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**FACULTY OF BUSINESS**

**An evaluation of municipal service delivery against the background of local  
government transformation - Case study: Phumlani settlement**

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**An evaluation of municipal service delivery against the background of local  
government transformation - Case study: Phumlani settlement**

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by

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## DECLARATION

Hereby I, Trevor Smith, identity number 6010155037081, declare that this is my own original work and that all the sources obtained have been accurately recorded and acknowledged, and that this document has not previously in its entirety or in part been submitted at any institution of higher learning in order to obtain an academic qualification.

Signature: \_\_\_\_\_

A handwritten signature in black ink, appearing to be 'Trevor Smith', written over a horizontal line.

Date: \_\_\_\_\_

31: 01: 2005

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## ABSTRACT

One of the many challenges facing local government is to deliver an equitable service to the citizens of South Africa. Local government, like many other government institutions, has limited financial and human resources capacity to attend to these challenges. It is, therefore, important that local government strive within these constraints, to provide equitable services to its people in terms of housing, water, electricity and sanitation.

The purpose of the research is to evaluate the standard of municipal services delivered to the Phumlani settlement.

The research survey included techniques such as a structured, self-administered interviews and observations. The target research population were a sample of households located in this settlement. The structured interview was designed to assess the achievement of the norms and standards as stipulated in the National Housing Code as promulgated in the ***Housing Act, 1997 (Act 107 of 1997)*** in respect of permanent residential structures for low-cost housing.

The significance of the research is the evaluation of the service delivery as perceived by the previous Phumlani informal community. This research lists the existing shortcomings in the standard of service delivery to the Phumlani settlement evaluated in terms of the norms and standards as stipulated in the above National Housing Code.

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# CHAPTER 1

## INTRODUCTION AND BACKGROUND

### 1. INTRODUCTION

The purpose of the research study was to determine whether the Unicity of Cape Town is providing services effectively despite the restructuring of organised local government, as prescribed by the ***Local Government: Municipal Structures Act, 1998 (Act 117 of 1998)***. The methodology and method adopted to answer this research question was to use a self-administered interview survey in order to ascertain whether the selected services complied with the norms and standards as stipulated in the Housing Code emanating from the ***Housing Act, 1997 (Act 107 of 1997)***.

### 2. BACKGROUND

Prior to the 1994 elections a number of local authorities country wide delivered services based on a system of preferential treatment which was unacceptable to the disenfranchised communities. The Reconstruction and Development Programme (RDP) (1994:1) reiterated that the South African economy had been built on a systematically enforced racial division in every sphere of society and the South African system of local government was based on segregation with White, Coloured, Indian and Black local government institutions. Within the apartheid system, the white local authorities were the most favourably endowed in terms of resource allocation.

In view of this historical background, based on apartheid, it was evident that a new democratic system of local government, had to be negotiated, which was non-racial, non-sexist and financially viable. South Africa was on its way to becoming a democracy. It was, therefore, necessary to understand the way in

which local authorities operated so that a new system of local government could address equity in terms of service delivery. To achieve the foregoing, the Local Government Negotiation Forum was established on 22 March 1993, to administer a smooth transition to democracy. This was necessary to ensure that local government be more accountable, accessible and representative, to meet the needs of the citizens of South Africa. In order to effect these changes, legislation was promulgated to commence the process of transformation of local government. The ***Local Government Transition Act, 1993 (Act 209 of 1993)*** was one such statutory legislation. As local government is the form of government that is closest to the people, it was necessary to ensure that the basic needs of its community were adequately provided, through the provision of services such as health, water, housing, sanitation and electricity, in the ***Transition Act, 1993 (Act 209 of 1993)***, commonly referred to as essential services.

Prior to these negotiations local government was not well structured to provide adequate basic services to the majority of the population they served. In order for these basic needs to be addressed in an equitable manner, new organisational structures had to be established. A strategy to transform local government into an excellent service delivery institution had to be realised.

Progress in municipal service delivery was interrupted due to the limitation of infrastructure service delivery drive mechanisms. Migration was omnipresent, which placed a further burden on service delivery.

The RDP (1994), as issued by the then Minister in the President's Office responsible for RDP, played a significant role in attempting to provide equitable and affordable service delivery to the majority of the population, who lived without the basic essential services.

According to Khosa (2000:5), the RDP provided an audit, which involved the assessment of infrastructure and service delivery records based on official

documents and in-depth interviews. The audit revealed that there were service delivery shortages such as health care, transport, road and sanitation. In order to address the problem of providing efficient, affordable and acceptable services to the majority who were without basic services, the government had to provide a legislative framework in order to address the problem of effective service delivery. This would allow for capacity building in terms of skills, as well as for creating employment and providing an effective service without restricting the municipality's resources.

Chapter 8 of the *Local Government: Municipal Systems Act, 2000 (Act 32 of 2000)* provides for a specific regulatory framework for municipal service partnerships and states that a municipality must either provide a municipal service itself or make other arrangements for the provision of that service. Service delivery is thus a major concern for national, provincial and local government.

Public institutions are responsible for ensuring delivery of basic services to all the citizens of the country. Whilst executing these responsibilities, local authorities face an enormous task. There are huge backlogs with regard to access to basic services. As indicated, there was a legacy of inequitable distribution of resources and inefficient practices in South Africa.

To enable municipalities to carry out their responsibilities, they needed to *transform the service delivery component through a process of restructuring*. In order for municipalities to deliver services effectively and efficiently, they had to build partnerships with the private sector, especially where municipalities deliver a wide range of diversified municipal services to their local communities within their area of jurisdiction.

### **3. SERVICE DELIVERY**

Against the background of local government transformation various media

publications reported on the status of service delivery in South Africa and elsewhere. A study reported in The Cape Argus (24 February 2000), revealed that 18% of the economically active people in South Africa had no electricity. This held true for informal settlements as well. At the time publicly owned land was running out and the gap between demand and supply was growing.

The Cape Argus (24 February 2000), further reported that the combined housing shortage in the Western Cape and Gauteng, measured in 1998, exceeded 1 million. The countrywide shortage was 2,6 million.

The Cape Argus (15 November 2000), reported that 65% of informal settlements in the metro jurisdiction fell within the City of Cape Town boundaries. It stated that as many as 1,2 million people in greater Cape Town would be without proper housing. In addition, there was a backlog of 250 000 units and this figure was growing.

The Sunday Times (14 January 2001), reported that the local authorities' delay in delivering services was not necessarily due to a lack of resources, but to the general apathy of all spheres of government in delivering basic services to the community. The slow pace of delivering services was frustrating the majority of the population as the National Government, for example, had promised to deliver one million houses within five years.

The Cape Argus (22 March 2002), quoted from a report compiled in London, (Reuter) that the lack of sanitation would kill 20 million of the world's poorest children over the next decade unless governments took urgent action to prevent it from happening. Based on the above, one could deduce that to ignore the problem of sanitation could lead to a very volatile situation where disease would be the order of the day for developing countries. It is a challenge for local government to deliver adequate services to the broader sections of the community who live in previously disadvantaged areas.

The Cape Argus (2 September 2004), reported on Premier Ebrahim Rasool's 100 days in office in which he outlined 20 targets in terms of service delivery for himself and his cabinet, which began on 28 May 2004.

In the same media report the Premier acknowledged that not all departments were necessarily geared for delivery. The Cape Argus (2 September 2004), reported on the absence of leadership in local government and housing as a problem, as both departments were without administrative heads.

Furthermore, during 2004 the winter months experienced heavy rains causing considerable disaster and mayhem among many victims in informal settlements. Premier Rasool reported that a proactive plan would be in place to lessen the effect of winter rains on informal settlements. The Cape Argus (2 September 2004), further reported that the proactive plan would include clear national leadership and good co-operation among the three spheres of government.

Finally, The Cape Argus (29 September 2004) reported that the Western Cape was experiencing a huge increase in the demand for housing, education and health services, owing to a major influx of people from the rest of the country. The same newspaper reported that in its mid-year population report, Statistics South Africa estimated that between the years 2001 and 2006 the province would have a net inflow of 222 000 people from other parts of South Africa. This was a clear indication that this major influx of people would further increase demand for services in the Western Cape.

#### **4. RESEARCH QUESTION**

Against the background of local government transformation, together with the increasing demand for essential services, the following research question was formulated:

To what extent are delivered services compliant with the standards established by the National Housing Code as enacted by the *Housing Act, 1997 (Act 107 of 1997)*, supported by other legislation and council policies?

## **5. RESEARCH PURPOSE**

In view of the foregoing, the following research purpose was formulated:

To evaluate the standard of selected services delivered to the Phumlani settlement against the standards stipulated in the National Housing Code and other relevant legislation and council policies.

## **6. DELIMITATION OF RESEARCH**

This research was directed at one previous informal settlement, namely Phumlani. The reason for selecting this previous informal settlement, was that this was a new development in a subeconomic area of Lotus River, situated within the municipal jurisdiction of the Cape Town Unicity. As this area was populated by the poorer sector of society, it was decided to ascertain whether the infrastructure and services provided to this new settlement and its population were adequate. Furthermore, it would provide an opportunity to ascertain whether the population of this previous informal settlement were satisfied with the delivery of services being provided at the present time. The services selected were housing, water, electricity and sanitation as they were regarded as the most essential services required by society.

## **7. RESEARCH APPROACH, DESIGN AND METHODOLOGY**

According to Bless and Higson-Smith (1995:63) a research design guides the researcher in collecting, analysing and interpreting observed facts. The research design was structured in such a way as to provide an overview of the



effectiveness of service delivery to a community in a disadvantaged area.

As indicated, the research survey was undertaken to determine the extent to which essential services provided by the Cape Town Unicity to the community of the Phumlani settlement complied with the norms and standards as stipulated by the National Housing Code.

The research survey included a structured interview that produced information directly from the respondents by means of a set of formulated questions. In this way the interviewers could not direct or influence the outcome, and it provided a far more objective analysis of the results.

The information collected facilitated the assessment of the gap between actual reality (respondents' perception) and the norms and standards prescribed in the National Housing Code. A sample of the households were approached in the survey. The interviews were conducted in English and structured in such a way so that clear and unambiguous answers were solicited. Physical observations, as well as the written recording of opinions expressed by the inhabitants, were also undertaken to support the produced information from the questionnaire.

## **8. PLAN OF STUDY**

The study consisted of three parts in order to achieve the purpose of the research. The first part consisted of a theoretical overview of municipal organisational transformation and development, so as to place the research in context. The second part consisted of an explanation of the National Housing Code and the primary evaluation of the effectiveness of service delivery against the background of local government transformation. The third part consisted of the observations recorded by the researcher during the interview. The chapter outline is explained below:

## 9. CHAPTER OUTLINE

### ***Chapter 1: Introduction and background***

This chapter provides the background as well as the course of action to be taken in order to achieve the purpose of the research.

### ***Chapter 2: Constitutional and statutory transformation of local government service delivery: period 1983 to present***

This chapter provides an overview of the constitutional developments that took place during the demise of apartheid in the local government sphere. An insight is provided into the framework under which local government was transformed to its current status so as to establish a developmental role and provide effective services.

### ***Chapter 3: Service delivery***

This chapter provides an overview and explanation of the services delivered by local government so as to provide a perspective on the research study.

### ***Chapter 4: National Housing Code***

This chapter provides an explanation of the norms and standards contained in the National Housing Code for the delivery of the above services.

### ***Chapter 5: Explanation of the Phumlani case study***

This chapter provides an explanation and description of Phumlani as the case study, which serves as the *locus* for the research.

## ***Chapter 6: Research approach and design***

This chapter involves an explanation of the research approach and design.

## ***Chapter 7: Research results, findings, analysis, conclusions and recommendations***

The findings, conclusions and recommendations drawn from the evaluation are provided in this chapter.

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*Local Government Transition Act, 1993 (Act 209 of 1993)*.

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The Cape Argus, dated 29 September 2004.

## CHAPTER 2

# CONSTITUTIONAL AND STATUTORY TRANSFORMATION OF SOUTH AFRICAN LOCAL GOVERNMENT SERVICE DELIVERY: PERIOD 1983 TO THE PRESENT

### 1. INTRODUCTION

This chapter will examine the transformation of local government during the period 1983 to the present. A broad perspective is provided in terms of institutional and political arrangements that have occurred during this period. This background is explained, so as to place in context the present organisational arrangements for local government service delivery.

The aim of any democratic government is, to maintain strong and effective local government. Local government plays an important role in the South African democracy. To support the foregoing, *The Republic of South Africa Constitution Act, 1996 (Act 108 of 1996)* makes provision for, *inter alia*, the establishment of municipalities throughout the country. These municipalities are thus creations of the constitution.

### 2. BACKGROUND TO CONSTITUTIONAL TRANSFORMATION

For dialogue to occur between the various population groups during the time they were in office, the then National Party (NP) government had to allow the existing legislative and administrative institutions to devise a plan to include the various population groups. As local authorities form part of the political structures of the Republic of South Africa, all developments had to be undertaken in terms of the provisions contained in *The Republic of South Africa Constitution Act, 1983 (Act 110 of 1983)*.

The statutory framework as detailed in the *Local Government: Municipal Structures Act, 1998 (Act 117 of 1998)* and the *Local Government: Municipal Systems Act, 2000 (Act 32 of 2000)* prescribes the political and administrative system, so as to conceptualise the transformation process in achieving the objectives of delivering a service to the total community at large.

To a great extent, local government had the appropriate infrastructure to deliver services to the broader community. However, the highly centralised system of government influenced the development and power of local government. In terms of the constitutional procedures at the time, this level of government played a subordinate role which limited its status and autonomy.

After the NP came into power the structure and functions of local government were heavily influenced by apartheid ideology. According to Kotze (1998:2) there were four sub-systems of local government: one each for blacks, whites, coloureds and Indians, with the homelands having a parallel system towards the end of the 1980s.

According to Reddy (1999:75), this ideology resulted partly from historical factors inherited from an earlier colonial administration with its rigid emphasis on control from a central point of view. On coming into power the NP retained these centralised structures. This in effect meant that other levels of government were reliant on centralised institutions and agencies to provide them with the terms of reference. This led to local government being neglected by central government, as there was no meaningful involvement in governance. Reddy (1999:75) states that centralisation distorted the development process of the local community at local government level.

This structure provided the NP government with appropriate instruments to neglect the black population in terms of providing adequate facilities at local government level (housing, water, transport, schools and electricity).

According to Craythorne (1993:32-33), the biggest error of the 1983 reforms in terms of taking up the thread of structural change was the exclusion of blacks from all levels of government except from local government, the national states and the self-governing territories. As indicated earlier it was during this period that a huge wave of violence and anarchy swept through South Africa. This violence and anarchy continued after the 1988 local government elections.

During the 1990s constitutional negotiations were under way to provide a framework for a democratic dispensation in South Africa. This was done at national government level and while these negotiations were taking place, negotiations were also being held at local government level.

Arising from these discussions, historical agreements were reached for a democratic transition to be achieved at local government level. These important agreements provided the following historical documents: the *Transition Act, 1993, (Act 209 of 1993)* and the *Interim Republic of South Africa Constitution Act, 1993 (Act 200 of 1993)*, which laid down the principles according to which local government could be restructured and transformed.

The *Interim Constitution Act, 1993 (Act 200 of 1993)* provided that local government be established for the residents of specifically demarcated areas, while the *Interim Constitution Act, 1993 (Act 200 of 1993)* provided for three different categories of local authorities, namely metropolitan, urban and rural local government.

In terms of the provisions contained in the *Interim Constitution Act, 1993 (Act 200 of 1993)*, the powers of local government were not necessarily the same, because they differed in their functions and structures due to influences such as economic conditions, demographics, the physical area of jurisdiction and other environmental factors.

The *Interim Constitution Act, 1993 (Act 200 of 1993)* did not indicate how local government should be structured. The *Transition Act, 1993 (Act 209 of 1993)* made provision for the transitional arrangements for the duration of the transition until a new constitution had been adopted.

Cameron (1999:81) states that one of the major local government developments in the 1990s was an investigation by the Council for Co-ordination of Local Government Affairs. This Council was a statutory body with its aim to advise the then government on local government affairs regarding co-ordination.

At the same time there was chaos in many black townships, due to the rent and service boycotts, the resignation of councillors and the inevitable collapse of many services. According to Cameron (1999:82), because of this chaotic state, the government could not wait until constitutional negotiations were concluded and it therefore promulgated the *Interim Measures for Local Government Act, 1991 (Act 128 of 1991)*.

The *Interim Measure for Local Government Act, 1991 (Act 128 of 1991)* was rejected by the ANC and the South African Civic Organisation (SANCO) because it did not transform apartheid cities into legitimate deracialised areas. It was also rejected because there were no guiding principles on which local government structures would be based. The continuance of existing racially based local government structures was unacceptable.



### 3. DEMOCRATISATION PROCESS FOR LOCAL GOVERNMENT

The *Transition Act, 1993 (Act 209 of 1993)* listed the various phases for the transition of local government. The three phases are explained below:

**Pre-interim phase:** The promulgation of the *Local Government Transition Act, 1993 (Act 209 of 1993)* in February 1994, activated this phase which was operative until the first local government elections, which were held in November 1995 in seven of the provinces, and in May 1996 in the Western Cape, and in June 1996 in Kwa-Zulu Natal. During this period local negotiating forums were functions to establish temporary councils which governed until the local government elections took place. This was done within the parameters of the *Transition Act, 1993 (Act 209 of 1993)*.

**Interim phase:** This phase commenced after the local government elections had been held in November 1995 up to and including the time in which a new local government system was designed and ratified in legislation. This was done within the framework of the *Interim Constitution Act, 1993 (Act 200 of 1993)* and the *Transition Act, 1993 (Act 209 of 1993)*.

**Final phase:** This phase included the establishment of a new form of democratic local government system. The main aim was to de-racialise the local government system and form new fully democratic local government structures. The final phase of the democratisation of local government was effected on 5 December 2000.

#### 4. LOCAL GOVERNMENT

An overview of the relevant statutory legislation applicable to local government transformation is briefly explained below:

##### *Statutory legislation*

*The Republic of South Africa Constitution Act, 1996 (Act 108 of 1996)* refers to a sphere of government and not levels or tiers which by implication suggests equal status and a new relationship of co-operation among the spheres of government. According to Reddy (1999:204), the word "sphere" introduces a new constitutional era of inter-government relationship based not only on co-operative government, but also on its constitutional status.

The reason for co-operative government is to ensure co-operation and a relationship between the three spheres of government in order to provide a co-ordinated structure in terms of service delivery.

Chapter 7 of the *Constitution Act, 1996 (Act 108 of 1996)* deals specifically with local government matters.

Section 151 of the *Constitution Act, 1996 (Act 108 of 1996)* provides for the establishment of municipalities, with the executive and legislative authority of a municipality vested in its municipal council. A municipality governs the local government affairs of the community in its area of jurisdiction. This is, however, subject to national and provincial legislation. The ability or right of a municipality to perform its functions may not be compromised or impeded by the national or provincial governments.

Section 152 of the **Constitution Act, 1996 (Act 108 of 1996)** mandates local government to:

- *provide democratic and accountable government for local communities;*
- *ensure the provision of services to communities in a sustainable manner;*
- *promote social and economic development;*
- *promote a safe and healthy environment; and*
- *encourage the involvement of communities and community organisations in the matters of local government.*

All the above must be attempted within the municipalities' financial and administrative capacity. In addition, Section 153 of the **Constitution Act, 1996 (Act 108 of 1996)** states that a municipality must structure and manage its administration, budgeting and planning processes to give priority to the basic needs of the community and to promote the social and economic development of the community. In view of the foregoing one can deduce that municipalities must focus on economic development and social upliftment in sub-economic areas.

#### **Local Government: Municipal Structures Act, 1998 (Act 117 of 1998)**

As indicated earlier, Chapter 7 of the **Constitution Act, 1996 (Act 108 of 1996)** mandates local government to provide the necessary vision to deliver basic services to the local community. This is another indication of the seriousness of government in entrenching local democracy. The **Structures Act, 1998 (Act 117 of 1998)** regulates the political and institutional arrangements for local government. The **Structures Act, 1998 (Act 117 of 1998)** also makes provision for categories and types of municipalities, the establishment of municipalities and

the composition of municipal councils, the arrangements for internal structures and functionaries and a code of conduct for councillors.

The categories defined in Section 155 (1) of the **Constitution Act, 1996 (Act 108 of 1996)**, and the **Structures Act, 1998 (Act 117 of 1998)** provide more insight into the criteria required to belong to a certain category. The “type” of municipality will be determined by provincial legislatures.

#### **Local Government: Municipal Systems Act, 2000 (Act 32 of 2000)**

The **Local Government: Municipal Systems Act, 2000 (Act 32 of 2000)** aims to regulate the fundamental issues relating to the governance and management of municipal administrations. This Act contains provisions relating to community participation, IDP, performance management, revenue collection and credit control, municipal service partnerships and re-organising administration through these systems. The **Systems Act, 2000 (Act 32 of 2000)** hopes to achieve equitable and adequate provision of service delivery as provided by legislation. The above provisions are examined more closely below.

The IDP enables municipalities to become developmentally orientated. Section 23(d) of the **Systems Act, 2000 (Act 32 of 2000)** further consolidates the importance to achieve the objects of local government as set out in the **Constitution Act, 1996 (Act 108 of 1996)**. It also gives effect to the developmental duties as required by the **Constitution Act, 1996 (Act 108 of 1996)**. It further promotes co-operation among the various spheres of government to steadily realise the fundamental rights contained in sections 24, 25, 26, 27 and 29 of the **Constitution Act, 1996 (Act 108 of 1996)**.

Each municipal council must, within a prescribed period after the start of its elected term, adopt a single, inclusive and strategic plan for the development of

the municipality which:

- *links, integrates and co-ordinates plans and takes into account proposals for the development of the municipality;*
- *aligns the resources and capacity of the municipality with the implementation of the plan;*
- *forms the policy framework and general basis on which annual budgets must be based;*
- *complies with the provisions of chapter 5 of the **Systems Act, 2000 (Act 32 of 2000)**; and*
- *is compatible with national and provincial development plans and planning requirements binding on the municipality in terms of legislation.*

Section 26 of the **Systems Act, 2000 (Act 32 of 2000)** states that an integrated development plan must reflect:

- *the municipal council's vision for the long-term development of the municipality's most critical development and internal transformation needs;*
- *an assessment of the existing level of development in the municipality, which must include an identification of communities which do not have access to basic municipal services; and*
- *the council's development priorities and objectives for its elected term, including its local economic development aims and its internal transformation needs.*

Schmidt (2001:41) reported in the local government service delivery transformation document that a “winning” IDP contributes to a vibrant local democracy by combining three elements: service delivery excellence, a dynamic economy and strong united communities. Municipalities are faced with a challenge to develop new models of municipal service delivery, which combines agencies, privatisation and corporation.

Schmidt (2001:41) further reported that to deal with the crisis in municipal service delivery, the national government developed four approaches: IDPs, Municipal Service Partnerships (MSPs), Rationalisation and Performance Management Systems. The purpose of these approaches is to facilitate the shift from local government as being a mere service provider to being both a facilitator of development (to ensure social and economic development) and a service assurer (to ensure equitable and essential community services).

## **5. CONCLUSION**

The transformation of local government is a vital component for local government structures to be closer to the community and for the deracialisation of areas in order for all South Africans to enjoy adequate, equitable and reliable service delivery. The democratisation process of local government as mentioned in the previous chapter was a vital element in deracialising local government. One must take cognisance of the fact that the political system will determine the direction in which local government will operate. Another factor of importance is that the negotiations during the constitutional development provided the foundation for the legislative framework for the development and transformation of local government to its present form.

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## CHAPTER 3

### SERVICE DELIVERY

#### 1. INTRODUCTION

The purpose of local government should be to promote development and to provide services to the community efficiently and effectively as provided for in the *The Republic of South Africa Constitution Act, 1996 (Act 108 of 1996)* and other statutory legislation. Local government is the sphere of government that interacts most often with communities through the delivery of basic services. Based on the foregoing, it is concluded that in order to render a service, skills, expertise and knowledge of people in these different fields are required. Local government has an enormous task and challenge to provide basic services to the community, bearing in mind that each community's needs are different.

In this chapter a broad overview of service delivery by the Cape Town Unicity will be provided. In this respect, the provision of water, electricity, housing and sanitation will be explained, as these services form the focus of the research. These services are a selection of the services provided and delivered by local government.

#### 2. LEGISLATIVE FRAMEWORK FOR EFFECTIVE DELIVERY

As indicated earlier, government institutions as well as local authorities are established and governed in terms of legislation such as the *Constitution, 1996 (Act 108 of 1996)*. In terms of Section 24, 25, 26, 27 and 29 of the *Constitution, 1996 (Act 108 of 1996)* there is an obligation on all the spheres of government to provide the services mentioned above. In terms of these provisions a co-operative approach should be adopted by all spheres of government to work towards rendering these services.



Together with the foregoing, cognizance must be taken of part B contained in schedules 4 and 5 attached to the *Constitution, 1996 (Act 108 of 1996)* when reviewing municipal services, and chapter 8 of the *Systems Act, 2000 (Act 32 of 2000)* which deals with municipal services, as well as section 78 which details further the procedures for the review and assessment of service delivery mechanisms.

### **3. RESPONSIBILITY FOR LOCAL GOVERNMENT SERVICE DELIVERY**

Persons who are elected, are the representatives of the electorate to govern. Therefore, the elected government is responsible to its electorate for the provision of services. According to Du Toit, Van der Waldt, Bayat and Cheminais (1998:78) this applies to local government who have the following responsibilities:

- moral responsibilities;
- political responsibilities;
- legal responsibilities; and
- administrative responsibilities.

To assume these responsibilities, local government departments must be established with a policy, personnel, budget and specific procedures in order to deliver a service regardless of which services are being provided. The responsibility cascades down from the political structure to the public officials, within the hierarchy.

The City Manager is the appointed head of the administration to manage and administer these services. The manager's subordinates are the deputies if the structure makes provision for these positions followed, by the heads of department and their deputies. According to Craythorne (1997:438) a municipal manager is an employee who is functionally responsible to the council for his/her job functions or

an employee who by virtue of his/her position, shares in the management of an organisational unit. The main elements are responsibility and accountability.

Each department within the organisational structure will comprise of units each having to be managed to carry out certain tasks, and this staff forms part of the council's overall management and administrative structure to provide the following essential services:

- water;
- electricity;
- sanitation;
- refuse collection; and
- housing.

The status of the provision and maintenance of these services is explained below:

### ***Water***

Smit (1994:47) states that water is a basic necessity of life, and that without it human beings, plants and animals will not be able to live and grow. Therefore adequate access to water should be a basic human right. Smit (1994:47) further states that in essence there should be at least one tap in each yard/back garden.

Smit (1994:47) proposes that the amount of water a household requires for basic needs and for the operation of a low-volume flush toilet, should only have a nominal charge, while additional water usage should be charged at progressively higher rates in order to allow cross-subsidisation to occur and to discourage excessive water usage.

According to Khosa (2000:251-252) in 1994, 30% of South Africans lacked access to a safe supply of water near their homes. In addition, three million people had benefited from the government water supply programme. Access to water is recognised in the ***Constitution, 1996 (Act 108 of 1996)*** as a fundamental human right to which government has committed itself. One of the strategies of the Unicity is to provide free water and electricity. Currently households are receiving free water and electricity as promised. However, there are areas that have not yet received free water or electricity.

In a publication dated 3 May 2001, the Cape Argus reported that the 6 kilolitre free water introduced by the City of Cape Town had been welcomed by residents - especially those living in the informal settlements, as a major stride. The Unicity began supplying all households with 6 kilolitres of free water a month. Many people living in poor areas could not afford these basic requirements like water, therefore it was necessary to introduce minimum kilolitres of water.

PricewaterhouseCoopers (1999:11) reported that the water services could be regarded as one of the core functions of the then Cape Metropolitan Council (CMC) and for the then six local councils. However, it was also found that some sections of the community did not have access to the basic level of water supply, indicating a need for the expansion of the service to meet this growing demand.

### ***Electricity***

Khosa (2000:254) states that in 1994, less than 40% of South African households had electricity. Today, after more than 2 million connections, 63% of households are connected to electricity.

Eskom undertook to electrify 1,750 million homes by the year 2000 in terms of its RDP commitment. By December 1997 Eskom had electrified 1,148 million homes and was on track to meet its obligations.

Cloete (1993:62-63) points out that in small villages people still provided their own power for heating and cooking by using wood, coal and paraffin. However, throughout the world it has become standard practice for municipalities to provide electricity. In South Africa the provision of electricity by local authorities is subject to the provisions of the ***Electricity Act, 1987 (Act 41 of 1987)***. The provision of electricity is an expensive undertaking, which involves the building of power stations, constructing of power lines to carry the electricity to urban areas, laying cables for reticulation of electricity in urban areas and repairing cables on an ongoing basis.

In the Government Digest (Volume 19, No. 2) dated June 2001, it was reported that the restructuring of the electricity distribution industry had been with local government for a number of years. During the discussions on the restructuring of electricity, a report was submitted detailing various aspects of the restructuring process. However, the recommendations were rejected because it was felt that, *inter alia*, the basic needs of people were not being addressed, costs were not being kept down, poverty tariffs were not being dealt with and the transformation of restructuring was too dramatic.

Two phases were introduced for the provision of free service delivery by the Cape Town Unicity: one for free water and one for free electricity. The latter phase was implemented from 1 July 2001. The council had already announced that 60kw/h electricity would be given to each municipal metered domestic connection. At present the electricity industry in South Africa is still undergoing change.

PricewaterhouseCoopers (1999:19:4) reported that the electricity supply industry was at a crucial crossroads. The current structure of provision (generation and transmission) is, in the short term, able to adequately deliver against the objectives of the industry. The electricity distribution industry faces two crucial challenges in continuing to meet the dual objectives of rapidly building infrastructure to provide electricity access to 1,8 million homes, and to provide low cost, equitable tariffs and services to customers.

According to PricewaterhouseCoopers (1999:19:4), the challenges are:

- *firstly, the present structure of the distribution industry has led to a wide disparity in cost, tariffs and service levels associated with supplying electricity; and*
- *secondly, many municipalities are not meeting their electrification targets because of their unusual financial position and lack of skills in electrification. Moreover, there were at least 150 municipalities who were at financial risk merely from the distribution of electricity, as evidenced by the numerous municipalities who were unable to pay ESKOM bulk accounts, as well as by end user non-payment difficulties.*

## **Sanitation**

Sanitation systems are essential for the removal of excreta and sullage. Sanitation systems depend to a large degree on sub-surface and socio-culture conditions, as well as on levels of affordability.

According to Smit (1994:47) low-income housing is located on the Cape Flats, where high water table conditions preclude most on-site sanitary systems, such as pit latrines. Smit (1994:47) states that waterborne sewerage is thus generally accepted as being necessary on the Cape Flats and is usually also necessary for inner urban areas.

### ***Refuse collection***

Refuse collection is traditionally regarded as an in-house function due to the fact that it is a trading/economic activity (tariff-based). There are also contracts with the private sector to provide this service.

PricewaterhouseCooper (1999:7) reported that because some municipal local councils had not prepared specific business plans with objectives and performance targets for refuse collection, it was not possible to measure current performance against benchmarks or objectives.

PricewaterhouseCoopers (1999:7) further reported that there would be socio-economic benefits in the greater use of a community-based service provider, as the scope for expansion to extend this type of service delivery to informal settlements and previously disadvantaged areas is cost effective and could work well.

The City of Cape Town (Agenda, item 1.4) on 23 June 2003, standardised the refuse collection services for the whole Unicity, as the the City of Cape Town was established as a Category A municipality in terms of the ***Structures Act, 1998 (Act 117 of 1998)***. The Refuse Services Policy, adopted by the above City of Cape Town, determines levels and categories for the provision of equitable, affordable, financially and environmentally sustainable standard and non-standard refuse collection services and options to residential and non-residential properties within the City's boundaries.

Residential refuse collection is broken down into three service levels, ranging from free rudimentary refuse collection services rendered to informal settlements in terms of Council's Indigent Policy, to a containerised level and enhanced service category for formal residents and non-residents (including commercial customers) who require a higher-than-basic level of service. This policy allows for a community-based, council-managed service delivery option that will empower communities who are socio-economically disadvantaged.

The Refuse Services Collection Policy, dated 23 June 2003, provides that it is necessary to establish an equitable, affordable, environmentally and financially sustainable service that could be delivered optimally across the City to cater for a range of socio-economic conditions. The City's customers include approximately 700 000 formal households, between 85 000 and 100 000 informal households on encumbered and unencumbered land (with an estimated annual growth rate of 6% to 8%) and many hundreds of non-residential commercial customers.

The Refuse Collection Services Policy, dated 23 June 2003, further provides for the establishment of ongoing community education programmes. This would empower communities to prevent health and hygiene problems through the proper use of infrastructure, resources and waste management services, and minimise the City's illegal dumping and litter problems.

The same Refuse Collection Policy, dated 23 June 2003, addressed the inequity of providing a dedicated garden refuse collection service to only certain areas in the City. In establishing new service levels and transforming the service to an equitable level, the City of Cape Town has received adverse publicity and criticism relating to the practice of simultaneously placing garden refuse in the same container as domestic refuse. The Refuse Collection Policy, dated 23 June 2003, provided that the first phase towards equitable service delivery, which will allow all people to

receive a minimum garden refuse collection service as well as to achieve environmental sustainability. Council's long-term plan is to put further measures in place and create infrastructure that will allow for recycling initiatives to be introduced. The constraint in this respect has been the availability of sufficient drop-off points and recycling facilities at the drop-off points.

The key objectives of the proposed Refuse Collection Services Policy, dated 23 June 2003 are:

- *to establish a sustainable refuse collection service based on equitability and affordability norms;*
- *to define categories and mechanisms of services, and service levels that constitute the Refuse Collection Services;*
- *to enhance service integration as a means of optimising resource utilisation; and*
- *to improve the cost-efficiency and effectiveness of service delivery that aims to create a satisfied citizen base.*

## ***Housing***

Housing is one of the basic needs of man. During the 1994 election campaign the African National Congress (ANC) promised to deliver one million houses in five years. The Cape Metro, in a publication dated March 2000, reported that approximately 80% of households qualifying for housing subsidies have incomes lower than R1 500 per month. In most cases these families do not qualify for loans and bonds from financial institutions.



In the same publication Cape Metro, further reported that households earning from R0 – R800 could only afford minimal services (such as communal stand pipes, communal steps and graded roads) with a starter home of a maximum of 30 m<sup>2</sup> .

Other categories included households earning from R801 - R1 500, which could afford a maximum structure of 50 m<sup>2</sup> with basic services (yard taps, simple water - borne sewer, refuse removal and graded roads) or a smaller house of 30m<sup>2</sup>. Furthermore, households earning from R1 501 - R3 500 could afford full service levels with a 30 m<sup>2</sup> starter home or a higher density housing type (such as a semi - detached or walk-up unit) with virtually full levels of service.

In addition, the Cape Metro reported in the same publication dated March 2000 that most low-income households could not afford to pay for the services they were being provided with. This mismatch between what is being delivered and what can be afforded by the user was indicative of the levels of subsidisation currently in effect.

Section 26 of the ***Systems Act, 2000 (Act 32 of 2000)*** prescribes that an Integrated Development Plan must include an assessment of the existing level of development as well as the development priorities of the municipalities.

The IDP document (2002:75) as issued by the City of Cape Town reported that there were approximately 800 000 households within the municipal area. It was estimated that about 240 000 of these required housing. The backlogs comprised of:

- 84 000 shacks in informal settlements;
- 23 000 shacks on serviced sites;

- 60 000 living in overcrowded conditions;
- 61 000 living in backyard shacks; and
- 12 000 other.

Smit (1994:14-15) is of the opinion that the traditional view of the housing problem as a shortage of conventional houses does have an element of truth. Many dwellings, especially informal dwellings, do not provide adequate protection from wind, rain, heat and cold. Many households, especially those living in informal settlements, do not have adequate access to portable water and sanitation.

Most low income housing is poorly located, at a substantial distance from places of employment and higher order social and commercial facilities. In addition, those low income households have little control over their dwellings or the local environment. The provision of low income housing mainly depends upon the state housing policy. Smit (1994:16) is of the opinion that the housing policy in South Africa has not been effective in solving the housing crisis, but that it can in fact be considered to be part of the problem.

Responsibility for housing functions is split between provincial and local government. It is the role of the provincial government to co-ordinate and fund housing development whilst local government plays a co-ordinating role and makes additional funds available for peripheral and bulk services.

### ***Levels of Service Delivery***

The IDP (2001/02) dated April 2001 issued by the City of Cape Town, mentions that the levels of access to water, electricity and sanitation are relatively high with approximately 90% of households having access to piped water in dwellings or on site, electricity and flush toilets.

In the same IDP document 2001/02) dated April 2001 issued by the City of Cape Town it was reported that municipalities must fulfil its constitutional obligation, which among other things, is to:

- *provide priority to the basic needs of the local community;*
- *promote the development of the local community, and*
- *ensure that all members of local community have access to at least the minimum level of basic municipal services.*

As with all services provided by a local authority a tariff has to be implemented so that these services can be maintained at an acceptable level. This will enable local government to focus more diligently on the plans in terms of their IDP relating to their service backlogs.

Chapter 8 of the **Systems Act, 2000 (Act 32 of 2000)** provides the statutory framework for service delivery. This chapter deals with various mechanisms relating to alternative methods of service delivery. It prescribes to local government on issues where service delivery cannot be maintained in a sustainable manner by municipalities. The level and standard of service delivery must be provided in such a way that it is equitable and accessible. Furthermore, it must be financially sustainable and there should be an improvement of standards overtime.

#### 4. CONCLUSION

Examination of the various services that the municipal council/unicipity provide to the community, indicates that local government is faced with immense challenges in order to achieve effective and efficient service delivery. Whether local government has the capacity to adequately provide the necessary service in a manner that is financially viable and sustainable is questioned. The mere fact that local government is not profit driven makes it very difficult for it to perform these services at an acceptable level. In addition, there is a huge unemployment rate, which makes it difficult for people to pay their services. This has a negative impact on local government in terms of delivering and maintaining proper services. Local government is obligated to provide the services mentioned above in terms of statutory legislation.

As indicated earlier, the merging of the six municipal local councils and the Cape Metropolitan Council to form one Cape Town Unicity should provide sufficient resources to address equitable service delivery to all its citizens. The purpose of restructuring local government is to provide the necessary services to the communities who are without the basic services such as housing, water, electricity and sanitation. Furthermore, the Cape Town Unicity should promote the development of local communities and ensure that all members of the local community have access to at least the minimum level of basic municipal services. The impact of the restructured transformed Unicity on the delivery of services explained above, will be assessed.

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# CHAPTER 4

## NATIONAL HOUSING CODE

### 1. INTRODUCTION

The National Housing Code (March 2000) provides for the bare minimum standards for the provision of services to low-income earners. This in itself does not provide the mechanism to achieve the expectations of those households from the poorer section of the population who are generally unemployed, unskilled or semi-skilled.

When housing development takes place it must conform to the norms and standards and the levels stipulated in the National Housing Code. The norms and standards define two aspects, namely municipal services and minimum size.

### 2. MUNICIPAL SERVICES

Municipal services are subsidised from the housing subsidy received from the Provincial Department of Housing. The national norms and standards therefore prescribe minimum levels of services that are acceptable and although maximum levels of services are not prescribed, a limit on their service cost is imposed.

The internal reticulation services that may be subsidised from the housing subsidy are limited to water, sanitation, roads, stormwater and street lighting. This is subject to a funding limit of a maximum amount of R7 500,00 for the provision of the services and the acquisition of land. The MEC for housing of the province concerned will justify the spending of the maximum amount for the basic level of services, provided that the level of service complies with the level as shown in *Table 1*.

Table 1: Minimum level for Services

TYPE OF SERVICE	MINIMUM LEVEL
• Water	Single standpipe per erf (metered)
• Sanitation	Ventilation improvement pit (vip) per erf
• Roads	Access to each erf with graded paved road
• Stormwater	Streets lined with open channels
• Street lighting	Highest security lighting for residential purposes where this is feasible and practical, on condition that such street lighting is not funded from Consolidated Municipal Infrastructure Programme (CMIP) initiative or funding available from other resources
• Electricity/Lighting	Complies with the bare minimum standard as stipulated in the National Housing Code.
• Natural light through the windows for each habitable room including kitchen.	5% of floor area

Source: National Housing Code (March 2000)

### 3. MINIMUM SIZE

In terms of the National Housing Code minimum size of permanent residential structures is to be determined by means of the balance of the housing subsidy after the provision for basic services.

The MEC responsible for housing may approve:

(i) *the increase of the minimum size where it is feasible to cap the amount in respect of services at a lower level than R7 500,00 for instance, where construction costs in areas make it practicable;*

*or*

(i) *the reduction of the minimum size of the top structure:*

- *to 27 square meters where approval has been given for utilization of the maximum additional amount from the remaining subsidy, in respect of excessive slopes and sandy soil.*
- *to 24 square meters where approval has been given for the utilization of the maximum additional amount at the remaining subsidy in respect of medium structures.*
- *the engineering norms and specifications regarding permanent residential structures as contained in annexure A of part 2 of the Code are to form part of the norms and standards regarding permanent residential structures to ensure quality (National Housing Code (March 2000)).*

These norms and standards are explained below:

- **Structural design**

Any building and any structural element or component thereof must be designed to provide strength, stability, serviceability and durability for the life of the structure in accordance with acceptable principles of engineering design and construction practice.



- ***Materials and components***

All materials and components used in the dwelling and in any associated structure must be:

- durable and suitable for the purpose for which they are used
- installed and used in accordance with the manufacturers instructions.

- ***Dimensions***

The minimum size of the completed structure shall not be less than thirty square metres (30 m<sup>2</sup>). Furthermore, any room or space must have dimensions that will ensure that such room or space is fit for the purpose for which it is intended.

- ***Walls***

Any wall shall be:

- capable of safely sustaining any loads to which it is likely to be subjected and in the case of a structural wall, shall be capable of safely transferring these loads to the supporting foundations, and
- so constructed that it will adequately resist the penetration of water into any part of the building where it would be detrimental to the health of the occupants or to the durability of the building.

- ***Lighting and ventilation***

Any habitable room, bathroom, shower-room and room containing a WC shall be provided with a means of lighting and ventilation which will enable such room to be used, without detriment to health and safety or causing any nuisance, for the purpose for which it is designed.

- ***Drainage and sanitation***

The above-mentioned service is combined in the norms and standards as set out in the National Housing Code:

Drainage and sanitation installations shall be:

- designed and constructed so that the installation is capable of carrying the hydraulic design load and of discharging it into a common drain, connecting sewer provided to accept such discharge;
- watertight;
- capable of sustaining the loads and forces that it may normally be subjected to;
- protected against any damage wherever this is necessary; and
- capable of being cleaned and maintained through the means of access provided.

Drains shall be laid strictly in accordance with the requirements of the municipality.

- ***Storm damage***

The design shall also provide for suitable means for the control and disposal of accumulated storm damage and comply with the requirements of the municipality.

- ***Water supply***

The design of the water supply and the specification of devices such as taps, showers and toilets must be in accordance with the aims of the National Water Conservation Campaign.

- ***Roofs***

The roof of any building shall:

- be so constructed that it will resist any forces to which it is likely to be subjected;
- be durable and waterproof;
- not allow the accumulation at any rainwater upon its surfaces;
- be constructed to provide adequate height in any room immediately beneath the roof/ceiling assembly; and
- have a fire resistance appropriate to its use.

#### **4. CONCLUSION**

This chapter provided an explanation of the norms and standards contained in the National Housing Code. It also prescribed the bare minimum standard levels for services rendered in respect of the National Housing Code. The construction of low cost housing must comply with these norms and standards as stipulated by the National Housing Code.

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# CHAPTER 5

## EXPLANATION OF PHUMLANI CASE STUDY

### 1. INTRODUCTION

An overview of the development of Phumlani informal settlement to a formal settlement will be given so as to provide a context for the research approach. Phumlani is an informal settlement, which stretches from Zeekoevlei High School fence down to Strandfontein Road and is boarded by 8<sup>th</sup> Avenue and Ada Avenue in Lotus River, Capé Town.

### 2. BACKGROUND

In June 1996, the community services committee of the City of Cape Town interviewed a delegation from the community to investigate the issues affecting the Phumlani informal settlement and its upgrading. The community services committee resolved that a sub-committee of four councillors and community role players be convened to investigate and to drive the process of upgrading Phumlani. This sub-committee was called the Phumlani Development Working Group.

In March 1998 the community services committee of the City of Cape Town approved a proposal to initiate a people's housing project comprising 200 plots in Phumlani. The council would act as developer and would approve the application to the Provincial Housing Development Board for 200 full subsidies.

In May 1998 the Provincial Department of Housing and Planning as owner of most of the property confirmed in writing that council could undertake all necessary legal and procedural actions that may be necessary to develop this informal settlement into a township.

In that same period the South Peninsula Municipality formally applied to rezone and subdivide the property. In the period June to July 1998 the township layout was refined and agreed to by the Phumlani Development Working Group. Certain minor amendments were made as a result of technical advice from municipal service units.

This informal settlement had been designed specially for the provision of low cost housing to accommodate residents of Phumlani and a number of other small squatter settlements in the Pelican Park and Zeekoevlei areas in Cape Town.

For the purpose of subsidies, the state's housing subsidy scheme guidelines placed certain limits on the maximum size of erven and the widths of reserved roads. Accordingly, the majority of plots were 140m<sup>2</sup> in extent with a road frontage of 10m and a depth of 14m.

A number of meetings of the Phumlani Development Working Group (on which community role players served) were held with, notices published in the press and notices served on interested and affected parties. The community services and the housing services units of the then South Peninsula Municipality facilitated several meetings with the local community and the relevant councillors during June 1996.

The interested parties included:

- the residents of Phumlani;
- the residents along Ada Avenue;
- the Lotus River Sports and Recreation Forum;
- the Pelican Park Senior Secondary School;
- Zeekoevlei Secondary School;
- councillors; and
- representatives of the South Peninsula Municipality.

During these workshops representatives of the local community endorsed the development proposals.

The South Peninsula Municipality made an application to the Western Cape Housing Development Board for approval for 20% project linked subsidies including permission to access funding from the local authority's special operating account. Furthermore, various informal settlements were consolidated into one area and were part of the development of Phumlani.

This application was approved in the year 2000 with certain stipulated conditions with the budget for the project amount of R3 749 400 00, calculated as follows:

209 subsidies @ R 16 000 00	R3 344 000 00
less Raw land cost	
209 x R 400 00	R 838 000 00
	R3 260 400 00
plus 155 premium for adverse conditions	<u>R 489 060 00</u>
Total	<u>R3 749 400 00</u>



The municipality was not to exceed the above amount.

Those falling in the R0 - R1 500 per month income category were provided, free of charge, a dwelling with a minimum guaranteed top structure of 27 m<sup>2</sup> in size with an approved ablution facility comprising a toilet, shower and kitchen sink.

The submission of the typical block site development plan included the positioning of the structure on the site so as to ensure:

- ease of expansion as well as maximum exposure to sunlight, including the repositioning of windows, if necessary;
- the prevention of a monotonous and sterile development;
- that the size and standard of the finishes of the structure indicated above should not be reduced without the prior approval of the Board;
- 140 mm external cement block walls, which were adequately water-proofed by A7/cast bagging and covering with a water-proofing paint.

Once approval had been obtained for the project and funds, the tender process for the construction of civil engineering services and low cost housing units for the Phumlani area was advertised. During the adjudication, the company Build Africa was appointed.

However, for the construction of the above, Build Africa could not fulfil their obligation to complete all the services and houses in terms of the tender conditions and criteria. Messrs Build Africa was liquidated in March 2001, and as a result, the responsibility to complete the project was transferred to the municipality who awarded the tender to Messrs Rodney Roux and Peninsula Construction. This was

obviously a set-back for the community and the municipality as the assumptions and expectations of both the community and the municipality were delayed.

Additional funding to complete the project was obtained and the municipality undertook to drive this process to its finality. On-going consultation had taken place with the beneficiary community to complete the project at the earliest opportunity. The community voiced their concern about the urgency to complete the project given that the winter season was approaching and work opportunities needed to be created for the unemployed in the area.

### **3. THE COMMUNITY PROFILE OF PHUMLANI**

Henderson (2001:4) reports that 72,5% of the families were unemployed at the time, with the rest earning less than R1 500 per month. During the identification phase it was agreed to establish and construct an informal trading centre which would provide job opportunities for certain members of the community.

As indicated earlier, a project application for housing 211 beneficiary families was submitted to the Provincial Housing Development during May 1999. Approval was granted and work commenced in June 2000 and completed in early 2001. The Phumlani project layout made provision for public open spaces, community facilities, as well as commercial enterprises.

Henderson (2001:4) revealed that at the time 27,5% were employed with the majority working in the building and retail industries. Of the 72,5% that were unemployed, 17,5% generated part-time income through building, 7% through domestic work and 12% had spaza shops.

An assessment of skills by Henderson (2001:4) revealed that:

- 55% showed skills in crafting, sewing, weaving and hammering, 37% in cutting and carving, 20% in fashion and dressmaking and 40% in painting;
- 55% had skills in preparing food and 60% in working with carpentry tools;
- 52% had skills in setting up or assembling, 40% in operating or driving;
- 77% in cleaning or repairing and 50% in breaking down or disassembling;
- 32,5% indicated that they were skilled in construction or reconstruction and 40% indicated they were skilled in alternations and refurbishing; and
- 52,5% indicated they were skilled in growing fruit, vegetables or herbs.

It can be concluded that the majority of the population interviewed showed acceptable mental ability in their area of expertise.

The assessment by Henderson (2001:4) further indicated that:

- 95% showed good interpersonal skills with individuals and 85% with groups; and
- 45% had been involved in running an informal or small business, and that of the 45% all had been in business for less than two years. The type of business varied from shebeens, spaza shops, fruit and vegetable vending and building.

In this survey 40 of the total of 209 households were interviewed.

#### **4. CONCLUSION**

It was evident that there was a high percentage of unemployment in this community.

The information obtained from the skills audit, indicated that there was a fair share of skilled labour in the various categories, however job creation was lacking. The proposal to build an informal market could to some degree alleviate the problem of job creation. The evolution of Phumlani informal settlement was only one of the Unicity's strategic objectives to provide affordable housing and service delivery to the poor.

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# CHAPTER 6

## RESEARCH METHODOLOGY AND DESIGN

### 1. INTRODUCTION

A survey method was adopted to achieve the objectives of the research. The survey included a self-administered interview questionnaire which was a standardised information-gathering instrument that measured the perception of the community of Phumlani informal settlement, as to the adequacy/acceptability of the services delivered. The interview questionnaire was therefore designed to provide a diagnosis and measurement of the service delivered.

The questionnaire was based on the norms and standards as stipulated in the National Housing Code in respect of permanent residential structures for low-cost housing. This chapter will provide an overview of certain elements contained in the National Housing Code as promulgated by the *Housing Act, 1997 (Act 107 of 1997)*. The respondents were the previous members of the community of Phumlani settlement. The results from the interview questionnaire were analysed to produce the findings and conclusions.

The research methodology was qualitative as well as quantitative for the gathering of data and the analysis thereof.

### 2. RESEARCH METHODOLOGY

Phumlani was selected as the case study as it was a new development in a sub-economic area. An attempt was made to ascertain whether the services provided satisfied the basic requirements of the community in this area, in terms of housing, electricity, water and sanitation based on the community's perception.

Self-administered structured interviews were conducted in order to solicit specific information. Information was collected by means of specific set questions, which the interviewer presented during the interview. A qualitative approach was thus adopted. The reason for this was that certain respondents were not literate and others had had poor schooling and belonged to the poorer sector of society.

In addition to the interviews, physical observations were made. In this technique the events or circumstances as observed were recorded so as to support the responses obtained from the structured interview.

### **3. REASON FOR A QUALITATIVE APPROACH**

De Vos, Strydom, Fouché, Poggenpoel and Schurink (2001:240) state that the terms “qualitative research” can mean different things to different people. It is therefore difficult to describe qualitative research in a way that will satisfy everybody.

De Vos *et al.* (2001:240) define qualitative research as “a multi-perspective approach (utilizing different qualitative techniques and data collection methods) to social interaction, aimed at describing, making sense of, interpreting or reconstructing this interaction in terms of the meaning that the subjects attach to it”.

De Vos *et al.* (2001:240) note that qualitative research is a “many-labelled tradition”. The most commonly-used labels appear to be “field research/fieldworker,” “naturalism”, “ethnography”, “interpretative research” and “constructivist research”. “Field research” or “fieldworkers” indicates that qualitative research is undertaken in the habitat of the actor(s) and is closely related to the term “naturalist” as it is employed in the field of biology.

Henning, Van Rensburg and Smit (2004:1) state that if you want to look into social reality, using a prepared questionnaire with specific items to which people must

respond by choosing a predetermined set of scaled responses, the study will be known as a qualitative inquiry.

Mouton (2001:107) states that different research designs and methodologies use a different format for fieldwork documentation.

- In qualitative research researchers tend to keep field notes as they participate in the fieldwork – often in mutual field settings.
- In survey research codebooks are constructed for documenting the whole survey process, including copies of the questionnaire, response rates, and observations.

#### 4. QUANTITATIVE APPROACH

Henning *et al.* (2004:1) state that when using a prepared questionnaire with specific items to which people must respond by choosing a predetermined set of scaled responses, the study will be known as a quantitative inquiry. In other words, the responses will be counted and the outcomes will be calculated as per item.

De Vos *et al.* (2001:110) state that with this approach there are two processes, namely conceptualisation and operationalisation.

##### **Conceptualisation**

According to De Vos *et al.* (2001:110) the term conceptualisation has two meanings, which are closely related. The first one deals with the process going on in any person's mind when conceptualising. The second meaning deals with the application of the simple process of conceptualisation to the research endeavour, that is, conceptualising as a step in the research process, which enables the researcher to his/her particular research project.



## ***Operationalisation***

De Vos (2001:113-114) defines operationalisation as the process of defining certain central constructs, most often the independent variables contained in a hypothesis, in terms of the procedures to be performed in order to measure the constructs. The above will subsequently be explained in more detail.

Steps in the process of operationalisation include:

- taking a working definition of a concept or construct;
- finding items or indicators of those dimensions which can be presented as stimuli for people to react to;
- assigning numbers to the presence, absence, frequency, magnitude, intensity or duration (prospection) of subjects' (expected) relations to the stimuli; and
- eventually computing these figures, which will offer ratings by which the construct can then be considered as measured.

## **5. DIFFERENCE BETWEEN QUALITATIVE AND QUANTITATIVE RESEARCH**

Henning *et al.* (2004:13) state that the distinction between the qualitative paradigm and quantitative paradigm lies in the quest for understanding and for in-depth inquiry. Henning *et al.* (2004:3) mention that in a qualitative study, the focus will be on control of the components in the actions and representations that the researcher wishes to capture.

According to Mouton (2001:241) the quantitative paradigm is based on positivism, which takes scientific explanation to the nature (based on universal laws), whereas the qualitative paradigm stems from an anti-positivistic, interpretative approach and is idiographic, thus holistic in nature, and the main aim is to understand social life and the meaning that people attach to everyday life.

A questionnaire was drawn up to solicit specific answers for the research to conclude a perceived view of the respondents in Phumlani informal settlement. De Vos *et al.* (2001:154) are of the opinion that this method limits the research to the respondents own contribution to the completion of the questionnaire to the absolute minimum. However, the researcher will be available in cases of problems that may arise when the respondents require clarity.

The questionnaire was completed through personal interaction between the respondents and the researcher. De Vos *et al.* (2001:160) endorse the view that this type of questionnaire is based on a closed questionnaire which offers the respondents the opportunity of selecting one or more response choices from a number of possible responses provided.

## **6. RESEARCH INSTRUMENT**

The self-administered interview questionnaire was divided into two parts. The first part assessed the perceptions of the minimum standards contained in the Housing Code. The second part allowed the researcher to draw a conclusion from his observations during the interview process.

The questionnaire was specific and the questions were formulated in accordance with the norms and standards stipulated in the National Housing Code. The questions required the respondents to measure the standards on a continuum scale from 1 – 5 of the services delivered, as perceived by them.

Leady (1983:104) states that the questionnaire is a structured interview. The interview, as a data-gathering technique, is frequently misunderstood. The questionnaire for the interview should be as carefully planned and as accurately worded as the items in a questionnaire.

The designed interview questionnaire is attached as *Annexure A*.

Bless and Higson-Smith (1995:111) state that a self-administered structured questionnaire has definite advantages for the interviewee in that it can be administered to respondents who cannot read or write. This is particularly applicable to a large section of the population in less industrialised countries, to poor sectors of the population and to young children.

Bless and Higson-Smith (1995:111) believe that this helps to overcome misunderstandings and misinterpretations of words or questions. As a result, the answers given are clearer. All this is possible because in case of doubt the interviewer can ensure that respondents correctly understand the questions and interviewers can also ask respondents for explanations concerning some of the answers.

Lastly, interviewers can ensure that all items on the questionnaire have been considered and that respondents did not omit difficult questions. The interviewer can reassure respondents and encourage them to persevere.

Henning *et al.* (2004:53) state that according to procedures that flow from structured/standard questionnaires, the interviewees are believed to give a "true" or "real" subjective version of the facts, opinions and feelings as experienced by them.

Henning *et al.* (2004:54) criticize this type of interview by stating that in this practice the interview process itself is not seen as a "data making process", but just as a data eliciting mechanism. This process of interviewing itself gives rise to a type of integration that cannot be completely neutral. By the same token, Henning, *et al.*

(2004:54) state that there is neutrality and that the data if elicited in a “non-biased” way by the interviewer, will yield “pure” information that may be analysed for its content.

The study investigated whether housing, electricity, water and sanitation services rendered to Phumlani comply with the minimum standards detailed in the National Housing Code. Analysis of the responses would facilitate the assessment of the following perception of the standard of services provided to the households of Phumlani informal settlement.

## **7. DEFINING THE SAMPLE**

Bless and Higson-Smith (1995:85-88) state that the sampling theory is the scientific foundation from which conclusions are drawn. It is a technical accounting device to rationalise the collection of information. Basically, sampling means abandoning certainty in favour of probability.

De Vos *et al.* (2001:191) explain sampling as the element of the population considered for actual inclusion in the study. They say it can also be viewed as a subset of measurement drawn from a population in which a researcher is interested.

One hundred (100) respondents of the two hundred and eleven (211) households were selected. The simple sample method was utilised to identify the respondents. Numbers from 1 to 200 were drawn up and folded in the same way and placed in a shoe box. Thereafter, 100 were selected after shaking the box. This technique, according to Leady (1983:112), is called the lottery technique.

The sample must have properties that make it representative of the whole.

However, sampling is used to determine representative samples that best represent a population so as to allow for an accurate generalisation of results. A representative sample is achieved through utilisation of a complete and correct sampling frame, which is the list of all units from which the sample is to be drawn. Probability or random sampling occurs when the probability of including each element of the population can be determined.

## 8. SIMPLE RANDOM SAMPLING

Leady (1983:112-114) defines randomisation as selecting a sample from the whole population in such a way that the characteristics of each of the units of the sample approximates the broad characteristics inherent in the total population. The purpose of randomness is to permit blind chance to determine the outcomes of the selection process to as great a degree as possible. Hence, in determining a starting point for selection of random numbers, *pure chance* must always initiate the process.

Bless and Higson-Smith (1995:89) state that “random” expresses the idea of chance being the only criterion for selection. The selection of an element from the population is called *random* when each element of the population has the same chance, likelihood or probability of being chosen for the sample. Simple random sampling is a sampling procedure that provides equal opportunity of selection for each element in a population.

In Phumlani settlement there were 211 households of which 100 households were interviewed. During the sampling process all members of the population at the Phumlani informal settlement were given an equal opportunity to be selected during this sampling process. “Random” expresses the idea of chance being the only criterion for selection.

## **9. DATA ADMINISTRATION**

Once all the data had been collected a software package referred to as the statistical package for social scientists was utilised to analyse the results. This statistical package for social scientists is a widely used programme for analysis in South Africa. The aim of this package is to enter data and manage data with a view to achieve an output where summary data and statical results can be presented.

As indicated elsewhere, the research attempted to ascertain whether standards laid down in the National Housing Code had been adhered to, when houses were built for informal settlements. If this is not the case, then it may be concluded that there are flaws in the process of building houses in informal settlements.

Standards of delivery were measured against the responses received in terms of the structured interviews as to how the community perceived service delivery from the Unicity of Cape Town. The results from the interviews and the observations will provide a fair reflection on the quality of service provided by the Cape Town Unicity in terms of the National Housing Code.

## **10. CONCLUSION**

This chapter provided an overview of the process followed in order to gather the data required to interpret the information for the research analysis.

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# CHAPTER 7

## RESEARCH RESULTS, FINDINGS, ANALYSIS, CONCLUSIONS AND RECOMMENDATIONS

### 1. INTRODUCTION

This chapter provides the research findings and the analysis of the results produced by the respondents who participated in the research study. The data were captured, collated and recorded on a SPSS spreadsheet and computed for analysis. The results of the analysis, on which the conclusions are based, are also discussed.

### 2. RESULTS OF RESEARCH

The research results of the collated responses are presented below.

#### *Part 1: Dwelling, services and tariffs*

	<b>Poor</b>		<b>Total</b>	
<b>1. Dwelling</b>	Count	%	Count	%
If respondents are satisfied with the size of the house	101	100	101	100
If respondents are satisfied with the quality of the building materials used	101	100	101	100
If respondents are satisfied with the number of rooms provided	101	100	101	100



	<b>Fair</b>		<b>Poor</b>		<b>Good</b>		<b>Total</b>	
<b>2. Services</b>	Count	%	Count	%	Count	%	Count	%
If respondents have adequate electrical power points in house	101	100	0	0	0	101	101	100
If respondents have adequate water taps in house	101	100	0	0	0	0	101	100
If respondents have adequate sanitation facilities	5	5	95	95	0	0	100	100
If respondents have adequate natural light through the windows	2	2	99	98	0	0	101	100
If respondents have adequate refuse collection	100	99	1	1	0	0	101	100
If respondents have adequate street lighting	0	0	100	99	1	1	101	100
If respondents have adequate accessible roads	0	0	99	99	1	1	100	100

	<b>Fair</b>		<b>Good</b>		<b>Total</b>	
<b>3. Tariffs</b>	Count	%	Count	%	Count	%
Affordability score for water rates	1	1	100	99	101	100
Affordability score for electricity rates	1	1	100	99	101	100
Affordability score for refuse removal rates	0	0	100	100	100	100

## ***Part 2: Perception of minimum standards***

Minimum standards for low cost housing (LCH) justified:

	<b>Frequency</b>	<b>Percent</b>	<b>Valid Percent</b>	<b>Cumulative Percent</b>
	%	%	%	%
Could improve	1	1	1	1
No	100	99	99	100
Total	101	100	100	101

If Unicity fulfilled expectations:

	<b>Frequency</b>	<b>Percent</b>	<b>Valid Percent</b>	<b>Cumulative Percent</b>
	%	%	%	%
Could improve	21	20.8	20.8	20.8
No	1	1	1	100
Total	101	100	100	

## ***Part 3: Observations***

Observations are noted under analysis and findings.

### **3. ANALYSIS AND FINDINGS**

As indicated earlier, this case study is an evaluation of municipal service delivery against the background of local government transformation. The analysis and findings could serve as an instrument to measure the effectiveness of service delivery under this case study.

#### ***Part 1: Dwelling, services and tariffs***

The respondents' perception of service delivery to their community by the Cape Town Unicity is subjoined below.

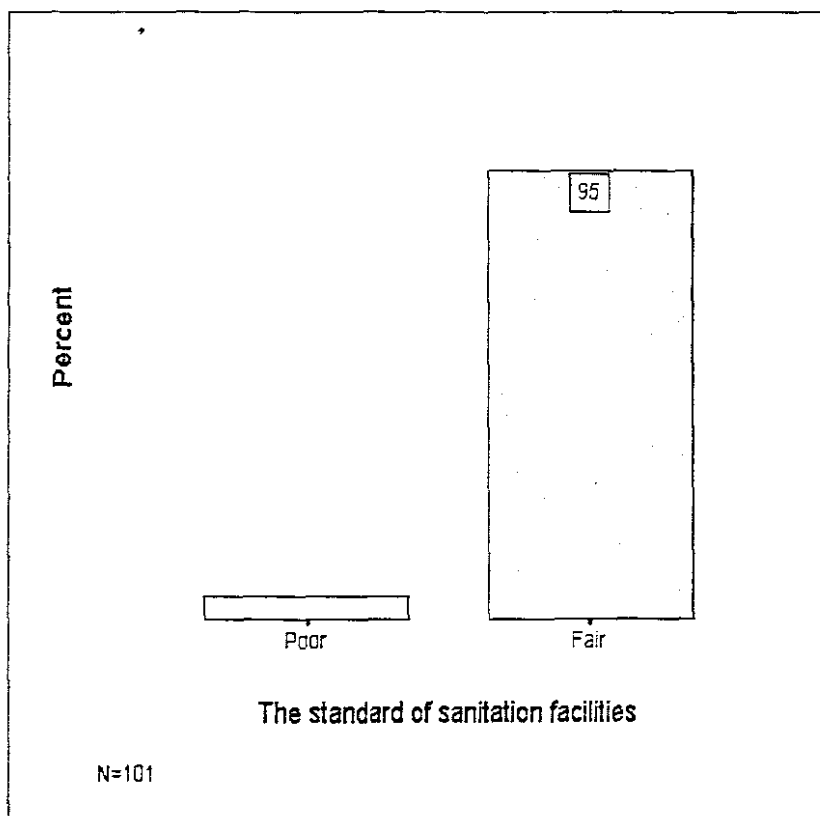
## ***Dwelling***

- Of the respondents, 100% indicated that the size and quality of materials used to construct the houses were unsatisfactory.

## ***Services***

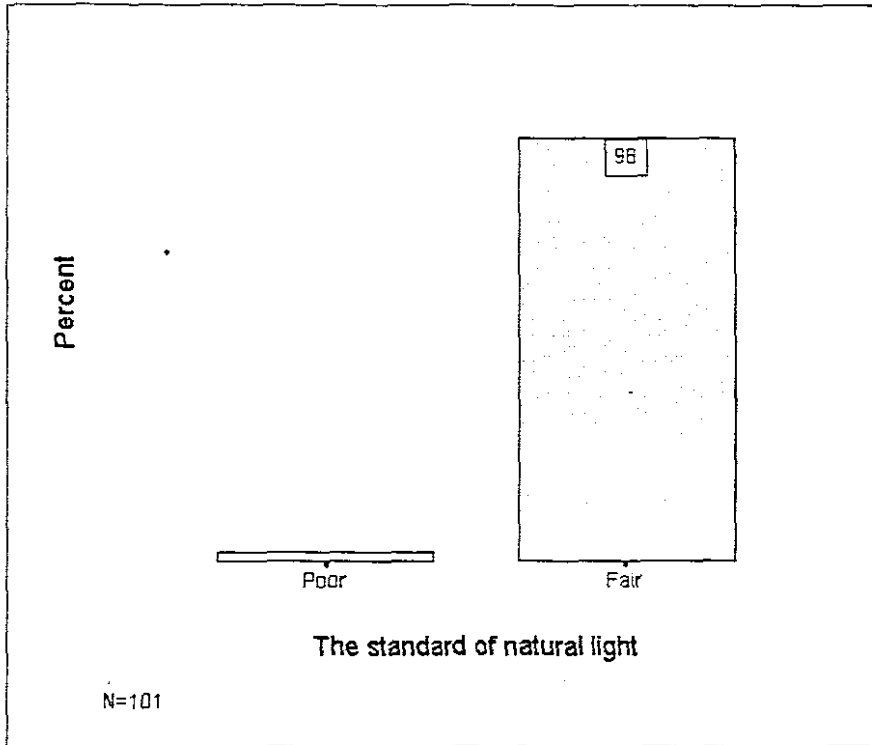
- Of the respondents, 95% indicated that the sanitation facilities were fair.

Figure 1: Respondents' evaluation of the standard of sanitation facilities



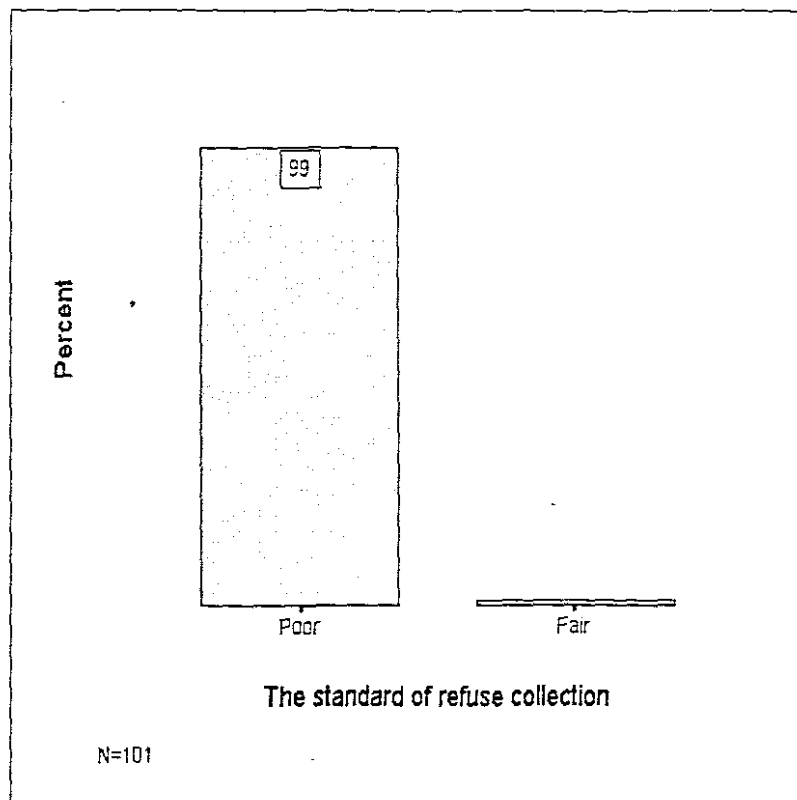
- Of the respondents, 98% indicated that the natural light through the windows was fair.

Figure 3: Respondents' evaluation of the standard of natural light coming through the windows



- Of the respondents, 99% indicated that refuse collection for the area was poor.

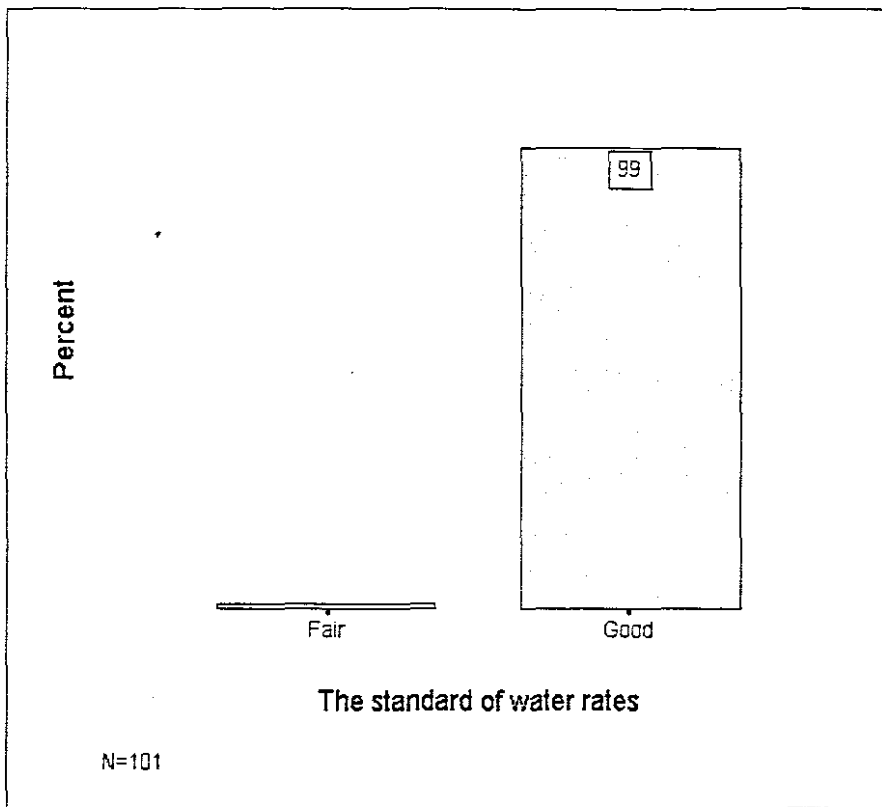
Figure 2: Respondents' evaluation of the standard of refuse collection



## Tariffs

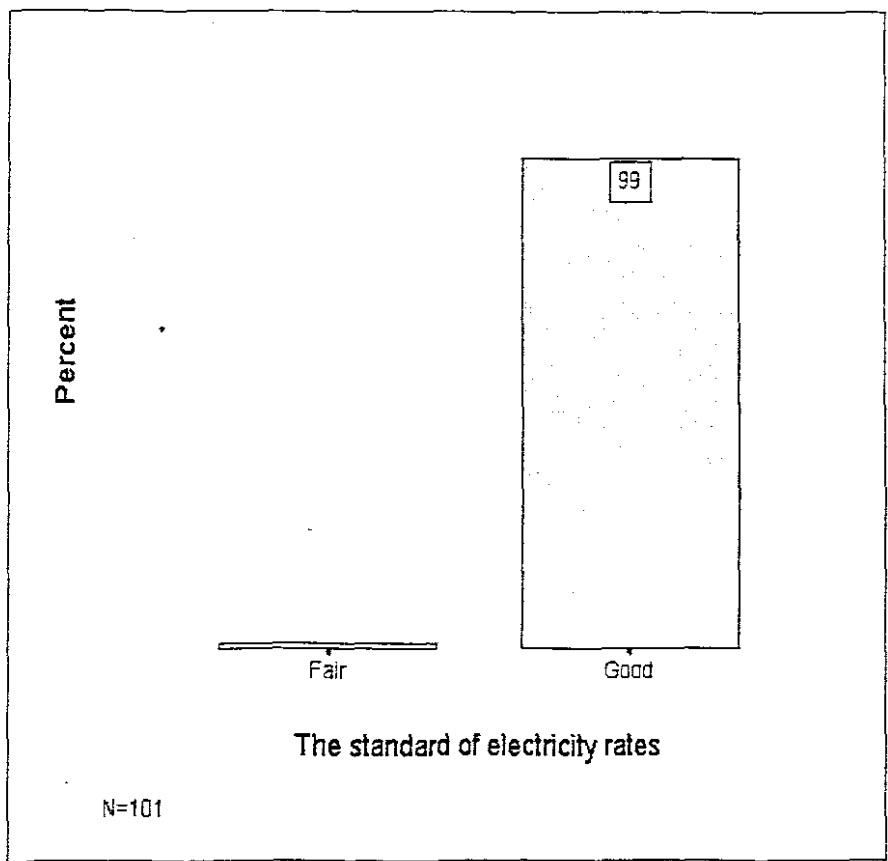
- Of the respondents, 99% indicated that the affordability of water tariffs were good.

Figure 5: Respondents' evaluation of the standard of water tariffs



- Of the respondents, 99% indicated that the affordability electricity tariffs of were good.

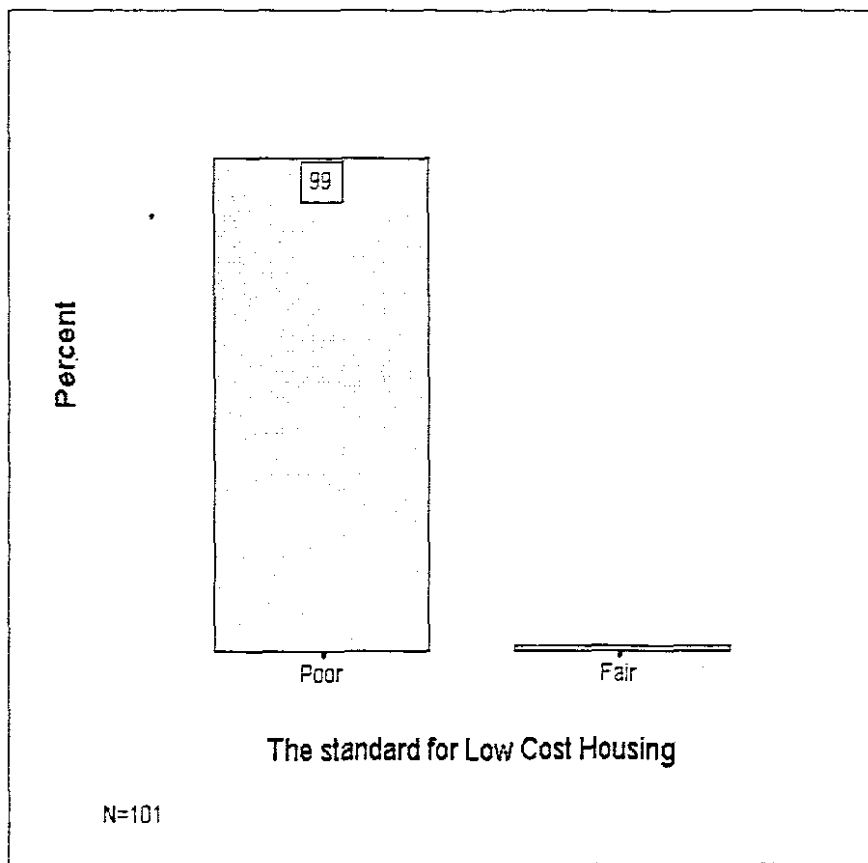
Figure 6: Respondents' evaluation of the standard of electricity tariffs



**Part 2: Standards**

- Of the respondents, 99% indicated that the minimum standards for low cost housing (LCH) were unacceptable.

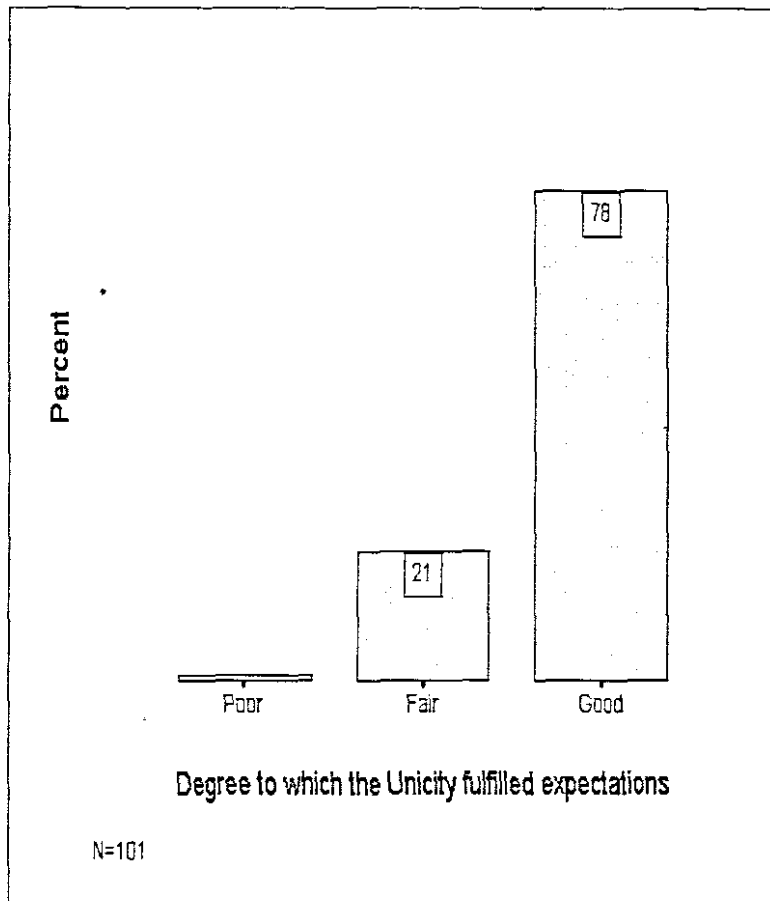
Figure 4: Respondent's evaluation of the standard of Low Cost Housing.





- Of the respondents, 78% indicated that the Cape Town Unicity could provide a much better service, whilst 21% indicated that the service were not good.

Figure 8: Respondents' opinion on the degree to which the Unicity has fulfilled his/her expectations



Although electrical power points and refuse collection do not form part of the National Housing Code, it was decided to measure these services as part of service delivery. One can argue that in respect of the electrical power points it conforms to the bare minimum of standards as stipulated in the National Housing Code.

Furthermore, the tariff structure for services rendered in respect of water, electricity and refuse removal, forms part of the councils' Indigent Policy that is briefly explained in Chapter 3. This tariff structure was also measured.

### ***Part 3: Observations***

The following observations were made during the interview:

- dampness in walls;
- cracks in walls;
- plastering is very rough, not smooth; and
- paint is peeling off walls.

## **4. CONCLUSIONS**

The following conclusions were drawn from the above analysis:

- Affordability of services was reasonable.
- Half of the respondents indicated that their expectations had been met, but service delivery could be improved.
- The majority indicated that the refuse collection was very poor and that it should be addressed by the local authority.
- The sanitation facilities were fair and there was room for improvement.
- The natural light coming through the windows was fairly satisfactory.

The following conclusions were based on the observations and the comments contained in section 3 of the questionnaire attached as *Annexure A*.

- Low cost houses were built without any real inspections being undertaken during the building process. There was a tendency to complete as many of the low-cost housing units as quickly as possible.
- The housing structures as provided by the building fraternity on behalf of the City of Cape Town did not satisfy the community's expectations. Other services rendered to this community varied. Based on the recorded observations, the level and standard of service delivered to this community, was of major concern. This was true of housing in particular, where physical cracks could be seen in the structures and dampness in the walls was visible. Respondents' main concern was that repairs would be done in good time. The response time was obviously affected by the fact that funds were limited and therefore repairs to these houses would not be immediate.
- Minimum standards for low-cost housing with regard to the structural component were definitely unacceptable. The standards set should be reviewed in order to satisfy people's expectations and perceptions on low-cost housing standards.
- All informal settlements within the metropole will respond in a similar way as indicated in this case study.
- Finally there seems to be an acceptance on the levels of the services delivered to this community, with the exception of the quality of material used to erect these low-cost houses. Despite these shortcomings, the general observation made was that there appears to be an improvement in the quality of the community's lifestyle.

## 5. RECOMMENDATIONS

With reference to the research objective of evaluating municipal service delivery against the background of local government transformation, the self-administered interview questionnaire focused on the standard of service delivery in respect of the National Housing Code. Based on the conclusions that were drawn, the following recommendations have been formulated:

- The National Housing Code for low cost housing was inadequate in addressing the structural component of these houses. The National Housing Code of low cost housing is very broad and does not give specific guidance in terms of addressing these structural defects that were evident in all the structures.
- It was clear from the observations made that the structural component is an area of concern and should be addressed.
- Special emphasis should be placed on the quality of the materials used for low cost housing with regard to the structural design.
- That the building fraternity for low-cost housing should examine or investigate minimum standards when building housing in all informal settlements in relation to the quality of material used.
- The process by which low-cost housing is identified should be examined. The experience that this community had to endure over a three-year period should be documented so that a comparison could be made between the various informal settlements. This will provide a formal basis from which to assess alternatives to problems experienced.

- Vandalism in the area should be addressed.

This chapter provided the results of the research that were interpreted to support the findings, analysis, conclusions and recommendations.

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### INTERVIEW QUESTIONNAIRE SURVEY

The aim of the questionnaire is to ascertain whether the service delivered by The Cape Town Unicity to the inform`al settlement, Phumlani is effective or not.

The purpose of the questionnaire is to assist me in obtaining my M Tech Degree in Public Management as well as to determine whether your desired expectation were met against the actual standard at Peninsula Technikon.

Your name and address will not be recorded, therefore, confidentiality is of utmost importance. Furthermore, I appeal to you for your co-operation. The questionnaire is very simple. You are required to provide a rating from 1 to 5 as to how you regard the service delivered to your area by the Cape Town Unicity.

The questions are divided into two parts indicated below:

PART 1: DWELLING, SERVICES AND TARIFFS	SCALE				
Housing Code Specifications	1. Not Sure	2. Poor	3. Fair	4. Good	5 Excellent
<b>1. DWELLING</b> Are you satisfied with:					
1.1 The size of the house 27m <sup>2</sup> .					
1.2 The quality of the building material used.					
1.3 The amount of rooms provided.					
<b>2. SERVICES</b> Do you have adequate:					
2.1 Electrical power points in your home.					
2.2 Water taps in your home.					
2.3 Sanitation facilities.					
2.4 Natural light coming through the windows.					
2.5 Refuse collection.					
2.6 Street lighting.					
2.7 Accessible roads.					

	SCALE				
	1. Not Sure	2. Poor	3. Fair	4. Good	5 Excellent
<b>3. TARIFFS</b> Affordability:					
3.1 Water					
3.2 Electricity					
3.3 Refuse Removal					

**PART 2: PERCEPTION OF MINIMUM STANDARDS**

1. Is the minimum standard for low costing housing justified?

YES	NO
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2. Has the Unicity fulfilled your expectation in terms of providing you with effective service delivery to your area?

YES	NO
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**PART 3: OBSERVATIONS**

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