



**STAKEHOLDER MANAGEMENT IN THE UPGRADING OF THE
INFORMAL SETTLEMENTS OF WINDHOEK**

A RESEARCH REPORT PRESENTED TO THE DEPARTMENT OF CONSTRUCTION
ECONOMICS AND MANAGEMENT

BY

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ABSTRACT

The housing crisis in Namibia is spreading across the whole country and the growth of the informal settlements is threatening to overtake the country. The Namibian Government has launched various programmes to address the ever-increasing housing crisis. However, these initiatives have fallen short of their objectives, and as a result, these programmes have done little to prevent or reduce the progression of the informal settlement.

Stakeholder management has been acknowledged as a means of increasing the propensity for successful delivery of projects, however the full benefits of stakeholder management cannot be achieved without adequately addressing the factors that contributes in achieving the effective stakeholder management.

This research aims to identify the factors hindering the development of a formal stakeholder management strategy for the projects that are included in the City of Windhoek Informal Settlement Upgrading Programmes. In order to achieve this aim, previous work on stakeholder management are reviewed. A qualitative, case study approach was adopted, with semi-structured questions to investigate the current practice of stakeholder management. Thematic analysis was applied as the primary data analysis method, to identify, analyse and detect themes within the data set. The Informal Settlement Upgrading Affordable Housing Pilot Project (ISUAHPP) was selected as a case study.

The research identified that there are a number and variety of stakeholders in the upgrading of the informal settlement programmes. The research highlighted there was a main focus on internal stakeholders, which was necessary for collaboration and support required from internal stakeholder for facilitating and coordinating the implementation of different activities. Strategies used to manage the stakeholders needs and expectations were also identified as well as the factors for effective stakeholder management in the upgrading of the informal settlement programmes.

The study found that there is no formal stakeholder management in the upgrading of the informal settlement programmes, and in the absence of a stakeholder management engagement plan, the MOU and DUP were the instruments used to regulate the relationship of the identified parties. The approach used to implement the ISUAHPP affected the stakeholder management.

Keywords: City of Windhoek, NHE, Stakeholder Management, Informal Settlement Upgrading Affordable Housing Pilot Project (ISUAHPP)

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ACRONYMS

BTP	Build Together Programme
CLIP	Community Land Information Programme
CoW	City of Windhoek
CSF	Critical Success Factor
DUP	Development and Upgrading Policy
GRN	Government of the Republic of Namibia
ISUAHPP	Informal Settlement Upgrading Affordable Housing Pilot Project
KRC	Khomas Regional Council
LA	Local Authorities
MHDP	Mass Housing Development Programme
MOU	Memorandum of Understanding
MULSP	Mass Urban Land Servicing Programme
MURD	Ministry of Urban and Rural Development
N\$	Namibian Dollars
NDP 5	Fifth National Development Plan
NHAG	Namibia Housing Action Group
NHE	National Housing Enterprise
NSA	Namibia Statistics Agency
PMI	Project Management Institute
PPMO	Project and Programme Management Office
RC	Regional Council
SDFN	Shack Dwellers Federation of Namibia
UN	United Nation

1 INTRODUCTION TO THE RESEARCH REPORT

1.1 INTRODUCTION

This chapter will give a brief overview of stakeholder management and the need for an effective stakeholder management plan on projects. The research problem, research proposition, research aim and objectives will be briefly discussed and then the research methodology, research limitations, significance of the study and the structure of the research report will also be presented. This research is based on the Upgrading of the Informal Settlements programmes in Windhoek.

1.2 BACKGROUND

In many African countries, rural areas are much poorer due to some due to less economic opportunities and with less socioeconomic developments compared to urban areas. As a result, people tend to migrate to urban areas in search of a better life. These rural urban migration results in pressure on urban housing, even if available is well beyond the urban poor affordability and this leads to the formation of informal settlements. According to the 2019 report for Sustainable Development Goals, the world is becoming urbanise with more than half of the world population living in the cities since 2007 (UN, 2019). The United Nation report further states that in 2018, the number of people living in the informal settlements was estimated to have risen to over 1 billion, with 230 million people hailing from Sub- Sahara Africa. It goes on to state that as a result of this development, more informal structures have emerged therefore the need for adequate and affordable housing. It is on record that the number of people living in the informal settlements is anticipated to triple by 2030 (UN, 2019).

The human right to housing is recognised in the Universal Declaration of Human Rights in Article 25, right to housing is also enshrined in the African Charter on Human and People's Rights, furthermore housing is an issue identified in Goal 11 of the Sustainable Development Goals (SDGs) which concerns: 'Sustainable Cities and Communities' (Remmert & Ndhlovu, 2018).

Remmert & Ndhlovu (2018) further highlighted that urban areas in Namibia have seen a rapid growth in informal settlements, about 40% of urban households resided in shacks in 2016.

According to the latest estimates, about one million people out of Namibia total population of 2,5 million live in shacks (Scharrenbroich & Shuunyuni, 2020). Some of the causes of proliferation of urban informal settlements in Namibia are as follows: an increase in rural to urban migration, higher rents in urban areas, unemployment, and lack of meaningful economic activities.

The National Housing Policy was adopted by the Namibian government in 1991 as a guide to solve the country housing shortage. The policy was reviewed in July 2009 to provide a strategic and policy framework within which public and non-state entities are expected to undertake their housing development and financing operations and activities (GRN, 2009). The lack of sufficient housing remains a problem in Namibia, and the government is struggling to address it. The rapid expansion of shacks in most Namibian towns demonstrates the lack or failure of a national effort to address affordable housing as a measure to overcome informal settlement.

The Namibian government vision is to provide affordable housing to all Namibians by 2030, while also eliminate all shacks that prevail in Namibia various regions and local authority areas (GRN, 2013). The central government, regional councils and local authorities make up Namibia three-tier governance system. The Namibian Local Authority Act No. 23 of 1992 provided for the establishment of local authority councils in respect of; Municipalities, Towns, and Villages (GRN, 1992). Local government initiatives / programmes are categorized as public-sectors projects, and public-sector projects have their own set challenges.

Informal settlements are where the poor urban people live, such settlements over the years have become a large proportion of the urban population. Unplanned human settlements come with their own social problems, such as health, poor sanitation and crime. The provision of inadequate affordable housing in Namibia has become a bane for the orderly urban development, and currently there a serious shortage of affordable housing for low-income earners (GRN, 2018).

The Namibian government has failed in their effort to respond timeously to changes in the rapid urbanisation with an effective strategies, such as policy guidelines and political will resulting in the growth of poorly serviced informal settlements. The government has delegated service delivery to municipalities (Karuaihe & Wandschneider, 2018), but many local authorities are unable to provide basic services to the poor urban.

Households in informal settlements have limited individual water connections, limited or no toilets, houses made of substandard materials, and occupants have no security of tenure (Karuaihe & Wandschneider, 2018). In the informal settlements around Windhoek, shared public toilets and communal water points are commonly used to provide basic sanitation. However, most of the toilets are in poor condition, and issues with mutual maintenance obligations are often the cause of their dilapidated and dysfunction state (Weber, Beat & Mendelsohn, 2017).

1.3 BACKGROUND TO THE RESEARCH PROBLEM

1.3.1 Windhoek informal settlements growth

Windhoek is the national capital city of Namibia, approximately located in the centre of the country. It is situated at an altitude of around 1700 meters above sea level in the Khomas highlands (Weber, Beat & Mendelsohn, 2017). The 2011 population and housing report had indicated that Khomas region have experienced the highest rate of immigration, as more than 40% of the region residents were born elsewhere (NSA, 2012). The figure confirms the increase in migration of people to the city. After independence, Windhoek has rapidly expanded, from 141, 562 inhabitants in 1991 to 325, 858 in 2011 (Weber, Beat & Mendelsohn, 2017). The informal settlements accounted for a large portion of the city growth. Windhoek is home to the largest informal settlement population in Namibia, classified in three broader categories to ensure target intervention (CoW, 2019). Shacks accounted for just 3% of all homes in Windhoek in 1991, but they now account for nearly one-third of Windhoek homes (32%) in 2011 (Weber, Beat & Mendelsohn, 2017). The City of Windhoek service delivery has been put under constrain as a result of the significant population growth. The Namibia National Housing Policy (2009) pointed out that most local authorities experience an influx of people and are not yet in a position to catch up with the task of providing basic services to urban newcomers (GRN, 2009).

Informal settlements did not exist during colonial times because they were not tolerated; after independence in 1990, they began to expand as the Namibian constitution allow free movement and settlement of people. Between 1991 and 1994, the City of Windhoek established reception areas to temporarily accommodate poor immigrants with the aim of relocating them to permanent areas as soon as they become available (Weber, Beat & Mendelsohn, 2017). The

author further states that the reception areas quickly became permanent, and informal housing within and beyond them quickly expanded.

In Windhoek, informal settlers do not own the land they live on and have limited access or no access to basic municipal services (Karuaihe & Wandschneider, 2018). The author further states in their analysis of relationship between land tenure and municipal services in informal settlements, that households must have a formalised land tenure to access municipal services privately.

As the number of shacks on the outskirts of the city grows, a more concentrated and rigorous solution is needed to reverse the situation of the informal settlement. Local authorities must have a plan in place to deal with the rapid urbanisation of informal settlements, as well as interventions to prevent people from building informal houses on un-serviced open land owned by the local authorities.

1.3.2 Upgrading of the informal settlement

The Department of Housing, Property Management and Human Settlement within the City of Windhoek is responsible for the upgrading and formalization of informal settlements (CoW, 2017). The plan further states that the municipality intention is to achieve ongoing improvements in services and provide tenure of security for informal settlement households through the upgrading of informal settlements. It goes on to state that this includes ensuring that basic municipal services are provided and that residents have access to them, as well as empowering households with sufficient capital by transferring plot ownership to residents. Informal settlement upgrading includes provision of housing related infrastructure and services to the settlements.

The provision of basic services in the informal settlement has been a top priority for the City of Windhoek (CoW, 2017). The plan further states that over the years, the City of Windhoek has spent a lot of resources to provide services to many of the city informal settlements. It goes on state that the communal toilets and water taps were installed, but the CoW decided to reconsider due to the high maintenance costs, frequent water-wastage, theft, and vandalism. The municipality explored various concepts such as dry sanitation, but the concept failed primarily due to social objections (CoW, 2017).

The City of Windhoek council revised and approved the development and upgrading policy in 2019 to provide guidelines for the upgrading of informal settlements (Cow, 2019). The objectives of the development and upgrading policy includes;

- To work toward offering a variety of land development options to all of the city lower income target groups, based on their affordability.
- To develop uniform service standards for each of the development options.
- To set parameters for orderly incremental upgrading.
- To facilitate self-help development.
- To facilitate urbanization management (CoW, 2019).

The Development and Upgrading policy defines ‘upgrading’ as; “an action in which an established formal or informal settlement is regularised to provide a form of security of tenure or where new or additional municipal services are installed or a combination of these is pursued”(CoW, 2019). The policy further states that depending on the needs, priorities and affordability levels of the target community, an upgrading program can include a variety of components.

The City of Windhoek, as per the Local Authority Act No.23 of 1992 is mandated to provide among others, land delivery services to its residents through the department responsible for the upgrading and formalization of informal settlements. Various methods have been explored as part of this mandate to allow the provision of serviced land and housing at affordable prices.

1.3.3 National Programmes and Initiatives

In response to a housing crisis and the social exclusion experienced by low and ultra-low-income households, the Namibian government has launched several policy initiatives to improve access to affordable housing (Remmert & Ndhlovu, 2018). The realisation resulted in setting goals and targets delivery in Vision 2030, National Development Plan (NDP) 5 and the Harambee Prosperity Plan, and most importantly, policy and legislative framework that directs this endeavour. These initiatives included the development of various legal instruments, housing finance schemes and housing construction programmes. The accelerated influx of migrants into main urban areas has resulted in rapid settlement growth on open land owned by

local authorities, as well as significant housing and servicing problems. Namibia urban areas are projected to have about 140 000 informal homes, with the figure expected to double if the situation is not resolved quickly (Weber, B, 2017).

The following are some of the past and ongoing housing various programmes undertaken by the Government to address the ever-increasing housing crisis. They are:

The Build Together Programme

The Build Together Programme (BTP) is a self-help program that was initiated in 1992 with the aim of providing shelter to the country low and ultra-low-income earners. The programme benefits households with a monthly income of N\$ 3,000 or less, as well as middle-income earners who did not have access to credit facilities from financial institutions or who were regarded as credit risks (Weber, Beat & Mendelsohn, 2017). The author further states that the BTP was successful in offering housing options for the low income earners, but it would have scaled up significantly to be more effective in addressing the housing backlog and the growth of informal settlements. BTP also assisted in the informal settlement areas with funding in the provision of basic services such as, sanitation, roads, sewerage and electrical reticulation.

National Housing Enterprise (NHE)

The National Housing Enterprise is a state-owned enterprise that develops and finances housing for households in the low- and middle-income brackets, with monthly incomes of N\$ 5,000 - 20,000 per month or a gross income of N\$ 30,000 (Weber, Beat & Mendelsohn, 2017). The author further states that NHE has constructed over 8,000 houses countrywide between its establishment in 1993 and 2010. However, the prices of these homes as well as the requirements to apply for loans, made their houses to be unaffordable for the urban poor. For example a two bedroom house in Otjomuise area would cost between N\$ 280 000 and N\$ 303 000 in 2010 (Weber, Beat & Mendelsohn, 2017). NHE derives its mandate from the National Housing Enterprise Act No. 5 of 1993 and the enterprise delivery rate has failed to meet the annual target rate of 1,200 houses, which is required to meet the goal set by vision 2030 (Remmert & Ndhlovu, 2018).

Mass Housing Development Programme (MHDP)

The MHDP was initiated in 2013 to address the Namibia housing crisis. The programme target is to construct a total of 185,000 houses over the period of 17 years, from 2013 until 2030 (GRN, 2013). Therefore an average of 10,278 houses is expected to be constructed annually. National Housing Enterprise (NHE) implemented Phase I of the MHDP for a two year period commencing during the 2014/2015 financial year, and 4,204 houses were built (Weber, Beat & Mendelsohn, 2017). The housing units produced were much too costly for the low-income people who were supposed to benefit from the program. The structures were of substandard, and the houses were also too small to substantially reduce the national backlog and meet the rising housing demand. Owing to implementation challenges, the programme was unable to construct the requisite number of houses. The government halted mass housing initiative in July 2015 and initiated a review of the programme Blueprint document (Weber, Beat & Mendelsohn, 2017). Majority of the urban poor could not afford the houses built under the housing programmes.

Weber & Mendelsohn (2017) summarized the common challenges from the national housing programmes that; the programme was inadequate to address the national housing backlog and meet new annual housing and residential land demands (Weber, Beat & Mendelsohn, 2017). The author further states that the programme have failed to meet the needs of low, and ultra-low incomes, and the housing units provided were too expensive for the low- income segment of the population it was meant to benefit.

Mass Urban Land Servicing Programme (MULSP)

Due to the shortcomings of national housing programmes, pressure from the Affirmative Repositioning (AR) movement, and the escalating housing backlog, the Mass Urban Land Servicing Programme was initiated by the Government in July 2015 (Weber, Beat & Mendelsohn, 2017). The author further states that the programme aimed to service 200,000 plots, in order to provide a low-cost housing solution that recognizes that the availability of affordable land as a major constraint in addressing Namibia housing crisis. The pilot phase of the project started out in three towns, these being Oshakati, Windhoek, and Walvis Bay and the programme is to be rolled out to all the regions during the Harambee period. The Harambee goal is to service 26,000 new residential plots countrywide (GRN, 2019).

One of the major obstacles to providing affordable housing in Namibia is a lack of service land, the process of land delivery is time-consuming and expensive (GRN, 2018). In urban areas, local governments are the primary providers of service land, with little support from the central government. The MULSP was launched to expedite land servicing and to provide low-cost housing solutions. To date, it is not clear the number of plots that were serviced under the MULSP.

Shack Dwellers Federation of Namibia (SDFN) and the Namibia Housing Action Group (NHAG)

The SDFN is a community-based network of housing saving schemes that aims to improve the living conditions for the low-income people who live in shacks, while promoting women participation (Scharrenbroich & Shuunyuni, 2020). The authors further states that the saving scheme was established in 1998, by 30 housing groups that had been operating in Namibia since the late 1980s. It goes on to state that SDFN is made out of 889 saving groups (voluntary associations), consisting of 27,254 members, saving N\$ 32 160 606.22 and by 2020 5,836 houses were constructed countrywide.

According to Scharrenbroich & Shuunyuni (2020), NHAG was founded in 1992 as an umbrella organisation to support the saving groups. The author further states that NHAG aim is to assist the Shack Dwellers' Federation of Namibia in achieving their mission. It goes on to state that SDFN and NHAG in collaboration with the local authorities has been engaged in a comprehensive informal upgrading through a holistic, bottom-up approach, which is community based.

Community Land Information Programme (CLIP)

In 2007, The Shack Dwellers Federation of Namibia, in collaboration with the Namibia Housing Action Group, and in partnership with informal settlement communities, as well as Local, Regional and National Government, launched the Community Land Information Programme (CLIP) to collect data on Namibia current informal settlements (Scharrenbroich & Shuunyuni, 2020). The author further states that, CLIP recorded 235 informal settlements in Namibia in 2008 with 135,000 shacks accommodating about 500,000 people through informal settlement profiling. The program outcome assisted the communities to identify their immediate concerns and begin working with local authorities to solve them.

The intervention strategies are geared towards achieving the housing goals and targets set in NDP 5, the Harambee Prosperity Plan and the Vision 2030 strategy documents that are based on the Sustainable Developments Goals. However, all these initiatives have fallen short of their objectives, and as a result, these programmes have done little to prevent or reduce the progression of the informal settlements. The Namibian Government focus is on providing affordable housing, with little attention paid to providing serviced land, which is one of the most challenging aspects of providing affordable housing.

1.3.4 Project stakeholder management

Project stakeholder management is one of the PMBOK Guide's knowledge area, which represents foundational details that all project managers must be familiar with. A project stakeholder management is described by the PMBOK ® Guide (PMI, 2013: 391) as:

“the process required to identify the people, groups, or organizations that could impact or be impacted by the project, to analyze stakeholder expectations and their impact on the project, and to develop appropriate management strategies for effectively engaging stakeholders in project decisions and execution.”

Oppong et al. (2017:1040) believe that it is

.....“critical to concentrate the stakeholder management process on involving the stakeholders to increase a sense of ownership and belonging.”

Stakeholder consultation with the project beneficiaries is needed before project implementation. To better understand stakeholders potential impacts on the project, project stakeholders must be identified, with their power and influence mapped (El-Sawalhi & Hammad, 2015). Project managers must consider how to adapt their stakeholder management tools and techniques to the particular context in which the project is being implemented (Roeder, 2013).

Stakeholder management is regarded as a critical factor in determining the project performances (Srinivasan & Dhivya, 2020), and it play a critical role in achieving the project goals. Stakeholder actions and decisions are critical to the success of the project. Project environment can change in nature and affect execution of the project in different ways depending on the actions taken by various stakeholders on a project (Olander & Landin, 2008).

A formal stakeholder management must be established to ensure the project desired implementation while avoiding unnecessary conflict and disputes with stakeholders.

It is unlikely for the projects to provide optimum value for all stakeholders when stakeholders are not involved in the development of the project. The project success hinges on successful stakeholder management. Different stakeholders have varying levels of interest and investment in the project in which they are interested, therefore it is important to engage all the stakeholders in order to complete the project successful (Yang, Rebecca J & Shen, Geoffrey QP, 2015). Projects in the public sector have a large number of stakeholder, predominance of external stakeholder groups, with politically motivated agendas, which demand a more complex stakeholder engagement processes (Worsley, 2016).

The main problem in project stakeholder management is managing project relationship with the stakeholders. The management of stakeholder expectations is the responsibility of the project manager. Project stakeholder management is required to provide enough assistance to the project manager to help in the selection of appropriate options that will optimize the project overall benefit to the stakeholders (Oppong, Chan & Dansoh, 2017). The concept of stakeholder management has increase in popularity, with Yang et al., (2011) stating that the stakeholder engagement is critical to project success.

1.3.5 Stakeholder management process

Stakeholder management is one of the most important aspects to project success. Identifying stakeholders, Plan stakeholder management, Manage stakeholder engagement and Control stakeholder engagement are the stakeholder management processes included in the PMBOK Guide (PMI, 2013). The stakeholder management processes will assist the project manager in efficiently managing and satisfying stakeholder expectations and requirements. Without stakeholders, a project cannot exist, and projects fails when stakeholder interest and requirements are overlooked. The first step in stakeholder management is identification of stakeholders, which allows the project manager to determine the appropriate focus for each stakeholder or group of stakeholders (PMI, 2013). Project managers may use different approaches to identify stakeholders, and it is critical to do that early in the project to achieve project success.

Different stakeholders management process models have been proposed by several scholars for construction projects, but it seems there is no consensus on the best model (Yang et al., 2011). The author further goes on to summarised the proposed stakeholder management process models in construction projects, in his study to address research gaps in previous studies in stakeholder management. It goes on to state that many researchers (including Karlsen 2002; Young 2006; Bourne & Walker 2006; Olander 2007; Walker et al., 2008; Jepsen & Eskerod 2009) considered “stakeholders identification” be the first step in stakeholder management process. Since public sector projects involve a diverse group of stakeholders and the performance of the project is highly dependent on meeting the stakeholder needs and expectations, it is critical to identify and acknowledge project stakeholders in order to establish a robust stakeholder management process (Nguyen, Skitmore & Wong, 2009)

While it is obvious that a formal structured approach for stakeholder management is needed, one has not yet been fully developed (Chinyio, Ezekiel A & Akintoye, 2008). Since there are no well-functioning strategies, plans and processes, managing stakeholders is ad hoc, and in most cases, the project manager is responsible for maintaining stakeholders relationships (Karlsen, 2002).

1.3.6 Critical Success Factors for stakeholder management

The Critical Success Factors (CSFs) analysis is widely regarded as a useful tool for determining the key aspects of stakeholder management (Yang et al., 2009). The author further states that the CSFs methodology was developed by Rockart in 1979 to identify the essentials of stakeholder management. CSFs according to Rockart, are “areas, in which acceptable outcomes will ensure good competitive performance for the organisation” (Rockart, 1979). According to Yang et al. (2009), CFSs are those “activities and procedures that must be addressed in order to ensure successful stakeholder management”. The author further states that several studies (including Chan et al., 2001; Jefferies et al., 2002; Yu et al., 2006) have identified the CSFs approach as a way to enhance management process performance.

Many academics have suggested several CSFs for stakeholder management that should be extended to project management to ensure that stakeholders in constructions projects are effectively managed (Yang et al., 2010). The various factors suggested in previous stakeholder management studies are critical for achieving effective stakeholder management in

construction projects. Stakeholder management success depends on the factors identified. In their comparative study directly related to CSFs for stakeholder management, Olander & Landin (2008) concluded that communication and engagement with stakeholders are critical realistically defining potential benefits and negative impacts.

CSFs for project stakeholder management was explained well by Yang et al. (2009, 2010). 15 factors contributing to the effectiveness of stakeholder management in construction projects have been identified based on the literature review (Yang et al., 2011). All 15 CSFs were deemed essential for effective stakeholder management in construction projects, with respondents indicating that managing stakeholders with social responsibilities should be prioritized (Yang et al., 2010).

1.3.7 Background to the Informal Settlement Upgrading Affordable Housing Pilot Project (ISUAHPP)

With more people moving to Windhoek every day, the City of Windhoek is currently facing a lack of serviced land, resulting in a severe housing shortage, especially in the low-income categories (GRN, 2013).

In 2020, the housing backlog within the City of Windhoek municipal area was estimated at 84 000, comprising 7 600 informal settlement leaseholds, 48 233 informal numbered structures and 27 330 waiting list (CoW, 2020).

The City of Windhoek has adopted two approaches for the upgrading and regulating informal settlement in Windhoek: a fusion of the project management approach and a sustainable project funding model (CoW, 2019). The report further states that project management principles shall be used to attain the desired goal.

In July 2020, City of Windhoek in collaboration with the National Housing Enterprise (NHE) launched the Informal Settlement Upgrading Affordable Housing Pilot Project (ISUAHPP) to address the housing crisis for the Ultra-ultra-low-income groups during phase 1 and Ultra-Low and Low-Income groups during phase 2 of the project (CoW & NHE, 2021). The report further states that ISUAHPP was initiated through government intervention by the Minister of Urban and Rural Development (MURD) in June 2020, to address the housing backlog issue. The project supports the Harambee Prosperity Plan SOCIAL PROGRESSION Pillar 3, which

addresses Residential Land Servicing, Housing and Sanitation (GRN, 2019). The report further states that the target is to construct 20 000 new housing units country wide during the Harambee period.

Since the ISUAHPP implementation, the project has faced a number of difficulties, including poor stakeholder management, poor needs identifications, delays in the approval of building plans, beneficiaries hesitant to commit to the housing typologies that they qualify for based on the affordability, and the inability to conclude the deed of sales due to land ownership issues (CoW & NHE, 2021). Three of the projects listed site were already been designated for the Flexible Land Tenure System project. The Flexible Land Tenure System is an innovative concept for providing an affordable security of tenure to informal urban settlers. Land tenure formalisation is required for communities to receive private municipal services, and most of the project beneficiaries do not have legal rights to the land on which the houses will be built.

Over the course of two years, the goal is to build 1200 low-cost housing units in Windhoek informal settlement areas (CoW, 2020).

ISUAHPP is divided into two phases:

Phase 1: 02 July 2020 – 30 June 2021 (Delivery of 600 Houses)

Phase 2: 01 January 2021 – 30 June 2022 (Delivery of 600 Houses)

The demand for affordable housing in Windhoek is in the ultra - low and low economic bracket categories of affordability and an alternative solution must be sought to address this challenge (CoW & NHE, 2021).

1.4 PROBLEM STATEMENT

The problem statement is:

There is no clear strategy for the management and involvement of stakeholders in the City of Windhoek Informal Settlement Upgrading programmes.

1.5 RESEARCH PROPOSITION

The problem proposition can be stated as:

A formal stakeholder management strategy can contribute to the achievement of the project objectives.

1.6 RESEARCH QUESTION

To address the research problem statement above, the main research question for this dissertation is:

What are the factors that need to be incorporated in the development of an inclusive stakeholder management strategy for the projects that are included in the City of Windhoek Informal Settlement Upgrading programmes?

1.7 RESEARCH AIM

The aim of this research is:

To identify the factors hindering the development of a formal stakeholder management strategy for the projects that are included in the City of Windhoek Informal Settlement Upgrading programmes.

1.8 RESEARCH OBJECTIVES

The following are the study objectives:

- To identify the key stakeholders involved in the upgrading of the informal settlement programmes.
- To identify the current stakeholder management practices.
- To identify the factors that influence the adoption of inclusive stakeholder management strategy.
- Identify strategies for managing stakeholders needs and expectations

- Identify factors that can improve stakeholder management in the upgrading of the informal settlement programmes

1.9 RESEARCH METHODOLOGY

To meet the research objective, a literature review will be conducted using peer reviewed journals to review information on project stakeholder management and identify a stakeholder management process model, in-order to develop implementation strategies for managing project stakeholders.

A qualitative case study review approach will be adopted, with semi-structured interviews targeting project managers, CoW officials to investigate the practice of stakeholder management. The data gathered from the survey will be discussed and summarised into a list of factors affecting the stakeholder management process from the perspective of project implementation.

1.10 LIMITATION OF THE RESEARCH

The following limitations are noted for the methodology implemented for this research:

The scope of data collection was limited to Windhoek informal settlements, the results are area specific and generalization of the findings should be done with caution.

Due to the nature of the role of the participants chosen for this research, it proved challenging to secure the appointment to conduct interviews with the participants.

1.11 SIGNIFICANCE OF THE STUDY

The housing crisis in Namibia is spreading across the whole country and the growth of the informal settlements is threatening to overtake the country. The public is losing faith in the government response to the housing crisis, as evidence by protest by the residents of informal settlement, especially the youth. The results of this study will help to improve approaches to solving Namibia housing crisis.

The research contributes to achieve the United Nation Sustainable Development Goals. Sustainable cities and communities are the focus of Goal 11 of the Sustainable Development Goals. By 2030, goal target 11.1 aims to ensure that everyone has access to sufficient, secure and affordable housing and basic services, as well as to upgrade slums (UN, undated). As a result, the provision of affordable housing, as well as the delivery of service land and basics services in Windhoek informal settlements, is in line with the UN Sustainable Developments Goals.

This report will address the practice of stakeholder management in the upgrading of informal settlements in Windhoek. It describes the practice of stakeholder management that is currently in use and identify factors that are affecting the stakeholder management in the project implementation at the local government level.

The study will contribute to the body of knowledge on stakeholder management, from which project managers will understand how to implement successful projects in the upgrading of informal settlement programmes.

1.12 STRUCTURE OF THE RESEARCH REPORT

Chapter 1 Introduction will give a brief overview of the research topic. This chapter will provided the introduction, overview and background to the research undertaken, outlines the problem statements, research question and objectives, research methodology, limitations of the research.

Chapter 2 Literature Review - The chapter focuses on the literature review for this study.

Chapter 3 Methodology – The chapter will give an overview of the research approach and methodology applied, and the research ethics will be discussed.

Chapter 4 Research findings and discussion of the research results- This chapter will identify the findings from the data collected and this will be followed by a discussion of the findings and how the research results compare with the key issues discussed.

Chapter 5 Conclusion and Recommendations – this chapter will conclude the research and provide recommendations for future research.

2 LITERATURE REVIEW

2.1 INTRODUCTION

This chapter provides a literature review on the practice of stakeholder management in the upgrading of the informal settlements programme in Windhoek. It examines local and international literature on stakeholder management, the upgrading of the informal settlement and project success factors for the construction sectors projects to provide a conceptual framework for the study. The focus will be on the role of stakeholder management as a key success factors in the project implementation. A proper stakeholder management between the project implementers and the key stakeholders, can bring about a meaningful and a sustainable development during the project execution.

Stakeholder management is one of the ten key knowledge areas in project management and is a key determinant of project success. Project success varies from person to person and each industry will have a definition of success. The literature review consists of literature based on stakeholder theory, which will include the role of stakeholder management. A brief background on housing development in Namibians is given, present the state of informal settlement in Namibia, overview of the formalization and upgrading of the informal settlements in Windhoek is presented, the approaches used to upgrade the informal settlements, and examine the framework for stakeholder management.

2.2 OVERVIEW OF HOUSING IN NAMIBIA

Housing is a fundamental human right recognized by the Namibian Government in the Namibian Constitution (1990:9-17). The housing challenges that Namibia has and continue to have originate from the German and South African colonial administration during the apartheid regime (Remmert & Ndhlovu, 2018). The authors further states that during the apartheid regime, human settlements were segregated by ethnicity. It goes on to states that he discriminatory government policy during that time ensured that urban town centres were reserved for the white minority, while black and coloured communities were residing in overcrowded townships that were formalised but lacked proper infrastructure and basic services available in white suburbs.

2.2.1 Housing patterns in Namibia

Namibia continues to experience an acute shortage of affordable housing, and the situation has reached a socio-economic crisis proportion and hence warrants an extra-ordinary public policy response (GRN, 2013). The Namibian government has declared housing to be one of its development priorities, according to the National Housing Policy (GRN, 2009).

The housing market in Namibia can be divided into three categories, namely: low income, middle-income and the upper income sector (GRN, 2013). The report further states that low- and lower-middle income earners earn less than N\$ 4 600 per month, and these are the people who are most affected by the housing crisis. It goes on to state that the national housing backlog was estimated to be at 100 000 units in 2013, according to the *Blueprint on Mass Housing Development Initiative*, and it is expanding at a rate of around 3 700 units per year. The Blueprint report further states that the lowest income groups have the highest housing backlog, with 45 000 for those earning N\$0 to N\$ 1500 per month and 30 000 units for those earning between N\$1501 to N\$ 4 600 per month. These groups are ideally qualified to profit from low-cost / affordable and adequate programmes because they do not qualify for house loans from commercial banks due to a lack of collateral and low disposable income (GRN, 2018). One of the most visible and serious consequences of limited housing in Namibia is the growth of informal settlements.

In 2009, the National Housing Policy stated that 70% of the Namibian population can neither access nor afford conventional home loan facilities offered by the commercial banks, nor can they access urban freehold land and professional services due to poverty and limited disposable income (GRN, 2009). According to housing research conducted by the Bank of Namibia in 2011, 73% of the Namibians do not have access to credit facilities provided by the financial services sector, and as a result, they are unable to purchase urban land or quality homes (GRN, 2013).

2.2.2 Challenges in the provision of affordable housing in Namibia

There are various problems that are hampering Namibia from providing affordable housing, and the most profound constraint is the mismatch between the rising housing demands versus the supply. The Namibian government has made several efforts to improve housing delivery, but the provision of affordable housing remains a challenging task. The informal settlement

which is mushrooming throughout the country has subjected the poor urban to a deplorable living condition.

According to the Implementation of Sustainable Development Goals in Namibia Report of 2018, one of the main challenges impeding socio-economic development in the country relates to the high rate of urbanization, which contributes to the burgeoning of informal settlement areas and pressure on the financial and technical capacity of local authorities to provide basic services needed in order to meet the high demand of the increased urban population (GRN, 2018). The report further states that a further challenge is the high cost of servicing urban land and the provision of housing in comparison to the income and affordability levels of the majority of the residents, especially the lower income groups. From independence to date the housing industry has not been well regulated, leading to collusion on property prices and a rapid rise in housing prices.

The current legislative, policy and regulatory framework is another matter that needs to be reviewed to enable government to smoothly and speedily deliver housing without much bureaucratic and other impediments (GRN, 2013).

Lack of access to housing finance

The housing problem in Namibia is worsened by very limited affordability capacity due to low household income and a high unemployment rate, according to the Blueprint for Mass Housing (GRN, 2013). Access to credit facilities for the low income groups is one of the major constraints to the housing process. Due to the collateral requirements, the low-income groups cannot access housing loans from commercial institution.

Limited availability of serviced land

The shortage of serviced land in urban areas is a key barrier to affordable housing development. Land is a crucial component of the housing provision. The process of land servicing and formalising urban land is costly, with a lengthy approval process, and limited financial capacity at local authorities are contributing factors to the limited availability of serviced land (Sweeney-Bindels, 2011). The author further states that lack of available service land is both slowing down the process of housing delivery and pushing up the housing prices. Adequate

technical, planning and financial capacity is limited at the local and regional level, and this constraint delays and hampers the delivery of serviced land and housing (GRN, 2009).

Access to land tenure

The delivery of housing for the low-income group depends much on security of tenure, and the issue of secure tenure for the informal settlers must be addressed. According to the Namibia National Housing Policy (2009), the informal settlers must invest in shelter that meets the minimum standards of safety. Majority of poor households in Windhoek informal settlements do not have a formal title deed to the land they occupy (Karuaihe & Wandschneider, 2018). Despite Namibia surplus of land, it is difficult for the low-income group residing in the informal settlements to secure tenure. To respond to the demand for the secure tenure within urban areas of Namibia, a simple and affordable forms of land titles Flexible Land Tenure Act, 2012 was developed. The aim is to accelerate access to and delivery of secure tenure to people who do not have any rights to the land that they are presently occupying in informal urban areas.

2.2.3 Rapid Urbanization and Population Growth

The world is increasingly becoming urbanized, and more than half of the world population has been living in the cities since 2007 (UN, 2019). The report further states that many urban centres have been experiencing rapid and continuous growth over the years, as people continue to migrate to urban centre from rural areas to better their living conditions. It goes on to state that the rapid urbanization is resulting in a growing number of informal settlements, inadequate and overburdened infrastructure, and services such as water, sanitation system and waste collection, worsening air pollution and unplanned sprawl and this is resulting in informal settlements being a global challenge.

The growing number of informal settlements is the result of both urbanization and population growth (Weber, Beat & Mendelsohn, 2017), that are outpacing the construction of new affordable homes. Namibia like any other African countries, is experiencing rapid urbanisation and informal settlements have become a prominent feature in many of Namibia major urban centres (Karuaihe & Wandschneider, 2018). The concern on improving the living conditions of people living in informal settlements was expressed in Namibia goal to reduce the number

of Namibian households living in makeshift structures from 19% in 2016 to 12% by 2022 (GRN, 2018).

After independence, the Namibian government abolished the apartheid era policies and Namibia new constitution enshrined and protected all citizens fundamental human rights and freedoms included under article 16 to “acquire, own and dispose of all forms of immovable and movable property” and under article 21 the rights to “move freely” and “reside and settle” in any part of the country (Remmert & Ndhlovu, 2018).

Namibia was just 28 percent urbanized when it gained independence in 1990, but by 2011 it had risen to 43 percent (NSA, 2012). As the urban populations grow, so does the demand for housing and service land. People migrating to urban areas found the informal settlements as an alternative cheap accommodation (Karuihe & Wandschneider, 2018), which are marked by overcrowding, crime, poor sanitation, shortage of basic services and insufficient infrastructure. The author further states that similar trends of unplanned and rapid growth of informal settlements can be seen in other developing countries around the world. The rural to urban migration has increased the houses demand tremendously, especially on the low income group (Sweeney-Bindels, 2011). One of Namibia main development problems is the rapid growth of informal settlements (Weber, B, 2017).

The increase in the population growth has exerted pressure on the service delivery to the City of Windhoek (Remmert & Ndhlovu, 2018), leading to the establishment of informal settlements lacking basic amenities such as proper sanitation, electricity, clean water, and access to adequate health care. The living conditions of inhabitants of the informal settlement residents are very bad that the president of the Republic of Namibia declared a national humanitarian crisis in 2019.

2.2.4 Informal settlement upgrading

There is no clear definition for the term “informal settlement upgrading”. Upgrading of the informal settlement is commonly understood as measures to improve the quality of an existing shack/housing, which is located on a land occupied illegally, and often the land-use patterns and building does not conform to the regulations (Scharrenbroich & Shuunyuni, 2020). The CoW upgrading policy has defined upgrading as an “action whereby an existing formal or

informal settlement is regularized to provide a form of security of tenure or where new or additional municipal services are installed or a combination of these is pursued (CoW, 2019). Therefore the term informal settlement upgrading referred to formalization of a township with formal services and land tenure security.

The term formalisation, informal settlement upgrading and upgrading of the informal settlement will be used interchangeably which referred to the physical improvement of the inhabitant livelihood. Physical services improvement referred to the provision of standard basic services that are essential to the livelihood of human being, such as water, sanitation, and where possible road and electricity CoW, 2019).

Informal settlements or settlements of the urban poor are a global challenge, which many countries are going through, and Namibia is no exception (Karuaihe & Wandschneider, 2018). They are the outcome of government failure to provide appropriate and affordable housing for the urban areas (Khalifa, 2015). Informal settlements are usually not in adherence with the land use and local authorities building regulations. The implications and responses engendered by this challenge are often unique to a particular context.

The main priority of the City of Windhoek has been to upgrade certain existing informal settlements, where significance resources have been committed, with relatively low-cost land made available to low-cost settlers (Weber, Beat & Mendelsohn, 2017). The upgrading paves the way for the provision of basic essential services.

The City of Windhoek did not have a policy document determining the manner in which the informal settlements would be managed prior to 1999. In 1999 the City of Windhoek approved the Development and Upgrading Strategy following extensive research on sustainable land delivery to the low and ultra-low households (CoW, 2019). The strategy sought to established development options for the city low and ultra-low income household.

The Development and Upgrading Policy has classified the Windhoek informal settlements into three broad categories to ensue targeted intervention (CoW, 2019).

- **Resettlement/ Relocation area:** Informal settlements that fall in this category are difficult to upgrade *in-situ* due to several reasons. Relocations whether partially or in full is

necessary. Small pockets of land in these areas may be partially upgradeable, but the number of households that can be accommodated can only be determined after an assessment of the development potential.

- **City of Windhoek Upgrading Area:** Informal settlements that fall in this category can be upgraded *in-situ* with or without challenges. The City of Windhoek leads the upgrading efforts.
- **Self-Help Upgrading Area:** Self-help upgrading area refers to an informal settlement or a specific area within an established informal settlement where land is allocated to a self-help group for the purpose of improving their living conditions in terms of order, tenure ship and services, or a combination of these factors. The self-help group leads the upgrading efforts in line with the conditions set out in an agreement between the City of Windhoek and the group.

Infrastructure development in the informal settlement is completed in a top-down approach, with just a little input from the settlement inhabitants (Gao, Stauch & Jackson, 2007). The implementing agencies do not recognize the beneficial needs, and projects are often rejected by the beneficiaries.

2.2.5 Upgrading Initiative and Programmes

Other countries such as Morocco, Chile, Brazil, South Africa, Thailand, Singapore and Malaysia, had already adopted an approach to address the problems of informal urbanization, and these countries were identified in the Blueprint for the Mass Housing for a detailed study to inform the crafting of the program before its implementation (GRN, 2013). Namibia has no national policy for addressing informal settlements, despite the fact they are threatening to become a permanent component of the urban landscape.

In 2019, the City of Windhoek Council revised and approved the Development and Upgrading Policy (DUP) to provide guidelines for the upgrading of the informal settlement. The upgrading and formalization of informal settlements follows several processes involving a number of internal and external stakeholders. The land development processes is grouped into major transformative processes; *in-situ* upgrading and brownfield development, new land development or Greenfield development, and minor operational processes; further upgrading (CoW, 2019). The policy further states that project management principles shall be used in the

upgrading of the informal settlements projects to attain the desired ends. The upgrading strategy is a formal plan developed by municipalities to guide them through the upgrading process.

The two techniques to upgrade informal settlements are; total redevelopment or *in-situ* upgrading (Del Mistro & Hensher, 2009; Cow, 2019). The author further explained that *in-situ* upgrading or Brownfield development refers to the upgrading of a community living condition on the site where the community is settled. It goes on to explain that the new land development or Greenfield development refers to land development on a terrain where no households are settled at the time of panning. The new land development requires relocations of households whether partially or full to another Greenfield site as the area must be demolished (Del Mistro & A. Hensher, 2009). The author further states that Greenfield sites are usually further from urban opportunities, which may cause disruption in the social network and affect the economic network. It goes on to states that excess households in *in-situ* upgrading projects are relocated to serviced land in Greenfield development to allow for the completion of the upgrading and formalisation process.

The *in-situ* upgrading, or Brownfield development is the preferred upgrading approach, which aims at upgrading the community living conditions, by installing additional services and subdivision for private ownership with a minimal disruption to the resident lives (Del Mistro & A. Hensher, 2009). According to the DUP, the *in-situ* upgrading process is completed in four phases (CoW, 2019); namely;

Phase 1: Feasibility and Planning Phase

Phase 2: Designs and Tender Phase

Phase 3: Construction Phase

Phase 4: Post-Construction Phase

CoW municipality also have an affordable housing policy that was approved by council in August 2021, to govern the housing activities and processes within the City of Windhoek. The policy aims to provide direction towards ensuring that many residents of Windhoek achieve their dreams of owning a house and it will be implemented through various Affordable Housing

Programmes that council will implement, whether be it in the brown fields or green fields (CoW, 2021).

2.2.6 Current Community Participation

CoW has a community participation policy that “indicates awareness of a democratic process of engaging people, which improves the public understanding of the city responsibilities and ensures greater compliance and increased ownership of solutions, and improving the city credibility within the community” (CoW, 2019: 27-28). The development and upgrading policy (DUP) has provided guidelines on the processes that should be followed when engaging with the community in the informal settlements areas, and the project beneficiaries shall be informed of the development level. For the purpose of ensuring effective public participation, all the informal settlements supplied with communal services by the municipality is required to form a neighbourhood committee. The neighbourhood committee will act as “communication channel with council, whereby the council will have one legal person to deal with instead of all individuals within that community” (CoW, 2019:20).

Community participation is encouraged in a housing project, to ensure the residents co-operation and to empower them with the skills needed for self-help (Mohlasedi & Nkado, 1999).

2.2.7 Informal Settlement Committee

The council has established the Informal Settlement Committee via resolution 344/10/2004 and in terms of section 26(1) of the Local Authorities Act, 1992 (Act 23 of 1992) to facilitate efficient and effective implementation of informal settlement upgrading projects and advise management committee and council accordingly (Cow, 2019). The policy further states that informal settlement committee is made up of representative from different division within the organization whose presence will benefit the committee core business, with the departmental head in charge of coordinating the upgrading and formalization of informal settlements serving as chairperson. It goes on to state that the committee will convene on a quarterly basis, or as needed, and the chairperson shall prepare a quarterly reports to update the management committee and council about progress on the implementation of projects aimed at improving the living conditions in informal settlements. The division responsible for the upgrading and

formalization of informal settlements function provides facilitation and secretarial duties to the committee.

2.3 STAKEHOLDER MANAGEMENT AND PROJECT SUCCESS

A project is defined as a temporary organization of stakeholders with the aim of achieving a common goal, and a significant stakeholder cooperation is required for the project success (Liang, Yu & Guo, 2017). The goal of stakeholder management is to achieve the project objectives through ongoing development of stakeholder relationships (McElroy & Mills, 2000). It is necessary that the project managers develops a relationships with project stakeholders to ensure successful delivery of the project outcomes (Bourne & Walker, 2006b).

Construction project management focus has been on the process over the years, resulting in excellent planning and management of the complex series of activities needed in delivering successful projects (Morris, 1994). Construction projects were considered to be successful provided they met the project of budget, quality and time, but the perception of project success has changed overtime to includes; stakeholder satisfaction and effective management of stakeholder involved (Nguyen, Skitmore & Wong, 2009). The expectations of stakeholders and their views of the value generated by the project are often tied to the project success or failure. The interaction and interrelationships that occur among the stakeholders involved in a project determine the overall successful completion of the project (Takim, 2009). Many projects fails because project vision and goal are not supported by stakeholders (Bourne & Walker, 2006a). Many times, project managers fail to recognise shifts in key stakeholder relative influence and fails to make necessary adjustments to project stakeholder management operations.

Project success has been linked to the effective and continual engagement of all project stakeholders (Bourne & Walker, 2005; Olander, 2007; Chinyio & Akintoye, 2008). Nguyen et al. (2009) backed up (Mallak et al., 1991 and Sanvido et al. (1992) arguments that projects are regarded successful when the stakeholder expectations are met. According to Ling et al. (2017), stakeholders have a significant impact on project success, especially in complex projects with various stakeholders, and it is essential to understand their impact on a project for a successful project management and implementation. As a result, stakeholder management has been

promoted as a critical technique for project success in construction projects (Molwus, Erdogan & Ogunlana, 2014).

Project managers need to assess the impact of stakeholders on the project to enhance the likelihood of project success, as project stakeholders can have a positive or negative impact on projects. Bourne & Walker (2005) support the views of Cleland (1999) that a successful completion of project deliverables is critically dependent upon relationship management skills, in addition to the ability to achieve project objectives that fully address stakeholder expectations throughout the project lifecycle. If all stakeholder needs and wants have not been met, the project cannot be considered a success (Bourne & Walker, 2006b). A project creates value when the stakeholder needs are met by an organization. Previous researchers have indicated that lack of or inadequate stakeholder management have attributed to project failures (Olander & Landin, 2008; Bourne & Walker, 2005).

The expectations and perceptions of the project stakeholders involved on the project can have a significant impact on the project success or failures, and failure to address the stakeholders concerns has resulted in project failing (Bourne & Walker, 2005). Using a systematic strategy to identify and manage stakeholders during the project delivery process can also contribute in overcoming stakeholders problems (Yang, Rebecca J. & Shen, Geoffrey Q. P., 2015). Stakeholder problems may manifest as conflicts and controversies, which can obstruct the project implementation process, consequently resulting in delays, cost overruns and dissatisfactions (Karlsen, 2002; Olander & Landin, 2005; Yang et al., 2015).

2.3.1 Critical Success Factors (CSFs) for Stakeholder Management in Construction Projects

Critical success factors (CSFs) is defined by Rockart (1979) as “areas in which results, if they are satisfactory, will ensure successful competitive performance for the organisation”, (Yang, J. et al., 2009). CSFs has been viewed as those critical areas of managerial planning and action that must be practiced in order to achieve effectiveness (Saraph, Benson & Schroeder, 1989). Yang et al. (2009) defined CSFs as those activities and procedures that should be addressed in order to ensure effective stakeholder management. According to Yang et al., (2011), critical success factors are those activities and practices that should be handled in order to balance stakeholder interest and further ensure that projects are moved forward. The project CSF are

the factors that contributes to the project outcomes. As a result, recognizing stakeholder- related aspects can enable suitable decision-making strategies to be implemented during project planning (Yang, Rebecca J & Shen, Geoffrey QP, 2015).

The approach of CSFs was first developed by Rockart in 1979 by identifying the essential of stakeholder management (Amoatey & Hayibor, 2017). Previous research (Olander & Landin, 2008; Chinyio & Akintoye, 2008) revealed many elements considered critical to the performance of stakeholder management in construction projects, although researchers used different terminologies to identify the CSFs. Olander & Landin (2008) have identified four factors affecting stakeholder management process: “analysis of stakeholder concerns and needs; communication of benefits and negative impacts to stakeholders; evaluation of alternative solutions; project organisation and media relations”. The authors have shown the necessity of analysis of stakeholder concerns and need by a case study in Sweden. Being proactive, offering top level support, preserving existing relationships, responding to power interest dynamics and employing a systematic approach are all critical factors to successful stakeholder management (Chinyio, Ezekiel A & Akintoye, 2008).

The study of Yang et al. (2009, 2010) was highly thorough and gives a good understanding of CSFs for project stakeholder management, particularly in construction project. Yang et al. (2009) identified and grouped 15 CSFs for stakeholder management in construction projects using an integrated method that included a literature review, face to face interviews, a pilot study, and a questionnaire.

Based on the thorough review of the literature on stakeholder management in construction, the identified CSFs are found to have a considerable influence on stakeholder management and are seen as crucial to the success of stakeholder management in construction project. Amoatey & Hayibor (2017) identified CSFs that have an impact on effective project stakeholder management at the local government level.

Some of the CSFs scored highly by Yang et al., (2009) and Amoatey & Hayibor (2017) are briefly discussed to understand the impact they each have on stakeholder management process.

Communicating with and engaging stakeholders properly and frequently:

The project management team must manage the differing stakeholder demands by having an effective communication with the stakeholders early in the project life cycle (Olander & Landin, 2008, Yang et al., 2009). Clarifying roles and responsibilities early in the project improves communication (Karlsen, 2008).

Identifying stakeholders properly: Most authors studying stakeholder management have emphasized the critical role of identifying project stakeholders (Karlsen, 2002; Walker et al. 2008; (Amoatey & Hayibor, 2017). Before classifying and managing stakeholders, they must first be identified (Frooman, 1999). The author further asked three general questions about stakeholders that need to be answered: 1. Who are they (should be answered first), 2. What do they want and 3. How are they going to try to get it.

The project management team frequently fails to properly identify stakeholders from the beginning of the project. One of the major causes of completed projects becoming white elephants in many communities has been identified as a lack of proper identification of beneficiaries as key stakeholders of a local government infrastructure project (Amoatey & Hayibor, 2017). The author further states that proper identification of stakeholders at the project inception allows for a better understanding of their demands and a better possibility of the project achieving the stakeholder specific expectations.

Formulating a clear project statement: Developing a clear project statement is a must requirement for effective stakeholder management and project success (Amoatey & Hayibor, 2017). As Yang et al. (2009) pointed out, the project manager must have a better understanding of the activities and objectives at each stage of the project lifecycle.

Keeping and promoting good relationships: Maintaining positive relationships among project stakeholders is critical for project success and achieving stakeholder expectations (Savage et al., 1991). This can be achieved by building trust and commitments with stakeholders throughout the project. The most important component in stakeholder management is maintaining good relationships among stakeholders and the project. Karlsen et al. (2008) observed that trust and commitment among stakeholders may be developed and maintained through effective relationship management. According to Aaltonen et al. (2008),

the key challenges in project stakeholder management is managing the project relationship with the stakeholders.

2.4 PROJECT STAKEHOLDER

The use of stakeholder theory in management literature dates back to 1963, when the term ‘stakeholder’ first appeared in a Stanford Research Institute international memorandum (Freeman, 2010), to expand the belief that shareholders were the sole group with whom management needed to be concerned with (Von Meding et al., 2013). Following the publication of *Strategic Management: A Stakeholder approach* by Freeman in 1984, the term stakeholder became better known in the business field. Freeman described the concept of stakeholder as “any group or individual who can affect or is affected by the achievement of the organization objectives” (Freeman, 2010). Stakeholders may be affected by the organization decision, policies, practices, or actions, and the stakeholders may also affect the organization policies, decisions, performances, and actions. Therefore, with stakeholders there is a potential two-way exchange of influence (Buchholtz & Carroll, 2012). Organization need to take into accounts the views of those who can be affected or who can affect the organization activity whilst making decision. According to Mitchell, Agle and Wood (1997) all stakeholders contributes positively to the organization development and must be prioritized in terms of their powers to affect the organization action and urgency.

Construction companies have recognized the importance of stakeholder in recent years due to the diversity, power and impact of stakeholders. Stakeholders may exert influence over the project and the deliverables due to their interest on the project; therefore, it is crucial that all stakeholders are recognized and managed in order to achieve a set of results that meet the strategic business objectives. Furthermore, stakeholders are not static, but rather dynamic, and must be monitored for changes and responded to in order to avoid any negative effects to the project. A continuous assessment of stakeholder power and interest is required to determine an appropriate approach of engaging with them (Chinyio, Ezekiel & Olomolaiye, 2010). Individual stakeholders would have their own reasons for being involved in the project, which could lead to competing priorities and disputes (Karlsen, 2002). The project management team must first identify the stakeholders who may have an impact on the project and then handle their various needs.

Figure 2-1 depicts the relationship between the project, project team, and other stakeholders. When stakeholders participate in a project, their levels of responsibility and authority vary, and they can change over the project life cycle (PMI, 2013). The project manager must pay attention to the needs of the stakeholders throughout the project lifecycle in order to handle any issues that may occur. Stakeholders may perceive a project as having both positive and negative outcomes, and they can also positively or negatively impact the project goals (PMI, 2013).

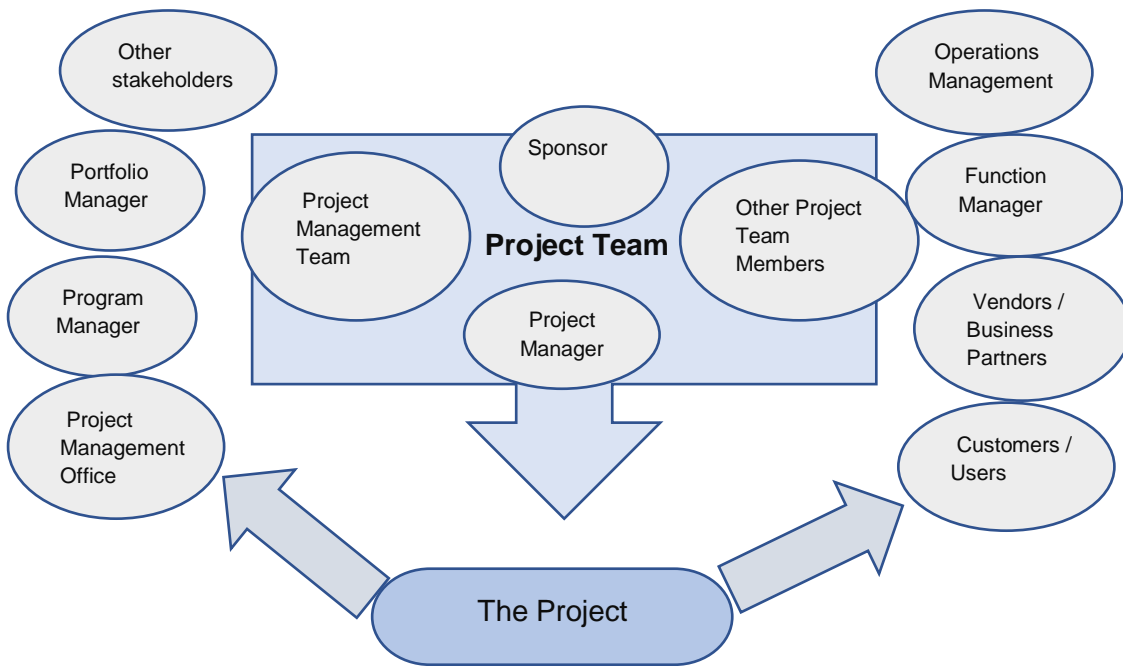


Figure 2-1 The relationship between stakeholders and the project (Adapted from PMI, 2003)

2.4.1 Definition of Stakeholders

Freeman definition is traced back to the memo from Stanford Research Institute which states that stakeholders are those groups without whose support the organization would cease to exist (Olander, 2007). The definition of stakeholder has been further clarified by other scholars after Freeman, and stakeholders are now usually understood as any individuals or groups of individuals with a direct interest in a project or organisation. Freeman definition of stakeholders is viewed as being broad, as he defines stakeholders to be those that affect or affected, and it is reasonable to assume that all groups or individuals can be characterized as stakeholders (Olander, 2007). There are several definitions of stakeholders in the literature. A

narrower definition of project stakeholders has been adopted, as people and organisation (both internal and external) who are either actively involved in the project or whose interests may be affected by the project implementation by (Burke, 2004). Mitchel et al. (1997) focusses mainly on the individuals/groups of direct relevance to the core economic interests of the companies involved. Those that are not directly involved in the project or may not be affected by the project outcome but can influence the project outcome are not considered to be stakeholders.

The PMBOK Guide defines a project stakeholder as “individuals, groups, or organizations who may affect, be affected by, or perceive themselves to be affected by a decision” (PMI, 2013: 563). The guide further states that stakeholders may be actively participating in the project or have interests that are influenced positively or negatively by the project execution or completion”.

The broad definition of project stakeholders will result into a larger list of stakeholders, which is realistically for the public sector projects. Achieving success in an informal settlement upgrading project will not be an easy task, and the development of a construction project necessitates a large integration of effort and careful management of stakeholder interest (Nguyen, Skitmore & Wong, 2009). A broad definition considers a vast number of people and organizations that are directly and / or indirectly involved in the project, ensuring that no potential or actual stakeholder is excluded. Chinyio & Akintoye (2008) stated that construction project often involve many stakeholders and the influence of each stakeholder would vary. With this definition, a net is casted more broadly to anyone who might be impacted by the project outcome, as well as to the groups or individuals who may be able to influence the project. Ideally is to have inputs of all stakeholders who may be affected by the project in the process, although it is not realistically feasible (Roeder, 2013).

For the purpose of this study, the definition of project stakeholders that will be utilized throughout this research will be as defined by the Project Management Institute;

“individuals, groups, or organization who may affect, be affected by, or perceive themselves to be affected by a decision, activity or outcome of a project.” (PMI, 2013: 30)

This definition will be adopted in this study, with the term stakeholder referring to both individuals and groups of individuals, as well as organizations.

2.4.1.1 Stakeholder Identification

Stakeholder identification and classification is the fundamental part of stakeholder management, which enables the project professionals to recognize and understand the stakeholder perceptions and influential strategies (Khan et al., 2021). The significance importance of identifying stakeholders has been pointed out by many scholars studying stakeholders (Walker et al., 2008; Karlsen, 2002 and Olander, 2007). Before classifying and managing stakeholders, the question of “who are stakeholders” should be answered first (Frooman, 1999).

PMI (2013) states that stakeholders consists of all members of the project team, including all interested internal entities or external organization. In order to determine the project requirement and expectations of all parties, the project team identifies both internal and external stakeholder (PMI, 2013:30).

According to Karlsen (2002), the number of stakeholders involved or interested in the project can drastically increase the complexity and uncertainty of the situation. The author further states that each of these stakeholders usually have their own interest in the project, which may cause different priorities and conflicts. The most typical stakeholders on a project are shown in Figure 2-2.

The early identification of project stakeholders is critical because it lays the groundwork for defining the project boundaries, who is and is not involved in the project, who must be consulted, whose views must be accounted for (Worsley, 2016).

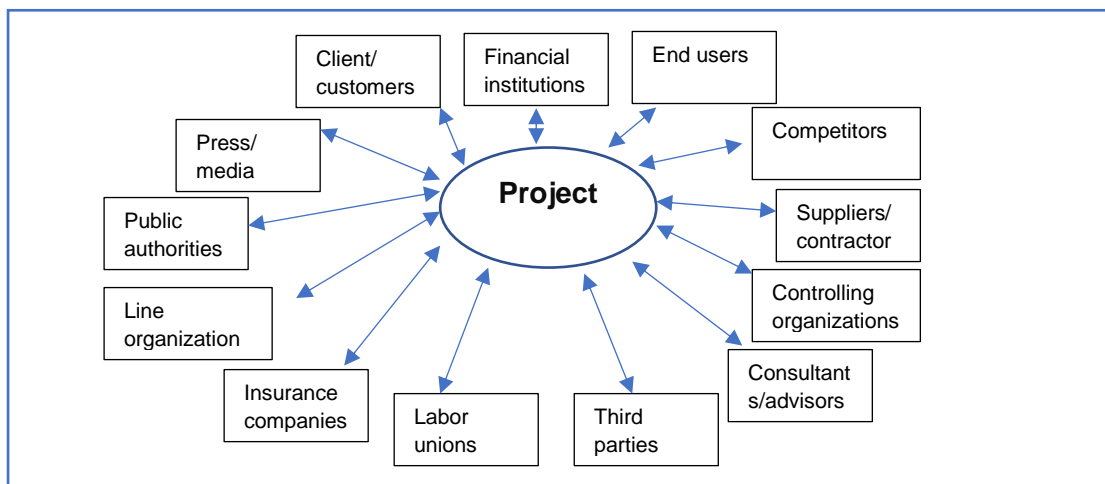


Figure 2-2 Different project stakeholders

(Adapted from Karlsen, 2002)

One of the causes of local government projects failures that has been identified is that, project managers fail to properly identify all stakeholder types and manage them as stakeholders (Amoatey & Hayibor, 2017), during the project life cycle. Inadequate stakeholder engagement, difficulty identifying the invisible stakeholder, unclear stakeholder objectives, and inadequate communication with stakeholders are all problems that have been found in stakeholder management in construction projects (Bourne & Walker, 2006b). Stakeholder identification is an essential part of stakeholder management process, as it empowers the project teams to portray the stakeholder environment in a clear and concise manner (Khan et al., 2021).

The important step in stakeholder management is knowing the project stakeholders and their characteristics relative to the project, which can be achieved through adequate definition of stakeholders. The definition of stakeholders is not clearly certain and there has been much debate relating to the definitions of stakeholders (Nguyen, Skitmore & Wong, 2009), despite that stakeholder management is recognised as an important strategy for achieving project success, various authors have defined project stakeholders in different ways. Definition of stakeholders provided by (Mitchel et al., 1997; Walker et al.; 2008 Olander, 2007; Burke, 2004) are criticised for being too narrow, while others for (Freeman, 1984; PMI, 2013) suffers criticism for being too broad.

2.4.1.2 Stakeholder Classification

The work of Mitchell et al. (1997), regarding identification and salience suggested that to better understand “The Principal of Who and What Really Counts,” there is a need to evaluate stakeholder-manager relationships in a systematic manner (Mitchell, Agle & Wood, 1997). The authors further explained that Salience is the degree to which manager gives priority to competing stakeholders, and managers are likely to pay more attention to and respond to the claims of those stakeholders that they perceive to have more salience. The authors then went on to introduce a model of stakeholder identification based on attributes such as: power, legitimacy, proximity and urgency.

Stakeholders in construction projects can be classified into two groups based on their relationship with the client: internal and external stakeholder (Olander, 2007). Internal stakeholders are individuals who are directly involved in the organization decision - making process and are directly participating in the project implementation (for example owners,

employees and shareholders). External stakeholders are the second group of the project stakeholders who have no contractual relationship with the project owner but can be affected by the project outcome (Winch, 2004). Table 2-1 depicts the categorisation of stakeholders, with some examples.

Project stakeholders			
Internal Stakeholders		External Stakeholders	
Demand Side	Supply Side	Private	Public
Client	Architects	Local residents	Regulatory agencies
Financiers	Engineers	Local landowners	Local governments
Client Employees	Principal contractors	Environmentalists	Regional governments
Client customers	Trade contractors	Archaeologists	National government
Client tenants	Material suppliers	Non-governmental organisational (NGOs)	International government agencies
Client suppliers		Media	

Table 2-1 Categorisation of stakeholders

(Adapted from Winch, 2004)

Another delineation considers primary versus secondary stakeholders. Primary stakeholders have a direct stake in the organization, and it cannot survive without the continued participation (Buchholtz & Carroll, 2012). They are in an undeviating association with the organization and have direct authority over the business. Secondary stakeholders are those who influence or are influenced by the organization but are not essential to the organization survival (Buchholtz & Carroll, 2012). They are not directly connected with the crucial business as they do not have a formal contractual agreement with the business. Secondary stakeholders have the ability to influence the organization even though they are not directly involved in the company economic activity.

Stakeholders can be divided into different groups according to the attributes they possess (Olander & Landin, 2008). The stakeholder attributes are defined as follows:

Power: May arise from stakeholder ability to mobilize social and political forces, as well as their ability to withdraw resources from the project organization (Olander & Landin, 2008).

Legitimacy: Refers to the perceived legitimacy of claim made by a stakeholder. It can be stated in terms of project stakeholders bearing some risks that could be useful or destructive to the project. The more credible the stakeholders grievances are, the more likely they are to receive positive responses from the organization (Mitchell, Agle & Wood, 1997).

Urgency: The degree to which stakeholders claims must be addressed. It is based on two attributes (1) time sensitivity, which is the extent to which managerial delay in attending to the claim or relationship unacceptable to the stakeholder, and (2) criticality, which is the relevance of the claim to the stakeholder (Olander, 2007).

Mitchell et al. (1997) has categorized the stakeholders according to the occurrence of one, or all three of the mentioned attributes. Figure 2-3 shows the seven potential stakeholder types. As a one size fits all approach does not work, categorizing stakeholders enables the project manager to strategically manage stakeholders (Roeder, 2013). It is crucial for a project manager to establish good relations with the stakeholders who are identified as being most crucial for the project (Karlsen, 2008).

Stakeholders classes can be identified by their possession of any one, two or combination of all stakeholder attributes defined as follows (Mitchell, Agle & Wood, 1997):

1. **Dormant stakeholders:** Even though they have the power to impose their will, they have no real and pressing claim on the project. As a result, their power will go unused, and they may not exert any pressure on the project.
2. **Discretionary stakeholders:** They have the quality of legitimacy, but no power or immediate claim. Managers are not under any obligation to maintain to an active relationship with such stakeholders.
3. **Demanding stakeholders:** These class of stakeholders have attributes urgency but have lack the attributes power or legitimacy. They are demanding stakeholders, but not warranting more than passing management attention.

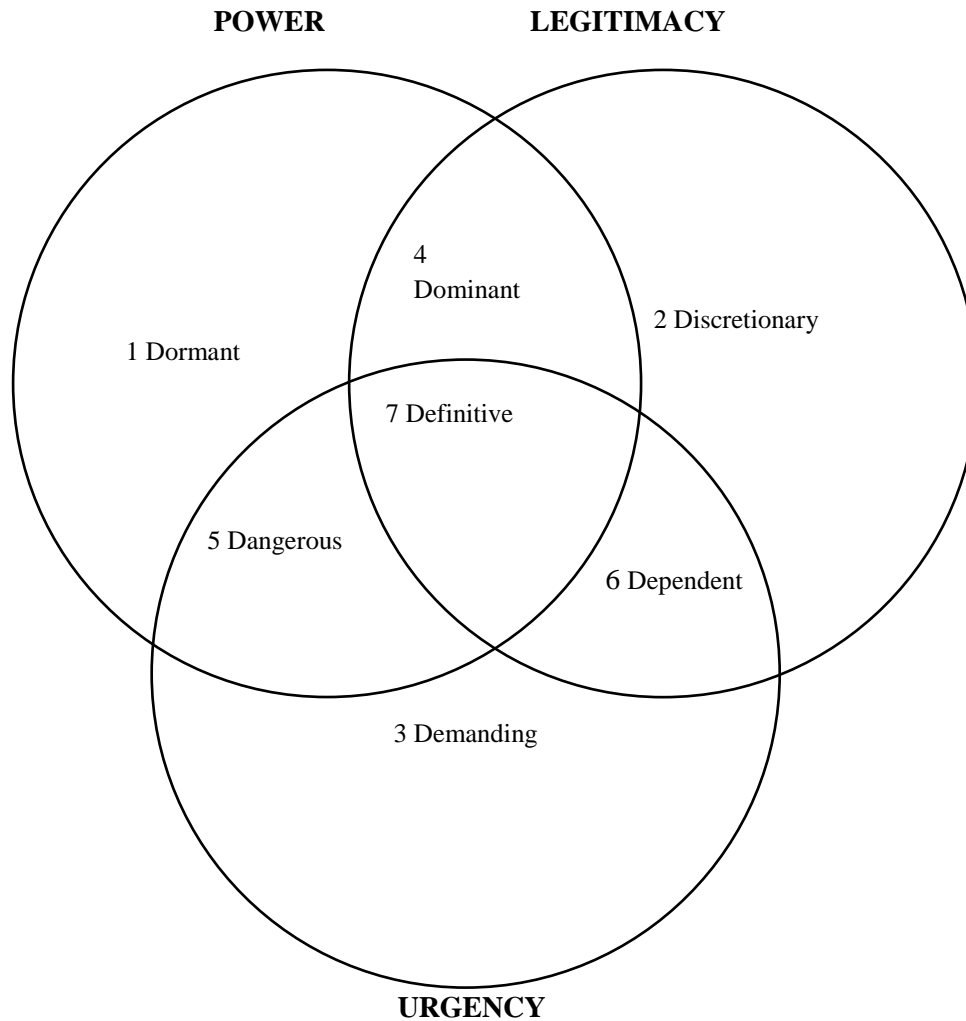


Figure 2-3 Categorising stakeholders based on their attributes (Adapted from Mitchell et al., 1997, p837)

4. **Dominant stakeholders:** These stakeholders are both powerful and legitimate. They have an essential place in management assessment stakeholders needs due to their power and legitimacy.
5. **Dangerous stakeholders:** They have the attributes of urgency and power, but they are untrustworthy. They will coercive and possibly violent, making them dangerous.
6. **Dependent stakeholders:** These stakeholders have urgent and legitimate claims, but they don't have any power. They rely on other stakeholders to provide them the power they need to carry out their plans.
7. **Definitive stakeholders:** These are the stakeholders that possess both power and legitimacy. They will already be members of an organisation dominant coalition. When such stakeholders claim is urgent, managers have a clear and immediate mandate to attend and give priority to that stakeholders claim.

Stakeholders that possess a single attribute are deemed to be latent, low salience stakeholders and managers may not even recognise those stakeholders existence (Mitchell, Agle & Wood, 1997). These author further states that the stakeholders are classified as dormant, discretionary and demanding stakeholders. It goes on to state that the expectant stakeholders are those who possess attributes, and the two attribute moderate salience stakeholders are seen as expectant stakeholders. The three expectant stakeholders’ classes are dominant, dangerous and dependent stakeholders (Mitchell, Agle & Wood, 1997). The author further states that expectant stakeholders can become a definitive stakeholder by acquiring the missing attribute. It goes on to state that definitive stakeholders have high salience, and possess all three stakeholder attributes of power, legitimate, and urgency. Categorizing stakeholders helps project manager to develop the stakeholder management strategy (Roeder, 2013).

A major aspect of every project analysis is determining the importance of stakeholder expectations. As shown in Figure 2-4, the power/interest matrix can be used to classify stakeholders in relation to the power that they hold and their level of interest in the project. According to Newcombe (2003), stakeholders with little interest in project activities and little power to influence them will require minimal effort; those with a high level of interest in project activities but little power to influence them will need to be kept fully informed of major decision; stakeholders with high power to influence but little interest in the project are the most problematic to manage. The author further states that the stakeholders in Zone D are the key players, and the acceptability of decisions to the key stakeholder is a major consideration when formulating project strategy.

		Level of interest	
		A	B
Power	Low	Minimal effort	Keep Informed
	High	C Keep Satisfied	D Key players
		Low	High

Figure 2-4 Stakeholder power/interest matrix

(Adapted from Newcombe, 2003)

2.4.2 Stakeholders in Local Government Projects

The list of stakeholders for a public sector program is often long and it is important that all the stakeholders are considered in the project, as the different stakeholders are likely to have competing expectations that might create conflicts within the project (PMI, 2013). The list will include those that have an interest in the programme being implemented, specialist who can contribute their expertise, and the power brokers who can use their influence in favour of the programme (UN-Habitat, 2014). Stakeholders will have varying and sometimes conflicting interests and expectations (Amoatey & Hayibor, 2017), which are contributing factors to the success or failure of projects. Without proper management techniques, this can become overwhelming for the project manager.

The key stakeholders in the housing sector in Namibia is the Government, and this is captured in a number of government policies and documents including the 2009 revised National Housing Policy (Remmert & Ndhlovu, 2018). Staff from relevant local authorities, beneficiary communities, project sponsor, contractor, the project team, suppliers, civil society organizations, and all the relevant government line agencies are all stakeholders in local government projects (Amoatey & Hayibor, 2017). The author further states that one of the major cause of several completed government infrastructure projects being rejected by the community is a failure to identify communities beneficiaries as key stakeholders in the project.

The Institute for Public Policy Research (2011) and the Namibia National Housing Policy (2009) have identified 10 groups of key stakeholders in the housing delivery in Namibia illustrated in Figure 2-5, which closely aligns to that presented by Cadle & Yeates (2004) and Winch (2004). Housing is a complex area, which involves many different stakeholders from government, financial providers to the builders of houses (Sweeney-Bindels, 2011). The identified stakeholders may not all be actively involved in the project or program but might have an interest that may be positively or negatively affected by the performance or completion of the project (PMI, 2013).

The public sectors projects have complexity in their nature because of the various stakeholders involved, and disagreements among parties may adversely affect the project implementation. Financial Institutions are grouped separately from services and materials because they play a unique role in the housing industry by providing funds to consumers directly through mortgages, micro-finance, or indirectly through agreements with the National Housing

Enterprise (Sweeney-Bindels, 2011). Specialist such as Town Planners, Civil Engineers and Land Surveyors plays a crucial role in the land delivery process by contributing their professional expertise, and they must also be identified as stakeholders in their own rights since the housing crisis is caused by the shortage of serviced land.

Stakeholders in housing delivery can roughly be divided into the central government, regional and local authorities, private sector and civil society (Remmert & Ndhlovu, 2018). The key players in housing delivery and their roles and responsibilities are described as follows:

Regional and Local Authorities – They play a crucial role in ensuring efficient and long-term housing delivery. Regional and Local governments are responsible for land use and development planning and regulation, provision of bulk and internal engineering services and the creation and maintenance of the public environment, according to the Namibia National Housing Policy (GRN, 2009). They are also in charge of formalisation of informal settlement areas and implementation of low-cost housing programmes.

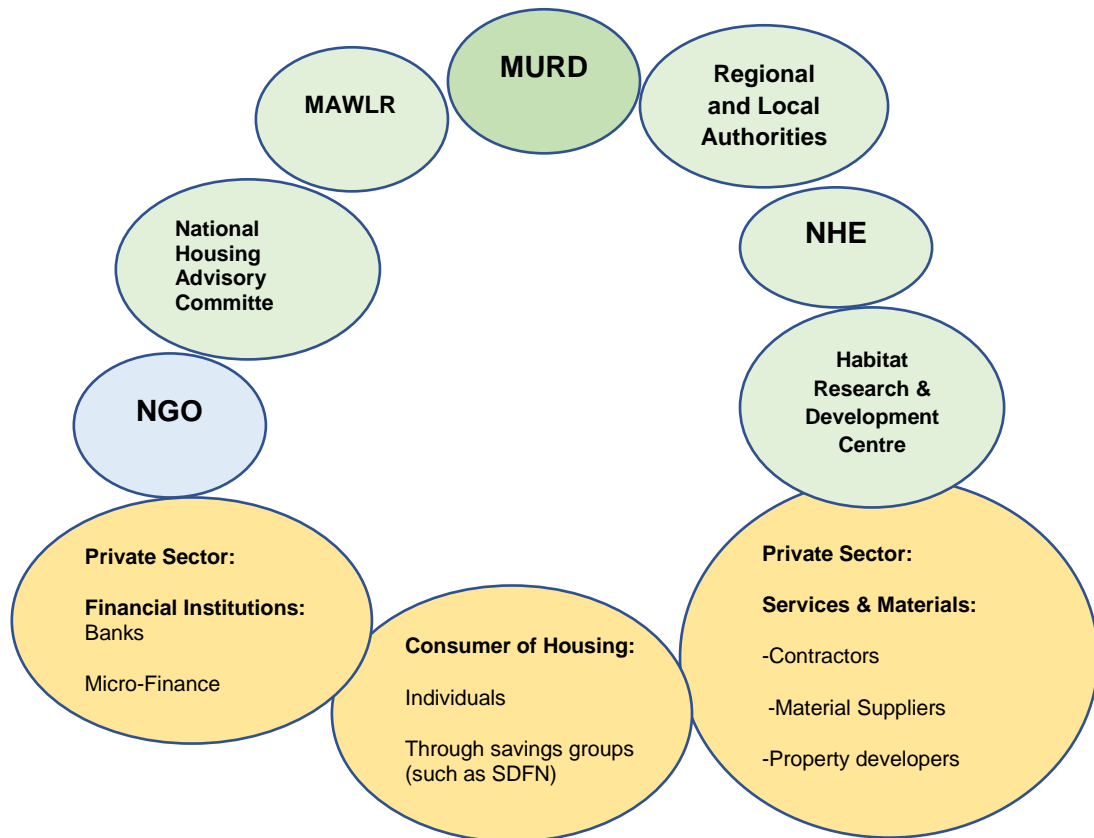


Figure 2-5 Key stakeholders in housing delivery in Namibia (Adapted from Sweeney-Binders, 2011:16)

National Housing Enterprise (NHE) – NHE provides affordable housing in Namibia by subsidizing interest rates and managing a government-capitalised housing subsidy fund to provide for indigent cases. They collaborate with local and regional authorities to ensure the timely delivery of developable land through intensive local infrastructure development as a developer of affordable housing.

Private Sector – Consist of five main sub-sectors; the material supplier, contracting, professional service, property developers and financial institution. They are an important link in the system of providing serviced land and housing delivery.

Non-Governmental organisation – They actively work with low-income communities to establish saving schemes to help with the servicing of land and house construction.

In the upgrading and formalisation of informal settlements, there are a number of key internal stakeholders due to its nature. The CoW Development and Upgrading Policy have identified among others, the following internal stakeholders that are critical to the success of the upgrading and formalisation projects:

- The division responsible for the upgrading and formalization of informal settlements
- The division responsible for the property management function
- The division responsible for the environmental management function
- The division responsible for land surveying function
- The division responsible for housing and the land servicing function
- The division responsible for road design and traffic flow function
- The department responsible for infrastructure, water and technical services
- The department responsible for electricity function
- The department responsible for the finance function
- The department responsible for the City Police function

In construction projects, stakeholders can affect the project scope, allocation of resources, communication hierarchy, and regulatory changes (Khan et al., 2021), and this unexpected problems and uncertainty can contribute to project failure if the stakeholder management is not adequately addressed. The project management team have to work proactively to reduce or

minimize the potential for uncertainty and problems caused by the stakeholders, by considering which stakeholders causes the most uncertainty and problems to the project (Karlsen, 2002).

2.5 STAKEHOLDER MANAGEMENT APPROACHES

Project stakeholder management is one of the ten knowledge areas in project management, and each of the knowledge areas represents foundational information that all project managers should be aware of. Stakeholder management can be defined as a process that includes problem solving activities, reducing project risks, and allowing projects to move forward in a timely and efficient manner (Yang, Rebecca J & Shen, Geoffrey QP, 2015). Project stakeholder management is about people (Roeder, 2013). A constant communication with stakeholders is required to understand their needs and requirements, addressing problems and handling conflicting interest, and nurturing suitable stakeholder engagement in project decision and activities (PMI, 2013). Olander & Landin (2008) noted that the project management process aims to maintain the desired implementation of the project and avoiding unnecessary conflict and controversy with stakeholders. Project stakeholder management provides the project team with adequate support for the selection of realistic options in the management of project stakeholders (Yang, Rebecca J & Shen, Geoffrey QP, 2015). The management of project stakeholder is an essential part of project management, and stakeholder's needs and requirements must be considered by the project managers to ensure project success (Aaltonen, Jaakko & Tuomas, 2008). Management of stakeholders is crucial in projects that involve multiple actors with differing interests and are carried out in complex environments. In order to minimise the stakeholder negative impact on the project, the stakeholders must be managed to ensure that their impact does not hinder the achievement of project goals (Chinyio, Ezekiel & Olomolaiye, 2010). (Yang et al. (2015) supported the views of Loosemore (2006) that stakeholder management has been successful in some area such as the manufacturing industry, but the construction industry still has a poor record of stakeholder management, despite the fact that it has been considered important by many scholars in construction in recent years (Newcombe, 2003; Olander & Landin, 2005; Chinyio & Akintoye, 2008).

Winch (2004) agreed with (Cleland, 1998) that the successful management of stakeholders by the project management team necessitates the following process:

- Identify the stakeholders who have a stake in the project

- Describe each stakeholder claim in detail
- Evaluate each stakeholder ability to press the claim
- Manage the response to that claim so that the overall impact on the definition and execution of the project is minimized.

The processes above is aligned with the stakeholder management processes in the PMBOK Guide PMI (2013).

As previously noted, many projects lacks a formal and systematic project stakeholder management (Karlsen, 2002), and a formal approach is required because projects a subject to so many changes that informal methods are inadequate (Yang et al., 2011). There are several reasons for performing a stakeholder management process, Karlsen (2002) gave the following reasons;

- To become acquainted with the projects stakeholders
- It is important for ensuring the balance between contribution and reward
- It is a basis for managing the stakeholders
- It is a basis for deciding who should be involved in determining the project goals and how success should be measured (Karlsen, 2002)

Karlsen (2002) have measured the stakeholder management process through six observed variable and considered the identification of stakeholders and analysing the stakeholders as the first two stages for stakeholder management but ignored the stages of gathering information about stakeholders which is considered important by Young (2006) as cited by (Yang et al., 2011).

A summary of the proposed stakeholder management process model by several scholars as summarized by Yang et al., (2011), shown in Table 2-2 below.

Scholars	Stakeholder processes
Karlsen (2002)	Identification of stakeholders; analysing the characteristics of stakeholders; communicating and sharing information with stakeholders, developing strategies, following up.

Elias et al. (2002)	Developing a stakeholder map of the project; preparing a chart of specific stakeholders; identifying the stakes of stakeholders; preparing a power versus stake grid; conducting a process level stakeholder analysis; conducting a transactional level stakeholder analysis; determining the stakeholder management capability of the R&D projects; analysing the dynamics of stakeholder interactions.
Young (2006)	Identifying of stakeholders; gathering information about stakeholders; analysing the influence of stakeholders.
Bourne and Walker (2006)	Identifying stakeholders; prioritizing stakeholders; developing a stakeholder engagement strategy.
Olander (2006) adopted Cleland (1999)	Identification of stakeholders; Gathering information of stakeholders; Identifying stakeholder mission; determining stakeholder strengths and weaknesses; identifying stakeholder strategy; predicting stakeholder behavior; implementing stakeholder management strategy.
Walker et al. (2008)	Identifying stakeholders; Prioritizing stakeholders; Visualizing stakeholders; Engaging stakeholders; Monitoring effectiveness of communication.
Jepsen and Eskerod (2009)	Identification of the (important) stakeholders; characterization of the stakeholders pointing out their (a) needed contributions, (b) expectations concerning rewards for contributions, (c) power in relation to the project; decision about which strategy to use to influence each stakeholder.

Table 2-2 Stakeholder management process models in construction projects (Adapted from Yang et al., 2011)

According to a Guide to the Project Management Body of Knowledge (PMBOK® Guide) stakeholder management is defined as “*the process required to identify the people, groups, or organizations that could impact or be impacted by the project*” (PMI, 2013:391). The author further states that the process entails analysing stakeholder expectations and their impact on the project, as well as developing an effective strategy for engaging stakeholder in project decisions and execution. It is important to have a stakeholder management process, but it is also essential to identify an effective approach for stakeholder management to achieve the project objectives (Yang et al., 2011).

PMBOK® Guide (PMI, 2013) provides an overview of the project stakeholder management process, and the following factors are treated as variables in this research:

Identify Stakeholders – Identifying individuals, groups or organization that may influence or be influenced by a decision, activity, or project outcome; and analysing and documenting relevant information about their interests, involvement, inter-dependencies, influence, and potential impact on project success.

Plan Stakeholder Management – is the process of developing an appropriate management approach to effectively engage stakeholders throughout the project life cycle, based on the analysis of stakeholder needs, interests, and possible impact on project success.

Manage Stakeholder Engagement – Communicating and collaborating with stakeholders to satisfy their needs and expectations, address issues as they arise, and cultivate appropriate stakeholder engagement throughout the project life cycle.

Control Stakeholder Engagement – Keeping track of the entire project stakeholder relationships and engagement. (PMI, 2013)

Considering the proposed models summarized in Table 2-2 together with the PMBK Guide® stakeholder management process, it is clear that a formal stakeholder management model need to be developed fully in construction, as it appears that there is no coherent on the proposed models (Yang et al., 2010; Chinyio & Akintoye, 2008). Although the initiatives within the stakeholder management community have made a significant progress to improve the process, a need for a formally framework for stakeholder management in constructions projects has been raised in previous research (Karlsen, 2002; Olander & Landin, 2005; Chinyio & Akintoye, 2008) and yet has to be developed in the interest of both the project and its stakeholders and to improve the performance of the stakeholder management process (Yang, Rebecca J & Shen, Geoffrey QP, 2015). The author further state that construction projects are subjects to many changes; hence informal project stakeholder management are inadequate, but formalizing a framework is a challenging undertaking to complete. The different approaches for stakeholder management identified have helped project managers to manage stakeholders, but they have a limited scope which means that they do not represent the complete picture and can be established fully by further research (Chinyio, Ezekiel A & Akintoye, 2008).

The traditional stakeholder management focus on the stakeholders themselves. Yang et al. (2011) considered the views of Cova and Sale (2006) that in recent years researchers have taken stakeholders relationships into account. Project managers should not look down on the stakeholders with limited power because these stakeholders may have a tremendous influence on the attitude of stronger stakeholders (Newcombe, 2003). Through their unseen influence and powerful connections, the invisible stakeholders have the potential to cause severe disruptions in the process of a project (Bourne & Walker, 2006b).

It is worthwhile to manage the interest of the stakeholder in the upgrading of the informal settlement project, as the checklist of stakeholders is often long, and their differing interest can become a major source of conflict. The stakes are not static, and there is a need to manage the constantly shifting balance of stakeholders interest (Chinyio, Ezekiel & Olomolaiye, 2010).

2.6 STAKEHOLDER MANAGEMENT STRATEGY

According to Olander & Landin (2008), the aim of the stakeholder analysis process should be to identify the extent to which external stakeholders needs and concerns can be fulfilled, and to analyse the possible consequences if they are not. This supports the approach of Karlsen (2002) that the assessment of stakeholders permit the project manager to classify the stakeholders into different categories. When stakeholders are classified into different categories, the project manager would be able to develop a strategy for managing different stakeholders. The fifth step in Karlsen (2002) method for managing stakeholder management is to develop strategies for dealing with stakeholders. Aaltonen et al. (2008) explained that the key issue in project stakeholder management is managing the project relationship with its stakeholders.

The project stakeholder management study is primarily focused on the rationale process of stakeholder management, generating normative framework and tools on how to map stakeholders and respond to stakeholders claims (Aaltonen & Sivonen, 2009). The examples of this research are applied power/interest matrices (Winch & Bonke, 2002; Olander & Landin, 2005), stakeholder mapping and visualization tools (Bourne & Walker, 2006b) and analysis frameworks (Cova, Ghauri & Salle, 2002), are examples of this study.

Project managers can identify different type of stakeholders by assessing each stakeholder ability to threaten or collaborate with the organization (Savage et al., 1991). The stakeholder types and corresponding strategies are shown in Figure 2-6. The ability, opportunity, and willingness of stakeholders to threaten or cooperate must be evaluated. Savage et al. (1991) suggested four possible strategies for managing stakeholders with different levels of potential based on the typology of project stakeholders, namely;

- Involve
- Monitor
- Defend
- Collaborate

Involve the Supportive Stakeholders: Because supportive stakeholders are sometimes overlooked as stakeholders to be managed, their cooperative potential may also be overlooked (Savage et al., 1991). This group of stakeholders should be kept aware and involved in important issues, in order to maximize potential cooperation.

Monitor the Marginal Stakeholders: These stakeholders potential for both affecting the project and for collaboration is low, they should be monitored. By recognising that these stakeholders interests are narrow and issue specific, the project manager can minimize the project expenditure of resources (Savage et al., 1991).

Defend against the Nonsupportive Stakeholder: Initially, they are best managed by employing a defensive strategy that decreases the dependence that serves as the foundation for stakeholders interest in the project (Savage et al., 1991). This strategy can be tough at times, and some suggest that it is best to manage the non-supportive stakeholders by keeping them always satisfied (Karlsen, 2002).

Collaborate with the Mixed Blessing Stakeholders: These stakeholders are best managed through collaboration since they are high on both the possible effect on the project and potential cooperation dimensions (Savage et al., 1991). Collaboration has various advantages, including lower administrative expenses, and greater resources utilization, and better communication (Karlsen, 2002). It should also be noted that if a mixed blessing stakeholder is not properly managed through the use of a collaborative method, they can easily become a supportive or a non-supportive stakeholder (Savage et al., 1991).

		STAKEHOLDER POTENTIAL FOR THREAT TO ORGANIZATION	
		HIGH	LOW
STAKEHOLDER POTENTIAL FOR COOPERATION WITH ORGANIZATION	HIGH	<p>STAKEHOLDER TYPE 4 MIXED BLESSING</p> <p>STRATEGY: COLLABORATE</p>	<p>STAKEHOLDER TYPE 1 SUPPORTIVE</p> <p>STRATEGY: INVOLVE</p>
	LOW	<p>STAKEHOLDER TYPE 3 NONSUPPORTIVE</p> <p>STRATEGY: DEFEND</p>	<p>STAKEHOLDER TYPE 2 MARGINAL</p> <p>STRATEGY: MONITOR</p>

Figure 2-6 Strategies for assessing and Managing Organisational Stakeholders (Adapted from Savage et al., 1991)

2.7 STAKEHOLDER MANAGEMENT FRAMEWORKS

According to the earlier research, the management of stakeholders in many projects lack strategies, plans and methodologies (Karlsen, 2002). Cleland & Ireland (2002) considered that a formal approach was required and suggested basic guidelines for the development of a project stakeholder management process according to Yang et al. (2011), but a formal approach has not yet been fully developed (Chinyio, Ezekiel A & Akintoye, 2008). Cleland (1999) introduced stakeholders and stakeholder management process to project management, according to Aaltonen et al. (2008), by emphasizing the necessity of stakeholder identification, analysis, classification, and management strategy formulation. Although most scholars studying stakeholder management acknowledge the significance of identifying stakeholders in the summarized table for stakeholder management process as indicated by Yang et al. (2011), and it also ranked second in the study to investigate the CSFs for effective project stakeholder management at the local government in Ghana by Amoatey & Hayibor (2017), it appears there is no agreement on the best set of approaches to use. A formal approach for construction projects has yet to be fully developed (Chinyio, Ezekiel A & Akintoye, 2008).

In today business environment, project are carried out within a framework in which stakeholders have a significant role in achieving the project deliverables, and these projects are influenced by the actions and decisions of the stakeholders (Karlsen, 2002). Stakeholders are also a major source of problems and uncertainty for the projects, and it is important that an effective approaches for stakeholder management is identified in order to meet the projects objectives. Because of the project dependent on uncontrollable components in its surroundings, uncertainty creates a concern for the project manager (Yang et al., 2010). Through stakeholder management, a unique and valuable network of relations can be developed, leading to a know-how and competences forming corporate culture (Susnienė & Purvinis, 2015).

A Stakeholder Circle Tool was developed by Bourne & Walker (2005), the only available tool which can be used to identify and prioritize the influences of the project stakeholders (Yang et al., 2011). The Stakeholders Circle Tool can be a very useful tool for project managers trying to understand the stakeholder relationship management (Walker, Bourne & Rowlinson, 2008). Individuals or a certain group of people might not have formal power to affect the decision for a project but can have an informal power that can press powerful stakeholders to change their position (Yang et al., 2011).

The stakeholder management cycle can be used for identifying, visualising and mapping stakeholder influence on projects. The stakeholder cycle is made up of five steps:

- Identification of stakeholders
- Prioritize the stakeholders
- Visualize the stakeholders
- Engage the stakeholders
- Monitor the outcome

The stakeholder circle tool has been tested using case studies (Bourne & Walker, 2006b; Walker et al., 2008) and it is found to be useful for project stakeholder analysis.

Chinyio & Akintoye (2008) identified many techniques for managing construction stakeholders in their study on practical approaches for engaging stakeholders, and are listed in Table 2-3 below. The authors grouped them under two categories, underlying (overarching)

and frontline (operational) approaches. It goes on to defined the underlying approaches as “relatively medium to long term guides that influence employee activities and can be considered as ‘overarching’, ‘higher-order’ or ‘behind-the-scene principles that inform practice.” While frontline approaches are operational procedures that are used on a regular basis, depending on the circumstances (Chinyio, Ezekiel A & Akintoye, 2008).

Overarching approaches	Operational approaches
Systematic approach Providing top-level support Being proactive Maintaining existing relationships Responding to power-interest dynamism	Use of: Effective communication People skills-management People skills-negotiations Trade-offs Incentives Concessions Workshops and meetings Intuition

Table 2-3 Approaches for engaging stakeholders (Adopted from Chinyio & Akintoye, 2008)

Figure 2-7 depicts a framework proposed by Yang et al. (2009) for successful stakeholder management in construction projects. The framework is built around categorizing critical success factors for stakeholder management into five categories: precondition factor, information inputs, stakeholder estimation, decision making, and sustainable support.

According to the framework below, information should be acquired first, and then stakeholders can be assessed. This will allow decisions to be made on the best stakeholder management practices. Throughout the stakeholder management process, long-term support is required.

Building on the framework developed by Yang et al. (2011), Yang and Shen (2015) presented a framework known as “systematic framework for stakeholder management in construction”, where they added a box for action and evaluation.

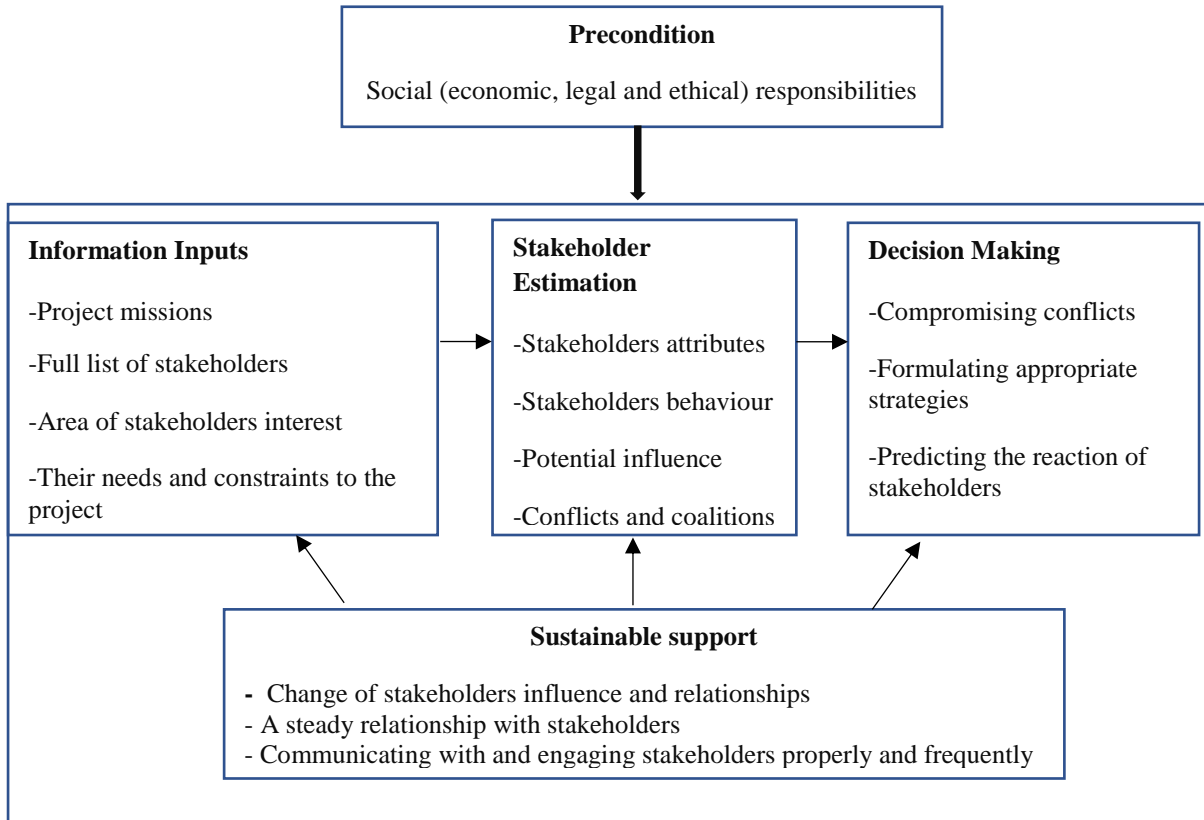


Figure 2-7 A framework for successful stakeholder management in construction project
(Adopted from Yang et al., 2009)

2.8 CHAPTER SUMMARY

This chapter presented the outcome of a literature review on the upgrading of informal settlements, project stakeholder, stakeholders management process, as well as the process of identifying and classifying stakeholders, the critical success factors for stakeholder management in construction projects. Previous study has suggested that a systematic framework for stakeholder management in construction projects is yet to be developed. If the project manager does not have a clear strategy for managing and including stakeholders in the project implementation process, the project manager will end up in a defensive mode, fighting off allegations. The following gaps have been identified from the literature review include:

- The stakeholder management include stakeholder identification and classification are important steps in the stakeholder management process. The stakeholder definition guide the identification of stakeholders but there is a need to narrow the definition found in current stakeholder management literature.

- There is little publicly available data on the performance of government housing programmes to address the housing crisis in Namibia. This has made it difficult to make an assessment on the role of stakeholder in the government housing programmes.

3 RESEARCH METHODOLOGY

3.1 INTRODUCTION

This chapter outlines the methodology used to answer the research question stated in Section 1.6. It provides an overview of the research design, method and approach used for the data collection. The chapter also discussed how the data acquired was analysed, as well as how the issue of validity and reliability was ensured. The target population and sampling procedure used in this research paper are also discussed.

The chapter concludes by discussing the ethical issues that will be imposed by the data collection.

3.2 RESEARCH DESIGN AND APPROACH

A research design is a framework or plan for a study that is used as a guide in data collection and analysis (Pandey & Pandey, 2021). Research approaches are plans and the procedures that cover everything from general assumptions to specific methods of data collection, analysis, and interpretation (Creswell, 2004). It provides as a plan for data collection, measurement, and analysis.

There are three main approaches to educational research: quantitative research, qualitative research, and mixed research (Johnson & Christensen, 2014). Qualitative and quantitative approaches should not be considered as rigid, polar opposites, but rather distinct extremities of a spectrum (Creswell, 2004). Mixed methods research falls in the middle of this spectrum, as it contains elements of both qualitative and quantitative methodology (Creswell, 2004; Johnson & Christensen, 2004).

Qualitative research is defined by Creswell (2004) as a means of studying and understanding the meaning that individuals or groups attach to a human or social situation. The author further states that qualitative research studies are conducted when the researcher aims to obtain new insights into a phenomenon and gain a better understanding of a certain subject matter. Therefore, the qualitative research is concerned with understanding rather than explanation; with naturalistic observation rather than controlled measurement; and with subjective

exploration of reality from the perspective of an insider, as opposed to the outsider perspective that is predominant in the quantitative paradigm (Vos et al., 2005).

This research report follows a qualitative method as the research question in this report is asking the following question:

What are the factors that need to be incorporated in the development of an inclusive stakeholder management strategy for the projects that are included in the City of Windhoek Informal Settlement Upgrading programmes?

3.3 CASE STUDY

The case study method investigate a current occurrence in its real-world setting and can provide answers to how and why questions (Yin, 2003). A case study technique is used in the qualitative study to provide in-depth information on the practice of stakeholder management in the upgrading of the informal settlements in Windhoek. This method is deemed appropriate because the study is place-bound, and generalisations of the findings cannot be extended to other informal settlements in Namibia.

According to Yin (2003), case studies are used in a variety of situations to provide a knowledge of individual, group, organisational, social, political and related phenomena. If the researcher wishes to gain a rich understanding of the context, the case study method will be of particular interest (Saunders, Lewis & Thornhill, 2009).

For this study, a case was used because it allowed for the selection of several data generation methods. Documents, archival records, interviews, direct participants and physical artefacts are the six sources of evidence in a case study according to (Yin, 2003). Semi-structured interviews, documents and direct participants observation were used to generate data in this study.

According to Yin (2003), there are four case study strategies: single case, multiple case, holistic case and embedded case. A single case provides an opportunity to observation and analyse of a phenomenon that few have considered before (Saunders, Lewis & Thornhill, 2009).

A single case study method was adopted for this study.

The case study design allows the researcher to engage directly with the respondents, allowing them to discuss their experiences in detail. The approach allows for a detailed understanding from a practical point of view, the effect of a stakeholder management plan to achieve the project objectives.

3.4 UNIT OF ANALYSIS

The unit of analysis is not always the unit of data collection (Rowley, 2002). It is at this point that the researcher must decide on an appropriate method to prepare data which will allow for a statistical analysis and therefore the selection of the unit of analysis is crucial.

The unit of analysis is therefore stakeholders involved in Informal Settlement Upgrading Affordable Housing Pilot Project in Windhoek.

The two institutions, CoW and NHE were chosen since they are the ISUAHPP implementers.

3.5 DATA COLLECTION

According to Creswell (2004), in a case study, the researcher collects detailed information over a long period of time using a variety of data collection methods such as interviews, documents, and observations.

Data for the study was gathered mainly through interviews with individuals who are directly involved in the implementation of ISUAHPP, comprising a set of closed and open-ended questions to allow for unrestricted responses from the participants. The interview questions were adapted from Yang & Shen (2015). Previous studies on stakeholder management by (Yang et al., 2011; Yang & Shen, 2015) used mixed methods, structured questionnaires with both closed-and open ended-questions and proposed a framework for effective stakeholder management. Chinyio & Akintoye (2008) used a qualitative approach to investigate the practice of stakeholder management with 12 UK companies in the construction sector.

A request to participation in the study was extended to all parties who are highly involved in the implementation of ISUAHPP, either as project managers or stakeholders. After two reminders (one week apart), a total of six responses were received. The respondents were

chosen based on their direct involvement in the project implementation as well as strategic positions they held, implying a high level of decision-making power.

The interview schedule forces the researcher to consider potential obstacles during the interview, such as question wording or sensitive areas (Vos et al., 2005).

The data were gathered between September and October of 2021. The sample was restricted to officials actively involved in the project implementation. Six in-depth interviews were conducted, with each session lasting between 15 – 40 minutes. The interviews were done at the various respondent workplaces. All interviews were audio-recorded with the respondent consents for better documentation and later analysis.

Data were gathered using a combination of primary and secondary sources. At the start of the interview, respondents were given a definition of stakeholders.

3.5.1 Semi structured interviews

Primary data were collected during interviews with respondents using semi-structured questionnaires. One-on-one interviews were conducted with identified key respondents from CoW and NHE who are involved in the project implementation. The use of interviews assists the researcher to collect valid and reliable data relevant to the research questions and objectives (Saunders, Lewis & Thornhill, 2009). In qualitative research, interviews are described as the primary mode of data or information collection (Vos et al., 2005). The semi-structured interview is used in order to provide a comprehensive picture of a participant perceptions about stakeholder management. The method provides greater flexibility for both the researcher and the participant, allowing the participants to speak more openly and broadly on subject raised by the researcher. The researcher had a set of predetermined questions on an interview schedule, but only used as a guide during the interviews (Vos et al., 2005).

The enquirer asks broad general questions to participant, collects detail perspective from participants in the form of words and images, and then analyses the information for description (Creswell, 2004).

The interview schedules were recorded with the participant permission in order for the researcher to ensure that the views expressed during the interview are appropriately captured.

Recording interview allows the researcher to concentrate on how the interview is proceeding and where to go next (Vos et al., 2005).

Appendix A contains the interview guiding questions.

3.5.2 Secondary Data

Secondary data was acquired through a review of the literature as well as case study documentation. Internal reports, public documents and reports were analyzed. According to Saunders et al., (2009), using secondary data is considerably less expensive because the data has already been obtained, and the researcher will have enough time to analyse and interpret the data. Secondary data are collected for a specific purpose that differs from the research questions or objectives and will most likely only partially answer the research question or address the objectives. Secondary data are especially important for capturing past changes and advancements.

The secondary data analysis included a review of the development and upgrading policy of the informal settlement; project-related documents and reports, as well as related articles from various sources including media; and an analysis of performance of the Informal Settlement Upgrading Pilot Project.

3.6 DATA ANALYSIS

The purpose of conducting a study is to produce findings, and data analysis converts data into findings (Vos et al., 2005). The qualitative data collected is analysed through the development of a conceptual framework (Cresswell, 2004). The study aims and objectives formed the framework for the data analysis and interpretation. The analysis concentrated on eliciting and correlating meaning from the interviews, which were analysed using qualitative thematic analysis.

Because the research seeks to understand a set of experiences or thoughts across a data set, thematic analysis is an appropriate method for data analysis (Braun & Clarke, 2006). Thematic analysis is a qualitative data analysis method that involves searching across a data collection to locate, analyse and report on repeating patterns (Kiger & Varpio, 2020). This method

provides a more detailed analysis of specific features of the acquired data, linking them to research questions and fitting them into a pre-defined coding system (Braun & Clarke, 2006).

Thematic analysis was applied as the primary data analysis method, to identify, analyse and detect themes within the data set. This approach was utilised as it allowed the researcher to organise and describe the data in rich detail in order to interpret the many aspects of the research topic (Braun & Clarke, 2006). Furthermore, a theoretical thematic approach was applied as the intention of the research was to code for specific research questions. Through reviewing the interviews transcribed, the key concepts in the discussions were documented and grouped into a fixed set of codes for each research question. These codes were sufficiently diverse to prevent replication and adequately inclusive enough to be beneficial. Thereafter, themes were identified based on their significance, as contained in the data, in regard to the research questions.

The thematic analysis followed the six-step framework of Braun and Clark (2006):

1. **Becoming familiar with the data:** Becoming familiar with the entire data set entails listening to the recordings and transcribe or repeated and active reading through data.
2. **Generating initial codes:** Coding interesting features of the data or section of the recording across the entire data set. When all the key sections of the data are coded, collate data relevant to each code.
3. **Searching for themes:** Examination of the coded and collating codes into potential themes
4. **Reviewing themes:** Read through the interview extracts in each theme and check if the themes work in relation to the coded extracts. Generate a thematic map of the analysis.
5. **Defining and naming themes:** Refining the specifics of each theme and generate a clear definitions and names for each theme.
6. **Producing the report:** The final step is writing up the final analysis of the selected extracts and producing a report of the analysis.

3.7 VALIDITY AND RELIABILITY

The concept of validity is essential throughout the research process and it requires the researcher to have an instrument to assess the accuracy of the findings (Cresswell, 2004). Validity is a measure that indicates whether the researcher is measuring what it intended to

measure, and it is more of a credibility issue to check the accuracy and credibility of the data corrected.

Reliability means that the approach to the research is consistent across different researchers and projects (Cresswell, 2004). Validity and reliability were achieved by data triangulation, using data from the interviews and from all informants. The triangulation method can be used to test the study validity and reliability since it uses multiple investigators, methods, data sources, and theoretical perspectives in the search for outcome convergence (Johnson & Christensen, 2014). It is further stated that triangulation occurs when the results all point to the same conclusion.

Prior to the interview, a pilot study with City of Windhoek officials was conducted to evaluate the reliability and validity of the questions. The purpose of the pilot study is to determine whether the relevant data can be obtained from the respondents and allows the researcher to focus on specific areas that may have been unclear (Vos et al., 2005). Following the reviews, necessary changes were made where required, to delete certain elements that were deemed ambiguous, or which did not add value to intended research objectives.

Furthermore, the researcher recorder the interview conversations, upon getting consent from respondents. The researcher ensured that the interview feedback was well constructed to give less room for uncertainty.

3.8 ETHICAL CONSIDERATION

Ethical guidelines and principles bind researchers to ethical practices, which each researcher ought to evaluate their conduct (Vos et al., 2005). It is the researcher responsibility to guarantee that the research design is methodologically sound as well as morally defensible to all parties involved (Saunders, Lewis & Thornhill, 2009). This study ethical considerations included informed consent and confidentiality.

- The researcher firstly sought permission from the top management of the two institutions to allow their employees to participate in the research.
- Prior to the interview, an information sheet and consent form were sent to the interviewee and no interviews were conducted without the consent of the interviewee to proceed with the interview.

- The names of respondents will not be used in the research paper (their names and the organisation names).
- Prior to the interview, respondents were requested for permission to allow the researcher to audio record the interview.
- The respondents were labelled as Respondent 1, Respondent 2 and so forth. There was no mention of the department the responder came from or their rank. The original audio recording have been stored in a password protected folder and the transcribed documents only have the respondent code.
- The data collected during this study will be kept absolutely confidential, with the researcher having sole access to the data.

The interview instrument used was reviewed and the University of Cape Town Research Ethics Board granted ethical clearance for the study (refer to **Appendix C**).

Appendix B contains the information sheet and consent form.

3.9 CONCLUSION

The methodology for data collection was explained in this chapter. The study used a qualitative methodology and thematic analysis to analyse the data collected. As research instrument, an interview schedule was used. Finally, the study observed and adhered to ethical considerations.

4 RESEARCH FINDINGS, ANALYSIS AND DISCUSSION

4.1 INTRODUCTION

This chapter presents the findings and analyses data collected through face-to-face interviews with identified respondents on this research project. The researcher used a combination of semi structured and in-depth interviews, with a set of open-ended questions developed and used during the one-on-one interviews with the respondents. This approach enabled the researcher to engage the respondents in a systematically and open-ended manner on a subject or case study that is considered a sensitive complex. To analyse the data, the researcher adopted a thematic content and narrative analysis which helped in identifying broad themes based on commonality among issues discussed and deduce meaning of such. The researcher developed a narrative based on the information provided by the respondents while also cross-checking the information for comparable positions, divergences, or variances in what is believed to have occurred during project implementation. The study findings are presented in accordance with the identified themes in order to address the primary research questions.

The analysis of the qualitative data involves organising, accounting for and explaining the data; in short making sense of data in terms of the participants definitions of the situation, noting patterns, themes, categories and regularities (Cohen, Manion & Morrison, 2002).

4.2 DESCRIPTION OF THE STUDY

The sample of respondents was drawn from the two-institution responsible for the implementation of ISUAHPP namely, the City of Windhoek (CoW) and the National Housing Enterprise (NHE). Because the focus of this research is on the upgrading of the informal settlements in Windhoek, it was decided that the research sample would only include officials involved in the programme. Respondents freely and willingly participated, answering all questions to the best of their abilities whenever possible. All respondents granted their full permission for the researcher to audio record the interviews.

To protect the respondent confidentiality, their names and institutions are withheld and they are referred to as, Respondent 1, 2, 3, 4 and 5 for identification purposes.

4.2.1 Informal Settlement Upgrading Affordable Housing Pilot Project (ISUAHPP) overview

In March 2019, the City of Windhoek Council via resolution CR 53/03/2019 approved the implementation of the affordable Housing Program to address the housing backlog in Windhoek and to upgrade the informal settlements. NHE made a decision in 2019 to investigate and re-engage in the informal settlements. A pilot program of informal settlement upgrading was initiated, targeting residents in the informal settlements of Windhoek that have a full land tenure over plots/erven and wished to construct a house and could not afford such. To fast track the delivery of housing in the Informal Settlements, a joint decision was taken to implement the City of Windhoek Affordable Housing Programme that was approved in March 2019.

In July 2021, CoW together with NHE handed over 217 houses out of the targeted 600 by the 30th of June 2021, which did not reflect well on City of Windhoek and NHE as implementing partners (CoW & NHE, 2021). The author further states that the project could not reach the set target due to various reason which includes, incomplete statutory processes related to town planning, and lack of collaboration and support among internal stakeholders. Most of the beneficiaries also do not have individual land titles over the land on which the houses are constructed as mentioned earlier, therefore the houses will only be transferred to the beneficiaries when the town planning processes are completed.

The two implementing partners (COW and NHE) undertook a decision to complete the remaining 383 houses by December 2021, in addition to the 300 houses scheduled for completion under Phase 2A which practically means 683 houses have to be delivered by December 2021 (CoW & NHE, 2021).

The joint technical committee has identified the four key role players for this project that includes: Ministry of Urban and Rural Development (MURD), Khomas Regional Council (KRC), City of Windhoek (CoW), and National Housing Enterprise (NHE). The four agencies constitute of the project initiators, project owners, project sponsors, and the project implementors. The relationship between the four entities is regulated by the memorandum of agreement (MOU).

The joint technical committee documents gives a background overview to the project, specifying the project location, project plan, defines roles for the different stakeholders (the

four key stakeholders) and the project team seconded to the project, and also give guidelines for the engagement for the four key stakeholders.

The ISUAHPP is currently piloted in Havana Proper, Havana Extension 1, Onyika No. 2, Goreangab Extension 4, Greenwell Matongo D, Otjomuise Extension 8 and 9, and Freedom Land A and B (CoW & NHE, 2021). This are all informal settlements areas that went through upgrading or areas in low income areas where people bought the land, they have the title deed or deed of sales but they cannot afford to borrow money from the commercial bank (CoW, 2020).

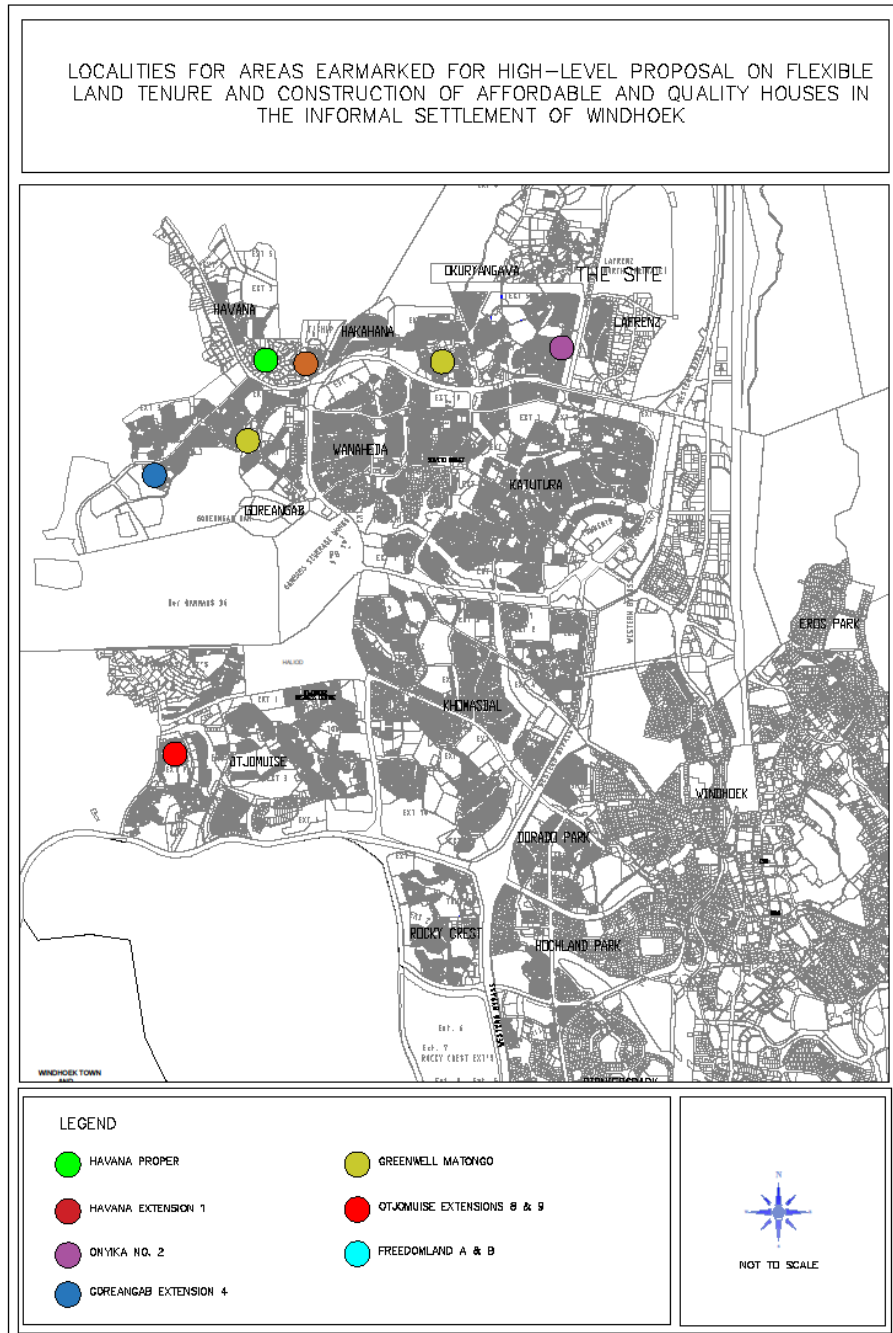


Figure 4-1 Localities of areas earmarked for ISUAHPP

4.2.2 Project Team

The Project Steering Committee is jointly chaired by the Chief Executive Officers of NHE and COW and the Executive Director of MURD, see figure 4-2 below.

A Joint Technical Project Committee has been selected and is spearheading the project conception, planning and the implementation. The project team is selected through secondment of relevant technical and administrative personnel from the two implementing agencies.

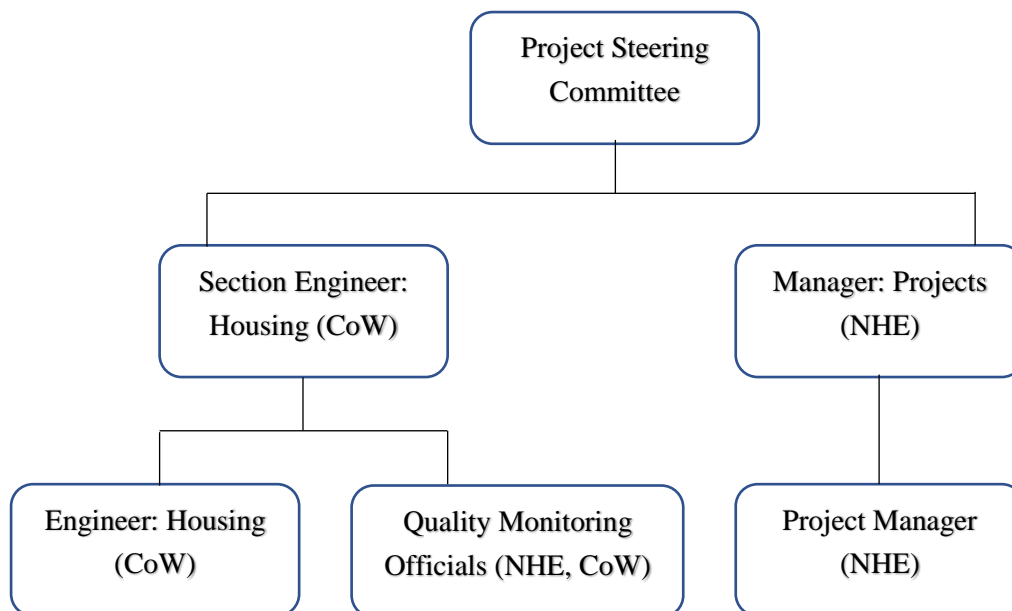


Figure 4-2 ISUAHPP project team structure

(Adapted from CoW, 2020)

The project engineer to lead the project team is Section Engineer: Housing from CoW, with the Project Manager being the Manager Projects from NHE. The project team is indicated as per table 4-1 below.

Position	Quantity	Institution
Manager: Housing & Land Delivery	1	CoW
Section Engineer: Housing	1	CoW
Manager: Projects	1	NHE
Project Manager	1	NHE
Engineer: Housing	1	CoW

Quality Monitoring Officials	3	NHE / CoW
Contract Administrator	1	NHE / CoW
Housing Officer	2	CoW

Table 4-1 Project team seconded to ISUAHPP

(Adapted from CoW, 2020)

The above project team is supported by Architects, Town Planners, Land Surveyors, Quantity Surveyors, Engineers and Building Inspectorate when required.

4.3 THEME ONE: STAKEHOLDERS INVOLVED IN THE UPGRADING OF THE INFORMAL SETTLEMENTS PROGRAMMES

4.3.1 When are stakeholders identified

Three of the respondents indicated that stakeholders are identified at the project inception/conceptualization phase. One respondent stated that although the key stakeholders are identified at inception phase, the beneficiaries are identified at the planning phase. One respondent mentioned that the unrealistic timeframes makes it difficult to identify and analyse all the stakeholders. Two respondent stated that stakeholder analysis was not done.

Respondent 1: *“The stakeholder identification is done at the project conceptualization and planning stage but i don’t think the stakeholder analysis was done.”* **Respondent 2:** *“Stakeholders are identified at the project inception and the analysis is done before the planning.”* **Respondent 3:** *“The key role prayers, the project team and the internal stakeholders were identified and analysed at the project conceptualization. The project beneficiaries were identified and analysed at the planning stage.”* **Respondent 4:** *“The stakeholders were identified at the planning stage and the project was implemented without doing the assessment because the time frame was very short.”* **Respondent 5:** *“The stakeholders were identified but the unrealistic timeline made it difficult to follow the processes.”* **Respondent 6:** *“Stakeholders were identified and analysed at the project conceptualization. It is not a normal ideal stakeholder analysis.”*

4.3.2 Who are the main stakeholders

13 groups of stakeholders were identified for this project, including the four key role players: MURD, KRC, NHE and CoW that were identified at the project conceptualisation. The Figure 4-3 below shows the stakeholders identified, both internal and external.

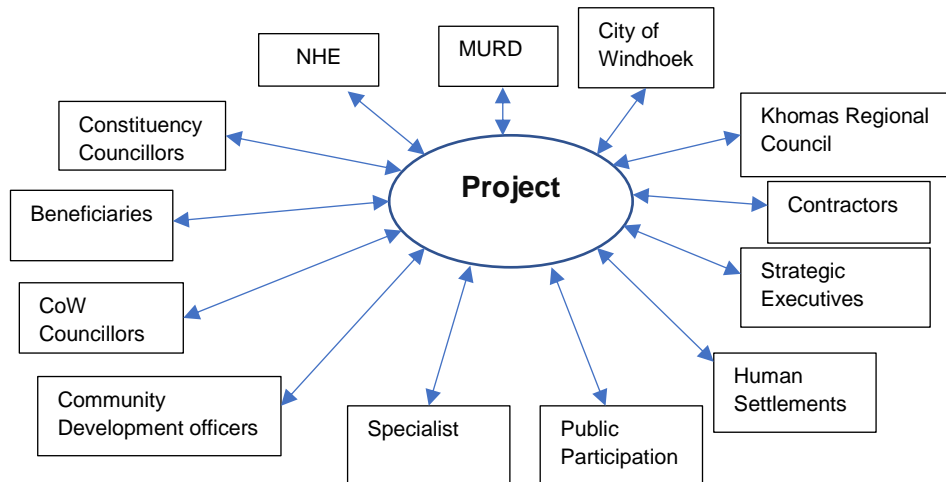


Figure 4-3 ISUAHPP stakeholders

Internal stakeholders for CoW

The following internal stakeholders were identified to be critical to the success of the upgrading and formalisation projects.

Classification	Number of respondents
CoW Councillors	4
Strategic Executives	6
Specialist	6
Human Settlements	4
Public Participation	6
Community Development	6
Marketing and Communication	4

Engineering Services	3
Built Environment	3

Table 4-2 List of internal stakeholders (CoW)

Four respondents identified internal stakeholders as being non-supportive; with two respondents classifying them as supportive.

Respondent 1: *“There is no commitment especially from the internal stakeholder.”*

Respondent 2: *“Some division are undermining other divisions.”* **Respondent 3:** *“We had more problems with internal stakeholders and the project could not get support and commitment from the internal stakeholders.”*

Four Key Role Players

Four respondents identified MURD, CoW, NHE and KRC as key stakeholders.

Respondent 3: *“CoW, NHE, and KCR contributed 20% and MURD gave 80% toward the project implementation.”* **Respondent 4:** *“The directive came from MURD and NHE is working in collaboration with CoW.”* **Respondent 5:** *“The four key stakeholders MURD, NHE, CoW and KRC have all contributed financially towards the project implementation.”* **Respondent 6:** *“The four entities are the project initiators and implementors.”*

All respondents stated that these stakeholders are supportive of the project goals and objectives.

4.3.3 Discussion

This result is not surprising given the nature of the project, which involves a number of internal stakeholders. City of Windhoek has several departments and divisions, each with its own mandate in terms of work, and the right stakeholders at different stage of the project need to be identified in order to get cooperation and support from the required stakeholders.

Obtaining commitments might be challenging if stakeholders do not see what benefits they will receive when the project is completed (Kerzner, 2013).

The respondents indicated that internal stakeholders were identified during the project conceptualisation stage, whereas project beneficiaries were identified and analysed during the project planning stage. However, 3 of the respondent indicated that, although the project stakeholders were identified, no analysis was conducted. This finding is not surprising, as most stakeholder management process models separate identification and analysis. According to the PMBOK ® Guide (PMI, 2013), identify stakeholders includes identifying of individuals, groups or organisation, and analysing and documenting relevant information regarding their interest. Worsley (2016) also stated that it can be difficult for the project manager to collect information on who are the stakeholders without also analysing their positions and agendas.

Ministry of Urban and Rural Development (MURD) was identified as a key stakeholder, which is understandable considering that they are the project initiator and the main funder. Sweeney-Binders (2011) stated that MURD must make funds available to Regional Councils (RCs) and Local Authorities (LAs) for the provision of housing to the low and ultra-low income households under the Decentralised Build Together Programme. The ministry is also responsible for developing and revising housing legislation, establishing standards, and monitoring and evaluating the housing programme implementation process. According to Respondent 3, *“MURD has made a financial contribution of 80% to the project implementation, making them the main sponsor.”*

City of Windhoek (CoW) was also identified as key stakeholder. This make sense since local authorities are mandated to provide housing and serviced land to their residents. Local governments are responsible of formalising informal settlement areas and implementing low-cost housing initiatives. As part of this mandate, CoW investigated, costed, and modelled affordable housing typologies in various housing segments in order to provide serviced land and housing at affordable prices (CoW, 2020). The City of Windhoek availed the land on which the houses will be constructed, contributed financially to the project, and is co-implementing the project with NHE.

The mission of the **National Housing Enterprise (NHE)** is to provide and finance affordable, quality and adequate housing. As cited by Respondent 6, *“NHE is a national enterprise that is fully empowered to build affordable housing.”* NHE have also contributed financially towards

the project implementation. The findings are in agreements with the findings of Remmert & Ndhlovu (2018) who noted that government policy has consistently stated that national government institutions including local authorities and the NHE will spearhead the provision of housing and servicing of land in Namibia.

Khomas Regional Council (KRC) were identified as key stakeholder. This makes sense as according to the Namibia National housing policy (GRN, 2009), regional and local authorities are responsible for the planning and regulations of land use and development, provision of bulk and internal engineering services and the creation and maintenance of the public environment. They are also responsible for the formalisation of informal settlement areas and implementing low-cost housing schemes. KRC has also made a financial contribution to the project implementation.

The respondents identified **Strategic Executives (SE)** as important stakeholder. This finding makes sense, given the SE play the most essential role in motivating staff members in their respective departments to support and commit to the project. This is in consistent with Chinyio & Akintoye (2008) and Yang & Shen (2015), who stated that securing top level support is critical for effective stakeholder management.

Specialist and Staff members were also identified as important stakeholder. This finding makes sense, as ISUAHPP cannot be implemented without the contribution of these parties. Internal stakeholders must collaborate to effectively facilitate and coordinate the implementation of various activities. As previously stated, housing crisis is caused by a lack of serviced land, and specialist such as Town Planners, Civil Engineers and Land Surveyors play an important role in land delivery processes by contributing their technical expertise.

Beneficiaries were identified as important stakeholders, which is not surprising given that beneficiaries of a low-cost housing project should be viewed as the pivotal stakeholders. The project is intended to benefit the general public, particularly those living in Windhoek informal settlements, making them the project primary stakeholders. Therefore, they must be engaged throughout the project and to achieve a successful project outcome, public acceptance is required.

Internal stakeholder collaboration is required for effective coordination of different activities and better project implementation at various project stage. Without commitments from all the

stakeholders, stakeholder relations cannot function effectively (Kerzner, 2013). Cooperation and maintaining relationship with stakeholders would help with stakeholder management.

Based on the results presented in this section, it can be concluded that stakeholder identification was done, but no analysis was performed to map out the stakeholders needs and interest on the project. The findings revealed that stakeholder analysis needed to be done early in the project for the project manager to determine the resources required at each stage of the project.

4.4 THEME 2: STAKEHOLDER MANAGEMENT PRACTICES

4.4.1 Current stakeholder management strategy

Two respondents indicated that there was no inception meeting with all the stakeholders. Two respondents highlighted that the unrealistic timeline made it difficult to follow the processes. Three of the respondents stated that there was no stakeholder management on the project. This is evident from the responses of the respondents.

Respondent 1: “There was no inception meeting with all the stakeholders, I think there is no stakeholder management on this project.” **Respondent 2:** “There is no need of identifying the stakeholders if you don’t have a strategy of engaging with them. Things are just done randomly, there was no inception meeting with all the stakeholders for discussion.” **Respondent 3:** “We had drawn up a stakeholder management plans but it was a waste, the project was not implemented through a proper project management approach.” **Respondent 4:** “We would have achieved different results if the project had followed a proper stakeholder management plan. There was no time when the directive was given and the stakeholder management is carried out on ad hoc.” **Respondent 5:** “If there was a process that was followed from the beginning, it could have been better.” **Respondent 6:** “On this project we have the Memorandum of Agreement and the Development Upgrading Policy that regulates the stakeholder relationship. It is not really the one that you can even say it’s a stakeholder engagement plan. There is nothing of that nature.”

4.4.2 Communicating and engaging stakeholders

Two of the respondent stated that there is no engagement and communicating with the stakeholders. While the four respondent indicated that there is an active communication with all the stakeholders.

Respondent 1: *“There is no stakeholder engagement on this project and that is what need to be improved. There is no platform where plans are synergized.”* **Respondent 2:** *“There is no active communication with all the stakeholder.”* **Respondent 3:** *“We are communicating with all the stakeholders. Communication with the community is not just verbal, we also give them (pamphlets) hard copies.”* **Respondent 4:** *“Yes communication is there, but the project is not well planned.”* **Respondent 5:** *“We are in the process of engaging the stakeholders.”* **Respondent 6:** *“We have constant communication.”*

4.4.3 Stakeholder management responsibility

Three of the respondents indicated that because the upgrading is done in phases, the division responsible of that specific phase is in charge of coordinating the stakeholders. One respondent stated that the Technical Committee is coordinating the project.

Respondent 1: *“The custodian of the project are responsible for the stakeholder management.”* **Respondent 2:** *“The upgrading is normally done in phases, and the process takes time to complete.”* **Respondent 3:** *“The upgrading is done in different phases and on each phase, the division spearheading that phase oversees the coordination. That stakeholder coordination role was a shortcoming.”* **Respondent 6:** *“The Technical Committee is coordinating the relationships between different stakeholders, guided by the MOU and DUP.”*

4.4.4 Discussion

According to the findings, there was no formal stakeholder management on the project. Stakeholder management is yet to be fully adopted as a deliberate strategy in the management of Windhoek Informal Settlements Upgrading Projects.

What would have ideally gone into the stakeholder management plan was captured in the Memorandum of Understanding (MOU), and in the Development and Upgrading Policy (DUP) which has a public participation component that clarifies how the engagement with the community should be done, and those are the instruments used for guidelines. The stakeholder management is done on ad hoc, with the project technical committee meeting every month and reporting back to the steering committee every second month on the project progress. Community engagement is done through CoW Community Development Office. Fact sheet with the project details are also handed out to the community, to visualize what is being presented to them.

The results highlighted the necessity for City of Windhoek to assign the stakeholder management responsibility to a specialist expert involved in the land development and housing delivery, who understands different activities involved in the land delivery processes.

Based on the above, it could be concluded that in the absence of a stakeholder engagement plan, the MOU and DUP were the instruments used to regulate the relationship of the identified parties. The DUP has a component for public participation, and the MOU governs the four key role players relationship.

4.5 THEME 3: IMPORTANT FACTORS FOR EFFECTIVE STAKEHOLDER MANAGEMENT

4.5.1 Communicating with and engaging stakeholders properly and frequently

Communication, according to five of the respondents, is a critical factor for effective stakeholder management. This is supported by the responses that follows.

***Respondent 1:** “Yes, it is very important.” **Respondent 2:** “You need to engage with the community and agree that the service will be put to good use.” **Respondent 3:** “It will look bad if we do not communicate.” **Respondent 5:** “You cannot just implement the project without engaging with the community.” **Respondent 6:** “Even after the project implementation you must keep them engaged and inform them about the project challenges and the opportunities.”*

4.5.2 Keeping and promoting good relationship with stakeholders

Five respondents cited ‘**Keeping and promoting good relationship with stakeholders**’ as an important factor for effective stakeholder management. This is supported by the responses that follows.

Certain themes emerged from the responses of the respondents – establishing trust and relationship

***Respondent 1:** “The community have developed trust by virtue of certain activity that our office facilitated in their area before.” **Respondent 2:** “Human settlement establishes and maintain relationship with the stakeholders.” **Respondent 3:** “Establishing trust with the beneficiaries, internal stakeholders and with the external parties is vital to deliver on the mandate.” **Respondent 5:** “CoW is already running programmes in the informal settlement areas, which has made it easier for us to engage with the beneficiaries because of the existing relationship.” **Respondent 6:** “You should seek partnership with the stakeholders.”*

4.5.3 Formulating appropriate strategies to manage/ engage stakeholders

Five respondents pointed out ‘**Formulating appropriate strategies**’ as an important factor for effective stakeholder management. This is supported by the responses that follows;

***Respondent 1:** “A strategy is needed to make sure that there is no stage omitted within the project implementation and execution.” **Respondent 2:** “It is of no use to identify the stakeholders when you don’t have a strategy of how you are going to engage with them.” **Respondent 3:** “Helpful for managing different stakeholders.” **Respondent 4:** “If the project had followed a defined strategy, then the analysis would have been done before the project implementation.” **Respondent 6:** “to identify an effective communication tool for different stakeholders.”*

4.5.4 Assessing stakeholder attributes

Six of the respondent cited ‘**Assessing stakeholder attributes**’ as an important factor for stakeholder management. This is supported by the responses that follows:

Respondent 1: “You need to know or have some sort of knowledge of the organization and what different divisions and sections within the organization, their role and what will be their contribution to the project.” **Respondent 2:** “It is crucial that a stakeholder analysis is done to map out every stakeholder interest or input on a project.” **Respondent 3:** “Yes we did consider the stakeholders attribute when prioritizing them.” **Respondent 4:** “If you have the right information, the stakeholder needs can be incorporated in the planning.” **Respondent 5:** “Stakeholder analysis must be done before the project implementation so that the market assessment can be done.” **Respondent 6:** “It will clarify their degree of involvement, their level of interest and their influence on that particular project.”

4.5.5 Involving relevant stakeholders at the project inception stage

Five respondents cited ‘**Involving relevant stakeholders at the project inception stage**’ as an important factor for stakeholder management. This is supported by the responses that follow:

The following key themes – buy in, commitment has emerged from their responses:

Respondent 1: “We could not get a buy in from the community when the Public Participation went out without the Community Development Office.” **Respondent 2:** “People implementing the projects must be consulted to find out what are the bottle necks before decision are made.” **Respondent 3:** “Their contribution is needed for the project to succeed.” **Respondent 5:** “If the right people were consulted, we would have been well informed about the land ownership status.” **Respondent 6:** “It was chaotic when the team went to the field on their own.”

4.5.6 Discussion

The result of this study is similar to the factors identified in the existing literature, Amoatey & Hayibor (2017), Yang & Shen (2015) and Yang et al. (2009), but the present study did not rank these factors. However, the respondents have generally indicated that the factors identified are critical in managing stakeholders to ensure the success of informal settlement upgrading projects in Windhoek.

The previous research undertaken by Amoatey & Hayibor (2017) to identify the CSFs in stakeholder management at the local government level were detailed in the literature. The study respondents were clients, project sponsors, consultants, contractors, non-governmental organizations and community members, while the present study respondents are officials and project managers implementing the projects.

Five respondents identified '**Communicating with and engaging stakeholders properly and frequently**' as an important factor for effective stakeholder management. This study supports the study conducted by Yang et.al. (2009), who asserted that effective, regular, and schedule communication with all stakeholders is required for project success. Communication is an effective tool for establishing and maintaining existing relationship (Chinyio & Akintoye, 2008). City of Windhoek has many departments and divisions with different mandate in terms of work, one have to keep on engaging the different departments so that you can get a buy in and ultimately their involvement in the project. If you don't engage the community and bring them the services that they don't want, the service will not be accepted. Without the engagement, stakeholders will not buy into the project

Five respondents cited '**Keeping and promoting good relationship with stakeholders**' as an important factor for effective stakeholder management. This supports the work of Karlsen et al. (2008) and Aaltonen et al. (2008), who argued that managing the relationship between the project and its stakeholders is the most important issue in project stakeholder management. Trust is essential when developing positive relations with various project stakeholders (Karlsen, Græe & Massaoud, 2008).

Formulating appropriate strategies was also cited as an important factor for effective stakeholder management. This is consistent with the work of Karlsen (2002); Aaltonen & Sivonen (2009) who recognise the importance of formulating appropriate strategies to deal with stakeholders.

Assessing stakeholder attributes was cited as an important factor for stakeholder management. Due to various stakeholders with diverse power / interest on a project, it is important to determine the stakeholder attributes. According to Mitchell et al. (1997), stakeholders have the attributes of 'Power, Urgency and Legitimacy', on which they rely and use to control resources, obtain attention and influence the project.

Five respondents cited ‘**Involving relevant stakeholders at the project inception stage**’ as an important factor. This supports the work of Olander & Landin (2008), who emphasized the importance of getting stakeholder acceptance during the inception stages of projects.

4.6 THEME 4: MANAGING STAKEHOLDERS NEEDS AND EXPECTATIONS

The section highlights the strategies used with the main groups of stakeholders, identified, and discussed in section 4.4 above, namely project sponsor, strategic executives, specialist and staff members, and beneficiaries. The respondents were asked to name the strategies that they are using to manage the stakeholders needs and expectations.

4.6.1 Giving regular feedbacks

Four respondents viewed giving regular feedbacks to be an important strategy for dealing with beneficiaries, project sponsor and strategic executives. This is supported by the responses that follow:

Respondent 1: *“Have an inception meeting at the project conceptualization and thereafter have regular stakeholders meetings.”* **Respondent 2:** *“It keeps the stakeholders informed of the project progress.”* **Respondent 3:** *“You need to report the project progress especially to the project sponsor.”* **Respondent 3:** *“It keeps the sponsor abreast of what is happening and the challenges that the project is facing.”* **Respondent 6:** *“Make sure that you always keep them informed, you don’t allow for that vacuum, speculation or second opinion to come in.”*

4.6.2 Maintaining good communication

Six of the respondents highlighted ‘maintaining good communication’ as an important strategy for dealing with project sponsor, specialist and staff members, and beneficiaries, as demonstrated by the following responses.

Respondent 1: *“Communicate in a language that the community understand.”*
Respondent 2: *“It is important to communicate frequently with all the stakeholders.”*

Respondent 3: *“The reason for that is because we want to get a buy in from all the SE so that they can speak to their people.”* **Respondent 3:** *“It is important to effectively communicate with the beneficiaries for them to visualize what we are presenting to them.”* **Respondent 4:** *“Good communication with the beneficiaries is key.”* **Respondent 5:** *“Communication have to be done through the right people otherwise the project will never succeed.”* **Respondent 6:** *“What is important there is just communication. It is also important to communicate with the community in the language that they understand.”*

4.6.3 Relationship management

Five of the respondents mentioned that relationship management is an important strategy for dealing with the **beneficiaries and project sponsor**. The respondent perspectives on relationship management with the beneficiaries were expressed as follows.

Respondent 1: *“Project leaders need to go out now and then to the project site to connect with the people. The community is comfortable with people that they have already worked with.”* **Respondent 2:** *“We normally establish relationships in all areas through the community leaders and the community development office.”* **Respondent 3:** *“We have to establish that trust, and not just with the beneficiaries but also between us the implementing agencies, internal stakeholders and with the external parties.”* **Respondent 5:** *“The existing relationship has made it easier for us to engage with the stakeholders.”* **Respondent 6:** *“You should seek partnership with the stakeholders, it gives more responsibility. Then work on how you will manage that relationship because it need to be managed.”*

4.6.4 Discussion

Project sponsors were found to be supportive stakeholders in this study report, and respondent felt that giving regular feedback was an important strategy for dealing with project sponsor. This is not surprisingly, considering that giving regular feedback to donors can be considered an important component of donor stewardship. There will be no heresy in terms of the project progress and stakeholders will not have to hear the project progress through media.

Karlsen (2002) and Savage et al. (1991) emphasized the significance of informing the supportive stakeholders on relevant issues. The continuous two-way communication with stakeholders throughout the project life is important.

The respondent highlighted the importance of regular feedback to the **Strategic Executives (SE)**. SE are important for gaining the support and dedication of staff members from various departments. It is very important that the SE be aware of the concerns and challenges that the project is facing, so that they can assist the project in getting support required from the internal stakeholders.

The stakeholder management is done on ad hoc basis, with the project technical committee meeting every month and reporting back to the steering committee on project progress every other month. When there are issues that requires the steering committee immediate attention or approval, the committee will convey a meeting for that month. Internal stakeholders meet once a month, however due to the need to resolve the town planning issues, meetings are currently held once a week. The project report is a standing item both at the Strategic Executive Forum, Strategic Committee and at the council meetings. Meetings with the beneficiaries are conducted through the Human Settlement Office, together with the Public Participation guided by the DUP and the engagements are carried out whenever there is a need.

According to Takim (2009), interaction with the project client and end users throughout the project duration is paramount, because the project client defines and finances the project, and the end users decides about the usefulness of the project output.

Yang & Shen (2015) also emphasized the need of effective, regular and scheduled communication with all the members of the project community for project success.

This report analysis aligns with the findings of Savage et al. 1991, who argue that maintaining a successful relationship between the project management team and its stakeholders is critical to achieving stakeholder expectation.

Many researchers in the recent years have indicated the substantial relevance of stakeholder relationship management, with the efficient management of the relationship between the project and its stakeholder as a vital key to project success (Aaltonen et al., 2008; Karlsen, 2008; Yang et al., 2010; Khan et al., 2021).

4.7 THEME 5: FACTORS THAT CAN IMPROVE STAKEHOLDER MANAGEMENT IN THE UPGRADING OF THE INFORMAL SETTLEMENTS PROGRAMMES

Respondents were asked to make comments and suggestions of ways to improve the practice of stakeholder management in the upgrading of informal settlement programmes in order to improve the housing delivery. This affords respondents the opportunity to fully express their views without restricting them to the questions. The aim of this question was to collect any additional information that may not have been captured in the interview and to facilitate a deeper and more comprehensive understanding of the issues.

Six of the respondents made the following comments and suggestions in response to the question:

Respondent 1: *“Stakeholder engagement with all the stakeholders is required. The approach needs to change. The housing division need to be staffed with people that can communicate with the community in the language that the community understand.”*

Respondent 2: *“The project management team should have a clear understanding of the land delivery process. Have a consultation with all the stakeholders to incorporate their inputs before making decision. Have a proper stakeholder engagement plan and engage frequently with all the stakeholders. The communication channel should be properly defined. Not allowing the political interference in the project.”* **Respondent**

3: *“To have a cooperation and support from the internal stakeholders. Reporting structure must be clearly defined. Stakeholders must be kept abreast of the project progress at every stage. The approach needs to change. Projects must be implemented through a proper project management office. We propose for the establishment of the PPMO, through which the projects will be implemented.”* **Respondent 4:** *“Profiling is*

very important for market assessment. Stakeholder identification and analysis must be done before the project implementation. Monitoring, execution, supervision evaluation and time management is very important.” **Respondent 5:** *“Town planning processes*

must be completed before the project implementation.” **Respondent 6:** *“Have a stakeholder engagement plan. Clarification of the roles and defining the rules of engagement.”*

4.7.1 Discussion

The findings of the qualitative data acquired from the interview had identify the factors indicated by the respondent that can improve the stakeholder management. The responses of respondents revealed the following points:

1. Engaging the relevant stakeholders at the project conception.
2. Collecting stakeholder information, to map out various stakeholder interest and input on the project.
3. Formulate a stakeholder engagement / communication plan.
4. Effective communication, corporation and collaborative environment are necessary for stakeholder management process to succeed.
5. Clearly formulating management objective
6. Encourage the use of project management principles to implement projects
7. Adopt a strategy for stakeholder management

The points highlighted above are in agreements with the findings from the qualitative data collected through face-to-face interviews. For example, point 1 to 3 and 7 agree with the findings presented in section 4.5. Point 4 corresponds with the findings presented in section 4.3 and 4.5, where respondents agreed that there is a need for internal stakeholders to collaborate for effective stakeholder management. The project management team can manage various stakeholder demands by having an effective communication with the stakeholders early in the project life cycle. Point 5 and 6 highlight the need for the implementing agencies to adopt and implement the approved DUP and Affordable Housing Policy. The two policies have provided a clear guideline for the implementation of the upgrading of informal settlements and housing delivery.

According to the DUP, the upgrading of informal settlements should follow the project management principles. The upgrading and formalisation process with an indication of stakeholders involved are outlined in the DUP. Due to the urgency of the project, the project began with the final phase.

Respondent 2 argued that even if the stakeholders committee is established, if the organization does not support the DUP, the project objective will not be achieved. *“When the order was given, immediately we must build houses and the number of houses to be build must be given.*

The right thing to do was to find out what are the bottleneck on why the layout plans are taking long to be finalized. The housing policy is not speaking to the situation on the ground. This are informal areas and yet we want to apply policy for formal areas. The town planning processes in place does not accommodate the informal areas.”

Lack of support from the internal stakeholders has cause delay in the project implementation that contributed to the project not meeting the set targets. Internal stakeholders were reluctant to offer support and commit to the project and did not understand the project value. As mentioned earlier, internal stakeholders must collaborate to effectively facilitate and coordinate the implementation of various activities. The findings also indicated that there are no regular stakeholders meetings being conveyed under this project. Stakeholders are not granted a platform to share their experiences and challenges on the project, making it difficult to get cooperation and supports from internal stakeholders.

4.8 Chapter Summary

This chapter discussed the findings, the data analysis results on the practice of stakeholder management in the upgrading of informal settlements programmes in Windhoek. Based on the research findings, it is obvious that the upgrading of the informal settlement did not have a formal project stakeholder management. This is a result of a general failure of the basic programme management principles including the unrealistic timeline within which the project was implemented, considering the program magnitude. There was no sufficient time allocated for planning, to formulate and implement the stakeholder engagement plan that would ensure a smooth implementation.

The following chapter will include a summary of the findings, a conclusion and recommendations.

5 CONCLUSION AND RECOMMENDATIONS

5.1 INTRODUCTION

This chapter concludes and summarise the research conducted for this study. The chapter discusses the main findings of the research report and looked at whether the research objectives have been achieved.

Conclusions and recommendations are given for future research.

5.2 RESEARCH BACKGROUND AND APPROACH

The purpose of this study was to identify the factors hindering the development of a formal stakeholder management strategy for the projects that are included in the City of Windhoek Informal Settlement Upgrading Programmes.

The analysis in this paper used the Informal Settlement Upgrading Affordable Housing Pilot Project (ISUAHPP) as an example to illustrate how stakeholder management among other factors affects the implementation of public projects and their overall outcome. A qualitative approach was employed in gathering data using face to face in depth interviews with the respondents that represented the target population in the study.

The main research question was:

What are the factors that need to be incorporated in the development of an inclusive stakeholder management strategy for the projects that are included in the City of Windhoek Informal Settlement Upgrading programmes?

5.3 REVISITING THE RESEARCH OBJECTIVES

The findings, obtained from both primary and secondary data sources, reveals that the City of Windhoek Informal Settlement Upgrading Programmes could not reach the set target due to several factors, including poor stakeholder management among others. According to the findings, there was no formal stakeholder management on the ISUAHPP.

The research aim prompted the development of the following research objectives. Below is the summary of the research findings based on the research objective:

5.3.1 Objective 1: Identify the key stakeholders involved in the upgrading of the informal settlements programmes

The research identified 13 groups of stakeholders involved in the upgrading of informal settlements, including the four primary role players identified during the project conceptualisation: MURD, KRC, NHE and CoW. **Beneficiaries** were identified as the most important stakeholders in terms of external stakeholders. This is consistent with the views of Olander & Landin (2008), who stated that beneficiaries must be regarded as key stakeholder in large infrastructure projects. The emphasis was on City of Windhoek internal stakeholders identified in the Development and Upgrading Policy.

The first step is to identify the stakeholders and assess their influence that they will have on the project. This will not only allow the project team with the engagement, but also to understand the non-supportive stakeholders and why they feel the way they do.

The stakeholders in the upgrading of informal settlements programmes are many, but the importance of identifying and engaging with them effectively is of such importance that it is worth doing it.

The stakeholder identification and analysis are separate but related processes, and the analysis must be a continuous process conducted throughout the project life cycle. Stakeholder analysis is an important input to identifying how to plan and structure the project (Worsley, 2016)

5.3.2 Objective 2: Identify the current stakeholder management practices

The implementation of ISUAHPP is similar to that of the Mass Housing Development Programme, with unrealistic timelines that made it difficult to follow the stakeholder management processes. When the directive was given, there was no time to implement a stakeholder engagement plan, and the approach used to implement the project made it difficult to adhere to project management principles. ISUAHPP was implemented using a top-down approach, with a little involvement of the community. The implementation of the upgrading of

informal settlement projects did not follow the project management principles as proposed in the DUP.

Responsibilities were not clearly defined, and those identified as stakeholders could not be held accountable for not delivering what was expected from them. In the absence of the stakeholder engagement plan, the MOU was used to regulate the relationship between the four key stakeholders, and the DUP was used to regulate the relationship with the beneficiaries, as it contains a component for public participation. DUP on the other hand, is a general guideline document used in the upgrading of the informal settlement programmes. Given the magnitude of the project and the number of stakeholders involved, the project manager need to have a clear interface with all the stakeholders on the project.

Stakeholder management entails identifying people, groups or organisations who may influence or be impacted by the project outcome, analysing stakeholder expectations and potential impact on the project, and developing appropriate strategies for effectively engaging stakeholders in project decision-making and execution (PMI, 2013). Effective stakeholder management is crucial to a project performance, and it may be improved by improving communication with relevant stakeholders and identifying priorities and common goals among them (Khan et al., 2021). Stakeholders influence on a project can contribute to project failure if stakeholder management is not appropriately managed.

The project lacked a formal and systematic project stakeholder management. A formal approach is required since projects undergo so many changes that informal methods are inadequate (Yang et al., 2011). The author further emphasise the importance of stakeholder management on projects, and to define an effective approach for stakeholder management to meet the project objectives.

The project had no stakeholder engagement plan, and the degree of involvement, level of interest and influence of internal stakeholders were not clarified. As a matter of fact, there was no tool that regulates the relationship with internal stakeholders, and as a result the project had more problems with internal stakeholders than externally.

5.3.3 Objective 3: Identify the factors that influence the adoption of inclusive stakeholder management strategy.

Five factors for effective stakeholder management in the upgrading of informal settlements in Windhoek were identified. According to Yang et al. (2009), important factors are those activities and practices that must be addressed in order to achieve effective stakeholder management on a project. These factors will have an impact on the project outcome.

These factors contribute to the project outcomes and they should be addressed in order to balance stakeholder interest and ensure effective stakeholder management.

The findings of this study are comparable to those of Amoatey and Hayibor (2017), Yang & Shen (2015) and Yang et al. (2009), but the current study did not rank the factors. However, respondents have generally indicated that the identified factors are crucial in managing stakeholders to ensure the success of informal settlement upgrading projects in Windhoek.

Proactive communication with stakeholders may result in a high level of the project acceptance and defines the scope and direction of stakeholder influence (Olander & Landin, 2008). According to Amoatey & Hayibor (2017), communication and stakeholder engagement leads to a better inclusivity and transparency in decision making, as well as attaining consensus decisions and avoiding confrontations and stalemate.

Categorizing stakeholders allows the project manager to manage them strategically and develop an understanding of the potential impact on the project. The project manager must manage the needs of the various stakeholders regarding the project requirements in order to secure a successful project outcome.

5.3.4 Objective 4: Identify strategies for managing stakeholders needs and expectations

The literature review provided an overview of the strategies for dealing with the stakeholder needs and expectation. Various management strategies are required because project stakeholders have varying expectations and different definitions of success. The study findings has identified three strategies for managing the stakeholder needs and expectations.

According to Olander & Landin (2008), if the project manager does not have a defined strategy for managing and including stakeholders in the project implementation process, the project manager will end up in a defensive mode, fighting off allegations from stakeholders.

Providing ‘**regular feedback**’ is important for managing stakeholder expectations and hidden agenda, particularly with the mixed blessing stakeholders. Giving regular feedback is a more proactive approach, however it is only four respondents who found this strategy important.

‘**Maintaining good communication**’ according to all six respondents, is an important strategy for dealing with **project sponsor, specialist and staff members, and project beneficiaries**. This is not surprising, given the importance of communication with stakeholders is essential in retaining the support and commitment of all stakeholders (Yang & Shen, 2015).

It is interesting that the respondent only identified ‘**relationship management**’ as an important strategy for dealing with **project beneficiaries and sponsor**. Aaltonen et al. (2008) stated that the key issue in project stakeholder management is the management of the relationships between the project team and the stakeholders. Stakeholder relationship management cannot work effectively without commitment from all stakeholders. Through understanding the reciprocal needs, the project needs of the stakeholders and the stakeholder needs of the project, an appropriate relationship management strategy can be developed.

Matching the project type to stakeholder management is required to move away from a one size fits all approach to managing stakeholder needs and expectations.

5.3.5 Objective 5: Identify factors that can improve stakeholder management in the upgrading of the informal settlement programmes

The research has identified the factors that can improve stakeholder management in the upgrading of informal settlements. The respondents indicated that one of the biggest challenges they are facing is gaining commitment and support from internal stakeholders, and that internal stakeholders have failed to understand that the project is for the organisation as a whole and not just for the division implementing the project. This findings is expected, given that other departments are unlikely to lend their assistance and support to the project unless they perceive that it is in their best interests to do so (Pinto, 2000).

It was not surprising that the respondent identified that the project team must have a clear understating of the land delivery process. This will help when prioritizing stakeholders according to their influence and scheduling of different activities.

Given the magnitude of the project, it is interesting to find out that the project did not have a formal stakeholder management. What would have ideally gone into the stakeholder management plan was captured in the Memorandum of Understanding (MOU), and the Development and Upgrading Policy (DUP) has a public participation component which clarifies how the engagement with the community should be done and those are the instruments used for guidelines. A stakeholder engagement plan is needed to outline the communication and engagement plan of different stakeholders. Stakeholders need to be very clear of what they need to do, why they must do it and when they must do it.

The respondents indicated that profiling the beneficiaries is very important. This is needed for the market assessment before the project implementation, and for the implementers to plan and budget accordingly.

The respondents also indicated that the reporting structure must be clearly defined. The project must have a designated person for reporting or to be contacted especially by the project sponsor. Stakeholders need to be clear of who to contact when there are issues to be raised, and there must be a direct communication with the project sponsor and be updated regularly on the project progress.

The respondents indicated that role clarification is required. This supports the views of Kerzen (2013) who stated that, role clarification for stakeholders should be accomplished early on the same way that the project manager provides role clarification for the team members at the initial kick off meeting for the project. Stakeholders need to be very clear of what they need to do and plan for the resources needed to carry out the activities.

The findings identified political interference as an obstacle in the upgrading of the informal settlement programmes. The approach for this project is similar to the Mass Housing Development Programme, which ended up failing. When the directive was given to deliver 300 houses in six months, there was no consideration of all the other processes that must be completed first. The time is very short, and the expected deliverable are high.

Public sector projects come with their own unique challenges, and the challenges may include the need to satisfy political interests when dealing with political rivals, as well as the need to adhere to bureaucratic procedures, rules, and regulations (Amoatey & Hayibor, 2017).

The respondent also recommended for the establishment of the Programme and Project Management Office (PPMO) to oversee the project implementation; currently, internal stakeholders are not seconded to the project and there is no accountability.

Based on the above, it could be concluded that the approach used to implement the project was ineffective. There is no instruments in place to ensure accountability by all identified stakeholders. A bottom-up process of planning and management should be encouraged in the housing programmes, rather than taking a technocratic role of imposing ideas (Mohlasedi & Nkado, 1999).

Before the project implementation, the town planning processes must be completed. Another critical aspect that must be completed prior to program implementation is an analysis of desirability and affordability aimed at determining the purchasing power and different kind of accommodation (own or rental) required in different areas.

5.4 RESEARCH QUESTION AND PROPOSITION

The research question has been answered, with the main findings in Chapter 4 being: Who are the key stakeholders in the upgrading of the informal settlement program? What is the current stakeholder management practice? What are the factors that contributes to the effective stakeholder management? How are the key stakeholders needs and expectations managed? What factors can improve the stakeholder management in the upgrading of informal settlement programmes?

According to the findings, internal stakeholders are critical throughout the project life cycle, with project beneficiaries also playing a significant role. The project does not have a formal stakeholder management, and the MOU and DUP were used to regulate the relationship between the four key stakeholders and the project beneficiaries. There is no clear interface of engaging all identified stakeholders together.

As a result, this research report has answered the research proposition.

5.5 CONCLUSION AND RECOMMENDATIONS

The Central Government has implemented a number of interventions in an effort to address the country housing crisis in Namibia. The implementation of such programmes faced various challenges, resulting in the objectives not being achieved. The implementation of ISUAHPP is similar to that of the Mass Housing Development Programme, where unrealistic targets and timeline were set, and this made it difficult to follow project management principles. Poor stakeholder management, as well as a lack of understanding of needs, are factors that contribute to the failure of public-sector projects.

The purpose of this study paper is to identify the factors hindering the development of a formal stakeholder management plan for the projects included in the City of Windhoek Informal Settlement Upgrading Programmes. The research identified the key stakeholders, as well as the best strategies for managing their needs and expectations, the important factors for effective stakeholder management, and factors that can improve the stakeholder management. Every stakeholder identified in this study has the potential to make a useful contribution to the upgrading of informal settlements. However, the case study also reveals that each stakeholder has the capacity to delay the pace of delivery.

According to the findings of the research, there was insufficient time to develop and implement stakeholder management engagement plan. According to Karlsen (2002), in many projects, stakeholder management lacks strategies, plans and procedures, resulting in stakeholder management that is often characterized by spontaneity and poor coordination, and in some cases, matters are not discussed within the project team. One of the causes for the construction industry's poor record of stakeholder management is the lack of a well-established systematic framework for project stakeholder management (Karlsen, 2002). Because there is no recognized systematic framework for project stakeholder management, project managers use random stakeholder management (Yang, Rebecca J & Shen, Geoffrey QP, 2015). Poor stakeholder management, among other factors, resulted in the ISUHAPP implementation not achieving the set target.

A formal stakeholder management model is required for the upgrading of the informal settlement program. Projects are subjected to many changes that informal processes are insufficient, and a structured stakeholder management approach is needed. The uniqueness of the project, as well as the limited time available to deliver the set target, will

necessitate extra effort to form successful project teams and establish trust among the project stakeholders in a shortest amount of time (Yang et al., 2011).

The project effectiveness was compromised due to a lack of coordinated planning and consultation with all relevant stakeholders. In view of the above, the following are some recommendations:

The establishment of PPMO will provide a framework for the smooth implementation of programmes, such as reporting, a monitoring and evaluation system, and a stakeholder engagement and communication plan. The Namibian government goal to reduce the number of households living in makeshift structures from 19% in 2016 to 12% by 2022 will not be achieved if the government does not change the implementation approach of the proposed intervention aimed at addressing the housing shortage.

For an effective program management and implementation, a stakeholder management engagement plan is required. This will clarify the roles of the identified stakeholders, defines the rule of engagement, defines responsibilities, and enforce accountability.

It is important to conduct integrated planning with all key stakeholders so that planning does not take place in silos. A coordinated programme planning is required in the upgrading of the informal settlement, which is a determining factor of the program success.

5.6 SUGGESTIONS FOR FURTHER RESEARCH

From the literature review, there is very little research done on the practice of stakeholder management in the upgrading of the informal settlements programmes. Formalisation and upgrading of the informal settlements could be considered as social projects. This research must be repeated to identify the project implementation challenges that affects the stakeholder management and the roles of stakeholders in the delivery of affordable housing. Future research must use a large sample size, maybe covering the whole country as the conclusions made are limited to a single case study.

The literature review also indicated that previous research has mostly focused on stakeholder identification and analysis, with few focusing on how the stakeholders influence projects

success. Further study must be done to establish the relationship between stakeholders and critical factors, as well as analysing the stakeholders influence on project success.

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7 APPENDIX A: INTERVIEW GUIDING QUESTIONS

QUESTIONNAIRE ON AN ASSESSMENT OF THE PRACTICE OF STAKEHOLDER MANAGEMENT FOR THE UPGRADING OF THE INFORMAL SETTLEMENT PROJECTS IN WINDHOEK – FOR PROJECT MANAGERS

STAKEHOLDER MANAGEMENT is one of the core ‘knowledge areas’ of project management and is considered a critical component to the successful delivery of any project. The research investigate the practice of stakeholder management for the upgrading of the informal settlement projects in Windhoek. The City of Windhoek Development and Upgrading Policy has indicated that project management principles will be used in the implementation of the upgrading of the informal settlements project to attain the desired goals.

Definitions:

Project stakeholders are individuals, groups, or organizations who may affect, be affected by, or perceive themselves to be affected by a decision. Stakeholders may actively be involved in the project or have interests that may be positively or negatively affected by the project execution or successful project completion.

Stakeholders can be classified into four categories, namely;

Supportive stakeholder – This are ideal stakeholders that supports the project goals and actions.

Marginal stakeholders – Are neither highly threatening nor especially collaborative.

Non-supportive stakeholders – These stakeholders have a high potential to affect the project but are low on the potential for collaborating.

The mixed blessing stakeholders – These are stakeholders whose potentials to threaten or to cooperate are equally high.

Salience – Is the degree to which priority is given to stakeholders amidst competing stakeholder claims.

Stakeholders can also be divided into different groups according to the salience attributes of **Power, Legitimacy and Urgency**.

Question 1. At which project stage are the stakeholders identified and analyzed?

	Project Conceptualisation	Planning Stage	Implementation stage	Project close-out
Identified				
Analyzed				

Question 2. Which information about stakeholders do you think should be gathered, and kindly explain your reason? With reference to the informal settlement upgrading project

	Yes / No	Your reason
Their need in the project		
Their interests on the project		
Their commitments to the project		
Their constraints about the project		

Question 3. Analysing the stakeholder interest in the project will permit the project manager to classify the stakeholders into different categories. How do you classify the identified stakeholder? Are they Supportive, Marginal, Non-supportive or Mixed blessing:

Supportive stakeholder – This are ideal stakeholders that supports the project goals and actions.

Marginal stakeholders – Are neither highly threatening nor especially collaborative.

Non-supportive stakeholders – These stakeholders have a high potential to affect the project but are low on the potential for collaborating.

The mixed blessing stakeholders – These are stakeholders whose potentials to threaten or to cooperate are equally high.

You may choose more than one category, as stakeholders may change during the project life cycle.

	Supportive Stakeholder	Marginal Stakeholders	Non-supportive Stakeholders	The mixed blessing Stakeholders
MURD				
Regional and Local Authorities				
NHE				
City of Windhoek				
Habitat research & Development Centre				
National Housing Advisory Committee				
Non-Governmental Organisations: SDFN Others				
Services & Materials Contractors, material suppliers and property developers				

Financial Institution Banks & Micro-Finance Institutions				
Housing Beneficiaries Individuals & Saving groups				
MAWLR				
Technical Expert: Specialist				

Others (specify)

Question 4. When prioritizing the stakeholders, do you consider the stakeholders attributes of (Power, Legitimacy, Urgency)?

Power - is described as the ability of a stakeholder to influence the action of other stakeholders either positively or negatively or the decision making process of the project.

Legitimacy – Could be defined in terms of stakeholders bearing some risks in relation to the organization, be beneficial or harmful. Stakeholder with legitimate, are likely to receive positive response.

Urgency – Is defined as the degree to which stakeholder claims call for immediate action.

Yes No

Please explain your answer above:

.....

.....

.....

.....

Question 5. Do you agree that communicating with and engaging stakeholders during the project life cycle is key to the success of its delivery?

Yes No

Please explain your answer above:

.....

.....

.....

Question 6. Please indicate your level of agreement with the following statements about stakeholder management: Relating to stakeholder management to project success

1 = Strongly agree; 2 = Agree; 3 = Neutral; 4 = Disagree; 5 = Strongly Disagree

Stakeholder management can lead to timely completion of projects	
Stakeholder management can lead to cost savings on projects	

.....
.....

Question 10. Please give any suggestions on how to improve stakeholder management in housing delivery projects in the space below:

.....
.....
.....
.....
.....
.....

Thank you very much for your participation in this study. Your identity and responses will only remain known to me.

QUESTIONNAIRE ON AN ASSESSMENT OF THE PRACTICE OF STAKEHOLDER MANAGEMENT FOR THE UPGRADING OF THE INFORMAL SETTLEMENT PROJECTS IN WINDHOEK – FOR CITY OF WINDHOEK AND NHE OFFICIALS INVOLVED IN THE INFORMAL SETTLEMENTS UPGRADING PROJECT

STAKEHOLDER MANAGEMENT is one of the core ‘knowledge areas’ of project management and is considered a critical component to the successful delivery of any project. The research investigate the practice of stakeholder management for the upgrading of the informal settlement projects in Windhoek. The City of Windhoek Development and Upgrading Policy has indicated that project management principles will be used in the implementation of the upgrading of the informal settlements project to attain the desired goals.

Definitions:

Project stakeholders are individuals, groups, or organizations who may affect, be affected by, or perceive themselves to be affected by a decision. Stakeholders may actively be involved in the project or have interests that may be positively or negatively affected by the project execution or successful project completion.

Stakeholders can be classified into four categories, namely;

Supportive stakeholder – This are ideal stakeholders that supports the project goals and actions.

Marginal stakeholders – Are neither highly threatening nor especially collaborative.

Non-supportive stakeholders – These stakeholders have a high potential to affect the project but are low on the potential for collaborating.

The mixed blessing stakeholders – These are stakeholders whose potentials to threaten or to cooperate are equally high.

Salience – Is the degree to which priority is given to stakeholders amidst competing stakeholder claims.

Stakeholders can also be divided into different groups according to the salience attributes of **Power, Legitimacy and Urgency.**

Question 1. At which project stage are the stakeholders identified and analyzed?

	Project Conceptualisation	Planning Stage	Implementation stage	Project close-out
Identified				
Analyzed				

	Supportive Stakeholder	Marginal Stakeholders	Non-supportive Stakeholders	The mixed blessing Stakeholders
Involve				
Monitor				
Defend				
Collaborative				
Dismissal				
Compromise				
Adaptation				
Avoidance				

Others specify

Question 5. Due to the increasing diversity, power and influence of stakeholders, construction companies have realized that it is important to fully embrace stakeholder theory and need to develop a formal structured approach to stakeholder management. Do you think a formal strategy to manage/engage different stakeholders will enable effective stakeholder management?

Yes

No

Please explain your answer above:

.....

Question 6. What factors do you consider to be the most important for the success of stakeholder management?

.....

Question 7. Please give any suggestions on how to improve stakeholder management in housing delivery projects in the space below:

.....

Thank you very much for your participation in this study. Your identity and responses will only remain known to me.

8 APPENDIX B: INFORMATION SHEET AND CONSENT FORM



Department of Construction Economics and Management
Fifth Level
Snape Building, Engineering Mall upper
Upper Campus
Telephone : + 27 21 650 3443

STAKEHOLDER MANAGEMENT IN THE UPGRADING OF INFORMAL SETTLEMENTS IN WINDHOEK

Dear Prospect Participant

My name is Rosina Shuuya (**Student No: SHYROS001**), pursuing a Master degree in Project Management in the Department of Construction Economics and Management at the University of Cape Town. In partial fulfilment of the program, students are expected to submit a research report exploring detail concepts and issues pertaining to project management.

The study investigates **the practice of stakeholder management in the upgrading of the informal settlements in Windhoek**. Over the past years, the Namibian government undertook various initiatives to improve access to adequate housing problem experienced by low and ultra-low-income households, but these programs have done little to prevent or reduce the progression of the informal settlement. Poor stakeholder management, as well as a lack of understanding of needs, are factors that contribute to the failure of public-sectors projects. The relationship between project managers and the various stakeholders, applies a significant influence on the project processes and outcomes. It is therefore essential to understand which stakeholder strategy should be applied to each stakeholder group, based on their importance to the overall project.

Your input in this research will allow me to identify an effective strategy for stakeholder management for the informal settlements upgrading project. Hence the questionnaire is structure to gather opinions of project managers / implementors regarding the importance of a formal stakeholder management strategy to achieve the project objectives.

I will be conducting interviews with project managers and officials from City of Windhoek and NHE such as yourself who are the implementors of the informal settlement upgrading project, and I would like to invite you to participate. The interview will be recorded, and the data collected will be stored electronically and will be kept strictly confidential. Please note that the research is purely for academic

purpose only. Data generated from the interview will be synthesised and used to answer the research questions set for this master project. There is also no foreseeable risk or harm as a result of participation in this study.

The interview instrument that will be administered has been approved by the University of Cape Town Ethics Committee and thus, meets all ethical requirements imposed by the university. Participation will be anonymous as no sensitive personal details will be collected. Further note that your participation is entirely voluntary, and you are free to withdraw your participations at any time, without negative consequence. However, I would be very grateful if you would assist me by allowing me to interview you.

Should you agree to participate in my research study, then I would require approximately 45 minutes of your time, for a semi-structured interview. I can come to your office at a mutually convenient time for the interview or we can do the interview via MS Teams at your convenient time.

If you require more information about this research or have any questions, please feel free to contact me using the contact details provided below.

Thank you very much for agreeing to participate.

Yours Sincerely,

Rosina Shuuya

Email: SHYROS001@myuct.ac.za / Rosina.Shuuya@windhoekcc.org.na

Mobile: +264 811 459320

Consent form for recording of interview – to accompany information sheet given to participant

**STAKEHOLDER MANAGEMENT IN THE UPGRADING OF INFORMAL SETTLEMENTS
IN WINDHOEK**

Rosina Shuuya

Msc in PROJECT MANAGEMENT

University of Cape Town

I agree to take part in “**STAKEHOLDER MANAGEMENT IN THE UPGRADING OF INFORMAL SETTLEMENTS IN WINDHOEK**” study conducted by Rosina Shuuya, under the supervision of Mark Massyn, for the Department of Construction Economics and Management at the University of Cape Town. Any information that I provide in this study shall not be used for any other purpose other than the one stated.

I confirm the following:

1.	I have read the information sheet provided by the researcher and thus understand the projects aims and objectives.	
2.	I am participating in this project voluntarily and understand that I may withdraw from the interview at any time if I so do wish.	
3.	I acknowledge and understand that confidentiality will be maintained.	
4.	I have been asked permission to record this interview and have given my permission.	
5.	I understand that this data is accessible to other researchers only if they honour the confidentiality agreement.	

Participant

Signature of participant

Date

Researcher:

Name:

Signature:

Date:

9 APPENDIX C: ETHICS CLEARANCE

Application for Approval of Ethics in Research (ER) Projects
Faculty of Engineering and the Built Environment, University of Cape Town

ETHICS APPLICATION FORM

Please Note:

Any person planning to undertake research in the Faculty of Engineering and the Built Environment (EBE) at the University of Cape Town is required to complete this form **before** collecting or analysing data. The objective of submitting this application prior to embarking on research is to ensure that the highest ethical standards in research, conducted under the auspices of the EBE Faculty, are met. Please ensure that you have read, and understood the **EBE Ethics in Research Handbook** (available from the UCT EBE, Research Ethics website) prior to completing this application form: <http://www.ebe.uct.ac.za/ebe/research/ethics/>

APPLICANT'S DETAILS	
Name of principal researcher, student or external applicant	ROSINA SHUUTA
Department	Construction Economics and Management
Preferred email address of applicant	SHIROSDOJ@mtuct.ac.za / RShuuta@yahoo.com
If Student	Your Degree, e.g., MSc, PhD, etc.
	Credit Value of Research: e.g., 60/120/180/360 etc
	Name of Supervisor (if supervised):
If this is a research contract, indicate the source of funding/sponsorship	
Project Title	Stakeholder Management in the upgrading of the informal settlements of Windhoek

I hereby undertake to carry out my research in such a way that:

- there is no apparent legal objection to the nature or the method of research; and
- the research will not compromise staff or students or the other responsibilities of the University;
- the stated objective will be achieved, and the findings will have a high degree of validity;
- limitations and alternative interpretations will be considered;
- the findings could be subject to peer review and publicly available; and
- I will comply with the conventions of copyright and avoid any practice that would constitute plagiarism.

APPLICATION BY	Full name	Signature	Date
Principal Researcher/ Student/External applicant	ROSINA SHUUTA		25/02/2021
SUPPORTED BY	Full name	Signature	Date
Supervisor (where applicable)			7/7/2021

APPROVED BY	Full name	Signature	Date
HOD (or delegated nominee) Final authority for all applicants who have answered NO to all questions in Section 1; and for all Undergraduate research (including Honours).			
Chair: Faculty EIR Committee For applicants other than undergraduate students who have answered YES to any of the questions in Section 1.			

10 APPENDIX D: PERMISSION LETTER TO CONDUCT REASEARCH

Department of Human Capital & Corporate Services

Box 59
80 Independence Avenue
WINDHOEK, NAMIBIA



Tel: (+264) 61 290 2911

www.cityofwindhoek.org.na

ENQ: Mr AM Nikanor

PHONE: 061-290 2630

DATE: 17 August 2021

**RE: STAKEHOLDER MANAGEMENT IN THE UPGRADING OF THE
INFORMAL SETTLEMENT IN WINDHOEK – MS R. SHUUYA (STUDENT
NO: SHYROS001)**

This letter serves as confirmation that Ms R. Shuuya a student pursuing Master's degree in Project Management at the University of Cape Town, Cape Town – South Africa has been granted permission to conduct his research on the above subject.

Respondents to the study are therefore requested to render Ms R. Shuuya their cooperation and assistance.

Should there be any queries, please feel free to contact the Organisational & Human Resources Development Division on the above contact details

Yours Sincerely,

MF AM Nikanor
Manager: Organizational & Human Resources Development





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22 September 2021

Ms. Rosina Shuuya
Student number: SHYROS001
UNIVERSITY OF CAPE TOWN

Dear Ms. Shuuya

**REQUEST TO CONDUCT RESEARCH AT NHE – TOPIC: STAKEHOLDERS
MANAGEMENT IN THE UPGRADING OF THE INFORMAL SETTLEMENTS OF
WINDHOEK**

Your request as submitted on 18 August 2021 has reference.

Permission is herewith granted for you to conduct research as requested on the above topic. The necessary information will be made available through Sales and Lending Department, in particular Mr. T. Nghikongwa (Tel: 061-276100)

Please take note that the information you request is confidential and therefore, you can only use it for research purpose and should not avail this information to any other parties. A copy of final research should be given to NHE.

We wish you all the best with studies.

Yours faithfully

Gisbertus Mukulu
Chief Executive Officer

