of policy or non-compliance thereof.

#### **1.4. MOTIVATION/RATIONALE OF THE STUDY**

The South African Government, through the Department of Public Service and Administration (DPSA) launched the Batho Pele Programme, which encapsulated the principles and standards to be observed by all government departments when providing services to the citizens. The launching was part of government initiatives to build a public service capable of meeting the challenge of improving the delivery of services to South African citizens (White Paper on Transforming Public Service Delivery, 1997). However, 19 years since the launch of Batho Pele principles, the government departments are still experiencing citizens’ demonstrations of

dissatisfaction on services rendered. The demonstrations are in the form of lodging complaints and queries through the Presidential, Premier and Departmental hot-lines, and service delivery protests by communities. CoGHSTA Limpopo received 3 214 housing service delivery complaints and queries in the financial year 2015/2016 (CoGHSTA Limpopo, Annual Report, 2015/16), and an unrecorded but substantial number of community protests which were housing service delivery related.

The evaluation of the adherence to Batho Pele principles is therefore important in the midst of the challenges affecting housing service delivery. It is envisaged that this study will provide possible solutions to the gaps identified in rendering services, particularly housing delivery and dealing with the challenges encountered as well as the lodged complaints.

### **1.5. SIGNIFICANCE OF THE STUDY**

The outcomes of this study will help to identify potential gaps regarding the policy implementation of Batho Pele principles and service standards and to devise interventions to improve its approach where gaps have been highlighted. The results will also provide bases for policy makers to close the policy gap. This evaluation will shed light on whether the current Batho Pele approach is an ideal model for service delivery provisioning in view of challenges facing housing service delivery or there should be reforms on the current approach to reach its intended objectives of preventing and drastically reducing the number of housing service delivery queries and complaints, thus keeping the public happy.

Consequently, the effective implementation of Batho Pele principles will improve, not only housing delivery, but service delivery in the public sector in general thereby improving public services satisfaction amongst citizenry. It is also envisaged that the study will contribute to readings and information on implementation of Batho Pele principles and service delivery in the public sector.

## **1.6. AIM OF THE STUDY**

The aim of this study is to evaluate the implementation of Batho pele principles in the provision of housing service delivery by CoGHSTA in Limpopo Province.

## **1.7. OBJECTIVES OF THE STUDY**

The study wanted to achieve the following objectives:

- To determine the performance of CoGHSTA (Limpopo Province) in terms of the delivery of low-cost housing and the number of houses provided to the beneficiaries.
- To determine the nature of low-cost housing services cases and complaints, and the amount of time it takes to resolve the lodged complaints.
- To examine the perceived implementation of the Batho Pele principles of information, consultation, redress and value for money before and during the implementation of the low-cost housing projects.

## **1.8. RESEARCH QUESTIONS**

The study wanted to answer the following research questions:

- How is CoGHSTA in terms of delivery of low-cost houses, i.e. are the houses delivered timeously and in accordance with beneficiaries' expectations?
- What is the nature of cases and complaints lodged with CoGHSTA with regard to low-cost housing services?
- Does CoGHSTA give information to beneficiaries, consult/involve beneficiaries prior and during the implementation of low-cost housing projects and do the beneficiaries feel that they receive value for money services?

## **1.9. DEFINITION OF CONCEPTS**

for the purposes of this study it is necessary for the following concepts to be defined and to understand the context within which they are used in the study;

- 1.9.1. **Batho Pele:** Northern Sotho word which means ‘People First’. It is a concept given to the South African government’s initiative to improve the delivery of public services, get public servants to be service oriented, strive for excellence in service delivery and to commit to continuous service delivery improvement (Batho Pele Handbook, 2003). It aims to improve delivery of public services based on the principles of putting people’s interests first.
- 1.9.2. **Batho Pele Principles:** refer to formal written procedures which prescribe a course of action to be followed by public officials when providing services to citizens without exercising personal preferences or special interests (Fox and Meyer, 1996).
- 1.9.3. **Service Delivery:** the provision of public activities, benefits or satisfactions (Fox and Meyer, 1996:118). It relates to the manner in which customers’ needs are addressed.
- 1.9.4. **Effective:** Gosh (2013) refers to effectiveness as adequacy to accomplish a purpose; producing the intended or expected results. Robbins and Coulter (2005) agree with the statement by defining effectiveness as completing activities so that organisational goals are attained, i.e. doing the right things. The right things, in this context, refer to those work activities that will help the organisation to reach its goals. It is concerned with the means of realising the goals; the attainment of organisational goals and can be judged in terms of output and impact.
- 1.9.5. **Efficiency:** Efficiency refers to doing things right, i.e. whatever is performed, it is performed in the most suitable way given the available resources (Sundqvist, Backlund & Chroner, 2014). Robbins & Coulter (2005) define efficiency as getting the most output from the least amount of inputs. An organisation is considered efficient when it is able to produce the most goods and services using the least amounts of inputs.
- 1.9.6. **Service Delivery Improvement Plan.** It is an extension of the Strategic Plan with the key focus area being service delivery related issues linked to the Batho Pele Principles. Therefore the premise is that the various components within the Department have already consulted with relevant members under their jurisdiction and have identified areas of improvement in their submissions of their strategic plans and annual performance plan (Stats SA, 2015/2016).

## **1.10. ETHICAL CONSIDERATIONS**

The researcher considered the following ethical issues when conducting the study;

- **Permission to conduct the study:** The researcher requested permission to conduct the study from the management of CoGHSTA prior to collecting data.
- **Informed consent:** The researcher explained the purpose of the study which included what the study was about to the respondents in order to get their informed consent before they participated in the study. Respondents were also informed that their participation in the study was voluntary and they could withdraw from it at any given time.
- **Right to confidentiality:** The researcher assured the department that the information gathered from the departmental documents would be used for the academic purposes only.
- **Results:** A final report will be made available to the CoGHSTA and will be accessible to all interested and/ or relevant stakeholders. The purpose of the study was clearly explained to the respondents.

## **1.11. STRUCTURE OF THE MINI-DISSERTATION**

In order to reach the study objectives, the following framework of research is formulated;

**Chapter one** deals with the introduction and background of the study. It further highlights the problem statement, motivation of the study, research questions and the research aims and objectives.

**Chapter two** presents the literature review of various pieces of legislations that regulate and guide housing service delivery provisioning, as well as programmes introduced to improve housing services.

**Chapter three** outlines the research methodology of the study. The focus in this chapter is on the research design and methods followed to collect and analyze data.

**Chapter four** deals with analysis of departmental documents and the studies conducted before on the housing service delivery. It further presents the findings of the study.



**Chapter five** deals with the brief discussion of the research findings from data analysis, the recommendations based on the findings and the conclusion.

## **1.12 SUMMARY**

This chapter introduced the problem statement of the study. The chapter discussed the rationale for research questions. The chapter advanced the research objectives and definitions of terminology in the context which are used in the study. In chapter two, a critical overview of related literature is provided.

## **CHAPTER TWO LITERATURE REVIEW**

### **2.1. INTRODUCTION**

This chapter presents the literature that was reviewed for the purposes of the current study in line with the objectives of the study. The adherence to Batho Pele principles as way of providing adequate housing service delivery forms the core of this literature study. The literature mainly centres around the experiences of putting people first with regard to provisioning of housing services, the housing legislation and the charters passed by South African government institutions. The right to adequate housing forms the core of this literature study. “Housing right is a fundamental right which is not a single right. Rather, it is a blend of economic, social, cultural, civil, and political rights, and development and peoples’ rights” (Wakjira, 2012:24). The literature consulted for this study centres on the right to adequate housing as recognised by various international and regional human rights instruments and the adherence to Batho Pele principles during the provisioning of housing services. The presentation on the chapter also focus on the historical development of housing and various housing legislation and programmes in South Africa as well as challenges encountered in providing housing services nationally and internationally.

### **2.2. INTERNATIONAL EXPERIENCES ON PUTTING PEOPLE FIRST FOR HOUSING SERVICES**

The right to adequate housing is recognised by various international and regional human rights instruments. Wakjira (2012:24) states that “...housing right is a fundamental right which is not a single right. Rather, it is a blend of economic, social, cultural, civil, and political rights, and development and peoples’ rights” (Wakjira, 2012). International agreements and declarations on human rights also considered housing provision as a fundamental human right. The Millennium Development Goals, which were agreed upon in 2000 and expired in 2015, entailed eight focus points which were considered to be the vehicle to “a world in which developed and developing

countries worked in partnership for the betterment of all” (The World Bank, 2009). The eight goals were:

- eradicating poverty and hunger;
- achieving universal primary education;
- promoting gender equality;
- reducing child mortality;
- improving maternal health;
- combating disease;
- ensuring environmental sustainability; and,
- developing a global partnership.

For the above goals to succeed, a permanent, adequate form of shelter for all people is necessary. For as long as, even low-cost housing stay unattainable to more than one billion of the world’s inhabitants, the eight Millennium Development Goals will remain a utopia. Several countries have attempted to put people first in rendering services to their citizens, especially in terms of provision of houses. Their experiences can be used as guides in pursuing the vision of providing good housing for South Africa’s citizens and attainment of 17 United Nations’ Sustainable Development Goals (SDGs).

In September 2015 the United Nations came up with the SDGs. SDGs are a set of universal targets set by the UN, building upon the MDGs, they provide an overarching global plan for achieving prosperity, peace and resilience worldwide (UN-Habitat Global Activities Report, 2015:19). The goals include *inter alia*, ending poverty, reducing inequality and providing sustainable environments by the year 2030.

The study commissioned by UN-Habitat found that for the first time in history in 2008, the global urban population outnumbered the rural population. This milestone marked the advent of a new ‘urban millennium’ and, by 2050, it is expected that two-thirds of the world population will be living in urban areas (UN-Habitat Global Activities Report, 2015:34).

According to New Urban Agenda (2017:3), the importance of this phenomenon to global development efforts, recent movements pushing to address sustainable development from an urban perspective have to take place throughout the world. These movements necessitated the inclusion of a stand-alone goal on cities and urban development in the 2030 agenda, SDG 11, “make cities and human settlements inclusive, safe, resilient and sustainable”. The planning of human settlement have to observe the outcomes as set in the SDG 11.

### **2.2.1. Chilean Housing Policy**

The Chilean housing policy was regarded as the first, and best known, model of capital subsidy scheme for housing. This policy was introduced in 1978, and subsequently widely simulated by other countries in Latin America, for example, Costa Rica (1987), Colombia (1991), Paraguay (1992) & Uruguay (1993). South Africa’s housing subsidy scheme, which was introduced in 1994 was also widely influenced by the Chilean model (Smit, 2004:1).

Although there are problems with regard to the capital subsidy model, generally the experience of developing countries that have implemented this model is that it has been considerably more successful than the public provision of housing in the past and that “the capital subsidy model employed by Chile and Costa Rica continues to represent current best practice” (Gilbert, 2004: 16). The common challenge with capital subsidies has been that the whole rationale behind choosing this type of easily-budgeted-for subsidy, as opposed to the open-ended subsidies associated with public rental housing, is generally to restrict government expenditure. As a result, resources allocated are generally inadequate, which means that too few subsidies are delivered and the subsidies are of insufficient size to provide good quality housing on well-located land. Only where housing has been made a priority and has been adequately resourced, as in Chile, have there been any success in reducing housing backlogs.

The Chilean housing policy was regarded exemplary because it managed to meet many of the goals set by all developing countries, such as bringing an end to the illegal occupation of land, providing housing solutions for all families that need them (including the poorest), and making

basic services available almost to the whole population” (Ducci, 2000: 149). Another assessment of the Chilean housing subsidy system was that it “covers all the income strata in a coherent manner, simplifying the access of the neediest sectors of the population to formal solutions to their housing needs” (Gonzales-Arrieta, 1999: 149). Below are some of the positive features of the Chilean housing policy.

#### *2.1.1.1. Sustainable allocation of resources*

Chile managed to reduce its housing backlog through increasing expenditure on housing. Chile spends about 6% of total government expenditure on housing, whereas the international average for developing countries is about 2% (Gilbert, 2004). It has been noted that the relative success of the Chilean housing subsidy system was due to “the sustainability over time of the budgetary resources earmarked for the provision of subsidies” (Gonzales-Arrieta, 1999: 149). An average of 116 000 housing units per year were delivered during the 1990s, and the housing backlog reduced from about 800 000 in 1990 to the level of about 200 000 in the year 2002 (Sugranyes, 2002). The levels of delivery achieved rose to 10 units per 1000 inhabitants per year, equivalent to the rate of delivery during the reconstruction period in Western Europe immediately after World War II.

#### *2.1.1.2. A range of subsidy options and subsidy types*

The Chilean housing subsidy scheme was a multi-tiered system that attempted to provide a range of solutions for a range of housing needs, ranging from the poor to the middle class, including both supply-side and demand-side subsidies, and including both contractor-built housing and self-help housing. For lower income groups there was a supply-side subsidy (the Basic Housing Subsidy) linked to a loan from the State housing bank. The subsidy is typically for about 60% of the total cost of a standardised housing unit. The decentralised State housing agency (Serviu) was largely responsible for developing this housing, typically through rent-to-buy arrangements. The Progressive Housing Programme (replaced by the Dynamic Low-Cost Housing without Debt programme in 2001) was introduced in the 1990s for self-help incremental housing: in phase one households would get access to a serviced site and wet core and have to complete the house by themselves – the subsidy covered 94% of the cost of the serviced site and

wet core (the other 6% had to be covered from savings). In phase two the household could get access to a further subsidy to improve or extend their house. In 2002 a new self-help subsidy programme, Joint Housing Projects, was introduced, aimed at poor households organised in groups and with technical support from a local authority, NGO or private company.

Demand-side subsidies were used for the higher income subsidised groups to be able to access housing provided by private sector developers (the Unified Subsidy). Beneficiaries were issued the subsidy upfront in the form of a voucher with an expiry date, which could then be used to shop around for a suitable house and mortgage loan from a private bank. The Unified Subsidy was for between about 5% and 25% of the total house cost, depending on house price.

Although most of the new areas created by the Chilean housing subsidy scheme are typical dormitory suburbs, there has been some attempt at providing some public spaces and facilities for all new areas and for greening all projects. New subsidised housing is provided in neighbourhoods of up to 300 housing units, together with greening of the area and the provision of plazas (public spaces) and neighbourhood-level facilities. The minimum standards for urban facilities provided with new housing were (MINVU, 2003):

- For 30 to 70 households: 200m<sup>2</sup> children's playground; 80m<sup>2</sup> recreational area.
- For 71 to 200 households: 400m<sup>2</sup> playground; 200m<sup>2</sup> recreational area; multipurpose community hall of 120m<sup>2</sup>.
- For 201 to 300 households: 800m<sup>2</sup> playground; 600m<sup>2</sup> sports field; multipurpose community hall of 120 m<sup>2</sup>.

#### *2.1.1.3. Targeting of subsidies*

Chile employed a relatively sophisticated system for targeting subsidies that look at more than just incomes. Lessons can be learned from the weaknesses of the Chilean Housing policy. Although Chile managed to greatly reduce its housing backlog, the implementation was not spared of challenges. There was a new housing problem of new subsidised housing estates in poor locations and with all the usual problems of social segregation and fragmentation that

characterise public housing estates. Some of the key problems with the new subsidised housing projects in Chile, specifically the Basic Housing Subsidy projects implemented by Serviu, were:

**i) Poor location**

Most new housing projects were located on the urban periphery due to high market prices for land. The cost of raw land could be up to 40% of the total housing unit cost (Rojas, 1999). Even in very high density projects (three and four storey blocks of flats) on the urban periphery, the land costs are typically about 15-20% of the total cost per unit (Sugranyes, 2004). The net effect is that the new housing projects in Santiago are often a two hour trip away from the city centre. In many cases the new residents are people relocated from informal settlements that are closer to the city centre. As a result, although people now have better housing, people sometimes lose their jobs. There is increased expenditure on transport and there are difficulties with access to facilities such as schools and clinics. Surveys of people relocated in Santiago in the 1980s indicated that more than 50% wanted to return to the slums where they had previously lived (Sugranyes, 2002).

A weakness of Chilean housing policy and of most policies relying on capital subsidies is that they put more emphasis on Greenfield development than emphasis on upgrading of informal settlements rather than on relocations. The relocations have contributed to social segregation and fragmentation.

**ii) Social problems**

Social problems of violence and insecurity in the new housing estates and low levels of community cohesion and participation emanated from the new structuring of houses. Although there are public spaces in housing projects in Chile, women and children generally do not use them because they are perceived as being unsafe. Community leaders in Santiago talked about a lack of community spirit in the new housing estates.

**iii) Lack of an integrated development approach**

Due to a housing-only policy emphasis, there is a lack of economic activity in new housing projects – they are basically dormitory suburbs. The housing delivery programme also seems to have reinforced spatial inequities. In Santiago, for example, most of the new subsidised housing

provided by Serviu have been on the southern periphery of Santiago, whereas the most affluent, and economically fastest growing areas of Santiago are in the north-east.

The achievement and challenges presented by Chile may provide bases for other countries to consider when dealing with policy amendments or development. Their experiences can help in designing and rendering housing services.

### **2.2.2. Kenya's Low Income Housing Provision**

Kenya's housing development situation has been skewed in favour of high income earners as most developers and housing financiers always targeted high income population because of the perception that they can rent houses or take up mortgages and repay comfortably. This accounted to the isolation of low income population who form the majority. "This scenario has been depicted across Kenyan economy and Eldoret Town whose low income population stood at 150 000 as per 2009 National population census, experienced the same challenge" (Chepsiror, 2013:3). According to Gichunge (2001), the following factors contributed to the poor state of provision of low cost housing in Kenya.

#### *2.1.1.4. Lack of adequate and favourable finance*

Finance to any housing development was closely tied to expected returns to be realised by the lending institution. Most estate financiers concentrate on middle income and high income developments due to the high returns achieved in the housing segments, as opposed to low income housing. This is in spite of high demand in the low income housing segment, but affordability of the units is beyond the low income earners' purchasing ability. The high expense in developing the low cost houses due to lack of dedicated materials and technology standards to the segment, has kept off potential large scale developers who would anticipate returns based on high margins.

#### *2.1.1.5. Land use controls*



Developments in urban areas were regulated by controls which were set by the town planning departments demarcating land according to various functions. The legislative authority in Kenya was delegated to local authorities who determine what developments come up where. The recommendations by the inter-ministerial task force, leading to 'code 95' by the Ministries of Public Works, Local Government, specified that 20% of residential land in urban areas ought to be allocated to low cost housing. It also recommended that the land requires to be close to the areas of work of the inhabitants. This challenge is not isolated to Kenya. It is common in South African towns as observed by Kotane (2016) that lack of land for low-cost housing in the city resulted in low-cost houses built in areas far from economic activities.

#### *2.1.1.6. High prices of land*

Land is a key factor of production. Access to land is a critical element in providing low income housing (UN, 1984). The supply of land is very limited coupled by the need for it as a public utility for low cost housing, makes it very scarce. Consequently there was a growing 16 class of landless whose access to land and shelter was becoming more difficult every day. This is a notable fact as in the past, land for low income housing was provided or allocated easily which in most cases is no longer the case (Habitat, 1987).

#### *2.1.1.7. Building codes*

It is defined as systematic collection of statutes which define the quality of the environment in regard to the quality of construction, the type of materials to be used and the quality of services that can be offered. Building codes may be used to encourage and facilitate economic activities related to the construction of infrastructure, and shelter particularly if they are compatible with the basic human needs and resources of the target population. (Ichangai, 1988). It is important to streamline the code to make it compatible with the needs and resources of the target population, the achievements so far and what is making it a niggling factor in the satisfaction of a target group, this is the low income group.

Having identified factors that derail the development of low income housing, the Kenyan government put in place the efforts to turn the situation around. These have been made with various actors towards making possible the achievement of housing for the low income segment,

at a cost within the reach of this target group. The processes are outlined as formation and review of by-laws, formulation of national housing policy to incorporate low income housing and setting up of national Building Research Centre.

**i) Formation and review of by-laws**

After independence in 1963, a new building legislation was formulated. Building orders 1968 was to produce permissive legislation which would enable experimentation and new ideas to be developed. In particular, the grade 11 by-laws were designed to enable inhabitants of peri-urban areas of municipalities to satisfy the building control requirements, but in a non-urban context (Kenya building standards and planning regulations, Ministry of Housing, 1993). In 1979, the government commissioned a major low cost housing by-laws review; with the purpose of analysing and evaluating the performance of the existing building control system and to develop measures to enhance its efficiency which recommended measures to enhance low cost housing. However, these by- laws did have contentious issues, due to the characteristics of the code and this is on interpretation.

**ii. National Housing Policy Sessional Paper 3 of 2004**

The National Housing policy too has reckoned with the fact that the escalating price of building materials has raised the cost of construction making it quite unrealistic for development of low income housing. From this the research states a factor which is significant in the dependence on conventional and expensive materials - the building code, which so far has impeded innovation of new, cheap and locally available technology. The housing policy also in one of its objectives categorically states its aims; to encourage research and popularise the use of appropriate building materials and technologies. Among core functions and objectives of this department in regard to low income housing are; documentation and dissemination of information on building technologies, promoting the use of available building technology to the stakeholders and the general public in the building and construction industry, and to promote proven innovative building materials for wider usage to lower pressure on traditional construction materials.

The ministry though has not been very successful in the achievement of said objectives, the objectives themselves relay a clear intention of lowering the cost of construction and therefore increasing supply of houses to the low income group.

## **2.3.HOUSING DEVELOPMENT APPROACHES DEVELOPED AS A GOOD PRACTICE TO ADDRESS HOUSING CHALLENGES**

A number of thoughts regarding urban housing have been developed during recent decades (1990 – 2000), set within the market economy and socialist contexts (Mittulah, 2003):

### **2.3.1. The Demolitionist Approach**

Developed in the 1950s, this approach of housing viewed spontaneous settlement as parasitic, destroying the beauty and healthiness of cities. The response of planners to this was demolitionist in diminishing of existing housing stock of the urban poor.

### **2.3.1 The Supportive Approach.**

This approach viewed the solution to housing as a consensus between the state and the needs of the urban poor. The approach recommended an integration of state empowerment and the self-help obligation of the urban poor, with a view that housing was not just a shelter to live in but also a means to move upward on the social ladder. However, the housing success depended predominantly on the collective efforts of the community with the state playing merely a supportive role, providing public utilities and initial funding. This approach relied heavily on political will from the state as well as institutional and structural support and thus, faced implementation difficulties in developing countries.

### **2.3.2. The World Bank Approach**

The World Bank implemented the cost–recovery principle based on the view that investment in low-cost housing would accelerate economic development. Under this arrangement, developing countries obtained loans from the World Bank, invested in low- income housing schemes, delivered these units to house dwellers and converted occupiers to debtors of commercial banks, thus liquidating funds for reinvestment by the government. This was meant to strengthen the market mechanism and minimise the bottle necks of housing delivery. The World Bank approach, however, was criticised for an over focus on market mechanisms, paying little attention to issues of land tenure and infrastructure.

### **2.3.3. The Rod Burgess Radical Approach**

This approach took a structural perspective to housing, arguing that previous approaches emphasised capitalist logic and overlooked the conflict among modes of production. It advocates

that political structural transformation would be required with urban communities having the right to organise and self-build their communities.

#### **2.3.4. The Collaborative Approach.**

This approach emphasised collaboration between the state, the market, non-governmental organisations and the community. It is a set-up that would enhance the capability of the community. Good governance and state support would focus on the well-being of low income communities, using housing as a means of social mobility. The difference from earlier approaches was that it sought to merge the community with government interaction and support to obtain practical solutions in the community's initiative.

### **2.4.THE SOUTH AFRICAN HOUSING DELIVERY CONTEXT**

Over the years South Africa has seen the need to improve service delivery, including provision of low cost housing to the poor citizens of the country. Several initiatives have been put into place to facilitate this need for improved service delivery.

#### **2.4.1. Low-Cost Housing Programme**

The Freedom Charter as adopted during the Congress of the people in Kliptown, June 26 1955, states that there shall be houses, security and comfort, all people shall have the right to live where they choose and decently housed. The Freedom Charter provides the basis on which variety of South African legislation is developed. The White Paper on Transformation of the Public Service (1995) demonstrates that the democratic government was concerned with the establishment of communities that are located reasonably in areas that have easy access to health, educational and social amenities (Republic of South Africa, 1995). This programme of transforming the public service was designed to revamp and transform the rudiments of widespread poverty and inequalities with regard to access of any good, need and service as well as want.

### 2.4.2. Batho Pele Principles

Since the advent of democracy in 1994, several policies relating to service delivery have been formulated and implemented. One such crucial policy is the Batho Pele White Paper gazetted in 1997. The Batho Pele White Paper on Transforming Service Delivery (WPTSD) is primarily about how public services are provided, and specifically about improving the efficiency and effectiveness of the way in which services are delivered (WPTSD, 1997). The South African Public Service played a critical role in implementing these policies as well as ensuring the delivery of service. The then Minister for Public Service and Administration, Zola Skweyiya (South Africa, 1997), stated that one of government's most important tasks is to build a public service capable of meeting the challenge of improving the delivery of public services to the citizens of South Africa. He further stated that access to decent public services is no longer a privilege to be enjoyed by a few, but it is now the rightful expectation of all citizens, especially those previously disadvantaged.

Batho Pele is a Northern Sotho phrase which translated in English means "people first". The concept of Batho Pele is given to government initiative to improve the delivery of public services by getting public servants to be service oriented, strive for excellence, and treat service recipients with respect and to commit to continuous service delivery (Batho Pele Handbook, 2003). This commitment to service delivery is supposed to apply across all the services provided by public sector and public entities including the provision of low-cost houses, also known as the Reconstruction and Development Programme (RDP) houses. According to the Batho Pele Handbook (2003), the following are Batho Pele principles:

- 1) **Consultation:** Consultation simply means - interact with, listen to and learn from the people you serve. Public servants should make sure that they stay in touch with the people they serve, by finding out what services they need, how they would like their services to be delivered and what they are dissatisfied about. Consultation is meaningless, unless it is fed back to the management so that they can change the system, or take the steps needed to improve the service given to the customers.
- 2) **Service standards:** Every department has to set service standards that guide exactly what they deliver and to what quality or standard. Service standards should clearly state how long

it will take and exactly what people can expect from the public service. For example, if you apply for an ID book from Home Affairs, and you have all the necessary documents, it should only take about 6 weeks, to get the ID book. If this standard is not kept, the department owes the customer an explanation and probably an apology.

- 3) **Redress:** When people do not get what they are entitled to from the Public Service, they have a right to redress. This means that the public servant should immediately apologise to them and also tell them what solution they are offering to their problem. If the public servant has none, they should speak to their manager or supervisor and make sure that the problem is sorted out. The Public Service's success and image is built on its ability to deliver what people expect from them. When complaints are made, citizens should receive a sympathetic and a positive response. The Promotion of Administrative Justice Act (53 of 2002) allows for citizens to ask for reasons for any decision taken by government that affects them. The Act ensures that citizens have a right to administrative decisions that are lawful, reasonable and procedurally fair. Where citizens are dissatisfied with the reasons given, the Act allows people to appeal the decision or ask for the review of the administrative action by a court or, where appropriate, an independent and impartial tribunal.
- 4) **Access:** All citizens have the right to equal access to the services to which they are entitled. This especially applies to disabled people, illiterate people and rural people who may have difficulty accessing government services. Public servants have a special role to play, to make sure that those who need extra assistance get it. Managers should ensure that these services are accessible to disabled people and that people who use wheelchairs and walking aids can get into public buildings. Special arrangements should be made to assist people with hearing or visual disabilities.
- 5) **Courtesy:** Public servants have to remember that they are employed to help the people and to give them access to the services that are their rights. They are not there to stop people or to be obstacles. This means that in their contact with the public, public servants should always be courteous and helpful.
- 6) **Information:** All citizens should be given full information about the services that they have a right to get. If a public servant does not have information, they should try to find out and help the person. When referring them somewhere else, they need to be very clear about what they will get there, what they need to take with them and which person they must go and see.

The better informed people are, the easier it will be for the public service to do its job and the fewer people there will be in the queues. Public servants are encouraged to spend some extra time with people who need a better explanation or special assistance because they cannot understand or cannot access the services themselves. Citizens should be provided with information about the level and quality of service. Citizens should not only be given feedback when there is good news but they have to be notified even when there are challenges.

- 7) **Openness and Transparency:** It is very important for the Public Service and administration to be run as an open book. The public service is there to serve the people and they have a right to the services it offers. Many people, especially poor people, do not yet have access to things like free basic services, or social grants, simply because they do not have the information to access it. The people also have the right to know how decisions are made, how a department works, who is in charge and what its plans and budgets are.
- 8) **Value for money:** It is very important that public servants do not waste the scarce resources of government and that they deliver a service that is as cost-effective and efficient as possible. It is their duty to inform management of any wastage of resources and to look for ways of saving money and time, without compromising the quality of the service delivered to people.

For the purposes of this research, the focus is on information, consultation, redress and value for money. The study dealt with: firstly, finding out if service providers share the stipulated and expected information regarding provisioning of low-cost houses; secondly, investigating if the established consultation processes and platforms were implemented in the department concerning the low-cost housing projects; thirdly, evaluating the type of information and feedback given to the service recipients as the departmental employees provide housing services and/or as they address the complaints that have been lodged; and lastly, evaluating the level of satisfaction/dissatisfaction of beneficiaries with regard to the quality of low-cost houses, i.e. whether they think they (beneficiaries) receive value for money.



### **2.4.3. Enabling Legislative Framework for Implementation of Batho Pele Principles**

Several laws and guides, some of which are discussed in this section, were developed in order to enhance the implementation of the Batho Pele principles.

#### *2.4.3.1. The Constitution of the Republic of South Africa, Act 108 of 1996*

Section 195 The Constitution of RSA 1996, stipulates that public administration should adhere to a number of principles, including that:

- a higher standard of professional ethics be promoted and maintained;
- services be provided impartially, fairly, equitably and without bias;
- resources be utilised efficiently, economically and effectively; peoples' needs be responded to;
- the public be encouraged to participate in policy-making; and
- the public sector be accountable, transparent and development oriented.

Chapter two of The Constitution, the Bill of Rights, also gives the citizens certain rights to take action against the state if they believe their constitutional rights have been infringed and to have access to information held by the state which they need in order to be able to do so. To give effect to citizens' rights as enshrined in Chapter two, section 41 (1) of the Constitution stipulates the principle of cooperative government and intergovernmental relations. It directs that all spheres of government and organs of state within each sphere must provide effective, transparent, accountable and coherent government for the Republic as a whole.

Section 32 of the Constitution refers to access to information and it prescribes the right of everyone to have access to any information held by the state. Section 33 (2) deals with administrative action stating that everyone whose rights have been adversely affected by administrative action has the right to demand, in written form, the reasons for such action. This clause is put into action by the principle of redress in Batho Pele principles. The Constitution further states, in section 195 (1) that public administration must be governed by the democratic values and principles as enshrined in it. The sections provide that the delivery of public services should be guided and conform to Batho Pele Principles. This includes *inter alia*:

- a) People's needs must be responded to;
- b) Transparency must be fostered by providing the public with timely, accessible and accurate information; and
- c) Public administration must be accountable.

#### **2.4.3.2.** *The White Paper on the Transformation of the Public Service, 1995*

The White Paper on the Transformation of the Public Service, 1995 highlights the priorities for the transformation, at the core of which is transforming public service delivery to meet the basic needs and redress past imbalances experienced during apartheid. This document preceded the launching of Batho Pele principles. In relation to consultation and participation of the community, the paper stressed the creation of government-community partnership for effective use of public purse and resources.

#### **2.4.3.3.** *The White Paper on Transforming Public Service Delivery, 1997*

In order to put the above mentioned constitutional provisions, with regard to the provision of services to citizens in place, the Department of Public Service and Administration (DPSA) developed the White Paper on Transformation of Public Service Delivery (WPTPS), Batho Pele programme (People first) that provides a framework on how all government departments should go about providing public services. The programme is based on the eight national principles called Batho Pele Principles (as discussed above) and service standards. These principles and standards are supposed to be observed by all government departments when providing services to the citizens.

#### **2.4.3.4.** *The Reconstruction and Development Programme, 1994*

During the year 2010 United Nations Habitat estimated 1,1 billion people live in “inadequate housing conditions in urban areas alone, across the world. In many cities of developing

countries, more than half of the population live in informal settlements, without security of tenure and in conditions that can be described as life and health threatening” (2010:06). After 1994, the Reconstruction and Development Programme (RDP), which was initially the ANC's post-Apartheid reconstruction framework, influenced policy formulation. The RDP is one of the strategies that were crucial in addressing the basic needs of the poor, in particular low-cost housing as is popularly known. The people involved in compiling this programme were a mixture of intellectuals, workers and representatives from community organisations. In order to achieve the goals of the RDP, a policy framework, the White Paper on Reconstruction and Development, was written so as to give practical guidelines on how the programme should be implemented throughout the country. This policy framework provided for the establishment of the RDP coordinating structures. According to Mporofana (2008), these structures were multi-party and inter-sectoral structures that would be responsible for planning, co-ordinating, facilitating and implementing the RDP projects and thus giving effect to the ideals that were contained in that document. The RDP forums were envisaged in order to create positive strategies of participation for the role players and to prioritise their specific needs, depending on the type of development the role players wanted to pursue.

Connecting housing development in Limpopo province to the RDP could be understood as a “technique of addressing needs of people, for example jobs, land, housing, water, communications, transportation, a clean and healthy environment, nutrition, health care and social welfare” (RDP, 1994). Building houses has been a government strategy to alleviate poverty through employing and generating skills. Housing includes planning, project management, land survey, engineers, building roads, electricity, sanitation, building of the top structure, plumbing and so on. The government strategy was to encourage communities to develop skills which would enable them to participate in their local economic development. Boesak (2002) singles out two of these programmes that are mentioned in the RDP, i.e. meeting elementary requirements and building the economy. He argues that basic needs include dealing with the provision of housing to previously disadvantaged groups. Furthermore, building the economy can be seen as a strategy of government towards creating conditions in which people will be able to improve their capacity to access these goods and services, including housing (Boesak, 2002).

Roux (2010) states that one of the major reasons why the provision of low-cost housing is so challenging is the involvement (or lack of) of many different role players, usually operating from very different points of departure. While it is expected of government to supply the housing, it is often said that no adequate consultative process is involved. This has the potential to result in the client groups often rejecting the final product. In return, government might feel their attempts at helping the poor and homeless were not appreciated and, should they engage in similar future projects, might consult even less than before. Roux's (2010) sentiments are echoed by the former Public Protector's Report to Parliament's oversight committee on human settlements (2013), which indicated that the office had been flooded with complaints in the delivery of low-cost housing. The Public Protector had received more than 5 000 complaints in the year 2012. She (The Public Protector) stated that "We did find homes that don't have foundations, and we did find homes that were built with something more like a mud....when you poke through, it falls apart." (Public Protector Report, 2013:15). The Public Protector Report to Parliament's oversight committee on human settlements (2013) went further to indicate that the allocation of RDP houses had also caused problems, and people were confused about what such a house should contain. This is a clear indication of lack of information on the side of housing beneficiaries.

#### **2.4.3.5. *The People's Housing Project***

Another initiative for driving provisioning of low-cost housing in South Africa was the People's Housing Project (PHP). Carey (2009) argues that the People's Housing Project (PHP) was developed over nearly 20 years, which started before 1994. "South African NGOs began working with communities in the late 1980s to develop community based and people centred approaches to access land and deliver services and housing" (Carey, 2009:15).

The main aim of the PHP programme, according to People's Housing Project document (2008) prepared by the former Department of Housing, "is to deliver better human settlement outcomes (at household and at the community level) based on community contribution, partnerships and the leveraging of additional resources through partnerships. This is achieved by developing

livelihood interventions that lead to outcomes such as job creation, developing a culture of savings, skills transfer, and community empowerment, building of community assets and social security and cohesion. The PHP enables/encourages communities to actively contribute and participate in the housing development process so that communities take ownership of the process and not just act as passive recipients of housing (PHP Document, 2008:28).

In Limpopo Province the PHP was also launched. The implementation of this project involved the beneficiaries on every step from application to the actual building of the house. This strategy was important because it meant that the Limpopo community developers and other stakeholders could, for the first time, understand the programme and be able to implement it. Carey (2009:25) states that Public Involvement Programmes (PIPs) minimise risk by obtaining community support for the project before implementation and by identifying and solving conflicts during the process of consultation, resulting in a sense of ownership, thereby reducing the risk of vandalism and avoiding costly maintenance (Mlambo-Ngcuka, 1997). Following public involvement, communities share a mutual interest, sentiment and concern and get together to formulate ways of addressing their concern. Thwala (2009) states that, “the most important element in community development is that it is a learning process. As the people go through each phase of development, they learn to approach the next phase better”. The RDP was focusing on the most immediate needs of people and relied on the energies of those people to meet their needs. Consultation and information giving was at the centre of the PHP.

#### **2.4.3.6. *The Housing Act, 1997***

The Housing Act, 1997 (Act No. 107 of 1997) was passed to facilitate a sustainable housing development process. This Act:

- Establishes principles of housing development for all levels of government.
- Defines the functions of the spheres of government in respect of housing development.
- Establishes a South African Housing Development Board which works with provincial housing development boards.
- Provides for the funding of national housing programmes, and
- Repeals laws which hinder development.

The general principles which apply to housing development are stipulated in Section 2 of the Housing Act of 1997. The act addresses, inter alia, the following principles that give priority to the needs of the poor in respect of housing development;

- Consult meaningfully with individuals and communities affected by housing development;
- Ensure that housing development provides as wide a choice of housing tenure options as is reasonably possible, and is economically, and socially affordable and sustainable;
- Encourage and support individuals and communities, including, but not limited to, co-operatives, associations and other bodies which are community-based, in their efforts to fulfil their own housing needs by assisting them in accessing land, services and technical assistance in a way that leads to the transfer of skills to, and empowerment of, the community;
- Promote the establishment, development and maintenance of socially and economically viable communities and promote safe and healthy living conditions to ensure the elimination and prevention of slums and slum conditions;
- Promote measures to prohibit unfair discrimination in housing development; and
- Respect, protect, promote and fulfil the rights of the people in the administration of any matter relating to housing development.

#### **2.4.3.7. National Housing Policy Frameworks**

The government's conviction on the implementation of Batho Pele principles has been that there would be general satisfaction amongst the citizens with regard to services being rendered and the treatment of citizens thereof. The New Housing Policy and Strategy for South Africa (1994) stated that housing the nation was one of the greatest challenges facing the government of national unity. The extent of the challenge stems not only from the enormity of the housing backlog and the desperation and impatience of the homeless, but also from the extremely complicated bureaucratic, administrative, financial and institutional framework inherited from the previous government. The New Housing Policy and Strategy (2000), identifies several key constraints that hinder housing development in South Africa. Some of these constraints include the lack of an overall housing strategy and the inadequate definition of the roles and

responsibilities of role players in the housing sector, as well as the multiplicity of legislation and the duplication of legislation governing housing, land and services.

#### **2.4.3.8. *Breaking New Grounds***

Breaking New Grounds (BNG) was introduced in the year 2010 as another major policy invention on housing service provision in South Africa. The BNG represented a major policy shift after the past years in which democratic government experienced policy shifts in an endeavour to better the implementation of housing services. It is a comprehensive plan for the development of 'human settlements'. This plan demonstrated a redefined approach to housing in the country and was informed by the challenges that faced the government in implementing existing policies.

The previous policy based on the National Housing Forum (NHF) deliberations placed a major responsibility on the private sector's willingness to provide loans or finance to incremental housing as seen in the implementation of the White Paper through the RDP project. In this approach, private contractors acted as developers, while the government provided once off capital subsidies for incremental housing. The incremental approach focused on providing starter houses on large scale, usually on city peripheries that reinforced rather than challenged apartheid patterns of segregation. (Huchzemeyer & Karam, 2015). This was seen as one of the sources of criticism for the policy.

According to Adebayo (2011), the BNG was viewed as a refinement of the previous policy. The BNG document states that the main policy shift is the focus on the integration and access to economically active places and opportunities in an endeavour to bridge the gap between the two existing housing setups, low-cost housing (mainly funded by government) and market oriented housing market (Suburbs) to ensure integrated sustainable human settlements. These efforts for integration highlight the need to not only provide housing as an end product but for the entire process but to model the housing to be economically and socially beneficial. The BNG strategy aims to put the provision of housing at the forefront of poverty alleviation through job creation

and improvement in the quality of life. The strategy's support for spatial restructuring is an attempt to provide housing in well located places that is near economic opportunity and where there is infrastructure that necessitates both social, economic and racial integration. The strategy also seeks to address poverty by ensuring the houses delivered become an asset to the beneficiaries and communities and for individuals to be empowered through these efforts. The BNG observed that previously low cost housing was hampered by a "lack of affordable well located land"; many projects were on the urban periphery and "achieved limited integration" the "apartheid space economy" persisted' (Kotane, 2016:23). Converting the delivered houses into assets has been especially challenging due to the location of these houses, which seemed to reinforce segregation as they are built on city peripheries and there has not been a proper market, not to mention the various challenges relating to title deeds.

#### **2.4.4. Challenges to Implementing Batho Pele Principles**

The public service commission (PSC) conducted the study on the implementation of Batho Pele Principle of Openness and Transparency in the year 2008. The study focused on government departments and the officials. According to the Batho Pele White Paper, the principle of Openness and Transparency requires government departments to introduce new processes, systems and cultures or change the existing ones to allow citizens access to timely and reliable information about decisions and the performance of government. The Openness and Transparency principle encourages public servants to provide information about the operations of the Public Service, but also to be answerable for failing to meet stated performance objectives. Opening up information to the public can also be seen as a critical tool in the fight against corruption. If public administration is required to provide regular accounts, and knows that the details of transactions will come to light, the margin for corrupt activity may be reduced. "With more information in the hands of citizens, it is hoped that where corruption persists, it can be exposed and eliminated speedily" (Public Service Commission, 2008:15). It is important to note that this principle is not only about providing the public with the information they want, but also about empowering them to play an active role in policy-making processes as well as to enable them to take informed decisions about government's performance in spending public resources.



The study was carried out in two phases. The first phase, departments were requested to indicate if they comply and release Annual Reports and Citizens reports to citizens as provided in the Batho Pele White Paper. The second phase was comprised of interviews conducted with designated officials from departments that were included in the study. In the first phase the study found out that 18 of the 67 provincial departments were found to comply with the guidelines on the implementation of the Batho Pele principle of Openness and Transparency provided in Annexure A of the Batho Pele White Paper in publishing the Annual Report to Citizens and 84 provincial departments did not comply with the requirement. No national department complied with this requirement. All the Departments in the Limpopo Province complied (PSC, 2008:16). However, all the departments that did not comply with the above guideline, did implement other mechanisms such as the Annual Report, brochures, SDIPs, *izimbizo* to provide information to citizens. This information is in many instances the same as that contained in the Annual Report to Citizens. However, Annual Reports to Citizens (Citizens reports) are concise, well-summarised, and packaged in a user friendly way which make them a useful communication mechanism by departments. Failure to provide Citizens with a Citizens' report constitutes non-adherence to the principle (PSC, 2008:14).

The second phase of the study found that only seven (21%) of the 33 departments that responded to and participated in the second phase of the study gave definitions close to the one provided in the Batho Pele White Paper. Respondents outlined their own understanding of the principle of Openness and Transparency, rather than reflecting on the understanding of the department as a whole. It is, therefore, difficult to determine how entrenched or common the definition of Openness and Transparency is within their respective departments. Examples of definitions provided by departments were: (PSC, 2008: 21)

- Providing citizenry with information on how the spheres of government and the various departments function. Also inform citizens of the costs involved in providing them their services.
- Who are we, how much we spend on what, and
- Citizens should know what services are provided. The Department must provide reports about performance. They should be informed and aware of means to complain, where

possible. Information should be provided on what the Department is all about and the costs involved.

The major barrier reported by departments in the implementation of all Batho Pele principles was the lack of funds to implement them. The study indicated that funding was not made available to ensure that the principle of Openness and Transparency was implemented as required by the Batho Pele White Paper. The implementation of the principle of Openness and Transparency specifically requires that respective departments put together and distribute their Annual Report to Citizens to the citizenry. Like in other principles, there is a need to ensure active participation by the citizens in the practice and implementation of the principle of Openness and Transparency. However, it was reported by 48% of the departments that were sampled to participate in the second phase of the study that lack of funds is likely to remain a serious challenge to the implementation of this principle in the future. Lack of funds was further reported as a threat to the prioritisation of the implementation of all Batho Pele principles. In addition to lack of funds, staff shortages were also identified as a challenge in implementing the Openness and Transparency principle. Units responsible for transformation in departments as well as for the Batho Pele principles, in several departments consisted of one to three officials which means that the efforts to ensure the practice and implementation of Batho Pele principles do not receive the attention they should. The finding on the shortage of staff to implement the principle of Openness and Transparency seems to cut across all the principles that have been assessed by the Public Service Commission to date (PSC, 2008:17). The findings from these studies show that Batho Pele Coordinating Units in the respective departments were not adequately resourced, both financially and in human resource.

There is also an indication that there was inadequate consultation between service providers and beneficiaries of low-cost housing. Consultation as defined by Batho Pele Handbook (2003) means - interact with, listen to and learn from the people you serve. Public servants should make sure that they stay in touch with the people they serve, by finding out what services they need, how they would like their services to be delivered and what they are dissatisfied about. Consultation involves inviting people's views on the proposed actions and engaging them in a

dialogue. In the context of CoGHSTA as government department it is a two-way flow of information between government and the citizens. Consultation provides opportunities for the citizens to express their views on the project proposal initiated by the government. Rigorous planning and implementation of projects should be undertaken only after considerable discussion and consultation. Consultation includes education, information-sharing, and negotiation, with the goal being a better decision-making process through Organisations consulting the citizens who are service recipients (Hesse-Biber & Leavy, 2011).

Batho Pele principles cannot realistically be implemented in isolation. All eight Batho Pele principles are interrelated and equally important in service delivery. For example, an official cannot practise Openness and Transparency of the Department without necessary information about the department and its service delivery programmes and other related projects and activities which are likely needed by the members of the public to access the services of the respective departments (PSC, 2008:18).

The Public Service Commission's study also found that there were no necessary mechanisms put in place for monitoring and evaluation on the implementation of Batho Pele principles hence the recommendation that Departments should introduce the necessary systems or procedures to enable them to monitor and evaluate the implementation of openness and transparency so that challenges can be identified and appropriate steps be taken to address areas of ineffectiveness or limited success timeously (Mokgoro, 2003:13).

Mokgoro's (2003) study indicates the nature and extent of irregularities and inefficiencies in the management of the Department of Home Affairs and its compliance with the Batho Pele principles. The main findings of the study are:

- The department was performing below its own published service standards;
- Staff time was inefficiently utilised;
- The department did not consult with the public about services and service standards;

- No targets for increasing access to the department's services had been set;
- The department did not have a formal mechanism for handling complaints; and
- The department did not have a productivity improvement programme, and was not measuring its productivity.

Mokgoro (2003:13) further states that the findings of the study suggest that the fundamentals are not in place for implementation of Batho Pele Principles to succeed. These fundamentals, as perceived by Mokgoro (2003:13), include *inter alia*, attitude, beliefs, skills, structure, systems and processes.

In terms of the White Paper on Transforming Public Service Delivery (South Africa, 1997:16), the first step should be to consult customers so as to identify their needs. The second step should be the formulation of service standards based on the identified needs, so that customers know what to expect from the departments. The third should be the development of redress mechanisms, where the actual delivery services fall short of the promised standards. The fourth step should be information dissemination, where citizens are given full, accurate information about the public services they are entitled to receive.

#### **2.4.5. South African Low-Cost Housing Provision**

The collaborative approach to housing as employed by Kenya seemed to be inadequately exercised by the South African Government. The study conducted by Roux (2011) found that locally, housing provision for the poor has long been a very contentious issue since the inception of the programme. It is mentioned that literature has it that there has seldom been any communication between government departments providing housing services and those on the receiving end (citizens). Over the years, various bodies were created such as the *Abahlali baseMjondolo* in Alexandra and Anti-Eviction Campaign in Tembisa, to address this situation – mostly giving a voice to the poor and homeless in order for them to consult with government departments and municipalities. Anti-eviction has a very important place in these movements as more often than not the inhabitants of slums or squatter camps were evicted and moved to different premises, often on the urban periphery, without their having any say in the process.

Having a house that is poorly situated for economic activity is often viewed by the poor and homeless as being worse than living in a shack closer to an area where economic activity is taking place. Abandoning of houses built in the periphery is as a result of lack of consultation between the government as provider and the citizens (Roux, 2011).

Madzidzela (2008) notes that the residents of Ward 21 of the Nyandeni Local Municipality in Ngqeleni were not given sufficient opportunity to participate in the housing project and subsequently did not have adequate knowledge about the project. The study discovered that inadequate knowledge about the project led to, among others, premature occupation of the houses. Among other reasons for premature occupation, the participants in the study cited high rate of vandalism if the houses are left unoccupied for too long, as well as theft of materials on the houses, fear of illegal occupation by people whom the houses are not allocated to and subsequent difficulty of removing them, which is due to pressure because of homelessness (Madzidzela, 2008).

The public participation in housing projects is recommended to be enhanced in the planning and implementation of housing development. Hence, people should be given a chance to clearly articulate their needs, aspirations, demands and interests. “In addition to the dissatisfaction expressed about the huge housing backlog, poor and disadvantaged people are still congested in one bed-roomed houses (Madzidzela, 2008:34). Therefore, the government should expedite the process of building more decent and spacious houses”. Municipalities should play a bigger role in the planning, development and implementation of housing projects. Creation and promotion of job opportunities and the enhancement of training opportunities, skills development, identification of talent before and during implementation processes, should be the priority to promote black empowerment programmes for the effectiveness and efficiency of infrastructure and housing delivery (Madzidzela, 2008). Lack of adequate knowledge about the project being implemented in their vicinity is a clear indication of lack of/ inadequate consultation processes by government sectors.

The study by Sikota (2015) attributes the success of the Niall Mellon Housing Project (NMHP) to enhanced community participation. The study suggests that community leaders were essential from the very beginning of the process and that they contributed to some policy decisions such as selecting a specific form of housing programme that also empowered the community to consciously elect representatives to make decisions on their behalf. This was enabled by government policy in the form of the PHP housing programme that was discussed in chapter two. The study went further to demonstrate that the process of identifying beneficiaries was influenced by local leaders, although these decisions ultimately rested with the state, and is a constant source of conflict in housing projects. In the case of the NMHP some beneficiaries felt that they were more entitled to be part of the project than others, who they believed were outsiders. The power of the beneficiaries in the housing project was, however, limited to their role in the construction of their individual houses. Furthermore, even though there were some miscommunication between the beneficiaries and their representative which led to some confusion, this did not impact negatively on the implementation of the project because community leaders were always available to provide clarity. This implies that having committee members as leaders of the project contributed positively to the project and minimised miscommunication between beneficiaries and the project implementers. Therefore, having a more centralised point of communication strengthened the project and helped to move it forward. The close relationship between the civic and the project illustrates the importance of having an organised community structure in the success of a project. However, it could also be argued that having internal leaders could lead to the exclusion of those who are not part of these networks (Sikota, 2015).

Sithole & Mathonsi (2015) indicate that the South African local government is responding to the challenge of poor service delivery by exploring Public-Private Partnerships (PPPs) as a way to improve the delivery of services. This approach provides an opportunity where the public sector works together with the private sector to address the challenge of service delivery. It is commonly known that the private sector amassed a lot of skills and expertise that could be useful in the service delivery terrain, thus through the PPPs such relations are strengthened. This approach also uses the expertise, investment, and management capacity of the private sector to

develop infrastructure as well as to improve and extend efficient services to all residents, while skills transfer between the private and public sectors occurs.

Sithole (2015) holds a view that one of the causes of community protests is poor engagement/lack of public participation by local government. Nnadozie (2013) & Ngubane (2005) support the view by arguing that there is a need for continued and intensified involvement of communities by employing platforms like public participation (community meetings), ward committees, youth meetings and women's assemblies, amongst others. Such platforms should focus not only on the politics behind the allocation of service units, but should also promote information sharing on the logistics and limitations of local governments towards the delivery of expected services (Nnadozie, 2013). Ngubane (2005) further concretises the argument for public participation by arguing that local government should engage with communities about services that will be rendered to them in order for communities to indicate the form, level, and type of services they would need for themselves.

In the study by Sabela (2014) lack of relevant stakeholder participation in the housing delivery processes was found to be the leading factor (72 percent in Slovos and 68.4 percent at uMhlathuze Village) contributing to low cost housing delivery problems. The study reveals that stakeholders that often serve as a link between the government and intended beneficiaries, such as Community-Based Organisations (CBOs), Non-Governmental Organisations (NGOs) and Non-Profit Organisations (NPOs) were and are still, excluded in the housing delivery systems. Some of the housing units provided were credit-linked and finance was organised by developers, for the beneficiaries. The beneficiaries were excluded in all processes from decision making to the implementation of the projects. It is assumed that affordability and quality issues could be addressed if the recipients partake in their own development. Understanding stakeholders' satisfaction is a pre-requisite for housing project ownership, and thus contributing to the sustainability of the project as it increases people's confidence and believes in the returns of the project.

#### **2.4.6. Low-cost Housing Rectification Programme**

The number of complaints registered with regard to structural defects of the already handed over houses compelled the Human Settlement Department to introduce Housing Rectification programme in which all the units with defects would be repaired (National Housing Policy and Subsidy Programme, 2010). During the introduction of rectification programme the former minister of human settlements, Mr. Tokyo Sexwale, said that “around 40 000 RDP houses would have to come down because of poor workmanship, and that he would lose roughly ten percent of his budget to rebuilding the houses” (South Africa Info, 2010). The minister estimated the cost of this “poor workmanship” at R1,3bn, the money needed to “rebuild badly constructed houses provided under the government's housing programme” (Fin24, 2009).

#### **2.4.7. Challenges of Provision of Low-Cost Housing**

The provision of low-cost housing in South Africa has been riddled with challenges that meant that the rectification programme had to be put into place. A study by Kakaza (2011) on the impact of low-cost housing on beneficiaries identifies several factors that have contributed to the failure in housing delivery. Amongst these factors Kakaza mentions putting quantity first before the quality. According to Kakaza (2011), there was an emphasis on the quantity of houses delivered rather than on the quality of these houses in the initial post-apartheid period. The democratic government was under pressure to be seen to be delivering houses and thus committed to itself to deliver 1 000 000 houses within a five year period (Mistro & Hensher, 2009). This resulted in compromising quality for quantity. At the end of the five years, not only did the government fail to deliver quality housing, but it also failed to reach the set target number of houses (Pottie, 2004). Qumbela in Sikota (2015) states that when these houses are built, there was no proper infrastructural foundation, they just put down slabs, there were no foundations. The building material was of a low quality resulting in everything breaking down immediately.

There have also been problems of beneficiaries of low-cost housing deserting their houses to go back to living in shacks that were nearer to towns and cities, i.e. nearer to places of high economic activity. Kakaza (2011) & Du Toit (2010) attribute the abandoning of low-cost houses, mainly in the urban areas to the building of these houses in locations that did not promote sustainable livelihoods. It has been pointed out that some people prefer living in shacks in



informal settlements to government housing since shacks are usually built closer to areas with economic opportunities than government low-cost housing which is often far from centres of economic opportunities (Huchzermeyer, 2003). Another challenge has been the fact that beneficiaries of new low-cost housing are often not satisfied with the costs that come with being relocated to distant settlements because this results in loss of livelihoods as they have to spend a lot in terms of transport to access employment opportunities. The long distance between the locations of low-cost houses doesn't give beneficiaries value for money as beneficiaries have to pay high taxi fares to reach areas where there are economic activities (Huchzermeyer, 2003).

It has also been noted that various complaints were raised about the structures and infrastructural services provided and almost all occupants expressed that they have invested in their properties to improve the quality and to make their structures habitable and for health reasons. The beneficiaries in particular and tax payers in general did not get the value for money on these projects as the quality of the houses were perceived to be poor and beneficiaries had to use their own money to make the house habitable (Sabela, 2014).

Roane and Mbangeni (2012) are cited in their report that the Public Protector was concerned with the "quality of houses in Lehae, Lufhereng and Ramaphosa low-cost houses". They reveal that the "buildings were crumbling and there was a lot of corruption". The RDP houses had many defects and during rainy seasons, the residents were subjected to many hardships. Leaking roofs cause flooding of the RDP houses when it rains. The defects caused damage to the beneficiaries' belongings and property. The emerging companies always compromise the quality and size of the housing units in order to spend less on building materials or by employing cheap labour (Kotane, 2016). These defects occurred mainly due to the Government's lack of planning and monitoring. The developers did not adhere to the State's stipulated terms and conditions. Hence most developed houses are defective. A study by Sabela (2014) discovered that beneficiaries felt the houses were of low quality as service providers, or perhaps contractors, used the materials they liked because the beneficiaries had no say. The beneficiaries were neither involved in decision making nor serving as labourers in the projects.

Aigbavboa and Thwala (2013) support the finding in Kotane's study by stating that the residents of Kliptown were not satisfied with the quality of building materials used to build their houses. The above mentioned authors also indicate that the residents were dissatisfied with the "workmanship standard" that showed a number of defects. The beneficiaries perceived the quality of their houses to be very poor. They described the building materials used to build their low-cost houses as being of very low quality. They cited the poor windows and doors, the asbestos roofing and the shortage of cement in plastering and building of their houses. Such conditions could be attributed to the poor building materials used in building these houses, as well as the developers' poor workmanship. The estimated R1.3 billion by the former Minister of Human Settlements on housing rectification programme, poor quality of houses and the use of individual beneficiaries' funds to make houses habitable are a clear indication that the notion of cost effectiveness was not observed as envisaged in principle of value for money.

Another challenge is that of lack of information by the potential beneficiaries. A study by Molla & Huttingh (2015) discovered that only four percent of the applicants in Gauteng Province had information about needs register as opposed to 95 percent that did not have information about the needs register and the application process. Molla & Huttingh (2015) reveal the need for educational programmes and key areas of application processes that needed communication. Such areas include: the criteria that define who qualifies to apply for special needs applications, the kind of documents applicants need to bring when applying, what the needs register is and how it operates, how the application and allocation processes work, what the subsidy options are and how they can be accessed, and the rights and responsibilities of beneficiaries and the role of government with regards to each option.

In summary, the researchers have shown the challenges of low-cost housing to include, amongst others, firstly, poorly constructed houses, i.e. poor quality of the houses; secondly, the location of the houses being far from the areas where beneficiaries can access employment opportunities resulting in high transport costs as they have to commute to towns and cities; thirdly, lack of consultation with beneficiaries, information sharing and lack of continuous feedback; and lastly, corruption (Huchzermeyer, 2003; Kakaza, 2011; Roane & Mbangeni, 2012; Sabela, 2014).

## **2.5.SUMMARY**

The housing delivery in South Africa has been a daunting issue since the dawn of democracy in 1994. The Government is experiencing many elements of dissatisfaction with regard to housing service delivery. This chapter provided the literature review done for this study. The legislative framework on the right to adequate housing and the implementation of the policies were discussed. The literature review has also shown that some countries around the world fully recognise the positive impact of Batho Pele principles in the delivery of housing services, whereas other countries struggle to implement them. South Africa falls in the latter group of countries. The next chapter deals with the methodology employed to carry out this study.

## CHAPTER THREE

### 3. RESEARCH METHODOLOGY

#### 3.1. INTRODUCTION

This chapter provides the information on how the study was conducted, which covers the study design, data collection methods, the brief discussion of the study area, ethical considerations and data analysis. The data were collected to address the following study objectives:

- To determine CoGHSTA's performance on the provision of low-cost houses to beneficiaries;
- To investigate the kind of complaints (or commendations) lodged by the low-cost housing applicants/beneficiaries; and
- To examine the nature of the consultation process engaged in between the service providers, CoGHSTA and applicants/beneficiaries during the application for the low-cost houses and the implementation of low-cost housing projects.

#### 3.2. RESEARCH DESIGN

According to Babbie (2011) research design is the functional plan in which certain research methods and procedures are linked together to acquire a reliable and valid body of data for empirically grounded analyses, conclusions and theory formulations. Babbie and Mouton (2008:74) echo the above statement by describing research design as a plan or blueprint for conducting the research. The researcher employed qualitative methods of approach to the research. The researcher determined the overall performance percentage of CoGHSTA in terms of number of houses planned to be delivered and the number of actual houses delivered for the period of three years, and number of housing related queries and complaints *vis-a-vis* the actual number of resolved queries and complaints. The researcher also used a thematic data analysis technique to explore the factors attributable to underperformance in achieving the planned targets.

To explore the implementation of the Batho Pele principles in the delivery of housing services, the study employed a case study approach, which is a research strategy that focuses on a single case. The case can be an event, a community, a country, an organisation or any other phenomena. According to Soy (1997), a case study emphasises detailed contextual analysis of a

limited number of events or conditions and their relationship. This definition of a case study approach provides insights to the comprehensiveness of the approach as it allows for the exploration of all the valid material.

This study involved the reviewing of the secondary data available in the department, within CoGHSTA, that deal with provision of low-cost housing, as well as information gathered through self-evaluation meetings conducted by the CoGHSTA in all local municipalities in the province. CoGHSTA was engaged in a process of conducting Customer Satisfaction Survey on the services provided with the intention of discovering areas for improvement in service delivery provisioning. Thus, the study data were collected from document analysis and from minutes of meetings held for self-evaluation purposes.

For the purposes of this study the researcher chose the information gathered during the meetings in four local municipalities namely, Collins Chabane, Belabela, Polokwane and Ephraim Mogale. The rationale behind the sampling of the four local municipalities was that Collins Chabane and Ephraim Mogale are rural based municipalities while Belabela and Polokwane are peri-urban and urban based municipalities respectively. The researcher wanted to explore the challenges in both rural, peri-urban and urban environments. Secondary data are the data that have been already collected by and readily available from other sources (Andrews, Higgins & Lalor, 2012). According to Delaney Woods and Associates (2005) secondary research is less expensive than the original research, saves time and money, and finally can be provided in electronic or hardcopy.

### **3.3.TARGETED STUDY POPULATION**

Population in research refers to the aggregate or totality of all targeted objects, subjects or members that conform to a set of specifications (Polit & Hungler, 1999). In this study the population comprised of 22 Local municipalities within the Limpopo Province that were part of the CoGHSTA self-evaluation programme.

### **3.4. SAMPLING AND SAMPLE SIZE**

Sample is defined as a subset of a population selected to participate in the study (Brink, 1996). The fraction of the whole selected to participate in the study is referred to as a sample (Polit & Hungler, 1999). In this study a non-probability sampling technique was adopted to select identified local municipalities; Collins Chabane, Belabela, Polokwane and Ephraim Mogale. Non-probability sampling implies that not every element of the population has an opportunity for being included in the sample. Factors like convenience, quota, purposive and network sampling procedures are employed (Burns & Grove, 2001). Therefore, the sample size for the study was the four local municipalities for the minutes of the self-evaluation programme.

### **3.5. STUDY AREA**

The study area is a Provincial Department of Co-operative Governance, Human Settlements and Traditional Affairs (CoGHSTA) in Limpopo Province. The main administration offices are situated in Polokwane city, i.e. where the documents for analysis were accessed. Limpopo Province has five district support centres for traditional affairs in Sekhukhune, Waterberg, Capricorn, Vhembe and Mopani districts. The district support centres are providing support to traditional councils in areas of their vicinity.

### **3.6. DATA COLLECTION METHODS**

According to Thomas (1996), secondary data consist of existing data sets, reports, and documents, usually compiled by other persons or organisations, and often for purposes other than those of the present analysis. The secondary data for the purposes of this study were collected from several sources, viz. the APP and APR including the information contained in the Case register, Service Delivery Charter, Citizens' reports, all found in CoGHSTA head office in Polokwane, as well as the minutes from CoGHSTA self-evaluation meetings in the four municipalities that have been mentioned. The documents analysed are as follows:

- 1) Case register: The department (CoGHSTA) has been keeping a register of applications for low-cost houses as well as one for complaints on such houses for 22 years. However, the study will focus only on the registers 2014/2015 and 2015/2016 for analysis purposes. The data to be collected for the Case register will be cases reported during 2014/2015 and 2015/2016 financial years. The focus will be on queries and complaints related to housing application and the structural defects on the already built houses.
- 2) Service Delivery Charter: the Service Delivery Charter outlines the services offered by CoGHSTA and how it goes about providing such services. The turnaround time for low-cost housing application and handling of cases lodged.
- 3) Citizen reports: The department reports to the public about their achievement for a particular year against what it had promised through Service Delivery Charter. This includes the targets in the form of figures. The Citizens' Reports on services received in terms of housing provision from 2014/2015 to 2015/2016 years will also be included in the study.
- 4) Departmental Annual Performance reports: This encapsulates the information about how the department performed on its plans for service delivery within a particular year. It is the Departmental Performance based on the Annual Performance Plan. The Annual Performance Reports (APR) of 2014/2015 and 2015/2016 will be analysed for the purposes of this study. These Performance Reports will be compared with what the department set out to achieve in the APR.
- 5) Departmental Self-evaluation Meeting Minutes: The researcher analysed minutes of the issues raised during the self-evaluation meetings for the purpose of the study.

### **3.7.DATA ANALYSIS**

According to Johnston (2014), secondary data analysis begins with an investigation to learn what is already known and what remains to be learned about a topic through reviewing secondary sources and investigations others have previously conducted in the specified area of interest. Secondary data analysis takes this one step further, including a review of previously collected data in the area of interest. Creswell (2008) states that the research method consists of how the research collects, analyses, and interprets the data in the study. The current study utilised qualitative methods of research data analysis.

Qualitative researches go more in-depth. They involve looking at characteristics, or qualities that cannot easily be reduced to numerical values as opposed to a quantitative study which uses numerical data. Qualitative research methods typically aim to examine the many nuances and complexities of a particular phenomenon (Leedy & Ormrod, 2014). In this study a thematic data analysis technique was used to identify themes on the reported underlying factors attributed to underperformance, delay in delivering the housing services, the perceptions of the service recipients of how the service providers treated them, as well as the underlying causes for such variations in set targets compared to actual achievement of those targets.

Thematic analysis is a type of qualitative data analysis method that seeks to identify patterns (commonalities, contrasts, etc.) in the contents of data. The analysis proceeds through a series of well-defined steps that include category-building, coding and categorising that are useful not only for those who are in this type of analysis, but also for general understanding of a nature of qualitative analysis (Leedy & Ormrod, 2014). The documents were analysed and the information was categorised into each identified Batho Pele principles for the purposes of analysis. Therefore the documents yielded both qualitative and quantitative data which was then integrated.

### **3.8.SUMMARY**

This chapter provided the research methods followed and the instruments utilised to collect data from the relevant sources. The context and description of the study area has been outlined. The data analysis methods and the information generated are described. Chapter four presents the data analysis and research results.





## **CHAPTER FOUR STUDY RESULTS**

### **4.1. INTRODUCTION**

In this chapter the results from data collected from CoGHSTA documents are presented. Several documents within the housing subdivision of CoGHSTA were analysed as well as minutes of meetings from four municipalities that were part of those involved in the self-evaluation programmes on service delivery conducted by CoGHSTA. The presentation will firstly be on the results of the documents analysed followed by the information from the minutes of the self-evaluation meetings.

### **4.2. RESULTS OF THE STUDY**

The results will be presented in line with the objectives of the study as set out in chapter one, as well as a presentation of challenges that were identified during document analyses.

#### **4.2.1. Performance of the Department in Terms of Low-Cost Housing Demand and Delivery**

Presentation of the study results will start with an outline of how CoGHSTA performed in terms of the number of low-cost houses that were needed compared to the number that was actually built for service recipients in line with the first objective of the study. The results are from document analyses and they are presented according to the type/name of document that was analysed.

##### *4.2.1.1 CoGHSTA Annual Performance Plan 2014/15 Financial Year*

This document was analysed in order to determine the estimated housing demand compared to the number of houses built during the financial years 2012/2013 through to 2017/2018. During the planning session for 2014/15 financial year (FY), CoGHSTA considered that the successful implementation of affordable housing is highly related to the availability of both land and bulk infrastructure, which has been a challenge in the province. According to the South African Census 2011, approximately 90% of households reside in a formal dwelling which was an increase from 2001, the remainder distributed among informal and traditional dwellings. In contrast, the proportion of households that rent dwellings has increased from 9% in 2001 to 18% in 2011. This provided the department with an opportunity to diversify its housing programmes

in order to address housing demand. Since 2009, a total of 61 133 houses have been built across all programmes.

Looking at the actual and projected population growth in the Limpopo Province, StatsSA projected the demand of housing to be as detailed in table 4.1 below. The demand for subsidised housing using Census 2011 data and the projected delivery rates were estimated to fall from 149,951 units at the end of FY 2012/13 to 110,901 units in FY 2017/18.

**Table 4.1: Estimated demand for Limpopo Province for housing from FY 2012/13 through to FY 2017/18**

Financial year (FY)	Estimated demand at start of FY	Estimated demand at end of year assuming no new units are built during FY**	Number of units built during FY***	Estimated demand at end of FY less units built
FY 2012/13*	146 921	152 679	12 079	140 600
FY 2013/14	140 600	146 112	13 148	132 964
FY 2014/15	132 964	138 175	13 342	124 833
FY 2015/16	124 833	129 727	13 857	115 870
FY 2016/17	115 870	120 411	14 325	106 086
FY 17/18	106 086	110 245	14 974	95 271

*Source: Enerst and Young (EY) analysis with input data from census 2011 data and the 2011/16 Multy Year Housing Development Programme (MYHDP). As per 2011/16 MYHDP, \*\* as per provincial 4-year annual household growth rate of 3.92%, \*\*\* As per FY 13/14 APP*

From the table above, for financial year 2012/13 the projected number of houses needed in the province was 146 921. The projection of the demand for houses is done in line with the population growth in the area. The projection at that point (2012/2013) was that if the financial year ends without any single house built the demand would increase to 152 679. The department managed to build 12 079 in that financial year. Therefore the estimated demand decreased to 140 600. The same explanation for the columns applies to the other columns. The question of how the department can manage to build the sufficient number of houses needed, given the projections that are based on population growth, still remains.

#### *4.2.1.2 Service Delivery Improvement Plan*

The Service Delivery Improvement Plan (SDIP) encapsulates three key services through which CoGHSTA plans to improve its services. There are standards developed against each Batho Pele principle showing how each principle should be exercised when delivering services on each key service. The three key services included in the SDIP are, demarcation of sites, building of community residential units, and housing stock rectification. For the purpose of this study focus and analysis were only on delivery of new housing units and housing rectification. The housing rectification programme is a programme that encapsulates the refurbishment and rebuilding of low cost houses that were found to have structural defects as a results of poor workmanship during the implementation of low-cost housing projects.

The CoGHSTA Department recorded under-performance for two consecutive years on the number of housing units completed in the province across all housing programmes and number of housing units rectified (CoGHSTA SDIP, 2015-2018). This means that some beneficiaries who were approved and supposed to receive low-cost houses during financial years 2014/2015 and 2015/2016 did not receive those houses and some whose low-cost houses were supposed to be rectified were not rectified. What is not reported is whether the department made the effort to convene meetings with the beneficiaries and councillors to relate the information on circumstances which let to them (beneficiaries) not receiving the low-cost houses and those that were supposed to be rectified not being done as scheduled. The meetings referred to above are contained in the SDIP.

Guided by the situational analysis as contained in the Census 2011 report and the rate of population growth in the province, the department in its medium term framework (MTF) estimated that they would built 34 566 houses and rectify 1 822 houses which would be delivered as shown in the table 4.2 below.

**Table 4.2: Medium Term Targets for new housing units to be built and number of units to be rectified**

<b>Financial Year (FY)</b>	<b>2014/15</b>	<b>2015/16</b>	<b>2016/17</b>
Number of new housing units targeted to be completed in the province across all housing programmes	10 500	12 183	11 883
Number of Housing units targeted to be rectified	700	500	622

Source: Coghsta Service Delivery Improvement Plan for 2014/15-2016/17

#### *4.2.1.3 Coghsta Annual Performance Report (APR) 2014/2015 Financial Year*

The CoGHSTA APR is the document that contains the statistical information of the department with regard to the performance on the actual achievement of the targets as set in the APP. The department reported under-performance on both key services, i.e. the number of new housing units completed in the province across all housing programmes and the number of houses that was rectified. Table 4.3 shows the number of new housing units built, as well as the factors that were explained to have contributed to under-performance.

**Table 4.3: Delivery of new housing units and Rectification and Factors attributed to under-performance**

<b>FY 2014/2015</b>	<b>Planned target</b>	<b>Actual performance</b>	<b>Deviation from target</b>	<b>Reasons for deviation from target</b>
Number of <b>new housing units</b> completed in the province across all housing programmes	10 500	2 065	8 435	The pilot procurement project delayed the appointment of contractors
Number of Housing Units that were <b>rectified</b>	700	60	640	The pilot procurement project delayed the appointment of contractors

Source: Coghsta 2014/2015 Annual Performance Report

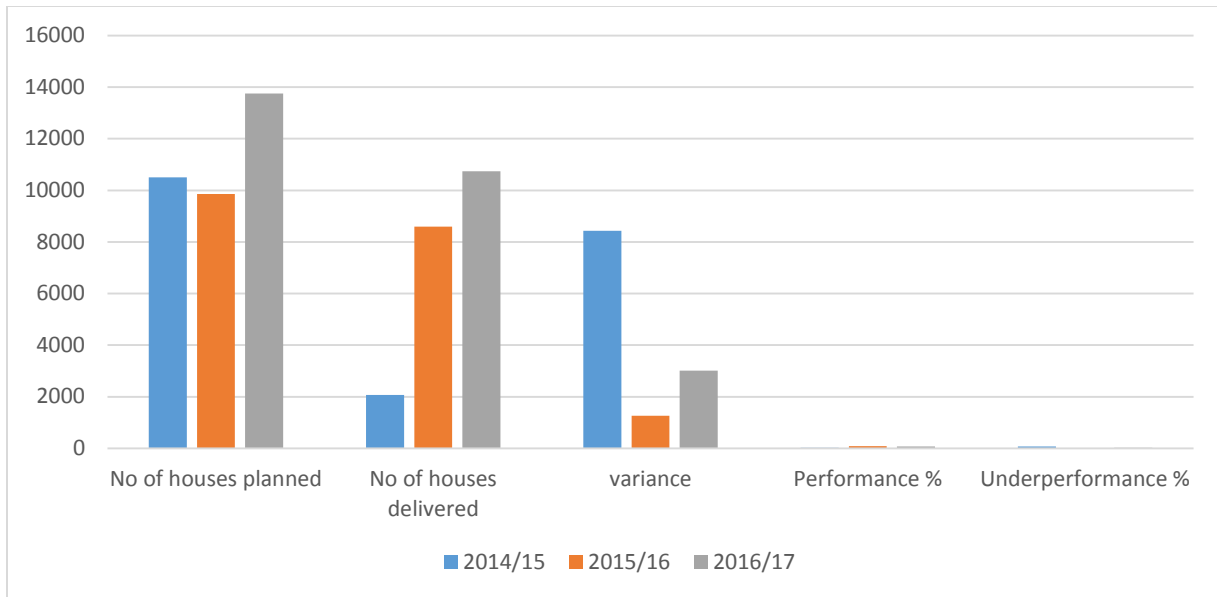
The table 4.3 above shows the performance of CoGHSTA in the delivery of new housing units and rectification of houses with structural defects as opposed to the targets, as well as the reasons attributed to the performance. Table 4.4 below presents records of the number of houses that the department planned to build in the Limpopo Province compared to the total number that was actually completed.

**Table 4.4: Annual Performance Records on Housing Delivery in Limpopo Province from 2014/15 to 2016/17 Financial Years**

<b>Financial Year (FY)</b>	<b>No of houses planned</b>	<b>No of houses delivered (built)</b>	<b>Variance</b>	<b>Performance (%)</b>	<b>Deficit (%)</b>
2014/15	10 500	2 065	8 435	19.7	80.3
2015/16	9 854	8 588	1 266	87.2	12.8
2016/17	13 750	10 741	3 009	78.1	21.9
<b>TOTAL (2014 to 2017)</b>	<b>34 104</b>	<b>21 394</b>	<b>12 710</b>	<b>62.7%</b>	<b>37.3%</b>

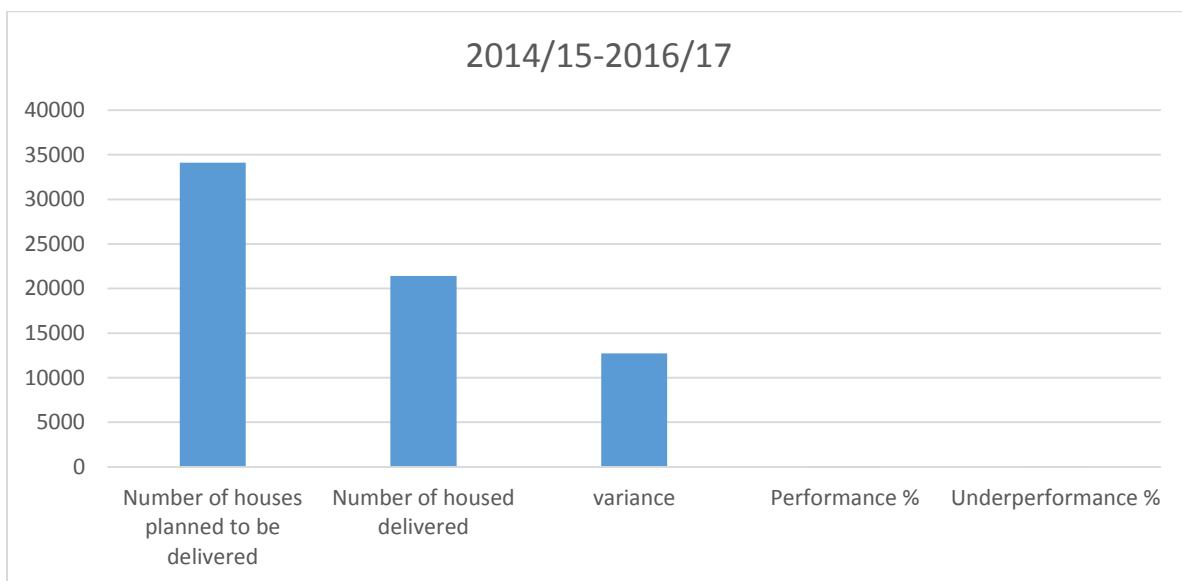
Source: APP 2014/15 – 2016/17

Table 4.4 above demonstrates that the 2014/2015 financial year was the worst in terms of housing delivery. There has been an improvement over the years. However, more effort still needs to be exerted to achieve better results. Figure 4.1 below displays the information that is discussed here. Perhaps an important consideration would be to check the reason(s) for service delivery going down in the 2016/17 financial year from the performance in the 2015/16 financial year. One of the reasons could be that the department got over-confident in their performance in 2015/2016 FY, resulting in an increase in their targets, which they eventually could not deliver on. Perhaps the increase in targets was not accompanied by an increase or rather improvement in essential resources such as budget or skilled human resources.



**Figure 4.1: Annual Housing Performance Records from 2014/15-2016/17 Financial Years**

As shown in table 4.4 and figure 4.2 the combined overall delivery of houses in Limpopo Province over the financial years shown above is at 62.7%%, which is not sufficient as the ideal is to target to achieve as close to 100% as possible of the planned housing projects.



**Figure 4.2: Overall Performance Over Medium Term Period, FY2014/15 to 2016/17**

The department attributed this failure to achieve planned targets to two factors as follows;

- 1) The pilot procurement project which the National treasury had developed for human settlements projects during the financial year delayed the appointment of contractors about seven months. Contractors were appointed in November 2014 instead of April of the same year, and
- 2) Number of applicants failing searches on the HSS system which also necessitated review of the list of would be beneficiaries.

#### **4.2.2. Case Register**

The issue that is of most concern with the Needs Register is the lack of education to applicants about how the system works. Analysing the number of queries and complaints logged shows that most applicants are unaware of the way in which the system works and are under the impression that once the registration is made at the local municipality, it is already an application for a subsidy. Many people come in wanting to “view the status of their application” as they do not realise that an application is merely a needs assessment process which allows the government to gauge the demand for houses. The houses are only guaranteed when an allocation for their area of residence/village and they are called upon to formally fill the application forms for a subsidy. These misconceptions lead to much dissatisfaction and frustration amongst applicants as many people travel all the way as far as from Thabazimbi and Phalaborwa ( $\pm 300$  km) to CoGHSTA Polokwane determined to find out how much longer they have to wait for a subsidy. At CoGHSTA, help desk they are met with answers such as: “you need to wait until you are contacted by your local municipality who will inform you about allocation in your area.” Many people leave without still fully comprehending the way in which the system works and without realising that they are still not yet officially on the waiting list for a subsidy. Applications are also sometimes rejected as all the required information to make an application is not provided (CoGHSTA APR, 2014/2015). Other times, applications are accepted despite not complying with the minimum requirements and are rejected at a later stage by HSS in the process.



The lack of information about the requirements and application process accounts to dissatisfaction and frustrations experienced by the applicants. The information required is supposed to be disseminated to the applicants through the housing consumer education programme. In CoGHSTA the sub-directorate responsible for housing consumer education is not located within SAD but in Municipal Accreditation and Capacity Building Directorate (MACBD). This arrangement makes it difficult for the two sub-directorates to synergise their responsibilities of housing consumer education and housing applications administration. What makes matters worse is that the two directorates, SAD and MACBD are not located within the same Chief Directorates.

#### **4.2.3. The Nature of Housing-Service Complaints Lodged by the Beneficiaries**

The second objective of the current study wanted to determine the nature of low-cost housing services cases and complaints, and whether these complaints were addressed or not, as well as the amount of time it took to resolve the lodged complaints. This objective also investigates the Batho Pele Principle of redress.

During 2013/14 financial year, CoGHSTA received a total number of 11 346 queries and complaints lodged through the Presidential, Premier and Departmental hotline, and walk-ins (CoGHSTA Case Register, 2013/2014 FY). About 85% of those complaints (9 644) were housing-related. The analysis on the nature of cases reported included:

- The delay in the approval of the applications and
- The structural defects on the already built houses.

The 9 591 complaints lodged and queries on the delay in the approval and status of their applications were all recorded as resolved in line with the stipulated standard of within 30 days, respectively during financial year 2013/14 as contained in the Departmental Service Standards document. The 53 complaints, which were on the structural defects were referred for resolution during the 2014/15 Financial Year through the housing rectification programme. This implies that the resolution of complaints on the delay in approval of housing applications were resolved

and completed on time in accordance with what is stipulated in the service standards. This is due to the fact that beneficiaries were included on the rectification list within 30 days after lodging of complaints.

#### **4.2.4. Adherence to Batho Pele Principles**

The third objective of the study wanted to find out if some selected Batho Pele Principles are adhered to. These principles of consultation, redress, information, service standards and value for money.

##### *4.2.3.1 Consultation of Beneficiaries by Service Providers*

The self-evaluation sessions/meetings that were conducted with members of the ward committees in the municipalities (Collins Chabane, Belabela, Polokwane and Ephraim Mogale) revealed that consultation between the service providers and the service recipients (i.e. low-cost housing beneficiaries) is not adequately exercised. It came out that there were no meetings arranged with beneficiaries before commencement of the housing projects. Some of the data that appeared in the minutes include: “ *the meetings held before the implementation of the projects only deal with the applications and introduction of appointed materials to be used on our houses contractors. They don't inform us about the quality and specified.*”

##### *4.2.3.2 Information*

When implementing the low-cost housing construction, beneficiaries should be given information about the project time frame, the specifications of materials to be used including the quality of materials. This will help beneficiaries to monitor the progress and quality of the work during the implementation stage. The information dissemination is not done in accordance with service standards as the meetings to outline the information as required by service standards document were never held.

The information given to low-cost applicants on eligibility to apply and the documents required was not adequate. This led to many applications not being processed due to wrong documents and information provided by the applicants. Some applied even though they had received houses before in other provinces.

#### *4.2.3.3 Redress*

The second objective of this was to determine the nature of the cases lodged with regard to low-cost housing services. The beneficiaries whose houses had structural defects after the construction and handing over lodged complaints to the department about the type of service they received. The Department acted in accordance with the service standards of resolving the cases within 30 days by including those beneficiaries on the housing rectification programme. The rectification of structural effects took time to be implemented and some of the beneficiaries ended-up fixing the structural defects using their own money. The delay in appointing the service providers for the rectification programme is an indication that the department failed to swiftly practise redress on a poor service rendered.

#### *4.2.3.4 Getting Value for Money*

As part of the third objective of the study, the current study wanted to also find out if the beneficiaries think they got value for money with regard to housing service rendered. It was reflected in the self-evaluation sessions/meetings that in some areas beneficiaries abandoned their allocated houses because those houses have been located too far from economically active places. Other beneficiaries have to pay too much in taxi fares for them to access Central Business Districts where there are economic activities. As a result, the beneficiaries left their houses to go and squat next to towns where they believed they would be able to find employment. Beneficiaries whose houses had structural defects reported their cases and were listed on the rectification programme. Due to the delay in appointment of service providers for the rectification programme, some of the beneficiaries became impatient of waiting and ended-up using their own money to fix the structural defects on the houses.

As the administrative processes of low-cost housing services are centralised in Polokwane, applicants and beneficiaries travel long distances, at times of approximately 300 km going to CoGHSTA offices in Polokwane to check their application status and to register complaints about structural defects. Therefore, considering the amounts of money that beneficiaries end up spending, they would not consider that they got good value for money. However, it should be noted that the information is only from those beneficiaries who complained. Those beneficiaries who received houses and did not complain are not recorded.

#### **4.2.3.5. Service standards**

Although it was not a stand-alone principle to be focused on in the study, reflection on the service standards cannot be avoided as it (service standards) cuts across all the principles. Service standards determine when, who and how each principle should be adhered to when implementing service delivery.

#### **4.2.5. Challenges of Low-Cost Houses as Identified by Participants**

Some of the beneficiaries raised concerns about the quality of materials used on the houses. They mentioned that the door-frames and roofing materials in particular were not of good quality. The type of the materials to be used on the houses are not clearly specified in the projects documents. One of the reflections from the self evaluation sessions indicated that: *“we are not given an opportunity to discuss the implementation of the project as a whole, including the quality of the materials to be utilised on the project”*

According to the information from the self-evaluation sessions, complaints were reported to the department about the poor quality state of low-cost houses. The department (CoGHSTA) responded by appointing contractors to repair the houses through the housing rectification programme. Further issues that were also raised included the concern about the protracted application process and the lack of feedback. The protracted process is costly for the potential beneficiaries as they have to travel long distances to the department for the sole purpose of checking their application status. For instance, this is what was expressed: *“we spend our hard*

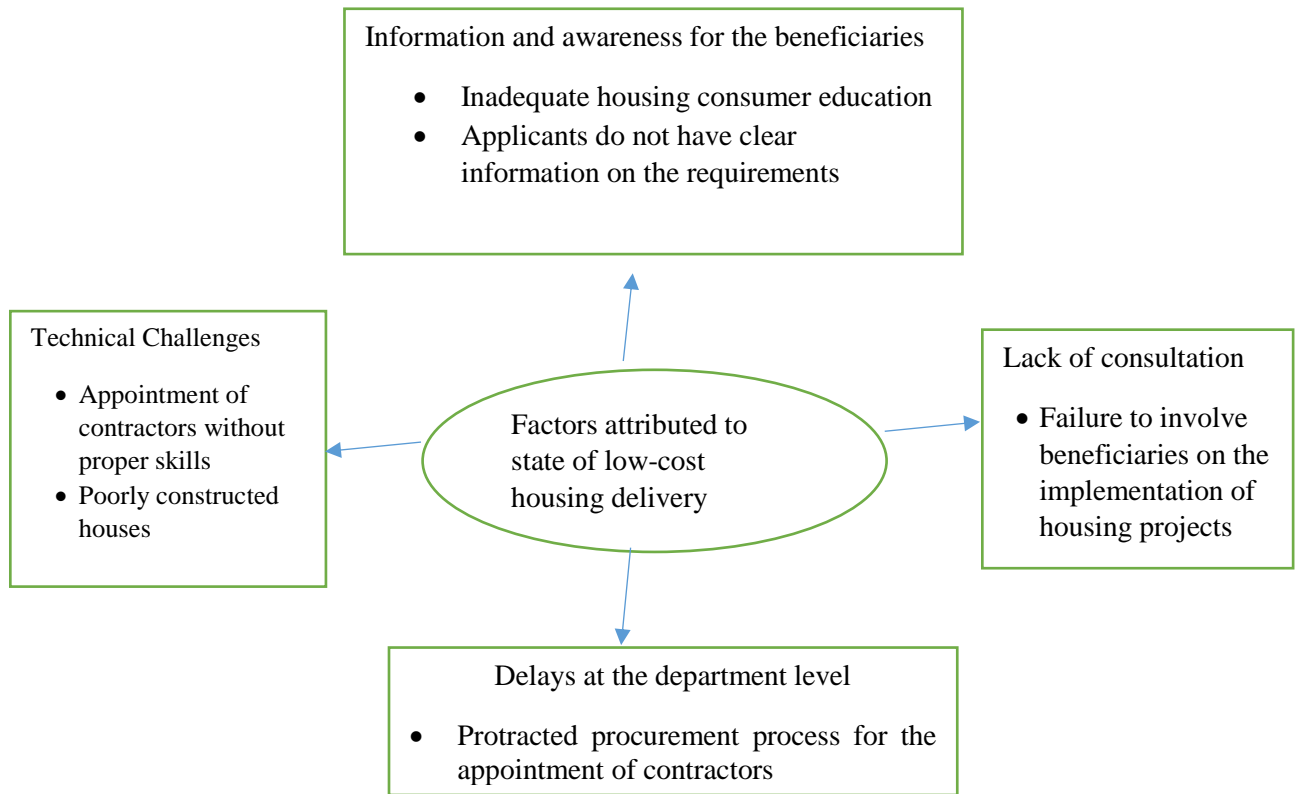
*earned little money for transport to Polokwane just for checking how far is our application process.”*

The self-evaluation sessions with CoGHSTA officials also revealed that the majority of queries that were made telephonically, as well as by walk-ins were about the status of the applications. For those who had houses already, the majority of complaints lodged were with regard to the poor quality of their houses. For instance it was mentioned that *“beneficiaries complain about window frames and door frames that are easily broken. They say they are vulnerable for break-ins.”*

The lack of information about how far the applications for housing are seemed to be one of the issues that were repeated a few time. It was mentioned in the self-evaluation records that beneficiaries would report that *“the checking of status of low-cost housing application accounts to almost seventy percent of queries received, both telephonically and by walk-ins.”*

The SDIP requires Integrated Sustainable Human Settlements (ISHS) to convene meetings with councillors and beneficiaries to outline how the housing project /rectification programme is to be implemented as part of information sharing and consultation. The APR 2015/2016 does not mention whether the meetings as outlined in the SDIP took place or not. The meetings to explain to beneficiaries about the causes of underperformance and zero progress were never embarked upon. High staff vacancy rate in the planning unit is cited as one of the main factors accounting for the underperformance.

Challenges of low-cost housing delivery by CoGHSTA, as reflected in the self-evaluation minutes, are presented in figure 4.3 below.



**Figure 4.4: Factors attributed to state of low- cost housing delivery (source: author’s own)**

Figure 4.4 above shows the various factors attributed to the current state of housing service delivery provisioning. According to the current study there are several factors that may contribute towards the unsatisfactory rendering of low-cost housing service. These factors include firstly, not giving beneficiaries adequate information resulting in beneficiaries’ lack of knowledge about processes involved as well as progress of their applications and building processes; secondly, lack of adequate consultation with the beneficiaries about progress made in applications, challenges that service providers face in delivery of services, the type of materials and contractors they use; thirdly, technical challenges, which include use of low-quality materials for building houses as well as poorly constructed houses; and lastly, delays and challenges at the departmental level, which include protracted procurement processes for the appointment of contractors. The study also reflects that the beneficiaries do not feel that they get

value for money as they are clueless in terms of how far their applications and construction of their houses are and, after receiving the houses, they are faced with multiple repairs of the completed houses.

### **4.3. SUMMARY**

This chapter presented the results of the study following the analysis of documents on delivery of housing services in CoGHSTA offices of Limpopo Province based in the capital city, Polokwane. The data analysed were contained in the strategic documents in the form of APP, SDIP and the APR. Thematic data analysis was utilised to analyse data gathered from the departmental self-evaluation sessions conducted with members of ward committees. The results were presented in line with the objectives of the study as outlined in the first chapter of the study, as well as analysing the challenges encountered in delivering low-cost housing services in the province. The next chapter will present the summary and discussion of results, conclusions and recommendations.

## **CHAPTER FIVE SUMMARY, RECOMMENDATIONS AND CONCLUSION**

### **5.1. INTRODUCTION**

This chapter presents the summary of findings, discussions, recommendations and conclusion of the study.

### **5.2. SUMMARY AND DISCUSSION OF RESULTS**

In line with the guiding research questions and the objectives of the study as presented in chapter one of this study, the following are presented as the summary of the findings of the study:

#### **5.2.1. To determine CoGHSTA performance on low-cost housing delivery and number of houses provided to beneficiaries**

The study found that the department underachieved both in terms of providing new low-cost houses as well as rectifying those that were completed already. The department had planned to deliver 20 354 new housing units across all the housing programmes in the province for the years 2014/2015 and 2015/2016. Unfortunately the departmental documents analysed show that the department was able to deliver only 10 653 (52%) houses, which is under-achievement by 9 701. It was also discovered that on the housing stock rectified, the department had planned to rectify 1 200 housing units during the years 2014/2015 and 2015/2016. The analysis shows that the department underachieved by 1 140 because only 60 housing units, a 5% achievement, were rectified for the period mentioned above.

#### **5.2.2. To determine the nature of complaints lodged with regard to low-cost housing services**

As results of inadequate information given to applicants and poor workmanship on building of low-cost houses, the department received a number of queries and complaints. The applicants enquired about the status of applications and the long wait without responses since the



submission of applications. The beneficiaries complained about the structural defects on their houses due to poor workmanship. This led to the department receiving 11 346 queries and complaints during the financial year 2013/2014. Out of 11 346 queries and complaints registered for the financial year 2013/2014, 9 644 were housing services related. This number constitutes 85% of the overall cases registered for the year 2013/2014. The highest number is of applicants who complained and enquired about the delay and status of their applications, respectively.

### **5.2.3. Adherence to Batho Pele Principles**

From the study, the following are the results in terms of whether the department adhered to Batho pele principles in rendering low-cost housing services.

#### **5.2.3.1. Information**

Lack of adequate information to the applicants accounts for the delay in processing the applications and some of the applications get rejected by the system because wrong or inadequate information has been provided by the applicants.

#### **5.2.3.2. Consultation**

Ther findings of the study show poor/lack of beneficiary participation before and during the implementation of low-cost housing projects. The department does not from time to time engage beneficiaries on what roles they are expected to play to ensure success of the project. This includes among others, setting a minimum quota of beneficiaries to be employed as labourers in each project. The researcher agrees with Madzidzela (2008) that the engagement of beneficiaries in the project will reduce or prevent tendencies of theft and vandalism.

#### **5.2.3.3. Value for money**

Beneficiaries did not feel like they got value for money from the housing projects already implemented. The study found that beneficiaries had to use their own money to fix the structural

defects on the houses built for them by government. This was due to the delay in the appointment of service providers to rectify the structural defects on the houses. In this province (Limpopo), applicants and beneficiaries travel long distance of approximately 300 km going to CoGHSTA offices in Polokwane to check their application status and to register complaints about structural defects respectively. The applicants and beneficiaries didn't get value for money.

### **5.3. DISCUSSIONS**

Based on the findings of the study, the following are discussions of results on each Batho Pele principle.

#### **5.1.1 Consultation**

Lack of consultation can lead to wastage of resources. The study has it that in Gauteng province beneficiaries abandoned their allocated houses because those houses are located in the periphery far from economically active places (Sabela, 2014). Beneficiaries were not consulted about the location of the houses and its impact on their (beneficiaries') lives.

When implementing the housing project, consultation would mean relating all the information to the beneficiaries about how is to be implemented from the start till the end as well as the type of materials to be used. Beneficiaries should be involved in the project implementation from the beginning till the end.

#### **5.1.2 Information**

Provision of adequate information on how to access housing services beginning from who qualifies to apply in terms of the Housing Code of 2009, the application process and the implementation of the project can lead to reduction of disapproval of applications based on wrong information provided or some information missing. The information given should include the challenges that are usually encountered on the HSS with regard to processing the applications and during project implementation.

A study by Molla & Huttingh (2015) discovered that only four percent of the applicants in Gauteng Province had information about needs to register as opposed to 95 percent that did not have information about needs to register and the application process. Molla and Huttingh (2015) reveal the need for educational programmes and key areas of application processes that needed communication. Such areas include: the criteria that define who qualifies to apply for special needs applications, the kind of documents applicants need to bring when applying, what the needs register is and how it operates, how the application and allocation processes work, what the subsidy options are and how they can be accessed, and the rights and responsibilities of beneficiaries, and the role of government with regards to each option.

The educational programme proposed here is called Housing Consumer Education. In an effort to ensure that applicants receive all the necessary information, a beneficiary education booklet, pamphlets, posters, information desk, radio announcements and community meetings were recommended.

### **5.1.3 Value for Money**

Beneficiaries had to use their own money to fix the structural defects on their houses as result of the department taking a long time to appoint service providers for the housing rectification programme. Beneficiaries didn't get value for money on the housing project. This happened even though the reported cases of structural defects were classified as resolved after beneficiaries were put on the housing rectification programme list. The traveling of long distances by applicants from their respective homes to Polokwane for checking of their application status does not provide value for money to applicants as well.

### **5.3.4 Redress**

The introduction and implementation of the housing rectification programme was in line with requirements of Batho Pele principles. When beneficiaries are not satisfied about the quality of low-cost houses, especially on structural defetcs, the department implemented redress by rectifying such defects. Unfortunately for the period covered by this study the department did not achieve the targets as per demand.

### **5.3.5 Service Standards**

Although the study did not specifically look at service standards as one of Batho Pele principles, the adherence to all Batho Pele principles are dictated to by the service standards because it guides how, when and by whom the services should be provided. The White Paper on Local Government (Republic of South Africa, 1998) introduced the eight Batho Pele principles with the aim of improving service standards and promoting participative government that involves and acknowledges the community in all government affairs.

## **5.4. RECOMMENDATIONS**

In an endeavour to improve housing service delivery and adherence to Batho Pele principles. The department needs to consider the following:

### **5.1.4 Appointment of Service Providers Prior to Implementation Year**

The appointment of service providers for housing construction to be done during the year prior to project implementation year. This shall assist in solving the problem of late appointment of service providers as alluded to for underachievement on the delivery of low cost housing and the housing rectification programme.

### **5.1.5 Review of Application and Allocation Processes**

The establishment of Local Municipality based screening committee comprising of municipal officials and councilors supervised by CoGHSTA officials can help a great deal in reducing the number of incomplete/non-qualifying application forms being received by CoGHSTA. This committee will screen each and every application in line with housing code of 2009 and develop the priority list. If only legitimate and complete applications are made, the number of applications that require processing would reduce as there would be a reduction in the need for reprocessing.

### **5.1.6 Devolvement of HSS system to municipalities**

The devolvement of HSS system to local municipalities will help a great deal in saving applicants' traveling cost as they will be accessing the system nearer. This devolvement should be coupled with housing consumer education in order to allay fears that municipal officials would tamper with the system.

#### **5.1.7 Short message service (SMS) notification**

The usage of SMS messages as recommended by Molla and Huttingh (2015). The SMS would be utilised to update applicants about the status of their applications. Every step be communicated directly to the applicant. It would also help a great deal in reducing the movements of applicants from various places to Polokwane for checking their application status.

#### **5.1.8 Enhancement of housing consumer education programme**

A beneficiary education process would help to inform them about the qualification criteria, required documentation and subsidy options, which would ultimately reduce the occurrence of disapproval. The filling of application forms should be preceded by consumer education platforms. This would require synergy of application administration which is done by SAD and housing consumer education which is done by MACBD. The better arrangement would be to relocate the housing consumer education programme to SAD.

#### **5.1.9 Beneficiaries' participation**

The need for adequate consultation cannot be overemphasised as the understanding of stakeholder's satisfaction is a pre-requisite for housing project ownership, and thus contributing to the sustainability of the project as it increases people's confidence and beliefs on the returns of the project. This has potential to minimise practices of theft and vandalism by community members as it was discovered by Madzidzela (2008).

#### **5.1.10 Consequences for non-adherence to service standards in the SDIP.**

The SDIP clearly stipulates the activities and the manner in which those activities should be carried out in implementing the key services. These activities are attached to each Batho Pele principle. The reported case or query should be considered resolved when the required service has been received not when the explanation has been given. Failure to implement these activities results in the public losing confidence in the government of the day. Therefore, officials should be made to account for non-compliance.

## **5.5. CONCLUSION**

The aim of the study was to evaluate the impact of Batho Pele principles, in particular consultation, information, redress and value for money on the delivery of housing services. Focal areas were on whether applicants are given adequate information required to complete the forms, the nature of the consultation process and beneficiaries' engagement before and during the implementation of the low-cost housing project and if the houses are of good quality. In line with its objectives, the study explored the application process and the pieces of legislation that guide the process, the common factors that lead to applications being not approved by the system and the underlying factors for the number of queries and cases with regard to housing service delivery provisioning. CoGHSTA has embarked on the self-evaluation survey to determine its performance in terms of service delivery provisioning.

The findings of this study do not necessarily suggest a paradigm shift of policy but minor amendments with regard to screening of applicants and applications, communication channels and medium, allocation process and role played by beneficiaries during the implementation of low-cost housing projects.

The consideration of the above mentioned recommendations could lead to improvement in the housing service delivery provisioning and the service recipients developing confidence in government as well as being happy as envisaged in the Batho Pele principles handbook (2003). The continuous capacity-building workshops around adherence to Batho Pele principles and familiarisation with service standards attached to each principle must be instilled to all stakeholders, more importantly the implementers of public service delivery, the dos and don'ts

must also be instilled. This will minimise challenges on application of Batho Pele principles and enhance an effective and efficient public service driven by leadership which prioritises the needs of the public.

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## **APPENDIX A: TREC APPROVAL**

## **APPENDIX B: REQUEST FOR PERMISSION**

**APPENDIX C: PERMISSION LETTER**



## **APPENDIX D: LANGUAGE EDITING CERTIFICATE**

# APPENDIX A: TREC APPROVAL



University of Limpopo  
Faculty of Management and Law  
**OFFICE OF THE EXECUTIVE DEAN**  
Private Bag X1106, Sovenga, 0727, South Africa  
Tel: (015) 268 2558, Fax: (015) 268 2873, Email: johannes.tsheola@ul.ac.za

30 August 2017

M.P Tjebana (201419265)  
TURFLOOP GRADUATE SCHOOL OF LEADERSHIP  
MASTER OF PUBLIC ADMINISTRATION

Dear Mr MP Tjebana

## FACULTY APPROVAL OF PROPOSAL

I have pleasure in informing you that your Masters proposal served at the Faculty Higher Degrees Committee meeting on **23 August 2017** and your title was approved as follows

"Impact Evaluation of Batho-Pele Principles in Delivery of Housing Services A Case Study of CoGHSTA Limpopo Province"

Note the following: The study

Ethical Clearance	Tick One
Requires no ethical clearance Proceed with the study	<input checked="" type="checkbox"/>
Requires ethical clearance (Human) (TREC) (apply online) Proceed with the study only after receipt of ethical clearance certificate	<input type="checkbox"/>
Requires ethical clearance (Animal) (AREC) Proceed with the study only after receipt of ethical clearance certificate	<input type="checkbox"/>

Yours faithfully

 01/09/2017

Prof MP Sebola

Chairperson: Faculty Higher Degrees Committee

CC: Ms MF Rachidi, Supervisor, and Dr E Zwane, Acting Programme Manager and Prof MX Lethoko, Acting Director of School

## APPENDIX B: REQUEST FOR PERMISSION

P.O.BOX 788

LEFALANE

0741

11 JANUARY 2018

TO: THE Head of Department  
Department of CO-Operative Governance  
Human Settlements and Traditional Affairs  
20 Rabe Street  
Polokwane

### RE: REQUEST TO CONDUCT A STUDY

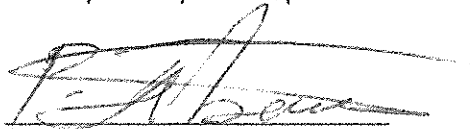
I am an MPA student at Turfloop Graduate School of Leadership (TGSL) and on final level. As part of the requirement, I am expected to complete a dissertation.

The topic that I am working on is entitled "Impact Evaluation of Batho Pele Principles in Delivery of Housing Services: Case Study of Department of the Co-Operative Governance, Human Settlements and Traditional Affairs CoGHSTA) Limpopo Province". TGSL has already approved the research proposal pending permission to conduct the study in the department.

I am therefore kindly requesting permission from the department to conduct my studies using the departmental information for academic purposes only.

Hoping for your positive response

Thank you for your cooperation



Tjebana MP

11/01/2018

Date

## APPENDIX C: PERMISSION LETTER



**LIMPOPO**  
PROVINCIAL GOVERNMENT  
REPUBLIC OF SOUTH AFRICA

DEPARTMENT OF  
**CO-OPERATIVE GOVERNANCE,  
HUMAN SETTLEMENTS & TRADITIONAL AFFAIRS**

Ref : CH 1/4/1/P  
Enquiries : Mr. Mulaudzi  
Ext no : 015 284 5277

Mr. Tjebana MP

University of Limpopo (Turffloop Graduate School of Leadership)

Dear Sir

### RE : REQUEST FOR PERMISSION TO CONDUCT RESEARCH

1. The above matters refers.
2. Your letter dated 11 January 2018 is acknowledged.
3. Kindly be informed that your request for permission to conduct research has been granted.
4. We wish you a pleasant moment when interacting with our documents in your endeavor to accomplish the study

Kind regards

.....

**HEAD OF DEPARTMENT**

25-01-2018

**DATE**

Hensa Towers Building, 20 Rabe Street, POLOKWANE, 0700, Private Bag X9485, Polokwane, 0700  
Tel: (015) 285 5000, (015) 294 2000, Website: <http://www.coghsta.limpopo.gov.za>

**Integrated Sustainable Human Settlements**

## APPENDIX D: LANGUAGE EDITING CERTIFICATE

N J Nel  
PO Box 365,  
BENDOR PARK  
0713

Tel: 0741849600

### CERTIFICATE

This serves to certify that I have language edited the Mini Dissertation of  
**Mr MAMOKGAGE PAPIKI TJEBANA**

Student number: **201419265**

entitled:

***“IMPACT EVALUATION OF BATHO-PELE PRINCIPLES IN DELIVERY  
OF HOUSING SERVICES: A CASE STUDY OF COGHSTA IN LIMPOPO  
PROVINCE.”***



N J Nel

Lecturer of English, Department Applied Languages  
Tshwane University of Technology  
(Retired)

17 Dec 2018