

MIXED-INCOME HOUSING DEVELOPMENT PLANNING STRATEGIES AND FRAMEWORKS IN THE GLOBAL SOUTH



GEORGE OKECHUKWU ONATU
WELLINGTON DIDIBHUKU THWALA
CLINTON OHIS AIGBAVBOA

Mixed-Income Housing Development Planning Strategies and Frameworks in the Global South

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BY

GEORGE OKECHUKWU ONATU

University of Johannesburg, South Africa

WELLINGTON DIDIBHUKU THWALA

Walter Sisulu University, South Africa

AND

CLINTON OHIS AIGBAVBOA

University of Johannesburg, South Africa



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INVESTOR IN PEOPLE

This book is dedicated to our wives and children for their love and care during the period we were busy compiling the manuscript.

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List of Abbreviations

AMI	Average Medium Income
ANC	African National Congress
APNHR	Asia-Pacific Network for Housing Research
BNG	Breaking New Ground
CBO	Community-Based Organization
CCPR	California Centre for Population Research
CIA	Central Intelligence Agency
CLL	Common Law Leasehold
CoGTA	Department of Cooperative Governance & Traditional Affairs
CoR	Certificate of Right
COSATU	Congress for South African Trade Unions
CPF	Central Provident Fund
CSHA	Commonwealth State Housing Agency
CSIR	Council for Scientific and Industrial Research
DA	Democratic Alliance
DFI	Direct Foreign Investment
DPME	Department of Planning, Monitoring and Evaluation
DRDLR	Department of Rural Development & Land Reforms
FHA	Federal Housing Authority
FELDA	Federal Land Development Authority
ELCRA	Federal Land Consolidation and Rehabilitation Authority
FMBN	Federal Mortgage Bank of Nigeria
FPSG	Fixed Period State Grant
GDP	Gross Domestic Product
GRA	Government Reserve Areas
HDB	Housing Development Board

HOPE	Housing Opportunities for Everyone
HUD	Housing and Urban Development
ICESCO	International Convention on Economic, Social and Cultural Rights
IMF	International Monetary Fund
IRDP	Integrated Rural Development Programme
IUDF	Integrated Urban Development Framework
LAP	Land Administration Project
LITC	Low Income Tax Credit
MIRG	Mixed-Income Research Group
NAHA	National Affordable Housing Programme
NEP	National Economic Policies
NIMBY	Not In My Back Yard
NNHP	New National Housing Policy
NUSP	National Upgrading Support Programme
PIE	Prevention of Illegal Eviction
SACN	South Africa Cities Network
SERI	Socio-Economic Research Institute
SHHA	Self-Help Housing Agency
SPLUMA	Spatial Planning and Land Use Management
TND	Traditional Neighbourhood Design
TPC	Town Planning Complaint
UN	The United Nations
UNDP	United Nations Development Agency
VPADD	Voluntary Pro-Active Deal Driven

About the Authors

Dr George Okechukwu Onatu is a Staff and Senior Lecturer in the Department of Urban and Regional Planning, University of Johannesburg, South Africa. He completed his PhD in Engineering Management (Housing) at the University of Johannesburg in 2021. He was the former Head of Department from 2010 to 2016. His research interest lies in human settlements, informality, Spatial Planning, land use management, urban planning, housing provisions and property development as well as the Fourth Industrial Revolution and mix-use development. Some of his research works has been extensively published in recognized Journals and conference proceedings. He is a member of various bodies, including the editorial board of the Town and Regional Planning Journal South Africa and also support and assist in scholarly debates as a board member of the Association of African Planning Schools (AAPS). Dr Onatu is the author of over 40 published research articles in both local and international conference proceedings. He also assisted both the National Department of Human Settlements South Africa and National Homebuilders Registration Council (NHBRC) as a research consultant and policy expert specialist on housing issues.

Wellington Didibhuku Thwala is a Full Professor of Construction Project Management and Leadership at the Department of Construction Management and Civil Engineering at the Walter Sisulu University. He is a Director of the DST NRF SARCHI Chair in Sustainable Construction Management and Leadership in the Built Environment. He is the Chairman of the Construction Management Foundation Advisory Board. Professor Thwala has varied research interest, including project management, construction management, supply chain management and leadership in the construction industry, health and safety, engineering design and management, 4IR, infrastructure delivery, business competitiveness and sustainable housing and local economic development. He is the Editor in Chief of the Journal of Construction Project Management and Innovation, Peer Reviewer of Built Environment Project and Asset Management, as well as Journal of Facility Management and has more than 1,700 citations and 490 publications.

Clinton Ohis Aigbavboa is a Full Professor at the Department of Construction Management and Quantity Surveying, University of Johannesburg, South Africa. Prof. Aigbavboa is the immediate past Vice Dean of the Faculty of Engineering and Built Environment, University of Johannesburg, South Africa. He has extensive knowledge in practice, research, training and teaching. He is currently

the Director of the Construction Industry Development Board Centre of Excellence and the Sustainable Human Settlement and Construction Research Centre at the University of Johannesburg. He is also an author of 12 research books that were published with Springer Nature and CRC Press. He is currently the Editor of the Journal of Construction Project Management and Innovation (accredited by the DoHET) and has received national and international recognition in his field of research. He is rated by the South Africa National Research Foundation.

Foreword

It is a honour and privilege to be requested to write this foreword to this remarkable book on Mixed-Income Housing Development Planning Strategies and Frameworks in the Global South. With over 35 dedicated years of experience in teaching, conducting research and supervision of students of Urban and Regional Planning, I feel as the best person in a position to do justice to this request. Moreover, as the former Deputy Vice Chancellor of one of the Premier Universities in the continent, University of Nigeria, Nsukka, where I was instrumental in attracting many projects and organizing so many seminars and conferences which brought the University to visibility and to be ranked very high among the Universities in Nigeria. More also as one of the pioneering members of the Association of African Planning Schools (AAPS) and a member of the seven-man steering committee, the continental network comprising of 54 Universities where I met one of the authors in 2010, it gives me additional fulfilment to write about this important resource book on human settlements. Dr George O. Onatu is a seasoned scholar/Urban and Regional Planner as well as housing specialist who was instrumental in the growth and development of the Department of Urban and Regional Planning at the University of Johannesburg. He served as the Head of Department for two tenures. Prof C. Aigbavboa served as the Vice Dean Research and Internationalization of the Faculty of Engineering and Built Environment, University of Johannesburg with several other awards and is the Executive Director of Centre for Industrial Development Board (CIDB) and sustainable human settlements and construction management research. Prof D. W. Thwala is an NRF, DST and SARCHI Chair as well as top researcher for several periods with more than 25 years of teaching and research experience, with so many citations and Senior Fellow at a Centre and the Department of Civil Engineering, College of Engineering Science and Technology at the University of South Africa (UNISA). With this profile and diverse experiences of these scholars, they are all well grounded with multidisciplinary knowledge/skills to come up with this important resource book to showcase their valued contributions to the practice, teaching and research on housing.

Mixed-income housing development and implementations strategies are increasingly becoming one area of human settlements research that is gaining increasing attention and attractions. With the world population expected to reach an astronomical 9.8 billion by 2050 from the current 7.6 billion, informed by the addition of 83 million people every year on the planet, most governments and international organizations are facing considerable challenges as it relates to

access to housing by these teaming population, exacerbated urban poverty and hunger, as well as environmental conservation and climate change issues. We cannot continue to fold our hands and stare. Hence, this book is recommended for all those who are interested in ensuring that the world moves forward with speed to cater for these rising population as it relates to shelter and necessary condition to attain sustainable human settlements. The framework so developed in the book is user friendly and will argue all current efforts, publications and policy gaps which need urgent solution on a global scale. The case examples drawn from both the developed and developing countries will serve as a sign post and road map to urban planners, construction economics, developers, researchers, community leaders, social scientists, private sector and all stakeholders as well as built environment students/engineering specialists/practitioners on how to approach the problems confronting human settlements and design strategies. You cannot wait further than to read this book that has come handy at this important period in the history of human race and associated challenges that at times resist solutions and appear not solvable. These problems are now noted and associated with hidden opportunities that are not so visible and are at times overlooked.

Yours sincerely,



Prof. Smart N. Uchegbu, PhD, MSc, BA, fnitp, fnes, meman, Rtp
Deputy Vice Chancellor Emeritus
University of Nigeria, Nsukka

Preface

The twenty-first century is noted globally as the urban century of unique character, dynamism, symbiosis and complexities because more than half of the world's population lives in cities. This population is projected to increase to 70% by 2050. South Africa is no exception to this phenomenal increase in urban population. More than 60% of South African population lives in urban areas, and this figure is projected to increase to 71.3% and 80% by 2030 and 2050, respectively. Access to human settlement by this teeming population remains a challenge/issue and undoubting task to the incumbent government and previous regimes. The problem of access to human settlements is compounded by historical apartheid's spatial geography characterized by racial segregation, fragmentation of urban space and separate development. During the apartheid period, settlement patterns were designed and planned in accordance with racial differentiation. This resulted to fragmented and dysfunctional residential settlements pattern that forced many people to travel long distances between place of work and home. Since 1994, the various housing policies, programmes and legislation have not been able to find solution to the spatial challenges that South Africa faces. The objective of this book is to investigate and unpack mixed-income housing development strategy and how this housing typology with a new framework can bring about spatial integration, improved access to social services, infrastructure and the promotion of social and economic inclusion. The research utilized the case study research design and employed the Delphi method for the investigation. It provides a step-by-step guide on how to use Delphi technique and Structural Equation Modelling (SEM) in human settlements research and planning. The findings reveal that proper coordination across all sectors of government and good working relationship between the private and public sectors will increase the sustainability of mixed-income housing development. This book for the first time brings together and synthesize the relevant theories and concepts that guide mixed-income housing development and human settlements in general. This book is also a reach out to support existing theories that mixed-income housing might not be able to bring about overall social integration, solve all housing problems, but it has the unique tendency, character and peculiarity in the South African case to address spatial imbalances by increasing the affordability of low-cost housing. This research book will provide important resource toolkit as it concludes that there is need for both inter-sectoral and intergovernmental collaboration as well

as proper coordination/adequate urban planning to address the human settlement challenges in South Africa and for effective implementation of mixed-income housing development in both developed and developing economies. The use of case studies from the United States, Australia, the Netherlands, Brazil, Nigeria, Botswana and Ghana is noteworthy and serve as an important selling point.

Acknowledgement

We sincerely appreciate the contributions and cooperation of our colleagues at the Faculty of Engineering and the Built Environment, the Department of Urban and Regional Planning and the Department of Construction Management and Quantity Surveying. In this vein, we say thank you to Prof Daniel Mashao, Prof Morgan Dundu, Prof Charles Mbohwa, Prof Steven Ekolu, Prof Jeffrey Mahachi, Mr Zenzile Mbinza, Mr Aurobindo Ogra, Prof Trynos Gumbo, Prof Walter Musakwa, Dr Eric Makoni, Mr Jude Okafor, Ms Natasha Ntakana, Ms Sithembile Thusi, Adv Petrus Steyn, Dr Justice Agumba, Prof Innocent Musonda, Mr Nazeem Ansary, Mrs Mogodi, Mrs Corlia Jordan and Mrs N Mzobe. Our mutual sharing and working relationship over the years have not gone unnoticed. Finally, we would like to thank the following: the staff of Basil Reeds; Urban Dynamics Pty Ltd, the National Department of Human Settlements; the City of Johannesburg Metropolitan Municipality; Iyer Development Consultants, for their contributions to this book; our Statisticians, Mr Serge Malandala and Mr Elvis Ganyaupfu for data analysis. We also acknowledge the research work of Urban Institute in the United States on Mixed-Income Housing that also assisted us in building our argument. We are also very grateful to Africa Sustainability Infrastructure Mobility (ASIM) project of 2023 and Ardhi University, Dar Es Salaam, Tanzania where one of our colleagues spent time through staff exchange to finally conclude this book. Our sincere hope is that this book will serve these communities and the countries of global south and beyond.

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Chapter 1

Introduction and Background

Abstract

The twenty-first century is noted globally as the urban century because more than half of the world's population lives in cities. This population is projected to increase to 70% by 2050. South Africa is no exception to this phenomenal increase in urban population. More than 60% of South African population lives in urban areas, and this figure is projected to increase to 71.3% and 80% by 2030 and 2050, respectively. Access to human settlement by this teaming population remains a challenge. The problem of access to human settlement is compounded by historical apartheid's spatial geography characterized by racial segregation, fragmentation of urban space and separate development. During the apartheid period, settlement patterns were designed and planned in accordance with racial differentiation. This resulted in fragmented, segregated and dysfunctional residential settlements pattern that forced many people to travel long distances between place of work and home. Since 1994, the various housing policies, programmes and legislations have not been able to find solution to the spatial challenges that South Africa faces. The objective of this book is to investigate and unravel mixed-income housing development planning strategy and how this housing typology with a new framework can bring about spatial integration, inclusive cities, improved access to services and the promotion of social cohesion and economic inclusion. This book utilized the case study research design and employed the Delphi method for the investigation. The findings reveal that proper coordination across all sectors of government and good working relationship between the private and public sectors will increase the sustainability of mixed-income housing development. This study also supports existing theory that mixed-income housing might not be able to bring about the overall social integration, and solve all housing problems but has the unique tendency and potential in the South African case to address spatial imbalances by increasing the affordability of low-cost housing. This book concludes that there is need for both inter-sectoral and intergovernmental collaboration as well as proper coordination/adequate urban planning policies to address the

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increasing human settlement challenges in South Africa and for effective implementation of mixed-income housing development.

1.1 Introduction

The intention of this work is to create and establish a mixed-income housing framework. The literature in this field is very less and this is because the isolation of the poor and poverty all put together give rise to other problems. There still remains certain grey areas that has not been fully explored and many open questions still need answers, such as, for example what is the best way and strategy to implement mixed-income housing development, especially in the global south? what other tangible outcomes/results should be expected from the projects and in what ways should the living standard and future housing be improved? In addition, with other scholarly works, Schwartz and Tajbakhsh (1997) notes that very few studies have taken the pain to carry out a detailed evaluation, assessment, processes of the prevailing circumstances of programmes, as well as the projects yet to be implemented. This calls for additional research studies, book of reading and scholarly investigation. In view of the legacy of previous apartheid government of separate development and fragmented city structures in South Africa, which to a large extent, skewed urban planning and housing development. Thus this book aims to contribute to the existing work, body of knowledge and debate. This will lead to adequate and affordable low-cost housing provision in Johannesburg as well as sustainable development.

This book for the first time brings together and synthesize the relevant theories and concepts that guide mixed-income housing development and human settlements in general. This book will provide important resource toolkit as it concludes that there is need for both inter-sectoral and intergovernmental collaboration as well as proper coordination/adequate urban planning to address the human settlement challenges in South Africa and for effective implementation of mixed-income housing development in both developed and developing economies. The use of case studies from the United States, Australia, the Netherlands, Brazil, Nigeria, Botswana and Ghana is noteworthy and serve as an important selling point. This book was able to compare the emerging innovative building approaches, policies and strategies as shared among these countries. This book will be of great relevance and resource material to policymakers, urban planners and practitioners as it contains all the relevant policies, planning framework and legislation that guide human settlements in South Africa and gaps identified. The developed framework establishes the interlink of Town Planning Approvals and Policies, Nearness to Social Services (NSS), Intergovernmental support and collaboration, Access to housing and affordability, Occupants Social Interactions and Community Involvement and Participation in the delivery and implementation of mixed-income housing development. This framework is for the first time developed and validated from very rigorous theoretical and empirical Structural Equation Model (SEM).

1.2 Background and Significance of the Study

Mixed-income housing development if properly implemented will play an important role for access to urban opportunities and decentralization of poverty. Research shows that the high concentration of urban poor households in high-poverty ridden neighbourhoods, rather than in mixed-income neighbourhoods, places additional constrain on economic mobility of the poor households (OECD, 2011:94). For the poor to be concentrated in high-poverty neighbourhoods is noted to lead to and result in joblessness, notwithstanding reliance and relevance of social networks to secure employment. The study is imperative because studies have shown that 'the high level of economic segregation in South African cities not only exposes the poor to finding a way to cope with their own poverty/situation, but also exposes them to lower quality schools, inadequate infrastructure and social networks with high level of unemployment'. The other significance of this study is to prove the point that lack of reliable information and quality data create problem to neighbourhood challenges to increase residential development and living condition in South Africa and other developing countries. Moreover, there still exist gaps in integrated human settlement studies and research of an effective instrumental framework that can be used to describe the focus of this research. Criticism arise on the ground that the current approaches and strategies is being pursued and promoted by various government for the wrong objectives/reasons (DeFillipis and Fraser, 2008). Though it is noted that a number of investigations and neighbourhood revitalization are occurring and taking place or even proposed, but what you still found is that we are only attracted to the ideal situation, basically in theory, but the reality on the ground is depressing. The significance of this book is to address these concerns and to provide empirical answers to the questions as enumerated below. The rationale is also to ascertain what are the aims and objectives behind mixed-income housing approaches and how it intends to try to accomplish noted gaps, especially in South Africa.

Relatively few researchers in the built environment have undertaken a more systematic evaluation of mixed-income housing development in the global south to determine their effectiveness in meeting specific housing and socio-economic development goals, as compared to taking a broad overview of a development. Furthermore, very little work has been done on the question of whether a mixed-income housing approach is necessary and if it is needed to revitalize distressed neighbourhood that encourages people of different social strata to reside together. Questions also abound in the literature as to whether other strategies can as well work better/or achieve the same goal with low-income population, but none has ever attempted to interrogate how it is planned and all the social partners involved in the implementation to accommodate people moving away from informal settlements. Most local authorities are running out of options on what type of housing strategies to adopt to tackle the increasing backlogs and challenges of affordable housing. Developers are not willing to release or accommodate low-income earners on the site earmarked for housing development if there is nothing beneficiary for them. This makes the planning

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and implementation of mixed-income housing very complicated and complex. Hence, this book provides a toolkit on how to plan and the need for inter-governmental collaboration together with other social partners. Secondly, there has not been any visible housing strategy on record to tackle the racial and segregated history of apartheid approach to urban planning and housing provision in South Africa. Low-income earners are forced to squat in most part of the global south in areas with no amenities and social facilities as well as sustainable infrastructure. This book provides a tool guide on how to go about accommodating people of different race, social profile and income groups in the same settlements for greater good of the new democratic states. For the first time, poverty alleviation strategies and the social ills associated with public housing programmes can now be reviewed with a different lens using mixed-income housing development strategies and an account given of its spillover effects in terms of local economic development (LED) and infra-structural provisions in global south.

1.3 Purpose and Objectives of the Book

A framework for mixed-income housing development that uses the Delphi method is rare and not much work has been done in this regard. Hence, the development of an empirical work on mixed-income housing development framework is needed and should be supported. Below are key objectives of this study that will be pursued:

1. To find out if large-scale urban revitalization can improve the socio-spatial and economic life of the low-income earners,
2. To find out the extent of intergovernmental support and collaboration in mixed-income housing development projects,
3. To study the ideals and significance of a new approach to housing on the ground,
4. Find out whether any lessons can be learnt from the best practices on strategies for mixed-income housing development from international experiences,
5. To find out the manner and ways that communities are developing while they are implementing mixed-income housing development,
6. The linkages between urban land use planning and housing policies in this regard,
7. To also find out why is that mixed-income housing is at times faced with a lot of challenges and difficult to implement and
8. Development of a framework to guide mixed-income housing.

1.4 Research Design and Methodology

In broad terms this can be categorized and separated in groups: One method is aimed at theory (or hypothesis) testing, whereas interpretative methods are aimed at theory building. In this research we focus on positive method. This is because,

according to Jacobs and Manzi (2000), there is absence of theory testing in housing research. Hulse and Saugeres (2008), in a similar study in Australia, noted that Housing research in Australia and elsewhere has long been criticized on three related aspects: the strong but often inexplicable influence of positivism on housing research; the lack of explicit theory and failure to connect with theoretical developments in various disciplines; and the uncritical acceptance of constructs, questions and issues framed within housing policy debates. A mixed-income housing development framework is more than overdue as it will assist in guiding the implementation and decisions on human settlement strategies in South Africa and beyond as well as global south. Descriptive survey will be adopted in this research. Hence, Delphi method and Survey method is adopted. The design involves application of structured questionnaire and the utilization of SEM for data analysis. This approach is adopted to seek consensus among the experts on their view about mixed-income housing development.

1.5 Relevance of Work

Contribution into exiting knowledge is to hope for because very few works have attempted to look at the development of a framework. Furthermore, little emphasis is made on how much it costs to implement a given mixed-income housing and the implications thereof as seen in the project and whether it ends up placing additional burden to the communities. There is a need to develop a framework that can explain very well the suppositions, mechanisms, expectations and risks that underlie mixed-income housing development. Furthermore, the conceptual framework that will be developed from this book will add value to the existing debate by evaluating assumptions that is out there. In addition, this study will contribute to the discussion and solution to housing-related problems. While redevelopments of a neighbourhood are noted to create a physical space that can bring people close together, they do not always facilitate social interaction and community cohesion. Furthermore, the research intends to guide local authorities in charge of human settlement development. This book will broaden and expand the present knowledge base of mixed-income housing development projects and provide working guidelines for policy and managerial decision-making in this regard. This book will be of relevance to urban planners, estate agents, developers, housing practitioners, researchers and public servants and municipal officials, as well as all stakeholders working in human settlements space.

1.6 Implication

This book will help policy instruments to target and respond more meaningful to community needs. This book will go a long way also to assist in formulating an appropriate theoretical framework that can be used as a tool to advance knowledge and understanding of mixed-income development and strategies. Another implication of this book is to highlight how complex it is to tackle the spatial segregation and fragmentation of the South African human settlement environment, especially using

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mixed-income housing strategy. This study also provides useful insight on the need for private sector and public sector to work more closely together as well as other role players since South Africa's housing challenge is multidimensional and multi-complex, especially as it concerns the provision of low-income housing in current global economic challenges/situations.

1.7 Assumptions

The assumptions that guided this study were that participants will answer the survey honestly and that they would return each of the three phases of the questionnaire in a timely manner. It is also assumed that the information collected will be used solely as part of this book and that participants were representative of the opinions of all peers. The panellists are also assumed to have a very good idea about the issues that is investigated and have in depth knowledge of the field (Nworie, 2011:29). It is also expected that contextual issues and related drawbacks will not in any way influence the opinion of the panellists. Also, how reliable panellists will be in reporting back is of much importance (Ibid, 2011). Finally, those participants who chose to respond electronically will read, understand and respond to each phase of the survey that contributed to this book within a specified time frame without delegation of this responsibility to a subordinate.

1.8 Delimitation

The high rate of unemployment, wage differences, extreme poverty and inequality are the features of most cities. In view of this global crisis, most developed nations have adopted a housing typology to accommodate all classes, including the United States, the United Kingdom, Australia and the Netherlands. Similar trend is also emerging from the developing countries, including Brazil, Ghana, Nigeria, Botswana, Kenya and South Africa. This book is limited to South Africa because mixed-income housing development is an emerging issue, but insight will be drawn from the above-mentioned developed and developing countries. Due to time and cost, the sample stratum will be Johannesburg, as this metropolitan city is one of the major urban centres with high level of migration with attendant housing challenges. This region is very significant to this study because of the National Priority Project (NPP) on mixed-income housing projects at Cosmo City. Finally, based on the data collected, this book will develop a framework on mixed-income housing development project with a view of providing a reference empirical work that will guide the development both in South Africa and other places.

1.9 The Chapters Structure and Summary

Chapter 1: Introduction and Background: General background and introduction of the study is highlighted. It shows how significant the research is and the existing gaps in human settlements studies and development.

Chapter 2: Meaning, Goals and Implications of Mixed-Income Housing Development: Here, the various definitions and characteristics that inform and guide mixed-income housing development were explained. The goals and expectations of both government and developers as well as relevant stakeholders were highlighted.

Chapter 3: Mixed-Income Housing Development Research Theories and Concepts: This chapter discusses the relevant theoretical frameworks and the relationship to the study. The meaning of theory and how it illuminates the maturity of a discipline is explained. This chapter will further review the importance of theories in housing research in relation to explaining and predicting behaviour.

Chapter 4: Philosophical Perspectives Guiding Housing Research: The difficulties encountered by researchers are not only inherent from social sciences but also due to the complex nature of the discipline. This chapter will discuss the various philosophical perspectives and approaches that have been used in the study of housing, such as neoclassical, Marxist, socialist and neoliberal views. The differences and similarities in the approaches will be noted. This chapter also delves into the evolution of housing policies.

Chapter 5: Mixed-Income Housing Development in Developed Nations: We shall look at mixed-income housing development in the developed nations by reviewing the experience in these countries. The review will cover and compare the US, the UK, Australia, as well as the Netherlands. The objective is to identify the developed nations' mixed-income housing development strategies and how the policy has evolved over time as well as relevant shift in housing debate in these countries. This is necessary to derive lessons for the South African mixed-income housing approach.

Chapter 6: Mixed-Income Housing Development Model in Developing Nations: In this chapter, we shall look at housing development and policies in Brazil, Nigeria, Botswana and Ghana.

Chapter 7: South African Housing Policy and Legislative Framework: This chapter will review the negotiation process that underpins South African housing policy. It will also review the RDP, the Constitution, Housing Code 2009, Housing Act 1997, Breaking New Ground of 2004, NDP of 2012, SDG 11, SPLUMA 2013 and various legislations/policies that guide housing development over time.

Chapter 8: The Use of Delphi Study in Mixed-Income Housing Development: This chapter will look at the research design and methodology that is used in this book. It reviewed various arguments concerning case study and Delphi method. This chapter explains why Delphi method was chosen and the objective of Delphi Approach. It also highlights the advantages and disadvantages of Delphi as well as essential protocol observed in the compilation. This chapter will play important role in informing the development of the mixed-income housing development project framework model.

Chapter 9: Case Study Area, Cosmo City Johannesburg: This chapter looks at the survey case and response rate, the reliability of the scale and measurement of the validity of the result. This chapter also explains the unit of analysis as Cosmo City and the reason for the choice. This chapter also explains the Confirmatory Factor Analysis and variables. The dimensions, items contained in each of the Cronbach's alpha value were also shown.

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Chapter 10: Mixed-Income Housing Development Framework for South Africa and Global South: This chapter presents the Mixed-income Housing Development Framework for South Africa. The compositions and variables include: Nearness to Social Services (NSS), Community Involvement and Participation (CIP), Town Planning Approval and Policies (TPAP), Occupants Social Interactions (OSI), Access to Housing and Affordability (AHA), Intergovernmental Support and Cooperation.

Chapter 11: Outcome of the Mixed-Income Housing Development Framework Findings and Results: This chapter delves into the rounds of Delphi questionnaire and the responses from the experts. The level of consensus and dissensus are also noted and analyzed. Result suggests that affordability and proper monitoring of the development pose a challenge to government. There is also high result for intergovernmental collaboration and relation in the planning and development of mixed-income housing.